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Poetry Into Song: Word-Music Relations in Settings of Goethe's *Faust* by  
Wagner and his Contemporaries (1832–1840)

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Volume 1

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## Abstract

### **Poetry Into Song: Word-Music Relations in Settings of Goethe's *Faust* by Wagner and his Contemporaries (1832–1840)**

Despite being a pre-eminent figure of German literature, Goethe remains misunderstood in musicology and the extent of his influence on the formation of the German Lied remains largely uncharted. This is true of *Faust I* where research into musical settings of Goethe's *Faust* has traditionally centred around canonical musical realisations of *Faust* confined to those by Schumann (*Szenen aus Faust*, 1844–1853), Liszt (*Faust Symphony*, 1857) and Mahler (*Symphony No. 8*, 1906). There is an urgent need to trace the influence of Goethe's *Faust* in musicology and in particular, uncover influential *Faust* settings which fall beyond the rubric of eminent literature. The settings selected in this dissertation address an important lacuna in the nineteenth-century Lied, namely settings composed or published between 1832 – the year of both Goethe's death and the posthumous publication of *Faust II* – and 1840, Schumann's first *Liederjahr*.

This study aims to challenge the perception that the 1830s was a lull period in the Lied by illustrating the significance of *Faust* in the development of the Lied with regard to text-music associations, text setting practice and the emancipation of musical rhythm from poetic rhythm. This will be achieved through close examination of the relationship between text and music evident in Wagner's *Sieben Kompositionen zu Goethes Faust* (1832) and an array of underappreciated *Faust* songs composed and published throughout the decade. A secondary concern of this dissertation is to consider to what extent Goethe's attitudes towards the declamation of the text were reflected in and reflective of compositional practices of the time and to assess the influence of the poet on Wagner's formative endeavours in music and song composers of the intervening period between Schubert and Schumann.

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## Abbreviations

ADB = *Allgemeine Deutsche Biographie*

ALH = *Ausgabe letzter Hand*

\* = used to indicate an accented syllable in stress analysis

BRD = basic rhythm of declamation

ll. = line numbers

nd = no date

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# Introduction

## I. Background to this research

19 October 1814, the date Schubert composed his dramatic scene 'Gretchen am Spinnrade' from Goethe's *Faust I*, is widely regarded as the birth-date of the German Lied. In truth, Goethe's *Faust* was being set to song upon the publication of *Urfaust* – the poet was actively encouraging the endeavour by working with composers – but it was not until Schubert's exceptional Gretchen setting that the genre of the Lied became synonymous with both Goethe and *Faust*. Schubert's agency on the Lied is undeniable, but the true extent of the influence Goethe's *Faust* had on the Lied remains uncharted and this is no more evident than in Lieder of the 1830s. Pre-Schumannian song composers have found themselves in the shadow of Schubert and the iconic status attributed to 'Gretchen am Spinnrade' is merely the most obvious of many contributing factors.

*Faust* song settings of the period have fallen victim to a variety of misconceptions which have had a negative impact on their reception history. Goethe's theories of text setting have been mislabelled as conservative due to a fundamental historical misrepresentation of the poet's approach towards text declamation. As Goethe had a profound association with the Lied in his lifetime, his aesthetic ideas influenced the way in which composers responded to *Faust* in the aftermath of the poet's death in 1832. Dismissive attitudes towards Goethe's musicality and text setting principles have been detrimental to the perception of Goethe as musical poet and the Lied in the 1830s. It is necessary to disperse these myths surrounding Goethe's theories on song to achieve a greater understanding of the Lied in the 1830s and ascertain their place within nineteenth-century music as a whole.

## II. Rationale for this research

The 1830s is regarded as a lull period for the Lied, yet it was the most productive decade for *Faust* Lieder following Goethe's death. The *Faust* songs of the 1830s are of great significance having sustained the Lied until the emergence of Schumannian song in the 1840s, yet they have been neglected in musicology and require reappraisal. Many of the settings that are subject to analysis in this dissertation have been overlooked in Lied studies as they have been regarded as uninteresting in comparison to Schubert's songs, or they have been passed over in *Faust* studies as they have been interpreted as youthful compositions which do not reflect the finest work of the respective composers. Formative endeavours – particularly in the case of Wagner's *Sieben Kompositionen zu Goethes Faust* as it pertains to this dissertation – are of interest. Furthermore, many of the composers and settings addressed in this dissertation are unknown and while I make no claim that these songs compare favourably to Schubert's Gretchen settings, collectively, these settings contend with perspectives of Goethe's *Faust* that no composer – Schubert included – engaged with prior to the 1830s. The recovery of these *Faust* settings extends possibilities for performance.

The first two chapters in this dissertation delineate the development of Faust myth in literature and the relationship between Goethe's *Faust* and music for this is the tradition to which the Lied in this study are contributing. The approach to song analysis undertaken in this dissertation centres on the way in which text is set to music for this would have been the primary concern of composers in the 1830s, particularly in the wake of Goethe's death and the posthumous publication of *Faust II*, which would have brought *Faust* to an even wider audience in Germany and beyond. The focus on text declamation in this study is motivated by an interest in what happens to text when it is set to music and is executed in recognition of the fact that the poetic rhythms in Goethe's *Faust* govern the composer's musical response to an extent determined by the composer themselves. The degree to which a composer conforms

to or deviates from the rhythmic patterning of the poetry is an aspect which is uniquely relevant to *Faust* and the Lied composer in the 1830s. Musical rhythm was in the process of being emancipated from poetic rhythm – Schubert initiated this trend with his Gretchen settings – and *Faust* is the ideal text through which to explore this phenomenon in post-Schubertian song since Goethe used rhythm as a device to portray the evolution of Gretchen’s consciousness in *Faust*. ‘Der König in Thule’ is a strophic song and the form returns in the prison scene, but in between, blank verse is used. In analysing how composers of the 1830s responded to this association of poetic rhythm with Gretchen in Goethe’s *Faust*, we can further our understanding of text setting practice across this period.

### **III. Aims of this research**

The primary aims of this research are (i) to trace the relationship between Goethe's *Faust* and the Lied; (ii) to illustrate how the erroneous portrayal of Goethe as a conservative figure in his vision of the Lied has impacted negatively on the reception of *Faust* settings which were published or composed immediately after the poet's death; (iii) to unveil the true extent of Goethe's influence on Wagner through the study of Wagner's engagement with Goethe's *Faust* and the analysis of Wagner's *Sieben Kompositionen zu Goethes Faust*; (iv) to reveal the collective response that *Faust* songs which materialised in the 1830s offered to Goethe's *Faust*; and (v) to apply song analysis to underappreciated *Faust* settings of the 1830s in order to broaden our understanding of text setting in the Lied in the intervening period between Schubert and Schumann.

That Goethe influenced Wagner at a young age is unquestionable, but this research pursues the possibility that Goethe impacted upon Wagner's formative years to a greater extent that has been recognised – and for a more significant period of time than has generally been accepted in Wagnerian scholarship. Wagner noted Faust's extra-musical potential,



drawing parallels between Goethe's drama and Beethoven's Ninth Symphony to promulgate the idea of the *Gesamtkunstwerk* and Gretchen as the prototype for the eternal feminine. It is beyond the scope of this dissertation to chart the influence of Goethe's *Faust* on Wagnerian opera and aesthetics, however, Wagner's *Faust* songs are formative small-scale explorations of large-scale ideas and they merit consideration within this context. Furthermore, it has been taken for granted in Wagnerian scholarship that Wagner's lack of prodigious musical talent ensure his early works are not worthy of musicological study. This is a charge which has also been levelled at Goethe – a misconception this study also addresses – and it demonstrates the need to focus on how Wagner and other Lied composers of the 1830s responded to the poetry.

This research aims to reappraise each of the unknown *Faust* settings which are discussed and reveal their response to Goethe's *Faust* in music. As these songs have been overlooked in musicology for almost two centuries, it is necessary to look beyond what would traditionally attract the attention of scholars, performers and listeners and ask what caused these songs to be underappreciated and what the composer set out to achieve.

#### **IV. Research questions and related questions posed by this dissertation**

**Question I** In what way has the reception history of *Faust* songs of the 1830s been affected by the negative perception of both Goethe's musicality and his theories on textual declamation?

**Question II** What does Wagner's engagement with Goethe's *Faust* reveal about the poet's influence on the composer?

**Question III** What musical response to Goethe's *Faust* is provided by *Faust* song collections of the 1830s?

**Question IV** What does the analysis of text declamation in the *Faust* settings of the 1830s reveal about text setting practices at this time?

**Question V** Why has Hugo Wolf's 'Gretchens Bitte' been neglected in musicology?

## **V. Delimitations of this research**

This study focuses on forgotten *Faust* settings by Wagner and his contemporaries that were either written or published between 1832 and 1840. The songs under consideration in this dissertation are predominantly from *Faust I*, set to voice with piano accompaniment and in the German language.

To ensure this dissertation remains focused on the Lied, a conscious effort has been undertaken to avoid engagement with other genres and musical forms beyond the contextualisation of the *Faust* myth in music. An exception is made for Wagner's *Faust Symphony* because the first movement of his *Faust Symphony* was written in the winter of 1839–40 and is relevant to unfurling the true extent of the influence Goethe and *Faust* had on Wagner, but it has not been afforded the same weight of consideration as the song settings discussed in Chapter 5.

## **VI. Methodology**

In order to explore the relationship between Goethe's *Faust* as a literary text and its musical depiction in these *Faust* settings, comprehension of the historical relevance of this text is necessary. Chapter 1 of this dissertation seeks to trace the particular lineage of the Faust myth from Job's wager with the devil in the Old Testament to the standing Goethe's *Faust* achieves in the musical literature of the nineteenth-century Lied. The relationship between Goethe's *Faust*, music and the nineteenth-century Lied is then explored in Chapter 2 in order to progress logically and chronologically from the discussion of *Faust* as a literary text into

analysing *Faust* as a musical text. The influence of Goethe's *Faust* on the Lied and nineteenth-century music as a whole is unfurled in Chapter 2 with a review of canonical musical realisations of the myth. The absence of any discussion of the *Faust* settings of the 1830s in this particular chapter illustrates the gap in musical literature to which this dissertation seeks to contribute. As this dissertation is concerned with musical realisations of Goethe's *Faust*, with the focus predominantly on approach towards text setting, it is necessary to contextualise the way in which the text is declaimed in the 1830s. This is achieved by examining approaches to text setting before and after the 1830s with consideration of text declamation in the *Faust* songs of both Schubert and Schumann. The question of text setting is also addressed in the section on Hugo Wolf's 'Gretchen's Bitte' with the intention of illustrating how the genre of the Lied had progressed in the nineteenth-century. It is in this regard that an exception is made for Wolf's only unpublished Goethe setting – it is a neglected song of historical significance included in a chapter of musical realisations which would have been known to composers.

Chapter 3 begins with an assessment of Goethe's musicality which challenges a traditionally-held negative perception of Goethe's musicianship and leads to a discussion of Goethe's conception of song. There is a need for this study to redress the reception history of Goethe as a musical poet within the nineteenth-century Lied. Goethe had a long life and his own aesthetic principles evolved simultaneously with the Lied, however, the poet's association with the Second Berlin Liederschule has seen him misinterpreted as a conservative figure when it comes to song. In contemplating Goethe's ideas towards text setting, one can atone for common misconceptions surrounding Goethe's views on how text should be declaimed and, in turn, unveil Goethe's open-mindedness towards interpretations of his texts. This chapter also considers eminent studies on text setting. There is no consensus among scholars with regard to the definition of song or what happens to text when it is set to

music and there is no one universal model of song analysis. Critical engagement with these theorists' ideas is therefore required in this chapter to determine an analytical approach that is most appropriate for exhibiting word-music relations in the *Faust* settings of Wagner and his contemporaries, which will be the concern of Chapters 4–5.

A further source of insight has been the work of Deborah Stein and Harald Krebs, both of whom I had the opportunity to study with when attending the Vancouver International Song Institute's Song Scholarship Programme in 2014. Krebs' theory on the basic rhythm of declamation (BRD) is a key influence on the analytical approach observed in this dissertation and there are two ways in which the analysis of rhythmic declamation in Chapters 4–5 builds on Krebs' model. Instead of determining whether whole settings conform to the BRD or not, it is necessary to look more specifically at whether musical rhythms deviate from the BRD or not, as at least in the context of the *Faust* settings included in this study, entire songs cannot be said to conform nor deviate with the BRD. Furthermore, while Krebs BRD model is concerned with conformance or non-conformance, the intention here is to account for the extent to which a given vocal rhythm distorts the poetic rhythm. This is necessary to draw any sort of conclusion with regard to rhythmic declamation becoming freer between Schubert and Schumann. To measure the degree of BRD non-conformance in any given Lied, it is necessary to compare the vocal rhythms present in the song to two distinct interpretations of the BRD – the 'Simple BRD' which is essentially the poetic rhythm translated into musical language, and a 'BRD-variant' that is derived from the vocal rhythm but must qualify as a BRD. Although the direction of this research led to my engagement with Krebs' theory on BRD, Stein and Spillman's *Poetry into Song* (1996) was an important resource and the title of this dissertation recognises the effect their work on song analysis had on my dissertation. The literature has shaped the analysis of each poetic text in this study with the views on poetic

persona and mode of address being of particular importance in understanding word-music relationships in *Faust* Lieder of the 1830s.

The analysis of Wagner's *Faust* settings in Chapter 4 is preceded with a deliberation of Goethe's general influence on the composer and the impact of Goethe and the *Faust* myth on the composer. The analyses in Chapter 4 are presented in the same order as Wagner arranged the songs in his song set, with 'Mephisto's Serenade' inserted before the Gretchen settings as opposed to following the chronology of Goethe's *Faust*. Each song analysis begins with a consideration of the poetic source prior to a discussion of the musical setting. The structure of each analysis mirrors the structure of the opening contextual chapters in that the literary text is discussed prior to an examination of the musical qualities inherent in the poetic text and a consideration of the relationship between said text and music. The intention is to make text the focus of the analytical approach to identify how dramatic context, poetic meaning and poetic form impacts on the setting of the text and how each composer's response to the poetry augments our understanding of the text. With regard to how a text is answered in musical settings of the 1830s, I have considered the role tonality plays in each Lied with regard to particular chords, modulations and transitions or even dramatic shifts in tonality which always relate to some specific aspect of the poetic text. Although many of the settings examined in this study exhibit harmonic restraint – settings of 'Der König in Thule', for example, tend to uphold the simplicity of the *Volkslied* tradition – the analysis of the tonality in these songs shows these composers were capable of continuing to advance the function of harmony. This is most apparent in the tonal response afforded to Gretchen's torment in settings of 'Meine Ruh ist hin', which challenges the perception of the 1830s as being a lull period for the Lied.

This dissertation presents an interdisciplinary approach to text setting; poetic analysis focuses on the poetic form, the structure of the poetry, the choice of words to suggest sound

and meaning and the use of poetic devices, while musical analysis centres on the use of musical form, the declamation of the text, harmony and gesture to convey poetic meaning.

## VII. Literature overview

The importance of music in the life of Goethe is a strand that has tended to be absent in biographical writings which have generally portrayed Goethe as a novelist, dramatist and poet who has impacted upon social, cultural, political and scientific fields.<sup>1</sup> The acknowledgement of the importance of music to Goethe and vice versa is evident from the many editions entitled *Goethe und die Musik* to be found from the nineteenth-century onwards. With regard to studies of the same name, it is only more recent publications that have challenged the age-old misconception that Goethe was unmusical and in doing so, move towards reflecting the actual breadth of Goethe and music's symbiotic relationship – Claus Canisius (1998) and Walter Hettche, Rolf Selbmann (2012) are two such examples. The correspondence between Goethe and Zelter disclosed in Lorraine Byrne Bodley's *Goethe and Zelter: Musical Dialogues* (2009) is testament to the poet's keen interest in music and his ability to hold his own in musical discussions with Zelter. Jo Tudor's study of Goethe and musical metaphor (2011) reveals music to be inextricably linked to the poet's thought.

The recent volume of essays *Music in Goethe's Faust: Goethe's Faust in Music* (2017), edited by Byrne Bodley, features new and enlightening perspectives on the extraordinary shared history between Goethe's *Faust* and music. The extent of the influence Goethe and the myth had on music is explored with considerations of Faust's modernity, the relationship the text has had with various music genres – in both the eighteenth and nineteenth centuries – and the contemporary appeal of the myth, evident in the stage

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<sup>1</sup> Examples of which include Nicholas Boyle, *Goethe: The Poet and the Age Volume II* (Oxford: Oxford University Press, 2000), *Goethe: The Poet and the Age Volume I* (Oxford: Clarendon Press, 1991), Richard Friedenthal, *Goethe: His Life and Times* (London: Weidenfeld, 1963) and John R. Williams, *The Life of Goethe: A Critical Biography* (Oxford: Blackwell, 1998).

productions it has since inspired. With regard to nineteenth-century music, the research presented in this book deals exclusively with canonical composers; eminent settings by Schubert, Schumann and Mahler are re-examined while Wagner's approach and attitude towards *Faust* is probed. These papers on Wagner are indicative of a current trend in Wagnerian scholarship to peruse unfamiliar sources of the composer's titanic influence on music, to which this dissertation responds. Beyond Schubert's decisive engagement with Goethe's *Faust*, the discourse on the nineteenth-century Lied in *Music in Goethe's Faust: Goethe's Faust in Music* remains open to further development and this study – with its reappraisal of *Faust* settings in the 1830s – aims to contribute to the field of research by addressing the gap which exists in musical literature between Schubert and Schumann's respective *Faust* settings.

In relation to *Faust* studies, Osman Durrani's *Faust: An Icon of Modern Culture* (2004) examines Faust's journey from sixteenth-century magician to modern cultural icon. Durrani pinpoints Faust's biblical origins, debates the legitimacy of an actual Doctor Faustus and touches on what Faust meant to audiences in the sixteenth and eighteenth centuries but as the title would suggest, the text is preoccupied with the modern Faust; the politicisation of Faust, his purpose on the modern stage, the economic potential within Faust if marketed to hold appeal in popular culture to name but a few strands present in contemplating Faust as a modern cultural icon. That Goethe and the Lied are each denoted a mere sub-section in Durrani's study on Faust's cultural relevance is evidence that neither Goethe's interpretation of the myth nor the genre of the Lied has received enough recognition in broader interdisciplinary circles. Lorna Fitzsimmon's edited volume of essays *Lives of Faust: The Faust Theme in Literature and Music* (2008) circumvents the Lied tradition entirely – the discussion of *Faust* in nineteenth-century music hones in on the Romantic tradition while music is central to the section on *Faust* in the twentieth and twenty-first centuries, illustrating

Faust's relevance in a globalised world. This dissertation aims to relate the historical significance of the Faust myth and Goethe's *Faust* to nineteenth-century music and the Lieder of the 1830s.

Tina Hartmann's *Goethes Musiktheater: Singspiele, Opern, Festspiele, 'Faust'* (2004) surveys Goethe's works of music theatre and the poet's accomplishments as a librettist. The discussion of *Faust I* in this text sees Hartmann pinpoint elements of music theatre in each individual scene, thereby contextualising these episodes within the wider conceptualisation of *Faust* as a vehicle through which Goethe discloses his artistic thoughts on music theatre. The importance of form – in relation to both poetry and music theatre – is apparent and advances our understanding of Goethe's protagonists and the intended meaning in *Faust*. The text outlines the dramatic considerations associated with the scenes in the play and provides a commentary on their implications for each song contained within *Faust*, revealing perspectives to consider in each composer's response to the text.

The discourse on *Faust* in Lieder studies has revolved around canonical composers and their realisations. Lorraine Gorrell's *The Nineteenth Century German Lied* (1993) recognises the influential *Faust* settings of Reichardt and Zelter, Beethoven's 'Aus Goethes Faust' and Schubert's Gretchen settings – the significance of all these songs has been advanced in more focused studies.<sup>2</sup> More recent literature on *Faust* in the Lied has redressed the reception history of the *Faust* myth in music with reference to lesser-known settings of Goethe's *Faust*; the criticism and interpretation of Hector Berlioz, Richard Wagner and Franz Liszt's *Faust* settings are of concern in Carolin Bunke's *Zur Faust-Rezeption in der Musik des 19. Jahrhunderts* (2011) while *Faust im Wandel: Faust-Vertonungen vom 19. bis 21. Jahrhundert* (2014) contains essays which touch on attitudes towards *Faust* in and around the

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<sup>2</sup> For Reichardt, Zelter and Schubert, see Lorraine Byrne Bodley, *Goethe and Zelter: Musical Dialogues*, (Surrey: Ashgate, 2003)., *Schubert's Goethe Settings* (Surrey: Ashgate, 2003)., Marjorie Wing Hirsch, *Schubert's Dramatic Lieder* (Cambridge: Cambridge University Press, 1993). For Beethoven, John Glenn Paton, *Gateway to German Lieder: An Anthology of German Song and Interpretation* (California: Alfred, 2000)., Paul Reid, *The Beethoven Song Companion* (Manchester: Manchester University Press, 2007).



1830s. It is this contemporary literature that this dissertation seeks to complement, contributing to the field by addressing the literary void between scholarship on Schubert and studies such as Hans Joachim Kreuzer's *Faust: Mythos und Musik* (2003) which traces the history of *Faust* in music but converges on the mid-nineteenth-century realisations of Schumann's *Szenen aus Goethes Faust* and Berlioz's *La Damnation de Faust*.

### **VIII. Challenges encountered during this research**

The study of neglected *Faust* settings by lesser-known composers necessitated archival work which was carried out at both the Faust-Archiv in Knittlingen in 2014 and the Staatsbibliothek in Berlin in 2015. The manuscripts held at the Faust-Archiv had not yet been catalogued when I was there, but surveying the entirety of their collection was manageable and requesting copies of these scores to be mailed at a later date was not an issue. The Staatsbibliothek in Berlin have two online card catalogues listing the names of composers in alphabetical order. It is possible to browse this inventory in an attempt to locate autographs or manuscript copies held in the library, however, the size of both catalogues – with approximately two million entries in total – ensures it is far beyond the scope of this research to cover the breadth of their holdings for the purpose of identifying unknown *Faust* settings. To unearth *Faust* settings, this author consulted resources such as Ernst Challier's *Grosser-Lieder Katalog*, Walter Aign's *Faust im Lied* and *Hofmeister XIX*. Furthermore, composer entries in *Allgemeine Deutsche Biographie* (ADB) were used as the basis for searching the Staatsbibliothek card catalogue. In visiting the Staatsbibliothek, it was possible to order autographs and manuscripts for perusal and obtain a library membership which permitted digital copies of selected scores to be made. Unfortunately, some of the Staatsbibliothek music collection was destroyed in the Second World War and therefore it is highly likely some *Faust* songs have been lost.

This dissertation highlights the lack of literature on settings of Goethe's *Faust* beyond the canonical realisations of Schumann, Liszt and Mahler, which in turn indicates the extent to which the influence of Goethe and *Faust* on both Lied and opera remains uncharted. One of the major obstacles in undertaking the study of underappreciated and unknown songs is that an absence of literature on a number of the composers in this dissertation, coupled with the lack of recordings either of the *Faust* settings present in this study or other Lieder by these composers, makes it difficult to gain a broader appreciation of each composer's compositional style or to discern a song aesthetic.

The lack of literature on Goethe's *Faust* in music facilitated a discussion of Hugo Wolf's 'Gretchens Bitte' in Chapter 2, which was also in part borne from the lack of literature on this particular setting in Wolf's *oeuvre* and the misconceptions that surround Wolf's early song settings. As this song was the only Goethe setting not published by the composer, it falls outside the rubric of Eric Sams' *The Songs of Hugo Wolf* which – combined with the Goethean uprising in the 1870s – has caused this setting to evade scholarly attention. In illustrating the role of Goethe's *Faust* in song settings of the nineteenth-century, it was necessary to re-examine the contribution of Wolf's 'Gretchens Bitte' as it is a neglected setting which challenges the idea that Schubert's Gretchen settings are definitive realisations.<sup>3</sup>

Although Wagner has been written on extensively, literature on Wagner has tended to centre on his operas and in particular operas dated after *Der Fliegende Holländer*; the composer's first commercially successful opera to contain an original libretto. Characteristic of many composers, there are no comprehensive studies of his formative works. It has therefore been necessary to consider the broader influence of Goethe on the development of the composer and the importance of *Faust* on his formative years.

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<sup>3</sup> It is suggested that Schubert's Lieder 'exhaustively explore the possibilities of this genre' in Lorraine Gorrell, *The Nineteenth Century German Lied* (Oregon: Amadeus Press, 1993), p. 107.

## **IX. Dissertation audience**

This dissertation is of interest to nineteenth-century song scholars as the neglected *Faust* settings presented in this study are a medium through which the relationship between text and music is explored and the dissertation is also of interest in Lieder studies as it addresses a gap in the literature. By virtue of the settings chosen for this study, this dissertation is also of relevance to any scholars of Hugo Wolf, Prince Anton Radziwill, Conradin Kreutzer, Giuseppe Verdi and Carl Loewe. It is also directed towards Wagner studies, which has been a vibrant research area in recent years given the organisation of projects and conferences to coincide with the bicentenary of the composer's birth, of which WagnerWorldWide2013 and 'Richard Wagner's Impact on His World and Ours' conference at the University of Leeds in 2013 – which I attended – are notable examples. The focus of this research project responds to contemporary concerns in the field of Wagner studies. This dissertation is also aimed at Goethe scholars who are interested in the relationship that was forged between Goethe's *Faust* and music during the long nineteenth-century, in particular the formative years of the Lied. It is also aimed at *Faust* scholars, who are concerned with settings that emerged from this relationship. That the relationship between Goethe's *Faust* and music is topical and of interest to *Faust* scholars is evinced by the success of the international and interdisciplinary conference, 'Music in Goethe's *Faust*: Goethe's *Faust* in Music' which took place at NUI Maynooth in April 2012, to which I also contributed.

# Chapter 1

## Faust in the Central European Tradition

### 1.1 Introduction

This chapter seeks to contextualise the *Faust* settings of Wagner and his contemporaries – of which the relationship between text and music is the focus of this thesis – within the extensive literary tradition of the Faust myth. It is necessary to achieve a broader understanding of Goethe's *Faust* text and the Faust legend – albeit to a lesser extent in the case of the latter – to be able to interpret the musical responses offered by song composers in the 1830s, delineate aspects of text setting and accurately assess the overall contribution of these settings to the Lied in the long nineteenth-century. To achieve this aim, the chapter summarises extant literature on the genesis and evolution of both the Faust myth and Goethe's *Faust* to present a historical overview of the legend which in turn, unfurls a relatively linear path from the wager made in the Book of Job to the redemption of Faust in Goethe's *Faust II* – the publication of which corresponds with the beginning of the period under specific consideration in this dissertation.

Parallels and divergences are identified between Goethe's *Faust* and previous interpretations of Faust – including the mythical accounts of Faust in the fifteenth- and sixteenth-century and the Christian figures that inspired the legend – and comparisons are also made between each of Goethe's instalments of the myth. In charting Goethe's advancement of *Faust*, with reference to his attempts at modernising the myth, the universal appeal of *Faust* to nineteenth-century composers can be discerned and an understanding can be found as to why these composers were eager to set *Faust* to music and more specifically, song.

## 1.2 The Christian origins of the Faust myth

George Lukács has noted that both the protagonist Faust, and the devil figure Mephisto, are essentially atheists in Goethe's *Faust*.<sup>4</sup> Both, however, are products of Christianity with Faust's actions a direct consequence of his pact with Mephisto, which is the basis of the drama. Mephisto is the personification of the Christian devil – the physical embodiment of evil who is portrayed in the bible as an opponent of God – a figure that tempts, deceives, and punishes. Mephisto enters into a pact with Faust with the sole intention of capturing his soul, but the pact itself is a device which has been borrowed from the bible, therefore rendering the Christian sacred text as the origin of Goethe's drama.

The pact with the devil is derived from the Book of Job in the Old Testament. Osman Durrani has correctly described the Book of Job as the most significant biblical source in the history of the Faust legend.<sup>5</sup> Durrani approximates references to the devil in the Old Testament at 100, however he has noted the lack of dramatic encounters between opposing forces of good and evil, of which the story of Job is an example.<sup>6</sup> Goethe's 'Prologue in Heaven' scene of *Faust I* contains dialogue between the Lord and Mephisto which mimics the conversation between the two entities in the Book of Job. In the Book of Job, the Lord forges a wager with Satan by permitting the devil to corrupt Job's soul in the belief that good will ultimately prevail over evil. It is a wager that the Lord wins, therefore the 'Prologue in Heaven' scene in *Faust I* creates an expectancy that good will prevail over evil in Goethe's drama. In both the anonymous Faust chapbook, *Historia von D. Johann Fausten* published by Johann Spies (1540–1623) in 1587 and the *Tragical History of Doctor Faustus* (1604) by Christopher Marlowe (1564–1593), Faust is condemned and there is no wager in either

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<sup>4</sup> George Lukács, *Goethe and the Age* (London: Merlin Press, 1968), p. 194.

<sup>5</sup> Osman Durrani, *Faust: Icon of Modern Culture* (Sussex: Helm, 2004), p. 42.

<sup>6</sup> Ibid.

interpretation of the myth.<sup>7</sup> In Goethe's *Faust*, the eponymous protagonist is redeemed and this is one of the fundamental differences between Goethe's *Faust* and previous versions of the myth.

Similarities have been noted between Job and Faust: they are 'collateral' in the wager, they 'suffer existentially' and 'challenge the limits of human reasoning' and although they either submit or resist their plights, they are both bound to human finitude.<sup>8</sup> Yet despite the obvious similarities between protagonists, there are key differences which posit *Faust* as an 'Anti-Job' in the 'retelling of Job from the opposite perspective.'<sup>9</sup> Firstly, Job realises the limitations of human knowledge, accepting that his suffering at the hands of a supreme authority is something he will never understand.<sup>10</sup> On the contrary, Faust refuses to accept the limitations of human knowledge and believes that he can overcome his suffering if he becomes the supreme authority.<sup>11</sup> Secondly, Job is devoted to the Lord and seeks to please him.<sup>12</sup> Faust on the other hand does not believe that the Lord exists, therefore his journey to becoming the supreme authority cannot be considered as the detachment of himself from the supreme authority, which is the Lord in the Book of Job.<sup>13</sup> Faust can be described as an 'Anti-Job' figure as he disproves Job's theory that only the wicked suffer by demonstrating that the wicked can prosper and yet avoid punishment.<sup>14</sup> As much as both the story of Faust and Job contains an element of redemption, Ekbert Faas notes that it is Mephisto who becomes a second Job, while Faust is ascended into heaven.<sup>15</sup> It is clear, therefore, that Faust's fate

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<sup>7</sup> O. R. Howard Thomson, 'Andreyev's "Anathema" and the Faust Legend', *The North American Review*, Vol. 194, No. 673 (1911), p. 883.

<sup>8</sup> J. M. van der Laan, *Seeking Meaning in Goethe's Faust* (London: Continuum, 2007), p. 36.

<sup>9</sup> *Ibid.*

<sup>10</sup> *Ibid.*, p. 46.

<sup>11</sup> *Ibid.*, p. 47.

<sup>12</sup> Jane K. Brown, *Goethe's Faust: The German Tragedy* (New York: Cornell University Press), p. 73.

<sup>13</sup> T. K. Seung, *Goethe, Nietzsche, and Wagner: Their Spinozan Epics of Love and Power* (Oxford: Lexington), p. 4.

<sup>14</sup> J. M. van der Laan, *Seeking Meaning in Goethe's Faust*, p. 48.

<sup>15</sup> Ekbert Faas, 'Faust and Sacontalá', *Comparative Literature*, Vol. 31, No. 4 (1979), p. 370.

differs to that of Job despite Goethe's decision to redeem his hero as the Lord redeemed Job, unlike the hero of the myth.

The 'actual originator' of the Faust myth is said to be Simon Magus, who appears in the Acts of the Apostles of the New Testament.<sup>16</sup> Simon Magus' name appears in chapter 52 of the Faust chapbook, suggesting the author was aware of the parallels between his Faust and Simon Magus.<sup>17</sup> Like Faust, Simon Magus was a magician, although he was not the only figure in the bible capable of acts that are devoid of an explanation – Durrani notes the supernatural powers of Solomon in the Old Testament, and the 'Three Magi' in the New Testament who later came to be known as the Three Kings.<sup>18</sup> It is Simon Magus' scholarly intellect, his use of magic for malicious purposes and his belief that he is superior to the common man that is identifiable in Faust.<sup>19</sup> It is believed that Simon Magus went by the surname Faustus – derived from the Latin word *favustus* meaning 'the favoured one' – and this subsequently found its way into the sixteenth-century Faust book.<sup>20</sup> Simon Magus was a legendary figure of early Church literature, particularly in the fourteenth-century when in the *Clementine Recognitions* he was portrayed, as E. A. Bucchianieri puts it, as a 'precursor to the Antichrist'.<sup>21</sup> Letters from the Benedictine abbot Johannes Trithemius (1452–1516) and the German humanist Mutianus Rufus (1470–1526) suggest Doctor Faustus may have fashioned himself as a Simon Magus figure in his portrayal of himself to the public.<sup>22</sup> That Doctor Faustus was considered to be the sixteenth-century equivalent of Simon Magus is evident from an extract in *Explicationes Melanchthoniae* (1594) in which Philip Melanchthon (1497–1560) – a companion of German reformer Martin Luther (1483–1546) – claims that Doctor

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<sup>16</sup> Erich Kahler, 'Doctor Faustus from Adam to Sartre', *Comparative Drama*, Vol 1, No. 2 (1967), p. 79.

<sup>17</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 42.

<sup>18</sup> *Ibid.*, p. 16.

<sup>19</sup> *Ibid.*, pp. 18–19.

<sup>20</sup> Lorna Fitzsimmons (ed.), *Goethe's Faust and Cultural Memory: Comparatist Interfaces* (Maryland: Lehigh University Press, 2012), p. 41.

<sup>21</sup> E. A. Bucchianieri, *Faust: My Soul be Damned for the World* (Indiana: AuthorHouse, 2002), p. 81.

<sup>22</sup> *Ibid.*, p. 82.

Faustus had attempted to fly, as Simon Magus had before him.<sup>23</sup> Goethe's acknowledgement of Simon Magus' role in creating the image of Faust is contained in the presence of Helena in *Faust II*, as Simon Magus claimed his companion Helena was the reincarnation of Helen of Troy.

Cyprian of Antioch is another important figure in the genesis of Faust's characterisation. He is significant as he is a symbol of the Middle Ages where the notion of opposing good and evil magic crept into literature.<sup>24</sup> George Santayana has noted the parallels that can be drawn with Faust: Cyprian is a scholar who indulges in magic, signs away his soul to the devil, subscribes to the ghost of beauty and is yet spared by God.<sup>25</sup> Cyprian and Faust's journeys, however, are very different. If Goethe's Faust can be described as an Anti-Job, then Faust could also be described as an Anti-Cyprian for Cyprian begins his journey as a pagan philosopher who is in search of God.<sup>26</sup> Faust, on the other hand, embarks on a journey where he ultimately rejects Christianity. It is also important to note that Faust enters into a pact with the devil having become disillusioned with his scholarly life, whereas Cyprian uses magic and makes a pact with the devil in order to satisfy his passion for Justina by altering her free-will.<sup>27</sup> Cyprian fails in his attempts to alter Justina's free-will through magic, and it is interesting to note the similarity of Mephisto failing to corrupt Gretchen through the same diabolical means in Goethe's *Faust*.

The legend of Theophilus of Adana is another important precursor to Goethe's *Faust*, particularly as he became a prominent figure in medieval literature due to the accessibility of his biography, which in turn ensured he remained popular until the early sixteenth-century.<sup>28</sup> In the opinion of Palmer and More, the legend of Theophilus of Adana is the most important

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<sup>23</sup> Ibid., p. 79.

<sup>24</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 19.

<sup>25</sup> George Santayana, *Three Philosophical Poets: Lucretius Dante and Goethe* (Cambridge: Harvard University, 1910), p. 149.

<sup>26</sup> Ibid.

<sup>27</sup> Ibid.

<sup>28</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 21.



literary text in Christian civilisation to deal with the themes of despair and revolt before the Faust legend.<sup>29</sup> Theophilus of Adana was a sixth-century cleric who made a pact with a devil, and it is the similarities between the nature of Theophilus of Adana's pact – and that of Faust's – which is unmistakable and unlike the wager between the Lord and Satan in the Book of Job, or Cyprian of Antioch's signing away of his soul. The pact between Theophilus of Adana and the devil is written in blood, with the cleric renouncing God, Christ and the Holy Ghost at the request of the devil.<sup>30</sup> In return, the devil granted Theophilus of Adana the power he desired and it is the duality of this pact – with Theophilus serving the devil and the devil serving Theophilus – that finds its way into the Faust myth.<sup>31</sup> Like his Christian predecessors, Theophilus of Adana achieves salvation – in this case, through the intercession of the Virgin Mary who retrieves the contract.<sup>32</sup>

### **1.3 Doctor Faustus and the elaboration of the myth in sixteenth-century Germany**

As with any figure that becomes the subject of myth, the legend of Faust has been promulgated by stories regarding a person of the same name whose existence remains the subject of much debate. Nicholas Boyle has traced the history of Doctor Faustus to a Georg Faust who was born in Knittlingen, Germany sometime around 1480.<sup>33</sup> Little is known of the academic, but he appears to have been entrusted with the horoscopes of the rich and was only forced into travel through debt and accusations of indulging in witchcraft.<sup>34</sup> We have already established in this chapter that the influence of his Christian predecessors ensured Doctor Faustus was viewed as someone with supernatural capabilities, someone who had engaged in a pact with the devil and someone who had the ability to fly. In the preface to *Historia*, which

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<sup>29</sup> P. M. Palmer and R. P. More in Moshe Lazar, 'Theophilus: Servant of Two Masters. The Pre-Faustian Theme of Despair and Revolt', *MLN*, Vol 87, No. 6 (1972), p. 31.

<sup>30</sup> John Henry Jones (ed.), *The English Faust Book: A Critical Edition Based on the Text of 1592* (Cambridge: Cambridge University Press, 1994), p. 5.

<sup>31</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 21.

<sup>32</sup> John Henry Jones (ed.), *The English Faust Book: A Critical Edition Based on the Text of 1592*, p. 5.

<sup>33</sup> Nicholas Boyle, *Goethe: Faust. Part One* (Cambridge: Cambridge University Press, 1987), p. 2.

<sup>34</sup> *Ibid.*

was signed by Spies himself, there is an acknowledgement that the Faust legend had made its way into mainstream consciousness thanks to the oral tradition of a necromancer who indulged in 'devilish arts'.<sup>35</sup> William Rose tells an anecdote which circulated regarding the death of Doctor Faustus whereby the scholar cast a spell on a crowd of drunken peasants in an inn, only to be talked into undoing the spell and subsequently, he was found dead in his bed the evening before the pact with the devil was due to be fulfilled.<sup>36</sup> At some point following Georg Faust's death around 1540, these fables along with other older myths were preserved in manuscripts both in German and Latin.<sup>37</sup>

Fear among prominent cultural, and often religious figures of the sixteenth-century also played a part in transforming the Faust myth from an oral tradition into a written tradition. In his edition of *Doctor John Faustus*, William Rose notes various references that were made to Faust during the sixteenth-century (see Table 1.1).

**Table 1.1: Key references to Doctor Faustus during the sixteenth-century**<sup>38</sup>

20 August 1507	Letter by Johannes Trithemius to Johann Virdung regarding a Georgius Sabellicus, also known as Faustus junior
7 October 1513	In a letter, Mutianus Rufus speaks of a chiromancer in Erfurt named Georgius Faustus
1516	Abbot Entenfuss claims Faust is residing in an asylum in Maulbronn monastery
12 February 1520	The Bishop of Bamberg speaks of a Doctor Faustus in a letter
1528	Resolutions of the Town Council in Ingolstadt makes reference to a 'Dr. Jörg Faustus of Heidelberg'
1539	Reference to Faust in <i>Index Sanitatis</i> by Philipp Bergadi of Worms
1566	A reference is made to Doctor Faustus in Martin Luther's tabletalk
1566	Count Froben Christoph von Zimmern (1519–1566) notes Faust's death to have taken place in Staufen im Breisgau

<sup>35</sup> William Rose (ed.), *Doctor John Faustus* (Indiana: University of Notre Dame, 1963), p. 24.

<sup>36</sup> *Ibid.*, p. 33.

<sup>37</sup> Nicholas Boyle, *Goethe: Faust. Part One*, p. 2.

<sup>38</sup> William Rose (ed.), *Doctor John Faustus*, pp. 3–33.

- 1568                      Repetition of *Sermones Conviviales* story in Andreas Hondurf's *Promptuarium Exemplorum*
- 1568                      Reference to Faust in *De Praestigiis Daemonum* by Johannes Wierus (1515–1588)
- 1572                      Faust makes his literary debut in *Of Ghostes and Spirites* by Ludwig Lavater (1527–1586)
- 1575                      Christoph Rosshirt – a teacher in Nuremberg – compiled anecdotes on Faust and other magicians and named Faust, Georg
- 1576                      Reference in Wolfgang Bütner's *Epitome Historiarum*

Frank Baron argues that the Faust myth has become a symbol of modernity and that each Faust character reflects the *Weltanschauung* or the beliefs of its creator.<sup>39</sup> This author would contest, however, that the Faust figure constructed in the sixteenth-century was a product of the times. The public in sixteenth-century Germany were 'superstitious, licentious, disorderly, irrational; they blended the sacred with the profane'.<sup>40</sup> These character traits would have been influenced by Martin Luther, whose attraction to spirits prior to his turn back to religion caused him to believe in the physical existence of the devil, insofar as to record an encounter with the devil in 1521.<sup>41</sup> It also caused Luther to believe that magic was synonymous with the devil, and that magicians would make pacts that would result in the death of the soul and condemnation to hell.<sup>42</sup> Baron argues that Martin Luther's influence on the myth is the most important development in Faust's history as Luther associated Doctor Faustus with the devil.<sup>43</sup> Luther came to represent both the mysticism and realism of medieval German urban life and many of the views he expressed such as his opposition to poverty, chastity and clerical obedience found their way into German literature.<sup>44</sup> Lutherans came to believe that the devil was having a profound effect on society.<sup>45</sup> It is clear, therefore, that Luther leant

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<sup>39</sup> Frank Baron, *Doctor Faustus from History to Legend* (Munich: Fink, 1978), p. 11.

<sup>40</sup> Peter Boerner and Sidney Johnson, *Faust Through Four Centuries* (Tübingen: Niemeyer, 1989), p. 29.

<sup>41</sup> Osman Durrani, *Faust: Icon of Modern Culture*, pp. 37–40.

<sup>42</sup> Frank Baron, *Doctor Faustus from History to Legend*, pp. 79–81.

<sup>43</sup> *Ibid.*, p. 70.

<sup>44</sup> Nicholas Boyle, *German Literature: A Very Short Introduction* (Oxford: Oxford University Press, 2008), p.

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<sup>45</sup> Peter Boerner and Sidney Johnson, *Faust Through Four Centuries*, p. 30.

credibility to the legend of Doctor Faustus and made the myth relatable to the German public in the sixteenth-century.

Literature on the devil sold well in Germany in the latter half of the sixteenth-century despite the fact people were fearful of the devil and believed in its physical existence.<sup>46</sup> The *Volksbuch* was no different; published in September 1587, it had received four reprints, a new original edition and a new edition with eight additional chapters by the end of the year.<sup>47</sup> In the *Volksbuch*, Faustus rejects sixteenth-century thinking by selling his soul to the devil in return for many years of pleasure.<sup>48</sup> Rose notes that the pact is more concerned with food, wine and women than it is about any degree of spirituality.<sup>49</sup> Baron notes Faustus' promiscuity and questions whether this promiscuity is being used to indicate the difference in Faustus' morality compared to that of the audience.<sup>50</sup> Faustus represents the spirit of enquiry, and the spirit of enquiry was regarded as 'fatal to the soul'.<sup>51</sup> As Boerner and Johnson note, one's religious and moral duty in the Middle Ages ensured that it was impossible to escape the social hierarchy they were born into.<sup>52</sup> Marguerite de Huszar Allen describes *Historia* as a literary reflection of the re-evaluation of religious values that took place in the latter half of the sixteenth-century.<sup>53</sup> The *Volksbuch* serves as a Lutheran instrument to dissuade folk occultism and encourage cultural reform.<sup>54</sup>

#### **1.4 Marlowe's *Doctor Faustus* and its influence on German literature**

It is unlikely that Goethe ever came into contact with or even knew of the *Volksbuch* and it is understood that Goethe first read Marlowe's *Doctor Faustus* in 1818 – ten years after the

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<sup>46</sup> Ibid. p. 37.

<sup>47</sup> William Rose (ed.), *Doctor John Faustus*, pp. 3–33.

<sup>48</sup> Nicholas Boyle, *German Literature: A Very Short Introduction*, p. 33.

<sup>49</sup> William Rose (ed.), *Doctor John Faustus*, p. 45.

<sup>50</sup> Frank Baron, *Doctor Faustus from History to Legend*, p. 85.

<sup>51</sup> William Rose (ed.), *Doctor John Faustus*, p. 26.

<sup>52</sup> Peter Boerner and Sidney Johnson, *Faust Through Four Centuries*, p. 43.

<sup>53</sup> Marguerite de Huszar Allen, 'The Reception of the *Historia* von D. Johann Fausten', *The German Quarterly*, Vol. 59, No. 4 (1982), p. 590.

<sup>54</sup> Peter Boerner and Sidney Johnson, *Faust Through Four Centuries*, p. 33.

publication of Goethe's *Faust I*.<sup>55</sup> It was the puppet-plays of the seventeenth- and eighteenth centuries that caught Goethe's attention and attracted him into producing a dramatic interpretation of the myth.<sup>56</sup> Marlowe's *Doctor Faustus* has been credited with keeping the Faust myth alive in Germany as English actors toured Europe in the late sixteenth-century and these productions were most popular in Germany.<sup>57</sup> This is the Faust myth with which Goethe would have been familiar – a version of the myth that had been developed rapidly in England at the end of the sixteenth-century. The elaboration of the myth in England, however, took place almost as soon as the *Volksbuch* had been published. A 'P. F. Gent' published an English translation of the chapbook towards the end of the sixteenth-century, possibly within five years of the publication of the *Volksbuch*.<sup>58</sup> Certain omissions and alterations in this translation took the myth on a different path as Doctor Faustus' promiscuity was downplayed, enabling the thirst for knowledge to become a more prominent theme.<sup>59</sup> Durrani argues that an important aspect in the transformation of Faust as a figure is the humanity both P. F. Gent and Marlowe assign to the protagonist.<sup>60</sup> Compared to Spies' publication, the notion of eternal damnation is heightened in P. F. Gent's translation.<sup>61</sup> Boerner and Johnson believe P. F. Gent's edition of the Faustbook was the first to portray Doctor Faustus as an academic – a theme Marlowe continued into his play by adding scenes which contained scholars.<sup>62</sup> The scholarly aspect of Faust's character in *Doctor Faustus* is important as it is a reflection on Marlowe himself, and the change that was occurring in Protestant countries at that time.<sup>63</sup>

John S. Mebane believes magic to be a unifying symbol with which there were three

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<sup>55</sup> Nicholas Boyle, *Goethe: Faust. Part One*, pp. 4–8.

<sup>56</sup> *Ibid.*, p. 7.

<sup>57</sup> William Rose (ed.), *Doctor John Faustus*, p. 48.

<sup>58</sup> Osman Durrani, *Faust: Icon of Modern Culture*, pp. 193–194.

<sup>59</sup> E. M. Butler, *The Fortunes of Faust* (Cambridge: Cambridge University Press, 1952), p.37.

<sup>60</sup> Osman Durrani in Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music* (Woodbridge: The Boydell Press, 2017), p. 91.

<sup>61</sup> *Ibid.*, pp. 38–39.

<sup>62</sup> Peter Boerner and Sidney Johnson, *Faust Through Four Centuries*, p. 41.

<sup>63</sup> *Ibid.*, p. 45

strands of Renaissance thought Marlowe identified with: the indulgence of the senses and the enjoyment of world beauty, the quest for wealth and political power, and the pursuit of infinite knowledge.<sup>64</sup> Mebane argues that Marlowe would have been aware of the fact that occult philosophers had been justifying these strands of thought, and that Marlowe – like his Elizabethan audience – would have subscribed to the Marsilio Ficino (1433–1499) idea that humanity was in search of a divine condition.<sup>65</sup> Marlowe had become aware of the science and technology behind the occult tradition and understood how he could play upon the fear that a revolution in science could lead to a revolution in other spheres, such as in religion or politics.<sup>66</sup>

Marlowe's most significant contribution to the Faust myth was the opening soliloquy of *Doctor Faustus*, wherein Faustus renounces academic disciplines and conventional authorities as they are limiting to human knowledge.<sup>67</sup> Essentially, Marlowe's Faustus was the first Faust to side with magic in the pursuit of knowledge, and this found its way into later interpretations of the Faust myth, not least Goethe's *Faust*.<sup>68</sup> Marlowe's Faustus is an important precursor to the Faust we encounter in Goethe's *Faust I* for he suffers for having the same understanding and interpretation of human knowledge. Kenneth L. Golden applies the theories of twentieth-century psychotherapist Carl Jung (1875–1961) to understand the psychology of Marlowe's Faustus.<sup>69</sup> Doctor Faustus exhibits ego-inflation, which Golden argues is a common condition of both the Renaissance man and modern man.<sup>70</sup> Faustus is measuring his intellect by what he can manipulate and control – Holden notes that as a physician, he has spared people from the plague but feels the knowledge is of no use to him

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<sup>64</sup> John S. Mebane, *Renaissance Magic and the Return of the Golden Age* (Nebraska: University of Nebraska, 1992), p. 113.

<sup>65</sup> *Ibid.*

<sup>66</sup> *Ibid.*, p. 114.

<sup>67</sup> *Ibid.*

<sup>68</sup> Nicholas Boyle, *Goethe: Faust. Part One*, p. 5.

<sup>69</sup> Kenneth L. Golden, 'Myth, Psychology and Marlowe's "Doctor Faustus"', *College Literature*, Vol. 12, No.3 (1985), p. 203.

<sup>70</sup> *Ibid.*

as he cannot go a step further and raise people from the dead.<sup>71</sup> He is in danger of *enantiodromia*, whereby the steep ascent Faustus is currently experiencing must be followed by the opposite descent.<sup>72</sup> This, as we shall see later, is what transpires in Goethe's *Faust*. Both Marlowe's *Doctor Faustus* and Goethe's *Faust* exhibit this striving for knowledge, but what separates Goethe's *Faust* from Doctor Faustus is that Goethe endorses this striving by having Gretchen perish so that Faust can continue to strive, whereas Marlowe's Faustus is condemned to hell.

Butler has noted parallels between Faustus and Marlowe which must have intrigued the Elizabethan public: both were enigmatic figures, both of their personas were aided by legend, both were associated with evil and black magic in their lifetimes, and their deaths were very similar.<sup>73</sup> It seems clear, however, that Marlowe intended to consign some of his own convictions to *Doctor Faustus*. Richard Baines (1568–1593) claims that Marlowe believed religion had been invented as a tool of political oppression to impose limits on society.<sup>74</sup> Likewise, Faustus considers any doctrine that imposes limits upon him to be mere superstition.<sup>75</sup> This is evident in his dealings with Mephistophilis where a contradiction within Faustus becomes clear. Faustus is happy to sign his soul away to Mephistophilis in exchange for magic powers, however, when questioned about his belief in hell, Faustus responds by stating his view that it does not exist.<sup>76</sup> Similarly, Faustus rejects Christianity and yet he cannot escape the sense of guilt and sin that Christianity harbours.<sup>77</sup>

It is unclear at what point in Marlowe's life *Doctor Faustus* was written – logistically, it could have been anytime between the publication of the *Volksbuch* in 1587 up to Marlowe's death in May 1593. To confuse matters further, there are two editions of *Doctor Faustus*,

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<sup>71</sup> Ibid.

<sup>72</sup> Ibid.

<sup>73</sup> E. M. Butler, *The Fortunes of Faust*, p. 42.

<sup>74</sup> John S. Mebane, *Renaissance Magic and the Return of the Golden Age*, p. 114.

<sup>75</sup> Ibid.

<sup>76</sup> Kenneth L. Golden, 'Myth, Psychology and Marlowe's "Doctor Faustus"', p. 204.

<sup>77</sup> Ibid.

commonly referred to as the 'A Text' and the 'B Text'. The 'B Text' has been preferred over the years as it is more suitable for public performance, but it has been censored in the wake of the Act of Abuses of 1606 and therefore the 'A Text' is more faithful to Marlowe and more concentrated on the Faustian myth.<sup>78</sup> A further complication is the fact that Marlowe would have had a collaborator, and there is no agreement among Marlovian scholars as to what was written by Marlowe and what may have been written by an unnamed collaborator.<sup>79</sup> There is a general consensus that the opening soliloquy and the play's conclusion was written by Marlowe whereas the more comedic and farcical elements were more likely to be the work of a collaborator, given that these passages could be seen as incongruous.<sup>80</sup> While these passages may seem out of place to Marlovian scholars, it is unlikely that Elizabethan audiences would have concurred as they were appreciative of humour in their tragedies. The introduction of a comic sub-plot to the myth – and therefore an element of farce into the legend – has been regarded as an innovation from Marlowe or his collaborators. That makes three innovations in total as a third innovation is the assertion that the love of beauty is as dangerous a concept as the love of truth or the desire for knowledge.<sup>81</sup>

Although Boyle credits Marlowe's *Doctor Faustus* as having an influence over all subsequent dramas pertaining to Faust, it was in Germany amid the ensuing religious tension that Faust was converted into a prominent literary figure.<sup>82</sup> The religious tension provided the perfect cultural backdrop to make Faustus pertinent to society.<sup>83</sup> As a result, Marlowe is credited with bringing the Faust myth to a non-literate German-speaking audience.<sup>84</sup> That said, however, there was a very real danger in early-to-mid eighteenth-century Germany that

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<sup>78</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 74.

<sup>79</sup> Bruce E. Brandt in Sara Munson Deats (ed.), *Doctor Faustus: A Critical Guide* (London: Continuum, 2010), p. 23.

<sup>80</sup> Ibid.

<sup>81</sup> E. M. Butler, *The Fortunes of Faust*, pp. 47–51.

<sup>82</sup> Nicholas Boyle, *Goethe: Faust. Part One*, p. 4.

<sup>83</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 197.

<sup>84</sup> Nicholas Boyle, *German Literature: A Very Short Introduction*, p. 33.



the Faustian myth would no longer be considered worthy of a tragedy, but instead become the subject of comic plays and farces. This can be attributed to the fact that Marlowe's *Doctor Faustus* contained farcical elements, but also to the popularity of the genre in eighteenth-century Germany. Johann Christoph Gottsched (1700–1766) had taken it upon himself in an essay entitled *Essay on a German Critical Poetic Theory* (1730) to try and re-educate theatre-goers to dissuade audiences from attending farces by encouraging reflection on the French classical stage and Greek dramatists.<sup>85</sup> Included in his message was a plea for poets to abandon the Faust myth as 'Dr Faust has amused the masses for long enough, and we have more or less ceased to enjoy watching such foolishness.'<sup>86</sup> Marlowe had indeed brought the Faust myth to a German-speaking audience, but it was now far removed from its original form.

### **1.5 Lessing's transformation of Faust into German literary subject**

It was the fragmentary *Faust* of Gotthold Lessing (1729–1791) – almost two centuries after Marlowe's tragedy – that helped reappropriate Faustus, elevating the myth into the mainstream of German culture. Lessing had rigid literary beliefs and felt his contemporaries had two possible models on which they could base their work. They could follow in the footsteps of the English dramatists or alternatively, they could reinvestigate traditional German subjects.<sup>87</sup> This was brought about in February 1759 when in his *Literaturbrief*, Lessing spoke of replacing French models with these values in what has been described as 'the most effective literary assassination in German literature.'<sup>88</sup> As a result, Lessing was Germany's most extreme literary figure in the years that followed.<sup>89</sup>

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<sup>85</sup> Lorna Fitzsimmons (ed.), *International Faust Studies: Adaptation, Reception, Translation* (London: Continuum, 2008), p. 43.

<sup>86</sup> *Ibid.*, p. 44.

<sup>87</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 92.

<sup>88</sup> Nicholas Boyle, *German Literature: A Very Short Introduction*, p. 45.

<sup>89</sup> *Ibid.*, p. 46.

Faustus was arguably the ideal amalgam for Lessing considering the drama's German origins and the late sixteenth-century English style that Marlowe had inserted into the plot. Faustus was identifiable with the German audience and had all the necessary traits to become the German answer to the Shakespearean tragic hero. Like Goethe, Lessing spent much of his life working intermittently on a Faust drama - although critics have noted his need to reconcile a myth based on Christian supernaturalism with his own Enlightenment values.<sup>90</sup> Lessing's first allusion to Faust appeared in his first completed play, *The Young Scholar* (1754) where references to Faust's dismissive attitude towards the academic faculties illustrated the 'hero's scholarly pretensions.'<sup>91</sup> On 14 June of the same year, Lessing most likely attended Franz Schuh's performance of the *Faust* play in Berlin.<sup>92</sup> In a letter to Geoge August von Breitenbauch (1731–1817) – dated 12 December 1755 – Lessing confessed he was working on a Faust drama.<sup>93</sup> Palmer and More claim the performance of Schuh's *Faust* inspired Lessing to modernise the myth.<sup>94</sup>

The problem for Lessing and Faust was that everyone else appeared to be working on the Faust theme also.<sup>95</sup> Lessing seemingly decided to play a waiting game with the intention of having his Faust surpass the work of others by publishing his Faust at a later date, but he waited so long that it never happened, leaving us with nothing more than a selection of extracts.<sup>96</sup> One of these extracts is a scene on Faust and the seven devils, which was included in the spirit of protest against Gottsched's viewpoint on the Faust myth, and appeared in the seventeenth *Literaturbrief* (1759).<sup>97</sup> Surviving drafts of this extract and related plans tell us

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<sup>90</sup> Hugh Barr Nisbet, *Gotthold Ephraim Lessing: His Life, Works and Thought* (Oxford: Oxford University Press, 2008), p. 406.

<sup>91</sup> *Ibid.*

<sup>92</sup> *Ibid.*

<sup>93</sup> *Ibid.*, pp. 406–407.

<sup>94</sup> Robert P. More and Philip M. Palmer, *Sources of the Faust Tradition: From Simon Magus to Lessing* (London: Oxford University Press, 1936), p. 273.

<sup>95</sup> Klaus L. Berghahn in Lorna Fitzsimmons (ed.) *Lives of Faust: The Faust Theme in Literature and Music* (Berlin: Walter de Gruyter, 2008), p. 160.

<sup>96</sup> *Ibid.*

<sup>97</sup> Hugh Barr Nisbet, *Gotthold Ephraim Lessing: His Life, Works and Thought*, p. 406.

that Lessing's Faust intended to use the devils in his quest for knowledge but that ultimately, the devils would use Faust's desire of knowledge to ruin him.<sup>98</sup> Hugh Barr Nesbit notes the lack of documentary evidence to suggest Lessing ever had a way of conveying that idea and that ultimately, Lessing's failure to do so resulted in failure for Lessing's Faust.<sup>99</sup> Another extract – consisting of a Prologue and four scenes and referred to as the 'Berlin Scenario'<sup>100</sup> – written in 1758/59 was published posthumously by his brother Karl in 1786.<sup>101</sup> In 1758, Lessing did write to the poet Johann Wilhelm Ludwig Gleim (1719–1803) stating his intention to stage *Doctor Faustus* in Berlin, but this never came to fruition and there is no record of the play.<sup>102</sup>

Palmer and More claim Lessing had several different ideas in mind for the drama, and that there is no evidence to suggest he ever followed through with any of them.<sup>103</sup> Barbara Fischer and Thomas C. Fox endorse that viewpoint, suggesting Lessing engaged with Faust on three separate occasions of his life and had a different vision of the Faust theme every time he revisited the topic.<sup>104</sup> His original idea regarding Faust and the seven devils has already been noted. In the second phase, Lessing appears to be leaning towards a bourgeois tragedy with no demonic elements.<sup>105</sup> The third and final plan combines elements of the previous phases in an exploration of the limits of intellectual curiosity, although evidence to support this is weak as it stems from a reconstruction of Lessing's 'lost' Faust by Hauptmann von Blankenburg (1744–1796) and Johann Jakob Engel (1741–1802).<sup>106</sup>

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<sup>98</sup> Ibid., p. 407.

<sup>99</sup> Ibid.

<sup>100</sup> Klaus L. Berghahn in Lorna Fitzsimmons (ed.) *Lives of Faust: The Faust Theme in Literature and Music*, p. 160.

<sup>101</sup> Barbara Fischer and Thomas C. Fox (eds.), *A Companion to the Works of Gotthold Ephraim Lessing* (Suffolk: Camden House, 2005), p. 25.

<sup>102</sup> Ibid.

<sup>103</sup> Robert P. More and Philip M. Palmer, *Sources of the Faust Tradition: From Simon Magus to Lessing*, p. 273.

<sup>104</sup> Barbara Fischer and Thomas C. Fox (eds.), *A Companion to the Works of Gotthold Ephraim Lessing*, p. 25.

<sup>105</sup> Ibid.

<sup>106</sup> Ibid.

Despite failing in his attempt – or several attempts – to dramatise Faust, Lessing's engagement with the Faust myth had a substantial influence on his contemporaries and profound consequences for German literature as a whole. Nisbet suggests Lessing's interest in the Faust theme had become common knowledge by 1770, and it was inspiring his contemporaries who were keen to keep abreast of Lessing's literary activities.<sup>107</sup> Palmer and More believe Lessing contributed to the Faust myth with three separate innovations. Firstly, there is Lessing's endorsement of the striving for knowledge and the commitment to the salvation of Faust – an innovation they rightly claim was significant enough to ensure Lessing is remembered on the merit of that achievement alone.<sup>108</sup> Lessing was not able to realise that ambition – that would be left for Goethe – but Lessing made it possible for Goethe's Faust to strive and yet be redeemed. The second innovation is the attempt to rationalise the tradition by adopting the dream motif: a device borrowed from Voltaire (1694–1778) and Calderón (1600–1681).<sup>109</sup> Lessing's Faust is saved through a dream, in which Faust imagines that he is to suffer the opposite fate. The third innovation is the 'ennobling of Faust's character which placed the whole drama on a higher plane.'<sup>110</sup> This statement is contentious – Butler claims this is merely an eighteenth-century cliché to which authors of the early twentieth-century tended to resort<sup>111</sup> – but it cannot be doubted that Lessing's plans for Faust were different to that of his contemporaries. Lessing's Faust was the antithesis of his Enlightenment values and yet the product of those values, and this gave future dramatists the option of exploring Faust from a 'higher plane'. Intentionally or otherwise, Lessing helped cultivate *Doctor Faustus* into this heroic figure, albeit through minimal use of actual drama. It was the remnants of Lessing's work on Faustus that gave

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<sup>107</sup> Hugh Barr Nisbet, *Gotthold Ephraim Lessing: His Life, Works and Thought*, p. 407.

<sup>108</sup> Robert P. More and Philip M. Palmer, *Sources of the Faust Tradition: From Simon Magus to Lessing*, p. 274.

<sup>109</sup> *Ibid.*

<sup>110</sup> *Ibid.*

<sup>111</sup> E. M. Butler, *The Fortunes of Faust*, p. 123.

Goethe the platform to transform Doctor Faustus into Faust and in doing so, establish a German national drama.<sup>112</sup>

### **1.6 Goethe's *Urfaust* and *Faust*. *Ein Fragment***

Boyle estimates that Goethe began work on his *Faust* in the spring of 1774.<sup>113</sup> Even at this formative stage, Goethe's intentions for the myth were clear: he wanted to introduce a contemporary love tragedy to the Faust legend through the character of Gretchen. Seemingly named after his first love, the character appears to be a product of the guilt Goethe felt for leaving a former lover, Friederike Brion, and a response to the execution of Susanna Margaretha Brandt who had committed infanticide.<sup>114</sup> Incidences of infanticide in the Enlightenment period were frequent if not common, and the matter formed a part of public discourse with Goethe involved in the wider debate as to whether the death penalty was befitting of such crimes.<sup>115</sup> The subject found its way into *Sturm und Drang* literature where the perpetrator of infanticide was typically depicted as a female seducee – a trope inspired by the portrayal of women in the popular genre of the eighteenth-century bourgeois tragedy – and the 'fate of the child murderess' was central to these narratives.<sup>116</sup> This is the case in both Goethe's *Urfaust* and the Friedrich Schiller (1759–1805) poem 'Die Kindsmörderin', which was first published in *Anthologie auf das Jahr 1782*.<sup>117</sup> Goethe was drawing on topical thematic material for the characterisation of Gretchen and the evolution of the love tragedy. He had fused both sixteenth- and eighteenth-century themes together in *Götz von Berlichingen* (1773) while many similarities can be drawn between Gretchen's story and that

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<sup>112</sup> Osman Durrani, *Faust: Icon of Modern Culture*, pp. 93–94.

<sup>113</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 185.

<sup>114</sup> *Ibid.*

<sup>115</sup> Helga Stipa Madland, 'Infanticide as Fiction: Goethe's *Urfaust* and Schiller's "Kindsmörderin" as Models', *The German Quarterly* Vol. 62, No. 1 (1989), p. 27.

<sup>116</sup> *Ibid.*

<sup>117</sup> *Ibid.*

of *Clavigo* (1774).<sup>118</sup> The innovation in Goethe's *Faust* therefore lies in combining the sixteenth-century theme of the supernatural through a physically existing devil with the eighteenth-century theme of domestic tragedy through the vehicle of *Faust*, whose potential to be an iconic literary figure was now known.

*Urfaust* was completed in 1775 and published posthumously in 1887 after a copy of the manuscript was recovered by Erich Schmidt (1853–1913).<sup>119</sup> Goethe evidently had not intended for *Urfaust* to see daylight as he destroyed the manuscript, yet David Luke has speculated that it would have been a success had it been published at the time.<sup>120</sup> Although *Urfaust* is a fragment, it is complete enough to be staged and is dominated by Goethe's innovation of the Gretchen tragedy.<sup>121</sup> The tragedy of Faust and Gretchen hinges on the idea that the two lovers come from opposite worlds. As Klaus L. Berghahn explains, *Sturm und Drang* playwrights were keen to modernise plots by portraying tragic conflicts as class conflicts.<sup>122</sup> Gretchen is a simple village girl with high morals which stem from her Christian faith while Faust is a scholar who is dissatisfied with life, outlining in his opening monologue of *Urfaust* his willingness to sacrifice his morals for a better life.<sup>123</sup> Daniel Farrelly notes that many *Sturm und Drang* writers who tackled Faust turned him into a symbol of nihilism, with Maximilian Klinger's *Fausts Leben, Thaten und Höllenfahrt* (1791) being particularly negative in its message.<sup>124</sup> The uncertainty regarding Gretchen's salvation and Faust's condemnation at the end of *Urfaust* ensures the tragedy is secularised, as was required in the

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<sup>118</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 185.

<sup>119</sup> R. M. Browning, 'On the Structure of the Urfaust', *Modern Language Association*, Vol. 63, No. 3 (1953), p. 458.

<sup>120</sup> Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke (Oxford: Oxford University Press, 1987), xii.

<sup>121</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 218.

<sup>122</sup> Klaus L. Berghahn in Lorna Fitzsimmons (ed.) *Lives of Faust: The Faust Theme in Literature and Music*, p. 165.

<sup>123</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 221.

<sup>124</sup> Daniel J. Farrelly, *Goethe in East Germany, 1949–1989: Toward a History of Goethe Reception in the GDR* (Columbia: Camden House, 1998), p. 92.

eighteenth-century.<sup>125</sup> It also ensured the tragedy was suspended so Goethe could revisit, continue or finish the tragedy at a later date.<sup>126</sup>

Mephisto 'mediates between the world of Faust and the world of Gretchen' in *Urfaust*.<sup>127</sup> Goethe continues with the tradition which had been observed in *Historia*, Marlowe's *Doctor Faustus* and the puppet plays, whereby Mephisto is one of many demons rather than a single all-powerful demon.<sup>128</sup> In *Urfaust*, he appears to serve under Lucifer, and Gretchen refers to Mephisto as being a devil rather than the devil.<sup>129</sup> Where Goethe differs from his predecessors is with the function of Mephisto in *Urfaust*. Mephisto is not only tasked with being the opponent of God, but must now take on a plethora of roles: schemer, gambler, magician, art expert, prompter, entertainer, envoy of hell and the satanic Don Juan.<sup>130</sup> These roles and guises can be amusing, and Mephisto is therefore not the personification of evil, but the embodiment of the idea that there is good and evil in everyone.<sup>131</sup> Rolf-Peter Janz argues that Mephisto's ability to metamorphosise into playing the role of the fool is something Goethe has brought to the devil character.<sup>132</sup> Boyle correctly points out, however, that while Mephisto may have Faust fooled, his utterance at the end of the 'Martha's Garden' scene that he will take pleasure in the night is a reflection of his diabolical nature.<sup>133</sup> Mephisto's heightened sexual desire is not only associated with the discourse of evil in Christianity, but it is a character trait in Goethe's devil.<sup>134</sup>

Despite introducing Gretchen and the love tragedy to the Faust myth, and developing Mephisto's role to fulfil the requirements of the tragedy, *Urfaust* does not see any significant

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<sup>125</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 221.

<sup>126</sup> *Ibid.*, p. 229.

<sup>127</sup> *Ibid.*, p. 225.

<sup>128</sup> Peter Huber in Hans Schulte, John Noyes, Pia Kleber (eds.), *Goethe's Faust: Theatre of Modernity* (Cambridge: Cambridge University Press, 2011), p. 42.

<sup>129</sup> *Ibid.*

<sup>130</sup> *Ibid.*, p. 32.

<sup>131</sup> *Ibid.*, pp. 36–37.

<sup>132</sup> *Ibid.*, p. 38.

<sup>133</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 226.

<sup>134</sup> Rolf-Peter Janz in Hans Schulte, John Noyes, Pia Kleber (eds.), *Goethe's Faust: Theatre of Modernity* (Cambridge: Cambridge University Press, 2011), p. 38.

advancement of the Faust character. Like Marlowe's Doctor Faustus and the Faust of the puppet-plays, Goethe's Faust is a restless scholar who turns his back on the traditional methods of learning to embrace magic, summon spirits and ultimately, he ends up at the disposal of Mephisto<sup>135</sup> and condemned as Gretchen refuses to escape prison and join Faust and Mephisto. There is a pact between Faust and Mephisto in *Urfaust*, but Goethe has not attributed enough value to it to have it enacted on stage. This was not unusual among Goethe's German contemporaries as neither Paul Weidmann's *Johann Faust* (1775) nor Friedrich Müller's unfinished play (1776) presented a pact on stage.<sup>136</sup> This could be attributed to the fact that Goethe was taking his cue from Lessing, who had placed more importance on the protagonist's desire for knowledge than on any pact between Faust and the devil.<sup>137</sup>

1775 was not only the year Goethe completed his *Urfaust* but also the year he took up a position at the court of Carl August, Duke of Saxe-Weimar-Eisenach (1757–1828) in Weimar.<sup>138</sup> In the first ten years of his position there, personal issues, official duties and political wrangling prevented Goethe from returning to *Faust* as he had desired.<sup>139</sup> On 2 September 1786, Goethe signed a contract with G. J. Göschen (1752–1828) for an edition of his works, which would include *Faust*.<sup>140</sup> This was the motivation Goethe needed to return to *Faust*, although in a letter to Duke Carl August in December 1787, Goethe informed his employer that he would be working on *Faust* last as he felt the need to have everything else behind him first.<sup>141</sup> Goethe had already visited *Faust* in January 1787, writing a monologue

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<sup>135</sup> Alfred Hoelzel, 'Faust, The Plague, And Theodicy', *The German Quarterly*, Vol. 21, No. 1 (1979), p. 1.

<sup>136</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 220.

<sup>137</sup> *Ibid.*

<sup>138</sup> Martin Swales and Erika Swales, *Reading Goethe: A Critical Introduction to the Literary Work* (Suffolk: Camden House, 2002), p. 3.

<sup>139</sup> Siegfried Unseld, *Goethe and his Publishers* (Chicago: University of Chicago Press, 1996), p. 317.

<sup>140</sup> *Ibid.*

<sup>141</sup> *Ibid.*



where Faust dismisses the Earth Spirit which was later included in the 'A Forest Cavern' scene.<sup>142</sup>

In February 1788, Goethe wrote a letter to Carl August where he said he had nothing left to complete 'but the hill *Tasso*, and the mountain *Faustus*', which implied that Goethe was on the verge of reconceptualising the entire Faust myth.<sup>143</sup> There was a discrepancy within *Urfaust* that now needed to be addressed in *Faust. Ein Fragment*: how Faust came to be associated with Mephisto.<sup>144</sup> George Lukács argues that Goethe introduced a dialogue between Faust and Mephistopheles that posited the former as 'an individual whose experiences, destiny, and development are supposed to represent at the same time the progress and destiny of the whole species'.<sup>145</sup> Given the introduction of Gretchen into the myth and the enhancement of Mephisto's role, the most straight-forward change would have to come from within Faust. Goethe's solution was to change Faust from a scholar who wanted to be free of his moral responsibilities to a man who wanted to strive to achieve all possibilities available to humanity.<sup>146</sup> This created further problems for Goethe. In *Urfaust*, Mephisto appears from nowhere, and although this new complex gives Faust a reason to conjure Mephisto, it also prevents a pact between Faust and the devil from taking place. This plot direction also forced Goethe to write a 'Witch's' Kitchen' scene – which he wrote in the gardens of Villa Borghese – whereby Faust and Mephisto fulfil their agreement by having Faust take a potion that will rejuvenate him by 30 years, making a relationship with Gretchen a realistic possibility.<sup>147</sup> The potion also sets Faust on a quest for the feminine ideal, where neither Gretchen nor Helena will live up to the feminine ideal.<sup>148</sup>

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<sup>142</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 457.

<sup>143</sup> *Ibid.*, p. 523.

<sup>144</sup> *Ibid.*

<sup>145</sup> George Lukács, *Goethe and the Age*, p. 175.

<sup>146</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 525.

<sup>147</sup> *Ibid.*, p. 527.

<sup>148</sup> *Ibid.*, p. 528.

In a letter to Carl August dated 1 March 1788, Goethe appears enthusiastic about his work on *Faust*, but less than a month later, another letter reveals he has given up on *Faust* with the intention to return to the work upon his return to Weimar the following winter.<sup>149</sup> That does not come to pass and in January 1790, Goethe sends *Faust. Ein Fragment* to the publisher, Göschen.<sup>150</sup> According to Eudo C. Mason, *Faust. Ein Fragment* was poorly received by audiences to begin with.<sup>151</sup> This was primarily down to the fragmentary state of the work: there was no clear form or coherency, and it was deemed immoral and pessimistic.<sup>152</sup> In addition to this, the Gretchen tragedy failed to make any significant impact on the audience as Goethe did not publish the final three scenes of his *Faust*.<sup>153</sup> Goethe's reason to publish *Faust. Ein Fragment* is unclear: it could have been the mere fulfilment of his obligation to Göschen or an attempt to appease the public's desire for the myth, or it could have been published by Goethe in the belief that it would be the final instalment of *Faust*.<sup>154</sup> This is the most likely explanation – as John R. Williams notes, *Faust. Ein Fragment* was a product of the *Sturm und Drang* period which had exhausted itself by 1790<sup>155</sup> – and Goethe would have known that *Faust* would need to be reconceptualised should he devote more time to it. It may have been the interest in the drama shown by Goethe's new friend, Friedrich Schiller that persuaded him to continue the *Faust* journey. Schiller requested to see the scenes that had not been printed.<sup>156</sup> Goethe initially refused to relinquish them, informing his friend that he could not bear to gather the material together, but a letter from Wilhelm von Humboldt (1767–1835) to Schiller on 17 July 1795 – which sadly has not survived – suggested that von Humboldt had either been given Goethe's detailed plans for *Faust* or had

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<sup>149</sup> Siegfried Unseld, *Goethe and his Publishers*, p. 318.

<sup>150</sup> *Ibid.*, p. 319.

<sup>151</sup> Eudo C. Mason, *Goethe's Faust: Its Genesis and Purport* (Berkeley: University of California Press, 1967), p. 261.

<sup>152</sup> *Ibid.*, p. 261.

<sup>153</sup> *Ibid.*

<sup>154</sup> John R. Williams, *The Life of Goethe* (Oxford: Blackwell, 1998), p. 189.

<sup>155</sup> *Ibid.*

<sup>156</sup> Eudo C. Mason, *Goethe's Faust: Its Genesis and Purport*, p. 261.

been told them.<sup>157</sup> Given the scepticism von Humboldt had over the plans, it is likely that Goethe had indicated some of the ideas he had for *Faust II* to Schiller.

### 1.7 Goethe's *Faust I*

Approaching 50, Goethe initiated a third attempt at completing *Faust* in June 1797.<sup>158</sup> Circumstances were more favourable on this occasion as Goethe had received clarity over his public role and had completed all of the major projects he had set himself.<sup>159</sup> All Goethe had to worry about on this occasion was the weight of national expectation following *Faust. Ein Fragment*, and treating the Christian themes and the metaphysical subject with the necessary care.<sup>160</sup>

The opening three scenes of *Faust I* are all new additions to the myth: 'Dedication', 'Prelude' and 'Prologue in Heaven'. As discussed previously in this chapter, the 'Prologue in Heaven' is significant as it introduces a wager between the Lord and Mephisto (Satan) as well as setting up the expectancy that Faust will achieve salvation, regardless of his actions in the play. In fact, you could argue that Faust achieves salvation in the very next scene, 'Night'. In what was previously known as the 'great lacuna', Goethe presents Faust's own tragedy in a series of scenes, beginning with his monologue in his study. Faust has mastered a number of scholarly disciplines, yet is dissatisfied and has turned to magic in an attempt to acquire knowledge. Having summoned Nostradamus, made the sign of the Macrocosm and conjured the Earth Spirit, Faust continues to feel worthless and attempts to drink a poison vial, before being saved by the church bells, which remind him of his childhood growing up as a Christian. It is also worth noting that the love tragedy that was introduced via Gretchen in *Urfaust* was brought about through the misalliance of Faust and Gretchen and although it

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<sup>157</sup> Ibid., p. 262.

<sup>158</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume II*, p. 505.

<sup>159</sup> Ibid., p. 496.

<sup>160</sup> Ibid.

remains the same in *Faust I*, Faust's despair enables him to become a more active participant in his own downfall, and that of Gretchen. Faust's inner turmoil renders him a figure of modernity and a 'fitting icon for the new age of sensitivity' that would later transform into Romanticism.<sup>161</sup>

Goethe assigns additional responsibility to Mephisto with every instalment of Goethe's *Faust*. Mephisto progressed from working under Lucifer in *Urfaust*, to becoming the devil in *Ein Fragment* to becoming the Lord's opposite and equal in *Faust I*. Durrani correctly asserts that Mephisto's authority is increased by Goethe as it is necessary in establishing the pact between Faust and Mephisto as kingpin to the drama.<sup>162</sup> Mephisto introduces himself to Faust by hiding behind the guise of a poodle, which is reminiscent of Cornelius of Agrippa, whose dog was often thought to be an evil spirit. The pact is signed in Faust's blood and the signing takes place in the second of the two scenes in Faust's study. The conditions of the pact are seemingly simple – if Faust is ever satisfied or content to the point where he asks to remain still, Mephisto will be entitled to his soul. Faust wishes to prove that he can never be content as he is constantly striving.

Rolf-Peter Janz believes Mephisto's role in *Faust I* is to act as Faust's counterpart and alter ego, nourishing and provoking evil while seducing Faust with pleasures to satisfy his thirst for knowledge.<sup>163</sup> Since Mephisto was little more than Faust's malicious companion in both *Urfaust* and *Ein Fragment*, certain scenes will take on new meaning now that Mephisto is in a more menacing role. 'Auerbachs Keller' is a case in point – in *Urfaust*, it is Faust that is mischievous but in *Ein Fragment*, Mephisto is assigned the role of merryman.<sup>164</sup> It is important to note that in *Faust I*, the 'Auerbachs Keller' scene follows the scenes in Faust's study where Faust has appeared vulnerable. Therefore, instead of interpreting the scene in

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<sup>161</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 100.

<sup>162</sup> *Ibid.*, p. 102.

<sup>163</sup> Rolf-Peter Janz in Hans Schulte, John Noyes, Pia Kleber (eds.), *Goethe's Faust: Theatre of Modernity*, pp. 33–34.

<sup>164</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 528.

'Auerbachs Keller' as Mephisto's show of supernatural strength, we could interpret it as Faust realising that magic is not a solution to his problems. In the following scene, however, Faust drinks Mephisto's magic potion which rejuvenates the scholar by 30 years. Therefore, this could be interpreted as Faust showing his weakness or showing the trust he has in Mephisto and the pact. In either case, the contextualisation of that scene in 'Auerbachs Keller' has portrayed Faust as a weaker individual than he was in *Urfaust* and *Faust. Ein Fragment* and for a poet of Goethe's calibre, this would have been intentional.

Taking the above into consideration, Goethe's decision to rewrite 'Night. A Street Outside Gretchen's Door' for the purpose of *Faust I* is interesting. A. B. Faust has argued that Goethe made a number of changes to *Faust I* with the sole purpose of improving it as a spectacle on stage.<sup>165</sup> He argues that the idea behind the rewriting of the material that followed Valentin's soliloquy was to create a duel between Gretchen's brother Valentin and Faust on stage. In truth, it is Mephisto who is engaged in combat with Valentin. He does ask Faust to strike down Valentin during the battle, but it is not clear whether Mephisto or Faust delivered the fatal blow. This author believes Goethe decided to rewrite this particular scene in order to have a *bona fide* example of Mephisto asserting his superiority over Faust by engaging in battle and ordering Faust to end the skirmish.

Matthew Bell claims this is the first Faust story to portray Faust as a once believing Christian.<sup>166</sup> Not only does Faust's memory of the church bells prevent him from committing suicide, but in the 'Outside the Town Wall' scene, Faust reflects on time spent with his father when he used to believe in heaven (ll. 1022–33). Goethe would have known that he was breaking the tradition of the Faust myth by including this passage; therefore there must be a dedicated reason – or reasons – for doing so. One possible theory is that for as long as Faust

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<sup>165</sup> A. B. Faust, 'Concerning the Changes in the Completed Part I (1808) as Compared with the Earlier Versions of Goethe's Faust', *The Journal of English and Germanic Philology*, Vol. 38, No. 2 (1939), p. 252.

