Music on the Fault Line:
Sexuality, Gender, and the Second Viennese School, 1899-1925

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ABSTRACT

The destabilization and reformation of traditional conceptions of sexuality and gender represented a crucial aspect of Viennese modernity and was hotly debated on a variety of fronts. This dissertation investigates the radical paradigm shift in musical language that took place in Vienna at the turn of the century in light of evolving conceptions of gender and sexuality, exploring how late tonal and atonal works from the composers of the Second Viennese School responded to and participated in contemporary cultural discourses on this subject. I contend that the circumstances in turn-of-the-century Vienna compelled modernist stylistic innovation and that considerations of gender and sexuality offer a hermeneutic window for the music that opens onto fresh critical vistas. Throughout this study, I conduct close musical analyses of selected works by Berg, Webern, and Schoenberg, shedding light on a variety of progressive harmonic and formal processes. Each chapter brings together aspects of musical structure and particular issues in the turn-of-the-century crisis of gender: the stylistic deformations of modernist waltzes as metaphors for the alienated male subject; programmatic and formal aspects of Schoenberg's *Verklärte Nacht*, Op. 4 in relation to contemporary critiques of the institution of marriage; the development of an increasingly dissonant idiom in three Schoenberg lieder (Op. 3, No. 3; Op. 6, No. 7; and Op. 15, No. 13) that broach the themes of sexual alienation and violence; Webern's attempt to create an atonal musical language that moved beyond gender binaries in his Rilke lieder, Op. 8; and the ambiguous gender of the character of Pierrot given voice by Schoenberg's famous Sprechstimme.

RÉSUMÉ

La remise en question et la réforme des notions traditionnelles de sexualité et de genre ont constitué un aspect essentiel de la modernité viennoise et furent chaudement débattues sur plusieurs fronts. La présente thèse examine les transformations radicales du langage musical qui eurent lieu à Vienne au tournant du siècle à la lumière de concepts changeants en matière de sexualité et de genre, en explorant comment différentes œuvres tonales tardives et atonales des compositeurs de la seconde école viennoise répondirent et participèrent aux débats contemporains sur ce sujet. Je suggère que les circonstances sociosexuelles caractérisant la Vienne du tournant du siècle suscitèrent nombre d'innovations stylistiques modernistes et que des considérations liées au genre et à la sexualité permettent d'ouvrir une fenêtre herméneutique sur de nouvelles perspectives critiques pour la musique. Tout au long de cette thèse, j'effectue des analyses détaillées d'œuvres choisies de Berg, Webern et Schoenberg, mettant à jour une variété de procédés harmoniques et formels progressifs. Chaque chapitre fait le rapprochement entre différents aspects de la structure musicale et des enjeux particuliers à la crise des genres du tournant du siècle : les déformations stylistiques de trois valses modernistes en tant que représentation métaphorique du sujet masculin aliéné; différents aspects programmatiques et formels du *Verklärte Nacht,* Op. 4 de Schoenberg en relation avec la critique contemporaine de l'institution du mariage; l'élaboration d'un langage de plus en plus dissonant au sein de trois lieder de Schoenberg (Op. 3, n^{o} 3, Op. 6, n^{o} 7 et Op. 15, n^{o} 13) qui traitent d'aliénation et de violence sexuelles; la tentative de Webern dans ses lieder Op. 8 de créer un langage atonal qui transcende un système binaire de genres; le genre ambigu du personnage de Pierrot auquel Schoenberg donna voix grâce à sa Sprechstimme.

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MUSIC ON THE FAULT LINE: GENDER, SEXUALITY, AND THE SECOND VIENNESE SCHOOL, 1899-1925

INTRODUCTION

In a letter to his friend Frida Semler in November 1907, the twenty-two year-old Alban Berg wrote about his belief that "the really new direction" in the arts lay in "the emphasis on the sensual in modern works":

> At last we have come to the realization that sensuality is not a weakness, does not mean a surrender to one's own will. Rather it is an immense strength that lies in us—the pivot of all being and thinking… Only through the understanding of sensuality, only through a fundamental insight into the "depths of mankind" (shouldn't it rather be called the "heights of mankind"?) can one arrive at a real idea of the human psyche…[1]

Berg's ruminations on "sensuality" [*Sinnlichkeit*] immediately follow a discussion of Frank Wedekind, whose *Pandora's Box* (the second of the *Lulu* plays) the composer had attended in 1905. The context of the letter, therefore, makes it clear that by "sensuality" Berg does not mean voluptuousness or the epicurean pleasures of the senses, but rather, a complex nexus of drives, fears, and desires of the sort that Wedekind's play explores. Berg's emphasis on "sensuality" as the root of modern creativity and the core of human subjectivity points to an important facet of turn-of-the-century Austro-German culture and to an artistic effort that itself partook in a much broader project: the destabilization and reformation of traditional conceptions of sexuality and gender—a project that represented a crucial aspect of Viennese modernity and which was hotly debated on a variety of fronts. The issue of women's rights, the politics of marriage and parenthood, prostitution, free love, the nature of femininity and masculinity, and more fueled political rifts, became subject to medical and scientific inquiry, and kindled artistic production.

[1] Alban Berg to Frida Semler, November 18th, 1907, quoted in Willi Reich, *Alban Berg*, trans. Cornelius Cardew (London: Thames and Hudson, 1965), 22. Christina Gier cites the original German of this excerpt in her "Truth, Gender, and Sex: Berg's Schnitzler and Motivic Processes in 'Reigen,' Op. 6," *Journal of Musicological Research* 24/2 (2005): 375.

My dissertation investigates the radical paradigm shift in musical language that took place in Vienna at the turn of the century in light of evolving conceptions of gender and sexuality, exploring how a variety of late tonal and atonal works from the Second Viennese School composers responded to and participated in contemporary cultural discourses on this subject.

In the past thirty years or so, fin-de-siècle Vienna (the *fin* denoting the end of the "long" nineteenth-century) has elicited a significant amount of scholarly interest. I will not delve in depth into the general cultural climate of Vienna circa 1900: other authors, including Carl Schorske, Allan Janik and Stephen Toumlin, and Stephen E. Bronner and F. Peter Wagner have already done so in masterly fashion.[2] Suffice it to say that by the turn of the century, the political and cultural capital of the Austro-Hungarian Empire had fallen into a state of decline. Conflicts between ethnic groups, social classes, Jews and Christians began to undermine the social and economical stability of the Empire, conflicts that the Viennese are said to have willfully ignored in a sentimental desire to see their city in a happy light (a situation which famously earned the epithet "the cheerful apocalypse").[3] In addition to these tensions, Vienna was also a city of sexual paradoxes. On the one hand, stringent codes regulated conceptions of femininity and masculinity. As the development of industrial capitalism brought affluence and influence to the

[2] See Carl E. Schorske, *Fin-de-Siècle Vienna: Politics and Culture* (New York: Knopf, 1980); Allan Janik and Stephen Toumlin, *Wittgenstein's Vienna* (New York: Simon and Schuster, 1973); Allan Janik, *Wittgenstein's Vienna Revisited* (New Brunswick: Transaction Publishers, 2001); Stephen Eric Bronner and F. Peter Wagner, *Vienna, The World of Yesterday* (Atlantic Highlands, NJ: Humanities Press, 1997); William M. Johnston, *The Austrian Mind: An Intellectual and Social History, 1848-1938* (Berkeley: University of California Press, 1972); Jacques Le Rider, *Modernity and Crises of Identity: Culture and Society in Fin-de-Siècle Vienna*, trans. Rosemary Morris (New York: Continuum, 1993). For chapter-length discussions of Viennese political and artistic life relevant to the Second Viennese School, see, among others, Martin Esslin, "Berg's Vienna," in *The Berg Companion*, ed. Douglas Jarman (Boston: Northeastern University Press, 1989), 1-12; Dagmar Barnouw, "*Wiener Moderne* and the Tensions of Modernism," in *Schoenberg, Berg, and Webern: A Companion to the Second Viennese School*, ed. Bryan R. Simms (Wesport, CT and London: Greenwood Press, 1999), 73-128; and Andrew Barker, "Battles of the Mind: Berg and the Cultural Politics of 'Vienna 1990'," in *The Cambridge Companion to Berg*, ed. Anthony Pople (Cambridge and New York: Cambridge University Press, 1997), 24-37.

[3] Viennese writer Hermann Broch (1886-1951) coined the expression; quoted in Janik, *Wittgenstein's Vienna Revisited*, 3.

bourgeoisie, there also ensued a separation of work and home which "legitimated new relations between the sexes that resulted from this separation, and provided the basis for the belief that men and women should occupy separate spheres—women's sphere being the home and men's sphere the outside world."[4] According to this ideology of polarized gender stereotypes, both sexes were understood to be predestined by their physiological and psychological dispositions to different realms of activity: motherhood and wifehood for nurturing, emotional woman; public life and leadership for rational, active man. Moreover, a double moral standard regulated masculine and feminine sexuality. While sexual liberalism was tolerated in men, women were ostracized for engaging in pre- or extramarital sex.

On the other hand, Vienna was also the epicenter of highly active feminist thinkers and organizations whose militancy aimed to reverse social and legal inequalities between the sexes and give women a voice in the raging discourses on the so-called *Frauenfrage* or "woman question."[5] The most important feminist group at the turn of the century, the General Austrian Women's Association (*Allgemeiner Österreichischer Frauenverein*, founded in 1893), attempted to "grasp the woman problem in its entirety," addressing a wide range of concerns that included women's lack of legal and economical rights and educational opportunities, the politics of marriage, the rights of the unmarried mothers and illegitimate children, and the working conditions of women.[6] Not only *fortschrittliche* (progressive) women, as they called themselves, but also intellectuals, scientists, and artists felt the need to reexamine traditional conceptions of gender and sexual politics, either to challenge or reinforce those deeply ingrained ideas. Of course,

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[4] Loftur Guttormsson, "Parent-Child Relations," in *Family Life in the Long Nineteenth Century, 1789-1913*, vol. 2, *The History of the European Family*, ed. David I. Kertzer and Marzio Barbagli (New Haven and London: Yale University Press, 2002), 263.
[5] Harriet Anderson, *Utopian Feminism: Women's Movements in fin-de-siècle Vienna* (New Haven and London: Yale University Press, 1992.
[6] Allgemeiner Österreichischer Frauenverein, *2. Jahresbericht* (1894): 7; quoted in ibid., 39.

when one thinks of gender, sexuality, and Vienna, the name of Sigmund Freud immediately comes to mind. His *Studies on Hysteria* (co-authored with Josef Breuer in 1895) and *The Interpretation of Dreams* (1899) posited sexuality as a vital fiber of human existence. Soon after, the Viennese philosopher Otto Weininger wrote his infamous *Geschlecht und Charakter* (*Sex and Character*, 1903), a work of rabid misogyny and anti-Semitism, in order "to throw a new and decisive light on the relationship between the sexes."[7] Weininger's foundational thesis of inherent bisexuality (all humans possess in various proportions type "Man," characterized by morality and autonomy, and type "Woman," characterized by irrationality and sexual insatiability) garnered an impressive following of readers. The rise of sexology as a full-fledged medical discipline in the late nineteenth century legitimized the study of sexuality as a topic of prime interest. Richard von Krafft-Ebing's *Psychopathia Sexualis* (1886) epitomized the concern of sexologists for cataloguing and categorizing sexual "deviances"—in the view of a number of scholars, signalling the insecurity arising from contemporary challenges to gender binaries.[8] The increasing visibility of gay subculture also triggered much anxiety as physicians debated whether homosexuals were "unmanly men" and "unwomanly women" or whether they represented a "third sex." Members of the Viennese artistic community also contributed perspectives to these debates. The hypocrisy of traditional moral and sexual codes numbered among the social issues Karl Kraus mercilessly satirized in his journal *Die Fackel* (along with psychoanalysis, political laissez-faireism, and what he perceived as the corrupt state of the press); Arthur Schnitzler sharply criticized the sexual mores of his times in his plays and novels; the poet Peter Altenberg developed his own aesthetic of femininity he called *Frauenkult* (which would greatly

[7] Otto Weininger, *Sex and Character: An Investigation of Fundamental Principles*, trans. Ladislaus Löb, ed. Daniel Steuer and Laura Marcus (Bloomington: Indiana University Press, 2005), 3.
[8] See Gerald N. Izenberg, *Modernism and Masculinity: Mann, Wedekind, Kandinsky Through World War I* (Chicago and London: University of Chicago Press, 2000), 9-10; and George L. Mosse, *The Image of Man: The Creation of Modern Masculinity* (Oxford and New York: Oxford University Press, 1996), 79.

influence Berg). The list could run much longer. Vienna, it may fairly be said, was in a state of "sexual anarchy," to borrow Elaine Showalter's term for the confusions and contradictions regarding gender and sexuality at the fin de siècle.[9] Berg, Schoenberg, and Webern kept abreast of these issues; they all enthusiastically read Weininger and idolized Kraus, and Berg and his wife were friends with Altenberg and acquaintances of Freud. As I shall contend, the shifting ground that shook traditional conceptions of gender and sexuality proved a fertile soil for the modernist experimentation of these three composers.

Since the appearance of Susan McClary's influential *Feminine Endings*, the body of literature on music, gender, and sexuality has rapidly expanded, especially with regards to the repertoire of the common-practice period.[10] Critics have investigated at length (and continue to do so) the ways that musical structure—formal procedures, tonal strategies, motivic development—constructs gender, articulates or questions conventional sexual binaries, and channels libidinal desire. However, aside from those works that feature blatantly expressionist constructs of gender (such as *Erwartung* or *Lulu*), the musicological and analytical literature has not adequately explored how the late tonal and atonal works of Schoenberg, Berg, and Webern engaged with contemporary debates on gender. To be sure, critics have offered exciting insights concerning ways in which the profound impact of the *Frauenfrage* affected modernist composers' aesthetic outlooks and how they represented femininity and feminine sexuality. Sometimes these constructs of femininity emanated from strong literary influences, such as that of the poet Peter Altenberg on Berg, as David Schroeder has underscored. Christina Gier, in turn, has considered the aesthetic construction of Berg's *Altenberg Lieder*, Op. 4, No. 3 in relation to the composer's perception of the changing situation of women as revealed by a number

[9] Elaine Showalter, *Sexual Anarchy: Gender and Culture at the Fin de Siècle* (New York: Viking, 1990).
[10] Susan McClary, *Feminine Endings: Music, Gender, and Sexuality* (Minneapolis: University of Minnesota Press, 1991).

of literary quotations he collected.[11] Other scholars have discussed portrayals of femininity that resist traditional stereotypes. Elizabeth Keathley, for example, has read Schoenberg's *Erwartung* not as a tale of feminine hysteria and sexual amorality, but aligning Marie Pappenheim's libretto with the feminist *Bildungsroman*, as a text empowering women; this and several other studies of *Erwartung* testify to Freud's commanding presence in the Viennese intellectual landscape.[12] Scholars have also explored alternatives to gender binaries in the works and writings of the Second Viennese School composers. Jennifer Shaw, for example, has discussed how notions of androgyny articulated in literature and the visual arts influenced Schoenberg's revisions of his harmony treatise as well as the composition of his oratorio *Die Jakobsleiter*.[13]

The considerable amount of attention that critics have paid to femininity in modernist works, however, has overshadowed the corollary reconsideration of masculinity in turn-of-the-century Vienna. Femininity and masculinity were to such a great extent defined by mutual opposition and complementation that the profound re-examination of the former in the *Frauenfrage* years brought about a parallel—although perhaps more covert—questioning of the latter. Another area that scholars have left largely untouched is the relationship of issues of gender to the music of Webern.

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[11] David Schroeder, "Alban Berg and Peter Altenberg: Intimate Art and the Aesthetics of Life," *Journal of the American Musicological Society* 46/2 (1993): 261-294; Christina Gier, "Sounding the *Frauenseele*: Gender, Modernism, and Intertextuality in Alban Berg's 'Über die Grenzen,' Op. 4, No. 3," *Women and Music: A Journal of Gender and Culture* 9 (2005): 51-68. See also my own "La Frauenseele dans tous ses états: Les *Altenberg Lieder*, Opus 4, ii et iii de Berg comme réponse à la *Frauenfrage* Viennoise," *Canadian University Music Review/Revue de musique des universités canadiennes* 24/2 (2004): 44-61.

[12] Elizabeth L. Keathley, "'Die Frauenfrage' in *Erwartung*: Schoenberg's Collaboration with Marie Pappenheim," in *Schoenberg and Words: The Modernist Years*, ed. Charlotte M. Cross and Russell A. Berman (New York and London: Garland, 2000), 139-178. For Alexander Carpenter, the monodrama is Freudian in the truest possible fashion. He suggests that the Woman is Schoenberg's psychoanalytical surrogate, which allows the composer to explore the theme of failed love. Alexander Carpenter, "*Erwartung* and the Scene of Psychoanalysis: Interpreting Schoenberg's Monodrama as a Freudian Case Study" (PhD diss., University of Toronto, 2004). Carpenter provides a critical assessment of other musicological writings on *Erwartung* and psychoanalysis.

[13] Jennifer Shaw, "Androgyny and the Eternal Feminine in Schoenberg's Oratorio *Die Jakobsleiter*," in *Political and Religious Ideas in the Works of Arnold Schoenberg*, ed. Charlotte M. Cross and Russell A. Berman (New York and London: Garland, 2000), 41-83.

Contrary to Schoenberg and Berg, Webern avoided setting sexually provocative texts, and his increasingly abstract and concentrated style seems to resist the gendered analyses that such works as Berg's "Reigen"—which probably borrows its title from Arthur Schnitzler's satirical play on the power of sex to dissolve barriers of class—or Schoenberg's *Erwartung* invite.[14] Rare writings that broach this issue include Julian Johnson's *Webern and the Transformation of Nature*, which has opened up a wealth of fresh interpretative possibilities by tying every step of Webern's compositional development to his intensely personal relationship with a maternal nature, as well as an essay in which Martin Scherzinger and Neville Hoad have proposed that the composer's reliance on symmetrical pitch organization may be interpreted as expressing a kind of "third sex" (a term used at the turn of the century by physician Magnus Hirschfeld and promoter of gay rights Karl Heinrich Ulrichs).[15]

An important proportion of gender-oriented studies dealing with the works of the Second Viennese School composers tends to focus on sung texts and programmes, addressing musical structure only in terms of broad musical gestures; such studies rarely consider how harmony, voice leading, motivic development, and so on, articulate gendered meaning. Conversely, the vast body of literature that engages in structural analysis of this repertoire routinely disregards the issue of gender altogether. The transition to atonality by Schoenberg, Berg, and Webern has been the subject of numerous studies in which critics detail novel harmonic techniques or pinpoint works they consider stepping-stones on a progressive path. Allen Forte, for example, has argued that Schoenberg's Op. 6 songs marked a turning point in his career, at which

[14] See Robert Falck, "Two *Reigen*: Berg, Schnitzler, and Cyclic Form," in *Encrypted Messages in the Music of Alban Berg*, ed. Siglind Bruhn (New York: Garland, 1998); Donald Roderick McLean, "A Documentary and Analytical Study of Alban Berg's Three Pieces for Orchestra, Op. 6" (PhD diss., University of Toronto, 1997); and Gier, "Truth, Gender, and Sex: Berg's Schnitzler and Motivic Processes in 'Reigen,' Op. 6."
[15] Julian Johnson, *Webern and the Transformation of Nature* (Cambridge and New York: Cambridge University Press, 1999); and Martin Scherzinger with Neville Hoad, "Anton Webern and the Concept of Symmetrical Inversion: A Reconsideration on the Terrain of Gender," *repercussions* 6 (1997): 63-147.

Schoenberg's "set consciousness"—that is, his intentional use of unordered pitch-class sets for structural and expressive purposes—awoke.[16] For Edward Cone, Schoenberg effected the transition between late tonality and atonality by grappling with tensions between "sound" (the chordal vocabulary) and "syntax" (chord progression) as the classical "normal" (the tonic triad) lost its hierarchical pull; the composer created a new type of balance between these elements when he adopted dissonant sonorities as normals.[17] Other scholars emphasize instead elements of stylistic continuity between Schoenberg's "first" and "second" compositional periods. In his book *Schoenberg and the Transformation of Musical Language*, Ethan Haimo argues that the composer's turn to atonality did not constitute a fundamental break in musical practice but progressed instead along an "incremental path of evolution."[18] Dave Headlam, in *The Music of Alban* Berg, theorizes the common denominator that he believes links tonal, atonal, and serial works: cyclic design, which is shown to regulate aspects of pitch organization, rhythm, and form.[19]

While these (and many more) studies illuminate a range of strategies that destabilized tonal hierarchies and foregrounded "new" sonorities which would become integral to atonality, scholars by and large have not investigated the relationships between these developments in musical style and changing conceptions of gender. For example,

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[16] Allen Forte, "Schoenberg's Creative Evolution: The Path to Atonality," *The Musical Quarterly* 64/2 (1978): 133-176. In particular, Forte detects in the Op. 6 the beginnings of Schoenberg's use of his "musical signature" (EsCHBEG or its complement), manipulated through transposition and inversion. A number of critics have taken issue with Forte's thesis, including Ethan Haimo, "Atonality, Analysis, and the Intentional Fallacy," *Music Theory Spectrum* 18/2 (1996): 167-199; Walter Frisch, *The Early Works of Arnold Schoenberg*, 216 n29; and Bryan R. Simms, *The Atonal Music of Arnold Schoenberg, 1908-1923* (Oxford and New York: Oxford University Press, 2000), 80-81.

[17] Edward T. Cone, "Sound and Syntax: An Introduction to Schoenberg's Harmony," *Perspectives of New Music* 13/1 (1974): 21-40.

[18] Ethan Haimo, *Schoenberg's Transformation of Musical Language* (Cambridge and New York: Cambridge University Press, 2006), ix.

[19] Dave Headlam, *The Music of Alban Berg* (New Haven: Yale University Press, 1996). Headlam's approach to symmetry builds on the work of George Perle, whose "theory of twelve-tone tonality" is exposed in his book *Twelve-Tone Tonality* (Berkeley: University of California Press, 1977).

among the studies that address the key influence of Richard Dehmel and Stefan George on Schoenberg's compositional development in the years 1897-99 and 1907-09, only Walter Frisch has touched on the role played by the sexually provocative poetry of Dehmel. Frisch points out that Dehmel's poems served as an important stylistic catalyst for Schoenberg and offers much insight into the composer's late-tonal technique. Nevertheless, he does not engage in sustained analyses of the poetry's relationship to musical structure, position the lieder in the wider context of contemporary debates on gender, or speculate on how those debates might have impacted Schoenberg's music outside of a handful of songs.[20]

My dissertation takes a significant step towards bridging the gap between analytical approaches to the late tonal and atonal languages of Schoenberg, Berg, and Webern on the one hand, and gender-oriented studies on the other, seeking especially to bring the insights of the former to bear on the latter. Some of the works I study are decisively tonal or atonal, while others fall into an ambiguous grey zone between the two. Throughout this dissertation, I contend that the circumstances in turn-of-the-century Vienna, where inherited notions of gender were being questioned, reformulated, or reinforced, both compelled modernist stylistic innovation and offer a hermeneutic

[20] Frisch, *The Early Works of Arnold Schoenberg*, especially chapter 4, "The Dehmel Settings of 1899," 79-108; see also his "Schoenberg and the Poetry of Richard Dehmel," *Journal of the Arnold Schoenberg Institute* 9 (1986): 137-179. Additional studies on the impact of the poetry of Dehmel and George on Schoenberg and Webern include Albrecht Dümling, *Die fremden Klänge der hängenden Gärten: die öffentliche Einsamkeit der neuen Musik am Beispiel von Arnold Schoenberg und Stefan George* (Munich: Kindler, 1981); Reinhold Brinkmann, "The Lyric as Paradigm: Poetry and the Foundation of Arnold Schoenberg's New Music," in *German Literature and Music: An Aesthetic Fusion, 1890-1989*, ed. Claus Reschke and Howard Pollack (Munich: Fink, 1992), 95-129; Brinkmann, "Schönberg und George: Interpretation eines Liedes [Op. 15, No. 14]," *Archiv für Musikwissenschaft* 26 (1969): 1-18; Martina Sichardt, "Zur Bedeutung der Dichtung Richard Dehmels für die Liedkomposition um 1900," in *Neue Musik und Tradition: Festschrift Rudolf Stefan zum 65. Geburtstag*, ed. Josef Kuckertz (Laaber: Laaber-Verlag, 1990), 365-388; Robert W. Wason, "Signposts on Webern's Path to Atonality: The Dehmel Lieder (1906-08)," in *Music Theory in Concept and Practice*, ed. James M. Baker, David Beach, and Jonathan W. Bernard (Rochester, NY: University of Rochester Press, 1997), 409-432; and Reinhard Gerlach, "Die Dehmel-Lieder von Anton Webern. Musik und Sprache im Übergang zur Atonalität," in *Jahrbuch des staatlichen Instituts für Musikforschung Preussischer Kulturbesitz 1970* (Berlin: Merseburger, 1971), 45-100.

window (to borrow Lawrence Kramer's well known coinage) that opens onto fresh critical vistas. Apart from Chapter 1, which connects the first generation of modernist composers—Mahler and Strauss—with the Second Viennese School, the dissertation is organized chronologically so as to better outline the accrued impact of gender issues in the evolution of musical style. This is an enterprise in critical analysis; it is largely concerned with developing close readings of selected excerpts and complete works. My analysis of musical structure—motives, harmonic progressions, formal processes, and so on—is informed by and enters into dialogue with historically current debates on gender issues. To do this, I have had to develop alternatives to the analytical strategies devised by Susan McClary and many other feminist critics after her. The dialectics that such approaches posit as fundamental to gender constructions in tonal music—to pick a central example, the archetypical subjugation of "feminine" (i.e., dissonant/chromatic) materials by "masculine" (consonant/diatonic) ones—seem only marginally relevant to the dissonant, late-tonal works and are evidently no longer operative in the music of emancipated dissonance. My project therefore calls for an eclectic analytical toolbox which includes Schenkerian reductive techniques, set-theoretical taxonomy, formal functions as conceived by William Caplin (who builds on Schoenberg's *Formenlehre* legacy), as well as some Schoenbergian notions of altered chords—at times admittedly pushing these theoretical conceits beyond their conventional usage. Text-music relationships play a central role in several chapters. Schoenberg, Berg, and Webern, three avid readers of modern poetry and literature, all selected or composed texts implicated in evolving concepts of gender and sexuality (though in a more "sublimated" fashion in Webern's case, as we shall see). In addition, I frequently draw upon early twentieth-century feminist discourses, theoretical writings by Webern and Schoenberg, and personal correspondence. Concepts and ideas borrowed from gender studies (such as

Judith Butler's notion of performativity, or Marjorie Garber's meditations on cross-dressing) underpin certain specific sections of this study (especially Chapter 5) and implicitly inform many others. My critical focus, however, remains the elucidation of the music and the ways in which cultural discourses on gender and sexuality influenced its language; I make no pretensions to contribute to gender theory *per se*. I should also stress that my goal is not to present a "theory" of gender and sexuality in late tonal and atonal music; I doubt whether such a project is possible or even necessary. Rather, my conclusions are local, contextualized, sometimes contradictory—the latter perhaps inevitable given the divisive and contentious nature of fin-de-siècle debates on gender and sexuality.

In contrast to the emphasis previous gender-minded critics have placed on constructions of femininity in works of the Second Viennese School, the feminine receives relatively little attention in this dissertation. I do, however, linger upon musical representations of *masculinity*, particularly in relation to the crisis that historian George Mosse argues beset that category at the turn of the century.[21] If masculinity has become a topic of considerable interest in literary studies over the past ten years, in musicology and music theory, it has yet to attract the attention that femininity and queerness have elicited, and the problem of masculinity in Viennese modernist music would warrant a whole dissertation in itself. My own contribution focuses rather on the musical means developed to represent masculine subjects in states of crisis. I address these questions in Chapters 1 and 3. The former, "Waltzing in the Shadows: Alienation, Perversion, and Madness in Three Modernist Waltzes," acts as the *Einschleifen* (the beat of "gliding in," to borrow from waltz terminology) that opens the dissertation, examining works that bridge the nineteenth century and the twentieth, addressing not only the Second Viennese

[21] Mosse, "Masculinity in Crisis: The Decadence," in *The Image of Man*, 77-106.

School, but also music of Mahler and Richard Strauss. The chapter investigates the politics of the late Viennese waltz, stripped of its glamour and distorted to incarnate disjunction and isolation. Using the light music of Johann Strauss as a contextual foil, I show how the deformed waltzes in the scherzo of Mahler's Second Symphony, the second act of *Rosenkavalier*, and the Tavern Scene of Berg's *Wozzeck* express alienation, sexual deviancy, and madness in male subjects. In Chapter 3, "Sexual Violence and Alienation in Three Schoenberg Lieder," I analyze three songs that proved watersheds in Schoenberg's development of progressive techniques. The Dehmel lied "Warnung," Op. 3, No. 3, the Aram setting "Lockung," Op. 6, No. 7, and the George song "Du lehnest wider einer silberweise," Op. 15, No. 3, deal explicitly with sexual coercion and figurative emasculation as male speakers confront the destructive potential of sexuality. What technical innovations did these themes trigger, and what further layers of meaning are revealed by their musical treatment?

In Chapter 2, "Schoenberg's *Verklärte Nacht* and the Critique of Patriarchy," I situate Schoenberg's chamber sextet among attempts, featured not only on feminist agendas but also on political platforms, to reformulate the patriarchal institution of marriage. While motherhood within matrimony was conceived as the quintessential realization of woman's nature, fatherhood, as feminist Rosa Mayreder pointed out in a 1915 essay, remained essentially based on principles of authority and ownership. The poem by Richard Dehmel that served as the program for Schoenberg's op. 4 subverts a basic tenet of the patriarchal politics of marriage: the legitimacy of children through biological lineage. In its place, the poem proposes a new type of paternity (hence, of family) based on an affective father-child bond. I will study the projection of this program in Schoenberg's work in light of his transformations, throughout the sextet, of a

recurrent dissonant harmonic progression that contains an infamous "ninth chord in fourth inversion," revealing its pivotal role in the work's narrative of transfiguration.

The final two chapters address works that articulate conceptions of "third sex." In Chapter 4, "'Something else in me': Webern's *Two Songs, Op. 8 on Poems by Rainer Maria Rilke*," I illuminate aspects of Webern's language through close pitch-structural analysis in light of the composer's views on gender and music as expressed in his *The Path to the New Music*. I explore how his treatment of the chromatic collection reflects his understanding of Rilke's concept of "intransitive love" as set out in the novel *The Notebooks of Malte Laurids Brigge*, from which the lieder texts are drawn. Webern composed these settings at a critical point in his relationship with his future wife, and first cousin, Wilhelmine Mörtl, and I investigate how his fractal, self-referential motivic treatment in his Op. 8 lieder expresses concepts of gender and sexuality that sublimate binaries into the expression of an angelic "third sex." Finally, Chapter 5, "*Pierrot lunaire* in Body and Voice," reflects upon the state of uncertainty, anxiety, and irresolution that characterized discourses of gender and sexuality at the beginning of the twentieth century. Exceptionally, this chapter focuses on character realization and timbre, specifically, the material sound of the Sprechstimme voice, rather than specific aspects of pitch structure and musical form. I explore the ambiguous sexualities inscribed on Pierrot's body in fin-de-siècle French and Austro-German pantomime and visual arts, as well as in Albert Giraud's original *Pierrot lunaire* poems and their translations by Otto Erich Hartleben. I situate Schoenberg's Pierrot within French and Viennese discourses on hysteria, and, in light of these multifarious contexts, I interpret the sonority of Schoenberg's Sprechstimme as a complex performance of gender, a vocal embodiment of Pierrot's ambiguous sexuality.

A final note: that the dissertation lingers on Schoenberg somewhat at the expense of Webern and particularly Berg reflects the focus of this study on musical style in transition rather than any preference on my part for the music of the teacher over that of his students; Schoenberg's oeuvre simply shows a broader stylistic range in its handling of gender issues at the turn of the century. My repertoire choices reflect the current state of research on the topic of gender and sexuality in the music of the Second Viennese School. As I have noted, few studies have illuminated this issue through close musical analysis, a level of detail that I contend is requisite to develop a proper picture of the complex relations between various aspects of gender and their musical realization. Therefore, a case study approach, which considers a relatively small number of musical examples in greater detail, rather than a broader survey of musical works, was deemed a more viable way to shed light on and to encourage further discussion about the topic. From ballroom to cabaret, from socio-political forums to disembodied ethers, I hope to illuminate some of the compelling relationships that obtain between shifting gender codes and a profound transformation of musical language that mark the fault line of modernity of fin-de-siècle Vienna.

CHAPTER 1.
WALTZING IN THE SHADOWS: ALIENATION, PERVERSION, AND MADNESS IN THREE MODERNIST WALTZES

EINSCHLEIFEN

In the second half of the nineteenth century, the waltz became virtually synonymous with Johann Strauss II, still alive and active as a composer in the 1890s. Since his public debut in 1844, Strauss had all of Europe dancing at the tip of his baton (or rather his bow since he often conducted with violin in hand).[1] Thanks to his father, Johann Strauss I, and to the composer Josef Lanner, the waltz was arguably the most popular dance in German-speaking countries when Strauss the Younger began his career. Strauss continued this tradition by breathing new elegance, breadth, and musical richness into the genre, giving his melodies much more expansiveness and composing introductions and codas of quasi-symphonic proportions. Thus, any composer writing waltz music in Austria or Germany at the end of the century, whether for the ballroom, the opera stage, or the orchestra, summoned up the obligatory Straussian yardstick. The Strauss waltz, of course, became a quintessential symbol of Austrian and especially Viennese society; Hanslick called *An der schönen, blauen Donau* Austria's "other national anthem."[2] In addition to their musical merit, Strauss's waltzes were popular because they served as a flattering mirror to the gay, hedonist Viennese. As Vienna-born

[1] Sources on the origins, development, and social impact of the waltz include Remi Hess, *La Valse, un romantisme révolutionnaire* (Paris: Métailié, 2003); Sevin Yaraman, *Revolving Embrace: The Waltz as Sex, Steps and Sound* (Hillsdale: Pendragon Press, 2002); Derek B. Scott, *Sounds of the Metropolis: The Nineteenth-Century Popular Music Revolution in London, New York, Paris, and Vienna* (Oxford and New York: Oxford University Press, 2008); Mark A. Knowles, *The Wicked Waltz and Other Scandalous Dances: Outrage at Couple Dancing in the Nineteenth and Early Twentieth Century* (Jefferson, NC: McFarland, 2009); Mosco Carner, *The Waltz* (London: Max Parrish, 1948); H. E. Jacob, *Johann Strauss, Father and Son: A Century of Light Music*, trans. Marguerite Wolff ([New York]: Greystone Press, 1940); and Egon Gartenberg, *Johann Strauss: The End of an Era* (University Park: Pennsylvania State University Press, 1974).

[2] Eduard Hanslick, "Johann Strauss," in *Vienna's Golden Years of Music, 1850-1900*, trans. Henry Pleasants (New York: Freeport, 1950), 326.

music critic Max Graf (1873-1958) wrote: "What the world knows of Vienna, it knows mainly from [Strauss's] waltzes. They contained all of Vienna—the gaiety, the laughter, the love, the beautiful women, wine and song, the landscape, woods and streams."[3] Even when, at the end of the century, signs of the socio-economic tensions that would eventually rip the empire apart multiplied and this idyllic vision of Vienna became harder to uphold as anything other than a vanishing ideal, it was one to which the Viennese persistently clung. Camille Crittenden has suggested that the waltzing couple embodied a metaphor of social cohesion amid growing instability:

> Strauss's music became popular at precisely the time the empire was experiencing great internal stress. Since the spinning step of the waltz creates a centrifugal force between the two partners, it requires that they cling to each other with equal or greater force if they are not to be flung apart—an apt analogy for the social and political changes the empire experienced at the end of the nineteenth century.[4]

Waltz dancers had also come to represent a picture-postcard image of the couple. The amiable and elegant Viennese woman, Graf writes, full of "chatter, kisses and embraces," had "refined the waltz rhythm" and "lent romantic grace" to the dance.[5] Her favourite partner was the dashing army officer: "for the Viennese woman… an officer counted as the only man. Officers were the best dancers and… [their] coloured uniforms… lent bright spots which made the whole picture of Viennese life rich and brilliant."[6] Artist Wilhelm Gause (1853-1916) often captured this archetypal couple in his paintings of Viennese balls.

If the Strauss waltz seemed emblematic of an idealized Viennese society, other composers of the era were beginning to expose its genial sophistication as a thin veneer under which loomed strong undercurrents of decadence. The second movement of

[3] Max Graf, *Legend of a Musical City* (New York: Philosophical Library, 1945), 33.
[4] Camille Crittenden, *Johann Strauss and Vienna: Operetta and the Politics of Popular Culture* (Cambridge and New York: Cambridge University Press, 2002), 110.
[5] Graf, *Legend of a Musical City*, 49, 51.
[6] Ibid., 81-82.

Tchaikovsky's Sixth Symphony, with its stuttering 5/4 meter, immediately comes to mind as an instance of waltz laden with impending doom. It has become customary for critics to invoke the appellation "Totentanz" in relation to the stylized waltzes that Mahler incorporated into a number of his Symphonies, including his First (second movement), Second (third movement), Fifth (third movement), and Ninth (second movement). Donald Mitchell, for example, calls the waltz section in the scherzo of the Fifth "a veritable dance of death" in which the composer subjected the Viennese waltz "to all manner of distortion and consistent contradiction or reversal of its traditional meanings," so that the dance "finally lost its innocence."[7] Mitchell suggests it offers an important precedent for the stylistic distortions of Ravel's *La Valse*, which, as Carl Schorske suggests, "recorded the violent death of the nineteenth-century world" through the increasing fragmentation of its materials in an out-of-control whirl.[8]

A recent strand of scholarship has positioned the waltz against anxieties over feminine sexuality, as we shall discuss later in more detail. Sevin Yaraman has outlined the strong feminine connotations the dance took on as soon as it gained popularity, on account of a generalized concern for the health and virtue of female dancers.[9] For Francesca Draughon, the stylistic distortions of the waltz topic in the scherzo of Mahler's Ninth Symphony reflect contemporary fears about decadent female sexuality.[10] Nevertheless, through its associations with the couple the Viennese waltz stood for a model of masculinity too. In this chapter, we shall see how three stylized, modernist waltzes construct and define masculine subjects, tying the shroud of decadence that

[7] Donald Mitchell, "Eternity or Nothingness? Mahler's Fifth Symphony," in *The Mahler Companion*, ed. Donald Mitchell and Andrew Nicholson (Oxford and New York: Oxford University Press, 1999), 302.
[8] Carl E. Schorske, *Fin-de-Siècle Vienna: Politics and Culture* (New York: Knopf, 1980), 3.
[9] Yaraman, *Revolving Embrace*, especially 6-11.
[10] Francesca Draughon, "Dance of Decadence: Class, Gender, and Modernity in the Scherzo of Mahler's Ninth Symphony," *The Journal of Musicology* 20/3 (2003): 388-413.

palled over the fin-de-siècle waltz to what George Mosse has called the "crisis of masculinity."[11]

Mosse and Peter Gay have described how an ideal of masculinity crystallized with the rise of the bourgeoisie in the eighteenth and nineteenth centuries, which came to symbolize society itself and the premium it placed on progress through order. This conception of masculinity essentially adapted aristocratic ethics to bourgeois sensibilities: man "exhibited prowess not on the battlefield but in the countinghouse, in the energetic but bloodless tournaments of commerce, industry, and politics."[12] "Modern masculinity," as Mosse calls it, centered on a body of moral characteristics that included the assertiveness and willpower necessary for manly pursuits in the marketplace and elsewhere, tempered by self-control over one's emotions, thoughts, and sexuality.[13] It was also an ideal that defined itself against what it emphatically was not: in order to uphold this construction of manhood, bourgeois morality "needed an image against which it could define itself. Those who stood outside or were marginalized by society provided a countertype that reflected, as in a convex mirror, the reverse of the social norm."[14] Jews and homosexuals, in particular, came to embody the "countertype" against which "true men" could measure up their masculinity.

But towards the conclusion of the nineteenth century, a variety of forces conspired to undermine this ideal. Increasingly fluid class boundaries threatened to supplant the moral and economic interests of the bourgeoisie; market capitalism and mechanized workplaces rendered man's labor anonymous or unnecessary; critics lamented the decline

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[11] George L. Mosse, "Masculinity in Crisis: The Decadence," in *The Image of Man: The Creation of Modern Masculinity* (Oxford and New York: Oxford University Press, 1996), 77-106.
[12] Peter Gay, *The Bourgeois Experience: Victoria to Freud*, vol. 3, *The Cultivation of Hatred* (New York and London: W. W. Norton, 1993), 96.
[13] Mosse, *The Image of Man*, especially Chapter 2, "Setting the Standard," 17-39. See also Gerald N. Izenberg, *Modernism and Masculinity: Mann, Wedekind, Kandinsky Through World War I* (Chicago and London: University of Chicago Press, 2000), 6-7.
[14] Mosse, *The Image of Man*, 56.

of virility in the diseased metropolis; and feminist challenges to traditional gender roles imperiled the gender division that lay at the core of stereotypical manhood. Anxieties about degeneracy and decadence loomed especially large over the masculine stereotype. Max Nordau's *Degeneration* (*Entartung*) of 1892 counts as one of the most famous texts in this respect.[15] According to Nordau, man had become exhausted by the excitement caused by industrial society, the progress of which followed a chaotic and artificial course rather than one regulated by the natural laws of evolution. As a result, the individual had become hypersensitive, deprived of self-will, and sick. A growing awareness of masculine mental illness—Mosse reproduces advertisements in turn-of-the-century German newspapers peddling cures for men's "weak nerves"—also constituted a particularly prickly thorn in the construct of rational, autonomous manhood.[16] In sum,

> Society was on the offensive against new challenges that questioned some of the most important presuppositions on which it was based and threatened the image it had of itself. The enemies of… normative masculinity seemed everywhere on the attack... Under such circumstances the ideal of masculinity, symbolizing as it did the ideals of society, had to be defended more strongly.[17]

In what follows, we will explore how three modernist composers presuppose the traditional meaning of the waltz in order to reject it, expressing different facets of the crisis of masculinity Mosse describes. We shall begin with a relatively brief, expository discussion of the scherzo from Mahler's Second Symphony. Reading the composer's treatment of the waltz topic in this movement against his programmes, I suggest that deformations of the dance's conventional style and syntax give voice to the alienation and powerlessness that the crisis described by Mosse engendered. We shall then pursue the themes laid out in this section at greater length as they relate to waltz episodes in two

[15] Max Simon Nordau, *Degeneration*, 2nd ed., intro. by George L. Mosse (Lincoln and London: University of Nebraska Press, 1993).
[16] Mosse, *The Image of Man*, 83.
[17] Ibid., 78-79.

well know operas, Strauss's *Der Rosenkavalier* and Berg's *Wozzeck*. In Act 2 of the former, Strauss stylizes the waltz in such a way as to characterize Baron Ochs auf Lerchenau as a lecherous boor—whose debauchery serves as a foil for idealized manhood. Finally, a grotesque set of waltzes in the Second Act of *Wozzeck* give musical articulation to the eponymous protagonist's exclusion from the rituals of life and love for which the dance traditionally stood—and his slide into madness.

MAN ALIENATED AND THE SCHERZO OF MAHLER'S SECOND SYMPHONY

Theodor W. Adorno has written at length about how Mahler's modernism arises in no small part from the way he ironically recasts nineteenth-century syntax, timbre, topical vocabulary, and so on. At the beginning of his monograph on the composer, for example, Adorno lingers on the pedal point that opens the First Symphony. In keeping with the programme, which relates the awakening of nature in springtime, the sustained octave A's evoke the pastoral. But by scoring the pedal in string harmonics Mahler imbues it with a ghostly otherness. The pedal sounds *de*naturalized: it "supposes the official ideal of good instrumentation in order to reject it."[18]

For Adorno, of course, music held wider ethical ramifications. By denaturalizing the vocabulary that the nineteenth century had naturalized, Mahler cast doubt over musical language and thereby aestheticized the fracturing impact of modernity on society. In particular, Adorno believed Mahler's works confronted the crisis of subjectivity that beset the fin de siècle. In modern society, he writes:

> activity is not, as ideology teaches, merely the purposive life of autonomous people, but also the vain commodification of their unfreedom. In the late bourgeois phase this becomes the specter of blind functioning.

[18] Theodor W. Adorno, *Mahler: A Musical Physiognomy*, trans. Edmund Jephcott (Chicago and London: The University of Chicago Press, 1992), 15. See also pp. 4-5.

> The subject is yoked into the world's course without finding himself reflected in it or being able to change it.[19]

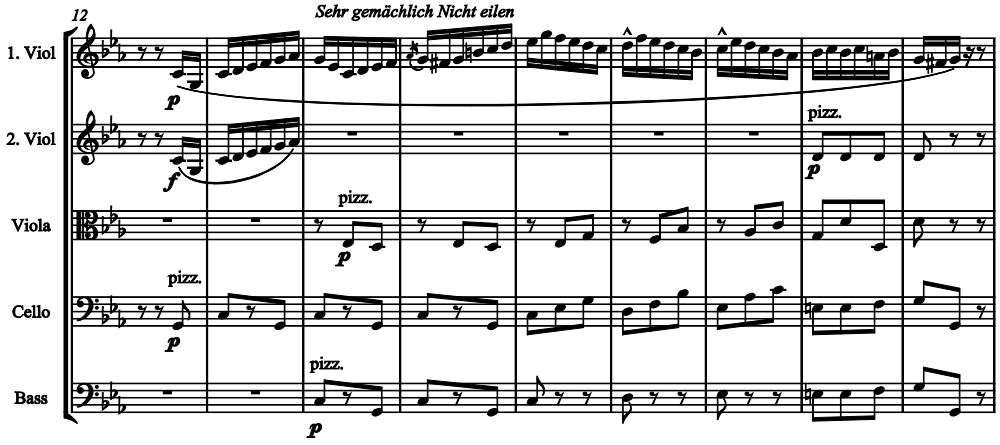
By way of defamiliarizing techniques (among other strategies), Mahler's music resonates with the plight of the outsider, both identifying with alienation and resisting the homogenizing pressures of modernity.

As Mosse's work implies, the fin-de-siècle crisis of subjectivity against which Adorno positioned Mahler's music was effectively a crisis of masculinity.[20] Adorno, for example, describes the "late bourgeois phase" as trapped in a vortex of "blind functioning": the subject, as the passage quoted above stresses, has lost the capacity for self-determined action—in Mosse's view, the hallmark of masculinity. Adorno's observations on Mahler's treatment of nineteenth-century vocabulary apply particularly well to the scherzo of the Second Symphony, a movement, we shall see, which eloquently aestheticizes the sense of alienation concomitant to the shifting of the ground that underlay masculinity. Like the pedal point at the beginning of the First, the scherzo presumes an "official ideal" in order to reject it, though one with further reaching social implications: the Viennese waltz. The movement abounds with waltz-like music. The opening section in C-minor (mm. 1-189; this material returns in measures 348-440 and 545-581), features a profusion of rollicking lines and arabesques that recall the spiraling melodies characteristic of Strauss's archetypal compositions in the genre. Perhaps most significantly, the breath-taking *perpetuum mobile* that undulates in three-quarter time throughout the movement is strongly reminiscent of the sweep of the dance. **Examples 1.1a** and **b** (mm. 11-20 and 45-52) offer representative passages.

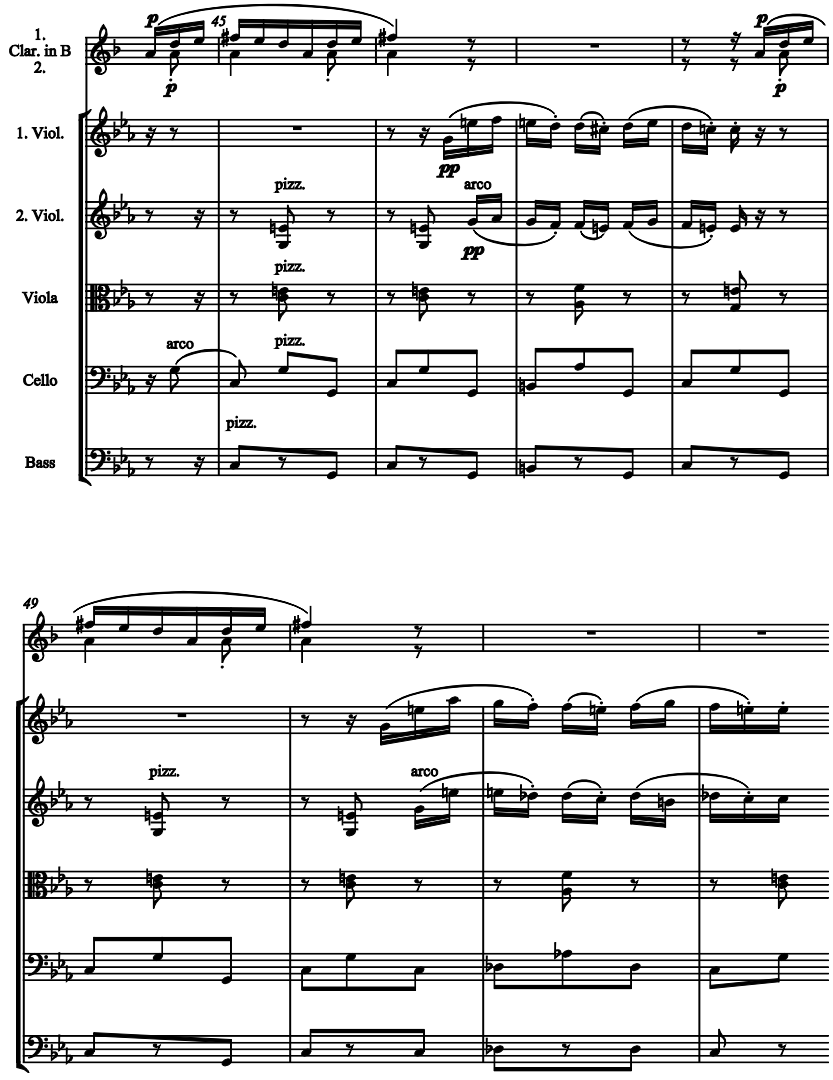
However, Mahler's scherzo does not evince pleasure, merriment, or a cohesive Viennese identity; the composer appealed instead to the romantic trope of the outsider-*cum*-artist who witnesses festivities from afar, and the sense of exclusion and suffering so

[19] Ibid., 7.
[20] Mosse, *The Image of Man*, 78-79.

Example 1.1a Mahler, Second Symphony, Scherzo, mm. 12-20



Example 1.1b Mahler, Second Symphony, Scherzo, mm. 45-52



conjured. As the composer recounted to Natalie Bauer-Lechner in January 1896:

> The experience of the Scherzo I can describe only in terms of the following image: if, at a distance, you watch a dance through a window, without being able to hear the music, then the turning and twisting movement of the couples seems senseless, because you are not catching the rhythm that is key to it all. You must imagine that to one who has lost his identity and his happiness, the world looks like this—distorted and crazy, as if reflected in a concave mirror.[21]

He amplified these ideas in a letter to the conductor Max Marschalk dated March 26, 1896:

> When you awaken from this melancholy dream and must return to life's confusion, it can easily happen that the ceaseless agitation, the meaningless bustle of life, seems to you unreal, like dancing forms in a brightly lit ballroom: you watch them from the darkness and from a distance, so that you cannot hear the accompanying music! And so life seems without meaning, a fearful nightmare from which you awaken with a cry of horror. This is the third movement![22]

Mahler's protagonist, excluded from the dance, is precisely Adorno's alienated subject, unable to find himself reflected in the "world's course"—represented by the ballroom waltz and all that Hanslick, Graf, and others felt it stood for—and powerless to alter it. His incapacity to hear the music, to comprehend the dance "the world" dances, bespeaks "the irreconcilability of the inward and the outward [which] can no longer be harmonized

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[21] Natalie Bauer-Lechner, *Recollections of Gustav Mahler*, ed. Peter Franklin, trans. Dika Newlin (Cambridge and New York: Cambridge University Press, 1980), 43.

[22] Programme note quoted in Henry-Louis de La Grange, *Mahler*, vol. 1 (Garden City, NY: Doubleday, 1973), 784. The programme note for the Munich and Dresden performances of 1900 and 1901 expresses similar ideas but dos not refer to dance. As various critics have noted, there exists a number of literary precedents for Mahler's programmatic imagery. Mahler's comments run especially close to an excerpt of Joseph Freiherr von Eichendorff's novel *Anhung und Gegenwart* (1815), which refers not only to ballroom dancing but to waltz in particular: "Up in the wide, thick canopy of the tree, they [the characters Leontin and Friedrich] could watch the whole society. A waltz was going on, and pair after pair flew by the window… 'Oh, I could not,' said Leontin, 'wish for any spectacle more gruesome and absurd than a room full of dancers when I cannot hear a single sound.'" My translation of the original German as it appears in Constantin Floros, *Gustav Mahler I* (Wiesbaden: Breitkopf & Härtel, 1977), 57-58. Other literary sources for the program include Adam Mickiewicz's *Todtenfeier* (also the inspiration for the symphony's first movement) and Heine's *Das ist ein Flöten und Geigen*; Mahler concludes the scherzo by quoting Schumann's setting of Heine's poem. See Stephen Hefling, "Mahler's 'Todtenfeier' and the Problem of Program Music," *19th-Century Music* 12/1 (1988): 27-53; and Suzanne Vill, *Vermittlungsformen verbalisierter und musikalischer Inhalte in der Musik Gustav Mahlers* (Tutzing: Hans Schneider, 1979). Unless indicated otherwise, translations from German to English are my own.

spiritually."[23] Mahler expresses this sense of disjunction by undercutting the waltz topos at every turn, in such a way as to reverse its traditional meanings, to recall Mitchell's words. To extrapolate upon Adorno's reading of the First Symphony's pastoral opening, the composer "nowhere presents [evocations of the dance] as absolutes, but infers them from the contrast to that from which they deviate."[24] Let us consider the passage at measures 53-60 (**Example 1.2a**). The clarinet line, marked *mit Humor* and replete with dissonant curlicues and augmented seconds, exemplifies Mahlerian grotesquerie, with clashes against the bass as though purposively hitting the wrong notes. As Raymond Knapp has noted, Mahler further enhances the line's biting irony by scoring it for the shrill E-flat clarinet, perhaps deriving this effect from Berlioz's grotesque usage of that instrument in the finale of the *Symphonie fantastique*. Coming immediately after Example 1.1b, which more closely resembles the Straussian ideal of the waltz, the passage sounds doubly parodic, a caricature of the preceding measures. A comment Mahler made to Bauer-Lechner apropos the *Wunderhorn* song on which he based the scherzo, *Der Antonius von Padua Fischpredigt* (St. Anthony's Sermon to the Fish), aptly characterizes the music's ironic tone. The *Fischpredigt* song tells of an enlightened preacher who delivers a sermon to a school of uncomprehending fish—in the view of Hans Heinrich Eggebrecht a metaphor for the sense of isolation the artist experiences before the indifference or incomprehension of his audience. In Mahler's words, "St. Anthony preaches to the fishes; his words are immediately translated into their thoroughly tipsy-sounding language (in the clarinet)."[25]

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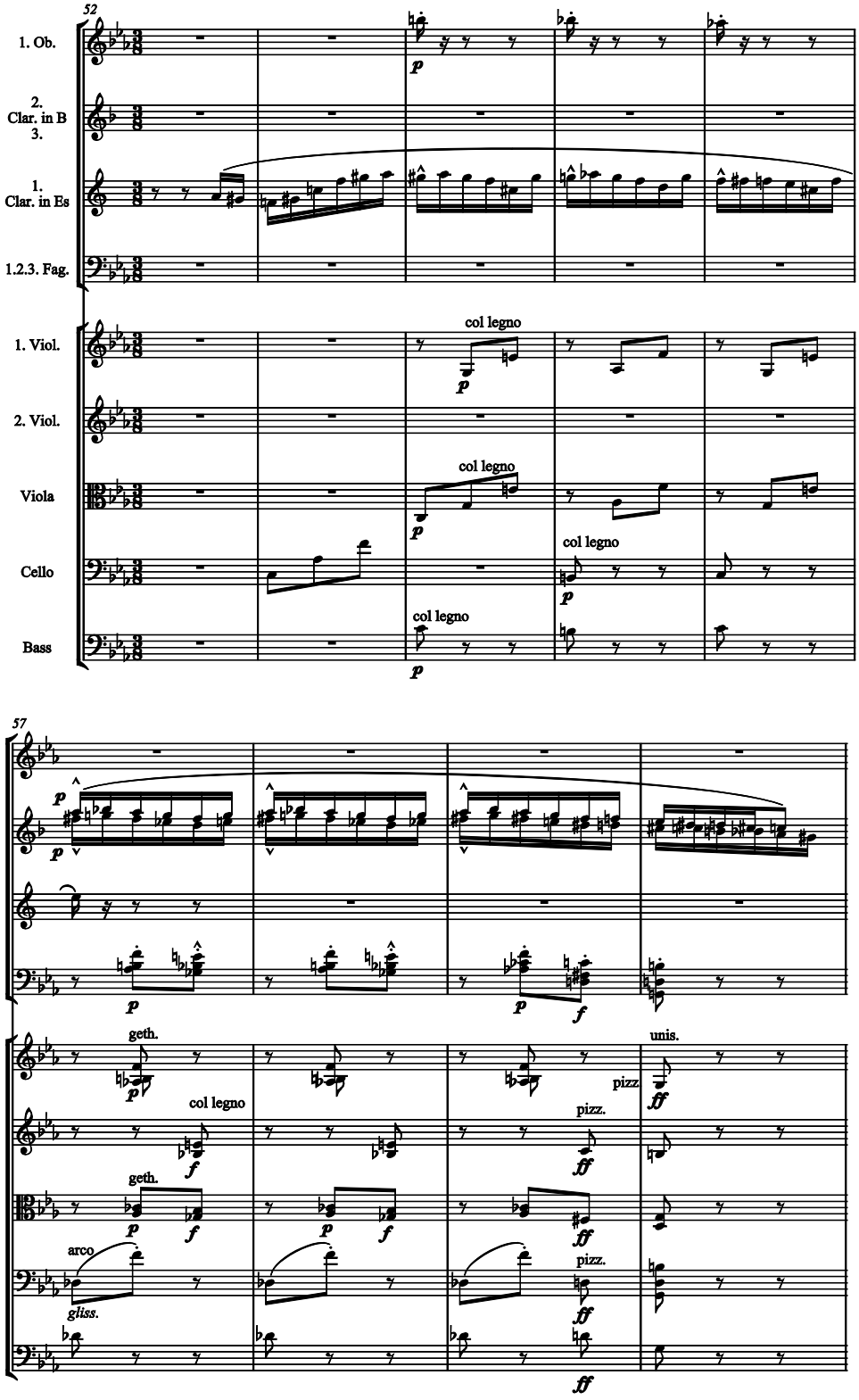
[23] Adorno, *Mahler: A Musical Physiognomy*, 16.
[24] Ibid., 15.
[25] Hans Heinrich Eggebrecht, *Die Musik Gustav Mahlers* (Munich: Piper, 1982), 199-226; and Natalie Bauer-Lechner, *Recollections of Gustav Mahler*, ed. Peter Franklin, trans. Dika Newlin (London: Faber, 1980), 32. For additional critical interpretations of *Fischpredigt* song, see Raymond Knapp, *Symphonic Metamorphoses: Subjectivity and Alienation in Mahler's Re-Cycled Songs* (Middletown: Wesleyan University Press, 2003), 71-120; and Magnar Breivik, "A Sermon for Fishes in a Secular Age: On the Scherzo Movement of Mahler's Second Symphony," in *Voicing the Ineffable: Musical Representations of Religious Experience*, ed. Siglind Bruhn (Hillsdale, NY: Pendragon Press, 2002), 47-71.

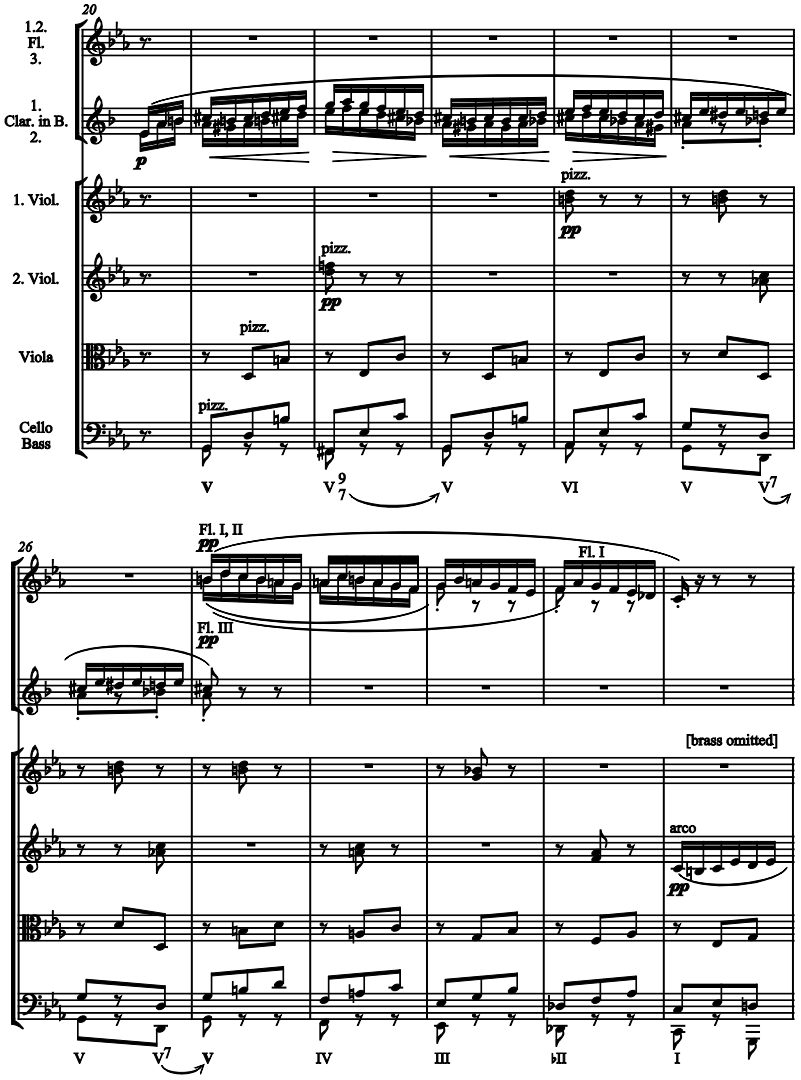
Example 1.2a Mahler, Second Symphony, Scherzo, mm. 52-60



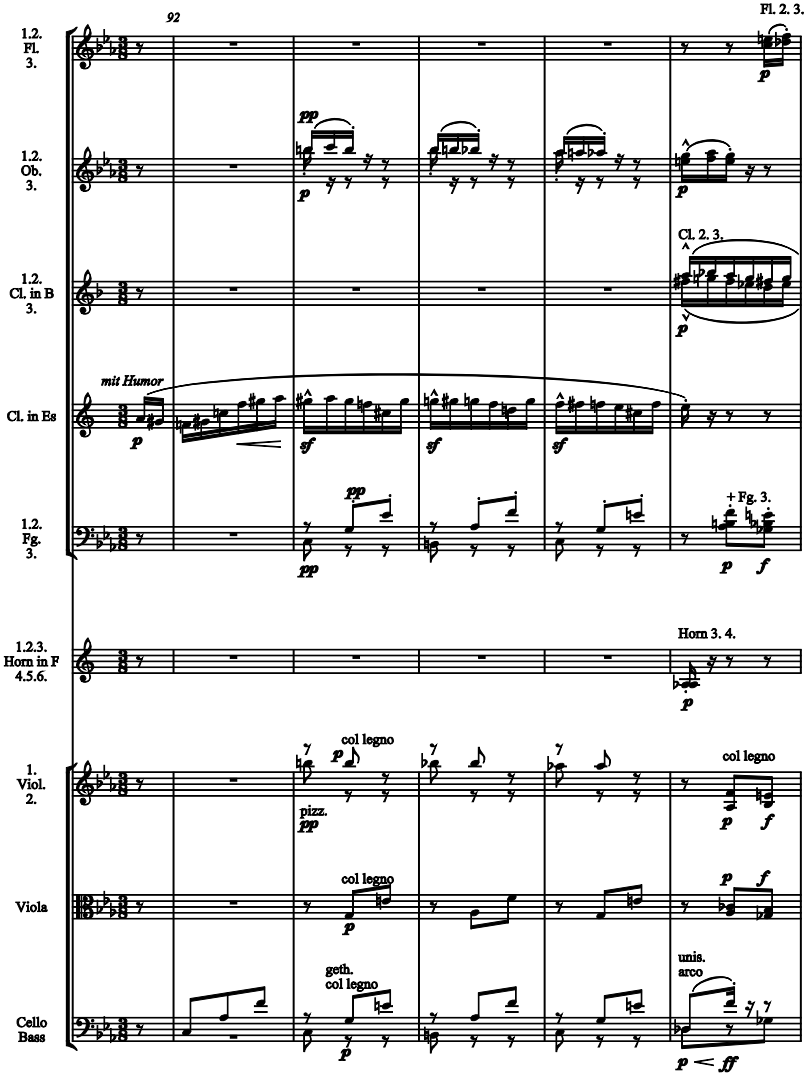
The sense of disconnection between the subject and the world is also conveyed through Mahler's juxtaposition of the generic and its negative image in the scherzo's harmonic language. For example, the phrase at measures 21-27 is entirely built on a dominant prolongation (**Example 1.2b**), a strategy typical of ballroom waltzes where motion between, and prolongations of, the tonic and dominant often sustain substantial spans (as we shall see, a harmonic scheme which Richard Strauss comically complicates in Ochs's Act II waltz in *Der Rosenkavalier*). But consider the chord progression that immediately follows, at measures 27-31. This sequence in descending seconds, a "V-IV-III-♭II-i" succession, appears frequently throughout the movement. Not only is its exaggerated descending whole-tone root motion foreign to the waltz genre's straightforward syntactic functionality, but as a conclusive phrase-unit it sharply contrasts with the clear-cut cadences expected in ballroom waltzes. Here, V slides down to i as though the descending flow of the *moto perpetuo* simply drags the harmony along until it reaches the tonic. Moreover, in addition to withholding cadential closure at the phrase level, Mahler never permits the larger waltz sections to conclude in any kind of satisfactory manner. Rather, as is the case in **Example 1.2c** (mm. 92-103)**,** the waltz invariably disintegrates into descending chromatic washes, the antithesis of the genre's steadfast diatonicism and periodic cadential rhythm.