<sup>166</sup> Matthew Bell in Nicholas Boyle and John Guthrie, *Goethe and the English-Speaking World: Essays from the Cambridge Symposium* (New York: Camden House, 2012), p. 72.

has ever had a religious faith, there is hope for a relationship with Gretchen. It is not until Faust rejects Christianity in the 'Garden' scene that it becomes clear to the audience that the relationship is destined to fail, and even then, neither Faust nor Gretchen are entirely aware of the fact that their worlds collide. Faust should be as he strives and although he claims to do it for enjoyment, he is never satisfied, and therefore he cannot be content with Gretchen.<sup>167</sup> It is Faust's failure to admit to the incompatibility of their worlds that brings about Gretchen's tragedy.<sup>168</sup> A second theory is that Goethe knew years prior to the publication of *Faust I* in 1808 that there would be a second volume. As Boyle notes, Goethe must have become aware of this fact between September 1799 and March 1800. It is therefore possible that Goethe did not want to definitively rule out the possibility of a relationship taking place beyond *Faust I* and into *Faust II*. Gretchen's eternal farewell to Faust was omitted, and Gretchen was redeemed, which leaves the possibility of a reunion open.<sup>169</sup>

The Gretchen tragedy is ever-present in Goethe's editions of *Faust*, but Goethe revises the tragedy between *Urfaust* and *Faust I* with the aim of connecting the Gretchen tragedy he had introduced to the myth more closely to the Faust legend. Goethe achieved this by making *Faust I* a series of plays-within-the-play with the Gretchen tragedy as its most significant episode in a drama which now revolved around the relationship between Faust and Mephistopheles as opposed to the relationship between Faust and Gretchen as was the case in *Urfaust*.<sup>170</sup> Boyle argues that the Gretchen tragedy would have sat uncomfortably with Goethe at the time of writing *Faust. Ein Fragment* as there would have been too much Christianity and tragedy in the drama for his own liking, and that would have influenced his decision to make the Gretchen tragedy less prominent.<sup>171</sup> The Gretchen tragedy, as presented

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<sup>167</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume II*, p. 685.

<sup>168</sup> Ibid.

<sup>169</sup> Ibid., p. 682.

<sup>170</sup> Jane K. Brown in Lesley Sharpe (ed.), *The Cambridge Companion to Goethe* (Cambridge: Cambridge University Press, 2002), p. 97.

<sup>171</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 527.

in *Urfaust*, was a product of the *Sturm und Drang* period where tragedies were often presented as class conflicts.<sup>172</sup> The Gretchen tragedy portrays the moral conflict between the low-to-middle class of which Gretchen belongs to, and the ruling class that Faust the academic represents. Goethe moved *Faust* beyond an archetypal *Sturm und Drang* tragedy into 'the culmination of the eighteenth-century love tradition and the great tragic love story of the nineteenth-century' with key innovations.<sup>173</sup> Goethe has Gretchen assume the role of the 'Eternal Feminine' to aid Faust's moral and spiritual development – she enables Faust to strive but ultimately perishes so he can be redeemed in *Faust II*.<sup>174</sup> There is the addition of a final line to *Faust I* for Gretchen which makes her salvation explicit – Goethe makes his moral stance clear in the 1808 publication, whereas *Urfaust* was open to interpretation regarding Gretchen's fate. The Gretchen tragedy as presented in *Faust I* functions as a commentary on the social conditions of late-eighteenth and early-nineteenth-century Germany. In having Gretchen condemned to hell by Mephisto before ascending into heaven following the words of a voice from above, Goethe is rejecting the social conditions that enable someone of Gretchen's character to be condemned.<sup>175</sup>

The inspiration behind the character of Gretchen and the tragedy as a whole is widely-regarded to have been the real life case of Susanna Margaretha Brandt, who was executed for infanticide in January 1772 and had been in imprisonment close to Goethe's residence in Frankfurt.<sup>176</sup> The evidence to suggest Goethe's Gretchen is based on Brandt goes beyond the obvious similarities of their names and their respective fates: both Gretchen and Brandt have soldiers who are brothers and both also attribute their seduction to the work of the devil.<sup>177</sup> As for the relationship between Faust and Gretchen, a precedent for the mythical Faust falling

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<sup>172</sup> Lorna Fitzimmons (ed.), *Lives of Faust: The Faust Theme in Literature and Music*, p. 165.

<sup>173</sup> Jane K. Brown, *Goethe's Faust: The German Tragedy* (New York: Cornell University Press, 1986), p. 97.

<sup>174</sup> Daniel Farrelly (ed.), *Goethe in East Germany 1949–1989: Toward a History of Goethe Reception* (Columbia: Camden House, 1998), p. 93.

<sup>175</sup> *Ibid.*

<sup>176</sup> David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, xix.

<sup>177</sup> *Ibid.*

in love with a girl from the lower class had been set in Johann Nikolaus Pfitzer's *Faust* (1674).<sup>178</sup> Goethe's own brief affair and failed relationship with Friederike Brion, however, may have been the catalyst behind the formation of the Gretchen character and the establishment of a relationship with Faust.

Klaus L. Berghahn notes that the Faust scenes and the Gretchen scenes are bridged in *Faust I* by 'A Witch's Kitchen' scene which concludes with Mephisto proclaiming that the elixir which has made Faust thirty years younger will cause him to see the aesthetic ideal of feminine beauty – the equivalent of Helena – in every woman he encounters.<sup>179</sup> The following scene, 'A Street' begins with Faust encountering Gretchen and he is immediately enamoured by her. Mephisto had intended for the potion to be another step in the fulfilment of the pact by granting Faust more of what he desired in life, but Mephisto miscalculates and fails to foresee the possibility that Faust could fall in love.<sup>180</sup> Mephisto's error of judgement becomes a source of tension between the pair. This rises to a head in 'A Forest Cavern' which functions in *Faust I* as a means of bridging Faust's own tragedy to the tragedy of Gretchen. In this scene, Faust questions the pact with Mephisto and confesses regret. He affirms his love for Gretchen in an address to the Earth spirit and Mephisto exploits this weakness later in the scene, manipulating Faust by using Faust's love for Gretchen to repair the breakdown in the relationship between himself and Faust and keep the pact intact. This scene is a turning point in *Faust I* as at the beginning of the scene, Faust's love for Gretchen leads him to regret his alliance with the devil; yet by the end of the scene, his love for Gretchen leads him to commit to the pact with Mephisto. Up until now, Gretchen has been subordinate to the relationship between Faust and Mephisto but from this moment onwards, the Gretchen tragedy comes to the fore, beginning with Gretchen's soliloquy at her spinning-wheel.

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<sup>178</sup> Lorna Fitzimmons (ed.), *Lives of Faust: The Faust Theme in Literature and Music*, p. 165.

<sup>179</sup> *Ibid.*, p. 166.

<sup>180</sup> *Ibid.*



As Gretchen soliloquizes at her spinning-wheel, it becomes clear that the restraints imposed upon her by the norms of Christian society hinder her ability to express her emotions. Martin Swales notes that Gretchen's domesticity prevents her from being a natural or convincing soliloquiser on stage unless her hands are kept occupied, as evinced by the use of the spinning-wheel and the arranging of flowers in her Prayer to the Virgin.<sup>181</sup> According to Barbara Becker-Cantarino, Gretchen is a dramatic figure who only finds her subjective voice in song or prayer as she struggles to be articulate or rational with her speech.<sup>182</sup> Gretchen had already been presented to the audience in 'A Garden' as a woman destined to remain within the confines of domesticity in her Christian life. The conflict between Faust and Gretchen's opposing worlds emerges in 'Martha's Garden' as Gretchen questions Faust on his religious beliefs and states her disdain for his association with Mephisto. Faust stops short of denying his belief in God and the dialogue between them suggests that Gretchen has elevated Faust onto a higher moral plane. Gretchen allows Faust to strive and Faust's endless striving causes him to desire more than Gretchen and covet Helena. Goethe's decision to grant Gretchen salvation in *Faust I* is final in the context of *Faust I* but remains open to development, knowing that Goethe had *Faust II* in mind.<sup>183</sup>

### **1.8 Goethe's *Faust II***

Boyle describes *Faust II* as 'another picture in a diptych' – a parallel to *Faust I* as opposed to a sequel, in lieu of repetition and an absence of continuation.<sup>184</sup> Indeed, Goethe had considered the relationship between Faust and Helena to be an improvement on the Gretchen tragedy, which he described as 'that earlier relationship which came to grief in the chaos of misunderstood learning, middle-class narrow-mindedness, moral disorder and superstitious

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<sup>181</sup> Paul Bishop (ed.), *A Companion to Goethe's Faust* (Rochester: Camden House, 2001), p. 44.

<sup>182</sup> Barbara Becker-Cantarino in Thomas P. Saine and Ellis Dye (eds.), *Goethe Yearbook Volume 7* (Columbia: Camden House, 1994), p. 10.

<sup>183</sup> Nicholas Boyle, *Goethe: Faust Part One*, p. 114.

<sup>184</sup> *Ibid.*

delusions'.<sup>185</sup> *Faust II* is a culmination of ideas that Goethe had in his mind throughout his writing life.<sup>186</sup> The earliest fragments and sketches of *Faust II* date back to c1800 with a narrative sketch of Act I, III and IV coming to light in 1816.<sup>187</sup> Goethe resumed work on *Faust II* on a significant scale in 1825 – though he did not work on it continuously – and the principal motivation was his desire to publish a final collected edition of his works, referred to as the *Ausgabe letzter Hand* (ALH).<sup>188</sup> Goethe completed *Faust II* in 22 July 1831 but insisted that the work should not be published in full until after his death.<sup>189</sup> He published Act III – known as the 'Helena' act – in Volume IV of ALH in April 1827 under the title 'Helena: a classical-romantic phantasmagoria. Intermezzo for *Faust*', and three-and-a-half scenes of Act I appeared alongside *Faust I* in Volume XII of the ALH.<sup>190</sup>

Jane Brown describes limitation as being the essence of Gretchen's being in *Faust I*, in terms of both class and religion.<sup>191</sup> Gretchen's salvation in the 'Prison' scene of *Faust I* frees Faust from the imprisonment that is the confines of Gretchen and love; in *Faust II* he is able to pursue Helena in the search for perfect beauty. Brown argues that both the principles of love and striving combine to enable love to bring about rebirth into the world, which is as desirable as ascension into heaven.<sup>192</sup> Faust's rebirth is confirmed in the prologue of *Faust II* as Faust wakes from his sleep in the surroundings of nature with which he is at peace to remark on 'how strong and pure the pulse of life is beating'.<sup>193</sup>

Despite his rebirth, Faust continues to experience life as he did in *Faust I*. The pact between Faust and Mephisto continues to be fulfilled throughout *Faust II* and as in *Faust I*, the fulfilment of the pact continues in accordance with versions of the myth that pre-date

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<sup>185</sup> David Luke in Johann Wolfgang von Goethe, *Faust. Part Two* trans. David Luke (Oxford: Oxford University Press, 2008), xii.

<sup>186</sup> William Grange (ed.), *Historical Dictionary of German Theater* (Maryland: Scarecrow Press, 2006), p. 135.

<sup>187</sup> David Luke in Johann Wolfgang von Goethe, *Faust. Part Two* trans. David Luke, xi.

<sup>188</sup> *Ibid.*

<sup>189</sup> *Ibid.*, xii.

<sup>190</sup> *Ibid.*, xi–xii.

<sup>191</sup> Jane K. Brown, *Goethe's Faust: The German Tragedy*, p. 99.

<sup>192</sup> *Ibid.*, pp. 102–103.

<sup>193</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part Two* trans. David Luke, p. 5.

Goethe; Faust visits an emperor, encounters Helena in the form of a ghost and becomes a wealthy landowner.<sup>194</sup> Similarly, Faust's pursuit of Helena is reminiscent of his pursuit of Gretchen with Boyle commenting on the similarity between the moment Faust holds Helena's hand and the moment he holds Gretchen's hand in the summer house – and on both occasions, Mephisto interrupts to remind Faust of their pact.<sup>195</sup> The theme of redemption is also prevalent in the final scene of Goethe's *Faust II* as the protagonist is redeemed through Gretchen in the manifestation of the Eternal Feminine. In the same way that Gretchen's love leads her to salvation, her love for Faust redeems him into the divine realm, which both puts an end to and endorses Faust's striving. Goethe's journey with *Faust* ends with the Chorus Mysticus illustrating the role of the Eternal Feminine in Faust's endless striving – a final commentary on the two *Hauptthema* of Goethe's *Faust*.

### **1.9 Conclusion: The progression of *Faust* across the centuries**

Central to our understanding of the lasting impact Goethe's *Faust* has had on the Lied is our interpretation of the myth's standing within the literary tradition to which it belongs. *Faust* is innovative in the way in which Goethe draws on, plays upon and strays from Christian accounts associated with the legend and subsequent versions of the myth made popular by the poet's predecessors – not all of which nor whom would have been familiar to Goethe. The oldest source material for Goethe's *Faust* is the Old Testament as the Faustian pact is a motif that can be traced back to the wager between the devil and Job. Goethe's wager is of significance as it breaks from a long literary tradition of having good prevail over evil – a trend instigated by the biblical bet which continued into the Chapbook and Marlowe's *Doctor Faustus* – by having Faust redeemed; an idea also found in the Book of Job. Although there are obvious parallels between Goethe's *Faust* and the Job narrative, there are more relevant

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<sup>194</sup> Nicholas Boyle, *Goethe: Faust Part One*, p. 115.

<sup>195</sup> *Ibid.*

Christian figures that served as inspiration for both the character Faust and key elements of Goethe's drama. Simon Magus – a scholarly magician in the bible – was acknowledged in *Historia von D. Johann Fausten*, and Helena in *Faust II* is a nod to Simon Magus' consort Helen. Cyprian of Antioch – an academic who enters into a pact with the devil – uses magic in an attempt to woo Justina in a manner which brings to mind Mephisto's attempts to corrupt Gretchen as well as the Goethean love tragedy. There is, however, a major difference between Faust and Cyprian; Goethe's protagonist rejects Christianity while the latter renounces paganism in pursuit of God. A third and most influential Christian figure on Goethe's rendition of the myth is Theophilus of Adana whose fate aligns with Goethe's *Faust* in a multitude of ways: they both relinquish their faith, they enter into a pact signed in blood where they are to be of assistance to the devil and be assisted by the devil, and they are ultimately saved.

Theophilus of Adana's biography was readily available in the sixteenth-century and it is representative of Faust's transformation from word-of-mouth legend to prominent literary figure. Certain conditions had to be in place for Goethe to successfully realise his ambition of combining the sixteenth-century theme of the supernatural with his vision for the love tragedy, building on the *Bürgerliches Trauerspiel* which was a common topic among *Sturm und Drang* authors. Luther's documentation of a corporeal devil provoked fear in the sixteenth-century German public and encouraged the production of literature on the matter, which brought the subject into mainstream consciousness. Marlowe's *Doctor Faustus* was another important precursor to *Faust* as it was the portrayal with which Goethe would have been familiar through his knowledge of the myth from the puppet-play tradition. It is a combination of P. F. Gent's English edition of the chapbook and Marlowe's *Doctor Faustus* that advocates the idea of Faust as a scholar. Marlowe's Faustus rejects scholarly endeavours on the basis that it hindered the pursuit of knowledge – this is a theme Goethe builds upon

with the *Hauptthema* of constant striving, which the poet endorses in *Faust I*, contrary to Marlowe who condemns his protagonist to hell. The emergence of farces in eighteenth-century Germany, however, meant that resistance towards Marlowe's play had to be overcome. In this regard, Lessing's aim to establish a literary model centred on the promotion of traditional German motifs – and his failure to realise his own *Faust* – was essential in providing a platform on which Goethe could instil *Faust* as a heroic figure in German literature.

Goethe wished to incorporate a love tragedy into the *Faust* myth through Gretchen, who was informed by Goethe's own experiences. Love tragedies were popular in the eighteenth-century and infanticide was a prevalent theme in *Sturm und Drang* literature. Goethe introduced Gretchen in *Urfaust*, initiating Mephisto as an intermediate in the class conflict which exists between Faust and Gretchen. Goethe, however, fails to provide a satisfactory explanation as to how Faust and Mephisto became acquainted, forcing the poet to make other dramatic considerations. An attempt to explain the foundation of their relationship in *Faust. Ein Fragment* led the Faustian pact to be jettisoned before the bargain was revived – and made the focus of the tragedy – in *Faust I*. The pact exists to enable Faust's striving and Gretchen is now represented as the Eternal Feminine to advocate Faust's unrelenting pursuit of knowledge. Gretchen's death redeems Faust, allowing his striving to continue into *Faust II* where it is once again endorsed via redemption. The irony is that Faust's striving is his downfall for he is unaware that he experiences love.

The *Faust* myth was an undertaking which occupied Goethe on and off for a period of almost sixty years – it is in this regard that the *Lied* is highly significant.

## Chapter 2

### Goethe's *Faust* and music: A survey of *Faust* realisations by canonical composers

#### 2.1 Introduction

This chapter proceeds to contextualise song in the 1830s within the Lieder tradition and *Faust* in music, having contextualised the *Faust* settings of Wagner and his contemporaries within the literary tradition of the Faust myth in the previous chapter. The musical significance and resonance of *Faust* has not been documented to the extent that it deserves and while this dissertation is concerned first and foremost with the cultural context of song in the intervening period between Schubert and Schumann, it is necessary to take a broader view of the contribution *Faust* has made to music to challenge the perception that the 1830s was a lull period for the Lied. Seminal *Faust* compositions have been identified in this chapter and are approached in terms of the purport they have had on the development of the Lied. As these *Faust* works are by canonical composers – if not canonical works in their own right – there is already a significant body of research on many of these compositions. This chapter intends to redress the balance regarding the impact of *Faust* on the Lied in light of its neglect. With reference to extant literature, summaries on the reception history of each of these *Faust* compositions and the contribution made to *Faust* and the Lied are afforded, while original insights are provided into the way in which the text is set to music in these settings with the overarching ambition of advancing our understanding of the relationship between Goethe's *Faust* and song.

As Goethe was an active participant in the evolution of song, the chapter begins by discussing his collaborative efforts with composers before proceeding to Beethoven and Schubert's *Faust* settings. Demonstrating that the teleological path from Schubert to

Schumann and eventually to Wolf is not straight-forward, the discourse shifts to *Faust* as it pertains to other contexts – Schumann and the oratorio, Mahler, Liszt and the symphony, Berlioz and *Faust* in translation and finally, *Faust* in opera – illustrating the profound influence Goethe had on *Faust* and music.

Hugo Wolf's post-Wagnerian song 'Gretchen vor dem Andachtsbild der Mater Dolorosa' (1878) is a landmark setting in the history of *Faust* and the Lied. It merits inclusion in this survey of influential *Faust* compositions on that basis alone, however, it has been afforded specific attention in this chapter on account of its neglected status in musicology. Despite being unconnected to the time period under consideration in later chapters, in an attempt to reappraise and recover the song – and in keeping with the motivations of this thesis – the setting is examined in significant depth with the analysis focused on how music relates to text in the setting.

## **2.2 Early *Faust* settings of the Second Berlin Liederschule**

Goethe's literary works were being set to music as early as the 1770s and it was not long after the completion of *Urfaust* that *Faust* song settings began to emerge.<sup>196</sup> The first known musical setting of the text is 'Der König in Thule' (1782) by Carl Siegmund von Seckendorff (1744–1785). Seckendorff was appointed chamberlain and steward at the court of Anna Amalia of Saxe-Weimar-Eisenach in 1775 and it was there that he began to collaborate with Goethe, having been introduced to the poet through the duchess.<sup>197</sup> His setting of 'Der König in Thule' appeared in Goethe's *Liederbuch* manuscript of 1777–78 along with another twelve musical settings based on Goethe's work in general.<sup>198</sup> This began the trend of setting Goethe's *Faust* to music and more specifically, as song. The publication of *Faust. Ein*

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<sup>196</sup> Philip Weller, 'Goethe, Johann Wolfgang von' <http://oxfordmusiconline.com> [Accessed 24 May 2013]

<sup>197</sup> G. Kraft and Thomas Bauman, 'Seckendorff, Karl Siegmund, Freiherr von' <http://oxfordmusiconline.com> [Accessed 24 May 2013]

<sup>198</sup> Ibid.

*Fragment* in 1790 inspired further *Faust* settings with Carl Eberwein (1786–1868) and Prince Anton Radziwill (1775–1833) commencing work a year later on compositions for the stage.<sup>199</sup> Many of the early *Faust* songs came from composers who collaborated with Goethe in setting his poetry to music. One such Goethe enthusiast was Johann Friedrich Reichardt (1752–1814) who composed a total of 1500 song settings from 125 different poets in his compositional career, with 128 of these settings featuring in the first complete edition of Reichardt's Goethe works.<sup>200</sup> Goethe was attracted to the song style of the Second Berlin Lieder School to which Reichardt and Carl Friedrich Zelter (1758–1832) belonged and his collaboration with both composers promulgated the Second Berlin Lieder School which in turn laid foundations for the genre of the Lied, Goethe settings and *Faust* compositions. Goethe believed that Reichardt was the first composer to bring his lyrical works to the attention of the general public via music and the poet states that he did so in a 'serious and steady manner'.<sup>201</sup> From *Faust I*, Reichardt set 'Der König in Thule' from the 'Evening' scene and an unusual declamatory song, 'Gott', taken from the 'Martha's Garden' scene with Reichardt setting Faust's response to Gretchen's questioning of his beliefs to music. This setting features in a collection of Reichardt's Goethe settings published in four volumes by Breitkopf und Härtel in 1809–1811 under the title, *Göthe's Lieder, Oden, Balladen und Romanzen*. Discussing Reichardt's interest in declamatory song, Marjorie Wing Hirsch states that the free rhythms of Goethe and Schiller's poetry influenced Reichardt's song aesthetic and therefore it is no coincidence that his final song collections are dedicated to the respective poets.<sup>202</sup> Hirsch argues that Reichardt's experience with melodrama may have inspired these declamatory settings and that these songs demonstrate the composer's desire to

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<sup>199</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 252.

<sup>200</sup> E. Eugene Helm and Günter Hartung, 'Reichardt, Johann Friedrich', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 24 May 2013]

<sup>201</sup> *Ibid.*

<sup>202</sup> Marjorie Wing Hirsch, *Schubert's Dramatic Lieder*, p. 23.



find the most suitable method of unifying text and music.<sup>203</sup> 'Gott' exhibits both declamatory and lyrical passages, which is typical of Reichardt's declamatory settings. Speech-like rhythms are underscored with an accompaniment which exists primarily to provide harmonic support; however, there is an internal section to this setting that conveys Faust's response to Gretchen's question. Faust does not want to lie to Gretchen and pretend that he believes in God, but neither does he want to come clean about his beliefs for fear of a breakdown in their relationship. The declamatory passages coincide with Faust asking Gretchen rhetorical questions as a means of evading the question at heart, but the internal section of the chosen poetic text sees Faust utter a series of rather unclear thoughts. Reichardt portrays the expression of these thoughts through a highly expressive vocal line with frequent melodic leaps, the most significant of which is the interval of an octave and a third. The vocal line could be interpreted as Reichardt's portrayal of Faust's attempt to mislead Gretchen with his answer – the exaggerated expressive quality of the vocal melody makes Faust's train of thought difficult to follow. This section also features a sudden and startling change in accompaniment texture. Rushing arpeggiated semiquavers give the setting a nervous energy and suggests Faust's concern for how his response will be received by Gretchen. Reichardt's heightening of this rhythmic tension through the use of rising hemidemisemiquavers to conclude the Lied is a further suggestion of nervous anticipation. This setting, therefore, moves to and from a declamatory style to convey changes in the pattern of Faust's speech and exemplifies an evolution in Reichardt's compositional practice. Reichardt was fond of simple strophic settings in a declamatory style but he attempted through-composed settings in his later years.<sup>204</sup>

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<sup>203</sup> Ibid.

<sup>204</sup> Ibid.

Zelter's contribution to the Lied is 210 solo Lieder, 75 of which are based on Goethe's poetry and two from *Faust I*.<sup>205</sup> Central to our understanding of Zelter's contribution to the Lied and both Zelter and Goethe's musical perception of *Faust* is an extensive correspondence with Goethe totalling 900 letters, beginning in 1799 and ending in 1832 following the death of Goethe.<sup>206</sup> Lorraine Byrne Bodley confirms that Zelter was the musical collaborator Goethe had been seeking – an opinion that was expressed by Philipp Christoph Kayser (1755–1823) and Reichardt.<sup>207</sup> Goethe was interested in music and musical realisations of his work, including *Faust*, but due to a late start in taking up an instrument, he keenly sought for music to be performed for him.<sup>208</sup> Goethe and Zelter's correspondence reveals discussions on Zelter's Goethe settings and the development of the Lied in general. In relation to Goethe's settings and *Faust*, it is apparent from Zelter's letters that he appreciated Goethe's poetry and strove to convey the poet's intentions. In a letter to Goethe dated 18 February 1816, Zelter informs the poet of his role as director in the rehearsals of Prince Radziwill's *Faust* and he assures the poet that it will be portrayed with 'as much dignity and clarity as is possible'.<sup>209</sup> Lorraine Byrne Bodley notes, however, that Goethe recognised limitations in Zelter's ability (and on his time) to compose a large-scale setting and deemed him unsuitable for an operatic realisation of *Faust*.<sup>210</sup>

In a letter to Carl Loewe, dated 10 January 1824, Zelter outlines some of his principles in song writing; Zelter states that music is subservient to the text, that strophic settings should be preferred to through-composition and that the melody must be able to exist without accompaniment and that the accompaniment should be written with this principle in

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<sup>205</sup> Hans Günter-Ottenberg, 'Zelter, Carl Friedrich' <http://oxfordmusiconline.com> [Accessed 24 May 2013]

<sup>206</sup> Ibid.

<sup>207</sup> Lorraine Byrne Bodley, *Goethe and Zelter: Musical Dialogues* (Surrey: Ashgate, 2009), p. 26.

<sup>208</sup> Lorraine Byrne Bodley, *Goethe: Musical Poet, Musical Catalyst* (Dublin: Carysfort Press, 2004), pp. 41–43.

<sup>209</sup> Lorraine Byrne Bodley, *Goethe and Zelter: Musical Dialogues*, p. 27.

<sup>210</sup> Lorraine Byrne Bodley, *Goethe: Musical Poet, Musical Catalyst*, p. 64.

mind.<sup>211</sup> Zelter's 1812 setting of 'Der König in Thule' is a prime example of his Lied aesthetic, albeit an unusual and extreme illustration. 'Der König in Thule' is an expression of Gretchen's naïvety; she recalls the ballad of the king of the mythical 'Thule' while undressing for bed following her first encounter with Faust. The text depicts the king's fidelity to his wife as he holds dear her gift to him of a golden goblet, which ultimately fails to endure for as long as his love for her. It is a narrative a young Gretchen finds relatable. In simple strophic form and 6/4 time, Zelter alludes to the antiquity of 'Thule' by setting the ballad in the Aeolian mode. The simplicity of Zelter's vocal line in its Aeolian context captures the essence of Gretchen's being, conveying her innocence while foreshadowing her tragedy. Furthermore, the simplicity of the entirely chordal accompaniment – of which the left-hand merely doubles the melodic line – allows Goethe's poetry to speak for itself, portraying Gretchen's reminiscence in a way that seems wholly natural. John Reed has noted the rhythmic simplicity of 'Der König in Thule' in addition to Zelter's melodic restraint.<sup>212</sup> While the rhythm is undeniably straight-forward, Zelter's placement of durational accents on the strong stresses of the poetic text is highly effective, instilling an enduring quality to the vocal melody which arrests attention to Gretchen's reminiscence.

'Margarethe' is one of Zelter's few attempts at dramatic song.<sup>213</sup> It is in through-composed form as necessitated by Goethe's irregular stanza length, however, there are hints of strophic form present in the Lied which shows Zelter's overwhelming desire for simplicity.<sup>214</sup> The six-bar piano introduction features ascending melodic movement in the accompaniment which stutters midway through the introduction before gathering pace again and this is suggestive of Gretchen initiating the spinning-wheel. The accompaniment has an important dramatic function throughout. Arpeggiated triads set to a semiquaver rhythm

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<sup>211</sup> Hans Günter-Ottenberg, 'Zelter, Carl Friedrich' [Accessed 24 May 2013]

<sup>212</sup> John Reed, *The Schubert Song Companion* (Manchester: Manchester University Press, 1997), p. 114.

<sup>213</sup> Marjorie Hirsch, *Schubert's Dramatic Lieder*, p. 25.

<sup>214</sup> *Ibid.*

convey a sense of motion as the accompaniment subtly portrays Gretchen's agitated persona and symbol of the spinning-wheel. The simplicity of Zelter's song can be seen in the way he employs the accompaniment to convey dramatic tension. To depict stanza seven, which contains the most dramatic moment in Goethe's poetry as Gretchen recalls Faust's kiss, Zelter sets the running semiquaver idea to a triplet rhythm. This change in rhythm accelerates Gretchen towards the kiss, making the melodic climax more memorable and Zelter places a fermata at the end of the stanza to allow Gretchen to linger on the memory of this kiss (see Example 2.1).

**Example 2.1: Zelter, 'Margarethe', bars 71–73**

The image shows a musical score for three staves. The top staff is the vocal line in treble clef, with a key signature of three flats and a 3/8 time signature. It contains the lyrics "ach! sein Kuß" with a fermata over the final note. The middle and bottom staves are the piano accompaniment, with the middle staff in treble clef and the bottom staff in bass clef. The piano part features a triplet of eighth notes in the right hand and a steady eighth-note bass line in the left hand, ending with a fermata.

These musical techniques are effective and they show that Zelter's use of accompaniment is indeed intended to be no more than a means of embellishing the text. In order to unify text and music, the running semiquavers return in the piano postlude and they combine with descending melodic movement as Zelter indicates that the spinning wheel is coming to a halt. The opening lyric's imagery 'Meine Ruh ist hin / mein Herz ist schwer' ['My heart is heavy / My heart is sore'] is evoked through stepwise descending movement in the vocal melody, capturing Gretchen's sorrow and pain. In bars 18–19, the words 'ganze Welt' are marked *sforzando* by Zelter in an attempt to catch the listener's attention and reinforce the extent of

Gretchen's anguish. The most notable example of word-painting occurs in bars 150–159 on the word 'vergehen.' At this point in the text, Gretchen is longing for Faust and an opportunity to 'die' on his kisses and Zelter depicts this by elaborately elongating a single syllable across ten bars in total, requiring vocal inflections on the singer's part. A descending scale-like passage in the vocal line dissipates tension and acts as a release in lieu of the suspense created by Zelter through the repetition of the lines, 'und halten ihn / und küssen ihn / so wie ich wollt'. This release, in representing Gretchen dying on Faust's kiss, confirms that Goethe's poetic intentions are of the utmost importance to Zelter.

Both Zelter and Goethe preferred simplicity over any intent to showcase technical proficiency. They felt virtuosic compositions failed to produce music that the audience wanted to hear and their correspondence was based on a shared appreciation of musical modesty.<sup>215</sup> This can be clearly seen in 'Der König in Thule' and 'Margarethe' and it is reflective of trends at the turn of the nineteenth-century. Early song focused on providing simple declamations of the text – music was used to present the poetry and the poet often took precedence over the composer in this process.<sup>216</sup> As poetry and music were interrelated, music criticism of the Lied tended to focus on the selection of poetry and its merit rather than the actual ability of the composer.<sup>217</sup> J. W. Smeed argues that through their simplicity and their preference for strophic settings, Reichardt and Zelter's respective settings of 'Der König in Thule' found their way into popular anthologies of song during the nineteenth- and twentieth-century.<sup>218</sup>

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<sup>215</sup> Lorraine Byrne Bodley, *Goethe: Musical Poet, Musical Catalyst*, p. 64.

<sup>216</sup> Lorraine Gorrell, *The Nineteenth Century German Lied*, pp. 17–18.

<sup>217</sup> Ibid.

<sup>218</sup> J. W. Smeed, *German Song and its Poetry 1740–1900* (Kent: Croom Helm, 1987), p. 101.

### 2.3 Beethoven's comic song: 'Aus Goethes Faust'

The Beethoven (1770–1827) Lied 'Aus Goethes Faust', more popularly known as 'Flohlied' or 'Mephisto's Song of the Flea' was initially composed in 1793 but was revised in 1809 for the purpose of publication.<sup>219</sup> Beethoven included the song as part of the composer's *Sechs Gesänge* Op. 75 which were published in Leipzig and London in 1810. It is, therefore, one of the first *Faust* settings to have emerged following the publication of *Faust I*. Beethoven's decision to set 'Flohlied' endorsed Goethe's text as being worthy of musical setting, inspiring generations of composers who followed. Sketches for *Aus Goethes Faust* date back to 1790 and therefore it is likely that Beethoven was in possession of a copy of Goethe's *Faust. Ein Fragment*, which had been published in the same year.<sup>220</sup> 'Aus Goethes Faust' is a comical song, based on the *Auerbachs Keller in Leipzig* scene, where merrymakers are portrayed drinking together and sharing songs. The Lied is set in strophic form and includes a brief choral coda that is intended to convey the moment that a chorus of students enters the scene, as outlined in Goethe's drama.<sup>221</sup>

Paul Griffiths states that Beethoven's motifs are central to conveying mood in his Lieder and motifs play a central role in establishing the relevant humour in 'Aus Goethes Faust'.<sup>222</sup> Beethoven establishes a semiquaver staccato motif in the four-bar piano introduction which shifts between the right-hand and left-hand accompaniment which Reid believes depicts the flea or a plague of fleas (see Example 2.2).<sup>223</sup>

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<sup>219</sup> Barry Cooper, *Beethoven* (Oxford: Oxford University Press, 2000), pp. 188–189.

<sup>220</sup> Paul Reid, *The Beethoven Song Companion* (Manchester: Manchester University Press, 2007), p. 78.

<sup>221</sup> John Glenn Paton, *Gateway to German Lieder: An Anthology of German Song and Interpretation*, p. 19.

<sup>222</sup> Paul Griffiths, 'Lied' <http://www.oxfordmusiconline.com> [Accessed 24 May 2013]

<sup>223</sup> Paul Reid, *The Beethoven Song Companion*, p. 79.

**Example 2.2: Beethoven, 'Aus Goethes Faust', bars 1–5**

The image shows a musical score for the first five bars of 'Aus Goethes Faust' by Beethoven. The tempo is marked 'Poco Allegretto'. The score is in 2/4 time and the key signature has two flats (B-flat major). The vocal line (top staff) is mostly silent, with a fermata over the first four bars and then enters in the fifth bar with a quarter note. The piano accompaniment (bottom two staves) is active throughout. The right hand (treble clef) starts with a piano introduction of eighth notes, while the left hand (bass clef) plays a rhythmic pattern of eighth notes. A dynamic marking 'p' (piano) is present in the first bar of the piano part, and 'cresc.' (crescendo) is marked in the fourth bar. The piano part concludes with a cadence in the fifth bar.

Paton also identifies jumping fleas in the piano introduction with the right-hand accompaniment conveying the movement of the fleas, however, he concludes that the left-hand accompaniment is portraying the sinister laugh of Mephisto rather than the fleas.<sup>224</sup> This is a more convincing interpretation of the motifs as humanising Mephisto through deep laughter clarifies the logic of the comic song. The motifs serve as musical irritants, returning in the middle of each stanza to interrupt Mephisto's narration and to be present in the piano interludes.<sup>225</sup> In addition to acting as a musical metaphor, the motifs have a secondary function of unifying text and music.

The accompaniment in 'Aus Goethes Faust' has received praise from scholars which goes beyond Beethoven's command of motifs. Reid points out the treble octaves in bar 5 – a feature of the Lied – which he suggests are used to establish the satirical narrative tone.<sup>226</sup> Gorrell records how the accompaniment embellishes the text by echoing the superior vocal line at the end of each stanza in a mocking manner.<sup>227</sup> On each occasion, this is supported with the *Tierce de Picardie* as the cadence is resolved in the tonic major rather than the tonic minor – implying G major – only for the treble octaves to be presented in the tonic minor. It

<sup>224</sup> John Glenn Paton, *Gateway to German Lieder: An Anthology of German Song and Interpretation*, p. 19.

<sup>225</sup> Paul Reid, *The Beethoven Song Companion*, p. 79.

<sup>226</sup> Ibid.

<sup>227</sup> Lorraine Gorrell, *The Nineteenth Century German Lied*, p. 105.

is clearly ironic for Beethoven to conclude each Mephistopheles' stanza with a Picardy cadence; a technique which had long been associated with church music and used to convey happiness. The brief interchanging of tonality – a device Schubert would take to new expressive heights – is pivotal in reinforcing the satirical tone of the Lied. A final example of Beethoven's novel accompaniment can be located in the postlude. Here the composer asks that the accompanist play demisemiquavers by sliding their thumb between neighbouring keys – a comedic physical gesture intended to imitate the crushing of the fleas.<sup>228</sup>

Paton argues that few composers attempted to rival Beethoven's success with this song, given the difficulty in writing a truly comic setting.<sup>229</sup> This observation is incorrect; Mephistopheles may not have garnered the attention that has been afforded to Gretchen by song composers, but the 'Song of the Flea' has been commonly set nonetheless. As Enrique Alberto Arias explains, the development of the Lied as a genre saw the advancement of accompaniment depth and intriguing harmonies – features that invite comic expression.<sup>230</sup> It is evident that Beethoven progressed the sub-genre of comic song with his inspired handling of motifs and accompaniment and his use of tonality as a means of communicating irony.

. Griffiths states that there is a strong case for arguing that Beethoven is the creator of the Lied as he combined the '18th-century tradition of self-effacing enhancement of the words' with the 'inventive genius' of his illustrative detail and imaginative variety.<sup>231</sup> This author disagrees with Griffith's claim; Beethoven neither inaugurated the Lieder tradition nor was he the most pioneering figure of the genre. 'Aus Goethes Faust' is, however, an exhibition of compositional freedom and independence in the use of the accompaniment and motivic metaphors, which in turn showcases Beethoven's desire to unify poetry and music, with music at the forefront. Music takes precedence over the poetry in 'Aus Goethes Faust'

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<sup>228</sup> Ibid., pp. 104–105.

<sup>229</sup> John Glenn Paton, *Gateway to German Lieder: An Anthology of German Song and Interpretation*, p. 19.

<sup>230</sup> Enrique Alberto Arias, *Comedy in Music: A Historical Bibliographic Resource Guide* (Connecticut: Greenwood, 2001), p. 61.

<sup>231</sup> Paul Griffiths, 'Lied' [Accessed 24 May 2013]



and this is Beethoven's most significant contribution to the Lied, which can be traced to Beethoven's aesthetic belief that 'the composer must know how to lift himself far above the poet.'<sup>232</sup> This comment was made in relation to the difficulty Beethoven observed in setting the poetry of Friedrich Schiller to music, but it is clear he had similar trouble with Goethe. While 'Aus Goethes Faust' is a creative and well thought-out interpretation of Goethe's text, the song belies Beethoven's struggle in setting *Faust* to music. Beethoven sketched out music for 'Gretchen am Spinnrade' and in a conversation book entry dating back to 1823, he admitted an interest in setting *Faust* on a larger scale. Neither endeavour materialised, but Beethoven's decision to publish 'Aus Goethes Faust' shortly after the publication of *Faust I* ensured that Goethe's drama became popular source material for song composers – none more so than Schubert (1797–1828).

#### **2.4 The evolution of Gretchen and the Lied in Schubert's *Faust* settings (1814–17)**

It was Schubert who transformed the genre of the Lied through Goethe's *Faust* text with his settings of 'Gretchen am Spinnrade' (1814), 'Szene aus Goethes Faust' (1814), 'Der König in Thule' (1816), 'Chor Der Engel' (1816) and 'Gretchen im Zwinger' (1817). Schubert's *Faust* settings deal exclusively with the 'evolution of Gretchen's consciousness.'<sup>233</sup> Of all of the Gretchen settings, it is Schubert's rendering of 'Gretchen am Spinnrade' that is responsible for his success.<sup>234</sup> The German Lied is said to have been born on 19 October 1814 – the composition date of Schubert's 'Gretchen am Spinnrade'.<sup>235</sup> Music is central to Gretchen's characterisation and the expression of her inner psyche.<sup>236</sup> Here Schubert has promoted Goethe's heroine beyond her rightful role as a protagonist in German literature, but also to the

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<sup>232</sup> Carl Czerny, *On the Proper Performance of All Beethoven's Works for the Piano* (Vienna: Universal Edition, 1970), p. 19.

<sup>233</sup> Lorraine Byrne Bodley, *Schubert's Goethe Settings*, p. 332.

<sup>234</sup> *Ibid.*, p. 342.

<sup>235</sup> Conrad Wilson, *Notes on Schubert: 20 Crucial Works* (Michigan: Eerdmans, 2005), p. 10.

<sup>236</sup> Lorraine Byrne Bodley, *Schubert's Goethe Settings*, p. 332.

role of protagonist in the German Lied – illustrating how Goethe's *Faust* text is central to the development of the Lied as a genre and how Schubert is primarily responsible for this development. Schubert shows reverence for Goethe's text and a willingness to augment poetic meaning. The response to the poetry offered by Schubert in both this Lied and other settings in this section merits particular consideration, given these settings are eminent precursors to the *Faust* settings of the 1830s of which this dissertation is concerned. Analysis of the rhythm will draw on Harald Krebs' theory of basic rhythmic declamation; a fuller explanation of this, and the approach undertaken, is outlined in Chapter 3.

The opening vocal line in 'Gretchen am Spinnrade' unveils a slight but noticeable deviation from the basic rhythm of declamation (see Example 2.3a, 2.3b, 2.3c and 2.3d).

**Example 2.3a: Simple BRD of Goethe's *Gretchens Stube*, ll. 3374–3375**

Mei - ne Ruh' ist hin, mein Herz ist schwer;

**Example 2.3b: BRD-variant of Goethe's *Gretchens Stube*, ll. 3374–3375**

Mei-ne Ruh' ist hin, mein Herz ist schwer,.

**Example 2.3c: Hypothetical BRD-conformant vocal line for Schubert's 'Gretchen am Spinnrade', bars 1–4**

Mei-ne Ruh' ist hin, mein Herz ist schwer,.

**Example 2.3d: Opening vocal line of Schubert's 'Gretchen am Spinnrade'**

Mei - ne Ruh' ist hin, mein Herz, ist schwer,

The placement of quavers on the anacrusis as opposed to semiquavers, combined with the subsequent long note duration on 'Ruh', extends the foot duration beyond what Schubert establishes as the norm for the Lied in the remainder of the vocal phrase. This slower declamation is more in keeping with the prevailing iambic metre and negates the quick pace which is suggested by the initial anapaest in the poetry. For the most part in 'Gretchen am Spinnrade', poetic stresses and downbeats concur and caesuras are met with appropriate silences. Although long note durations are assigned to the stresses of the poetic text – and despite Schubert elongating each stress beyond that which is necessitated by the poetic metre – the equidistant stresses ensure regularity of the poetic rhythm (one stress per bar). The elongation of stresses contribute to slow declamation which adds to the dramatic intensity of the setting by drawing attention to the spinning-wheel motif in the piano accompaniment and emphasising the poetic meaning of Gretchen's soliloquy.

The only further deviation from the basic rhythm of declamation occurs in bars 63–68 as Gretchen contemplates Faust's kiss (see Example 2.4a, 2.4b, 2.4c and 2.4d).

**Example 2.4a: Simple BRD of Goethe's *Gretchens Stube*, ll. 3400–3401**

sein Hän - de - druck, und ach, sein Kuss!

**Example 2.4b: BRD-variant of Goethe's *Gretchens Stube*, ll. 3400–3401**

sein Hän - de - druck, und ach, sein Kuss!

**Example 2.4c: Hypothetical BRD-conformant vocal line for Schubert's 'Gretchen am Spinnrade', bars 63–68**

sein Hän - de - druck, und ach, sein Kuss!

**Example 2.4d: Schubert's 'Gretchen am Spinnrade', bars 63–68**

se  
in Hän - de-druck, und ach, sein Kuss!

Schubert alters the pace of the declamation to build towards Faust's kiss which is the culmination of the poetic text. The anticipated anacrusis in bar 62 is deferred to the following bar causing a deceleration in declamation at the precise moment *accelerando* is found in the right-hand accompaniment. This disturbs the accord between the rhythm of the melody and the rhythm of the accompaniment which is further exacerbated with the acceleration of the pace of declamation in bar 64 and the subsequent deceleration of the declamation in bars 65–68, which coincides with the sudden halt of the spinning-wheel. Goethe's use of enjambment and placement of internal caesuras facilitates fluctuations in the poetic pace and Schubert's durational elongations and exaggerated stops serve to emphasise this quality of the poetry. This distortion of the poetic rhythm illustrates the potential for song – and Schubert – to liberate text from poetic metre, and yet capture the precise poetic meaning and dramatic intent.

Schubert's primary invention with 'Gretchen am Spinnrade' is the use of a spinning-wheel motif which acts, not only a musical metaphor for Gretchen's anguish, but as a musical device that unifies text and music in a more convincing manner than had been present in the songs of any of Schubert's predecessors. Schubert's piano accompaniment made an immediate impression on his contemporaries – a review from a music critic in *Allgemeine Musikalische Zeitung* on 19 January 1822 praised Schubert's portrayal of the pictorial image of the spinning-wheel.<sup>237</sup> It is a sentiment that has stood the test of time. Smeed notes that Schubert's greatest contribution to the genre of the Lied was his use of a 'ruling motif' to

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<sup>237</sup> Ibid., p. 342.

govern the poetry and create coherency.<sup>238</sup> In 'Gretchen am Spinnrade', the ruling motif is undoubtedly the spinning-wheel motif as the piano continuum is intrinsically linked to the symbolism in Goethe's scene. The accompaniment captures the 'monotonous hum' of the spinning-wheel which is itself a metaphor for Gretchen's torment and domesticity.<sup>239</sup> Therefore, the spinning-wheel motif has its own accompanimental persona which through the use of metaphor unifies text and music. The accompaniment also has a secondary purpose – it is fundamentally important in maintaining poetic progression. As Julian Rushton notes, the accompaniment provides harmonic shifts which effortlessly wander into remote regions, supporting a vocal line that is neither in a declamatory style nor in the style of a lyrical melody.<sup>240</sup> Schubert's 'Gretchen am Spinnrade' advanced accompaniments beyond their previous function as mere textual embellishment to the point where it was acceptable to use the piano to interpret poetry. Graham Johnson recognises Schubert's use of the accompaniment to enhance the musical and psychological texture marks 'Gretchen am Spinnrade' out as 'one of the key staging posts in the history of the Lied.'<sup>241</sup> The 'symbiotic relationship' between the voice and piano accompaniment that we witness in 'Gretchen am Spinnrade' became a staple of Schubertian song, allowing the composer to portray meanings beyond those intended by the poet, in turn distinguishing himself from the settings of his predecessors.<sup>242</sup> This in turn brought the genre of the Lied out of the classicist era towards romanticism. At the poetic climax of the text, where Gretchen reminisces over Faust's kiss and stops spinning, likewise Schubert's spinning-wheel motif ceases. The ease with which Schubert is able to gradually restart the spinning motion is commendable.<sup>243</sup> Gorrell observes

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<sup>238</sup> J. W. Smeed, *German Song and its Poetry 1740–1900*, p. 110.

<sup>239</sup> Lorraine Byrne Bodley, *Schubert's Goethe Settings*, p. 342.

<sup>240</sup> Julian Rushton in *The Cambridge History of Nineteenth-Century Music* (Cambridge: Cambridge University Press, 2001), p. 157.

<sup>241</sup> Graham Johnson, *Franz Schubert: The Complete Songs, Vol I* (New Haven and London: Yale University Press, 2014), p. 795.

<sup>242</sup> Susan Wollenberg, *Schubert's Fingerprints: Studies in the Instrumental Works* (Surrey: Ashgate, 2011), p. 128.

<sup>243</sup> Lorraine Gorrell, *The Nineteenth Century German Lied*, p. 126.

Schubert's 'brilliant understanding of the human voice' and how he stretches the singer throughout the song to mirror Gretchen's own mounting agitation and distress.<sup>244</sup> At the moment when Gretchen is reminding the listener that she will never find peace again, Schubert is pushing the singer to the brink of exhaustion through the combined use of the high vocal range and short vocal phrases.<sup>245</sup> The music suggests what Schubert was striving to achieve – an evident challenge in performability to raise the genre of the Lied from its amateur level.

'Szene aus Goethes Faust', which is based on the Cathedral scene of Goethe's *Faust I*, is a further illustration of Schubert's desire to elevate the Lied. Schubert produced two settings of this text, both of which are dated December 1814. There are three autographed copies of the score, each bearing the title 'Aus Goethes Faust' but the title was changed to 'Szene aus Goethes Faust' by Anton Diabelli (1781–1858) who published the second version of the setting in 1832.<sup>246</sup> The change in title is pertinent as it reflects Schubert's deviation from the traditional pathway of the Lied and the significance this song had on the development of the Lied as a genre.<sup>247</sup> Marius Flothuis has described 'Szene aus Goethes Faust' as one of Schubert's most revolutionary works as it is 'one of the very few examples in his *oeuvre* of a song which, apart from the choral interruption, is conceived wholly as a recitative'.<sup>248</sup> Here Schubert masterfully juggles three different personas – that of Gretchen, the evil spirit and the choir – and each portrayal is stylistically unique.<sup>249</sup> The use of recitative for Gretchen and the evil spirit mimics Goethe's use of free verse and contrasts with the external presence of the chorus.<sup>250</sup>

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<sup>244</sup> Ibid., p. 117

<sup>245</sup> Ibid.

<sup>246</sup> Marjorie Hirsch, *Schubert's Dramatic Lieder*, p. 28.

<sup>247</sup> Ibid.

<sup>248</sup> Marius Flothuis in Eva Badura-Skoda and Peter Branscombe (eds.), *Schubert Studies* (Cambridge: Cambridge University Press, 1982), p. 66.

<sup>249</sup> Marjorie Hirsch, *Schubert's Dramatic Lieder*, p. 18.

<sup>250</sup> Lorraine Byrne Bodley, *Schubert's Goethe Settings*, p. 354.

Winter argues that Schubert's Lieder conveyed a sense of drama that was on a par with, or even surpassed, operatic works and he did so through harmonic language developed enough to compare favourably with mid-century Wagner (1813–1883).<sup>251</sup> 'Szene aus Faust' is a relevant example of Schubert's pioneering use of harmony and tonality. The Lied begins in C major – a representation of Gretchen's 'untroubled past'<sup>252</sup> – and meanders into distantly-related keys to convey the advancement of Gretchen's hysteria.<sup>253</sup> Semitonal shifts have an important harmonic function; they are introduced in the piano introduction but have a decisive role in the portrayal of the Böser Geist, as evidenced in bars 45–50 where ascending semitonal movement facilitates the progression from C major to A flat minor (see Example 2.5).

**Example 2.5: Schubert, 'Szene aus Goethes Faust' (D. 126), bars 45-50**

The image shows a musical score for Schubert's 'Szene aus Goethes Faust' (D. 126), bars 45-50. The score is in C major and 4/4 time. It features a vocal line and a piano accompaniment. The vocal line is marked 'Recit. Böser Geist' and includes the lyrics: 'Grimm fasst dich! Die Posaune tönt! Die Grä - ber be - ben! und dein Herz, aus A - schenruh' zu Flam - men qua - len wie - der auf - ge - schaf - fen, bebt auf!'. The piano accompaniment includes dynamic markings 'fp' and 'sf'.

<sup>251</sup> Robert Winter, 'Schubert, Franz', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 24 May 2013]

<sup>252</sup> Marjorie Hirsch, *Schubert's Dramatic Lieder*, p. 33.

<sup>253</sup> Lorraine Byrne Bodley, *Schubert's Goethe Settings*, p. 354.

The presence of chromaticism, dissonant harmonies, plagal and phrygian cadences and modulations in remote keys in 'Szene aus Goethes Faust' advance the harmonic possibilities for composers of the Lied and these techniques and devices are central to the musical depiction of Gretchen's fragile state. Schubert recognises Gretchen is not merely a *schöne Seele* and pushes the boundaries of decency in exploring Gretchen's psychological being in this song. Johnson identifies a figure of trills in tenths in the left-hand accompaniment as a graphic image of Gretchen contemplating the idea of murdering her own child.<sup>254</sup> That the psychological dimension to Gretchen is of the utmost importance to Schubert in this setting is evident from Schubert's omission of Gretchen's cry which ensures that the 'externalisation of inner thoughts' is not interrupted, therefore keeping the Lied on a psychological plane.<sup>255</sup>

Goethe distinguishes the personas in *Dom* with rhythmic variations and while Schubert's progressive use of harmony and tonality has already been noted, the rhythmic disparities in Schubert's setting are no less remarkable. Analysis of the basic rhythm of declamation in the initial vocal phrase shows how Schubert establishes the sinister character of the Böser Geist immediately with a deviation from the BRD in the opening vocal line (see Example 2.6a, 2.6b, 2.6c and 2.6d).

**Example 2.6a: Simple BRD of Goethe's *Dom*, ll. 3776–3778**

Wie an - ders, Gretchen, war dir's, als du noch voll Un - schuld hier zum Al - tar tratst,

**Example 2.6b: BRD-variant of Goethe's *Dom*, ll. 3776–3778**

Wie an - ders, Gretchen, war dir's, als du noch voll Un - schuld hier zum Al - tar tratst,

<sup>254</sup> Graham Johnson, *Franz Schubert: The Complete Songs Vol III* (New Haven and London: Yale University Press, 2014), p. 295.

<sup>255</sup> Marjorie Hirsch, *Schubert's Dramatic Lieder*, p. 33.



**Example 2.6c: Hypothetical BRD-conformant vocal line for Schubert's 'Szene aus Goethes Faust' (D. 126), bars 2–5**

Wie an - ders, Gretchen, war dir's, als du noch voll Un-schuld hier zum Al - tar tratst,

**Example 2.6d: Opening vocal line of Schubert's 'Szene aus Goethes Faust' (D. 126)**

Wie an - ders, Gretchen, war dir's, als du noch voll Un-schuld hier zum Al - tar tratst,

Stresses are not equidistant and the internal caesuras of Goethe's poetry are not observed in this initial vocal phrase. This establishes rhythmic tension and produces drama which is heightened by abrupt changes in the pace of declamation – the introduction of semiquavers on the final beat of bar 3 accelerates the pace of declamation prior to an immediate deceleration in bar 4. Schubert establishes further rhythmic unpredictability by having each downbeat in the vocal line correspond to a note of durational value which differs from the length of the note heard in the preceding downbeat. While the composer's vocal rhythms may not adhere strictly to the poetic rhythms in the text, the non-conformance to the BRD is appropriate for the depiction of the Böser Geist whose role is to bring misery to Gretchen by reminding her of a loss of innocence. The deviation from the BRD as the evil spirit calls out Gretchen's name in bar 11 is a simple illustration of how Schubert's choice of vocal rhythms play upon expectations generated by the rhythmic norms of the poetic metre. Schubert frees himself from the confines of the BRD by elongating stresses where there are religious references in the text, allowing his musical rhythms to contribute to Gretchen's agony and serve as a fiendish and lingering reminder to Gretchen of her own departure from her Christian beliefs. This is evident in the *Dies Irae* hymn, which for the most part has a single stress per bar, facilitating slow declamation that contrasts greatly with the pace instilled in

rhythms of the Böser Geist. A striking example of how Schubert alters the pace of declamation to suggest the Böser Geist's influence over Gretchen occurs in bars 16–18 as an elongation of the first strong stress on 'Mutter Seele' ['mother's soul'] reinforces Gretchen's guilt for her mother's death (see Example 2.7).

**Example 2.7: Schubert, 'Szene aus Goethes Faust', bars 16–18**

Despite grappling with the complexities and intricacies of Gretchen's innermost thoughts, Schubert was also concerned with portraying Goethe's intentions accurately, and when required to do so by the text, he would opt for a simplistic, understated depiction.<sup>256</sup> This is reflected in his setting of Goethe's 'Der König in Thule' which according to Dietrich Fischer-Dieskau exhibits 'archaic simplicity'.<sup>257</sup> Schubert made slight changes to the structure of the text, pairing the stanzas together to create three groups of two from the original six, lending itself more appropriately to simple strophic form.<sup>258</sup> The 'archaic simplicity' which captures Gretchen's naïvety and innocence in the Lied is undoubtedly reminiscent of Zelter's setting of the text, although Schubert certainly advances the rhythmic and melodic function in his interpretation.<sup>259</sup> This is evident in the opening vocal phrase which does not conform to the basic rhythm of declamation (see Example 2.8a, 2.8b, 2.8c and 2.8d).

**Example 2.8a: Simple BRD of Goethe's *Abend*, ll. 2759–2760**

<sup>256</sup> Lorraine Gorrell, *The Nineteenth Century German Lied*, p. 111.

<sup>257</sup> Dietrich Fischer-Dieskau, *Schubert's Songs: A Biographical Study* (New York: Knopf, 1976), p. 79.

<sup>258</sup> Kenneth Whitton, *Goethe and Schubert: The Unseen Bond* (Portland: Amadeus Press, 1999), p. 208.

<sup>259</sup> John Reed, *The Schubert Song Companion*, p. 114.

**Example 2.8b: BRD-variant of Goethe's *Abend*, ll. 2759–2760**

Es war ein Kö - nig in Thu - le, gar treu bis an das Grab,

**Example 2.8c: Hypothetical BRD-conformant vocal line for Schubert's 'Der König in Thule', bars 1–8**

Es war ein Kö - nig in Thu - le, gar treu bis an das Grab,

**Example 2.8d: Opening vocal line of Schubert's 'Der König in Thule'**

Es war ein König in Thu - le, gar treu bis an das Grab,

The departure from the BRD – a deviation which recurs in the Lied on the corresponding stress of subsequent couplets – takes place on 'Thule'. The introduction of minims on both the stressed and unstressed syllables of 'Thule' aids slower declamation and serves to extend the vocal phrase beyond the four-bar norm. Combined with the *etwas langsam* tempo indication and the regular observance of caesuras with rests and frequent fermatas – devices which afford opportunities for contemplation – this deceleration in the pace of declamation conveys Gretchen's ponderous reminiscence. For the most part in 'Der König in Thule', Schubert's vocal rhythms adhere to the BRD and in a more natural manner than witnessed in either his setting of 'Gretchen am Spinnrade' or 'Szene aus Goethes Faust'. Poetic stresses and musical downbeats are always in agreement here, and there is often durational emphasis on stressed syllables. This general compliance with the BRD lends weight to Graham Johnson's belief that Schubert's setting of the ballad is 'deliberately archaic to depict the Gothic world of Faust

and the simplicity of Gretchen's world.<sup>260</sup> As Schubert was clearly capable of devising more inventive rhythmic ideas, the vocal rhythms of 'Der König in Thule' must be interpreted as a showing of restraint to respect the poetic content and context.

Schubert's unfinished *Faust* setting 'Gretchen im Zwinger' – originally conceived as an extended scena – was written in May 1817 and published with the title 'Gretchens Bitte' by Diabelli in book 29 of *Nachlass* in June 1838.<sup>261</sup> Schubert's reason for failing to complete the setting is unclear; the song is concluded with the addition of a C major chord in Diabelli's publication and several composers have since written their own completion for Schubert's song, most notably Benjamin Britten in 1943.<sup>262</sup> Johnson suggests Schubert's desire to write a through-composed aria might have been the reason behind his abandonment of the setting as the accompaniment – despite the richness of texture – was reduced to a supporting role, assigning the psychology of the scene to the vocal line.<sup>263</sup> Schubert's mastery of the piano accompaniment, however, remains evident in 'Gretchens Bitte' through the accompaniment texture which portrays the poetic nuances of Goethe's text. Schubert's 'Gretchens Bitte' begins with a short piano introduction which immediately establishes the tonality of B flat minor with an arpeggiated tonic chord followed by a stepwise descending passage which is foreboding of the Gretchen tragedy. The opening verse depicts Gretchen in prayer with alternations between semiquavers and semiquavers rests in the accompaniment. It is tranquil and hopeful, contrasting significantly with the second verse which is underscored with *staccato* semiquavers – the intensification of the accompaniment portraying Gretchen's contemplation of the Mater Dolorosa coping with the death of her son. Reed notes the presence of sobbing semiquavers in verses 3 and 4.<sup>264</sup> The sobbing semiquavers convey the misery of the Mater Dolorosa and Gretchen's identification with her, while the outlining of

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<sup>260</sup> Graham Johnson, *Franz Schubert: The Complete Songs Vol II.*, p. 80.

<sup>261</sup> John Reed, *The Schubert Song Companion*, p. 252.

<sup>262</sup> *Ibid.*

<sup>263</sup> Graham Johnson, *Franz Schubert: The Complete Songs Vol I.*, p. 801.

<sup>264</sup> John Reed, *The Schubert Song Companion*, p. 252.

semiquaver chords depicts Gretchen's own pain. Each accompaniment texture corresponds with the dramatic content and Schubert treats verses as their own dramatic entities. The transition between verses are not smooth – verses 1 and 2 which are characterised by the relative minor/major pairing of B flat minor and D flat major are distinguished from the parallel A major and A minor combination at play in verses 3 and 4 – and although the opening strophes are designated the same key signature, the perfect cadence in D flat major that marks the end of the opening verse sounds definitive. The song comes to a stop with a shift to C major on 'Herz zerbricht in mir' ['my heart breaks'] which is a representation of Gretchen's innocence. Although 'Gretchens Bitte' was left incomplete by Schubert, the music that does exist suggests Schubert envisaged the song as having distinct sections. Schubert's expansive use of both tonality and accompaniment texture in this 1817 setting is unconventional but appropriate given the highly dramatic nature of Goethe's text.

Parallels can be drawn between the vocal rhythms of 'Gretchen im Zwinger' and 'Szene aus Goethes Faust' with regard to the way in which Schubert varies the pace of declamation to depict Gretchen's torment. These rhythmic fluctuations qualify as deviations from the BRD (See Example 2.9a, 2.9b, 2.9c and 2.9d).

**Example 2.9a: Simple BRD of Goethe's *Zwinger*, ll. 3587–3589**

Ach nei - ge, du Schmer - zen - rei - che, dein Ant - litz gnä - dig mei - ner Not!

**Example 2.9b: BRD-variant of Goethe's *Zwinger*, ll. 3587–3589**

Ach nei - ge, du Schmer - zen - rei - che, dein Ant - litz gnä - dig mei - ner Noth!

**Example 2.9c: Hypothetical BRD-conformant vocal line for Schubert's 'Gretchen im Zwinger', bars 1–4**

Ach nei - ge, du Schmer-zen - rei-che, dein Ant-litz gnä - dig mei - ner Noth!

**Example 2.9d: Opening vocal line of Schubert's 'Gretchen im Zwinger'**

Ach nei - ge, du Schmer - zen - rei - che, dein  
Ant - litz gnä - dig mei - ner Noth!

A phrase interpolation in bar 3 leads to slower declamation, but this is immediately counteracted by the semiquaver movement in bar 4 which quickens the pace of declamation. Although poetic stress and musical stress align, and there is a sense of durational emphasis on strong stress, shifts in the pace of declamation ensure stresses are not equidistant. This contrasts with the more conservative approach to text setting which was evident in Schubert's 'Der König in Thule'. In considering the rhythmic declamation in Schubert's *Faust* settings as a whole, it is clear the extent to which Schubert is prepared to deviate from the BRD corresponds with how much textual meaning the composer can extract and emphasise in the musical rhythm. A pertinent example of this occurs in bar 31 as Schubert departs from the BRD to convey Gretchen's pain in the line 'wie weh, wie weh, wie wehe' ['how sad, how sad, how sad']. Not only does Schubert neglect to cater for the poetic silences implied by the internal caesuras, but Schubert chooses to place emphasis – both durational and registral and with the harmonic support of a jarring diminished seventh chord – on a musical upbeat (see Example 2.10).

**Example 2.10: Schubert, 'Gretchen im Zwinger', bars 30–31**

wie weh, wie weh, wie we - he

This has a startling effect and gives the impression of a final wail from Gretchen. It is also an illustration of how Schubert accentuates poetic intent through musical devices.

In portraying the heroine of Goethe's *Faust I* in the Lied, Schubert extends the scope for musical setting and evolves the Lied into a genre in its own right. This evolution takes place through Goethe, *Faust* and Gretchen in particular and in doing so, Schubert sets the bar high and leaves behind a legacy of songs which mark the pinnacle of the Lied.

**2.5.1 An unconventional Faust: *Szenen aus Goethes Faust* (1844–1853)**

Central to Schumann's (1810–1856) own development and the advancement of the Faust myth in nineteenth-century music is the composer's engagement with Goethe and *Faust*. Eric Sams notes that Schumann had to endure a lengthy wait before it was suitable for him to set *Faust* to music as he struggled with composing dramatic music.<sup>265</sup> When he did eventually set *Faust* to music, it came in the form of an oratorio, *Szenen aus Goethes Faust*, which took nine years to complete (1844–1853) with Schumann suffering a nervous breakdown in 1844.<sup>266</sup> Schumann's *Szenen aus Goethes Faust* is predominantly based on Goethe's *Faust II* and its success not only made it conceivable for German composers to consider setting *Faust* on a larger scale, but it also established a tradition for the composition of more unconventional *Faust* Lied settings. Schumann embarked on *Szenen aus Goethes Faust* by setting Goethe's 'Mystic Chorus' – which had not been done before – before turning to *Faust I* in 1848, composing music for the 'Garden', Prayer to the Virgin' and 'Cathedral' scenes from

<sup>265</sup> Eric Sams, 'Schumann and Faust', *The Musical Times*, Vol. 113 No. 1552 (1972), p. 543.

<sup>266</sup> Ibid.

*Faust I*; the oratorio is completed by three more settings based on *Faust II* and the grand overture finale.<sup>267</sup>

Donald Mintz argues that the audience would have had very little knowledge of Goethe's *Faust II* and that setting *Faust II* to music during the 1840s would have seemed very peculiar.<sup>268</sup> It was stylistically unconventional, owing to the fact that it had no concrete plot and that Faust's death and redemption was presented as mystical and symbolic.<sup>269</sup> In avoiding scenes in *Faust II* where musical accompaniment was indicated – refusing to set text as songs or ballads – Schumann made the choice of text even more individualistic.<sup>270</sup> *Szenen aus Goethes Faust* shows no signs of a compromise despite the composer's apprehension and concern in responding to the challenge of setting a text of *Faust's* stature to music.<sup>271</sup>

Schumann regarded *Szenen aus Goethes Faust* as a series of small-scale compositions rather than one larger unified work and he did not believe the oratorio should be performed in its entirety in one evening.<sup>272</sup> The first performance of any of the *Szenen aus Goethes Faust* material came at Weimar in 1849 where the third section was included in a celebration of Goethe's birth centenary.<sup>273</sup> Surprisingly, Schumann's oratorio was well received by the audience despite the difficulties that Goethe's *Faust II* posed.<sup>274</sup> In fact, *Szenen aus Goethes Faust* was so popular that monographs on the work were already being prepared in the 1850s.<sup>275</sup> The first full performance of *Szenen aus Goethes Faust* was given in Cologne in 1862 under the guidance of Ferdinand Hiller (1811–1885).<sup>276</sup> Despite the instantaneous success of *Szenen aus Goethes Faust* and its place in the canon, Schumann's *Szenen aus*

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<sup>267</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 248.

<sup>268</sup> Donald Mintz, 'Schumann as an Interpreter of Goethe's "Faust"', *Journal of the American Musicological Society* Vol 14, No. 2 (1961), p. 238.

<sup>269</sup> Eric F. Jensen, *Schumann* (Oxford: Oxford University Press, 2001), p. 240.

<sup>270</sup> *Ibid.*

<sup>271</sup> John Daverio, *Robert Schumann: Herald of a "New Poetic Age"* (Oxford: Oxford University Press, 1997), p. 366.

<sup>272</sup> *Ibid.*

<sup>273</sup> Eric F. Jensen, *Schumann* (Oxford: Oxford University Press), p. 241.

<sup>274</sup> *Ibid.*

<sup>275</sup> Laura Tunbridge, *Schumann's Late Style* (Cambridge: Cambridge University Press, 2007), p. 3.

<sup>276</sup> Eric F. Jensen, *Schumann*, p. 241.



*Goethes Faust* has been overshadowed by his contemporary Wagner's achievements with music drama and has received less attention than it merits.<sup>277</sup> Julian Horton describes *Szenen aus Goethes Faust* as 'perhaps the largest casualty of the reversal of critical perception that took hold at the turn of the twentieth century, by the terms of which Schubert was reinvented as a miniaturist, whose primary achievement lay in the piano works of the 1830s and song cycles of the 1840s.'<sup>278</sup> The neglect of *Szenen aus Goethes Faust* also applies to Schumann's contemporaries and among them, only Liszt (1811–1886) noted the significance of *Szenen aus Goethes Faust* and his praise was effusive.<sup>279</sup> Liszt claimed that *Szenen aus Goethes Faust* was the 'most imposing work of the time' and argued that Schumann's major achievement was setting entire sections of Goethe's *Faust* to music without altering the text.<sup>280</sup> In truth, Schumann did adapt the text but Daverio claims Liszt understood the significance of Schumann's achievement – he had set *Faust* to music without resembling either an opera composer or a song composer in the process.<sup>281</sup> This perhaps explains why Daverio – along with Sams – described *Szenen aus Goethes Faust* as Schumann's *magnus opus*.<sup>282</sup>

### 2.5.2 Schumann's two *Faust* Lieder (1849)

Schumann also composed two *Faust* songs in 1849 – 'Der König von Thule' and 'Lied Lynceus des Türmers.' Due in no small part to his role as a music critic, Schumann's Lieder aesthetic has been well documented. Schumann believed that the ideal Lied must 'mediate between artlessness and art, simplicity and pretension.'<sup>283</sup> His song settings were focused on

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<sup>277</sup> John Daverio, *Robert Schumann: Herald of a "New Poetic Age"*, p. 367.

<sup>278</sup> Julian Horton in Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*, p. 117.

<sup>279</sup> John Daverio, *Robert Schumann: Herald of a "New Poetic Age"*, p. 367.

<sup>280</sup> Ibid.

<sup>281</sup> Ibid., p. 368.

<sup>282</sup> John Daverio and Eric Sams, 'Schumann, Robert', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com)

[Accessed 24 May 2013]

<sup>283</sup> Lorraine Gorrell, *The Nineteenth Century German Lied*, p. 145.

striking the correct balance and in no respect more so than in balancing voice and accompaniment – they should be 'equal partners in a shared discourse'.<sup>284</sup> This balance between voice and accompaniment is observed in 'Lied Lynceus des Türmers.' Schumann's 'Lied Lynceus des Türmers' was one of 29 songs contained in his children's song album *Liederalbum für die Jugend*, op. 79 (*Album for the Young*) which was published by Breitkopf und Härtel in November 1849. Schumann composed all but one of the songs between 21 April and 13 May 1849 – 'Lied Lynceus des Türmers' was an afterthought and was added to the collection on the 23 June 1849.<sup>285</sup> Schumann sought to arrange the songs in order of their complexity and Jon W. Finson argues that they can be attributed to the *Liederstrass* genre, therefore being of personal significance to the composer.<sup>286</sup> Schumann's songs for this collection were settings of poetry by patriotic German composers.<sup>287</sup> 'Lied Lynceus des Türmers' is the penultimate setting followed only by 'Mignon' from Goethe's *Wilhelm Meisters Lehrjahre*. The late inclusion of a setting from Goethe's *Faust* – in terms of both date and ordering – suggests the need for Goethe and *Faust* to be represented in Schumann's collection of songs for the youth despite the obvious sophistication of Goethe's *Faust II* as a literary text. Schumann's setting has a playful energy and a certain childlike innocence which fits the audience for which Schumann is writing, while conveying Lynceus' role in this scene as an appreciator of beauty. This may also explain why the musical rhythms conform to the BRD. Analysis of the opening vocal line reveal stresses to be equidistant with each poetic stress coinciding with a musical downbeat (see Example 2.11a, 2.11b and 2.11c).

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<sup>284</sup> Ibid.

<sup>285</sup> Jon W. Finson, *Robert Schumann: The Book of Songs* (Cambridge, Massachusetts and London: Harvard University Press, 2007), p. 160.

<sup>286</sup> Ibid.

<sup>287</sup> Ibid.

**Example 2.11a: Simple BRD of Goethe's *Tiefe Nacht*, ll. 11288–11291**



Zum Se - hen ge - bo - ren, zum Schau - en be - stellt, dem  
Tur - me ge - schw - ren, ge - fällt mir die Welt.

**Example 2.11b: BRD-variant of Goethe's *Tiefe Nacht*, ll. 11288–11291**



Zum Se - hen ge - bo - ren, zum Schau - en be - stellt, dem  
Tur - me ge - schw - ren, ge - fällt mir die Welt.

**Example 2.11c: Opening vocal line of Schumann's 'Lied Lynceus des Türmers'**



Zum Se - hen ge - bo - ren, zum Schau - en, be - stellt, dem  
Tur - me ge - schw - ren, ge - fällt mir die Welt.

The light quality of the lines of amphibrachic dimeter are met with a lilting vocal melody intended to depict Lynceus' gratitude for having sight. Long note durations as a means of accentuating stressed syllables conveys the notion of the watchman taking the time to admire his surroundings. Schumann's setting neglects, however, the broader significance of Lynceus as an observer within the *Faust* drama. Despite this, 'Lied Lynceus des Türmers' showcases Schumann's ability as a composer of song; there is a jarring harmonic touch in the piano interlude as an unexpected diminished seventh chord prepares the authentic cadence in A flat major.

The importance for Schumann to find the right balance between voice and accompaniment is evident given his scathing criticism of contemporaries who took the accompaniment one step too far and allowed it to dominate or overpower the melody.<sup>288</sup> Smeed argues that critics, musicians and performers alike would most likely agree that Schumann did indeed find the perfect balance between voice and accompaniment in his Lied.<sup>289</sup> He is credited with promoting the accompaniment to the same level as the melody in the Lied<sup>290</sup> – this is contentious as the *Faust* settings of Beethoven and Schubert discussed earlier in this chapter had already raised the standard of the accompaniment in the Lied. Schumann had a lifelong desire to unite music and poetry, but he lacked confidence in his ability to fulfil that ambition. The composer once mused; 'if only my talent for music and poetry would converge into a single point, the light would not be so scattered, and I could attempt a great deal'.<sup>291</sup> It is likely that the 'single point' Schumann was referring to was the German Lied.<sup>292</sup> As he began to overcome his struggles with *Szenen aus Goethes Faust* towards the end of 1840s, Schumann's apprehension in setting *Faust* to music and writing songs in general must have evaporated as he set 'Der König in Thule' – the most common of all *Faust* settings – as a chorus. Analysis of the rhythm of the initial vocal melody unveils a minor deviation from the BRD (see Example 2.12a, 2.12b, 2.12c and 2.12d).

**Example 2.12a: Simple BRD of Goethe's *Abend*, ll. 2759–2760**

Es war ein Kö - nig in Thu - le, gar treu bis an das Grab,

<sup>288</sup> J. W. Smeed, *German Song and its Poetry 1740–1900*, pp. 117–118.

<sup>289</sup> *Ibid.*, p. 117.

<sup>290</sup> Lorraine Gorrell, *The Nineteenth Century German Lied*, p. 145.

<sup>291</sup> Robert Schumann in Leon Plantinga, *Schumann as Critic* (New Haven & London: Yale University Press, 1967), p. 171.

<sup>292</sup> John Daverio and Eric Sams, 'Schumann, Robert', *Grove Music Online*

**Example 2.12b: BRD-variant of Goethe's *Abend*, ll. 2759–2760**

Es war ein Kö - nig in Thu - le gar treu bis an das Grab,

**Example 2.12c: Hypothetical BRD-conformant vocal line for Schumann's 'Der König in Thule', bars 1–8**

Es war ein Kö - nig in Thu - le gar treu bis an das grab,

**Example 2.12d: Opening vocal line of Schumann's 'Der König in Thule'**

Es war ein Kö - nig in Thu - le gar treu bis an das Grab,

Instead of observing caesuras with rests on a regular basis, Schumann elongates stresses at line endings which enables the composer to establish or re-establish the harmony at cadential points. This leads to slow declamation and masks the silent stress within each poetic couplet, in turn enabling the Lied to move in a more fluent manner than the poetic text. The ballad structure is highlighted with the placement of durational emphasis on structural downbeats and registral accents on masculine endings on a relatively common basis. The simplicity of the vocal rhythms chosen for 'Der König in Thule' reflect Gretchen's innocence and moreover suggest that musical rhythm had yet to be fully emancipated from poetic rhythm in the mid-nineteenth-century.

**2.6 'Gretchens Bitte': Hugo Wolf's neglected *Faust* Lied (1878)**

The conductor and musicologist, Hermann Kretzschmar (1848–1924), claimed that the majority of Lieder composed between 1855 and 1880 were influenced in some way by Schumann and that from 1880 onwards, song composition began to evolve due to the

Wagnerian revolution.<sup>293</sup> Kretzschmar argues that composers began to reject the folk-song influence for progressing the genre beyond its traditions and as a result, more focus was given to the accompaniment, with the voice serving to provide clarification to the piano – reversing the roles they had previously assumed in the nineteenth-century.<sup>294</sup> Hugo Wolf came to be regarded as a post-Wagnerian following the success of his song collections of the 1880s and 1890s, in which he pushed the boundaries of traditional harmonic theory in his synthesis of text and music, and contributed to the evolution of the Lied as a genre. This interest in taking tonality to the brink stems from Wolf's early years as evidenced in his relatively unknown teenage setting from Goethe's *Faust* – 'Gretchen vor dem Andachtsbild der Mater Dolorosa' or 'Gretchens Bitte' as the scene is more commonly known and will be referred to hereafter. Pre-dating the end of Kretzschmar's later period by two years, 'Gretchens Bitte' contains many characteristics which became associated, not only with Wolf's musical palette, but song composition at the end of the nineteenth-century as a whole.

The text for 'Gretchens Bitte' is derived from the *Zwinger* scene. In the previous scene 'At The Well', ll. 3544–3586, Lieschen informs Gretchen that Bärbelchen is pregnant and has been abandoned by her lover. Gretchen empathises with Bärbelchen's plight for she is pregnant herself, and as she walks home, she confesses that her love for Faust drove her to commit the same sin. Alone now in the *Zwinger* scene, Gretchen's monologue takes the form of a prayer to the 'Mater Dolorosa' at a shrine located just within the town wall, her isolation apparent as she is cast adrift from Christian society. Gretchen's guilt and regret is evident as she turns to prayer to seek absolution as opposed to resolution, and confiding in religion only reinforces her loss of innocence. There are obvious parallels that can be drawn between the 'Mater Dolorosa' – Our Lady of Sorrows – and Gretchen, but none more obvious than their own fate. Gretchen and the Mater Dolorosa are presented to us as virginal figures and their

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<sup>293</sup> Susan Youens, *Hugo Wolf: The Vocal Music* (New Jersey: Princeton University Press, 1992), p. 4.

<sup>294</sup> *Ibid.*, 4–5.

transformation into maternal figures is accompanied with sorrow and grief. In the end, they suffer a similar tragic fate as they witness the death of their own child. In stanzas 1–3, Gretchen is pleading for divine intervention, recognising that only the Mater Dolorosa can identify with her sorrows and save her from shame and death. Goethe's structuring of these stanzas and the use of strict rhyme schemes is clearly derived from the thirteenth-century *Stabat Mater Dolorosa* hymn.<sup>295</sup> In stanza four, the stanza structure is altered and the line length becomes increasingly irregular, acting as a poetic symbol for the dissolution of Gretchen's consciousness. The poetry is eventually unified when Gretchen's prayer acts as a refrain.

An eighteen year-old Wolf began writing 'Gretchens Bitte' on 22 August 1878 and completed the Lied on 9 September 1878.<sup>296</sup> Wolf's decision to set Gretchen's 'Prayer to the Virgin' to music is significant and interesting. It seems fitting that a composer credited with bringing 'the dramatic monologue into the Lied' set to music one of the finest dramatic monologues of the long nineteenth-century.<sup>297</sup> Wolf's setting of Gretchen's prayer suggests a personal affinity with the text and the surrounding circumstances in Wolf's personal life indicate the same. It is likely that 1878 was the year Wolf contracted syphilis, which ultimately led to his own insanity towards the end of the nineteenth-century and his death in 1903.<sup>298</sup> Having been made aware of his illness, Wolf began to avoid the company of others – he preferred to travel alone and would refuse to use the silverware provided at dinner tables for fear of infecting others.<sup>299</sup> He also chose to distance himself from his lover Vally Franck – a relation of the Lang family, who were often a source of financial support for Wolf.<sup>300</sup> The

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<sup>295</sup> Philip G. Hill (ed.), *Our Dramatic Heritage Vol 4: Romanticism and Realism* (London: Associated University Press, 1989), p. 148.

<sup>296</sup> Frank Walker, *Hugo Wolf: A Biography* (London: J.M. Dent & Sons, 1951), p. 75.

<sup>297</sup> Deryck Cooke, 'Hugo Wolf', *The Musical Times* Vol 101. No. 1405 (1960), p. 153.

<sup>298</sup> Eric Sams and Susan Youens, *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 11 November 2013]

<sup>299</sup> *Ibid.*

<sup>300</sup> *Ibid.*

composer's seclusion from Franck brought about a period of depression as his setting of 'Nach dem Abscheide' by Hoffmann von Fallersleben (1798–1874) codifies. Composed on 31 August–1 September 1878 – as Wolf continued work on 'Gretchens Bitte' – 'Nach dem Abscheide' conveys a figure whose world has become a darker place since he has been distanced from his lover. Wolf and Franck were reunited later that winter and this brought an end to a particularly depressive phase, but not before Wolf had completed the composition of 'Gretchens Bitte'.<sup>301</sup> Although Wolf and Gretchen's situations are incomparable, it is not unreasonable to suggest that Wolf may have identified with the fatal consequence of Gretchen's relationship with Faust, and the depression and isolation that she experiences in this scene. That Wolf identified with Gretchen's plight is endorsed by Frank Walker's opinion that Wolf's setting of 'Gretchens Bitte' is thematically dissimilar to every other setting Wolf composed up until 1889, when he began work on his Spanish songbook, which represented 'Spanish mysticism writhing in agonized consciousness of sin at the foot of the cross.'<sup>302</sup> Susan Youens acknowledges that it may seem peculiar for a Nietzschean anticleric to turn to religious texts as Wolf did with his *Spanisches Liederbuch*, however, she believes faith is not a pre-requisite for 'participation in the common human longing for the spiritual dimension of existence.'<sup>303</sup> Despite being brought up as a Catholic, Wolf described himself as an 'unbeliever' in a letter he wrote on 29 April 1892, and in the same letter, Youens notes the use and understanding of biblical imagery in his questioning of Christian society.<sup>304</sup> She argues that this contemplation of the Christian faith is evidence of the composer's spirituality and that Wolf allowed this spirituality to influence his song settings, including the *Mörrike-Lieder*.<sup>305</sup> Taking this into consideration, Wolf's turn to religion in 'Gretchens Bitte' can be

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<sup>301</sup> Hugo Walker, *Hugo Wolf: A Biography*, p. 82.

<sup>302</sup> *Ibid.*, 75.

<sup>303</sup> Susan Youens, *Hugo Wolf: The Vocal Music*, p. 254.

<sup>304</sup> *Ibid.*

<sup>305</sup> *Ibid.*



interpreted as a spiritual response that reflects serious change in the youthful composer's own personal circumstance.

Despite being a teenage setting, 'Gretchens Bitte' stands out among Wolf's early Lieder due to the composer's advanced use of tonality and the substantial role he affords tonality in conveying Goethe's text. In this regard, harmonic instability is of significance and is often realised in the song through the use of chromaticism and dissonance. While the use of dissonance and chromaticism is evident in 'Das Vöglein' and 'Die Spinnerin', the scale of the tonal ambition and harmonic ambiguities is significantly greater in 'Gretchens Bitte' and Wolf's portrayal of Gretchen's prayer would not seem out of place if considered alongside his later settings. The expansion of tonality in 'Gretchens Bitte' appears to be a direct response to the text as harmonic ambiguities convey Gretchen's isolation and sorrow. In 'Gretchens Bitte', chromaticism often presents itself in the form of augmented intervals while dissonant chords are often produced with the use of augmented sixth and diminished seventh chords, and these harmonies typically relate to the depiction of Goethe's text. Wolf frequently used dissonance in his songs to convey anger and sadness<sup>306</sup> – this is a recurring element in 'Gretchens Bitte' and a feature that is characteristic of later directions. It is evident as early as the piano introduction. Although the Lied is assigned the key signature of F minor, the tonality of F minor is not established fully at any point in the opening bars, as Wolf's use of seventh chords and diminished seventh chords eschew any sense of the tonic harmony (see Example 2.13).

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<sup>306</sup> J. W. Smeed, *German Song and its Poetry 1740–1900*, pp. 293–294.

**Example 2.13: Wolf, 'Gretchen's Bitte', bars 1–3**

Sehr langsam und mit der innigsten Empfindung *p*

Ach nei - ge,

*p* *pp* *p* *pp* *p* *mf*

Ger6 V7d  
in alternative  
position

#IVdim7b #Vdim7a VII7a Ia VII7c Ib

Although a resolution to the tonic in F minor is provided, it occurs on a weak beat and Wolf immediately destabilises the harmony with the flattened supertonic in the context of F flat minor resolving to the subdominant seventh in E flat minor in bar 4 before G flat Major is confirmed in bar 5. Deborah Stein refers to this kind of tonal confusion as 'opening ambiguity' and notes it to be a feature of Wolf's song settings.<sup>307</sup> In this instance, the lack of tonal clarity is related to the text as harmony is distanced from the tonic, serving as a poetic metaphor for Gretchen's isolation and the sadness she feels as she begins to pray. The ambiguity conveys the famous lyric, 'Ach neige du Schmerzenreiche' ['O Virgin Mother, thou / Who art full of sorrows, bow']<sup>308</sup> An example of Wolf's use of dissonance as a means of emphasising Gretchen's isolation occurs in bars 24–35 in the form of a piano interlude. At the end of the preceding strophe, a brief period of harmonic ambiguity involving G flat major and the relative E flat minor – a further metaphor to convey Gretchen's inner conflict as she is alone by the shrine – concludes with an unsatisfactory half cadence in the minor key on 'allein' ['alone']. Wolf's elaborate interlude – characterised by the presence of both German and Italian sixths – serves to prolong Gretchen's agony.

<sup>307</sup> Deborah J. Stein, *Hugo Wolf's Lieder and Extensions of Tonality* (London: UMI Research Press, 1985), p. 188.

<sup>308</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, p. 114.

Wolf's choice of musical rhythms is of significance with regard to his portrayal of Gretchen. Analysis of the introductory vocal rhythm shows how durational accents are placed on poetic stresses, with an increase in emphasis as the phrase progresses indicating that the heaviness of Gretchen's heart is impacting on her ability to sing (see Example 2.14a, 2.14b, 2.14c and 2.14d).

**Example 2.14a: Simple BRD of Goethe's *Zwinger*, ll. 3587–3589**

**Example 2.14b: BRD-variant of Goethe's *Zwinger*, ll. 3587–3589**

**Example 2.14c: Hypothetical BRD-conformant vocal line for Wolf's 'Gretchens Bitte', bars 1–4**

**Example 2.14d: Opening vocal line of Wolf's 'Gretchens Bitte'**

There are several departures from the BRD of the text in the opening vocal phrase, each causing the pace of declamation to fluctuate. Wolf's musical response to the silences implied by the earliest poetic caesuras is irregular; he sets the pace of declamation at one stress per in

observing the caesura at the end of the first poetic line, but immediately quickens the pace of declamation to two stresses per bar and neglects the caesura at the end of the next line. The composer does not hesitate to disturb the rhythmic declamation further in this phrase as an elongation on 'gnädig' displaces the rhythm, leading to an initial slowing in the pace of declamation prior to a rapid acceleration of the same. This ensures stresses are not equidistant and this disregard for the BRD continues into subsequent musical phrases (bars 7–8 and bars 11–12). The unpredictability of Wolf's musical rhythms – a result of both a refusal to abide by the stress patterns of the poetic rhythm and the various means used to achieve this aim – successfully depicts Gretchen's torment.

Gretchen's agony is prolonged by the F minor tonality which is merely implied in the opening bars and confirmed in the concluding cadence of the Lied. There are repeated configurations in the accompaniment despite the fact that for the most part, the piano accompaniment functions independently to the Lied. In bar 36, for example, the harmonic texture changes as arpeggiated triads are outlined to a quaver rhythm in the piano accompaniment. The change in harmonic texture prepares the accompaniment for the line 'wie weh, wie weh, wie wehe' ['how sad, how sad, how sad']. On this lyric, Wolf uses the thematic gesture of a falling vocal line to depict Gretchen's sighs and the arpeggiated motion in the right-hand accompaniment counteracts this vocal line, filling the moments of silence between syllables with sound, which conveys Gretchen's inability to escape from her sorrows. This thematic gesture is presented transposed up a third in bars 44–45 – one of the rare instances where motivic material is reused in this composition – and once again the falling lines have a textual function as they depict the tears Gretchen is shedding. These passages illustrate that Wolf is prepared to allow text and accompaniment to interact in order to unify text and music at moments where it fulfils a musico-poetic purpose.

Sams notes that Wolf tended to use musical tropes to portray particular themes that were present in the poetic texts – in order to portray sorrow, for example, Wolf uses descending melodic movement, usually in the right-hand accompaniment and rarely spanning more than three or four notes in total.<sup>309</sup> The first incidence of this in 'Gretchens Bitte' occurs as early as bar 4 as the descending melodic movement in the vocal line is used to depict 'Schmerzenreiche' ['rich in sorrow'] and this is doubled by the right-hand accompaniment. A more striking example is found in the short interlude between strophe three and four where descending melodic movement in the right-hand accompaniment coincides with brisk changes in key (D flat major – G flat major – E flat minor) to mark the internalisation of Gretchen's thoughts. This thematic gesture is not unique to Wolf's setting – Wagner's 'Melodram Gretchens' exhibits the same thematic gesture as does Schubert's 'Gretchen im Zwinger', although to a lesser extent. In order to portray love, Sams claims that Wolf often uses two separate melodic strands in the right-hand accompaniment, and they either diverge or join together in unison.<sup>310</sup> The use of separate melodic strands is a recurrent feature in 'Gretchens Bitte', but contrary to Sams' belief, the gesture appears to represent Gretchen's isolation as opposed to love.

It is evident that Wolf has carefully considered how to use the tonal trajectory as a means of increasing dramatic tension and perhaps the most obvious example coincides with the end of the penultimate strophe. A perfect cadence is anticipated in bar 65 only for a deflected cadence to occur instead. By preparing the cadence in this way, Wolf is once again playing upon the listener's expectations. The composer is deliberately destabilising the harmony by avoiding confirmation of the tonic key and the dramatic tension is continued with ascending movement in the piano accompaniment (see Example 2.15).

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<sup>309</sup> Eric Sams, *The Songs of Hugo Wolf* (London: Butler and Tanner, 1961), p. 17.

<sup>310</sup> *Ibid.*, p. 13.

**Example 2.15: Wolf, 'Gretchens Bitte', bars 63–67**

The image shows a musical score for Example 2.15, consisting of two systems of staves. The top system contains a vocal line and a piano accompaniment. The vocal line is in a treble clef with a key signature of three flats (E-flat major) and a common time signature. The lyrics are 'in mei - nem Bett schon auf.' The piano accompaniment is in a grand staff (treble and bass clefs) and includes dynamic markings such as *p*, *cresc.*, and *sf*. The bottom system continues the piano accompaniment, showing a transition from a *sf* dynamic to a *cresc.* and back to *sf*. The piano part features complex chordal textures and arpeggiated figures.

The music swells to coincide with Gretchen's cry for help, which eventually takes place in bar 68. Wolf's obvious intention with 'Gretchens Bitte' is to create harmonic tension and ambiguity throughout by contrasting moments of tonal stability with prolonged periods of tonal instability which in turn portrays Gretchen's downward spiral and loss of control as she seeks solace through her faith.

Deborah Stein notes that Wolf's periods of harmonic ambiguity tend to coincide with changes in the poetic text.<sup>311</sup> In bars 46–67, and initiated on the line 'das Herz zerbricht in mir' ['I cry as if my heart breaks']<sup>312</sup> the harmonic texture is altered significantly as Wolf replaces the previously arpeggiated accompaniment with block chords that deviate from the conventional harmonies of Wolf's predecessors. This prolonged period of harmonic

<sup>311</sup> Deborah J. Stein, *Hugo Wolf's Lieder and Extensions of Tonality*, p. 6.

<sup>312</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, p. 114.

instability is what Stein would refer to as the ambiguity phase.<sup>313</sup> Wolf accelerates Goethe's poetry as the harmonic rhythm often changes multiple times within each bar, and this harmonic device has a specific textual function, as the rapid harmonic movement represents Gretchen's inner conflict as she is accelerated towards the moment where she cries out for help. This cry in bar 68 is supplemented with the tonic chord of F minor and here begins the clarification phase, as Stein would classify it.<sup>314</sup> The final confirmation of the F minor tonality in bar 85 is a characteristic device Wolf often resorted to in order to resolve tension.<sup>315</sup> It is therefore evident that, as a result of advancing the functions of tonality, the function of the accompaniment is also enhanced, indicative of the new pathos of post-Wagnerian song that came into effect.

Susan Youens states that Wolf's song aesthetic only emerged in his late twenties and that, up until that point, the composer had found himself imitating the songs of Schumann.<sup>316</sup> However, the relatively unknown 'Gretchens Bitte' contradicts that statement by exhibiting many of the features that have come to be associated with Wolf's song aesthetic. The progressive use of tonality, the advancement in the function of the piano accompaniment and the subservience of the voice are traits that have been associated with Wolf's later work and post-Wagnerian song in general, but these ideas are present in this teenage work, if only at a formative stage. It is also evident in 'Gretchens Bitte' that Wolf had already formulated his own ideas on how to convert poetic themes into musical motifs. Consequently, this setting is a significant early Wolf work that sheds light on the formation of his compositional identity and it is the establishment of this post-Wagnerian identity that renders 'Gretchens Bitte' a milestone *Faust* setting worthy of reappraisal.

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<sup>313</sup> Deborah J. Stein, *Hugo Wolf's Lieder and Extensions of Tonality*, p. 174.

<sup>314</sup> *Ibid.*, 176.

<sup>315</sup> Eric Sams, *The Songs of Hugo Wolf*, p. 5.

<sup>316</sup> Susan Youens, *Hugo Wolf: The Vocal Music*, p. 4.

'Gretchens Bitte' is the only Goethe setting by Hugo Wolf which does not feature in Wolf's published collection, *Goethe-Lieder*, and this has contributed to its neglect in musicology. Eric Sams' book *The Songs of Hugo Wolf* focuses only on the songs published in the composer's lifetime, with Gerald Moore endorsing Sams' decision to do so in the foreword.<sup>317</sup> No explanation is given as to why unpublished settings – of which Wolf's 'Gretchens Bitte' is one – deserved to be excluded from a comprehensive study of Wolf's songs.<sup>318</sup> It would be convenient to dismiss 'Gretchens Bitte' as being unworthy of publication on account of its youth were it not for the fact that 'Das Vöglein' (text by Friedrich Hebbel, 1813–1863) and 'Die Spinnerin' (text by Friedrich Rückert, 1788–1866) pre-date 'Gretchens Bitte' and were published by Wolf as part of *Sechs Lieder für eine Frauenstimme* (1888). Wolf also set Goethe texts to song in 1875–76 – songs Frank Walker intimated to be in no way worthy of publication.<sup>319</sup> Wolf could have published 'Gretchens Bitte' in his selection of songs for *Sechs Lieder für eine Frauenstimme*, therefore it must be significant that he chose not to do so and then neglected to publish the setting in the Goethe songbook two years later. With that in mind, 'Gretchens Bitte' is a curious and glaring omission from the Goethe collection. Wolf could not have felt 'Gretchens Bitte' was unworthy of publication unless he thought it to be an unsuccessful interpretation of Goethe's text, and as Wolf gained a reputation for only setting well-known texts if they had not already been set successfully, it is unlikely he thought his interpretation of Gretchen's Prayer to the Virgin was not worth publishing.

Amanda Glaubert states that Wolf – around the time of the Goethe songbook – was influenced by a Nietzschean aesthetic which led him to believe integrity is only possible in

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<sup>317</sup> Ibid., ix.

<sup>318</sup> Ibid.

<sup>319</sup> Frank Walker, *Hugo Wolf: A Biography*, p. 116.



that which is small.<sup>320</sup> One possible theory for 'Gretchens Bitte' going unpublished is Wolf's desire to maintain the integrity of both 'Gretchens Bitte' and the settings included in his Goethe songbook. If Wolf included 'Gretchens Bitte' in the Goethe songbook – a setting of one of the most iconic scenes in German literature – there was a danger that it could overshadow the entire songbook, as the published settings were based on Goethe's lesser-known poetry. Wolf was also concerned with the lack of artistic significance that was being attributed to his song settings and would have been aware of how another setting of Gretchen's 'Prayer to the Virgin' could be received.<sup>321</sup> It is these philosophical and aesthetic considerations that led Wolf's unpublished setting to evade the scholarly attention it merits.

## **2.7 A symphonic Faust: Mahler, Symphony No. 8 (1906)**

As with all prominent nineteenth-century song composers, Gustav Mahler (1860–1911) set Goethe's *Faust* to music; however he differed from his predecessors by setting *Faust* as a symphony. Mahler's Symphony No. 8 in E flat major is divided into two parts; the first part is based on a ninth-century Christian hymn, *Veni, creator spiritus*, which was translated into German by Goethe and features in his complete works while the second part of the symphony focuses on the conclusion of Goethe's *Faust II* and Faust's redemption as his soul ascends into heaven.<sup>322</sup> Mahler's decision to set *Faust* to music is remarkable for a variety of reasons. Firstly, Mahler refused to set great poetry to music throughout his compositional career as he believed that great poetry deserved to stand alone and that great poetry could only be damaged if set to music.<sup>323</sup> In the *Eighth Symphony*, Mahler made Goethe's *Faust* his only

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<sup>320</sup> Amanda Glaubert, *Hugo Wolf and the Wagnerian Inheritance* (Cambridge: Cambridge University Press, 1999), p. 33.

<sup>321</sup> *Ibid.*, p. 32.

<sup>322</sup> Henry-Louis de la Grange, *Gustav Mahler: Vol III Vienna: Triumph and Disillusion* (Oxford: Oxford University Press, 1999), p. 892.

<sup>323</sup> James L. Zychowicz in James Parsons (ed.), *The Cambridge Companion to the Lied* (Cambridge: Cambridge University Press, 2004), p. 143.

exception to that rule.<sup>324</sup> Mahler's Symphony No. 8 is described by Vernon Wicker as the composer's first truly triumphant work and the popularity it gained after its Munich première is evidently indebted to the success of Goethe's *Faust*, and in particular, the use of the concluding scene from *Faust II* which was incredibly popular in German-speaking areas.<sup>325</sup> Secondly, Henry-Louis de la Grange argues that Mahler was preoccupied with the idea of his *magnus opus* while writing his *Eighth Symphony* and that, having completed three instrumental symphonies in succession, Mahler was now seeking to take a new approach in the *Eighth Symphony* by synthesising all stylistic forms and musical techniques in the one symphony.<sup>326</sup> It is interesting that Mahler chose to set the most iconic text by the most revered literary figure in nineteenth-century Germany with his *magnus opus* in mind. The ambition is reminiscent of Wagner's *Faust Overture* in the sense that Mahler, like Wagner, saw Goethe's *Faust* as a means of continuing the symphonic legacy left behind by Beethoven's Ninth.<sup>327</sup> Deryck Cooke believes that Mahler's Symphony No. 8 managed to continue the symphonic legacy of Beethoven's Ninth as it brought about a second optimistic period of humanism in the twentieth-century after Beethoven's Ninth had brought about the first period of humanism in 1824.<sup>328</sup> Eftychia Papanikolaou views the symphony as a statement of affirmation as opposed to metaphysical agony and believes the enormity of the music reflects Mahler's own optimism.<sup>329</sup> Mahler was aware of the potential significance of the *Eighth Symphony* and came to regard the *Eighth Symphony* as his greatest accomplishment.<sup>330</sup> Finally, Mahler was a historically aware composer with a profound knowledge of musical styles and techniques and his intention was to synthesise the history of

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<sup>324</sup> Henry-Louis de la Grange, *Gustav Mahler: Vol III Vienna: Triumph and Disillusion*, p. 890.

<sup>325</sup> Vernon Wicker, *Gustav Mahler: The Symphonies* (Aldershot: Scolar Press, 1985), p. 213.

<sup>326</sup> Henry-Louis de la Grange, *Gustav Mahler: Vol III Vienna: Triumph and Disillusion*, p. 890.

<sup>327</sup> *Ibid.*

<sup>328</sup> Deryck Cooke, *Gustav Mahler: An Introduction to his Music* (Cambridge: Cambridge University Press, 1988), p. 92.

<sup>329</sup> Eftychia Papanikolaou in Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*, p. 197.

<sup>330</sup> Vernon Wicker, *Gustav Mahler: The Symphonies* (Aldershot: Scolar Press, 1985), p. 213.

music through the *Eighth Symphony*.<sup>331</sup> Mahler's symphonic ambitions began with a desire to establish a synthesis between the traditional song-cycle and the symphony. Stephen E. Hesling states that the Lied is central to Mahler's creative *oeuvre*, even though the composer has become known more for his composition of post-Wagnerian symphonies.<sup>332</sup> In writing his First Symphony in 1888, Mahler appropriated material found in his song cycle, *Lieder eines fahrenden Gesellen* and fused it with instrumental ideas.<sup>333</sup> Mahler thought that his orchestral settings were merely an extension of the genre of the Lied, referring to them as 'Lieder-Abende mit Orchester'.<sup>334</sup> His greatest achievement in this endeavour is widely regarded to be *Das Lied von der Erde* (1908) which immediately followed Symphony No. 8.<sup>335</sup> The fact that Mahler set Goethe's *Faust* to music in order to achieve this ambition of synthesising the history of music is an endorsement of the contribution Goethe's *Faust* made to music in the nineteenth-century, and in particular, the genre of the Lied.

As Michael Kennedy notes, Symphony No. 8 saw Mahler revert to using text to communicate his musical ideas as he did in symphonies Nos. 2, 3 and 4, and the theme of redemption, which had previously preoccupied Mahler during the 1890s also returned.<sup>336</sup> In the first of two preliminary programme sketches that have survived, Mahler indicated that a hymn should be included in the framework of the symphony, but the actual text to this hymn was not specified.<sup>337</sup> Constantin Floros suggests that the hymn intended may have been the final section of the 'Walpurgisnacht' in *Faust II*, where Eros is born through the collision of Fire and Water.<sup>338</sup> Floros believes that Mahler intended to combine the Christian hymn with the humanist aspect of Goethe's 'Walpurgisnacht' text, but in failing to realise this idea, turned

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<sup>331</sup> Ibid.

<sup>332</sup> Stephen E. Hesling in Rufus E. Hallmark, *German Lieder in the Nineteenth Century* (Oxford: Taylor & Francis, 2001), p. 273.

<sup>333</sup> Ibid.

<sup>334</sup> Lorraine Gorrell, *The Nineteenth Century German Lied*, p. 318.

<sup>335</sup> Ibid.

<sup>336</sup> Michael Kennedy, *Mahler* (London: Dent, 1974), p. 149.

<sup>337</sup> Henry-Louis de la Grange, *Gustav Mahler: Vol III Vienna: Triumph and Disillusion*, p. 889.

<sup>338</sup> Ibid.

his attention to the closing scene of *Faust II* instead.<sup>339</sup> If Floros is correct, then Goethe's *Faust* may have been the catalyst behind Mahler's philosophy in terms of how he perceived the future of the symphony and what he aspired to achieve with it. Dieter Borchmeyer subscribes to Floros' opinion noting that '*Veni, creator spiritus* and the Chorus Mysticus merge together in the secularizing spirit of Goethe.'<sup>340</sup> The parallel in logic that exists between these two texts was noted by Goethe. Mahler also identified this thematic unity and conveyed the correlation in Symphony No. 8.

Cooke notes the paradox that lies in the *Eighth Symphony* between the lyrical content and Mahler's musical depiction, which in turn unifies the sacred and the secular.<sup>341</sup> In Part One of the symphony, Mahler transforms *Veni, creator spiritus* into 'a great confident shout by humanity to the skies for the creative vision that the modern world so desperately needs' whereas in Part Two, the Mystic Chorus is treated with a religious chorale.<sup>342</sup> Themes that are presented in Part One recur in Part Two and each theme is assigned to a specific family of instruments – the rhythm and melody of the theme may be altered but the theme is always presented within a particular family.<sup>343</sup> This author would agree with Clytus Gottwald's observation that Mahler's symphony does not merely link the Christian Utopia with a Faustian Utopia, but it presents two separate aspects of a single Utopia, which is established by interweaving themes between the two parts.<sup>344</sup> This symphony changed Mahler's outlook on thematic material and in future works, he sought to create themes that were instantly recognisable when restated, but differed from what had been heard previously.<sup>345</sup> Wicker identifies Mahler's thematic approach as Wagnerian as Wagner's categories of *Ahnung*,

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<sup>339</sup> Ibid.

<sup>340</sup> Donald Mitchell, *Discovering Mahler: Writings of Mahler 1955–2005* (Suffolk: Boydell Press, 2007), p. 448.

<sup>341</sup> Deryck Cooke, *Gustav Mahler: An Introduction to his Music*, p. 92.

<sup>342</sup> Ibid.

<sup>343</sup> Henry-Louis de la Grange, *Gustav Mahler: Vol III Vienna: Triumph and Disillusion*, p. 905.

<sup>344</sup> Clytus Gottwald in 'Mahlers Achte', Peter Ruzicka (ed.), *Mahler: Eine Herausforderung* (Wiesbaden: Breitkopf & Härtel, 1977), p. 208.

<sup>345</sup> Henry-Louis de la Grange, *Gustav Mahler: Vol III Vienna: Triumph and Disillusion*, p. 906.

*Vergegenwärtigung* and *Erinnerung* are applicable to Mahler's composition.<sup>346</sup> It is likely that this reconsideration of how to present thematic material was inspired by the particular challenge of setting the 'Mountain Gorges' scene from *Faust II*. Mahler's Symphony No. 8 has been nicknamed the 'Symphony of a Thousand' and the German press were incredibly critical of the size of the orchestra.<sup>347</sup> Given Mahler's attention to detail and his fondness of intricacies, the size of the orchestra was necessitated by the very nature of the concluding scene of Goethe's *Faust II*. Mahler had not only to consider the setting of the scene and its ever-changing backdrop, but also the need to portray a plethora of characters and evoke a series of metaphysical themes while promulgating the drama. This textural richness is required given Mahler's intention to fuse styles and in the second part of the symphony alone, an array of genres are presented – recitative and arioso; hymn, chorale and song.<sup>348</sup> Despite engaging with a multiplicity of genres in setting Goethe's *Faust*, there is simplicity to Mahler's scoring that is not evident in his previous symphonies.<sup>349</sup> Mitchell puts forward two possible reasons for this, believing that the simplicity is either an attempt to replicate Goethe's forthright style of writing or a conscious attempt to avoid detracting from the brilliance of Goethe's text.<sup>350</sup> The latter explanation is more convincing as Mahler evidently held Goethe's *Faust* in high esteem and would not have been immune to the same challenges and difficulties that nineteenth-century Lieder composers faced in setting *Faust* to music. Mahler chose to adapt his compositional style to meet the demands of setting *Faust* and that is why Cooke regards Mahler's Symphony No. 8 as being separate to any compositional period, regardless of Mahler's own classification.<sup>351</sup>

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<sup>346</sup> Vernon Wicker, *Gustav Mahler: The Symphonies*, p. 230.

<sup>347</sup> Michael Kennedy, *Mahler*, p. 151.

<sup>348</sup> Vernon Wicker, *Gustav Mahler: The Symphonies*, p. 227.

<sup>349</sup> Donald Mitchell, *Songs and Symphonies of Life and Death* (London: Faber & Faber, 1985), p. 578.

<sup>350</sup> *Ibid.*

<sup>351</sup> Deryck Cooke, *Gustav Mahler: An Introduction to his Music* (Cambridge: Cambridge University Press, 1988), p. 92.

Carl Niekerk believes that the ambiguity of Faust as a figure of cultural history in the nineteenth-century would also have appealed to Mahler.<sup>352</sup> Goethe's character Faust is similar to Wagner's Siegfried in that they are both figures of German Nationalism, but Faust is associated with modernity whereas Siegfried is associated with the Middle Ages.<sup>353</sup> Niekerk posits that by setting Goethe's *Faust* to music, Mahler is expressing a level of dissatisfaction with the nationalistic Wagner.<sup>354</sup> Further evidence that this may have been the case is contained in Franklin's view that – in relation to the Eternal Feminine – Mahler 'strategically read Goethe's intention as a celebration of erotic love and the fusion of a now incorporeal male subject with its desired female object' as opposed to Wagner's 'redemption through love'.<sup>355</sup> Kennedy argues that the fusion between the Eternal Feminine and the Platonic Eros is where Mahler falls short of the mark with the Eighth Symphony.<sup>356</sup> He argues that in the second part of the symphony, the material is more episodic than symphonic and that in its expression of religiousness and mysticism, and in terms of originality, it pales in comparison to earlier symphonies.<sup>357</sup> This author disagrees, subscribing to Mitchell's belief that the symphonic structure should not detract from the quality of the symphony, and that there is a symbolic importance to Symphony No. 8 in how it documents changes in society – the increase in secularisation, the new thinking towards human psychology and the association between the creative impulse and sexuality.<sup>358</sup> Mitchell describes the symphony as a 'musico-philosophical landmark' that is present even in the twenty-first-century, due to the audacious union between creativity and Eros and the assertion that creativity is promulgated by

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<sup>352</sup> Carl Niekerk, *Reading Mahler: German Culture and Jewish Identity in Fin-de-siècle Vienna* (Rochester: Camden House, 2010), p. 159.

<sup>353</sup> Ibid.

<sup>354</sup> Ibid.

<sup>355</sup> Peter Franklin, 'Mahler, Gustav' <http://www.oxfordmusiconline.com> [Accessed 24 May 2013]

<sup>356</sup> Michael Kennedy, *Mahler*, p. 154.

<sup>357</sup> Ibid.

<sup>358</sup> Donald Mitchell, *Discovering Mahler: Writings of Mahler 1955–2005*, p. 451.

sexuality.<sup>359</sup> Mahler's advancement of the symphony is reminiscent of Goethe's modernisation of *Faust* in that both entities serve as cultural commentary of the time.

Nineteenth-century song composers established Gretchen as a protagonist of the Lied by setting Goethe's Gretchen's scenes to music – at the beginning of the twentieth-century, Mahler's Symphony No. 8 ensured Faust is represented as a figure of modernity, not only in Goethe's poetry, but also in music.

## **2.8 Faust in translation: Berlioz's *Faust* settings (1829, 1846)**

Gérard de Nerval's translation of Goethe's *Faust I* had an immediate impact on the French composer, Hector Berlioz (1803–1869).<sup>360</sup> In this period of his life, Berlioz was particularly creative and he found himself identifying instantaneously with the Faustian man.<sup>361</sup> In a letter dated 16 September 1828, Berlioz professed that Shakespeare and Goethe were 'the mute confidants of my woes, the interpreters of my life'.<sup>362</sup> Berlioz informed Goethe in a letter dating back to spring 1828 that he had tried to resist setting *Faust* to music but felt that he was compelled to do so nonetheless.<sup>363</sup> 'The Roi de Thulé' was Berlioz's first setting and it was followed by a further seven settings. Published as *Huit Scènes de Faust* in 1829, Ernest Newman has referred to the work as 'the most outstanding Opus 1 that the world of music had ever known'.<sup>364</sup> Cairns describes *Huit scènes* as 'a series of disconnected, brilliantly illuminated moments, a musician's response to the most obviously "musical" passages in the drama, not a unified whole'.<sup>365</sup> *Huit Scènes* was unpopular with Berlioz's contemporaries and received much criticism, and following a performance on 1 November 1824, Berlioz took it

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<sup>359</sup> Ibid., p. 455.

<sup>360</sup> Hugh MacDonald, 'Berlioz, Hector' <http://www.oxfordmusiconline.com> [Accessed 24 May 2013]

<sup>361</sup> Ibid.

<sup>362</sup> Hector Berlioz, *The Life and Letters of Berlioz* trans. David Bernard (New York: Cambridge University Press, 2010), p. 37.

<sup>363</sup> David Cairns, *Berlioz 1803–1832: The Making of an Artist* (London: André Deutsch, 1989), p. 273.

<sup>364</sup> Ibid., p. 274.

<sup>365</sup> Ibid., p. 275.

upon himself to collect and destroy all copies of the composition.<sup>366</sup> The strong resistance against *Huit scènes* came about as Berlioz antagonised his contemporaries by reacting against the music of his time.<sup>367</sup> Andrea Hübener states that Berlioz's settings appeared to be 'lawless' despite conforming to his own regulations.<sup>368</sup> The reaction to *Huit scènes* by Berlioz's contemporaries was not entirely negative, however, as A.B. Marx (1795–1866) remarked that he had never seen a composition that was so original.<sup>369</sup> It is not difficult to see why Berlioz's *Faust* settings were contentious. Included in the score for 'Le Roi de Thulé' is an accompanying note and in it, Berlioz asks the performer to refrain from expressing the nuances of Goethe's text as 'it is clear that nothing occupies Marguerite less at the moment than the problems of the King in Thule'.<sup>370</sup> This cannot have been a popular statement in an era where careful enunciation of the text was of paramount importance. Berlioz was not afraid to adapt Goethe's texts either – the 'Soldier's Chorus' is appended to 'Margaret's Monologue' as Berlioz thought that a juxtaposition could enhance both settings.<sup>371</sup> If Berlioz's treatment of Goethe's text did not irk composers who were born into the classicist tradition, then his musical techniques certainly had the potential to do so. In his setting of 'Le Roi de Thulé', Berlioz coined and established the term 'chanson gothique'.<sup>372</sup> Julian Rushton interprets the word gothique as meaning 'unpolished' as defined in the *Oxford English Dictionary* and he notes D. Kern Holoman's belief that this is a hidden reference to Berlioz's use of altered fourths and sixths in 'Le Roi de Thulé'.<sup>373</sup> This technique can be found in the vocal melody for the opening lyric as the king is introduced. Presented in the key of G major,

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<sup>366</sup> Hugh MacDonald, *Berlioz* (Oxford: Oxford University Press, 2000), pp. 14–15.

<sup>367</sup> David Cairns, *Berlioz 1803–1832: The Making of an Artist*, p. 275.

<sup>368</sup> Andrea Hübener in Siobhán Donovan and Robin Elliott (eds.), *Music and Literature in German Romanticism* (Rochester: Camden House, 2004), p. 130.

<sup>369</sup> D. Kern Holoman, *Berlioz* (Massachusetts: Harvard University Press, 1989), pp. 53–54.

<sup>370</sup> *Ibid.*, p. 97.

<sup>371</sup> Julian Rushton, *The Musical Language of Berlioz* (Cambridge: Cambridge University Press, 1983), p. 303.

<sup>372</sup> Julian Rushton, *The Music of Berlioz* (Oxford: Oxford University Press, 2001), p. 172.

<sup>373</sup> *Ibid.*



the melody contains both sharpened fourth degrees and flattened sixth degrees which are far from being concealed (see Example 2.16).

**Example 2.16: Berlioz, 'Le Roi de Thulé', vocal line, bars 7–9**



In 1845, Berlioz returned to Goethe's *Faust* for the composition of *La Damnation de Faust* (1846). *La Damnation de Faust* was billed as a 'dramatic legend' and Berlioz revised his *Huit scènes* in order to incorporate them into *La Damnation de Faust*. Only the 'Concert de sylphes' required extensive revisions and Cairns argues that, even after these revisions were carried out, the setting is still recognisably the same.<sup>374</sup> MacDonald notes that Berlioz 'expanded the work into a broad conception of Faust as an aspiring, yearning soul, overwhelmed by the immensity of nature, with a heart sensitive to emotion at many levels, yet ultimately damned by his inner weaknesses, which Mephistopheles both represents and exploits.'<sup>375</sup> *La Damnation de Faust* was performed on two occasions at the Paris Opéra-Comique during 1846, but the venue was half-empty and Berlioz later confessed that nothing hurt him more than this 'unexpected indifference' to his *La Damnation de Faust*.<sup>376</sup> The dramatic legend did find an admirer in fellow progressive, Hugo Wolf, who described *La Damnation* as a 'fragmentary mosaic, a building without a plan, full of the most beautiful detail, but without a conscious aim.'<sup>377</sup> Wolf compared *La Damnation* to Schumann's *Szenen*

<sup>374</sup> David Cairns, *Berlioz 1803–1832: The Making of an Artist*, p. 274.

<sup>375</sup> Hugh MacDonald, 'Berlioz, Hector', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 24 May 2013]

<sup>376</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 250.

<sup>377</sup> Frank Walker, *Hugo Wolf: A Biography*, p. 159.

aus Goethes *Faust* and stated, although Schumann's oratorio was more faithful to Goethe's *Faust*, it was inferior to Berlioz in terms of its musical content.<sup>378</sup>

## 2.9 Faust in Weimar: Liszt's *Faust* settings (1843, 1854–1857)

Liszt was introduced to Goethe's *Faust* by Berlioz in 1830 and for a long period of time, he held a desire to set *Faust* to music.<sup>379</sup> Sketches dated to the 1840s suggest Liszt was contemplating setting *Faust* to instrumental music but David Larkin suggests Liszt's extensive touring commitments probably prevented him from completing the work.<sup>380</sup> In early 1844, while using Weimar as a base for these touring commitments, Liszt gave a private performance in Jena where he improvised music to scenes from Goethe's *Faust* at the request of Carl Alexander of Weimar and Prince Anton Radziwill.<sup>381</sup> Alan Walker argues that it was only when Liszt settled in Weimar – a city that continued to resonate with Goethe's spirit – that he was able to manage a realisation of Goethe's iconic text.<sup>382</sup> Over a two-month period in 1854, character sketches were completed for Faust, Gretchen and Mephistopheles and the Mystic Chorus from Goethe's *Faust II* was added later in 1857.<sup>383</sup> Liszt's son-in-law, Émile Ollivier, noted in a diary entry dated 6 August 1861 that Wagner had remarked that '*Faust* can't be done again' following Liszt's symphony, but that the composer vehemently objected to the inclusion of the 'Mystic Chorus.'<sup>384</sup> Eleanor Perenyi notes that Wagner's criticism of Liszt's addition was more a complaint against the fact that Liszt constantly revised his works than a complaint against the quality of the inclusion.<sup>385</sup> Liszt conducted the first performance on 5 September 1857 at Weimar in a concert that was organised to commemorate the

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<sup>378</sup> Ibid.

<sup>379</sup> Alan Walker, 'Liszt, Franz', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 24 May 2013]

<sup>380</sup> David Larkin in Siobhán Donovan and Robin Elliott (ed.), *Music and Literature in German Romanticism*, p. 88.

<sup>381</sup> Michael Saffle, *Liszt in Germany 1840–1845* (New York: Pendragon Press, 1994), pp. 166–167.

<sup>382</sup> Alan Walker, 'Liszt, Franz', *Grove Music Online*

<sup>383</sup> Adrian Williams, *Portrait of Liszt: by Himself and his Contemporaries* (Oxford: Clarendon Press, 1990), p. 309.

<sup>384</sup> Ibid., p. 379.

<sup>385</sup> Eleanor Perenyi, *Liszt: The Artist as Romantic Hero* (Boston: Little Bost, Brown & Company, 1974), p. 364.

unveiling of the Goethe-Schiller monument in Weimar, the statue of Wieland and the laying of the foundation stone for a memorial to the Grand Duke Karl August.<sup>386</sup> Liszt also premièred his setting of Schiller's *Die Ideale*, but it was the Faust Symphony that caught the audience's imagination.<sup>387</sup> The Faust Symphony is now regarded as Liszt's orchestral masterpiece and the score was dedicated to Hector Berlioz.<sup>388</sup>

One of the primary reasons why Liszt's Faust Symphony is regarded as an orchestral masterpiece is because it contains a number of inventions that separate it from other works of the period. The first movement which is dedicated to Faust contains a re-imagination of sonata form – a slow introduction is followed by a lengthy exposition that sees some of the thematic material developed.<sup>389</sup> The actual development section is short by conventional standards and the recapitulation and coda is condensed.<sup>390</sup> The first of five Faust themes that Derek Watson identifies in the first movement is used to portray the magical and mystical side of Faust's personality and it takes the form of a series of four augmented triads which in turn is one of the earliest examples of the 12-tone row being used in a composition.<sup>391</sup> The third movement, which is dedicated to the portrayal of Mephistopheles, has been widely praised by Liszt scholars for its treatment of Goethe's poetry. Although Liszt does not narrate Goethe's text in his Faust Symphony, he is more than acutely aware of Goethe's characterisation of the drama's protagonists. Recognising Mephisto's sterile nature, Liszt chooses not to include themes for Mephisto – instead, Mephisto borrows Faust's themes, mocking and parodying the themes in a series of musical distortions.<sup>392</sup> The only motif that is designated to Mephistopheles is a 'pride' motif extracted from Liszt's own *Malediction*

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<sup>386</sup> Ronald Taylor, *Franz Liszt: The Man and the Musician* (London: Grafton, 1986), p. 143.

<sup>387</sup> Claude Rostand, *Liszt* (New York: Vienna House, 1972), p. 63.

<sup>388</sup> Alan Walker, 'Liszt, Franz', *Grove Music Online*

<sup>389</sup> Derek Watson, *Liszt* (London: Dent, 1989), p. 275.

<sup>390</sup> *Ibid.*

<sup>391</sup> *Ibid.*

<sup>392</sup> *Ibid.*

*Concerto* (1833).<sup>393</sup> While Faust's themes are twisted in the third movement, Gretchen's motifs enter as they were presented in the second movement as Mephisto does not have the power to corrupt Gretchen.<sup>394</sup>

In addition to his *Faust Symphony*, Liszt also composed songs based on the Faust myth. The most well-known of these are the four *Mephisto Waltzes* which were based on *Faust* (1836) by Nikolaus Lenau (1802–1850). Liszt did, however, compose two song settings based on Goethe's interpretation of the myth, namely 'Es war ein König in Thule' and 'Soldatenlied'. These were included in his *Studentenlied*, which was published by Schott in 1843 for the benefit of the Mozart Foundation.<sup>395</sup> Liszt's *Studentenlied*, as well as *Rheinweinlied* and *Reiterlied*, were male-choral works which were written for the *Liederkranz* evenings of Wilhelm Speyer (1790–1878) of which *Studentenlied* was dedicated to the composer.<sup>396</sup> 'Es war ein König in Thule' is characterised by the use of a motivic gesture of a falling minor second followed by a falling major second set to a dotted rhythm. The motif is presented in the right-hand accompaniment of the piano and reappears between strophes and it emerges as Gretchen sings of the goblet plunging into the ocean. Gestures are central to this setting as a whole – a descending chromatic gesture depicts the closing of the king's eyelids while rising *staccato* quavers are used to convey the king's affluence; his golden cup, his regal splendour, his keep and his palace. The importance Liszt ascertains to the piano accompaniment therefore leads to an interpretation of the setting whereby Gretchen is merely recalling the tune of the ballad while the piano accompaniment conveys the meaning of the poetic text, which in turn is indicative of the Gretchen tragedy of Goethe's *Faust*.

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<sup>393</sup> Ibid.

<sup>394</sup> Ibid.

<sup>395</sup> Ben Arnold, *The Liszt Companion* (Connecticut: Greenwood Press, 2002), p. 370.

<sup>396</sup> Ibid.

## 2.10 *Faust* and Opera

Goethe's introduction of the love tragedy to *Faust* extended the dramatic possibilities of the myth, transforming Faust into a subject of intrigue for nineteenth-century composers. It was not long after the publication of *Faust I* in 1808 that Goethe's drama achieved iconic status and the popularity of the text in the nineteenth-century challenged composers to set the text as an opera. It was a challenge many canonical German composers failed to take on – Beethoven and Wagner had aspirations to do so which were not realised and Carl Maria von Weber (1786–1826) chose *Oberon* over *Faust* when Charles Kemble (1775–1854) requested writing an opera for a London audience, suggesting the aforementioned German subjects as suitable options.<sup>397</sup> Weber would have taken into consideration the existence of Louis Spohr's *Faust* (1816, revised 1818 and 1852) in making his decision. Spohr's *Faust* was the first significant *Faust*-based opera to emerge following the publication of Goethe's *Faust I*.<sup>398</sup> Although Weber's *Der Freischütz* (1821) is credited with bringing romanticism to the German stage, Spohr's *Faust* is regarded as an important precursor.<sup>399</sup> The libretto by Josef Karl Bernard (1780–1850) contains significant alterations to Goethe's plot and draws on various versions of the myth, although it is evidently influenced by *Faust I*, particularly the inner conflict that Faust experiences in Goethe's drama – a conflict which stems from Faust's good intentions and erotic desires.<sup>400</sup> Thomas S. Grey believes Spohr's *Faust* was inspired mostly by Friedrich Maximilian Klingler's *Faust* and the Viennese tradition of magic play and the didactic spectacle.<sup>401</sup> The Faustian bargain precedes the opera, the comic figures of Goethe's drama are excluded and although the tragedy is enacted, the conclusion of

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<sup>397</sup> Carl van Vechten, *Caruso's Mustache Off: And Other Writings about Music and Musicians* (New York: Mondial, 2010), p.502.

<sup>398</sup> F.W. Sternfeld, 'Faust', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 24 May 2013]

<sup>399</sup> Simon Williams, *Wagner and the Romantic Hero* (Cambridge: Cambridge University Press, 2010), p. 25.

<sup>400</sup> *Ibid.*

<sup>401</sup> Thomas S. Grey in Lydia Goehr and Daniel Herwitz, *The Don Giovanni Moment: Essays on the Legacy of Opera* (New York: Columbia University Press, 2006), p. 97.

Mephistopheles dragging Faust to hell is more in keeping with early versions of the legend.<sup>402</sup> Spohr's *Faust* also resembles the plot of Mozart's *Don Giovanni* (1787) in the sense that Faust, like Don Giovanni, is attracted to both a peasant girl in Röschen and a noblewoman in Kunigunde, and finds his efforts are welcomed more by the peasant girl.<sup>403</sup> Spohr's contemporaries held him in the same regard as Haydn, Mozart and Beethoven – which partly explains the reluctance of Spohr's successors in following his lead of composing German *Faust* operas in the early-mid nineteenth-century – but time has not been as kind to Spohr.<sup>404</sup> Having made an impression with his violin concerti, Spohr sought to establish himself as a composer and envisaged opera as the means of doing so.<sup>405</sup> While initial efforts were unremarkable, he was able to make a notable impression on German opera through *Faust*. Brown notes vast improvements in his characterisation – his chromatic style lending itself well to the contrasting personalities in Goethe's text.<sup>406</sup> Spohr indicated in the programme that his intention was to use unusual tonalities to capture Faust's conflicted persona.<sup>407</sup> Gerald Abraham argues that Spohr's use of tonality may be effective in conveying moods, but it falls short of vivifying the character.<sup>408</sup> Another key feature of the work is the use of motif which has been explored in *Faust* to a greater extent than in the compositions of his predecessors. In the preface to the 1816 Prague première, Carl Maria von Weber noted the delicacy of the motifs – subtleties that Brown argues were unparalleled before Wagner.<sup>409</sup> Spohr revised *Faust* on more than one occasion making drastic changes to the structure of the opera but

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<sup>402</sup> F.W. Sternfeld, 'Faust', *Grove Music Online*

<sup>403</sup> Thomas S. Grey in Lydia Goehr and Daniel Herwitz, *The Don Giovanni Moment: Essays on the Legacy of Opera*, p. 97.

<sup>404</sup> Clive Brown, 'Spohr, Louis', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 24 May 2013].

<sup>405</sup> *Ibid.*

<sup>406</sup> *Ibid.*

<sup>407</sup> Gerald Abraham, *The Age of Beethoven: 1790–1830* (Oxford: Oxford University Press, 1982), p. 486.

<sup>408</sup> *Ibid.*, p. 485.

<sup>409</sup> Clive Brown: *Louis Spohr: A Critical Biography* (Cambridge: Cambridge University Press, 2006), p. 80.

Clive Brown states that in its initial form, it was a 'milestone of German opera whose significance has too often been overshadowed by Weber's *Der Freischütz* (1821)'.<sup>410</sup>

Madame de Staël (1766–1817) introduced *Faust* to a French audience in a chapter of her *De l'Allemagne*, which was written in 1810 but not published until 1814, having been considered to be German propaganda by Napoleon.<sup>411</sup> Five editions of this essay were printed in quick succession and by the mid-1820s, translations of Goethe's *Faust* and stage adaptations of the myth had emerged, establishing *Faust* as the most popular German work in Paris during this period.<sup>412</sup> It did not take long for French operas to be staged – *Faust* (1827) by Philippe-Alexis BÉancourt (1792–1862) and *Fausto* (1831) by Louise Bertin (1805–1877) are two noteworthy examples. It was the 1827 French translation of Goethe's *Faust* by Gerard de Nerval (1808–1855), however, which strongly encouraged French composers to set Goethe's text to music with Hector Berlioz's *La Damnation de Faust* surpassed in popularity by Gounod's *Faust* (1859), which was based on a libretto by Jules Barbier and Michel Carré. Gounod's *Faust* achieved unprecedented success on the stage – it was once acknowledged as the most popular opera in the world and a landmark in the history of opera.<sup>413</sup> It was first performed on 19 March 1859 and received 58 performances at the *Théâtre Lyrique* before it was moved to the Opéra where it managed to accumulate 1,000 performances by 1894.<sup>414</sup> Gounod's opera was by no means an overnight success. Burton D. Fisher claims the opera could have been regarded as neither a critical success nor a failure on the opening night.<sup>415</sup> The audience for the occasion was comprised of prominent male figures from the world of literature, politics and art and although the distinguished audience was not blown away by the première, they did consider the opera to be 'daring and different, far from a mere succession

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<sup>410</sup> Ibid., p. 77.

<sup>411</sup> Sarah Hibberd in Roger Parker and Mary Ann Smart (eds.), *Reading Critics Reading: Opera and Ballet Criticism in France from the Revolution to 1848* (Oxford: Oxford University Press, 2001), p. 111.

<sup>412</sup> Ibid., pp. 111–112.

<sup>413</sup> Burton D. Fisher, *Gounod's Faust* (Miami: Opera Journeys Publishing, 2006), p. 16.

<sup>414</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 252.

<sup>415</sup> Burton D. Fisher, *Gounod's Faust*, p. 15.

of pretty tunes.<sup>416</sup> Fisher believes Madame Carvalho – who performed under the pseudonym Madame Ugalde – brought the first performance of the opera to life with her portrayal of Gretchen.<sup>417</sup> Already a leading contemporary singer, Madame Ugalde was more suited to Gounod's *Faust* than previous roles and this may well be a result of artistic compromises between Gounod and Ugalde regarding the role.<sup>418</sup> The most obvious compromise between Madame Carvalho and Gounod is embodied in 'Air des Bijoux' – 'a glittering waltz song, brilliant of its kind and craftsmanlike in manner'.<sup>419</sup> Madame Carvalho made a habit of altering compositions to showcase her own talent and her demands with Gounod's *Faust* caused the opera to be delayed.<sup>420</sup> James Harding believes some of Goethe's best music is to be found in Gounod's *Faust*, although limitations are also evident – he describes Gounod as being a 'facile melodist who could not resist an easy idea'.<sup>421</sup> One such shortcut is the Soldiers' Chorus, the music of which was taken from Gounod's abandoned *Ivan le terrible* project.<sup>422</sup> The scene begins with a memorable melody over a plodding march idiom which is closer to irony than celebration. It is not surprising that critics met *Faust* with indifference when Gounod follows up the wonderful love duet of Act III with music that appears to do no more than merely fulfil a dramatic function.

The mixed reception meant publishers were reluctant to bring *Faust* to a wider audience.<sup>423</sup> Gounod's *Faust* did, however, make admirers of both Hector Berlioz and Ernest Reyer (1823–1909), who were able to set their own 'aesthetic differences' aside in order to support Gounod's *Faust*, as it promoted a brand of French Opera that responded to the poetic

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<sup>416</sup> Ibid.

<sup>417</sup> Ibid.

<sup>418</sup> Ibid.

<sup>419</sup> James Harding, *Gounod* (Michigan: University of Michigan, 1973), pp. 110–111.

<sup>420</sup> Ibid., p. 106.

<sup>421</sup> Ibid., pp. 108–109.

<sup>422</sup> Steven Huebner, 'Faust (ii)', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 24 May 2013].

<sup>423</sup> James Harding, *Gounod*, pp. 112–113.



text.<sup>424</sup> James Harding believes this treatment of the poetry – which sees the emphasis placed on natural conversation as opposed to declamation – initiated a new trend in French music and that this is where the historical significance of Gounod's *Faust* can be found.<sup>425</sup> David Charlton argues that this innovation in text setting has been largely overlooked.<sup>426</sup> Gounod's 'expression of truth' took advantage of the freedom within French verse, creating unpredictable melodies that complied with the poetic reading but also ascertained the regularity of musical phrase-lengths.<sup>427</sup> According to Steven Huebner, this melodic style encouraged prosodic and semantic nuances.<sup>428</sup> At the time, it was a controversial albeit liberating aesthetic, opposing a generation of composers who had an appreciation for strict rhythmic declamation.<sup>429</sup>

Harding believes Gounod's *Faust* can only pale in a comparison to Goethe's *Faust* as the philosophical character of Goethe's poetry is reduced to an episodic love story in Gounod's opera.<sup>430</sup> This can be identified in the conclusion of Gounod's *Faust* – Gretchen achieves salvation which mirrors the ending of *Faust I*, but Faust's striving for knowledge is removed – in Gounod's *Faust*, the protagonist is in search of youth and pleasure only. The more focused consideration of Gretchen caused German critics to refer to the opera as *Margarethe*.<sup>431</sup> Harding believes the reference can be justified in lieu of Gretchen's prominent role in the opera, but the intention behind the reference was to question the opera's merit by putting distance between Gounod's *Faust* and Goethe's *Faust*.<sup>432</sup> The German critics' general disdain of Gounod's composition was a reaction to its reception by German audiences. The prominence of German Nationalism at the time undoubtedly meant that Gounod's *Faust* was

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<sup>424</sup> Steven Huebner, 'Gounod, Charles-François', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 24 May 2013].

<sup>425</sup> James Harding, *Gounod*, p. 114.

<sup>426</sup> David Charlton in *The Oxford Illustrated History of Opera* (Oxford: Oxford University Press, 1994), p. 153.

<sup>427</sup> *Ibid.*

<sup>428</sup> Steven Huebner, *French Opera at the Fin De Siècle* (Oxford: Oxford University Press, 1999).

<sup>429</sup> David Charlton in *The Oxford Illustrated History of Opera* (Oxford: Oxford University Press, 1994), p. 153.

<sup>430</sup> James Harding, *Gounod*, p. 108.

<sup>431</sup> *Ibid.*

<sup>432</sup> *Ibid.*

a concern for German critics who were keen to protect the iconic status of Goethe as a literary figure and *Faust* as a literary work.<sup>433</sup> An Augsburg newspaper went so far as to suggest Gounod was a Flemish composer, using ancestry to explain the 'Germanic' nature of the opera.<sup>434</sup> It was an agenda Wagner could be accused of partaking in, as he was incredibly critical of Gounod's offering in *Deutsche Kunst und deutsche Politik* (1868) claiming that it destroyed Goethe's iconic text.<sup>435</sup> Despite these attempts to curtail the appreciation of Gounod's opera, the popularity of *Faust* aided the revival of the work in France after the *Théâtre Lyrique* folded and the *Opéra-Comique* ended productions of the opera.<sup>436</sup> In England, Gounod's *Faust* was so successful that the opera became synonymous with the myth rather than Goethe's drama.<sup>437</sup> Gounod's *Faust* was incredibly popular in America as well. It was first performed at the Academy of Music, New York in 1863 and the opera inaugurated the Metropolitan Opera at Broadway and Thirty-Ninth Street.<sup>438</sup>

Arrigo Boito's *Mefistofele* (1868) was the next noteworthy opera based on Goethe's *Faust* to emerge. In 1920, Fausto Torrefranco argued in *The Musical Quarterly* that, although the historical importance of *Mefistofele* has been discounted, it was worth noting his compositional aesthetic and the difficulty in placing him within the Romantic school.<sup>439</sup> Torrefranco defined Boito as a 'humanist of romanticism' – a composer who studied romanticism but who ultimately owed a great deal to classicism.<sup>440</sup> Boito created both the libretti and the music for *Mefistofele*, subscribing to Wagner's theory that opera should involve the composer as a poet. However, the première of *Mefistofele* on 8 March 1868, at Teatro alla Scala in Milan caused outrage – after a five-and-a-half hour performance which

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<sup>433</sup> Ibid.

<sup>434</sup> James Harding, *Gounod*, pp. 113–114.

<sup>435</sup> Steven Huebner, 'Gounod, Charles-François', *Grove Music Online*

<sup>436</sup> Burton D. Fisher, *Gounod's Faust*, p. 15.

<sup>437</sup> Douglas Cole in 'The Impact of Goethe's *Faust* on Nineteenth- and Twentieth-Century Criticism of Marlowe's Doctor Faustus' in *Faust Through Four Centuries* (Berlin: de Gruyter, 1989), p. 186.

<sup>438</sup> Burton D. Fisher, *Gounod's Faust*, p. 16.

<sup>439</sup> Fausto Torrefranco and Julia Gregory, 'Arrigo Boito', *The Musical Quarterly*, Vol 6, No. 4 (1920), pp. 532–552.

<sup>440</sup> Ibid., p. 534.

Boito conducted himself, the audience rebelled on the streets and a ban was applied to subsequent performances.<sup>441</sup> William Ashbrook attributes this reaction to a lack of development in Boito's poorly conceived musical ideas.<sup>442</sup> In his role as music critic, Hugo Wolf expressed his disdain for the opera, referring to it as a 'wretched caricature of Goethe's *Faust*' that would be deemed totally unacceptable by any German.<sup>443</sup> Criticism towards *Mefistofele* can be attributed to the fact that Boito was more a lyricist than a musician.<sup>444</sup> Following the disappointment of the première and suffering a crisis of confidence, his attention reverted to literature.<sup>445</sup> In 1875, Boito revised *Mefistofele* for a première in Bologna, omitting the symphonic intermezzo and the Imperial Palace scene which contributed to the uproar in Milan in 1868.<sup>446</sup> As time went by, the opera grew in stature and it was regarded as a success by the end of his run.<sup>447</sup> This success pales in comparison to the accomplishments of Gounod's *Faust*, however, and critical opinion is divided as to the reasons for that. Ashbrook believes that the music of the 1875 version is outdated with only the prologue and the Prison scene touching on modernity.<sup>448</sup> The music critic, Gustav Kobbé (1857–1918) suggests Boito's decision to leave out Goethe's more popular musical episodes, such as 'Song of the Flea' and 'The King in Thule' made it less identifiable for the audience.<sup>449</sup> This is a point of contention as Sternfeld implies that the extent of Boito's faithfulness to Goethe's *Faust* in the 1868 libretto was problematic and that a reduction in the adherence to Goethe's text contributed to the opera's eventual success.<sup>450</sup> The shift of focus with the

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<sup>441</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 252.

<sup>442</sup> William Ashbrook in *The Oxford Illustrated History of Opera* (Oxford: Oxford University Press, 1994), p. 198.

<sup>443</sup> Henry Pleasants, *The Music Criticism of Hugo Wolf* (New York: Holmes & Meier, 1978), p. 266.

<sup>444</sup> F.W. Sternfeld, 'Faust', *Grove Music Online*

<sup>445</sup> William Ashbrook, 'Boito, Arrigo', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 24 May 2013]

<sup>446</sup> Marcello Conati and Mario Medici (eds.), *The Verdi-Boito Correspondence* (Chicago: The University of Chicago Press, 1994), p. 51.

<sup>447</sup> *Ibid.*

<sup>448</sup> William Ashbrook, 'Boito, Arrigo', *Grove Music Online*

<sup>449</sup> Gustav Kobbé, *The Complete Opera Book (9<sup>th</sup> Ed.)* (London: Putman, 1976), p. 672.

<sup>450</sup> F.W. Sternfeld, 'Faust', *Grove Music Online*

libretto enabled Boito's *Mefistofele* to generate interest in Mephistopheles – a figure less characterised by song than Gretchen – as a dramatic subject.<sup>451</sup> William Grange notes that the popularity of the devil figure accelerated in the twentieth-century<sup>452</sup> – a development which can be traced back to Boito's *Mefistofele*.

Towards the end of the nineteenth-century, and in the midst of Wagner's unmistakable influence on opera, Heinrich Zöllner's *Faust* (1887) emerged.<sup>453</sup> The forgotten four-act opera was premièred in Munich on 19 October 1887. In the twentieth-century, composers turned away from Goethe's *Faust* when setting the myth to music but nevertheless continued Goethe's interest in the metaphysical. *Doktor Faust* (1925) by anti-Wagnerian Ferruccio Busoni (1866–1924) is the most significant Faust opera to emerge in the twentieth-century. Busoni wrote his own libretto based on the myth rather than Goethe's *Faust*, and the opera concludes with Faust dying, 'exhausted in the street, worn out by the struggle to make sense of it all.'<sup>454</sup> Lorna Fitzsimmons notes that the Romantic tradition that dominated Faust opera during the nineteenth-century is replaced in the twentieth-century by an intellectual and emotional transformation of the title hero and that this is apparent in Hanns Eisler's *Johann Faustus* (1952).<sup>455</sup> It was not unusual for *Faust* to be associated with political concerns of the twentieth-century and Eisler's Mann-inspired *Johann Faustus* was an extreme case of this, halted at the libretto stage by the GDR who were concerned about the representation of East German politics through the text's protagonist in Faust.<sup>456</sup> The popularity of Faust as a subject for opera composers has been maintained until the present day – Table 2.1, derived from the

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<sup>451</sup> William Grange, *Historical Dictionary of German Theater* (Maryland: Scarecrow Press, 2006), p. 108.

<sup>452</sup> Ibid.

<sup>453</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 255.

<sup>454</sup> Della Couling, *Ferruccio Busoni: "A Musical Ishmael"* (Maryland: Scarecrow Press, 2005), p. 345.

<sup>455</sup> Lorna Fitzsimmons, *Lives of Faust: The Faust Theme in Literature and Music*, p. 467.

<sup>456</sup> Peter Davies, 'Hanns Eisler's 'Faustus' Libretto and the Problem of East German National Identity', *Music & Letters* Vol. 81, No. 4 (Oxford University Press, 2000), p. 585.

*Oxford Dictionary of Opera*, claims *Faust* to be the basis of at least forty libretti with nineteenth-century *Faust* opera being heavily influenced by *Faust I*.<sup>457</sup>

**Table 2.1: Operas based on Goethe's *Faust***

<b>Composer</b>	<b>Title</b>	<b>Date</b>
Müller	<i>Doktor Faust</i>	1784
I. Walter	<i>Doktor Faust</i>	1787
Hanke	<i>Doktor Faust Libergürtel</i>	1794
Lickl	<i>Faust's Leben, Taten und Höllenfahrt</i>	1799
J. Strauss	<i>Faust's Leben und Taten</i>	1815
Spohr	<i>Faust</i>	1816
Müller	<i>Dr Fausts Mantel</i>	1817
Bishop and others	<i>Faustus</i>	1825
Béancourt	<i>Faust</i>	1827
Saint-Lubin	<i>Le cousin de Docteur Faust</i>	1829
L. Bertin	<i>Fausto</i>	1831
Peellaert	<i>Faust</i>	1834
P.D. Hennebert	<i>Fausto</i>	1835
Rietz	<i>Faust</i>	1835
C. Gordigiani	<i>Fausto</i>	1836
Berlioz	<i>La Damnation de Faust</i>	1846
F. Fuchs	<i>Gutenberg</i>	1846
M. Lutz	<i>Faust and Marguerite</i>	1856
Gounod	<i>Faust</i>	1859
Boito	<i>Mefistofele</i>	1868
Hervé	<i>Le Petit Faust</i>	1869
F. E. Barbier	<i>Faust et Marguerite</i>	1869
F. von Roda	<i>Faust</i>	1872
Valente	<i>Fausto</i>	1875
Zöllner	<i>Faust</i>	1887
Lutz	<i>Faust up to date</i>	1888
Kistler	<i>Faust I. Teil</i>	1905
A. Brüggemann	<i>Margherita</i>	1910
Busoni	<i>Doktor Faust</i>	1925
H. Reutter	<i>Dr. Johannes Faust</i>	1936
Engelmann	<i>Dr. Fausts Höllenfahrt</i>	1951
Kupferman	<i>Dr Faustus Lights the Lights</i>	1953
Bentzon	<i>Faust III</i>	1964
J. Berg	<i>Johannes Doktor Faustus</i>	1966
Pousseur	<i>Votre Faust</i>	1969
Rihm	<i>Faust and Yorick</i>	1977
G. Manzoni	<i>Doktor Faustus</i>	1989

<sup>457</sup> F.W. Sternfeld, 'Faust' *Grove Music Online*

## **2.11 Conclusion: *Faust* as musical text: charting the influence of Goethe and *Faust* on music and the development of the Lied**

As can be seen from this array of musical realisations by canonical composers, settings of Goethe's *Faust* were of fundamental importance to the development of the Lied as a genre and nineteenth-century music as a whole. The synonymous relationship between *Faust* and the Lied was fostered by Goethe in his early collaborative efforts with composers, beginning with Carl Siegmund von Seckendorff, who became the first composer to set *Faust* to song with 'Der König in Thule' in 1782. It was the Second Berlin Liederschule, however, that ignited the trend of setting *Faust* to music. Both Reichardt and Zelter became prominent figures in this movement and they endeared themselves to Goethe with the clarity of expression in their declamatory settings. Analysis of both Reichardt's 'Gott' and Zelter's 'Margarethe' in this chapter proves that the accompaniment in these early *Faust* Lieder could be tasked, in part, with portraying the character of the poetry – contrary to the scholarly perception of the Second Berlin Lieder school that the role of the accompaniment was to provide harmonic support. The extended function of the piano accompaniment is demonstrated further in Beethoven's 'Aus Goethes Faust', where it has a characteristic role. Beethoven's *Faust* Lied is a landmark setting, sitting among the earliest *Faust* settings and a rare example of a comic song. The composer's status in early nineteenth-century Germany paved the way for Schubert to follow in his footsteps by setting Goethe's drama to music. Beethoven was an important precursor to Schubert – 'Flohlied' expanded the motivic possibilities in song and ensured the musical response to *Faust* need no longer be confined by the greatness of Goethe's poetry. 'Flohlied' endorsed Goethe's *Faust* as a text that merited musical setting and his treatment of the text through the portrayal of the flea motif allowed future composers to express musical ideas that were independent of Goethe's iconic text, which was vital for the progression of the Lied.

The introduction of the love tragedy in *Faust I* (1808) opened up further avenues for composers to explore and Schubert exploited the theme more than anyone. The single most important setting in the history of the nineteenth-century Lied is Schubert's 'Gretchen am Spinnrade' which popularised Gretchen as a protagonist of the genre of the Lied, causing a plethora of Gretchen settings to emerge as Schubert definitively promoted the piano accompaniment beyond mere embellishment of the text with his motivic portrayal of the spinning wheel. Another important Schubert setting in the history of the Lied is 'Szene aus Goethes Faust' which opened song to further harmonic possibilities and philosophical considerations for future composers in depicting Gretchen's fragile state through modulations that were both frequent and unusual. Schubert's approach to rhythmic declamation in his Gretchen songs demonstrate an emancipation of musical rhythm from poetic restraints, but in a manner that respects the poetic text – deviations of poetic rhythm are always a means of enhancing textual meaning, be it conveying the reminiscence of Faust's kiss in 'Gretchen im Spinnrade', the portrayal of Gretchen's torment in 'Szene aus Faust' or the illustration of Gretchen's sighs in 'Gretchen im Zwinger'. In 'Der König in Thule', departures from the BRD are understated, respecting the simplicity of the folksong – this is further evidence that distortions in Schubert's musical rhythms relate to textual meaning and are only afforded when relevant to the character of the poetry.

Schumann's *Szenen aus Goethes Faust* inspired settings of *Faust* from outside the established genres of the Lied and opera and his realisation of the 'Mystic Chorus' would have encouraged composers to set texts from *Faust* which were not commonly chosen – including texts from *Faust II*. Schumann's two *Faust* songs – 'Lied Lynceus des Türmers' and 'Der König in Thule' – exhibit musical rhythms which are more in keeping with poetic rhythms than previously witnessed in the songs of the earlier Schubert. While Schumann's faithfulness to the poetic form can be understood as a response to the simplicity of the texts in question, it

nevertheless speaks to Schumann's text setting approach and underlines the fact that musical rhythm had not been emancipated entirely from the poetic rhythm in the mid-nineteenth century.

By the time Wolf sets 'Gretchens Bitte' in 1878, however, it is clear that the emancipation of musical rhythm from poetic rhythm has come to pass in the genre of the Lied. Critics have argued that Schumann's compositions greatly influenced Hugo Wolf's early Lieder and Wolf's only *Faust* setting 'Gretchens Bitte' – on account of being a teenage setting – falls into this categorisation. Analysis of the song, however, proves that many of the characteristics that have come to be associated with Wolf's *oeuvre* – the use of dissonance, augmented chords and musical tropes to convey emotion – are present in this formative Lied. Furthermore, the tonal grammar in 'Gretchens Bitte' is progressive, to the extent that it pushes the limits of what can be described through the traditional theory of harmony. The advanced harmonic language is related to aspects of the poetic text with Wolf's refusal to confirm the tonic key acting as a metaphor for Gretchen's enduring isolation.

Mahler's endeavour to realise his *magnus opus* by synthesising all music in Symphony No. 8 – the second part of which was based on Goethe's *Faust* – is telling of the standing of Goethe's *Faust* at the beginning of the twentieth-century. That Mahler viewed his orchestral settings as a continuation of the Lied is a further illustration of the influence Goethe's *Faust* had on the genre across the long nineteenth-century. Berlioz's *Huit Scenes* demonstrates the popularity of *Faust* as a musical text in translation and such was the French composer's admiration for Goethe's *Faust*, he compelled Liszt to engage with the myth, leading to a symphony and a number of Lieder based on the same. The universality and reach of Goethe's *Faust* is further exemplified in opera and while it is beyond the scope of this thesis to consider the impact of Goethe's *Faust* on opera in any significant detail, it is not possible to delineate the relationship between *Faust*, music and the nineteenth-century Lied –



or show the resonance of Goethe's *Faust* in music – by neglecting discussion of opera entirely. Beethoven and Wagner's failure to realise *Faust* operas, Weber's decision to set *Oberon* over *Faust* and Spohr's initial success with *Faust* are circumstances which factored into both the absence of a truly German *Faust* opera and *Faust* becoming associated with the Lied as opposed to opera. Outside of Germany, however, Gounod's *Faust* and Boito's *Mefistofele* were well-received, while Zöllner's *Faust*, Busoni's *Doktor Faust* and Johann Eisler's *Johann Faustus* illustrates the cultural significance of *Faust* which has continued to the present day.

The *Faust* settings outlined in this chapter clearly displays the extensive influence Goethe's *Faust* had on the development of the Lied during the nineteenth-century. In recognition of the active role Goethe played in shaping the direction of the genre, the following chapter will consider Goethe's effect on text setting practice in the nineteenth-century Lied and the influence of Goethe on theoretical approaches to text-setting.

## Chapter 3

# The perception of Goethe as musical poet and the application of theories on text setting to song

### 3.1 Introduction

This chapter synthesises two connected strands – Goethe's musicality as it pertains to theoretical aspects of text setting and text setting practice as it relates to song analysis – with the intention of identifying a suitable analytical methodology for contending with word-music relations in the *Faust* settings of Wagner and his contemporaries. Goethe inculcated his views on text setting into the Lied by collaborating with musical contemporaries to set *Faust* to song and the intrinsic relationship between Goethe's text setting approach – which shaped the direction of the nineteenth-century Lied – and the Lied itself has been noted by eminent theorists. That Goethe's views on text and music had such a profound impact on the Lied is demonstrated by the writings of critics such as Edward Cone and Lawrence Kramer who felt compelled to challenge Goethe's approach towards song to justify their respective stance on text setting. It is clear, however, that Goethe's aesthetic preferences towards text setting and song have been misconstrued in musicology and have led to Goethe being deemed 'conservative' and 'unmusical'. This chapter begins by acknowledging the existence of a long-running debate surrounding the poet's musicality and contributes to that discussion by dispelling misconceptions regarding Goethe's musicianship. This is achieved with reference to Goethe's musical endeavours, his ardent interest in music and an undeniable ability to engage critically with music.

Cone's 1956 essay 'Words into Music: A Composer's Approach to the Text' instils in theoretical literature on text setting the association of Goethe's views on text declamation

with text setting practice itself. This serves as a natural starting point with which to critically appraise various theories and models on text setting and song analysis in regard to the nineteenth-century Lied. The ideas of Cone, Kramer, Agawu, Lewin and Hatten are outlined in chronological order and while there is scope for relating these theories on text setting to Goethe's own outlook, the discussion here centres on the theorists' understanding of song. Problems that arise for the genre as a consequence of these philosophies are established and various aspects of these theories are challenged as if to underline why no universal model for song analysis exists currently. It will become clear at the end of the chapter – and in the later song chapters – how these theories have informed the approach towards song analysis taken in this thesis, but not before overviews are presented in relation to Stein and Stillman's advice on what happens to text when it is set to music and Kreb's theory of basic rhythmic declamation. The intention in these sections is not to dissect the merits of these expressed ideas on text setting, but to summarise their thoughts and acknowledge the influence of the literature on the analysis of *Faust* songs in subsequent chapters.

### **3.2.1 Reception of Goethe's musicality**

Goethe's musicality or lack of has been a topic of fierce scholarly debate since the poet's death almost two centuries ago and it is the difficulty in defining what is 'musical' and 'unmusical' that has enabled the discussion to continue to the present day. Nineteenth-century criticism of Goethe and music was more focused on poetic and nationalistic concerns than on music itself and it was not until the end of the century that a serious consideration of Goethe's music reception began to emerge.<sup>458</sup> Byrne Bodley notes that the centenary of Goethe's death in 1932 brought about a wealth of literature that was generally dismissive of Goethe's

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<sup>458</sup> Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*, p. 27.

understanding of music<sup>459</sup> and although the studies of Blume (1948)<sup>460</sup> and Moser (1949)<sup>461</sup> redressed the balance, a divide in opinion regarding Goethe's musicianship eventually came to pass.<sup>462</sup> One such example of scholarship which challenges Goethe's musicality is the 1956 article 'Goethe and Music' where Mosco Carner describes Goethe as the 'musical poet *par excellence*' prior to questioning whether Goethe was 'musical in the sense in which we comprehend the term' before concluding that the poet was 'intrinsically unmusical.'<sup>463</sup> Carner does not reveal his own personal interpretation of the term 'musical' but given he believed Goethe merely listened to music and was unable to perform, it is likely to be along the lines of the generalisation Romain Rolland noticed in that a 'man of letters who is also a musician' tended to be seen to hold no more than an amateur interest in music – suggesting that to be musical, one had to be an accomplished composer, performer or critic.<sup>464</sup> J.M. Tudor's early research on Goethe in music is typical of the opposing view that, while there are contradictions in what Goethe has expressed about music and contrasts in his expression of music, the role of music in Goethe's poetry and in his life is a testament to his musicality.<sup>465</sup> This perspective is later echoed by Robert Spaethling in his 1987 study of Mozart's influence on Goethe.<sup>466</sup> In more recent times – namely since the publication of Claus Canisius' *Goethe und die Musik*<sup>467</sup> and the 250th anniversary of Goethe's birth in 1999 – Goethe's relationship to music has often been re-examined and reconsidered, altering perceptions of Goethe's musicality in the process. Byrne Bodley's research on the reception history of both Schubert

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<sup>459</sup> Ibid., p. 28.

<sup>460</sup> Friedrich Blume, *Goethe und die Musik* (Kassel: Bärenreiter, 1948).

<sup>461</sup> Hans Joachim Moser, *Goethe und die Musik* (Leipzig: C.F. Peters, 1949).

<sup>462</sup> Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*, p. 28.

<sup>463</sup> Mosco Carner, 'Goethe and Music', *The Musical Times* Vol. 97. No. 1356 (1956), p. 72.

<sup>464</sup> Romain Rolland, 'Goethe's Interest in Music', *The Musical Quarterly* Vol. 17, No. 2 (1931), p. 157.

<sup>465</sup> J.M. Tudor, 'Conceptions of Music in Goethe's Time and Music in Goethe's Faust' (Durham University, 1981). J.M. Tudor has recently noted Goethe's use of music as an analogy in his thinking in Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*, pp. 73–85.

<sup>466</sup> Robert Spaethling, *Music and Mozart in the Life of Goethe* (Columbia: Camden House, 1987).

<sup>467</sup> Claus Canisius, *Goethe und die Musik* (Munich and Zurich: Piper, 1998).

and Goethe and her work on the Goethe-Zelter correspondence has been instrumental in challenging the negative perception of Goethe's musicality.<sup>468</sup>

### 3.2.2 Goethe's musical experience

Goethe was born into a musical family – his mother played the piano and would sing German and Italian arias while his father was able to play the lute and flute.<sup>469</sup> Goethe did not take up an instrument until the age of 14 when he began piano lessons, though in his autobiography, *Dichtung und Wahrheit* he says his father spent more time tuning it than playing it. In Strasbourg, Goethe took up the cello but his late start in learning either instrument impacted on his score reading ability which would have in turn hindered his attempts to theorise music.<sup>470</sup> Nevertheless, his engagement with music in his formative years would have been on par with the upper bourgeoisie – a social class that took pride in being cultured and would have actively sought a music education.<sup>471</sup> Goethe began to show a keen interest in the theory of music at the age of twenty. In Strasbourg, he copied 'Ephemerides' by Johann Adam Hiller (1728–1804) – an essay on declamation which advances the idea of considering the structure of language when setting text to music – into his diary.<sup>472</sup> Canisius notes that 'Goethe was delighted to find in these paragraphs a joint systematic approach to both language and music, an important link he had already been looking for while a student in Leipzig.'<sup>473</sup> Music played a pivotal role in Goethe's literary works for the duration of his lifetime. One of Goethe's earliest plays – *Die Mitschuldigen* (1769) – warmly embraced the use of music as did his

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<sup>468</sup> See Lorraine Byrne Bodley, *Schubert's Goethe Settings, Goethe: Musical Poet, Musical Catalyst* (Dublin: Carysfort Press, 2004), *Goethe and Zelter: Musical Dialogues* (Surrey: Ashgate, 2009), Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*.

<sup>469</sup> Richard Stokes, 'Goethe the Musician and his Influence on German Song' (2008) <http://gresham.ac.uk> [Accessed 17 August 2018]

<sup>470</sup> Lorraine Byrne Bodley, *Goethe: Musical Poet, Musical Catalyst*, p. 43.

<sup>471</sup> Wolfgang Leppmann, *The German Image of Goethe* (Oxford: Clarendon Press, 1961), p. 90.

<sup>472</sup> Claus Canisius in Lorraine Byrne Bodley and Dan Farrelly (eds.), *Goethe and Schubert: Across the Divide* (Dublin: Carysfort Press, 2003), p. 27.

<sup>473</sup> *Ibid.*

final play, *Faust II*.<sup>474</sup> Goethe also delved into more musical dramatic forms; his attempts at elevating the *Singspiele* – beginning with *Erwin und Elmire* (1773) – and the numerous libretti he wrote are clear examples of his musical inclination.<sup>475</sup> Richard Stokes notes Goethe's musical contribution at the Weimar court, particularly in his role of director of the Hoftheater between 1791 and 1817 where his reverence for Mozartian opera became apparent.<sup>476</sup> The experience and knowledge Goethe gained from his work in music theatre is what drew Zelter to the poet's musical talent.<sup>477</sup>

### 3.2.3 Goethe's perception of his own musicality

Claus Canisius observes Goethe's unwillingness to acknowledge his love for music or outline his engagement with music during his formative years in *Dichtung und Wahrheit*.<sup>478</sup> This reluctance can be related to the poet's impression of musicality. In a letter written to Madame Unger from Weimar on 13 June 1796, Goethe states that his inability to fully understand music theory renders him unable to evaluate music in a critical sense:

I am no judge of music, since I don't have a grasp of the means it uses to achieve its ends; I can only speak of the effect it produces upon me, when I give myself over to it fully and repeatedly.<sup>479</sup>

Further suggestions that Goethe had little regard for his own musicianship can be gleaned from his conversations with Johann Peter Eckermann (1792–1854). In a conversation with Goethe dated 3 November 1823, Eckermann reflects on a journey Goethe made from Frankfurt to Switzerland in 1797 and notes the various entities that interested the poet on his travels to which Goethe responds that '[...] you find no word upon music, because that was

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<sup>474</sup> Bayard Quincy Morgan, 'Goethe's Dramatic Use of Music', *PMLA* Vol. 72, No. 1 (1957), p. 105.

<sup>475</sup> Martin Swales discusses Goethe's use of music in *Faust I* and relates the Faustian condition to the ontology of music in Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*, pp. 61-72.

<sup>476</sup> Richard Stokes, 'Goethe the Musician and his Influence on German Song'.

<sup>477</sup> Lorraine Byrne Bodley, *Goethe and Zelter: Musical Dialogues*, p. 8.

<sup>478</sup> Claus Canisius in Lorraine Byrne Bodley and Dan Farrelly (eds.), *Goethe and Schubert: Across the Divide*, p. 19.

<sup>479</sup> *Ibid.*, p. 29.

not within my sphere. Each traveler should know what he has to see, and what properly belongs to him, on a journey.<sup>480</sup> Wolfgang Leppmann cites this as a prime example of a quote scholars have used to support the argument that Goethe had no interest in music.<sup>481</sup> The proclamation, however, should be kept in context. Goethe is not exhibiting a disregard for music here, but rather recognising what he views as a high level of professionalism, practical and theoretical competence one needs to attain before one can be considered musical. Eckermann has raised the topic of this journey in a conversation centred on a performance Maria Szymanowska (1789–1831) gave at the Stadthaus the following day, which Goethe has insisted Eckermann must attend. Given the fervour with which Goethe speaks of Szymanowska, it is reasonable to assume the poet may have anticipated Eckermann's surprise to find music was not one of topics documented on Goethe's manuscript from the 1797 trip and therefore addressed the anomaly in his response. Implicit in this statement to Eckermann, however, is Goethe's acceptance, not only that he does not possess a natural flair for music, but that his musical limitations should deter him from making any meaningful impact on the art form. Further evidence that Goethe saw musicality as being prodigious – and therefore outside of his domain – is contained in his belief that 'musical talent may well sow itself earliest of any; for music is something innate and internal, which need little nourishment from without, and no experience drawn from life.'<sup>482</sup> Goethe's impression that musical talent is something with which one is born is bound to his beliefs on genius which influenced late eighteenth and nineteenth-century thought. Goethe therefore believes there is a difference in how music is experienced depending on whether the listener is a musician or a non-musician, as he stated that 'the musician by profession hears, in an orchestral performance, every

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<sup>480</sup> Johann Wolfgang von Goethe and Johann Peter Eckermann, *Conversations with Eckermann* trans. John Oxenford (Boston: Da Capo Press, 1998), p. 58.

<sup>481</sup> Wolfgang Leppmann, *The German Image of Goethe*, p. 90.