Finally, running through all these procedures and subjugating them to its relentless pull, the *perpetuum mobile* unremittingly pursues its course across the scherzo. Critics frequently interpret this as a musical instantiation of the sort of futility the *Fischpredigt* song satirizes, apparently meaningless activity expressing an ever-growing sense of hopelessness that culminates in the great orchestral "cry" of despair at measures 465ff. Richard Specht, an early biographer, called the movement "a musical *panta rei* ["everything flows"], a shadow-dance of life"; Adorno compared the scherzo's *moto*

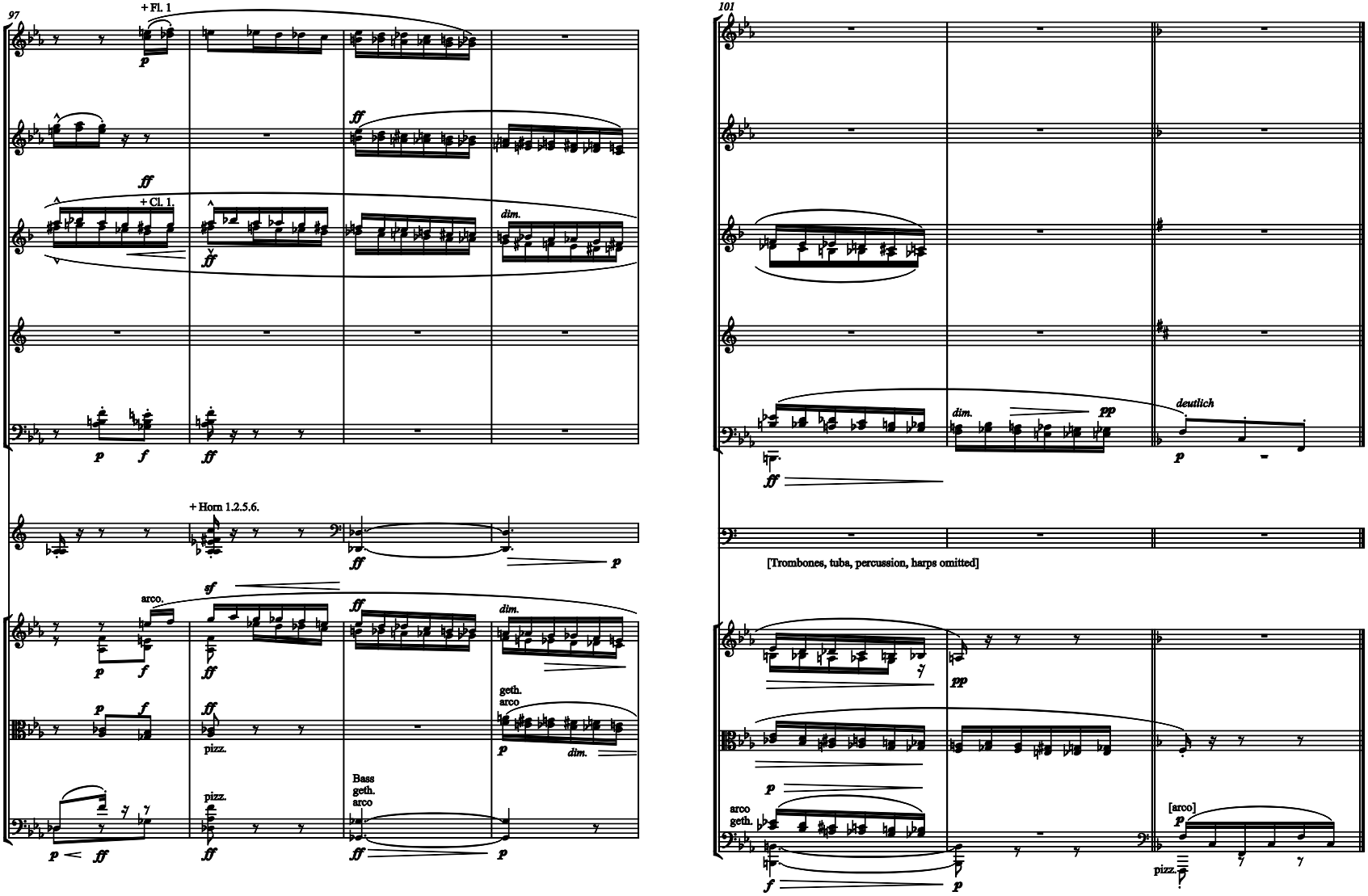
Example 1.2b Mahler, 2nd Symphony, Scherzo, mm. 21-31



Example 1.2c Mahler, 2nd Symphony, Scherzo, mm. 92-103



Example 1.2c (continued)



perpetuo to "empty activity devoid of autonomy," while Mahler, in a programme note for performances in Munich and Dresden in 1900 and 1901, wrote of "the bustle of appearances" leading to "utter disgust for every form of existence and evolution."[26] On account of Mahler's ironic stylizations—melodic, timbral, harmonic, and textural—we sense little of the centrifugal force that nineteenth-century Vienna thought to unite happy dancers to one another, propelling the couples in orderly gyrations around the dance floor.

Carolyn Abbate has related Mahler's programmatic scenario to the idea of deafness, suggesting that the deformed waltz expresses the subject's horror at being unable to grasp the intelligibility of both music and life, "so wholly outside, that he can no longer hear the meaning made by the world."[27] But the protagonist's deafness to the ballroom music is not the only point at stake in Mahler's programme. In fact, the programme dwells on gaze to the same extent it does on hearing. Mahler emphasizes images of swirling figures, the contrast between the brightly-lit ballroom and the dark night, and likens the whole scenario to the distorted reflection of a concave mirror. And if we consider Abbate's translation of Mahler's "Spuk" as "chimera" rather than "nightmare" (as in La Grange's translation), the programme even evokes the grisly image of the mythological monster assembled from heteroclite animal parts.[28] The programme's emphasis on visual imagery therefore suggests that we are placed in the position of somebody *watching* the waltz, gazing upon men and women clinging to each other in close embrace: in short, we experience voyeurism in sound. Mahler's deformations of the waltz, however—the grotesque squeaking of the E-flat clarinet, the

[26] "Ein musiziertes panta rei, ein Schattentanz des Lebens." Richard Specht, *Gustav Mahler* (Stuttgart and Berlin: Deutsche Verlags-Anstalt, 1925), 171; Adorno, *Mahler: A Musical Physiognomy*, 6; Programme note quoted in La Grange, *Mahler*, vol. 1, 785.
[27] Carolyn Abbate, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century* (Princeton: Princeton University Press, 1991), 125, 130.
[28] Ibid., 125.

mocking grace notes, the eerie otherness of *col legno* whereby string instruments become pitch-less percussion, and so on—underscore the subject's failure to draw the subversive pleasure that the act of voyeurism seeks to arouse: observing bodies in harmoniously swirling choreography, he experiences only loneliness, desolation, and exclusion.

Adorno wrote that "Mahler's symphonies plead anew against the world's course. They imitate it in order to accuse…"[29] The scherzo of the Second mimics and deforms the gestures of the waltz in order to declare the falsehood of the social ideals for which it stands. And its programme spells this out at every level from the collective to the personal: society becomes a blurred flux of incomprehensible commotion; the couples, grotesque figures that move meaninglessly; the masculine subject, an outcast. Following in Mahler's footsteps, other composers similarly appealed to the grotesque waltz. Developing the themes laid out in this brief account of the Second Symphony's scherzo—the alienated male subject, the defamiliarization of topical vocabulary, voyeurism, the danseur *manqué*—let us now observe how waltzes by Strauss and Berg address various other dimensions of the fin-de-siècle's crisis of masculinity.

PRETTY BUT PERVERTED: OCHS AUF LERCHENAU'S *LIEBESWALTZ*

Richard Strauss's *Rosenkavalier*, premiered in Dresden on January 26, 1911, was an immense success with the audience and a complete flop with critics. The latter were baffled by the opera's juxtaposition of highbred drama and farcical comedy, and they condemned the librettist, Hugo von Hofmannsthal, for the distinctive dialects—which he called "Sprachkostüm"—he devised for each character.[30] As for the score, it is hardly an overstatement to say that its numerous waltzes bore the brunt of the blame. Critics

[29] Adorno, *Mahler: A Musical Physiognomy*, 7.
[30] See Alan Jefferson, *Richard Strauss: Der Rosenkavalier* (Cambridge and New York: Cambridge University Press, 1985), 12-13.

frowned upon what they saw as regrettable and anachronistic lapses into operetta clichés and expressed their disapprobation in no uncertain terms. The day after the Viennese premiere on April 8, 1911, a review for the *Neuigkeits Weltblatt* read:

> In spite of their intricate instrumentation the widely acclaimed waltzes in Rosenkavalier are very little to our taste; and their banal tunes are directly reminiscent of operetta.[31]

And according to the critic for the *Wiener Abendpost*,

> the Viennese waltz was not yet born and… the waltz was not the rhythm of that era [the Vienna of Empress Maria Theresa]. The impression it makes in these surroundings is as spurious as Hofmannsthal's dreadful Viennese…[32]

The most vitriolic review of all came from Julius Korngold, Hanslick's successor at the *Neue Freie Presse*. Korngold went to great lengths to castigate virtually everything about the waltzes: their musical language, excessive number, historical relevance, and dramatic significance (or lack thereof):

> …one may be allowed to protest a little; indeed this protest must come from Vienna about the *Rosenkavalier*. If Vienna is really the city of waltzes, it is by no means the city of the expressionless, paper-cutout, banal operetta waltzes that are popular at the moment. Waltzes of this type really do not stand up under the social elevation that Richard Strauss has in mind for them—in profound misapprehension, on top of everything else, of the art of Johann Strauss. A question arises not about the use of waltzes in general, for they were never entirely foreign to the music of the light opera, but rather about the use of these waltzes and above all about their use in such entirely improbable numbers… A cheap and deceptive musical cheerfulness that is, in addition to everything else, of quite doubtful dramatic value.[33]

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[31] Quoted in Jefferson, *Richard Strauss: Der Rosenkavalier*, 98.
[32] Ibid.
[33] Julius Korngold, "*Der Rosenkavalier*: Comedy for Music by Hugo von Hofmannsthal, Music by Richard Strauss," in *Neue Freie Presse*, 9 April 1911, Vienna. The full review appears in "Strauss and the Viennese Critics (1896-1924): Reviews by Gustav Schoenaich, Robert Hirschfeld, Guido Adler, Max Kalbeck, Julius Korngold, and Karl Kraus," selected and introduced by Leon Botstein, trans. Susan Gillespie, in *Richard Strauss and his World*, ed. Bryan Gilliam, 311-371 (Princeton: Princeton University Press, 1992), quote on 355-356. Max Graf reported that "Strauss was greatly distressed [by the critics' negative reactions to his waltzes], and finally said to me, sadly: 'If only the people knew how hard it is to compose such waltzes!'" Graf, *Legend of a Musical City*, 215-216.

Korngold did, however, find redeeming features in one waltz, which, according to a review in the *Berliner Tageblatt*, caused "the entire stalls [to] sway from side to side in time."[34] This was the waltz from Act II in which Baron Ochs auf Lerchenau serenades his fiancée, the innocent and pure Sophie (see **Example 1.3a** below). Korngold wrote:

> Truly pretty … undisturbed by the insertion of a few more refined detours, is only Herr Ochs von [sic] Lerchenau's favorite waltz. Throughout the opera, this agreeable gentleman is flatteringly accompanied by Viennese waltz music as soon as his sensuality is aroused. Joke, satire, or deeper significance?[35]

The relationship that Korngold draws between the waltz and Ochs's concupiscence commands attention. As Sevin Yaraman and Francesca Draughon have shown, long before Richard Strauss's deformations, indeed as soon as its popularity arose, the waltz became a locus for desires and fears related to feminine sexuality.[36] Especially in its early days, its fast and sensuous whirling was considered a threat to the physical and moral health of women, in whom it might awaken an unhealthy sexuality. An early German commentator, Ernst Moritz Arndt, wrote after his travels through Europe between 1798 and 99:

> The male dancers grasped the long dresses of their partners so that they would not drag and be trodden upon, and lifted them high, holding them in this cloak which brought both bodies under one cover, as closely as possible against each other, and in this way the whirling continued in the most indecent positions; the supporting hand lay firmly on the breasts, at each movement making little lustful pressures; the girls went wild and looked as if they would drop.[37]

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[34] Review of the dress-rehearsal, *Berliner Tageblatt*, 25 January 1911; quoted in Jefferson, *Richard Strauss: Der Rosenkavalier*, 86.
[35] Korngold, "*Der Rosenkavalier*," 355-356.
[36] Yaraman, *Revolving Embrace*, especially chapter 1; Draughon, "Dance of Decadence: Class, Gender, and Modernity in the Scherzo of Mahler's Ninth Symphony," 388-413.
[37] Ernst Moritz Arndt, *Die Ewigkeit des Volkes* (Jena: Eugen Diederichs Verlag, 1934), 32; trans. in Andrew Lamb, "Waltz," *The New Grove Dictionary of Music and Musicians*, 2nd ed., ed. Stanley Sadie and John Tyrrell (London: Macmillan, 2001), 27:73.

Eventually, the aura of scandal surrounding the dance receded, and thanks in part to the numerous dance and etiquette manuals which prescribed proper positioning and deportment to dancers, the waltz had become, by the end of the nineteenth century, an effectively regulated display of well-bred interaction between man and woman. Nevertheless, as Draughon has shown, anxieties about female sexuality "going wild" (to paraphrase Arndt) remained attached to the waltz. She discusses how, in the second movement of Mahler's Ninth Symphony, the blunt juxtapositon of Ländler and waltz reflects contrasting notions of sexuality and corporeality, the first masculine, rural, and healthy and the second, feminine, urban, and degenerate. In Draughon's reading, the unruly vulgarity and façade of sophistication of the waltz in this movement—its excessive chromaticism, huge leaps, and grotesque instrumentation—expresses promiscuous feminine sexuality:

> The waltz's conflation of feminine sexual energy, grotesquerie, and masquerade is particularly significant because it relies on the rhetoric of female degeneracy that was becoming common currency in the late nineteenth century… It is certainly no coincidence that the waltz genre's specifically feminine sexual character, masquerading as sophistication, becomes a marker of feminine degeneracy and often becomes more specifically a marker of the prostitute.[38]

Strauss, by contrast and with steady consistency, associates the waltzes of *Der Rosenkavalier* with the male character of Baron Ochs auf Lerchenau, a coarse lecher whose nobility is one of title only as he has no true gentility of sentiment. Ochs is quite candid about his favorite pastime: in Act 1, he shamelessly enumerates to the Marschallin the manifold methods with which he conquers one woman after the other in a fashion that recalls Don Juan's Catalogue Aria. Had Hoffmannsthal's libretto not incurred censure, it would have detailed even more explicitly Ochs's insatiable sexual appetites. (One of the offensive excerpts read: "If I see pheasants mating / I itch to have feathers and get

[38] Draughon, "Dance of Decadence," 401-402.

between them."[39]) Korngold pointed out the paradoxical connection between "this agreeable gentleman" and waltz music: "Joke, satire, or deeper significance" indeed. From the *Liebeswaltz* he sings to Sophie in Act II (Ex. 1.3a) to the lengthy "chambre séparée" imbroglio in Act III (in which he attempts to seduce Mariandel/Octavian), three-quarter time is synonymous with Ochs's concupiscence.

Ochs's debauchery is perhaps most fully revealed when he meets his fiancée and appraises her physical charms much in the manner, as a recoiling Sophie puts it, of a horse-dealer surveying a prized acquisition. When she rebuffs him, the Baron lewdly responds by promising nuptial bliss:

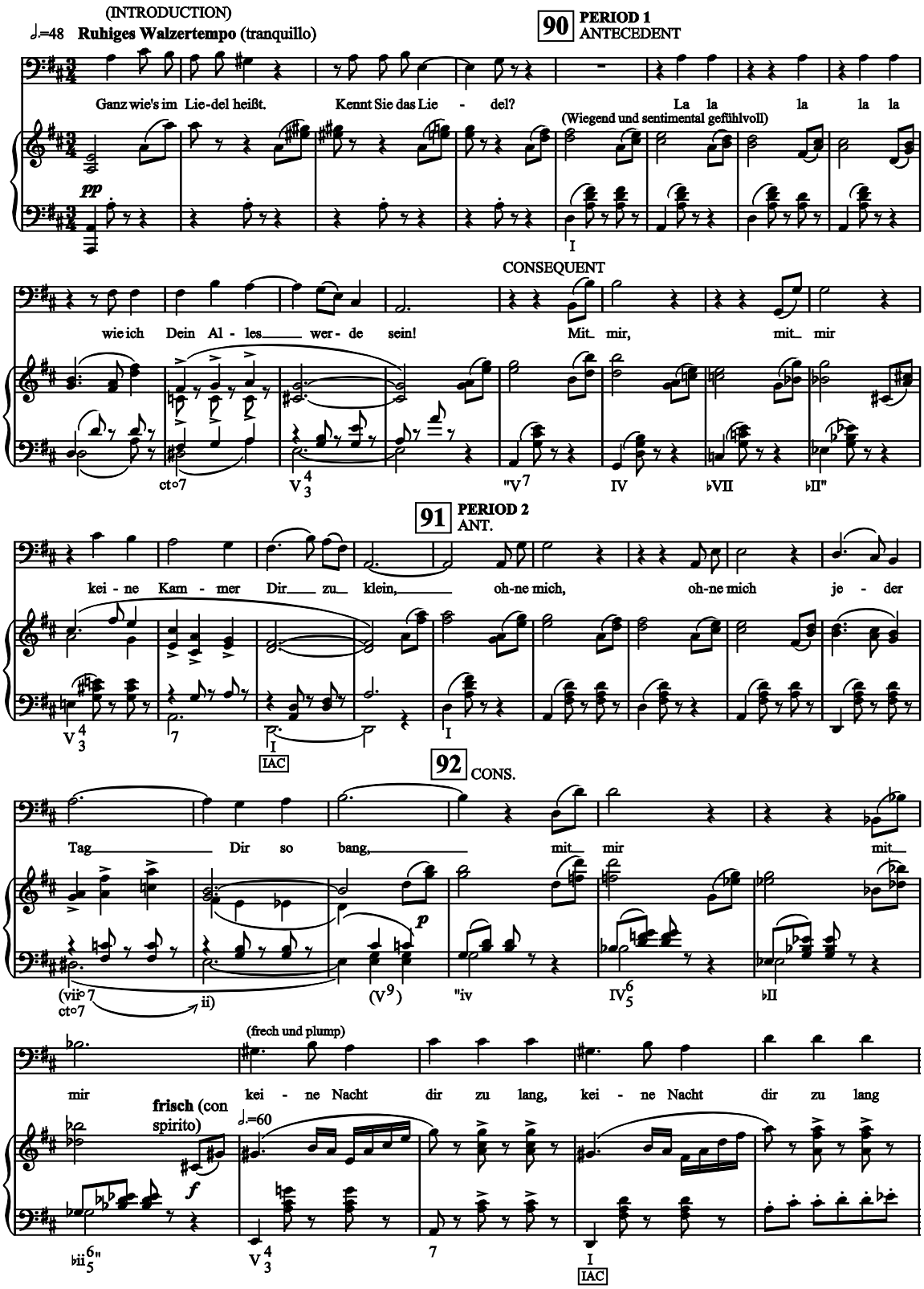
Rosenkavalier*, Act II, Ochs's *Liebeswaltz

Sophie:	**Sophie:**
Möcht' wissen, was Ihm dünkt von mir und Ihm. Was ist Er denn zu mir?	I would like to know what you might think of me and of yourself? What are you to me?
Ochs:	**Ochs:**
Wird kommen über Nacht, daß Sie ganz sanft wird wissen, was ich bin zu ihr,	Come the night, and you'll find out all right what I am to you,
(*Ruhiges Walzertempo*)	(*Ruhiges Walzertempo*)
Ganz wie's im Liedel heißt. Kennt Sie das Liedel?	Just as the song goes. Do you know this little song?
'La la, la, la la, Wie ich Dein Alles werde sein!	'La la, la, la la, I will be everything to you!
Mit mir, mit mir, keine Kammer Dir zu klein	With me, with me, no room too small for you
Ohne mich, ohne mich, jeder Tag Dir so bang	Without me, without me, the days so fearful to you
Mit mir, mit mir, keine Nacht dir zu lang, keine [Nacht dir zu lang.'	With me, with me, no night too long for you, no [night too long for you.'

Pretty, this waltz, as Korngold affirms? Without a doubt. But for all the musical charm in which Ochs clothes his scurrilous address, several subtle—and not-so-subtle—melodic and harmonic characteristics tinge it with parody and decadence, giving lie to loveliness. Strauss modeled Ochs's waltz on Josef Strauss's 1865 *Dynamiden (Geheime Anziehungskräfte)*, Op. 173 (*Secret forces of attraction*), the beginning of which appears

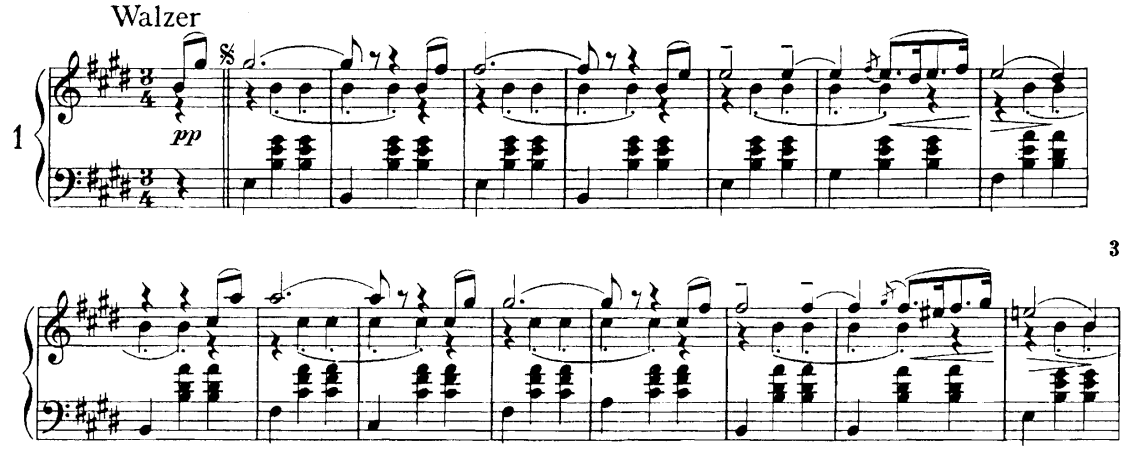
[39] For more on the libretto's textual variants, see Jefferson, *Richard Strauss: Der Rosenkavalier*, 12-20, 130-133.

Example 1.3a Strauss, *Der Rosenkavalier*, Act 2, Ochs's *Liebeswaltz*



in **Example 1.3b**. Ochs's waltz borrows from *Dynamiden* its melodic profile, periodic phrase structure, and, most striking of all, its characteristic "pick-up" motive. But the resemblances end there. What is charmingly simple in Josef's waltz sounds artificially inflated in Richard's. In the latter, the pick-up motive repeats *ad nauseam*, squeezed no less than five times into the antecedent phrase, which comes on the heels of three anticipatory iterations that introduce the waltz proper. This results in exaggeratedly repetitious, endlessly descending melodic lines. Indeed, the antecedent of the first period spans a full major seventh (from F♯5 to G4 in the right hand of the piano reduction) and the consequent, a full minor ninth (from G5 to F♯4). The second period (reh. 91ff.) further emphasizes these exaggerated downward plunges. Its antecedent, incorporating the melody of the introduction into its basic idea, now begins on melodic degree 5 instead of 3. Moreover, at rehearsal 91+6, Strauss stretches the descent into a chromatic inner voice, so that it ends up spanning nearly two octaves, from A5 (reh. 91) to B3 (reh. 92)! As a result, motivic hyperbole characterizes the $\hat{3}$-$\hat{4}$-($\hat{4}$)-$\hat{3}$ neighbour (to which we shall soon return) that underpins the phrase's melodic design.

Example 1.3b Josef Strauss, *Dynamiden (Geheime Anziehungskräfte)*, Op. 173



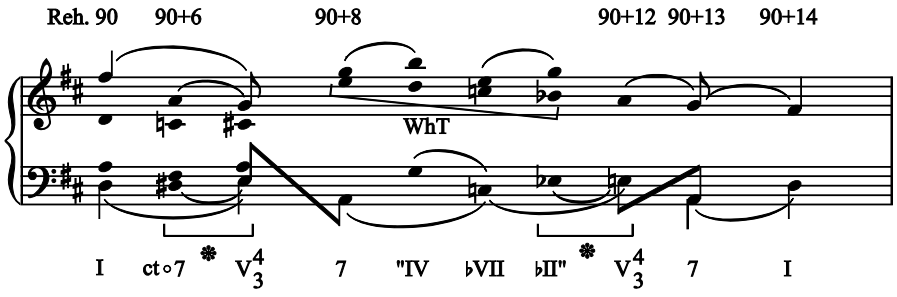
But it is the piece's harmonic language that most thoroughly contravenes generic norms. Indeed, both periods contain a progression whose chromatic procedures, while not foreign to Strauss's style, are quite foreign to the characteristic harmonic idiom of the waltz.[40] Korngold may well have had these passages in mind when he wrote of "the insertion of a few more refined detours" in the waltz. These "detours," we will see, are key to the characterization of Ochs. The first period (see Example 1.3a above) begins normatively enough with a I-V^4_3 progression embellished by a common-tone diminished seventh; as mentioned above, it also traces a descending melodic seventh from scale-degree $\hat{3}$ to $\hat{4}$. The consequent phrase, however, soon counters the antecedent's straightforward harmonic structure. Here, the $\hat{4}$-to-$\hat{3}$ melodic descent is somewhat concealed by an unexpected progression at rehearsals 90+8 to 90+11 ("mit mir, mit mir"), where Strauss inserts the non-functional succession "V7-IV-♭VII-♭II". The effect of its jarring changes in direction from one chord to another is at very least disorienting. Even the recovery of V^4_3 at rehearsal 90+12, for all its return to syntactic stability, is rather abrupt. And the consequent phrase of the second period is even more disconcerting. Its chromatic sequence ("iv-IV^6_5-♭II-ii^6_5") drifts all the way into five-flat territory, amplifying the effect of harmonic disjunction of the first consequent. Clearly, roman-numeral labelling in the two consequents is insufficient to elucidate their complex harmonic progressions.

How then might we explain these chromatic passages and their sharp contrast with the diatonic simplicity typical of the waltz genre? In fact, Strauss heavily chromaticizes the prolongation of G in the aforementioned neighbour motion $\hat{3}$-$\hat{4}$-($\hat{4}$)-$\hat{3}$ expressed by the upper voice in both periods. **Figure 1.1** shows the melodic and harmonic processes at

[40] I would like to thank Áine Heneghan for drawing my attention to similar processes in the "Dance of the Seven Veils" in *Salome* and the music associated with Chrysothemis in *Elektra*. While both are stylized waltzes, the passage under consideration here mandates special attention since it is employed to characterize a male figure.

work in period 1. After the normative I-ct°7-V^4_3 progression of the antecedent, we may see that the pseudo-sequence in the consequent's upper voice conceals a <E-D-C♮-B♭> whole-tone descent in an inner voice, each note of which receives consonant support in the bass. Both E and G at rehearsal 90+8 come from the preceding V^4_3, whose upper and lower voices reach over and prolong the neighbour note G between rehearsals 90+6 and 90+13. It is the whole-tone descent, when it proceeds down to A and G, that reintroduces the neighbour note in its proper register; the neighbouring motion becomes complete when G resolves down to F# in the last measures of the period. Supporting the $\hat{3}$-$\hat{4}$-($\hat{4}$)-$\hat{3}$ neighbour motion is the large-scale progression I-V^4_3-V7-I (at rehearsals 90, 90+6 and 7, 90+13, and 90+14 respectively), to which Strauss hints when moving into the beginning of the consequent with a dominant unfolding. Note also how the D♯-E bass motion that ends the antecedent is recalled in the penultimate measures of the consequent (above the chords "♭II"- V^4_3; an asterisk indicates the two related bass segments in Fig. 1.1). In so doing, Strauss transforms a coquettish harmonic ornament, the common-tone diminished seventh chord, into a central component of a thoroughly chromatic passage.

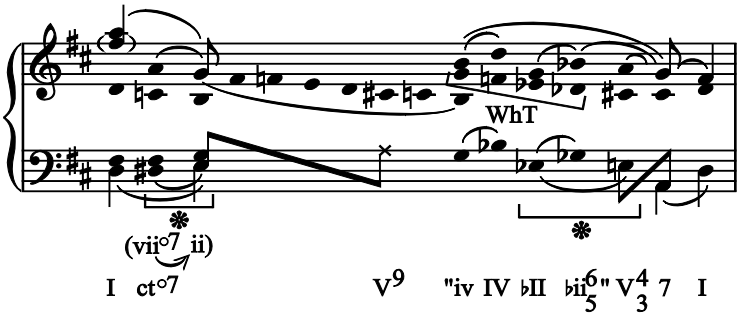
Figure 1.1 Ochs's *Liebeswaltz*, Period 1



The waltz's second period reworks these processes into an even more chromatic "detour." As **Figure 1.2** shows, the diminished seventh <D♯-F♯-A-C♮> at rehearsal 91+5 now functions locally as the secondary dominant of ii rather than as a common-tone

diminished seventh to V. On a larger scale, however, this diminished seventh does proceed to V4/3: the bass A of a V7 unfolding is implied on the second beat of rehearsal 91+7, when the leading-tone C♯ enters in an inner voice. As was the case in period 1, the consequent's sequence at rehearsals 92 to 92+3 (a true sequential pattern rather than an apparent one this time) embeds a whole-tone descent, <G-F-E♭-D♭>, to which Strauss gives consonant bass support. But this time, rather than reaching over, the neighbour G chromatically moves to an inner voice. The whole-tone segment that follows condenses this chromaticism, retracing the <G-F-(E)-E♭-(D)-C♯> motion that spanned the unfolding of V9 two measures earlier. As was the case in period 1, Strauss recalls the D♯-E bass motion that concludes the antecedent (see the asterisks in the figure) in order to introduce the cadential dominant.

Figure 1.2 Ochs's *Liebeswaltz*, Period 2



On the whole, Strauss's undermining of the waltz's default prettiness underscores the deviant nature of Ochs's character. The Baron's *Liebeswaltz* is at once excessively pretty and extremely perverted. As Ochs feigns charm and grace, Strauss seizes upon the culturally ingrained relationship between waltz and sensuality and, re-inscribing it upon a caricature of masculinity, blows out of proportion both the musical conventions of the waltz and their sexual implications. The composer's exaggeration of the waltz's melodic and motivic conventions—excessive motivic recurrences, ever longer descending lines—

effectively exposes these conventions as clichés and stereotypes: apparent simplicity masks contrivance, and parody contrasts all the more strongly with the use of harmonically daring procedures. Korngold's "refined detours" are refined indeed: they purposefully stand out as disjunct inserts that replace what could have been entirely predictable, diatonic music. This juxtaposition of the mechanistic with the irregular, and of the oversimplified with the purposefully complex, points in turn to the dramatic contradiction of hearing the utterly unrefined Baron clothing his obscene thoughts and lack of sincere feelings in the conventional refinement of the waltz. What could have been a Lehar-like love ode (if sung by Octavian) or an expression of mutual sensual anticipation becomes a shrewdly wrought song of moral and sexual decadence.

What are we to make of Och's sexual excesses? His exaggerated concupiscence, were it not comedic, would be either frightening or pathological. Not long after he enters the Marschallin's apartments, the Baron makes it clear that there is "not a month of the year, not an hour of the day" in which he does not scheme to find his way into his quarry's bed, even though it means overcoming or even disregarding resistance. Lustfulness and sexual excess, Mosse has argued, were antithetical to the nineteenth-century masculine stereotype since it was believed to reveal a lack of control over one's sex drive. It could even be considered a form of sexual deviance since such "vice" was often associated with mental illness.[41] The view that man was abler than woman to control his sexual instinct, either on account of his biological disposition and/or because he had the advantage of engaging in a wealth of activities that balanced his need for sexual satisfaction, was a common one, which Otto Weininger couched in his infamous aphorism "Man has the penis, but the vagina has Woman."[42] Moreover, vice was

[41] Mosse, *The Image of Man*, 62, 86.
[42] Otto Weininger, *Sex and Character: An Investigation of Fundamental Principles*, trans. Ladislaus Löb, ed. Daniel Steuer with Laura Marcus, intro. by Daniel Steuer (Bloomington: Indiana University Press, 2005), 81.

believed not only to cause a variety of diseases (both venereal and mental), it also threatened the very fabric of society. In his influential *Psychopathia Sexualis*, sexologist Richard von Krafft-Ebing equates sexual restraint with civic responsibility:

> It is, moreover, a statute of the moral code and of the common law that civilized man satisfy his sexual instinct only within the barriers (established in the interests of the community) of modesty and morality, and that man should, under all circumstances, control this instinct so soon as it comes in conflict with the altruistic demands of society.
> If the normally constituted civilized individual were unable to comply with this rule, family and state would cease to exist as the foundations of a moral, lawful community.[43]

In sum, men who engaged in unrestrained sexual activity contravened the physical and moral codes of masculinity.

Within the farcical framework of *Rosenkavalier*, Ochs represents a countertype to the ideal of manhood that Mosse describes, displaying none of the self-discipline which "masculine men" were to extend to their sexuality. Yet by the time that *Rosenkavalier* was staged, the belief that one could control one's sexual urges by virtue of self-discipline might have been somewhat problematic to sustain in light of the various discourses which suggested that this ideal might in fact be utopian. Freud, for one, advanced that sexual ethics were not merely a matter of willpower and moral sense but rather subordinated to deep primal, unconscious drives, and he argued in *Three Studies on Sexuality* (1905) that perversion, rather than being an attribute of the sexually deviant, expressed various dimensions of the sexual instinct. A number of artistic works from Vienna circa 1900, including Schnitzler's *Reigen* or Wedekind's Lulu plays, clearly suggested that Eros controlled men no less than women. In contrast to those works, however, the Baron's comedic, sex-driven (mis)fortunes do not seek to undermine traditional conceptions of masculine sexuality. Rather, the Baron's sexual amorality

[43] Richard von Krafft-Ebing, *Psychopathia Sexualis: A Medico-Forensic Study*, 12th ed., trans. F. J. Rebman (New York: Pioneer Publications, 1939), 70. (*Psychopathia Sexualis* originally appeared in 1886.) See also Mosse, *The Image of Man*, 86.

serves as a moral foil to the character of Octavian, who closely conforms to norms of sexual behaviour expected of middle- and upper-class young men. That the latter should sow his wild oats with a mistress before marrying would have been entirely tolerated (indeed, practically expected); and when he finally fixes his matrimonial prospects on Sophie, his choice is unobjectionable. One could perhaps argue that since the character of Octavian is sung by a woman, the reality of performance complicates the representation of ideal masculinity. Even with this caveat, however—which in fact implies that there may be no "masculine stereotype" in *Rosenkavalier*—Ochs offers an unambiguous comic countertype.

Like Mahler in the scherzo of the Second, Strauss invokes the dance but, by way of radical stylization, distances it from its nineteenth-century connotations of pleasure, merriment—and the image of masculinity embodied by the dashing and disciplined officer. Contrary to the scherzo, however, where the waltz resounds with the sense of alienation that the fin-de-siècle crisis of masculinity engendered, Ochs's loutish *Liebeswaltz* serves as a foil that reinforces the notions of manliness Mahler seems to declare lost: the harmonic and melodic "detours" of the piece reflect, in the manner of a "convex mirror" (to draw on an image employed by both Mahler and Mosse) the ecstatic—and musically speaking, highly conventional—duo that crowns Sophie and Octavian's reunion at the end of Act 3 ("Ist ein Traum"). In Mosse's words, "masculinity was the rock upon which bourgeois society built much of its own self-image, but abnormal sexuality was also tied to the idealized image of man that determined the counterimage it was made to represent." [44] Ochs's *Liebeswaltz* sounds the comedic countertype that allows the ideal stereotype to stand intact.

[44] Discussed in Mosse, *The Image of Man*, 102.

MADNESS: THE WALTZES OF *WOZZECK*, ACT II, SCENE 4

Let us now turn to the role of the waltz episode in Act II, Scene 4 of Berg's *Wozzeck,* which figures among the nexus of factors that drive the title character to despair and madness. Persecuted by the Doctor and the Captain, humiliated by the Tambourmajor, and betrayed by Marie, Wozzeck's fate seems to reflect the views of Krafft-Ebing, who posited, in his *Manual of Forensic Psychopathology* of 1879 (*Lehrbuch der Gerichtlichen Psychopathologie*), that failure in one's social life constituted a major trigger for mental disease.[45] The issue of masculine mental illness was a sensitive one in the late nineteenth and early twentieth centuries, often mixing with concerns about the "effeminization" of culture and society. The greatest area of malaise probably pertained to the question of male hysteria, as Freud discovered at his professional expense when he made his academic debut in 1886 with a paper on the subject that drew ire from several established physicians. Medical historian Marc Micale reports that reactions to Freud's paper from the scientific community were "decidedly critical": for example, Theodor Meynert, Chair of psychiatry at the University of Vienna (Krafft-Ebing would take up the post in 1889), challenged Freud to identify a single Viennese male hysteric.[46] Hysteria, it appeared, was too closely intertwined with beliefs about female sexuality and fragile nerves for doctors to readily diagnose it in men, and for this reason some historians argue it counted as one of the casualties of World War I. As Juliet Mitchell has pointed out, the recrudescence of cases of masculine hysteria among soldiers during the First World War (including men who had not experienced battle) probably accounts, at least in part, for the fact that physicians virtually ceased to diagnose it:

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[45] Ibid., 85, discussing Richard von Krafft-Ebing, *Lehrbuch der Gerichtlichen Psychopathologie,* (Stuttgart: Umgearbeitete Auflage), 3:72.
[46] See Marc S. Micale, *Hysterical Men: The Secret History of Male Nervous Illness* (Cambridge, MA: Harvard University Press, 2008), 237-241.

> It has been widely suggested that the massification of male hysteria during the First World War was simply unpalatable to the medical community—or, more generally, to standard images of "maleness." If the soldiers with… hysterical traits could not be labelled "hysterics," and men should not be hysterics, then the simplest solution to this dilemma would seem to have been to allow the decline of the category itself.[47]

Meanwhile, the medical community's interest in schizophrenia (the name that Eugen Bleuler gave in 1911 to what had previously been known as *dementia praecox*) was increasing. This illness's etiology, according to Carl Jung and others, was entirely unrelated to sexuality. For this reason, Mitchell suggests, "the mad and psychotic dimensions of hysteria [were] siphoned into schizophrenia, which is not gender-specific."[48]

Jeremy Tambling has suggested that the modernist style of *Wozzeck* may be effectively interpreted in terms of schizophrenia, in its literal meaning of "split mind."[49] In addition to the schizophrenic symptoms that Wozzeck appears to display (such as delusions, disruptions in thought process, and auditory and visual hallucinations), Tambling emphasizes non-pathological implications of the term, suggesting that, in counterpoint to the myriad studies of the opera that insist on the work's highly unified structure, we focus attention upon elements of discontinuity and fracture. My intention here is not to "diagnose" Wozzeck with this or that symptom of hysteria and/or schizophrenia. Rather, following Tambling's lead, I will examine how Berg's treatment of the waltz topos comes to represent the increasingly fractured state of the title character's psyche.

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[47] Juliet Mitchell, *Mad Men and Medusas: Reclaiming Hysteria* (New York: Basic Books, 2000), 127. See also Elaine Showalter, *Hystories: Hysterical Epidemies and Modern Media* (New York: Columbia University Press, 1997), 72-74.
[48] Mitchell, *Mad Men and Medusas*, 124.
[49] Jeremy Tambling, "Listening to Schizophrenia: The *Wozzeck* Case," in *The Pleasure of Modernist Music: Listening, Meaning, Intention, Ideology*, ed. Arved Ashby (Rochester, NY: University of Rochester Press, 2004), 176-194.

By the time Wozzeck enters the Tavern in Act II, Scene 4, Berg has already associated *Walzertempo* with the abuses of power perpetrated by one of Wozzeck's tormentors, the Doctor. The composer evokes the waltz's traditional sophistication and merriment ironically to portray the Doctor's grandiloquence and morbid self-satisfaction as he diagnoses Wozzeck with "eine schöne fixe Idee" (Act I, Scene 4) and the Captain with impending "apoplexia cerebri" (Act II, Scene 2).[50] The tavern waltzes differ from these "medical waltzes" in an obvious yet crucial respect in that they represent music belonging to the opera's diegetic world. These dances take place in the context of the story, with couples on the dance floor and an orchestra on the stage. As such, Wozzeck perceives them as waltzes, inviting us to infer that he reacts to the constellation of social meanings that had accrued to that dance.

Berg described the second act of *Wozzeck* as a "dramatic symphony" in which the fourth scene plays the role of a scherzo-trio.[51] As **Table 1.1** shows, Scene 4 features a mix of Ländlers, songs, choruses, and stylized waltzes. For Sevin Yaraman, the alternation between waltz and non-waltz in Scene 4 elicits a sense of alienation and disorientation in the listener; this is compounded by the fact that Berg never allows the waltz sections to fully develop.[52] This sense of alienation, in my view, resounds with exacerbated expressive power in the scene's second scherzo (following the trio) at mm. 481-559, where Wozzeck enters the tavern and finds Marie waltzing with the Tambourmajor. For the Tavern Scene, Berg composed a modified, much-condensed version of a conventional set of waltzes. Scherzo II divides into seven short waltzes, each marked off by double barlines and changes in tempo and character. **Table 1.2** shows the formal layout of scherzo II along with a brief synopsis of the dramatic action and an

[50] James Graeme Fullerton discusses the waltz of Act II, scene 2 in "The Grotesque in Twentieth-Century Opera" (PhD diss., City University of New York, 2006), 132-141.
[51] See Berg's 1929 "A Lecture on *Wozzeck*" in Douglas Jarman, *Alban Berg: Wozzeck* (Cambridge and New York: Cambridge University Press, 1989), 154-170.
[52] Yaraman, *Revolving Embrace*, 208-217.

Table 1.1 *Wozzeck*, Formal scheme, Act II, Scene 4

Scherzo-Trio				**Reprise**				
Verwand-lung= Scherzo I: Ländler	Trio I: Lied	**Scherzo II: Waltz**	Trio II: Chorus and lied	Scherzo I: Ländler (varied)	Trio I: Lied (as melo-drama)	Trio II: Chorus and lied (shortened)	Tran-sition	Scherzo II: Waltz (shortened)
mm. 412-447 (transition 448-455)	456-480	481-559	560-591	592-604	605-635	636-650	651-671	671-684
	2 jour-neymen	Wozzeck, Marie, Tambour-major	Chorus, Andres	Wozzeck, Andres	Journey-man	Chorus, Andres	The Idiot, Wozzeck	

Table 1.2 *Wozzeck*, Formal divisions of Scherzo II (mm. 481-559)[53]

Waltz I (481-495)	**Waltz II** (496-503)	**Waltz III** (504-513)	**Waltz IV** (514-528)	**Waltz V** (529-538)	**Waltz VI** (539-545)	**Waltz VII** (546-559)
Tempo I ♩ = 132	♩ = 132	Tempo II Schwunvoll ♩ = 148	Tempo III Sehr schwungvoll ♩ = 160	Tempo I ♩ = 132	Feurig ♩ = 200	♩ = 200
"ambient music"	Wozzeck sees Marie + Tambourmaj.	Marie dances by: "Immer zu!"	Wozzeck: "Why doesn't God extinguish the sun?" "Every-thing wallows in lechery"	Wozzeck: "Das Weib ist heiß!"	Wozzeck fumes as Tambourmaj. gropes Marie	Marie + Tambourmaj.: "Immer zu!" Wozzeck: "Verdammt!"
cyclic complex; "guitar chord"; improvisatory gestures; triadic	"dancing couples"; melodious; triadic	whole-tone; "ambient music"; chromaticism and Tambourmajor's seduction music	guitar chord; ametric chroma-ticism; stage orchestra vs. pit orchestra	Tambourmaj.'s music; chromaticism runs	"ambient music" reworked; Tambourmaj.'s music; ic5-cycles in bass	alternating wh.-tone coll.; cyclic complex

overview of the more detailed analysis that follows. Initially, these miniatures draw on the waltz's traditional technical vocabulary: oom-pah-pah rhythm, triadic harmony, bass motion by fifth and third, and a sense of centricity achieved by frequent motion to and from a referential sonority built on E. But as scherzo II progresses towards its climactic

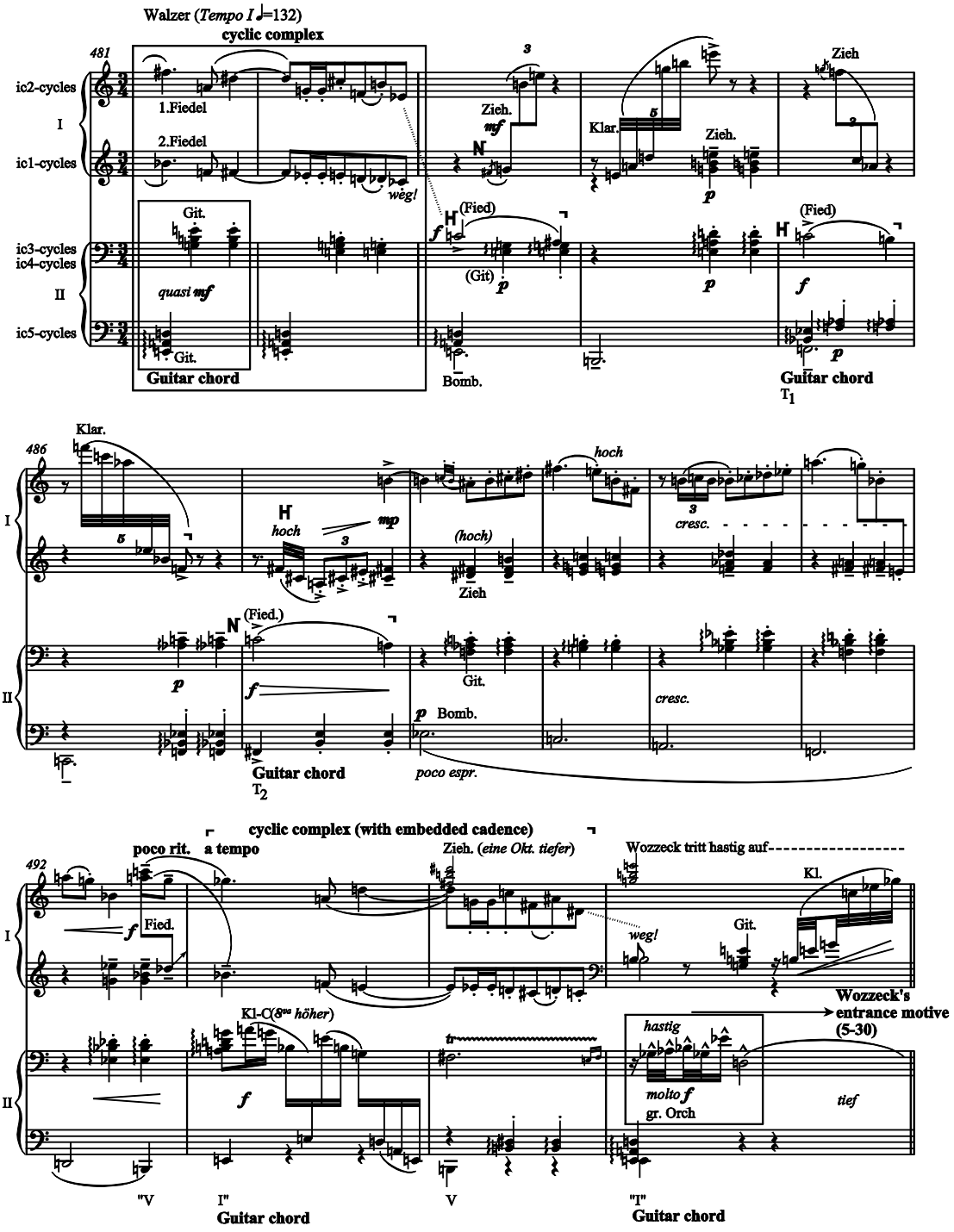
[53] Table based on George Perle, *The Operas Of Alban Berg*, vol. 1, *Wozzeck* (Berkeley: University of California Press, 1980), 69-72. My translation of the libretto loosely adapts Perle's.

end-point—at which moment the furious Wozzeck prepares to storm the dance floor—a sense of intense disjunction and dementia takes over. At the most fundamental level, of course, the atonal idiom itself creates a sense of distance in transposing into a modernist, progressive language a genre that, during its heyday, was pointedly conventional and conservative. In the dramatic context at hand, Berg's stylized waltzes stress the irreconcilable perspectives of the different characters—Marie and the Tambourmajor, blissfully oblivious to Wozzeck; the indifferent crowd of dancers and drinkers; and Wozzeck himself, betrayed and seething—by stringing together discontinuous and fragmentary snatches of waltz music to form a succession of short tableaux that uncomfortably grind against one another with increasing brutality.

The first waltz of the set (mm. 481-495; **Example 1.4**) is introductory in character and sets up the informal ambiance of the tavern. The scene takes place in a *Wirtshausgarten*, an establishment offering food, drink, music, and dance. Workers, drunkards, and a simpleton frequent the tavern featured in *Wozzeck*, clearly the poor relative of the more fashionable dance halls and ballrooms. The onstage orchestra, which Berg called a "drunken pub-band," resembles an authentic *Wirtshausgarten* ensemble. [54] Its instrumentation, featuring two fiddles, guitar, clarinet, accordion and bombardon, recalls the Viennese *Schrammelquartett* that performed in inns and parks and which became famous throughout Europe in the last quarter of the nineteenth century. Founded by the sibling violin duo of Johann and Joseph Schrammel, the ensemble also included a clarinet and guitar (eventually the clarinet was replaced by an accordion) and acquired renown for its unique amalgam of Viennese dance music and folklore. The bombardon that also features in Scene 4, an instrument belonging to the family of tubas, was another usual member of popular bands.

[54] Berg, "A lecture on *Wozzeck*," 165.

Example 1.4 Berg, *Wozzeck*, Act 2, Sc. 4, Waltz I: "Ambient music," mm. 481-495



Waltz I fits in well with its surroundings. Neither overly elegant nor refined, it resembles the music that a casual client, paying intermittent attention, might hear: rather than continuous melodies, the violins, clarinet, and accordion alternate brief

improvisatory gestures over the guitar and bombardon's oom-pah-pahs. I will refer to this waltz, as well as to its subsequent appearances, as *ambient music*. The waltz begins by establishing E as a centric pitch by means of the referential sonority <E-A-D-G-B-E>, played by the guitar. The collection sounds the open tuning of the instrument, perhaps parodying a simple, primitive folk idiom. Berg partitions it into two distinct registers and metrical positions, the "ooms" as the quartal <E-A-D> and the "pahs" as the triadic <G-B-E>. A predominant sonority of waltz I, the *guitar chord* (as I shall refer to it) sounds through measures 481-484 before being twice transposed up a semitone at bars 485 and 487.[55] The guitar chord continues to figure prominently throughout the scene: in addition to opening waltz IV, it also sustains part of the dialogue between Wozzeck and the Idiot.

The guitar chord also occurs as a part of a larger, two-measure unit that sounds for the first time at the outset of waltz I. As may be seen in Example 1.4, measures 481-482 are arranged in a favorite texture of Berg's; that is, as four superimposed cyclic layers (to borrow Dave Headlam's analytic vocabulary.)[56] The first violin's materials are based on whole-tone scale 1 (or ic2-cycles); the second violin's, on semitones (ic1-cycles); and we find superimposed triads (ic3- and ic4-cycles) and fourths (ic5-cycles) in the guitar. With the vertical alignment of the two upper layers yielding major and minor thirds and sixths, and the strong E-minor flavor in the guitar, measures 481-482 are typically Bergian in their use of atonal procedures that result in a quasi-consonant sound. This two-bar motive, which I will call the *cyclic complex*, plays two important roles throughout the Scene 4 waltz set. First, it acts as an important cadential-formal marker. After a rollicking clarinet melody over a bass in descending thirds (see again Example 1.4, mm. 488-492), the cyclic complex comes back at measures 493-495 in a slightly modified

[55] Note that this semitonal transposition, though typical of key changes in popular music, is not actually possible (without a capo bar) when the referential sonority is the open strings.
[56] Dave Headlam, *The Music of Alban Berg* (New Haven, CT: Yale University Press, 1996).

version that integrates a V7-i cadential motion (where "i" is the guitar chord) to conclude waltz I. Scherzo II as a whole ends in a very similar way, with a "i (=guitar chord)-♭II-V-i" progression built under the fiddles' 1- and 2-cycles (shown in Example 1.6b below). The complex also launches the last waltz of Scene 4 at m. 671, which, coming on the heels of the Idiot's ominous prediction—"I smell blood!"—takes on accents of a *Totentanz*. Second, the cyclic complex provides the waltz set with its basic pool of intervallic materials. As we will see, Berg successively marshals whole tones, 1-cycles, triadic chords, and quartal sonorities to dramatic ends.

Wozzeck arrives in the tavern at the end of waltz I, heralded by the five-pitch motive (<G♭-A♭-B♭-G♭-E♭-D♮>) that announces his entrances and exits throughout the opera.[57] The pit orchestra rather than the onstage band plays the entrance-motive, a choice of instrumentation that suggests a hermeneutic connection between Wozzeck and the large ensemble. Indeed, the pit orchestra plays in scherzo II whenever Wozzeck seems so overcome by his emotions as to teeter on the brink of madness. The pit orchestra falls silent, however, when Wozzeck notices Marie dancing with the Tambourmajor. If the lower-class *Wirtshaus* contrasts with a refined ballroom, so do Marie and the Tambourmajor with the elegant waltz dancers that Max Graf described. Here, an unmarried mother who identifies with Mary Magdalen takes the place of the genteel Viennese lady, while the Tambourmajor represents a caricature of military virility with his heavy-handed display of brute sexual potency.

As Wozzeck recognizes the couple ("Him! Her! Hell!"), a melodious waltz replaces the ambient music at measures 496-503 (**Example 1.5**). Waltz II is the most "conventional" dance of the set with its gliding melody, periodic design rooted in the bass

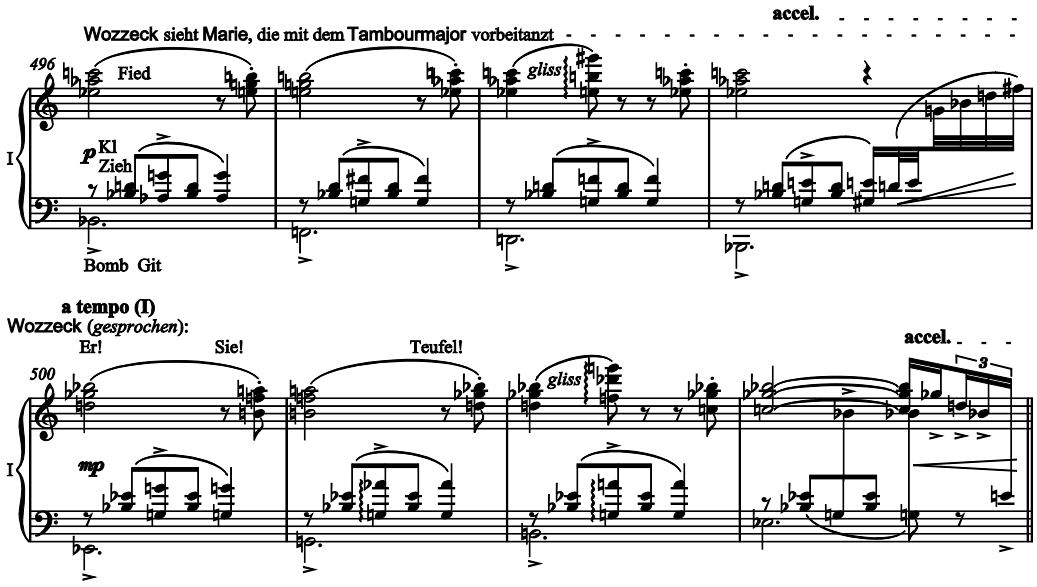
[57] As Janet Schmalfeldt has observed, Wozzeck's entrance motive, set 5-30, is inclusion-related to another set intimately associated with him; that is, his cry "Wir arme Leut!" (set 4-19) that bemoans the plight of the poor people he represents. Janet Schmalfeldt, *Berg's Wozzeck: Harmonic Language and Dramatic Design* (New Haven and London: Yale University Press, 1983), 92-93. Perle lists and discusses the motivic materials recurrently associated with dramatic details in *Wozzeck*, 93-129.

arpeggiation of two triads (B-flat in the antecedent and E-flat augmented in the consequent), and a texture that emphasizes the triadic element of the cyclic complex. Smooth and tuneful, the flirtatious waltz accords well with the tavern ambiance. Yet a number of elements belie its sleek veneer. The texture might be triadic, but it is also dissonant. The antecedent, for example, pits two major-second related sonorities against one another: the violins embellish an A-flat major chord (in the right hand of the piano in the reduction), while the clarinet and accordion (left hand of the piano) decorate a B♭-D third in the inner voices. And there is just a hint of exaggeration in the violin glissandi of measures 498 and 502, a touch of ludicrousness in the misplaced accents of the clarinet and accordion on the second beats of each measure: harbingers of the much more extensive deformations still to come as Wozzeck grows increasingly alienated. Berg's subtle paraphrases of waltz clichés also remind us that we perceive both the dance-floor waltz and Wozzeck's reactions to it. As in Mahler's scherzo, there is a strong element of voyeurism at play: unseen and excluded, Wozzeck spies on Marie and the Tambourmajor, scrutinizing their every move and word ("How he gropes her! On her body! And she laughs!" he exclaims in Waltz VI). In Berg's scherzo II, the "watching of the waltz" is as important as the waltz itself.

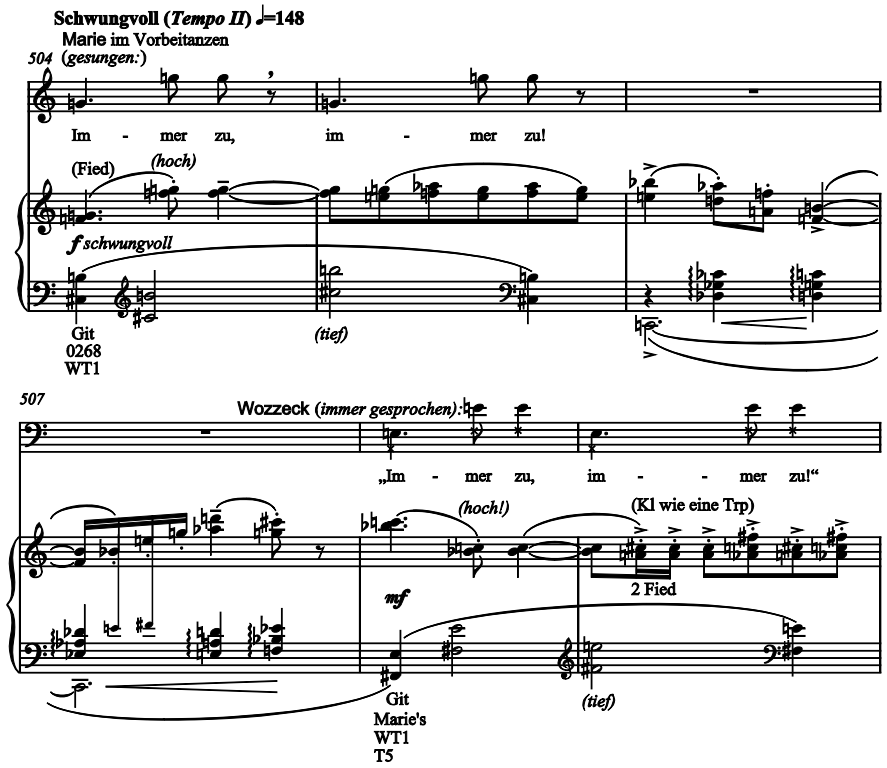
Then, swiftly and without warning, the perspective abruptly shifts at the beginning of Waltz III (**Example 1.6a**). As Marie whirls ecstatically past Wozzeck, singing "Immer zu, immer zu!" ("On and on!" mm. 504-505), *her* music entirely blots out the tavern band's waltz. Marie's waltz is based on a whole-tone chord—recalling the uppermost layer in the cyclic complex—that entirely effaces the triads of Waltz 2. Whole-tone sonorities will remain associated with Marie and her lover and come back in the last dance of the set, Waltz VII (**Example 1.6b,** mm. 546-554). In the latter, Berg strings alternating whole-tone tetrachords 0 and 1 in a long chromatic ascent as Wozzeck,

roused to new heights of pain and helplessness, hears the dancers blissfully sing their jubilant “Immer zu!”

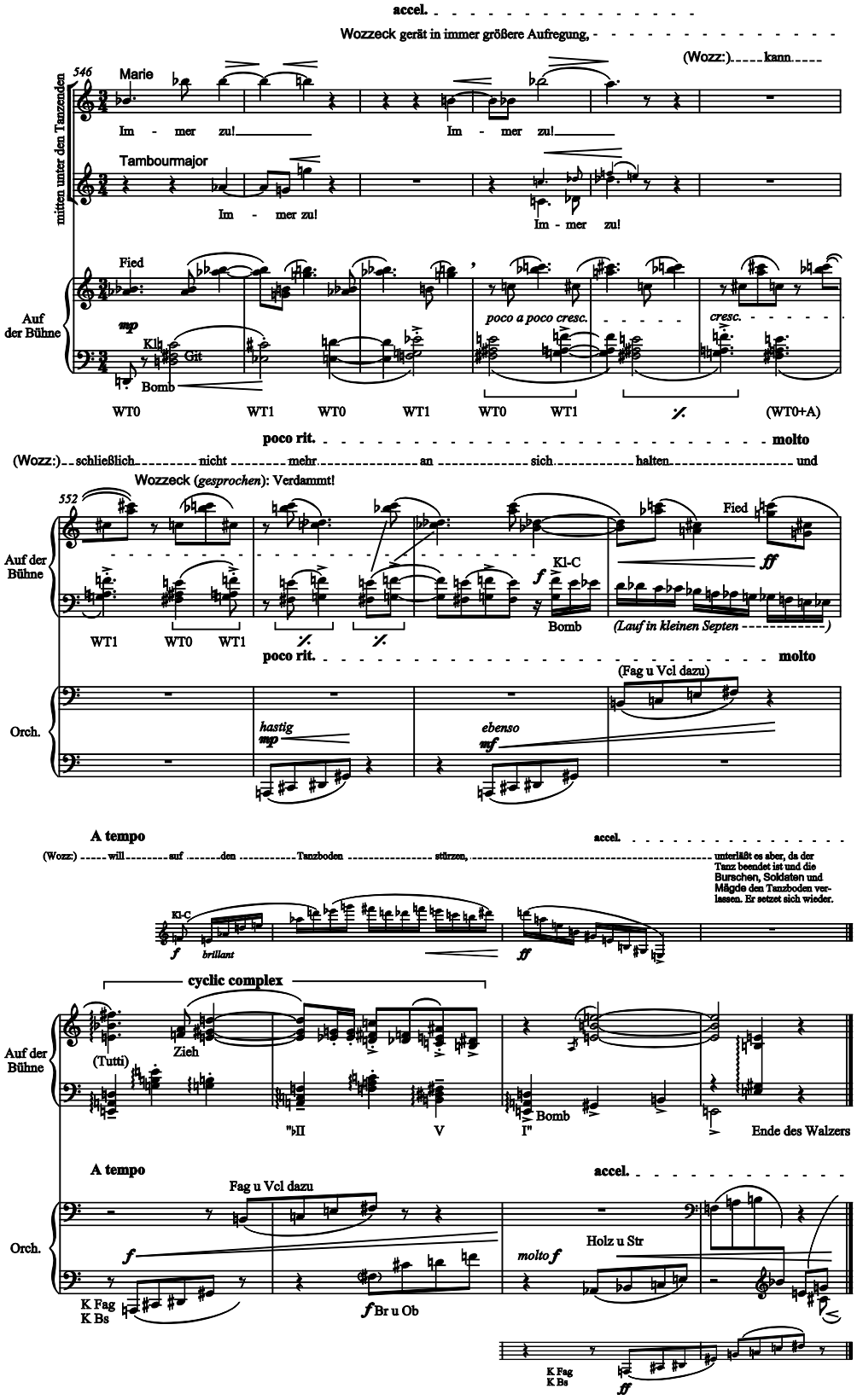
Example 1.5 Berg, *Wozzeck*, Act II, Sc. 4, Waltz II, mm. 496-503



Example 1.6a Berg, *Wozzeck*, Waltz III: “Immer zu!” mm. 504-509



Example 1.6b Berg, *Wozzeck*, Waltz VII: "Immer zu!" mm. 546-559

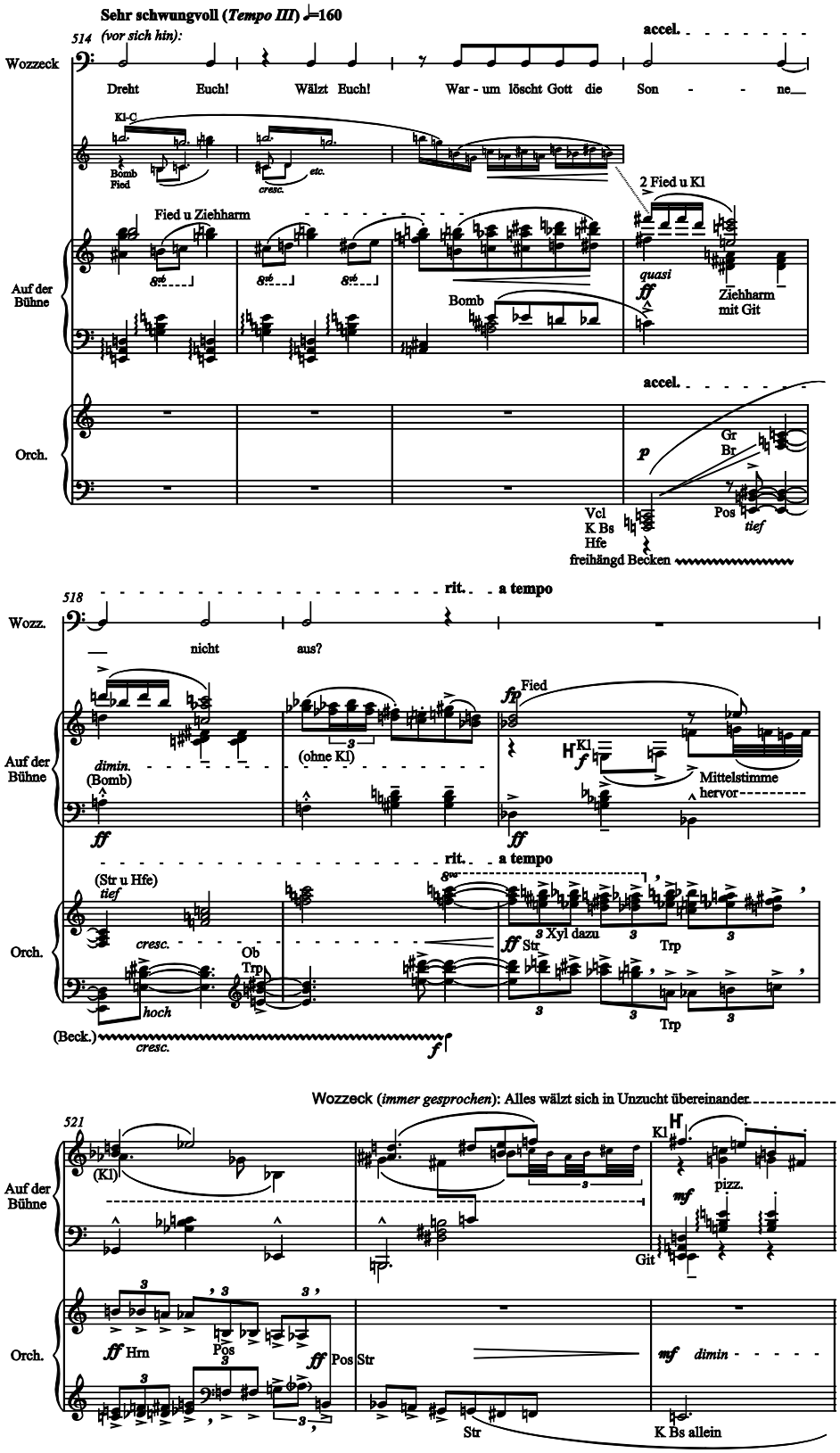


The abrupt curtailing of Waltz II by Marie's music initiates a series of similar rapid shifts. Just as the whole-tone sonorities displaced the triadic ones at measures 504-505, so the next two bars (mm. 506-507 in Example 1.6a) revert to the ambient music of Waltz I, recalling the melodic materials from measures 488-491 (with quartal sonorities rather than triads in the accompaniment). Yet another sudden change then ensues: whole-tone sonorities emerge again to convey Wozzeck's disbelief as he echoes Marie's "Immer zu!" in a T5 transposition (mm. 508-509). Berg also recalls, in measures 509-513, snatches of the music that accompanied the Tambourmajor's seduction of Marie in Act I, Scene 5 (mm. 510-513 do not appear in the example).