<sup>482</sup> Johann Wolfgang von Goethe and Johann Peter Eckermann *Conversations with Eckermann*, p. 382.

instrument and every single tone; whilst one acquainted with the art is wrapped up in the massive effect of the whole.<sup>483</sup>

While Tudor argues that a discussion of Goethe's views on music must 'allow for the fact that Goethe said different things at different times'<sup>484</sup>, there is no need to take this stance in relation to Goethe's expressed views on his musicality (Tudor's statement is, however, of significance as it pertains to Goethe's theory on text setting as we shall see later in this chapter). One's musicality is neither innate nor fixed – it is fluid and can develop and be developed. As Kenneth Whitton notes in analogous terms, virtuosity cannot be aligned with musicality if German song can be enjoyed without any understanding of the German language.<sup>485</sup> Furthermore, Goethe's actions belie his statements which suggest he believed himself to be unmusical. His eagerness to seek out musical collaborators – and the willingness of his musical contemporaries to engage with him – demonstrates his musicality.

The suggestion Goethe merely accepted Zelter's opinions on music has been disproved by Byrne Bodley, who has shown that the poet had the capacity to contemplate music and in many cases lead the discussion.<sup>486</sup> Goethe's thirty-three-year correspondence with Zelter documents and asserts the poet's musicality; the poet's knowledge of music is evident throughout. The correspondence offers an illustration of the poet's engagement with theoretical aspects of music. The conversations Goethe shared with Zelter in Carlsbad in July 1810, for example, filtered into the poet's development of the *Tonlehre*.<sup>487</sup> It also provoked the famous *Moll-Durr Debatte* – the interval of a minor third which he described as nature's way of facilitating the expression of 'an undefinable yearning with intimate pleasure'.<sup>488</sup>

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<sup>483</sup> Ibid., p. 66.

<sup>484</sup> J.M. Tudor, 'Conceptions of Music in Goethe's Time and Music in Goethe's Faust' (Durham University, 1981), p. 6.

<sup>485</sup> Kenneth S. Whitton in Lorraine Byrne Bodley and Dan Farrelly (eds.), *Goethe and Schubert: Across the Divide*, p. 53.

<sup>486</sup> Lorraine Byrne Bodley, *Goethe and Zelter: Musical Dialogues*, pp. 7–8.

<sup>487</sup> Ibid., p. 10.

<sup>488</sup> Ibid., p. 503.



### 3.3 Establishing Goethe's approach to text setting

Richard Stokes observes three principles which are central to Goethe's song aesthetic if Goethe's writings are representative of the poet's views on the Lied; the accompaniment should be subservient to the text, word painting should be avoided and settings should be in strophic form and not through-composed.<sup>489</sup> The problem with reducing Goethe's song aesthetic to these tenets lies in the longevity of Goethe's career, his willingness to engage with music literature and his openness to change which Stokes does not recognise. The Lied not only evolved during Goethe's lifetime but the poet was – directly or indirectly – an integral part of the evolution of the genre. The lyricism of Goethe's poetry offered composers the opportunity to challenge the confines of the Lied<sup>490</sup> and the boundaries of song were being pushed in Goethe's lifetime, which impacted greatly on Goethe's reception history. As Goethe and the Lied progressed in tandem, it is not possible to attach set ideas to Goethe's song aesthetic as Stokes has, and doing so has only led to misconceptions, none more so than the perception that Goethe held conservative views on text setting. It is clear Goethe's perspective on setting text to music has been influenced to some extent by late eighteenth-century and early nineteenth-century pre-Beethovenian and pre-Schubertian aesthetics. Goethe was not alone in this; Leppmann remarks on the clear preference for vocal music over instrumental music in musical culture at this time and identifies a philosophical interest in music overall as opposed to engaging with music on a more technical basis.<sup>491</sup> It is also apparent that Goethe's early musical endeavours initially restricted him from being anything other than a product of his time. Goethe's youthful interest in folksong led him to be associated with Gottlieb Krause (1805–1860) who believed the simplicity of folksong could only be preserved in strophic form and Goethe was a proponent of this aesthetic in his early

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<sup>489</sup> Richard Stokes, 'Goethe the Musician and his Influence on German Song'.

<sup>490</sup> Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*, pp. 23–24.

<sup>491</sup> Wolfgang Leppmann, *The German Image of Goethe*, p. 91.

engagement with song.<sup>492</sup> Admittedly, the dramatic performance of a Lied and the communication of poetic meaning took precedence for Goethe over the choice of musical form<sup>493</sup> but Goethe did not have an absolute aesthetic preference for strophic settings. Evidence of this lies in Byrne Bodley's challenge of the common misconception that Goethe had a preference for Zelter's strophic songs:

Nowhere in these letters can you hear the drumbeats of obsession associated with Goethe's celebration of strophic song. Instead his susceptibility to the music of poetry, the physicality of his aural response as well as the fastidiousness of its discriminations, his poet's intelligence exercising itself in the activity of listening are evident in his discussions on song setting. While the compulsive Goethean music is clearly heard in Zelter's settings and there is a rightness in pulse and movement of the best of these settings [...] Goethe did not demand a rigid adherence to the musical metrics of poetry.<sup>494</sup>

Zelter's reputation as a conservative composer would have helped establish a misguided impression of Goethe as holding outdated attitudes towards song. A letter to Zelter dated 6 March 1810 – in which Goethe gives his appraisal of Zelter's 'Johanna Sebus' – brings into dispute the characterisation of both Goethe and Zelter as being traditionalists in their approach to text setting. Not only does Goethe describe Zelter's through-composed setting as 'excellent', but he proceeds to praise Zelter for his use of word painting, acknowledging that it is a device that is misused by other composers.<sup>495</sup> Goethe's commentary on 'Johanna Sebus' is an indication that he had a more flexible outlook on text setting than Stokes and other critics have determined from his writings. With regard to basic rhythmic declamation, Goethe would have certainly approved of composers adhering to poetic rhythms in the setting of his texts, but he did not regard music as subservient to the text and would have welcomed variations in musical rhythm as long as such divergences from the poetic rhythm conveyed meaning successfully. As someone who greatly admired the melismatic melodies of Bach and

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<sup>492</sup> Lorraine Byrne Bodley, *Schubert's Goethe Settings*, p. 11.

<sup>493</sup> *Ibid.*

<sup>494</sup> Lorraine Byrne Bodley, *Goethe and Zelter: Musical Dialogues*, p. 15.

<sup>495</sup> *Ibid.*, pp. 133–134.

Handel<sup>496</sup>, he would have understood the need to generate melodic interest in song. Furthermore, the poet's motto 'nur nicht lesen, immer singen!'<sup>497</sup> points to music having a purpose beyond mere accompaniment of text.

The poet's attitude towards other composers and settings can be ascertained in his confession to Zelter on 11 May 1820 that 'with other composers I must first see how they have understood the song and what they have made of it.' Goethe had aesthetic preferences at various points in his long lifetime but of constant importance to him was that the composer fathomed the poetic meaning and that this intent could be discerned from the composer's setting of the text.

### **3.4 Cone's perspective on word-music relations**

Edward T. Cone excuses what he perceives to be caution in the text setting approach of Goethe and Zelter by underlining in his 1956 chapter 'Words into Music: The Composer's Approach to the Text' that they 'were facing a newly arisen problem – how to set to music a pre-existing poetic text not specifically written for this purpose'.<sup>498</sup> Cone believes Schubert excelled in this particular task as he was capable of producing:

a song that when necessary sacrificed the stanza pattern for the sake of higher dramatic or rhetorical unity, a song that was not content with vaguely indicating the mood of the poem but instead actively shaped its emotional content anew in accordance with its own interpretation.<sup>499</sup>

Cone recognises that Zelter would have regarded Schubert's approach as a distortion of the poetic form, but the critic believes form has to go beyond the surface-level to exhibit the multi-faceted nature of a work of art.<sup>500</sup> Cone states that it is the composer's duty in setting

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<sup>496</sup> Lorraine Byrne Bodley, *Goethe: Musical Poet, Musical Catalyst*, p. 43.

<sup>497</sup> Paul Nettl in Hubert Joseph Meessen (ed.), *Goethe: Bicentennial Studies* (Indiana: Indiana University, 1950), p. 85.

<sup>498</sup> Edward T. Cone, *Music: A View from Delft* (Chicago: University of Chicago Press, 1989), p. 115.

<sup>499</sup> *Ibid.*, p. 117.

<sup>500</sup> *Ibid.*, p. 118.

text to music to determine a musical form which both reflects the composer's impression of the poem and is suitable for realising this impression within the chosen form.<sup>501</sup> Cone is effectively endorsing Schubert's approach to text and characteristically denouncing the efforts of his predecessors. He remarks that 'musical prosody can never be a slavish imitation of verbal accentuation, for although musical and verbal meters are in many respects analogous, they by no means exactly coincide'.<sup>502</sup> The crux of Cone's argument in his chapter is that song is redundant if a composer does not seek to enhance the listener's comprehension of the text.<sup>503</sup>

In *The Composer's Voice*, Cone claims that a song – regardless of whether the poet had intended it to be set to music – is not a melodic recitation, a musical interpretation or a criticism of the poem, but is first and foremost an entity of its own of which the poem is merely a component.<sup>504</sup> According to Cone, the composer does not set a poem to song but rather appropriates a reading of a poem to form the basis of a song, transforming the poetic persona into the composer's persona in the process.<sup>505</sup> Cone presents this as the polar opposite of what he considered Goethe to have intended in the collaboration with Zelter, namely 'song as a medium in which the poet speaks through the composer'.<sup>506</sup> Cone is endorsing Schubert's approach to text setting – as he did in 1956 – and his indifference towards Zelter remains evident in the following appraisal:

The composer's job is consequently either to find the unique music implied by the only possible reading of the poem, or else to devise music so neutral that it would fit any reading. Zelter was trying to achieve the former, but most of us today would agree that he only succeeded in accomplishing the latter.<sup>507</sup>

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<sup>501</sup> Ibid., p. 119.

<sup>502</sup> Ibid., p. 122.

<sup>503</sup> Ibid., p. 123.

<sup>504</sup> Edward T. Cone, *The Composer's Voice* (California: University of California Press, 1974), p. 19.

<sup>505</sup> Ibid.

<sup>506</sup> Ibid., p. 21.

<sup>507</sup> Ibid., p. 20.

Cone's views on text setting are not helpful in regard to the study of word-music relations as the perspective he offers disassociates poetry from song, devaluing the text. Rigid in his belief that song should only be concerned with elevating the meaning of the poem, Cone effectively places music on a higher plane as he suggests the composer sets their own interpretation of the poem to music rather than the text itself. This author would argue that it is not feasible to create a distinction between setting a reading of a poem and setting the physical poem as the text – in terms of both poetic content and poetic structure – must impact upon our comprehension of the poetry, shaping our perception of it. It is perfectly legitimate for Cone to contend that in reading or listening to poetry, our subconscious makes decisions with regard to which meanings we retain and which interpretations we abandon, but it should be acknowledged that text acts as a prompt for our subconscious. Any given reading of a poem has been inspired by the text and knowledge of poetic techniques and devices – or the wider dramatic context as would be the case with settings from Goethe's *Faust* – would only make the influence of the text on interpretation more pronounced. For this reason, it seems apparent that the poem is more than a component of song as Cone suggests.

Cone argues that poetry is less determinate than music with regard to performance considerations, affording endless possibilities for the interpreter.<sup>508</sup> While there may be many avenues for the composer to explore in text setting, the potential can only be realised insofar as the composer is willing to 'violate' the poem – and if the objective is for song to augment our understanding of the text, the composer must be selective in choosing where to break from poetic form. Cone is more of the view that the composer must be more concerned only with musical form and clarifying musical logic within the chosen form and yet in his discussion of Schubert's 'Erlkönig', he recognises Schubert's ability to preserve the dramatic

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<sup>508</sup> Edward T. Cone, *Music: A View from Delft*, p. 119.

structure, though Cone does appear to regard that aspect as being inconsequential.<sup>509</sup> It is Schubert's reverence for the poetic content, however, that makes his through-composed songs successful. It is a contradiction in terms for Cone to intimate that song should exist solely to heighten our understanding of the poetry and then suggest that this outcome can be achieved by focusing only on musical elements.

Cone believed Goethe rejected the songs of Schubert in favour of settings by Zelter.<sup>510</sup> As Cone presented Goethe's text setting, through the compositions of Zelter, as contrasting and ultimately incorrect attitudes to text setting, Cone's misconception of Goethe in relation to Schubert is emblematic of a wider misunderstanding of Goethe's response to pre-Schubertian and pre-Schumannian text setting practice. Hayden White notes that Cone 'appears to have embraced the poetic ideology of poetic creativity predominant in Schumann himself if not Romantic aesthetics in general' and that 'he ends up reasserting and affirming the very Romantic ideology of poetic creativity which he wished to analyze' which rendered him 'more an advocate than an analyst of this Romantic ideology'.<sup>511</sup> With regard to Goethe and text setting, Cone could be seen as more an opponent than an analyst of Classicist ideology. In trying to pinpoint the thought process behind Goethe and Zelter's approach to text setting, Cone takes a 'superficial glance'<sup>512</sup> at the history of text setting, but his opinion of Goethe and Zelter is misconceived.

Cone is correct to assert that Schubert's through-composed settings contain nuances which are not present in Zelter's strophic settings of Goethe texts, but he is wrong to assume Schubert's Goethe settings would have been viewed as a distortion of the poetic meaning and would therefore have been rejected by the poet. Cone pinpoints Goethe's occupation and concern with the faithful portrayal of the poetic text in song but does not acknowledge

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<sup>509</sup> Ibid., p. 119-120

<sup>510</sup> Ibid., p. 115.

<sup>511</sup> Hayden White in Steven Paul Scher, *Music and Text: Critical Inquiries* (Cambridge: Cambridge University Press, 1992), p. 310.

<sup>512</sup> Edward T. Cone, *Music: A View from the Delft*, p. 115.

Goethe's openness to achieving those means via through-composed form or deviations from the rhythmic declamation of the text. The notion that Goethe was uncompromising with his preference for strophic song cannot be reconciled with the author of *Faust* with its plethora of musical forms, though *Faust* does exhibit Goethe's reverence for structure and form, particularly with the role musical form plays in the depiction of Gretchen through song. Despite Cone's outright dismissal of Goethe's approach to text setting, there is common ground to be found between the two.

### 3.5 Kramer's definition of song

Lawrence Kramer defines song as 'a form of synthesis [...] the art that reconciles music and poetry, intonation and speech, as means of expression.'<sup>513</sup> He sees song as more than a mimetic of the text, which he believes to have been Goethe's take on song composition.<sup>514</sup> His explanation as to why a mimetic approach to text setting exists lies in the precise nature and stature of most art song texts:

Song may encourage this way of thinking because it so often employs pre-existing texts that enjoy a high cultural status. Moreover, many songs do rely on translation effects, particularly to establish an initial point of contact between the text and the music.<sup>515</sup>

The suggestion that the 'high cultural status' of texts such as Goethe's *Faust* could encourage a mimetic approach to text setting is valid – it would have been less acceptable to deviate from poetic form in setting a well-known text to music than it would have been to set an unknown poem, owing to the varying degrees of meaning that the audience would be able to anticipate from settings of the respective texts. It is unlikely, however, that those who set Goethe's *Faust* – or Goethe himself for that matter – viewed their settings as mere imitations

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<sup>513</sup> Lawrence Kramer, *Music and Poetry: The Nineteenth Century and After* (California: University of California Press, 1984), p. 125.

<sup>514</sup> *Ibid.*, p. 126.

<sup>515</sup> *Ibid.*

of the text as there would be no need to contribute further settings if the one possible reading of the text had already been exhausted through the medium of song.

Kramer views poetry as providing some of the 'raw material' – a phrase borrowed from Cone – for composition and he agrees in theory with Cone and Langer that song is 'the appropriation rather than the imitation of a text.'<sup>516</sup> Where Kramer differs with these critics is in the means of appropriation; he believes Cone and Langer view appropriation as a 'smooth, unambivalent, almost alchemical process' – that text can be assimilated into a composition – when in practice, text and music can diverge within a song which forces Kramer to view text as being incorporated into a composition.<sup>517</sup> Kramer is correct in viewing appropriation of the text as being uneasy and this author would posit that Cone and Langer could only look upon the process of text setting as being straight-forward in their vacuum where the musicality of the poetry is almost disregarded entirely.

Kramer believes the poetic text functions as an independent entity even within song, which is a viewpoint that is not only in opposition to Cone but also to Lewin who will be discussed later in the chapter. The rationale behind Kramer's belief is unclear – if song is a synthesis of music and poetry and the poetry itself is independent of song, where does that leave music? Music cannot be ascribed as being independent of song – without music, it does not serve as a reading of the poem, which is what Kramer perceives song to be.<sup>518</sup> Kramer defines the relationship between poetry and music as 'implicitly agonistic; the song is a "new creation" only because it is a de-creation.'<sup>519</sup> The music appropriates the poem by contending with it, phonetically, dramatically, and semantically, and the contest is what most drives and shapes the song.<sup>520</sup> It is in this notion of 'de-creation' that Kramer is found to be in agreement with Cone – 'the song is permitted to make its reading only by violating another reading –

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<sup>516</sup> Ibid.

<sup>517</sup> Ibid.

<sup>518</sup> Ibid., p. 127.

<sup>519</sup> Ibid.

<sup>520</sup> Ibid.



unless the composer really does want to write a footnote<sup>521</sup> to poems – which is what both critics wrongly perceive as Goethe's objective in having his texts set to music.

The difference between Kramer and Cone is slight but noteworthy; Cone believes that it is the composer's duty to violate the poetic reading whereas Kramer believes the reading contained within the poem is valid but has to be distorted to bring about a similarly valid reading through song. The latter perspective is more instructive with regard to the analysis of songs in this study as it at least attributes some value to the poem as a poem, even after it has been set to song – value which Goethe's *Faust* evidently holds as demonstrated in its popularity as a literary text. In discussing the tension that exists between text and music in post-Renaissance classical art song, Kramer indirectly provides a synopsis of musico-poetic concerns that exist in song analysis and the problems that arise in attempting to contend with the musico-poetic aspects of song as part of song analysis:

The style of the classical art song since the Renaissance heightens the tension between words and music in two fundamental ways; first, by adopting an intonational manner that presents the voice as a precisely tuned instrument rather than as a source of utterance; and second, by opening the possibility of a musical response to the poetry that is complex enough to raise questions of interpretation. Other features – the expressive forcing of high and low tessitura, where the sound of the words inevitably fades into the effort of attacking the pitch; the complication of rhythm and the varied movement of the voice toward and away from speech-like patterns; the repetition, alteration and syntactic breakdown of the text – also contribute to alienating the singing of the words from any plausible speaking of them, any context in which they might function as a speech-act.<sup>522</sup>

Kramer describes the 'fundamental issue' of art song as the 'disintegrative effect of music as such on words as such' and defines the genre as the manipulation of 'a topological distortion of utterance under the rhythmic and harmonic stress of music: a pulling, stretching, and twisting that deforms the current of speech without negating its basic linguistic shape.'<sup>523</sup> For Kramer, the music in art song 'gives its realization as a tension, an expressive sense of inner

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<sup>521</sup> Ibid.

<sup>522</sup> Ibid., p. 129

<sup>523</sup> Ibid., p. 131

pressure that takes the foreground with vocal pyrotechnics at climactic, usually closing moments.<sup>524</sup>

Kramer believes 'the poem does not have to operate as poetry, but only as 'language.'<sup>525</sup> It is undeniable that the qualities of speech contained within a poetic text will naturally be defied in setting text to music, however, not to the extent that a poem loses all its poetic traits and can justifiably have its function reduced to mere language through the process of appropriation. There is a responsibility on the part of the composer to ensure the musical realisation of a text assigns importance to musico-poetic aspects for the portrayal of textual meaning if the intention is for the song to serve as a reading of the poem. Kramer's conviction that song offers a reading of the poem shows that he attributed greater significance to the poem than the aforementioned Cone, however, it is clear Kramer does not fully appreciate the intrinsic nature of the relationship between text and music in song.

### **3.6 Agawu's proposed analytical models**

Agawu begins his 1992 article 'Theory and Practice in the Analysis of the Nineteenth-Century Lied' with a paragraph that sets out the traditional challenges that have been posed to song analysis.

In spite of its ubiquity, and its singular claim to represent a natural mode of musical expression, song has had a less than decisive influence on the development of music theory and analysis in the twentieth century. Our canonical techniques of analysis have emerged primarily from considerations of instrumental music, not vocal music. And although nothing in principle precludes the application of such techniques to non-instrumental works, song analysis accepts the transfer only with some difficulty.<sup>526</sup>

Agawu believes song has been cast aside in literature due to the difficulty in accounting for the semiotic systems at play – music and language – and suggests song should be defined as a

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<sup>524</sup> Ibid., p. 132.

<sup>525</sup> Ibid., p. 143.

<sup>526</sup> Kofi Agawu, 'Theory and Practice in the Analysis of the Nineteenth-Century Lied', *Music Analysis*, Vol. 11 No. 1 (1992), p.3.

single genre which would allow its semiotic status to be examined.<sup>527</sup> One of the issues with theory-based approaches to song analysis that Agawu is quick to recognise is the need to give little weight to the stylistic differences between composers which Agawu attributes as an inevitable by-product of establishing any model for musical analysis:

the balance in disposition between words and music in song shifts at different moments in the history of European music – the songs of Zelter and Schubert, Schumann and Loewe, and Brahms and Wolf present marked contrasts in the relative weighting of words and music. Such differences, however, are more stylistic than structural, more concerned with individual composerly preference than with song itself. Just as it was necessary for Schenker and his followers to compress nearly two hundred years of tonal practice into a single time frame in order to develop a powerful theory of tonality, so it is necessary, in this significantly more modest context, to downplay the influence of composer's personal styles in order to arrive at some broad characterization of theory and practice of song analysis.<sup>528</sup>

There is a marked difference between Agawu acknowledging that compositional style must be lessened in any analysis of song and disregarding a particular compositional aesthetic to justify or endorse a particular theory on the analysis of song, which can be observed in the writings of both Cone and Kramer. Agawu acknowledges the problematic definition of song and believes that attributing the appropriate significance to 'wordness', 'textness' and 'poemness' is central to determining our understanding of song.<sup>529</sup>

The first model presented by Agawu is the assimilation model of Suzanne Langer whose basic argument is that the text is no longer an entity that can be separated from song once it has been set to music.<sup>530</sup> Agawu pinpoints issues that befall the assimilation model in its application to song analysis, namely whether it is possible to distinguish non-musical and musical elements from each other within the context of this analytical model and whether it is possible to describe what happens to the latent musicality of certain texts during the process of assimilation.<sup>531</sup> Both concerns are valid and ensures the model is particularly problematic in regard to word-music relations. Agawu accepts that Langer's failure to provide a working

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<sup>527</sup> Ibid.

<sup>528</sup> Ibid., pp. 3–4.

<sup>529</sup> Ibid., p. 4.

<sup>530</sup> Ibid., p. 5.

<sup>531</sup> Ibid., p. 6.

example of the assimilation process exacerbates the difficulty in applying her theory on text setting to song analysis.<sup>532</sup>

The second model under consideration in this article counters Langer's assimilation model by presenting words and music as having a relationship whereby they coexist in the structure of song and yet remain independent of each other, allowing words to retain its own identity.<sup>533</sup> Suzanne D. Lodato defines this model as the 'incorporation model', correctly associating this model of analysis with the views Kramer expressed on text setting in *Music and Poetry*.<sup>534</sup> Agawu's criticism of this model ties in with his own impression that the way forward for song analysis is to characterise song as its own genre with its own semiotic status:

If song is a genuine alloy, that is, a self-sufficient and self-regulating semiotic system, then its identity cannot be defined simply by listing the ingredients that go into its making. By the same token, analysis cannot be content with a taxonomy of inputs, or with an interpretation that shows little or no trace of the inputs' new environment.<sup>535</sup>

The third model proposes the visualisation of song as a 'pyramid structure with music at the base and words at the top' where the words 'provide access to meaning' and the music 'supports the signification of the text.'<sup>536</sup> Out of the four models presented by Agawu in this article, this most closely resembles the type of theory on text setting that scholars have attached to the collaboration between Goethe and Zelter. This hierarchical model allows the words to assume importance over music as it establishes the function of the text as constructing meaning without recognising the capacity within music to achieve the same aim. Agawu correctly observes that while this model does not diminish the role of music as such or influence the actual judgement of the analyst, the practical application of the model inevitably leads to song analysis which cannot avoid drawing conclusions which are not in

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<sup>532</sup> Ibid., pp. 5–6.

<sup>533</sup> Ibid., p. 6.

<sup>534</sup> Suzanne D. Lodato in Walter Bernhart, Steven Paul Scher, Werner Wolf (eds.), *Word and Music Studies Defining the Field* (Amsterdam: Rodopi, 1999), p. 99.

<sup>535</sup> Kofi Agawu, 'Theory and Practice in the Analysis of the Nineteenth-Century Lied', p. 6.

<sup>536</sup> Ibid., pp. 6–7.

some way tied to the words.<sup>537</sup> While this model is suitable for analysing the musical response to the text in song, it is not an approach that can be applied to analyses of other motivations, owing to disregard for wholly musical aspects.

The fourth model proposed by Agawu can be described as a Venn diagram, where a circle is dedicated to words, a separate circle is dedicated to music and a third circle is dedicated to song which not only forms its own autonomous area but overlaps with both words and music. Agawu explains that the model would work as follows:

some aspects of the function of words may be explained exclusively in terms of the poem, just as the music may also have independent existence outside song. At the same time, the explanatory domains of both words and music retain a degree of autonomy words need not always be tied to musical functions, just as interesting or striking musical features need not be explained away as motivated by the words.<sup>538</sup>

Agawu argues that this model suffers the same fate as the second model he proposes in that it reduces the definition of song to a mere structure which contains words and music.<sup>539</sup> A further issue with the model is that the diagram does not contend for the potential musical component of language. In this article, Agawu is wary of semantics as he chooses to use the term 'words' in the presentation of these models as opposed to 'text', 'poetry' or 'language' – terms which could suggest additional meaning that would in turn require further explanation. In suggesting words and music can be combined to create song, the final model presented by Agawu is too reductive – there is an inherent musicality in the structuring of words that this model fails to account for. Similarly, it cannot be said that a musico-poetic dimension is only established when the independent entities of poetry and music are amalgamated in the form of song – the musico-poetic concern is immediately present in the rhythms and metre of the poetry.

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<sup>537</sup> Ibid., p. 7.

<sup>538</sup> Ibid.

<sup>539</sup> Ibid.

Agawu draws the following conclusions from his consideration of the four analytical models he proposes:

The position taken in this essay may be stated in the form of four simple propositions: 1) Song makes possible a musical and/or a musico-poetic analysis. 2) There is no necessary relationship between the words and music of song; the music may support, contradict or remain indifferent to the text. 3) Any connections drawn between words and music are ad hoc and provisional, and should ideally be set against other possible connections. 4) If 'song is music' (Langer), then song analysis must be based on a continuous musical background against which the textual content may be explored."

Agawu's criticisms of each of the four models reveals the predicament song analysis faces and while he intimates that progress in determining a definitive model for song analysis lies in achieving a successful definition of song itself, such a definition of song has not been provided and Agawu does not indicate which model for analysis should be preferred. Although song analysis has traditionally leaned more towards the consideration of music than text, in each of Agawu's analytical models, it is the inability to determine the weighting that should be assigned to the poetic text that problematises the analytical theory. Goethe's *Faust* – with the complexity and variability of poetic rhyme, metre and form – demands musico-poetic analysis to determine if the text has been appropriated, transfigured or mimicked at the hands of the composer. Understanding the musical response to poetic form and content is not possible without considering the musical qualities inherent in the text itself.

### **3.7 Lewin's philosophy on text setting**

Lewin selects an interesting citation on Josef von Spaun's perception of Schubert Lieder as the basis from which to present his own philosophical musings on text setting:

Whatever filled the poet's breast Schubert faithfully represented and transfigured in each of his songs, as none has done before him. Every one of his song compositions is in reality a poem on the poem he set to music.<sup>540</sup>

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<sup>540</sup> David Lewin, *Studies in Music with Text* (New York: Oxford University Press, 2006), p. 110.

Lewin does not view song as an entity which is wholly musical, neither does he see song as text translated into music – Lewin concurs with Spaun that song is representative and transfigurative in nature:

So, if we have as text a poem on X, we should not consider the song to be another, related poem on X. Rather, the song should be considered a poem on the poem-on-X.<sup>541</sup>

In short, Lewin is describing song as being a poem, but a poem that is once-removed from the poem-on-X, which is the text. This creates a distinction between song and poetry – essentially on the basis that song cannot be realised without an existing text – and yet acknowledges that song and poem fulfil the same function in providing readings of the text. Song is open to various poetic readings which can be served through the medium:

we can understand the song as a poetic 'reading' of the poem-on-X that is its text, a reading that employs a particular mimesis of X as a representational means.<sup>542</sup>

Lewin recognises that song is a mimetic of the text, which is in contrast to Cone and Kramer who both rejected this notion, the latter of which dismissed Goethe's text setting principles on the grounds that song had a mimetic function for the poet. This author would concur with Lewin, however, and state that song – in offering a response to the poetic text by communicating its contents through music – cannot fail but to be a mimesis of sorts.

Lewin argues that song arises out of our own inclination to perform a poetic work, which in turn influences our perception of the poetic work:

the perception of a poetic work resides in the (active) making of another poetic work, a work that might be a "performance" in traditional terms [...] in trying to "perceive" the poem so that it makes sense to you, are you not taken by an urge to *perform* it– to read it aloud [...] with appropriate vocal modifications?<sup>543</sup>

This is a helpful argument which relates to the point made earlier in this chapter that text exerts a degree of influence over song, establishing an inherent relationship between words

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<sup>541</sup> Ibid.

<sup>542</sup> Ibid.

<sup>543</sup> Ibid., p. 103.

and music in the form. The compulsion to perform poetry is recognition of the latent musicality that is present within poetry and the need for a vessel to communicate this is a motivation for song.

Lewin believes that the aim of song analysis is to treat each song as one of many potential readings of the 'poem-on-X' and assess how the music conceives the 'poem-on-X':

one cannot go very far critically until one investigates how this particular representation, from among a number of plausible readings, interacts with musical structure to project an overall poetic conception of the poem that is the text.<sup>544</sup>

This analytical approach is most appropriate for the study of word-music relationships as it recognises that each individual song is a unique reading in and of itself and that analysis should strive to understand how the poem – having being set to song – realises the text. Lewin's method requires accepting that the song in question is a single reading of the poetic text and that the analysis must centre on how the song contends with the content of the poem – highlighting the significance of the interplay between text and music in the construction of song. To cater for the potential of both the representative and transfigurative qualities in each individual setting, it is necessary to adopt a musico-poetic approach and analyse the 'poem-on-X' prior to the analysis of the musical realisation of the 'poem-on-X' to establish what lends itself to representation and discern where transfiguration takes place. This is a viable model for analysing songs of Goethe's *Faust* as word-music relationships are fundamental to our understanding of the text, while the multitude of unique readings offered in various settings of *Faust* – a consequence of the universality of the text – can be managed with the application of this approach to each individual reading.

By interpreting song as a reading of a poem that is both a representation and transfiguration of the poetic text, Lewin is endorsing Schubert's approach to text setting, but Lewin's philosophy would also have appeased Goethe. While Goethe was fastidious about the

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<sup>544</sup> Ibid., p. 110.



representation of the poetic text, he was open to multifarious readings in his later life<sup>545</sup> and would not have been opposed to the transfiguration of the poem as long as the setting doubled up as a representation of his intended meaning. Furthermore, Lewin's theory that song is borne out of a desire to perform poetry is a concept that would have resonated with Goethe as evinced in *Faust* where each song is intended to be sung, or in Eduard Genast's recollection of Goethe's criticism of his performance of Reichardt's 'Jägers Abendlied':

During it he [Goethe] sat close by in an armchair and covered his eyes with his hands. Towards the end of the song he sprang to his feet and cried, 'You sing the song badly [...] The first verse, just as the third must be performed vigorously, with a [certain] wildness, the second and the fourth more gently; because a different feeling begins there.'<sup>546</sup>

### 3.8 Hatten's musings on poetic meaning

Robert S. Hatten argues with reference to Goethe and Schubert that lyric poetry concedes some of its inherent musical qualities when it is set to music, upholding Cone, Langer and Kramer's view that text is appropriated by music and closely resembling Kramer's idea that musical text is de-created when set to song:

Even when Schubert succeeds in exemplifying, or expanding upon, the symbolic richness of meaning embodied in the poem, we should consider the fate of overwritten meaning embodied in the musical language and the form of the poem itself.<sup>547</sup>

Hatten believes consideration of what poetry loses as it is appropriated by music 'can be a useful exercise in balancing the competing claims of poetic text and musical setting, especially given the tendency of performers and theorists to privilege the latter'.<sup>548</sup> In response to Hatten, Byrne Bodley argues:

In new readings of 'Wandrer's Nachtlid II' and 'Erster Verlust', Hatten locates the success of these settings in the rich musicality of Goethe's poetic *Gestalt*, whereas for me it lies in Schubert's ability to capture the essence of Goethe's *Gehalt* in musical terms.[...] In my view, no song worth its salt is unconcerned with the world it answers to. *That* answering function to

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<sup>545</sup> Lorraine Byrne Bodley, *Schubert's Goethe Settings*, p. 14.

<sup>546</sup> *Ibid.*, p. 11.

<sup>547</sup> Robert S. Hatten, 'A Surfeit of Musics: What Goethe's Lyrics Concede When Set To Schubert's Music', *Nineteenth Century Music Review*, Vol. 5 (2008), p. 7.

<sup>548</sup> *Ibid.*

the *Gehalt* of Goethe's poems is what makes Schubert's settings in the deepest way responsible – capable of offering a response but a response on its own terms.<sup>549</sup>

Hatten's counter-argument is 'that the full meaning of a poem cannot simply be extracted from its poetic incarnation.'<sup>550</sup> The suggestion here is that much of the poetic meaning is enclosed in the poetic form and that in the process of a text being set to music, some of the latent musicality in the poetry is lost. This is undoubtedly true, however, if some musical aspects of the poetry are forfeited when a poem is confined to musical form, does that not encourage song to concentrate on responding to the poetic content – which can be preserved in music – than answering to the poetic form? This author would suggest song should look to engage with both poetic content and form, but with the focus on the former.

This exchange of viewpoints between Hatten and Byrne Bodley calls into question how songs should be appraised – particularly in regard to how composer responds to poetic content – but it is justification of Hatten's wider belief 'that interpretation should begin with the poem, and its own music, before analysis and subsequent critical evaluation of any composer's given setting.'<sup>551</sup> In relation to the analysis of settings from Goethe's *Faust*, it can be beneficial to contemplate what has been disintegrated or conceded through the appropriation of each poetic text by song, but only if the reading in question retains enough of the character of the poetry that the *Gehalt* is identifiable in the said Lied. As it pertains to this study, understanding how each composer contends with either or both *Gehalt* and *Gestalt* is central to our comprehension of each individual reading.

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<sup>549</sup> Lorraine Byrne Bodley, 'In Pursuit of a Single Flame? On Schubert's Settings of Goethe's Poems', *Nineteenth Century Music Review*, Vol. 13 (2016), pp. 23–24.

<sup>550</sup> Robert Hatten, 'Reflections Inspired by a Response', *Nineteenth Century Music Review*, Vol. 13 (2016), p. 36.

<sup>551</sup> *Ibid.*, p. 38.

### 3.9 Stein and Spillman's perspective on poetry, rhythm, metre and form

In *Poetry into Song*, Stein and Spillman look at poetry, musical performance and music analysis as they relate to German art song and aim to show how these areas coalesce to inform our understanding of performance in the genre.<sup>552</sup> Although much of the book focuses on performance considerations, the way in which a text has been set to music is of significance, as the title suggests. The poetic discourse is divided into two categories – poetic content and poetic form – which are identified as follows:

Under the general topic of poetic content, we examine various rhetorical devices such as imagery, metaphor, simile, symbol, irony, pun and personification, as well as the more general concerns of poetic progression, *Stimmung*, persona and mode of address. Within the area of poetic form, we explain meter and scansion, rhyme scheme (including assonance and alliteration), stanzaic division, and line integrity (enjambment and caesura).<sup>553</sup>

An interesting concern in setting text to music is what is described as the sound and colour of the poetic language; words chosen carefully by the poet on account of the senses they evoke or the emotions they stir. The contrast between bright and dark sounds is described as 'one of the poet's most dramatic resources' and therefore merits the consideration of the composer in setting the text.<sup>554</sup>

Both Stein and Spillman endorse scansion as a method for identifying stressed and unstressed syllables in poetry. They recognise that scansion is an 'inexact process' and that to determine the metre, it is sometimes necessary to determine which metric patterns are prevalent, acknowledge the presence of metrical substitutions where appropriate, and identify the *Hauptmeter* on that basis.<sup>555</sup> While recognising that rhythm is hierarchal in nature<sup>556</sup> – and affirming that a contemplation of rhythm beyond that on a surface level is not in the scope of their review<sup>557</sup> – it is worth noting that poetic scansion of this kind has its limitations

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<sup>552</sup> Stein and Spillman, *Poetry into Song*, xiii.

<sup>553</sup> *Ibid.*, pp. 20–21.

<sup>554</sup> *Ibid.*, p.21.

<sup>555</sup> *Ibid.*, p.39.

<sup>556</sup> *Ibid.*, p. 167.

<sup>557</sup> *Ibid.*, p.168.

in that it does not account for deeper levels of stress, such as that which Krebs identifies in 'Der Sandmann' by Hermann Kletke (1813–1886) and 'Viel Glück zur Reise, Schwalben' by Elisabeth Kulmann (1808–1825).<sup>558</sup>

Acknowledging that there are various interpretations of accent and stress and no consensus among theorists, Stein and Spillman define stress in theoretical terms as relating solely to emphasis, while the accent refers to metric or rhythmic emphasis.<sup>559</sup> The following are listed as ways in which a composer can establish accents with no regard for the metric context:

longer duration combined with syncopation (called by theorists agogic accent); changes in pitch (melodic or harmonic), texture, register or contour; changes in or emphasis through dynamics; and articulations (bowings, tonguings, pauses for breathing).<sup>560</sup>

It is interesting to recognise these techniques in the analysis of song, not only to establish where poetic meaning is receiving emphasis from the composer, but to pinpoint junctures where the composer elevates musical meaning above the poetic intent. Phrase structure is also enlightening in this regard. In determining whether a composer adhered to metric patterns or deviated from poetic rhythms to convey textual meaning, it is necessary to look beyond the emphasis of certain words or the treatment of particular poetic stresses and examine if the musical structure mimics poetic form. Stein and Spillman compare the musical phrase to poetic lines in the sense that both require a pause or closure, but they state the need for the musical phrase to contain some form of harmonic motion.<sup>561</sup> It is suggested that even-numbered bar phrases are normative in the Lied as they provide both symmetry and balance as well as the sustention of typical poetic structures, however, they rightly observe that

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<sup>558</sup> Harald Krebs, 'Treading Robert Schumann's New Path: Understanding Declamation in the Late Lieder Through Analysis and Recomposition', *Society For Music Theory* Vol 20 No. 4 (2014), pp. 4–5.

<sup>559</sup> Stein and Spillman, *Poetry into Song*, p.70.

<sup>560</sup> *Ibid.*, p.170.

<sup>561</sup> *Ibid.*, p.174.

'composers readily disrupt these phrase norms in the interest of text depiction'.<sup>562</sup> Phrases can either be expanded or compressed and the poetic tension is particularly evident if the resulting phrase is not of even bar length.<sup>563</sup> As one might expect, especially across the long nineteenth-century, phrase expansion is more prevalent in the Lied than phrase contraction and can take the following forms:

Phrase expansion (or extension) can occur at three points of the phrase: (1) within a phrase beginning, (2) as an interpolation within the interior of the phrase, and (3) as an extension at the phrase ending.<sup>564</sup>

The identification of potential concerns for the composer with regard to poetic content and form, and the subsequent outlining of rhythmic, metric and phrase norms in *Poetry into Song* provides an excellent starting point for poetic, rhythmic and metrical analysis.

### 3.10 Krebs's theory of basic rhythm of declamation

Krebs defines the 'basic rhythm of declamation' as a 'rhythm that we perceive aurally as poetry is recited'.<sup>565</sup> The following is a detailed description from Krebs on the composition of the BRD:

A poem's BRD has an accentual and a durational component. The former component is constrained by the correct pronunciation of the words in the given language, as well as by the regular pattern of stressed and unstressed syllables (the "meter") that the poet has selected. The durational aspect, too, is determined to some extent by the nature of the given language [...] On the surface level (which corresponds to what we usually call the "meter" of the poem), the BRD features regularly recurring stresses, a regular alternation of stressed and unstressed syllables, and approximately equivalent durations of feet. But the BRD extends below the surface-level accentual and durational regularities of the poetic metre. There exist deeper levels of accentuation. Not all stresses in a poetic line are equivalent in weight; lines usually contain one or more especially strong stresses. There are even larger-scale components of the BRD, namely the durations determined by lines, couplets, and stanzas; in German lyric poems before the twentieth century, these units are, like the surface-level durational units, approximately equivalent in duration.<sup>566</sup>

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<sup>562</sup> Ibid., pp. 174–175

<sup>563</sup> Ibid., p. 175.

<sup>564</sup> Ibid., pp. 175–176.

<sup>565</sup> Harald Krebs, 'Fancy Footwork: Distortions of Poetic Rhythm in Robert Schumann's Late Songs', *Indiana Theory Review* 28 (2010), p. 68.

<sup>566</sup> Ibid. p. 69.

The BRD is essentially any musical rhythm that adheres to the poetic metre and therefore distortions of poetic rhythm can be unveiled by comparing the vocal rhythm of a song to a BRD generated by the analyst. In its simplest form, a poem's BRD can be written in music notation with an appropriate time signature indicated, notes of equal duration assigned to each syllable and asterisks and dynamic accents placed on poetic and musical stresses respectively.<sup>567</sup> Krebs notes, however, that the most basic construction of the BRD – which he defines as the 'simple BRD' – is often an unreliable gauge for identifying departures from the poetic rhythm as the potential exists for more complex musical rhythms which remain in compliance with the BRD.<sup>568</sup> The properties of 'BRD-compliant, non distortive vocal rhythms' are described as follows:

1) they comply with the accentual norms of the language; 2) they assign a relatively strong metrical accent to each poetic stress. When deeper levels of stress exist, the strongest stresses receive a relatively strong metrical accent, and lesser stresses a relatively weak one; 3) rests and elongations are distributed in a regular manner and are used at points where poetic rhythm justifies them; 4) poetic feet, and sometimes groups of two adjacent feet, are associated with equivalent durations.<sup>569</sup>

Variance in the BRD can be achieved through rests and longer note durations providing the rests and elongations respond to some aspect of the poetic rhythm and are distributed in a regular manner.<sup>570</sup> Elongations can emphasise poetic stress and be used to reveal a further level of stress where distinctions can be made between strong and weak stresses.<sup>571</sup>

To exhibit distortions of the poetic rhythm in a song analysis, it is important to select a version of the BRD – which this author terms a BRD-variant – 'that is relevant to the durations and the meter of the given setting'.<sup>572</sup> The 'simple BRD' of the poem often fails to suffice as a model of analysis for musical rhythms as vocal rhythms are often elaborate on account of the more melodic function they are required to fulfil. Furthermore, it is necessary

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<sup>567</sup> Ibid., p. 70.

<sup>568</sup> Ibid., pp. 70–71.

<sup>569</sup> Ibid., p. 72.

<sup>570</sup> Ibid., p. 71.

<sup>571</sup> Ibid., p. 72.

<sup>572</sup> Ibid., p. 73.

to fuse this BRD-variant with the vocal melody to create a 'hypothetical BRD-compliant' vocal rhythm which can be used for comparison with the vocal melody of the existing song.<sup>573</sup> Any contrasts identified between hypothetical and actual rhythm will signal where the composer deviates from the poetic rhythm. If the vocal melody in a song conforms to the BRD, it will effectively double as a variant of the BRD and therefore an attempt to devise a 'hypothetical BRD-compliant' vocal rhythm should lead the analyst toward the actual vocal melody of the song. To describe a song setting as BRD-conformant, the following characteristics must be recognised:

1) poetic and musical stress patterns are congruent; poetic stresses coincide with metrical beats, and poetic stresses coincide with strong beats; 2) large-scale poetic units are congruent with large-scale metrical units; specifically, poetic couplets (or single lines) align with four-bar hypermeasures; 3) silences within the vocal rhythm correspond to silences implied by the poetic rhythm (these normally occur at the end of poetic lines); the declamation matches the regularity of the poetic rhythm; that is, the durations of poetic feet and the intervals between poetic stresses, which would be approximately equivalent in normal recitations of most nineteenth-century German lyric poems, are also equivalent in vocal rhythm.<sup>574</sup>

Krebs justifies the BRD model by contesting Martin Boykan's belief that it is erroneous to correlate a vocal setting to the way in which a text is declaimed and argues for the validity of comparisons between vocal rhythms and the BRD of a poem:

Such comparisons can pinpoint stylistic changes in a composer's oeuvre (Schumann being a relevant example). They can uncover alternations between the compliance with and the distortion of the poetic rhythm—alternations of "consonance" and "dissonance" between poetic and musical rhythm. And most important, by investigating those passages where the music moves differently from the poem, we can begin to reach an understanding of why those passages move us.<sup>575</sup>

Furthermore, in his discussion of Schumann's 'Ihre Stimme' and 'Des Buben Schützenlied', Krebs indicates that the composer's distortions of poetic rhythm are in response to the text.<sup>576</sup>

Although not explicitly stated by Krebs, the application of BRD – in cases of both

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<sup>573</sup> Ibid., p. 74.

<sup>574</sup> Harald Krebs, 'Treading Robert Schumann's New Path: Understanding Declamation in the Late Lieder Through Analysis and Recomposition', p. 2.

<sup>575</sup> Harald Krebs, 'Fancy Footwork: Distortions of Poetic Rhythm in Robert Schumann's Late Songs', pp. 82–83.

<sup>576</sup> Ibid., pp. 77–82.

compliance and non-compliance – enables an understanding to be achieved on how a composer set about conveying textual meaning and whether the composer took liberties with the text in pursuit of musical meaning. In this study, where many settings of Goethe's *Faust* in the 1830s are the subject of analysis, the BRD is a model that can aid our comprehension of the perception of rhythmic declamation among composers of the early German Lied and determine to what extent musical rhythm had become emancipated from poetic rhythm during the period in question. Analysis of the BRD can also reveal the extent of influence Goethe's views on song and the rhythmic declamation of the text had on *Faust* settings by Wagner and his contemporaries.

### **3.11 Conclusion: An approach to word-music relations in the *Faust* settings of Wagner and his contemporaries**

This chapter demonstrates that theories on text setting – as they are applied to the nineteenth-century Lied – have been guided by misconceptions relating to Goethe and his musicality.<sup>577</sup> Zelter's strophic songs have been erroneously viewed as an expression of Goethe's views on the Lied and while Goethe would certainly have approved of Zelter's adherence to the poetic form, the poet also kept an open mind with composers, opting to see how they have interpreted the text before forming judgement.<sup>578</sup> This principle can be adopted to form a key tenet in the approach required to delineate the relationship between text and music in *Faust* settings of the 1830s – namely, to reach an understanding as to how song realises the text and to examine the completed song as one of many potential readings of the text. This conviction is inspired by Lewin's belief on what song analysis should set out to achieve. In setting poetry to music, the musical response to poetry offered by song composers should serve as a reading of the text, or as Lewin would attest, a poem on a poem-on-X. Song must take into

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<sup>577</sup> This is evident in Edward T. Cone, *The Composer's Voice and A View from the Delft* as well as Lawrence Kramer, *Music and Poetry: The Nineteenth Century and After*.

<sup>578</sup> Johann Wolfgang von Goethe in Lorraine Byrne Bodley, *Goethe and Zelter: Musical Dialogues*, p. 16.



consideration both poetic form and the content of the poetry; that is not to say song should only concern itself with the poetic structure and the meaning implied by the words of the text, but it should be accepted that the text has a particular import on song which, in turn, ensures song has an inescapably mimetic function. This author would agree with Kramer's view that song is more than a mimetic of the text, yet recognise that any song that strives to depict the poetry necessarily exhibits imitative elements.

It is imperative that a musico-poetic approach to song analysis is embraced in this dissertation as there is a latent musicality within Goethe's *Faust* that song composers must aspire to tease out in their settings. It is evident that the notion of musicality being inherent in poetry – which is established as soon as words are chosen and arranged in a specific order – is the greatest source of difficulty for the music theorists considered in this chapter. Cone does not appear to attach any significance to the musicality of words at all. Kramer's view that song is a de-creation suggests musical aspects of poetry dissipate when music and poetry contend with each other during the process of synthesis. Agawu's proposed models of analysis struggle to account for both musical aspects of the poetry and non-poetic, pure musical facets in equal terms – each model is weighted in favour of either text or music. Finally, Hatten admits that some of the musicality of the poetry is lost when text is set to music but he accepts this as a consequence of the composer grappling with poetic form. In reality, much of the musicality of the poetry is located within the content of the poem – as opposed to being enclosed in the form of the poetry – and there is an onus on the composer to provide a musical response that amplifies the poetic content.

It is beyond the scope of this dissertation to propose a universal model of song analysis, however, it is important to briefly outline the approach that will be taken to examine word-music relations in the *Faust* songs of Wagner and his contemporaries. One should recognise that text – Goethe's *Faust* in this instance – is the catalyst for song and logic

dictates that the origins of poetic texts lie in the poet's conceptualisation of the poem. Analysis should, therefore, consider the dramatic context of the poetry. Once comprehension of the text has been achieved, the analysis must then be directed to a discussion of poetic aspects within the text which have musical implications for the composer; the meaning of the poem, the chosen poetic form as it relates to metre, rhythm and prosody. The final stage of analysis should be to contemplate the musical setting, focusing on how musical rhythm, the accompaniment and tonality contends with both poetic content and poetic form. This is the framework that has been established by this author to explore the relationship between text and music in these underappreciated post-Schubertian and pre-Schumannian *Faust* settings and further our understanding of text setting practice in this period.

## Chapter 4

### **Wagner's *Faust: Sieben Kompositionen zu Goethes Faust***

#### **4.1 Introduction**

This chapter seeks to reappraise Wagner's *Sieben Kompositionen zu Goethes Faust* through detailed analysis of the relationship between text and music in his *Faust* songs which will, in turn, further our knowledge of the text setting practice of a teenage Wagner and – in conjunction with the chapter that is to follow – that of song composers of the 1830s, which will advance our understanding of the Lied. To achieve this aim, the approach outlined in the conclusion of the previous chapter will be applied systematically to each of Wagner's *Faust* settings, demonstrating how musical rhythm, the piano accompaniment and aspects of tonality respond to the poetry of Goethe's text.

As this dissertation is concerned with the direct influence Goethe's *Faust* exerted on the evolution of the nineteenth-century Lied, this chapter begins with a consideration of the import Goethe and *Faust* had on Wagner's early musical endeavours – including *Sieben Kompositionen zu Goethes Faust*. There is a need to reconcile the impact of Goethe's plays on Wagner's formative music dramas – in the absence of any tangible reference to Goethe in Wagner's *Autobiographical Sketch* (1843) – to illustrate the full extent of Goethe's influence on a teenage Wagner and, moreover, the effect Goethe's influence had on the composition of Wagner's *Faust* Lieder. An overview of Wagner's engagement with Goethe's *Faust* is presented to further demonstrate the agency Goethe had on the composition of *Sieben Kompositionen zu Goethes Faust*. Furthermore, Wagner's relation of Goethe's *Faust* to Beethoven's Ninth Symphony is summarised to examine the thesis that Wagner held *Faust* – and Goethe – in esteem for longer than previously acknowledged or perhaps realised.

The influence of Goethe on a young Wagner is most evident in the physical existence of *Sieben Kompositionen zu Goethes Faust* – especially as many of Wagner's formative compositions have failed to survive – but another significant indication of Goethe's effect on Wagner is the model of Goethe's Gretchen as a precursor for the *Eternal Feminine* and the Wagnerian heroine. It is beyond the scope of this dissertation to consider elements within *Sieben Kompositionen zu Goethes Faust* as they relate to Wagnerian opera, nonetheless, it is important to identify and briefly discuss such strands to underline the significance of these songs in the totality of Wagner's engagement with Goethe's *Faust*. It is for this reason that commentary on Gretchen as the first Wagnerian heroine and a further overview on the *Faust Overture* is provided. This chapter will also consider the reception history of Wagner's *Sieben Kompositionen zu Goethes Faust*, challenging scholarly views on the *Faust* songs as a means of re-evaluation. The intention here is not to attribute worth to Wagner's *Sieben Kompositionen zu Goethes Faust* or enter a discussion on its merits, but rather to recognise that these teenage settings – which epitomise Wagner's early music endeavours – are of interest and require reappraisal in the context of their contribution to the Lied in a post-Schubertian epoch.

#### **4.2 The influence of Goethe on Wagner's formative works**

Shakespeare, Beethoven and Goethe have had a profound effect on both Wagner's life and his art during his formative years. The influence of Goethe on Wagner, however, has not been as well-documented as the influence of the other two cultural icons. Robert Gutman argues that a 'curiously indecisive attitude towards Goethe led commentators on Wagner for the most part to ignore the extent of his debt to Germany's greatest poet.'<sup>579</sup> This author would argue, however, that the neglect of the effect Goethe had on a young Wagner had more to do with

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<sup>579</sup> Robert W. Gutman, *The Man, His Mind and His Music* (London: Secker and Warburg, 1968), p. 151.

the composer himself than any critical stance taken by scholars. Wagner was more overt in showing his appreciation for Shakespeare and Beethoven; his admiration of Goethe is not immediately apparent in Wagner's writings. This is no more evident than in Wagner's *Autobiographical Sketch* of 1843. Wagner's *Autobiographical Sketch* was written for the radical journal, *Zeitung für die Elegante Welt*.<sup>580</sup> The editor of the journal was Wagner's good friend Heinrich Laube (1806–1884) – a prominent figure of the *Jung-Deutschland* movement who considered Goethe an antediluvian figure – and it was at Laube's request that Wagner provided the sketch.<sup>581</sup> In this sketch, Wagner provides a chronological outline of compositions and events that were central to his development as well as his intentions and the inspirations behind these works. It is interesting to note what Wagner chooses to reveal about himself and his compositions while bearing in mind that the succinct nature of the text would have encouraged the need to be selective.

Wagner indicated that he studied Beethoven's incidental music for Goethe's *Egmont* at thirteen years of age in order to compose music for his first foray into drama, *Leubald*, and he credits Shakespeare's *Hamlet* and *King Lear* as being the key literary influences on *Leubald*.<sup>582</sup> In this statement, Wagner is acknowledging the influence of Shakespeare on his drama and Beethoven on his music, but it is worth noting how the turn to Beethoven for musical knowledge involves understanding music composed for one of Goethe's plays. Derek Watson believes Goethe may have had a direct influence on *Leubald*, claiming that Goethe's *Götz von Berlichingen* (1773) was a source of inspiration for Wagner's drama.<sup>583</sup> If Goethe's *Götz von Berlichingen* influenced *Leubald*, then Wagner failed to recognise its significance in the *Autobiographical Sketch* – and there is much evidence to suggest this would have been deliberate rather than an oversight.

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<sup>580</sup> Bryan Magee, *Wagner and Philosophy* (London: Penguin, 2001), p. 24.

<sup>581</sup> *Ibid.*

<sup>582</sup> Herbert Barth, Dietrich Mack, Egon Voss, *Wagner: A Documentary Study* (Oxford: Oxford University Press, 1975), p. 11.

<sup>583</sup> Derek Watson, *Richard Wagner* (London: Dent, 1979), p. 28.

Wagner also neglected to mention his first opera, *Schäferoper* ('A Shepherd's Opera') in the *Autobiographical Sketch* – an opera which was based on Goethe's pastoral play *Die Laune des Verliebten*.<sup>584</sup> Furthermore, Gutman has noted many similarities between pre-existing Goethean dramas and Wagner's formative music dramas. He believes Wagner's *Die Hochzeit* (1832) relates to Goethe's *Clavigo* (1774) given the similarities between their funeral scenes and the 'common debt to the saturnine melancholy' of Shakespeare's *Hamlet*.<sup>585</sup> Gutman also argues that parallels can be drawn between the eponymous character of *Rienzi* (1835) and the equivalents in both Goethe's *Götz von Berlichingen* and *Egmont*.<sup>586</sup> As for the discussion of further formative compositions in Wagner's *Autobiographical Sketch*, *Sieben Kompositionen zu Goethes Faust* is a glaring omission and the mention of *Eine Faust Ouvertüre* (1839–40) is merely an aside, with the composition of French ballads and Heinrich Heine's *Two Grenadiers* taking precedence. It is obvious that Goethe's plays had a major impact on Wagner's early music dramas, and that the influence of Goethe on Wagner went unrecognised in the *Autobiographical Sketch*.

Wagner would have diminished Goethe's influence on his formative years given both his and the editor of the journal's association with the *Jung-Deutschland* movement who were opposed to Goethe's classicism. As Wagner's *Faust* songs settings were not published, the composer could afford not to mention them in the sketch, but his *Faust Overture* would have been known and therefore needed to be addressed in a sketch that referenced all his well-known works and more. Wagner may have made the *Faust Overture* appear to be secondary to his settings of *Two Grenadiers* given Heine himself was a prominent figure of the *Jung-Deutschland* movement. The *Autobiographical Sketch* suggests Goethe and *Faust* were of

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<sup>584</sup> Nicholas Vazsonyi, *The Cambridge Wagner Encyclopedia* (Cambridge: Cambridge University Press, 2013), p. 164.

<sup>585</sup> Robert W. Gutman, *The Man, His Mind and His Music*, p. 151.

<sup>586</sup> *Ibid.*

little relevance to Wagner's formative years when in reality, Wagner had a motive for masking their significance.

A further example of Goethe's influence on Wagner is exhibited in *Die Feen* (1834). Written to appease his family and described by Egon Voss as an 'opera for his family', the opera quotes material in bars 285–289 from 'Melodram Gretchens' in Wagner's *Sieben Kompositionen zu Goethes Faust* (1831–32).<sup>587</sup> It is interesting that Wagner returns to Goethe's *Faust* – albeit through the medium of one of his own *Faust* songs – to illuminate a libretto which treated the theme of love as a social convention. *Die Feen* differs to Wagner's canonical operatic works in that it does not consider love as a 'disruptive force' to society – an aesthetic identified in Wagner's *Opera and Drama* (1851) – but rather as a supportive force, and this is likely the reason Wagner sought to distance himself from the work in due course. The borrowing of material from Wagner's 'Melodram Gretchens' supports this author's view that Wagner turned to Goethe for knowledge and inspiration for his early compositions, but the quotation also suggests that Wagner turned to Goethe's *Faust* in particular for inspiration regarding the expression of love in his dramas, be it as a positive force found in *Die Feen*, or a negative force as witnessed in his canonical operas. It is clear, therefore, that Wagner's early compositions were influenced by both Goethe and *Faust* and that their purport has been understated by Wagner and undervalued by scholars.

#### **4.3 Wagner's early engagement with Goethe's *Faust***

Wagner became interested in theatre and music when he commenced formal schooling at the age of nine.<sup>588</sup> His early interest in theatre led to an interest in literature and he soon focused his attention on Goethe's *Faust*, which Dieter Borchmeyer has described as being one of the

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<sup>587</sup> Egon Voss in Dieter Borchmeyer, *Drama and the World of Richard Wagner* (New Jersey: Princeton University Press, 2003), p. 6.

<sup>588</sup> Barry Millington et al., 'Wagner: (1) Richard Wagner' *Grove Music Online*, [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 21 November 2013]

most significant endeavours of Wagner's life.<sup>589</sup> Wagner was first introduced to Faust by his uncle Adolf.<sup>590</sup> Wagner regarded his uncle as being a 'true disciple' of Goethe: Adolf had published an anthology of texts that were dedicated to the famous poet, who responded kindly to the dedication with words of praise and the gift of a silver goblet.<sup>591</sup> Adolf warned his teenage nephew that he would find Goethe's *Faust* to be beyond his comprehension.<sup>592</sup> Nevertheless, Wagner was undeterred – or perhaps encouraged – by these remarks. An account by a school friend suggests that the teenage Wagner was reading *Faust* under his desk at the Nikolaischule in Leipzig, and he even sketched an operatic scene based on the text.<sup>593</sup>

Wagner's teenage fascination with *Faust* was also influenced by his sister Rosalie's role as Gretchen in an amateur theatrical production of the drama at the Stadttheater in Leipzig in 1829, which was performed to mark Goethe's eightieth birthday.<sup>594</sup> In this specific stage production, the drama ends with a reuniting of Faust and Gretchen on a cloud bank, with choirs in the background prior to Mephistopheles plunge through the ground. This ending was replicated in the text of Wagner's subsequent operatic sketch, which was an indication that the young Wagner had designs on a musical setting of Goethe's iconic work. Wagner was, however, restricted by his lack of musical education as he had – at this early stage – yet to acquire the knowledge of how to compose an operatic realisation of the text.

After being appointed at the Dresden Court Theatre, Rosalie gave her brother free access to all performances in the theatre.<sup>595</sup> He saw plays by literary greats such as Shakespeare, Schiller, Goethe and the most recent compositions of Heinrich Marschner and

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<sup>589</sup> Dieter Borchmeyer, *Richard Wagner: Theory and Theatre* (Oxford: Oxford University Press, 1991), p. 40.

<sup>590</sup> Joachim Köhler, *Richard Wagner: The Last of the Titans* (New Haven and London: Yale University Press, 2004), p. 43.

<sup>591</sup> Curt von Westernhagen, *Wagner: A Biography Vol 1* trans. Mary Whittall (Cambridge: Cambridge University Press, 1978), p. 20.

<sup>592</sup> Joachim Köhler, *Richard Wagner: The Last of the Titans*, p. 43.

<sup>593</sup> *Ibid.*, pp. 55–56.

<sup>594</sup> *Ibid.*, p. 55.

<sup>595</sup> H.F. Garten, *Wagner the Dramatist* (London: Calder Publications, 1977), p. 17.



Carl Maria von Weber.<sup>596</sup> In 1831, Rosalie commissioned Wagner to write incidental music – the result of which was his *Sieben Kompositionen zu Goethes Faust*.<sup>597</sup> These seven songs may have been written for the commission but 'Meine Ruh ist hin' and 'Melodram Gretchens' were most likely composed to showcase Rosalie's theatrical gifts.<sup>598</sup> In 1832, shortly after the composition of his *Faust Lieder*, Wagner began work on the opera, *Die Hochzeit*.<sup>599</sup> In his *Autobiographical Sketch*, he claimed to have destroyed all trace of this opera when his sister deemed it unsuitable for the stage.<sup>600</sup> The preservation of the *Faust Lieder* suggests that they gained the approval of his sister, if not his own. These songs were composed at a time when Wagner was resurrecting his interest in music: it is worth noting how this revival took place through his engagement with Goethe rather than with opera. It would also have been a signal of the scope of his ambitions: he wanted to achieve in music the heights that Goethe had attained in literature.

#### 4.4 Wagner's association of Goethe's *Faust* and Beethoven's Ninth

On 3 September 1874, Wagner told Cosima that 'Faust [...] and Beethoven's symphonies – those are the only things of which Germany can be proud'<sup>601</sup>, a statement which suggests Wagner regarded Beethoven's Ninth Symphony as being the pinnacle of nineteenth-century German music; the literary equivalent of which he considered to be Goethe's *Faust*. Klaus Kropfinger believes, however, that the association between *Faust* and the Ninth Symphony can be traced back to Wagner's *Faust Overture* as the overture inspired the composer's discussion of the finale to the Ninth in his novella, *A Pilgrimage to Beethoven* – published in *Revue et gazette musicale* in November 1840 – a mere ten months after the completion of the

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<sup>596</sup> Ibid.

<sup>597</sup> Joachim Köhler, *Richard Wagner: The Last of the Titans*, p. 56.

<sup>598</sup> Ibid.

<sup>599</sup> Robert L. Jacobs, *Wagner* (London: J.M. Dent, 1974), p. 186.

<sup>600</sup> Ibid.

<sup>601</sup> Dieter Borchmeyer, *Richard Wagner: Theory and Theatre*, p. 40.

*Faust Overture*.<sup>602</sup> Further evidence of the association between Goethe's *Faust*, Beethoven's Ninth and the *Faust Overture* lies in *Mein Leben* where Wagner credits a rehearsal of Beethoven's Ninth – conducted by Francois Habeneck (1781–1849) for the Paris Conservatoire in late 1839 or early 1840 – for redeeming his own interest in the symphony; an interest which subsided in the 1830s as Wagner witnessed poor performances of the symphony, such as a performance by Christian August Pohlenz (1790–1843) at the Leipzig Gewandhaus on 14 April 1830.<sup>603</sup> It is also worth noting that Wagner conducted Beethoven's Ninth in London on 26 March 1855 as part of an invitational series and this took place two months after revisions to the *Faust Overture*. These biographical details suggest Wagner associated Beethoven's Ninth with Goethe's *Faust* for the majority of his life and that this perspective impacted upon Wagner's compositional endeavours at various times in his life. This challenges Nicholas Vaszonyi's view that Wagner created a narrative on Beethoven's Ninth whereby his now mature appreciation of the symphony is seen to shape his artistic development.<sup>604</sup> This author would subscribe to Nicholas Cook's opinion that Wagner's commentaries on Beethoven's Ninth, which span the 1840s to the 1870s, reflect Wagner's thinking on the music drama and that Wagner's thoughts on music drama may have, in turn, influenced his commentaries on Beethoven's Ninth.<sup>605</sup> With regard to the conceptualisation of the music drama, it is clear Wagner made greater efforts to document the association of Beethoven's Ninth with Goethe's *Faust* in his later life.<sup>606</sup> In a conversation with Cosima on 8 February 1872, Wagner explained that *Faust* and the Ninth were 'barbarian works of that kind, that is to say, works of art that cannot be compared to a Greek Apollo or a Greek

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<sup>602</sup> Klaus Kropfinger, *Wagner and Beethoven: Richard Wagner's Reception of Beethoven* (Cambridge: Cambridge University Press, 1991), p. 37.

<sup>603</sup> Nicholas Vaszonyi, *Self-Promotion and the Making of a Brand* (Cambridge: Cambridge University Press, 2010), p. 63.

<sup>604</sup> *Ibid.*

<sup>605</sup> Nicholas Cook, *Beethoven: Symphony No. 9* (Cambridge: Cambridge University Press, 1993), p. 71.

<sup>606</sup> Nicholas Vaszonyi, *The Cambridge Wagner Encyclopedia* (Cambridge: Cambridge University Press, 2013), p. 165.

Tragedy.<sup>607</sup> As far as Wagner was concerned, *Faust* and the Ninth – the essence of music drama – were 'barbaric' works in the sense that they did not exhibit the perfection of the classical model of the Greek aesthetic ideal, but were instead placed on a higher aesthetic plane.<sup>608</sup> In light of the association between the *Faust Overture*, Goethe's *Faust* and Beethoven's Ninth – and Wagner's association of the Ninth, *Faust* and music drama – it is not unreasonable to suggest Goethe's *Faust* influenced his views on music drama and that his *Faust* settings were practical explorations of theoretical ideas.

In conducting a performance of Beethoven's Ninth in Dresden in 1846, Wagner used various quotes from Goethe's *Faust I* in the program notes to guide the listener in following the musical development of Beethoven's Ninth.<sup>609</sup> These were the first program notes Wagner compiled, therefore it is of significance that he turned to the iconic *Faust* text to illuminate the character of a predominantly instrumental work. According to Kropfing, Wagner used *Faust* to 'present the struggle to survive as a precondition of the choral finale, which transcends earthly problems'.<sup>610</sup> Wagner achieves this by likening the striving character of the symphony to Faust's desire to escape his scholarly world in pursuit of a more fulfilling life.<sup>611</sup> In his discussion of the second movement, Wagner speaks of contentment – depicted with a quote from *Auerbachs Keller in Leipzig* which indicates the simplicity of ordinary Christian life – and outlines the striving of the music beyond contentment towards happiness.<sup>612</sup> This is achieved in the fourth movement when Beethoven introduces the human voice and text based on Schiller's *An die Freude* to the symphony. Faust's striving beyond the physical realm towards greater fulfillment of life acts as a metaphor for Beethoven's Ninth and symphonic form which is 'nearly transgressing the boundaries of absolute music' with the inclusion of

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<sup>607</sup> Ibid.

<sup>608</sup> Ibid.

<sup>609</sup> Dieter Borchmeyer, *Richard Wagner: Theory and Theatre*, p. 40.

<sup>610</sup> Klaus Kropfing, *Wagner and Beethoven: Richard Wagner's Reception of Beethoven*, p. 37.

<sup>611</sup> Thomas S. Grey, *Richard Wagner and his World* (Oxford: Princeton University Press, 2009), pp. 482–484.

<sup>612</sup> Ibid., p. 484.

text.<sup>613</sup> Wagner views instrumental music as being an 'infinite and indistinct expression' and credits Beethoven's introduction of text to the symphony with providing 'a more distinctly speaking character'.<sup>614</sup> In the same way Goethe endorses Faust's striving, Wagner is endorsing Beethoven's use of human voice in the Ninth and moreover, the striving within the symphony for the human voice in the final movement.

Mark Austin considers the program notes on Beethoven's Ninth to be 'an early indicator of the important role *Faust* would play in Wagner's lifelong exploration of the relationship between music and text'.<sup>615</sup> Wagner's commentary on Beethoven's Ninth certainly anticipates later theories and aesthetics. As Thomas S. Grey notes, Wagner proceeded to cite Beethoven's Ninth as the end of the symphonic tradition in both *The Artwork of the Future* (1849) and *Opera and Drama* (1851); essays which also introduced Wagner's idea of the *Gesamtkunstwerk*, which was most clearly defined in the latter publication. Although it was not until later in life that Wagner acknowledged the significance of Goethe and *Faust*, the influence of both Goethe and *Faust* on Wagner's theories and aesthetics is implicit in his program notes to Beethoven's Ninth, even though Wagner had not intended to provide a critical commentary on the symphony.

#### **4.5 Wagner's Conceptualisation of Goethe's *Faust***

Wagner did not regard the Lied as being a suitable form for the expression of text and Bunke correctly observes that Wagner's song compositions were always born from a particular stimulus.<sup>616</sup> The Lieder composed during his Parisien years (1839–40) were written in the Romantic style of the salon and were motivated by Wagner's financial struggles and the

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<sup>613</sup> Ibid., p. 486.

<sup>614</sup> Ibid.

<sup>615</sup> Mark Austin in Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*, pp. 181–182.

<sup>616</sup> Carolin Bunke, *Zur Faust-Rezeption in der Musik des 19. Jahrhunderts* (Freiburg: Rombach Verlag, 2011), p. 234.

composer's desire and need for artistic success.<sup>617</sup> The *Wesendonck Lieder* (1857–58) afforded him an opportunity to convey his feelings for Mathilde Wesendonck in a private sphere instead of in the theatre.<sup>618</sup> Similarly, Wagner's *Faust* settings show his admiration for his sister Rosalie through his portrayal of Gretchen, whom Wagner regarded to be the literary equivalent of his sister due to their ill-fated experiences with love.<sup>619</sup> Wagner's admiration for his sister, however, was not the catalyst behind his *Faust* Lieder – Rosalie commissioning him to write music provided the impetus – but he opted to use the commission to compose *Faust* songs. Wagner likely believed that Rosalie – in her role as Gretchen in Leipzig – could have the necessary clout to ensure these *Faust* settings were performed on stage, although there is no evidence that this materialised. The French Lieder and the *Wesendonck Lieder* were composed with the intention of achieving a specific purpose, and when they failed to have the desired effect, Wagner turned his back on the Lied.<sup>620</sup> Yet the *Faust* songs evidently had a lasting effect on Wagner as he requested that the handwritten scores be sent on to him when he travelled to London via Paris in 1839 – even though he had distanced himself from the aesthetic merit of these *Faust* compositions.<sup>621</sup> While Wagner did not regard the Lied as a suitable form of expression for Goethe's text, this action suggests that Wagner was still in search of a suitable medium of expression for Goethe's *Faust*, and the composition of *Eine Faust Ouvertüre* in these winter months is evidence of the fact.

As Wagner was not keen on revealing the influence Goethe had upon him, Wagner's conceptualisation of Goethe's *Faust* did not become clear until long after his *Faust* settings had been written. The most revealing document in this regard is a letter Wagner wrote to Mathilde Wesendonck on 7 April 1858. Wagner writes in a state of jealousy, having had a

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<sup>617</sup> Ibid.

<sup>618</sup> John Deathridge, *Beyond Good and Evil* (California: University of California Press, 2008), p. 123.

<sup>619</sup> Joachim Köhler, *Richard Wagner: The Last of the Titans*, p. 43.

<sup>620</sup> Richard Wagner, *Sämtliche Briefe Vol. 7* eds. Hans-Joachim Bauer and Johannes Forner (Leipzig: Deutscher Verlag für Musik [vols. 1–9], 1967–2000), p. 33.

<sup>621</sup> Carolin Bunke, *Zur Faust-Rezeption in der Musik des 19. Jahrhunderts*, p. 234.

heated debate regarding Goethe's *Faust* with potential love rival Francesco De Sanctis (1817–1883) the previous night. Wagner states 'it is not 'De Sanctis' I hate, it is myself, for I am forever surprising my heart in such weakness.'<sup>622</sup> The frankness of this admission gives plausibility to the remainder of the letter, in which, Wagner takes exception to De Sanctis' and Mathilde's opinion that Faust is 'the most significant human archetype ever created by a poet.'<sup>623</sup> Wagner was adamant that Faust should not be turned into a noble man, for he rejected the opportunity to achieve salvation and redemption through Gretchen.<sup>624</sup> Wagner describes Faust as 'just an academic with a wild imagination' who 'has no experience of the real world.'<sup>625</sup> Wagner felt that Goethe had intended Faust to be read in this way, and he felt strongly on the matter as he believed others should be made aware of this.<sup>626</sup> Borchmeyer argues that *Faust II* would have satisfied Wagner's criticism of the work (Wagner had not read *Faust II* at the time of writing this letter) but that he would not have found it convincing.<sup>627</sup> In his essay *Beethoven and the German Nation*, written on 21 September 1970, Wagner confirmed that he viewed salvation and redemption as taking place through Gretchen as opposed to Helen, who redeems and saves Faust in Goethe's *Faust II*.<sup>628</sup>

Despite his rejection of the ending of Goethe's *Faust II*, Wagner became fonder of *Faust II* than *Faust I*, although he viewed the totality of Goethe's *Faust* as a modern, reflective work that acted as a commentary on Shakespeare and ultimately, a work that was inferior to Shakespearean plays on its own merit.<sup>629</sup> Cosima's diaries show Wagner to be consumed with *Faust* in the final 14 years of his life.<sup>630</sup> Wagner once told Cosima that he considered *Faust* to be 'utterly German, German in a popular sense, yet it embraces the whole

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<sup>622</sup> Herbert Barth, Dietrich Mack, Egon Voss, *Wagner: A Documentary Study*, p. 187.

<sup>623</sup> Ibid.

<sup>624</sup> Dieter Borchmeyer, *Richard Wagner: Theory and Theatre*, p. 42.

<sup>625</sup> Herbert Barth, Dietrich Mack, Egon Voss, *Wagner: A Documentary Study*, p. 187.

<sup>626</sup> Ibid.

<sup>627</sup> Dieter Borchmeyer, *Richard Wagner: Theory and Theatre*, p. 42.

<sup>628</sup> Joachim Bergfeld (ed.), *The Diary of Richard Wagner* trans. George Bird (London: Gollancz, 1980), p. 176.

<sup>629</sup> Dieter Borchmeyer, *Richard Wagner: Theory and Theatre*, p. 41.

<sup>630</sup> Ibid.

world: it is the greatest of masterpieces.<sup>631</sup> It becomes clear from the entries in Cosima's diaries that Wagner perceived Goethe's *Faust* to be a cornerstone of German culture and was looking for applications of the myth in other art forms, particularly parallels between Goethe's *Faust* and German society. Believing that *Faust* was central to the German theatre and required unique staging, Wagner discussed his modernised Shakespearean vision for the future of the theatre – a "Faust-Theatre" – in his 1872 essay, *Actors and Singers*.<sup>632</sup> Drawing upon the puppet-play tradition, Wagner envisaged the theatre as a circus-like venue with the orchestra taking centre stage, surrounded by the audience who would therefore become participants in the drama.<sup>633</sup>

#### **4.6 Goethe's Gretchen: The first Wagnerian heroine**

Gretchen is one of the earliest literary and musical examples of the *schöne Seele* – a figure whose morality is perceived as the aesthetic ideal – and Gretchen became Wagner's first heroine through her presence in *Sieben Kompositionen zu Goethes Faust*. Wagner claimed to have been entranced by Wilhelmine Schröder-Devrient during his formative years and he later said that the soprano inspired his idea of the 'intensely human art'.<sup>634</sup> It is this intensely human suffering that inspires Wagner to set Goethe's dramatic scenes of 'Gretchen at the Spinning-wheel' and 'Gretchen's Prayer to the Virgin' to song, and explore Gretchen's emotions in the process. Goethe's primary invention to the *Faust* myth – the love tragedy – is propelled by the inner conflict Gretchen experiences which is the conflict of her Christian beliefs and her longing for Faust. Barry Emslie states that the 'conflicting claims of sensual and spiritual love' created a dichotomy that Wagner sought to resolve in his music.<sup>635</sup> This is

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<sup>631</sup> Ibid.

<sup>632</sup> Nicholas Vazsonyi, *The Cambridge Wagner Encyclopedia* (Cambridge: Cambridge University Press, 2013), p. 165.

<sup>633</sup> Ibid., p. 46.

<sup>634</sup> Geoffrey Skelton, *Wagner at Bayreuth* (London: White Lion Publishers, 1976), p. 36.

<sup>635</sup> Barry Emslie, *Richard Wagner and the Centrality of Love* (Woodbridge: Boydell Press, 2010), p. 8.

a dichotomy which must be resolved in *Sieben Kompositionen zu Goethes Faust* – contesting Emslie's view that the Wagnerian heroine only began to serve as the battlefield for these conflicting claims from *Der fliegende Holländer* onwards.<sup>636</sup> Philip Kitcher and Richard Schacht note that, when Wagner came into contact with Feuerbach's writings in the 1840s, he identified with Feuerbach's Romantic idea that nothing was more valuable than feelings or emotions, and that love is the greatest emotion of all.<sup>637</sup> For both Feuerbach and Wagner, love was divine and bound to religion. Goethe and the *ewig Weibliche* or 'Eternal Feminine' – a literary trope which was to appear in many of Wagner's libretti – would also have influenced this aesthetic. In *Faust*, Gretchen ascends into heaven but ultimately she is sacrificed so Faust can achieve salvation. Mark Berry notes that sacrifice is a characteristic of the Wagnerian heroine and a characteristic that appears to be feminine.<sup>638</sup>

Thomas S. Grey argues that the uplifting sequences in *Götterdämmerung* (1876) – which Wagner describes as the 'glorification' of Brünnhilde – hark back to the finale of Goethe's *Faust* by glorifying the Eternal Feminine.<sup>639</sup> Grey describes this image of the 'redemptive assumption' as the most significant way in which Goethe has influenced Wagner.<sup>640</sup> Wagner appropriated the theme of the redeemed feminine and the theme of renunciation for use in his operas, and it also satisfied the composer's desire for a denouement that could function as a *Verklärung*.<sup>641</sup> The traits which we associate with Wagner's operas and his heroines are traits that are present in Goethe's *Faust* and therefore contained in Wagner's *Faust* song settings.

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<sup>636</sup> Ibid.

<sup>637</sup> Philip Kitcher and Richard Schacht, *Finding an Ending: Reflections on Wagner's Ring* (Oxford: Oxford University Press, 2004), p. 16.

<sup>638</sup> Mark Berry, *Treacherous Bonds and Laughing Fire: Politics and Religion in Wagner's Ring* (Aldershot: Ashgate, 2006), p. 195.

<sup>639</sup> Thomas S. Grey, *Wagner's Musical Prose* (New York: Cambridge University Press, 1995), p. 369.

<sup>640</sup> Ibid.

<sup>641</sup> Robert W. Gutman, *The Man, His Mind and His Music*, p. 152.



#### 4.7 'Lied der Soldaten', op. 5 no. 1: poetic source

**Table 4.1: Goethe, *Faust I, Vor dem Thor*, 'Lied der Soldaten', ll. 884–902**

'Lied der Soldaten'		'Song of the Soldiers' <sup>642</sup>
Burgen mit hohen Mauern und Zinnen, Mädchen mit stolzen, höhnenden Sinnen möcht' ich gewinnen! Kühn ist das Mühen, herrlich der Lohn!	885     890	Show us a fortress Proudly defended, Give me a mistress Haughty and splendid! We are the valiant, We are the gallant, War-spoil and love-spoil Are ours to be won!
Und die Trompete lassen wir werben wie zu der Freude, so zum Verderben. Das ist ein Stürmen! Das ist ein Leben!	   895	Trumpets, sing out and Sound our advances, Stir us to action, To joy and destruction! This is the life for us! This is the strife for us!
Mädchen und Burgen Müssen sich geben. Kühn ist das Mühen, herrlich der Lohn! Und die Soldaten ziehen davon.	  900	Castles or girls, we'll Breach their defences! War-spoil and love-spoil Are ours to be won, Soldiers, march on!

'Lied der Soldaten' is the first of the seven songs contained within Wagner's *Sieben Kompositionen zu Goethes Faust*. The text for the Lied is derived from *Faust I, Vor dem Thor*, which in its original form may well date back as far as 1769.<sup>643</sup> It was not completed until much later in the genesis of Goethe's *Faust I* with Faust's initial meeting with Mephistopheles written into the scene in 1798.<sup>644</sup> The intent behind the extensive rewriting of the scene was to bridge the gap between Faust and Mephistopheles' wager and the Gretchen love story, which is scaled up in *Faust I* in order to be the central focus of the plot rather than a brief episode in Faust's pursuit of knowledge as it was in the *Urfaust* and *Faust. Ein*

<sup>642</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, pp. 29–30.

<sup>643</sup> Eudo C. Mason, *Goethe's Faust: Its Genesis and Purport* (Berkeley: University of California Press, 1967), p. 84.

<sup>644</sup> *Ibid.*, p. 95.

*Fragment*.<sup>645</sup> Although Faust will encounter Gretchen much later in the drama, *Vor dem Thor* situates the secular Faust at the heart of her ordinary world – a Christian festivity on Easter Sunday – and the scene's focus is firmly on the villagers' vibrancy as they enter and exit throughout the scene.<sup>646</sup> By the time *Faust I* was published in 1808, the setting would already be old-fashioned as Goethe based the scene on the Imperial Free Cities, the last of which he had visited in 1797.<sup>647</sup> This has not impacted upon musical setting of the text. Composers have recognised the scene's importance in presenting the old-fashioned Christian setting, which is not only a representation of Gretchen's world but the polar opposite of the scholar's world.<sup>648</sup> Faust does not feel out of place among the villagers and the sense of belonging he feels in this scene explains in part why he will be drawn to the spiritual Gretchen later in the drama.<sup>649</sup> 'Lied der Soldaten' centres around the soldiers who are singing in ll. 884–902 while they embark on an Easter Sunday march. Their song is a boast of their fortitude in love and war and the soldiers are evidently admired in this Christian society as, soon after they depart, a young lady expresses her inability to locate a soldier who had previously caught her attention. The opening lyric sets the tone for the remainder of the song as the soldiers exhibit strength, pride and defiance ('Burgen mit hohen / Mauern und Zinnen, / Mädchen mit stolzen, / höhnnenden Sinnen') ['Show us a fortress / Proudly defended / Give me a mistress / Haughty and splendid!'].<sup>650</sup> Despite the bright and lively nature of the setting, vivid imagery is lacking from the soldiers' song, although this may be an intentional ploy on Goethe's part. The language of the poetry is confident and their actions and behaviour can also be described as such. There is a clear comparison between the castles and fortresses of which they speak of and the girls that they are pursuing. In either case, the soldiers intend to break down their

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<sup>645</sup> Nicholas Boyle, *The Poet and the Age Volume II*, p. 761.

<sup>646</sup> Ibid.

<sup>647</sup> Ibid.

<sup>648</sup> Ibid.

<sup>649</sup> Ibid.

<sup>650</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, p.30.

defences, rendering them weak and in no position to withstand the force of their advances. Thus, the battlements are personified, like the girls, they are essentially defenceless in relation to the power these soldiers believe to hold. The persona of the soldiers is exhibited through this statement of intent: their intentions to be successful in battle and in love and these qualities are evoked in the poetry.

Stress-analysis of the poetic text reveals 'Lied der Soldaten' to be set in lines of dactylic meter – dactyls are typical at line beginnings while line endings feature trochees followed by silent stresses (see Example 4.1).

**Example 4.1: Stress analysis of 'Lied der Soldaten', ll. 884–885**

\*                    \*  
Burgen mit Hohen  
\*                    \*  
Mauern und Zinnen

Goethe's use of enjambment combines with the dactyl-trochee pattern to establish a quick flow to the poetry. The prevalence of unaccented syllables makes the accented syllables more apparent, particularly at line beginnings. This poetic metre therefore portrays the pride and defiance of the soldiers as they march on Easter morning. Stanza one contains both interior rhyme and end-rhymes of 'en' sounds, which in turn ensures that the stanza is permeated with the alliteration of these sounds. Goethe's use of alliteration as a means of creating sound connections is impressive – alliterative 'm' sounds feature heavily in the initial verse. The poetic flow is altered in l. 888 as a caesura in the form of an exclamation mark outlines a change in the soldier's mode of address. Although the soldiers boast of love and war throughout the stanza, it is only in ll. 888–890 that the mode of address changes to refer specifically to the soldiers themselves ('möcht' ich gewinnen! / Kühn ist das Mühen, / Herrlich der Lohn!) ['We are the valiant! / We are the gallant! / War-spoil and love-spoil /

Are ours to be won!'].<sup>651</sup> A caesura in the seventh line brings the stanza to a definitive conclusion, and this occurs on 'Herrlich der Lohn!' which acts as a refrain, returning later at l. 900. Goethe brings stanza one to an immediate halt, not only through the use of a caesura but also with a divergence from the dactyl-trochee pattern. The metrical pattern here is trochee-iamb, creating an accented line ending that contrasts significantly with the lines that preceded it.

In stanza two, 'en' sounds continue to pervade the poetry. In the opening stanza, strong assonantal vowel sounds such as 'au' and 'u' are present, particularly at the beginning of the verse which is effective in portraying the strength and unity of the soldiers. Lighter vowel sounds are present at the beginning of the second stanza, depicting the singing trumpets that bring 'joy' to the soldiers and 'stir' them into action. The lightness of this poetic passage is appropriately brought to an end in l. 894 on 'Verderben.' ['destruction'] and Goethe enhances the effectiveness of this word choice by using a caesura to indicate the abrupt change in mood. The purpose of this musical text is to show how two contrasting entities in love and war are considered to be analogous by the soldiers and it is with this lyric that the contrast between love and war is most clearly illustrated through lightness and darkness of sounds within the poetry. In stanza three, many contrasts are provided to give the poetry a metrical structure that differs slightly from previous stanzas. The contrasts are logical as in this verse, the soldiers explicitly reveal how they approach both military duty and love in the same vain ('Mädchen und Burgen / müssen sich geben.') ['Castles or girls, we'll / Breach their defences!'].<sup>652</sup> Strong, dark vowel sounds are present in l. 897 while l. 898 follows with lighter vowel sounds, providing a contrast and a caesura ends this passage. In ll. 899–900, the refrain re-enters and in ll. 901–902, light vowel sounds combine with internal rhyme in 'die'

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<sup>651</sup> Ibid., p. 30.

<sup>652</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, p.30.

and 'Zie', unifying and accelerating the poetry towards its end with the re-emergence of the trochee-iamb pattern in line 902 portraying the soldiers as they continue on their march.

#### 4.7.2 'Lied der Soldaten', op. 5 no. 1: musical setting

The vocal rhythms present in Wagner's 'Lied der Soldaten' exhibit many qualities which suggest BRD-conformance; there is equivalence in duration between both poetic feet and poetic stresses, there are strong metrical accents assigned to poetic stresses and musical silences observe silences implied by the poetry. That said, Wagner's musical rhythms are not the most natural for the declamation of the text and therefore the vocal rhythms do not correspond with a Simple BRD (Example 4.2a, 4.2b, 4.2c and 4.2d).

##### Example 4.2a: Simple BRD of Goethe's *Vor Dem Thor*, ll. 884–885

Bur - gen mit ho - hen Mau - ern und Zin - nen,

##### Example 4.2b: BRD-variant of Goethe's *Vor Dem Thor*, ll. 884–885

Bur - gen mit ho - hen Mau - ern und Zin - nen,

##### Example 4.2c: Hypothetical BRD-conformant vocal line for the opening of 'Lied der Soldaten'

Bur - gen mit ho - hen Mau - ern und Zin - nen,

**Example 4.2d: Opening vocal line of Wagner's 'Lied der Soldaten'**

Bur - gen mit ho - hen Mau - ern und Zin - nen,

The dotted rhythms in 'Lied der Soldaten' place additional emphasis on the first unstressed syllable of each dactyl and on 'hohen' ['high'] and 'stolzen' ['proud']; this is an illustration of word painting, enhancing Goethe's poetic intent in conveying the soldier's animated and confident display of strength, unity and pride. Poetic stresses are emphasised by durational accents throughout the Lied, conveying the continual and unrelenting marching movement of the soldiers. Carolin Bunke describes Wagner's rhythm idea as being typical of soldier songs of the time – Lizst uses a variant of the rhythm for his Soldatenchor (1844).<sup>653</sup>

With only two feet per line in Goethe's poetry contributing to particularly short line length, longer durations are a logical feature of 'Lied der Soldaten' considering Wagner's reluctance to deviate from phrase structure norms. Each line of poetry is met with a two-bar phrase, closely resembling Goethe's structural divisions in the text. The opening vocal phrase is answered by a direct sequence in both melody and accompaniment in bars 17–20. This melodic unit in conveying the first four lines of Goethe's poetry imitates the structural separation that exists in Goethe's poetry. As mentioned previously, the fifth line in each stanza features a change in persona as the soldiers direct their voices outwards to the onlookers and an expansion in the range of pitch in Wagner's vocal phrases provides the necessary contrast to portray this. The range of the opening vocal line spans no more than a perfect fourth ensuring that the melody remains conjunct, illustrating the soldiers' unity. The repetition of pitch within the melodic motif is important in relation to text setting as it allows the melody to be heard as a fanfare motif. The chordal accompaniment takes on the persona

<sup>653</sup> Carolin Bunke, *Zur Faust-Rezeption in der Musik des 19. Jahrhunderts*, p. 238.

of the soldiers – octaves are outlined in the left-hand accompaniment and there is both registral and durational emphasis on structural downbeats. The piano accompaniment also attributes harmonic weight to the melody. The harmonic rhythm is slow – there is a span of one chord per bar with the only deviation from this occurring on the half cadence in the final bar of each phrase. Therefore the accompaniment combines with long durations to slow the pace of the poetry in retrospect of the short line length, focusing the listener's attention on the soldier's boasts. On the contrary, the second of the Lied's main motifs is an incredibly dramatic melodic motif used to portray the fifth and sixth lines of Goethe's stanzas. The motif is initially exhibited in the accompaniment (bars 9–10) which introduces the opening vocal phrase. By reoccurring in the accompaniment at bars 21–22, it illustrates the structural divide in Goethe's poetry. The accompaniment has an imitative function in this Lied – it does not have a characteristic role independent of the vocal persona.

Goethe's use of caesuras in the form of exclamation marks encourages Wagner to emphasise the dramatic context as well as providing suitable musical breaks. The motif is presented *fortissimo* on the downbeat which enhances the dramatic effect of the motif by accentuating the pitch f", which in itself is a registral accent given the sudden and significant melodic leap of an octave and a fourth. The motif then outlines, in descending thirds, the tonic chord of B flat major and ends by outlining an octave leap. These rapid, dramatic changes in pitch and the broader vocal register as a whole are Wagner's means of emphasising and breaking up the text as Goethe had intended and these techniques are particularly effective considering the contrast with the consistency of pitch and narrow register that the listener heard in the previous motif. The loud dynamic immediately draws the attention of the listener to the accompaniment, which is made more effective by the absence of a vocal line, and by providing a clear deviation from the initial melody, the sudden melodic brightness that this motif establishes captures perfectly the image of the Easter

morning sunshine. The motif subsequently finds its way into the vocal line at bar 23 where it becomes a rhythmic motif, depicting a change in the soldier's persona. At this point of the text, the soldiers directly address the onlooking public with their song. The change in persona continues until bar 36 with the rhythmic motif materialising in various melodic forms.

In establishing a rhythmic motif, Wagner is allowing for melodic variation while ensuring that the overall sentiment of the soldier's boasts is not lost. Melodic variation is necessary, given that the length of the soldier's boast would cause the soldier's tone to undergo natural change. For this reason, each line of Goethe's poetry is denoted a different melody. In bars 29–32, the sixth and seventh lines of stanza one are reiterated using the notation of the rhythmic motif which in turn interpolates the refrain ('herrlich der Lohn!') that Goethe established in his text. A change in phrase length is understandable given the metric consistency of Goethe's septets but by causing the melody to linger on the words of the refrain, Wagner creates an echo effect for the soldiers' boast and the expansion of the phrase via repetition of the melody further emphasises its importance. In bars 33–36, the refrain maintains the rhythmic motif but is underpinned with a more conjunct melody that facilitates a modulation into the dominant key of F major in bars 33–34 (see Example 4.3).

**Example 4.3: Wagner, 'Lied der Soldaten', bars 29–36**

The musical score for Wagner's 'Lied der Soldaten' (bars 29–36) is presented in a two-staff format. The top staff is the vocal line, and the bottom staff is the piano accompaniment. The key signature consists of two flats (B-flat and E-flat), and the time signature is 2/4. The lyrics are: 'Kühn ist das Mü-hen, herr-lich der Lohn, herr-lich der Lohn, herr-lich der Lohn!'. The piano part includes dynamic markings such as 'f' and 'ff'.

The modulation to F major has two purposes. On a broader level, the modulation facilitates a change in melodic texture as the fanfare idea returns to the fold. The re-emergence of this



idea serves the purpose of unifying Goethe's stanza as well as providing coherency for the entire poetic text. More specifically, the modulation to F major brightens the refrain, emphasising its importance and establishes an echo effect for the soldier's boast through the change in tonality. The passage in F major comes to a conclusion at bar 41 following a brief period of tonal ambiguity between the tonic and dominant at the beginning of the second strophe.

The musical form of the Lied is ABA'. This is the obvious choice of musical form for the composer as the poem is metrically consistent, features similar changes in persona and mode of address from verse to verse with each stanza ending with the same refrain. The variation in the number of lines in each stanza and the placement of the refrain within each stanza necessitates the modification of each strophe but Wagner ventures beyond this to make changes that are not demanded by the poetic structure by creating a distinct B section. This allows Wagner to show the poetic progression of Goethe's text in addition to depicting poetic nuances. Wagner's harmonic progressions can signify poetic progression. The melody in the second strophe begins in B flat major in bar 39 and arrives in the relative minor with the chord of V in G minor in bar 44. Up until this point, the harmony has tended to revolve around the tonic chord and has been embellished by the dominant chord of V. In bar 47, the key of B flat major returns but there is neither a modulation or a transition to the tonic key – the change in key is signified through chromatic movement in the left-hand accompaniment. As a result, this brief period in G minor is striking and it marks the climactic point of the text, appropriately illuminating the word 'Verderben' ['destruction']. The tonic/dominant harmonicization re-establishes itself in bars 47-67 but as the Lied ventures towards its conclusion, the harmony increases slightly in complexity. A harmonic progression of Ia–VIa–IVmb–Va occurs in bars 61–64. While there is nothing out of the ordinary with this harmonic progression, change is signified by its inclusion since the Lied has been comprised almost

entirely of tonic, subdominant and dominant chords up to this point, irrespective of the tonality at the time. Wagner's use of such bright chords throughout this Lied is deliberate – it illuminates the setting, depicting the cheerfulness of the soldiers as they march. This particular variation in harmony coincides with the return of the refrain, thus heralding the conclusion and the harmonic variation accelerates the listener towards the concluding poetic statement ('Und die Soldaten / Ziehen davon') ['Soldiers, march on!'].<sup>654</sup> A *diminuendo* in bar 65 and a further *diminuendo* at bar 70 gives the impression that the soldiers are marching out of view. A final suggestion of marching movement is provided by the absence of the piano accompaniment on the downbeat in bar 75 which emphasises the return of the accompaniment for the perfect cadence later in the bar, which is played *pianissimo*. This suggests the soldiers are to carry on with their march and it is met in bar 56 with silence and a pause, allowing us to perceive the continuation of the march beyond the point where the music ceases to exist.

#### 4.8.1 'Bauern unter der Linden', op. 5 no. 2: poetic source

**Table 4.2 Goethe, *Faust I, Vor dem Thor, 'Bauern unter der Linden', ll. 949–980***

<b>'Bauern unter der Linden'</b>		<b>'Under the Lime Tree'</b> <sup>655</sup>
Der Schäfer putzte sich zum Tanz, mit bunter Jacke, Band und Kranz, schmuck war er angezogen.	950	A shepherd boy went out one night Dressed up to dance in colours bright, All in his fine array, oh!
Schon um die Linde war es voll und alles tanzte schon wie toll. Jucche! Jucche!		And all the village, full of glee, Was dancing round the linden-tree. Hey-ho, hey-ho,
Juchheisa! Heisa! He! So ging der Fiedelbogen.	955	Hey-hoppie-hoppie-ho, The fiddlers they did play, oh!
Er drückte hastig sich heran, da stieß er an ein Mädchen an mit seinem Ellenbogen.		And as he joined the merry whirl His elbow jogged a buxom girl: Why was she in his way, oh?
Die frische Dirne kehrt sich um Und sagte: nun das find' ich dumm! Jucche! Jucche!	960	The saucy lass she turned about And said: 'Why, what a clumsy lout! Hey-ho, hey-ho
Juchheisa! Heisa! He! Seid nicht so ungezogen.		Hey-hoppie-hoppie-ho, 'Sir, mind your manners, pray, oh!'

<sup>654</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, p. 30.

<sup>655</sup> Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, pp. 31–32.

<p>Doch hurtig in dem Kreise ging's sie tanzten rechts, sie tanzten links und alle Röcke flogen. Sie wurden rot, sie wurden warm und ruhten atmend Arm in Arm. Jucche! Jucche! Juccheisa! Heisa! He! Und Hüft' an Ellenbogen.</p>	<p>965 But on they danced, and spurned the ground, And left and right and round and round, And skirts did swirl and sway, oh! They danced till they were flushed and warm And out of breath and arm in arm,</p>
<p>Und tu' mir doch nicht so vertraut! Wie Mancher hat nicht seine Braut belogen und betrogen! Er schmeichelte sie doch bei Seit' und von der Linde scholl es weit: Jucche! Jucche! Juccheisa! Heisa! He! Geschrei und Fiedelbogen.</p>	<p>970 Hey-ho, hey-ho, Hey-hoppie-hoppie-ho, And hips to elbows lay, oh!</p> <p>'Now don't you get so fresh with me! That's how men cheat their brides-to-be When they have had their way, oh!' But she went with him by and by, And from the linden all did cry: Hey-ho, hey-ho Hey-hoppie-hoppie-ho, 980 They all did shout and play, oh!</p>

'Bauern unter der Linden' is also derived from *Vor dem Thor* (ll. 949–980). In the poetic text, Goethe situates the villagers as the narrators of a story as they sing about a shepherd boy who goes out one night with the intention of impressing the village girls. The shepherd boy proceeds to dance with one of the girls but she acts uninterested, believing the boy's intentions might be dishonourable. The young girl is continually wary of the boy's advances and goes as far as to warn him of his behaviour in the fourth and final stanza ('Und tu' mir doch nicht so vertraut! / Wie Mancher hat nicht seine Braut / belogen und betrogen!') ['Now don't you get so fresh with me / That's how men cheat their brides-to-be / When they have had their way, oh!'].<sup>656</sup> Nevertheless, she dances with the boy and they end the night singing and dancing with the other villagers under the lime tree. This wooing ritual of public dance is used to contrast the mentality of the villages with that of the town:

Gegenüber dem differenzierten Werbungsverhalten der jungen Bürgersöhne, die den Dienstmädchen für Affären nachstellen, aber auf die gesitteten Bürgermädchen als Gattinen rechnen, und die kaum weniger berechnenden Bürgermädchen, die sich zwar mit der kupplerischen Alten nicht sehen lassen wollen, ihre Dienste im Verborgenen aber nicht immer ablehnen, steht das dörfliche Werbungsritual des öffentlichen Tanzes.<sup>657</sup>

<sup>656</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, p. 32.

<sup>657</sup> Tina Hartmann, *Goethes Musiktheater*, p. 365.

over against the differentiated wooing behaviour of the young bourgeois citizens, who pester the serving girls for affairs, but who count on the respectable bourgeois girls becoming their wives, just as the bourgeois girls, who expect more or less the same but do not want to be seen with the old matchmaker yet do not always refuse her services, there is the village wooing ritual of public dance.<sup>658</sup>

The word 'Linden' in the German language is a frequently used pun.<sup>659</sup> In upper case form, as presented in the poetry here, it refers specifically to a lime tree, but in lower case form, its meaning changes to describe something as being gentle.<sup>660</sup> Stein and Spillman note that the meaning of the lime tree in German Romantic poetry is twofold; the lime scent produced by the tree is a fragrance associated with gentleness.<sup>661</sup> Thus, the lime tree, as the place where the young couple dance is of particular importance. The pun of the lime tree symbolises the festive atmosphere that in turn provides a colourful backdrop to Goethe's drama. Consequently, the image of the villagers dancing around the lime tree proves to be the most vivid image present. It is first portrayed at ll. 954–955 and functions in the poetry as a refrain in each octet, reinforcing the significance of the image in the poetry. The image of the young boy's dress is also important as it helps set the mood for the text as the colourful nature of his apparel represents the vibrant setting ('Der Schäfer putzte sich zum Tanz, / mit bunter Jacke, Band und Kranz, / schmuck war er angezogen.') ['A shepherd boy went out one night / Dressed up to dance in colours bright, / All in his fine array, oh!'].<sup>662</sup> The villagers' song can be interpreted as a tale of youthful, carefree innocence but there are undertones that could also cause it to be viewed as being pre-emptive of a more sinister affair, that is the relationship between Faust and Gretchen. This is significant as it was established previously that *Vor dem Thor* is a precursor to the collision of worlds that occurs when Faust and

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<sup>658</sup> English translation of Tina Hartmann, *Goethes Musiktheater*, p. 365.

<sup>659</sup> Deborah Stein and Robert Spillman, *Poetry into Song*, p. 23.

<sup>660</sup> Ibid.

<sup>661</sup> Ibid.

<sup>662</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, p. 32.

Gretchen pursue their relationship. It is for this reason that song settings of 'Bauern unter der Linde' were quite common (see Appendix (b)).

Stress analysis of the poetic text reveals lines of iambic tetrameter (see Example 4.4).

**Example 4.4: Stress analysis of 'Bauern unter der Linden', ll. 949–950**

\*       \*       \*       \*

Der Schäfer putzte sich zum Tanz  
\*       \*       \*       \*

mit bunter Jacke, Band und Kranz

The poetic metre is therefore iambic duple metre which sets a quick pace for the poetry only for the iambs to produce a stop-start feel which proves to be a useful device in portraying the lively dance. The dance goes unspoken at this point in the text but Goethe's use of iambs certainly enables the reader to envisage the setting. A stressed syllable is omitted in l. 951 but Goethe places a caesura here to conclude the image. In structuring lines of poetry in this manner, Goethe ascertains a perfect balance between the conveying of information and the portrayal of the image. ll. 952–953 depict the villagers rejoicing underneath the lime tree and the metric patterns are identical to ll. 949–950. ll. 954–956 introduce the refrain and a brief change in the mode of address as instead of narration and scene depiction, Goethe shifts focus to describing how the villages are exhibiting their joy ('Jucche! Jucche! / Juccheisa! Heisa! He!' ['Hey-ho, hey-ho, / Hey-hoppie-hoppie-ho']).<sup>663</sup> Goethe uses caesuras to interrupt the poetic flow in order to emphasise the villagers rejoicing for dramatic effect. In the refrain, caesuras not only emphasise certain words but they also create the sense that the rejoicing is drawing to a conclusion. Goethe places an exclamation mark after the trisyllabic 'Juccheisa' followed by a caesura after the disyllabic 'Heisa' and a final caesura after 'He!' which signifies the return of the narration and a change back to the original mode of address.

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<sup>663</sup> Ibid.

The use of consonance and vowel sounds are also of importance as they are used to continually maintain the quick pace and flow of the poetry where it is necessary for Goethe to do so. Alliteration is common – in stanza two, the similar sounds of 'm' and 'n' are used to establish sound connections whereas in ll. 965–968 of stanza three, the similar sounds of 's' and 'z' realise the same effect. In terms of vowel sounds, light vowel sounds in the form of 'ie' and 'e' tend to be present, evoking the light mood that is projected by the poetry. At the refrain however, the slightly stronger 'ei' sound is heard and this is a subtle form of emphasis. On occasion, these vowel sounds combine with interior rhyme to establish sound connections. In ll. 958–959, interior rhyme exists between 'ein' and 'sein' and in stanza four, the 'ie' diphthong is the subject of interior rhyme. End-rhyme is also utilised to connect the lines of poetry. The first and second lines as well as the fourth and fifth lines of each stanzas form rhyming couplets while the third and eighth lines also rhyme with each other (*aabccddb*). These rhyming lines surround the repetition of the refrain and combined, these devices achieve coherency between the stanzas. It is crucial in portraying the persistency of the villagers' joyful dance but is also significant given the metrical ambiguity contained within each stanza. The stanzaic structure is consistent however, in that each of the four stanzas are octets and contain the same varying metrical patterns. Goethe's mastery of the language is evident from these nuances.

#### **4.8.2 'Bauern unter der Linden', op. 5 no. 2: musical setting**

Wagner conforms to the BRD with his choice of rhythm for the vocal melody (see Example 4.5a, 4.5b and 4.5c).

**Example 4.5a: Simple BRD of Goethe's *Vor dem Thor*, ll. 949–950**

Der Schä - fer putz - te sich zum Tanz, mit bun - ter Jacke, Band und Kranz,

**Example 4.5b: BRD-variant of Goethe's *Vor dem Thor*, ll. 949–950**

Der Schä - fer putz - te sich zum Tanz, mit bun - ter Jacke, Band und Kranz,

**Example 4.5c: Opening vocal line of Wagner's 'Bauern unter der Linden'**

Der Schä - fer putz - te sich zum Tanz, mit bun - ter Jacke, Band und Kranz,

Wagner contends with the lines of iambic tetrameter by structuring the poetic couplets into four-bar phrases consisting of two equidistant stresses per bar. Poetic stresses and musical downbeats concur throughout and these are often met with both durational and registral accents which reinforce the poetic metre. As the iambic couplets often lead to masculine line endings, marking each and every caesura is not necessary but where appropriate, Wagner respects poetic silences. The only deviation from the BRD in 'Bauern unter der Linden' takes place in the chorus as Wagner's repetition of 'Juccheisa' disrupts the regularity of the rhythm leading to a momentary slowing in the pace of declamation (see Example 4.6).

**Example 4.6: Wagner, 'Bauern unter der Linden', bars 62–65**

Juch - hei - sa! Juch - hei - sa! Hei - sa! He!

The brief departure from the BRD – which takes place in each choral refrain – indicates the tenor and soprano voices coming together following a call-and-response period in the Lied, which in turn signifies the Christian community uniting to dance around the linden tree on Easter morning.

The range of the opening vocal melody is extensive – a whole octave is utilised in one-and-a-half bars of music and although notes do rise and fall by step, there is no stepwise movement. The melodic leaps tend to occur most frequently on downbeats, reinforcing the strong-weak pattern which in turn creates a stop-start effect that establishes an unpredictable, sprightly melody that captures beautifully the essence of movement embodied in the Lied through the villagers' dance. Although sizeable leaps accentuate the text in bars 20–23, the registral accentuation does not appear to bear any textual significance. That changes in bar 24 as Wagner abruptly alters dynamics on the final upbeat with *sforzando* indicated for the vocal line and *forte* on the piano accompaniment. The accompaniment is notably sparse at this point and this draws attention to the word 'schmuck' ['array']. In terms of text setting, the sparseness of the accompaniment and the variation in dynamics allows Wagner to create a distinction between the rhyming couplet in the poetry and the remainder of the poetic image that details the boy's apparel without adhering to Goethe's use of a caesura at the end of line 2. In musical terms, the contrast in dynamics emphasises 'schmuck' and allows it to be regarded as a musical metaphor, as the word has a secondary meaning, that of decoration or ornamentation. Wagner is evidently aware of the word connections he is establishing here; he colours the accompaniment by notating *dolce* on the word 'bunter' ['colourful'] which is used to describe the young boy's clothing (see Example 4.7).



**Example 4.7: Wagner, 'Bauern unter der Linden', bars 20–26**

Der Schä - fer putz - te sich zum Tanz, mit bun - ter Jacke,  
 Band und Kranz, schmuck war er an - ge - zo - gen.

The second melodic motif (bars 28–32) accelerates the listener to the refrain. This melodic motif, with ascending stepwise movement smoothing the path towards the refrain and melodic climax, contrasts with the primary melodic motif. Like its predecessor, this motif is also used to portray the specific image of the villagers dancing around the lime tree but by being more compact melodically, this motif unites the villagers. This is important for Wagner's text setting as the villagers form a chorus in bars 32–40. The melodic climax centres on a battle between the lower and upper voices in the chorus as they rejoice on Easter Sunday, underneath the iconic lime tree and in the shade of the morning sunshine. Wagner emphasises the villagers' joy to an extent greater than is necessitated by Goethe's poetry, but he does so to avoid making adjustments to the metric pattern he has established. 'Jucche!' is heard in each vocal part four times in bars 32–36 before the listener hears the remainder of the refrain and at the end of this phrase, 'Jucche!' is given one final airing at bars 39–40. The repetition of 'Jucche' expands the refrain into an 8-bar phrase. More importantly, the

repetition of 'Jucche' turns Goethe's single line of iambic dimeter into a line of iambic tetrameter, enabling Wagner to preserve the metric patterns established by Goethe. The iambs in Goethe's poetry produces a weak-strong syllabic pattern and by ensuring the refrain commences on an upbeat, strong syllables will continue to fall on strong downbeats. This form of accentuation occurs throughout both 'Lied der Soldaten' and 'Bauern unter der Linden' creating a rhythmic connection between the two texts derived from *Vor dem Thor*. The melodic direction of the upper voice sees rising linear thirds (bars 32–36) which allow the higher pitches to produce registral accents. This pattern of accentuation is broken on the final 'Jucche!' in bars 39–40 as the melodic direction reverses so that the melody falls dramatically in the upper voices by a minor third and major sixth respectively. This is undoubtedly intended as the climactic point of each strophe as the sudden interjection combined with the *fortissimo* dynamic and chordal accompaniment is surprising, especially if one is familiar with Goethe's poetry where this final 'Jucche' is not included. In bars 40–42, an adapted version of the melody seen at bars 24–26 depicts the final line of stanza one. The exact melody of bars 24–26 immediately follows this (bars 42–44) having been adopted by Wagner for the final line of poetry. The use of this melody shows how Wagner aimed to achieve the poetic coherency and unity that Goethe created in his poetic text. As mentioned earlier, line three and eight of each stanza rhyme with each other and in Wagner's setting, lines three and eight are denoted the same melodic material, replicating the effect.

The musical form is modified strophic form and this first becomes apparent in bar 54–58. Wagner alters the melodic motif in order to depict the words of the 'saucy lass' ('nun das find' ich dumm!') ['Why, what a clumsy lout!'].<sup>664</sup> The melody here is more disjunct than its previous statement (bars 20–26) and at bar 57 the melody changes abruptly, leaping a fifth before descending an octave in bar 58. The unexpected change of melody depicts a change in

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<sup>664</sup> Ibid.

persona as the villagers assume the role of the village girl, addressing the village boy who is making advances towards her. The melodic leaps portray the overall tension that exists between the two as well as depicting the clumsiness of the village boy. It is in the fourth and final strophe however, that Wagner makes dramatic alterations to the melody. In bars 98–104, the melodic motif that was a feature of earlier strophes is replaced with a repetitive melodic line featuring a sudden descending chromatic passage (see Example 4.8).

**Example 4.8: Wagner, 'Bauern unter der Linden', bars 100–104**

The image shows a musical score for Wagner's 'Bauern unter der Linden', bars 100–104. The score is in 2/4 time with a key signature of one flat (B-flat). It features a vocal line and a piano accompaniment. The vocal line has the lyrics: 'Wie Man-cher hat nicht sei - ne Braut be - lo - gen und be - tro - gen!'. The piano accompaniment consists of a right hand with chords and a left hand with a descending chromatic line.

Once again, the change in melody signifies a change in persona and mode of address. This melody portrays the village girl informing the village boy that she is wary of his advances ('Und tu' mir doch nicht so vertraut! / Wie Mancher hat nicht seine Braut / belogen und betrogen!') ['Now don't you get so fresh with me! / That's how men cheat their brides-to-be / When they have had their way'].<sup>665</sup> Despite her concern over the boy's intentions, the girl proceeds to dance with him anyway and Wagner depicts this in bars 106–110 with a melody that closely relates to the dance motif first heard in bars 20–26. As the girl's concerns over the village boy pre-empt Gretchen's issues with Faust, the descending chromatic movement in bars 101–104 is appropriate for delivering a foreboding warning within an otherwise bright and spirited Lied. It is also entirely appropriate that the melody in bars 106–110 closely relates to the earlier unifying dance melody in bars 20–26. The young couple are united in

<sup>665</sup> Ibid.

dance despite their differences and Wagner's decision to relate these melodies reflects the coherency of Goethe's poetic text. From this point onwards, there are no surprises until 'Jucche' re-enters in the final bars (bars 147–148) following a lengthy piano postlude which anticipates the return of 'Jucche', ending the composition on a sudden but appropriately joyous note, which is not dissimilar to the way in which 'Lied der Soldaten' was concluded.

The tonal design is straight-forward – taking the opening strophe as a basis, the Lied begins in the key of F major but transitions into the dominant key of C major in bar 29 before returning back to the tonic key in bar 38. The key changes are consistent in each strophe and have a specific function. The C major tonality is in place for the depiction of the villagers' dance and the arrival on the tonic key on 'Heisa' affirms the climactic point of each strophe. The simplicity of the harmony – which never strays beyond the use of tonic, subdominant and dominant – has a number of related purposes. Firstly, it is appropriate for conveying the lively villagers as they dance around the linden tree. Secondly, it captures the essence of the scene; the joyous occasion of Easter morning in the context of Christian society. Finally, the harmonic simplicity is a metaphor of Christian society itself – a portrayal of the world to which Gretchen belongs. It is also important to acknowledge Wagner's decision not to establish cadential points in this Lied. The absence of half and full cadences has an important dramatic function – it conveys the unrelenting nature of the dance and the lack of poetic progression as the villagers continually circle the lime tree. The lack of a definitive final cadence further emphasises the relentlessness of their dance although the omission of the final cadence also has the additional capacity of surprising the listener with the concluding statement of 'Jucche'.

#### 4.9.1 'Branders Lied', op. 5 no. 3: poetic source

**Table 4.3: Goethe, *Faust I*, *Auerbachs Keller in Leipzig*, 'Branders Lied', ll. 2126–2148**

<b>'Branders Lied'</b>		<b>'Branders Song'<sup>666</sup></b>
Es war eine Ratt' im Kellernest, Lebte nur von Fett und Butter, hatte sich ein Ränzlein angemäst', als wie der Doktor Luther. Die Köchin hatt' ihr Gift gestellt; da ward's so eng ihr in der Welt, als hätte sie Lieb' im Leibe.	2130	Down in the cellar there lived a rat, Where it was dark and smelly; It lived on butter and it got as fat As Doctor Luther's belly. The cook put down some poisoned cheese, The rat began to choke and wheeze You'd have thought it was in love, in love, in love!
Sie fuhr herum, sie fuhr heraus und soff aus allen Pfützen, zernagt', zerkratzt' das ganze Haus, wollte nichts ihr Wüten nützen; sie tät gar manchen Ängstesprung, bald hatte das arme Tier genug, als hätt' es Lieb im Leibe,	2135      2140	It raced around, it rushed outdoors And drank from every drain, oh! It scratched the walls and gnawed the floors, But all its rage was vain, oh! It leapt and hopped in mortal fear, The poor beast knew its end was near; You'd have thought it was in love, in love, in love!
Sie kam vor Angst am hellen Tag der Küche zugelaufen, fiel an den Herd und zuckt' und lag, und tät erbärmlich schnaufen. Da lachte die Vergifterin noch: Ha! sie pfeift auf dem letzten Loch, als hätte sie Lieb im Leibe,	    2145	Then to the kitchen by broad day, In terror it cavorted, And there beside the fire it lay And sadly twitched and snorted. The cruel cook she laughed and said: 'I've cooked his goose he'll soon be dead. You'd have thought it was in love, in love, in love!'

Brander's 'Song of the Rat', taken from the *Auerbachs Keller in Leipzig* scene, ll. 2126–2148

is a comic song that Brander resorts to singing in order to invigorate his fellow drinkers. The *Auerbachs Keller* scene is unique to the drama as it is the only scene in the play that could be described as being devoid of tragic elements.<sup>667</sup> Due to its comic nature, the scene has little relevance to the drama as a whole but the scene in itself casts further light on Goethe's drama and its protagonists. Firstly, the inclusion of *Auerbachs Keller* in *Faust I* serves to provide a better balance between Faust's experiences with Mephistopheles and the Gretchen tragedy.<sup>668</sup> The original scene was likely written in 1774–75 as Goethe drew inspiration from his time spent at *Auerbachs Keller* in Leipzig, carrying with him the legend that Dr Johann Faust once

<sup>666</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, pp. 64–65.

<sup>667</sup> George Lukács, *Goethe and the Age* (London: Merlin), p. 237.

<sup>668</sup> Eudo C. Mason, *Goethe's Faust: Its Genesis and Purport*, p. 186.

rode a barrel to the tavern.<sup>669</sup> *Auerbachs Keller* therefore holds historical relevance to the Faust myth. In Goethe's day, the tavern was known for being frequented by students but there is nothing to suggest that Brander or his drinking companions in this scene are students resident in Leipzig.<sup>670</sup> If anything, those present in the tavern represent the form of human company Faust has no desire to keep. Throughout the drama of *Faust I*, Mephistopheles is tasked with introducing Faust to experiences that will enrich his life for better or worse. Mephistopheles is the 'guide' and Faust is the 'observer' and while many experiences intrigue Faust, the antics of Brander and his friends in *Auerbachs Keller* bore him.<sup>671</sup> *Auerbachs Keller* provides an insight into the social milieu of the time and the social norms exhibited in the Tavern are, like the Christian festivities in *Vor dem Thor*, norms with which Faust is uneasy.<sup>672</sup> Hartmann argues that the revellers are conveying a depressing image of the bourgeois in this song, which contrasts with the songs that are exhibited in *Vor dem Thor*:

Geschildert wird der Hass der einfachen Bürger auf eine müssiggängerische und schmarotzende Obrigkeit; und in den kaum bemäntelten Mordphantasien der Zecher wird zugleich ein bedrückendes Psychogramm der bürgerlichen Schicht gezeichnet, das den idealisierten >geselligen Liedern< der Singspieltradition wie bereits >Vor dem Tor< ein realistisches Pendant gegenüberstellt.<sup>673</sup>

The hatred of the simple citizens for the idle and predatory lords is portrayed; and in the barely masked murder fantasies of the revellers a depressing profile of the bourgeois is sketched – which is contrasted with the idealized 'convivial songs' of the Singspiel tradition like 'outside the town walls'.<sup>674</sup>

This contrast between songs in *Vor dem Thor* and *Auerbachs Keller im Leipzig* explains why song-cycles and song collections which contain the songs of the former also feature the songs of the latter (see Appendix (c) for comparative settings). Boyle is convinced that Goethe's decision to revise the scene in 1788–89 is indicative of Faust's new role within the drama to

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<sup>669</sup> Ibid., p. 12.

<sup>670</sup> Ibid., p. 184

<sup>671</sup> George Lukács, *Goethe and the Age*, pp. 206–207.

<sup>672</sup> Ibid., p. 237.

<sup>673</sup> Tina Hartmann, *Goethes Musiktheater*, p. 369.

<sup>674</sup> English translation of Tina Hartmann, *Goethes Musiktheater*, p. 369.

provide commentary on the experiences Mephistopheles shares with him.<sup>675</sup> Mephistopheles' antics in the *Auerbachs Keller* scene of *Faust I* were originally carried out by Faust but Goethe's decision to cast Faust as the observer to the guide ensured that Faust would not indulge in such behaviour<sup>676</sup> but would instead uphold his nobility.<sup>677</sup>

The atmosphere in the tavern is tense as Brander opposes the singing of a political song while Siebel expresses his displeasure at hearing a love song. As a result, Brander attempts to diffuse the apprehension by enlivening the tavern with his 'Song of the Rat'. While the song may indeed brighten the merry-makers' mood, the song's subject in the rat suffers a horrific death. The first stanza sets the scene, locating the rat in a dark cellar. Through the use of a metaphor likening the rat's size to Doctor Luther's build, Goethe brings light relief to the drama and the myth. Stanza two exhibits the rat's aggression in facing the prospect of death as its health quickly deteriorates. The final stanza presents the rat at death's door and reveals its ultimate fate. All three stanzas conclude with the refrain, 'Als hätte sie Lieb' im Leibe ['You'd have thought it was in love, in love, in love!'] which first occurs in l. 2132.<sup>678</sup> This lyric personifies the rat and transforms it into a symbol of masculine love: Goethe is portraying the rat's greed, aggression and eventual death as conditions that can also be brought about by man's pursuit of love. The importance of the lyric in relation to the poetic text is emphasised by Goethe as a chorus of voices repeat Brander's words, focusing attention on the lyric's meaning and illustrating that the crowd are revelling in the rat's misfortune.

In *Urfaust*, the *Auerbachs Keller* scene was in prose form but in *Faust I*, the entire scene is set in *Knittelvers*, although stress analysis suggests the poetic metre of 'Branders Lied' closely resembles ballad metre (see Example 4.9).

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<sup>675</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 629.

<sup>676</sup> Eudo C. Mason, *Goethe's Faust: Its Genesis and Purport*, p. 185.

<sup>677</sup> Paul Bishop (ed.), *A Companion to Goethe's Faust* (Rochester, Camden House, 2001), p. 57.

<sup>678</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One* trans. David Luke, p. 64.

#### Example 4.9: Stress analysis of 'Branders Lied', ll. 2126–2127

\*            \*            \*            \*  
Es war eine Ratt' im Kellernest,  
          \*            \*            \*  
Lebte nur von Fett und Butter,

Goethe captures one's attention from the very start, establishing a lively pace by using an anapaest in the first line. The first and third line in each stanza features an accented line ending while the second and fourth lines in each stanza have unaccented line endings. This allows couplets to flow into each other, preventing the pace ascertained by the anapaests from diminishing. The fifth and sixth lines provide contrast as these lines are strictly iambic tetrameter and contribute to a slowing of poetic pace amid lines with anapaest substitutions. An anapaest is also present in the refrain, rejuvenating the poetry and heightening the dramatic effect of the refrain in general. The contrast in poetic pace is useful as it not only keeps the audience's interest but it also allows Goethe to enunciate the key events that lead to the rat's downfall. In stanza one, the slower poetic pace of ll. 2130–2131 reveal what led to the demise of the rat in the first place ('Die Köchin hatt' ihr Gift gestellt; / da ward's so eng ihr in der Welt,') ['The cook put down some poisoned cheese, / The rat began to choke and wheeze.'].<sup>679</sup> In stanza three, the slower lines, ll. 2146–2147 reflect a change in persona and mode of address as Brander takes on the role of the cook and outlines directly the conclusion of the rat's life ('Da lachte die Vergifterin noch: / Ha! Sie pfeift auf dem letzten Loch,') ['The cruel cook she laughed and said: / I've cooked his goose, he'll soon be dead.'].<sup>680</sup>

Brander's comic song demands that the poetry is light, amusing and above all, entertaining despite the cruel content of the poetic text. Considering the stanzaic structure and in particular the long line length, sounds are vitally important in ensuring that the poetry is light and that the poetic flow is suitably fast for maintaining the interest of the reader. Goethe

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<sup>679</sup> English translation by David Luke in Johann Wolfgang Goethe, *Faust. Part One* trans. David Luke, p. 64.

<sup>680</sup> *Ibid.*, p. 65.



frequently uses light vowel sounds in this text. Both the 'ie' diphthong and 'ei' diphthong are heavily present in the poetry and the effect of these light diphthongs is most noticeable in the song's refrain (the refrain is altered slightly in the second stanza to indicate a change of the third-person pronoun). Here, the 'ie' and 'ei' diphthongs produce assonance, which is a feature of *Knittelvers*, and this combines with the alliteration of the 'l' sounds to create a vivacious refrain that, through the unification of sound, catches the attention of the audience. Alliteration features frequently in the poetry and is present in various forms. In ll. 2136–2137, there is the alliteration of 'z' and 't' which portrays the fury of the rat ('zernagt', 'zerkratzt' das ganze Haus, / wollte nichts ihr Wüten nützen' ['It scratched the walls and gnawed the floors, / But all its rage was vain, oh!']).<sup>681</sup> These sounds are dark, but the heavy alliteration ensures that the poetic pace endures and the overall light quality of the text is retained. At times, light vowel sounds even combine with darker vowel sounds to alter the pace of the poetry and portray specific elements of the text. In l. 2134, the 'ie' diphthong combines with dark 'u' and 'au' sounds to depict the paradoxical image of an injured rat trying to navigate its surroundings ('Sie fuhr herum, sie fuhr heraus') ['It raced around, it rushed outdoors'].<sup>682</sup> It is with these devices that Goethe maintains interest in the poetry and it is clear that each of these poetic techniques has a purpose in the poetry.

#### **4.9.2 'Branders Lied', op. 5 no. 3: musical setting**

Analysis of the opening vocal rhythm of 'Branders Lied' show that the setting conforms to the BRD (see Example 4.10a, 4.10b and 4.10c).

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<sup>681</sup> Ibid.

<sup>682</sup> Ibid.

**Example 4.10a: Simple BRD of Goethe's *Auerbachs Keller in Leipzig*, ll. 2126–2127**

Es war ei-ne Ratt' im Kel-ler-nest, leb-te nur von Fett und But-ter,

**Example 4.10b: BRD-variant of Goethe's *Auerbachs Keller in Leipzig*, ll. 2126–2127**

Es war ei-ne Ratt' im Kel-ler-nest leb-te nur von Fett und But-ter,

**Example 4.10c: Opening vocal line of Wagner's 'Branders Lied'**

Es war ei-ne Ratt' im Kel-ler-nest leb-te nur von Fett und But-ter,

Poetic stress and musical stress are found to be in accordance in the Lied; there is equivalence in foot durations and the distance between stresses, while rests indicate poetic silences and are distributed on an even basis. The only difference between the simple BRD and the BRD-variant of the poetry lies in Wagner's use of dotted rhythms, which is most definitely a feature of the songs in *Sieben Kompositionen zu Goethes Faust*. These dotted quavers in 'Branders Lied' serve to accentuate key words in the narrative as a way of navigating the listener through the story, and these durational accents often accompany registral accents which adds a further layer of emphasis. There is, however, a very deliberate deviation from the BRD which occurs in bar 48–49. In delivering the news that the rat succumbs, Wagner shortens the distance between poetic stresses causing the rhythm to be displaced, which leads to a rapid acceleration of the pace of declamation (see Example 4.11).

**Example 4.11: Wagner, 'Branders Lied', bars 47–50**

Ver - gif - te - rin noch: Ha! Sie pfeift auf dem letz - ten Loch,

This ensures the poetic strong stress utterance of 'Ha!' falls on the anacrusis unexpectedly. The sudden arrival of the exclamation, intended as the climactic point of the poetic text, is afforded a musical apex by Wagner to heighten the effect. The acceleration in the pace of declamation is counteracted by an equivalent deceleration which allows the typical pace of declamation to return in bar 50 for the final statement of the refrain.

The 'Song of the Rat' is the most unusual choice of text in *Sieben Kompositionen zu Goethes Faust* but perhaps a natural choice for Wagner, who was born in Leipzig and residing there when he composed these Lieder. The composer opts for a series of lively melodies that captures both the entertaining and comical aspects of the poetry and Brander's persona, while at the same time ensuring that the fate of the rat is depicted in the music. There are distinct similarities between 'Branders Lied' and 'Bauern unter der Linden'. A short, bright piano introduction (bars 1–3) begins on the upbeat of the opening bar with the primary melodic motif alluded to in the right-hand accompaniment. The vocal line begins on an anacrusis in bar 3 and Wagner uses the accompaniment as a means of accentuation throughout the melody. He does this by placing chordal harmony on strong beats while rests are placed on weak beats to strengthen the accentuation of strong beats.

Wagner opts to assign poetic couplets rather than poetic lines to four bar measures which, given the lines of iambic tetrameter, makes it a challenge to draw our attention to Brander's narration of the story through a melodic line that can also sustain our interest in the music itself. An element of repetition would allow Brander's narration to flow more easily, but risks not making for the most interesting of songs. Wagner finds a compromise – the

opening vocal phrase spans the range an octave and is characterised by perfect fourth leaps, yet is anchored around the dominant tone with the consequent phrase responding in retrograde to the antecedent phrase. The palindromic nature of the melody provides contrast, sustains the listener's interest and ensures that the music does not need to deviate to maintain poetic progression.

The melody changes for the depiction of the simile that likens the rat to Doctor Luther's belly. A transitional chord occurs at the end of bar 8 and facilitates the dominant key of A major which is established in bar 9 with the rising unison scale of A major in both the melody and the piano accompaniment. The rising unison scale and change in tonality emphasises the humour of the image and its importance, as in a poetic context, the image disperses the tension in the tavern. A perfect cadence ends this passage in bars 9–10, resolving the unison scale and bringing an end to the eight-bar musical phrase. This musical phrase can be described as an antecedent/consequent phrase as the half cadence in bar 6 is answered by this authentic cadence and this outlines the poetic and musical purpose of each phrase while ensuring the entire strophe achieves coherency.

Harmonic rhythm also has an important function in relation to text setting. In bars 3 and bars 5–7, the harmonic rhythm is incredibly quick, spanning at least two chords per bar as the harmony follows I–V and V–I progressions. These bars set ll. 2126–2129 of Goethe's opening stanza and the fast harmonic rhythm, establishing an appropriately lively and quick pace, as Brander narrates the story of the rat to his fellow merrymakers in the tavern. Slower harmonic rhythm of one chord per bar in bars 11–14 creates the illusion that the tempo is decreasing and this in turn focuses the attention of the listener on ll. 2130–2131 of Goethe's poetry. At this point of the text, Goethe is elaborating on the significant event that leads to the rat's weakening and the harmonic rhythm coincides with the slower pace of Goethe's poetry ('Die Köchin hatt' ihr Gift gestellt; / Da ward's so eng' ihr in der Welt') ['The cook put down

some poisoned cheese, / The rat began to choke and wheeze.'].<sup>683</sup> The fifth and sixth lines in each of Goethe's stanzas reveals important events that will culminate in the death of the rat and Wagner's use of tonality, harmony and melody reflects these poetic depictions. In the first strophe, the image of the rat being poisoned by the cook is portrayed in the key of the tonic minor, D minor. The abrupt change from the key of A major to D minor causes a dramatic change in mood, highlighting the significance of this event. A disjunct melody follows in bars 11–15, initiated by a leap of a linear third that creates a registral accent on 'Köchin' (bar 12), emphasising the figure of the cook. In bar 13, an octave leap on the upbeat catches the listener off guard, depicting the rat's struggle as it begins to suffer the effects of the cook's poison (see Example 4.12).

**Example 4.12: Wagner, 'Branders Lied', bars 11–15**

These unique melodic features create tension in the vocal line but the harmony also causes a destabilising effect that evokes the rat's plight. In bars 11–14, there is a harmonic progression of Ia–I7d–#IVdim7b–Ger6b and this allows for descending chromatic movement in both the left-hand and right-hand accompaniment, depicting the decline of the rat.

A rising unison scale of D major in bars 14–16 is devoted to the refrain, establishing a connection with previous melodic material in bar 9 and ensuring tonal coherency is achieved.

<sup>683</sup> Ibid., p. 64.

The refrain and rising unison scale is subsequently repeated by a chorus of voices, thus expanding the phrase out from two bars to four bars, signifying the end of the strophe as the piano introduction is repeated (bars 18–20) to introduce the second strophe.

It becomes apparent that the form of the Lied is modified strophic form as in bars 48–51, both the left-hand and right-hand piano accompaniment is now exiguous in comparison to the previous strophe. The scaling down of the accompaniment plays a vital role in conveying a change in persona. At this stage of the drama, Brander is adopting the persona of the cruel cook – he is no longer narrating the story but actively involving himself instead in unfurling the fate of the rat. The melody is altered slightly to adhere to Goethe's poetic metre but it remains suitable for conveying the mood. Therefore, by scaling back on the chordal accompaniment that was previously heard, Wagner draws more attention to the vocal line and the meaning of the text without significantly altering the mood established in the previous strophe. He does, however, make changes to the accompaniment for dramatic effect. The most notable change is to bars 48–51 which corresponds with bars 12–15. To indicate the rhythmic displacement on this statement – which aligns with the imminent demise of the rat in the text – Wagner sounds the German Sixth on the initial downbeat of bar 49, creating a startling effect for the depiction of the climactic line. As the harmony changes on the initial downbeat of each bar, the dissonances in the accompaniment are accentuated, reflecting the rat's final struggle as it approaches its death. The piano accompaniment in the concluding bars 53–57 also differs from the accompaniment used for the original melodic statement (bars 17–20). In this instance, the notes largely remain the same but the register is higher, intensifying the final refrain and ensuring the punchline, which should be familiar by now, is met with an appropriate musical flourish.

#### 4.10 'Lied der Mephistopheles I', op. 5 no 4: poetic source

**Table 4.4 Goethe, *Faust I*, *Auerbachs Keller in Leipzig*, 'Lied der Mephistopheles I', ll. 2211–2238**

<p><b>'Lied der Mephistopheles I'</b>          Es war einmal ein König,          der hatt' einen großen Floh,          den liebt' er gar nicht wenig,          als wie seinen eig'nen Sohn.          Da rief er seinen Schneider,          der Schneider kam heran:          da, miß dem Junker Kleider          und miß ihm Hosen an!</p>	<p>2215</p>	<p><b>'Mephistopheles' Song I'</b><sup>684</sup>          There was a king reigned over us          He had a great big flea;          He loved it as a father does,          And that was plain to see.          He called his tailor and said: 'There,          Now show what you can do!          This lord must have some clothes to wear,          He must have breeches too!'</p>
<p>In Sammet und in Seide          war er nun angetan,          hatte Bänder auf dem Kleide,          hatt' auch ein Kreuz daran,          und war sogleich Minister,          und hatt' einen großen Stern.          Da wurden seine Geschwister          bei Hof auch große Herrn.</p>	<p>2225</p> <p>2230</p>	<p>So now the flea was richly dressed          In velvet and in silk,          With stars and crosses on his chest,          Like others of his ilk.          The king he made him minister,          And soon, as I've heard tell,          His cousins at the court they were          All ministers as well.</p>
<p>Und Herrn und Frau'n am Hofe,          die waren sehr geplagt,          Die Königin und die Zofe          gestochen und genagt,          und durften sie nicht knicken,          und weg sie jucken nicht.          Wir knicken und ersticken          doch gleich, wenn einer sticht.</p>	<p>2235</p>	<p>The courtiers then did curse and groan,          Flea-bitten one and all;          The queen was bitten on her throne,          The servants in the hall,          Yet no one dared to kill those fleas,          Or dared to make a fuss.          But we can pick them off and squeeze          Them dead when they bite us!</p>

The first of Wagner's Mephistopheles Lieder is derived from *Auerbachs Keller in Leipzig*, ll. 2211–2238 and is commonly referred to as Mephisto's 'Song of the Flea', made popular by Beethoven's setting, *Aus Goethes Faust* (see Appendix (d) for comparative settings). The song was composed to mark Goethe's move to the Court in Weimar and takes the form of a satire within the context of the French Revolution.<sup>685</sup> The poetry depicts Mephistopheles adopting the persona of the narrator, singing about the fate of a king's flea who wreaks havoc within the monarchy despite being treated like royalty. Hartmann describes Mephistopheles

<sup>684</sup> Johann Wolfgang Goethe, *Faust. Part One*, trans. David Luke, pp. 67–68.

<sup>685</sup> Tina Hartmann, *Goethes Musiktheater*, p. 369.

as a singing seducer in this scene, therefore the 'Song of the Flea' can be interpreted as a precursor to 'Mephistopheles' Serenade':

Hier, im Kontext der französischen Revolution, wird Mephisto mit der Zither zum singenden Verführer (wie später unter Gretchens Fenster), der das Volk mit dem scheinbar harmlosen, geselligen Trinklied aufwiegelt.<sup>686</sup>

Here, in the context of the French Revolution, Mephisto with his zither becomes a singing seducer (as later under Gretchen's window), who stirs up the people with the seemingly harmless, convivial drinking song.<sup>687</sup>

The personification of the flea is central to the text. The flea itself does not engage in dialogue but Mephistopheles informs the audience that the king loves the flea like a son and through Mephistopheles, Goethe explores humour conjuring wonderful imagery of the flea's clothing ('In Sammet und in Seide / war er nun angetan, / hatte Bänder auf dem Kleide, / hatt' auch ein Kreuz daran,') ['So now the flea was richly dressed / In velvet and in silk, / With stars and crosses on his chest, / Like others of his ilk'].<sup>688</sup> Although the text is intended to be read as light-hearted and comical, both the flea and Mephistopheles have sinister qualities to their character and this presents an interesting challenge for Goethe.

Goethe opts for octets, on this occasion three in total, establishing a stanzaic structure that is suitable for conveying information to the reader. Similarly Goethe also uses long line length for this purpose. Despite the considerable line length, the poetry reads at a significantly fast pace – an iamb initiates the opening verse and stress analysis of the text reveals the importance of iambs as they tend to occur at line beginnings (see Example 4.13).

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<sup>686</sup> Ibid., p. 370.

<sup>687</sup> English translation of Tina Hartmann, *Goethes Musiktheater*, p. 370.

<sup>688</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke p. 67.



#### Example 4.13: Stress analysis of 'Lied der Mephistopheles I', ll. 2211–2238

\*        \*        \*  
Es war einmal ein König,  
\*                \*                \*  
Der hatt' einen großen Floh,

As a result, the text can be interpreted as having predominantly unaccented line beginnings while line endings are accented or unaccented depending on the context. In l. 2214, a caesura on the accented and long syllable 'Sohn' ['son'] demonstrates the importance of the king's relationship with the flea to the plot of the text and provides both a poetic and musical pause for Mephistopheles. On the contrary, l. 2215 ends with the trochaic 'Schneider' ['tailor'] facilitating quicker poetic flow between l. 2215 and l. 2216 aiding Mephistopheles narration. The inclusion of anapaest substitutions has the general effect of accelerating the pace of the poetry.

Assonance features heavily in the poetic text with both the 'ei' and 'ie' diphthongs making significant contributions. The 'ei' diphthong is light and reflects the humour found in the text while also containing a quality of sound that is harsh enough to the ears that it hints at the chaos the flea will eventually bring to the kingdom. The assonance, the 'ei' diphthong and even the alliteration of 'en' sounds can be seen in ll. 2214–2215 ('als wie seinen eig'nen Sohn. / Da rief er seinen Schneider,') ['He loved it as a father does, / And that was plain to see.'].<sup>689</sup> The 'ei' diphthong also has a role to play in terms of poetic progression – the sound produced by the diphthong dominates stanzas one and two but aside from the conclusion of the poetry in l. 2238, the 'ei' diphthong is completely absent from the third and final stanza. The 'ie' diphthong thus represents the unveiling of the courtiers and fleas' comical fate in ll. 2231–2237 and the light sound produced by this diphthong is ideal in portraying the light-hearted and humorous conclusion of the text. Appropriately, the 'ei' diphthong returns in the final

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<sup>689</sup> Ibid.

line along with the alliteration in 'ch' sounds. These sounds are harsh in the context of the stanza and they accurately portray the severity of both the fleas' bite and death while adhering to the overall lightness of the poetry ('doch gleich, wenn einer sticht.') / ['Them dead when they bite us!'].<sup>690</sup> The conclusion is made all the more dramatic by Goethe's use of caesuras which fall almost exclusively on the sixth and eighth lines of each stanza with the only exception being the aforementioned line 4. The placement of a caesura on the sixth line creates a break in the flow of the poetry that prepares the reader for the final couplet of each verse and the implementation of the caesura is particularly important at line 22 as it creates dramatic tension and suspense that anticipates the concluding couplet.

#### **4.10.2 'Lied der Mephistopheles I', op. 5 no. 4: musical setting**

Carolin Bunke goes as far as to argue that 'Lied der Mephistopheles I' is the first setting within the cycle where the accompaniment is given a characteristic function.<sup>691</sup> It is apparent from the discussion of previous songs in this chapter, however, that the accompaniment has served to illuminate aspects of the text to date in *Sieben Kompositionen zu Goethes Faust*, even if the primary role of the accompaniment in the preceding settings was to provide harmonic support. One of the primary concerns for Wagner in his setting of 'Lied der Mephistopheles I' is the depiction of the flea in lieu of the comical nature of the poetry and it is in response to this aspect of the text – and the precedent set by Beethoven in 'Aus Goethes Faust' – that the role of the accompaniment must be enhanced in 'Lied der Mephistopheles I'. Wagner confronts this dilemma by establishing a rapidly ascending triplet-based motif to portray the flea and it features in the left-hand and right-hand accompaniment (bars 1–4). The triplet figure not only conveys the sinister threat that the flea poses to the court but it also conjures up rhythmic tension and ambiguity. Simultaneously, a simple, light but effective

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<sup>690</sup> Ibid., p. 68.

<sup>691</sup> Carolin Bunke, *Zur Faust-Rezeption in der Musik des 19. Jahrhunderts*, p. 244.

melody – characterised by expressive upward leaps of perfect fourths – is heard in the vocal line. Analysis of the initial vocal rhythm in Wagner's 'Lied der Mephistopheles I' exposes a deviation from the BRD in the opening vocal melody (see Example 4.14a, 4.14b, 4.14c and 4.14d).

**Example 4.14a: Simple BRD of Goethe's *Auerbachs Keller im Leipzig*, ll. 2211–2212**

Es war ein-mal ein Kö-nig, der hatt' ei-nen gro-ssen Floh,

**Example 4.14b: BRD-variant of Goethe's *Auerbachs Keller im Leipzig*, ll. 2211–2212**

Es war ein-mal ein Kö-nig, der hatt ei-nen gro-ssen Floh,

**Example 4.14c: Hypothetical BRD-conformant vocal line for Wagner's 'Lied der Mephistopheles I', bars 1–5**

Es war ein-mal ein Kö-nig, der hatt ei-nen gro-ssen Floh,

**Example 4.14d: Opening vocal line of Wagner's 'Lied der Mephistopheles I'**

Es war ein-mal ein Ko-nig, der hatt ei-nen gro-ssen Floh,

The simple BRD of Goethe's text suggests two equidistant stresses per bar with an observance of caesuras at line endings. These caesuras are met with rests and occasional fermatas – the latter allowing the performer the freedom to expand the length of the phrase as they see appropriate for the purpose of creating dramatic tension and suspense. It is not

possible to adhere to the BRD without catering for these caesuras as these silences are essentially functioning as metric substitutions for poetic stresses. Wagner's vocal rhythms often respond to these external caesuras in the 'Lied der Mephistopheles I' and as a result, there is a general conformance with the BRD in the song. There is uniformity between poetic stress and musical downbeats with durational emphasis placed on stressed syllables, and there is also an equivalence of foot durations for the most part. Even when Wagner deviates from the BRD, there is a congruence of large-scale poetic and musical units as the hypermetre preserves the poetic metre. The elongation of the strong stresses – which disturbs the regularity of the rhythm by ensuring stresses are not equidistant – has a specific purpose with regard to suggesting textual meaning. The slowing of the pace of declamation portrays grandeur; elongations occur on 'König' ('king'), 'Kleider' ('clothes') and 'Seide' ('silk').

On a harmonic level, the first vocal phrase is heard in G major but concludes with a modulation to the relative minor, E minor. The shift to E minor illuminates the image of the flea, functioning as a musical device used for word painting. The opening vocal line in G major is reminiscent of the equivalent melody in 'Branders Lied' in the way in which it plays with the interval of a perfect fourth between B and E. This suggests Mephistopheles' melody is intended to be read as parody of Brander's song. The melodic phrase which begins in bar 6 contains similarities to the original vocal melody as an immediate upward leap of a perfect fourth provides a registral accent on the strong downbeat of bar 6. A series of downward leaps in the vocal phrase – and alternative octaves in the right-hand accompaniment – outlines a C major arpeggio which precedes an upward leap in bar 7 that establishes a registral accent on an upbeat prior to the repetition of the dominant tone in bar 8. This brief steadiness in the melody is necessary as Wagner shortens duration to address the imbalance in Goethe's poetry between the trimetric lines that contain seven syllables and those that contain only six. In bar 8, a falling octave precedes the registral accent that occurs on the long

syllable 'Sohn.' Duration is of fundamental importance here as the longest durational note of the melody under consideration is this crotchet note on the downbeat. Its long duration and the rise in register emphasises the word 'Sohn', underlining the flea's relationship to the king, which is of fundamental importance to Mephistopheles' story (see Example 4.15).

**Example 4.15: Wagner, 'Lied der Mephistopheles I' bars 7–9**

als wie sei - nen eig' - nen Sohn.

The melody in bars 9–13 is less expressive than previously heard melodic content as Wagner uses ascending stepwise melodic movement to prepare the listener for the upcoming climactic point in the strophe (see Example 4.16).

**Example 4.16: Wagner, 'Lied der Mephistopheles I', bars 9–13**

Da rief er sei - nen Schneider, der Schnei - der kam her - an:

The melody appears to build slowly and this is caused by a prolongation of the tonic harmony. As the melody ascends by step, the piano accompaniment, particularly in the left-hand, remains static and this contrasts significantly with previous bars where the harmonic rhythm was relatively quick, spanning at least one chord per bar. The slowing down of pace effectively creates more rhythmic tension and ambiguity adding to the melodic tension and ambiguity that already exists courtesy of the rising vocal line. This tension and ambiguity is eventually resolved and dissipated in bar 13 with a modulation into the dominant key of D major. The change of key is emphasised by the full tonic chord in the right hand accompaniment, which sounds twice with additional stress placed upon the second statement. In bars 13–17, a change of persona occurs as Mephistopheles narrates the words of the king. This is initiated in the D major tonality but the re-use of melodic material from the opening vocal phrase creates the expectancy of a return to the tonic key. It is important to note the re-emergence of the flea motif in bars 14–15. The flea motif not only gives the melody a menacing undercurrent at its climactic point, but it also contributes to the harmonic tension and ambiguity which is resolved later in bar 15 and bar 16 with a I–IV progression in G major. New melodic material is introduced at this point with the king's words being uttered in a high vocal register which adds to the dramatic effect. The melody extends beyond an octave, and perfect fourth leaps are a feature once again, re-establishing the satirical tone. The melody ends at bar 17 and the flea motif re-enters in the left-hand accompaniment before the second strophe is introduced. The general contrast between the relative major and the relative minor within each strophe is apt in depicting the paradoxical image of the menacing flea dressed in fine clothing.

The musical form is modified strophic form and this becomes evident at bar 19. The offbeat triplet motif that is associated with the flea is replaced with a similar rhythmic motif in both the left-hand and right-hand accompaniment. The main difference between the two

motifs is the placement of the rhythmic motif – the rhythmic grouping ensures that notes of longer duration are sounded on strong downbeats and coincide with notes of longer duration in the melody. This change in the accompaniment eradicates any possibility of metric ambiguity and the change is logical – the flea's status within the court settles the poetic text and Wagner withholds the flea motif for a more appropriate moment. The triplet motif that is due to be heard at bars 30–31 is also replaced by this rhythmic motif and this is appropriate as the flea's status within the court remains unchanged. The most significant alterations of all are made in the third and final strophe and once again, it is here that the depiction of the flea takes centre stage. The flea motif recurs in bar 33 and a clear intensification of the flea motif appears in the left-hand and right-hand accompaniment of bars 34–36. The long duration of the dotted quaver anticipates the rapid demisemiquaver triplet and the rhythmic motif is heard twice per bar. In its first statement, the triplets rise but on second hearing, the triplet motif descends. The longer durational notes have an important function here as not only do they place additional stress on the downbeats but they also double the vocal line. This rhythmic motif signifies the change in mood as the flea begins to infiltrate the court and create havoc for those present. Variations of the triplet figure are also present in bars 45–46 and bars 49–50 as Wagner uses the motif to create rhythmic tension as the plight of the flea is revealed to the listener. In order to depict and reinforce the unfortunate fate of the flea, Wagner creates a refrain out of the words 'Wir knicken und er sticken / Doch gleich wenn einer sticht.' ['But we can pick them off and squeeze / Them dead when they bite us']<sup>692</sup> The melody for the refrain differs from previous strophes. In bar 46, a C major triad is outlined, which had been an indication earlier in the Lied that confirmation of E minor was to follow. On this occasion, Wagner surprises the listener with an authentic cadence in G major in bars 48–49. A refrain follows and a second authentic cadence closes the vocal phrase in bars 52–53 before the

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<sup>692</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 68.

running flea motif is heard in the left-hand accompaniment. This provides closure and ends the Lied with a flourish that you would expect both from a character as malevolent as Mephistopheles and also Wagner, given how earlier settings in *Sieben Kompositionen zu Goethes Faust* were ended.

#### 4.11.1 'Lied der Mephistopheles II', op. 5 no. 5: poetic source

**Table 4.5: Goethe, *Faust I*, *Nacht*, 'Lied der Mephistopheles II', ll. 3682–3697**

<b>Lied der Mephistopheles II</b>		<b>'Mephistopheles' Song II'</b> <sup>693</sup>
Was machst du mir vor Liebchens Tür, Kathrinchen, hier bei frühem Tagesblicke?	3685	Who stands before Her sweetheart's door Once more, once more, With early morning starting?
Laß, laß es sein! Er läßt dich ein, als Mädchen ein, als Mädchen nicht zurücke.		Poor Kate, beware! You'll enter there A maid so fair– No maid you'll be departing!
Nehmt euch in Acht! Ist es vollbracht, dann gute Nacht Ihr armen, armen Dinger!	3690	Men must have fun, But when it's done They'll up and run– They're thieves, why should they linger?
Habt ihr euch lieb, tut keinem Dieb nur nichts zu Lieb', als mit dem Ring am Finger.	3695	Poor darlings all, Beware your fall: Do nothing at all Till you've got the ring on your finger!

'Lied der Mephistopheles II' is the second of Wagner's Mephistopheles Lieder taken from *Nacht*, ll. 3682–3697 (see Appendix (e) for a list of comparative settings). The text is commonly known as Mephistopheles' serenade as Mephistopheles mocks Gretchen with a serenade outside her window – 'a moral song to confuse her sense of right and wrong'.<sup>694</sup> In *Faust I*, Mephistopheles assumes the role of a 'Schalk' – a low rank devil who appears innocent on the surface but is capable of causing harm to those who cross his path.<sup>695</sup> As discussed earlier, Goethe faces the challenge of combining Faust's wager with Mephistopheles with the Gretchen tragedy in *Faust I*. Goethe achieves this in a variety of

<sup>693</sup> Ibid., p. 117.

<sup>694</sup> Ibid., p. 116.

<sup>695</sup> Lorna Fitzsimmons, *International Faust Studies: Adaptation, Reception, Translation*, p. 89.



ways but no method is more apparent than his decision to let Mephistopheles have a hand in Faust and Gretchen's relationship. Faust cannot pursue Gretchen without the help of Mephistopheles.<sup>696</sup> Martin Swales notes that Mephistopheles plays both the 'salesman' and the 'cynic' in his dealings with Faust and the scholar is most certainly sold in *Nacht*, as Mephistopheles attempts to seduce Gretchen.<sup>697</sup> Although Gretchen is often considered naïve, she has the measure of Mephistopheles, knowing that he is a malevolent figure and a liar.<sup>698</sup> While Mephistopheles may lack the power to control Gretchen, his song of seduction is capable of appealing to any lusting tendency she may have and that is the intent behind the song.<sup>699</sup> Hartmann believes Goethe is drawing a parallel between Gretchen and Ophelia in Shakespeare's *Hamlet* by taking three verses from Ophelia's song:

Ophelia ist bereits geistig zerrüttet als sie das Lied singt, auf Gretchens künftigen Wahnsinn wird vorausgewiesen. Während erstere tatsächlich den Topos vom zum-Liebchen-schleichenden Verehrer verkehrt und damit ihre aktive Rolle betont, ist Mephistos Aufnahme der Zeilen abermals eine blanke Boshaftigkeit, stehen sie doch direkt vor Gretchens Türe und hat er doch bereits alles Teufelsmögliche getan, damit Faust bei ihr Einlass erlangte.<sup>700</sup>

Ophelia is already mentally broken when she sings the song, Gretchen's future madness is heralded. While the former really inverts the theme of the admirer sneaking off to the lover and emphasises in this way her active role, Mephisto's treatment of the lines is sheer malice, given that he stands directly in front of Gretchen's door and does everything in his power to help Faust gain access to her.<sup>701</sup>

Goethe uses two octets of short line length and places caesuras at the end of the fourth line of each stanza, essentially subdividing the poetry so that it functions similarly to a stanzaic structure of four quatrains. This prevents the serenade from feeling laboured. Stress analysis reveals an irregular metre, although lines of iambic dimeter are prevalent (see Example 4.17).

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<sup>696</sup> Ibid.

<sup>697</sup> Paul Bishop (ed.), *A Companion to Goethe's Faust*, p. 30.

<sup>698</sup> Lorna Fitzsimmons, *International Faust Studies: Adaptation, Reception, Translation*, p. 89.

<sup>699</sup> George Lukács, *Goethe and the Age*, p. 213.

<sup>700</sup> Tina Hartmann, *Goethes Musiktheater*, p. 377.

<sup>701</sup> English Translation of Tina Hartmann, *Goethes Musiktheater*, p. 377.

**Example 4.17: Stress analysis of 'Lied der Mephistopheles II', ll. 3682–3685**

          \*          \*  
Was machst du mir  
          \*          \*  
vor Liebchens Tür  
          \*          \*  
Kathrinchen hier  
          \*          \*          \*  
bei frühem Tagesblicke?

Change in metre creates metrical ambiguity which in turn, heightens dramatic tension. The first deviation from iambic dimeter occurs in l. 3685, marking the moment where Mephistopheles pauses to see if Gretchen will answer the door. The next deviation from iambic dimeter actually occurs in the following line, l. 3686 ('Laß, laß es sein!') ['Leave, let it be!']. The poetic pace is slowed with the stressed syllables of 'Laß' and it is followed by an iamb where the accented line ending is met with a caesura, in the form of an exclamation mark. The poetic metre of this line ensures the accented syllables are given additional emphasis which is indicative of the sinister, mocking nature of Mephistopheles warning. The variance of metric patterns signify a change in Mephistopheles' persona as he shifts from serenading Gretchen in ll. 3682–3684 to warning her about the intentions of men in ll. 3685–3686. The poetic metre changes once again in the second stanza to fulfil the same function.

Poetic metre is altered in the fourth and eighth lines of each stanza which reinforces the idea that these octets can be heard as two quatrains. However, Goethe unites these lines with his use of end-rhyme – the fourth and eighth line of each stanza rhyme with each other and overall, this makes the octet more coherent as a poetic form. End-rhyme is an important unifying device – despite the short line length of the poetry, no line goes unrhymed. Furthermore, certain line endings also contain light vowel sounds. l. 3683 and ll. 3694–3696 exhibit the 'ie' diphthong while the 'ei' diphthong can be found at ll. 3688–3688. Both diphthongs produce light vowel sounds. It was discussed earlier how Goethe put additional

stress on certain accented syllables but where iambic dimeter is present, Goethe appears to be softening certain accents with his use of light vowel sounds. The presence of light vowel sounds at the end of the lines mentioned above contrasts with the effect established by the caesuras on the fourth and eighth lines of each octet, suggesting that Goethe's intent was to heighten the level of tension with each caesura.

#### **4.11.2 Lied der Mephistopheles II', op. 5 no. 5: musical setting**

In ll. 3682–3685 of Goethe's text, Mephistopheles is attempting to attract Gretchen's attention and lure her to her door and Wagner uses various musical techniques to depict this. The most obvious device is the melodic direction itself. The antecedent phrase of the opening vocal melody is repetitive – tones are either repeated or the vocal line descends by step – but the consequent phrase provides great contrast, eventually ascending by step to a dramatic octave leap on 'Tagesblicke?' This enhancement of the melodic interest towards the end of the phrase attracts the listener's interest and is therefore a suitable depiction of Mephistopheles' efforts to seduce Gretchen. Wagner's use of rests is also important to note. Each line of Goethe's poetry is broken up by crotchet, quaver or semiquaver rests and this establishes short, succinct musical phrases. These musical phrases have the same function as short-line length in Goethe's poetry – they convey more precisely the words of Mephistopheles. Slow harmonic rhythm also has a role to play in this regard. In bars 3–4, the only harmony present is the tonic chord and the static nature of the harmony draws more attention to the vocal melody and Mephistopheles attempts at beckoning Gretchen to the door.

Analysis of the rhythm of the opening vocal melody shows Wagner's 'Lied der Mephistopheles II' does not conform to the BRD (see Example 4.18a, 4.18b, 4.18c and 4.18d).

**Example 4.18a: Simple BRD of Goethe's *Nacht*, ll. 3682–3685**

Was machst du mir vor Lieb-chens Tür, Kath - rin-chen, hier bei frü-hem Ta-ges - bli-cke?

**Example 4.18b: BRD-variant of Goethe's *Nacht*, ll. 3682–3685**

Was machst du mir vor Lieb-chens Tür, Kath - rin-chen, hier bei frü-hem Ta-ges - bli-cke?

**Example 4.18c: Hypothetical BRD-conformant vocal line for the opening of 'Lied der Mephistopheles II'**

Was machst du mir vor Lieb-chens Tür, Kath - rin-chen hier bei frü-hem Ta-ges - bli-cke?

**Example 4.18d: Opening vocal line of Wagner's 'Lied der Mephistopheles II'**

Was machst du mir vor Lieb - chens Tür, Kath - rin - chen,  
hier bei frü - hem Ta - ges - bli - cke?

Many characteristics associated with BRD-conformance are present in the opening vocal rhythm of 'Lied der Mephistopheles II'; poetic stresses and musical downbeats are aligned, the stresses are initially equidistant and musical silences correspond with poetic silences, occurring on a regular basis. In comparing the musical rhythm with a simple BRD, however, it is clear that Wagner does not assign much metric weighting to poetic stresses.

Consequently, when Wagner deviates from the BRD on 'Kathrinchen' – by elongating the strong stress as a means of interpolating the vocal phrase – the slowing of the pace of declamation from two stresses per bar to one stress per bar is highly effective in emphasising Mephistopheles' mocking of Gretchen.

The simplicity of the harmony allows Wagner to emphasise certain aspects of the text. Following on from Mephistopheles' calling of Kathrinchen, a half cadence (IV–V) is provided in bar 6 on 'hier' and the effect of the cadence is made greater by the *forte* dominant chord on the second downbeat of the bar. The half cadence anticipates that a full cadence will be heard at the end of the upcoming musical phrase but this sense of closure and resolution fails to occur. Instead, Wagner implements another half cadence (IV–V) in bar 8. The use of a half cadence is appropriate, however, for setting the text as Mephistopheles is questioning Gretchen, tempting her towards him and the unresolved half cadences ensure his questions are unanswered. Chromatic passages occur in bars 9–12 and 24–27 providing great contrast with the diatonicism that is present in the rest of the Lied. The descending chromatic passage is introduced to convey Mephistopheles warning to Gretchen. This passage recalls Wagner's use of the same device to depict a similar warning issued by the village girl in 'Bauern unter der Linden' (see Example 4.19).

**Example 4.19: Wagner, 'Lied der Mephistopheles II', bars 9–12**

The musical score for Example 4.19 shows Wagner's setting of the text 'Laß, laß es sein! Er läßt dich ein,'. The score is in 2/4 time with a key signature of one sharp (F#). The vocal line is in the bass clef, and the piano accompaniment is in the grand staff (treble and bass clefs). The lyrics are: 'Laß, laß es sein! Er läßt dich ein,'. The piano accompaniment consists of a descending chromatic line in the bass clef and a more active line in the treble clef.

Although the chromaticism contrasts with the otherwise entirely diatonic setting, a key similarity exists between the melody in bars 2–4 and the chromatic motif – the melody in both motifs are descending by step. This is important in achieving coherency for the Lied despite the polar nature of Mephistopheles' persona and its musical depiction. The rhythm is also altered to great effect. The dotted rhythm – which was a feature of text declamation in 'Lied der Soldaten' – is introduced into the chromatic passage and has several functions as it persists into bars 13–15. It reflects Goethe's choice of poetic metre, as the longest duration in the crotchet falls on a structural downbeat, conveying the single syllable spondee. The dotted quaver is devoted to the next strongest poetic stress and the semiquaver launches the listener onto 'sein!'. This conveys Goethe's intentions with the anapaest, that is to emphasise the word 'sein!'. The anapaest is closely associated with triple metre and it is used by Goethe to alter poetic metre. Wagner's application of the dotted rhythm conveys this idea and establishes a brief moment of rhythmic tension and ambiguity although Wagner continues the dotted quaver rhythm into bars 13–15, beyond the point of necessity. In doing so, Wagner maintains an appropriate level of tension for Mephistopheles' seductive warning ('als Mädchen ein, / als Mädchen nicht zurücke.') ['A maid so fair – / no maid you'll be departing'].<sup>702</sup>

Wagner's 'Lied der Mephistopheles II' is in simple strophic form which is logical given the consistent metrical patterns in Goethe's poetic text. The most significant drawback with this choice of musical form is the limitations it places on the composer and subsequently, the text. The main difficulty with that choice of form here is that it complicates the portrayal of Mephistopheles' dual personality. Despite this, Wagner finds a logical solution by providing contrast between Mephistopheles' attempts to play the innocent and his more natural, malevolent being and contrasting diatonicism with chromaticism is central to this. The right-hand accompaniment provides a sense of closure for each strophe. In bars

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<sup>702</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 117.

15 and 30, despite the absence of a true authentic cadence, the tonic triad is sounded twice in quick succession prior to the re-introduction of the motif exposed in the short piano introduction. This premise forms the basis of the conclusion to the song as this accompaniment motif is followed with the tonic chord in root position sounded twice to affirm the E minor tonality.

#### 4.12.1 'Meine Ruh ist hin' op. 5 no. 6: poetic source

**Table 4.6: Goethe, *Faust I, Gretchens Stube*, 'Meine Ruh ist hin', ll. 3374–3413**

'Meine Ruh ist hin'		'My heart's so heavy' <sup>703</sup>
Meine Ruh' ist hin,		My heart's so heavy,
Mein Herz ist schwer;	3375	My heart's so sore,
ich finde sie nimmer		How can ever my heart
und nimmermehr.		Be at peace any more?
Wo ich ihn nicht hab'		How dead the whole world is,
Ist mir das Grab,		How dark the day,
die ganze Welt	3380	How bitter my life is,
ist mir vergällt		Now he's away!
Mein armer Kopf		My poor head's troubled,
ist mir verrückt,		Oh what shall I do?
mein armer Sinn		My poor mind's broken
ist mir zerstückt.	3385	And torn in two.
Meine Ruh' ist hin,		My heart's so heavy,
mein Herz ist schwer;		My heart's so sore,
ich finde sie nimmer		How can ever my heart
und nimmermehr.		Be at peace any more?
Nach ihm nur schau' ich	3390	When I look from my window
Zum Fenster hinaus,		It's him I must see;
nach ihm nur geh' ich		I walk out wondering
aus dem Haus.		Where can he be?
Sein hoher Gang,		Oh his step so proud
sein' edle Gestalt,	3395	And his head so high
seines Mundes Lächeln,		And the smile on his lips
seiner Augen Gewalt,		And the spell of his eye,
und seiner Rede		And his voice, like a stream
Zauberfluß,		Of magic it is,
sein Händedruck,	3400	And his hand pressing mine
und ach sein Kuß!		And his kiss, his kiss!