The extreme fragmentation of Waltz III is the prelude to even more intensive deformation in Waltz IV. At first, Wozzeck directs his anger at the couple on the dance floor as he utters "Twist about! Roll about!" The cross-rhythm that Berg effects by splitting the guitar chord between its two pitch-structural constituents, the stacked fourths <E-A-D> and the E-minor triad (**Example 1.7**, mm. 514-516), is not especially rare in waltzes. Here, however, this mild metric dissonance foreshadows more drastic metrical disruptions. Wozzeck's resentment soon grows to encompass the whole world he sees represented in the dancers. Overwhelmed by anger, Wozzeck evokes one of the most striking images of the opera. His cry "Why doesn't God extinguish the sun?" harks back to the glowing-red sun of Act 1, Scene 2, which triggered agonizing visions of a world swallowed in flames. Leo Treitler has suggested that Wozzeck's cry for God to black out the sun is a call for a divine apocalyptic punishment to be cast upon the crowd of sinful dancers.[58] Indeed, Wozzeck ceases to simply see dancing couples and recoils in disgust before the whole spectacle, which he perceives as orgiastic, bestial, a fury of debauchery:

[58] Treitler interprets the opera's libretto in light of the Book of Revelation (the Apocalypse). Wozzeck's cry, for example, recalls the citation "the sun became black as sack cloth of hair." See Leo Treitler, "*Wozzeck* and the Apocalypse: An Essay in Historical Criticism," *Critical Inquiry* 3/2 (1976): 252, 254.

Example 1.7 Berg, *Wozzeck*, Waltz IV, mm. 514-523



"Everything wallows in lechery every which way—Man and woman, people and animals!" (mm. 523-528, not shown in the example). As Treitler states, "it is not an ordinary act of infidelity that he sees, but a symbolic act of depravity"; in the unfaithful, waltzing Marie, Wozzeck sees the "Great Whore [of] Babylon," culpable of all moral and sexual transgressions.[59] This evocation of a bestial maelstrom has an almost hallucinatory quality, which reminds one of the alienated protagonist in Mahler's programme: both he and Wozzeck are voyeurs, watching enraptured waltzes, but seeing the nightmarish contortions of horrifying figures.

In a way, Wozzeck's desire to be spared the Babylonian waltz is briefly granted. Even though the onstage orchestra recalls the ambient music of Waltz I—playful melodic gestures, oom-pah-pahs, and bass motion by descending thirds—during most of Waltz IV, for a while one hardly hears it at all. This is because at measure 517, the pit orchestra intervenes with two superimposed ostinati. Both in steady half-notes chords, the second starting an eight-note after the first, these soon drown out the fading onstage music and entirely efface any sense of meter. It is as though Wozzeck, languishing under the realization of Marie's infidelity, becomes deaf to the ambient music and hears only his own tortured thoughts. At measure 520, the ostinati explode in a *fortissimo*, accented, five-voice chromatic tumble, the culmination of a gradual infiltration of ic-1s begun in the preceding waltz.[60] Berg, like Mahler in his scherzo-waltz, exploits the flux of chromatic washes to wipe out the sweep of waltz music.

And so the waltz set goes—miniature dances appearing and disappearing, intruding upon one another, becoming deformed to the point they no longer resemble the dance until the volatile Wozzeck prepares to hurl himself onto the dance floor to make it

[59] Ibid., 254, 255.
[60] At the end of waltz III (mm. 510-513), the bass voice initiated an ascending chromatic line picked-up by the violins in waltz IV (mm. 514-515) and split into a three-part chromatic wedge at measure 516.

all stop. But the onstage music ends, the dancers stop dancing, and Wozzeck, utterly defeated, retreats. Over the course of the waltz set, the constant shifts in perspective—from ambient music to Marie's waltz to Wozzeck's aberrant visions—express both the plight of Wozzeck and his unravelling psyche. If the Doctor and the Captain respectively personify the scientific and political institutions whose abuses and persecutions relentlessly repress the *arme Leut* (poor people), the waltz episode of Scherzo II certainly represents the social sphere where Wozzeck is made to feel his inadequacy and exclusion. A mere observer of the waltz, he is cast out of this emblematic dance of love and community. The discontinuous tapestry of colliding waltzes reveals his perception of the world as full of fissures and irreconcilabilities: the constant shifts between dance and non-dance, diegetic and non-diegetic, stage orchestra and pit orchestra, and the perspectives of Wozzeck and Marie reflect (in the manner of a "concave mirror"?) a splintered, decadent society. Excluded, betrayed, and crushed—seeing the world through a kaleidoscope of disjunct nightmares—Wozzeck slides towards insanity.

CHAPTER 2.
SCHOENBERG'S *VERKLÄRTE NACHT* AND THE CRITIQUE OF PATRIARCHY

"ZWEI MENSCHEN GEHN": OF DEHMEL AND SCHOENBERG

The premiere of Schoenberg's sextet *Verklärte Nacht* on 18 March 1902 elicited mixed reviews. The majority of critics were impressed by the invention and richness of instrumental colors and sound (*Klang*), and they hailed the young Schoenberg as a composer to be reckoned with. Others, however, chastised the work on account of its post-Wagnerian harmonic language—rife with jarring chromaticism, dissonant counterpoint, and relentlessly sequential harmonies—which they perceived as contrived, harsh, or simply ugly. Several critics also took issue with the programmatic aspects of the work. In addition to a degree of general resistance to the idea that chamber music, the last standing bastion of "absolute music," might yield to the modern taste for programmes, some doubted whether the intricate story of Richard Dehmel's "Verklärte Nacht" could lend itself to musical treatment. In the poem (which appears below), a woman confesses to her lover that before she met him, she gave herself to a man whom she did not love because she longed for fulfilment and motherhood, and that she now carries this man's child. Magnanimously, her present companion vows that their mutual love will transfigure the child and make it his own: "you will bear it for me, from me." In the *Neue Freie Presse*, Richard Heuberger cynically opined:

> [The sextet] attempts to depict a complicated story. A woman meets the man of her dreams after having become pregnant by a man of more mundane appeal. The former man, under the influence of a splendidly moonlit night, proposes without remorse to accept stepfatherhood. Is this to be told in music without words? Schoenberg credits composition with such definite expressive ability![1]

[1] Richard Heuberger, Review of *Verklärte Nacht*, *Neue Freie Presse*, March 24, 1902, trans. in Walter B. Bailey, *Programmatic Elements in the Works of Arnold Schoenberg* (Ann Arbor, MI: UMI Research Press, 1984), 10-12. For a thorough overview of the critical response to *Verklärte Nacht*, see Esteban Buch, *Le Cas Schoenberg: Naissance de l'avant-garde musicale* (Paris: Gallimard, 2006), 66-75.

"Verklärte Nacht" (Richard Dehmel)

Zwei Menschen gehn durch kahlen, kalten Hain;	Two people walk through the bare, cold woods;
der Mond läuft mit, sie schaun hinein.	The moon runs along, they gaze at it.
Der Mond läuft über hohe Eichen,	The moon runs over tall oaks,
kein Wölkchen trübt das Himmelslicht,	No little cloud dulls the heavenly light,
in das die schwarzen Zacken reichen.	Into which the black points reach.
Die Stimme eines Weibes spricht:	A woman's voice speaks:
Ich trag ein Kind, und nit von Dir,	I bear a child, and not by you,
ich gehe in Sünde neben Dir.	I walk in sin alongside you.
Ich hab mich schwer an mir vergangen.	I have gone seriously astray.
Ich glaubte nicht mehr an ein Glück	I believed no longer in good fortune,
und hatte doch ein schwer Verlangen	Yet still had a great longing
nach Lebensinhalt, nach Mutterglück	For a full life, for a mother's happiness
und Pflicht; da hab ich mich erfrecht,	And duty—then I became reckless;
da liess ich schaudernd mein Geschlecht	Horror-stricken, I let my sex be embraced
von einem fremden Mann umfangen,	By a stranger
und hab mich noch dafür gesegnet.	And even blessed myself for it.
Nun hat das Leben sich gerächt:	Now life has taken its revenge:
nun bin ich Dir, o Dir begegnet.	Now I have met you, oh, you.
Sie geht mit ungelenkem Schritt.	She walks with clumsy gait.
Sie schaut empor; der Mond laüft mit.	She gazes upwards, the moon runs along;
Ihr dunkler Blick ertrinkt in Licht.	Her somber glance drinks in the light.
Die Stimme eines Mannes spricht:	A man's voice speaks:
Das Kind, das Du empfangen hast,	The child that you conceived,
Sei Deiner Seele keine Last,	Let it be no burden to your soul;
o sieh, wie klar das Weltall schimmert!	Oh, look, how clear the universe glitters!
Es ist ein Glanz um Alles her,	There is a radiance about everything;
Du treibst mit mir auf kalten Meer,	You drift along with me on a cold sea,
doch eine eigne Wärme flimmert	Yet a special warmth glimmers
von Dir in mich, von mir in Dich.	From you in me, from me in you.
Die wird das fremde Kind verklären,	It will transfigure the strange child,
Du wirst es mir, von mir gebären;	You will bear it for me, from me;
Du hast den Glanz in mich gebracht,	You have brought the radiance into me,
Du hast mich selbst zum Kind gemacht.	You have made me a child myself.
Er fasst sie um die starken Hüften.	He holds her around her strong hips.
Ihr Atem küsst sich in den Lüften.	Their breaths mingle in the air.
Zwei Menschen gehn durch hohe, helle Nacht.	Two people walk through the high, clear night.[2]

Heuberger's doubts were compounded by the fact that the public did not even receive a copy of the poem, contrary to both custom and Schoenberg's wishes. Indeed, lest the "revolutionary" poem, "suspicious to the police" ("polizeiwidrig," in the words of

[2] Translation slightly modified from Frisch, *The Early Works of Arnold Schoenberg*, 111. This version of the poem prefaces Schoenberg's published score; in the original poem, "Lebensinhalt" reads as "Lebenfrucht" and "Irh Atem küsst sich" as "Ihr Atem mischt sich."

the critic Gustav Schönaich) prejudice the public against the musical work, only the critics received copies of Dehmel's "Verklärte Nacht" at the sextet's premiere.[3] The poem certainly contravenes fin-de-siècle standards of morality: it features a woman whose unfaithfulness goes unpunished (unlike, say, Melisande, who dies in childbirth in Schoenberg's next opus) and a man who assumes a paternal role for another man's child, a situation Heuberger called an "overly-tolerant two-father system."[4] Josef Scheu, writing for the *Arbeiter Zeitung*, suggested, tongue in cheek, that the concert organizers

> shied away from desecrating the concert programme with this chapter taken from the Gospel of free love, and only the critics, who evidently cannot become more corrupt than they already are, were given an exemplar copy of the sinful poem.[5]

"Verklärte Nacht" appeared in Dehmel's collection *Weib und Welt*, published in1896.[6] If in our time Dehmel is a relatively unknown figure, in his day he was a guiding light in the literary world, as Schoenberg himself testified in the notes accompanying the 1950 Columbia recording of *Verklärte Nacht*: "At the end of the nineteenth century, the foremost representatives of the 'Zeitgeist' in poetry were Detlev von Liliencron, Hugo von Hofmannsthal and Richard Dehmel."[7] A member of the intellectual coterie that gave birth to the art and literature magazine *Pan* (which notably included Otto Julius Bierbaum), Rainer Maria Rilke, Frank Wedekind, and Thomas Mann numbered among

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[3] Schönaich's complete review, published in the *Wiener Arbeiter Zeitung* on March 21, 1903, appears in Dorothee Schubel, ed., *Kritischer Bericht* (*Verklärte Nacht*), in *Arnold Schönberg, Sämtliche Werke*, section 6, series B, vol. 22 (Mainz: Schott; Vienna: Universal, 2000), 86.

[4] See Heuberger's review in Bailey, *Programmatic Elements in the Works of Arnold Schoenberg*, 10.

[5] "Man scheute sich offenbar, das züchtige Konzertprogramm durch ein Kapitel aus dem Evangelium der freien Liebe zu entweihen, und bloß den Kritikern, die ja nicht mehr verdorben werden können, wurde von den Saaldienern ein Exemplar des sündhaften Gedichts zugesteckt." Josef Scheu, *Arbeiter Zeitung*, March 27, 1902; in Schubel, ed., *Kritischer Bericht* (*Verklärte Nacht*), 89.

[6] Richard Dehmel, *Weib und Welt* (Berlin: Schuster und Loeffler, 1896). A number of subsequent editions of the collection do not include "Verklärte Nacht," probably because Dehmel included it in his *Zwei Menschen, Roman in Romanzen* of 1903.

[7] Arnold Schoenberg, Programme note for *Verklärte Nacht*, *The Music of Arnold Schoenberg*, vol. 2, The CBC Symphony, dir. Robert Craft, Columbia Records M2S 694, 1950. The programme note also appears in Joseph Auner, *A Schoenberg Reader: Documents of A Life* (New Haven and London: Yale University Press, 2003), 38-40.

his admirers, and Strauss, Zemlinsky, Webern, and Reger, and others set his poetry. Dehmel's poetic trademark was the frankness with which he treated the sexual mores of his time. His work bears traces of Nietzsche's influence, especially in its advocacy of uninhibited instincts and staunch individualism.[8] *Weib und Welt* ensured Dehmel's position at the vanguard of modern lyric poetry and earned him a success mixed with (or perhaps fuelled by) scandal: its free amalgam of religiosity and eroticism, which at times borders on sexual violence, resulted in a trial for blasphemy and immorality.[9] "Verklärte Nacht" expresses important facets of Dehmel's poetics, most importantly a *Weltanschauung* rooted in a "defiantly proclaimed sexuality, which… he transfigure[d] in the white heat of his ecstasy into a kind of religious mysticism."[10] Walter Frisch has underscored the poet's crucial influence on the development of Schoenberg's musical language.[11] Between 1897 and 1899, the composer began no less than eighteen compositions on texts by Dehmel, although some of these remained incomplete. *Verklärte Nacht*, completed in December 1899 (but mostly composed in September of that year) shows the culmination of the skills he acquired during this *Dehmeljahr*, especially his admixture of Wagnerian techniques with the Brahmsian style he had already assimilated, and the integration of his emerging chromatic language with tight

[8] Jethro Bithell, *Modern German Literature, 1880-1950*, 3rd ed. (London: Methuen, 1959), 115. The most comprehensive study of Dehmel's poetry is Horst Fritz's *Literarischer Jugendstil und Expressionismus: Zur Kunsttheorie Dichtung und Wirkung Richard Dehmels* (Stuttgart: J. B. Metzler, 1969). Julius Bab offers the point of view of a near-contemporary in *Richard Dehmel, die Geschichte eine Lebens-Werkes* (Leipzig: Hässel, 1926). For a summary discussion of Dehmel's aesthetics, see Robert Vilain, "Schoenberg and German Poetry," in *Schoenberg and Words: The Modernist Years*, ed. Charlotte M. Cross and Russell A. Berman (New York and London: Garland, 2000), 1-30; and Martina Sichartd, "Zur Bedeutung der Dichtung Richard Dehmels für die Liedkomposition um 1900," in *Neue Musik und Tradition: Festschrift Rudolf Stefan zum 65. Geburtstag*, ed. Josef Kuckertz, Christian M. Schmidt, et al. (Laaber: Laaber Verlag, 1990), 365-388.

[9] See Walter Frisch, *The Early Works of Arnold Schoenberg, 1893-1908* (Berkeley and Los Angeles: University of California Press, 1993), 81. Schoenberg later set one of the poems judged especially offensive by censors, "Schenk mir deinen goldenen Kamm," as his Op. 2, No. 2.

[10] Bithell, *Modern German Literature*, 115.

[11] Frisch, *The Early Works of Arnold Schoenberg*, especially chapters 4 ("The Dehmel Settings of 1899") and 5 ("*Verklärte Nacht*"), 79-139.

motivic work. According to Frisch, the poetry of *Weib und Welt*, which Schoenberg found riveting, directly motivated these stylistic and technical advances.[12]

Dehmel's "sinful poem" and, in particular, its "revolutionary" questioning of the traditional patriarchal family receives suitably revolutionary (and sometimes harmonically "sinful") treatment in Schoenberg's hands, as we shall see through the remainder of this chapter. I begin by situating the sextet's programme against contemporary discourses on the prevailing patriarchal model of the family and fatherhood, suggesting that the poem offers an alternative to this model. I then turn to a formal process that plays out across the work: a highly distinctive harmonic-formal unit recurs at significant junctures, each time increasingly modified. Its transformations, I argue, map the transfiguration of the familial relationships that lie at the core of the programme.

DEHMEL'S "VERKLÄRTE NACHT" AND DISCOURSES ON PATRIARCHY AT THE TURN OF THE CENTURY

Schoenberg himself offered a provocative interpretation of Dehmel's poem in his 1950 programme note. In this text, which associates several passages from the sextet with precise sections of the poem, the composer modifies Dehmel's story. The woman, Schoenberg writes, "had *married* [my emphasis] a man whom she did not love." Even though "[s]he was unhappy and lonely in this marriage [m. 50]," she "forced herself to remain faithful [mm. 75-76], and finally, obeying the maternal instinct, she is now with child from a man she does not love [mm. 105-115]." She accuses herself of a "great sin [138-139]." Not only does Schoenberg recast Dehmel's poem in the context of an extra-marital affair (in Dehmel's poem the woman is apparently unmarried), but he also neatly reverses the traditional poles of matrimonial virtue and sin. In Schoenberg's scenario, the

[12] Ibid., 79.

woman's moral offence does not lie in her conjugal infidelity but rather in her having submitted without love to the prevailing codes of femininity that prescribe marriage, faithfulness to one's husband, and motherhood as the most natural and desirable path for women. While on the one hand Schoenberg's programme may appear to portray the woman as less transgressive than Dehmel's poem (she is pregnant with her husband's child, not with that of a "strange man"), on the other it seems to advocate illegitimate parenthood and the rejection of matrimony. Schoenberg, perhaps hoping to avoid alienating listeners with the provocative tenor of his programme, took care to stress that the work could also be appreciated as "pure" music that allowed one to ignore "the poem which many a person today might call rather repulsive."[13]

The sextet's programme entangles several then-sensitive questions about what constituted a moral sexual union, the potentially oppressive dimensions of marriage, the nature of paternity, and what determined the legitimacy of children. As such, it partakes in larger contemporary debates, involving a host of thinkers from the artistic, scientific, sociological, and political spheres, on the validity of the patriarchal system in general. To begin with, the alternative form of paternity put forth in "Verklärte Nacht" subverts one of the fundamental tenets of European social order, that is, paternity as biological kinship

[13] Schoenberg, Programme note for *Verklärte Nacht*. Schoenberg perhaps based his interpretation of the woman's marital status on his knowledge of Dehmel's personal circumstances at the time he wrote "Verklärte Nacht." The poem was inspired by the poet's relationship with Ida Auerbach (*née* Coblenz), whom he met in 1895. Earlier that year, the young woman had complied with her father's wish that she marry Leopold Auerbach and soon thereafter became pregnant. The marriage was unhappy, and she began an affair with Dehmel (himself at the time married to Paula Oppenheimer); Ida and Dehmel eventually married in 1901. It is impossible to know whether the attitude of the man in the poem in regard to the unborn child was entirely modeled on Dehmel's own, but certain facts suggest that it may have been. In a letter to Ida dating from 1898, he asks that her son Heinz-Lux call him "Uncle" instead of "Herr Richard," and adds that hopefully, the child will soon call him something else: "Später… wird er schon anders sagen. Nit, Mutter Isi?" After Dehmel and Ida Auerbach had married, Heinz-Lux took the name of Auerbach-Dehmel. Dehmel and Ida became something of an iconic couple in the eyes of several artists; Rilke's *Stündenbuch* (1905) would bear the dedication "An Zwei Menschen," after Dehmel's eponymous work inspired by his relationship with Ida. See Richard Dehmel to Ida Auerbach, September 19, 1898, in Richard Dehmel, *Ausgewählte Briefe aus den Jahren 1883 bis 1902* (Berlin: Fischer, 1923), 284; and Albrecht Dümling, "Öffentliche Einsamkeit: Atonalität und Krise der Subjektivität in Schönbergs op. 15," in *Stil oder Gedanke: Zur Schönberg-Rezeption in Amerika und Europa*, ed. Stefan Litwin and Klaus Velten (Saarbrüken: Pfau, 1995), 13.

between a father and his child born within matrimony. In "Verklärte Nacht," legitimate fatherhood ensues neither from marriage nor blood ties, but rather from the love that unites man, woman, and child. This was a sensitive socio-cultural matter. To give an idea of the kinds of anxieties that surrounded the question of biological lineage in the late nineteenth century, we may briefly turn to a work that predates Dehmel's poem by a decade, August Strindberg's play *The Father* (1887). Here, the protagonist, the Captain, is driven to madness by doubts, instilled by his wife who vies for control over their daughter's education, about whether he is in fact his child's biological father. Obsessed by the suspicion that "the mother is closer to the child, as it has been discovered that no one can tell for a certainty who the father of a child is," the Captain agonizes:

> CAPTAIN. Didn't you ever feel ridiculous as a father? I know of nothing so ludicrous as to see a father leading his children by the hand around the streets, or to hear a father talk about his children. "My wife's children," he ought to say. Did you ever feel how false your position was?…
> DOCTOR. No, really, I never was; but, Captain, I believe Goethe says a man must take his children on good faith.
> CAPTAIN. It's risky to take anything on good faith where a woman is concerned.[14]

As literary theorist Ross Shideler puts it, the play revolves around

> a crisis of authority in the family, the overthrow or displacement of the husband/father... The problem is not "Have you betrayed me?" but "Is my child really mine?" Or, perhaps more accurately, "Do I believe the child is mine? Thus, the play... focuses on the father's ability to name himself... and the mother's ability to provide that identity... For the Captain, heredity—or at least the ability to believe in paternity—almost determines morality.[15]

Indeed, heredity means so much for the Captain that he declares "[i]f the child is not mine I have no control over her and don't want to have any."[16] The Captain's

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[14] August Strindberg, *The Father*, in *Plays: The Father, Countess Julie, The Outlaw, The Stronger* , trans. Edith and Warner Oland (Boston: J. W. Luce, 1912), 27 and 39-40.
[15] Ross Shideler, *Questioning the Father: From Darwin to Zola, Ibsen, Strindberg, and Hardy* (Stanford, CA: Stanford University Press, 1999), 106-107.
[16] Strindberg, *The Father*, 46.

attitude is the antithesis of that of the man in "Verklärte Nacht."

The Father and "Verklärte Nacht" were by no means exceptional in thematizing the patriarchal family. As historian Ann Taylor Allen has shown, the critical study of its origins and development had become a topic of heated debate among anthropologists, archeologists, sociologists, and feminists in the second half of the nineteenth century.[17] Allen identifies Johann Jakob Bachofen's *Das Mutterrecht* (1861) as the first work on the history of the family to challenge the belief that patriarchy had always reigned. Bachofen argued that the rise of patriarchy, which he equates with the apex of rational civilization, was the consequence of the historical overthrow of primitive, sensual "mother-rule."[18] Even though by the turn of the century several of his theses had been proven scientifically untenable, Bachofen's main narrative remained highly influential. The Finnish sociologist Edvard Westermarck (whose ideas were widely disseminated in the German-speaking world), for example, recast it along Darwinian lines in order to posit patriarchy as an evolutionary apex.[19] But others also used Bachofen's work as a foil for pointed attacks on the status quo. Both the socialist August Bebel (1840-1913) and Friedrich Engels (1820-1895), who co-authored the *Communist Manifesto* with Marx, cast the evolution of family structures along socio-economic lines and conceived of patriarchy's principal institution, monogamous marriage, as a smoke-screen that concealed mercantile motivations. In his work *On the Origin of the Family, Private Property and the State* (1884), Engels lumped together the rise of monogamy, patriarchy, and capitalism, asserting that the monogamous family "is based on the supremacy of the man, the express

[17] See Ann Taylor Allen, "Patriarchy and its Discontents: The Debate on the Origins of the Family in the German-Speaking World, 1860-1930," in *Germany at the Fin de Siècle: Culture, Politics, and Ideas*, ed. Suzanne Marchand and David Lindenfeld (Baton Rouge: Louisiana State University Press, 2004), 81-101.
[18] Johann Jakob Bachofen, *Das Mutterrecht: eine Untersuchung über die Gynaikokratie der alten Welt nach ihrer religiösen und rechtlichen Natur*, reprinted in *Johann Jakob Bachofens Gesammelte Werke*, 8 vols., ed. Karl Meuli (Basel: Schwabe, 1943-48), vols. 2 and 3. For an English translation, see *Myth, Religion, and Mother-Right: Selected Writings of J. J. Bachofen*, trans. Ralph Manheim (Princeton: Princeton University Press, 1967).
[19] Allen, "Patriarchy and its Discontents," 86.

purpose being to produce children of undisputed paternity; such paternity is demanded because these children are later to come into their father's property as his natural heirs."[20] In his *Woman under Socialism* (1879), Bebel opined that

> monogamous marriage, which flows from the bourgeois system of production and prosperity, is one of the most important cornerstones of bourgeois or capitalist society; whether, however, such marriage is in accord with natural wants and with a healthy development of human society, is another question.[21]

The consequences are particularly dire for women, Bebel and Engels both emphasize, since they remain in a state of social, economical, and sexual subordination. Yet society generally considered marriage the best course of action for a woman, as it warded off the threat of spinsterhood and its attendant poverty and social stigma. The situation that Schoenberg describes in his programme note reflects this: the woman entered into a loveless marriage in order to escape a life devoid of meaning (the poem tells us that she "no longer believed in good fortune" and "had a great longing for a full life"). Moreover, matrimony was of course the only socially accepted option for a woman longing for "a mother's happiness and duty"—or, at that, for any kind of sexual relationship.

Yet Dehmel's poem practically sanctifies the affair between the woman and her lover, echoing a growing number of voices that, in parallel with the theoretical critiques of Engels and Bebel, expressed dissatisfaction with the sexual politics of marriage. The Swedish feminist Ellen Key (1849-1926), an influential figure in the German-speaking world, as well as Auguste Fickerte (1855-1910), a founding member and leading figure of the General Austrian Women's Association (*Allgemeiner Österreichischen Frauenverein*), insisted that only love between two partners, and not marital status, could

[20] Friedrich Engels, *The Origin of the Family, Private Property and the State* (New York: International Publishers, 1972), 125.
[21] August Bebel, *Woman under Socialism*, trans. Daniel De Leon (New York: New York Labors News Press, 1904), 85.

make a sexual union moral.[22] These activists moreover believed that children born out of wedlock should stop facing social opprobrium. Accordingly, members of the League for the Protection of Mothers (*Bund für Mütterschutz*) lobbied for increased rights and state support for unmarried mothers and their children, even promoting the right for single women to embrace motherhood as a choice.[23]

On the other hand, the concept of paternity, its nature and implications, received relatively little attention in feminist circles. A notable exception was Rosa Mayreder (1858-1938), a leading Viennese feminist and author of the important texts *A Survey of the Woman Problem* (*Zur Kritik der Weiblichkeit*, 1905) and *Gender and Culture* (*Geschlecht und Kultur*, 1923).[24] In two related essays, *Das Problem der Väterlichkeit* (1915) and an elaboration of this text published as *Die Krise der Väterlichkeit* (1923), Mayreder offered a sensitive account of the quandary in which fatherhood stood, acknowledging that while nobody contested the importance of motherhood in a woman's life, "the correlate in the male psyche, the feeling and images that connect fathers with their children, is, in contrast, kept far in the background."[25] For centuries, Mayreder wrote, to be a *pater familias* had meant that "however powerless he might be in other social positions," a man "reigned all-powerful in his small kingdom consisting of his wife and children; in this area, his individual will prevailed absolutely."[26] The great majority,

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[22] Harriet Anderson, *Utopian Feminism: Women's Movements in* fin-de-siècle *Vienna* (New Haven and London: Yale University Press, 1992), 69.

[23] Allen, "Patriarchy and its Discontents," 90-91. One can hardly help noticing how Dehmel's poem, written over a century ago, tackles problems which, in our age of evolving notions of family and single parenting, rings a surprisingly contemporary note.

[24] Rosa Mayreder, *Zur Kritik der Weiblichkeit* (Jena: E. Diedrichs, 1905), translated as *A Survey of the Woman Problem* by Herman Scheffauer (London: W. Heinemann, 1913); and *Geschlecht und Kultur* (Jena: E. Diedrichs, 1923), translated as *Gender and Culture* by Pamela S. Saur (Riverside, CA: Ariadne Press, 2009). Mayreder was a founding member of the General Austrian Women's Association and editor, with Fickerte and Marie Lang, of *Dokumente der Frauen*, the leading feminist publication at the turn of the century. Incidentally, she also composed the libretto for Hugo Wolf's opera *Der Corregidor*.

[25] Mayreder, "The Crisis of Fatherhood," in *Gender and Culture*, 29. See also "Das Problem der Väterlichkeit," in *Krise der Väterlichkeit*, essays selected by Käthe Braun-Prager (Graz: Stiasny Verlag, 1963). For a critical discussion of Mayreder's feminist positions, see Anderson, *Utopian Feminism*, 164-180; and especially 173-175 for Mayreder's views on fatherhood.

[26] Mayreder,"The Crisis of Fatherhood," 49.

she emphasized, still conceived of fatherhood solely in terms of social status, that is, as grounded in relationships of ownership and authority. Nevertheless, the imperatives of modern society—the increasing participation of women in the economy, their claims to more autonomy in the public and the private spheres—undermined the traditional role of father as bread-winner and head of the family. Mayreder believed that fathers should reconnect with a primordial but now lost paternal instinct that stemmed from blood ties and a sense of shared identity with the child. This instinct, adapted to modern times, could supplant the traditional equation of fatherhood with power relationships, eliminating the need for oppressive patriarchal institutions and customs and transforming the dynamics of the couple. Mayreder's vision of fatherhood thus voids the obsessive need to ensure the legitimacy of one's children and emphasizes the affective bond between man and woman:

> If the man is no longer to be master and owner of woman and children but instead their helper and companion on the basis of relationship that creates a loving bond between those who are weaker and in need of protection and those who are stronger and able to protect them, then fatherhood in the consciousness of the individual will mirror what it is at its deepest level.[27]

The idea of fatherhood put forth in Dehmel's "Verklärte Nacht" and in Schoenberg's interpretation of the poem links up in important respects with Mayreder's formulations. It too stems from a sexual morality that is independent from the politics of marriage, and entirely renounces notions of ownership and authority.

It is difficult to ascertain what Schoenberg's views on patriarchy might have been in 1899. Schoenberg may have found Dehmel's poem attractive for a number of reasons. The composer had not yet met the *fortschrittlich* (progressive) women whose acquaintance he would gain through Karl Kraus and Alma Mahler, among others, or through his teaching at the Schwarzwald school, the director of which, Eugenie

[27] Ibid., 57.

Schwarzwald, was a key figure in promoting higher education for girls.[28] But Schoenberg's sympathy for the workers' cause around the time he wrote his sextet may have raised his awareness of social-democratic agendas, which advocated liberal views on the matter of patriarchal institutions. Schoenberg conducted a number of workers' choirs at the end of the century; in 1896 he began to lead the men's choir *Freisinn* in Mödling, and, with the help of Josef Scheu (an active figure in the development of these ensembles), he also obtained the direction of a metal workers' choir in Stockerau.[29] The poetry of Dehmel would have accorded with any socialist leanings Schoenberg might have had; the plight of the working class as well as proletarian marriage were important themes in the poet's output. Finally, Karl Kraus began to publish his journal *Die Fackel* in 1899, which Schoenberg would devotedly follow. Although Kraus ridiculed several claims and demands made by feminist groups, he nevertheless lambasted the socio-sexual codes of behaviour of his contemporaries.

TRANSFIGURED CADENTIAL PROGRESSIONS IN SCHOENBERG'S SEXTET

Perhaps because Schoenberg eventually provided his own programme note for *Verklärte Nacht*, few efforts have been made to further elucidate the relationships between the work's programme and its musical processes. Scholars who have broached the topic generally have not pursued this exercise in conjunction with detailed musical analysis, but rather have correlated large spans of music with the characters' various emotional states or the images of nature present in the poem. Ethan Haimo, for example, writes that

[28] Schoenberg's seminar in composition (1917), as well the first performance of the *Verein für musikalische Privataufführungen* (founded in 1918), would also be held at the Schwarzwald school. See Elizabeth L. Keathley, "Marie Pappenheim and 'die Frauenfrage' in Schönberg's Viennese Circle," *Journal of the Arnold Schönberg Center* 2 (2000): 212-227.
[29] Malcolm MacDonald, *Schoenberg* (London: Dent, 2008), 37.

> The islands of diatonic purity and clear tonal definition are the points which reflect the couple's love for one another or the happiness to which they aspire. These stable islands are threatened by harmonically unstable passages which depict the problems in the couple's relationship… and threaten to destroy the stability represented by the diatonicism.[30]

A great deal of criticism has focused on the sextet's tonal plan and especially the all-too vexing question of its form. Since its premiere, there has been no consensus about the work's formal design. In 1912, Webern called the sextet a "free fantasy." Almost a decade later, Egon Wellesz partitioned the work into five parts that correspond with the poem's five sections:

> The structure of *Verklärte Nacht*, in accordance with the poem, is made up of five sections, in which the first, third, and fifth are of more epic nature and so portray the deep feelings of the people wandering about in the cold moonlit night. The second contains the passionate plaint of the woman, the fourth the sustained answer of the man, which shows much depth and warmth of understanding.[31]

Carl Dahlhaus also proposes a five-part, rondo-like form, specifying that this formal scheme remains subordinate to intricate thematic-motivic treatment according to the principle of developing variation.[32] Other scholars have argued instead for a sonata design. Wilhelm Pfannkuch has analyzed the sextet as a sonata form with an embedded adagio movement, while Richard Swift has likened the materials associated with the woman's confession and the man's reply (Wellesz's and Dahlhaus's sections 2 and 4, respectively) to a pair of sonata forms framed by an introduction and a coda.[33] (For an overview of these analyses, along with corresponding passages from Schoenberg's

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[30] Ethan Haimo, *Schoenberg's Transformation of Musical Language* (Cambridge and New York: Cambridge University Press, 2006), 37.
[31] Anton Webern, "Schönbergs Musik," in *Arnold Schoenberg* (Munich: Piper, 1912), 23; Egon Wellesz, *Arnold Schönberg*, trans. W. H. Kerridge (New York: Da Capo Press, 1969), 67. (Original edition: Leipzig, 1921.)
[32] Carl Dahlhaus, "Schoenberg and Programme Music," in *Schoenberg and the New Music: Essays*, trans. Derrick Puffett and Alfred Clayton (Cambridge and New York: Cambridge University Press, 1987), 96-97.
[33] Wilhelm Pfannkuch, "Zu Thematik und Form in Schönbergs Streichsextett," in *Festschrift Friedrich Blume: Zum 70. Geburtstag*, ed. Anna Amalie Abert and Wilhelm Pfannkuch (Kassel: Bärenreiter, 1963), 258-271; and Richard Swift, "I/XII/99: Tonal Relations in Schoenberg's *Verklärte Nacht*," *19th-Century Music* 1/1 (1977): 3-14.

programme note, see **Table 2.1, sections a to d**.[34]) Walter Frisch has pointed out the limitations of such *Formenlehre* approaches. Without denying certain resemblances to sonata form, he believes that the lack of tonal polarity in the work and the skewed formal proportions that such analyses imply render the sonata hypothesis of limited value (in Swift's reading, for example, the transition section of first sonata [mm. 63-104] lasts longer than either the first or second groups [mm. 29-62 and 105-132]). Frisch concentrates instead on dense motivic and thematic transformations and large-scale harmonic strategies, some of which we will touch on later in this chapter.[35]

I share Frisch's conviction that questions of form in *Verklärte Nacht* are better addressed with approaches that deal with dynamic process rather than tectonic layout. My own contribution to this issue revolves around what perhaps constitutes the work's most characteristic harmonic progression, the dominant prolongation in measures 41-45 that contains the infamous "ninth chord in fourth inversion"—the very chord which, according to a sardonic Schoenberg, discouraged the jury of the *Wiener Tonskünstlerverein* from accepting his sextet:

> In my sextet, *Verklärte Nacht*… I wrote the inversion of a ninth chord… without then knowing theoretically what I was doing—I was merely following my ear… What's worse, I see now that it is none other than that particular inversion which the theorists condemned most resolutely of all… Only now do I understand the objection, at the time beyond my comprehension, of that concert society which refused to perform my sextet on account of this chord (its refusal was actually so explained). Naturally: inversions of ninth chords just don't exist; hence no performance, either, for how can one perform something that does not exist.[36]

[34] Since Pfannkuch does not provide measure numbers for his analysis, those appearing in the table are given by Frisch in *The Early Works of Arnold Schoenberg*, 113-114.
[35] See Frisch, *The Early Works of Arnold Schoenberg*, 109-139.
[36] See Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (Berkeley and Los Angeles: University of California Press, 1978), 346. See also Schoenberg's "Criteria for the Evaluation of Music," in *Style and* 131.

Table 2.1 ***Verklärte Nacht,*** **part 1, mm. 1-228**

a) WELLESZ ***5-part form***	**Strophe 1** 1-28	**Strophe 2** "the passionate plaint of the woman... full of remorse" 29-187				**Strophe 3** 188-228
b) SWIFT ***Pair of sonata forms***	**Introduction** 1-28	**Sonata form 1** *Exposition* 1st group D-, B♭- 29-49; 50-62	Trans. 63-104	2nd group E+ 105-132	*Development* 132-180	*Short recap.* D- 181-187	**Transition** 188-228
c) PFANNKUCH ***Sonata form w/ inserted Adagio***	**Sonata Form** *Exposition* 2 main themes 1-49	Transition 50-104		2nd theme 105-131	*Development* 132-180	*Reprise* 181-187	**Transition** 188-228
d) SCHOENBERG's ***programmatic annotations***	"Promenading in a park" 1-4 "in a clear, cold moonlight night" 13-14, 22-23	"the woman confesses a tragedy" 34-37 "She had married a man she did not love. She was unhappy and lonely" 50	"but forced herself to remain faithful" 75-76	"she is now with child from a man she does not love."	"A climactic ascension… expresses her self-accusation of her great sin." 138-139		"In desperation she now walks beside the man with whom she has fallen in love, fearing his verdict will destroy her." 202-205
e) ECP	ECP 1 mm. 29-45					ECP 2 179-187	

Table 2.1 (continued) ***Verklärte Nacht*, part 2, mm. 229-418**

a) WELLESZ ***5-part form***	**Strophe 4** "the sustained answer of the man, which shows much depth and warmth of understanding" 229-390							**Strophe 5** 391-418
b) SWIFT ***Pair of sonata forms***	**Sonata Form 2** *Exposition* 1st group D+ 229-244	Transition 244-248	2nd group F♯+, D♭+ 249-294	*Development* F+, D♭+ 294-340	*Recapitulation* 1st group D+ 341-362	Transition 363-369	2nd group D+ 370-390	Coda 391-418
c) PFANNKUCH ***Sonata form w/ inserted Adagio***	**Adagio mvt.** 229-369						**Reprise/Coda** 370-418	
d) SCHOENBERG's ***programmatic annotations***	"The voice of a man speaks, a man whose generosity is as sublime as his love." 229-235		"… the mood of a man whose love, in harmony with the splendor and radiance of nature, is capable of ignoring the tragic situation." 259-260 "[A] melody, expressing… the warmth of love…" 279-81	"…repetitions and elaborations of other themes… [lead] to another new theme, which corresponds to the man's dignified resolution: this warmth 'will transfigure your child' so as to become 'my own.'" 320-322			"A long coda section…themes of the preceding parts, all of them modified anew, so as to glorify the miracles of nature that have changed that night of tragedy into a transfigured night." (no example given)	
e) ECP	(Chorale theme 229-235)			(Transfigu-ration themes 1 and 2, 320-24, 332-38) Bass motion recalls ECP	Transfig. th. 1, Chorale theme, 338-344 ECP 3	ECP 4 358-370		Transfig. th. 1, ECP 1 390-401

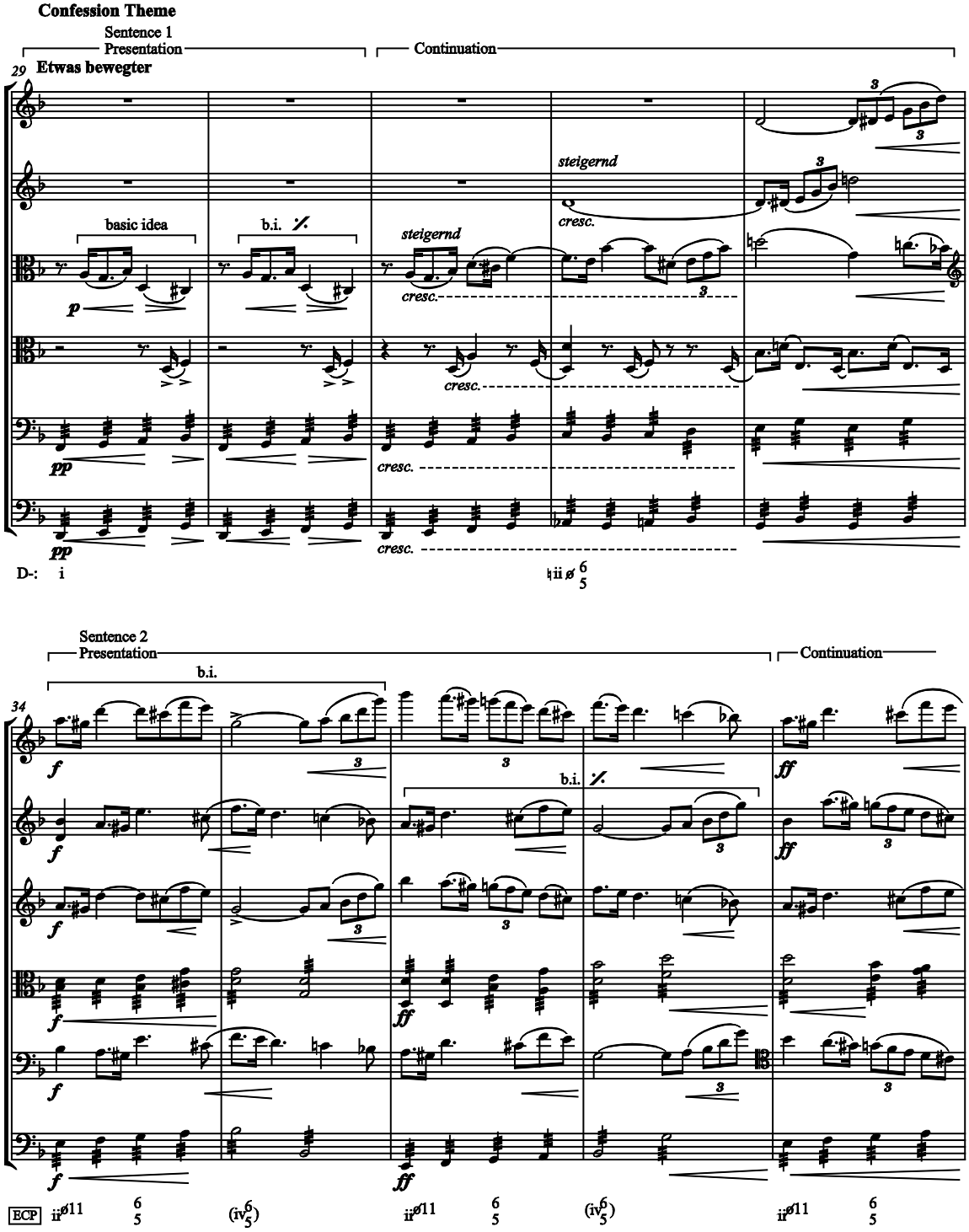
Let us begin by examining the context in which this distinctive progression sounds for the first time. After an introductory *sehr langsam*, which Schoenberg relates to the couple's tense nocturnal walk, an agitated viola tune at measure 29 launches the section that, in Wellesz's five-part plan, represents the woman's avowal of guilt. As **Example 2.1** shows, measures 29-45 comprise two short themes that both exhibit the melodic characteristics of a sentential design: a presentation formed by a basic idea and its repetition, and a continuation featuring an intensification of surface activity as well as motivic fragmentation.[37] I will call these thematic units Sentences 1 and 2. Sentence 2 is supported by a lengthy pre-dominant prolongation, followed by an attempt at a cadence with the arrival on the dominant at measure 41. Sentence 2 can therefore be said to articulate an expanded cadential progression (hereafter ECP). A formal function defined by William Caplin in his study of classical sonata form, an ECP occurs when any or all of the constituents within a progression leading to a cadence are expanded, for example, through prolongation, metrical expansion, or a slowing down of harmonic rhythm.[38] (It is noteworthy that Caplin's theory of formal functions derives from the teachings of Schoenberg and of his student Erwin Ratz.) An ECP typically supports the continuation phrase of a sentence, thus back-shifting the cadential function at the phrase level. Here, however, Schoenberg uses this formal device to confer a broader harmonic sweep upon the whole of Sentence 2 and to build momentum toward the emphatic cadential dominant of measure 41.[39] According to Schoenberg, the music of Sentence 2 represents "the

[37] As Frisch has pointed out, thematic units tend to be rather brief in the sextet. *The Early Works of Arnold Schoenberg*, 118.

[38] See William E. Caplin, "The 'Expanded Cadential Progression': A Category for the Analysis of Classical Form," *Journal of Musicological Research* 7/2-3 (1987): 215-257; "Harmonic Variants of the *Expanded Cadential Progression*," in *A Composition as Problem II: Proceedings of the Second International Estonian Music Theory Conference*, ed. Mart Humal (Tallinn: Estonian Academy of Music, 2000), 49–71; and *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford and New York: Oxford University Press, 1998).

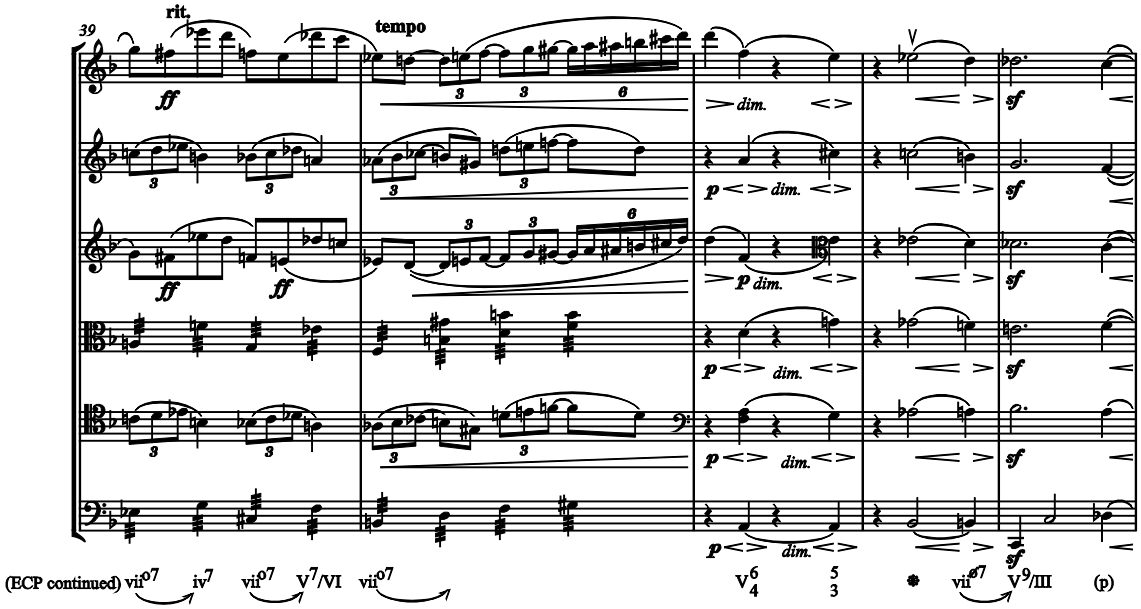
[39] One might argue that, from a strictly harmonic point of view, the ECP actually begins with Sentence 1 in measure 28 and thus expresses a complete harmonic progression with tonic, pre-dominant, and dominant functions. Nevertheless, the clear change in melodic material and a sharp registral rise at the onset of

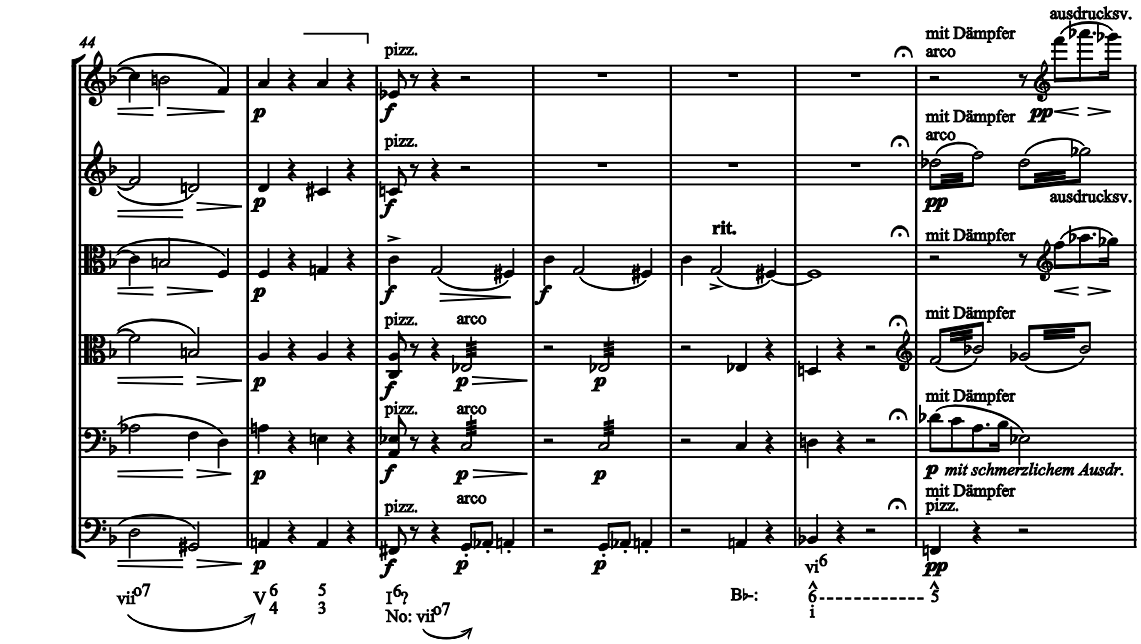
Example 2.1 Confession theme and ECP 1 (mm. 29-50)



Sentence 2 prevents me from hearing a continuous cadential progression sustaining both sentences. Rather, Sentences 1 and 2 may be understood to form a larger-scale hybrid theme, with Sentence 1 functioning as an antecedent and Sentence 2 as a continuation supported by an ECP.

Example 2.1 (continued)





woman[’s] confess[ion of] a tragedy to the man in a dramatic outburst.”[40] I will refer to the entire passage spanning measures 29 to 46 as the *Confession theme*; the appearances of the ECP within the Confession theme, as well as later in the sextet, are summarized in **Table 2.1e**.

The dominant prolongation upon which we shall focus sounds at the end of the Confession theme, at bars 41-45. It is a striking musical moment, marked by abrupt rhythmic, textural, and motivic liquidation, as well as a failed cadence. Indeed, neither of the cadential dominants at bars 41 and 45 resolve to the anticipated tonics: rather, fluid, dissonant chords redirect the harmony into ambiguous territory. The most distinctive of these harmonies—the chord that Schoenberg claimed led to the work’s rejection by the *Wiener Tonskünstlerverein*—immediately follows the dominant of measure 41: an A-flat ninth chord in fourth inversion (that is, over a B-flat bass), marked by an asterisk at measure 42 in Example 2.1. This idiosyncratic sonority has elicited a good deal of analytical attention. Peter Schubert, for example, has discussed it in light of Schoenberg’s prediction, in his *Theory of Harmony*, that “a new epoch of polyphonic style” would materialize. Here, as was the case in past times, “harmonies will be a product of the voice leading: justified solely by the melodic lines!”[41] Accordingly, Schubert demonstrates how the ninth chord arises from the convergence of five chromatic lines in contrary motion. David Lewin pursues a different angle in an article entirely devoted to the ninth chord, setting out to delineate its numerous potential harmonic functions and implications.[42] Lewin’s masterful demonstration is too rich to be properly

[40] Schoenberg, Programme note for *Verklärte Nacht*, Example 4.
[41] Peter Schubert, “‘A New Epoch of Polyphonic Style’: Schoenberg on Chords and Lines,” *Music Analysis* 12/3 (1993): 299, quoting Schoenberg, *Theory of Harmony*, 389.
[42] David Lewin, “On the ‘Ninth-Chord in Fourth Inversion from *Verklärte Nacht*,” *Journal of the Arnold Schoenberg Institute* 10/1 (1987): 45-64. Ethan Haimo has suggested that at the time Schoenberg wrote his sextet, he appeared to have been especially interested in exploring inverted ninth sonorities. Haimo points to other inverted ninth chords in the work (mm. 91, 104, 110, and 341). None of these chords, however, shares the leitmotivic saliency of the ninth chord of measure 41. See Haimo, *Schoenberg’s Transformation of Musical Language*, 27-30.

summarized here. However, we may note at some length the two main derivations he proposes since their larger-scale implications will bear on our hermeneutic interpretation. A rhythmic reduction of the dominant prolongation that encloses the ninth chord appears in **Figure 2.1**. **Figure 2.2** shows the first of Lewin's derivations for the chord by detailing its affinities with the German sixth (necessitating the enharmonic respelling of Schoenberg's A-flat as G-sharp). In **Figure 2.2a**, chromatic passing tones ornament the upper voices of a hypothetical augmented-sixth chord above the bass B-flat. In reality, however, when the upper notes of the German sixth materialize (**Figure 2.2b**), the bass B-flat simultaneously moves up to B-natural, so that an actual German sixth never sounds. The reader will notice that this derivation leaves out the ninth chord's third (the pitch C). Lewin's second derivation includes C (**Figure 2.3**) and omits the pitch A-flat instead. Here, Lewin demonstrates how we may conceive of the ninth chord as a deceptive substitute, that is, as a submediant, the upper notes of which are chromatically delayed (**Figure 2.3a**). Again, when the chromatic passing tones resolve, the bass B-flat has already moved up to B-natural (**Figure 2.3b**).

Each of these theoretical accounts of the ninth chord, suggests Lewin, carries different harmonic implications, which, in the immediate context of measures 41-50, Schoenberg actualizes one after the other (as may be seen in Example 2.1 above). On the one hand, the German sixth hypothetically embedded in the ninth chord motivates the return to the dominant harmony of measure 45 (after further prolongation by its half-diminished seventh in measure 44). On the other hand, the theoretical submediant-substitute aspect of the ninth chord implies a tendency to deflect the progression *away* from cadences in d-minor, possibly to propel the music towards different tonal areas. This is exactly what happens in measures 46ff, as the second dominant of the progression (m. 45) leads into a diminished seventh chord (<F♯-A-C-E♭>, m. 46). The F-sharp and

Figure 2.1 Motion to and from the ninth chord, rhythmic reduction (mm. 41-45)

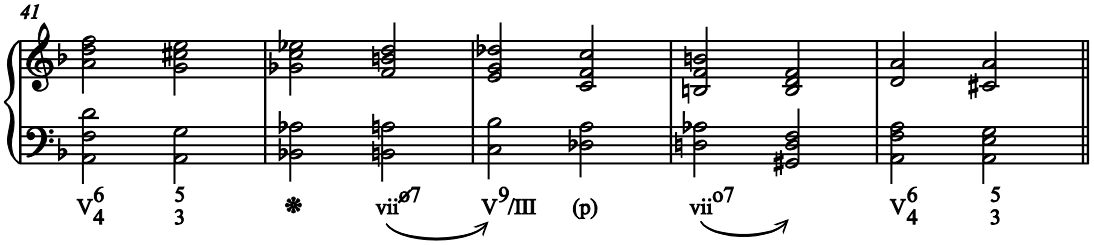


Figure 2.2 Hypothetical derivation for the ninth chord: the German sixth (after Lewin)

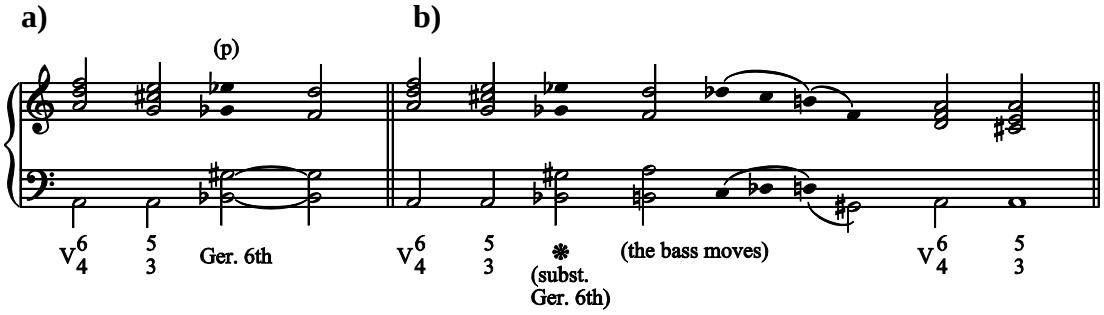
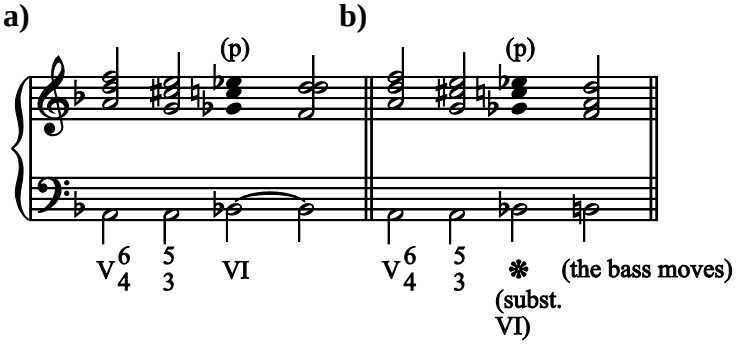


Figure 2.3 Hypothetical derivation for the ninth chord: the submediant (after Lewin)



the A suggest that the chord might be heard as a chromatic tonic substitute. More interesting in light of what follows, as Lewin remarks, the diminished-seventh chord is also the secondary dominant of VI, itself one possible function of the ninth chord and the next main tonal area. Indeed, the F-sharp of measure 46 is soon reinterpreted as the sixth

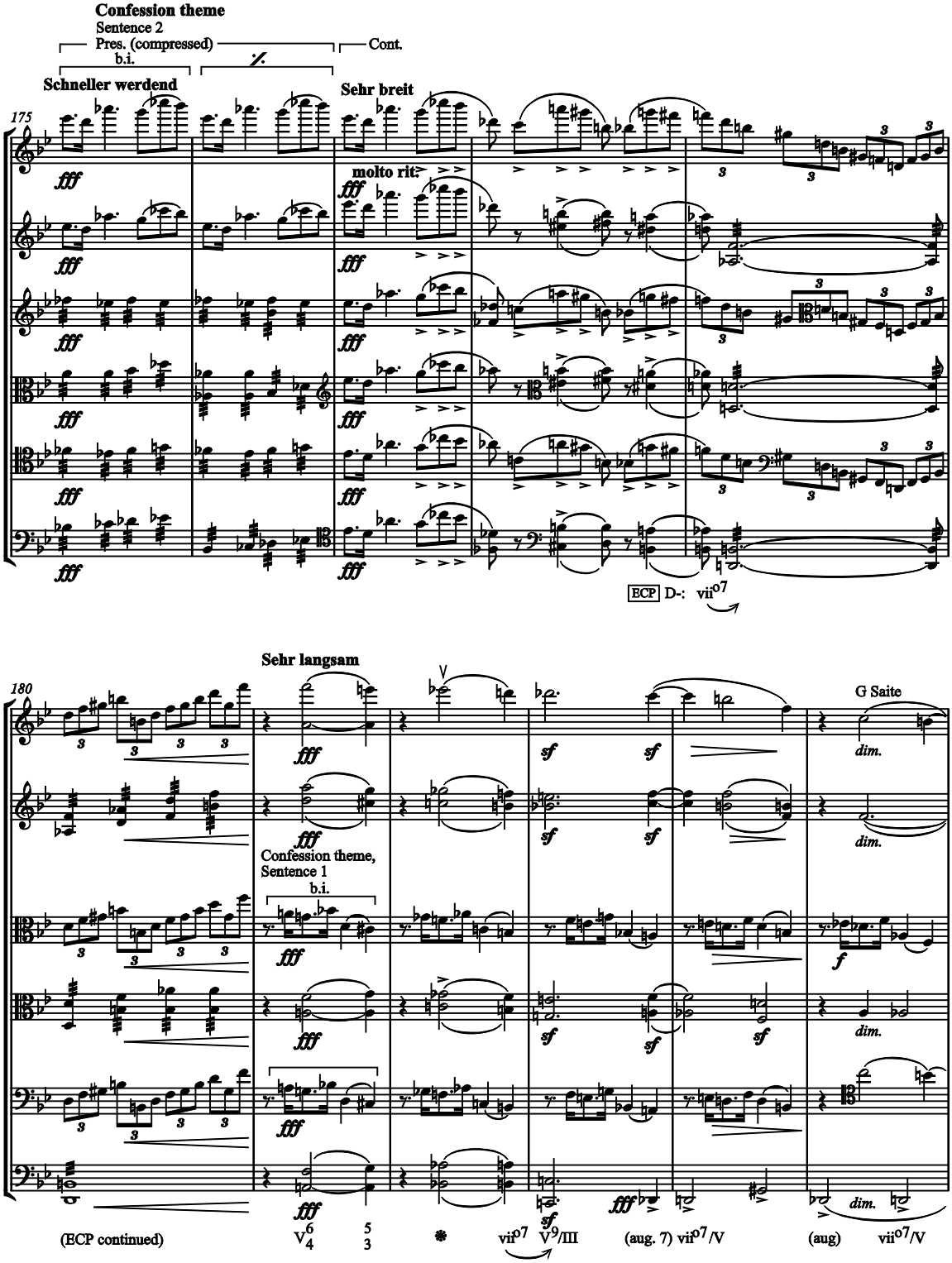
degree of the B-flat minor, the tonality of the Theme of the woman's unhappy marriage, according to Schoenberg's programme note.[43]

Lewin summarizes thus the programmatic resonances of the ninth chord's contradictory harmonic tendencies: "The poetic effect is masterful, reflecting for me the ambivalent feelings of the woman in the poem: she feels the urge to *avoid* revealing her secret; at the same time, she feels that she must *force* the matter to a head."[44] Lewin does not, however, consider the modified recurrences of the ninth chord and the ECP later in the work. Yet pursuing this path proves fruitful: Schoenberg's reconfigurations of this prolongation factor significantly in the work's unfolding drama of transfiguration.