<sup>703</sup> Ibid., pp. 107–108.

Meine Ruh ist hin, mein Herz ist schwer; ich finde sie nimmer und nimmermehr.	3405	My heart's so heavy, My heart's so sore, How can ever my heart Be at peace any more?
Mein Busen drängt sich nach ihm hin. Ach, dürft ich fassen und halten ihn,		My body's on fire With wanting him so; Oh when shall I hold him And never let go
und küssen ihn, so wie ich wollt', an seinen Küssen vergehen sollt'!	3410	And kiss him at last As I long to do, And swoon on his kisses And dies there too!

'Meine Ruh ist hin', more popularly known as *Gretchen am Spinnrade* is based on Goethe's famous *Gretchens Stube* scene (see Appendix (f) for a list of comparative settings). It is Gretchen's primary soliloquy in *Faust I*, presenting her as a figure that is fraught with sadness. By now, Gretchen's world has been turned upside down by her relationship with Faust and 'Meine Ruh ist hin' gives the reader the clearest indication of her fragile being. Goethe attributes significance to Gretchen's song by making it a standalone scene which receives no commentary.<sup>704</sup> Hartmann endorses Peter Michelsen's view that the irregular-regular dichotomy that is at work in the song portrays Gretchen's restlessness over the basso continuo of the spinning wheel.<sup>705</sup> She also suggests the irregularity of the song's form, in terms of being in the style of both ballad and aria, acts as a metaphor for Gretchen communicating her feelings despite her own attempts to inhibit her emotions:

Virtuos spielt Goethe mit den Gattungen und zeigt, wie Gretchen ihre Situation (analog zu Dortchen oder ihrem eigenen Verhalten am Anfang der Tragödie) mit einem Lied zu kompensieren versucht, gleichsam als wollte sie ihr keimendes Selbstbewusstsein in die Schranken eines gebändigten, strophigen Gesanges verweisen. Doch ihre Gefühle brechen mit Macht hervor und das Lied gerät zur Arie, auch wenn Versatzstücke des Liedes verbleiben als vergebliche Versuche, die neue und ungewohnte Emotionalität einzudämmen.<sup>706</sup>

In a masterful way Goethe plays with the genres and shows how Gretchen tries to compensate for her position (in analogy to Dortchen or to her own behaviour at the beginning of the tragedy) with a song, as if she wanted to contain her developing self-confidence by confining it within the limits of a subdued, strophic song. But her feelings break through forcefully and the

<sup>704</sup> Tina Hartmann, *Goethes Musiktheater*, p. 373.

<sup>705</sup> *Ibid.*, p. 374.

<sup>706</sup> *Ibid.*



song becomes an aria, even if elements of song remain as vain attempts at containing the new and unaccustomed emotionality.<sup>707</sup>

As important as the text itself is the metaphor of the spinning wheel. Martin Swales notes that Gretchen's domesticity prevents her from being a natural or convincing soliloquiser on stage unless her hands are kept occupied.<sup>708</sup> In her 'Prayer to the Virgin', as we shall see later, she is fixated upon arranging flowers. In 'Meine Ruh' ist hin', it is the spinning wheel that allows Gretchen to unlock and express her innermost feelings. The spinning wheel is not only important in allowing Gretchen to overcome the restrictions imposed by a lack of education but its mere presence in the drama ensures that it can be interpreted as a symbol of domesticity.

The stanzaic structure of 'Meine Ruh' ist hin' divides the text into ten quatrains, each combining to unravel the intense battle between Gretchen's spirituality and sexuality. Stress analysis of 'Meine Ruh ist hin' reveals lines of iambic dimeter to be prevalent (see Example 4.20) – the short lines intensify Gretchen's emotional state.

**Example 4.20: Stress analysis of 'Meine Ruh ist hin', ll. 3374–3377**

          \*      \*  
Meine Ruh' ist hin  
          \*      \*  
Mein Herz ist schwer  
          \*      \*  
Ich finde sie nimmer  
          \*      \*  
und nimmermehr

Stanza 1 exemplifies Gretchen's emotional aching as she questions how she can escape from the torment that her love and lust of Faust has brought to her. This verse is repeated as stanza 4 and stanza 8, reinforcing the lyric indicating Gretchen's sense of helplessness. The stanza is

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<sup>707</sup> English translation of Tina Hartmann, *Goethes Musiktheater*, p. 374.

<sup>708</sup> Paul Bishop (ed.), *A Companion to Goethe's Faust*, p. 44.

permeated with heavy assonance of light vowel sounds ('ei', 'i'), suggestive of Gretchen's fragility and vulnerability. Goethe uses assonance to alter the poetic rhythm – it is no coincidence that these light vowel sounds coincide with unstressed syllables which depict the racing nature of Gretchen's passion and excitement amid the emotional torment she is experiencing. An anapaest initiates the song, launching the reader into the midst of Gretchen's emotional dilemma. Unstressed syllables are more prevalent than stressed syllables and Goethe uses iambs and anapaests to emphasise the imagery of Gretchen's plight.

Sounds are of importance. Gretchen's pining for Faust and the window metaphor outlined in stanza five is greeted with dark 'u' vowels and the harsh diphthong 'au'. This contrasts directly with the lighter vowels in previous stanzas and marks the precise point in the text that Gretchen begins to contemplate the morally divisive relationship with Faust. These dark vowels persist into stanza 6 as Gretchen conjures vivid, rich imagery referring to particular physical traits that she finds to be attractive in Faust. The 'ei' diphthong then returns as Gretchen progresses into a trance-like mode with quicker anapaests replacing the dominant iambs momentarily as she recalls Faust's defining features. Diphthongs and dark vowels continue into stanza 7 where the text reaches its poetic climax as Gretchen reminisces over Faust's kiss. The metric regularity of this verse signifies the familiarity and sense of calm that Faust's kiss briefly gives to Gretchen. The kiss falls on a stressed syllable followed by a caesura, emphasising the climactic point in the text. The dramatic function of the kiss is to provide an emotional reprieve for Gretchen and its purpose is reaffirmed with Gretchen reverting to her inward mode of address in Goethe's repetition of the opening stanza. Goethe combines enjambment with feminine line endings in stanzas 9 and 10 to accelerate the poetic pace for the depiction of Gretchen as being overcome with overwhelming passion as she proceeds to dwell on Faust's kiss.

#### 4.12.2 'Meine Ruh ist hin', op. 5 no. 6: musical setting

Wagner's 'Meine Ruh ist hin' exhibits BRD-conformance in the opening vocal line (see Example 4.21a, 4.21b and 4.21c).

##### Example 4.21a: Simple BRD of Goethe's *Gretchens Stube*, ll. 3374–3377

Mei - ne Ruh' ist hin, mein Herz ist schwer,

##### Example 4.21b: BRD-variant of Goethe's *Gretchens Stube*, ll. 3374–3377

Meine Ruh ist hin, mein Herz ist schwer; ich finde sie nimmer und nimmer mehr

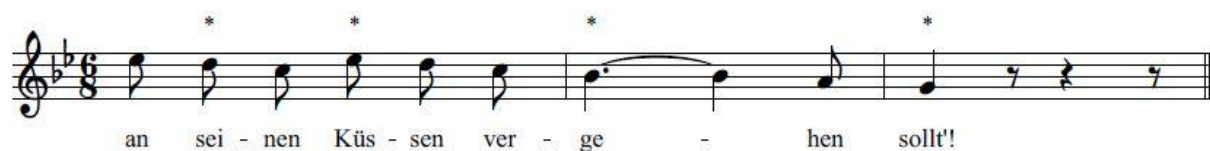
##### Example 4.21c: Opening vocal line of Wagner's 'Meine Ruh ist hin'

Meine Ruh ist hin, mein Herz ist schwer; ich finde sie nimmer und nimmer mehr

The vocal rhythms adhere to the iambic poetic metre. Although the durational emphasis placed on musical downbeats is not as pronounced in the musical setting as it could be if based on the simple BRD, poetic stress is often met with durational accents. Stressed and unstressed syllables are alternated regularly in the Lied; there is an equivalence of foot durations and stresses are equidistant. Furthermore, caesuras in the poetry are routinely observed with musical caesuras. There are, however, a couple of notable departures from the BRD. The first occurs on the climactic point of the Lied in bar 36 as Wagner elongates the stress on 'Kuss!' to convey the notion of Gretchen contemplating Faust's kiss. This is an illustration of how Wagner uses duration to create emphasis. Gretchen's reflection on Faust's

kiss is portrayed through a dotted minim tied to a crotchet – the longest duration of a note in the song. This climactic note occurs on a downbeat, which further heightens the musical and dramatic significance. A more striking example of BRD non-conformance occurs in bars 51–53 as Wagner has the poetic stress fall on the first upbeat, causing the rhythm to be briefly displaced prior to an interpolation of the vocal phrase, which leads to a slowing in the pace of declamation. This deviation from the BRD conveys the image of Gretchen dying on Faust's kisses (see Example 4.22).

**Example 4.22: Wagner, 'Meine Ruh ist hin', bars 51–53**



Wagner uses rhythm as a means to compound Gretchen's troubled state, following Goethe's lead in using rhythm as a device to portray the evolution of Gretchen's character in *Faust*. The composer emphasises 'armer' in bar 12 by placing an accent on the first syllable of the word as it falls on a downbeat. Metrical tension and ambiguity is generated through syncopation in the left and right hands of the accompaniment in bars 12–15. Although the chosen vocal rhythm conforms to the BRD of the text, it is another instance in the setting where Wagner disrupts the feel of poetic metre.

A spinning-wheel motif is laid out in the piano introduction (bars 1–3), along with the chordal harmony that will eventually underscore the vocal line. The motif is subsequently assumed by the vocal line towards the end of bar 3. The theme is characterised by a fluctuating vocal melody with a narrow vocal range and the prevalence of step-wise motion, with the greatest vocal leap being a minor third (bars 6–7). These musical devices convey both the circular motion of the spinning-wheel and the inescapable emotions that are

currently plaguing Gretchen. The Lied is essentially in modified strophic form – Wagner replicates the structure of Goethe's text by creating three sections, the middle of which is a distinct B section.

The Gretchen melody is initially introduced with a two-bar piano introduction prior to the exposition of the vocal motif. The motif is presented untransposed in G minor in each of its statements, which is the key Wagner consistently chose to portray Gretchen, as seen in 'Melodram Gretchens' later. Although major and minor tonalities were often associated with male and female characteristics, Eva Rieger notes that Wagner tended to associate tonality with the emotions expressed in the text, rather than gender.<sup>709</sup> Each statement of the refrain reinforces Gretchen's plight in the poetry. Wagner's repetition of the spinning-wheel motif emphasises the inescapable cycle of unhappiness that is represented by this musical metaphor. The spinning-wheel motif also recurs outside of the refrain, an example of which can be found in bars 10–11. On this occasion, the motif marks the end of the second stanza by creating a perfect authentic cadence in the form of V13a–Ia.

The tonality in 'Meine Ruh' ist hin' is used for poetic progression and the sustenance of dramatic impetus. The second stanza is presented first in G minor but a transition into C minor on 'Grab' in bar 9 depicts Gretchen's decline. This is followed in bars 12–15 with a motif that is constructed via the embellishment of the dominant of G minor, which is approached and departed by its neighbour notes. The accompaniment sounds the same notes but it is only heard when the vocal melody is not being sung. This creates a dialogue between the vocal melody and the accompaniment which is effective in conveying Gretchen's turmoil and demonstrates obvious growth in the function of the accompaniment in comparison to the earlier settings in *Sieben Kompositionen zu Goethes Faust*. The four-bar embellishment of the dominant tone is indicative of what is to follow as a perfect cadence in the dominant key

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<sup>709</sup> Eva Rieger, *Richard Wagner's Women*, pp. 17–18.

occurs in bar 15. The fermata at the end of this bar creates an appropriate musical break that prepares the listener for the re-entry of the Gretchen melody in the tonic key of G minor. It is the fermata that divides the Lied into three succinct larger sections that are each initiated with the Gretchen motif. The middle section is characterised by Wagner's portrayal of Gretchen's trance-like state. The trance that Gretchen has fallen into is instigated by the tempo indication in bar 27 and is not broken until bar 35. The harmony that underpins the vocal melody has a specific function as it acts as a musical metaphor for the spinning-wheel. The trance commences in the context of G major but there is a shift into G minor in bar 32 as Gretchen begins to recall Faust's kiss. This stanza is portrayed with a level of harmonic expression that has not been seen in *Sieben Kompositionen* to date. A Neapolitan Sixth occurs on 'Händedruck' ['handshake'] in bar 33 before an Italian Sixth chord in the context of C in bar 34 anticipates the melodic climax and the culmination of Gretchen's trance. The Italian Sixth resolves to the dominant of C Major prior to a transition into G minor in bar 36 which marks the repeat of the refrain. This tonal trajectory of G major – C minor – G minor depicts the spinning-wheel with the harmonic rhythm extending to two chords per bar in almost every bar. This acceleration in the pace of harmonic rhythm aids the illustration of Gretchen's trance.

Given the 6/8 time signature of the piece, this results in a change in harmony on every accented beat. The fast harmonic rhythm combined with the acceleration in tempo draws the listener into the trance. This is exacerbated by the slower harmonic rhythm in the refrain at bars 36–41, where each chord has a span of a bar or more. As with the opening, the final section moves from G minor to C minor and back to G minor immediately before the piano introduction returns to conclude the Lied in bars 53–55. Although the form cannot be described as ternary form due to the many individual melodies, the harmonic framework of the opening and closing sections are identical. This structure is effective in portraying

Gretchen's emotions and shows that the musical framework is in itself a metaphor for the circular motion of the spinning wheel.

The structure of the vocal phrases is also of interest. Each vocal phrase begins on an upbeat – preserving the metric patterns provided by anapaests and iambs in the poetry – and Wagner chooses to accentuate the structural downbeat of each bar for further emphasis. An obvious example of this is the durational emphasis on 'Ruh' in bar 4. A further example is the minor third leap between bars 6–7 which is a notable registral accent within the context of a melody that has otherwise been ascending and descending by step. A final example is the sudden dynamic emphasis brought about with the *sforzando* in bar 8. These continual accentuations of the downbeat, combined with vocal phrases beginning on the upbeat, reinforce the poetic metre. The accentuation of the downbeat also has an important dramatic function: it highlights the movement of the spinning wheel while depicting Gretchen's uncontrollable emotions.

One of the ways in which Wagner illustrates this is by altering the phrase length to add to the accelerating and decelerating effect that is conveyed in this Lied. For the most part, the composer adheres to the four-bar phrase structure that is considered normative in the Lieder genre and deviates from this on two occasions. The first occurrence is at the melodic climax in bars 31–36 as the phrase is extended to emphasise the kiss. A fermata is placed on the final note of the phrase, leaving the exact duration open to the performer. The second phrase extension comes in the form of a phrase interpolation on 'vergehen' in bars 51 and 52. This is the final vocal phrase and the interpolation in conjunction with the tempo indication signifies that the song is drawing to its close. This is confirmed in the harmony as a pivot chord of I in C minor and IV in G minor facilitates a modulation onto the chord of I in G minor. The Lied is concluded with a perfect authentic cadence initiating the piano postlude.

#### 4.13.1 'Melodram Gretchens' op. 5 no. 7: poetic source

**Table 4.7: Goethe, *Faust I*, *Zwinger*, 'Melodram Gretchens', ll. 3587–3619**

<p><b>'Melodram Gretchens'</b>          Ach neige,          du Schmerzenreiche,          dein Antlitz gnädig meiner Not!</p>		<p><b>'Gretchen's Melodrama'</b><sup>710</sup>          O Virgin Mother, thou          Who art full of sorrows, bow          Thy face in mercy to my anguish now!</p>
<p>Das Schwert im Herzen,          mit tausend Schmerzen          blickst auf zu deines Sohnes Tod.</p>	3590	<p>O Lady standing by          Thy Son to watch Him die,          Thy heart is pierced to hear His bitter cry</p>
<p>Zum Vater blickst du,          und Seufzer schickst du          hinauf um sein' und deine Not.</p>	3595	<p>Seeking the Father there          Thy sighs rise through the air          From his death-agony, from thy despair.</p>
<p>Wer fühlet,          wie wühlet          der Schmerz mir im Gebein?          Was mein armes Herz hier banget,          was es zittert, was verlanget,          Weißt nur du, nur du allein!</p>	3600	<p>Who else can know          The pain that so          Burns in my bones like fire from hell?          How my wretched heart is bleeding,          What it's dreading, What it's needing,          Lady, only you can tell!</p>
<p>Wohin ich immer gehe,          wie weh', wie weh', wie wehe          wird mir im Busen hier!          Ich bin ach, kaum alleine!          ich wein', ich wein', ich weine,          das Herz zerbricht in mir.</p>	3605	<p>Wherever I go, Wherever,          It never stops, just never:          Oh how it hurts and aches!          When I'm alone, I'm crying,          I cry as if I'm dying,          I cry as my heart breaks.</p>
<p>Die Scherben vor meinem Fenster          betaut' ich mit Tränen, ach!          Als ich am frühen Morgen          dir diese Blumen brach.</p>	3610	<p>The flower-pots by my window          I watered with tears of dew          When in the early morning          I picked these flowers for you.</p>
<p>Schien hell in meine Kammer          die Sonne früh herauf,          saß ich in allem Jammer          in meinem Bett schon auf.</p>	3615	<p>The early sun was gleaming,          I sat up in my bed          My eyes already streaming          As the new dawn turned red.</p>
<p>Hilf! Rette mich von Schmach und Tod!          Ach neige,          du Schmerzenreiche,          dein Antlitz gnädig meiner Not!</p>		<p>Help! Save me from shame and death!– O thou          Who are full of sorrow, thou          Most holy virgin, bow          Thy face in mercy to my anguish now!</p>

'Melodram Gretchens' is derived from the *Zwinger* scene and the text for Wagner's Lied is most commonly known as Gretchen's Prayer to the Virgin (see Appendix (g) for a list of

<sup>710</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, pp. 114–115.



comparative settings). It is believed that Goethe initially intended for the prayer to lead into Gretchen's transfiguration into the Madonna, but Goethe ultimately decided against this as it would have proved controversial at the time.<sup>711</sup> Nevertheless, Goethe kept the soliloquy – it is pivotal in depicting her sense of helplessness and reinforces her spiritual being. Goethe depicts a distressed figure that is empathising with the plight of the Virgin Mary and seeking solace through prayer. The image of Mary's sighs rising through the air is indicative of Gretchen's helplessness at this point in the drama.<sup>712</sup> Hartmann describes this setting as a transformation of bourgeois tragedy into superhuman suffering, as Gretchen's expression of feelings – once again through aria-form – is parenthesised by the trope of the Mater Dolorosa.<sup>713</sup> Goethe uses imagery laden with references to the human senses – indicative of Romantic sensibility – to convey Gretchen's emotions. She speaks of burning bones, a breaking heart and her death ('Wer fühlet / wie wühlet / der Schmerz mir im Gebein?') ['Who else can know / The pain that so / Burns in my bones like fire from hell?'].<sup>714</sup> The flowers meant for Faust in stanza six conjure up scent as well as representing her religious devotion, as fresh flowers symbolise her faith as well as the femininity, fertility and purity that her dew-like tears threaten to overwhelm. In stanza seven, Gretchen notes the visual image of the sun and the effects of it ('Saß ich in allem Jammer / in meinem Bett schon auf.') ['My eyes already streaming / As the new dawn turned red'].<sup>715</sup> The sun is also a strong symbol, as its hopeful yellow glow turns to red, a warning sign that pre-empts her plea for help. Goethe brings images to life by relating them to our sensory perception and likewise, Gretchen identifies with her senses in her reminiscence of Faust.

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<sup>711</sup> Eudo C. Mason, *Goethe's Faust: Its Genesis and Purport*, p. 238.

<sup>712</sup> Johann Wolfgang Goethe, *Faust. Part One*, p. 114.

<sup>713</sup> Tina Hartmann, *Goethes Musiktheater*, p. 375.

<sup>714</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 114.

<sup>715</sup> *Ibid.*

Goethe structures the poetry in stanzas of varying line length – stanzas 1–3 are tercets, stanzas 4 and 5 are sestets and stanzas 6–8 are quatrains. The irregularity of stanza length and line length aids the portrayal of Gretchen's own chaotic emotional state as well as differentiating between her prayer to the Mater Dolorosa and the communication of her own feelings. Goethe uses short line-length to emphasise her plight in the opening stanzas and sound connections play an important role in conveying the notion that she has no control over her emotions. Depicting her state of mind is as important if not more important than her actual words. In stanza one, the entire stanza is brought together with the 'ei' diphthong ('Ach neige, / du Schmerzenreiche, / dein Antlitz gnädig meiner Not!') ['O Virgin Mother, thou / Who art full of sorrows, bow / Thy face in mercy to my anguish now!'].<sup>716</sup> The light sound of the 'ei' diphthong is appropriate for the expression of her femininity but in the second stanza, as her prayer evolves to include the Son as well, the darker 'au' diphthong is introduced.

Stress analysis shows how the poetic metre is irregular, but trimetric lines are apparent as Gretchen halts prayer and begins to internalise her despair (see Example 4.23).

**Example 4.23: Stress analysis of 'Melodram Gretchens', ll. 3608–3611**

\*                    \*                    \*

Die Scherben vor meinem Fenster

\*                    \*                    \*

Betaut' ich mit Tränen, ach!

\*                    \*                    \*

Als ich am frühen Morgen

\*                    \*                    \*

Dir diese Blumen brach

The first-person pronoun comes into use in the middle of stanza 5 as Gretchen begins to refer directly to her own personal situation in describing her emotions. Stanzas 6–8 see a change in stanzaic structure as quatrains are introduced but despite the difference in line length, unstressed syllables remain prevalent and end-rhymes continue to unify the lines of poetry as

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<sup>716</sup> Ibid.

the poet depicts another change of persona with Gretchen now concentrating on her surroundings with Goethe conjuring up a series of natural images. Stanza six and seven are permeated with light vowel sounds through both the 'ei' and 'ie' diphthongs although the darker 'au' diphthong is also present. In stanza eight, Gretchen cries out for help with anguish ('Hilf! Rette mich von Schmach und Tod!') ['Help! Save me from shame and death! – O thou!'].<sup>717</sup> The remaining lines of the stanza, ll. 3617–3619 are a repetition of stanza one, illustrating the cycle of Gretchen's emotions and reinforcing her willingness to rely on divine help at this stage of the drama.

#### **4.13.2 'Melodram Gretchens', op. 5 no. 7: musical setting**

There are obvious parallels that can be drawn between the 'Mater Dolorosa' – Our Lady of Sorrows – and Gretchen, but none more obvious than their shared fate. Gretchen and the Mater Dolorosa are presented to us as virginal figures and their transformation into maternal figures is accompanied with sorrow and grief. In the end, they suffer a similar tragic fate as they witness the death of their own child. In stanzas 1–3, Gretchen is pleading for divine intervention, recognizing that only the Mater Dolorosa can save her from shame and death. Goethe's structuring of these stanzas and the use of strict rhyme schemes is clearly derived from the thirteenth-century *Stabat Mater Dolorosa* hymn. In stanza four, the stanza structure is altered and the line length becomes increasingly irregular, acting as a poetic symbol for the dissolution of Gretchen's consciousness. The poetry is eventually unified when Gretchen's prayer acts as a refrain.

Gretchen's 'Prayer to the Virgin' and its metrical ambiguities and inconsistencies presents a particular challenge for Wagner as he sought to unify text and music. Wagner only provides one performance direction, *Nicht schnell, doch sehr bewegt* leaving the performer with great interpretive freedom. If 'Melodram Gretchens' was intended to be performed by his

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<sup>717</sup> Ibid., p. 115.

sister Rosalie, then he undoubtedly had confidence in her theatrical talents and on-stage experience to carry this melodrama. Wagner's confidence in his sister would have been merited – as Henry Finck notes, Rosalie Wagner was highly regarded and was occasionally preferred to Schröder-Devrient in roles.<sup>718</sup>

To embellish the text in 'Melodram Gretchens', Wagner uses a piano accompaniment which features rhythmic patterns that suitably capture the atmosphere of Gretchen's 'Prayer to the Virgin'. Rhythmic tension is established by the *tremolando* figure which persists up until bar 22, returning for the melodic climax (bars 43–45) and the piano postlude (bars 52–60). The return of the *tremolando* figure at pivotal moments of the song enables Wagner to clarify the logic of the text. Other prominent patterns are the use of octave leaps, which give the impression that the Lied is gathering pace (see Example 4.24) and the outlining of octaves with *staccato* in bars 33–38, which unifies the stanzas. The rhythm of the accompaniment sustains tension throughout but the rhythmic patterns Wagner uses are far from complex.

**Example 4.24: Wagner, 'Melodram Gretchens', bars 23–26**

Was mein armes Herz hier banget, was es zittert, was verlangt,  
weißt nur du, nur du allein!

<sup>718</sup> Henry T. Finck, *Wagner and his Works*, p. 7.

The relentless rhythms endorse the idea that Gretchen cannot envisage an end to her pain. These tense rhythms tend to feature in the left-hand accompaniment while the higher range of the right-hand accompaniment tends to provide harmonic grounding, aiding the enunciation of the text. Beyond the embellishment of the text and the creation of dramatic tension, the accompaniment also appears to be a metaphor for Gretchen's torment. Descending melodic movement, in bars 9–20, proves to be a feature of the Lied. In bars 21–26, however, the accompaniment's texture changes entirely to ascending melodic movement. The sudden change in melodic direction combines with the drastic change in accompaniment texture to highlight Gretchen's inner conflict. The persistence of the melodic movement indicates a lack of control over her emotions.

Wagner's chordal accompaniment and in particular, the use of block chords has the responsibility of establishing the regularity of the poetic metre in the absence of a set vocal line. Wagner uses a number of rhythmic devices to preserve the patterns in Goethe's poetry. Structural downbeats are utilised to establish heavier accentuation on particular words. In bars 9–10, agogic accents are used to convey the long syllables 'schmerz' and 'reich', which in turn emphasize Gretchen's plight. A clear deviation from a direct replication of Goethe's poetic patterns as a means of word painting takes place in bar 26. Chromatic octave leaps in bar 25 creates tonal ambiguity and the tension is only dissipated with the affirmation of the tonic on the initial downbeat of bar 26. Wagner places the iambic 'allein' on the upbeat and, as it is left unembellished by the right-hand accompaniment, it is a surprising and bare depiction of Gretchen's isolation. This sense of isolation is heightened with a #IVdim7 chord outlined in the left-hand accompaniment. In bars 28 and 31, Wagner creates musical sighs in the right-hand accompaniment while the lower rhythmic system outlines octaves which accentuates these sighs and cause rhythmic ambiguity (see Example 4.25).

**Example 4.25: Wagner, 'Melodram Gretchens', bars 27–31**

Wohin ich immer gehe, wie weh', wie weh', wie wehe wird mir  
im Busen hier! Ich bin ach kaum alleine, ich wein', ich wein', ich weine,

These musical sighs coincide with repetition in Goethe's text ('wie weh' wie weh' wie wehe') ['how sad, how sad, how sad']. The repetition, alliteration and the 'ie' diphthong captures the inescapable cycle of Gretchen's pain in Goethe's poetry. Similarly, Wagner captures this sentiment through rhythmic repetition when these light vowel sounds are heard. The placement of the text indicates that this is a deliberate device, as the musical sighs unify the text.

The most unusual and striking example of text setting in 'Melodram Gretchens', however, occurs in the melodic climax. A *crescendo* in bar 41 leads into an abrupt and rather unusual modulation to F minor in bar 42, which has a startling and unsettling effect on the Lied. The *tremolando* figuration re-establishes G minor in bar 43 but this leads only to a brief period of tonal instability as an anti-climactic Bdim7 chord conveys 'Tod' ('death') in bar 45 – a chord which has no relevance whatsoever to the tonal structure of the Lied. The diminished seventh chord is a feature of 'Melodram Gretchens' and this unorthodox use of a diminished seventh chord shows Wagner's willingness to use tonality to portray textual meaning and heighten the dramatic effect.

#### 4.14 The reception history of *Sieben Kompositionen zu Goethes Faust*

The Wagner who began setting *Faust* to music in 1831 would have been a different composer to the one who revised his settings in 1832. In the intervening period, Wagner received counterpoint lessons from Theodor Weinlig, the cantor of the Thomasschule in Leipzig – a post formerly held by Johann Sebastian Bach (1685–1750).<sup>719</sup> Weinlig felt he had taught Wagner everything he could before Wagner embarked on revising the *Faust* settings in 1832.<sup>720</sup> Wagner's musical capability is not always apparent in the final version of his *Faust* settings, however, as parallel fifths and poor voice-leading (bar 12) in 'Meine Ruh ist hin' suggest.<sup>721</sup> This author would suggest that Wagner may have failed to revise this particular setting properly in returning to the songs a year after their initial composition.

Some scholars and critics have, however, argued in favour of the value of Wagner's *Faust* song settings. Martin Gregor-Dellin believes that the songs are influenced by Schubert<sup>722</sup> although there is no documentary evidence to suggest Wagner was aware of Schubert's *Faust* settings. Gregor-Dellin notes that 'Soldatenchor' holds its own among other male voice choir works of the time and believes 'Branders Lied' is 'dramatically and structurally compact'.<sup>723</sup> In Paul Bekker's opinion, there is an 'unforced simplicity of the way the music illustrates pictorial images', and Werner Breig observes the use of dotted rhythms as a means of text declamation – a technique that was advanced and later became a feature of *Der fliegende Holländer*.<sup>724</sup> Even in an early, formative excursion such as the *Faust* songs, there is a glimpse of the canonical composer that was to emerge.

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<sup>719</sup> Richard Wagner, *Selected Letters of Richard Wagner*, trans. and ed. Barry Millington and Stewart Spencer, p. 19.

<sup>720</sup> Ibid.

<sup>721</sup> Werner Breig, 'The Musical Works' in *Wagner Handbook*, ed. Ulrich Müller and Peter Wapnewski, trans and ed. John Deathridge (Massachusetts: Harvard University Press, 1992), p. 401.

<sup>722</sup> Martin Gregor-Dellin, *Richard Wagner: His Life, His Work, His Century*, trans J. Maxwell Brownjohn (London: William Collins, 1983), p. 48.

<sup>723</sup> Ibid., p. 49.

<sup>724</sup> Werner Breig, 'The Musical Works' in *Wagner Handbook*, pp. 400–401.

Derek Watson believes Wagner's *Faust* settings show less debt to classical models than other compositions that Wagner had completed around this time, and attributes this development to the inspirational value of Goethe's poetry.<sup>725</sup> This is an interesting observation as Wagner's *Sieben Kompositionen zu Goethes Faust* are among the composer's earliest surviving works, and these settings are the earliest surviving works of Wagner to have been based on an existing literary text. This author would, however, challenge Watson's claim and suggest Weinlig's tutelage has allowed Wagner to express himself more clearly in *Sieben Kompositionen zu Goethes Faust* than his musical education had previously enabled him. Barry Millington notes the general rudimentary nature of the piano accompaniment in Wagner's *Faust* songs, but singles out 'Melodram Gretchens' for the tremolo figures in the piano accompaniment and the tension it serves to create.<sup>726</sup> It is worth noting, however, that the Gretchen settings require more from the accompaniment than the simple folksongs heard earlier in *Sieben Kompositionen* and as might be expected, Wagner enhances the role of the piano accompaniment as and when the text demands him to do so. Dieter Borchmeyer describes the settings as 'immature and unimpressive pieces'.<sup>727</sup> This author would concur that Wagner's *Faust* settings are evidently youthful if considered in the context of his other compositions, yet – as the forthcoming chapter shall illustrate – they are not out of place among the *Faust* settings of his contemporaries.

#### **4.15 *Sieben Kompositionen zu Goethes Faust*: An unpublished *Faust* song set**

Wagner's *Faust* settings were opportunistic – the composer used a commission from his sister Rosalie to compose incidental music for Goethe's *Faust* in the knowledge that she was performing as Gretchen on stage in Leipzig. Knowing that the intention behind these songs was to showcase Rosalie – and by extension, Wagner – it is worth considering the function of

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<sup>725</sup> Derek Watson, *Richard Wagner*, p. 28.

<sup>726</sup> Barry Millington, *Wagner*, p. 285.

<sup>727</sup> Dieter Borchmeyer, *Richard Wagner: Theory and Theatre*, p. 40.



these settings beyond their role in a production. It seems unlikely that *Sieben Komposition zu Goethes Faust* were intended to function as a song cycle in the traditional sense as the inclusion of choruses for the songs from *Vor Dem Thor* would present a challenge in performance. There are, however, two curiosities which would suggest Wagner at least intended settings of *Sieben Kompositionen zu Goethes Faust* to be performed consecutively on stage. The first is Wagner's ordering of the songs. Mephistopheles' serenade takes place after the Gretchen songs in Goethe's *Faust*, but Wagner aligns his 'Lied der Mephistopheles II' to immediately follow Mephistopheles' 'Song of the Flea' and lead into the Gretchen settings. This disregard for the chronology of Goethe's drama in favour of structuring the songs according to their subject matter suggests Wagner may have desired the Gretchen songs to be isolated from the set for the purpose of performance. The second peculiarity is the absence of 'Der König in Thule' from the seven settings, given its popularity among nineteenth-century composers. Bunke notes that the version of *Faust* performed on stage in Leipzig was moderated with many songs removed and speculates that this may have affected Wagner's choice of settings.<sup>728</sup> This author would challenge Bunke's perspective and argue that that logic does not preclude Wagner from setting 'Der König in Thule', but merely from including the setting in *Sieben Kompositionen zu Goethes Faust* if his intention was for the songs to be used in a stage production in Leipzig – which there is no evidence of being the case. One could argue that if Wagner was willing to deviate from the structure of Goethe's drama in putting together *Sieben Kompositionen zu Goethes Faust*, he would have been capable of omitting 'Der König in Thule' from the song set.

An examination of the logic to Wagner's *Faust* settings (see Table 4.8) provides further clarification as to why 'Der König in Thule' was not included.

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<sup>728</sup> Carolin Bunke, *Zur Faust-Rezeption in der Musik des 19. Jahrhunderts*, p. 249.

**Table 4.8: Tonal structure of Wagner's *Sieben Kompositionen zu Goethes Faust***

<b>Setting</b>	<b>Tonality</b>
'Lied der Soldaten'	B flat major
'Bauern unter der Linden'	F major
'Branders Lied'	D major
'Lied der Mephistopheles I'	G major
'Lied der Mephistopheles II'	E minor
'Meine Ruh' ist hin'	G minor
'Melodram Gretchens'	G minor

Wagner was concerned only with the culmination of the Gretchen tragedy and he associated Gretchen with the key of G minor. It seems clear from the tonal design of *Sieben Kompositionen zu Goethes Faust* that Wagner intended to represent Gretchen – her journey from the perceived perfection of Christian society as depicted in the Easter Morning scene ('Lied der Soldaten' in B flat major and 'Bauern unter der Linden' in the dominant F major) to her soliloquy at the spinning wheel and her prayer for divine intervention in *Zwinger* ('Meine Ruh' ist hin' and 'Melodram Gretchens' in G minor). Mephistopheles is associated with Gretchen through the parallel major (G major) and its relative minor (E minor). The suggestion here is that while they both find a place in the Christian faith, Gretchen is the personification of good and Mephistopheles the personification of evil. 'Branders Lied' (D major) is the setting that unifies Wagner's *Faust* settings in associating Mephistopheles with Christian society through a mediant key relationship to the settings from *Vor dem Thor*, and a dominant key relationship with Mephistopheles 'Song of the Flea' in *Auerbachs Keller in Leipzig*.

Bunke believes it is only in the Gretchen settings that Wagner comes close to capturing the emotional depth of Goethe's text and that he is inconsistent in conveying poetic meaning – he manages to do so successfully in 'Branders Lied' but fails in 'Lied der Mephistopheles II'.<sup>729</sup> That observation is typical of Wagnerian scholarship to date where the merits of Wagner's *Faust* settings have been assessed in relation to the composer's musicality at a youthful stage in his career – as evidenced by the commentary provided in the previous section of this dissertation. Wagner would not have lacked the ability to set *Faust* to song, and he must have had a solid understanding of Goethe's *Faust* prior to setting the text as he came from a literary family. Consideration should therefore be given to the chronology and logic of Wagner's *Faust* settings – the progression from the simplicity of Christian life in the initial settings to the emotional complexity of Gretchen in later scenes – as approaching *Sieben Kompositionen zu Goethes Faust* from that perspective underscores Wagner's ability to comprehend and subsequently portray the intentions of Goethe's poetry. In 'Lied der Soldaten' – the first of the seven settings – the vocal melodies are repetitive, the accompaniment serves only to provide harmonic support and the harmony itself is restricted to tonic, subdominant and dominant chords. In 'Melodram Gretchens' – the last of the seven settings – the speaker is given freedom of expression, the piano accompaniment is independent of the vocal line and dominant seventh chords are a feature of the harmony. This apparent evolution of text setting approach from within the *Faust* songs shows that a teenage Wagner with significant ambition did not lack the musical capability to write songs which conveyed the poetic meaning of Goethe's text but rather kept certain settings simplistic – in keeping with the character of the texts – distinguishing the Gretchen settings that were to follow.

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<sup>729</sup> Ibid., pp. 260–261.

*Faust* song-cycles and song collections were published regularly during the 1830s but Wagner's song set *Sieben Kompositionen zu Goethes Faust* is a notable exception, going unpublished in the composer's lifetime. It cannot be on account of his youth that these *Faust* settings went unpublished as Schubert, Berlioz and Verdi had their *Faust* songs published at a young age, and there is enough in Wagner's settings for them to merit publication. The most plausible explanation for their unpublished status lies in Wagner's own desire to gain recognition as a composer of opera. Prior to embarking on his *Faust* settings, Wagner had written his own libretto in an attempt to compose an opera based on Goethe's *Die Laune des Verliebten*, but he could not realise that ambition as he was not yet capable of writing the music for an opera. Having concluded lessons with Theodor Weinlig in 1832, Wagner set about writing another opera – *Die Hochzeit* – but he destroyed the score when his sister Rosalie expressed her displeasure with the content of the libretto. Wagner was soon to begin his next opera *Die Feen* and, as discussed earlier in the dissertation, it contains a quotation from Wagner's 'Melodram Gretchens'. A similar pattern can be observed in later song settings. Wagner's *Wesendonck Lieder* (1857–1858) were adapted for Wagner's *Tristan und Isolde* (1865), which the composer was writing at the same time as his song settings. Wagner's songs, therefore, can be viewed as small-scale explorations of large-scale ideas. The re-use of material in Wagner's *Faust* settings for later operas indicates the composer's preference for opera over song, and the existence of Wagner's *Faust Overture* suggests Wagner held an ambition to set *Faust* on a larger scale than exhibited in *Sieben Kompositionen zu Goethes Faust*. Once Wagner had composed the *Faust Overture* and established himself as a composer of opera with self-written libretti through *The Flying Dutchman*, there would have been no reason for Wagner to seek the publication of his early *Faust* song settings.

#### 4.16 Wagner's *Eine Faust Ouvertüre*

Wagner composed *Eine Faust Ouvertüre* in Paris during the winter of 1839–1840, eight years after Wagner's *Faust* song settings. It is believed that Wagner intended for the work to become a symphony before eventually converting the work into a concert overture in 1855. Although letters to Meyerbeer, Kittl and Liszt during the 1840s refer to the work as an overture, it is likely that Wagner presented his work to them as an independent composition in order to enhance his publication prospects.<sup>730</sup> Wagner had asked for the first version of his *Faust Overture* to be rehearsed and performed in a concert at the Paris Conservatoire but this failed to materialise, with the directors deciding that the work was too mysterious in its nature.<sup>731</sup> Following this rejection, Wagner claimed that he was worried that the quiet ending to the overture would not be received well by a Parisien audience anyway, concluding that they had no understanding of music that was derived from German poetry and philosophy. When afforded the opportunity to have the orchestra rehearse one of his works, Wagner opted for the *Columbus* overture due to his concerns over the possible reception of the *Faust Overture* and his low opinion of the orchestra at the Conservatoire.<sup>732</sup>

The original *Faust Overture* – the manuscript for which has since been lost – was first performed when Wagner returned to Germany and with a slightly revised score, this took place at the Grossen Garten in Dresden on 22 July 1844.<sup>733</sup> It was received poorly by both the audience and critics.<sup>734</sup> Despite this, Wagner's friend August Roeckel believed there was a minority of critics, including himself, that felt the composition was comparable to Beethoven's greatest works.<sup>735</sup> Although there were some who supported the original work,

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<sup>730</sup> Barry Millington, *Wagner* (Oxford: Oxford University Press, 2000), p. 276.

<sup>731</sup> Ernest Newman, *The Life of Richard Wagner Volume I* (Cambridge: Cambridge University Press, 1976), pp. 321–322.

<sup>732</sup> *Ibid.*

<sup>733</sup> *Ibid.*, pp. 425–426.

<sup>734</sup> Henry T. Finck, *Wagner and his Works: The Story of His Life with Critical Comments* (New York: Charles Scribner's Sons, 1904).

p. 413.

<sup>735</sup> *Ibid.*

Wagner put it on the back burner for a number of years following a second performance later in 1844. The composition was later conducted in 1852 by Franz Liszt at Weimar, where the performance was said to have been a success.<sup>736</sup> Wagner sanctioned the performance as he knew Liszt was to be the conductor and understood that the performance could prove crucial in the sale of the work to publishers Breitkopf & Hartel.<sup>737</sup> He asked Liszt to propose revisions for publication and the composer responded with the suggestion of a Gretchen melody.<sup>738</sup> Wagner welcomed the suggestion and agreed with Liszt, noting in his reply that he intended to write a second movement which would serve as a characterisation of Gretchen, but that he would prefer to keep the movement concentrated on Goethe's protagonist rather than accommodate a Gretchen movement, as this would detract from his opera *Der fliegende Holländer*.<sup>739</sup> He originally named the Faust movement 'Faust in der Einsamkeit' ('Faust, in Solitude') but now realising that he would not finish the planned symphony, he revised the work and retitled it *Eine Faust Ouvertüre* ('A Faust Overture') in 1855. Borchmeyer notes Wagner's use of the indefinite article to refer to the work, which suggests that Wagner wanted the overture to be considered as a musical interpretation of Goethe's *Faust* as opposed to a definitive musical realisation of Goethe's *Faust*.<sup>740</sup>

Barry Millington notes that Wagner's *Faust Overture* is the first of his instrumental works to have been performed regularly in concert programmes and that Wagner still regarded the composition highly in later life.<sup>741</sup> Wagner's correspondence with Hans von Bülow would suggest, however, that its passage into concert programme repertory was far from smooth. In a letter to Wagner written on 24 December 1855, von Bülow informs Wagner that Julius Stern (1820–1883) could not understand the composition and therefore

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<sup>736</sup> Ronald Taylor, *Franz Liszt: The Man and the Musician* (London: Grafton, 1986), p. 121.

<sup>737</sup> *Ibid.*

<sup>738</sup> Richard Wagner, *Selected Letters of Richard Wagner* trans. and ed. Barry Millington and Stewart Spencer (London: Dent & Sons, 1987), p. 272.

<sup>739</sup> *Ibid.*

<sup>740</sup> Dieter Borchmeyer, *Richard Wagner: Theory and Theatre*, p. 40.

<sup>741</sup> Barry Millington, *Wagner*, p. 275.

decided against conducting it, leaving von Bülow to take over.<sup>742</sup> von Bülow proceeds to express his apprehension of conducting the work in the wake of the orchestra, conductor and public making 'fools of themselves' in Leipzig and Cologne.<sup>743</sup> Evidently, the character sketch nature of the *Faust Overture* was proving problematic for composer, conductor, orchestra and audience alike.

One of the continuing debates on the *Faust Overture* is understanding Wagner's true intentions with the composition and whether his decision to revise the work into a concert overture is reflective of a change in his perception. Köhler believes the most plausible theory for Wagner's revision of the *Faust* movement is that the composer believed that a symphonic realisation of the *Faust* myth would prove inappropriate and that an overture would be better suited to a musical realisation of Goethe's text.<sup>744</sup> Deciphering the programmatic approach from the 1855 version of the *Faust Overture* has proven to be a troublesome task. In a letter to Theodor Uhlig in 1852, Wagner admitted that not only had he planned to write a second movement based on Gretchen, but that he had 'already found the right theme and atmosphere but then I gave it all up and – true to character – started work on the *Flying Dutchman*.'<sup>745</sup> During his correspondence with Liszt, Wagner also stated that he could only facilitate a Gretchen motif if he rewrote the composition entirely.<sup>746</sup> It is clear that Wagner's correspondence with Liszt as well as the latter's decision to set *Faust* to music had a significant bearing on Wagner's decision to revise the overture. Wagner learned of Liszt's *Faust* Symphony in January 1855 and two weeks later, he had finished revising his own movement. Wagner confessed to Liszt that he revised the movement to develop and broaden the portrayal of Faust, and Wagner admitted to his friend that the overture would prove

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<sup>742</sup> Richard Wagner, *Letters of Richard Wagner: The Burrell Collection* ed. John N. Burk (London: Gollancz, 1951), p. 503.

<sup>743</sup> *Ibid.*, p. 504.

<sup>744</sup> Joachim Köhler, *Richard Wagner: The Last of the Titans*, p. 43.

<sup>745</sup> Klaus Kropfingier, *Wagner and Beethoven: Richard Wagner's Reception of Beethoven*, p. 182.

<sup>746</sup> Ronald Taylor, *Franz Liszt: The Man and the Musician*, p. 121.

inferior to Liszt's *Faust Symphony*.<sup>747</sup> This version of the composition was first performed on 23 January 1855, but Wagner came to regret making the work public soon after and consequently, it took him until 1878 to allow the work to be published.<sup>748</sup> Glenn Stanley notes, however, that Wagner did continue to perform the overture in the 1860s and 1870s, suggesting that the overture was 'too meaningful for him to relinquish; Goethe and *Faust* retained a life-long significance for his art and his thought.'<sup>749</sup>

The *Faust Overture* is indicative of the difficulties Wagner had in setting Goethe's poetry to music. In a lecture to the Wagner Society entitled 'Where is Wagner's Faust', Irmgard Wagner argued that Wagner was unnerved by similarities he observed between his own life and that of Goethe's text and therefore became increasingly afraid of working on the *Faust* symphony.<sup>750</sup> It did not help that Wagner struggled to set *Faust* to music, but realising *Faust* on a large-scale design was rendered impossible when the composer chose to focus his energies into *Der fliegende Holländer*. In truth, Wagner had already concluded that the symphony in its present form was a dead musical form, as he had declared Beethoven's Ninth to be the last symphony in 1850.<sup>751</sup> Kropfingher argues that Wagner's decision to reject Liszt's suggestion of including a Gretchen theme demonstrates the composer's lack of interest in developing the symphonic genre; instead, it indicates the importance of musico-dramatic considerations and Wagner's desire to move away from large-scale instrumental works.<sup>752</sup> *Trauermusik* was the only orchestral work of Wagner's, other than the *Faust Overture*, to have been performed in the years between 1841 and 1855.<sup>753</sup> In fact, apart from the private

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<sup>747</sup> Derek Watson, *Richard Wagner*, p. 139.

<sup>748</sup> John Deathridge, *Wagner: Beyond Good and Evil* (California: University of California Press, 2008), p. 192.

<sup>749</sup> Glenn Stanley in Lorraine Byrne Bodley (ed.), *Music in Goethe's Faust: Goethe's Faust in Music*, p. 163.

<sup>750</sup> *Ibid.*

<sup>751</sup> *Ibid.*

<sup>752</sup> Klaus Kropfingher, *Wagner and Beethoven: Richard Wagner's Reception of Beethoven*, p. 182.

<sup>753</sup> Egon Voss in Richard Wagner, 'Orchesterwerke II', *Sämtliche Werke* (Mainz: Schott, 1995), VIII.



*Siegfried Idyll* and the occasional Imperial March and American Centennial March, the *Faust Overture* is Wagner's only mature orchestral work.<sup>754</sup>

According to Egon Voss, the *Faust Overture* is noteworthy as it indicates a stylistic change in Wagner's overtures as the brash effects that characterised the *Columbus*, *Polonia* and *Rule Britannia* overtures had no place in his *Faust Overture*.<sup>755</sup> After 1841, Wagner decided to destroy the autograph scores of *Columbus*, *Polonia* and *Rule Britannia* and retained none of the performance material.<sup>756</sup> He did, however, keep his autograph copy of the first movement of the *Faust Symphony*.<sup>757</sup> Ronald Taylor believes that the *Faust Overture* is an expression of the 'titanic dynamism of men like Goethe, Shakespeare, Beethoven – and Faust' – and that Wagner sought to retain that grand element despite carrying out extensive revisions to the overture between 1840 and 1855.<sup>758</sup> The most significant revision to the original movement is the creation of a new ending, but by the composer's own admission, the vast majority of revisions were on instrumentation, which supports the argument that Wagner was taking a new approach to the programmatic overture.<sup>759</sup>

Gutman argues that Wagner was influenced by Berlioz's aesthetics and techniques when writing the *Faust Overture*.<sup>760</sup> He notes similarities between Wagner's characterisation of Faust and Berlioz's portrayal of the despondent artist in the *Fantastique*, but claims Wagner differs from Berlioz in granting Faust optimistic motivic material.<sup>761</sup> Millington believes the overture was influenced by Berlioz's *Roméo et Juliette* as Wagner attended its première in November 1839 – and there is no evidence to suggest Wagner heard Beethoven's

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<sup>754</sup> Thomas S. Grey, *The Cambridge Companion to Wagner* (Cambridge: Cambridge University Press, 2008), pp. 120–121.

<sup>755</sup> Egon Voss, 'Orchesterwerke II', VIII.

<sup>756</sup> *Ibid.*

<sup>757</sup> *Ibid.*

<sup>758</sup> Ronald Taylor, *Franz Liszt: The Man and the Musician*, p. 121.

<sup>759</sup> Egon Voss, 'Orchesterwerke II', VIII.

<sup>760</sup> Robert W. Gutman, *The Man, His Mind and His Music*, p. 151.

<sup>761</sup> *Ibid.*

Ninth in rehearsal as he claimed in *Mein Leben*.<sup>762</sup> In addition to this, Wagner did not relay the influence of Beethoven's Ninth on the Faust Overture in either his *Autobiographical Sketch* or *A Communication to my Friends*.<sup>763</sup>

The *Faust Overture* is in the key of D minor – the same key as *Der fliegende Holländer*, but in the same way that Vanderdecken is redeemed through the parallel major of D major, Faust's redemption is suggested in the presentation of a theme in D major.<sup>764</sup> D minor is also the same key as *Beethoven's* Ninth – an obvious comparison to make given Wagner drew parallels between Beethoven's Ninth and Goethe's *Faust*. Beethoven's influence extends beyond the choice of key – in bars 73–80 of the *Faust Overture*, Wagner echoes the first phrase of the main theme in the opening movement of Beethoven's Ninth while bars 52–56 of the *Faust Overture* are reminiscent of bars 13–19 of *Coriolan Overture*.<sup>765</sup>

John Deathridge has noted that the motif for Senta, Wagner's female heroine in *Der fliegende Holländer*, appears to have been derived from Wagner's sketch for the proposed second movement dating back to the winter of 1839–40 (See Example 4.26).

**Example 4.26: Wagner's Gretchen Sketch, c1839–40**<sup>766</sup>



The motif that eventually came to represent Senta is set in G minor – the same key signature that Wagner used for his Gretchen songs, influenced perhaps by Hector Berlioz who had previously used the same key to portray Gretchen in his *Huit scènes de Faust*. Although

<sup>762</sup> Barry Millington, *Wagner*, p. 276.

<sup>763</sup> *Ibid.*, p. 277.

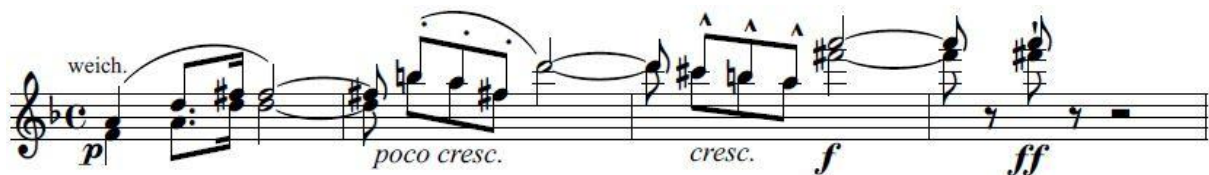
<sup>764</sup> Robert W. Gutman, *The Man, His Mind and His Music*, p. 151.

<sup>765</sup> Klaus Kropfinger, *Wagner and Beethoven: Richard Wagner's Reception of Beethoven*, p. 180.

<sup>766</sup> John Deathridge, *Wagner: Beyond Good and Evil*, p. 26.

Gretchen is not depicted in the 1855 version of the *Faust Overture*, Wagner explained that the 'feminine element is present before his mind's eye as the image of yearning, but not in its divine reality.'<sup>767</sup> Eva Rieger has argued that Wagner uses musical intervals to create gestures that portray certain emotions in his compositions, and that lingering on the leading tone is a device to convey yearning.<sup>768</sup> In bars 19–22 of the *Faust Overture*, the melody in the flutes is reminiscent of Wagner's Gretchen sketch and Wagner lingers on the leading note of G minor, but does not move to the key associated with Gretchen – heightening the sense of Faust's yearning (see Example 4.27).

**Example 4.27: Wagner, *Eine Faust Ouvertüre*, bars 19–22**



In bar 21, there is a partial retrograde of the melody that is found in bar 3 of the Gretchen sketch and the general melodic similarity between this theme and the Gretchen sketch is surely not a coincidence. The correlation would suggest disappointment that Faust's yearning has not been met with the desired conclusion.

Robert Jacobs believes Wagner's *Faust Overture* illustrated that the symphony could be adapted for Romantic sensibility, but that the end result is an overture which has unbalanced thematic working out and contains too much of a reliance on the diminished seventh interval.<sup>769</sup> This could be attributed to the fact that Wagner composed the work in 1839–40 then revised the overture in 1855 when his theories and aesthetics of music and text setting were developed. Jonathan Kregor recognises that the final version of the *Faust*

<sup>767</sup> Richard Wagner, *Selected Letters of Richard Wagner*, trans. and ed. Barry Millington and Stewart Spencer, p. 272.

<sup>768</sup> Eva Rieger, *Richard Wagner's Women*, pp. 10–11.

<sup>769</sup> Robert L. Jacobs, *Wagner* (London: J.M. Dent, 1974), p. 136.

*Overture* portrays both stages of Wagner's musical development, but argues that this is fitting from a programmatic perspective as it reconciles Faust's classicism with his modernity.<sup>770</sup> In the years between the planned *Faust* symphony and the *Faust Overture*, the theme of redemption had become an obsession for Wagner, a theme which he had been introduced to in *Die Welt als Wille und Vorstellung* (1818) by Arthur Schopenhauer (1788–1860) in 1854.<sup>771</sup> Kregor attributes the influence of Schopenhauer on Wagner as the principal reason why Faust's redemption in the *Faust Overture* is a suggestion as opposed to a concrete theme.<sup>772</sup>

The *Faust Ouvertüre* of 1855 stands as Richard Wagner's final *Faust* work, bringing an end to the musical portrayal of Johann Wolfgang von Goethe's iconic text that Wagner spent over 25 years trying to perfect and a portrayal that, by the composer's own admission, fell short of his own expectations. It is the pinnacle of his *Faust* compositions, and yet it is not perceived as being on the same musical level as Wagner's canonical operatic works. Arguably, this is a scenario that Wagner eventually desired, as establishing himself as a composer of opera rather than orchestral music enabled him to disassociate himself from Goethe and thus enhance his own legacy.

#### **4.17 Conclusion: Wagner's engagement with Goethe's *Faust* and the relationship between text and music in Wagner's *Faust* songs**

There are three core figures from both the literary and musical sphere that influenced Wagner's formative works – Shakespeare, Beethoven and Goethe – but the latter's influence on Wagner has not received the recognition to the extent that it merits. The neglect of Goethe's influence on Wagner can largely be attributed to the composer's underplaying of his engagement with Goethe in his writings. Wagner's *Autobiographical Sketch* would have been

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<sup>770</sup> Jonathan Kregor, *Program Music* (Cambridge: Cambridge University Press, 2015), p. 173.

<sup>771</sup> Ibid.

<sup>772</sup> Ibid.

written under the aesthetic principles of *Jung-Deutschland*, and as they objected to Goethean classicism, their agenda would have prevented Wagner from making the Goethean influence known. There is an additional element, however, of Wagner distancing himself from Goethe and *Faust* to enhance his own legacy by presenting himself as the heir to Beethoven, and his operas as artistic successors to Beethoven's Ninth Symphony. In acknowledging Beethoven's Ninth as the pinnacle of nineteenth-century music and the composition that marked the end of symphonic form, Wagner devalued his own *Faust* settings as his *Faust Overture* – the culmination of his engagement with *Faust* – was an abandoned symphony. In Wagner's own construction of his legacy, where Beethoven's Ninth inspires Wagner and is central to his artistic development, there is no room for his experimentation with the Lied and the symphony.

There is, however, a place for Goethe's *Faust* in Wagner's narrative as his programme notes to Beethoven's Ninth codifies. Wagner's engagement with Goethe's *Faust* was a lifelong endeavour, beginning with his introduction to the text by his uncle Adolf and ending in his obsession with *Faust* – in particular *Faust II* – in the final years of his life. Wagner's association of Beethoven's Ninth with Goethe's *Faust* in the programme notes to the symphony and his proclamation that they are the two artistic achievements Germany should be proud of are born from the influence Goethe's *Faust* had on Wagner's music. The influence of Goethe's *Faust* on Wagner is most keenly felt, however, in the Wagnerian heroine, of which Goethe's Gretchen is the prototype. Wagner quotes 'Melodram Gretchens' in his 1834 opera *Die Feen*, illustrating the influence of Goethe and *Faust* on his portrayal of the theme of love and this influence can be seen 42 years later in *Götterdämmerung* when Wagner draws inspiration from Goethe's *Eternal Feminine* for the glorification of Brünnhilde. In Cosima's diaries, we find Wagner regarded Goethe's *Faust* as the literary equivalent of Beethoven's Ninth; it may not be evident from the study of his writings, but the

study of Wagner's music suggests the influence Goethe had on his formative musical works is on par with Shakespeare and Beethoven.

Stress analysis and the analysis of the vocal rhythms in Wagner's settings of Goethe's *Faust* exhibit many traits associated with BRD-conformance. Stresses in Goethe's poetry are almost always met with durational or registral accents in Wagner's vocal melodies, caesuras are often adhered to with musical silences and stresses are usually equidistant. Wagner does, however, deviate from the metric patterns of Goethe's setting to illustrate textual meaning – and this becomes increasingly apparent as *Sieben Kompositionen zu Goethes Faust* progresses. There is the phrase interpolation on 'Kathrinchen' in 'Lied der Mephistopheles II' to convey Mephisto's attempts to lure Gretchen to her door as well as the interpolation in 'Meine Ruh ist hin' which portrays the climactic moment of Gretchen recalling Faust's kiss. The most radical departure from Goethe's poetic intentions occurs in 'Melodram Gretchens', however, where Wagner affords the performer – intended to be his sister Rosalie – complete freedom over the declamation of the text. It is evident that Wagner has reverence for Goethe's poetry – his classicist approach to settings from *Vor dem Thor* respect the *Volkslied* tradition from which the texts are derived – but the repetition of certain poetic lines and the decision to discard the chronology of Goethe's *Faust* in ordering the songs of *Sieben Kompositionen zu Goethes Faust* proves that Wagner is not prepared to simply mimic Goethe's poetry in setting *Faust* to music. Wagner's occasional deviations from the BRD are always in response to the poetry and qualify as attempts to augment our understanding of the text and this, in turn, suggests that the musical rhythm was being emancipated from the poetic rhythm in the 1830s, although it was a measured development.

Analysis of the tonal trajectory of each Lied reveals standard interchanges of tonality, transitions and modulations in *Sieben Kompositionen zu Goethes Faust*. It is worth noting, however, that there is an increase in harmonic complexity – corresponding to the function of

the piano accompaniment – as the song set progresses, which this author would deem to be Wagner's musical response to the evolution in the intricacies of the text as Goethe's drama advances. The harmony presented in 'Lied der Soldaten' and 'Bauern unter der Linden' revolves almost exclusively around tonic, subdominant and dominant chords while the accompaniment is not concerned with much more than providing harmonic support and the doubling of the vocal line. Chromaticism is first introduced in 'Bauern unter der Linden' as a descending chromatic passage conveys the warning issued by the village girl and this musical gesture is reiterated in 'Lied der Mephistopheles II' to convey Mephisto's warning to Gretchen. Chromaticism also has a part to play in the accompaniment of 'Branders Lied' as diminished seventh and augmented sixth chords emphasise the misfortune of the ill-fated rat. The role of the accompaniment is subsequently enhanced in 'Lied der Mephistopheles I' as a triplet motif is assigned to the depiction of the flea. It is in the Gretchen settings, however, that the role of both accompaniment and tonality is elevated to new heights. In 'Meine Ruh ist hin', the accompaniment is tasked with illustrating the motion of the spinning-wheel and conveying the transformation of Gretchen's consciousness – which is achieved through changes in accompaniment texture – while chromaticism combines with frequent transitions between keys to portray Gretchen's trance-like state. The accompaniment is even more distinguished in 'Melodram Gretchens' as *tremolando* figuration generates rhythmic tension throughout. As for the harmonic function, the use of an unconventional diminished seventh chord – which bears no relation to the overarching tonal design of 'Melodram Gretchens' – to represent Gretchen's death indicates both the pinnacle of Goethe's *Faust* text and Wagner's harmonic exploits.

There are two extremes to be observed in Wagner's *Faust* settings – there are songs which relate more closely with a classicist approach to text setting ('Lied der Soldaten' and 'Bauern unter der Linden') and then there are the Gretchen settings which are ostensibly more

ambitious. The 'flaws' in these teenage years have been attributed to Wagner's lack of music education, but these settings were revised after Wagner's studies with Weinlig. Wagner's *Faust* songs are among the composer's earliest surviving works and the analysis of word-music relations in these settings offers additional insight into Wagner's formative excursions as a composer and dramatist. They are also among the first song settings to emerge following Goethe's death and can aid our understanding of the tradition of setting Goethe's *Faust* to music in the long nineteenth-century. Furthermore, Wagner's *Faust* settings emerged in the intervening period between Schubert and the flowering of Schummanian song and if considered within this context – and alongside contemporaneous *Faust* settings – we can achieve a clearer picture of Goethe's influence on song and deepen our knowledge of text setting practice in the Lied during the 1830s.



## Chapter 5

**Underappreciated *Faust* Settings of the 1830s; Prince Anton Radziwill (1775–1833), Conradin Kreutzer (1780–1849), Carl Loewe (1796–1869), Leopold Lenz (1804–1862), Justus Amadeus Lecerf (1789–1868), Peter Josef von Lindpaintner (1791–1856), Carl Banck (1771–1842), Freidrich Grimmer (1798–1850), Friedrich Curschmann (1805–1841), Giuseppe Verdi (1813–1901)**

### 5.1 Introduction

This chapter analyses word-music relations in an array of underappreciated *Faust* settings which were composed or published in the aftermath of Goethe's death and the publication of *Faust II* in 1832. The 'underappreciated' descriptor has dual meaning in the context of this chapter; it is applied to known *Faust* realisations – such as Radziwill's *Faust*, Conradin Kreutzer's *Gesänge aus Goethes Faust* and Loewe's *Faust* settings – which are of greater significance in the development of the Lied than previously acknowledged in musicology, as well as unknown *Faust* songs which are being critically evaluated for the first time in this dissertation. The discussion of underappreciated *Faust* settings in this chapter is intended to complement the analyses of the canonical Wagner's *Faust* songs, codifying the influence of Goethe's *Faust* on the nineteenth-century Lied as well as providing insight into text setting practice during the 1830s through the reappraisal of these works. As was the case in the previous chapter, the relationship between text and music will be examined with reference to the composer's choice of musical rhythms, the use of piano accompaniment and the application of tonality as these particular strands relate to the augmentation of poetic meaning in Goethe's *Faust*. It is important to note that some of the settings analysed in this chapter will be based on texts which have been considered in the previous chapter, therefore, the poetic source will not be deliberated for all songs in this chapter in order to avoid an overlap

of material. Furthermore, it is beyond the scope of this dissertation to engage with each and every *Faust* song enclosed within the song collections discussed in this chapter; therefore brief overviews are provided for each collection with the intention of clarifying the logic of the entire works.

Although this dissertation is concerned with the collective musical response offered by these *Faust* settings of the 1830s with a view to furthering our understanding of text setting practice in the period, each setting discussed in this chapter has been subjected to analysis for a particular reason. Radziwill's 'Beschwörung' and 'Wenn ich empfinde' have been chosen to illustrate the breadth of texts from *Faust* that emerged through the Lied in the 1830s. Kreutzer's 'In Marthens Garten' – in contending with Faust's own tragedy – is an unusual setting through which this unique perspective can be explored, while his settings of 'Recitativo' and 'Recitando und Romanze' are conceived very differently to comparative settings by his contemporaries. The analysis of Loewe's 'Szene aus Faust' from *Faust I* and 'Lynceus des Thürmers' from *Faust II* is intended to redress the obvious neglect of Loewe's *Faust* settings in musicology. Both versions of Lenz's 'Der König in Thule' are considered in this chapter on account of the curious existence of two settings of the same text by the same composer while 'Ständchen des Mephistopheles' is analysed as a means of advancing our comprehension of Lenz's text setting approach. Lecerf's 'Zueignung' and 'Faust im Studierzimmer' have been included as their texts have not been commonly set and the recovery of these songs may be of particular interest for performance consideration. Similar logic explains the admittance of 'Meine Mutter die Brut' into the chapter; of all the settings in Lindpaintner's *Sechs Lieder zu Göthes Faust*, this song stands out as no other composer of the period attempted to set this text to song. Banck's 'Tanzreigen aus Faust' has been examined in this chapter as the appearance of a *Faust* setting in a set with different texts is unusual for the period and both composer and song are not known. The unknown status of Grimmer's 'Der

König in Thule' is the argument in favour of its inclusion and the same applies to 'Meine Ruh ist hin' by Curschmann, who was regarded as one of the finest composers of his time. Finally, Verdi's 'Perduta ho la Pace' is embraced in the dissertation as a gesture to *Faust* in translation, which is beyond the scope of this research, but is an avenue for further research that merits exploration. The setting in itself is also interesting – it is included in *Sei Romanze*, which is Verdi's *Opus 1*.

## 5.2 Anton Radziwill's *Compositionen zu Goethes Faust*

The role of Anton Radziwill's *Faust* in the promulgation of the Lied in the nineteenth-century has been understated. While the influence of Goethe's *Faust* on the development of the Lied as a genre has been chartered already in this dissertation, it is now important to consider how Radziwill mediated this relationship. The Prussian prince was a prominent and well-regarded figure throughout the nineteenth-century; Zelter and Goethe knew him personally, while Beethoven, Mendelssohn and Chopin dedicated works to the patron composer.<sup>773</sup> His *Compositionen zu Goethes Faust* was performed, either fully or in extracts, for at least two decades in the early nineteenth-century. Alina Nowak-Romanowicz notes performances in Berlin in 1816, Monbijou in 1820 and the posthumous performance of the entire work in Berlin on 25 October 1835.<sup>774</sup> The latter performance was followed by the publication of the composition by Trautwein a month later. Osman Durrani refers to a première of the melodramatic early scenes on 24 May 1819 which Zelter directed.<sup>775</sup> There was also a performance of Radziwill's *Faust* in 1831 which Loewe referred to when he wrote that Radziwill's contribution to *Faust* enabled Goethe's drama to be considered a part of musical literature. The concentration of performances of Radziwill's *Faust* from the mid-1810s to the

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<sup>773</sup> Alina Nowak-Romanowicz, 'Radziwill, Prince Antoni Henryk', *Grove Music Online* [www.oxfordmusiconline.com](http://www.oxfordmusiconline.com) [Accessed 18 August 2014]

<sup>774</sup> Ibid.

<sup>775</sup> Osman Durrani, *Faust: Icon of Modern Culture*, p. 201.

mid-1830s suggests there came a point where it began to fall out of public consciousness. Ursula Kramer argues that, from the mid nineteenth-century onwards, *Faust* began to be recognised solely as a literary text as opposed to a literary and musical text.<sup>776</sup> With this attitude prevailing as the century progressed, Radziwill's settings of *Faust* would have been met with more resistance than most *Faust* settings given the nature of his project to provide incidental music to the play.

Radziwill – along with Carl Eberwein (1786–1868) – were not only among the first composers to set Goethe's *Faust* to music following the publication of *Faust I*, but they belonged to the select few who collaborated with Goethe on the setting of the text. Kramer states in her discussion of the opening setting of Radziwill's *Faust* that the melodramatic form was Goethe's idea, but Goethe altered the text for the purpose of Radziwill's setting.<sup>777</sup> Although Radziwill and Goethe collaborated on the composer's *Faust*, the timescale of the work ensures that Goethe's influence on the composition of these settings is indeterminable beyond the musical form and the specific rewrites. Nowak-Romanowicz has noted the lack of uniformity in style between the individual settings in Radziwill's *Faust*.<sup>778</sup> This lack of stylistic cohesion can be attributed to the natural change in the composer's perception of *Faust* over time. Despite this appraisal, Radziwill's *Faust* remains pertinent as he was one of the few composers – and perhaps the only song composer in the 1830s – to compose music that aspires to turn *Faust* into a musical text, as opposed to treating Goethe's drama as a literary text to be set to music. Radziwill composed more *Faust* songs than any other composer – 25 in total, some of which contain several parts – and only Conradin Kreutzer (1780–1849) has set *Faust* to song on a similar scale.

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<sup>776</sup> Ursula Kramer in *Goethe and Schubert: Across the Divide*, pp. 85–89.

<sup>777</sup> Ibid.

<sup>778</sup> Alina Nowak-Romanowicz, 'Radziwill, Prince Antoni Henryk', *Grove Music Online*

### 5.3.1: Radziwill's 'Beschwörung': poetic source

**Table 5.1: Goethe, *Faust I, Faust im Studierzimmer*, ll. 1516–1525**

<b>'Beschwörung'</b>		<b>'Incantation'</b> <sup>779</sup>
Der Herr der Ratten und der Mäuse, der Fliegen, Frösche, Wanzen, Läuse, befiehlt dir dich hervor zu wagen und diese Schwelle zu benagen, so wie er sie mit Oel betupft – da kommst du schon hervorgehupft! Nur frisch an's Werk! Die Spitze, die mich bannte, sie sitzt ganz vorne an der Kante. Noch einen Biss, so ist's geschehn. – Nun, Fauste, träume fort, bis wir uns wiedersehn.	1520	The master of all rats and mice, All flies and frogs and bugs and lice, Commands you to poke forth your snout And gnaw this floor to let me out! I'll smear it for you with some drops Of oil. Aha! see, out he hops! Now set to work. The point where I was stuck Is at the front here. What piece of luck! One little bite more and it's done – Now, Faust, until we meet again, dream on!

Radziwill's Lied, 'Beschwörung' is derived from *Faust im Studierzimmer*. The protagonist of the drama has come to understand that the poodle which he has carried with him contains a presence and in this scene, Mephisto abandons the guise of the poodle to appear to Faust in the form of a scholar. When Faust asks his name, Mephistopheles stops short of revealing his true identity and promises to return soon to grant Faust's wishes. The scholar asks Mephistopheles to remain present, causing the devil figure to entertain Faust by conjuring spirits to send him to sleep, allowing Faust to believe that the appearance of Mephistopheles was nothing but a dream. Radziwill's setting conveys Mephistopheles' incantation of vermin that will facilitate his escape just before Faust wakes from his dream. E. A. Bucchianieri notes that there was an old myth in Germany where human souls formed the shape of mice and left the body when asleep.<sup>780</sup> Mephistopheles' summoning of the vermin therefore can be interpreted as a suggestion that Mephistopheles wants to gain control over Faust's soul; that this is not a given is seen through the signing of the pact which follows later.

The text Radziwill uses as the basis of his setting 'Beschwörung' is the second of two ten-line stanzas denoted to the spell Mephistopheles casts on Faust in Faust's study. The ten

<sup>779</sup>English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 47.

<sup>780</sup>E. A. Bucchianieri, *Faust: My Soul be Damned for the World Vol. 2* (Indiana: AuthorHouse, 2008), p. 276.

lines form five rhyming couplets creating an *aabbccdde* rhyme scheme. Stress analysis of Goethe's 'Beschwörung' reveals iambic tetrameter to be the poetic metre of the text (see Example 5.1).

**Example 5.1: Stress analysis of 'Beschwörung', ll. 1516–1517**

\*       \*       \*       \*

Der Herr der Ratten und der Mäuse

\*       \*       \*       \*

Der Fliegen, Fröschen, Wanzen, Läuse

While all ten lines are in iambic tetrameter, there is variability in the number of unstressed syllables that are present in the poetry, lending to feminine line endings and metric substitutions. This would have the effect of quickening the pace of the poetry were it not for the simultaneous occurrence of internal caesuras. These caesuras combine with the additional unstressed syllables in the seventh and tenth lines of the verse, emphasising the casting of the spell and the effect of the spell when Mephistopheles disappears from the room prior to Faust waking. Memorable language is necessary for the creation of the magic spell ritual and in addition to end-rhymes, Goethe employs many other poetic devices. Alliteration and assonance can be observed in the opening couplet but beyond this poetic music, the rhyming couplet captures the essence of Mephistopheles' character. The second part of the couplet – 'der Fliegen, Frösche, Wanzen, Läuse' ['All flies and frogs and bugs and lice']<sup>781</sup> – exhibits progression in the darkness of vowels sounds, moving from the light 'ie' diphthong to the heavy 'äu' sound which concludes the couplet. This outlines the two sides to Mephistopheles character while also placing emphasis on line endings.

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<sup>781</sup> Ibid.

### 5.3.2 Radziwill's 'Beschwörung': musical setting

'Beschwörung' is set for tenor voice and piano in 4/4, in the key of F sharp major and is designated an ABA' formal structure. Analysis of the opening vocal line illustrates how Radziwill's vocal rhythm conforms to the BRD, albeit by responding to the text by having the fourth foot of each line of poetry coincide with the structural downbeat, enabling the melody to be adapted to masculine or feminine line endings as they occur (see Example 5.2a, 5.2b and 5.2c).

#### Example 5.2a: Simple BRD of Goethe's *Faust im Studierzimmer*, ll. 1516–1517

Der Herr der Ratt - en und der Mäu - se, der Fliegen, Frösche, Wanzen, Läu - se,

#### Example 5.2b: BRD-variant of Goethe's *Faust im Studierzimmer*, ll. 1516–1517

Der Herr der Rat - ten und der Mäu - se, der Fliegen, Frösche, Wanzen, Läu - se,

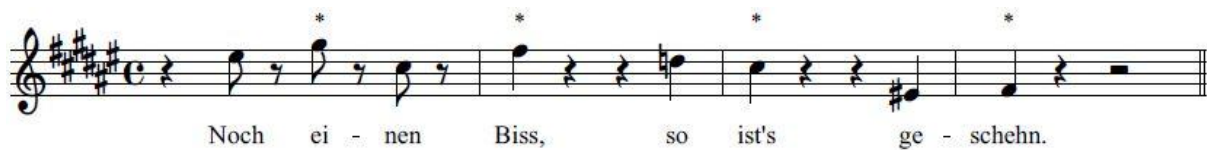
#### Example 5.2c: Opening vocal line of Radziwill's 'Beschwörung'

Der Herr der Rat - ten und der Mäu - se, der Fliegen, Frösche Wanzen, Läu - se,

There is a regular alternation of stressed and unstressed syllables throughout and for the most part, stresses are equidistant in the Lied. Durational accents routinely correspond with stressed syllables at line endings while registral accents are present on a less common basis. The lack of registral accents relative to durational accents can be attributed to the largely monotonous or repetitive melodic lines devoted to Mephistopheles' incantation, which is

more speech-like than melodic. The registral accents are most prominent in bars 4–6 where ascending leaps of a perfect fourth serve both to establish a pattern of rhythmic declamation of the text and emphasise the menacing 'äu' diphthong. The external caesuras of Goethe's text are observed through rests of various durations but the composer is not consistent in respecting the internal caesuras of the poetry, although the additional syllables in the poetic lines make it difficult to respond to these silences and simultaneously adhere to phrase structure norms. There is a regularity of poetic rhythm as far as bar 20, at which point the pace of declamation slows dramatically to one stress per bar – conveying the image of Faust drifting into sleep and illustrating Radziwill's willingness to deviate from the BRD for the purpose of text depiction (see Example 5.3).

**Example 5.3: Radziwill, 'Beschwörung', vocal melody, bars 20–23**



The *staccato* figuration of the chordal piano accompaniment in the introduction, which is reminiscent of Wagner's 'Lied des Mephistopheles II', persists through the song and portrays the menacing nature of Mephistopheles' spell while providing harmonic support for the vocal line. There is a great contrast between the A section and the short inner B section of the Lied and it is central to our understanding of Radziwill's setting. The piano introduction and A section (bars 1–19) and the modified repeat (bars 24–31) are characterised by the F sharp tonality on its journey towards the dominant, with slow harmonic rhythm enhancing the tenor's narration of the incantation.

The opening five bars of 'Beschwörung' exhibits the tonic harmony in root position and the first progression is a move to the minor subdominant in second inversion on 'Läuse'



in bar 5. Similarly, the tonic harmony in root position is present for the entirety of the A section's repeat with the *staccato* figuration coming to an end in the left-hand accompaniment of bar 29 and the right-hand accompaniment of bar 30 to signify that Mephistopheles is in the process of making his escape. The tonic harmony is sounded for the final time in bar 31 and is presented *fortissimo* against the *piano* which has pervaded the setting in order to convey Faust waking up from his Mephistopheles-induced dream, and the absence of the *staccato* figuration indicates that Mephistopheles is nowhere to be seen upon awakening.

ll. 1519–1525 of Goethe's poetry are particularly animated as Mephistopheles tries to make his escape, and the stillness which begins the Lied – provided by the harmonic stability and the monotony of the vocal line – ensures the tonal trajectory portrays Mephistopheles spell at work. Radziwill employs ascending and descending semitonal shifts to change tonality and the first of these takes place in bar 10 as the E sharp drops to E, sounding the dominant of A major which culminates in a perfect cadence in bars 11–12 on the line, 'so wie er sie mit Öl betupft' ['I'll smear it for you with some drops of oil'].<sup>782</sup> This means of altering tonality causes two bars of tonal ambiguity, thus portraying the incantation and Mephistopheles bringing of mice from the supernatural realm into the world of Faust.

In bars 12–20, there is ascending stepwise chromatic movement in the bass of the left-hand accompaniment (A – A sharp – B – B sharp – C sharp) and Radziwill's harmony is constructed upon these semitonal shifts. In bar 14, the pictorial image of the hopping mice is depicted as the semitonal shift alters major harmony into diminished harmony. This creates a period of tonal instability, which is resolved in bar 17 as the next semitonal shift in the bass facilitates a perfect cadence into the subdominant region of B minor. In bars 19–20, a perfect cadence into the dominant key of C sharp major conveys Mephistopheles' 'Kante' ['luck'] in finding that the escape is near. Radziwill's decision to transition from the distant tonal region

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<sup>782</sup> Ibid.

of A major to the closely-related subdominant key of the original key before proceeding to the most closely-related key of C sharp major suggests the tonal trajectory is in itself a metaphor for Mephistopheles' escape. The completion of the escape should therefore be marked with a return to the home key of F sharp major, and this occurs in bar 23 on 'geschehn' ['done'] – once again by way of a perfect cadence – which concludes the B section (see Example 5.4)

**Example 5.4: Radziwill, 'Beschwörung', bars 20–23**

The image shows a musical score for Example 5.4. It consists of a vocal line and a piano accompaniment. The vocal line is in treble clef with a key signature of three sharps (F#, C#, G#) and a common time signature. The lyrics are: "Noch ei - nen Biss, so ist's ge - schehn." The piano accompaniment is in grand staff (treble and bass clefs) with the same key signature and time signature. The piano part features a rhythmic pattern of eighth notes in the right hand and chords in the left hand.

**5.4.1 Radziwill's 'Wenn ich empfinde': poetic source**

**Table 5.2: Goethe, *Faust I*, *Strasse*, ll. 3059–3066**

<b>'Wenn ich empfinde'</b>		<b>'If I feel'</b> <sup>783</sup>	
Lass das! Es wird! – Wenn ich empfinde,		Yes! Let me be! It shall! – This deep	commotion
für das Gefühl, für das Gefühl!	3060	And turmoil in me, I would speak	
nach Namen suche, keinen finde,		Its name, find words for this emotion –	
dann durch die Welt mit allen Sinnen		Through the whole world my soul and senses	seek
schweife,		The loftiest words for it: this flame	
nach allen höchsten Worten greife,		That burns me, it must have a name!	
und diese Gluth, von der ich brenne,	3065	And so I say: eternal, endless, endless –	
unendlich, ewig, ewig nenne,		why?,	
ist das ein teuflisch Lügenspiel?		You devil, do you call all that a lie?	

<sup>783</sup> Ibid., p. 96.

Radziwill's 'Wenn ich empfinde' is taken from the *Strasse* scene of *Faust I*. The scene begins with Mephistopheles assuring Faust that he will have the opportunity to meet Gretchen in Martha's garden, but only if they testify to the fact that Martha's husband is dead and buried in Padua. Faust is willing to travel to Padua and verify that Padua is indeed the resting place of Martha's husband, but Mephistopheles sees no need for such effort and asks Faust to lie. Faust is uncomfortable with the extent of this deception but Mephistopheles is able to coerce Faust into proceeding with the deed by reminding him of his feelings for Gretchen and the opportunity to meet her in Martha's garden. In the midst of Mephistopheles' manipulation, Faust is asked if he can promise 'eternal love, faithfulness to the end' and 'unique all-powerful passion' to Gretchen.<sup>784</sup> Faust's response of 'Lass das! Es Wird!' ['Yes! Permit it! It shall be!'] forms the opening line of Radziwill's recitative.<sup>785</sup>

The text on which Radziwill's 'Wenn ich empfinde' is based is structured as an octave with an *abacdde* rhyme scheme. Stress analysis of 'Wenn ich empfinde' shows the poetic metre to be iambic tetrameter, albeit with trochaic and amphibrachic substitutions (see Example 5.5).

**Example 5.5: Stress analysis of 'Wenn ich empfinde', ll. 3063–3066**

\*       \*       \*       \*

Nach Namen suche, keinen finde,

\*           \*       \*           \*

Dann durch die Welt mit allen Sinnen schweife,

\*       \*           \*       \*

Nach allen höchsten Worten greife

\*       \*           \*       \*

Und diese Glut, von der ich brenne,

There is no regularity in stress patterns across the strophe although unstressed syllables are prominent at line beginnings and feminine line endings are dominant. Stressed syllables can

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<sup>784</sup> Ibid.  
<sup>785</sup> Ibid.

be found in the first two lines of the verse while masculine line endings occur on the second and eighth lines of the octave and this is significant in terms of textual meaning. Unstressed syllables at both line beginnings and line endings through ll. 3061–3064 – combined with alliteration and assonance – leads to fast-paced poetry suitable for Faust's depiction of his unrelenting desire for Gretchen. The masculine line endings – coupled with internal caesuras – establishes a slower poetic rhythm where Faust asserts his intention to be faithful to Gretchen. It is important to note the function of repetition in these lines contained within the statements of 'Für das Gefühl' ['for the emotion'] and 'ewig' ['endless']. While repetition is often employed to make phrases or words more memorable, in this case, it conveys the impression that Faust is trying to convince himself that he can remain loyal to Gretchen – placing emphasis on the irony that in the course of the drama, he will fail in that regard.

#### 5.4.2 Radziwill's 'Wenn ich empfinde': musical source

'Wenn ich empfinde' is a through-composed Lied set in 2/4 and in the key of C minor. Analysis of vocal rhythms in the Lied reveal BRD non-conformance to be present (see Example 5.6a, 5.6b, 5.6c and 5.6d)

##### Example 5.6a: Simple BRD of Goethe's *Strasse*, ll. 3061-3062

nach Na-men su-che, kei-nen fin-de, dann durch die Welt mit al-len Sin-nen schwei-fe,

##### Example 5.6b: BRD-variant of Goethe's *Strasse*, ll. 3061-3062

Nach Na - men su - che, kei - nen fin - de, dann  
durch die Welt mit al - len Sin - nen schwei - fe,

**Example 5.6c: Hypothetical BRD-conformant vocal line for Radziwill's 'Wenn ich empfinde', bars 10-17**

Nach Na - men su - che, kei - nen fin - de, dann  
 durch die Welt mit al - len Sin - nen schwei - fe,

**Example 5.6d: Opening vocal line of Radziwill's 'Wenn ich empfinde'**

Nach Na - men su - che, kei - nen fin - de, dann  
 durch die Welt mit al - len Sin - nen schwei - fe,

The deviation from the BRD occurs in bar 15 as Radziwill places additional durational emphasis on 'allen', slowing the pace of declamation from the already established two stresses per bar and causing the rhythm to be displaced. This break from the rhythmic patterns of the poetry is a musical play on the words 'allen Sinnen schweife' ['all senses seek']. There is a general lack of rhythmic variety in the Lied which leads to BRD-conformance in many vocal phrases, but this sameness in the musical rhythm serves only to make departures from the BRD more effective. One of the ways in which Radziwill distorts the poetic rhythm is by neglecting to mark any of the poetic caesuras which take place between bars 17–28. This establishes an extraordinarily long 12–bar vocal phrase which portrays Faust's attempt to assure Mephisto that his love for Gretchen is everlasting in the line 'unendlich, ewig, ewig

nenne' ['eternal, endless, endless – why?'].<sup>786</sup> It is also worth noting the greater extent of durational emphasis that is afforded to the vocal melody beginning in bar 22. This secondary departure from the BRD leads to a decrease in the pace of declamation and functions as a means of word painting.

The opening phrase of Radziwill's Lied evidently suggests that Faust will not be able to keep his vow. Radziwill conveys 'Lass das! Es wird!' through the unconventional opening of a suspended diminished seventh chord (VII<sup>dim</sup>7) which resolves to the dominant seventh (V7) within the context of C minor in bar 2, before resolving to the tonic of C minor in bar 3. The diminished seventh chord also appears in bar 8 following Faust's utterance of the words 'Wenn ich empfinde', as if Radziwill employed the diminished seventh chord to dismiss the credibility of Faust's own words. Diminished seventh chords are also used as a means of word painting. In bar 16, a sharpened subdominant with diminished seventh chord (#IV<sup>dim</sup>7) fearfully conveys the word 'schweife' suggesting that this passion that Faust is pursuing is ultimately dangerous. Another example of Radziwill's use of the diminished seventh chord as a word-painting device occurs in bar 21, depicting the word 'Glut' ['flame'] and suggests that the 'flame' burning Faust, which the protagonist takes to be the beginnings of love, is in fact harmful.

The texture of the piano accompaniment is of fundamental importance in Radziwill's 'Wenn ich empfinde' as changes in accompaniment texture convey changes in the speech rhythms of the recitative. In bars 1–24, the accompaniment is chordal and moves predominantly in quavers, but the texture is changed dramatically in bar 25 with a *crescendo* marking the introduction of minims. The change in accompaniment texture is brought on by a change in the mode of address as Faust ceases to speak as if prompted by his emotions, and now begins to question Mephistopheles' who doubts his eternal commitment to Gretchen. The

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<sup>786</sup> Ibid.

words 'unendlich, ewig, ewig nenne' are conveyed in the vocal line, initially through the gesture of falling minor thirds before culminating in the gesture of a falling minor seventh. Radziwill is portraying the exasperation in Faust's voice – the protagonist's desperation to convince Mephistopheles' otherwise – and the intervallic increase in the falling gesture suggests resignation, despite the modulation from the minor into the relative major, facilitated by the harmonic progression of I-II<sup>7</sup>-VII<sup>dim</sup>7/V<sup>7</sup>-I. This resignation is compounded with a descending semiquaver arpeggiation of the dominant chord in the right-hand accompaniment (see Example 5.7).

**Example 5.7: Radziwill, 'Wenn ich empfinde', bars 25–28**

The musical score for Example 5.7 consists of a vocal line and a piano accompaniment. The vocal line is in the treble clef, with a key signature of two flats and a 2/4 time signature. The lyrics are: "end - lich, e - wig, e - wig, nen - ne,". The piano accompaniment is in the grand staff (treble and bass clefs). The right hand features a descending semiquaver arpeggiation of the dominant chord in the final bar. The left hand provides harmonic support with chords. Dynamics include *cresc.* and *ed*.

This leads to a transition into the tonic of the relative minor in bar 30 (see Example 5.8).

**Example 5.8: Radziwill, 'Wenn ich empfinde', bars 29–31**

The musical score for Example 5.8 consists of a vocal line and a piano accompaniment. The vocal line is in the treble clef, with a key signature of two flats and a 2/4 time signature. The lyrics are: "das ein teuf - lisch Lü - gen - spiel?". The piano accompaniment is in the grand staff. The right hand features a descending semiquaver arpeggiation of the dominant chord in the final bar. The left hand provides harmonic support with chords. Dynamics include *f* and *Tromboni.*

Ascending chromatic movement in the right-hand accompaniment causes the tonality to shift to F minor before the arrival on the tonic key in bar 33, depicting the line ('Ist das ein teuflisch Lügenspiel?') ['You devil, do you call all that a lie?'].<sup>787</sup> Radziwill evades a concluding perfect cadence, opting instead to allude to the possibility of transitioning into the relative major only for the Lied to end with a I–VII<sup>dim</sup>7–I progression. This can be interpreted as a metaphor for Faust's lie. The piano postlude sees the introduction of a *tremolando* figuration in the left-hand accompaniment, which is a suggestion on Radziwill's part that this deep commotion in Faust will not find the resolution the protagonist desires.

### **5.5 Conradin Kreutzer's *Gesänge aus Goethes Faust***

Conradin Kreutzer began composing his *Faust* settings in 1820 at Donaueschingen, shortly after the composition of his *Frühlingslieder* and *Wanderlieder*. The first setting to have been performed was the 'Ostermorgen-Szene' (Easter Morning's Scene) in a court concert at Donaueschingen on 4 November 1820.<sup>788</sup> Prince Karl Egon declaimed the introductory Faust monologue from the 'Nacht' scene and Princess Amalie of Baden (1795–1869) was a member of the choir, which was comprised of theatre singers for the court and members of the general public.<sup>789</sup> *Gesänge aus Goethes Faust* was published in Vienna in 1834 and dedicated to Prince Egon, with Kreutzer adding songs based on Goethe's protagonists from *Faust I* to the choral settings of 1820.<sup>790</sup> Like the *Frühlingslieder* and *Wanderlieder* song-cycles, Kreutzer's *Faust* settings – 22 in total – have made their own unique contribution to the genre. Aesthetically, they relate more closely with the *Wanderlieder* in that there are no obvious connections between the various settings, neither in a motivic nor tonal sense.

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<sup>787</sup> Ibid.

<sup>788</sup> Hans Hochmann in Conradin Kreutzer, *Gesänge aus Goethes Faust*, Alison Browner, Stephan Genz and Michail Schelomianski (47563-2: Arts Music, 1999).

<sup>789</sup> Ibid.

<sup>790</sup> Ibid.



Ruth Bingham considers Kreutzer's *Gesänge aus Goethes Faust* as an example of an external plot-cycle, which were popular in the first half of the nineteenth century.<sup>791</sup> Bingham states that the intentions behind external song cycles were often unclear<sup>792</sup> which is interesting, as the performance possibilities in Kreutzer's songs are wide-ranging. Kreutzer's use of recitatives renders the settings suitable for an amateur stage production, but there are no tonal connections between these declamatory passages and the songs themselves. This enables the settings to be performed individually or even successively and this is in keeping with Kreutzer's song-cycle aesthetic. The individual settings are connected through drama rather than music; therefore Kreutzer was reliant on the popularity of Goethe's *Faust* for his settings to be identifiable with the audience.

Although there are no tonal connections between individual settings, there are tonal associations in *Gesänge aus Goethes Faust*. The most noteworthy example is Kreutzer's use of D major to chart Faust's tragedy. The tonality is present in Faust's initial encounters with both Mephistopheles and Gretchen, in his monologue when he decides to return in 'Wald und Höhle' and 'In Marthens Garten' when he discusses faith with Gretchen (see Table 5.3).

**Table 5.3: Tonal structure of Kreutzer's *Gesänge aus Goethes Faust***

<b>Song Title</b>	<b>Key</b>
'No. 1: Chor der Engel'	D minor
'No. 2: Ein Bettler vor dem Thor'	E flat major
'No. 3: Soldaten'	B flat major
'No. 4: Bauern unter der Linden'	C major
'No. 5: Faust im Studierzimmer'	A major
'No. 6: Chor der Geister'	D major

<sup>791</sup> Ruth Bingham in James Parsons (ed.), *The Cambridge Companion to the Lied*, pp. 110–111.

<sup>792</sup> *Ibid.*, p. 110.

'No. 7: Chor der Geister'	E flat major
'No. 8: Zeche lustiger Gesellen'	F major
'No. 9: Recitativo'	E flat major
'No. 10: Strasse'	D major
'No. 11: Abend'	E flat major
'No. 12: Margarethe'	A minor
'No. 13: Gretchen allein, nach dem Gespräch im Garten'	F sharp major
'No. 14: Recitativo e Arioso'	A minor
'No. 15: Wald in Höhle'	D major
'No. 16: Gretchens Klage'	F sharp minor
'No. 17: In Marthens Garten'	D major
'No. 18: Am Brunnen'	G minor
'No. 19: Zwinger'	G major
'No. 20: Nacht, Strasse von Gretchens Thür'	D minor
'No. 21: Recitando und Romanze'	C major
'No. 22: Dom'	C minor

Kreutzer's choice of texts shows a willingness to capitalise on the natural musicality inherent in Goethe's text. *Faust* Lieder have focused predominantly on the Gretchen figure with the 'King in Thule' being the most commonly set text of *Faust I*, closely followed by 'Gretchen at the Spinning Wheel' and 'Gretchen's Prayer to the Virgin'.<sup>793</sup> Music has a central role in the development of Gretchen as a character and as a result, it is Goethe's heroine that becomes the lead figure in musical settings of *Faust*. Kreutzer's settings, however, extend beyond the musical depiction of Gretchen. The tragic relationship between Faust and Gretchen has always been conveyed from Gretchen's perspective in music, but in Kreutzer's Lieder we witness Faust's own tragedy turn full circle, from his dissatisfaction with spiritual

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<sup>793</sup> Osman Durrani, *Faust: Icon of Modern Culture*, pp. 246–247.

life in his study to his rejection of Christian beliefs in the 'Marthens Garten' scene. There are also some unusual Gretchen settings in *Gesänge aus Goethes Faust*. Kreutzer's 'No.11: Abend' takes two verses from Goethe's scene and juxtaposes them to create a setting that conveys Gretchen reflecting on her day before she begins to recall 'Der König in Thule'. Another example is 'No.18: Am Brunnen' where Gretchen dwells on her sin as she learns of Bärbelchen's pregnancy. The choral settings of *Gesänge aus Goethes Faust* also do not testify to a predictable choice of text. The text of 'No.1. Introdution' taken from the 'Ostermorgen-Szene', was set by some nineteenth-century composers including Schubert. Kreutzer's setting of the 'Ostermorgen-Szene' is a much extended interpretation which totals over ten minutes in length in a recording made by the *Freiburg Vocal Ensemble* in 1999. Along with Prince Anton Radziwill and Carl Eberwein's settings, Kreutzer's songs are the earliest settings of these choral texts by Goethe and the earliest choral settings with piano accompaniment.

### 5.6.1 Kreutzer's 'In Marthens Garten': poetic source

**Table 5.4: Goethe, *Faust I, Marthens Garten*, ll. 3425–3465**

<b>'Marthens Garten'</b>		<b>'Martha's Garden'</b> <sup>794</sup>
<b>Margrethe</b>		<b>Margaret</b>
Glaubst du an Gott?		Do you believe in God?
<b>Faust</b>		<b>Faust</b>
Mein Liebchen, wer darf sagen,		My dear, how can
Ich glaub' an Gott?		Anyone dare to say: I believe in Him?
Magst Priester oder Weise fragen,		Ask a priest how, ask a learned man,
und ihre Antwort scheint nur Spott		And all their answers merely seem
über den Frager zu seyn.	3430	To mock the questioner.
<b>Margrethe</b>		<b>Margaret</b>
So glaubst du nicht?		Then you don't believe?
<b>Faust</b>		<b>Faust</b>
Mißhör', mich nicht, du holdes Angesicht!		My sweet beloved child, don't misconceive
Wer darf ihn nennen?		My meaning! Who dare say God's name?
und wer bekennen:		Who dares to claim
Ich glaub' ihn.		That he believes in God?
Wer empfinden?	3435	And whose heart is so dead
und sich unterwinden		That he has ever boldly said:

<sup>794</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, pp. 108–109.





The iambic rhythms combined with the typically short-line length and occasional use of enjambment hastens the poetic flow of Faust's monologue on religion. External caesuras are commonplace in Faust's lines as his speech contains many rhetorical questions and these caesuras occur without exception on each of Gretchen's lines as she questions Faust on his religious beliefs. Internal caesuras are less frequent which is appropriate given the length of Faust's monologue. Alliteration, assonance and internal rhymes bring cohesion to the text, which is no more apparent than in the 'ich' sounds of the lines 'Faßt und erhält er nicht / Dich, mich, sich selbst? / Wölbt sich der Himmel nicht da droben?' ['Does He not hold and keep / You, me, even Himself? / Is not the heavens' great vault up there on high,'].<sup>798</sup>

### 5.6.2: Kreutzer's 'In Marthens Garten': musical setting

Boyle claims *Marthens Garten* is arguably the most dramatic scene Goethe ever wrote.<sup>799</sup> Kreutzer could not avoid setting this conversation from *Marthens Garten* to music, given his concern with setting both Faust and Gretchen's tragedies to song. The challenge of doing so is evident, however, as Kreutzer is the only composer to have set this scene as a song. 'In Marthens Garten' is a through-composed setting set in common time and in the key of D major. Analysis of the introductory vocal phrase shows deviations from the basic rhythm of declamation in his handling of the speech rhythms in the Lied (Example 5.10a, 5.10b, 5.10c and 5.10d).

#### Example 5.10a: Simple BRD of Goethe's *In Marthens Garten*, ll. 3426–3427

Mein Lieb - chen wer darf sa - gen ich glaub an Gott?

<sup>798</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 109.

<sup>799</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 224.

**Example 5.10b: BRD-variant of Goethe's *In Marthens Garten*, ll. 3426–3427**

Mein Lieb-chen, wer darf sa-gen, ich glaub' an Gott?

**Example 5.10c: Hypothetical BRD-conformant vocal line for Kreutzer's 'In Marthens Garten', bars 2–5**

Mein Lieb-chen, wer darf sa-gen, ich glaub' an Gott?

**Example 5.10d: Opening vocal line of Kreutzer's 'In Marthens Garten'**

Mein Lieb-chen, wer darf sa-gen, ich glaub' an Gott?

Kreutzer's focus is on the dramatic impulse of the text and he uses rhythmic unpredictability to generate tension in the duet – there is no equivalence of foot durations or regularity in the distance between stresses and this causes the pace of declamation to vary throughout. Despite this, many of the characteristics associated with BRD-conformance are evident in the Lied which demonstrates the composer's consideration of the poetic rhythm; poetic stresses are aligned with structural downbeats and met with durational and registral accents while silences implied in the poetic text are observed faithfully in this setting. There is, however, an elongation of stress in bars 59–60 which is of dramatic significance: on the line 'Nur mit ein bisschen andern Worten' ['Just in the wording there's a difference'], the rhythm is displaced to convey Gretchen's mistaken belief that Faust holds the same religious views as her.<sup>800</sup>

<sup>800</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 109.

Infrequent chords underscore Faust and Gretchen's conversation and provide the barest of harmonic foundations for a vocal line which observes the natural intonations of the human voice. Kreutzer's use of tonality plays a significant role in conveying the poetic meaning of the scene, *Marthens Garten*. Gretchen's initial question 'Glaubst du an Gott?' ['Do you believe in God?']<sup>801</sup> is presented in its first statement in D major, but Faust's reply is heard in E minor. Interestingly, Gretchen's second question, 'so glaubst du nicht?' ['Then you don't believe?']<sup>802</sup> is a sequence of the opening rhythm, transposed up a major second, which suggests that in Kreutzer's setting, tonality is Gretchen's way of trying to identify with Faust. Once again, Faust responds in a different key, answering on this occasion in A major. Although the piano accompaniment is sparse and harmonic progressions are infrequent, this use of tonality appears to be a musical metaphor for the protagonists' opposed worlds.

In bar 24, the composition evolves from a declamatory passage into a Lied, and the change in musical style reflects a change in the poetic persona. Faust moves away from using rhetorical language to answer Gretchen's question towards adopting a more seductive and persuasive form of language. Intrinsic to Faust's images in ll. 3443–3446 is the notion of space and the opposition between heaven and earth; 'Wölbt sich der Himmel nicht da droben? / Liegt die Erde nicht hier unten fest?' ['Is not the heavens' great fault up there on high / And here below, does the earth not stand fast?].<sup>803</sup> Kreutzer conveys the idea of space by creating an echo effect through the use of a *tremolando* figure in the treble accompaniment, marked *fortepiano*. This idea of opposition, which is conjured by the *fortepiano* dynamic, could also be viewed as a musical metaphor for the opposing worlds of heaven and earth and more specifically, portray the opposition between Faust's present world and the Christian world of Gretchen, which is a life from which Faust has emancipated himself.<sup>804</sup> Kreutzer continues to

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<sup>801</sup> Ibid.

<sup>802</sup> Ibid.

<sup>803</sup> Ibid.

<sup>804</sup> Nicholas Boyle, *Goethe: The Poet and the Age Volume I*, p. 225.



use *fortepiano* to emphasise opposing images later in the Lied; in bar 31, successive dominant chords are played *fortepiano* to depict the line 'Schau' ich nicht Aug' in Auge dir' ['Are we not here and gazing eye to eye?']<sup>805</sup> and the same chords are sounded in bar 33 for the line 'Nach Haupt und Herzen dir' ['Your mind and heart'].<sup>806</sup> The use of dynamics to portray Goethe's pictorial images is a feature of this Lied; in bars 28–29, the vocal line crescendos as Faust sings 'Und steigen freundlich blickend? / Ewige sterne nicht herauf?' [Do everlasting stars, gleaming with love / Not rise above us through the sky?]<sup>807</sup>

The most striking feature of the entire Lied, however, is undoubtedly the use of the jarring sharpened subdominant diminished seventh chord in bar 70 immediately after the final lines, 'Jedes in seiner Sprache; Warum nicht ich in der meinem' ['Speak the same message, each / in its own speech: May I not speak mine?'].<sup>808</sup> In presenting the sole chromatic chord of the Lied immediately after Faust suggests to Gretchen that their beliefs are essentially no different, Kreutzer is reminding the listener that Faust and Gretchen's worlds are colliding and this single chromatic chord is foreboding of the tragedy that is to unfurl in the remaining settings of *Gesänge aus Goethes Faust*.

### 5.7 Kreutzer's 'Recitativo': musical setting

Kreutzer's 'Recitativo' is based on ll. 2197–2240 of Goethe's *Faust* text. The selection of lines for setting underlines the most significant difference between Kreutzer's setting of Mephistopheles' 'Song of the Flea' and the settings by Wagner and his contemporaries – Kreutzer does not alter Goethe's text in order to set it to music. Mephistopheles' 'Song of the Flea' is interrupted on two occasions, firstly by Frosch and then by Brander and the majority of Kreutzer's contemporaries tended to omit these interjections so the text can be easily set to

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<sup>805</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 109.

<sup>806</sup> Ibid.

<sup>807</sup> Ibid.

<sup>808</sup> Ibid.

music. Kreutzer decides not only to leave these interruptions in place but to include previous lines where the merrymakers encourage Mephistopheles to sing, thus providing a dramatic context for the song. Analysis of the opening vocal phrase shows how Kreutzer disturbs the regularity of the poetic rhythm with a melismatic melodic line (see Example 5.11a, 5.11b, 5.11c and 5.11d).

**Example 5.11a: Simple BRD of Goethe's *Auerbachs Keller in Leipzig*, ll. 2211–2212**

Es war ein-mal ein Kö-nig, der hatt' ei-nen gros-sen Floh.

**Example 5.11b: BRD-variant of Goethe's *Auerbachs Keller in Leipzig*, ll. 2211–2212**

Es war ein mal ein Kö-nig, der hatt' ei-nen gros-sen Floh.

**Example 5.11c: Hypothetical BRD-conformant vocal line for Kreutzer's 'Recitativo', bars 21–28**

Es war ein-mal ein Kö-nig, der hatt' ei-nen gros-sen Floh.

**Example 5.11d: Opening vocal line of Kreutzer's 'Recitativo'**

Es war ein-mal ein Kö-nig, der  
hatt' einen gros-sen Floh.

Each melisma is an exuberant elongation of stress of unequal duration which persists through the Lied, portraying Mephisto's attempt to cheer the merrymakers in the tavern. Although there is a general congruence of poetic and musical stresses – on which the vocal melodies of this song are anchored – there is no real sense of BRD-conformance in this setting.

Tonality plays an important role in distinguishing characters and in particular, conveying the image of Mephistopheles. Kreutzer employs the key of C major as a 'neutral' key for Mephistopheles introduction and the interrupting merrymakers, indicating the innocent nature of their behaviour in the tavern. On the other hand, Mephistopheles does not sing in C major throughout the Lied, creating an audible difference between the sinister devil figure and the joyous bystanders in the tavern. Kreutzer's 'Song of the Flea' is in the key of E flat major with modulations to closely-related keys within each strophe in the form of the relative minor, as well as the subdominant and dominant keys. The key of C minor is associated with the flea motif which is first presented in bar 27 in the vocal line before continuing into the right-hand accompaniment in bar 28. Beethoven's comic song 'Aus Goethes Faust' set a precedent for the depiction of the flea and it is interesting to compare Beethoven and Kreutzer's motifs. Example 5.12a outlines the repetition of the flea motif in bars 1–4 of Beethoven's 'Aus Goethes Faust' while Example 5.12b shows the flea motif as seen in 'Recitativo.'

**Example 5.12a: Beethoven, 'Aus Goethes Faust', bars 1–4**

The musical score for Example 5.12a consists of four measures. The top staff is a treble clef with a whole rest in each measure. The bottom two staves are a grand staff (treble and bass clefs). The key signature has two flats (B-flat major). The time signature is 2/4. The tempo marking is 'Poco Allegretto'. The first measure starts with a piano (*p*) dynamic. The flea motif is a rhythmic figure of a quarter note followed by an eighth note, repeated. The motif is repeated in the right hand across the four bars, with a *cresc.* marking in the fourth bar. The left hand provides a bass line with eighth notes and rests.

**Example 5.12b: Kreutzer, 'Recitativo', bars 26–28**

Beethoven's flea motif is a short musical gesture that is first presented in the accompaniment during the piano introduction and it recurs throughout the Lied. A similar approach to the flea motif is observed in Wagner's 'Lied des Mephistopheles I'. Kreutzer's flea motif differs from these settings in the sense that it is incorporated into the vocal melody at appropriate moments of the text, and is first presented on the lyric 'hatt' einen grossen Floh' ['had a great big flea'].<sup>809</sup> The interesting similarity between Beethoven's flea motif and that of Kreutzer is in the latter's use of the appoggiatura in the vocal line, which appears to mimic the right-hand accompaniment of Beethoven's flea motif.

The comic element of Kreutzer's 'Recitativo' is provided in a variety of ways. Firstly, it is found in the contrast between Mephistopheles' *cantabile* vocal line and the declamatory passages assigned to Frosch and Brander. Enrique Alberto Arias notes that the principal technique in composing comic song is the use of a humorous text.<sup>810</sup> With this in mind, Kreutzer's decision to retain Frosch and Brander's interruptions in the setting – despite Kreutzer's predecessors or contemporaries choosing not to – enables Kreutzer to maximise the comic potential of the setting. Mephistopheles' *cantabile* vocal line sounds particularly virtuosic in comparison to the declamatory passages of the merry-makers. Secondly, the

<sup>809</sup> Ibid., p. 67.

<sup>810</sup> Enrique Alberto Arias, *Comedy in Music: A Historical Bibliographical Resource Guide* (Connecticut: Greenwood Press, 2001), p. 3.

accompaniment figure which Kreutzer first uses in bar 20 alludes to the jumping of the flea, through its use of staccato, and the ascending and descending step-wise activity that creates the impression of movement.

Beethoven's 'Flohlied' is known for its precise gesture on the lyric 'Wir knicken und ersticken / doch gleich, wenn einer sticht' ['But we can pick them off and squeeze / Them dead when they bite us'].<sup>811</sup> Wagner creates a refrain out of this lyric as does Kreutzer, but the latter composer uses melody and accompaniment from previous strophes, whereas the former introduces new melodic material. The only time Kreutzer notably introduces new material into a strophe occurs in bar 134 on 'weg' ['away'] as an ascending line mimics the scale of E flat major in the context of A flat major until it arrives at the conflicting D flat pitch, portraying the escaping flea. Nevertheless, the repetition adds to the humour of the setting: with each re-statement of the flea motif vocal line, Mephistopheles attempts to show off his singing ability to the merry-makers in the tavern, and becomes increasingly ludicrous to the listener.

### **5.8 Kreutzer's Recitativo und Romanze': musical setting**

As with many of his settings of Goethe's *Faust* – including Mephistopheles' 'Song of the Flea' – Kreutzer introduces the Lied with a declamatory passage. In this Recitativo, Mephistopheles informs Faust that he will sing a moral song to confuse Gretchen's sense of right and wrong, and Kreutzer's decision to set these words to music underlines his intention to show Mephistopheles as the mediator and manipulator in Faust and Gretchen's relationship and their tragedy. The vocal line of the Recitativo is confined to the upper region of the bass voice and is characterised by vocal leaps, illustrating Mephistopheles' confidence as he

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<sup>811</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 68.

proclaims himself to be a 'gifted artist'. Analysis of the opening vocal rhythm of the *Romanze* shows Kreutzer's conformance to the BRD (see Example 5.13a, 5.13b and 5.13c).

**Example 5.13a: Simple BRD of Goethe's *Nacht*, ll. 3682-3683**

Was machst du mir vor Lieb - chens Thür,

**Example 5.13b: BRD-variant of Goethe's *Nacht*, ll. 3682-3683**

Was machst du mir vor Lieb - chens Thür,

**Example 5.13c: Opening vocal line of Kreutzer's 'Recitativo und Romanze'**

Was machst du mir vor Lieb - chens Thür,

For almost the entirety of the Lied, Kreutzer adheres to Goethe's iambic metre; poetic stresses and musical downbeats concur, there is equivalence in foot durations and regularity in distance between stresses, and the caesuras at the end of stanzas are often met with appropriate silences. There are, however, elongations in the song which qualify as deviations from the BRD. Kreutzer interjects one or both lines of Mephisto's final warning ('nur nichts zu Lieb / als mit dem Ring am Finger') ['Do nothing at all / Till you've got the ring on your finger'] at various points towards the end of the song. These statements are unpredictable and are sometimes met with elongations of stress. This causes the rhythm to be displaced and the pace of declamation to slow, emphasising Mephisto's ominous warning to Gretchen.

It is important to note the parallels between Kreutzer's 'Song of the Flea' and 'Recitando und Romanze'. In the 'Song of the Flea', Mephistopheles is introduced to us with a V–I progression in G major in the piano accompaniment and this tonal association is carried forward into Mephisto's serenade as in 'Recitando und Romanze', the same harmony is used to begin the Lied. If we consider G major as representing the more malevolent side of Mephistopheles' being as he addresses Faust in the Recitando, then the C major association can be interpreted as Mephisto playing on Gretchen's purity and innocence. Kreutzer conveys Mephistopheles' addressing of Gretchen in the lyrics 'Kathrinchen, hier' ['Kate, here'] and 'als Mädchen ein' ['a maid so fair'] with a change in tonality – a pivot chord of A minor facilitates the median modulation from C major to A minor and exposes mediant relations.

Kreutzer uses the augmented sixth chord in the form of the Italian Sixth to mock Gretchen. Prior to the introduction of the Italian Sixth, Kreutzer interchanges tonalities as he progresses from the tonic major in bar 44 to the tonic minor in bar 45. This musical device is reminiscent of his contemporary Schubert, and on this occasion, it creates dramatic tension and makes the introduction of the Italian Sixth in bars 46–48 more striking. The Italian Sixth conveys the word 'armen' ['poor'] in the line 'ihr armen, armen Dinger! ['you poor, poor thing']'.<sup>812</sup> Kreutzer chooses to repeat this line and on its second statement in bars 50–53, it is accompanied by *rallentando* and *calando* directions, which emphasise Mephistopheles' patronisation of Gretchen (see Example 5.14).

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<sup>812</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 117.

**Example 5.14: Kreutzer, 'Recitativo und Romanze', bars 50–53**

Kreutzer's use of tonality enables Mephistopheles' insincerity to pierce through his serious attempt to corrupt Gretchen's moral sense of right and wrong. The focal point of Kreutzer's 'Romanze' is the line 'nur nichts zu Lieb / als mit dem Ring am Finger!' ['Do nothing at all / Till you've got the ring on your finger'].<sup>813</sup> Kreutzer takes these lines and plays on the listener's expectations with his harmonic cadences and this, in turn, portrays the idea that Mephistopheles is enjoying his manipulation of Gretchen through the serenade. In bar 59, a chromatic step in the right-hand accompaniment shifts the tonality from C Major to D minor before an authentic cadence in D minor is sounded in bar 60. Kreutzer uses this change in tonality to create dramatic tension by halting the arpeggio figuration in bar 61 to slowly progress to the subdominant and dominant in the D minor context. In bars 63–64, the tonic key returns through the striking #IVdim7–Ic–Va–Ia progression (see Example 5.15).

**Example 5.15: Kreutzer, 'Recitativo und Romanze', bars 61–65**

<sup>813</sup> Ibid.



## 5.9 Loewe's 'Szene aus Faust': musical setting

Loewe set Goethe to music more than any other poet with 53 settings in total, nine of which were based on *Faust I* or *Faust II*. Loewe had met Goethe at the poet's summer residence in Jena in 1820, and the composer claims to have been well received by Goethe.<sup>814</sup> Goethe invited Loewe to visit him in Weimar and play some of his settings for him, but that meeting never took place.<sup>815</sup> Paul Althouse argues that Loewe's interest in the ballad, which can be observed in his compositions of the 1820s, most likely influenced his discussions with Goethe.<sup>816</sup> Loewe's interest in Goethe declined until 1833 and the catalyst for renewing his interest in the poet was the posthumous publication of *Faust II*. In 1833, Loewe's ability to compose was hindered by a 'neuropathical ailment' and the composer therefore concentrated much of the year writing his *Commentar zum zweiten Theile des Goetheschen Faust*, which was published by Logier in Berlin in 1834.<sup>817</sup> Over a three-year period, Loewe composed seven settings from Goethe's *Faust II* as well as 'Szene aus Faust' based on Goethe's *Zwinger* scene.

Analysis of the opening vocal melody reveals an immediate deviation from the BRD (see Example 5.16a, 5.16b, 5.16c and 5.16d)

### Example 5.16a: Simple BRD of Goethe's *Zwinger*, ll. 3587-3589

Ach nei - ge, du Schmer - zen - rei - che, dein Ant - litz gnä - dig mei - ner Not!

<sup>814</sup> Paul Leinbach Althouse, *Carl Loewe (1796–1869): His Lieder, Ballads and Their Performance* (PhD diss., Yale University, 1971), pp. 29–31.

<sup>815</sup> Carl Loewe in Paul Leinbach Althouse, *Carl Loewe (1796–1869): His Lieder, Ballads and Their Performance*, p. 29.

<sup>816</sup> *Ibid.*, p. 31.

<sup>817</sup> *Ibid.*, p.45.

**Example 5.16b: BRD-variant of Goethe's *Zwinger*, ll. 3587-3589**



Ach nei - ge, du Schmer-zen - rei - che, dein gnä - dig Ant - litz mei - ner Noth!

The musical notation is a single staff in treble clef with a common time signature (C). It consists of seven measures. Above each measure, there is an asterisk (\*). The notes are: M1: quarter note G4; M2: quarter note A4, quarter note B4; M3: quarter note C5, quarter note B4; M4: quarter note A4, quarter note G4; M5: quarter note F4, quarter note E4; M6: quarter note D4, quarter note C4; M7: quarter note B3, quarter note A3. There are slurs under the pairs (A4, B4), (C5, B4), (A4, G4), (F4, E4), and (D4, C4). The piece ends with a double bar line and a repeat sign.

**Example 5.16c: Hypothetical BRD-conformant vocal line for Loewe's 'Szene aus Faust', bars 2–6**



Ach nei - ge, du Schmer-zen - rei - che, dein gnä - dig Ant - litz mei - ner Noth!

The musical notation is a single staff in treble clef with a common time signature (C). It consists of six measures. Above each measure, there is an asterisk (\*). The notes are: M1: quarter note G4; M2: quarter note A4, quarter note B4; M3: quarter note C5, quarter note B4; M4: quarter note A4, quarter note G4; M5: quarter note F4, quarter note E4; M6: quarter note D4, quarter note C4. There are slurs under the pairs (A4, B4), (C5, B4), (A4, G4), and (F4, E4). The piece ends with a double bar line and a repeat sign.

**Example 5.16d: Opening vocal line of Loewe's 'Szene aus Faust'**



Ach nei - ge, du Schmerz-en - rei - che, dein gnä-dig Ant - litz mei - ner Noth!

The musical notation is a single staff in treble clef with a common time signature (C). It consists of six measures. Above each measure, there is an asterisk (\*). The notes are: M1: quarter note G4; M2: quarter note A4, quarter note B4; M3: quarter note C5, quarter note B4; M4: quarter note A4, quarter note G4; M5: quarter note F4, quarter note E4; M6: quarter note D4, quarter note C4. There are slurs under the pairs (A4, B4), (C5, B4), (A4, G4), and (F4, E4). The piece ends with a double bar line and a repeat sign.

Loewe departs from the BRD in bar 3 as a means of word painting to illustrate Gretchen's anguish; depending on choice of musical metre, the arrival of the poetic stress 'Schmerz' on the anacrusis arrives either too early or too late. In any case, the poetic rhythm is disturbed before the listener can get any sense of a pattern. Many musical devices in Loewe's declamatory style are exhibited in the opening bars – the use of upper auxiliary notes, repetition of pitches, stepwise ascending and descending movement, chromatic movement, registral and durational accents – and all of these techniques contribute to Loewe's impressive declamation of the text. Despite the simplicity of Loewe's setting, 'Szene aus Faust' exhibits many effective examples of word-painting that add to the dramatic intensity of the scene and the creation of Gretchen's musical persona. A prime example of this occurs in bar 18 as the word 'zittert' ['trembles'] is underscored with a dramatic shift in register in both the left-hand and right-hand piano accompaniment and the use of a tonic pedal in bar 18, establishes a

trembling effect. The tension only subsides when an authentic cadence is heard in bar 19, confirming B flat minor as the key. A second example is the musical sighs which take place in bars 22–23 and 25–26 on the lines 'wie weh', wie weh, wie wehe' ['How sad, how sad, how sad'] and 'ich wein', ich wein', ich weine' ['I weep, I weep, I weep']. Loewe takes an incredibly dramatic approach by combining *staccato*, *marcati* and *crescendi* to create a gesture that implies Gretchen's exhausted cries. The duration of the sighs is extended with every statement, and the caesuras of Goethe's poetry are neglected, lending to a dramatic portrayal of overwhelming emotion (see Example 5.17).

**Example 5.17: Loewe, 'Szene aus Faust', bars 25–26**

The image shows a musical score for two staves. The top staff is the vocal line, and the bottom staff is the piano accompaniment. The key signature is one flat (B-flat minor). The time signature is 4/4. The vocal line starts at bar 25 with the lyrics 'lei - ne, ich wein', ich wein', ich wei - ne, das Herz zer - bricht in'. A crescendo marking is placed above the vocal line, and a fermata is placed over the final note of the phrase. The piano accompaniment consists of chords in the right hand and a bass line in the left hand.

These musical tropes are simplistic and tie in with trends of the 1830s, yet they are effective in conveying Gretchen's persona and illustrate Loewe's competency in text setting.

'Szene aus Faust' begins in G minor – an example of the play on the association of the Mozartian tragic key – and Loewe's use of this key relates to Gretchen's plight. 'Szene aus Faust' is presented in modified strophic form, as Loewe divides Goethe's text into musical sections with Goethe's rhythmic variations inspiring Loewe's musical variations. Sections B and C commence where the poetic rhythm is altered and the A section returns for the refrain. The form and structure of 'Szene aus Faust' is reminiscent of the ballad – Susan Youens describes ballads as being 'sectional compositions' where 'each stage of the story is given its

own identity'<sup>818</sup> – that definition could certainly be applied to 'Szene aus Faust'. In the A section (bars 1–14), Gretchen's prayer is assigned the tonality of G minor, the section characterised by the frequent exposition of a tonal oscillation between G minor and its relative major, B flat major. The first example of this occurs in the opening bar of the piano introduction, where a tonic to subdominant progression in G minor is followed immediately by a tonic to dominant progression in B flat major (see Example 5.18).

**Example 5.18: Loewe, 'Szene aus Faust', bar 1**

This oscillation suggests Gretchen's inner conflict and it recurs as an interlude at moments where her turmoil is evident in Goethe's text. In bar 27, the oscillation follows the lyric 'Herz zerbricht in mir' ['My heart breaks'], marking the conclusion of section B (bars 14–27) and in bars 35–36, the oscillation precedes Gretchen's cry for help, which concludes section C (bars 28–36). Loewe uses tonality to emphasise particular words which convey the more extreme emotions and conditions of Goethe's text. In bars 8–10 on the line 'blickst auf zu deine Sohnes Tod' ['look at your Son's death'] and bars 12–14 on the line 'hinauf und sein' und deine Not!' ['Thy sighs rise through the air / From his death-agony, from thy despair']<sup>819</sup>, stepwise chromatic movement in the vocal line and accompaniment allows the tonic to meander

<sup>818</sup> Susan Youens, *Heinrich Heine and the Lied* (Cambridge: Cambridge University Press, 2007), p. 14.

<sup>819</sup> Johann Wolfgang Goethe, *Faust. Part One*, p.114.

through to the dominant. This use of chromaticism to highlight significant aspects of the text is reminiscent of the recitatives of J. S. Bach (1685–1750). The 1830s was a decade governed by simplicity, and the Bach revival – instigated by Mendelssohn's arrangement of *Matthäus-Passion* which was performed by the Sing-Akademie in Berlin on 11 March 1829 – was a significant influence on the aesthetic of song during this period. Loewe was undoubtedly familiar with Bach's 'Matthäus-Passion' as Zelter had introduced him to the work in 1821 when inviting Loewe to his home to assess his capability for a position in Stettin.<sup>820</sup> Loewe noted that 'Matthäus-Passion' had not been printed at this point and was unknown.<sup>821</sup> The work must have made a lasting impression on the composer as Loewe – who Paul Althouse suggests was envious of Felix Mendelssohn – followed Mendelssohn's lead in conducting 'Matthäus Passion', the performance of which took place in Stettin in April 1831.<sup>822</sup>

Loewe's settings from *Faust II* show him to be a more capable composer than 'Szene aus Faust' may suggest, but the simplicity of 'Szene aus Faust' is appropriate given the content of Goethe's text. Reducing the piano accompaniment to a subservient role highlights Gretchen's isolation as she prays, and the personal nature of her prayer. As noted by Lorraine Byrne Bodley, Schubert's earlier 1817 fragmentary setting of 'Gretchen im Zwinger' utilises the accompaniment in the same way, merely using the piano to support the vocal line.<sup>823</sup> Schubert differs to Loewe in that his use of tonality is intrinsic to the poetic progression of Goethe's text, whereas it is more of an ornamental feature in Loewe's setting. We can conclude that the sparse accompaniment in Loewe's 'Szene aus Faust' is in response to the religious dimension of Goethe's *Zwinger* scene as Loewe's accompaniments have been identified as the most progressive element of his *oeuvre* by song scholars. Further evidence

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<sup>820</sup> Paul Leinbach Althouse, *Carl Loewe (1796–1869): His Lieder, Ballads and Their Performance* (PhD diss., Yale University, 1971), p. 32.

<sup>821</sup> Carl Loewe in Paul Leinbach Althouse, *Carl Loewe (1796–1869): His Lieder, Ballads and Their Performance*, p. 32.

<sup>822</sup> *Ibid.*, p. 40.

<sup>823</sup> Lorraine Byrne, *Schubert's Goethe Settings*, p. 348.

that the vocal line assumes importance over the accompaniment can be found in Loewe's piano introduction, piano interludes and piano postlude – all of which span less than two bars and are therefore shorter than the four bars Deborah Stein regards as typical in the nineteenth-century Lied.<sup>824</sup> The short piano introduction evokes Schubert; both Schubert's 'Gretchen am Spinnrade' and 'Gretchen im Zwinger' feature piano introductions which are less than two bars in length.

### 5.10.1 Loewe's 'Lynceus, der Thürmer, auf Faust's Sternwarte singend': poetic source

**Table 5.5: Goethe, *Faust II*, *Tiefe Nacht*, ll. 11288–11303**

'Lynceus, der Thürmer'		'Lynceus, the Watchman' <sup>825</sup>
Zum sehen geboren,		A watchman by calling,
Zum Schauen bestellt,		Far-sighted by birth,
Dem Turme geschworen	11290	From this tower, my dwelling,
Gefällt mir die Welt.		I gaze at the earth:
Ich blick' in die Ferne,		At the earth near and far
Ich seh' in der Näh'		At the world far and near
Den Mond und die Sterne,		At the moon and the stars,
Den Wald und das Reh.	11295	At the woods and the deer.
So seh' ich in allen		A beauty eternal
Die ewige Zier,		In all things I see,
Und wie mir's gefallen,		And the world and myself
Gefall' ich auch mir,		Are both pleasing to me.
Ihr glücklichen Augen,	11300	Oh blest are these eyes,
Was je ihr gesehn,		All they've seen and can tell:
Es sei, wie es wolle,		Let it be as it may—
Es war doch so schön!		They have loved it so well!

Loewe's 'Lynceus der Thürmer' is derived from the *Tiefe Nacht* scene of Goethe's *Faust II*. Boyle describes Lynceus, der Thürmer – the watchman of the tower – as an important outside observer and witness, whose function at this stage of the drama is to voice that which his eyes see.<sup>826</sup> He bears witness to Faust's attempts to live in accordance with the pact, and he has observed defining moments in Faust's career, such as the arrival of Helen in Act III and the

<sup>824</sup> Deborah Stein and Robert Spillman, *Poetry into Song* (Oxford: Oxford University Press, 1996), p. 174.

<sup>825</sup> Johann Wolfgang Goethe, *Faust. Part Two* (Oxford: Oxford University Press, 2008), pp. 214–215.

<sup>826</sup> Nicholas, Boyle, 'Goethe's Theory of Tragedy', *The Modern Language Review* Vol. 105, No.4 (October 2010), p. 1084.

arrival of his spoils from overseas in Act V.<sup>827</sup> The lines Loewe has selected for his setting serves as a commentary on the beauty of nature, and it is expressed as a reflection of this beauty since the darkness of the night prevents Lynceus from observing beauty, which E. A. Bucchianieri believes he had been ordered to do.<sup>828</sup> Lynceus' song continues beyond the lines Loewe chose to set to song, and these lines contain Lynceus' recognition of the destructive force of human nature on the nature of the world. By omitting these lines, Loewe chose to focus solely on conveying the beauty of the world through the reflections of the watchman on the tower.

### 5.10.2 Loewe's 'Lynceus, der Thürmer, auf Faust's Sternwarte singend': musical setting

Stress analysis of Goethe's 'Lynceus, der Thürmer' reveal lines of amphibrachic dimeter to be the prevailing metre (see Example 5.19).

#### Example 5.19: Stress analysis of Goethe's 'Lynceus des Thürmer'

\*            \*

Zum Sehen geboren,  
           \*            \*

zum Schauen bestellt

Analysis of the basic rhythmic declamation shows that Loewe deviates from the poetic metre in employing syncopated vocal rhythms (see Example 5.20a, 5.20b, 5.20c and 5.20d).

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<sup>827</sup> Ibid.

<sup>828</sup> E.A. Bucchianieri, *Faust: My Soul be Damned for the World*, p. 432.

**Example 5.20a: Simple BRD of Goethe's *Tiefe Nacht*, ll. 11288–11291**

Zum Se - hen ge - bo - ren, zum Schau - en be - stellt, dem  
Tur - me ge - schwo - ren, ge - fällt mir die Welt.

**Example 5.20b: BRD-variant of Goethe's *Tiefe Nacht*, ll. 11288–11291**

Zum Se - hen ge - bo - ren, zum Schau - en be - stellt,

**Example 5.20c: Hypothetical BRD-conformant vocal line for Loewe's 'Lynceus, der Thürmer, auf Faust's Sternwarte singend', bars 6–10**

Zum Se - hen ge - bo - ren, zum Schau - en be - stellt,

**Example 5.20d: Opening vocal line of Lynceus der Thürmers'**

Zum Se - hen ge - bo - ren, zum Schau - en be - stellt,

The first unstressed syllable of each amphibrach is met with an anacrusis and the internal stressed syllable of the foot falls on structural downbeats, but Loewe assigns durational emphasis to the second unstressed syllable of each unit. These deviations from the basic rhythmic declamation turn Goethe's narrative poetry into a contemplative song where Lynceus takes time to appreciate the beauty of nature from his watchtower. The use of



durational accents to observe caesuras on masculine line endings contributes to the ponderous feel of the setting, which is established from the outset with the initial tempo indication, *adagio tranquillo, e con molto sentimento*.

Tonal oscillations characterise Loewe's 'Lynceus, der Thürmer', even more so than Loewe's 'Szene aus Faust'. Lynceus – meaning lynx-eyed – takes his name from a figure of Greek mythology noted for his vision. Aside from the piano introduction, piano interlude and piano postlude – which are all presented in B major – there is no prolonged period in a given tonality due to the frequent oscillations in the Lied. Evidently a stylistic feature of Loewe's song output, the tonal oscillations convey textual meaning. Oscillations to-and-from B major depict Lynceus looking out over the watchtower. The oscillations between G minor and E major in bars 15–22 portray the sense of opposition between what is near and far in ll. 11292–11295 of Goethe's text; what is on earth and not on earth. As for the frequency of the oscillations, these can be attributed to Lynceus' heightened senses in the darkness of the night; both Lynceus and the night are still, yet nature stirs emotions in him.

In this setting, the imaginative use of the piano accompaniment that Ewan West noted comes into its own.<sup>829</sup> The deep night is suggested with a sustained pedal in the left-hand accompaniment which outlines consonant intervals – in particular, the relationship between the tonic and the perfect fifth above it. The outlining of the most consonant of intervals in the perfect fifth suggests the absolute beauty of nature. The use of pedal piano portrays the depth of the night, while the sustenance of the accompaniment texture depicts the stillness of the night. The left-hand accompaniment texture is only ever broken on one occasion – in bar 44 with the transition of G sharp minor to B major via unaccented passing notes – and this is for the depiction of the line 'es war doch so schön' ['it was so beautiful']. The change in accompaniment texture coincides with the arrival on the relative major and the repetition of

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<sup>829</sup> Ewan West, 'Loewe, Carl', *Grove Music Online* [Accessed 30 January 2014]

the tonic tetrachord in the left-hand accompaniment. These devices combine to emphasise the beauty of nature and they enable Lynceus to become spiritually detached from his surroundings for a brief moment, with the #IVdim7 chord in bar 45 bringing Lynceus back to the night (see Example 5.21).

**Example 5.21: Loewe, 'Lynceus der Thürmer', bars 44–46**

The image shows a musical score for three bars of a piece. The top staff is the vocal line in G major (one sharp) and 8/8 time. The lyrics are: schön, es war doch so schön, es. The bottom two staves are the piano accompaniment. The left hand plays a falling arpeggiated figure, and the right hand plays a rising arpeggiated figure. There are some performance markings like '220' and '20' in the left hand.

The falling gesture in the vocal line is reminiscent of a gesture contained in the left-hand accompaniment in bar 10, which immediately follows the line 'Zum Schauen besellt' ['appointed to look'], therefore in the present context, it can be interpreted as a moment of reflection for Lynceus on the observations he has made from his watchtower. In bar 16, the rising arpeggiated form of G sharp minor following the words 'Ich blick' in die Ferne' ['At the earth near and far'] portrays Lynceus looking out for beauty from his watchtower.<sup>830</sup> The presentation of the gesture in G sharp minor – the relative minor of the home key – is significant as it conveys perspective in the idea of seeing both far and near. The gesture returns in the context of B major in bar 40, depicting Lynceus' appreciation of nature in the lines 'was je ihr gesehn' ['Oh blest are these eyes'] and once again in bar 46 to convey 'schön'

<sup>830</sup> Johann Wolfgang Goethe, *Faust. Part Two*, p. 214.

[‘beautiful’]<sup>831</sup> Loewe also uses the gesture to deceive the listener in bar 18. The rising arpeggio figuration is presented in the context of E major and anticipates the tonic of the subdominant key, but the secondary dominant provides the transition into G sharp minor. This use of the diminished secondary dominant also functions as a means of word painting on ‘Nah’ [‘close’] as the arpeggiated figure that was moving further into the realm of the more distant subdominant key has been brought closer to the tonic key through a change in tonality. It is this innate ability to convey poetic meaning through the piano accompaniment that distinguishes Loewe from his contemporaries, at least on an aesthetic level.

### **5.11 Leopold Lenz's *Gesänge und Lieder aus der Tragödie Faust von Goethe***

*Gesänge und Lieder aus der Tragödie Faust von Goethe*, was published by Schott in Mainz, Paris and Antwerp in 1833. It consists of nine settings divided into two parts. The choice of poetry for *Gesänge und Lieder* is interesting as Lenz sets the songs within Goethe's *Faust* but unlike many of his contemporaries, does not venture further in setting monologues or dialogue. As a result, the texts in Lenz's song collection are common settings, although this may have contributed to their neglected status in musicology. It is interesting to note Lenz's disregard for the chronology of Goethe's *Faust* in the ordering of his settings – an idiosyncrasy shared with Wagner. The songs attributed to Franz Wild (1791–1860) cannot be performed consecutively on stage as their ordering distorts the dramatic narrative. Furthermore, there is no tonal coherence between the settings in either part which suggests these songs should be considered as individual settings within the song collection. If anything, the ordering of the settings and even the ordering of the parts is indicative of an economic strategy. Part I – the Gretchen settings – were priced at one Guilder and 45 Kreuzer while the settings in Part II were available at the more affordable price of one Guilder and 12

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<sup>831</sup> Ibid.

Kreuzer. The difference in the amounts reflects the appetite for Gretchen settings in 1833 and the structure of the settings and the respective prices of the parts may demonstrate a financial motive to capitalise on their popularity. This may also explain the inclusion of the two versions of 'König in Thule'.

### 5.12.1 Lenz's 'Der König in Thule' (first version): poetic source

**Table 5.6: Goethe, *Faust I, Abend*, 'Der König in Thule', ll. 2759 –2782**

<b>'Der König in Thule'</b>		<b>'The King in Thule'<sup>832</sup></b>
Es war ein König in Thule, Gar treu bis an sein Grab, dem sterbend seine Buhle einen goldnen Becher gab.	2760	There once was a king of Thulè Of the far north land of old: His dying lady he loved so truly She gave him a cup of gold.
Es ging ihm nichts darüber, er leert ihn jeden Schmaus die Augen gingen ihm über, so oft er trank daraus.	2765	There was nothing so dear to the king, And every time he wept As he drained that cup at each banqueting, So truly his faith he kept.
Und als er kam zu sterben, zählt er seine Städt' im Reich, gönt' Alles seinem Erben, den Becher nicht zugleich.	2770	And at last, they say, on his dying day His kingdom was willed and told, And his son and heir got all his share— But the king kept the cup of gold.
Er saß beim Königsmahle, die Ritter um ihn her, auf hohem Vätersaale, dort auf dem Schloß am Meer.		They feasted long with wine and song, And there with his knights sat he, In the ancestral hall, in his castle tall On the cliffs high over the sea.
Dort stand der alte Zecher trank letzte Lebensgluth, und warf den heiligen Becher hinunter in die Fluth.	2775	The old man still drank as his life's flame sank, Then above the waves he stood, And the sacred cup he raised it up, Threw it down to the raging flood.
er sah ihn stürzen, trinken und sinken tief in's Meer, die Augen thäten ihm sinken, trank nie einen Tropfen mehr.	2780	He watched it fall to the distant shore And sink in the waters deep; And never a drop that king drank more, For he'd closed his eyes to sleep.

Goethe's 'Der König in Thule' is heard in the *Abend* scene (ll. 2759–2782) and is the first song to be sung by Gretchen in the play. In the previous scene *Strasse*, Gretchen and Faust have a fleeting encounter which has a profound effect on both protagonists. Now in her room

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<sup>832</sup> Ibid., pp. 86–87.

late in the evening, Gretchen recalls the meeting and sings as she gets ready for bed. An entry in Goethe's autobiography *Dichtung und Wahrheit* suggests 'Der König in Thule' was written in 1774 as the poet worked on *Urfaust*.<sup>833</sup> 'Der König in Thule' made its way into the first instalment of *Faust* and received its own distinct publication in 1782 – the same date as the earliest known setting of 'Der König in Thule' and *Faust*. Ellis Dye notes the tragic irony of the ballad's theme within the context of the drama – it is a song about faithfulness in love, but Gretchen will be disowned by Faust.<sup>834</sup>

Goethe's 'Der König in Thule' is organised into six quatrains with an *abab* rhyme scheme. Stress analysis of the text unveils alternating lines of iambic trimeter (see Example 5.22).

**Example 5.22: Stress analysis of 'Der König in Thule', ll. 2759–2760**

\*        \*        \*

Es war ein König in Thule,  
           \*        \*        \*

Gar treu bis an sein Grab,

The iambic rhythm and line length are suitable for story-telling while the external caesuras on masculine line endings pace the poetry. There is only one internal caesura in 'Der König in Thule' which serves to facilitate enjambment and emphasise the internal rhyme of 'trinken' and 'sinken' in ll. 2779–2780. Sound connections are of significance in this text as evinced by the 'e' and 'ei' light vowel sounds in the assonant lines 'Dem sterbend seine Buhle / Einen goldnen Becher gab' ['His dying lady he loved so truly / She gave him a cup of gold'].<sup>835</sup> The contrast between light and dark vowel sounds is of importance. Lighter vowel sounds dominate the first stanza as we learn of the king's devotion to his wife whereas darker 'ü' and

<sup>833</sup> E. A. Bucchianeri, *My Soul Be Damned For The World Volume II*, p. 678.

<sup>834</sup> Ellis Dye, *Love and Death in Goethe: One and Double* (New York: Camden House, 2004), p. 51.

<sup>835</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 86.

'au' vowel sounds appear on end-rhymes in the second stanza as the king's sorrow becomes clear. It is interesting to note the re-emergence of lighter vowel sounds in the final stanza for the passing of the king as it suggests peace can be found in death, foretelling Gretchen's fate.

### 5.12.2 Lenz's 'Der König in Thule' (first version): musical setting

Analysis of the vocal rhythms in the first version of Lenz's 'Der König in Thule' reveals slight deviations from the BRD to be typical at feminine line endings – the elongation of stress on 'Thule' is a relevant illustration (see Example 5.23a, 5.23b, 5.23c and 5.23d).

#### Example 5.23a: Simple BRD of Goethe's *Abend*, ll. 2759–2760

Es war ein Kö - nig in Thu - le, gar treu bis an sein Grab,

#### Example 5.23b: BRD-variant of Goethe's *Abend*, ll. 2759 –2760

Es war ein Kö - nig in Thu - le gar treu bis an sein Grab,

#### Example 5.23c: Hypothetical BRD-conformant vocal line for Lenz's 'Der König in Thule' (first version), bars 6–10

Es war ein Kö - nig in Thu - le, gar treu bis an sein Grab,

#### Example 5.23d: Opening vocal line of Lenz's 'Der König in Thule' (first version)

Es war ein Kö - nig in Thu - le, gar treu bis an sein Grab,

These elongations substitute the internal caesuras of Goethe's poetry and do not relate to the depiction of the text. There is a general compliance with the BRD in this setting; durational and registral accents are commonly found on structural downbeats while most of the external caesuras in the text are observed by Lenz either through rests or fermatas. There are, however, phrase interpolations which lead to a deceleration in the pace of declamation and these departures from the BRD suggest textual meaning. The first of these expansions occurs in bars 85–89 on the line 'hinunter in die Fluth' ['down into the flood'] as the dominant is suspended into the following bar where a falling C major arpeggio is heard in the vocal line, depicting the golden goblet tumbling into the sea. The second phrase expansion enables the internal rhyme of 'trinken' and 'sinken' in bars 94–97 to be emphasised through modulations – 'trinken' is sung over an authentic cadence in the new key of A major before a modulation to the home key of E minor via a secondary dominant takes place on 'sinken'.

This version of Lenz's 'Der König in Thule' begins and concludes in the key of E minor, although the piano introduction is tonally ambiguous, suggesting both G major and E minor as possible tonalities prior to establishing E minor as the tonic, albeit via a tonic – dominant progression as opposed to the typical dominant – tonic progression produced by the authentic cadence. The conflict between the relative major/minor pairing in the piano introduction represents the duality of poetic meaning – there is the interpretation of the ballad of 'King in Thule' as its own entity and our understanding of the song in the context of Gretchen's tragedy. It is appropriate that this is conveyed prior to Gretchen singing as the audience has been made aware of Gretchen's inkling that something is amiss in ll. 2756–2757 ('Es wird mir so, ich weiß nicht wie – / Ich wollt, die Mutter käm nach Haus') ['I've got a feeling something's wrong – I hope my mother won't be long'].<sup>836</sup>

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<sup>836</sup> Ibid.

Lenz structures the Lied in ternary form with the A and B sections defined by the relative major/minor pairing of G major and E minor. The first and second strophes – illustrating the king's fidelity to his lover – are predominantly in E minor. A variation of the A section conveys the fifth and sixth strophes, where the king's devotion to his beloved is brought to an end with his passing – it is clear Lenz is associating E minor with the king's faithfulness. The intervening B section in G major conveys the festivities of 'Königsmahle' or royal banquet. The only other tonality Lenz uses is the subdominant (A minor) which appears to represent death. The first modulation to A minor occurs in bars 11–13 on the line 'Dem sterbend seine Buhle' ['his dying lady he loved so truly'] and the final modulation to A minor takes place in the initial statement of the concluding lines ('Die Augen täten ihm sinken / Trank nie einen Tropfen mehr.') ['And never a drop that king drank more, / For he'd closed his eyes to sleep'].<sup>837</sup> These modulations tend to be facilitated by secondary dominants, but it is worth noting that the diminished seventh chord doubles as a means of word-painting with 'Zecher' in bar 80 a notable case (Example 5.24).

**Example 5.24: Lenz, 'Der König in Thule' (first version), bar 80**

<sup>837</sup> Ibid., pp. 86–87.



The primary function of the accompaniment is to provide harmonic support to the vocal line but there are subtle changes in accompaniment texture which suggest textual meaning. On the third statement of the line 'die Augen gingen ihm über' [his eyes went over him] in bars 38–39, the accompaniment moves away from mere block chords and briefly revolves around an acciaccatura in the right-hand accompaniment. This acciaccatura forms the basis of the melody for the piano interlude which takes place at the end of this strophe in bars 45–48, leading into the B section in G major. The change in accompaniment texture therefore insinuates drunkenness. Another slight change in the accompaniment texture takes place in bars 95–96 on 'trinken und sinken' – Lenz focuses attention on the internal rhyme and creates dramatic suspense by leaving the text unaccompanied for a beat either side of a diminished seventh chord. The composer deploys the exact same concept – leaving the accompaniment bare before and after a diminished seventh chord – in bars 108–109 to emphasise 'nie' ['never'].

### 5.12.3 Lenz's 'Der König in Thule' (second version): musical setting

Analysis of the initial vocal rhythm of the second version of 'Der König in Thule' reveals similarities in the way in which both versions of the text are declaimed – the final stress in each line of iambic tetrameter is elongated, sufficing as a departure from the BRD (see Example 5.25a, 5.25b and 5.25c).

#### Example 5.25a: BRD-variant of Goethe's *Abend*, ll. 2759–2760

The image shows a musical staff in treble clef with a common time signature. The melody consists of eighth and quarter notes. There are six asterisks (\*) placed above the notes corresponding to the stressed syllables in the lyrics: 'war', 'Kö - nig', 'Thu - le', 'gar', 'treu', and 'Grab,'. The lyrics are written below the staff with hyphens under 'Kö - nig' and 'Thu - le'.

**Example 5.25b: Hypothetical BRD-conformant vocal line for Lenz's 'Der König in Thule' (second version), bars 8–12**

Es war ein Kö - nig in Thu - le gar treu bis an das Grab,

**Example 5.25c: Opening vocal line of Lenz's 'Der König in Thule' (second version)**

Es war ein Kö - nig in Thu - le gar treu bis an das Grab,

On this occasion, there are two phrase interpolations which are significant as the remainder of Lenz's vocal lines in 'Der König in Thule' are standard four-bar phrases. The first of the interpolations is reminiscent of Lenz's first version of 'Der König in Thule' – the interpolation takes place on 'hinunter in die Fluth' in bars 59–62 and the image of the falling goblet is portrayed on this occasion with a descending E minor vocal arpeggio. The second interpolation is found in bars 80–84 on the line 'Trank nie einen Tropfen mehr'. Lenz interpolates the phrase to convey the notion of the king dying, creating his own caesuras after 'sinken' and 'nie' to heighten the drama of the final line.

This setting of 'Der König in Thule' has a tonal design which relates to its sister setting in Lenz's collection, exposing a relative major/minor relationship between the two songs. It is interesting to note that the tonality of this setting of 'Der König in Thule' reflects the tonality of the language in Goethe's poetry – major tonality corresponds with lightness in the quality of the poetry with the minor tonality reserved for language that is more harsh. The song begins and concludes in G major with both the opening strophe and the final strophe in G major for the entirety of each verse, creating the association between the major tonality and the relationship between the king and his lover, and the symbolic significance of the goblet. The second strophe sees Lenz venture to the relative minor (E minor) and navigate its way to

the subdominant (A minor) via the submediant key. The modulation to A minor takes place in the third line of the stanza, 'Die Augen gingen ihm über' while dominant harmony of E minor is heard on the final line of the verse ('So oft er trank daraus.') ['So truly his faith he kept'].<sup>838</sup> The modulation to A minor signposts the ending of the song by drawing attention to the king's habit of drinking at the royal banquet and his devotion to his wife. The modulations to-and-from E minor have a secondary function of serving to emphasise the harsh end-rhymes in the second strophe. That A minor relates to the festivities at the royal banquet is further evinced with a modulation to A minor in bar 44 for the lines 'Er saß beim Königsmahle, / Die Ritter um ihn her,' ['They feasted long with wine and song, / And there with his knights sat he'].<sup>839</sup>

The main role of the piano accompaniment in this setting is to provide harmonic support to the vocal line, however, Lenz alters the accompaniment texture throughout the setting to convey meaning. The most obvious change in accompaniment texture is in bar 36 for the depiction of the third stanza, where triplet arpeggios sound in the right-hand accompaniment as the monarch comes to realise that he is dying. The change in accompaniment texture signals a change in the poetic mood. The arpeggios – combined with appoggiaturas on 'sterben' ['dying'] and 'Erben' ['inherit'] – continue the progression of the triplet figuration into the bass in bar 43 where it continues for the remainder of the setting, and *staccato* in the left-hand accompaniment with the indication *marcato ma piano* give the impression that the king is dying and has not got long left (Example 5.26).

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<sup>838</sup> Ibid., p. 86.

<sup>839</sup> Ibid., p. 87.

**Example 5.26: Lenz, 'Der König in Thule (second version), bars 40–43**

This interpretation sheds light on the previous change in accompaniment texture on 'So oft er trank daraus' – where the left-hand accompaniment and right-hand accompaniment alternate briefly – and the purpose of the interlude on the dominant harmony of E minor. Although not explicitly outlined in Goethe's text, the change in accompaniment texture indicates the point in this setting of Lenz's 'Der König in Thule' that the king became ill. The changes in accompaniment texture not only convey Goethe's textual meaning, but Lenz's own interpretation of the text.

**5.13 Lenz's 'Ständchen des Mephistopheles': musical setting**

The most unusual setting in Lenz's *Gesänge und Lieder aus der Tragödie Faust von Goethe* is the interpretation of 'Mephisto's Serenade'. Analysis of the vocal rhythms unveil an elongation of strong stresses in the Lied which is beyond that necessitated by the BRD (see Example 5.27a, 5.27b, 5.27c and 5.27d).

**Example 5.27a: Simple BRD of Goethe's *Nacht*, ll. 3683– 3684**

**Example 5.27b: BRD-variant of Goethe's *Nacht*, ll. 3683– 3684**

Was machst du mir vor Lieb - chens Thür

**Example 5.27c: Hypothetical BRD-conformant vocal line for Lenz's 'Ständchen des Mephistopheles, bars 9–13**

Was machst du mir vor Lieb - chens Thür

**Example 5.27d: Opening vocal line of Lenz's 'Ständchen des Mephistopheles'**

Was machst - du mir vor Lieb - chens Thür

Many of the characteristics associated with BRD-conformant vocal rhythms are present in the initial melody; the pace of declamation is established at one stress per bar, there is an equivalence in foot durations and poetic and musical stress are congruent. The elongation of strong stresses, however, are significant deviations from the BRD and a more notable exception occurs in bars 16–18 and in bars 46–48 of the corresponding strophe as Lenz interpolates the vocal phrase. This creates suspense for a perfect cadence in F sharp minor which never arrives. Instead, Mephisto proceeds to issue his moral warning to Gretchen in A major and this is significant. Lorraine Byrne Bodley notes that in Schubert's setting of 'Erlkönig' – a setting which was held in high regard in Schubert's lifetime – the Erlking only ever speaks in a major key which represents the allurement of evil. It is interesting that Lenz, whose reverence for Schubert has been detected by Youens in a comparison of their *Wilhelm Meister* settings, uses the major tonality to portray Mephisto as a seducer, while the sinister,

mocking is contained to F sharp minor.<sup>840</sup> The first example of A major being used for Mephistopheles to seduce Gretchen occurs in bar 14 as a dominant seventh chord in A major is heard as Mephistopheles calls Gretchen to come to her door (see Example 5.28).

**Example 5.28: Lenz, 'Ständchen des Mephistopheles', bars 13–15**

The image shows a musical score for three staves. The top staff is the vocal line in treble clef, with lyrics: 'Thür Ka - thrin - chen hier beÿ frü - hem'. The middle staff is the right-hand piano accompaniment in treble clef, and the bottom staff is the left-hand piano accompaniment in bass clef. The key signature is A major (three sharps) and the time signature is 6/8. The piano accompaniment consists of a rhythmic pattern of eighth notes and chords, with some notes marked with a 'y' (likely indicating a grace note or a specific articulation).

A further example occurs in bar 19 as Lenz shifts into A major to depict Mephistopheles' warning to Gretchen in the lines 'Lass, lass es sein! / Er lässt dich ein ['Poor Kate, beware! / You'll enter there]'.<sup>841</sup> As for F major being used to mock Gretchen, the *staccato* accompaniment motif – that introduces the ascending and descending step movement which is a feature of the ironic vocal melody – always appears in F sharp minor. Furthermore, Lenz transitions into F sharp minor in bars 23 and bar 53 respectively as Mephisto takes pleasure in Gretchen's plight with the lines 'als Mädchen ein, / als Mädchen nicht zurücke' ['A maid so fair / No maid you'll be departing!'] and 'nur nichts zu Lieb / als mit dem Ring am Finger' ['Do nothing at all / Till you've got the ring on your finger!'].<sup>842</sup> It is also worth noting the function of chromaticism in mocking Gretchen. Lenz only uses two chromatic chords in the entire song; the first is a supertonic diminished seventh chord in bar 23 underscoring

<sup>840</sup> Lorraine Byrne Bodley, *Schubert's Goethe Settings*, p. 229.

<sup>841</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 117.

<sup>842</sup> *Ibid.*

'Mädchen', which in this context refers to an unmarried woman. The second is in the corresponding bar of the second strophe, bar 53, where Lenz conveys 'nichts' ['nothing'] with a supertonic chromatic chord in F sharp major. These occasional chromatic chords highlight the consequences of Gretchen's relationship with Faust and Mephisto's enjoyment of the predicament.

#### **5.14 Justus Amadeus Lecerf's *Neun Gesänge zu Goethes Faust***

*Neun Gesänge aus Goethes Faust* was first published in *Magazin für Kunst, Geographie und Musik* in 1825 but the songs were revised with 'Der König in Thule' being published by Kuhr in Berlin in 1836 and the entire collection receiving publication by Schlesinger in Berlin in 1838. The song collection is dedicated to the Berlin composers Anton Radziwill and Carl Friedrich Zelter, both of whom are described by Lecerf in the dedication as 'admirers' of Goethe's 'genius'. As with Lenz, Lecerf's *Faust* song collection is published in two parts with one part dedicated to Gretchen settings, but it differs from Lenz's *Gesänge und Lieder* in that the settings adhere to the chronology of Goethe's *Faust*. Furthermore, there are tonal connections between settings which outlines the dramatic narrative, leaving open the possibility of certain settings being performed consecutively on stage. (see Table 5.7).

**Table 5.7: Tonal structure of Lecerf's *Neun Gesänge aus Goethes Faust***

Part I	Key	Scene	Part II	Key	Scene
'Zueignung'	D minor	'Dedication'	'Gretchen'	F major	'Evening'
'Soldaten vorüberziehend'	D major	'Outside the town wall'	'Gretchen am Spinnrad'	F minor	'Gretchen's Room'
'Bauerntanz im Freyen'	A major	'Outside the town wall'	'Gretchen vor dem Andachtsbild der Mater Dolorosa'	B minor	'By a shrine inside the town wall'
'Faust im Studierzimmer'	A flat major	'Faust's study'			
'Lied der lustigen Gesellen in Auerbachs Keller'	G major	'Auerbach's Tavern in Leipzig'			
'Lied des Mephistopheles unter lustigen Gesellen in Auerbachs Keller'	E minor	'Auerbach's Tavern in Leipzig'			

'Soldaten vorüberziehend' is presented in D major and 'Bauerntanz im Freyen', also from *Vor dem Tor*, is presented in the dominant of D major – A major. Similarly, the drinking songs from *Auerbachs Keller im Leipzig* pairs the major and the relative minor. There is a parallel major/minor relationship between the settings of 'Gretchen' – Lecerf's interpretation of 'Der König in Thule' – and 'Gretchen am Spinnrad'. The use of the parallel major/minor depicts the contrast between Gretchen's innocence in *Abend*, and the tormented figure at the spinning wheel later in the drama. A final tonal connection can be observed in the opening and closing of the dramatic narrative. The preface 'Zueignung' and 'Soldaten vorüberziehend' exhibit the



parallel major/minor pairing and the drama of *Faust* is concluded in the relative minor, B minor. Perhaps more interesting than these tonal connections is the tonal anomaly of 'Faust im Studierzimmer' in A flat major. This setting, which portrays a brief moment of repose for Faust prior to encountering Mephisto for the first time, is a departure from Goethe's drama and is an anomaly in the context of Lecerf's collection. Although these lines rank among the most poetic attributed to Faust, this is an uncommon setting for the simple reason that Faust does not sing in Goethe's drama. Lecerf's choice of a key, which bears no obvious relationship to any of the other settings in the collection, could be viewed as an acknowledgement of its incongruity.

### 5.15.1 Lecerf's 'Zueignung': poetic source

**Table 5.8: Goethe, *Faust I*, *Zueignung*, ll. 1–32**

#### 'Zueignung'

Ihr naht euch wieder, schwankende Gestalten,  
Die früh sich einst dem trüben Blick gezeigt.  
Versuch ich diesmal wohl, euch fest zu halten?  
fühlt sich mein Herz noch jenem Wahn  
geneigt?

Ihr drängt euch zu! nun gut, so mögt ihr 5  
walten,

Wie ihr aus Dunst und Nebel um mich steigt;  
Mein Busen fühlt sich jugendlich erschüttert  
Vom Zauberhauch, der euren Zug unwittert.

Ihr bringt mit euch die Bilder froher Tage,  
Und manche liebe Schatten steigen auf;  
Gleich einer alten, halbverklungen Sage  
Kommt erste Lieb und Freundschaft mit  
herauf;

Der Schmerz wird neu, es wiederholt die Klage  
Des Lebens labyrinthisch irren Lauf,

Und nennt die Guten, die, um schöne Stunden 15  
Vom Glück getäuscht, vor mir  
hinweggeschwunden.

#### 'Dedication'<sup>843</sup>

Uncertain shapes, visitors from the past  
At whom I darkly gazed so long ago,  
My heart's mad fleeting visions – now at last  
Shall I embrace you, must I let you go?

Again you haunt me: come then, hold me fast!

Out of the mist and murk you rise, who so  
Besiege me, and with magic breath restore,  
Stirring my soul, lost youth to me once more.

You bring back memories of happier days  
10 And many a well-loved ghost again I greet;  
As when some old half-faded legend plays  
About our ears, lamenting strains repeat

My journey through life's labyrinthine maze  
Old griefs revive, old friends, old loves I meet,  
15 Those dear companions, by their fate's unkind  
Decree cut short, who left me there behind.

<sup>843</sup> Ibid., p. 3.

Sie hören nicht die folgenden Gesänge,  
 Die Seelen, denen ich die ersten sang;  
 Zerstoben ist das freundliche Gedränge,  
 Verklungen, ach! der erste Widerklang.  
 Mein Lied ertönt der unbekanntten Menge,

Ihr Beifall selbst macht meinem Herzen bang,  
 Und was sich sonst an meinem Lied erfreuet,  
 Wenn es noch lebt, irrt in die Welt zerstreuet.

Und mich ergreift ein längst entwöhntes  
 Sehnen

Nach jenem stillen, ernsten Geisterreich,  
 Es schwebet nun in unbestimmten Tönen

Mein lispelnd Lied, der Äolsharfe gleich,  
 Ein Schauer faßt mich, Träne folgt den Tränen,  
 Das strenge Herz, es fühlt sich mild und weich;  
 Was ich besitze, seh ich wie im Weiten,  
 Und was verschwand, wird mir zu  
 Wirklichkeiten.

They cannot hear my present music, those  
 Few souls who listened to my early song;  
 They are far from me now who were so close,  
 20 And their first answering echo has so long  
 Been silent. Now my voice is heard, who  
 knows

By whom? I shudder as the nameless throng  
 Applauds it. Are they living still, those friends  
 Whom once it moved, scattered to the world's  
 ends?

25 And I am seized by long unwonted yearning

For that still, solemn spirit-realm which then  
 Was mine; those hovering lispings tones  
 returning

30 Sigh as from some Aeolian harp, as when  
 I sang them first; I tremble, and my burning  
 Tears flow, my stern heart melts to love again.  
 All that I now possess seems far away  
 And vanished worlds are real to me today.

'Zueignung' – written on 24 June 1797 as Goethe resumed work on the completion of *Faust* – sees Goethe reminisce on lost youth. Eudo C. Mason describes 'Zueignung' as 'one of Goethe's finest poems and bears all the marks of being an unforeseen, spontaneous lyrical effusion'.<sup>844</sup>

Stress analysis of the poetic text reveals four quatrains in the form of *ottava rima* in lines of iambic pentameter with both masculine and feminine endings (see Example 5.29).

### Example 5.29: Stress analysis of 'Zueignung', ll. 1–2

\*            \*            \*            \*            \*

Ihr naht euch wieder, schwankende Gestalten,  
 \*            \*            \*            \*            \*

Die früh sich einst dem trüben Blick gezeigt.

The iambic pentameter lends itself to long-line length which is appropriate for the musings of the poem's protagonist who, at an advanced age, is mulling over the journey of his life. There

<sup>844</sup> Eudo C. Mason, *Goethe's Faust: Its Genesis and Purport*, p. 286.

are few lines in the entirety of the 32-line poem that lack a caesura at line endings and internal caesuras are relatively common, but particularly prevalent in the final stanza. The caesuras decrease the poetic flow which is befitting of the poem's reflective and weary tone. Assonance and alliteration also have an important role to play in this regard. The assonance of the heavy 'u' sounds in the final rhyming couplet of the opening stanza signals the lamenting of lost youth ('Mein Busen fühlt sich jugendlich erschüttert / Vom Zauberhauch, der euren Zug umwittert') ['Besiege me, and with magic breath restore, / Stirring my soul, lost youth to me once more.']<sup>845</sup>. Alliteration has the same function conveying the image of the labyrinthine maze ('des Lebens labyrinthisch irren Lauf') – a structure borrowed from Greek mythology where the Minotaur was entrapped and left to die – indicating the weariness of the poem's subject.

### 5.15.2 Lecerf's 'Zueignung': musical setting

For the most part, Lecerf's vocal rhythms conform to the basic rhythmic declamation of the text, but a slight distortion of the poetic rhythm is evident in the opening vocal rhythm (see Example 5.30a, 5.30b, 5.30c and 5.30d).

#### Example 5.30a: Simple BRD of Goethe's *Zueignung*, l. 1

Ihr naht euch wie - der, schwan - ken - de Ge - stalt - en,

#### Example 5.30b: BRD-variant of Goethe's *Zueignung*, l. 1

Ihr naht euch wie - der schwan - ken - de Ge - stalt - en!

<sup>845</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, p. 3.

**Example 5.30c: Hypothetical BRD-conformant vocal line for Lecerf's 'Zueignung', bars 2–6**

Ihr naht euch wie - der schwan - ken - de Ge - stalt - en!

**Example 5.30d: Opening vocal line of Lecerf's 'Zueignung'**

Ihr naht euch wie - der schwan - ken - de Ge - stalten!

In condensing lines of iambic pentameter into a four-bar phrase, Lecerf shortens the distance between stresses in bar 5 and accelerates the pace of declamation in the process. This departure from the BRD is merely structural. There are, however, two occasions where Lecerf deviates from the BRD for the purpose of creating textual meaning. The first deviation occurs in bars 40–41 as the anticipated anacrusis in bar 40 following the word 'getäuscht' ['deceived'] is omitted, with the weak syllable 'vor' being met in bar 41 with a durational accent. The intention behind this rhythmic deviation is to play upon the listener's expectations to illustrate how the poet was deceived by his youth. The second deviation occurs in bars 59–60 and is for the means of word painting. Once again, the anacrusis is neglected and the unstressed syllable 'irrt' falls on the downbeat, met with an agogic accent. Lecerf is playing with the double meaning of the word 'irrt' here – in the context of this song, the word refers to the poet's friends who have drifted away, but in isolation, 'irrt' can suggest an error. The brief deviation from the basic rhythmic declamation of the text therefore implies a sense of wandering or the notion of a mistake on the composer's part in adhering to the rhythmic patterns of the poetry.

Beyond the rhythmic subtleties, and in spite of the primary role of the accompaniment in providing harmonic support for the vocal line, Lecerf alters accompaniment texture to convey textual meaning. The *tremolando* figuration, which appears in bars 1–8 and bars 64–72, portrays the particular moments in the text where the subject of the poem is yearning for lost youth. Similarly, Lecerf uses occasional arpeggiated chords to heighten dramatic tension, most notably in bars 74–77 to convey the climactic lines ('Ein Schauer fasst mich, Thräne folgt den Thränen / das strenge Herz es fühlt sich mild und weich') ['I tremble, and my burning / Tears flow, my stern heart melts to love again'].<sup>846</sup> Lecerf intensifies the accompaniment to depict the poet's yearning but frees the vocal melody from the accompaniment to articulate the poet's separation from youth. This is most evident in bars 81–82 as the closing line is left unaccompanied, highlighting the distance between the poetic persona and their younger self ('Und was verschwand, wird mir zu Wirklichkeiten') [And vanished worlds are real to me today].<sup>847</sup>

One of the curiosities of this setting is the score itself. Although 'Zueignung' is in D minor, a key signature is not provided, ensuring the musical language of the setting appears more complicated than it needs to be. This may be a visual representation of the meaning behind the poem – that Goethe has reached the pinnacle in his journey with *Faust* and therefore no longer belongs to or inhabits the innocent world of his youth. The tonal trajectory of 'Zueignung' suggests Lecerf had this in mind. The portrayal of the first stanzas, where Goethe speaks of his 'journey through life's labyrinthine maze', culminates with an authentic cadence in D major with a fermata separating and distinguishing these verses from those that follow. The Lied can essentially be divided into two parts; the first part can be described as recognition of a fulfilling journey, represented in the move from D minor to the parallel major with frequent transitions into other tonal regions. An indication of this journey

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<sup>846</sup> Ibid.