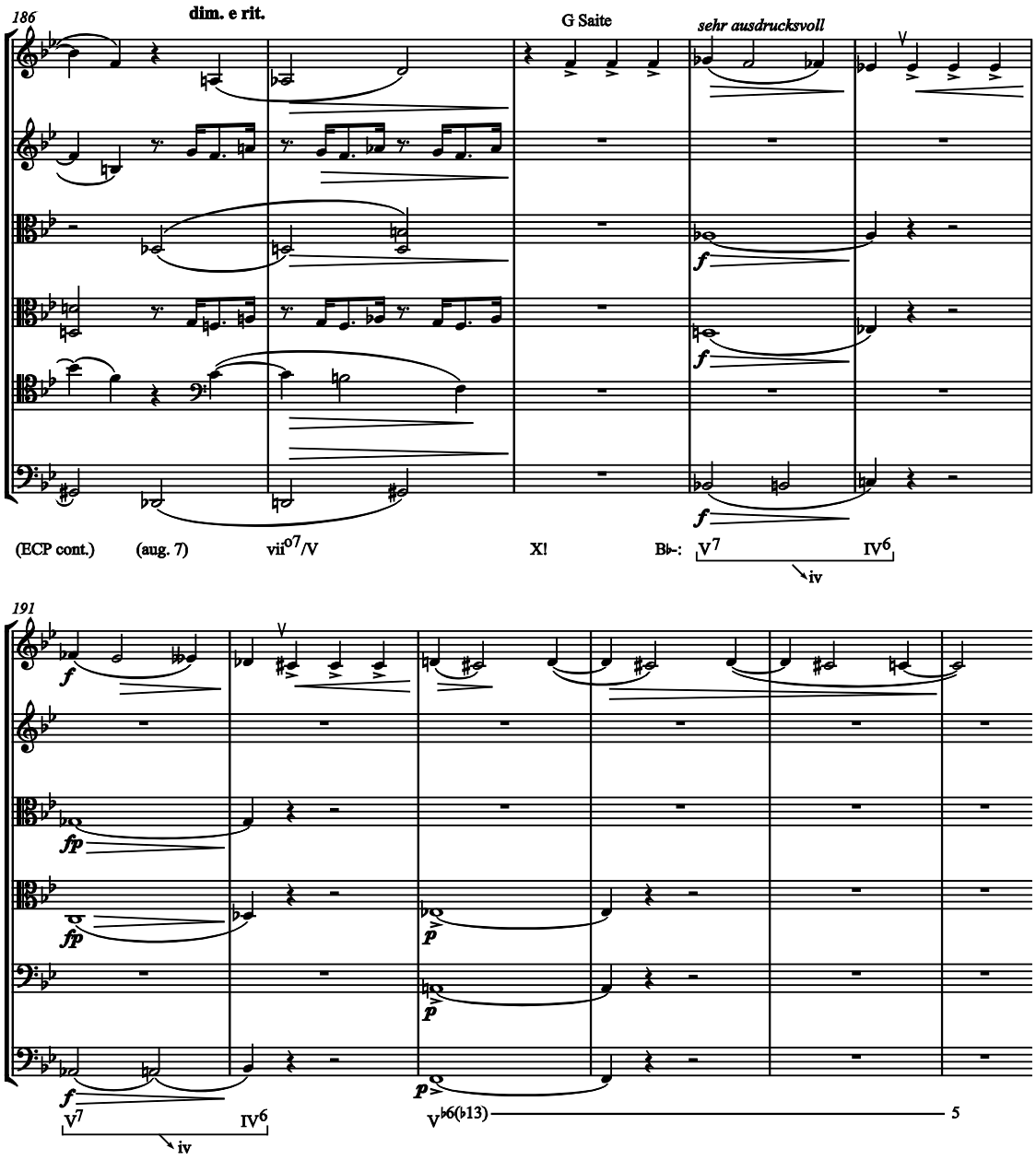
The expanded cadential progression (ECP 2) next appears at measure 179, the conclusion of the section associated with the woman (**Example 2.2**). This ECP sounds in truncated form: Sentence 1 of the Confession theme is entirely omitted while the presentation of Sentence 2, emerging out of a highly unstable harmonic context, expresses a succession of functionally ambiguous chords. Only at measure 179 does the applied diminished seventh of V direct the harmony towards cadential articulation. At measure 181, therefore, the triple forte, *sehr langsam* dominant takes us back to the tortuous "harmonic tunnel" of measure 41: the same ninth chord, voiced in a higher register, the same creeping chromatic lines, the same cryptic harmonic progression. But there are a couple of twists. First, in an instance of thematic telescoping, Schoenberg recalls the main melodic idea of Sentence 1, integrating it into the dominant prolongation of Sentence 2. (Notice how the quarter notes of each dotted motive in the first viola sound a <D-C♯-B-B♭-A> chromatic line in bars 181-183, doubling the second violin part.) Second, the end and outcome of this ECP differ dramatically from the progression's initial occurrence. After the cadential six-four of measure 181, we expect

[43] Schoenberg, Programme note for *Verklärte Nacht*, Example 5.
[44] Lewin, "On the 'Ninth-Chord in Fourth Inversion,'"57.

Example 2.2 Return of the Confession theme, ECP 2, and transition (mm. 175-196)



Example 2.2 (continued)



the dominant to sound again at measure 185, replicating the dominant prolongation of measures 41-45. But if, following Lewin, we interpret the initial ECP's dominant of bar 45 as the expression of the woman's reluctance to confess, a hypothetical dominant at bar 185 would lack such motivation since the woman has already divulged her secret. And

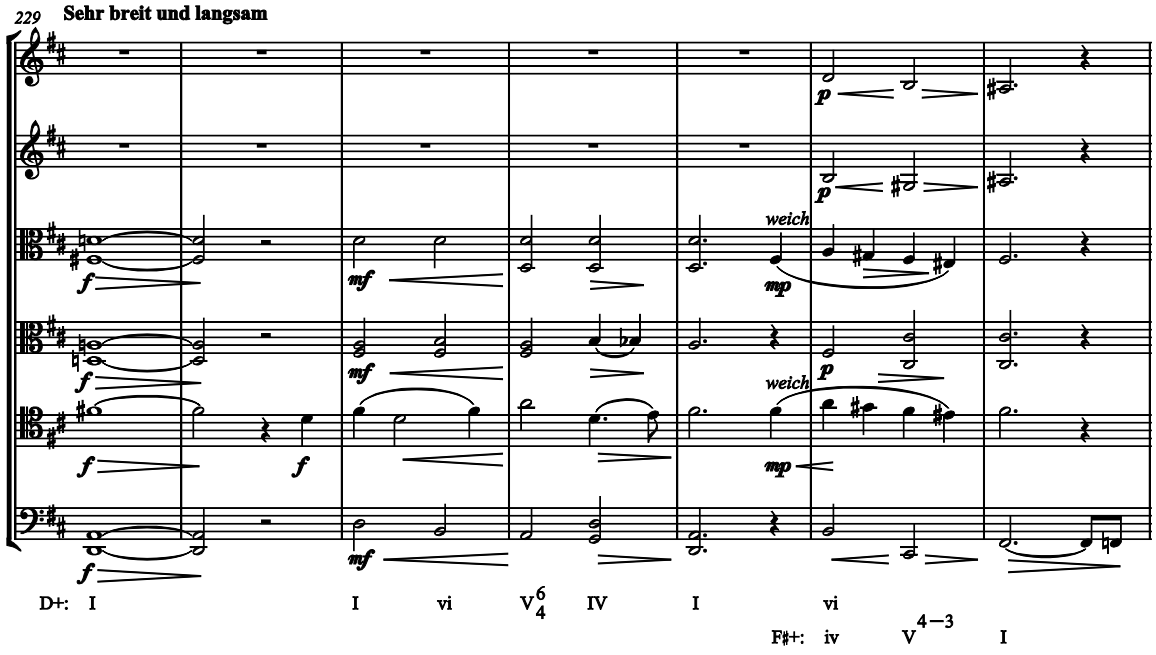
indeed, Schoenberg dispenses with the chord altogether. In its place, he seizes upon the two harmonies that immediately preceded it in the initial ECP, a passing augmented sonority on D-flat and the applied diminished-seventh chord of V, and reiterates them between measures 185 and 187. The absence of cadential articulation in this passage is nowhere more audible than in the beat of dead silence in measure 187 into which the ECP disintegrates—an eloquent way to signal the end of the woman's confession and to generate suspense: how will the man answer? Schoenberg then lunges directly into B-flat minor, and the $\flat\hat{6}$-$\hat{5}$ motion which articulated the modulation to vi in measures 46-50 is compressed into a neighbour figure decorating the recitative-like melody of measures 188-200. This passage leads into one of the "more epic" (in Wellesz's words) sections of the work, where the implacable, hammering chords of measures 202-211 represent the woman's walking "in desperation… beside the man with whom she has fallen in love, fearing his verdict will destroy her."[45]

In many respects, the arrival of the radiant D-major tonic at measure 229 marks a turning point in the work. It is the beginning of Swift's second sonata form and of Pfannkuch's nested adagio movement. Even Frisch, generally reluctant to pinpoint *Formenlehre* divisions, partitions the work into two sections at this juncture. This is also a pivotal moment from the point of view of dramatic evolution. According to Schoenberg, the theme that opens the second part of the sextet (mm. 229-235, **Example 2.3**) represents the lover's magnanimous answer to the woman's confession: "The voice of a man speaks, a man whose generosity is as sublime as his love."[46] This warm and broad, anthem-like theme clearly resembles a chorale melody with its homophonic texture, short phrases demarcated by cadences similar to fermatas, and plagal cadence in

[45] See Example 9 in Schoenberg's programme note for *Verklärte Nacht*. Haimo calls this passage the "walking theme" in *Schoenberg's Transformation of Musical Language*, 39.
[46] Schoenberg, Programme note for *Verklärte Nacht*, Example 10. Schoenberg puts this excerpt in quotation marks, which seems to indicate that he is quoting someone else. I have not been able to locate the original source.

measures 232-233, such that the man's response takes on a quasi-divine glow (I will subsequently refer to this theme as the *Chorale theme*).[47] The man's answer dramatically reorients the direction of the work's narrative, and the future occurrences of the expanded cadential progression will bear the marks of this reorientation.

Example 2.3 Chorale theme (mm. 229-235)

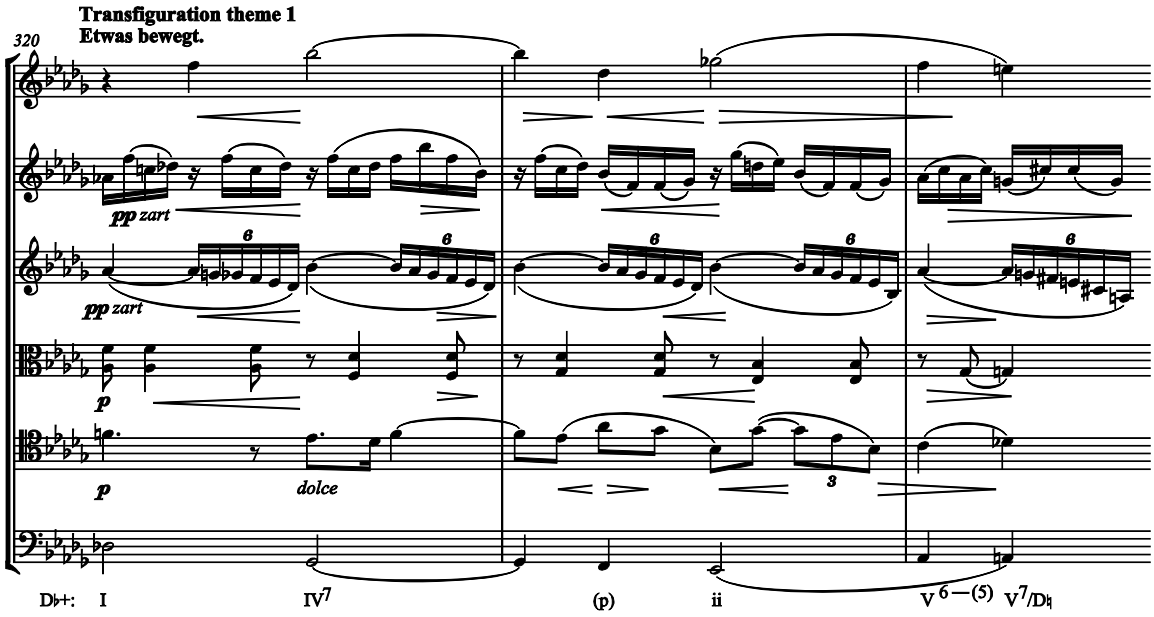


But before I return to the ECP, let us consider another theme (actually, a pair of short themes) that will prove of structural and programmatic consequence for my analysis. Several pages of glittering moonlight music in F-sharp follow the Chorale theme. Then, towards the end of a long section in D-flat major which expresses "'the warmth that flows from one of us into the other,' the warmth of love" (Schoenberg is quoting Dehmel here), a new theme sounds, and the composer specifically identifies this melody with the moment of transfiguration (mm. 320-322, **Example 2.4**). In

[47] Note how the man's first words, "Das Kind, das du empfangen hast," could easily be fitted to the first phrase of the theme (and the second line, "Sei deine Seele keine Last, would require only slight modification to fit the theme's second phrase).

Schoenberg's words, it "corresponds to the man's dignified resolution: this warmth 'will transfigure your child,' so as to become 'my own.'"[48] This passage, which I will call *Transfiguration theme 1*, juxtaposes the dominants of D-flat major and D major.[49]

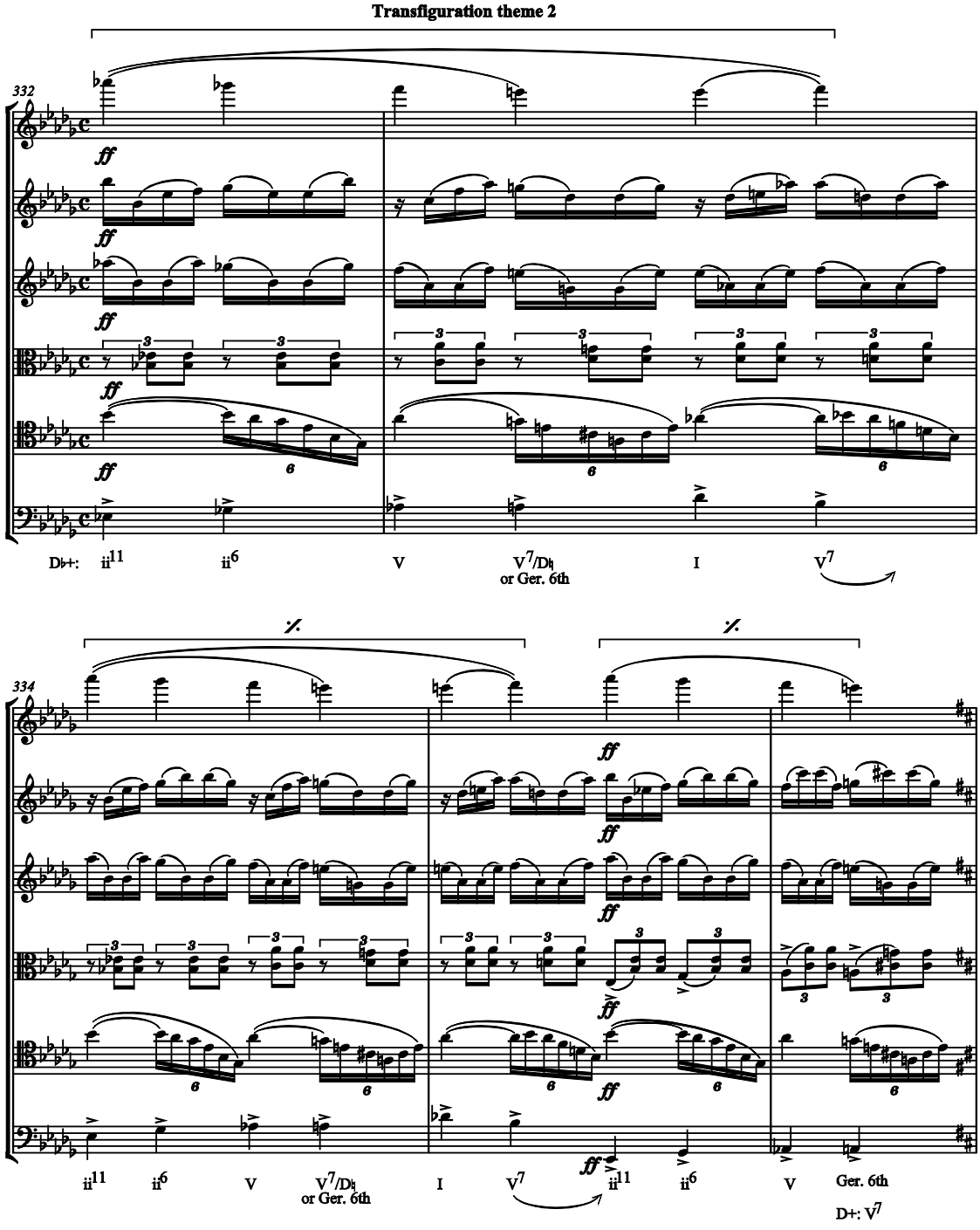
Example 2.4 Transfiguration theme 1 (mm. 320-322)



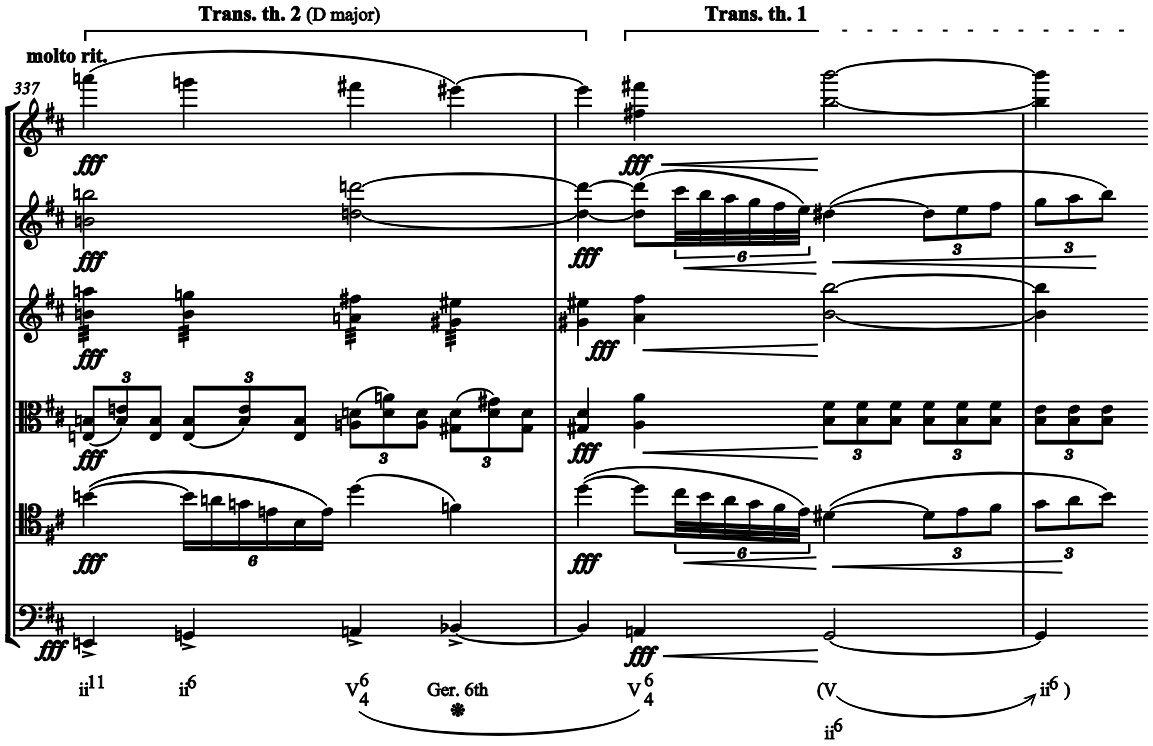
Transfiguration theme 1 repeats and develops until measure 332, where it gives way to a closely related idea that I will call *Transfiguration theme 2*. The latter exhibits a different melodic contour but similar harmonic content, in that it also juxtaposes the dominants of D and D-flat (**Example 2.5a**). From measure 332 to 336, the passage thrice attempts, and fails, to articulate a cadence in D-flat, thwarted each time by the dominant of D. As Frisch has remarked, the pitches of D major's dominant enharmonically spell the German sixth of D-flat major (<A-C♯-E-G> in D major becomes <B♭♭-D♭-F♭-G>).[50] Moreover, the succession of the two dominants produces, in the bass of both

[48] Schoenberg, Programme note for *Verklärte Nacht*, Examples 15 and 16.
[49] As a point of detail, note how the pitches <D♭-G♭-F-(E♭)> in the bass anticipate those of the first violin (with the exception that E-natural and not E-flat appears in the violin part).
[50] Frisch, *The Early Works of Arnold Schoenberg*, 135.

Example 2.5a Transfiguration theme 2, D-flat major to D major (mm. 332-339)



Example 2.5a (continued)



Transfiguration themes, the fifth and flattened sixth degrees of D-flat major—that is, the same melodic degrees that supported, back in the Confession theme, the progression from the cadential dominant to the ninth chord in bars 41-42. We may also recall that Lewin proposes the German sixth as a possible progenitor (to use a metaphor in keeping with the programme of the work) for the ninth chord. This potential is actualized here, such that the climactic moment of the child's transfiguration picks up on a motive of the Confession theme: the irregular resolution of V over melodic degree $\hat{6}$ in the bass, but here with starkly contrasting dramatic effect. In measures 320-324 and 332-336, the German sixth sonority keeps the music circling back to the dominant in unsuccessful attempts to arrive at a cadence. Of course, as the work draws closer to its end, it is a cadence in D major, not D-flat major, that is needed to effect satisfying tonal closure and confirm completion of the transfiguration process. Accordingly, at measure 336, the

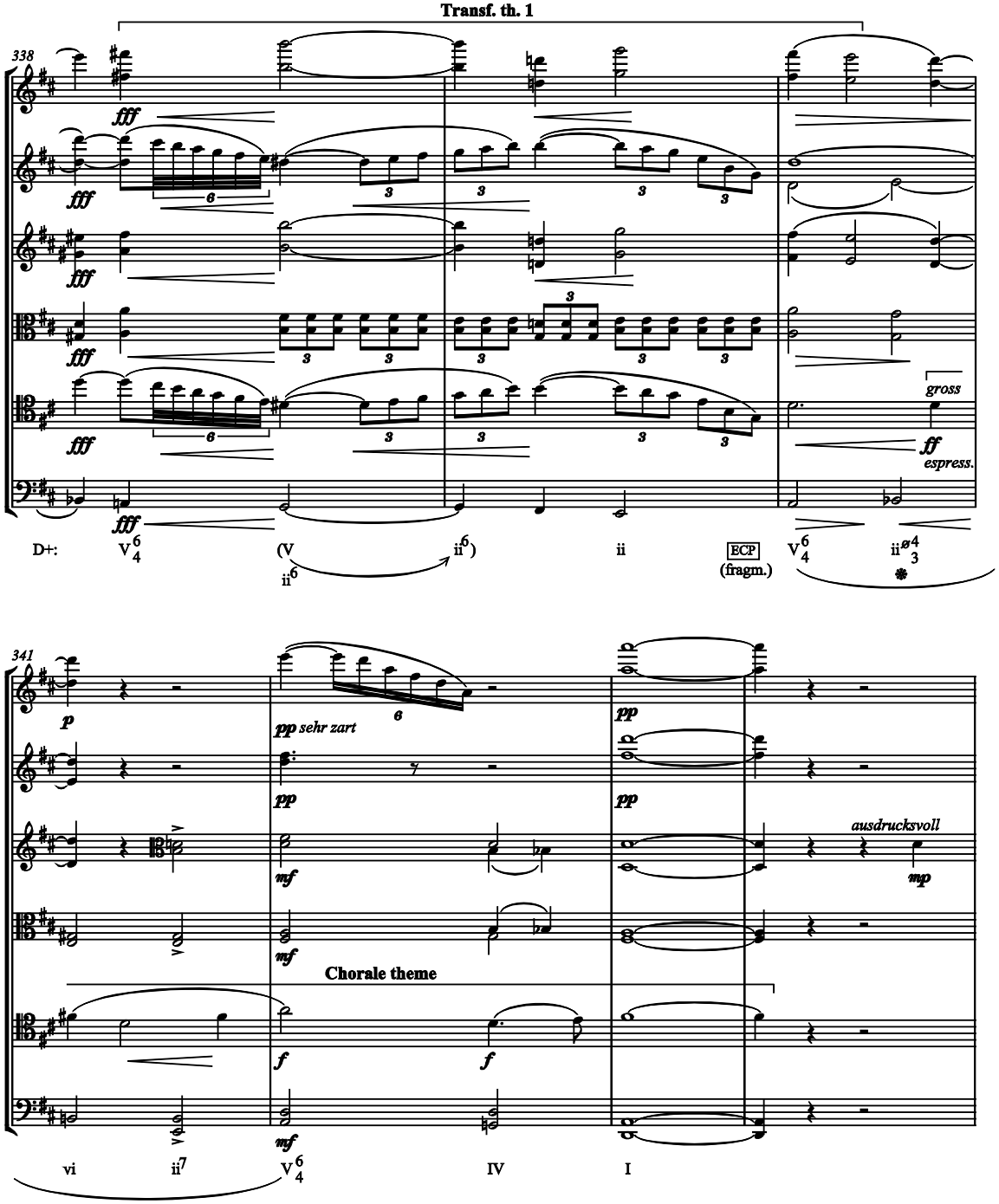
German sixth of D-flat serves as a pivot back into D major, and Transfiguration theme 2 is transposed up a semitone.

Although Transfiguration theme 2 now sounds in the home key, Schoenberg here again evades cadential confirmation. The dominant that enters in measure 337 (see again Example 2.5a), rather than resolving to I, is further prolonged: here, for the first time in the work, the German sixth unequivocally assumes its normative function as a neighbour chord to V above a $\hat{5}$-$\flat\hat{6}$-$\hat{5}$ bass. The cadential six-four at measure 338 does not lead to a cadence either; rather, it resolves deceptively downwards as Transfiguration theme 2 elides with a restatement of Transfiguration theme 1.

We then arrive at a moment of tremendous programmatic significance. At measures 338-344, Schoenberg conflates materials associated with all three characters present in the park that night: the woman, the child she carries, and the man. **Example 2.5b** shows how the melody of Transfiguration theme 1 (which, as we recall, Schoenberg linked to the transfiguration of the "strange child") is supported by a progression (ECP 3) that clearly recalls the first ECP1 and its associations with the woman. Although significantly abridged and rendered diatonic, the initial ECP is recognizable through its emphasis on melodic degrees $\hat{3}$ and $\hat{2}$ in the first violin, its spartan rhythmic and textural simplicity, and its bass chromatically rising from scale degree $\hat{5}$ through $\flat\hat{6}$ to $\natural\hat{6}$. At this moment, the tensions accumulated over the preceding measures finally diffuse, as Schoenberg replaces the ninth chord of ECP 1 by a much less dissonant deceptive verticality over the bass B-flat. Moreover, as Transfiguration theme 1 fades out of the first violin, the first cello takes over with the Chorale theme at bar 341, mingling the man's declaration of paternity with appeased echoes of the ECP. This over-determined moment not only turns the child of a sinful union into the child of a loving—thus moral—

one, but also turns a lover into a father at the same time as it deepens and transforms the relationship between the man and the woman.

Example 2.5b Transfiguration theme 1, Chorale theme, ECP 3 (mm. 338-344)

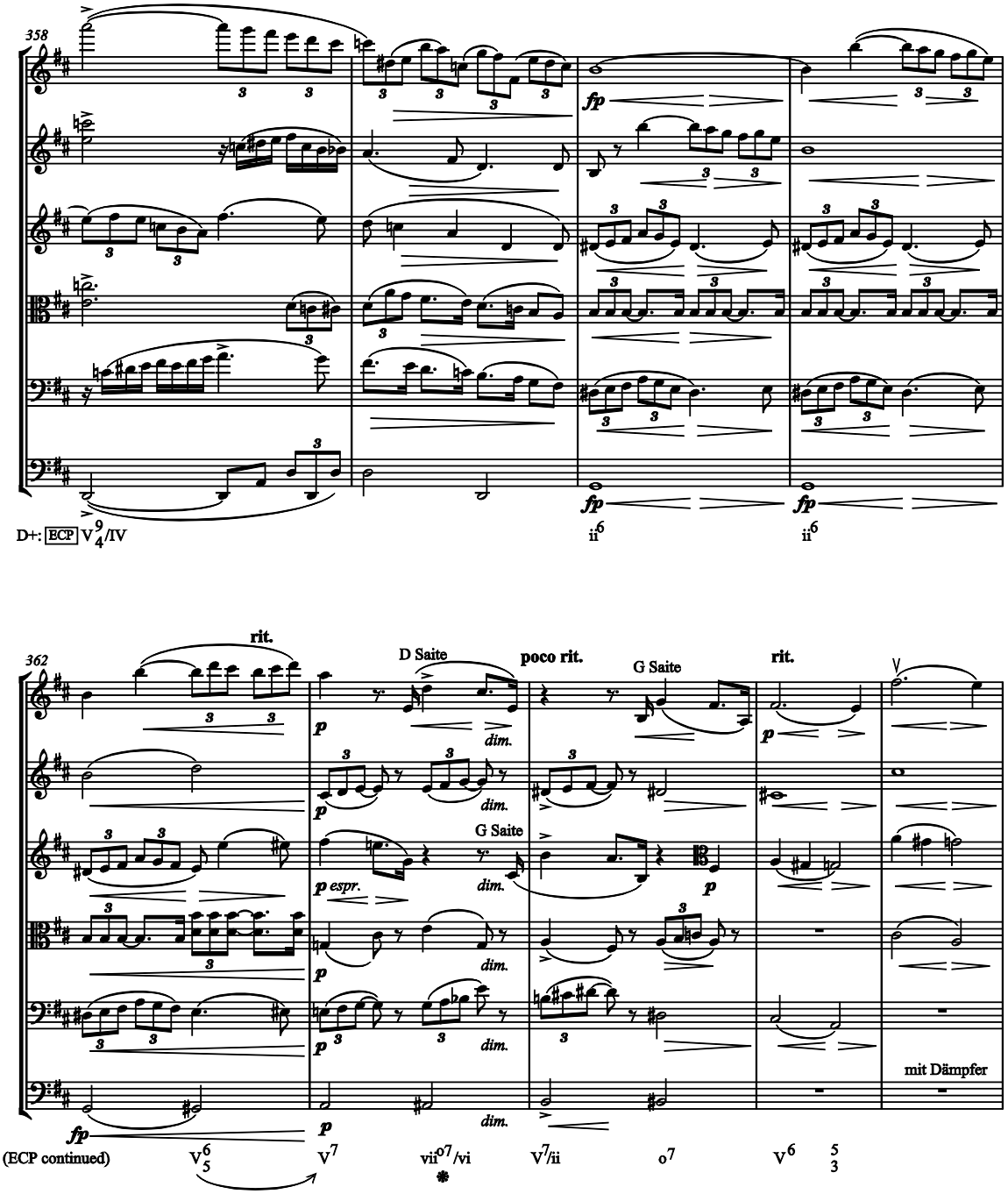


Yet for all its significance as a moment of dramatic denouement, the conjunction of themes in measures 338-344 does not reach a strong cadence in D major: rather, the concluding tonic of the Chorale theme, in measure 343, is approached by the subdominant, not the dominant. This lack of authentic cadential closure motivates yet another reworking of the dominant prolongation in measures 362-369 (ECP 4; **Example 2.6**). In order to further solidify D major, Schoenberg dissipates much of the dominant prolongation's harmonic tension and clarifies previously ambiguous sonorities. The ascending chromatic bass remains, but it now supports much more innocuous sonorities: the flattened sixth degree, spelled as A-sharp rather than B-flat (m. 363), sustains a secondary dominant of VI, while the D-flat that previously supported a passing augmented chord becomes the third of V (respelled as C-sharp in m. 365). Schoenberg gives a threefold statement of the cadential melodic degrees $\hat{3}$-$\hat{2}$ in first violin (mm. 365, 366, 368-369), the last of which is finally supported by a root-position dominant chord. Here the composer decorates the root of V with a subtle reminder of the ECP's $\hat{5}$-$\flat\hat{6}$ bass motion: note the neighbour A-B♭-A in measure 369, which transforms a moment of harmonic uncertainty into a delicate ornament—after which Schoenberg finally allows the dominant to proceed to the tonic in measure 370.

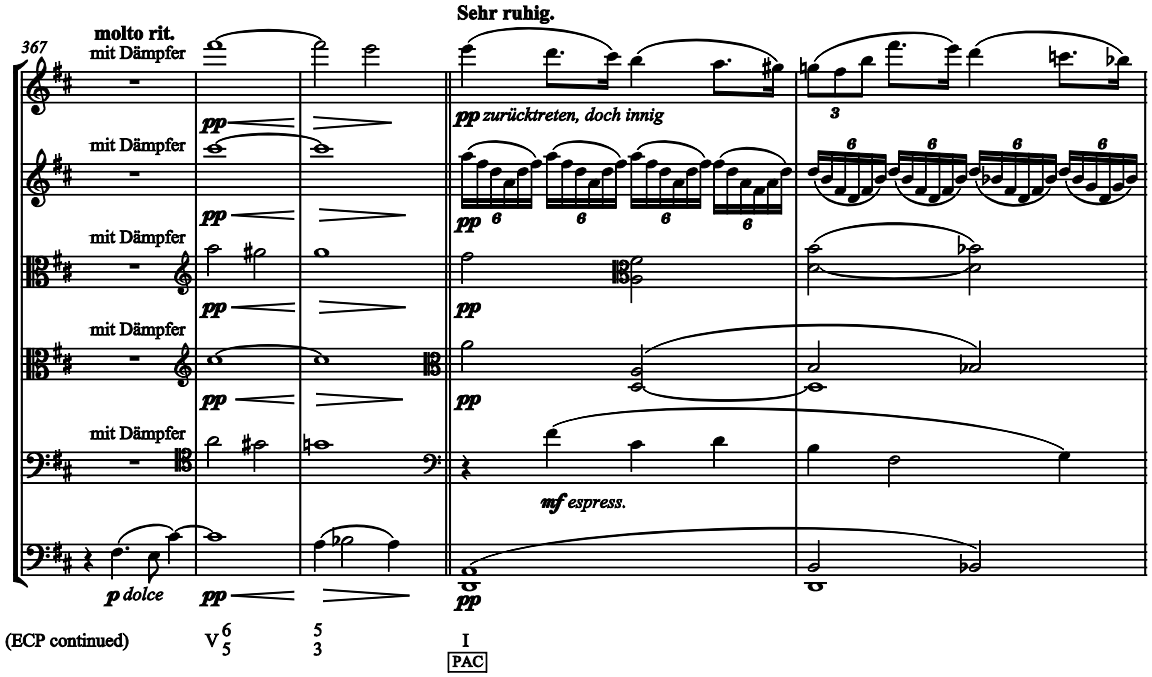
Frisch has discussed how the conductor Bruno Walter, preparing in 1943 a performance of the arrangement for string orchestra, suggested to Schoenberg that the composer cut a large section from measures 338 up to 391 (this would include the music from our Example 2.5 through that of Example 2.7 below).[51] Walter felt that the two similar climaxes of measures 338 and 391 created undue redundancy: "For me it will create a difficulty in performance that the soulful development that follows these

[51] See Frisch, *The Early Works of Arnold Schoenberg*, 130-134.

Example 2.6 ECP 4 (mm. 358-370)



Example 2.6 (continued)



measures [338–42] of definitive status ends up in the same measures."[52] The conductor, Frisch argues, put his finger on what might be a compositional weakness of the work, that is, the multiple attempts in the second part of the sextet to approach the D-major tonic by way of lengthy dominants. All but one of these "dominant preparations," as Frisch calls them, correspond to our modified reappearances of the ECP in part II of the sextet.[53] Even though the dominant preparations in question do indeed express a certain amount of redundancy, Frisch shows they nevertheless form part of a broader tonal process that balances chromatic and diatonic approaches to D major.[54] In light of our own discussion of these dominant prolongations, it is clear that they also play a vital role in the unfolding

[52] Bruno Walter to Arnold Schoenberg, December 18, 1943, Library of Congress, Schoenberg Collection; quoted in ibid., 131. Wellesz, who otherwise much admired the work, agreed with Walter: "there is certainly an excess of climax in the sextet." See Wellesz, *Arnold Schönberg*, 72.
[53] Frisch writes that "After the initial presentation of D major at measure 229, D is given dominant preparation… four different times in part II…" These coincide with the measures preceding our Example 2.3 (mm. 316-319) and with our Examples 2.5, 2.6, and 2.7. *The Early Works of Arnold Schoenberg*, 130.
[54] Ibid., 134ff.

of the programme. In any event, even though Schoenberg's reply to Walter does not survive, a later letter from conductor to composer suggests that the composer flatly refused the proposed cuts.[55] The tonal relationships that Frisch discusses were probably a factor here, but I believe programmatic considerations may have weighed more heavily. We have seen how the processes of refashioning the ECP and of actualizing its multiple tonal and harmonic implications are intimately intertwined with Dehmel's poem. To give just one example: Walter's proposed cut would have eliminated the moment at which the materials related to the three characters sound together in counterpoint.

The ECP's role in another formal process might also help explain Schoenberg's reluctance to abridge his sextet. Brian Alegant and Don McLean have called the common nineteenth-century technique of concluding formal sections with material that has served to conclude earlier sections "closing parallelism."[56] Since this formal device involves two end-points,

> both passages are normally cadential or post-cadential in formal-harmonic function. Closing parallelisms are heard neither as mere recurrence nor as recapitulation, but rather as a weighted ending again—a kind of rhyming strategy.[57]

Even though we may not be able to map the apparitions of our ECP onto conventional schematic points (such as "the end of the exposition" or "the end of section A"), each occurrence nonetheless marks the end of a formal section. Let us briefly recapitulate them here. The ECP sounds for the first time at the end of the theme that Schoenberg's programme relates to the woman's sense of guilt (Ex. 2.1); it then rounds off the whole section expressing the woman's confession (Ex. 2.2). Together with the Chorale Theme

[55] Ibid., 133.
[56] Brian Alegant and Don McLean, "On the Nature of Structural Framing," *Nineteenth-Century Music Review* 4/1 (2007): 3-29. "Closing parallelism" is to be distinguished from "structural framing" (the main topic of the article), a device that links the *beginning* of a formal section with the end of another.
[57] Ibid., 6. Alegant and McLean draw an analogy between closing parallelism and the rhetorical figure of speech of *epistrophe*, quoting from T. S. Eliot's *Waste Land*: "Do / You know *nothing*? Do you see *nothing*? Do you remember / *Nothing*?"

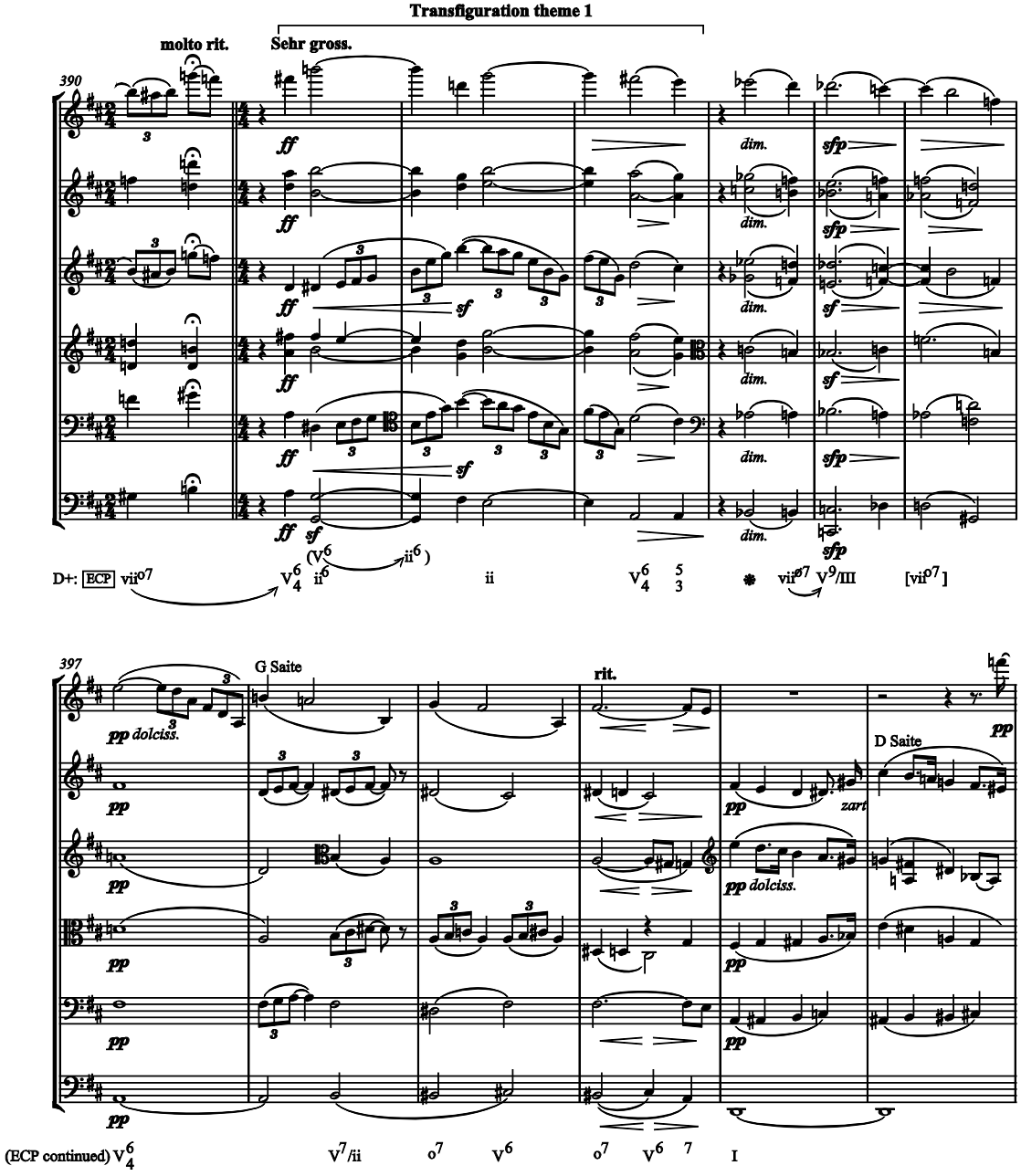
and Transfiguration Theme 2, it makes a modified appearance at the apex of a lengthy climactic build-up (Ex. 2.5b) that concludes a passage characterized by development-like procedures such as motion to foreign keys and sequences. Its fourth and next-to-last apparition concludes the section that Wellesz relates to the third strophe of the poem, the man's response (Ex. 2.6).[58]

While closing parallelism may be a good way to conceptualize the recurrent ECPs, the harmonic irregularities of these ECPs problematize both the "parallelism" and the "closing" aspects of the concept. First, the ongoing harmonic and motivic alterations to which Schoenberg subjects the progression obscure the resemblances between subsequent iterations. Second, the ECPs do not entirely succeed in acting as "rhyming," "weighted endings again." Granted, each reiteration emphatically announces the possibility of closure through harmonic, textural and rhythmic devices, but the progression is morphologically so flexible that it ends up defeating its cadential purpose entirely in its first three apparitions. Only in its fourth occurrence does the ECP's dominant finally resolve to a tonic—and at this point, Schoenberg has liquidated so many characteristic traits of the ECP that it survives only in vestigial form.

It will be the task of the last ECP (mm. 390-401, **Example 2.7**) to make explicit the "rhyme" that clinches the effect of closing parallelism. Here, the Transfiguration theme 1 that introduces the final ECP parallels its previous appearance in measures 338-340 (thus producing the double climax that troubled Walter), while the dominant prolongation of measures 393-397, intact with converging chromatic lines and ninth chord, connects back to measures 41-45 and 181-184. This time around, the harmonic and formal "rhyming" becomes bare and emphatic.

[58] Wellesz, *Arnold Schönberg*, 71.

Example 2.7 Transfiguration theme 1 and return of ECP 1 (mm. 390-402)



This last ECP represents the *telos* of the piece on a number of different levels: the initial dominant prolongation of ECP1 finally leads to authentic cadential articulation; chromaticism resolves into diatonicism; and the original minor-mode dominant prolongation returns in D major. Schoenberg's denouement resonates with two of

Western culture's archetypal instances of transfigurations—one biblical, the other operatic—and we will conclude this chapter by exploring these parallels. Three of the four gospels tell of how Jesus was transfigured in front of a group of apostles: "his face shone like the sun, and his clothes became as white as the light," relates Matthew 17:2 (King James Bible).[59] The biblical notion of transfiguration interests us because it embodies—literally—a moment where God, speaking to the apostles, claims Jesus for his son: "…behold, a bright cloud overshadowed them: and behold a voice out of the cloud, which said, This is my beloved Son, in whom I am well pleased; hear ye him" (Matthew 17:5, King James Bible). This claiming and revealing of spiritual filiation runs close to the kind of paternity *Verklärte Nacht* upholds, and we might read Schoenberg's conclusion as the gesture that consummates the process of transfiguration. The sextet draws on a venerable rhetorical pedigree, that of Beethoven's Fifth and Ninth symphonies, as well as Schumann's Fourth, Brahms's First, and Bruckner's Third and Eighth, all of which trace a minor-to-major, "darkness-to-light" tonal trajectory (Beethoven's Ninth, Schumann's Fourth, and Bruckner's Third also in the key of D). In Schoenberg's composition, as we have noted, highly modified forms of the ECP, originally in D minor, sound in D major throughout the second part of the work. At bars 391, however, the dominant prolongation returns in its original guise—with one important change: its mode. Just as the voice of God claims Jesus as his son, D major—the key of The Father—here claims this crucial progression. And Schoenberg lingers insistently on this modal transfiguration, drawing out over four bars (397-400) the only elements in the ECP which unequivocally convey mode, the repeated melodic degrees $\hat{3}$-$\hat{2}$.

[59] The German "Verklärung," conveys much more fully than the English "transfiguration" connotations of light, brightness, and revelation. "*Verklären*" is the word used in Luther's Bible of 1545: "Und er ward verklärt vor ihnen, und sein Angesicht leuchtete wie die Sonne, und seine Kleider wurden weiß wie ein Licht." (Matthaeus 17:2)

The sextet's narrative also presents a number of parallels with the quintessential operatic transfiguration, that of Isolde.[60] A systematic examination of these parallels would exceed the scope of this study, but a summary overview proves insightful. From a textual point of view, both Dehmel and Wagner express transfiguration through the characters' intimate communion with a sensuous, all-enveloping environment. For Isolde, this takes the shape of "blissful fragrances" and resounding "aerial waves" and for Dehmel's protagonists, of a shimmering glow: "Oh, look, how clear the universe glitters! There is a radiance about everything."[61] This communion with nature reflects that of the two works' respective lovers. In Dehmel, the protagonists unite as "a special warmth glimmers / From you in me, from me in you." In Isolde's case, as is well known, the "wondrous, glorious tune…from him flowing, through me pouring" dissolves her individual consciousness as "the gates of union are thrown open."[62]

Inseparable from the theme of transfiguration in both works is the imagery of night—although this is developed much more extensively in *Tristan* than in the sextet. When Dieter Borchmeyer writes that, in *Tristan*, night represents a realm of truth and revelation that contrasts with the illusion and deception that fester in daylight, he could also be speaking of *Verklärte Nacht*, where confession, truthfulness, and love belong to nocturnal auspices.[63] To apply Borchmeyer's words about *Tristan* to the sextet, "[t]ruth... does not 'come to light'; it is revealed exclusively *by* night."[64] Yet there are also

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[60] Camilla Bork has briefly touched upon this matter in "'Tod und Verklärung': Isoldes Liebestod als Modell künstlerischer Schlussgestaltung," in *Zukunftsbilder: Richard Wagners Revolution und ihre Folgen in Kunst und Politik*, ed. Hermann Danuser and Herfried Münkler (Schliegen: Argus, 2002), 161-178 (see 171-174 on *Verklärte Nacht*).

[61] Translation of "Isolde's Transfiguration" by Andrew Porter in Robert Bailey, ed., *Prelude and Transfiguration from* Tristan and Isolde (New York and London: W. W. Norton, 1985), 96-97.

[62] The final quotation ("the gates of union are thrown open") is drawn from Wagner's preface to the Transfiguration. See Bailey, ed., *Prelude and Transfiguration*, 48.

[63] Dieter Borchmeyer, "The World in a Dying Light: *Tristan und Isolde* and the Myth of Night," in *Richard Wagner: Theory and Theater*, trans. Stewart Spencer (Oxford: Clarendon Press, 1991), 338-339. In Isolde's words, night is the site "where… delusion would die, where deceit and lies could make no capture" (Act II).

[64] Ibid., 339.

substantial differences. For the Romantics, writes Borchmeyer, night was a source of human consciousness: "life is the flashing foam on the wave of night, created by it and returning to it."[65] *Tristan* as a whole runs a teleological course towards night as death and as consummation of desire ("…the attainment of the highest rapture: it is the rapture of dying, of ceasing to be... Shall we call it death? Or is it the miraculous world of Night...?"[66]) But only as transfigured, disembodied spirits will the couple be eternally united. By contrast, the transfiguration in *Verklärte Nacht* anchors the lovers firmly to terrestrial, carnal life (and love), in the form of the child to be born and the lovers' relationship to it. To pursue Borchmeyer's analogy, we might say that *Tristan* and *Verklärte Nacht* ride "life's flashing foam" on opposite segments of the wave: *Verklärte Nacht* on the crest and *Tristan* on the trough.

Finally, both works draw upon a similar harmonic strategy to consummate transfiguration: the resolution of highly ambiguous chromaticism into diatonicism. As Alegant and McLean explain, in *Tristan*

> the fundamental pre-dominant versus dominant ambiguity of the *Tristan* chord—which ambiguity is steadfastly though shiftily maintained throughout the opera—returns in the final bars of the *Liebestod*, where it is inflected in an unambiguously transfigurative plagalism that "resolves" the principal idea of the drama and transcendentally frames the work.[67]

Unlike the Tristan chord at the end of *Tristan*, the aberrant ninth chord of Schoenberg's sextet is not ultimately absorbed into a different progression. Nevertheless, contrary to the ninth chord's appearances in the first part of the sextet, it ultimately figures in a progression that confirms rather than thwarts our expectations of where an ECP should lead. That is, the ECP finally articulates an authentic cadence. This long-delayed closure

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[65] Ibid., 338.
[66] Wagner, preface to the *Prelude* (with concert ending), in Bailey, ed., *Prelude and Transfiguration from* Tristan and Isolde, 48.
[67] Alegant and McLean, "On the Nature of Structural Framing," 26. On the transfigurative nature of this plagal progression, see also Bork, "'Tod und Verklärung': Isoldes Liebestod als Modell künstlerischer Schlussgestaltung," 167-168.

puts in relief the idiosyncratic harmonic and formal treatment that the ECP receives over the course of the work. Schoenberg underscores the dramatic turning points of Dehmel's transgressive poem with a progression that itself defies a host of conventions associated with cadential progressions. Drawing on the plural potential of a dissonant chord which, as the composer put it, "the theorists condemned most resolutely of all," he effectively turns the first two ECPs, which should have been moments of closure, into transitions. The resulting chromatic ascending bass, in turn, takes on structural value and comes to support a variety of original cadential formulas. Among the numerous aspects of *Verklärte Nacht* that mark the sextet as a watershed in Schoenberg's tonal output, the daring harmonic and formal ambiguities of the ECP certainly mandate emphasis. The closing parallelism effected by the work's final ECP (after which only a tonic pedal remains) is laden with form-functional, tonal, and programmatic weight, which—like the progression from the final Tristan chord to the final chord of *Tristan*—only rings in its fullness when the meanings accumulated through the process of transfiguration are understood to resound.

CHAPTER 3.
SEXUAL VIOLENCE AND ALIENATION IN THREE SCHOENBERG LIEDER

SEXUALITY, ANXIETY, AND STYLE

In the penultimate chapter of his *Theory of Harmony*, Schoenberg suggests that technical innovations

> come about… as a sudden inspiration evoked by a powerful expressive urge. That which is new and unusual about harmony occurs to the true composer only for such reasons: he must give expression to something that moves him, something new, something previously unheard of.[1]

In the early twentieth century, what was unheard of was the new frankness with which poets, novelists, and even journalists depicted and criticized the sexual attitudes of their times. Literary critic Samuel Lublinski, in his 1904 *Die Bilanz der Moderne*, described a paradox among modern writers: they renewed the Romantic concept of sexuality as "cosmic life," while at the same time emphasizing more fully and openly its "sensual-physiological reality."[2] If Webern generally shied away from direct and graphic evocations of sexuality in his music, the importance of the provocative writings of Peter Altenberg, Arthur Schnitzler, and Franz Wedekind to Berg has been amply demonstrated.[3] So too with Schoenberg: as we observed in the previous chapter, the "sexually explosive" poetry (in Walter Frisch's words) of Richard Dehmel exerted a

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[1] Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (Berkeley: University of California Press, 1978), 398-399.

[2] See Roy Pascal, *From Naturalism to Expressionism: German Literature and Society, 1880-1918* (London: Wiedenfeld and Nicolson, 1973), 229.

[3] See, among others, Robert Falck, "Two *Reigen*: Berg, Schnitzler, and Cyclic Form," in *Encrypted Messages in Alban Berg's music*, ed. Siglind Bruhn, (New York and London: Garland, 1998), 91-105; Donald Roderick McLean, "A Documentary and Analytical Study of Alban Berg's Three Pieces for Orchestra" (PhD diss., University of Toronto, 1997); David P. Schroeder, "Alban Berg and Peter Altenberg: Intimate Art and the Aesthetics of Life," *Journal of the American Musicological Society* 46/2 (1993): 261–294; Julie Pedneault Deslauriers, "La *Frauenseele* dans tous ses états: les *Altenberg Lieder*, opus 4, n^{os} II et III de Berg comme réponse à la *Frauenfrage* viennoise," *Canadian University Music Review/Revue de musique des universités canadiennes* 24/2 (2004): 44-61; and the vast body of literature on *Lulu*.

decisive influence on Schoenberg's technical development at the turn of the century.[4] But in contrast to "Verklärte Nacht," which advocated sexual morals based on the love and free emotional commitment of both partners, other Dehmel texts probed darker, more violent manifestations of the sexual instinct. "Mannesbangen," which Schoenberg set in 1899 but did not publish, offers one example:

> You must not think I am afraid of you. Only when you with your shy eyes desire happiness and with such quivering hands like daggers run through my hair, and my head lies upon your loins: then, you, sinful woman, I tremble before you—[5]

These Dehmel settings would not be Schoenberg's last to explore the dark side of Eros. Indeed, a number of sexually charged poems appear to have acted as catalysts in the development of his progressive techniques prior to World War I, resulting in his development of new, more radical means of expression.

The present chapter addresses the stylistic advances that the "new" and "unheard-of" portrayal of sexuality in avant-garde poetry elicited in three of Schoenberg's lieder. Two of these songs, "Warnung," Op. 3, No. 3, and "Lockung," Op. 6, No. 7 thematize disturbing sexual violence. The former is another product of Schoenberg's immersion in the poetry of Dehmel. Here, pathological jealousy and possessiveness incite concentrated motivic treatment and the use of advanced harmonic technique. Engaging with writings about Schoenberg's concept of "fluctuating tonality," I interpret "Lockung as a metaphor for rape, expressed by the composer through the composing-out of a dissonant sonority that implies two keys instead of an unambiguous tonic triad. Finally, in "Du lehnest wider eine silberweide," the thirteenth song from *Das Buch der hängenden Gärten*, Op. 15, sexuality becomes a destructive and paralyzing force. My analysis demonstrates how

[4] Walter Frisch, *The Early Works of Arnold Schoenberg, 1893-1908* (Berkeley and Los Angeles: University of California Press, 1993), 110.
[5] Translation in ibid., 84.

Schoenberg underscores the text's narrative of emasculation and alienation by way of a progression from familiar to radical pitch-structural vocabulary.

While this chapter primarily focuses on how decadent sexuality served as a source of style in our three songs, we should note that this theme links up with the broader social issues outlined in Chapter 1. In the *Philosophy of Modern Music* and elsewhere, Adorno interpreted Schoenberg's music as a response to anxieties about subjectivity in the modern era, much as he did with Mahler's. In positioning Schoenberg's modernism against menacing social forces, as we observed in Chapter 1, he also implicitly set it against the threats to man's capacity for self-determination and ability to master his sexuality that, as Mosse demonstrates, conspired to undermine inherited ideals of masculinity. Indeed, discussing Schoenberg's music, Adorno himself hinted at this connection:

> What radical music perceives is the untransfigured suffering of man. His impotence has increased to the point that it no longer permits illusion and play. The conflicting drives, about whose sexual genesis Schoenberg's music leaves no doubt, have assumed a force in that music which has the character of a case study—a force which prohibits music from offering comforting consolation.[6]

All three lieder in this chapter deal with crisis-ridden masculine sexuality, where the subject struggles, in Adorno's words, with conflicting sexual drives and the specter of impotence. Whether the subject responds with a violent will to power and control, as in "Warnung" and "Lockung" or passive resignation, as in "Du lehnest wider eine silberweide," each of these lieder expresses profound anxieties apropos masculine sexuality.

[6] Theodor W. Adorno, *Philosophy of Modern Music*, trans. Anne G. Mitchell and Wesley V. Blomster (New York and London: Continuum, 2003), 41-42.

"WARNUNG," OP. 3, NO. 3

Like the poem "Verklärte Nacht," Dehmel's "Warnung" appeared in *Weib und Welt*, the collection composed in the early heat of his liaison with Ida Auerbach. Yet the two poems differ in important ways. In the former, love between man and woman, even (or especially) outside the bond of matrimony, becomes a source of transfiguration. In "Warnung," by contrast, a pathologically jealous male speaker informs his beloved that he has brutally murdered his dog for the minor transgression of growling at her—and threatens her with the same fate should she be unfaithful. The poem (see its complete text below) concludes with the ominous admonishment "Denk an meinen Hund!"

Schoenberg, "Warnung," Op. 3, No. 3 (Richard Dehmel)

Mein Hund, du, hat dich bloß beknurrt *und ich hab ihn vergiftet;* *und ich hasse jeden Menschen,* *der Zwietracht stiftet.*	My dog, you, merely snarled at you, And I have poisoned him; And I hate everyone Who sows discord.
Zwei blutrote Nelken *schick' ich dir, mein Blut du,* *an der einen eine Knospe;* *den dreien sei gut, du,* *bis ich komme.*	I send you, my blood you, Two blood-red carnations, On one of which is a bud; Be good to the three, you, Until I come.
Ich komme heute Nacht noch; *sei allein, sei allein, du!* *Gestern, als ich ankam,* *starrtest du mit Jemand* *ins Abendrot hinein—Du:* *denk an meinen Hund!*	I'm still coming tonight; Be alone, be alone, you! Yesterday when I arrived, You were staring with someone Deep into the dusk —you: Think of my dog![7]

"Warnung" takes up a central strand of Dehmel's oeuvre, an intense and thorough inquiry into the "delights of Eros and its dangers."[8] For Dehmel (as for Freud), sexual instinct lay at the root of human nature, and humankind's struggle for redemption—an

[7] Translation in Frisch, *The Early Works of Arnold Schoenberg*, 88.
[8] Robert Vilain, "Schoenberg and German Poetry," in *Schoenberg and Words: The Modernist Years*, ed. Charlotte M. Cross and Russell A. Berman (New York and London: Garland, 2000), 24.

important aspect of Dehmel's aesthetics, reflected in the title of his 1891 collection *Erlösungen*—inevitably involved the "sanctification of the sexual instinct," including its animal-like dimensions, "as cosmic urge."[9] In a letter to his first wife, Paula Oppenheimer, Dehmel wrote of the wild hunger that certain women aroused in him: "Like a predatory animal flaring its nostrils, something in me becomes feverish: here is nourishment for you, new blood."[10] Dehmel goes on to describe the "terrible imperative" (*furchtbares Müssen*) to pluck the fruit of the forbidden tree of "savage ignobility" (*die Frucht der wilden Niedrigkeit*), which awakens in many men a primitive consciousness: "And then they open their eyes, and they feel afresh that they are human, and, trembling, they recognize their raw similarity to animals."[11] There is certainly something of the predatory animal in the speaker of "Warnung," who scarcely represses a savage and ignoble need to own and control his beloved.

Schoenberg drafted a setting of "Warnung" in 1899, which he revised in 1903-04 and published as the third of his Six Lieder, Op. 3.[12] The song is dark, cutting, and foreboding. Across the tripartite ABA' form in B-flat minor (mm. 1-13; 14-34; 35-54), Schoenberg progressively draws out and intensifies the awful violence entailed in Dehmel's "terrible imperative" by way of motivic work and tonal syntax that convey the protagonist's abandon to his primal sexual impulse. The composer responded to Dehmel's text with tense, impassioned declamation, a motivically tight-knit piano

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[9] Jethro Bithell, *Modern German Literature, 1880-1950* (London: Methuen, 1959), 115.

[10] "Wie ein wilder Hunger überkommt es mich, wenn ein Mensch mir nahetritt, der Eignes in sich hat. Als ob ein Raubtier die Nüstern bläht, fängt dann etwas in mir an zu fiebern : da ist Nahrung fur dich, neues Blut." The context of the letter (Dehmel discusses his affair with a certain Käte) makes it clear that "ein Mensch" means "a woman." Richard Dehmel to Paula Dehmel, July 25, 1891, in Richard Dehmel, *Ausgewählte Briefe aus den Jahren 1883 bis 1902* (Berlin: Fischer, 1923), 47.

[11] "Und dann tun sich ihre Augen auf, und sie fühlen wieder, dass sie Menschen sind, und sehen mit Beben ihre Tieresähnlichkeit und -nacktheit... " Ibid., 48.

[12] See Frisch, *The Early Works of Arnold Schoenberg*, 87-92, on the 1899 version and for an overview of these revisions.

accompaniment, and an idiosyncratic harmonic language which Edward T. Cone has characterized as "superficially tonal." Of the latter Cone writes:

> The song sounds tonal, but it is actually so only in an inverted sense. The chordal progressions that have traditionally taken on the burden of large-scale structure are now demoted to details of succession; the harmonic motion is assigned to progressions once typically subsidiary or even decorative.[13]

As an example of "tonally inverted" music, Cone points to the opening bars, where a series of plagal gestures are "skilfully united by a combination of diatonic and chromatic linear motions."[14] We shall examine these measures in some detail. They reveal a number of elements that Schoenberg will develop over the course of the song, resulting in the slow escalation of tension that accounts for the song's disturbing expressive power.

The opening measures are shown in **Example 3.1a**. The first two feature four chords in root position that progress by descending fourths, from E-flat through B-flat, F, and C. If one labels the first three, non-altered chords as harmonic degrees in the principal key, the progression reads "iv–i–v–V/v." (The third of the C chord is missing here, but will materialize to form a major chord in section A', at bars 36 and 49.) This analysis, however, obscures the recursive plagalism of measures 1-2; that is, the successive plagal motions to the tonic and the altered supertonic. Here we may turn to Schoenberg's own analytical techniques instead. The composer seldom appealed to the concept of applied dominant, preferring to analyse these, like all other altered sonorities, as diatonic scale steps with chromatic substitutions in one or more voices; he notated such chords with crossed roman numerals.[15] According to this scale-degree oriented outlook,

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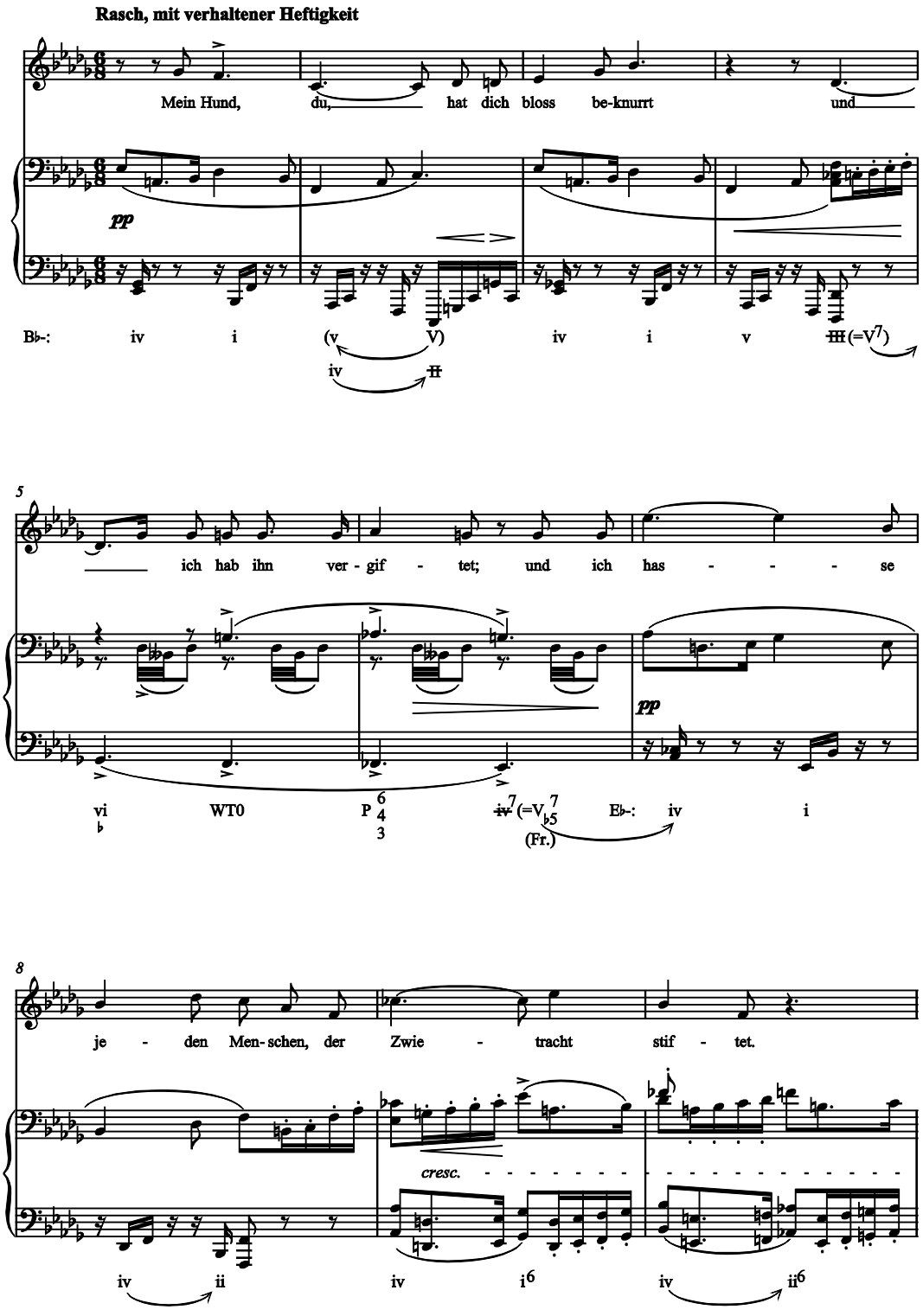
[13] Edward T. Cone, "Sound and Syntax: An Introduction to Schoenberg's Harmony," *Perspectives of New Music* 13/1 (1974): 27-28.
[14] Ibid., 28.
[15] Although he frequently appeals to this altered chord notation in *Structural Functions of Harmony*, Schoenberg only explains it in a brief footnote: "Crossed Roman numerals, ~~VI~~, ~~V~~, ~~III~~, ~~II~~, etc., indicate that the chords are altered through the use of substitute tones." Schoenberg demonstrates a variety of these alterations in a section titled "Transformations." Arnold Schoenberg, *Structural Functions of Harmony*, ed. Leonard Stein (New York: W. W. Norton, 1954), 9, 35-43. See also Norton Dudeque, *Music Theory and*

Example 3.1a "Warnung," mm. 1-10



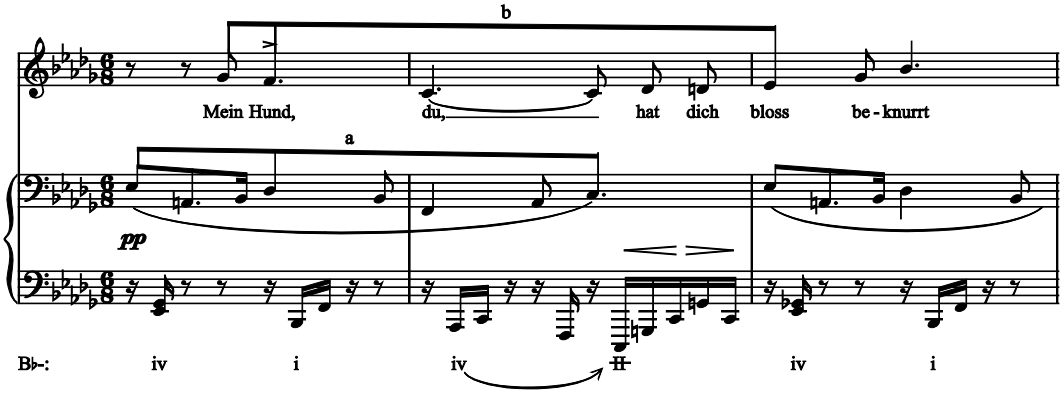
Analysis in the Writings of Arnold Schoenberg (1874-1951) (Aldershot, UK and Burlington, VT: Ashgate, 2005), 74-79.

measures 1 and 2 read "iv–i–iv/~~II–II~~." This notation better captures the plagal trajectory of ascending scale-steps that turns out to underlie the remainder of section A and the dramatic conclusion of the lied.

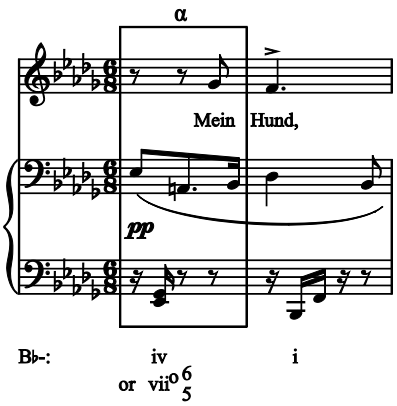
Indeed, after the plagal gestures to i and ~~II~~ in the opening bars, the song immediately proceeds to the altered mediant by way of another plagal motion. Example 3.1a shows how, when the song's first two measures repeat at bars 3-4, the D-flat seventh chord of bar 4 replaces the C chord of bar 2. D♭7 functions as an applied dominant to the subsequent vi, but reads as ~~III~~7 in Schoenberg's nomenclature. The next scale degree that this stepwise progression leads us to expect, the subdominant, materializes not only as a chord, but also as a tonal area. In measures 7 to 10, the first modulation of the song recalls the opening fourth motions ("iv–i–iv/ii–ii") in E-flat minor. The pivot chord that ushers in the modulation, the whole-tone sonority on E-flat at measure 6, functions as the applied dominant of A-flat, but, of equal importance, also serves as the altered subdominant of B-flat (~~iv~~7), completing a "i–~~II~~–(i)–~~III~~7–iv7" ascent. As a whole, the processes at work in these opening measures resonate with Dehmel's ambivalence towards the "savage ignobility" he believed lay in every man, which he held frightening and repulsive on the one hand, and irresistibly attractive on the other. The inverted functional drive of the plagal gestures—as Cone implied, a cycle of fourths articulates a syntactically backward progression, the retrograde of a cycle of fifths—projects the speaker's striving to bridle his jealousy and exert control over his aggressive feelings. At the same time, the stepwise rise from tonic to predominant, as well as the rise in register and augmentation of rhythmic activity over measures 1-10, bespeak the compulsive allure that this raw animalism holds for him. Finally, the jerky quality of the off-beat left hand of the piano compounds the sense of the protagonist's agitation and suggests his inability to master his primal impulses.

Another factor contributes to the unsettled emotional temperature of the piece. Since the song begins with a series of plagal gestures, the melodic lines that obtain in the first four bars are not tonic-prolongational, defeating normative melodic expectations for a song's opening. As can be seen in **Example 3.1b**, the fourth-progression supports two melodic descents: <E♭-D♭-C> ($\hat{4}$-$\hat{3}$-$\hat{2}$) and <G♭-F-E♭> ($\hat{6}$-$\hat{5}$-$\hat{4}$). Schoenberg treats these pitch-class strings motivically throughout the song, and I shall refer to them as motives *a* and *b* respectively. Schoenberg begins developing motive *b* in the short transition connecting the B-flat minor and E-flat minor sections (mm. 5-6; see Example 3.1a above): a chromatically expanded version, <G♭-F- F♭-E♭> instead of <G♭-F-E♭>, sounds in the bass voice and supports the succession of altered and vagrant chords.

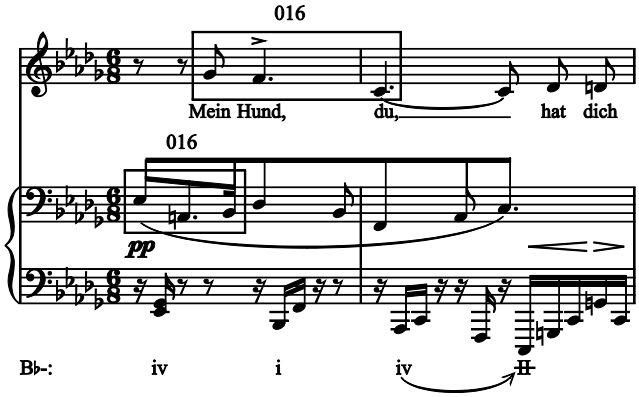
Example 3.1b "Warnung," mm. 1-3, linear motives a and b



Example 3.1c "Warnung," m. 1, chord α



Example 3.1d "Warnung," mm. 1-2, 016 and "Mein Hund, du"



Two other elements within the opening measure take on motivic significance over the course of the song. First, in bar 1 (see **Example 3.1c**), a simple yet crucial ornamental note creates directed motion within the iv–i pair of chords. On the second eighth-note of the 6/8 measure, the A-natural that acts as an incomplete neighbour to the chord tone B-flat also simultaneously forms an incomplete vii°7 chord (<A-(C)-E♭-G♭>), which resolves to the subsequent i. We will refer to this composite sonority (iv ~ viio7) as the alpha-chord (marked "α" in the examples). Second, the incomplete neighbour A-natural also plays a central role within the thick motivic web that Schoenberg weaves in the opening measures. The stemmed notes in **Example 3.1d** show how the right hand arpeggiates the opening chords and creates a chain of thirds, <E♭-(G♭)-B♭-D♭-F-A♭-C>. The replacement of the missing G♭ by A-natural in bar 1 results in the creation of a motive that literally pervades the whole song, in pitch-class terms the collection 016. This collection sounds twice in bar 1: its appearance in the right hand of the piano, <E♭-A♮-B♭>, is immediately echoed in the voice by <G♭-F-C> under the words "Mein Hund, du." The poetic juxtaposition of the dog and the beloved and their conflation into a collection that obsessively recurs throughout the song reveal the speaker's state of mind. Even though his first words could be construed as protective affection (he tries to shield his beloved from a snarling dog), the accumulation of injunctive "du"s (often in

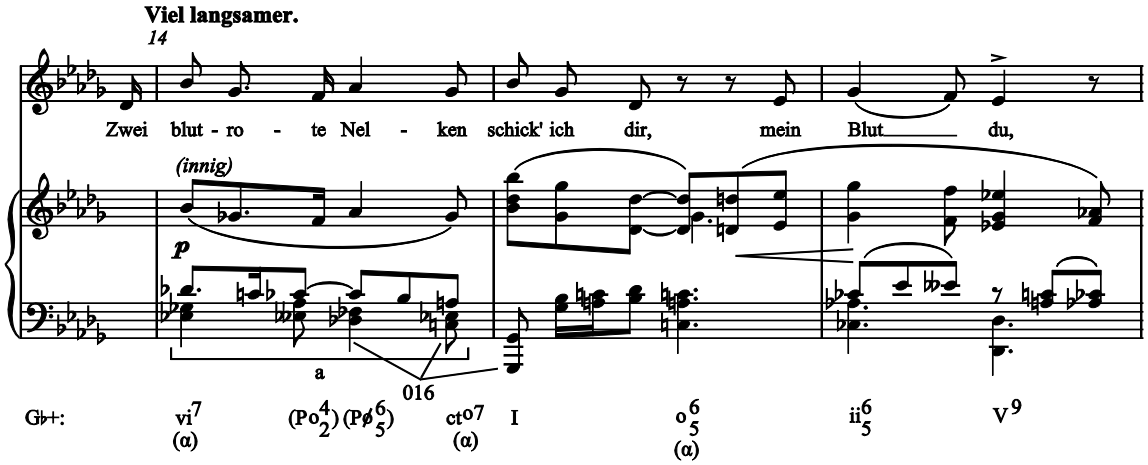
purposefully awkward grammatical positions) make it apparent that he fanatically desires to control, not to protect. The opening 016s are ill-omened precursors to a dramatic occurrence of the collection at measures 29-30, where it underscores the menacing "sei allein, du!" (see **Example 3.2c** below). "Or else" is clearly implied.

Section B (mm. 14-32) culminates at "sei allein, du!" following a continual intensification of materials reworked from the A section. The beginning of section B (mm. 14-19), a mellow *Viel langsamer* passage in the warm key of the submediant (G-flat major), offers momentary respite from the tension of section A. Lyrical in tone and text ("Zwei blutrote Nelken schick' ich dir…"), it opens with a clever reconfiguration of the iv–i plagal gesture, motive *a*, and alpha-chord of measures 1-2. At measure 14 (see **Example 3.2a**), a vocal line reminiscent of the piano's dotted motive in bar 1 unfolds over chords that "chromatically creep" downwards.[16] A chromatic version of motive *a* appears in the bass: <E♭-D♭-C> becomes <E♭-E♭♭-D♭-C>. The harmonic progression consists of a modified version of a subdominant prolongation. Were the C of motive *a* (the last eighth-note of m. 14) a C-flat, the whole measure would express a vi7–IV (or possibly IV§–IV) progression, followed by plagal motion to I in bar 15. As it is, Schoenberg exploits the functional ambiguity of the alpha-chord and places its two constituents, the E-flat minor and A diminished-seventh chords, at the beginning- and end-points of measure 14. The E♭7 chord (vi7) chromatically slides to A diminished-seventh in first inversion, which acts as a common-tone link to the subsequent tonic. As a result, the tonic G-flat is not approached by a descending perfect fourth, but rather by the tritone of the collection 016, formed by the bass notes D♭-C♮-G♭. This reworking of measures 1-2 results in an entirely different sound. Not only does the chromaticized

[16] Mark DeVoto coined the expression "creeping chromaticism" in his "Alban Berg and Creeping Chromaticism," in *Alban Berg: Historical and Analytical Perspectives*, ed. David Gable and Robert P. Morgan (Oxford: Clarendon Press; Oxford and New York: Oxford University Press, 1991), 57-78.

plagalism of bars 14-15 support a loose $\hat{3}$-$\hat{2}$-$\hat{1}$ descent in the vocal part (which, in contrast to bars 1-4, now clearly projects the tonic), it also participates in an unequivocally directional harmonic progression towards the dominant of measure 16, in which α serves as a predominant (as vii°7/V enharmonically respelled). The mellifluous sound of the passage contrasts with the harmonic restlessness that characterizes most of the song, emphasizing the only words in the poem that do not—yet—convey a threat.

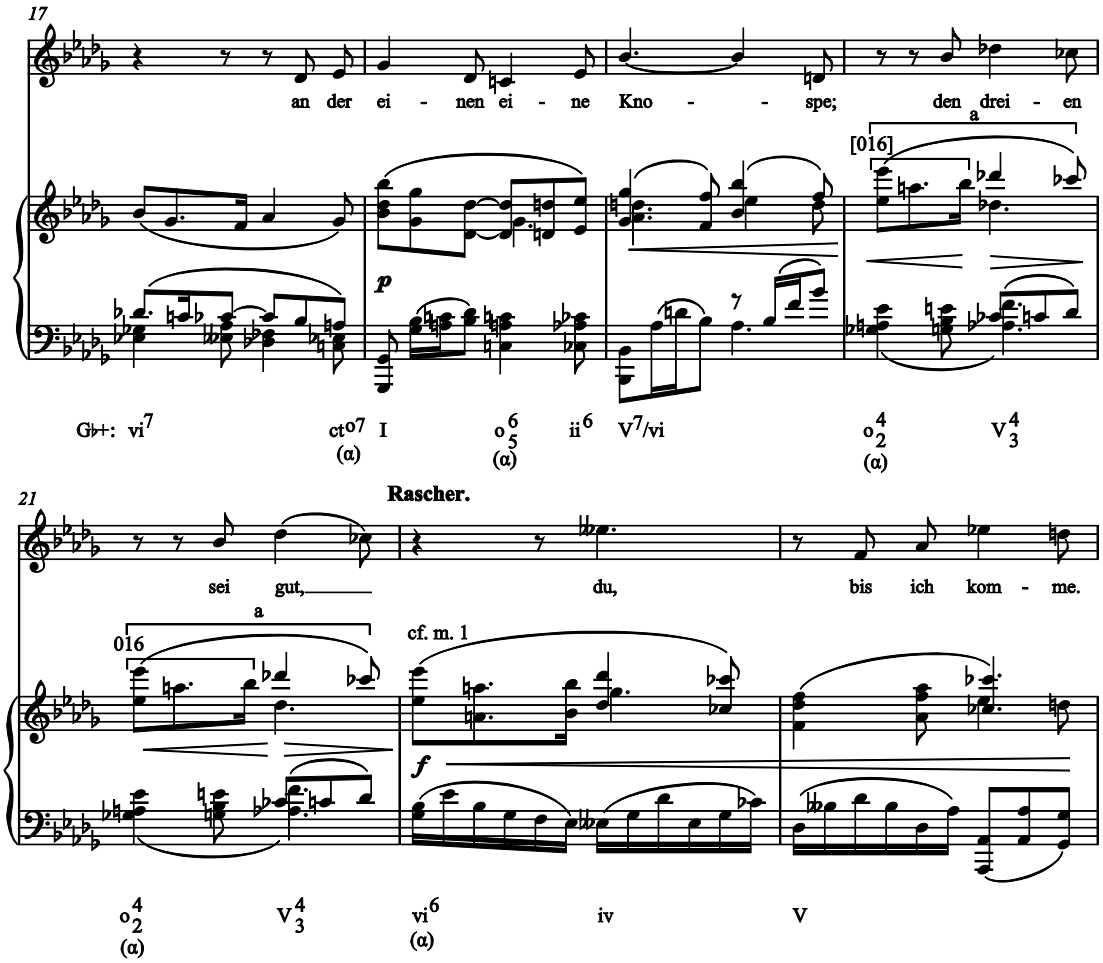
Example 3.2a "Warnung," mm. 14-16, motives a, chord α, 016



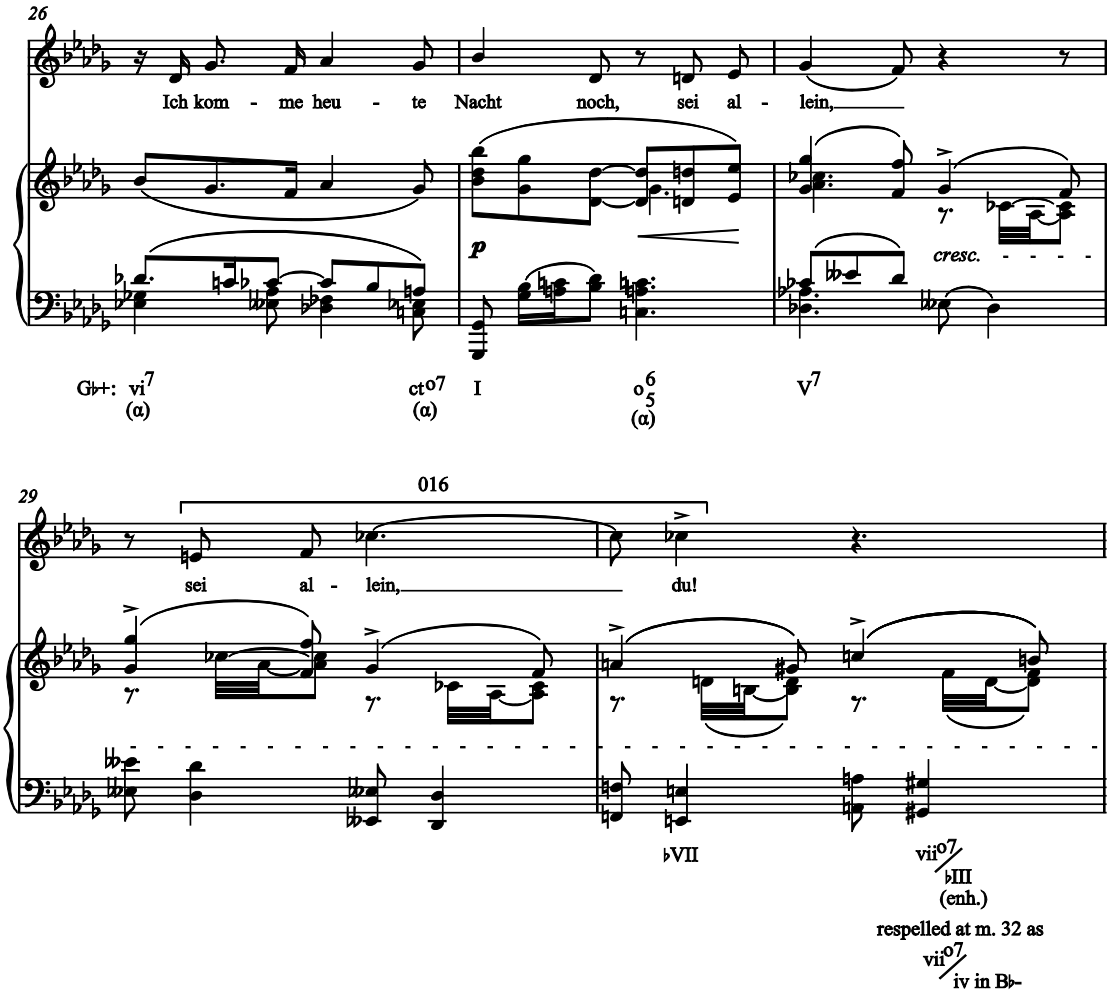
From measures 20 to 25, the speaker adopts a more aggressive tone and issues for the first time a direct admonition: "sei gut, du, bis ich komme." Schoenberg ratchets up the tension with even tighter motivic work. As **Example 3.2b** shows, two one-measure fragments in bars 20 and 21 juxtapose collection 016 (<E♭-A♮-B♭>) with motive *a* (<E♭-D♭-C>, chromatically altered with a C-flat). Even though a secondary dominant of vi precedes these materials, 016 is not harmonized with an E-flat chord at measure 20, but rather with an A diminished-seventh chord: one constituent of α substitutes for the other. An E-flat chord finally materializes to support 016 at measure 22, launching a *rascher* appearance of the song's opening materials in the key of G-flat. The brief return of the

melodious “Nelken” music at bars 26-29 (**Example 3.2c)**, which condenses mm. 15-16, offers only illusory respite and cannot help further degenerating into violence: in measures 28 and 29, accented appoggiaturas derived from the G♭-F semitone of “Mein Hund” in measure 1 underscore the dire warning “sei allein, du,” a reminder of the dog’s fate that renders the threat patently bellicose.

Example 3.2b “Warnung,” mm. 17-23



Example 3.2c "Warnung," mm. 26-30, "Sei allein, du!"

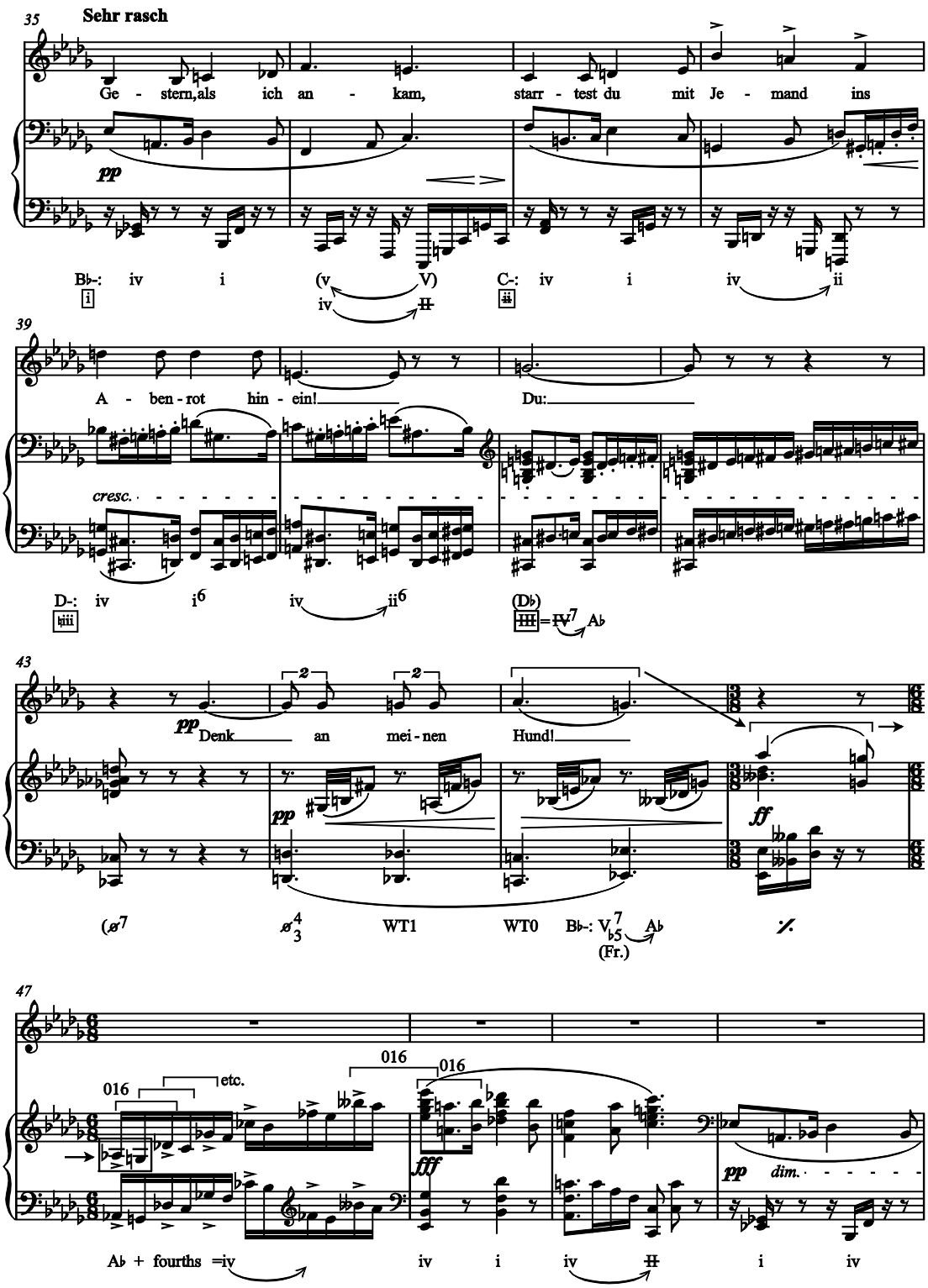


The third and final section of the song (mm. 35-54) reveals the pathological depth of the speaker's jealousy. When he recalls finding his beloved with another at sunset, the music erupts in a cycle of fourths that threaten to spin out of control (see **Example 3.3**). In a striking moment of motivic summary, Schoenberg employs at bars 35-36 the "iv–i–iv/~~H–H~~" plagalisms of measures 1-2 as the model for a relentless, three-fold sequential pattern in which each supertonic determines the transposition level (i.e., the new tonic) for the next iteration of the pattern. Thus, the initial "iv–i–iv/~~H–H~~" in B-flat (i) sequentially proceeds to "iv–i–iv/ii–ii" in C minor (~~ii~~), and from there to "iv–i6–iv/ii6–ii6" in D minor (♮iii). The passage thereby functions as a chromatic enlargement of the

"i–~~II~~ –~~III~~– ~~iv~~7" harmonic ascent of measures 1-6: the tonic, supertonic, and raised mediant areas function in bars 35-40 as "tokens" that receive their own set of plagal motions.[17] **Table 3.1** synopsizes the relationships between the beginnings of sections A and A'. The rigorous cyclical organization of measures 35-40, strongly reminiscent of Berg's trademark cyclical gestures, accounts for the apparition at bar 39 of the raised mediant (D minor) rather than the diatonic third scale-step (D-flat minor). A substitute for the latter, however, sounds immediately after the two-bar passage in D minor. The diminished-seventh chord of measure 41, built above D♭ (enharmonically respelled as C♯), can be understood to connect by way of vagrant and whole-tone sonorities with the altered E-flat chord of measure 45. Together, these chords provide altered pre-dominant and dominant preparation for the "missing" harmonic degree from our enlarged string, IV or A-flat. The latter finally appears at measure 47, not as a triad but as the launching point for a chain of interlocking 016s that can also be partitioned into interlocking ascending fourths (the pattern of accentuation renders the latter prominently audible). The last of these 016s ushers in the return of the lied's opening materials, while the bass A of measure 47 plagally approaches E-flat in measure 48—which in turn forms the subdominant of B-flat minor. The enlarged "i–~~ii~~–♮iii–(♭~~iii~~)–iv" structure of measures 35-47 gives vivid musical voice to the jealous lover's tortured state, releasing all of his pent-up violent impulses in the inexorable sequences. These culminate in the protagonist's chilling death threat: "Du: Denk an meinen Hund!" The lied concludes with a plagal cadence, which sets the <G♭-F> semitone from measure 1 ("Mein Hund") in oscillation, a last threatening echo of the dog's murder and its association with the beloved.

[17] My use of the term "token" is taken from Brian Alegant and Don McLean in their article "On the Nature of Enlargement," *Journal of Music Theory* 45/1 (2001): 31-71. They call "tokens" the individual elements of an ordered string of pcs that successively serve as the initial pcs for subsequent strings.

Example 3.3 "Warnung," mm. 35-54, enlargement of stepwise progression



Example 3.3 (continued)

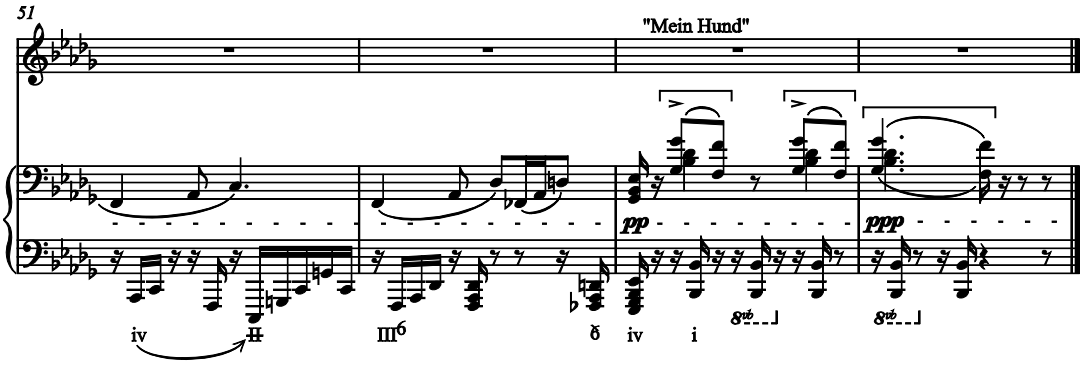


Table 3.1 Enlargement of the opening "I – ~~II~~ – ~~III~~7– ~~iv~~7" string

(mm. 1-2)		(4)		(5-8)
iv‿ **i** iv‿ ~~**II**~~		iv‿ ~~**III**~~**7**		(vi-WT0-p) ~~**iv**~~**7**=V7‿ iv‿ i iv‿ ii
				Iv
(mm. 35-36)	(37-38)	(39-40)	(41)	(41-49)
iv‿ i iv‿ ~~II~~	iv‿ i iv‿ ii	iv‿ i6 iv‿ ii6		($^{\varnothing 4}_{3}$-WT1-WHT0) ~~**iv**~~**7**=V7‿ iv (A♭) ‿ iv‿ i iv‿ ~~II~~
i	~~**ii**~~	**♮iii**	~~**III**~~	**i**

In "Warnung," Schoenberg draws upon techniques that undermine the work's tonal stability in order to show "how a human being… abandons himself to a sensual passion, and is thereby driven by the most painful emotional turmoil."[18] Here, motivic development seems to lend musical substance to the uncontrollable force of the speaker's primordial drives, overriding as it does traditional considerations of syntax. The ambiguous sonority of the alpha-chord takes on structural status, its dual harmonic potential encapsulating the speaker's conflicting affective drives. The mastery with which these processes pace the song's emotional curve magnifies the disturbing impact of

[18] Richard Dehmel, open letter to the imperial district court, June 23, 1897, addressing the charges of immorality and blasphemy for which he was tried on account of his *Weib und Welt*, in *Richard Dehmel: Dichtungen, Briefe, Dokumente* (Hamburg: Hoffmann und Campe, 1963), 126-127; trans. in Frisch, *The Early Works of Arnold Schoenberg*, 81.

the final ultimatum. Cone recognized the significance of the song to Schoenberg's stylistic development:

> The title, "Warnung," is perhaps more appropriate than the composer realized. For… this song can indeed be heard as a warning: that henceforth tonal syntax must not be accepted as all-powerful; that the traditional subordination of voice leading to harmonic progression may be reversed; that a functional dominant is not necessary for the establishment of a normal.[19]

He adds: "The corollary that the normal need not be a tonic in traditional terms may not have occurred to Schoenberg at this point, but it was bound to sooner or later." And sooner it was—as our next analysis will show.

"LOCKUNG," OP. 6, NO. 7

In his essay "Toward an Understanding of Schoenberg," Adorno wrote:

> Anyone who wants to understand what compels Schoenberg to dismantle the musical façade must listen once to one of those early lieder, in which, instead of adding ornaments, expression reveals itself with dense construction—for example in "Lockung" [Temptation] from Op. 6. This song is not even polyphonic; it resembles the Brahmsian type, with a motivically through-composed piano accompaniment. But although there is no diversity of complex voices to be followed simultaneously, it is not easy to follow the song unless the intensity of expression carries you away beyond it.[20]

Adorno makes the intriguing claim that unless one is taken by the song's sweeping expressivity, it may well remain unintelligible. My discussion of "Lockung" seeks to shed further light on the relationships between its "intensity of expression" and two other features Adorno emphasizes, its "dense construction" and Schoenberg's dismantling of "musical façade." Indeed, I shall attempt to cut through that musical façade to elucidate aspects of the speaker's predatory sexual violence.

[19] Cone, "Sound and Syntax," 28.
[20] Theodor W. Adorno, "Toward and Understanding of Schoenberg," in *Essays on Music*, ed. Richard Leppert (Berkeley: University of California Press, 2002), 635.

Schoenberg, "Lockung," Op. 6, No. 7 (Kurt Aram)

Komm, komm mit nur einen Schritt!	Come, come along, just a step!
Hab schon gegessen, will dich nicht fressen,	I've already eaten, I won't gobble you up,
Komm, komm mit nur einen Schritt.	Come, come along, just a step.
Komm, komm mit, noch einen Schritt.	Come, come along, one more step!
Kaum zwei Zehen weit noch zu gehen	There is barely two toes' length still to go
bis zu dem Häuschen,	To reach the little house,
Komm, mein Mäuschen.	Come my little mouse.
Ei sieh da, da sind wir ja!	Oh, just look, we're there!
Hier in dem Eckchen, pst nur kein Schreckchen,	Here in the little corner, pst! don't be afraid,
wie glüh'n deine Bäckchen,	How your little cheeks are burning,
jetzt hilft kein Schrein,	Now no screaming will help,
mein bist du, mein!	You are mine, mine![21]

Kurt Aram, a writer now all but forgotten, published "Lockung" in his *Gedichte* of 1899.[22] "Lockung" means "enticement" or "temptation," and music analysts have generally treated the text as a narrative of seduction—sometimes interpreting its imagery quite literally. Ethan Haimo, for example, suggests that the poem "depicts a cat who is trying to catch a mouse by tricking it into believing there is no danger (undoubtedly a metaphor for sexual seduction)." Alan Street writes that the Op. 6 songs as a whole may express

> a clandestine form of erotic emplotment… one that is determined by the experience of initiation to sexual love. Thus, "Lockung" becomes the primary seduction to which "Mädchenlied" [Op. 6, No. 3, in which a maiden ecstatically remembers her lover's kiss] is the callow response…[23]

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[21] Translation by Stanley Applebaum in Schoenberg's *The Book of the Hanging Gardens and other Songs* (New York: Dover Publications, 1995).

[22] Kurt Aram (the pen name for Hans Fischer) was a writer and journalist. Along with Hermann Hesse and others, he edited the literary and political periodical *März* (published between 1907-1917) and wrote for *Das Berliner Tageblatt*. Aram also authored several novels and plays. Schoenberg might have come across "Lockung" in Aram's *Gedichte* (Dresden: E. Pierson, 1899) or, as Cynthia Gonzales suggests, in a volume of poems edited by Ludwig Jacobowski, *Die Neue Lieder der Besten neueren Lieder für's Volk* (Berlin: M. Liemann, 1899). Cynthia Gonzales, "Text-Music Relationships in the Early Songs of Arnold Schoenberg" (PhD diss., Harvard University, 2005), 139.

[23] Ethan Haimo, *Schoenberg's Transformation of Musical Language* (Cambridge and New York: Cambridge University Press, 2000), 152; and Alan Street, "'The Ear of the Other': Style and Identity in Schoenberg's Eight Songs, Op. 6," in Cross and Berman, *Schoenberg and Words*, 111. For Jonathan R. Pieslak, "the text concerns a narrator, most likely a cat, successfully luring a mouse into a corner, and although this might seem like a playful subject, the poetry can be read as an extended metaphor for the process of seduction." Gonzales writes of a chase narrative between a "hunter" and a "tiny creature." I, for one, take "Mauschen" to denote a common German term of endearment rather than a rodent. See Jonathan R. Pieslak, "Conflicting Analytical Approaches to Late Nineteenth- and Early Twentieth-Century Tonal

And for Severine Neff, the poem could be "anything from a light-hearted description of an innocent sexual encounter to a rape."[24] I take the poem to tend towards the latter, even though the text might sound less explicitly violent than "Warnung." If "Lockung" were a song of seduction, then it would be one of exceptional brutality indeed. To momentarily consider the text alone, the subject's entreaties are too insisting, the addressee's reluctance too marked (as the lines "nur kein Schreckchen" and "jetzt hilft kein Schrein" testify), and the final cry of victory ("mein bist du, mein!") rings with predatory entrapment. The poem seems like a darker version of Dehmel's "Nicht doch" (which Schoenberg set in 1897); one could say that Aram created a dark version of "Vienna's playboys and *süsse Mädel*, the debonair sensualists of the age."[25] The *süsse Mädel* or "sweet girl," whom Arthur Schnitzler portrayed extensively in his novels and plays, was the stereotypical figure of the young unattached woman who, midway between mistress and prostitute, "provided raptures without imposing responsibilities."[26] In "Lockung," however, the character types are distorted: *he* coerces rather than woos, while *she* resists and does not yield. I believe Schoenberg responded to this aggressive element in "Lockung." Here, the composer develops idiosyncratic harmonic processes, composing out a dissonant sonority torn between two keys (rather than a conventional monotonal, consonant triad) over the course of the song.

Schoenberg finished composing "Lockung" on October 26, 1905. That same fall also saw the completion of the String Quartet, Op. 7 and marked the conclusion of two intense years of song composition during which the composer steadily extended his tonal techniques. Several of these pieces were published as his Opp. 6 and 8 and demonstrate a

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Music: A Meta-Theoretical Study" (PhD diss., University of Michigan, 2003), 55; and Gonzales, "Text-Music Relationships in the Early Songs of Arnold Schoenberg," 139.

[24] Severine Neff, "Reinventing the Organic Artwork: Schoenberg's Changing Images of Tonal Form," in Cross and Berman, *Schoenberg and Words*, 296.

[25] Carl E. Schorske, *Fin-de-siècle Vienna: Politics and Culture* (New York: Knopf, 1980), 11

[26] Peter Gay, *Schnitzler's Century: The Making of Middle-Class Culture, 1815-1914* (New York and London: W. W. Norton, 2002), 65.

hitherto unprecedented usage of vagrant harmonies, chromatic substitutions and alterations, and a general weakening of functional syntax.[27] "Lockung" certainly counts among the most challenging songs of that group. Schoenberg discussed it twice in his theoretical writings in connection with the concept of fluctuating tonality (*schwebende Tonalität*). The composer never defined fluctuating tonality other than by way of musical examples. In the 1922 edition of his *Theory of Harmony*, he wrote that "Voll jener Süsse," Op. 8, No. 6 and "Lockung" represented "two pregnant examples of fluctuating tonality from my own compositions."[28] "Voll jener Süsse" expresses this technique by oscillating between the keys of D-flat and B major. As for "Lockung," Schoenberg wrote that it "expresses an E♭-major tonality without once in the course of the piece giving an E♭-major triad in such a way that one could regard it as a pure tonic. The one time it occurs [m. 50] it has at least a drive toward the subdominant."[29] Schoenberg also explained that "if the key is to fluctuate, it will have to be established somewhere. But not too firmly; it should be loose enough to yield. Therefore, it is advantageous to select two keys that have some chords in common…"[30] "Lockung" offers a case in point: C minor jockeys throughout with E flat major for tonal priority. A little over four decades after the harmony treatise, Schoenberg turned again to "Lockung" in *Structural Functions of Harmony*. Here, he provided a roman-numeral analysis of its first twenty-three bars in both the tonic and the submediant keys.[31]

Christopher Lewis has tackled the song's *schwebende* aspects most directly,

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[27] The Op. 6 songs were published in January of 1907 by Dreililien. See Frisch, *The Early Works of Arnold Schoenberg*, 82n7.
[28] Schoenberg, *Theory of Harmony*, 383.
[29] Ibid., 383.
[30] Ibid., 384.
[31] Schoenberg, *Structural Functions of Harmony*, 111-113. In the *Theory of Harmony*, Schoenberg also coined the term "suspended tonality" (*aufgehobene Tonalität*) to describe the momentary annulment of a sense of key, a procedure he described as especially salient in the music of Bruckner and Wolf.

making a convincing case that it expresses a double-tonic complex.[32] William Kinderman defines this concept, most often applied to music of the second half of the "long" nineteenth century, as "the juxtaposition of two key areas which together comprise the tonal center for a musical unit," or "the basing of large sections… not on one stable sonority but on the tension between two tonal centers." [33] Most analyses of "Lockung," while recognizing the crucial role of C-minor, give structural precedence to E-flat major. Of course, there are good reasons to do so, beginning with the fact (noted above) that Schoenberg designated E-flat as the song's tonic in both *Theory of Harmony* and *Structural Functions*. Moreover, the song's B-major middle section relates to the E♭-major tonic as its flat submediant (enharmonically respelled), and finally, the song ends on the pitch (if not the chord) E-flat.[34] Nevertheless, Lewis suggests that E-flat major and C minor claim equal footing. He compellingly demonstrates, through analyses of brief excerpts, Schoenberg's "exploitation of ambiguous and common harmonic functions; implication of the two tonics in succession or alternation; [and] direct superposition of lines and textures implying one tonic upon those implying another."[35] In what follows, I shall build on Lewis's analytical snapshots by identifying larger-scale processes that involve the interaction of the two keys. This technique, giving rise as it does to an intensely dissonant surface and disorienting middle-ground, draws out the

[32] Christopher Orlo Lewis, "Mirrors and Metaphors: On Schoenberg and Nineteenth-Century Tonality," *19th-Century Music* 11 (1987): 26-42.
[33] William Kinderman, "Dramatic Recapitulation in Wagner's *Götterdämmerung*," *19th-Century Music* 4/2 (1980): 102n and 106. We owe the terms "double-tonic complex" and "tonal pairing" to Robert Bailey's analysis of the *Tristan* Prelude. See his "An Analysis of the Sketches and Drafts," in *Tristan und Isolde: Prelude and Transfiguration* (New York: W. W. Norton, 1985), 113-146. See also William Kinderman and Harald Krebs, eds., *The Second Practice of Nineteenth-Century Tonality* (Lincoln: University of Nebraska Press, 1996) for a collection of essays on the topic of tonal pairing.
[34] Accordingly, Pieslak proposes a $\hat{3}$-$\hat{2}$-$\hat{1}$ *Urlinie* over a large-scale vi-V-I bass progression in E-flat major, and Gonzales argues for a middle-ground vi6-V-I progression. Allen Forte also takes the view that the song's main tonality is E-flat major. See Pieslak, "Conflicting Analytical Approaches to Late Nineteenth- and Early Twentieth-Century Tonal Music," 54-68; Gonzales, "Text-Music Relationships in the Early Songs of Arnold Schoenberg," 133-148; and Allen Forte, "Schoenberg's Creative Evolution: The Path to Atonality," *The Musical Quarterly* 64/2 (1978): 152-159.
[35] Lewis, "Mirrors and Metaphors," 40.

text's violent tenor, giving a visceral edge to a rather unremarkable piece of poetry, and accounting in large part for the "intensity of expression" that Adorno found so striking in Schoenberg's setting.

The song's disquieting expressive character results in large part from Schoenberg's composing out of a referential, but dissonant and unstable, sonority that fuses elements from both E-flat major and C-minor. Of course, the theoretical conceit that a hybrid referential collection might replace a monotonal tonic is not new in itself; in his discussion of Mahler's Ninth Symphony, Lewis has designated as a "tonic sonority" the collection that results from the conflation of two third-related chords.[36] Lewis's tonic sonority, however, is an abstraction that represents the tonics' common tones and their derivation from one another by 5-6 motion. In Lewis's analysis, the double-tonic complex also serves as a font of motivic material. In "Lockung," by contrast, Schoenberg sounds the two components of the referential collection simultaneously. These two constituents, moreover, are two dissonant sonorities rather than the paired tonics themselves. The first, which we will call *chord x*, is the augmented triad built on the tonic E-flat <E♭-G-B♮> that appears in measure 3 in the right hand of the piano (see **Example 3.4**). The second, *chord y*, is the incomplete dominant seventh of C minor, <G-B♮-F>, found in measure 1 in the left hand of the piano. The combination of these two chords yields the sonority <E♭-G-B♮-F>, the very first to sound at the opening of the song. I will refer to collection <E♭-G-B♮-F> as *motive xy* whenever it is heard as a verticality or composed-out horizontally.

"Lockung" is a tripartite ABA' form (mm. 1-31, 32-47, 48-65). Schoenberg composes out motive *xy* twice over the first 47 measures, cutting across the formal and tonal divisions between sections A and B. Most analysts understand the song's opening

[36] Christopher Orlo Lewis, *Tonal Coherence in Mahler's Ninth Symphony* (Ann Arbor, MI: UMI Research Press, 1984), 6.

Example 3.4 “Lockung,” mm. 1-15

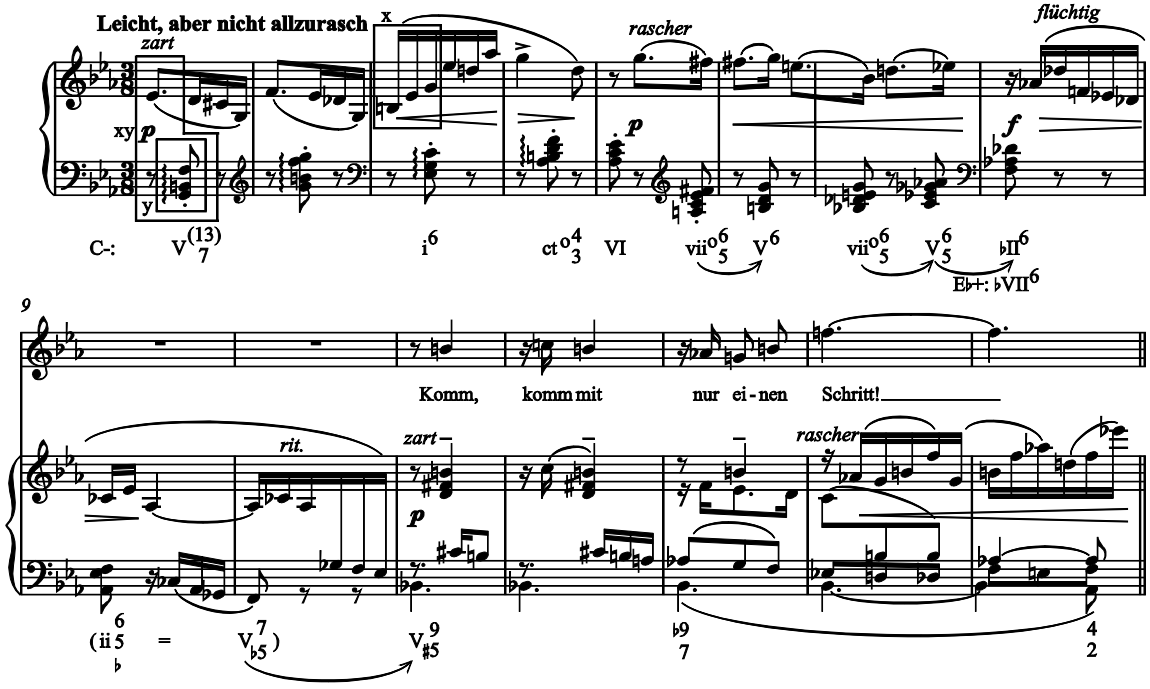


Figure 3.1a “Lockung,” mm. 1-15, motives x, y, and xy

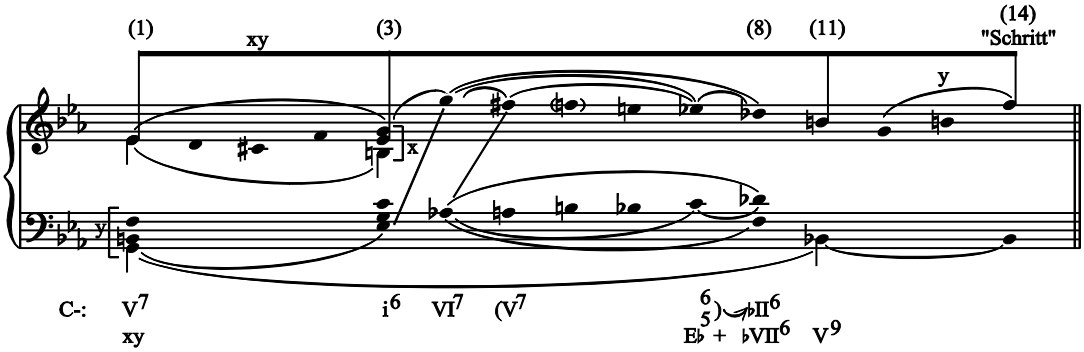
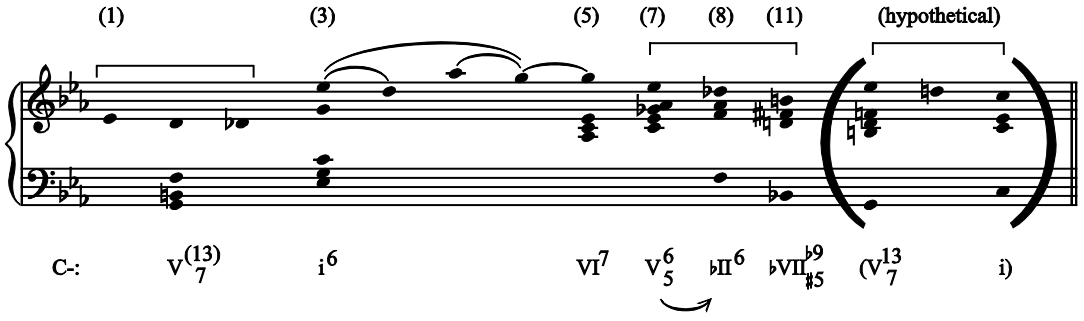


Figure 3.1b “Lockung,” mm. 1-15, hypothetical cadence in C minor



fifteen measures to express C minor (mm. 1-10) and E-flat major (11-15) in succession.[37] This passage comprises the first composing-out of motive *xy*, over which the protagonist calls for the first time "Komm, komm mit nur einen Schritt." As we have already mentioned, and as **Figure 3.1a** shows, motive *xy* forms the song's very first sonority, with E♭4 in the right hand of the piano sounding over chord y in the left hand. While chord y proceeds to a C-minor triad, expressing a V7-i progression in measures 1-3, E♭4 ascends to G in the upper voice via the passing tone F and descends to B♮ by stepwise motion in an inner voice, resulting in the apparition of chord *x* at measure 3. Schoenberg then transfers G4 up an octave at measure 3, marking the onset of a chromatic wedge that prolongs VI7. The wedge is symmetrical around the axis of D♭, which it finally reaches at m. 8, conferring harmonic stature to the "non-chord" C♯/D♭ of measures 1-2 as the root of ♭II. (As we shall see, Schoenberg reworks both the wedge and its underlying A♭-F bass motion in the next, expanded composing-out of motive *xy*.) The D♭$^{6}_{5}$ chord of measures 8-10 then proceeds to the dominant ninth of E-flat major as the upper line of the wedge moves down one further step to B♮ (m. 11), the dominant's enharmonically respelled ninth (C♭). The appearance of B♮ on the words "Komm, komm mit" completes the projection of chord *x* <E♭-G-B♮> over measures 1, 3, and 11.

We should note that Schoenberg, had he wanted to, could easily have concluded the phrase in C minor with a structural frame rather than veering towards E-flat major.[38] In this hypothetical situation, shown in **Figure 3.1b**, a cadential V13-i follows ♭VII; this dominant thirteenth recalls the opening motive *xy* and expresses normative melodic closure after Schoenberg's reworking of the initial <E♭-D-D♭> of bar 1 into <E♭-D♭-B♮> at bars 7-8 (see the brackets in the figure). Schoenberg, however, is not preoccupied with clarifying harmonic and melodic ambiguities. Rather, his turn to E-flat minor allows

[37] See Allen Forte, "Schoenberg's Creative Evolution," 152-155.
[38] On structural framing, see Chapter 2, n56.

him, contrary to the hypothetical cadence of Figure 3.1b, to compose out motive *xy* <E-G-B♮-F>. Over the prolonged and altered dominant ninth of E-flat, Lewis notes, Schoenberg arpeggiates the incomplete dominant of C, our chord y, in the vocal part and the right hand of the piano at measure 14.[39] The arrival on F at the word "Schritt" literally marks the "step" at which motive *xy* is completed.

The next composing-out of motive *xy* encompasses the remainder of section A as well as the whole of section B (see **Example 3.5** and **Figure 3.2)**. In measures 16-19, the protagonist beckons: "Hab schon gegessen, will dich nicht fressen," words which bring about a return to the materials of measures 1-4: motive *xy* sounds at bar 16, with chord *x* <E♭-G-B♮> expressed over the four-measure entreaty. The harmonic motion between the dominants of C and E-flat that we observed in measures 1-11 recurs in measures 16-23. Here, however, Schoenberg completely reworks the intervening harmonies. First, he replaces the wedge's lower line with two dissonant sonorities built on A♭/G♯ at bars 20 and 22, which he analyzes in *Structural Functions of Harmony* as dominant substitutes in the key of E-flat.[40] As Cynthia Gonzales points out, however, "while plausible within Schoenberg's theoretical world, [this analysis] is not audible within 'Lockung''s musical world."[41] Indeed, the chords at bars 20-22—two different whole-tone pentachords at measures 20 and 21, and a highly altered B-flat "dominant" chord missing its root at bar 22—hardly express a consistent dominant function. Gonzales suggests that measures 19-23 instead expand the deceptive V-VI motion in C of measures 4-5. Moreover, before the dominant of E-flat enters at bar 23, Schoenberg stabilizes the previously volatile A-flat by

[39] Lewis, "Mirrors and Metaphors," 38. Lewis notes how the superimposition of the G7 chord over the B♭9 chord reverses the process of mm. 1-3, where harmonies in C support a melody in E-flat.
[40] Schoenberg, *Structural Functions of Harmony*, 113. Schoenberg analyzes the chord at m. 20 as a dominant with flattened ninth and fifth; at m. 21, as a dominant with major ninth, sharpened and flattened fifth; and at m. 21, as a dominant with implied root, minor ninth, seventh, and sharpened fifth.
[41] Gonzales, "Text-Music Relationships in the Early Songs of Arnold Schoenberg," 135-136

reconverting it into IV6 of E-flat (m. 23, first beat). At a deeper level of structure, I would suggest that measures 20-22 act as passing harmonies connecting V/C to V/E-flat.

Example 3.5 "Lockung," mm. 16-23

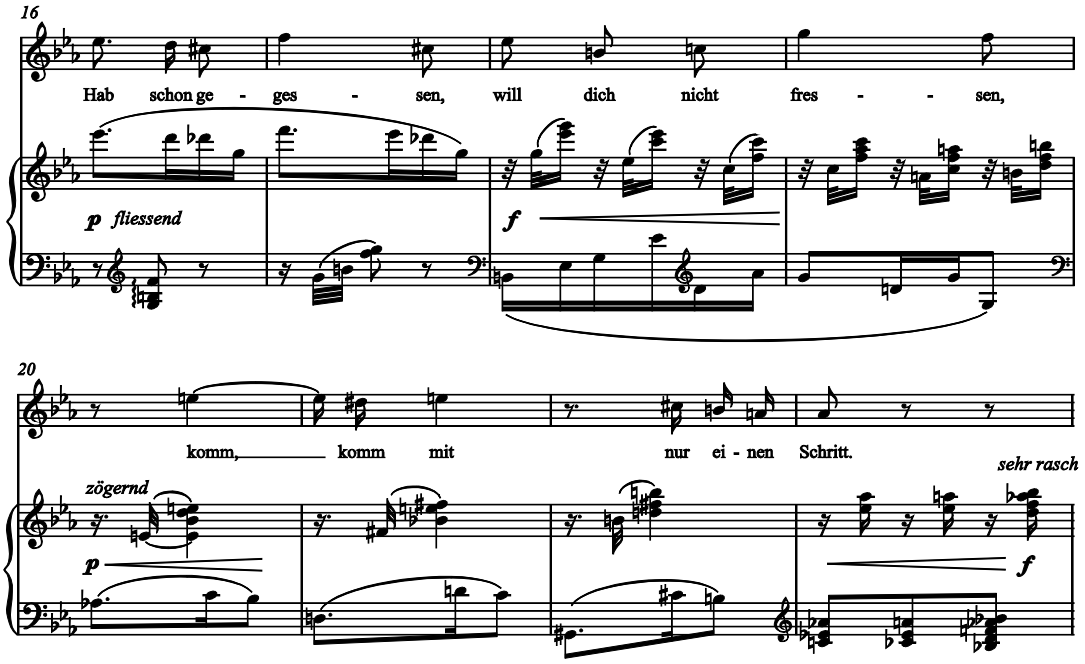
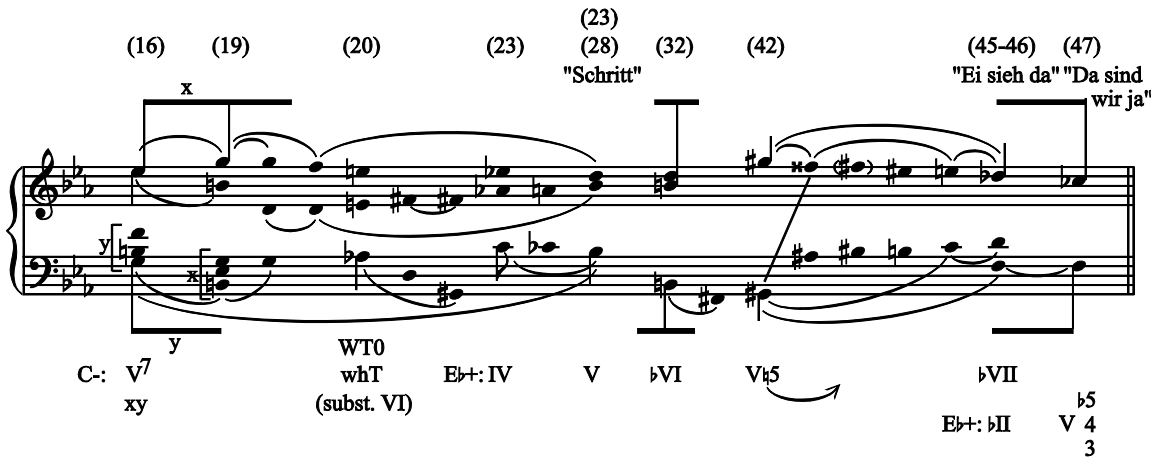


Figure 3.2 "Lockung," mm. 16-47



In bars 19-32, Schoenberg also recomposes the chromatic descent that regulated the upper voice in measures 3-11. Rather than extending all the way from G5 to B♮5, this time the line pauses on D5 at bar 23 in an inner voice of the piano (r.h.), immediately after the word "Schritt." The protagonist repeats his exhortation "Komm, komm mit, noch einen Schritt" over a prolongation of V/E-flat (mm. 26-28, not shown in Example 3.5) that brings back D in the voice part on the word "Schritt" at bar 28. This last D marks the end of section A, but the chromatic descent begun at measure 19 continues. B♮ finally materializes at the onset of section B (m. 32 in Figure 3.2) with the modulation to the flattened submediant of E-flat.[42] Forte has shown how in section B the bass moves broadly from I to V (B♮ to F♯) while the upper voice prolongs and decorates B♮ in ways that exemplify "Schoenberg's extraordinary command of late nineteenth-century procedures and his idiomatic extension of them."[43] More importantly for our purposes, however, is that the song's middle section bestows tonal and formal salience upon one of the two pitches common to chords x and y and that the arrival of B♮ at bar 32 completes the composing-out of chord *x* (<E♭-G-B♮>) begun in bar 16.

But what of chord y <G-B♮-F>, the other constituent of motive *xy*? Here we must turn to the bass voice. The bass G3 that had sustained the upper-voice E♭5 and G5 at measures 16 and 19 proceeds at measure 32 to B♮, introducing the second pitch of chord y. It will be the role of the retransition to the final A' section (mm. 42-47, **Example 3.6**) to furnish the missing F. Schoenberg wrote of those measures that

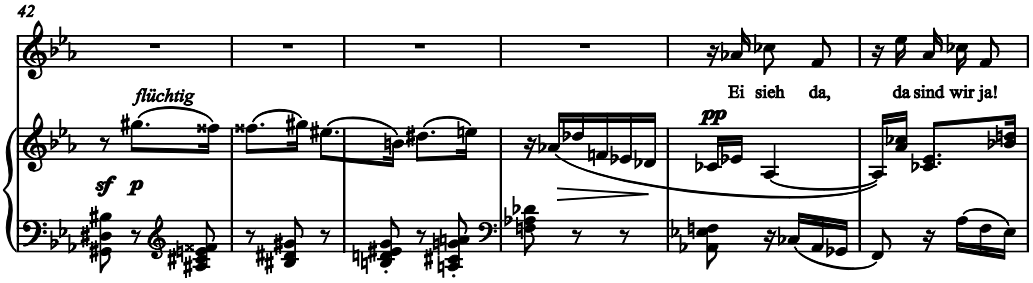
> the contrasting modulatory section… uses for a retransition (i.e. modulation back), the segment mm. 5-10 in mm. 42-47… It begins (in m. 42) and ends (45-46) at the same chords as mm. 5 and 8-9 respectively. The

[42] In fact, B♮ already sounds at m. 31 (voice part) over V7/E-flat with the pick-up <B♮-C♯-D♯>, briefly reproducing the <B♭/B♮> superimposition within the B♭ ninth chord of m. 11.
[43] Forte, "Schoenberg's Creative Evolution," 154.

> fine point is that this similarity is produced in spite of the transposition of the melody a half-step higher (mm. 42-44).[44]

Thus, despite the transposition of measures 5-7 a semitone up at measures 42-44, the lowest voice still traces a trajectory that outlines the (altered) secondary dominant of a D-flat chord.

Example 3.6 "Lockung," mm. 42-47, retransition, "Ei sieh da, da sind wir ja!"



This time around, however, the D-flat chord moves to V9 of E-flat in second inversion rather than in root position (mm. 45-47), preserving F in the bass voice and pushing the arrival of the bass B♭ into section A'. The ♭II and altered dominant harmonies support the speaker's proclamation of triumph as he successfully corners his victim: "Ei sieh da, da sind wir ja!" Both "da"s mark points of structural and dramatic arrival. The first corresponds to the completion of a large inner-voice, "tenor" line which ascends through <G-A♭-B♭-B♮-C-D> across half of section A, all the way through the B section, and across the retransition (see mm. 16, 20, 23, 32, 44, and 45 in Figure 3.2). Moreover, the bass voice completes at the second "da" (m. 47) its large-scale composing-out of collection y <G-B♮-F>. Thus, the second part of section A and the entirety of section B together articulate an expanded motive *xy*, the *y* component in the bass supporting the *x* component in the upper voice. Compare this moment of completion to how Schoenberg might have proceeded had he interpreted the poem as a seduction narrative: in this

[44] Schoenberg, *Structural Functions of Harmony*, 111. For consistency, I have used the abbreviation mm. for measures rather than mss. as used in *Structural Functions.*

scenario, he likely would have underscored the moment of "success" with a passionate climax, for example an (orgasmic) tonic-key thematic return following a dissonant, tension-fraught passage. In Schoenberg's marginally tonal middle-ground, the points of structural closure at bars 45-47 are sinister ones: the speaker has succeeded in luring his prey.

Then, feigning benevolence —"pst nur kein Schreckchen"—and coldly indifferent to his victim's protests—"jetzt hilft kein Schrein"—he victoriously traps her: "mein bist du, mein!" Schoenberg responds to this shift from persuasion to coercion to entrapment by replacing the incremental unfoldings of motive *xy* that governed sections A and B with dissonant clashes between materials from the previous sections. First, at measures 49-53, he entirely recomposes the return of the song's ascent from E♭ to G. As **Example 3.7** and **Figure 3.3** show, the <E♭5-F5> portion of the ascent takes place over the dominant of E-flat rather than that of C. The subsequent bars, which support G5, count among the most harmonically ambiguous in the song. Here, Schoenberg entirely reworks the support for G5. Lewis has analyzed the chord succession at bars 51-53 as V7/C with flattened fifth, i/C, and V9/C, followed by altered dominants in E-flat at 54-55, an interpretation which demands, he writes, that we "think very quickly" through a rapid succession of non-functional chords.[45] A compelling alternative may be found if we focus on the song's principal motives rather than on harmonic functions. Figure 3.3 shows that in measures 50-51, Schoenberg transfers the <E♭-(D-D♭-G)-F-(E♭-D♭)> (cf. mm. 1-2 and 16-17) to the left hand of the piano; only thereafter does he produce chord *x* (m. 52). Meanwhile, in bars 48-52, the vocal part sounds an expanded version of the characteristic inner-voice descent <E♭-D-C♯-[B♮]>. Schoenberg dwells on C♯/D♭ at bars 50-52, delaying the arrival of B♮ until measure 52, in the right hand of the piano.

[45] Lewis, "Mirrors and Metaphors," 40.

When B♮ finally enters, Schoenberg interprets it as the third of V9/C, of which *y* is a subset. Measures 49-53, therefore, are framed by the dominants of E-flat and C, reversing the order in which they appeared at measures 1-14 and 16-23 (see Figures 3.1 and 3.2 above).