<sup>847</sup> Ibid.

can be found in bar 13 where, amid the 'mist and the murk', Lecerf facilitates a transition from F major to D Major with a tonally ambiguous diminished triad on C sharp. Arriving on the line 'Ihr drängt euch so', the diminished chord portrays the effect of the poet's delusion. The second part – the depiction of stanzas three and four – is a realisation of what the poet has lost along the way and the yearning for the 'solemn spirit-realm which then was mine'. Once again, Lecerf resorts to novel measures to convey this sentiment, sounding dissonances of a diminished second in bar 49 and an augmented first in bar 50 to convey the poet's estrangement from his old friends in the line 'zerstoben ist das freundliche Gedränge,' [They are far from me now who were so close].<sup>848</sup> 'Zueignung' exhibits techniques which are daring and progressive and at the same time, appears to be under the influence of a Baroque style – a contrast which conveys the disparity between the poet's current world and that of his youth.

### 5.16.1 Lecerf's 'Faust im Studierzimmer': poetic source

**Table 5.9 Goethe, *Faust I, Faust im Studierzimmer*, ll. 1178–1185 and ll. 1194–1201**

<b>'Faust im Studierzimmer'</b>		<b>'Faust in his study'<sup>849</sup></b>
Verlassen hab' ich Feld und Auen, Die eine tiefe Nacht bedeckt, Mit ahnungsvollem heil'gem Grauen	1180	Now I have left the fields and hills Where now the night's dark veil is spread; Night wakes our better part, and fills
In uns die bessre Seele weckt. Entschlafen sind nun wilde Triebe, Mit jedem ungestümen Thun; Es reget sich die Menschenliebe, Die Liebe Gottes regt sich nun.	1185	Our prescient soul with holy dread. The active turmoil leaves my mind, All wilder passions sleep and cease; Now I am moved to love mankind, To love God too, and am at peace.
 Ach wenn in unsrer engen Zelle Die Lampe freundlich wieder brennt, Dann wird's in unserm Busen helle, Im Herzen, das sich selber kennt. Vernunft fängt wieder an zu sprechen, Und Hoffnung wieder an zu blühen, Man sehnt sich des Lebens Bächen,	 1195      1200	 Back in our little narrow cell We sit, the lamp glows soft and bright, And in our heart and mind as well Self-knowledge sheds its kindly light. Reason once more begins to speak, And hope once more is blossoming; We long to find life's source, to seek Life's fountainhead, to taste life's spring.
Ach! nach des Lebens Quelle hin.		

<sup>848</sup> Ibid.

<sup>849</sup> English translation by David Luke in Johann Wolfgang von Goethe, *Faust. Part One*, trans. David Luke, pp. 37–38.

The text for Lecerf's 'Faust im Studierzimmer' is the amalgamation of two monologues from the first scene in Faust's study, brought together to create a stanzaic structure of two octaves. Stress analysis of these monologues reveals the poetic metre of 'Faust im Studierzimmer' to be iambic tetrameter with an *ababcdcd* rhyme scheme and both masculine and feminine line endings (Example 5.31).

**Example 5.31: Stress analysis of 'Faust im Studierzimmer', ll. 1178–1179**

\*   \*   \*   \*

Verlassen hab' ich Feld und Auen,  
           \*   \*   \*   \*

Die eine tiefe Nacht bedeckt,

The lack of internal caesuras combined with the iambic rhythm creates a quick poetic pace which is then thwarted by the presence of masculine line endings and numerous external caesuras. This gives the poetry a reflective quality which is in keeping with the character of the poem. Sound connections are also apparent as alliteration, assonance and enjambment all feature in the text. Goethe also uses repetition in a clever manner as seen in the lines 'Vernunft fängt wieder an zu sprechen, / Und Hoffnung wieder an zu blühen,' ['Reason once more begins to speak, / And hope once more is blossoming;'].<sup>850</sup>

**5.16.2 Lecerf's 'Faust im Studierzimmer': musical setting**

The opening vocal phrase deviates from the BRD as stresses are not equidistant, leading to a gradual deceleration in the pace of declamation with additional durational accentuation placed on the words 'tiefe' and 'nacht' – acting as a metaphor for the protagonist's weary state (see Example 5.32a, 5.32b, 5.32c and 5.32d).

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<sup>850</sup> Ibid., p. 38.

**Example 5.32a: Simple BRD of Goethe's *Faust im Studierzimmer*, ll. 1178–1179**

Ver - las - sen hab' ich Feld und Auen, die ei - ne tie - fe nacht bedeckt,

**Example 5.32b: BRD-variant of Goethe's *Faust im Studierzimmer*, ll. 1178–1179**

Ver - las - sen hab' ich Feld und Auen, die ei - ne tie - fe nacht bedeckt,

**Example 5.32c: Hypothetical BRD-conformant vocal line for Lecerf's 'Faust im Studierzimmer', bars 4–7**

Ver - las - sen hab' ich Feld und Auen, die ei - ne tie - fe nacht bedeckt,

**Example 5.32d: Opening vocal line of Lecerf's 'Faust im Studierzimmer'**

Ver - las - sen hab' ich Feld und Auen, die ei - ne tie - fe Nacht be - deckt,

Lecerf observes the external caesuras of Goethe's poetry through rests and ties; however, the composer neglects to contend with the rhythmic implications of the infrequent internal caesuras. This is most evident in bars 53–55 on the line 'ach, nach des Lebens Quelle hin' ['Ah, according to the source of life']. Considering Lecerf chose strophic form for his setting, the spondaic substitution on 'ach' and the internal caesura that follows forces the composer to alter his vocal rhythms in order to remain faithful to the poetic text. It also offers a natural opportunity for both rhythmic and melodic variation between strophes, but Lecerf declines to



take advantage. There are occasions, however, where the composer alters his vocal rhythms for the purpose of conveying meaning. One such example occurs in bars 11 and 42 respectively as Lecerf breaks from the recitative-like vocal line to depict 'bessre seele' ['better soul'] and 'selber' ['himself']. Not only does the composer change the texture of the vocal line, but the alterations differ between strophes. With that in mind, Lecerf appears to be drawing a parallel between the feeling of dread Faust has in his soul and what Faust knows in his own heart. It is also significant that the piano accompaniment is transposed an octave higher in the bass on 'selber' as opposed to 'seele' lending to the interpretation that Faust will venture from religion or the soul and strive for knowledge.

'Faust im Studierzimmer' is in A flat major with a transition to the mediant (C major) and a modulation to the dominant (E flat major) in each strophe. The transitions to C major on 'bedeckt' ['covered'] in bar 8 and on 'brennt' ['burns'] in bar 39 serve to outline the contrast between the two stanzas in terms of lyrical content – where in the first strophe there is the image of the darkness of the night, in the second verse there is the image of the burning lamp Faust uses to light his study. The modulation to the dominant is of greater interest, occurring on the words 'weckt' ['awakens'] and 'kennt' ['knows'] in bars 12 and 43 respectively. This modulation to the dominant could be interpreted as further evidence that Lecerf is endorsing Faust's constant striving. Beyond the changing tonalities, there is little to remark about the harmony itself as Lecerf only uses diminished chords as a means of modulation.

The primary function of the piano accompaniment is to provide harmonic support for the vocal line, however, Lecerf uses the accompaniment texture to suggest textual meaning. For the most part, block chords alternate between the left-hand accompaniment on downbeats and the right-hand accompaniment on upbeats, but on occasion, the left-hand and right-hand accompaniments align as a means of word-painting. An example of this occurs on 'bedeckt' in bar 8 conveying the image of blanket darkness. The most notable cases, however, take place

in bar 20 – before the line 'Es reget sich die Menschenliebe,' ['Now I am moved to love mankind'] – and in bar 51 following the line 'Und Hoffnung wieder an zu blühen' ['And hope once more is blossoming'].<sup>851</sup> On both occasions, *staccato* sounds as the tonic is quickly presented in all available positions (Example 5.33).

**Example 5.33: Lecerf, 'Faust im Studierzimmer', bars 49–51**

The image shows a musical score for three parts: voice and piano. The voice part is in bass clef, and the piano part consists of three staves (treble and two bass staves). The lyrics are: "sprechen, und Hoff - nung wieder an zu blühen, man". The music is in a key with three flats (B-flat, E-flat, A-flat) and a common time signature. The piano accompaniment features chords and melodic lines in the right and left hands.

**5.17 Peter Josef von Lindpaintner's *Sechs Lieder zu Göthe's Faust***

Peter Josef von Lindpaintner (1791–1856) had his *Sechs Lieder zu Göthes Faust* published by C. F. Peters in Leipzig in 1834. These settings for piano or guitar are a culmination of a period of engagement with *Faust* which began several years earlier. Lindpaintner's *Musik zu Goethes Faust* had been premiered at Hoftheater Stuttgart on 2 March 1832 while the composer was Hopfkapellmeister in Stuttgart – a position he held from 1819 until his death in 1856.<sup>852</sup> Lindpaintner's *Musik zu Goethes Faust* was performed regularly in Stuttgart for over forty years until it was replaced on 28 December 1874 by Radziwill's *Faust* and *Vorspiel zu Goethes Faust* by Max Seifriz (1827–1885).<sup>853</sup> It returned briefly in 1889 before being ousted

<sup>851</sup> Ibid.

<sup>852</sup> Edmund Goetze, *Sechstes Buch: Vom siebenjährigen bis zum Weltkriege: Nationale Dichtung* (Berlin: Akademie Verlag, 2011), p. 746.

<sup>853</sup> *Die Handschriften der Württembergischen Landesbibliothek Stuttgart* (Wiesbaden: Harrassowitz Verlag, 2000), p. 376.

by Eduard Lassen's *Musik zu Goethes Faust* in 1893.<sup>854</sup> Lindpaintner also composed an overture to Goethe's *Faust* which was also published by C. F. Peters in Leipzig.

Lindpaintner's six settings for piano and guitar can be divided into two distinct categories; settings where the piano and guitar accompaniments are interchangeable ('Es war einmal ein König', 'Was machst du mir' and 'Meine Mutter die Brut') and settings where the piano and guitar accompaniments have the same tonal design but are arranged within the publication as independent settings on account of the accompaniments being in separate keys ('Es war eine Ratt' im Kellernest', 'Es war ein König in Thule' and 'Meine Ruh ist hin'). Table 5.10 illustrates the tonal structure of the settings if they were to be grouped in terms of their accompaniment.

**Table 5.10: Tonal structure of *Sechs Lieder zu Göthe's Faust***

Song	Piano Accompaniment	Guitar Accompaniment
Es war eine Ratt' im Kellernest	B flat major	A major
Es war einmal ein König	G major	G major
Es war ein König in Thule	E flat major	E major
Meine Ruh ist hin	g minor	a minor
Was machst du mir	e minor	e minor
Meine Mutter die Brut	g minor	g minor

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<sup>854</sup> Ibid.

### 5.18.1 Lindpaintner's 'Meine Mutter die Brut': poetic source

**Table 5.11: Goethe, *Faust I*, *Kerker*, ll. 4412–4420**

<p><b>'Meine Mutter die Brut'</b>          Meine Mutter, die Brut,          die mich umgebracht hat!          Mein Vater, der Schelm          der mich gessen hat!          Mein Schwesterlein klein          hub' auf die Bein?          an einem kühlen Ort!          Da ward ich ein schönes Wald vögelein;          fliege fort, fliege fort!</p>	<p>4415         4420</p>	<p><b>'My mother, the whore'</b><sup>855</sup>          Who killed me dead?          My mother, the whore!          Who ate my flesh?          My father, for sure!          Little sister gathered          The bones he scattered;          In a cool, cool place they lie.          And then I became a birdie so fine,          And away I fly, away I fly.</p>
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'Meine Mutter die Brut' is located in the concluding scene *Kerker* (ll. 4412–4420) and marks the final occasion Gretchen sings in *Faust I*. The text as it appears in *Faust* is titled 'Meine Mutter die Hur' but the text in the Lindpaintner setting had been subject to censorship for the purpose of being performed in Stuttgart on 2 March 1832. The song first appears in *Faust I*, as the prison scene was omitted from *Faust. Ein Fragment* and only existed in prose in *Urfaust*. David Luke notes that the song has two sources of inspiration – the characterisation of Ophelia in *Hamlet* and *Von dem Machandelboom* ('The Juniper Tree') – a popular fairytale in Europe which was collected shortly after the publication of *Faust I* and included in the first volume of the Brothers Grimm in 1812.<sup>856</sup> A parallel can be drawn between Gretchen and Ophelia on account of the madness they each suffer as a result of social pressures surrounding sexuality while the common theme of infanticide enables Goethe to use 'The Juniper Tree' as the basis for Gretchen's song here.

Goethe's 'Meine Mutter die Brut' is a nine-line stanza with an *abcddede* rhyme scheme. Stress analysis of 'Meine Mutter die Brut' reveals the poetic metre to be highly irregular, although iambic dimeter with anapaestic substitutions prevails for the most part (Example 5.34).

<sup>855</sup> Johann Wolfgang Goethe, *Faust. Part One*, p. 142.

<sup>856</sup> David Luke in Johann Wolfgang Goethe, *Faust. Part One* trans. David Luke, p. 175.

### Example 5.34: Stress analysis of 'Meine Mutter, die Brut', ll. 4412–4415

\*                    \*

Meine Mutter, die Brut,  
\*                    \*

Die mich umgebracht hat!  
\*                    \*

Mein Vater, der Schelm  
\*                    \*

Der mich gessen hat!

Short line length and the combination of iambic and anapaestic stress patterns creates a suitably fast poetic pace for the depiction of Gretchen in her manic state in the prison scene. Sound connections are significant in maintaining the pace and flow of the poetry from the outset with alliteration and assonance in the opening couplet ('Meine Mutter, die Brut, / Die mich umgebracht hat!') ['Who killed me dead? My mother, the whore!'].<sup>857</sup> Internal caesuras, which have the potential to alter the poetic flow, are contained and are only used when Gretchen addresses family members directly in the song. The eighth line in the stanza ('Da ward ich ein schönes Wald vögelein;') ['And then I became a birdie so fine'] is out of place with regard to the poetic metre, but it is appropriate in thematic terms as the prospect of death brings peace to Gretchen.

#### 5.18.2 Lindpaintner's 'Meine Mutter, die Brut': musical setting

It is clear in the analysis of the initial melody that Lindpaintner's choice of vocal rhythm is declaiming the text as if the poetic metre is regular anapaestic dimeter, when in fact, there are amphibrachic figures at play in the poetic rhythm. This ensures stresses are not equidistant at this point and causes the pace of declamation to quicken mid-phrase (see Example 5.35a, 5.35b, 5.35c and 5.35d).

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<sup>857</sup> Ibid.

**Example 5.35a: Simple BRD of Goethe's *Kerker*, 4412–4413**

Mei - ne Mut - ter die Brut, die mich um - ge - bracht hat!

**Example 5.35b: BRD-variant of Goethe's *Kerker*, 4412–4413**

Mei - ne Mut - ter die Brut, die mich um - ge - bracht hat!

**Example 5.35c: Hypothetical BRD-conformant vocal line for Lindpaintner's 'Meine Mutter die Brut', bars 1–5**

Mei - ne Mut - ter die Brut, die mich um - ge - bracht hat!

**Example 5.35d: Opening vocal line of Lindpaintner's 'Meine Mutter die Brut'**

Meine Mut - ter die Brut, die mich um - ge - bracht hat!

In general, however, 'Meine Mutter die Brut' conforms to the BRD. Poetic and musical stress coalesce on structural downbeats and these are often met with durational accents and registral accents on a less frequent basis. Furthermore – aside from the aforementioned example – stresses are equidistant and establish the pace of declamation at one stress per bar, while the important poetic caesuras are marked by silences. Although the stanzaic structure lends the text to strophic or through-composed form, Lindpaintner chooses binary form (AABB) for

the setting of 'Meine Mutter die Brut' recognising the transformation in Gretchen's character as she progresses from being agitated with life to serenity as she contemplates death.

The tonal design of 'Meine Mutter die Brut' is straight-forward. The A section, which contends with the boy's anger and resentment towards his family, is predominantly in G minor with a modulation to B flat major in bar 5 and a transition to the dominant D minor in bar 9, while the B section is in the parallel major, G major. The use of the parallel minor/major pairing represents life and death; pain and happiness. This is evident from the harmonic progressions Lindpaintner puts in place. The B section, revolves entirely around tonic – dominant – tonic progressions and the harmonic rhythm is slow while the A section contains a number of sudden diminished seventh chords which convey textual meaning. The first of these is an accented diminished seventh chord in the context of the recently established B flat major, conveying the line 'mein Vater der Schelm' ['My father, the rogue'] in bar 6. It is clear that Lindpaintner is insinuating that the boy in the tale of the Juniper Tree holds his family accountable for his anguish but the brief modulation to B flat major – the relative major of G minor – as the subject of the poem addresses his father may have a patriarchal connotation and direct blame on the father (Example 5.36).

**Example 5.36: Lindpaintner, 'Meine Mutter, die Brut', bars 4–6**

The musical score for Example 5.36 shows three staves: a vocal line and a piano accompaniment. The key signature is one flat (B-flat major) and the time signature is 3/4. The vocal line begins in bar 4 with a whole rest, followed by a half note 'mein' in bar 5, and a quarter note 'Va - ter' in bar 6. The piano accompaniment consists of a grand staff (treble and bass clefs). In bar 6, there is a prominent diminished seventh chord (F7b9) in the right hand, which is accented with a 'v' above the note. The left hand has a bass line with a half note 'Va' and a quarter note 'ter' in bar 6.

Further examples of the unsettling diminished seventh chord occur in bars 9–11 on the lines 'Mein Schwesterlein klein / hub' auf die Bein?' ['Little sister gathered / The bones he scattered'].<sup>858</sup> Again, the use of the diminished seventh – in the guise of a sharpened subdominant with diminished seventh chord – portrays the actions of his father.

The main function of the piano accompaniment in Lindpaintner's 'Meine Mutter die Brut' is to give harmonic support to the vocal line, however, the composer does alter the accompanimental texture on occasion. The first instance of a change in accompaniment texture occurs in bars 13–15 on the line 'an einem kühlen ort' ['In a cool, cool place they lie'].<sup>859</sup> Lindpaintner moves away from the chordal harmony and has the left-hand accompaniment and right-hand accompaniment sounding unisons. The intention behind this is to create tonal ambiguity to facilitate two separate cadences – one for the A section to be able to repeat itself and another to facilitate a shift to the parallel major for the B section. Lindpaintner achieves this with a *Tierce de Picardie* in G minor. A further change of accompaniment texture takes place in bars 21–24 on the line 'fliege fort' ['fly away']. The change in accompaniment texture, which sees the right-hand accompaniment emphasise 'fort' on the weak beat, conveys the image of the bird continuing to fly off into the distance as the performance indication *morendo* softens the dynamics.

### **5.19 Banck's 'Tanzreigen aus Faust': musical setting**

'Tanzreigen aus Faust' ['Round dance from Faust'] is the first of three songs in the song-cycle *Bauer, Bürger, Bettelmann* ['Farmer, Citizens, Beggar'], op. 31 by Karl Banck (1809–1889) which was published in Leipzig by Friedrich Kistner in 1839. The second song in the cycle is a setting of 'Bierlied aus dem Englischen' ['Drinking Song from the English'], a poem by Banck's contemporary Oskar Ludwig Bernhard Wolff (1799–1851). The third and final song

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<sup>858</sup> Ibid.

<sup>859</sup> Ibid.



in the cycle is a setting of the anonymous folksong 'Der Gute Vagabund' ['The Good Vagabond']. Banck's 'Tanzreigen aus Faust' was priced at eight Groschen, double the amount requested for 'Bierlied aus dem Englischen' and 'Der Gute Vagabund', which is indicative of Faust's universal popularity at that time. The unifying theme of the song-cycle is social class. 'Tanzreigen aus Faust' and 'Bierlied aus dem Englischen' portray festivities of the peasants and bourgeois respectively, while 'Der Gute Vagabund' depicts the hopelessness of a beggar, who has been born into poverty from which there is no escape. Each of the three settings in this song-cycle is rooted in religion. 'Tanzreigen aus Faust' is taken from Goethe's *Vor dem Thor* which takes place at Easter – the height of the liturgical year – while 'Bierlied aus dem Englischen' and 'Der Gute Vagabund' contain references to religious faith. Banck's song-cycle therefore illustrates the contrasting fortunes of the various social classes in Christian society in nineteenth-century Germany. It is Banck's use of tonality in these settings which not only conveys the individual plight of each social class, but creates the narrative of the song cycle. 'Tanzreigen aus Faust' is presented in A major with a move to the subdominant key of D major for 'Bierlied aus dem Englischen'. 'Der Gute Vagabund' continues in D major, but the concluding chorus of the setting is exhibited in the parallel D minor, with Banck signposting this tonal shift by indicating the change in the key signature.

Analysis of the basic rhythmic declamation of the text shows Banck's tendency to conform to the poetic metre with his choice of rhythms in 'Tanzreigen aus Faust' (see Example 5.37a, 5.37b and 5.37c).

**Example 5.37a: Simple BRD of Goethe's *Vor dem Thor*, 949–950**

The image shows a musical staff in 2/4 time with a treble clef. The melody consists of eighth and quarter notes. Above the staff, asterisks are placed above the first note of each of the seven measures. Below the staff, the lyrics are written: 'Der Schä - fer putz - te sich zum Tanz, mit bun - ter Jacke, Band und Kranz,'. The lyrics are aligned with the notes: 'Der' under the first note, 'Schä - fer' under the second and third notes, 'putz - te' under the fourth and fifth notes, 'sich' under the sixth note, 'zum Tanz,' under the seventh and eighth notes, 'mit' under the ninth note, 'bun - ter' under the tenth and eleventh notes, 'Jacke,' under the twelfth note, and 'Band und Kranz,' under the thirteenth and fourteenth notes.

**Example 5.37b: BRD-variant of Goethe's *Vor dem Thor*, 949–950**

Der Schäfer putzte sich zum Tanz, mit bun-ter Jac-ke Band und Kranz,

**Example 5.37c: Opening vocal line of Banck's 'Tanzreigen aus Faust'**

Der Schäfer putzte sich zum Tanz, mit bun-ter Jac-ke Band und Kranz,

The lines of iambic tetrameter are set to a 2/4 rhythm with stressed syllables met with a mixture of durational, registral and dynamic accents on structural downbeats. Banck takes the irregular line of iambic trimeter – the third line in each verse – as an opportunity to briefly deviate from the basic declamation of the text. The third metrical foot of the iambic trimeter is given a phrase interpolation in bars 13–15 on 'angezogen' ['getting dressed'] and 'ellenbogen' ['elbow'] and in bars 47–49 on 'flogen' ['flew'] and 'betrogen' ['deceived']. Banck deviates from the poetic metre with his choice of vocal rhythms for the refrain. The composer makes slight changes to the poetic text turning lines of iambic pentameter into shorter, predominantly iambic units, expanding Goethe's refrain into a chorus in 6/8 time to facilitate the binary form. A solo soprano voice sings a lively melodic line to introduce the chorus, which then begins with all voices singing in harmony, ultimately leading to a call-and-response format where the remaining voices respond to the solo soprano and to each other later in the chorus. This call-and-response structure is reminiscent of a march, alluding to the soldiers' song which occurs earlier in *Vor Dem Thor*.

The tonal design of 'Tanzreigen aus Faust' is uncomplicated – aside from a modulation into E major in bar 70, the song is in A major. The brief episodes in E major arise in the third statement of the chorus, breaking from the prevailing tonic – dominant – tonic

progression, providing variation between the choruses. The alternation between tonic and dominant harmonies is a feature of the Lied; the first digression from these harmonies does not take place until 'Juccheisa' in bar 24, and the departure is the mere use of the subdominant triad. The cyclical movement of the tonic – dominant – tonic harmony has a number of functions in the song. Firstly, it acts as a musical metaphor for the boys and girls of the village – the cyclical nature of the harmony symbolises the circling of the linden tree. Secondly, the progression establishes fast harmonic rhythm, ensuring the song is suitably lively for the portrayal of the joyous dance. Finally, the simplicity of the harmony is appropriate for conveying the innocence of this Christian society on Easter morning – the society to which Gretchen identifies with most in Goethe's drama. That the simplistic, major harmonies are intended to represent the dancing villagers is further evinced by the striking use of the sharpened subdominant with diminished seventh chord over a dominant pedal in bar 56 on the lines 'und ruthen atmend sich in arm' ['and out of breath and arm in arm'] and 'und von der Linde scholl es weit' ['and from the Linden all did cry'].<sup>860</sup> Banck is reserving the use of the chromatic chord to depict the fatigue or exertion of the villagers, in turn relating harmony to the act of dancing.

The primary role of the accompaniment in 'Tanzreigen aus Faust' is to provide harmonic support for the vocal line, however, Banck alters the accompaniment texture to heighten the dramatic intensity of the round dance. Arpeggiated chords suggest the physical movement of the dancers, most noticeably in the right hand accompaniment in each of the choruses. A further example of arpeggiated chords suggesting the villagers and the round dance can be found in bars 38–45 and the depiction of the lines 'Doch hurtig in dem Kreise ging's,' ['But on they danced, and spurned the ground,'] and 'sie tanzten rechts, sie tanzten

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<sup>860</sup> Ibid., pp. 31–32.

links,' ['And left and right and round and round,'].<sup>861</sup> The caesura on each line is emphasised with an accent indicated in the score – a subtle difference from previous strophes – drawing attention to two-bar interludes containing arpeggiated chords in the right-hand accompaniment (see Example 5.38).

**Example 5.38: Banck, 'Tanzreigen aus Faust', bars 38–41**

The image shows a musical score for Example 5.38, consisting of a vocal line and a piano accompaniment. The key signature is D major (two sharps) and the time signature is 2/4. The vocal line is in the treble clef and begins with a piano (*p*) dynamic. The lyrics are: "hurtig in dem Kreise gings, sie wie / thu mir doch nicht so vertraut, wie". The piano accompaniment is in the grand staff (treble and bass clefs). The right hand features arpeggiated chords, and the left hand starts with a pianissimo (*pp*) dynamic. The score includes various musical markings such as accents and dynamic changes.

The arpeggiated chord in these interludes is a musical gesture for the portrayal of the villagers dancing around the linden tree, and it is one of the many devices which indicates Banck's desire to intensify the drama of the text. Trills are heard regularly in the right hand accompaniment, but are most effective when combined with Banck's repetition of Goethe's text, creating rhythmic and melodic ambiguity which culminates in dramatic suspense for the listener. Banck's interest in the drama is evident from the word-painting of 'voll' ['full'] in bar 18. The composer neglects the obvious play on 'voll' in having the arpeggio in the left hand and the ascending passage in the right hand accompaniment resolve to the dominant, instead opting for a startling *marcato* indication. Tempo and dynamic markings are also of significance in relation to dramatic effect. Banck heightens the drama of the line 'und sagte: nun das find' ich dumm!' ['And said: 'Why, what a clumsy lout!'] with a *crescendo* to

<sup>861</sup> Ibid.

anticipate the arrival of speech, and *poco ritenuto* to focus attention on the spoken words.<sup>862</sup>

Banck uses the accompaniment and various music devices to heighten the drama in 'Tanzreigen aus Faust' and convey a particular social class in nineteenth-century Germany.

### 5.20 Grimmer's 'Der König in Thule': musical setting

'Der König in Thule' by Friedrich Grimmer (1798–1850) is a strophic song which received publication in the collection *Deutsche Balladen und Romanzen in Musik gesetzt von Friedrich Grimmer* in Leipzig in 1832 by Breitkopf und Härtel. Analysis of the basic rhythmic declamation of the text shows Grimmer conforms to the poetic metre by placing anacrusis on the upbeat, durational accents on structural downbeats and crotchet rests to observe each caesura in Goethe's poetry (see Example 5.39a, 5.39b and 5.39c).

#### Example 5.39a: Simple BRD of Goethe's *Abend*, ll. 2759–2760

Es war ein Kö - nig in Thu - le, gar treu bis an das Grab,

#### Example 5.39b: BRD-variant of Goethe's *Abend*, ll. 2759–2760

Es war ein Kö - nig in Thu - le gar treu bis an das Grab,

#### Example 5.39c: Opening vocal line of Grimmer's 'Der König in Thule'

Es war ein Kö - nig in Thule gar treu bis an das Grab,

<sup>862</sup> Ibid.

The composer's strict adherence to the iambic trimeter of the Goethe ballad is evident as Grimmer facilitates the poet's additional unstressed syllables by providing suitable alternative rhythms for each individual verse. These changes in the vocal rhythm to replicate the precise stress patterns of the poetic text are the only distinctions between strophes, demonstrating that the basic rhythmic declamation of the text is paramount in Grimmer's interpretation of 'Der König in Thule'.

Grimmer's setting is in D minor – the same key as Schubert's 1816 setting of 'Der König in Thule' – with tonal shifts to A major in each strophe. The change in tonality is incredibly brief, but noticeable, as an augmented chord in the form of a French Sixth in D minor resolves to the tonic of A major prior to an immediate modulation to D minor through the dominant seventh chord. This harmonic progression suggests textual meaning in its appearance in the first strophe, emphasising 'seine Buhle' ['his mistress']. These words foretell the outcome of Gretchen's relationship with Faust in Goethe's drama, and Grimmer's treatment of the text is foreboding. The arrival on A major via the French Sixth is indicative of the ill-fated nature of Gretchen's association with Faust, and the immediate departure to the tonic D minor illustrates that any happiness to come of the liaison is to be short-lived.

As is the case in Zelter and Schubert's earlier settings of the ballad, Grimmer's setting lacks a piano introduction, with the song initiated through the narration of the fairytale – 'Es war ein König in Thule' ['There once was a king in Thule']. It is important to note that the left-hand accompaniment, right-hand accompaniment and voice are in unison for the opening line of each stanza and once again for the piano interludes and the postlude. This is a musical gesture for Gretchen's recollection of the ballad with the piano accompaniment representing the memory which Gretchen vocalises simultaneously (see Example 5.40).

**Example 5.40: Grimmer, 'Der König in Thule', bars 1–2**

There is simplicity to Grimmer's setting which is in keeping with the *Volkslied* tradition of the text, yet there are subtleties in the song which shows the composer's consideration for the overall dramatic context of Goethe's *Faust*.

**5.21 Curschmann's 'Meine Ruh ist hin': musical setting**

Karl Friedrich Curschmann (1805–1841) was one of the most prominent song composers in Germany in the 1830s, composing 83 songs in his short lifetime, all of which have received publication. His setting of 'Meine Ruh ist hin' is one of six songs for voice and piano published by Schlesinger in Berlin in 1835. Analysis of the opening vocal rhythm shows how Curschmann conforms to the BRD with his choice of vocal rhythms as durational, registral and dynamic accents coincide with structural downbeats (see Example 5.41a, 5.41b and 5.41c).

**Example 5.41a: Simple BRD of Goethe's *Gretchens Stube*, ll. 3374–3377**

**Example 5.41b: BRD-variant of Goethe's *Gretchens Stube*, ll. 3374–3377**

Meine Ruh' ist hin. mein Herz ist schwer; ich fin - de sie  
nim - mer ich fin - de sie nim - mer und nim - mer mehr.

**Example 5.41c: Opening vocal line of Curschmann's 'Meine Ruh ist hin'**

Meine Ruh' ist hin. mein Herz ist schwer; ich fin - de sie  
nimmer, ich fin - de sie nim - mer und nimmer - mehr.

Although the vocal rhythms are clearly derived from the rhythms inherent in the poetic text, it is worth noting that Curschmann breaks from the *Singspiel*-inspired iambic dimeter of the soliloquy in setting the text in triple time. In exploiting the freer aspects of Goethe's poetry, the composer is able to take liberties with the vocal line while adhering to the poetic rhythms, enhancing the restless quality of the poetry. Curschmann only deviates from the basic rhythmic declamation to illuminate Gretchen's plight. This is evident in each statement of the refrain, as Curschmann repeats the phrase 'ich finde sie nimmer' ['I find it never'], setting it as a descending scalic passage to a quaver rhythm, briefly deviating from declamatory style to suggest the endlessness of Gretchen's suffering. A further example occurs in bars 93–101 where Curschmann takes the phrase 'vergehen sollt' ['shall die'] and repeatedly interpolates it, extending the duration of the phrase with each utterance. This delays the completion of



Gretchen's song therefore conveying the impassioned longing for Faust depicted in stanzas nine and ten.

Curschmann's 'Meine Ruh ist hin' commences in G minor, but is brought to a conclusion in the parallel major, G major. The opening bars in G minor establishes the repetitive motion of the spinning wheel over a tonic pedal in the left-hand accompaniment and this continues as Gretchen conveys the lines 'Meine Ruh ist hin / Mein Herz ist schwer' ['My peace is gone / My heart is heavy']. There is an almost immediate suggestion of the subdominant key as a secondary dominant in the context of C minor resolves to I in C minor or IV in G minor. The tonal ambiguity between the tonic and subdominant key is representative of Gretchen's inner conflict. The diminished chords also function as a means of word-painting by occurring on 'Ruh' ['peace'] and Herz ['heart'], pronouncing Gretchen's troubled state. It is important to note the function of the perfect authentic cadence in G minor on 'nimmermehr' ['never more'] in bar 13. G minor is associated with Gretchen's perpetual anguish and this is one of few moments of repose – a sentiment which is reinforced on the second statement of the refrain in bar 40, when 'nimmermehr' is now underscored by a French Sixth chord in G Major.

If G minor relates to the pain Faust has brought to Gretchen, the parallel major represents Gretchen's longing for Faust. There is a change of key signature to G major for the depiction of stanzas five to seven of the poetry, where Gretchen recalls Faust's physical features and his kiss while the line 'seines Mundes Lächeln, seiner Augen Gewalt' [smile of his mouth / power of his eyes] is conveyed in the dominant of G Major, D Major. This change in tonality reflects Gretchen becoming increasingly frenzied, culminating in a modulation to the submediant E minor in bar 65 which leads to a perfect cadence on 'Kuss' ['kiss']. Further evidence that the G major tonality is associated with longing can be found in the plagal cadence which concludes Curschmann's setting. The plagal cadence is an

unsatisfying alternative to the perfect cadence and can be interpreted as being anticipatory of a perfect cadence in the C minor tonality which is suggested in the refrain. The *Tierce de Picardie* suggests both an unfulfilling outcome to Gretchen's yearning for Faust and salvation through redemption.

The primary role of the accompaniment is to provide harmonic support for the vocal line, but beyond the representation of the spinning wheel in the left-hand accompaniment, there are changes to the accompaniment texture which add to the drama of Curschmann's setting. These changes in accompaniment texture are always to portray the intensification of Gretchen's emotions. The most notable example occurs in bar 26 on the line 'mein armer Sinn ist mir zerstückt' ['my poor mind is torn apart'] as *staccato* in the left-hand accompaniment combines with the rapid harmonic rhythm of six changes of chord per bar to convey Gretchen's distress (see Example 5.42).

**Example 5.42: Curschmann, 'Meine Ruh ist hin', bars 26–27**

The image shows a musical score for two staves. The top staff is the vocal line, and the bottom staff is the piano accompaniment. The key signature is C minor (three flats). The vocal line has the lyrics: 'ar - mer Sinn ist mir zer - stückt'. The piano accompaniment features a rapid harmonic rhythm of six chords per bar in the right hand, and a staccato bass line in the left hand. The piano part is marked with a piano (*p*) dynamic.

This notion of combining fast harmonic rhythm with a change in accompaniment texture also occurs in the piano interludes in this Lied, giving the impression that singing at the spinning wheel is enabling Gretchen to exert a degree of control over her emotions, which briefly escapes her between certain verses. Curschmann's consideration for the drama can also be

seen in his depiction of 'Grab ['grave'] in bar 18. To portray the idea that Gretchen cannot live without Faust, Curschmann modulates to the relative major of the tonic (B flat major) through the diminished secondary dominant. The use of the secondary dominant is an example of word-painting in that it is an allusion to the morbidity of Gretchen's death, but the function of the modulation to the relative major is to suggest Gretchen will only be at peace through death, which foretells Goethe's drama.

## 5.22 Giuseppe Verdi's 'Perduta ho la Pace': musical setting

**Table 5.12: Goethe, *Faust I, Gretchens Stube*, 'Perduta ho la Pace', ll. 3374–3413**

<b>'Perduta ho la pace'</b>		<b>'My heart's so heavy'<sup>863</sup></b>
Perduta ho la pace, ho in cor mille guai; Ah, no, più non spero trovarla più mai.	3375	My heart's so heavy, My heart's so sore, How can ever my heart Be at peace any more?
M'è buio di tomba Ov'egli non è; Senz'esso un deserto è il mondo per me.	3380	How dead the whole world is, How dark the day, How bitter my life is, Now he's away!
Mio povero capo confuso travolto; Oh misera, il senno, il senno m'è tolto!	3385	My poor head's troubled, Oh what shall I do? My poor mind's broken And torn in two.
Perduta ho la pace, ho in cor mille guai; Ah, no, più non spero trovarla più mai.		My heart's so heavy, My heart's so sore, How can ever my heart Be at peace any more?
S'io sto al finestrello, ho gl'occhi a lui solo; S'io sfuggo di casa, Sol dietro a lui volo.	3390	When I look from my window It's him I must see; I walk out wondering Where can he be?
Oh, il bel portamento; oh, il vago suo viso! Qual forza è nei sguardi, che dolce sorriso!	3395	Oh his step so proud And his head so high And the smile on his lips And the spell of his eye,

<sup>863</sup> Johann Wolfgang Goethe, *Faust. Part One*, trans. David Luke, pp. 107–108.

E son le parole Un magico rio; Qual stringer di mano, Qual bacio, mio Dio!	3400	And his voice, like a stream Of magic it is, And his hand pressing mine And his kiss, his kiss!
Perduta ho la pace, ho in cor mille guai; Ah, no, più non spero trovarla più mai.	3405	My heart's so heavy, My heart's so sore, How can ever my heart Be at peace any more?
Anela congiungersi Al suo il mio petto; Potessi abbracciarlo, Tenerlo a me stretto!		My body's on fire With wanting him so; Oh when shall I hold him And never let go
Baciarlo potessi. far pago il desir! Baciarlo! e potessi Baciata morir.	3410	And kiss him at last As I long to do, And swoon on his kisses And dies there too!

'Perduta ho la pace' is one of two Gretchen settings which were included in *Sei Romanze*, the first published work of Giuseppe Verdi (1813–1901) which received publication from Giovanni Canti in 1838. 'Perduta ho la Pace' is derived from a translation of 'Gretchen at the Spinning wheel' by Luigi Balestra (1808–1863). The translation of the text from German to Italian has a significant impact on poetic meaning, which in turn influences Verdi's setting. Stress analysis of Balestra's translation reveals the poetic metre to be *doppio senario* – lines of amphibrachic dimeter as opposed to the iambic dimeter which is present in Goethe's poetry (see Example 5.43).

**Example 5.43: Stress analysis of Luigi Balestra's 'Perduta ho la pace'**

\*                    \*

Perduta ho la pace  
                  \*                    \*

ho in cor mille guai;  
                  \*                    \*

Ah, no, più non spero  
                  \*                    \*

trovarla più mai.

This change in poetic metre between original text and translation is unavoidable due to the prevalence of paroxytones in the Italian language. Balestra attempts to match the dramatic intensity of Goethe's text by compensating for the difference in stress patterns between languages, using dactyls and amphibrachs to imitate the accelerating effect of Goethe's iambs, and caesuras to mimic Goethe's masculine endings. In substituting trisyllables for disyllables, Balestra's translation contains more syllables than Goethe's text and therefore encourages the composer to use vocal rhythms with shorter durational units. Analysis of the basic rhythmic declamation of the text shows that Verdi conforms to the poetic metre of Balestra's text in his setting of the refrain (see Example 5.44a, 5.44b and 5.44c).

**Example 5.44a: Simple BRD of Goethe's *Gretchens Stube*, ll. 3374–3375**

Per - du - ta ho la pa - ce, ho in cor mil - le gua - i;

**Example 5.44b: BRD-variant of Goethe's *Gretchens Stube*, ll. 3374–3375**

Per - du - ta ho la pa - ce, ho in cor mil - le gua - i;

**Example 5.44c: Opening vocal line of Verdi's 'Perduta ho la Pace'**

Per - du - ta ho la pa - ce, ho in cor mil le gua - i;

Although Verdi opts for the time signature that is most appropriate for the declamation of Balestra's translation (3/8), the composer is evidently considerate of the poetic metre of

Goethe's text – musical downbeats are aligned with poetic stress and for the most part, there is equivalence in duration between the poetic stresses. It is, however, worth noting Verdi's selective adherence to caesuras – the composer blatantly disregards the commas in the third line of the opening stanza with his choice of vocal rhythms, yet carefully observes commas in bars 24–27 for the depiction of the line 'Oh misera, il senno / il senno m'e tolto' ['miserable, my sense / my sense taken from me']. It is clear that Verdi does not feel the need to replicate Balestra's poetic rhythms in his choice of vocal rhythms, perhaps recognising that the original poetic rhythms have been distorted in translation. Verdi is, nevertheless, prepared to deviate from the BRD of the text to suggest textual meaning – there is a phrase interpolation in bars 95–99 to convey the decisive image of Gretchen dying on Faust's kiss.

The tonal design of 'Perduta ho la pace' is simple but effective. Verdi's setting begins in D minor, which is the key of the refrain, and concludes in D major on 'baciata morir' ['kissed dead'] conveying the notion that only in death will Gretchen achieve peace as she recalls Faust's kiss. Verdi modulates and transitions to the closely-related keys of D minor – the subdominant and dominant – throughout the Lied to allude to this association. The first of these changes in tonality is from D minor to A minor in bar 11 – the first line of the second stanza on 'tomba' ['tomb'] – but the most notable example is in bar 92 on 'Bacciarlo!' ['kiss'] with the diminished secondary dominant seventh chord facilitating a transition from F major to G minor (see Example 5.45).

**Example 5.45: Verdi, 'Perduta ho la pace', bars 91–92**

The image shows a musical score for two staves. The top staff is a vocal line in 3/8 time, with the lyrics "sir! Ba - ciarlo!". The bottom staff is a piano accompaniment. The right hand of the piano part features a diminished secondary dominant seventh chord (VII dim7 I) in the right hand, and a rhythmic pattern in the left hand. The score is for bars 91-92.

A similar use of the closely-related keys of D minor – modulating and transitioning to the parallel major and its subdominant and dominant – conveys stanzas four to six where Gretchen recalls happier times in reminiscing over Faust. The diminished secondary dominant seventh is used to transition to B flat major and C major, but the parallel major is reserved for the purpose of word-painting, arriving on 'bel' ['beautiful']. The only other tonality which features in the Lied is the most unusual A major, but it is significant due to its appearance at the climactic point in the setting during the repetition of the line 'qual bacio, mio Dio!' ['his kiss, my God!']. The perfect authentic cadence in A major hints at a happy ending; the immediate transition to D minor makes Gretchen's fate abundantly clear. It is also worth remarking on Verdi's use of various guises of the augmented sixth chord in the Lied, used to depict Gretchen's torment. A French Sixth in bar 15 on 'senz'esso' ['without him'] illustrates Gretchen's anguish when Faust is not around while an Italian Sixth on the line 'il senno m'è tolto!' ['mind taken from me'] portrays her suffering.

### **5.23 Conclusion: A reappraisal of *Faust* settings in the 1830s in respect of text setting practice**

The underappreciated and unknown *Faust* settings discussed in this chapter prove that a unique contribution was being made to the Lied during the 1830s through the setting of texts from Goethe's *Faust* – challenging the perception that the decade was a lull period for the Lied. Prince Anton Radziwill's *Compositionen zu Goethes Faust* and Conradin Kreutzer's *Gesänge aus Goethes Faust* were ambitious in their scope and their respective song collections contain settings of texts which were not set by anyone else in the long nineteenth-century. Only in Radziwill's *Faust* is the relationship between Faust and Mephistopheles – and the pact between them – set as song. Radziwill was one of the first composers to set *Faust* to music following the publication of Goethe's *Faust I* in 1808, but his realisation was not published until 1835. Despite this, Radziwill's *Faust* had a particular import on *Faust*

settings of the 1830s – Loewe was evidently inspired by Radziwill's *Faust* having considered Radziwill's composition to have established *Faust* as a musical text, while Lecerf's *Neun Gesänge aus Goethes Faust* is dedicated to Radziwill. With regard to the relationship between text and music in 'Beschwörung' and 'Wenn ich empfinde', Radziwill deviated from the BRD of the text to suggest poetic meaning. This is most evident in the slowing of the pace of declamation to convey the image of Faust falling asleep in 'Beschwörung' and in the establishment of the 12-bar phrase in 'Wenn ich empfinde' as a metaphor for the line 'unendlich ewig, ewig nenne' ['eternal, endless, endless – why?']. Furthermore, there are interesting harmonic ideas at work in Radziwill's songs. Semitonal shifts facilitate a gradual change of tonality from the tonic to the dominant in 'Beschwörung' to illustrate Mephistopheles' incantation while 'Wenn ich empfinde' begins with a suspended diminished seventh chord resolving to the dominant which insinuates that Faust will not keep his vow to Gretchen. The piano accompaniment also has a characteristic role in these settings – *staccato* figuration is used to convey Mephistopheles' spell in 'Beschwörung' while shifts in accompaniment texture in 'Wenn ich empfinde' align with changes to Faust's mode of address in the text. It is clear that Radziwill does not adhere strictly to the poetic form of Goethe's *Faust* despite collaborating with Goethe on his music to *Faust* and embarking on these settings at a time when a more classicist approach to text setting would have been accepted.

Kreutzer's *Faust* settings are unique in the context of Goethe's *Faust* and the Lied – they are the only songs to chart the unfurling of Faust's own tragedy. The analysis of word-music relations in 'In Marthens Garten' provides an insight into how Kreutzer conceived Faust's tragedy unfolding. Kreutzer does not conform to the BRD of the text in his choice of musical rhythms and this author would go as far as to suggest that the non-conformance to the BRD is intended to convey the discord between Faust and Gretchen which exists in this scene and is unbeknown to the couple themselves. A pertinent example of this is the



displacement of the rhythm at the precise moment in the Lied where Gretchen wrongly concludes that Faust shares her religious beliefs. The application of tonality in the song is relevant to the depiction of the collision between Faust and Gretchen's worlds. This sole chromatic chord in the Lied denotes the core condition of their tragedy when a jarring sharpened subdominant diminished seventh chord underscores Faust's claims that there is no difference between his religious views and those which Gretchen holds. The image of Faust and Gretchen's opposing worlds is also portrayed in the piano accompaniment as *tremolando* figuration – which suggests tension – is met with a conflicting *fortepiano* dynamic. It is apparent that Kreutzer's approach to text setting in this Lied is to utilise every musical device that is available to him to amplify the content of Goethe's poetry. The use of musical rhythm, piano accompaniment and tonality for the purpose of text depiction is similarly apparent in the musical responses offered by Kreutzer to the more commonly set 'Song of the Flea' and 'Mephisto's Serenade'. These songs are of interest as they demonstrate a particular dramatic faithfulness to Goethe's *Faust* by setting the poetic structure of the text as is, instead of removing the song from its poetic context. Kreutzer's flea motif in 'Recitativo' is reminiscent of the inaugural motif in Beethoven's 'Flohlied' in the way in which it mimics the appoggiatura. Kreutzer does not conform to the BRD of the text in his choice of vocal rhythms; the composer instils an overly elaborate virtuosic quality to the vocal line to establish the comic tone. Furthermore, the accompaniment has a characteristic function in 'Recitativo', depicting the jumping flea. In 'Recitando und Romanze', tonality is assigned greater importance in the illustration of the text as Kreutzer plays with harmonic cadences and uses the Italian Sixth to convey Mephisto's sinister mocking of Gretchen.

This chapter redresses the neglect of Loewe's *Faust* settings through the analysis of 'Szene aus Faust' from *Faust I* and 'Lynceus des Thümers' from *Faust II*.<sup>864</sup> Goethe was the poet most commonly set by Loewe – there are 53 Goethe settings in total with nine settings based on Goethe's *Faust*, two from *Faust I* and seven from *Faust II* – demonstrating the importance of Goethe's *Faust* in relation to Loewe's song output. Furthermore, Loewe is an important historical figure in sustaining the relationship between Goethe's *Faust* and the Lied having been the first composer to set *Faust II* to song – a distinction which has traditionally been attributed to Fanny Hensel. Loewe's 'Szene aus Faust' deviates from the BRD almost immediately to portray Gretchen's torment, however, 'Szene aus Faust' exhibits notable restraint which this author would suggest is intended to evoke Gretchen's isolation. Despite the evident simplicity of 'Szene aus Faust', the manner in which the text is declaimed is impressive and an array of word-painting devices are effective in enhancing textual meaning. This approach to text setting for the portrayal of the text is reminiscent of Schubert's 'Gretchen im Zwinger' and the oscillations between G minor and B flat Major – which characterise the Lied – also bring Schubert to mind. This interchanging of tonality between the relative major/minor pairing is also a feature of 'Lynceus der Thürmers'. Loewe repeatedly deviates from the BRD in this Lied to suggest textual meaning as the elongation of each poetic foot conveys Lynceus' contemplative song. This setting also exhibits the imaginative use of the piano accompaniment which has been associated with Loewe and distinguishes Loewe from many of his contemporaries in this dissertation; examples include the consistency of the accompaniment texture used to portray the stillness of the night, while the outlining of the perfect fifth over the tonic pedal depicts the natural beauty of which Lynceus speaks.

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<sup>864</sup> Paul Leinbach Althouse has acknowledged that Goethe's songs are of the utmost importance in Loewe's *oeuvre* in *Carl Loewe (1796–1869: His Lieder, Ballads and Their Performance* (PhD diss., Yale University, 1971). The dissertation focuses more on musical style – namely Ballad style – than individual songs, and Loewe's *Faust* settings are not discussed.

Lenz's composition of two distinct versions of 'Der König in Thule' is intriguing. The motivation appears to have been financial as a higher price was assigned to the Gretchen settings than the other settings in the collection. Further evidence to suggest this was the case lies in the non-chronological ordering and the lack of tonal coherence between the settings – which renders the songs unsuitable for the stage – while the inclusion of only the most commonly set *Faust* texts would suggest an attempt to appease the general public. There is a general compliance to the BRD in both settings of 'Der König in Thule' which distinguishes Lenz from the aforementioned Radziwill, Kreutzer and Loewe. Lenz's application of tonality in these settings of 'Der König in Thule' also pales in comparison to previously discussed composers. The text of 'The King in Thule' contends with the king's devotion to his deceased wife and in both Lenz's settings, the relative major/minor pairing appears to illustrate the opposing facets of fidelity – the happiness that is achieved in life and the grief that comes with death. Beyond the use of the diminished seventh chord as a means of word-painting, there are no striking harmonic touches in Lenz's settings of 'Der König in Thule' and aside from a change in accompaniment texture in the second version to illustrate that the king is dying, the piano accompaniment is not afforded much more responsibility than to provide harmonic support for the vocal line. Lenz's 'Ständchen des Mephistopheles' exhibits a more attractive approach to text setting – the strong stresses of Goethe's poetry are elongated in the musical rhythm to convey Mephisto's mocking of Gretchen. The major/minor pairing is related to both aspects of Mephisto's personality – A Major is established as the tonality which portrays Mephisto as seducer while F sharp minor denotes his sarcasm. Furthermore, chromaticism is applied to mock Gretchen. A supertonic diminished seventh chord underscores 'Mädchen' and a supertonic chromatic chord marks 'nichts' – Mephistopheles is revelling in the consequences of Gretchen's relationship with Faust.

Analysis of the musical rhythms, use of piano accompaniment and the application of tonality in both Lecerf's 'Zueignung' reveals a composer whose musical response to Goethe's text was focused on elevating poetic meaning. Lecerf deviates from the BRD on occasion in 'Zueignung' for the purpose of word painting and these departures are of interest – the anticipated anacrusis on 'getäuscht' ['deceived'] and 'irrt' ['error'] do not occur. The piano accompaniment is also afforded a significant role in portraying textual meaning with *tremolando* figurations present to convey the poetic persona's yearning for lost youth while arpeggiated chords are found at moments of dramatic importance, none more so than for the depiction of the lines 'Ein Schauer fast mich, Thräne folgt den Thränen / das strenge Herz es fühlt sich mild und weich' ['I tremble, and my burning / Tears flow, my stern heart melts to love again']. The accompaniment enhances textual meaning even when it is not heard – it is appropriately absent for the line 'Und was verschwand, wird mir zu Wirklichkeiten' ['And vanished worlds are real to me today']. In relation to tonality, 'Zueignung' is in D minor, but there is no key signature indicated in the score. This serves as a visual representation of the idea that Goethe has reached his pinnacle with *Faust* and no longer inhabits the world of 'Zueignung' – the innocent world of his youth. In comparison to 'Zueignung', 'Faust im Studierzimmer' is a less remarkable strophic song. That said, there are subtle rhythmic, harmonic and accompanimental nuances which serve as an endorsement of Faust's striving. The musical rhythm is varied on 'bessere seele' ['better soul'] and 'selber' ['himself'] while modulations to the dominant occur on 'weckt' ['awakens'] and 'kennt' ['knows'] and the left-hand and right-hand accompaniment briefly align to convey the image of blanket darkness.

Analysis of Lindpaintner's 'Meine Mutter die Brut' reveals that the composer tended to conform to the BRD of the poetic text in his choice of musical rhythms, but opted to set the strophic text in binary form, which as this chapter proves, was unusual for the song composer in the 1830s. The parallel major/minor explored in this song represents the dichotomies of

life and death, pain and happiness. The A section is characterised by sudden diminished seventh chords which illustrate that the boy in the tale of the Juniper Tree holds his family accountable for the anguish he now experiences while the B section, on the contrary, revolves around laboured tonic – dominant – tonic progressions which depicts death's repose. The piano accompaniment is primarily tasked with giving harmonic support to the vocal line, but the right-hand accompaniment is used as a means of textual emphasis later in the Lied when the texture is altered to portray the image of the bird flying into the distance. Lindpaintner shows that he is willing to disregard poetic form in the pursuit of advancing poetic meaning in his musical response, but 'Meine Mutter die Brut' exhibits melodic and harmonic restraint.

The approach to text setting demonstrated in Banck's 'Tanzreigen aus Faust' calls to mind Wagner's setting of the same, 'Bauern unter der Linden'. In both cases, the archaic simplicity on show is in response to the text, which depicts ordinary citizens enjoying the festivities of Easter morning through regular lines of iambic tetrameter in the poetry. The harmony of Banck's setting centres on tonic – dominant – tonic progressions but the application of a sharpened subdominant with diminished seventh chord over a dominant pedal to suggest the villagers' fatigue is a welcome harmonic touch in a Lied which is in the tonic key for all but six of its ninety bars. Banck's willingness to emancipate musical rhythm from poetic rhythm is evident in his use of phrase interpolations as a means of word-painting. Furthermore, the accompaniment features in the portrayal of the text as arpeggiated chords suggest the cyclical motion of the villagers dancing around the linden tree.

Another setting which is bound with the simplicity associated with the *Volkslied* tradition is Grimmer's 'Der König in Thule'. Unlike most of his song contemporaries, Grimmer adheres strictly to the poetic metre in his setting of Goethe's text. There are similarities to be drawn here between Grimmer's setting and Schubert's 1816 interpretation – both are in D minor and neither song has a piano introduction, which is atypical. The

accompaniment is not afforded a function independent of the melodic line as the left-hand accompaniment, right-hand accompaniment and voice are in unison for the opening line of each stanza, the interludes and the postludes. With regard to tonality, Grimmer uses the French Sixth to suggest Gretchen's uneasiness in this scene. The composer's choice of musical rhythms, the application of the piano accompaniment and the use of the augmented sixth chord is in response to the text and Gretchen's recollection of the ballad.

Curschmann's 'Meine Ruh ist hin' does not conform to the BRD of the text with each deviation related to Gretchen's turmoil. The composer is willing to take liberties with Goethe's poetry, repeating the phrase 'ich finde sie nimmer' ['I find it never'] and repeatedly interpolating the phrase 'vergehen sollt' ['shall die'] as a means of emphasising key aspects of the text which are indicative of Gretchen's plight. Curschmann's setting is interesting as it begins in G minor and concludes with a plagal cadence in G Major, suggesting Gretchen's yearning for Faust cannot result in fulfilment, but that she will be spared from her torment. Curschmann uses diminished chords as a means of word painting, sounded on 'Ruh' ['peace'] and 'Herz' ['heart'] to compound Gretchen's troubled state. Furthermore, the accompaniment texture is often altered – and combined with the change of pace in harmonic rhythm – to convey the intensification of Gretchen's emotions at various stages in the Lied. In this analysis of Curschmann's 'Meine Ruh ist hin', it seems apparent that the composer's approach towards text setting compares favourably with some of his more illustrious contemporaries.

The final setting considered in this chapter is Verdi's 'Perduta ho la pace', which also uses the *Tierce de Picardie* to suggest Gretchen will be redeemed. For the most part, Verdi conforms to poetic rhythms of Luigi Balestra's translation with the only deviation from the BRD taking place in bars 95–99 via a phrase interpolation which portrays Gretchen dying on Faust's kiss. Verdi's application of tonality is intriguing – he modulates and transitions to closely-related keys at moments in the text where Gretchen achieves respite, while more

unusual modulations and transitions take place when Gretchen is in a frenzied state. Furthermore, Verdi presents the augmented sixth chord in various guises to convey Gretchen's sorrow.

It is clear from the analyses in this chapter that for composers of the 1830s, the emphasis was on being able to convey poetic meaning. The use of durational and registral accents as a means of replicating poetic stresses are common in all of these settings, illustrating that melody was constructed with poetic rhythm in mind, however, each of the songs discussed in this chapter – with the notable exception of Grimmer's 'Der König in Thule' – exhibit deviations from the BRD, typically in the form of elongations of stress which leads to rhythmic displacement and a slowing in the pace of declamation. The accompaniment is often afforded a characteristic role while modulations and transitions and the use of chromatic chords almost always respond to specific aspects of the poetic text. In reappraising these *Faust* settings of the 1830s, it has become clear that musical rhythm is being emancipated from poetic rhythm in these *Faust* songs, but it is an advancement in text setting which is taking place slowly across the decade.

## Conclusion and research findings

### 6.1 Conclusion

The primary and secondary research questions considered in this dissertation require concluding remarks and the questions are as follows:

**In what way has the reception history of *Faust* songs of the 1830s been affected by the negative perception of both Goethe's musicality and his theories on textual declamation?**

Goethe wrongly believed musicality was characterised by virtuosic musicianship and as such, felt he was not qualified to hold the same command over music as the other art forms which took his interest. This belief has essentially been used to define the reception history of Goethe as musical poet and his approach to text setting which, in turn, has impacted on the perception of the Lied in the 1830s. Prodigious talent is not a pre-requisite for making an impactful contribution in music – the Lieder and opera Goethe's *Faust* generated is a testament to this, as is Wagner's standing in music history despite his late start in music. Theorists have not been able to agree on a universal model for song analysis but the discussion has traditionally been weighted in favour of composers such as Schubert who augment our understanding of the poetic text. Goethe would have approved, but specific statements the poet made on how text should be set to music over the course of a long lifetime have been taken too literally and have caused him to be defined as conservative. The same rationale has been applied to song composers of the 1830s who were influenced by Goethe's views on text declamation. As with Goethe, however, these composers would have advocated Schubert's text setting practices – analysis of text declamation in Lieder of the



1830s shows these composers departed from poetic rhythm to allow music to amplify poetic meaning.

**What does Wagner's engagement with Goethe's *Faust* reveal about the poet's influence on the composer?**

Goethe's influence on Wagner is important – especially in the composer's formative years – but the significance of Goethe has not received the same scholarly attention as the effect both Shakespeare and Beethoven had on Wagner. This oversight can be attributed to the minimisation of the impression Goethe had on him in autobiographical writings. There is no mention of his seven *Faust* songs in the *Autobiographical Sketch* (1843) and yet Wagner had requested handwritten scores of these settings to be sent to him prior to the composition of *Eine Faust Ouvertüre* in 1839–40, illustrating that Goethe's *Faust* was at the forefront of his musical endeavours. Wagner viewed Goethe and *Faust* as the literary equivalent of Beethoven and the *Ninth Symphony*. In positioning himself and his operas as the succession to Beethoven symphonies, Wagner diminished the resounding impact *Faust I* had on him. Evidence of the bearing *Faust* had on Wagner has not been hard to come by. His uncle and sister's affinity with the text inspired Wagner's early music endeavours and *Sieben Kompositionen zu Goethes Faust* can be described as a formative small-scale exploration of large-scale ideas – concepts Wagner attempted to bring about in his *Eine Faust Ouvertüre* which were realised later in Wagner's operas where he wrote his own libretti. In this sense, Gretchen can be viewed as precursor to the Wagnerian heroine.

## **What musical response to Goethe's *Faust* is provided by *Faust* song collections of the 1830s?**

Wagner's *Faust* settings are among the first of many settings to emerge following Goethe's death in 1832. The extent of the influence Goethe and *Faust* had on Wagner has not been unveiled in musicology and Wagner's seven *Faust* songs within the context of his engagement with Goethe's *Faust* are central to our understanding of the composer's formative years. Goethe's influence on Wagner is most keenly felt in his portrayal of Gretchen, an early example of the *belle âme* or *schöne Seele* in German literature which was central to Goethe's writing and influenced the portrayal of Wagner's heroines in many of his operas. From an historical perspective, Anton Radziwill's *Faust* – along with Carl Eberwein's *Faust* – are among the first *Faust* settings to have been written following the publication of Goethe's *Faust I*, though these settings were not published until after the publication of Goethe's *Faust II*. Radziwill is the only nineteenth-century song composer to have set the signing of the pact to the Lied. Furthermore, Radziwill is credited by Loewe as being the composer that established *Faust* as a musical text. Conradin Kreutzer's *Faust* settings are unique as they not only capture the love tragedy, but the tragedy of Faust – the only figure in Goethe's *Faust* who does not sing and whose monologues have rarely been set. The introduction of Gretchen and the love tragedy to the myth is one of Goethe's two primary contributions – the second of which is his endorsing of Faust's eternal striving and overreaching, for which he (unlike his predecessors) is not condemned to hell. This first strand, the tragic relationship between Faust and Gretchen is always conveyed in music from Gretchen's perspective, as she is the character to whom Goethe gives the most music in the play. Only in Kreutzer's Lieder do we witness Faust's own tragedy turn full circle, from his dissatisfaction with spiritual life in his study to his rejection of Christian beliefs in Martha's Garden. Kreutzer's *Faust* settings

uphold Goethe's endorsement of Faust's constant striving – the second *Hauptthema* of Goethe's tragedy – and traces in musical form the steps that endorse Faust's plight.

**What does the analysis of text declamation in the *Faust* settings of the 1830s reveal about text setting practices at this time?**

The *Faust* settings which have been analysed in this dissertation do not adhere strictly to the poetic rhythms of Goethe's *Faust* text. With the exception of Friedrich Grimmer's 'Der König in Thule' – a simplistic setting which is indebted to the *Volkslied* tradition – each of the settings discussed in this dissertation fail to conform entirely to the BRD. This is significant as it shows composers of *Faust* Lieder in the 1830s had an approach towards text setting that was similar to the treatment of poetic rhythms in Schubert's Gretchen settings. In Schubert's *Faust* settings, deviations from the BRD tend to reflect Gretchen's inner psyche and this is taken to new heights in Wolf's 'Gretchens Bitte' where frequent departures from the BRD act as commentary on Gretchen's psychological being. It is important to note that distortions of the poetic rhythm in settings of the 1830s are not exclusive to the Gretchen tragedy – they are commonly found across the *Faust* settings of the period analysed in this study. This indicates an emancipation of musical rhythm from the BRD in the decade. The popularity of Goethe's *Faust I* and the posthumous publication of *Faust II* brought about a logical diversification in texts which were being set to song. Lied composers of the 1830s were beginning to set poetry from *Faust* which did not necessarily lend itself to musical setting. One such example in this study is Kreutzer's 'In Marthens Garten' where the composer departs from the BRD on a regular basis, taking advantage of the freer rhythms of this scene.

### **Why has Hugo Wolf's 'Gretchens Bitte' been neglected in musicology?**

'Gretchens Bitte' is the only Goethe setting by Hugo Wolf that was not published in the composer's lifetime and this has contributed to its neglect in musicology. This is exemplified first by Eric Sams' *The Songs of Hugo Wolf* – a significant study of Wolf's oeuvre – which focuses only on published settings. 'Gretchens Bitte' has been overlooked more recently by Susan Youens who suggests in *Hugo Wolf: The Vocal Music* that Wolf's song aesthetic only began to emerge in his late-twenties and that earlier settings were indebted to Schumann. There is a misconception that Wolf's formative settings – including 'Gretchens Bitte' – were reliant on Schumann and lacked traits which have been associated with Wolf's later work and post-Wagnerian song in general. The progressive use of tonality, the advancement in the function of the piano accompaniment and the subservience of the voice are all present in this teenage work, if only at a formative stage.

### **6.2 Pathways for future research**

This dissertation through contextual analysis of the relationship between Goethe's *Faust* and the Lied during the long nineteenth century, and musical analysis of *Faust* song settings of the 1830s, addresses a lacuna in song, thus furthering our understanding of the nineteenth-century Lied. Detailed musical analysis of selected *Faust* settings from an array of composers across the 1830s seeks not only to rethink these neglected settings, but to open up further research into the recovery of *Faust* song settings. Hugo Wolf's 'Gretchens Bitte' demonstrates the need for research into neglected *Faust* settings across the long nineteenth century, beyond the time period under consideration in this dissertation. *Faust* in translation is another potential topic of research as evidenced in this study by the discussion of Berlioz's *Huit Scènes de Faust*, based on a Gérard de Nerval translation and Verdi's 'Perduta ho la pace', derived from a translation of *Faust* by Luigi Balestra. These *Faust* settings established a

tradition in France and Italy which was later built upon in opera with Charles Gounod's *Faust* (1859), Arrigo Boito's *Mefistofele* (1868) and Ferruccio Busoni's *Doktor Faust* (1924). Another potential avenue for research would be *Faust* settings or Goethe settings of one of the many song composers studied in this dissertation who would benefit from a more focused study of their song compositions with Carl Loewe an obvious candidate as the first composer to set *Faust II* to music.

This dissertation has revealed a lacuna in Wagnerian scholarship, namely Wagner's formative style. Furthermore, while this dissertation assesses the impact unknown *Faust* song settings have had on the genre of the Lied, there are many relatively unknown operas, such as Heinrich Zöllner's *Faust* (1887) which could be studied in order to improve our cultural understanding of the *Faust* myth.

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## Appendices

### Comparative settings to texts set by Wagner

#### (a) 'Lied der Soldaten'

Composer	Song Title	Date
Johann Christoph Kienlen	'Soldatenlied'	c1819
Joseph Hartmann Stuntz	'Soldatenlied'	1825
Prince Anton Radziwill	'Chor der Soldaten'	1810–33
Leopold Lenz	'Lied der Soldaten'	1833
Conradin Kreutzer	'Soldatenchor'	1834
Justus Amadeus Lecerf	'Soldaten vorüberziehend'	1835
H. Lemke	'Soldatenlied aus Faust'	1840
Johann von Herbeck	'Soldatenchor aus Goethes Faust'	1852
Carl Machts	'Soldatenchor'	1874
Hugo Artzt	'Soldatenlied'	1909
Hermann Simon	'Soldatenmarsch'	1932
Hans Lang	'Lied der Soldaten'	nd
Karl Preis	'Soldatenlied'	nd
Kurt von Wolfurt	'Soldatenlied'	nd
B. Zerlett	'Soldatenlied'	nd

#### (b) 'Bauern unter der Linden'

Composer	Song Title	Date
Johann Christoph Kienlen	'Gesang und Tanz unter der Linde'	c1819
Prince Anton Radziwill	'Unter der Linde'	1810–33
Leopold Lenz	'Der schäfer putzte sich zum Tanz'	1833
Conradin Kreutzer	'Bauern unter der Linde'	1834
Justus Amadeus Lecerf	'Bauerntanz im Freyen'	1835
Carl Banck	'Tanzreigen'	1839
Emil Kauffmann	'Aus Faust'	1865
Eduard Lassen	'Der schäfer putzte sich zum Tanz'	1877
Helene M. Petersen-Victor	'Der schäfer putzte sich zum Tanz'	1877
Moritz Moszkowski	'Der schäfer putzte sich zum Tanz'	1888
Gustav Thudichum	'Tanzlied aus Faust'	1899
Arnold Mendelssohn	'Der Tanz unter der Linde'	1905
Ignaz Walter	'Der schäfer putzte sich zum Tanz'	c1920
Hermann Simon	'Tanz unter der Linde'	1932
Armin Knab	'Der schäfer putzte sich zum Tanz'	1949
Hans Lang	Gesäng unter der Linde'	nd
Karl Preis	'Unter der Linde'	nd
Louis Schlottmann	'Lied zum Tanz unter der Linde'	nd
Justus Hermann Wetzel	'Tanzlied aus Faust'	nd
Kurt von Wolfurt	'Der schäfer putzte sich zum Tanz'	nd

### (c) 'Branders Lied'

<b>Composer</b>	<b>Song Title</b>	<b>Date</b>
Johann Christoph Kienlen	'Lied der lustigen Gesellen'	c1819
Joseph Hartmann Stuntz	'Lied'	1825
Prince Anton Radziwill	'Lied des Brander'	1810–33
Leopold Lenz	'Lied der Gesellen im Auerbachs Keller'	1833
Conradin Kreutzer	'Es war eine Ratt im Kellernest'	1834
Justus Amadeus Lecerf	'Lied der lustigen Gesellen in Auerbachs Keller'	1835
Hector Berlioz	'Chanson de Brander'	1845–46
Wilhelm Kienzl	'Branders Lied in Auerbachs Keller'	1881
Julius Röntgen	'Auersbach Keller in Leipzig'	1931
Hermann Simon	'Das Lied von der Ratte'	1932
Ferruccio Busoni	'Lied des Brander'	(published 1964)
F. Forgeois	'Das Lied von der Ratte'	nd
Adolph B. von Lauer	'Auersbach Keller'	nd
Viktor Nessler	'Die Ratte aus Goethes Faust'	nd
Kurt von Wolfurt	'Es war eine Ratt im Kellernest'	nd

### (d) 'Lied der Mephistopheles'

<b>Composer</b>	<b>Song Title</b>	<b>Date</b>
Ignaz Walter	'Gesang des Leviathan'	1797
Ludwig van Beethoven	'Aus Goethes Faust'	1809
Joseph Hartmann Stuntz	'Lied'	1825
Hector Berlioz	'Histoire d'une Puce'	1828–29
Heinrich Marschner	'Aus Goethes Faust'	c1830
Leopold Lenz	'Lied des Mephistopheles in Auersbach Keller'	1833
Conradin Kreutzer	'Recitativo und Tempo di Bolero'	1834
Justus Amadeus Lecerf	'Lied des Mephistopheles unter den lustigen Gesellen in Auersbachs Keller'	1835
Prince Anton Radziwill	'Lied des Mephistopheles'	1835
Zdeněk Fibich	'Altres Lied'	1869
Adolph B. von Lauer	'Mephisto's Lied'	c1874
Modest Mussorgsky	'Pesnja Mefistofelja v pogrebke Au'erbakha'	1879
Adele Sachsse	'Es war einmal ein König'	1880
Wilhelm Kienzl	'Mephistopheles Lied in Auerbachs Keller'	1881
Ferruccio Busoni	'Lied des Mephistopheles aus Goethes Faust'	1918
Margareta Voigt-Schweikert	'Es war einmal ein König'	1918
Julius Röntgen	'Es war einmal ein König'	1931
Hermann Simon	'Flohlied'	1932
Mark Lothar	'Das Lied von Floh'	c1940
Paul Dessau	'Das Lied von Floh'	1949
F. Forgeois	'Das Lied von Floh'	nd
Viktor Nessler	'Die Floh aus Goethe'	nd
Kurt von Wolfurt	'Es war einmal ein König'	nd
Justus W. Lyra	'Flohlied'	nd

### (e) Lied der Mephistopheles II

<b>Composer</b>	<b>Song Title</b>	<b>Date</b>
Johann Christoph Kienlen	'Lied des Mephistopheles'	c1819
Leopold Lenz	'Ständchen des Mephistopheles'	1833
Conradin Kreutzer	'Recitativo und Romanze'	1834
Prince Anton Radziwill	'Mephistopheles'	1835
Hector Berlioz	'Sérénade des Mephistophélès'	1846
Alexander Winterberger	'Serenade des Mephistopheles'	1875
Eduard Lassen	'Was machst du mir vor Liebchen's Thür'	1877
Julius Röntgen	'Was machst du mir'	1931
Hermann Simon	'Ständchen des Mephistopheles'	1932
Mark Lothar	'Ständchen'	c1940
Paul Dessau	'Ständchen'	1949
Karl Preis	'Ständchen des Mephistopheles'	nd

### (f) Meine Ruh ist hin

<b>Composer</b>	<b>Song Title</b>	<b>Date</b>
Louis Spohr	'Meine Ruh ist hin'	1809
Franz Schubert	'Gretchen am Spinnrade'	1814
Václav Tomášek	'Gretchen am Spinnrade'	1815
Moritz Hauptmann	'Gretchen vor dem Bilde der Mater Dolorosa'	c1820
Bernhard Klein	'Gretchen'	c1820
Joseph Hartmann Stuntz	'Gretchen an der Spindel'	1825
Franz Poggi	'Gretchens Klage'	1826
Prince Anton Radziwill	'Gretchen'	1810–33
Leopold Lenz	'Gretchen vor dem Marienbilde'	c1833
Conradin Kreutzer	'Zwinger'	1834
Friedrich Curschmann	'Meine Ruh ist hin'	1835
Justus Amadeus Lecerf	'Gretchen vor dem Andachtsbild der Mater dolorosa'	1835
Carl Loewe	'Meine Ruh ist hin'	1836
Ludwig Hetsch	'Meine Ruh ist hin'	1838
George Alexander MacFarren	'Gretchen am Spinnrade'	1846
Mikhail Glinka	'Marguerite at the Spinning-wheel'	1848
Franz Commer	'Aus Goethes Faust'	1849
Otto Kraushaar	'Gretchen am Spinnrade'	1856
Carl Adolf Lorenz	'Gretchen am Spinnrade'	1865
Hermann Wichmann	'Gretchen am Spinnrade'	1867
Max Joseph Beer	'Gretchen am Spinnrade'	1872
Wilhelm Fritze	'Gretchen am Spinnrade'	nd
Carl Götz	'Gretchen am Spinnrade'	nd
Gustav Graben-Hoffmann	'Meine Ruh ist hin'	nd
Johann von Haszlinger	'Lied Gretchens'	nd
Fr. Nussbaumer	'Gretchen aus Goethes Faust'	nd
Karl Preis	'Meine Ruh ist hin'	nd
Moritz Siering	'Meine Ruh ist hin'	nd
August Weinbrenner	'Gretchen am Spinnrade'	nd

### (g) Melodram Gretchens

<b>Composer</b>	<b>Song Title</b>	<b>Date</b>
Franz Schubert	'Gretchens Bitte'	1817
G. Kloss	'Gretchen vor dem Andachtsbild der Mater Dolorosa'	1818
Bernhard Klein	'Gretchen'	1820
Franz Stoepel	'Gretchen vor dem Bilde der Mater Dolorosa'	c1830
Prince Anton Radziwill	'Gretchen'	1810–33
Leopold Lenz	'Gretchen vor dem Marienbilde'	1833
Peter Josef von Lindpaintner	'Gretchen vor dem Andachtsbild der Mater Dolorosa'	1833
Conradin Kreutzer	'Zwinger'	1834
Justus Amadeus Lecerf	'Gretchen vor dem Andachtsbild der Mater Dolorosa'	1835
Carl Loewe	'Szene aus Faust'	1836
Giuseppe Verdi	'Deh, pietoso, o Addolorata'	1838
Robert Schumann	'Gretchen vor dem Bild der Mater dolorosa'	1844–53
Moritz Hauptmann	'Gretchen vor dem Bilde der Mater Dolorosa'	1850
Wilhelm Freudenberg	'Gebet Gretchens'	1865
Hugo Wolf	'Gretchen vor dem Andachtsbild der Mater Dolorosa'	1878
Anna Kühlmann-Redwitz	'Gretchen Gebet'	1893
Carl van Bruyck	'Ach neige du Schmerzenreiche'	1900
Hans Sommer	'Ach neige du Schmerzenreiche'	1921
Hans Pfitzner	'Gretchen vor der Mater Dolorosa'	1929
Julius Röntgen	'Zwinger'	1931
Frederic Joseph Kroll	'Gretchens Gebet'	1965–66
Josef Dessauer	'Marguerite Penitente'	nd
Edmund von Freyhold	'Gretchen vor dem Bilde der Mater Dolorosa'	nd
Wilhelm Fritze	'Gebet vor der Mater Dolorosa'	nd
Walter Furrer	'Mater Dolorosa'	nd
Richard G'Schrey	'Gretchen vor dem Muttergottesbilde'	nd
Adolph B. von Lauer	'Gretchen vor dem Muttergottesbilde der mater dolorosa'	nd
Karl Preis	'Ach neige du Schmerzenreiche'	nd
Louis Schlottman	'Gretchens Bitte'	nd
Wilhelm Schneider	'Gretchen allein'	nd
Hans Graf von Schwerin	'Ach neige du Schmerzenreiche'	nd
Moritz Siering	'Gretchen vor dem Muttergottesbilde'	nd

### (h) 'Ostermorgen-Szene'

<b>Composer</b>	<b>Song Title</b>	<b>Date</b>
Franz Schubert	'Christ ist erstanden!'	1816
Peter Grønland	'Ostfeyer'	1818
Hector Berlioz	'Chants de la fête de Pâques'	1829
Conradin Kreutzer	'Introduction'	1834
Prince Anton Radziwill	'Glockenklang und Chorgesang'	1835
Julius Röntgen	'Osterchöre'	1931



**(i) 'Der König in Thule'**

<b>Composer</b>	<b>Song Title</b>	<b>Date</b>
Karl Siegmund von Seckendorff	'Der König in Thule'	1782
Wilhelm Schneider	'Der König in Thule'	1805
Gottfried Fink	'Der König in Thule'	1807
Friedrich Himmel	'Der König in Thule'	c1807
Johann Friedrich Reichardt	'Der König in Thule'	1809
Karl Friedrich Zelter	'Der König in Thule'	1812
Václav Tomášek	'Der König in Thule'	1815
Peter Grønland	'Der König in Thule'	c1818
Johann Christoph Kienlen	'Lied von Gretchen'	1819
Franz Schubert	'Der König in Thule'	1821
Bernhard Klein	'Der König in Thule'	c1823
Friedrich Silcher	'Der König von Thule'	1823
Joseph Klein	'Gretchen'	1826
Karl Eckert	'Der König in Thule'	1828
Christian Wilhelm Heydenreich	'Der König in Thule'	1831
Friedrich Grimmer	'Es war ein König in Thule'	1832
Prince Anton Radziwill	'Melodram und Lied. Faust'	1810–33
Peter Josef von Lindpaintner	'Es war ein König in Thule'	1833
Conradin Kreutzer	'Es war ein König in Thule'	1834
Justus Amadeus Lecerf	'Der König in Thule'	1836
Robert Seuberlich	'Der König in Thule'	1838
Friedrich Hieronymus Truhn	'Der König in Thule'	1838
Gerhard von Alvensleben	'Es war ein König in Thule'	1842
Franz Liszt	'Es war ein König in Thule'	1843 (rev. 1856)
Heinrich Siewert	'Es war ein König in Thule'	1845
Robert Schumann	'Der König von Thule'	1849
Wilhelm Taubert	'Der König in Thule'	1851
Johan Coenradus Boers	'Der König in Thule'	1852
Heinrich Marschner	'Der König in Thule'	1852
Václav Veit	'Der König in Thule'	1854
Bernhard Scholz	'Der König in Thule'	1857
Franz Xaver Chwatal	'Es war ein König in Thule'	1861
C. V. Festari	'Il re de Thule'	1865
Adolf Jensen	'Der König in Thule'	1865
Karl Witting	'Der König in Thule'	1867
Hans von Bülow	'Der König in Thule'	1869
Ernst Deurer	'Der König in Thule'	1871
Louis Schlottmann	'Der König in Thule'	1872
Alexander Winterberger	'Es war ein König in Thule'	1875
Anon.	'Es war ein König in Thule'	1875
Anon.	'Der König in Thule'	1876
Wilhelm Fritze	'Der König in Thule'	1877
Eduard Lassen	'Es war ein König in Thule'	1877
Anon.	'Der König in Thule'	1878
Maude Valérie White	'Es war ein König in Thule'	1878
Ferdinand Kamm	'Der König in Thule'	1880
Armin Stein	'Der König in Thule'	1881
Ferdinand Hiller	'Der König in Thule'	1884
Felix Draeseke	'Der König in Thule'	1885
Jenö Festetics	'Der König in Thule'	1885
Ig. Machanek	'Der König in Thule'	1887

Waldemar von Baussnern	'Der König in Thule'	1888
Alphons Diepenbrock	'Der König in Thule'	1889
Ludwig Liebe	'Der König in Thule'	1890
Anon.	'Der König in Thule'	1890
Nicolai von Wilm	'Der König in Thule'	1891
Hermann Behn	'Der König in Thule'	1892
Hans Haerberlein	'Der König in Thule'	1894
Johan Selmer	'Der König in Thule'	1894
Anon.	'Der König in Thule'	1895
Carl Adolf Lorenz	'Der König in Thule'	1899