Example 3.7 "Lockung," mm. 48-65

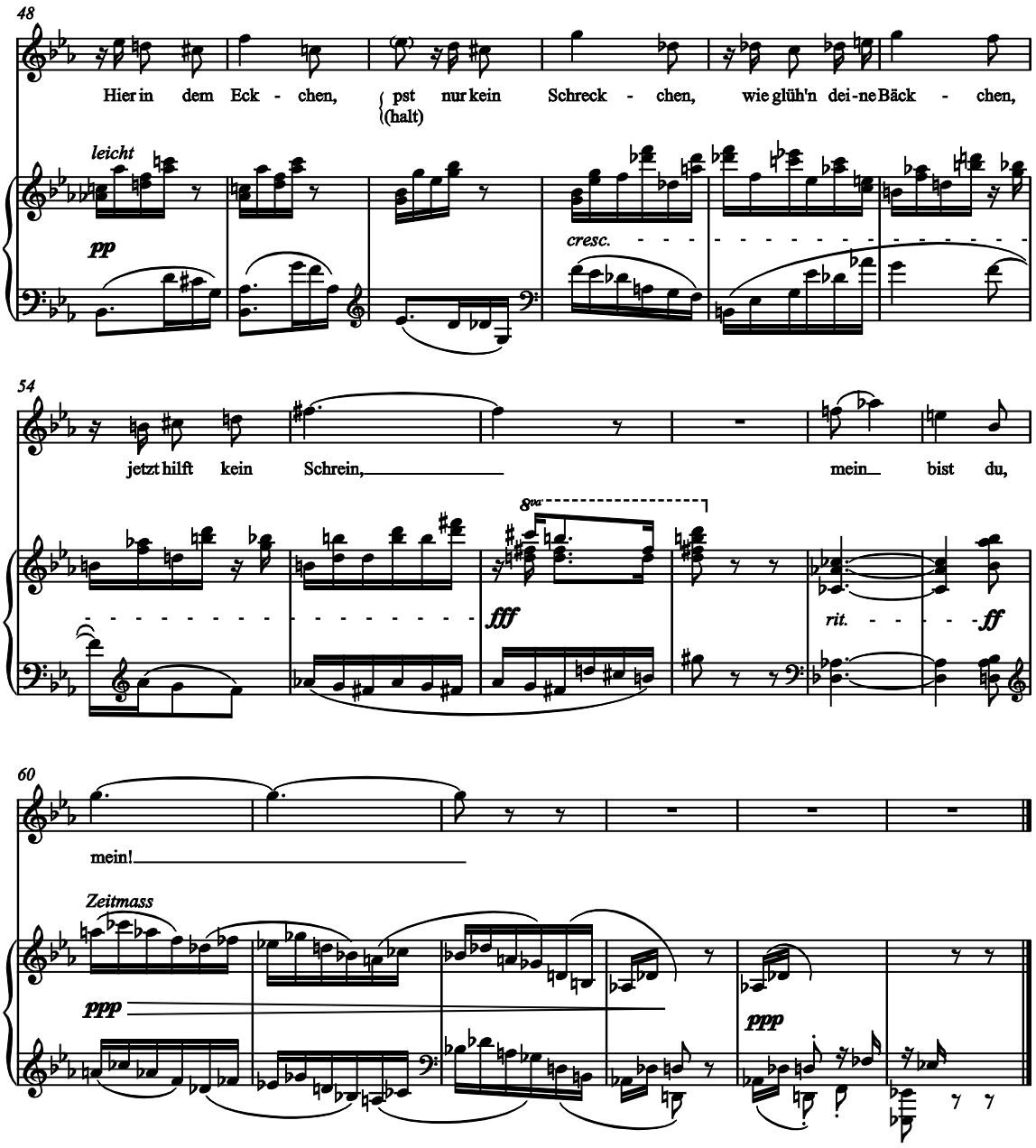
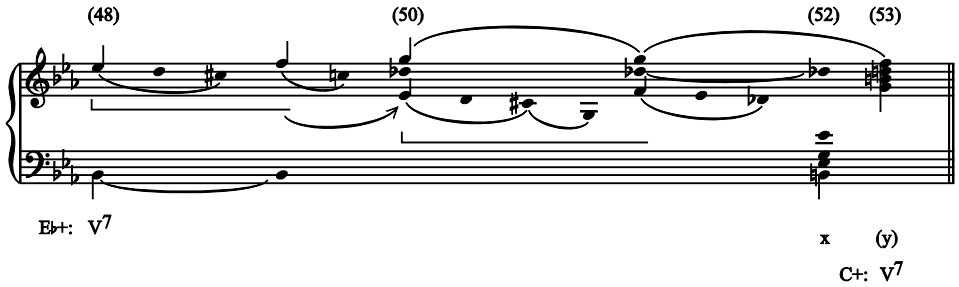
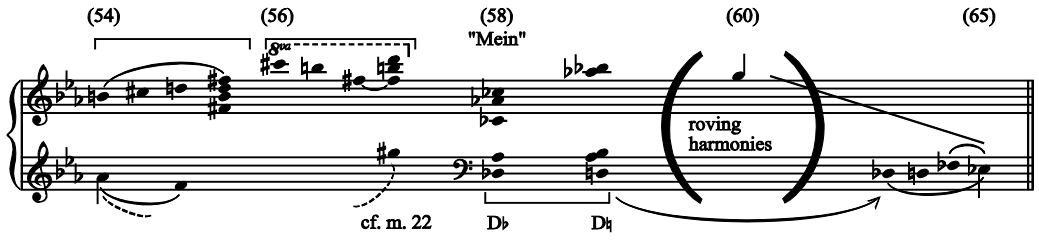


Figure 3.3 "Lockung," mm. 48-53



The song now approaches its climactic point, the moment at which the speaker's entrapment plot succeeds. Schoenberg further builds on the momentum of the preceding bars by incorporating dissonant echoes from the B section. The protagonist's menacing "jetzt hilft kein Schrein" (**Figure 3.4**, doubled by the piano, r.h.), reproduces the <B♮-C♯-D♯-F♯> that opened section B (with "Kaum zwei Zehen weit"). The left hand of the piano, meanwhile, retraces the now-familiar A♭-F bass motion at bar 54 and climactically rises to G♯5 at bar 57: the progression recalls the A♭-G♯ root motion of measures 20-22 (see Example 3.5 above), ending on the same <G♯-B-D-F♯> chord. The protagonist triumphantly cries his final proclamation of victory, "mein bist du, mein," (mm. 58-59) above a ♭VII-V$^{6}_{5}$ progression in E-flat. The ♭VII-V motion, of course, derives from measures 8-11 and 45-48; this time the D♭-D bass motion anticipates the song's final sonorities. As many analysts have observed, the song closes without cadential articulation, and indeed without even sounding a full tonic triad. E-flat is simply approached by semitonal motion from above and below, recasting the semitone D♭-D♮ in the process.

Figure 3.4 "Lockung," mm. 54-65



In the essay cited at the beginning of our discussion of "Lockung," Adorno offered these thoughts on dissonance:

> …the expressive element as such, which originally dominates him [Schoenberg], has been linked since the inception of the newer music with so-called dissonance. The more the consonances declined, becoming mere building blocks in the tonal schema, the more completely the power of subjective expression passed to dissonance.[46]

In "Lockung," dissonance is not yet a matter of breaking free of tonality, as it would become a few years hence. It is precisely because the lied is still anchored in tonal procedures that the dissonance takes on such significance: Schoenberg promises resolution, but constantly displaces or thwarts it by commingling two keys. Together with "Warnung," "Lockung" stands at a pivotal point in Schoenberg's career, at which his conception of music and sexuality evolved from a premise of resolution to one of tension and violence. Compare, for example, the tonal and formal strategies employed in these songs with those of *Verklärte Nacht*. In the latter, an affirmative conclusion to the post-Wagnerian narrative of transfiguration comes about through the progressive clarification of an ambiguous chord's harmonic function until it leads to cadential resolution and a glorious denouement. "Warnung," by contrast traffics not in resolution but in the tension that palls over its absence: in order to express conflict between primal drive and its mastery, and the outburst of violence that it engenders, Schoenberg confers architectonic status upon the ambiguous alpha chord and recursive plagal progressions, thereby undermining the conventional workings of tonal hierarchy and harmonic progression.[47] And finally, in "Lockung," dissonance mercilessly proliferates, both on the surface and at deeper levels of structure, resulting in a sound world that redoubles the cruelty of the text's scenario.

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[46] Adorno, "Toward and Understanding of Schoenberg," 635.
[47] Here I am paraphrasing Cone, "Sound and Syntax," 28: "…the harmonic motion is assigned to progressions once typically subsidiary or even decorative."

In Chapter 1, we positioned three modernist waltzes against the fin-de-siècle crisis of masculinity that Mosse has theorized. The befuddled waltz of Ochs helps characterize him as a comedic lecher who serves as a countertype to a traditional masculinity that *Der Rosenkavalier* reaffirms, while Mahler and Berg's stylizations of the dance respectively aestheticize the impact of this crisis on individual consciousness (alienation and powerlessness) and one of its constituent forces (male madness). Like the latter two examples, "Warnung" and "Lockung" may be understood to give voice directly to the anxieties surrounding masculinity at the turn of the century. In both, the speaker engages in a horrifyingly over-determined antidotal act that confuses the will to power for willpower: sexual violence, the rawest and most extreme form of subjugation.

"DU LEHNEST WIDER EINE SILBERWEIDE," OP. 15, NO. 13

With Richard Dehmel, Stefan George was Schoenberg's most important literary influence before World War I. Yet one could hardly imagine two more different poets. Whereas Dehmel tended towards lyricism, expansiveness, and formal organization freely shaped by inspiration, George favored condensation, understatement, and traditional forms. In contrast to Dehmel's direct and vigorous brush strokes, George chiseled cryptic symbols and allusions that embodied his dictum that "rigorous measure is also the highest freedom."[48] (Perhaps unsurprisingly, the two poets came to detest one another.[49]) The poems that Schoenberg selected for his fifteenth Opus, composed between March 1908 and February 1909, testify to George's gift for conjuring evanescent and mesmerizing visions with concise, crystalline rhymes. These texts comprise the middle part of a

[48] "Strengstes maass ist zugleich höchste freiheit." Quoted in Robert Vilain, "Stefan George's Early Works," in *A Companion to the Works of Stefan George*, ed. Jens Rieckmann (Rochester, NY: Camden House, 2005), 51. On the poetry of George, see also Michael M. Metzger and Erika A. Metzger, *Stefan George* (New York: Twayne Publishers, 1972). Note that George abandoned capitals letters for German nouns early in his career.
[49] Vilain, "Schoenberg and German Poetry," 15.

triptych recounting the coming-of-age of a young prince-priest as he explores, in George's words, the "oriental, bizarre, and luxuriant" gardens of Babylon.[50] Following Baudelaire' *Les Fleurs du mal*—excerpts of which George translated and published in 1891 as *Die Blumen des Bösen*—the decaying garden became a common metaphor for decadence and eroticism among late nineteenth- and early twentieth century artists. Oskar Kokoschka's *Die Träumenden Knaben*, Ernest Chausson's *Serres chaudes* on poems by Maurice Maeterlinck, or Berg's lied *Warm die Lüfte*, Op. 2, No. 4 on a poem by Alfred Mombert, offer but a few examples of turn-of-the-century works in which tortured garden/nature imagery stands for ambiguous and decadent sexuality.[51] In *Das Buch*, such imagery mirrors the prince's discovery of love as he courts, conquers, and loses a beautiful beloved. The greening foliage and groves that welcome him into the garden (songs 1 and 2) bloom into lush blossoms that vividly evoke, at the peak of the cycle, female sexual organs (song 10) and that finally wither and die, symbolizing the lovers' growing estrangement from one another (songs 13-15). Julie Brown has suggested that the elusive beloved shares traits not only with Semiramis, the legendary ruler of Babylon circa 800 B.C.—and an icon of sexual excess and debauchery—but also with the mythical Ishtar, goddess of sexual love and fecundity who enslaves, subdues, and figuratively castrates her innumerable lovers.[52] In the end, the beloved and her

[50] George, letter to Edmond Rassenfosse, March 1894, cited in ibid., 63. This triptych is itself the last part of the *Bücher der Hirten- und Preisgedichte, der Sagen und Sänge, und der hängeden Gärten* (*The Books of Eclogues and Eulogies, of Legends and Lays, and the Hanging Gardens*), published in 1895. The *Eclogues* and *Legends* evoke respectively Greek Antiquity and the Middle-Ages.

[51] On the decaying garden as a symbol for disintegrating Viennese bourgeois values, including a discussion of Schoenberg's Op. 15 and Kokoschka's *Die Träumenden Knaben*, see Schorske, *Fin-de-siècle Vienna*, chapters 6 ("The Transformation of the Garden") and 7 ("Explosion in the Garden: Kokoschka and Schoenberg."). For Albrecht Dümling, George's oriental gardens constitute a "collective dream-symbol" and represent an esoteric retreat into a sheltered inner world away from mundane reality. Albrecht Dümling, *Die fremden Klänge der hängeden Gärten: Die öffentliche Einsamkeit der Neuen Musik am Beispiel von Arnold Schönberg und Stefan George* (Munich: Kindler Verlag, 1981), 76.

[52] Julie Brown, "Schoenberg's *Das Buch der Hängenden Gärten:* Analytical, Cultural, and Ideological Perspectives" (PhD diss., King's College, University of London, 1993), 154-159. Ida Coblenz (the future Ida Auerbach and Ida Dehmel), George's muse at the time he wrote the *Hanging Gardens*, called the poems the *Semiramis-Lieder*. Thus, the same woman inspired the texts for Schoenberg's Opp. 4 and 15. Infuriated by Ida's admiration for a poet he despised, George eventually severed all ties with her.

gardens prove lethal: "the garden becomes a metaphor for the woman herself, a location stumbled on and experienced with certain mystery. George's poems invoke something of the medieval notion of *hortus conclusus* [the enclosed garden]: woman's body as something in which man is lost."[53] Ultimately, as Bryan Simms points out, the prince's "encounter with love… has emasculated him, causing him to lose his zest for power, conquest and duty": in the final part of George's *Buch* (which Schoenberg did not set), the prince abdicates and becomes the slave-poet to a pasha, and contemplates drowning himself in a river.[54]

The second part of the cycle foreshadows the prince's fate. After the consummation of the lovers' desire, which Adorno believes takes place between songs 9 and 10, alienation and morbid inwardness steadily take over the cycle.[55] Analysts have lavished much attention on song 11 ("Als wir hinter dem beblümten tore"), where Schoenberg portrays the prince's irresolute reminiscences of bliss with a tight motivic web; and on the elliptic No. 14 ("Spricht nicht"), where aphoristic materials that Adorno hailed as a model for Webern represent disillusioned evocations of nature.[56] In what follows, I will focus upon "Du lehnest wider eine silberweide" (No. 13; see its text below). Here, a picture of ambiguous playfulness and intimacy rapidly degenerates into one of irremediable alienation. The beloved attempts to dazzle the narrator with her scintillating jewels, yet the sharp points of the fan she unfolds exude faint menace.

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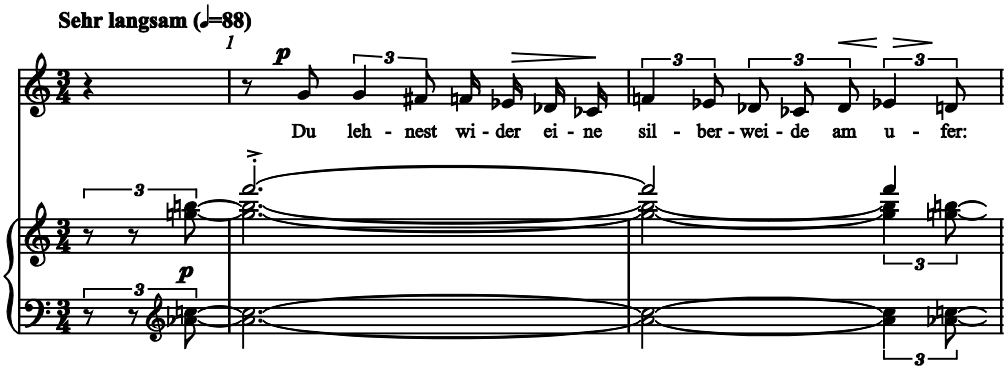
[53] Ibid., 159-160.
[54] Bryan R. Simms, *The Atonal Music of Arnold Schoenberg, 1908-1923* (Oxford and New York: Oxford University Press, 2000), 46.
[55] See Theodor W. Adorno, "Zu den Georgeliedern," in *Gesammelte Schriften*, vol. 18, ed. Rolf Tiedemann and Klaus Schultz (Frankfurt: Suhrkamp, 1984), 414; reprint of *Arnold Schoenberg: Fünfzehn Gedichte aus* Das Buch der hängenden Garten *von Stefan George* (Wiesbaden: Insel Verlag, 1959), 76-83.
[56] Adorno, "Zu den Georgeliedern," 416. Selected articles on lieder XI and XIV include Reinhold Brinkmann, "Schönberg und George: Interpretation eines Liedes [Op. 15, No. 14]," *Archiv für Musikwissenschaft* 26 (1969): 1-18; Harald Krebs, "Three Versions of Schoenberg's Op. 15, No. 14: Obvious Differences and Hidden Similarities," *Journal of the Arnold Schoenberg Institute* 8/2 (1984): 131-140; and David Lewin, "Toward the Analysis of a Schoenberg Song, Op. 15, No. XI," *Perspectives of New Music* 12/1-2 (1973-1974): 43-86.

Watching her from a distance, the young prince proves unable to persuade her to join him in his boat, a failure that foreshadows their imminent parting and expresses his loss of agency.

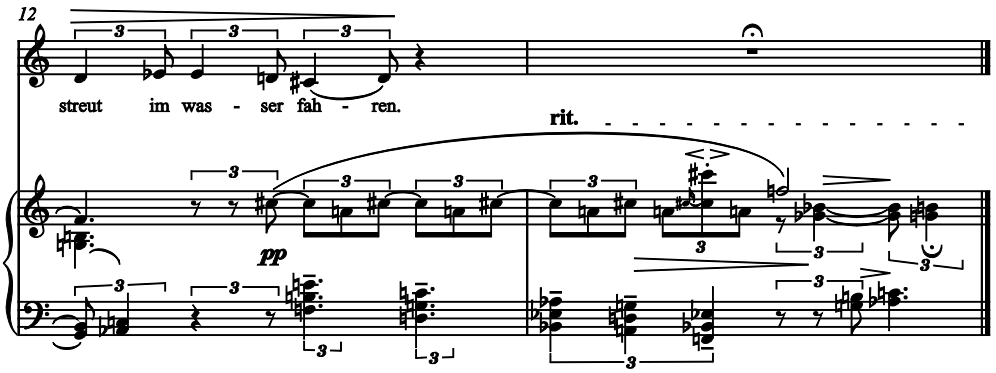
Schoenberg, Op. 15, No. 13 "Du lehnest wider eine silberweide" (Stefan George)

Du lehnest wider eine silberweide	You lean against a silver willow
am ufer, mit des fächers starren spitzen	On the bank, with your fan's stiff arrows
umschirmest du das haupt dir wie mit blitzen	Held like a halo around your head as of lightning
und rollst, als ob du spieltest, dein geschmeide.	And you play with your jewels.
Ich bin im boot, das laubgewölbe wahren	I am in the boat beneath the trees' green arches
in das ich dich vergeblich lud zu steigen...	And hope in vain to lure you to me…
Die weiden seh' ich, die sich tiefer neigen	The willows bow their mourning heads still lower
Und blumen, die verstreut im wasser fahren.	And fallen blossoms drift along the river.[57]

Example 3.8a Op. 15, No. 3, mm. 1-2



Example 3.8b Op. 15, No. 3, mm. 12-13



[57] Translation adapted from Robert Erich Wolf, *Arnold Schoenberg: Pierrot lunaire, Op. 21, The Book of the Hanging Gardens, Op. 15*, Elektra Nonesuch 79237-2, 1990.

As may be seen in **Examples 3.8a** and **b**, "Du lehnest wider eine Silberweide" begins and ends with the exact same sonority, the referential collection <A♭-C-G-B-F>. Standing in sharp contrast to the tertian partitioning of this pentachord, the last measure also features a chain of quartal harmonies. As dissimilar as these verticalities may be, the return of the original pentachord in measures 12-13 and the chords in fourths both obtain through closely related processes. Milton Babbitt has suggested that "the encompassing motion" between the opening and concluding measures "is achieved entirely through the redisposition of the intervallic content" of the referential sonority's tetrachordal subset <A♭-C-G-B>."[58] Babbitt's pithy observation will serve as our point of departure to explore how Schoenberg draws on a limited set of intervals in order to displace and reconfigure the constituents of the framing pentachord until they morph into the song's ultimate quartal sonorities. By way of this strategy, the composer creates a motivic narrative which gives formal expression to the evaporation of the lovers' idyll and the prince's estrangement from his sense of self.

The opening of the lied, as may be seen in **Example 3.9**, is rife with tertian sonorities, their salience ensured by their distinct registral positions. The upbeat to measure 1 consists of two T11- (or ic1-) related major thirds, <A♭4-C5> (piano, l. h.) and <G5-B5> (r. h.), which together form an 0145 tetrachord. The latter immediately turns into the complete referential 01457 with the addition of F6 on the downbeat of measure 1. F groups registrally with the third <G-B> in the right hand of the piano, resulting in the formation of a trichord of structural importance, which I shall call chord beta (β^1). Vestiges of Schoenberg's late tonal language, triadic sonorities and altered triadic sonorities are integral to the composer's early atonal style. As Brian Simms explains,

[58] Milton Babbitt, "Three Essays on Schoenberg and Stravinsky: *Das Buch der hängenden Gärten Opus 15 for Voice and Piano*," in *Perspectives on Schoenberg and Stravinsky*, ed. Benjamin Boretz and Edward T. Cone (Princeton: Princeton University Press, 1968), 52.

> a virtual catalogue of the most prominent harmonies in Schoenberg's early atonal music is given out in his discussion of non-harmonic tones. In the *Harmonielehre* these are shown as chords formed primarily by melodic motions supported by triads; in the atonal style… the underlying triad no longer has structural priority, but the dissonant chordal structures themselves remain and characterize the sound of the new idiom. The chords… are mainly four-notes figures… and three of the tones almost always form a major or minor triad.[59]

Simms accordingly calls these collections "triadic tetrachords." In measures 1 to 4, Schoenberg meticulously works out the triadic and "tetrachordal-triadic" implications of the opening 01457. First, he actualizes in the voice part the potential of collection β to form a sonority in stacked thirds (of the "dominant-seventh" type): the pitches that stake out the vocal part's ambitus and mark changes of direction in measures 1-2 spell the tetrachord <G-C♭-D-F>.[60] Then, in bar 3, the two major thirds of 0145 are transposed by the same interval by which they are related, T11. The resulting pair of thirds that sounds under the retained F, <G-B> and <G♭-B♭>, opens up new triadic possibilities upon which Schoenberg immediately seizes. In measures 3-4, the left hand of the piano and the voice repeatedly sound E♭ and E♮, building two ic-1 related minor triads, <E-G-B> and <E♭-G♭-B♭> that lightly brush against one another in delicate yet spiky dissonance.[61] Adorno has commented on Schoenberg's expressive use of 013478 in bars 3-4, remarking that "in an extremely soft dynamic, the 13th [song] mimes the idea of the 'fan's stiff arrows' with the play of thirds and triplets."[62]

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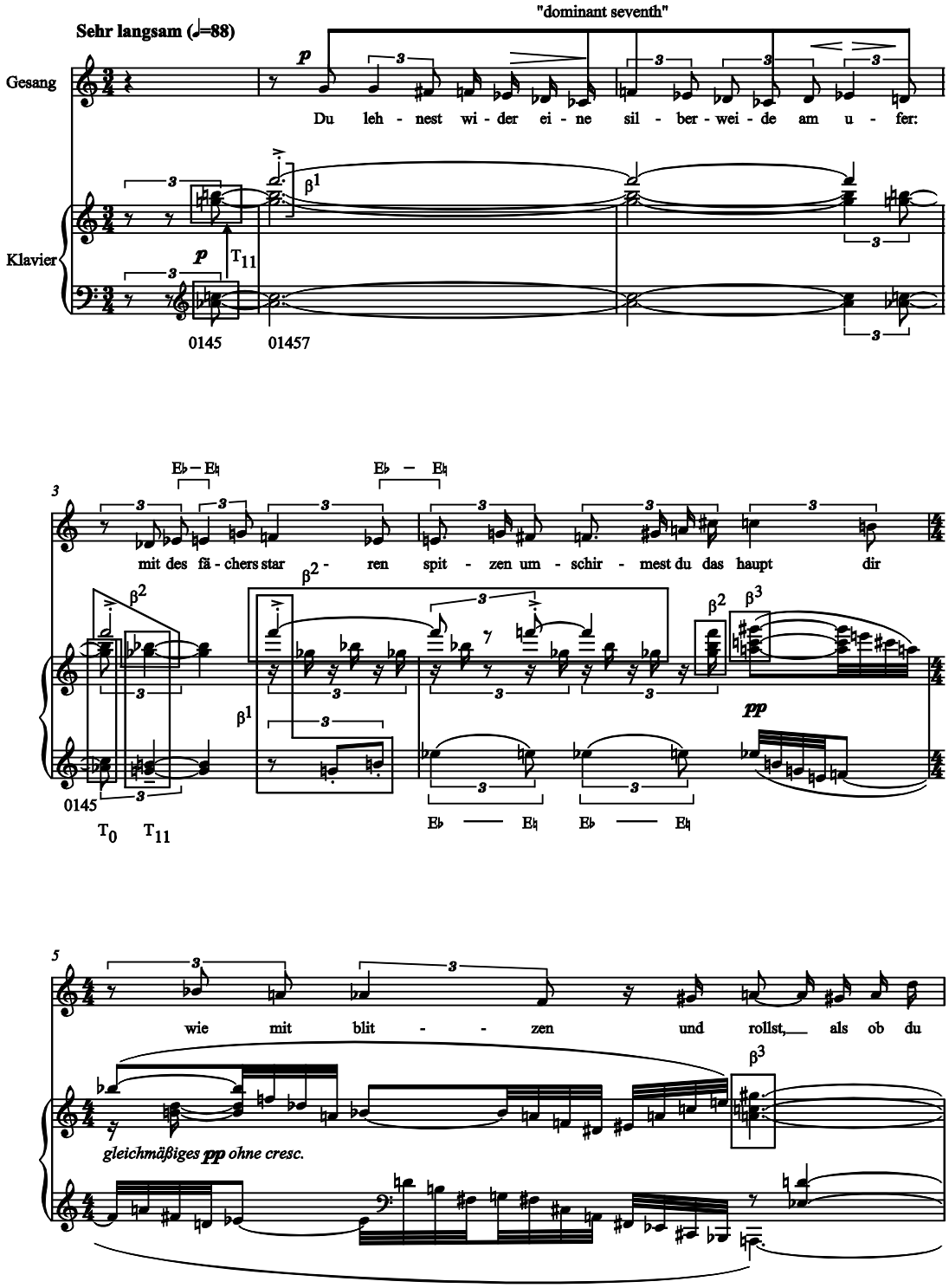
[59] Simms, *The Atonal Music of Arnold Schoenberg*, 16.

[60] With the exception of the last E-flat on "Ufer," which marks a change of direction but does not belong to the triadic tetrachord. In those opening measures, Schoenberg also draws on the whole-tone quality of β^1 and, apart from the semitones on "Du lehnest," fills in the intervals between the pitches of the triadic tetrachord with whole-tones.

[61] Set 013478, the superimposition of two minor or major triads a semitone apart, constitutes a favourite sonority among composers of the first half of the twentieth century. Stravinsky famously used it in the *Rite* to striking effect: for example, the opening of part 2 pits a sustained D-minor chord against oscillating E-flat minor and C-sharp minor triads, and the famous chord of the "Augurs of Springs" is a superset of 013478.

[62] "Wiederum extrem leise, ahmt das dreizehnte die Idee von ‚des fächers starren spitzen' im Spiel der Terzen und Triolen nach." Adorno, "Zu den Georgeliedern," 416.

Example 3.9 Op. 15, No. 3, mm. 1-5

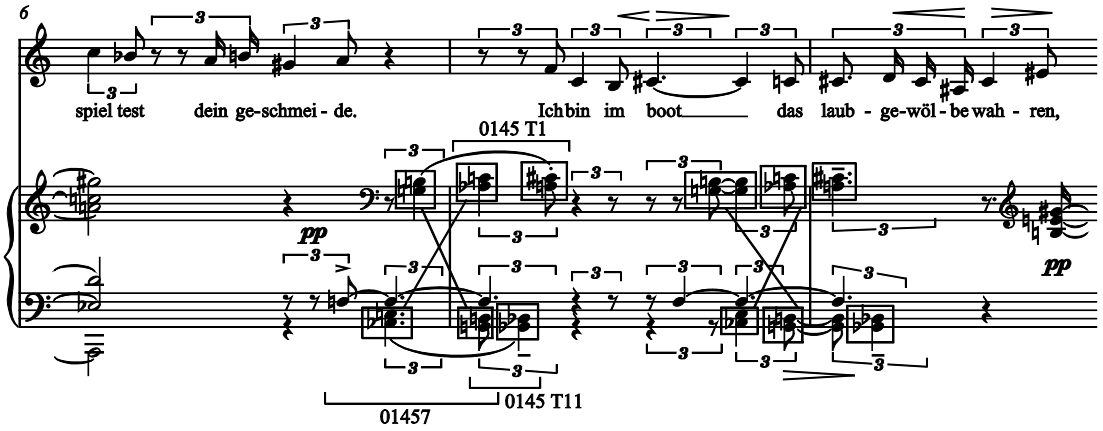


The transposition of 0145 down a semitone also brings about the first step of an incremental process which transmutes the initial tertian sonority into the quartal harmonies that close the song. Let us recall here Babbitt's words to the effect that "the redisposition of the intervallic content" of <A♭-C-G-B> underwrites the lied."[63] The transformations of β^1 <G-B-F> into β^2 <G♭-B♭-F> on the first beat of bar 3 and into β^3 <A-C-G♯> on the last beat of bar 4 exemplify Babbitt's observation. From β^1 to β^2, for example, Schoenberg preserves the motivic major third but stretches the outer interval to a major seventh. The resulting configuration, <G♭-B♭-F>, is a T10 transposition of the referential pentachord's lowest pitches, <A♭-C-G>. (Note how Schoenberg briefly superimposes β^1 and β^2 on the last beat of measure 3.) Then, β^2 proceeds to β^3, the outer voices ascending by minor third and the inner voice by a tone. The minor third derives from the interval contents of 01457. Schoenberg begins to foreground this interval with the semitone-related triads of measure 3 (see "fächers," "spitzen," and "umschirmest" in the vocal part), before using it as a transpositional interval towards β^3. As a result of this progression, the two upper notes of β^3 reconfigure the 0145 tetrachord's motivic third <A♭-C>, transferring A♭ (respelled as G♯) two octaves higher. The arrival of collection β^3 launches a cascade of triadic tetrachords in the following bar, transferring β^3 down an octave at the end of bar 5. Taken as a whole, measures 3-4 posit the <G-B> third as a centric axis between <G♭-B♭> and <A♭-C>: the T0 and T11 0145s in bar 3 feature semitonal motion to and from <G-B>, motion which the successive thirds of chords β^1, β^2, and β^3 reiterate.

The second half of the poem emphasizes images of distance and emotional withdrawal: the boat on which the beloved refuses to join the narrator, abandoned flower blossoms drifting down the current. Schoenberg responds by entirely dissociating—both

[63] Babbitt, "Three Essays on Schoenberg and Stravinsky," 52.

Example 3.10 Op. 15, No. 3, mm. 6-7



temporally and motivically—chord β from the referential 01457. The composer begins by restating 01457 at measures 6-8, elaborating its the dynamic potential to coalesce through semitonal displacement of its constituent thirds (**Example 3.10**). Here, two successive chromatic wedges feature, around a stationary F, chromatic ascents and slides from <G-B> and <A♭-C>, where the motivic thirds combine and are exchanged between the left and right hands to create two 01457s. The descending segment of the wedge recalls the thirds <A♭-C>, <G-B>, and <G♭-B♭> heard in close proximity in bar 3. The ascending segment, however, introduces the major third <A-C♯>, which hitherto has not been associated with the referential sonority. As Karl Heinrich Ehrenforth points out, however, the superimposition of <G♭-B♭> and <A-C♯> at bars 7-8 refers back to measure 4, where the last iteration of β^2 sounds under the voice's <A-C♯> at "du das Haupt" (see again Example 3.9 above).[64] F now appears between the motivic thirds. Rather than registrally grouping with <G-B> (a grouping, as we recall, that the contour of the vocal line in bars 1-2 underscored), its close proximity to <A♭-C> aurally emphasizes the subset relationship between 01457 and 013478: the rubbing of <F-A♭-C> against <G-

[64] Karl Heinrich Ehrenforth, *Ausdruck und Form: Schönbergs Durchruch zur Atonalität in den George-Liedern Op. 15* (Bonn: H. Bouvier, 1963), 61-62.

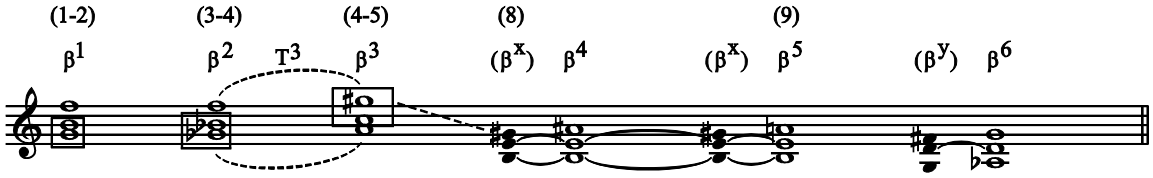
B> is not without resemblance to that of <E-G-B> against <E♭-G♭-B♭> at bars 3-4. Taken together with the images of the fan's arrows and the treacherous glint of the jewels, the out-of-phase brushing of semitone-related thirds gives finely spun expression to the "alluring surfaces and castrating edges" that characterize both garden and woman.[65]

Measure 8 marks a turning point in Schoenberg's treatment of β. So far, all βs have maintained a common intervallic configuration of major and minor thirds and sevenths, as the first three chords in **Figure 3.5** show. (The boxed pitches underscore the succession of thirds related by ic1 to the centric <G-B>.) This, however, changes at bars 8 and 9 with the entrance of chord β^{x}, thus named because it serves as a transitional chord between β^{3} and β^{4} (it takes the interval of the third from β^{3} and the interval of the fourth from β^{4}, and it shares common tones with both). Figure 3.5 and **Example 3.11** show how β^{x} transfers the G♯ of β^{3} down an octave and introduces the interval of the fourth into the succession of βs. Collections β^{4}, β^{5}, and β^{6} then present three different permutations of quartal harmonies (a perfect fourth above and under an augmented fourth in β^{4} and β^{6}, and stacked perfect fourths in β^{5}), purging tertian implications from chord β altogether. Throughout this whole process, Schoenberg maintains dynamic consistency as a voice-leading principle, repeatedly recycling the pitches and interval contents of the referential pentachord. Observe, for example, the relationships between chords β^{x}, β^{xx}, and β^{y} on the one hand and β^{4}, β^{5}, and β^{6} on the other, the former group serving as "pick-ups" to the latter. Chord β^{x}, with its "$^{6}_{4}$"configuration, truly stands midway between the tertian $\beta^{1\text{-}3}$ and the quartal $\beta^{4\text{-}6}$ and shares two common tones (the fourth <B-E>) with β^{4} and β^{5}; chord β^{y}, too, connects to β^{6} through two held notes. In the upper voice, each quartal chord is approached by ascending tone or semitone from its preceding "pick-up." As a result, the upper voice, <G♯-A♯-G♯-A♮-F♯-G♮>, and lower voice, <B-G-A♭>, of the

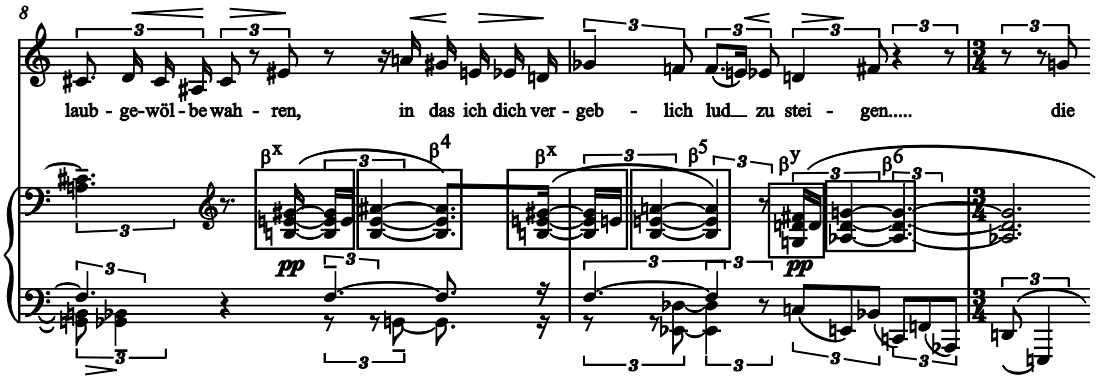
[65] Lawrence Kramer, *Music and Poetry: The Nineteenth-Century and After* (Berkeley: University of California Press, 1984), 161.

string of β chords draw exclusively on the 01457-derived material of the wedge from the preceding measures (which comprises the chromatic segment from G♭ to C♯). And from the point of view of voice leading, the only intervals that determine motion from chords β^1 to β^6 (apart from octave displacements), semi-tones, whole tones and minor thirds, are all constituents of 01457.

Figure 3.5 Op. 15, No.3, β chords



Example 3.11 Op. 15, No. 3, mm. 8-9

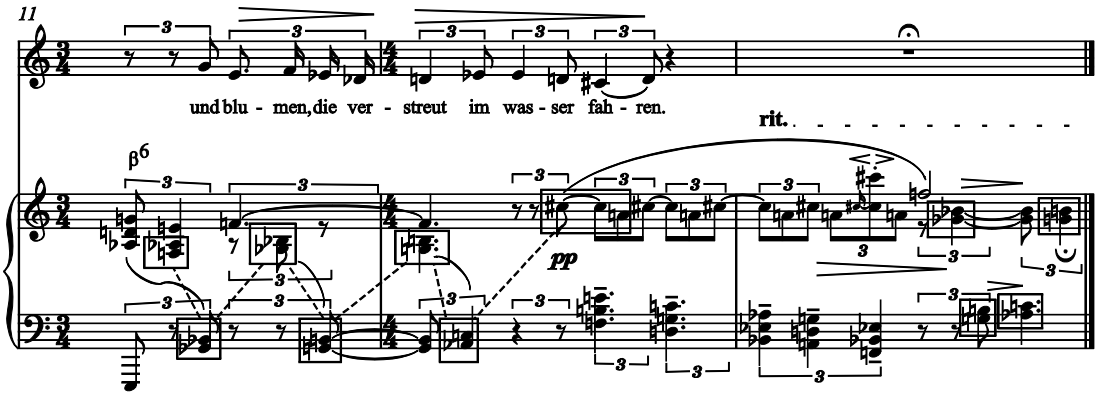


The completion of this tertian-to-quartal transformative process underscores the narrator's ultimate moment of alienation, where his effort to convince his beloved to join him in the boat fails ("in das ich dich vergeblich lud zu steigen..."). Ic5- and ic7- cycles are often associated with spatial breadth and timeless spans—as when in *Wozzeck* Berg sets the Captain's anxieties about eternity and dreams of immortality to fragmentary cycles of fifths or fourths, or as Debussy evokes the timeless Cathedral of Ys with chords in fourths and fifths. Here, Schoenberg's quartal harmonies suggest physical and

emotional distance (the river chasm between the lovers), seasonal decay (wilted flowers washed away) and emasculation (the prince is ultimately powerless over his fate). Moreover, the quartal harmonies of "Du lehnest" are not all strictly cyclical; chords β^4 and β^6, as well as the first quartal sonority in bar 12 (see Example 3.12), contain augmented fourths that further enhance the collection's "alienated" status.[66]

The song's conclusion (mm. 11-13), with its directly juxtaposed snatches of tertian and quartal sonorities, synopsizes the formal process that underwrites it. In a fashion that resembles the wedge of bars 6-8, Schoenberg splits two strings of major thirds in chromatic ascending motion between the two hands of the piano under the pedal-like F (see **Example 3.12**) and inserts, between those tertian islands, five quartal chords.

Example 3.12 Op. 15, No. 3, mm. 11-12



The strikingly contrasting elements of this structural frame adumbrate the narrative of emasculation that both the individual lied and the cycle as a whole express: an irreversible transformation of the subject between the time he enters and prepares, resigned to *Weltschmerz* and powerlessness, to leave the poisonous hanging Eden. The

[66] As"dissonant" quartal sonorities, such 016s would become integral to the atonal "cadential" vocabulary of Schoenberg, Berg, and Webern. See, for example, the end of Berg's Op. 2, No. 4 song, where a string of superimposed augmented and perfect fourths chromatically descend above an ascending 5-cycle; or, the typical "sigh" gesture like the one found in the penultimate bars of Webern's Op. 4, No. 4, where the 016 G♯-C♯-G♮ proceeds to G♯-C♯-F♯ (piano, r.h.).

song's last bars represent, in Adorno's words, "the atomization of fragmentary musical moments [that] closely parallels the state of the subject. It is broken by total impotence."[67]

Allan Lessem, among others, has suggested that the cycle's narrative of decay and alienation resonates with the artistic isolation and crisis Schoenberg experienced as he abandoned conventional harmonic tonality.[68] The tertian-to-quartal narrative of "Du lehnest wider eine silberweide" in particular invites interpretation along these lines, especially when we read it against Schoenberg's writings on quartal sonorities in the *Theory of Harmony*, writings which serve as a foil for a lengthy discussion on path-breaking artistic innovation and the sense of alienation he felt it engendered. The composer's discussion of "Chords Constructed in Fourths" is indeed the source for the quotes that opened our discussion of Schoenberg's lieder. Here, as we observed, the composer explains how progressive technique arises from the need to express "unheard-of" ideas.[69] Yet, Schoenberg insists that such forays into unknown harmonic waters come at a cost, as they quickly separate the artist from others and awaken consciousness of his own isolation:

> …the harsh reality of criticism makes him aware that somehow he is not really so normal after all, as a true artist should never be normal: he lacks perfect agreement with those average people who were educable, who could submit wholly to the *Kultur*.[70]

Was it also because he had already learned that the price of innovation was alienation that Schoenberg used novel quartal harmonies to represent emotional estrangement in "Du lehnest wider eine silberweide"? If the song's mixture of tertian and quartal sonorities characterizes the cycle as a whole, nowhere is this mix cast in the sort of narrative we

[67] Adorno, *Philosophy of Modern Music*, 105.
[68] Alan Philip Lessem, *Music and Texts in the Works of Arnold Schoenberg: The Critical Years, 1908-1922* (Ann Arbor, MI: UMI Research Press, 1979), 39.
[69] Schoenberg, *Theory of Harmony*, 398-399.
[70] Ibid., 400.

have observed in No. 13. The progression from more traditional, familiar-sounding (to Schoenberg's contemporary listeners) tertian sonorities (such as the "dominant seventh" of m. 1) to novel, alienating quartal ones vividly encapsulates the fault line Schoenberg was traversing in 1908-09. And his writings make amply clear his pointed anxieties over whether others—composers, listeners, critics—would board this figurative boat.

The Opus 15 songs would certainly not conclude Schoenberg's engagement with the themes we have examined in this chapter. As Lawrence Kramer observes, the composer's "harsh reading of George's texts" prefigures "the relentlessly tragic view of sexuality that shapes his other expressionist vocal works, *Erwartung*, *Die glückliche Hand,* and *Pierrot lunaire*."[71] We shall revisit this theme and examine how it plays out in *Pierrot* in the final chapter of this dissertation.

[71] Kramer, *Music and Poetry*, 166.

CHAPTER 4
"SOMETHING ELSE IN ME": WEBERN'S *TWO SONGS, OP. 8 ON POEMS BY RAINER MARIA RILKE*

GENDER CONSIDERATIONS AND THE WEBERN LITERATURE

To interpret Webern's music from a gender-oriented perspective is to tread upon *terra incognita*. The literature dealing with gendered aspects of Webern's aesthetics, approach to composition, or literary sensibilities, contrary to that for his New-Viennese-School colleagues, is extremely scarce. Of course, Webern's music does not exactly exude the sultriness of Schoenberg's *Book of the Hanging Gardens* lieder or the Pandora eroticism of Berg's *Lulu*. Rather, an exalted nature tinted with shades of religiosity is the chief topos of his vocal and programmatic output; if human experiences are evoked, they are almost invariably sublimated into nature imagery—expressions of love, pain, or longing dissolve into the sounds of church bells, wind, and night. As for Webern's non-programmatic instrumental works, their mixture of extreme compression and fractal motivic work seems to have kept gender critics at bay, perhaps with a sense that deconstructive effort would be like looking for a hermeneutic needle in a structural haystack. Webern's works, perhaps more than those of any other composer, have tended to elicit analyses that tacitly extol, rather than debunk, notions of autonomy and self-sufficiency. For some four decades after the composer's death, critics and analysts lauded his condensed aphoristic thought, his self-contained structures, his innovative use of register and timbre, and his interest in symmetrical relations and palindromes. Webern's self-declared quest for all of these aesthetic and formal attributes, which he summed up under the term *Einheit* (unity) and equated with Goethean organicism, appeared to confirm the legitimacy of such analytical enterprises.[1] Since the nineties,

[1] Kathryn Bailey summarizes the main trends in Webern scholarship up to the mid-nineties in her Introduction to *Webern studies*, ed. Kathryn Bailey (Cambridge and New York: Cambridge University Press, 1996), xi-xix.

however, the analytical reification of these claims to unity has been called into question, and several scholars have tried to find ways out of this analytical *obbligato*. Investigations of Webern's unique brand of lyricism have proven especially fruitful in moving beyond the picture of the *Ur*-cerebral composer. Anne Shreffler and Susanne Rode-Breyman, among others, have discussed Webern's vocal music in light of Adorno's statement that "the idea informing Webern's music is his absolute lyricism," demonstrating the extent of Webern's engagement with the poets of his day and fostering an understanding of the lyric element in his instrumental compositions.[2]

Because the critical literature that addresses issues of gender in Webern's music is so limited, we may linger on it at some length. Julian Johnson's elegant *Webern and the Transformation of Nature* has opened up a whole new field of inquiries in Webern studies.[3] His is the first large-scale attempt to interpret Webern's complete oeuvre in light of one particular aspect of its cultural context: nature. Webern's whole output, Johnson argues—vocal and instrumental, openly programmatic or not—is informed by cultural constructions of nature and is intensely mediated by the composer's own relationship with nature. Although Johnson's book is not primarily concerned with issues of gender, it nevertheless lays some rich conceptual groundwork. Johnson makes a persuasive case that Webern's construction of nature is essentially maternal, intimately bound to the notion of rural *Heimat* (represented by the landscapes surrounding his family estate in Carinthia) as motherly solace, and he insightfully relates stylistic changes in Webern's music to the evolving inflections of this construction. Johnson argues that the premature death of Webern's mother in 1906 influenced his compositional

[2] Theodor W. Adorno, "Anton von Webern," in *Sound Figures*, trans. Rodney Livingstone (Stanford, CA: Standford University Press, 1999), 92; Anne C. Shreffler, *Webern and the Lyric Impulse: Songs and Fragments on Poems of Georg Trakl* (Oxford: Clarendon Press, 1994); and Susanne Rode-Breyman, "'…Gathering the Divine From the Earthly…': Ferdinand Avenarius and his Significance for Anton Webern's Early Settings of Lyric Poetry," in Bailey, *Webern Studies*, 1-31.
[3] Julian Johnson, *Webern and the Transformation of Nature* (Cambridge and New York: Cambridge University Press, 1999).

development to the same extent as his studies with Schoenberg; the memory of his mother, which he inextricably linked to his native landscapes, haunts practically all of his works up to 1914.[4] The works written between 1914 and 1926 bespeak, in Johnson's view, Webern's efforts to reconcile this maternal nature with over-arching principles of musical organization. This tension is manifest in works that display a nature-like (i.e., feminine/motherly) "heterogeneous proliferation" of activity, or conversely, an increasing reliance on rigorous contrapuntal (masculine/paternal) devices.[5] Later, Webern's life-long interest in the themes of death, memory, and mountain landscape found a new echo in Hildegard Jone's poetry, and the twelve-tone method allowed him to abstract them into "symbols of a luminous interiority and a celestial, spiritual landscape."[6] Johnson focuses his interpretative approach "on the semiotics of broad gestures rather than more abstract categories of pitch or rhythmic relations," perhaps a necessary strategy in a book devoted to an entire lifetime of works.[7] This approach, however, leaves open the question as to how one might address issues of gender via closer musical analysis and develop hermeneutic contexts that extend beyond a generalized sense of the natural and/or the maternal. The present chapter seeks to begin this task.

I am aware of only two essays on Webern's music that directly engage with issues of gender and the body, both of which explore the implications of a procedure that plays a prevalent role in several of Webern's work: inversional symmetry. Joseph Straus attempts to link Webern's and Schoenberg's inversional procedures to experiences of the body. He suggests that the establishment of symmetrical patterns, or the disruption thereof, creates a sense of harmonic (im)balance that can be construed meaningfully as a

[4] Ibid., 85.
[5] Ibid., 162. Johnson articulated this dichotomy along Kristevan terms in an earlier article, "Webern's 'Middle Period': Body of the Mother or Law of the Father?" *repercussions* 6 (1997): 61-108.
[6] Johnson, *Webern and the Transformation of Nature*, 211.
[7] Ibid., 112.

state of the normative or, conversely, the disabled body.[8] Straus associates the imperfect or incomplete symmetries of the pre-war works with the expressionist fixation upon the degenerate, the grotesque, and, therefore, the "unbalanced" body. After the war, however, Straus suggests that the growing social anxiety with disabled bodies, caused by the sight of the many wounded soldiers, is countered in Schoenberg's and Webern's works by exact symmetries that restore a sense of bodily balance. This "dramatic shift in the social and visual landscape of wartime and postwar Vienna," writes Straus, "may have been among the factors that gave rise to the twelve-tone idea, which for Schoenberg and Webern is fundamentally concerned with inversional balance and inversional symmetry."[9]

Martin Scherzinger has proposed that late-nineteenth-century conceptions of symmetrical inversion destabilized traditional gendered binaries associated with major-minor tonality.[10] Scherzinger begins by retracing the long history of gendering the major and minor modes as masculine and feminine, where the former is conceived as begetting the latter. The theories of Riemann, Öttingen, and others, however, recast this relationship in terms of inversion, whereby the minor becomes a mirror image rather than a derivation of the major; the empirical factuality of both modes is obtained through the symmetrical series of overtones and undertones. Symmetrical relations themselves thus acquire, Scherzinger argues, the "radical potential to undo gendered binaries… Webern's output reflected this ideal into its most undiluted form."[11] Furthermore, Scherzinger

[8] Joseph N. Straus, "Inversional Balance and the 'Normal' Body in the Music of Arnold Schoenberg and Anton Webern," in *Sounding Off: Theorizing Disability in Music*, ed. Neil Lerner and Joseph N. Straus (New York: Routledge, 2006), 257-267; quote on 265-266.
[9] One is tempted to ask whether that shift in inversional practices might have been influenced by the cult of *Jugend* and vitality during wartime, rather than an increase of anxiety about disability.
[10] Martin Scherzinger with Neville Hoad, "Anton Webern and the Concept of Symmetrical Inversion: A Reconsideration on the Terrain of Gender," *repercussions* 6 (1997): 63-147.
[11] Ibid., 86.

points out, Webern himself addressed this "undoing" in gendered terms in a series of lectures he gave in 1932 and 1933:

> Now we must look at the further conquest of the tonal field! The two tonal genders, major and minor, were predominant down to our time, but now, for about a quarter of a century, a new music has existed that has given up this "double gender" in its progress toward a single scale—the chromatic scale.
>
> …in the harmony he [Schoenberg] developed, the relationship to a key note became unnecessary, and this meant the end of something that had been the basis of musical thinking from the days of Bach to our time: major and minor disappeared. Schoenberg expresses this in an analogy: double gender has given rise to a higher race!
>
> Since Bach, major has been distinguished from minor. This stage was preceded by the church modes, that's to say seven keys in a way, of which only the two keys, like genders, finally remained. These two have produced something that's above gender, our new system of twelve notes.[12]

In Scherzinger's view, "arguably Webern's music had no gender at all in terms of the traditional opposition inherent to tonality. Or, if it had one, it was probably some kind of third category that embodied both genders at once."[13] He proposes two "third sexual categories." The first is conveniently articulated in the turn-of-the century term of "sexual inversion," that is, same-sex desire. The "inverts" embodied both female and male components, and therefore, "conceptually speaking, the inverts' poles of identification were held in a symmetry that cut across gender hierarchy."[14] Although Scherzinger proposes to reveal "how shared tropes of this sort [i.e., musical and sexual inversion] indicate the way that different aspects of social, scientific and cultural life affected each other," it is not entirely clear what this tells us about Webern's music.[15]

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[12] The above citations are taken from Anton Webern, *The Path to the New Music*, ed. Willi Reich, trans. Leo Black (Byrn Mawr, PA: T. Presser, 1963), 28, 37, 43; Scherzinger discusses them in "Anton Webern and the Concept of Symmetrical Inversion," 129-130. Although Webern expressed these views while tracing a history of music that culminates with the twelve-tone method, his statements can apply to his atonal, pre-serial works, since it is chromaticism itself ("the chromatic scale"), rather than its regulation through serial methods, that Webern names as the successor of major and minor.
[13] Scherzinger, "Anton Webern and the Concept of Symmetrical Inversion," 114.
[14] Ibid., 118.
[15] Ibid., 114.

Contrary to Berg (whose sister Smaragda was lesbian, and whose Wedekind opera, *Lulu*, explicitly addresses homosexuality), Webern does not seem to have taken a special artistic or personal interest in homosexuality, and Scherzinger does not appear to advocate any queer readings of his works. More promising, in my view, is the author's analogy between a "third sex" and angelic androgyny, a response to Schoenberg's likening of a chromatic ideal in his *Theory of Harmony* to the angelic.[16] I will pursue this last angle in greater detail in the present chapter since it resonates both with aspects of the Op. 8 Rilke texts as well as with Webern's broader aesthetic and religious sensibilities.

Both Scherzinger and Straus made path-breaking endeavours to contextualize Webern's compositional toolbox in light of contemporary discourses on gender and the body. Nevertheless, their work raises many further questions. Both authors locate ideological meaning—a state of the body, a sexual orientation—in a single musical operation. Even though they do not argue that inversional symmetry is the sole locus of gendered meaning in Webern's music, it is unclear what aspects of their interpretative approach can translate into more detailed analysis. On the basis of an individual aspect of Webern's language, can we really conclude that "Webern's music had no gender at all"? No matter how pervasive his symmetries may be, they nevertheless exist as part of a collection of other equally important procedures. How can we accommodate symmetrical inversion—Straus's disabled/"normal" body states, and Scherzinger's invert and androgyne orientations—with other structural features and expressive agendas in individual works? And what about works that do not rely extensively on inversion?

Webern's Op. 8 songs stand on the periphery of the concerns of Johnson, Straus, and Scherzinger: they elude interpretations centered on death, the maternal, and nature, and they feature minimal inversional symmetry. Rather than attempting to generalize the

[16] Ibid., 132-134.

meaning of a particular compositional procedure, I propose to examine how a combination of personal circumstances and broader cultural (in this case, mostly literary) influences can help illuminate specific structural features of the lieder.

"…SOMETHING ELSE IN ME": THE SUMMER 1910 AND RILKE'S *MALTE LAURIDS BRIGGE*

In a letter to Schoenberg dated July 27, 1910, Webern enthused about "a fabulously beautiful prose book by Rilke, just published, *Die Aufzeichnungen des Malte Laurids Brigge* [The Notebooks of Malte Laurids Brigge]." Only two weeks later, he wrote:

> In July, while I was making the piano-vocal scores [the reduction of Schoenberg's Six Orchestral Songs, Op. 8], I had to interrupt my work. Then I resumed by orchestrating what had been finished of the opera [*Die sieben Prinzessinnen*, after a play by Maeterlinck; no sketches survived], in order to get fully in the swing again. Suddenly, however, I felt I must write an orchestral song on a text by Rilke. The poem compelled me, for it corresponded so completely with my thoughts. I composed it and orchestrated it quickly. [17]

And again at the end of the month: "I have now written another orchestral song after Rilke. It belongs with the first."[18] The two *Rilkelieder*, quickly written responses to an urgent emotional impulse, have become something like misfits in the conventional narrative of Webern's compositional development. Although they belong to Webern's first atonal period, they do not share the traits that have drawn critics to atonal works written between 1908 and 1914, such as Opp. 5, 9, or 10. Brief as they may be (fourteen and eighteen bars each), they do not equal the intense compression of the Cello Pieces Op. 11, nor do they feature the micro-motivic integration of the third and fourth Movements for String Quartet, Op. 5. And despite the songs' kaleidoscopic orchestration

[17] Anton Webern to Arnold Schoenberg, July 27, 1910, and August 10, 1910, quoted in Hans Moldenhauer with Rosaleen Moldenhauer, *Anton von Webern: A Chronicle of his Life and Works* (London: Victor Gollancz, 1978), 114, 132.
[18] Webern to Schoenberg, August 30, 1910, in ibid., 132.

(scored for nine solo instruments: a clarinet in B, bass clarinet, horn in F, trumpet in B, harp, celesta, violin, viola, and cello), it is the Op. 6 Pieces that take credit for the invention of *Klangfarbenmelodie*. Consequently, the literature on the *Rilkelieder* is rather sparse. In life-and-works volumes, they are generally described as a stylistic continuation of the aphoristic, amotivic style of the Violin Pieces Op. 7 and are not the object of any in-depth analysis.[19] There exist only a handful of studies that specifically address the *Rilkelieder*. The most significant is Felix Meyer's analysis of the songs' evolution from their original version in 1910 through three sets of revisions (1912-14?, 1921, 1925) to publication in 1926.[20] Meyer shows how Webern chiselled increasingly disjunct contours in both voice and orchestra and thinned out the orchestral resources from a group of approximately forty players to the chamber configuration of the latest version. He also relates the various revisions with broader stylistic developments between 1910 and 1925. Dorothea Beckmann discusses the *Rilkelieder* in her study on Webern's vocal music, mostly with regards to prosody.[21] Finally, Livio Aragona approaches issues of text-music relations.[22] If his few observations about pitch structure tend to be more descriptive than analytical, he nonetheless perceptively hints at the structural use of register and at the expressive role of the orchestra. Johnson does not discuss the Op. 8 lieder at all, and they are the only atonal opus left out of Adorno's account of Webern's career in his essay "Anton von Webern."[23] Though it may be an overstatement to say that the *Rilkelieder*

[19] See for example Claude Rostand, *Anton Webern: l'homme et son oeuvre* (Paris: Seghers, 1969), 101-102; Walter Kolneder, *Einführung in Werk und Stil* (Rodenkirchen and Rhein: P. J. Tonger, 1961), 56-57; Friedrich Wildgans, *Anton Webern*, trans. Edith Temple Roberts and Humphrey Searle (New York: October House, 1967), 125; Elmar Budde, "Anton Weberns Lieder," in *Op. Anton Webern*, ed. Dieter Rexroth (Berlin: Quadriga, 1983), 131-135.
[20] Felix Meyer, "Im Zeichen der Reduktion," in *Quellenstudien I: Gustav Mahler, Igor Strawinsky, Anton Webern, Frank Martin*, ed. Hans Oechs (Mainz: Schott, 1998), 53-100.
[21] Dorothea Beckmann, *Sprache und Musik im Vokalwerk Anton Weberns: die Konstruktion des Ausdrucks* (Regensburg: G. Bosse, 1970).
[22] Livio Aragona, "Il Lied di Abelone e il sopracciglio di Senecio. I Lieder di Webern tra figura e struttura," *Rivista Italiana di Musicologia* 23 (1988): 279-310.
[23] Adorno, *Anton von Webern*, 91-105.

have fallen into academic oblivion, they certainly appear to have somehow slipped through the cracks of the Webern canon.

The Op. 8 songs also stand apart from the rest of Webern's vocal works on account of their texts, which focus on the relationship between two lovers. (The songs' texts and translations appear below.) Of course, amorous love does appear elsewhere in Webern's vocal music, but it is usually absorbed by the great natural *Alles* (for example, in "Aufblick," an early Dehmel song) or expressed in nature metaphors ("Gleich und gleich," Op. 12, No. 4). Here, however, nature is only fleetingly evoked in the second song ("For a while it is you / then again it is the rustling / or it is a fragrance that leaves no trace") and not at all in the first. Rather, the emphasis falls on the fabric of the relationship *per se*. The texts are excerpted from Rilke's semi-autobiographical novel and best known prose work, a fragmented, mosaic-like narrative that recounts the meditations and reminiscences of a young Danish noble-poet who travels to Paris to confront the world's material and moral misery.[24] The poems appear near the end of the book when an anonymous Danish girl, whom Malte Laurids Brigge meets in a Venetian salon, sings two "unknown German songs." Webern felt compelled to set them without delay because they "corresponded so completely with [his] thoughts." What might those thoughts have been? Although the loss of his mother had fuelled most of his creative efforts in the previous four years, the *Rilkelieder* appear to be one of the rare works between 1906 and 1912 to have had a different source of inspiration. On July 12, 1912, Webern wrote to Berg:

> With the exception of the Violin pieces and some of my last orchestral pieces, all of my compositions from the Passacaglia relate to the death of my mother; she has been dead for 6 years. The Passacaglia, the Quartet, most of

[24] Judith Ryan reports that "the book's autobiographical character has led many readers to identify Rilke with Malte, despite Rilke's repeated warnings that his fictional protagonist was less a direct stand-in for himself than a negative alter ego." See her *Rilke, Modernism, and Poetic Tradition* (Cambridge and New York: Cambridge University Press, 1999), 42.

> the songs, the second Quartet, the first orchestral pieces, the second [orchestral pieces] with some exceptions; only in one summer, at that time, when I wrote the Violin Pieces [1910], was something else in me; then I also wrote the two orchestral songs [Op. 8] and a scene of an opera (Die Sieben Prinzessinnen).[25]

In all likelihood, the "something else" on Webern's mind during the summer of 1910 had to do with Wilhelmine Mörtl, his maternal cousin, with whom he had been in love since at least 1905. The relationship reached a critical point when Wilhelmine became pregnant during that summer (though whether she and Webern were aware of the pregnancy when the Rilke songs were composed is not clear). Their parents, who disapproved of civil unions, did not sanction the relationship, foreseeing the difficulties the couple would face trying to get married in the Catholic Church (which forbade marriage between first cousins). Moldenhauer stresses "the anguish and frustration" of the young couple during those summer months, adding that "it was in Rilke's poems that Webern found the vehicle to sublimate his tortured emotions."[26]

The Rilke poems abound in images that parallel Webern's and Wilhelmine's emotional situation. To begin with, the young Danish singer reminds Malte of his first love, his young aunt Abelone who, like Wilhelmine, is a relative on the maternal side. Moreover, the poems reflect on what it means to belong to one another and depict true affective contact as an act of emotional release. In Rilke, this paradox is conducive to the highest possible form of love, one he calls *besitzlose Liebe*. A central tenet of his oeuvre (it also features prominently in his masterwork, the *Duino Elegies* or *Duineser Elegien*), *besitzlose Liebe* is love which is fully satisfied with the act of loving itself and which

[25] Anton Webern to Alban Berg, 12 July 1912, in Rexroth, *Op. Anton Webern*, 86; trans. in Johnson, *Webern and the Transformation of Nature*, 84.

[26] See Moldenhauer, *Anton von Webern*, 133. As Meyer remarks, these circumstances could also have inspired the opera sketches (now lost) on Maeterlinck's *Sieben Prinzessinnen*, a tale of (unhappy) cousinly love. Meyer, "Im Zeichen der Reduktion," 99. Webern and Wilhelmine were finally married in a civil ceremony on February 22, 1911; their first child was born on April 9. They had to wait until 1915 to obtain a special dispensation from the Church for the religious ceremony to take place.

does not require reciprocity; in Malte's words, "such love needs no response, itself containing both the mating-call and the reply; it answers its own prayers."[27] Sometimes translated as "unrequited love," the locutions "possessionless love" or "intransitive love" more closely capture the term's connotations of love that transcends (rather than obsessively yearns for) possession. The relationship between Webern and Wilhelmine at the time that Webern wrote the lieder certainly was one of "non-possession." As Moldenhauer writes, "they belonged to each other, though they could not be united before the eyes of the world. Rilke's verses express that paradox of greatest closeness yet insurmountable distance."[28]

Moreover, Webern would find attractive Rilke's concept of intransitive love as a window that opened onto loftier spiritual vistas. As Kathleen Komar writes,

> Lovers are… possible guides to the transcendent realm of reunified consciousness. Lovers surpass the isolated, self-conscious individual in their capacity to participate intensely in at least one other consciousness. If, however, the love object is removed and the love is unrequited, intense participation in consciousness becomes unbounded and available to gain access to existence at large. The unrequited lover thus gains a privileged status that moves self-conscious man forward in the cycle of consciousness…[29]

Thus, as Thomas Harrison notes, the Venetian salon episode, in which Malte hears the Danish singer, brings

> the long series of reflections on negativity in the *Notebooks* to the point of equating ecstasy with loving in the absence of appropriation. If there is a proper name for this type of experience it can only be God, "a direction… not an object of love," a withholding force which "quietly defers delight in order to let us… accomplish our whole heart."… Weak love dissipates

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[27] Rainer Maria Rilke, *The Notebooks of Malte Laurids Brigge*, trans. M.D. Herter Norton (New York: W.W. Norton, 1964), 176. Rilke associates *besitzlose Liebe* with famous female lovers (for example, Abélard's Héloïse and the poet Gaspara Stampa) who transmuted earthly love into creative energy. See Ryan, *Rilke, Modernism, and Poetic Tradition*, 108.
[28] Moldenhauer, *Anton von Webern*, 115.
[29] Kathleen L. Komar, "Rethinking Rilke's *Duineser Elegien* at the End of the Millenium," in *A Companion to the Works of Rainer Maria Rilke*, ed. Erika A. Metzger and Michael M. Metzger (Rochester, NY: Camden House, 2001), 194.

> itself in the object on which it fastens, canceling the ecstasy from which it springs. Strong love, on the contrary, is a permanent gravitation of the soul, loving in each object of attention a life that has not yet been, the fragments of a world that does not cohere.[30]

Webern's lieder encapsulate precisely this thirst for transcendence, this attempt to rise above the limitations of human love. It is fitting, therefore, that they should be sung by a voice which itself resides midway between the human and the divine: the angelic voice. Indeed, the Danish girl's singing reminds Malte of Abelone: "A silence fell which a moment ago no one would have thought possible, and now arose that voice. (Abelone, I thought. Abelone.)"[31] And Abelone herself sang like an angel:

> Besides, Abelone had one good point: she sang. That is to say, there were times when she sang. There was a strong, unswerving music in her. If it is true that angels are masculine, then one may well say there was something masculine in her voice: a radiant, celestial masculinity. I, who even as a child had been so distrustful of music (not because it lifted me out of myself more violently than anything else, but because I had noticed that it never dropped me again where it had found me, but lower down, somewhere deep in the unfinished), I endured this music, on which one could ascend upright, higher and higher, until one imagined that for a while this must just about have been heaven. [32]

The connection between intransitive love and the lover/angel's voice reappears elsewhere in the book. For example, when Abelone reads to Malte the letters that Bettina von Arnim—one of Rilke's great lovers—wrote to Goethe, it "almost resembled the voice I knew from her [Abelone's] singing."[33] Bettina herself had "a voice which fulfilled the angels' function, which had come to wrap him [Goethe] round and carry him off into eternity."[34]

Intransitive love as presented in *Malte Laurids Brigge*, therefore, elevates one towards the angelic through the medium of the voice. We shall later return to this issue

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[30] Thomas J. Harrison, *1910: The Emancipation of Dissonance* (Berkeley: University of California Press, 1996), 207.
[31] Rilke, *Malte Laurids Brigge*, 207.
[32] Ibid., 109.
[33] Ibid., 174.
[34] Ibid., 176.

and consider its relationship to the vocal writing in the Op. 8 songs. But first, I will pursue some implications of Scherzinger's work and explore how the gendered connotations that Webern ascribed to atonal music may be construed to signify the angelic.

ABSTRACTION, THE ANGELIC, AND "SOMETHING ABOVE GENDER"

At different times of his life, Webern described abstraction as the transformation by which art and beings are brought closer to their true spiritual essence. Commenting on Mahler's symphonies, he wrote to Schoenberg in 1910: "I… see a development: from the most intense worship of nature to an ever more spiritual, more detached content… This quality of abstraction in an art work is more important for me, however, than, say, the assessment of technical skill."[35] Later, in the series of lecture held in 1932-33, he would teach that

> it's important that Bach's last work was the *Art of the Fugue*, a work that goes wholly into the abstract, music lacking all the things usually shown by notation—no sign whether it's for voice or instruments, no performing indications. It's almost an abstraction—or I prefer to say *the highest reality*![36]

A variety of personal and literary influences during the years of the composition and revisions of the Op. 8 could have contributed to shaping Webern's views of the angelic as the "highest reality" of humanity. These views, in turn, can shed light on Webern's declarations about the "supra-gender" of atonal and serial music. It will be useful at this point to recall those gendered assertions:

> The two tonal genders, major and minor, were predominant down to our time, but now, for about a quarter of a century, a new music has existed that

[35] Anton Webern to Arnold Schoenberg, July 1910, in Moldenhauer, *Anton von Webern*, 114. Johnson discusses this same letter in *Webern and the Transformation of Nature*, 41.
[36] Webern, *The Path to New Music*, 34

> has given up this "double gender" in its progress toward a single scale—the chromatic scale.
>
> …in the harmony he [Schoenberg] developed, the relationship to a key note became unnecessary, and this meant the end of… major and minor… Schoenberg expresses this in an analogy: double gender has given rise to a higher race!
>
> These two have produced something that's above gender, our new system of twelve notes.[37]

As Scherzinger remarks, the analogy that Webern imputes to Schoenberg in the second quote is probably the one he formulated in the 1922 edition of his *Theory of Harmony*, which posits a relationship between atonality and angelic asexuality:

> It is true that the dualism represented by major and minor has the power of a symbol suggesting higher forms of order: it reminds us of male and female and delimits the spheres of expression according to attraction and repulsion. These circumstances could of course be cited to support the false doctrine that these two modes are the only truly natural, the ultimate, the enduring. The will of nature is supposedly fulfilled in them. For me the implications are different. We have come closer to the will of nature. But we are still far enough from it; the angels, our higher nature, are asexual: and the spirit does not know repulsion.[38]

Scherzinger points out the troubling resonances of Webern's parallel between the dissolution of tonality and the rise of a higher race with the emergence of the Nationalist Socialist conception of the Aryan race.[39] The analogy, however, can also be construed to invoke the angelic. Angels figure prominently in the writings of Emanuel Swedenborg, who exerted considerable influence on Webern's spiritual beliefs from 1913 onward.[40] This eighteenth-century Swedish theologian (who also influenced the works of Goethe and Strindberg, among many others) claimed to simultaneously experience the material world of earthly life and the spiritual world of angels, with whom he freely conversed; he urged men to transcend material life and "help themselves or others become more

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[37] Cf n12.
[38] Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (Berkeley: University of California Press, 1978), 96.
[39] Scherzinger, "Anton Webern and the Concept of Symmetrical Inversion," 130, n41.
[40] See Johnson, *Webern and the Transformation of Nature*, 106-108.

angelic."[41] Swedenborgian traits heavily permeate Balzac's novel *Séraphîta*, which Webern enthusiastically read at the end of 1910 and which also deeply impressed Berg and Schoenberg. *Séraphîta* offers an apt literary construction of "giving up double gender." Séraphîta/Séraphitüs—a character whose parents are Swedenborgians—assimilates femininity and masculinity to such a degree that she/he is capable of loving and being loved by both a man and a woman and is thus elevated beyond humanity into the spiritual realm. For Balzac, Séraphîta possessed

> both natures in a single being… but with the difference that I suppose this creature to be an angel arrived at its final transformation, and, breaking his fetters to ascend to heaven, he is loved by both a man and a women, to whom he says… that each of them loved the love that held them together, when they saw him, pure angel, and he reveals to them their passion, leaves them love, breaking free of our terrestrial miseries.[42]

Webern, Schoenberg, and Berg all found Balzac's novel deeply fascinating. The latter two contemplated setting its last chapter, "The Assumption," and *Séraphîta* later became the principal literary source for Schoenberg's oratorio *Die Jakobsleiter*.[43] The influence of *Séraphîta* on Webern—who would remain an avid reader of Balzac—appears no less profound. In 1913, shaken by the

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[41] Jonathan S. Rose, "Swedenborg's Garden of Theology: An Introduction to Swedenborg's Published Theological Works," in *Emanuel Swedenborg: Essays for the New Century Edition on His Life, Work, and Impact*, ed. Jonathan S. Rose et al. (West Chester, PA: Swedenborg Foundation, 2005), 72-73.

[42] Honoré de Balzac to Madame Hanska, November 20, 1833, in *Lettres à Madame Hanska*, vol. 1, ed. Roger Perrot (Paris: Les Éditions du Delta, 1967), 128. "…les deux natures en un seul être… mais avec cette différence que je suppose cette créature un ange arrivé à sa dernière transformation, et brisant son enveloppe pour monter aux cieux, il est aimé par un homme et par une femme, auxquels il dit…qu'ils ont aimé l'un et l'autrel'amour qui les liait, en le voyant en lui, ange tout pur, et il leur révèle leur passion, leur laisse l'amour, en échappant à nos misères terrestres."

[43] On the influence of Balzac on Berg and Schoenberg, see especially John Covach, "Balzacian Mysticism, Palindromic Design, and Heavenly Time in Berg's Music," in *Encrypted Messages in Alban Berg's Music*, ed. Siglind Bruhn (New York and London: Garland, 1998), 5-29; and Jennifer Shaw, "Androgyny and the Eternal Feminine in Schoenberg's Oratorio *Die Jakobsleiter*," in *Political and Religious Ideas in the Works of Arnold Schoenberg*, ed. Charlotte M. Cross and Russell A. Berman (New York and London: Garland, 2000), 41-83. Schoenberg famously refers to Balzac's novel in his essay "Composing with Twelve-Tones" (1941), where he describes his notion of "the unity of musical space " as the Swedenborgian heaven described in *Séraphîta*, with "no absolute down, no right or left, backward and forward." Arnold Schoenberg, "Composition with Twelve Tones (I)," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (Berkeley and Los Angeles: University of California Press, 1984), 223.

untimely death of a nephew, he wrote a play entitled *Tot* in which the character of the angel is strongly indebted to Balzac's and Swedenborg's models.[44]

Finally, angels are omnipresent in Rilke's oeuvre, before and after *Malte Laurids Brigge*, and over time they increasingly became identified with the Absolute.[45] The first of the *Duineser Elegien* opens with the wrenching cry "Wer, wenn ich schriee, hörte mich denn aus der Engel Ordungen?" ("Who, if I cried out, would hear me among the angelic orders?") These angelic hierarchies would certainly have constituted a "higher race" in Webern's mind.

It seems more than likely, therefore, that Webern had in mind the angelic when he referred to "something above gender." Furthermore, Rilke's concept of *besitzlose Liebe* in *Malte Laurids Brigge* suggested to him the way by which human love might lead one into one's own "highest reality." Rilke's poems could not have failed to deeply impress the composer: their promises of transcendence resonated intimately with his religious and artistic morals and were at the same time couched in terms that echoed the hardships and rewards of his relationship with Wilhelmine.

TRANSCENDENT VOICE AND CHROMATIC INTRANSITIVITY

In *Malte Laurids Brigge*, Rilke imbues the female voice with angelic resonance and spiritual potency. In the lieder, Webern calls for a female *mittlere Stimme* to evoke the angelic voice's "celestial masculinity" and "clear darkness."[46] This register has a long history of blurring gender borders by uniting in a single category character types and vocal qualities of both sexes, from the operatic castrati who dazzled audiences with their vocal agility in an "unnaturally" high register, to cross-dressed mezzo-sopranos lending

[44] Johnson, *Webern and the Transformation of Nature*, 35.
[45] See Ursula Franklin, "The Angel in Valéry and Rilke," *Comparative Literature* 35/3 (1983): 215-246.
[46] Rilke, *Malte Laurids Brigge*, 109, 206.

their voices to Cherubino and Octavian.[47] For Michel Poizat, the angelic figure itself lies at the origin of this phenomenon: he traces what he calls the "trans-sexual" (*hors sexe*) voice back to the Catholic choir of castrati whose function, communicating the Word of God, was literally that of the angels.[48] These ambiguities play out in the angelic persona of the Rilke songs, a celestial character who, with a female voice, sings words that appear to come from a male persona (grammatical markers indicate that the addressee of the poems is feminine).

Beyond considerations of *Fächer* (the systemic pairing of voice and character types), the angelic persona of Webern's *Rilkelieder* is also heir to the category that David Lewin calls "the transcendent woman's voice," of which Isolde is the quintessential representative (though Lewin also includes Kundry, Salome, the anonymous protagonist of *Erwartung*, and the vocal part in Schoenberg's second string quartet Op. 10).[49] Other scholars have continued to extend the list at the post-tonal end; Jennifer Shaw, for example, has discussed Schoenberg's techniques for portraying a transcendent *Seele* in *Die Jakobsleiter*.[50] All these characters experience states of transcendence: ecstasy, transport, rapture, or expanded consciousness are expressed through the medium of a voice that "transcends both musical and social conventions."[51] For Lewin, the transcendent voice asserts its agency over the orchestra (or other accompaniment) texturally, motivically, and harmonically. Furthermore, the voice "transcends its accompaniment in [an] acoustical sense, climbing over it"; it "strings together significant

[47] See Heather Hadlock, "The Career of Cherubino, or, The Trouser Role Grows Up," in *Siren Songs: Representations of Gender and Sexuality in Opera*, ed. Mary Ann Smart (Princeton: Princeton University Press, 2000), 67-92; and Naomi André, *Voicing Gender: Castrati, Travesti, and the Second Woman in Early-Nineteenth-Century Italian Opera* (Bloomington: Indiana University Press, 2006).
[48] See Michel Poizat, *The Angel's Cry: Beyond the Pleasure Principle in Opera*, trans. Arthur Denner (Ithaca and London: Cornell University Press, 1992), especially 114-122.
[49] David Lewin, "Women's Voices and the Fundamental Bass," *The Journal of Musicology* 10/4 (1992): 464-482.
[50] Shaw, "Androgyny and the Eternal Feminine," 41-83.
[51] Lewin, "Women's Voices," 468.

leitmotifs and transformations thereof, carrying the burden of the piece forward" and "must project an upper-register *Hauptstimme* that controls the flow of musical events with a motivic through-line, specifically wrestling control of that flow away from any fundamental bass."[52]

In important ways, this is exactly what Webern's singer does. For example, there is no doubt that the vocal part "carries the burden of the piece forward," to paraphrase Lewin. As Malcom Hayes and Moldenhauer have noted, Rilke's description of the Danish girl's voice reads like performance directions: her singing is "strong, full and yet not heavy; of one piece, without rent, without seam."[53] Webern responded with a vocal part that unfurls in chromatic waves that rise in register and intensity up to the songs' highest pitches, G5 and G♯5 respectively, and then recede into concluding cadence-like gestures that drop to the songs' lowest note, A3. In both cases, this takes place this against a minimal orchestral texture (too fractured to project the sense of a continuous bass line). Such "disjunct lyricism" (to borrow Shreffler's term) imposes strenuous technical demands on the singer, who must negotiate a profusion of wide leaps and changes of melodic direction without obscuring a sense of line.

Even though it "controls the flow of musical events," the voice does not do so by means of "motivic through-line," at least not "motivic" in a Schoenbergian sense. The lieder unfold without the motivic transpositions, inversions, and retrogrades common in Webern's earlier songs; they feature neither what Shreffler calls "the motivically based atonality of Opp. 12, 13, 14, 15, and 16," nor the rigorous contrapuntal devices found in some of these middle-period works.[54] (Op. 14, No. 4, "Abendland III," and Op. 15, No. 5, "Fahr hin, O Seel'" are cases in point: "Abendland III" features thick contrapuntal

[52] Ibid., 468-469.
[53] Rilke, *Malte Laurids Brigge*, 207; Moldenhauer, *Anton von Webern: Chronicles*, 133; and Malcolm Hayes, *Anton Webern*, (London: Phaidon Press, 1995), 97.
[54] Shreffler, *Webern and the Lyric Impulse*, 11.

lines, while "Fahr hin, O Seel'" is a double canon in contrary motion.) Rather, Webern cultivated a technique that I shall call *intransitive chromaticism*. Like intransitive love, intransitive chromaticism has a "direction" but no "object." It entails voice-driven, forward-moving chromatic configurations that make dramatic use of the vocal tessitura and which unfold according to strategies of aggregate and subaggregate completion, without, however, coalescing into anything as "transitive" as referential collections or motives. The following pages offer a detailed analysis of the micro voice-leading of such chromaticism, the vehicle by which the voice sings its own angelic transcendence.

Webern, Op. 8, No. 1: "Du, der ichs nicht sage"

Du, der ichs nicht sage, dass ich bei Nacht	You whom I do not tell that at night
weinend liege,	I lie weeping,
deren Wesen mich müde macht	whose being tires me
wie eine Wiege.	like a cradle;
Du, der mir nicht sagt, wenn sie wacht	you who do not tell me when she is awake
meinetwillen:	because of me:
wie, wenn wir diese Pracht	how would it be if we
ohne zu stillen	were to endure this glory
in uns ertrügen?	without remaining silent?
Sieh dir die Liebenden an,	Look at the lovers,
wenn erst das Bekennen begann,	how soon they lie
wie bald sie lügen.	once they have begun their confession.[55]

The poem *Du, der ichs nichts sage* is essentially about distance: distance that separates lovers who do not talk to each other and, especially, distance that divides them when they do. Here, language is depicted as an instrument of transitive love, an illusory means of securing one another's affection. By revealing the limitations and futility of such speech, the poem suggests that transcendence belongs to the realm of the ineffable.

In what follows, we shall see that the transcendence that resides beyond words—which Rilke evokes without naming it—is literally *voiced* in the lieder. That is to say, the

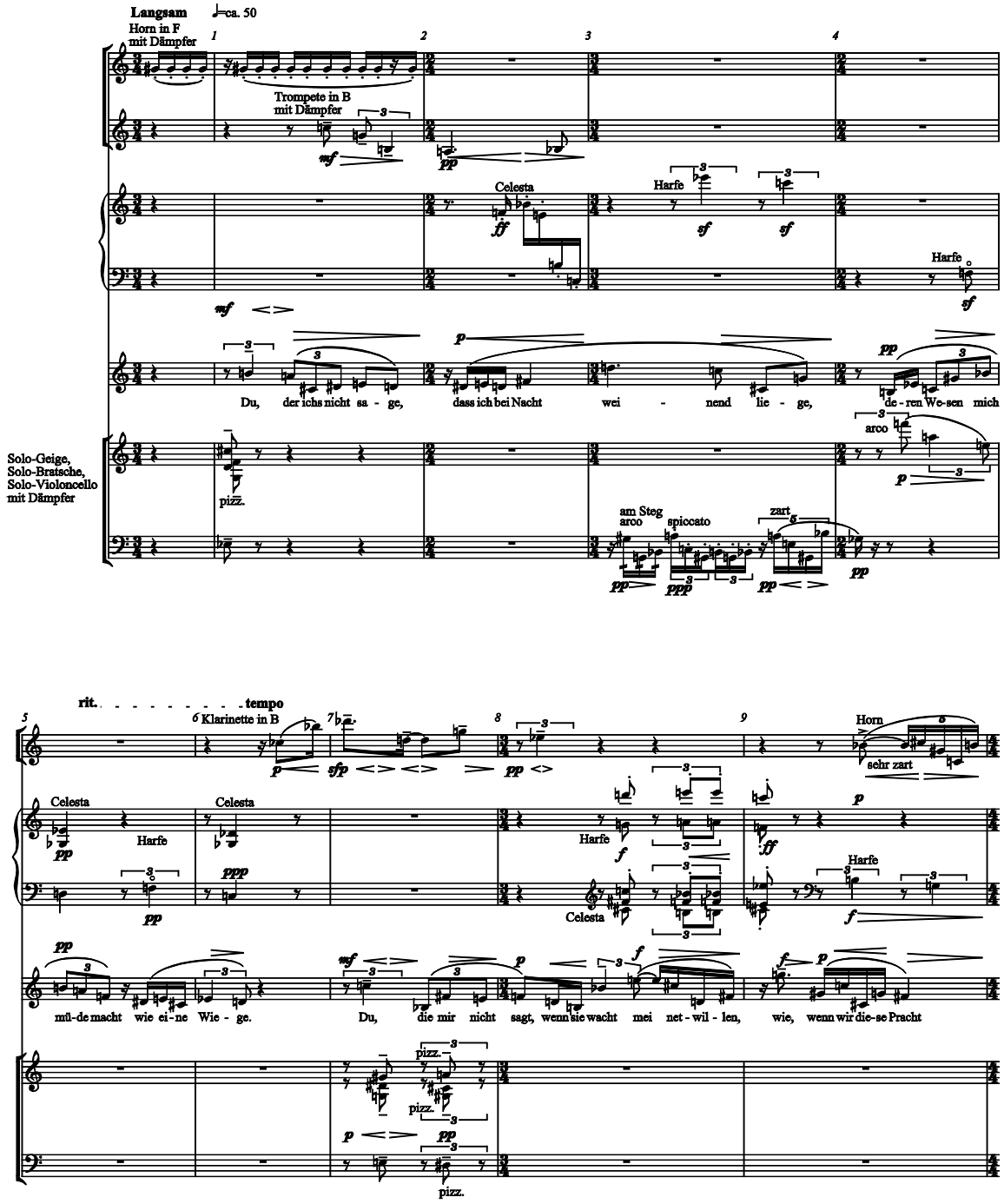
[55] Translation based on liner notes by Lionel Salter for the CD *Complete Webern*, dir. Pierre Boulez, Deutsche Grammophon 457 637-2, 2000.

processes at work in the voice part sublimate (human) distance into a (transcendent, angelic) unity of expanded consciousness. Voice-leading procedures progressively fill the gaps between different registral streams, melding them until they occupy a seamless chromatic space. Thus, in the very act of acknowledging the fallibility of language, the voice transmutes human alienation into angelic oneness.

Let us now turn to the music and closely examine the first vocal phrase. (See the score in **Example 4.1**, as well as a reduction of the vocal part from measure 1 to 6 in **Figure 4.1**.) The initial gestures of the lied, despite their diminutive scale, set in motion the song's principal processes. The vocal part opens with a B4-A4 interval ("Du, der") that drops to C♯4 ("ichs"); two brief chromatic segments ("ichs nicht sage" and "dass ich bei Nacht") then creep up to F♯4. Already, the elements are in place that will create the web of tiny connections responsible for carrying the lied to its climax and completion. To explicate, Webern's initiating gesture creates distance; it opens a gap by delineating two registral planes. Webern then immediately begins to mend this gap by symmetrically bisecting the B4-C♯4 span by F♯4, a pitch that will prove structural in both songs (although not always as an inversional axis). The next measures elaborate all these elements. The B4-A4 dyad is answered by D5-C5 in the same register at "weinend liege" (m. 3), while the chromatic span C♯4-F♯4 further ascends to G-natural. In measure 4, the initial low C♯4 is regained, but this time angles down to B and C-natural, stretching the lower register of the lied.

These minute processes simultaneously come to a temporary conclusion in measures 5 and 6. First, the chromatic ascending line reaches further up in order to complete a C♯4-A4 ascent, the arrival on A4 chromatically connecting the upper register with the lower one. Second, F-natural, the only pitch-class missing from the aggregate, enters on the word "macht," which signals the syntactical conclusion of the phrase. And

Example 4.1 "Du, der ichs nicht sage"[56]



[56] All instrumental parts are notated at concert pitch.

Example 4.1 continued

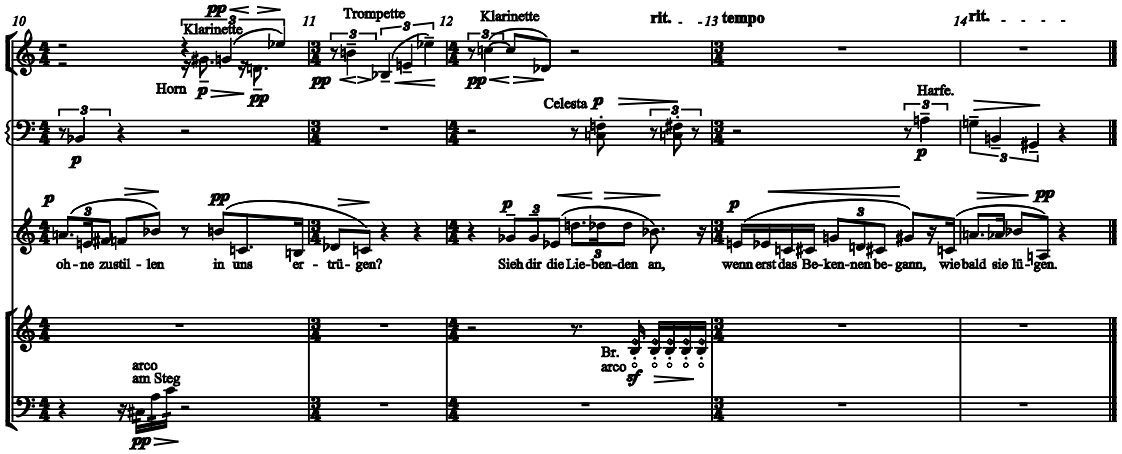
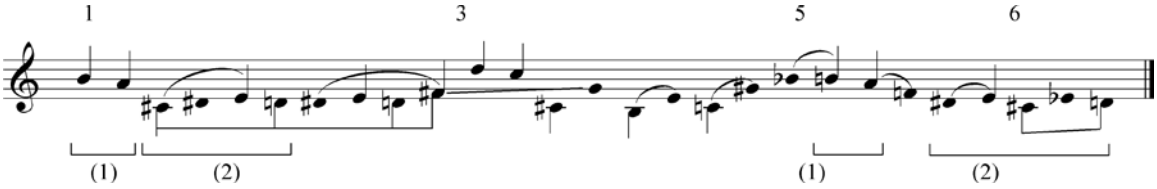


Figure 4.1 "Du, der ichs nicht sage," mm. 1-6



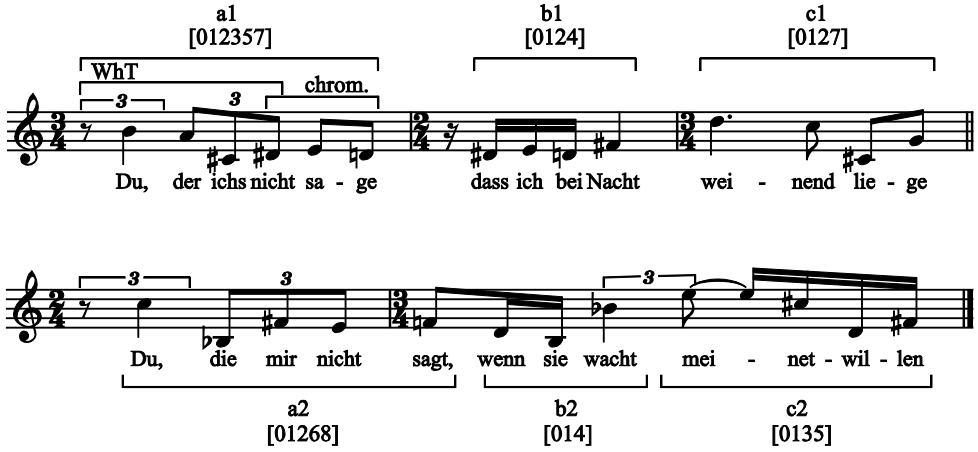
third, the phrase ends with an instance of structural framing (that is, initiating material returns with a conclusive function): the word "müde" brings back the initial B-A dyad, and a gently rocking "wie eine Wiege" reorders the pitches of "ichs nicht sage" (see brackets 1 and 2 in Figure 4.1).[57]

The second phrase of the poem closely mirrors the first. "Du, der ichs nicht sage, dass ich bei Nacht weinend liege" is answered by "Du, die mir nicht sagt, wenn sie wacht meinetwillen." Here, "du," described passively in relation to the speaker in the first verse, becomes the active agent in the description of the second, and a sense of distance is created by this diametric reconfiguration. The disquieting juxtaposition of "Nacht" and "wacht" further compounds the sense of an emotional gulf between the lovers. The vocal

[57] On structural framing, see Chapter 2, n56.

part underlines these symmetries in a subtle parallelism of motivic compression and evanescence. **Example 4.2** shows that Webern responds to the slight textual compression from verse 1 to 2 by liquidating both rhythmic and pitch materials. Motives a2 and b2 are curtailed versions of a1 and b1. Their pitch materials also appear in compressed version: a2 recalls both the whole-tone and the chromatic colours of a1, while b2 alters the contour of b1 but preserves similar interval class contents. The c-pair features rhythmic diminution and melodic liquidation: c2 is not a subset of c1, but it reproduces a simplified "garland" contour (to employ Beckmann's term). [58] Thus, in the dissolving parallelism of phrases 1 and 2, the angelic voice sounds the immateriality of its own motivic fabric, a fitting metaphor for the deceptiveness of transitivity that the poem conveys. Like the words that fail the lovers who try to reach out to one another, motives will disintegrate rather than have their materiality reified through motivic transformation.

Example 4.2 "Du, der ichs nicht sage," mm. 1-8

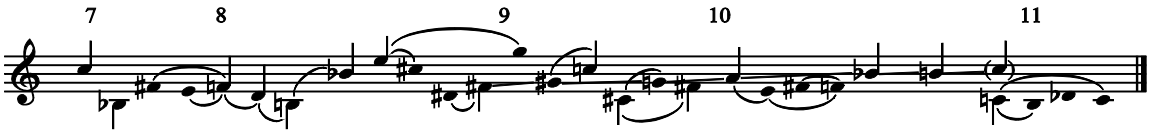


The second phrase further pushes the boundaries of the upper and lower registers, as can be seen in **Figure 4.2**. Note how, at the words "Du, die mir nicht sagt" (m. 7), F4 is positioned as the axis of symmetry between the opening pitches of the phrase, C5 and

[58] "Girlandenduktus." Beckmann, *Sprache und Musik im Vokalwerk Anton Weberns*, 23.

B♭3. It proceeds to F♯4 at the end of measure 8 to initiate a second chromatic ascent, one that will lead through G♯4-G4-A4-B♭4-B4 all the way to… C4. Indeed, the projected C5 at the end of the verse ("in uns ertrügen," m. 11) appears an octave lower than expected, completing instead the chromatic saturation of the low register that had begun with B♭ (m. 7), B-natural (m. 8), and C♯ (m. 9). C5 does sound, however, along with D♭, in the clarinet at the beginning of measure 12, echoing the D♭-C dyad of "ertrügen."

Figure 4.2 "Du, der ichs nicht sage," mm. 7-11



Let us now consider the relationship of the vocal line to the orchestral accompaniment, the nature of which significantly departs from Webern's practice in the pre-Op. 8 lieder. Regarding performance issues related to Op. 3, No. 1 (the well-known "Dies ist ein Lied"), Elizabeth West Marvin and Robert Wason observe:

> [T]here is also an obvious but profound feature of this song that helps with the issue of intonation: the accompaniment. Though it doubles the voice literally only for four eight-notes' duration (at m. 6), the entire accompaniment is woven out of motives from the vocal part in an intricate pattern of canonic imitations. The well-prepared singer needs to know exactly where she will be doubled, and she needs to learn to "hear backward" and "hear forward" as her lines are preannounced or echoed in the piano.[59]

Such accompanimental anticipations and echoes are to be found in the *Rilkelieder* only in rarefied form, that is, disjunct, modified, and sometimes reduced to a single carefully

[59] Elizabeth West Marvin and Robert Wason, "On Preparing Anton Webern's Early Songs for Performance: A Collaborators' Dialogue," *Theory and Practice* 20 (1995): 99.

selected pitch.[60] As Luigi Rognoni suggests, the instruments "do not serve as an accompaniment, but materialize as a timbral projection of the vocal line" that weaves a filigree of subtle resonances throughout the songs.[61] Rognoni's comment recalls a letter Webern wrote to Schoenberg in 1910, when drafting the *Rilkelieder*: "are there not violent reverberations of the soul that are yet very gentle? What the orchestra possesses in expressive possibilities is limitless."[62] The lean scoring of the final version even intensifies this expressive potential. The chamber ensemble seems to sound those "reverberations of the soul," to refract in intense whispers and sudden outbursts the sonorities sung by the transcendent voice. In both lieder, the instrumental parts abound in 015, 016, and (to a lesser extent) 014 set-class configurations, often with brief appended chromatic segments (see, for example, the trumpet in measures 1-2.) These pitch-class sets are often configured to recall vocal contours, even though they are not themselves especially salient in the sung part. For example, in the trumpet part at measure 1, the sixth G4-B3 echoes that of the opening vocal gesture <B4-A4-C♯4>; the violin's F6-A5 at measure 4 anticipates the C4-G♯4 sixth on "Wesen;" and the 015 at "wenn wir die-" (m. 9) is immediately repeated by the horn. Whenever sets 014, 015, and 016 occur vertically, they appear as major sevenths or minor ninths divided by an intermediary note; the ic-1s between the two outermost notes crystallize the numerous semitones (and permutations thereof) that pervade the vocal part. As a result of these procedures, the angelic voice soars above—phenomenologically if not always registrally—these kaleidoscopic, *klangfarbende* reminiscences of itself, in an unbroken flux of atonal vocal virtuosity.

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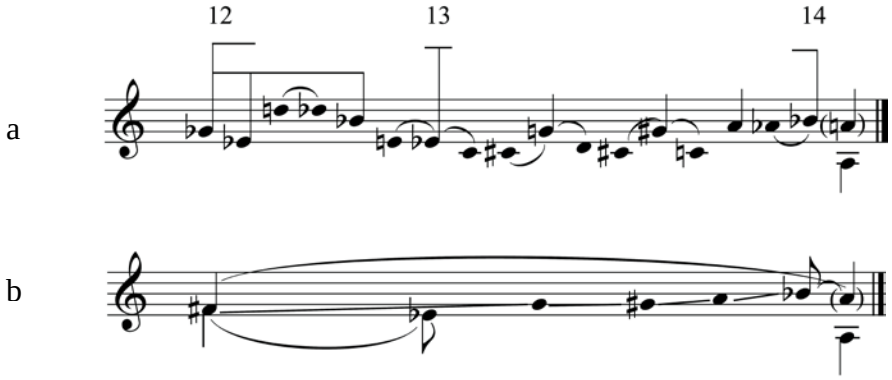
[60] It is interesting to retrace the linear origins of these fragments, clearly present in the early versions of the lieder. As Webern pared down the orchestral resources, he also broke the phrases into shorter, disjunct segments, a procedure discussed by Meyer, *Im Zeichen der Reduktion*, especially 58-62, 65-66.
[61] Luigi Rognoni, *The Second Vienna School: Expressionism and Dodecaphony*, trans. Robert W. Mann (London: John Calder, 1977), 348.
[62] Quoted in Moldenhauer, *Anton von Webern*, 133.

While the last phrase of the lied, "Sieh dir die Liebenden an … lügen," most unequivocally exposes the incapacity of language to unite lovers, the angelic voice completes its efforts to seam together distant registral strands into a continuous, total chromatic space. The vocal gesture in measure 12 ("Sieh dir die Liebenden an") emphasizes the pitches F♯4 (expressed as G♭), E♭4, and B♭4. As the remainder of the phrase reveals that the lovers "lie," these pitches are immediately projected onto a larger scale in measures 13-14, as shown in **Figures 4.3a** and **b**.

Figure 4.3 "Du, der ichs nicht sage," mm. 12-14



In this instance of embedding, a last chromatic ascent delineates the middle-register of the song, with quick touches to the upper (D5 and D♭5) and lower (C4 and C♯4) extremes. This ascent, combined with the final double-neighbor <A-A♭-B♭-[A♮]> (m. 14) symmetrical around A4, arouses strong expectations for the arrival of A4 to conclude the song. But Webern sounds A3 instead, the song's lowest pitch, and the lied therefore ends with the same gesture with which it began, a wide registral drop.[63] Here, however, the concluding B♭4-A3 fall does not open a gap, but affirms and frames a gap has already been bridged many times over.

[63] A4 does briefly appear on the word "bald," but is perceived as parts of the chromatic fill from F♯ to B♭ rather than as a point of arrival.

Bridging this gap is the angelic voice's deed; it establishes wide pitch spaces that represent states of disunity and fills them chromatically via a web of apparently amotivic configurations that cloud the chromatic ascents. As a result, almost all the pitches between the registral extremes, the final low A3 and G5 at measure 9, have been slowly exhausted, sprinkled all over a shimmering chromatic soundsheet that transmutes the lovers' disunity into spiritual oneness.[64] How Webern adapts this intransitive chromaticism to the different poetic context of "Du machst mich allein" is the subject of the next section of this chapter.

Webern, Op. 8, No. 2: "Du machst mich allein"

Du machst mich allein. Dich einzig kann ich vertauschen.	You alone create me. Only you can I exchange.
Eine Weile bist du's, dann wieder ist es das Rauschen,	For a while it is you; then again it is a rustling,
oder est ist ein Duft ohne Rest.	or it is a fragrance that leaves no trace.
Ach, in den Armen hab ich sie alle verloren,	Ah, in my arms I have lost them all;
du nur, du wirst immer wieder geboren:	you alone, you are always reborn:
weil ich niemals dich anhielt, halt ich dich fest.	because I never held you I hold you fast.

The second poem makes quite explicit the themes of *besitzlose Liebe* and transcendence. Here, the elusive beloved is constantly re-characterized, "vertauscht," into a murmur or a fugitive waft, fleeting sensorial stimuli reminiscent of nature imagery. This recalls an earlier passage in *Malte*, where possessionless love is also juxtaposed with nature:

> Those who are loved live poorly and in danger. Ah, that they might surmount [*überstünden* could also be translated as "transcend"] themselves and become lovers. Around those who love… the secret has grown inviolate, they cry it out whole, like nightingales, it is undivided. They

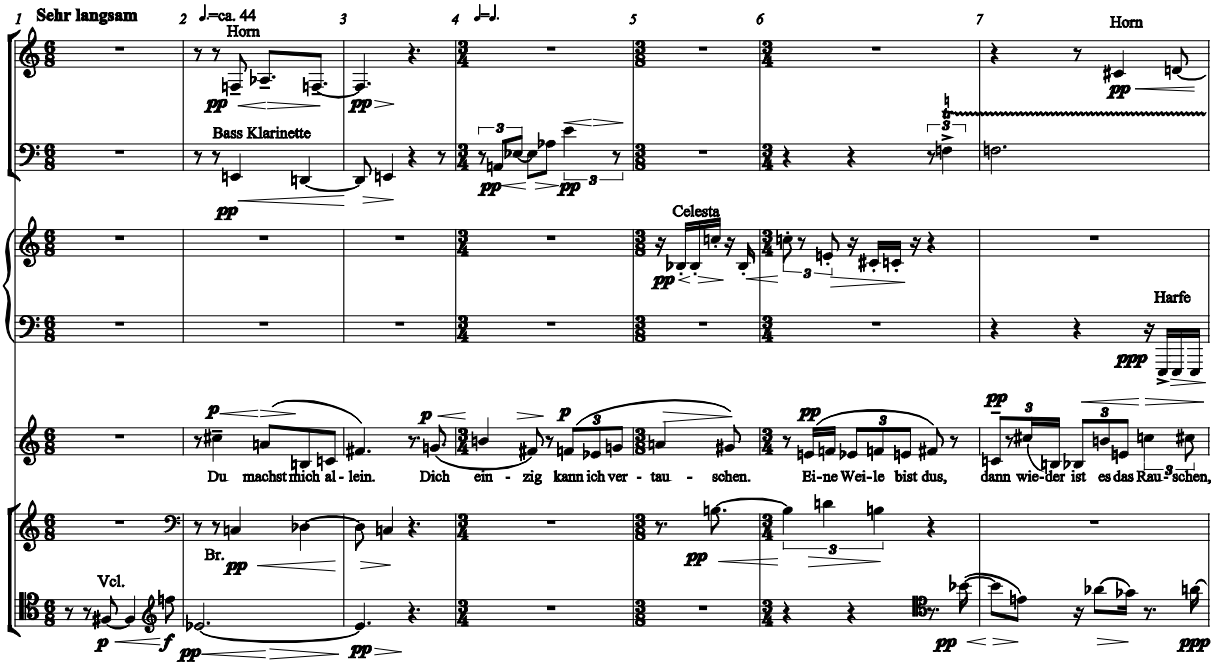
[64] The only missing pitches between A3 and G5 in the sung part are D♯5, F5, and F#5; in keeping with Rilke's description of the Danish singer's voice as "dark," Webern probably prefers to saturate the middle register rather than the brighter upper one.

> make lament for one alone, but the whole of nature unites with them: it is the lament for one who is eternal.[65]

Given Webern's conception of nature as the threshold to immanence, one imagines that these images would have elicited a strong response.

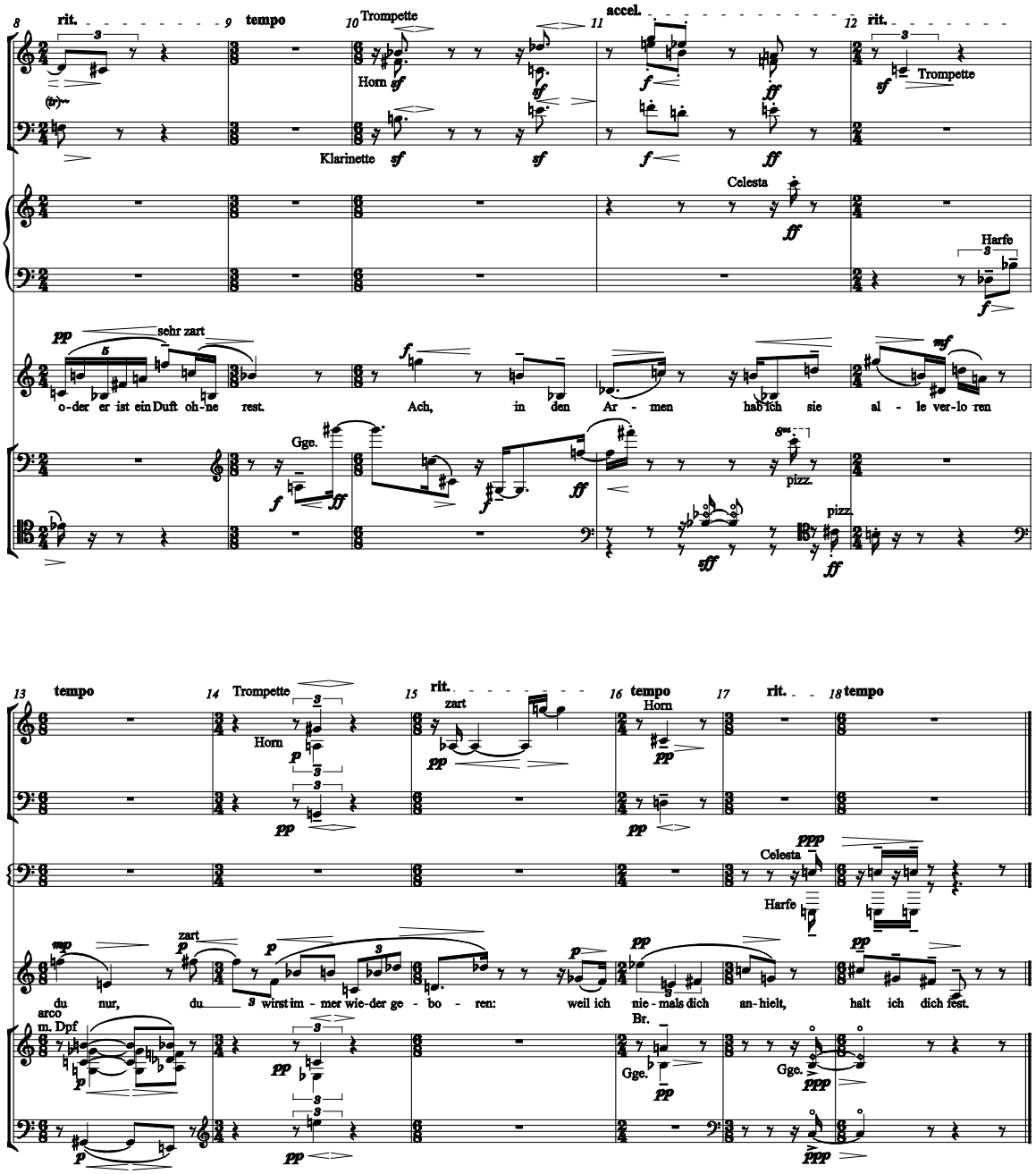
The perpetual reconfiguration of the "immer geboren" beloved will serve as our window into an analysis of the song's voice-leading procedures. On the small scale, this poetic reconfiguration is expressed through the reworking of short cells from one phrase to the next. This procedure, in turn, continually reshapes chromatic motion between pitch-classes F♯, C♯, and A, a larger-scale collection that receives special emphasis throughout the song.

Example 4.3 "Du machst mich allein"[66]



[65] Rilke, *Malte Laurds Brigge*, 198.
[66] All instrumental parts are notated at concert pitch.

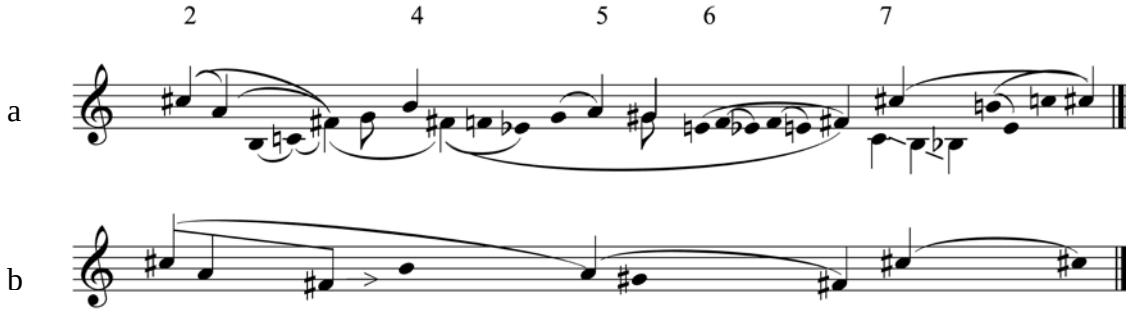
Example 4.3 continued



Pitch-classes F♯, C♯, and A factor prominently at the outset of "Du machst mich allein." (See the score in **Example 4.3**, and reductions in **Figure 4.4a** and **b**.) The lied begins in a similar fashion to "Du, der ichs nicht sage," with an identical pitch-class

collection (<B-A-C♯>) and a wide descending interval, C♯5-B3, of which F♯4 on "allein" is the symmetrical axis. The following music up to measure 6 is essentially a larger projection and filling-in of the initial C♯-A-F♯ descent. As may be seen in **Figure 4.4a**, C♯5 descends to B4 in measure 4, a B that Webern obtains by reinterpreting the preceding B3-F♯4 fifth (on "mich allein") as a descending fourth at "einzig." The line creeps further down to A4 and G♯4 at "vertauschen" (m. 5) and finally back to F♯4 in measure 6. Meanwhile, the G♯ of "vertauschen" also serves as a neighbour to F♯ in measures 4-6, expanding the F♯-G-natural-F♯ neighbour of measures 3-4. A preponderance of neighbouring motions in the orchestra echoes the vocal part (see for example the viola, bass clarinet and horn at measures 2-3, and the celesta and viola at bars 5-6).

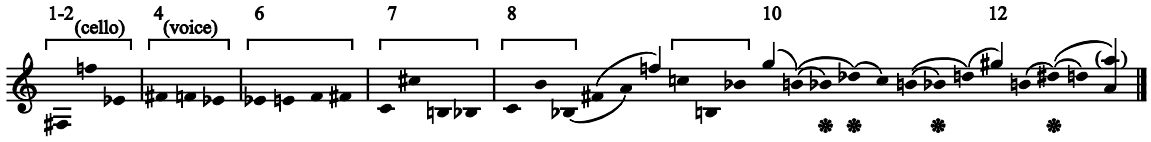
Figure 4.4 "**Du machst mich allein,**" **mm. 2-7**



To portray the elusiveness of the beloved, whose image vanishes like a rustling sound ("Rauschen") or a whiff of fragrance ("Duft"), the first part of the song also relies on the metamorphosis of a chromatic segment which, after first sounding in the orchestra, resurfaces in the voice part (**Figure 4.5**). The very first sonorities of the lied, the cello's <F♯3-F♮5-E♭4>, anticipate in a disjunct fashion the stepwise <F♯-F♮-E♭> at measure 4 on "einzig kann ich." An E-natural joins the collection at "Eine Weile bist du's" (m. 6) to form the collection <E♭-E♮-F-F♯>, and as soon as "du" becomes (or is "vertauscht" into)

"das Rauschen" (m. 7), Webern reconfigures it as a very disjunct <B♭-B-C-C♯> segment (on "dann wieder ist es das Rauschen"), the voice retaking the song's initial C♯5 (doubled by the horn neighbour in mm 7-8) while the <C-B-B♭> segment appears in the low register. The subsequent metamorphosis of "Rauschen" into "Duft" continues to redistribute the pitches of a stepwise chromatic in a disjunct fashion in m. 8.[67] This time, two iterations of <C-B-B♭> frame a symmetrical configuration around F♯4-A4 (mm. 8-9) in a flourish-like gesture that aptly captures the ephemeral nature of the fragrance. The "Duft" gesture also reaches up towards the highest register of the vocal part, announcing its uppermost peaks in the following bars.

Figure 4.5 "Du machst mich allein," mm. 1-12



In the next phrase (mm. 9-12), the already disjunct texture scatters into an even more pointillistic canvas, an effect the huge leaps in the violin amplify. In the voice part, the dyad B-B♭, excerpted from the previous "Duft" figure, is instrumental in articulating the dramatic stretching out of the upper vocal register. In Figure 4.5, the wide leaps have been reduced to clarify the mechanics of the vocal ascent (the pitches marked by asterisks appear an octave lower in the score). At measure 10, G5 (on "Ach") is followed by the B4-B♭3 dyad and its interior third, D♭4. The cell B-B♭ then serves as a springboard to G♯5 via D-natural. Finally, the dyad is abstracted to a single B-natural, which, along with the following D♯, announces an A5. This A5, however, proves as evanescent as the lovers who have escaped the narrator ("hab' ich alle verloren…") and materializes instead

[67] Aragona has noted the preponderance of the <C-B-B♭> segment in those measures; see "Il Lied di Abelone," 294.

in the middle register, as A4. This recalls two chromatic ascents in the first lied, where a projected C5 (at m. 11 on "ertrügen") and A4 (at the end of the song) appeared an octave lower than expected—*besitzlose* registral strategies.

As Figure 4.5 summarizes, the frequent return of the chromatic segment articulate a particular instance of what Schenker called "linkage technique" (*Knupftechnik*), all the more striking on this miniature scale: rather than using a motive as a "seed" for the next section, Webern progressively prunes his chromatic segment from four pitches down to a single one. Adorno discussed a favourite technique of Berg that could well apply to the passage reduced in Figure 4.5:

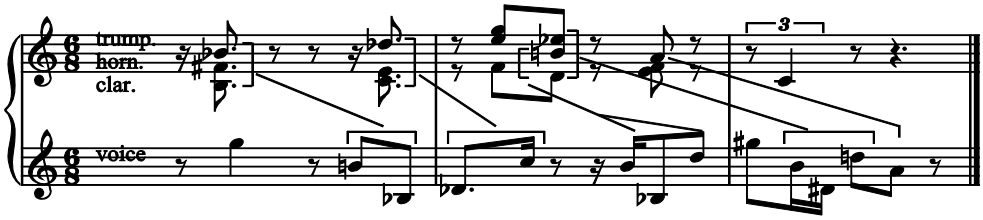
> …from each theme a remnant [*ein Rest*] is retained, ever smaller, until finally only a vanishingly small vestige remains; not only does the theme establish its own insubstantiality, but the formal interrelationships between successive sections are woven together with infinitesimal care.[68]

Meanwhile, the winds have emphasized key pitches of the ascent between measures 10 and 12. **Example 4.4** shows how several of the voice's dyads appear vertically in the trumpet, clarinet, and horn. (The structure is familiar from the first *Rilkelied*: we have already heard such vertical major sevenths or minor ninths bisected by an intermediary pitch.) Here, the chords in the winds clearly derive from the vocal part. This recalls Lewin's remarks on an excerpt of Schoenberg's *Litanei* (the third movement of his String Quartet Op. 10, which features a soprano): "'harmony'... is perceived here primarily as verticalized [mezzo] soprano melody."[69] Admittedly, "perceived" might be too strong a term for the present example. Measures 10-12 exemplify the particularly challenging nature of the relationship between voice and chamber ensemble in the lieder. Despite the similarities in pitch contents between voice and accompaniment, the

[68] Theodor W. Adorno, *Alban Berg, Master of the Smallest Link*, trans. Juliane Brand and Christopher Hailey (Cambridge and New York: Cambridge University Press, 1991), 3.
[69] Lewin refers here to the entrance of the "Ich lose mich" theme at mm. 51-52 and 99-100, where the succession of fourth-chords is derived from a familiar melodic tetrachord of "Ich fühle Luft." See Lewin, "Women's Voices," 470-471.

ensemble still provides no genuine interactive support to the voice; the chords and the pitches they double are not attacked simultaneously, and common pitches between voice and chamber orchestra appear in different registers.

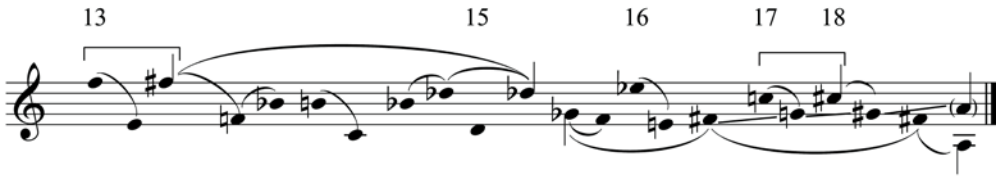
Example 4.4 "Du machst mich allein," mm. 10-12



Similar observations obtain with the string harmonies at measure 13. They can be partitioned into stacked fourths (G-C and G♭-B in the first chord, A♭-D♭ and F-B♭ in the second), an interval that has just concluded the preceding phrase (on "verloren") and that will feature prominently in the concluding section of the lied, notably on "anhielt" and "halt ich." Even more importantly, the voice's increasingly numerous ic-1s infiltrate the orchestral chords at measure 13, where, in addition to supporting the voice's "du nur," they regulate the vertical structure of the first harmony (the stacked fourths may also be partitioned into two interlocked major sevenths) and the horizontal succession from the first to the second chord. This type of total modeling of the orchestra on the vocal part constitutes, for Lewin, a powerful feat of the transcendent voice. And this is perhaps what gives measure 13 its especially poignant character. Coming after the emotional outburst of the previous phrase, the receding dynamic markings, the descending intervallic contour in both voice and orchestra, the searing semitones, and finally the speaker's avowal of vulnerability on the words "du nur, du" all combine to formulate *frisson*.

The final vocal phrase (mm.13-18; see **Figure 4.6**) brings to completion the processes that have sustained the preceding phrases. First, F♯5, the "missing" pitch in the vocal ascent in measures 8-12, materializes at bars 13-14. Retrospectively, its omission in the previous phrase seems structurally deliberate: expectations of registral saturation make its apparition at measure 13 desirable, and its structural status is reinforced by its positioning as the beginning of a new formal and syntactical unit. Then, at "immer wieder geboren" (mm. 14-15), the omnipresent <C-B-B♭> segment re-appropriates the C♯/D♭ with which it first appeared at "dann wieder ist es das Rauschen" (m. 7). The lied concludes, at measures 15-18, by attempting another chromatic ascent toward A that reconfigures the "failed" one of the previous phrase ("failed" because A materialized in the wrong register at measure 12). The ascent begins on G♭4 (F♯), to which it keeps returning to emphasize for the last time its structural status, and proceeds through G4 G♯4 at measures 17 and 18. But one more time, the projected A does not materialize in its expected register. Instead, the voice drops to A3, the nadir pitch of the song, recalling the closing gesture of "Du, der ichs nicht sage." One might have anticipated a different ending: after all, as Lewin sensitively argued, transcendent voices perhaps never transcend so well as when they breach the orchestral fabric and rapturously soar above it. But here, the voice reminds us one last time that, as mere mortals rather than angels, the reward of intransitivity is what ultimately eludes us.

Figure 4.6 "Du machst mich allein," mm. 13-18



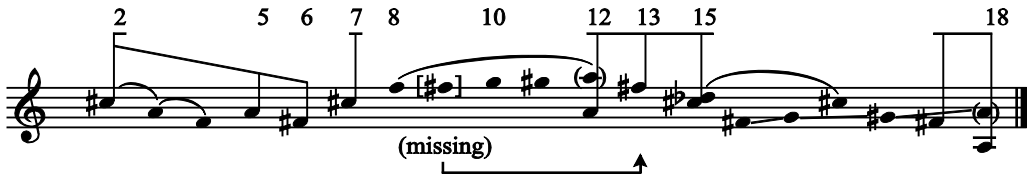
MODERNIST TRANSCENDENCE

I have argued that the angelic persona of the Rilke songs sings its own transcendence with a voice that features "chromatic intransitivity," evincing a sense of motivic allusiveness and elusiveness, of quasi-intangible connections that threaten to vanish as soon as they form. In this respect, the Op. 8 songs stand as a turning point in Webern's vocal output, where his conception of the chromatic collection shifts from the scalar to the aggregate. In his earlier vocal works, Webern's treatment of the twelve tones resembles, in certain ways, that of a tonal scale: it features directed motion from a beginning to an endpoint, and moves between selected "degrees" (e.g., transposition levels) by means of classical procedures of motivic development. In the serial works, motion within the chromatic collection becomes governed by the horizontal and vertical potential of the row's properties, a constellation-like dynamism that musically embodies "the intersection of the external and internal, the material and spiritual."[70] Even though historians generally group the *Rilkelieder* with Webern's first-period works on account of their aphoristic style, these songs move away from the "scalar" chromaticism of Opp. 3 and 4—not surprisingly perhaps, when we recall that the successive rounds of revisions took place over a fifteen-year period. As I have argued in my analyses, Webern's main concerns in Op. 8 are for aggregate and subaggregate completion, and for the opening up of pitch and registral spaces that he goes on to connect through the spatial unfurling of chromatic segments. Despite their fragmented character, the songs elicit a sense of chromatic profusion with their winding lines, their frequent reiteration of pitches and pitch-classes, and their thorough exploration of the vocal tessitura. All of these techniques unite the two songs with what one might call the spiritually spatialized chromaticism of his twelve-tone period. But whereas order is (needless to say) a prime

[70] Johnson, *Webern and the Transformation of Nature*, 181.

concern in serial works, the chromatic profusion in the *Rilkelieder* seems purposefully unordered, apart from those few pitches chosen for their structural or dramatic value.[71] Let us turn to a last musical example, a "background" reduction of "Du machst mich allein" (**Figure 4.7**), which graphs the terrain mapped in the lied. The figure exposes the backbone of the song, its non-functional trichordal collection, <F♯-A-C♯>. From the outset of the lied, Webern has staked out a pitch space that he will project at different levels of structures and in different registers. But between these structural pitches, the cluster formations we have observed in preceding figures do not present as straightforward a picture. Consider one more time, for example, in Figures 4.6 and 4.3a above, the spinning, fractal configurations that gather around the beamed notes. Webern seems more concerned with the variety of ways in which similar cells may be configured or distributed into registral territory than with the order in which the individual pitches appear. As a result, the filling of an intervallic gap is never unidirectional, and it is the constant reworking of that clouded intervallic space that confers upon intransitive chromaticism its unique sound.

Figure 4.7 "Du machst mich allein," mm. 2-18



As will be clear by this point, I contend that this shift occurred, at least partly, in response to the Rilkean angel exemplified in *Malte Laurids Brigge*. Of course, the Rilke

[71] Such as, in song 1, the vocal F4 at m. 5 that signals the end of the first complete syntactic unit by completing the aggregate; the "punctuating" effect of the recurring F♯ in measures 2-6 of song 2; the quasi-identical pitch configurations at the beginning of both songs that emphasize the relationship of the speaker to the addressee; and, of course, the A3s that conclude both songs in the "wrong" registers.

songs are not Webern's only opus that deals with the angelic. Indeed, as Johnson has observed, the composer frequently evokes the angelic in his pre-War works. Johnson argues that such works as Op. 5, No. 4 and Op. 6, No. 5 are especially concerned "with the poetics of the angelic presence which Webern associated with the continuing sense of his mother's memory."[72] These movements, even in their minimal, fractal processes, draw on conventional musical signifiers for the angelic. Take, for example, the ending of Op. 6, No. 5, which Johnson describes as "about as specific a musical evocation of the angelic as Webern ever gave."[73] The excerpt features soft, luminous ostinati, followed by sustained chords in string harmonics. There are some similarities with Op. 8, such as use of the "celestial" harp and celesta and the procedure of registral completion, but otherwise the sound world at the end of the fifth piece of Op. 6 hardly resembles that of the Rilke songs. Indeed, the latter seem far less concerned with evoking the angelic with a conventional semiotic vocabulary. Rather, they do so through pitch-manipulative processes that resonate with Rilke's conception of transcendence.

This difference in Webern's angelic music is understandable if, as I am proposing, the Op. 8 songs stem from a different emotional impulse than the other pre-war works: the composer's relationship with Wilhelmine. And yet, the Rilkean transcendence that Webern invokes is not one that we usually associate with lovers. Let us recall Isolde, the archetypal transcendent lover, and Lewin's archetypal transcendent voice, as there exist some parallels between her Transfiguration and the angelic transcendence in Op. 8. In both works, a feminine voice catapults the soul into the spiritual realm. Moreover, the Rilke songs, like *Tristan*, also imply transgressive transcendence, that is, a transcendental resistance against the social forces that bind Isolde to King Mark, or against Catholic Church regulations and family pressures that forbade Wilhelmine and Webern's union.

[72] Johnson, *Webern and the Transformation of Nature*, 127.
[73] Ibid., 111.

Of course, there are also important differences between Tristanesque and Rilkean transcendence. In Webern's lieder, the lovers are not to be reunited, nor is desire consummated; transcendence does not occur through death, and states of intransitive love are not triumphant, ecstatic, or grandiose. Rather, they are tinged with bittersweet renunciation. One almost has to succumb or surrender to transcendence, as at the end of Rilke's Tenth Elegy, where happiness, rather than the reward of uphill struggle, gently descends and bestows itself on humankind: "And we, who have always thought of happiness climbing, would feel the emotion that almost startles when happiness falls."[74]

And finally, chromaticism. Chromaticism in *Tristan* (and hence, to some extent, in the whole post-Wagnerian tradition) embodies sexual desire and longing. Rilke's own modernist redefinition of the poetics of love and desire around his philosophy of *besitzlose Liebe* engendered in Webern's Op. 8 a rethinking of chromaticism. Here, Webern detaches it from its conventional associations with desire. The peculiar type of atonal language that I have called intransitive chromaticism is not about channeling sexual desire; instead, it embodies the acceptance of that which eludes and escapes, of that which is *besitzlose*, and therefore elevates to expanded consciousness. Webern selects the voice for this task: the great lover's angelic voice who sings music "on which one could ascend upright, higher and higher, until one imagined that for a while this must just about have been heaven."[75] Perhaps this is what Webern meant when he called chromaticism "something above gender."

[74] "Und wir, die an steigendes Glück / denken, empfänden die Rührung, / die uns beinah bestürzt, / wenn ein Glückliches fällt." Rainer Marie Rilke, *Duino Elegies*, trans. J.B. Leishman and Stephen Spender (New York: W. W. Norton, 1939), 85.
[75] Rilke, *Malte Laurids Brigge*, 109.

CHAPTER 5.
PIERROT LUNAIRE IN BODY AND VOICE

PART I. BODIES: EMBODYING THE "THIRD TERM"

DRESSING PIERROT

I begin by recalling an episode that Schoenberg scholars have generally relegated to anecdotal marginalia. The actress Albertine Zehme (1857-1946), who commissioned *Pierrot lunaire* and to whom the composer dedicated it, insisted on performing Schoenberg's "three times seven melodramas" clad in a Pierrot costume, and this against Schoenberg's expressed wishes.[1] Schoenberg's *Pierrot lunaire* was not Zehme's first encounter with the moonstruck clown. In 1911, she had recited a selection of Albert Giraud's *Pierrot lunaire: rondels bergamasques* in Otto Erich Hartleben's German translation, adapting the vocal part of Otto Vrieslander's settings to her declamatory style.[2] As Bryan Simms postulates, Zehme probably derived the idea of cross-dressing as Pierrot from the *rondel* "Bömischer Krystall" that concluded her 1911 performance, in which the poet directly identifies himself with the clown: "I've dressed up as Pierrot / To offer her whom I love / A ray of moonlight closed up / In a flask of Bohemian crystal."[3] Schoenberg, Simms suggests, may have objected to Zehme's wearing a Pierrot costume on the grounds that his own *Pierrot lunaire* did not include "Bömischer Krystall" and also because most of the poems he selected are *about* Pierrot rather than in his voice. In

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[1] See Joan Allen Smith, "Schoenberg's Way," *Perspectives of New Music* 18/1-2 (1979-80): 276.
[2] Albert Giraud (pseudonym of Albert Kayenbergh), *Pierrot lunaire: rondels bergamasques* (Paris: Alphonse Lemerre, 1884). Hartleben's translations were initially published in 1892, and Müller's 1911 edition contains four of Vrieslander's lieder. See Albert Giraud and Otto Erich Hartleben, *Pierrot lunaire, mit vier Musikstücken von Otto Vrieslander* (Munich: Georg Müller, 1911). For a discussion of Zehme's Vrieslander *Vortrags-Abend*, see Reinhold Brinkmann, ed., *Kritischer Bericht* (*Pierrot lunaire*), in *Arnold Schönberg, Sämtliche Werke*, section 6, series B, vol. 24, part 1 (Mainz: Schott; Vienna: Universal, 1995), 306-307.
[3] Bryan R. Simms, *The Atonal Music of Arnold Schoenberg, 1908-1923* (Oxford and New York: Oxford University Press, 2000), 122. "Ich hab mich als Pierrot verkleidet— / Ihr, die ich liebe, bring ich dar / Den Strahl des Mondes, wohl verschlossen / Im Glas von böhmischem Krystall." Giraud and Hartleben, *Pierrot lunaire*, 50.

any case, this did not deter Zehme, and, as the work's patron, she had the final say on matters of staging. In the absence of any visual documentation pertaining to Zehme's performance, we have to turn to critics' appraisals of her 1912 tour to gain a sense of what the production looked like. The actress desired that she alone be visible onstage, with the chamber ensemble and the conductor concealed by dark screens. Coloured lights illuminated the actress's "white, workshop-like Pierrot costume hemmed in black" (also described as "a mollified Pierrot costume," or "a negligee and a trouser-skirt"); her hair (or perhaps her wig) was done in "reform-style" stiff curls.[4] The overall *mise-en-scène* struck critics alternately as fantastic, exotic, or in poor taste. Moreover, Zehme's loose white garments had the effect of obscuring her sex in some spectators' view, at least at first sight. Indeed, Zehme's "half-masculine, half-feminine Pierrot" puzzled an American critic so much that he had to revert to the gender-neutral "it" to describe the reciter: "Presently a figure appeared in the niche. But hastily consulting the program I made sure that it was a female figure. Upon its (the figure's) appearance another voice behind had quoted… 'was ist das? Mann oder Weib?'"[5]

Since then, various scholars have commented on the perplexing disjunctions between a reciter-as-Pierrot and the work's ambiguous narrative voice(s?), emphasizing that the Sprechstimme part is not, indeed cannot be, that of the sad clown; after all, isn't he mute? As Jonathan Dunsby asks:

[4] "In einem weissen, schwarzgeränderten Pierrotköstum im Werkstättenstil." Elsa Bienenfeld, *Neues Wiener Journal*, November 11, 1912, in Brinkmann, *Kritischer Bericht* (*Pierrot lunaire*), 264; "Eine Niobe in Matinee und Hosenrock... mit steifen Lockenrollen umklebten Kopf." G. St., *Die Welt am Montag*, Berlin, October 14, 1912, in ibid., 252; "…this 'speaking voice' was dressed in a white Pierrot costume with her hair done the reform style." Anonymous author in *Musical America*, November 16, 1912, in ibid., 267; "A lady of pleasing appearance, attired in a mollified Pierrot costume." James Huneker, *The New York Times*, January 19, 1913, in ibid., 275. Selected concert reviews also appear in François Lesure, ed., *Dossier de presse de Pierrot lunaire d'Arnold Schoenberg* (Geneva: Minkoff, 1985).

[5] "Ihn betritt… Frau Albertine Zehme im weissen Gewande eines halb männlichen, halb weiblichen Pierrots." Otto Taubmann, *Berliner Börsen-Courier*, October 10, 1912, in Brinkmann, *Kritischer Bericht* (*Pierrot lunaire*), 248; and Anonymous author in *Musical America*, November 16, 1912, in ibid., 267.

> Is the reciter Pierrot? It was a puzzle from the outset anyway, for Pierrot is a male. So who is the reciter, if not Pierrot?… The matter is not clear-cut… [I]n *Pierrot* there is no protagonist at all, no lucid relation between the focus of attention, the woman reciter, and the focus of textual attention, Pierrot himself.[6]

Nevertheless, numerous performers have continued to identify with the "silent dandy from Bergamo" and donned Pierrot-esque clothes. In the last four decades or so, these costumes have ranged from Patricia Rideout's sober white dress for her 1975 CBC-TV recital (with Glenn Gould directing from the piano), adorned only with an understated ruffle at the throat, to Christine Schafer's pallid face and hair and minimalist black and white outfit in Oliver Hermann's film version of 1999. The endurance of this sartorial theme testifies to a continuing sense that the reciter's part expresses something unique and vital about the character of Pierrot himself, or perhaps that donning the clown's clothing opens up expressive avenues that tap into the work's ambiguity of narrative voice. This strand of the work's performance practice tradition will serve as a point of departure for our investigations of issues of gender and sexuality in *Pierrot lunaire*. Marjorie Garber has argued that cross-dressing, whether in everyday life or on stage, results in a "third term," that is, a "mode of articulation, a way of describing a space of possibilities" that questions "the categories of 'female' and 'male,' whether they are considered essential or constructed, biological or cultural."[7] In this dissertation, we have explored how the composers of the New Viennese School engaged with the multifaceted and often conflicting discourses on gender. By the time Schoenberg wrote *Pierrot*, the categories of masculine and feminine had been subject to question, debate, and challenge on a variety of fronts. In what follows, I propose to explore how the clown Pierrot came to embody a host of contradictory gendered meanings that testify to this ambiguity. I

[6] Jonathan Dunsby, *Pierrot lunaire* (Cambridge and New York: Cambridge University Press, 1992), 35.
[7] Marjorie Garber, *Vested Interests: Cross-Dressing and Cultural Anxiety* (New York: Routledge, 1992), 10-11. Garber specifies that a "third term is not a "third sex"; that is to say, it is not, in particular, a synonym for homosexuality.

shall then interpret another important element of *Pierrot* performance practice, the famous Sprechstimme, as a vocal "third space" that, as both speech and song, constitutes a privileged medium for expressing these gendered tensions.

PIERROT'S BODIES AT THE TURN OF THE CENTURY

To state a truism: the clown Pierrot was a mute mime and therefore a body invested with meaning. In the literature on *Pierrot lunaire*, it has become commonplace to consider the mute clown as a metaphor for the alienated artist. To be sure, there are good reasons for this. In 1916, Schoenberg himself drew such a parallel in an oft-quoted note written to Zemlinsky in a *Pierrot* score:

> It is banal to say that we are all moonstruck fools; what the poem means is that we are trying our best to wipe off the imaginary moon spots from our clothing at the same time that we worship our crosses [allusions to *Der Mondfleck* and *Die Kreuze*]… From the scorn of our wounds comes the scorn for our enemies and our power to sacrifice our lives for a moonbeam.[8]

Following suit, Reinhold Brinkmann considers *Pierrot lunaire* a fruit of the "elitist branch" that elevated the clown to "the serious metaphysical grotesque." Susan Youens describes Schoenberg's Pierrot as "an archetype of the self-dramatizing artist, who presents to the world a stylized mask both to symbolize and veil artistic ferment, to distinguish the creative artist from the human being."[9] Without denying the obvious insight of such interpretations, regular reification of this trope nonetheless has had the effect of dematerializing Pierrot and confining him to the realm of the allegorical, rather than elucidating what his body—his costume, movements, and facial expressions—might mean. The corporeal imagery in *Pierrot lunaire*, that of Pierrot himself and of his

[8] Arnold Schoenberg to Alexander Zemlinsky, in a score of *Pierrot* given to Zemlinsky for Christmas 1916.
[9] See, for example, Susan Youens, "Excavating an Allegory: The Texts of *Pierrot lunaire*," *Journal of the Arnold Schoenberg Institute* 8/2 (1984): 96; and Reinhold Brinkmann, "The Fool as Paradigm: Schönberg's *Pierrot lunaire* and the Modern Artist," in *Schoenberg and Kandinsky: A Historic Encounter*, ed. Konrad Boehmer (Amsterdam: Harwood Academic, 1997), 151.

companions, is copious, sometimes disturbing, and strikingly vivid: the waxen face of the dandy from Bergamo (No. 3, "Der Dandy"), the naked, silvery white arms of the laundress (No. 4, "Eine blasse Wäscherin"), the horrific heart held up by bloody fingers (No. 11, "Rote Mass"), Cassander's bald, shining pate (Nos. 16, "Gemeinheit," and 19, "Serenade") are but a handful of examples. Since this pantomimic imagery both articulated and challenged received aspects of gender, it is essential to understand the multifarious nature of Pierrot's guises in the late nineteenth and early twentieth centuries.

The history of Pierrot has been recounted a number of times, and therefore we need only recall here its most salient lines.[10] Pierrot is essentially a French adaptation of the Italian *commedia dell'arte* stock character Pedrolino, a floury-face trickster, clumsy and slow-witted. After Antoine Watteau's famous paintings *Les Comédiens italiens* and *Gilles* introduced the figure of the sad clown to France, the credit goes to Jean-Gaspard (*dit* Baptiste) Deburau (1796-1846), a famous mime at the Théâtre des Funambules, for transforming the naïve buffoon into a melancholic, introspective, and *silent* figure. Pierrot owes his black skullcap and flowing sleeves to Deburau, and the mime's extreme thinness also became commonplace in Pierrotic imagery on his account (see **Plate 5.1**). Deburau's incarnation of the clown met with enormous success in the Parisian literary avant-garde—Baudelaire, Théophile Gautier, Théodore de Banville, among others—and can be considered the godfather of the Parnassian, Symbolist, and Decadent Pierrots, these later incarnations brushed with darker shades of morbidity and violence. By the end of the century, the sad clown had become literally ubiquitous, his versatile body delineated in subtle yet multiple variations. At this time, pantomimes were more popular than ever, with cabarets and theaters staging works of well known (such as Joris-Karl

[10] See Robert Storey, *Pierrots on the Stage of Desire: Nineteenth-Century French Literary Artists and the Comic Pantomime* (Princeton: Princeton University Press, 1985); Storey, *Pierrot: A Critical History of a Mask* (Princeton: Princeton University Press, 1978); and Louisa E. Jones, *Sad Clowns and Pale Pierrots: Literature and the Popular Comic Arts in Nineteenth-Century France* (Lexington, KY: French Forum, 1984).

Plate 5.1 Auguste Bouquet, Portrait of Jean-Gaspard Deburau as Pierrot (c. 1830)

Plate 5.2 Jules Chéret, *Pierrot sceptique* (1881)

Huysmans and Catulle Mendès) and lesser known artists. Verlaine introduced the clown into the decadent aesthetic, depicting him as a decaying corpse ("His eyes are hollow pits where phosphorus ignites / And his pasty face with its death's-door pointed nose / Is made more chilling still by thickly plastered flour"); Verlaine also aligned his Pierrot with the emerging gay subculture as a young androgyne ("Slender but not thin body / Girlish but not sour voice / Ephebic body on a tiny scale / Voice from the head, body in celebration / Creature always ready / To make drunk every appetite").[11] In Adolphe Willette's cartoons and Jules Chéret's posters, exit the billowing folds of Pierrot's costume; here he is a dandy, agile and elegant, clothed in tuxedo-like suits that often exchange white for black (**Plate 5.2**). And at the fin de siècle, Pierrot costumes also

[11] "Ses yeux sont deux grands trous où rampe du phosphore / Et la farine rend plus effroyable encore / Sa face exsangue au nez pointu de moribond." *Pierrot,* from *Jadis et naguère* (1884), in *Paul Verlaine, Selected Poems*, trans. Martin Sorell (Oxford and New York: Oxford University Press, 1999), 119. "Corps fluet et non pas maigre / Voix de fille et non pas aigre / Corps d'éphèbe en tout petit / Voix de tête, corps en fête / Créature toujours prête / À soûler chaque appétit." The English translation of "Pierrot gamin," from the collection *Parallèlement* (1889), appears in Jones, *Sad Clowns and Pale Pierrots*, 241.

began to clothe female bodies: Sarah Bernhardt, Félicia Mallet, and Peppa Invernizzi in Jean Richepin's *Pierrot assassin* (1883), Michel Carré's *L'Enfant prodigue* (1890; see **Plate 5.3**), and Catulle Mendès's *Le Docteur blanc* (1893) respectively. Moreover, sexually suggestive Pierrots abounded in music-hall pantomime-ballets such as René Le Maizeroy and Louis Desormes's *Le Miroir* (with Angelina Correnti as Pierrot), Amédée Moreau and Alfred Dubruck's *L'Arc-en-ciel* (with the famous *Moulin Rouge* dancer Jane Avril), or G.A. Caillavet, Robert de Flers, and Louis Ganne's *L'Heure du Berger* (see **Plate 5.4**).[12]

Plate 5.3 Félicia Mallet in *L'Enfant prodigue*, in *Le Théâtre*, No. 18 (June 1899)

Plate 5.4 Ballet corps dancers, *L'Heure du berger*, in *Le Théâtre*, No. 40 (August 1900/II) (detail)

[12] *Le Miroir* and *L'Arc-en-Ciel* played at the Folies-Bergères in 1892 and 1893 respectively; *L'Heure du Berger* was presented at the Palais de la danse at the Paris Universal Exposition of 1900. I wish to thank Sarah Gutsche-Miller for generously sharing her research on Parisian music-hall ballet, answering questions on female Pierrots on the Parisian stage, and for providing me with photographs of female Pierrot mimes and dancers. See her forthcoming dissertation "Pantomime-Ballets on the Music-Hall Stage: The Popularization of Classical Ballet in Fin-de-Siècle Paris."

In the late nineteenth-century, Pierrot-mania spread to the German-speaking world. When he emigrated north-east from his homeland, the clown retained close ties to his French origins—so close, in some respects, that Pierrot aficionado Franz Blei declared that "the symbol which incarnates the fantasy of the Latin people remains somewhat alien to German thought."[13] To be sure, most of the Pierrots that thrived in Austrian and German cabarets and popular theaters—such as Ernst Wolzogen's *Buntes Theater*, where Schoenberg did a brief stint as conductor in 1901-1902—appear to have brought little depth or national color to the character.[14] Brinkmann has observed that the seven composers (besides Schoenberg) who set Hartleben's translations tended to tame the poems' outrageous images with the reassuring sound of *Hausmusik*.[15] Nonetheless, even in works for the popular stage, Robert Vilain has noted that Pierrot did acquire some Austro-German traits. For example, Faustian reminiscences permeate Richard Specht's *Pierrot bossu* (1895), and Richard Beer-Hofmann's *Pierrot hypnotiseur* (1892) nods at the contemporary medical interest for hypnotism (with which Freud and Arthur Schnitzler had experimented).[16] Viennese operetta clichés, particularly the waltz, also tended to permeate the musical accompaniments.

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[13] "Das Symbol, das sich die Phantasie der lateinischen Völker im Pierrot geschaffen hat, ist deutschem Denken nicht ganz heimisch zu machen." Franz Blei, "Otto Vrieslander's Pierrot Lunaire," second preface to Giraud and Hartleben, *Pierrot lunaire*, vi.

[14] Wolzogen inaugurated his *Überbrettl* in January of 1901 with (among other numbers) a Pierrot pantomime. This same year, Zemlinksy composed his mimodrama *Ein Lichstrahl* for the *Buntes Theater*, which unfortunately closed its doors before the work reached the stage. See Jennifer Goltz, "The Roots of *Pierrot lunaire* in Cabaret" (PhD diss., University of Michigan, 2005): 28-33.

[15] Brinkmann refers to the following works: Ferdinand Pohl, *Mondsrondels*, Op. 4 (1891); Max Marschalk, *5 Lieder aus dem Pierrot lunaire von Giraud-Hartleben*, Op. 14 (1901); Otto Vrieslander, *Pierrot lunaire* (1911); Paul Gräner, *Gesänge aus des Pierrot lunaire*, Op. 25 (ca. 1908); Joseph Marx, *Lieder und Gesänge* (1910-1911); Max Kowalski, *12 Gedichte aus Pierrot lunaire*, Op. 4 (1913); and Mark Lothar, *3 heitere Lieder* Op. 4 (no. 1: *Mondfleck*), 1921. "The Fool as Paradigm," 154, 165-166.

[16] Robert Vilain, "An Innocent Abroad: The Pierrot Figure in German and Austrian Literature at the Turn of the Century," *Publications of the English Goethe Society* 67 (1998): 69-99. See also Helga Mitterbauer, "Der bleiche Mond über dem Wiener Prater: Zur Pierrot Rezeption in der Deutschsprachigen Literatur um 1900," in *Pierrot lunaire: Albert Giraud, Otto Erich Hartleben, Arnold Schoenberg: une collection d'études musico-littéraires / A Collection of Musicological and Literary Studies / eine Sammlung musik- und literaturwissenschaftlicher Beiträge*, ed. Mark Delaere and Jan Herman (Leuven, Belgium and Dudley, MA: Peeters, 2004), 159-172; and Claudia Girardi, "Pierrotdichtungen im deutschen Sprachraum um

The Pierrots who most thoroughly absorbed Austro-German culture were perhaps those who problematized the clown's mimed performances of gender to the greatest degree. Wedekind's Lulu plays and Berg's later operatic adaptation weave several issues raised by the *Frauenfrage* around Pierrot's body, including female sexual autonomy, prostitution, and the politics of marriage. Wedekind's *Erdgeist* (1895) and *Die Büchse der Pandora* (1904) drew inspiration from Félicien Champsaur's 1888 pantomime *Lulu*. (An erotic novel, *Lulu: roman clownesque*, would follow in 1901.) In Champsaur, Lulu's frequent cross-dressing as Pierrot is clearly meant to titillate; as Vilain points out, "the woman in the [pantomime's] published version wears an unforgettable transparent Pierrot costume, which turns the sex-change into a theatrical coup."[17] The alignment of Lulu with Pierrot is both richer and more ambiguous for Wedekind and Berg than it is for Champsaur. Wedekind's work alternately equates Lulu in her Pierrot costume with the original sin of the snake woman (Lulu-Pierrot is carried onstage as the animal trainer summons the snake in the Prologue), an image of sweet innocence (Schwarz declares that the Pierrot costume fits Lulu as though she had just been born in it), an empowered figure who resists male domination (Lulu tells Schwarz that she will not yield to him when dressed as a Pierrot), and an object of homosexual desire (the Countess Geschwitz lovingly praises the fairytale beauty ["wie ein Märchen"] of Lulu-Pierrot).[18] In Berg's opera, the portrait of Lulu as Pierrot, painted at the opening of act 1, is present in all three acts; Silvio Dos Santos has shown how its associations with a network of motivic recurrences and transformations symbolize Lulu's and others' perception of her

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1900," in *Literaturvermittlung um 1900: Fallstudien zu Wegen ins deutschsprachige kulturelle System*, ed. Florian Krobb and Sabine Strümper-Krobb (Amsterdam and New York: Rodopi, 2001), 93-112.

[17] Vilain, "An Innocent Abroad," 74.

[18] Ibid., 74-77. See also Naomi Ritter, "The Portrait of Lulu as Pierrot," in *Frank Wedekind: Yearbook 1991*, ed. Rolf Kieser and Reinhold Grimm (Bern: Peter Lang, 1992), 127-140; and Jeannine Schüller-Will, "Wedekind's Lulu: Pandora and Pierrot, the Visual Experience of Myth," *German Studies Review*, 7/1 (1984): 27-38.

identity.[19] Pierrot is indeed an appropriate *alter ego* for Lulu. Judy Lochhead has remarked on the "impossibility of tracing a single, continuous feature that defines her personality," a remark that could easily apply to the multi-faceted figure that Pierrot had become at the fin de siècle.[20]

Thus, when Schoenberg sat down to write his *Pierrot lunaire,* he tasked himself with contributing further layers to a character with a rich history. (The question of how Schoenberg's *Pierrot* might have influenced Berg's Lulu-as-Pierrot would be a pursuit beyond our present scope.) The composer had had direct exposure to the sad clown when he worked for Wolzogen's cabaret. He was certainly acquainted with Wedekind's work, and he saw a performance of Schnitzler's pantomime *Der Schleier der Pierrette* (*The Veil of Pierrette*) in 1911.[21] Schoenberg immediately grew quite enthusiastic about Hartleben's translation—some prefer to say adaptation—of Giraud's poems, which Blei had hailed a work of genuine German art. In Vilain's view, Hartleben's numerous stylistic alterations—he repositioned poetic images, abandoned rhyme schemes, added passages dwelling on the clown's dejection—fundamentally altered Giraud's polemics; no longer a skilled Parnassian attack on Decadence, Hartleben's translations acquired a "proto-Expressionist bite" and reified decadence in "a much wider spectrum of modernity and its malaises."[22]

The texts that Schoenberg selected reflect some of these malaises in the way they relate to changing codes of gender and sexual identity. The following section addresses

[19] Silvio José Dos Santos, "Ascription of Identity: The *Bild* Motive and the Character of Lulu," *The Journal of Musicology* 21/2 (2004): 267-308.
[20] Judy Lochhead, "Lulu's Feminine Performance," in *The Cambridge Companion to Berg*, ed. Anthony Pople (Cambridge and New York: Cambridge University Press, 1997), 230.
[21] See Vilain, "An Innocent Abroad," 95.
[22] Vilain, "An Innocent Abroad," 27. Vilain rejects the commonly held view, postulated in detail by Susan Youens, that Hartleben's translations provide a substantial improvement over Giraud's originals. Youens deplores Giraud's "flat, pallid, remote tone" and credits Schoenberg for "impos[ing] a coherent structure on those poems he chose, excavat[ing] from the larger source its principal 'idea' or 'concept,' purifying it and liberating it from the unrelated images that cluster about and hide it from view." See Youens, "Excavating an Allegory," 96.

how Pierrot, a slippery figure from these points of view, an impotent lover and poet yet one capable of extreme sexual violence—Blei called him "the most chaste of lechers"—became a focal point for such anxieties.

CORPOREAL IMAGES IN GIRAUD'S AND SCHOENBERG'S *PIERROT LUNAIRE*

Even though Pierrot stands in the limelight in Schoenberg's cycle, he isn't alone onstage. Columbine, of course, appears, and so too does Cassander, her father. Also present are a host of feminine figures, evoked through arresting corporeal images: the sick woman's lips, tainted with blood, the wounded breasts of the Madonna, the gray hair and red skirt of the duenna, the washerwoman's moon-white arms, the harlot's long neck and short braid. Whose voice, then, sounds through the Sprechstimme vocal part? As we noted earlier, several "characters" seem to speak throughout the cycle. The alternation between first and third person singular results in a shadowy narrative play between Pierrot (the "I" who woos Columbine in No. 4), a disinterested narrator, and perhaps Columbine as well, whom Dunsby hears in "Madonna" (No.6), "Gebet an Pierrot" (No. 9), and "Galgenlied" (No. 12).[23] The ambiguity of the speakers' identity in Schoenberg's cycle recalls the narrative structure of a pantomime script—and as Richard Kurth has perceptively noted, several of Giraud's poems could in effect lend themselves to convincing pantomimes.[24] In Schnitzler's *Der Schleier der Pierrette*, for example, characters' "lines" punctuate performance directions:

> PIERROT *takes the vial* [of poison] *and pours half its contents in each of the still half-filled wine glasses. He lifts his glass, asks Pierrette to clink glasses.*
> PIERROT *and* PIERRETTE *clink glasses… Near the window they embrace once more.*

[23] Dunsby, *Pierrot lunaire*, 35.
[24] Richard Kurth, "Pierrot's Cave: Representation, Reverberation, Radiance," in *Schoenberg and Words: The Modernist Years*, ed. Charlotte M. Cross and Russell A. Berman (New York and London: Garland, 2000), 209.

BOTH *arms still around another, slowly return to the table*.
PIERROT Are you ready?
PIERRETTE Yes.
PIERROT *picks up his glass*.
PIERRETTE *hesitates*.
PIERROT *smiles scornfully*. You don't have the courage after all. You see, I thought as much.[25]

These interjections, which Schnitzler carefully specifies are *not* to be spoken, recall the moments in *Pierrot lunaire* where a first-person-singular speaker surfaces amid the otherwise descriptive narrative fabric.

Kurth has suggested that Zehme's costumed performance collapses Pierrot and Columbine into a single voice.[26] He compares Zehme's recitation to Paul Margueritte's pantomime *Pierrot assassin de sa femme*, in which Margueritte played the roles of both Pierrot and Columbine. In this work, Pierrot recalls how he murdered an unfaithful Columbine by tickling her to death—a not so subtle conflation of *mort* and *petite mort*—before succumbing to the same fate when he too is seized by irrepressible fits of deadly laughter. The pantomime, created at the Théâtre libre in 1882, was a major and enduring work (to which we shall return later in this chapter) in an eminently ephemeral genre, and it staged Pierrot's capacity to fuse several characters within the folds of his costume, as exemplified by Margueritte miming Pierrot miming Columbine. Kurth suggests that Zehme, in cross-dressing as Pierrot yet reciting in a female voice, "creates a hermaphroditic combination of Pierrot and Columbine… reminiscent of Paul Margueritte's performances of both roles..."[27]

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[25] Arthur Schnitzler, *The Veil of Pierrette*, in *Paracelsus and Other One-Act Plays*, trans. G.J. Weinberberg (Riverside, CA: Ariadne Press, 1995), 194-195.
[26] Kurth, "Pierrot's Cave," 207-211.
[27] Ibid., 211. As Kurth notes, Stéphane Mallarmé (Margueritte's uncle) addresses pantomime in general and *Pierrot assassin de sa femme* in particular, in his essay *Mimique* (1886), comparing the silence of the mime to a white page as yet unwritten ("Ainsi ce Pierrot assassin de sa femme compose et rédigé par [Paul Margueritte], soliloque muet que tout du long à son âme tient et du visage et des gestes le fantôme blanc comme une page pas encore écrite." Mallarmé's essay, in turn, is discussed at length in Jacques Derrida's "The Double Session." See Kurth, *Pierrot's Cave*, 206-208.

Kurth's argument may be pursued further. Here, some visual support will be useful. Margueritte's work became the subject of numerous cartoons and posters, and Kurth draws our attention to a problem of graphic representation: how could a caricaturist represent the monomimic action taking place onstage without drawing two distinct bodies, as Willette did in his numerous cartoons? (See **Plate 5.5**.) I would suggest, however, that this is exactly what H. Lanos's poster (**Plate 5.6**) attempted. The mime's contorted grimaces and clutching gestures are those of both Pierrot and Columbine as they writhe in throes of laughter, bringing the viewer close to the experience of watching the actual pantomime.[28] Lanos's poster vividly illustrates the clown's polymorphism, his capacity to blur borders between self and other—another binary which Garber's "third term" deconstructs.[29]

Plate 5.5 Adolphe Willette, *Pierrot assassin de sa femme*, in *Le Pierrot*, December 7, 1888

[28] For these and more portraits of Pierrot, see Storey, *Pierrots on the Stage of Desire*, and *Pierrot: A Critical History*.
[29] Garber, *Vested Interests*, 24. Louisa Jones also points out the fool's "ambiguous identity, which is often double, often multiple, without clearly fixed boundaries," in *Pale Clowns and Sad Pierrots*, 10.

Plate 5.6 H. Lanos, *Pierrot assassin de sa femme*, in *L'Illustration*, March 26, 1887

In his *Pierrot lunaire*, Schoenberg similarly selected a number of texts in which other characters seem like projections of Pierrot's psyche, mirror images that fuse their own selves with the clown's. This is accomplished in part through a web of recurrent poetic images that circulate throughout the cycle (e.g., blood, various shades of light and glint [*Glanz*], scents and smoke) as well as through subtle parallelisms (for example, Pierrot's attempts at rubbing the moon beam off his coat in No. 18 ominously echoes the laundress and her moon-woven linens in No. 4)—and this, independently of which character "speaks" through the reciter. But the most compelling examples of subjective

conflations are of a subtler ilk, occurring when we can detect Pierrot's body lurking behind those of other characters. In two melodramas, "Galgenlied" ("Gallows song," No. 12) and "Valse de Chopin" (No. 5), a female character mingles her sexuality with that of Pierrot.[30] The text of "Galgenlied," for example, reads as follows:

> The scraggy harlot / With a long neck / Will be his last / Lover.
> In his brain / Is stuck like a nail / The scraggy harlot / With a long neck.
> Slender as a pine, / On her neck a little braid— / Lustfully she will
> Hug the rogue's neck, / The scraggy harlot![31]

This text superimposes the images of a gibbet and a prostitute, its vulgar tone and jocular familiarity with death evoking the crude quality of the prostitute's street language (as well as the *commedia* tradition of comedic death). The gibbet/prostitute metaphor resonates, of course, with the death-orgasm trope and also with fears related to the body of the prostitute. More will be said on that topic in our discussion of "Valse de Chopin"; for the moment, let us observe that the poem draws Pierrot's own physical attributes into the metaphor. Pierrot had long been associated with the scaffold, not only in that he was frequently hung, but also by way of his physical appearance. Back in Deburau's day, Baudelaire had pronounced Pierrot "pale as the moon, mysterious as silence, supple and mute as the serpent, thin and long as a gibbet."[32] Lank, spindly, and long-necked clowns also abound among other writers. In Jules Laforgues's *Pierrots*, for example, the clowns hold "their necks up high / Like ceremonial candles." Elsewhere, he similarly draws attention to Pierrot's vulnerable neck: "On a stiff neck emerging thus / From a similarly starched lace," the clown takes on "an air of a hydrocephalic asparagus."[33] "Galgenlied"

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[30] I use the term "melodrama" to designate the individual pieces of the cycle, according to the term Schoenberg frequently used in his 1912 correspondence. See for example his reference to his "Melodramen-Cycklus" in a letter to Zemlinksy in Brinkmann, *Kritischer Bericht* (*Pierrot lunaire*), 241.
[31] The translations used for the texts of *Pierrot lunaire* are those of Stanley Applebaum in the 1994 Dover score.
[32] Quoted in Storey, *Pierrot: A Critical History*, 104.
[33] "…Tenant leur cou tout droit / Comme on porte un beau cierge"; "C'est, sur un cou qui, raide, emerge / D'une fraise empesée idem / Une face imberbe au cold-cream / Un air d'hydrocéphale asperge." Translations adapted from Jones, *Sad Clowns and Pale Pierrots*, 242-247.

maps Pierrot's gibbet-like body onto that of the prostitute, "die dürre Dirne." Thanks to the redundant structure of the poem, all three stanzas emphasize the harlot's (or Pierrot's) long neck and bony body, while the ruffle at the clown's throat (or the noose of the hang-rope) becomes *her* little braid.

Another body in *Pierrot lunaire* recalling Pierrot's own is that of the sick woman in "Valse de Chopin":

> As a pale drop of blood / Colors a sick woman's lips, / Thus there rests upon these notes / A charm that hungers for annihilation.
> Chords of wild pleasure disturb / The icy dream of desperation—
> As a pale drop of blood / Colors a sick woman's lips.
> Hot and exultant, sweet and languishing, / Melancholy, somber waltz,
> I can't get you out of my head! / You adhere to my thoughts / Like a pale drop of blood!

In Hartleben's translation, the nature of the illness is not specified; the woman is only described as being "krank." In Giraud's original, however, we are told that she is "une phtisique" (a phthisic), "phthisis" and "consumption" being the nineteenth-century designations for tuberculosis. Until the discovery of the disease's bacterial etiology in 1882, its causes were believed hereditary or linked to environmental factors. Those who led an irregular or deviant lifestyle were considered especially prone to it; at the end of the century, Richard von Krafft-Ebing remarked, in his *Psychopathia Sexualis*, that "the great libido of consumptives is remarkable, even during the very latest stages of the disease."[34] Tubercular symptoms, moreover, gave rise to the feminine paradigm of "phthisic beauty," of which Marguerite Gautier, the heroine of Alexandre Dumas's *La Dame aux camélias* (the source for *La Traviata*) is the quintessential expression: pale skin, extreme thinness, long neck and hands, flushed cheeks, and shining eyes. The sick

[34] Richard von Krafft-Ebing, *Psychopathia Sexualis: A Medico-Forensic Study*, trans. F. J. Rebman (New York: Pioneer Publications, 1939), 73. See also Linda and Michael Hutcheon, "Famous Last Breaths: The Tubercular Heroine" in *Opera: Desire, Disease, Death* (Lincoln: University of Nebraska, 1996), 29-60; and Arthur Groos, "'TB Sheets': Love and Disease in *La Traviata*," *Cambridge Opera Journal* 7/3 (1995): 233-260.

woman of "Valse de Chopin" is not so described, but even lacking the term "phthisic" in Hartleben's translation, the text nevertheless implies that she suffers from consumption. The opening lines of the melodrama, "As a pale drop of blood colors a sick woman's lips," are the give-away: a fit of consumptive coughing culminates in expectoration of blood. Other textual clues also point to tuberculosis. The "charm that hungers for annihilation" refers to the tubercular woman's loss of weight (Dumas's Marguerite was "exaggeratedly tall and thin"), and the verse "Hot and exultant, sweet and languishing" suggests bouts of feverish agitation followed by periods of weakness. This alternation of phthisic states is built into the temporal fabric of the melodrama; Yonatan Malin has demonstrated how its altered waltz meter projects two different pulses that reflect "states of manic excitement and depressive calm."[35] And finally, we must consider the fate of the melodrama's namesake: the consumptive Chopin.

One of Pierrot's most popular fin-de-siècle incarnations, the decadent, sick clown, tropes in distorted ways upon the body of the phthisic. *Her* excessive thinness, long neck, and pale skin become *his* grotesque emaciation, skeletal features, and pasty complexion. The consumptive's crimson cheeks also recalls the sick clown's "lips wound-red" (in Verlaine's words) and "tongue salivating with blood." This last description is taken from Giraud's poem *Rouge et blanc* (which does not appear in Schoenberg's cycle), a *rondel* that echoes the tubercular contrast between white paleness and red flush:

> A cruel, red tongue / Its flesh salivating with blood / Criss-crosses his bloodless face / Like reddening lightening.
> From the mineral hue of his pale face / This repulsive ruby protrudes:
> A cruel, red tongue / Its flesh salivating with blood.[36]

[35] Yonatan Malin, "Metric Analysis and the Metaphor of Energy: A Way into Selected Songs of Wolf and Schoenberg," *Music Theory Spectrum* 30/1 (2008): 61-87.

[36] "Une cruelle et rouge langue, / Aux chairs salivantes de sang, / Comme un éclair érubescent / Sillonne son visage exsangue. / Sa face pale est une gangue / D'où sort ce rubis repoussant : / Une cruelle et rouge langue / Aux chairs salivantes de sang. " My translation of *Rouge et blanc*, Giraud, *Pierrot lunaire*, 49.

Through his similarities with the anonymous women of "Galgenlied" and "Valse de Chopin," Pierrot's body points to an ensemble of fears that clustered around the prostitute's body at the end of the century: degeneration, illness, death. After the sad clown, the sick clown? By the late nineteenth century, syphilis was replacing tuberculosis as the illness associated with prostitution (perhaps one reason why Hartleben replaced Giraud's "phtisique" by the generic "kranke"). Pierrot, the prostitute, and syphilis all appear jumbled together in Huysmans's decadent novel *À rebours* (*Against Nature*, 1884). Huysmans's antihero, the aristocrat Des Esseintes, dreams he is being chased by the horrific specter of Syphilis. In his flight he meets a scrawny woman whose derelict appearance recalls that of the "durre Dirne" of "Galgenlied," and later another woman who calls to him with lascivious eyes and "lips [that] assumed the fierce red of the anthuriums." As he attempts to dodge Syphilis, Des Esseintes is confronted with the nightmarish vision of "enormous white Pierrots… jumping like rabbits in the moonlight" who threaten to crush him; their disordered somersaults "filled the whole horizon, the whole sky, which they knocked alternately with their heels and their heads."[37] Here, grotesque, bouncing Pierrots form an integral part of Huysmans's decadent amalgam of sickness, decaying bodies, and degenerate sexuality.

Thus, the Pierrot of Schoenberg's *Pierrot lunaire* is defined not only in the melodramas that depict his actions, but also in those that evoke his body through other characters. The final Pierrot incarnation we will consider is that which stares right at us in "Der Dandy" (No. 3) as he performs the ritual of making up his face in moonbeam white. The figure of the dandy, it has been argued, complicates the concept of a dichotomy of genders, adopting a host of attitudes deemed essentially feminine (including his elegance of dress and disdain for the vulgar), while often expressing contempt for

[37] J.K. Huysmans, *Against the Grain* (New York: Dover Publications: 1969), 91-92.

women and arousing suspicions of homosexuality.[38] He is a third term in Garber's full sense of the expression, and Michael Puri has recently insisted that he be considered as such: "we will… allow the dandy to maintain his fullness as a *queer* figure whose embodied opposition to bourgeois norms extends to his sexuality, regardless [of] whether this opposition be a counterproposal (of homosexuality) or a dismissal (i.e., that the issue of sexuality cannot be resolved in any current categories.)"[39]

Heather Hadlock has traced an interesting ancestry for Pierrot-dandy, one bound to the tradition of the travestied female singer. "Poetic and theatrical tropes associated with the dandy," she argues, "including female travesty, lovesickness, alienation, nostalgia, and moonlight, will be most familiar from their late incarnation in *Pierrot lunaire*, but they had clustered around the trousered woman much earlier, in the opéra comique of the 1870s."[40] This light opera dandy, in turn, descended from the pageboy lover, a ubiquitous female travesty role in opera, whose quintessential representative is Mozart's Cherubino. Pierrot-dandy as a belated page? There indeed exist some provocative parallels between the two figures. Cherubino and Pierrot are both images of adolescent sexuality, overflowing with urgent desire but never taken seriously. As singers of failed serenades (as Hadlock describes Cherubino), both stand outside the conventional love-story plots of opera and pantomime: Pierrot's attempts to woo Columbine meet with no more success than Cherubino's efforts to win the Countess—and even if they do, Columbine is sure to betray him. Eventually, Hadlock writes, Cherubino grew up. That is to say, by the early twentieth century, the pageboy became a

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[38] See, for example, Jessica R. Feldman, *Gender on the Divide: The Dandy in Modernist Literature* (Ithaca and London: Cornell University Press, 1993).
[39] Michael Puri, "Dandy, Interrupted: Sublimation, Repression, and Self-Portraiture in Maurice Ravel's *Daphnis et Chloé* (1909-1912)," *Journal of the American Musicological Society* 60/2 (2007): 320.
[40] Heather Hadlock, "The Career of Cherubino, or the Trouser Role Grows Up," in *Siren Songs: Representations of Gender and Sexuality in Opera*, ed. Mary Ann Smart (Princeton: Princeton University Press, 2000), 74. She cites, among other dandies, Oreste in Offenbach's *La Belle Hélène* (1864) and the Prince Orlofsky in Strauss's *Fledermaus* (1874).

principal figure rather than a peripheral one in love-story plots; Massenet's *Chérubin* (1905) and Strauss's *Rosenkavalier* (1911) offer cases in point. At the turn of the century, Pierrot too becomes a sexual figure, albeit a deviant and destructive one who uses sex as an instrument of power and abuse. In Laforgue's *Pierrot fumiste*, for example, he withholds it on his wedding night, only to savagely consummate the union months later before abandoning Colombinette. In Huysmans and Hennique's *Pierrot sceptique*, he rapes and destroys manikins. In this latter work, the outrageous Pierrot is also a dandy, or rather he apes the dandy by wearing a suit of black percaline and having the hairdresser shine his pate with black boot polish. In these works, Pierrot sharpens the dandy's characteristic aloofness and contempt for femininity into pure cruelty and misogynistic violence. Echoes of this brutality resound in "Galgenlied" (No. 12), in the moon's mean-spirited mockery of the frustrated spinster in love with Pierrot in "Parodie" (No. 17), as well as in the gratuitous manhandling of Cassander in "Gemeinheit" (No. 16) and "Serenade" (No. 19).[41]

In sum, the early twentieth-century figure of Pierrot might be nominally male, but hardly unambiguously masculine. Whether this ambiguity of gender is foregrounded (as when Margueritte stages Pierrot's ability to impersonate Columbine) or remains more covert (i.e., the likening of the clown's body to female bodies in *Pierrot lunaire*), Pierrot's sexuality is inseparable from fear, sickness, and gruesome violence that extends

[41] We should note that when the reciter dresses as Pierrot, she brings one more body, her own, into play. In Zehme's case, the actress took care to make her body the visual focus of the performance, aligning herself, as the cycle's narrator, with Pierrot. As we noted above, her costume was copiously derided. Was the disjunction between her own appearance and expectations of what Pierrots should look like too great? The aging Zehme did not resemble the popular Pierrots of the time—male mimes (such as the famous Séverin and Thalès, active in France at the turn of the century, or the pantomime artist Oskar Geller who performed at Wolzogen's Überbrettl), female dancers, or young androgynous-looking actresses. In contrast to Zehme's attempt to portray herself as Pierrot, a theatrical production by Eight Blackbirds (2006) featured a giant Pierrot puppet on stage that interacted with reciter Lucy Shelton, establishing the performer as a poetic persona distinct from the clown. Both approaches respond to different aspects of the work: the former resembles Margueritte's pantomime, enhancing the sense that Pierrot's body may also represent other characters, while the latter recalls the distinct characters of a full-fledged pantomime.

far beyond the stock-and-trade violence of the *commedia* tradition. The poems that Schoenberg selected for his *Pierrot lunaire* open up a third space that is essentially conflicted: a naked statement of crisis. In the second part of this chapter, we shall examine ways in which Schoenberg's Sprechstimme voices this state of crisis. Schoenberg's novel vocal technique is itself an expression of a contradictory third space: its inherent hybridity makes contradictory demands of the reciter—a quandary that has seen no definite answer to this day—which result in a vocal sound which can only be described as ambiguous and conflicted. I will pursue this issue and others pertaining to the Sprechstimme by way of positioning Pierrot's crisis-ridden body within turn-of-the-century medical discourses on hysteria.

PART II. VOICE: HYSTERIA AND HYSTERICIZATION

ASPECTS OF *PIERROT LUNAIRE'S* RECEPTION

Neurasthenic, nervous, lunatic, neurotic: all are favorite adjectives to describe Pierrot. Towards the end of the nineteenth century, "nervous" illness had become a euphemism for "hysteria," in no small part thanks to the famed French physician Jean-Martin Charcot, who rejected the traditional gynecologic etiology of hysteria in favor of a neurologic one. What draws Schoenberg's Sprechstimme and hysteria together? A sampling of concert reviews from 1912 and 1913 that comment on Zehme's recitation may begin to answer this question. The composer and conductor Otto Taubmann called her delivery "full of a hysterical, distorted artificiality," and an anonymous reviewer wrote of "a hysterical yelling or whisper." Julius Korngold—ever the hostile Schoenberg critic—scornfully reported: "we saw an agitated lady before us, who abandoned herself to Albert Giraud's bizarre, neo-romantic-satanic-hysterical impressions with veritable convulsions of recitation." Even Elsa Bienenfeld, usually sympathetic to the composer,

observed: "one saw a thin figure, shaken by convulsions, one heard a voice now suddenly screaming, now sweetly stretched out, in hysterical cooing and roaring," adding that the poems exhibited a mixture of "hallucinations of healthy and sick nerves."[42] Finally, Paul Riesenfeld drew a lengthy comparison between the aesthetic of *Pierrot* and that of Huysmans's *À Rebours*, aligning Schoenberg's novel sonorities with the disturbed Des Esseintes's thirst for ever more refined sensual satisfactions. As medical historian Mark Micale has remarked, Des Esseintes, who delights in music that leaves him "breathless and choked by the suffocating *boule* of hysteria," represents "the leading male hysteric of fin-de-siècle France."[43]

By the turn of the century, the term "hysteria" had acquired an extensive compendium of meanings that included all that was excessive, mad, irrational, erotic, disordered, feminine; it was linked to fears of prostitution, degeneration, and criminality. *Pierrot lunaire* incorporates a number of figures commonly associated with hysteria, either by physicians or in literature and the popular imagination, among them the dandy (Huysmans's Des Esseintes is a quintessential example), the prostitute who haunts "Valse de Chopin" and "Galgenlied," and the duenna of "Parodie" (middle-aged spinsters were considered especially prone to hysteria). Even the pallid laundress of "Eine blasse Wäscherin" hints at socio-sexual habits implicated in female hysteria. Eunice Lipton has discussed how Parisian washerwomen, who daily stepped outside the domestic sphere to

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[42] "...einer Rezitation der Verse voll hysterisch verzerrter Unnatur." Otto Taubmann, *Berliner Börsen-Courrier*, October 10, 1912, in Brinkmann, *Kritischer Bericht* (*Pierrot lunaire*), 248; "...die Rezitation der—gemalten—Lieder hysterisches Geschrei oder Geflüster." Anonymous, *Berliner Kleine Börsenzeitung*, October 12, 1912, in ibid., 252; "Noch sehen wir die erregte Dame vor uns, die sich an die bizarren, neuromantisch-satanisch-hystrischen Impressionen von Albert Girauds 'Pierrot lunaire'... unter wahren Rezitiationskrämpfen hingab." Julius Korngold, *Neue Freie Presse*, November 9, 1912, in ibid., 263; "[Man] sah eine krampfgeschüttelte magere Gestalt... hörte eine Stimme, bald jäh aufschreiend, bald zuckerig gedehnt, in hysterischem Girren und Toben," and "Halluzinationen gesunder und kranker Nerven." Elsa Bienenfeld, *Neues Wiener Journal*, November 11, 1912, in ibid., 264.

[43] Paul Riesenfeld, *Allgemeine Musikzeitung*, January 3, 1913, in ibid, 272-274; and Marc S. Micale, "Discourses of Hysteria in Fin-de-Siècle France," in *The Mind of Modernism: Medicine, Psychology, and the Cultural Arts in Europe and America, 1880-1040*, ed. Mark S. Micale (Stanford: Stanford University Press, 2004), 72-73.

collect clothes around town and worked in scanty clothing in the stifling heat of the ironing room, garnered a reputation for sexual promiscuity, alcoholism, and prostitution, conditions long associated with female madness.[44] Conversely, the washing of clothes could also serve as a cure for the insane. Elaine Showalter reports that laundry and ironing were thought to hold therapeutic value in French and especially English asylums: "the lunatic laundress, whose work not only paid for her treatment but also symbolized her purgation, was considered by many to be the perfect solution to two dirty problems."[45]

More importantly, the hotbed of medical research on hysteria migrated from Paris to Vienna—and from Charcot to Freud—at approximately the same time that the sad clown's fame spilled over the French border into Austria. The character of Pierrot, as well as the distinctive sound of Schoenberg's Sprechstimme, assume further strata of meaning when positioned against these evolving medical discourses.

PIERROT "HYSTÉRIQUE"

In late nineteenth-century France, Jean-Martin Charcot (1825-1893) was the leading medical expert on hysteria. Charcot attributed the illness to neurological, rather than gynecological, causes and introduced a controversial thesis of male hysteria. His provocative views were widely disseminated outside medical circles thanks to the unprecedented degree of awareness, mutual interest, and intellectual exchange that existed around 1900 between scientists and artists.[46] Charcot interests us for the

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[44] See Eunice Lipton, "Images of Laundresses: Social and Sexual Ambivalence," in her *Looking into Degas: Uneasy Images of Women and Modern Life*, 116-150 (Berkeley and Los Angeles, 1986).
[45] See Elaine Showalter, *The Female Malady: Women, Madness, and English Culture, 1830-1980* (London: Virago, 1987), 82-84.
[46] Recent scholarship on the history of hysteria includes Mark S. Micale, *Hysterical Men: The Secret History of Male Nervous Illness* (Cambridge, MA: Harvard University Press, 2008); Micale, *Approaching Hysteria: Disease and Its Interpretations* (Princeton: Princeton University Press, 1995); and Elaine Showalter, *Hystories: Hysterical Epidemies and Modern Culture* (New York: Columbia University Press, 1997).

theatricality with which he treated the bodies of his hysterical patients, whose flamboyant symptoms he staged in a spectacular fashion at the famous *leçons* he held in the amphitheater of the hospital La Salpêtrière. Selected non-medical individuals, such as Maupassant, the Daudets, the politician Léon Gambetta, and the intellectuals Henri Bergson and Émile Durkheim were invited; Sarah Bernhardt is also said to have toured the wards. The "Napoleon of neuroses," as Charcot was nicknamed, would lead his patients into a hypnotic state and artificially induce and remove hysterical symptoms, demonstrating, he believed, the idiogenic nature of hysteria. Aside from participating in these *tableaux vivants*, Charcot's hysterics were also subjected to a different kind of gaze, that of the camera. The Salpêtrière was equipped with a photography studio, and from 1876 to 1880, and 1888 to 1918, the patients of the Clinical Chair of Diseases of the Nervous System (Clinique des maladies du système nerveux) were relentlessly photographed. The pictures, which were collected in iconographic catalogs, fascinate and disturb. The anonymous patients' bodies and faces are meticulously tabulated and labeled according to their particular symptoms, their contortions and grimaces frozen in time as the photographer exerts (under Charcot's tutelage) "museological authority on the sick body… : the figurative possibility of generalizing the *case* into a *tableau*."[47]

Besides the amphitheater of the Salpêtrière, other stages displayed hysterical bodies. As Rae Beth Gordon has demonstrated, the singers and mimes of fin-de-siècle Parisian cabarets and café-concerts developed a unique gesticulatory style based on convulsive, angular motions and grimaces, which reviewers often described as

[47] Georges Didi-Huberman, *Invention of Hysteria: Charcot and the Photographic Iconography of the Salpêtrière*, trans. Alisa Hartz (Cambridge, MA, and London: The MIT Press, 2003), 30. The *Iconographie photographique de la Salpêtrière* was the work of the neurologist Désiré-Magloire Bourneville and the photographer Paul Régnard; three volumes were published in 1876-1877, 1878, and 1880. In 1888, the physicians Gilles de la Tourette and Paul Richer and the photographer Albert Londe resuscitated the publication under the name *Nouvelle iconographie de la Salpêtrière*, which would continue until 1918.

"hysterical" and "epileptic" (the two illnesses were considered to be closely related).[48] In several respects, Pierrot stands as the emblem of this theatrical physiology. For one, Charcot gave the name of *clownisme* to the second stage of what he called the *grande crise hystérique* (great hysterical attack), a phase characterized by acrobatic postures and contortions. And the dramatist Jean Richepin (author of *Pierrot assassin*) promoted a form of pantomime that would replace fluid "arabesques" by a contorted "zigzag," which, Gordon suggests, matched the twisted, angular postures of the hysteric. I would argue that Pierrot could also mimic other stages of the hysterical attack, as we may see in Lanos's illustration for Margueritte's *Pierrot assassin de sa femme*, which we discussed earlier in this chapter (see again Plate 5.6). The poster shows Pierrot in eight different postures and displaying various facial expressions, several of which resemble postures captured in images of Charcot's "great hysterical attack." For example, Pierrot's tilted head, protruding tongue, and rolled-back eyeballs recall the contractions and muscular spasms that characterize the first, "epileptoid" phase of the attack, as we can see when we compare Pierrrot's grimaces with Paul Richer's medical drawings and Paul Régnard's and Albert Londe's photographs in **Plate 5.7**. When Pierrot crosses his in arms on his chest or holds them out, supplicant-like, he calls to mind the *attitudes passionnelles* (impassioned attitudes), the third phase of the attack (**Plate 5.8 a-d**). His frenzied drinking (see Plate 5.6 above) resonates with the belief held by many that alcoholism might induce mental illness. And more generally, French doctors would have considered his crazed facial expressions, winks, and the asymmetry of his gaze as symptoms of nervous disorder (**Plate 5.9**).[49]

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[48] See Rae Beth Gordon, "From Charcot to Charlot: Unconscious Imitation and Spectatorship in French Cabaret and Early Cinema," in *The Mind of Modernism*, 93-124; and "Le Caf'conc' et l'hystérie," *Romantisme* 64 (1989): 53-67.

[49] These and several other pictures from the Salpêtrière photo studio are reproduced in Didi-Huberman, *Invention of Hysteria*. Plates 5.3a and c appeared originally in Richer's *Études cliniques* of 1881 (Paris: Delahaye et Lecrosnier); plate 5.9a is a picture by Londe in the *Nouvelle iconographie* (1889); and plates 5.7b, and 5.8a and b are from Régnard, in the *Iconographie photographique*, vol. 2 (1878).

Plate 5.7 "Great hysterical attack, epileptoid phase"

a) "Typical position"

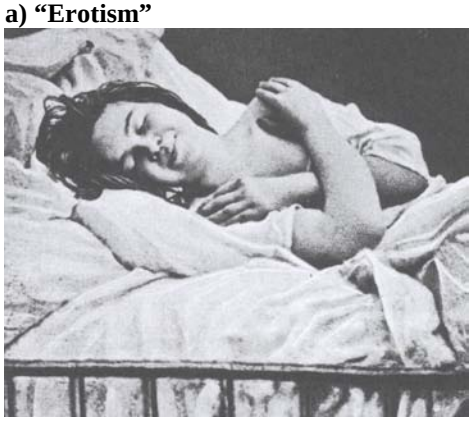
b) "Onset of an attack"

c) "Phase of tonic immobility or tetanism"

d) Lanos, *Pierrot assassin de sa femme* (details)

Plate 5.8 "Attitudes passionnelles"

a) "Erotism"



b) Lanos, *Pierrot assassin de sa femme*

Plate 5.8 (continued)

c) "Ecstasy"

d) Lanos, *Pierrot assassin de sa femme* (detail)

Plate 5.9 "Hysterical wink"

a) "Blépharospasme hystérique"

b) Lanos, *Pierrot assassin de sa femme* (detail)

Lanos's pictures are rare images of masculine madness. As Micale has pointed out, even though Charcot never gave up his research on male hysteria, it was the female hysterical body that artists and medical iconographers tirelessly drew, painted, and photographed. Willette's own illustration of *Pierrot assassin de sa femme* offers a case in point (see Plate 5.5 above). Willette split the monomimic body of Margueritte's pantomime into two characters and drew Columbine as the hysteric *par excellence*: "a

young adult female with her hair disheveled, head tossed back… eyes rolling, body rigid and writhing erotically."[50] Like many a hysterical patient, Willette's Columbine is fettered to her bed. Indeed, she much resembles Augustine, a hysteric patient at La Salpêtrière and a favorite of its photographers for her photogenic aptitudes to replay over and over her hysterical symptoms before the camera lens (she is depicted in Plates 5.7b, 5.7c, 5.8a, and 5.8c). In contrast, Micale points out that iconography of male hysteria is scant and rudimentary, far from equaling the theatricality and exuberance of female visual representations. Lanos's clown is devoid of the eroticism that Willette's Columbine exudes; his body is grotesque, disturbing, and unabashedly ill. The imagery of male hysteria proved a much more difficult sight to confront for the late nineteenth-century voyeurs of the female hysteric. The ambiguously gendered figure Pierrot, however, provided artists with an acceptable body with which to represent male hysteria.

PIERROT LUNAIRE "HYSTERICIZED"

During the fall and winter 1885-86, the young Sigmund Freud traveled to Paris and undertook clinical studies of nervous disorders at La Salpêtrière under Charcot's direction. He returned to Vienna bedazzled by Charcot's methods, continued to experiment with hypnosis, and espoused the French physician's views on male hysteria (although as we noted in Chapter 1, his 1886 paper on the topic met with hostility). Freud's theories on hysteria, however, soon underwent a radical reorientation, due in no small part to his collaboration with Dr. Josef Breuer, the founder, with his patient Anna O. (Bertha Pappenheim), of the cathartic treatment of neuroses (or the so-called talking cure). Freud published a number of writings on hysteria in the 1890s (the best-known being the *Studies on Hysteria*, written jointly with Breuer) in which the condition can be

[50] Micale, *Hysterical Men*, 217.

said to take a turn inwards. For Freud (and Breuer), hysterical symptoms became signs of a psychological malady rather than the manifestations of a neurological pathology, to be interpreted rather than catalogued. Voyeuristic obsession with symptomatology mutated into an investigation of the unseen as the analyst led the patient to remember a trauma, the repression of which lay at the origins of the hysterical symptoms.

Peter Brooks has discussed how, in theatrical and cinematic melodramas, frequent recourse to pantomimic bodies "constantly reminds us of the psychoanalytical concept of 'acting out': the use of the body itself… to represent meanings that might otherwise be unavailable to representation because they are somehow under the bar of repression."[51] Brooks calls this mute melodramatic body "hystericized," because it "gives us the maximal conversion of psychic affect into somatic meaning—meaning enacted on the body itself," and he suggests that such moments of hystericization are often instrumental in bringing about resolution of conflict and dramatic denouement.[52]

At the turn of the century, Pierrot may be said to represent the essence of hystericization, with meaning inscribed in each fiber of his mute body driven by Eros and Thanatos. I wish to suggest that the Sprechstimme offers an especially appropriate vehicle for acting out the meanings accrued to the character of Pierrot. For it, too, is essentially conflicted, taking the spoken voice out of its comfort zone, mixing speech and song and negotiating their contradictory expressive priorities, its hybridity producing a nexus of tensions that cut across vocal conventions of gender representation.

Since the premiere of Schoenberg's *Pierrot*, the expressive potential and uncanny sound of the Sprechstimme delivery has fascinated performers and scholars alike. Both have pondered the apparent contradiction between the voice part's precisely notated

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[51] Peter Brooks, "Melodrama, Body, Revolution," in *Melodrama: Stage, Picture, Screen*, ed. Jacky Bratton, Jim Cook, and Christine Gledhill (London: British Film Institute, 1994), 19. Brooks also develops this argument in "Body and Voice in Melodrama and Opera," in Smart, *Siren Songs*, 118-134.
[52] Brooks, "Melodrama, Body, Revolution," 21.

pitches on the one hand, and various documents and performance traditions indicating that pitch accuracy might not have been a priority for the composer on the other. Several studies have been and continue to be written in attempt to shed light on how the vocal part ought to be performed or to compare the merits of a relatively spoken delivery (which appears to be what Schoenberg intended) versus a rendition closer to singing (which, it is sometimes argued, allows the listener to better grasp the motivic and contrapuntal fabric to which the voice part contributes).[53] Schoenberg's notoriously ambiguous performance instructions, partly quoted below, have fueled rather than resolved those debates. In the foreword to his Op. 21, the composer wrote:

> The melody indicated by notes in the part of the speaker (with certain specially indicated exceptions) is *not* intended to be sung. The performer has the task of transforming it into a *speech melody* by a careful rendition of the indicated pitches. He can do this by
> 1. keeping to the rhythm just as precisely as he would when singing, i.e., with no more freedom than he would take in a sung melody;
> 2. being quite conscious of the difference between a *sung tone* and a *spoken tone*: the sung tone maintains its pitch without change, the spoken tone touches upon it but then leaves it immediately by descending or ascending. The performer must always be on guard against falling into a "singing" manner of speech. That is absolutely not intended. But neither should he aim for a realistic-natural speech. Quite the opposite, there should always be a clear difference between customary speech and speech that contributes to a musical effect. But this should never remind one of song.[54]

These instructions have provoked much experimentation among performers, who have pursued approaches ranging from the purely spoken (such as the recordings of Jeanne

[53] Among them, Peter Stadlen, "Schoenberg's Speech-Song," *Music and Letters* 62/1 (1981), 1-11; Friedrich Cehra, "Zur Interpretation der Sprechstimme in Schönbergs *Pierrot lunaire*," in *Schönberg und der Sprechgesang*, ed. Heinz-Klaus Metzger and Rainer Riehn (Munich: Text-Kritik, 2001), 62-72; Christian Martin Schmidt, "Das Problem Sprechgesang bei Arnold Schönberg," in Delaere and Herman, *Pierrot lunaire: Albert Giraud, Otto Erich Hartleben, Arnold Schoenberg*, 77-84; Jennifer Goltz, "Pierrot le diseur," *The Musical Times* (Spring 2006): 59-72; Avior Byron, "The Test Pressings of Schoenberg conducting Pierrot lunaire: Sprechstimme reconsidered," *Music Theory Online* 12/1 (2006); Byron and Matthias Pasdziernym, "Sprechstimme Reconsidered Once Again: '... though Mrs. Stiedry is never in pitch,'" *Music Theory Online* 13/2 (2007); and Aidan Soder, *Sprechstimme in Arnold Schoenberg's* Pierrot lunaire: *A Study of Vocal Performance Practice* (Lewinston: Edwin Mellen Press, 2008).
[54] Trans. in Simms, *The Atonal Music of Arnold Schoenberg*, 133-134.

Héricard and Helga Pilarczyk) to the purely sung (Yvette Minton), from strict adherence to the written pitches to looser interpretation of the melodic contours.[55] Ultimately, scholars and performers alike agree at least on one point: much of *Pierrot's* appeal lies in the sheer variety of interpretive possibilities that the work admits.

Schoenberg did not have a conventional voice type in mind when he conceived *Pierrot*'s Sprechstimme. Albertine Zehme was an actress who, since the 1900s, had specialized in the recitation of melodrama. According to critics, however, Zehme's vocal abilities did not equal the demands of Schoenberg's score. When she ceased to hold exclusive performance rights, the composer hired the actress Erika Stiedry-Wagner to recite the part in several concerts, as well as for the 1940 Columbia recording.[56] Stiedry-Wagner's recorded rendition is infamously inaccurate with respect to pitch and sometimes does not even respect the indicated melodic contours. Schoenberg, however, admired her speech-like declamation and wrote, in the text that accompanied the work's recording, of "the great satisfaction which her performance always has been to [him]."[57] For Stiedry-Wagner, the difficulty of the work resided in no small part in negotiating its wide range while resisting falling into song:

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[55] Jeanne Héricard, voice, dir. Hans Rosbaud, Wergo WER 6403-2 (286 403-2), 1993; Helga Pilarczyk, soprano, dir. Pierre Boulez, Adès 202912, 1985; Yvonne Minton, alto, dir. Pierre Boulez, Sony Classical MSK 48466, 1993.

[56] Both Zehme and Stiedry-Wagner were musically educated. Stiedry-Wagner claimed to have participated in *Liederabende* and operettas, and H.H. Stuckenschmidt writes that Zehme received singing training at Bayreuth. However, according to Edward Steuermann, who coached her for *Pierrot lunaire*, she was "only as musical as the well-bred German ladies of the time." See Edward Steuermann, "*Pierrot lunaire* in Retrospect," in *The Not Quite Innocent Bystander: Writings of Edward Steuermann*, ed. Clara Steuermann, David Porter, and Gunther Schuller, trans. Richard Cantwell and Charles Messner (Lincoln: University of Nebraska Press, 1989), 36; and Joan Allen Smith, *Schoenberg and His Circle: A Viennese Portrait* (New York, London: Schirmer, 1986), 99. Concerning the few biographical details available on Zehme, see H.H. Stuckenschmidt, *Schoenberg: His Life, World and Work*, trans. Humphrey Searle (New York: Schirmer, 1977), 195-218.

[57] Josef Rufer, *The Works of Arnold Schoenberg: A Catalogue of his Compositions, Writings, and Paintings*, trans. Dika Newlin (London: Faber and Faber, 1962), 40. For a discussion of Schoenberg and Erwin Stein's work with Stiedry-Wagner, see Byron and Pasdziernym, "Sprechstimme Reconsidered Once Again."

> And then the *Sprechmelodie*, you know… you need a very, very big *Skala*—deep and high and you have to be a *Sprecher*—you have to know how to speak, not how to sing, and that's the main thing. And it's very wrong—Schoenberg always told me it's wrong—to sing…[58]

The "Skala" of *Pierrot* is "very, very big" indeed: the voice reaches from E-flat3 to A-flat5. While the upper notes reside well within the compass of any trained female voice, the lower ones lie below the typical contralto range. Schoenberg granted the performer a fair degree of freedom as far as range and pitch-precision were concerned. In a 1923 letter to Josef Rufer, he indicated that the written pitches of the vocal part could be adapted to the reciter's vocal compass:

> The pitches in *Pierrot* depend on the range of the voice…You can divide the range of the voice in as many parts as half tones are used [*in soviele Teile teilen, als Halbtöne verwendet werden*]; perhaps then every distance is just a 3/4 tone. But you don't have to carry this out in a pedantic way…[59]

Schoenberg also added: "Of course the range of the speaking voice is not enough. Well, the lady has to learn to speak with 'head voice;' every voice can do that…" Despite the composer's casual assertion that "every voice can do that," the head register is uncommon territory for the speaking voice. The average speaking range of most female voices remains in the chest register, extending from approximately G#3 to B3/C4.[60] The Sprechstimme part exceeds by far such a range. Even though head resonance does colour everyday speech, the speaking voice is highly unlikely to touch the highest pitches (between E5 and A-flat5) demanded by the score. A reciter who opts for a speech-like interpretation thus faces a real challenge.

Let us consider for a moment two other, operatic, voice types that have attracted critical attention by virtue of their striking ranges: the castrato on the one hand, and the

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[58] Allen Smith, *Schoenberg and His Circle*, 99-100.
[59] Arnold Schoenberg to Josef Rufer, July 8, 1923, quoted in Byron "*Pierrot lunaire*: *Sprechstimme reconsidered*." Indeed, several reciters have chosen to pitch sections from the work higher or lower, often so that their voices could be heard through loud accompanimental textures.
[60] Virgil Anderson, *Training the Speaking Voice*, 3rd ed. (New York: Oxford University Press, 1977), 98-99.

so-called *diva assoluta* (such as Pauline Viardot, Maria Malibran, or Maria Callas) on the other. Such singers had in common an extraordinarily wide range that could cover up to three and a half octaves, which made the seamless blending of registers a formidable task.[61] Naomi André and Elizabeth Wood have both drawn on Wayne Koestenbaum's gendered interpretation of register breaks to discuss performances of castrati and "absolute divas." For Koestenbaum,

> The break between registers… is the place within one voice where the split between male and female occurs. The failure to disguise this gendered break is fatal to the art of "natural" sound production… [B]y revealing the register break, a singer exposes the fault lines inside a body that pretends to be only masculine or only feminine.[62]

André has argued that "If the break in the voice can be the audible signal of how gender is heard, the castrati are able to cross back and forth almost imperceptibly."[63] For Wood, on the other hand, it is precisely the uneven timbre of female voices such as Viardot's that, in its risky but thrilling balance of sameness and difference, annihilates the masculine/feminine and natural/unnatural binaries that Koestenbaum claims the break articulates. "The extreme range in one female voice… and its defective break at crossing register borders" sings "an acceptance and integration of male and female… a synthesis, not a split."[64] André and Wood coined the expressions "cross-dressing of the voice" and "sonic cross-dressing" to describe the flexibility with which castrati and absolute divas

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[61] Not all castrati developed a phenomenal range, but the most famous certainly did. According to contemporary accounts, the range of the famed Farinelli covered a three-octave span from C2 to high D; Malibran: G below middle C to E above the staff (the range of a mezzo-soprano with contralto and high soprano extensions).

[62] Wayne Koestenbaum, *The Queen's Throat: Opera, Homosexuality, and the Mystery of Desire* (New York: Poseidon, 1993), 155-156.

[63] Naomi André, *Voicing Gender: Castrati, Travesti, and the Second Woman in Early-Nineteenth-Century Italian Opera* (Bloomington: Indiana University Press, 2006), 32.

[64] Wood calls such voices "sapphonic" and theorizes them as a vessel for lesbian difference and desire. Elizabeth Wood, "Sapphonics," in *Queering the Pitch: The New Gay and Lesbian Musicology*, ed. Philip Brett, Elizabeth Wood, and Gary C. Thomas (New York: Routledge, 1994), 32.

exploited their vocal registers—a vocal cross-dressing that could be combined with a travesty of dress.[65]

The voice part of *Pierrot lunaire* also reformulates what it means to move across one's range. Schoenberg's vocal part does not encourage singers to camouflage the register break or integrate contrasting timbres into a dramatic persona. Rather, its notated range, which does not conform to either that of the speaking voice or that of conventional voice types, openly embraces the artificial and delights in the "unnatural." Requiring a speech-like voice to perform extremely low pitches with chest tone or to linger in the head register, not only for momentary effect but throughout a complete work, constituted (especially in 1912, before high modernism completely redefined vocal conventions) a novel and, to Schoenberg's listeners, highly unfamiliar technique, which gave rise to the alienating effect [*Verfremdungseffekt*] Adorno observed.[66] The purposefully artificial, hybrid, and constructed quality of Sprechstimme seems particularly pronounced in Stiedry-Wagner's recording. We can hear her struggle not to sing; at times she strains to produce her head voice in her chest register, and the timbre of the high, speech-like notes often seems otherworldly. Expressivity trumps exactness of pitch in this performance, and the result certainly gives material presence to the "expressionist bite" that Vilain (and presumably Schoenberg) detected in Hartleben's texts. Many later performers have tended to back away from this type of vocal expression. Some have significantly compressed the vocal part's notated range to accommodate a more "natural" speech-like

[65] André, *Voicing Gender*, 32; and Wood, "Sapphonics," 32. It is tempting to draw parallels between sonic cross-dressing and pantomimic (and especially Pierrot-esque) "cross-miming." Even though Pierrot never dresses in Colombine's or Pierrette's clothes, we have seen, with Margueritte's pantomime, that he is able to impersonate her onstage. And, as I have argued in the preceding section, Schoenberg selected texts that imply a fundamentally plural body: Pierrot possesses several theatrical "registers" within the folds of his garments.

[66] "Das Sprechen ist hier kein naturalistisches Sprechen, sondern gerade durch die Unangemessenheit des gesprochenen Tons an den musikalischen kommt etwas von der Fremdheit der Musik noch stärker heraus…" Theodor W. Adorno and Pierre Boulez, "Gespräche über *Pierrot lunaire*," in Metzger and Riehn, *Schönberg und der Sprechgesang*, 84.

delivery (Helga Pilarczyk, for example, believed that it was impossible to perform *Pierrot* at pitch without singing it throughout, and therefore situated her quasi-spoken delivery much lower and in a very narrow range).[67] Others, such as Jan de Gaetani and Christine Schäfer inject more tone and meticulously observe the contour of Schoenberg's lines. Their mastery of pitch and color is nothing short of virtuosic, yet their calculatedly smooth and effortless sound also seems at times to sanitize the Sprechstimme, robbing it of a measure of its uncanny, expressionist darkness.

With the unconventional, artificial sound that Schoenberg encouraged, the Sprechstimme complicated normative relationships between voice, gender, and body. By early-twentieth century standards, it stood outside traditional mechanisms of vocal production and their related conventions of gender representation, such as those that the German system of *Fächer* helped establish and perpetuate. Suzanne Cusick has noted that "because we imagine our voices to be the way they are because of our bodies' structures, we assume our voices to be among the inevitable consequences of biological sex."[68] She and other scholars have argued that it is possible to "sever the link between sex, voice pitch, and timbre."[69] *Pierrot* foregrounds this issue: the hybrid sound of the Sprechstimme cannot be reconciled with early-twentieth-century traditional (i.e., operatic) expectations of performing one of two gender categories. Rather, it points to the ambiguities related to Pierrot's "impossible" body, one in a state of perpetual flux and conflict and commonly performed by both male and female mimes.

In order to capture vocally the conflicts and ambiguities inscribed on the clown's hystericized body, Schoenberg devised novel ways to negotiate the often incommensurate linguistic and expressive priorities of speech and song. Tensions between signifying

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[67] See Jane Manning, "A Sixties *Pierrot*: A Personal Memoir," *Tempo* 59/233 (2005): 20.
[68] Suzanne Cusick, "On Musical Performances of Gender and Sex," in *Audible Traces: Gender, Identity, and Music*, ed. Elaine Barkin and Lydia Hamessley (Zürich and Los Angeles: Carciofoli, 1999), 28-29.
[69] Joke Dame, "Unveiled Voices: Sexual Difference and the Castrato," in Brett, Wood, and Thomas, *Queering the Pitch*, 140.

speech (or what Lacanians call "symbolic language") and the subversion thereof occupy a central place in Breuer's and Freud's writings on their hysterical patients. Some of the symptoms of hysteria they reported (in accordance with traditional medical discourse) directly affect the integrity of symbolic language, for example aphasia (an impaired capability to use or understand words) and aphonia (a loss of voice). In *Studies on Hysteria* (1895), written jointly by Breuer and Freud, Breuer's patient Anna O. exhibited striking linguistic disorders: she lost her ability to speak her native German and replaced it with a patchwork of gestures, neologisms, and foreign words.[70] And in his famous analysis of Dora's case (1905), Freud commented on the brokenness and discontinuity of the hysteric's speech. Conversely, it was the physician's task to fill the gaps in his patient's story and connect its fragments into a smooth narrative—that could subsequently be published in the form of a case study such as those appearing in the *Studies on Hysteria*—so as to tie the chain of hysterical behaviors to a repressed memory.[71]

To represent Pierrot's hystericized body in sound, Schoenberg appealed to a vocal medium that captures the contradictory tendencies of speech and song, and of signification and its erasure, opening a "third" vocal space that parallels Pierrot's own sexual "thirdness." Roland Barthes's distinction between pheno-song and geno-song (modeled on Julia Kristeva's pheno-text and geno-text) will be useful to illustrate these contradictory pulls. Barthes's pheno-song encompasses "all the phenomena, all the features which belong to the structure of the language being sung…everything in the performance which is in the service of communication, representation, expression…"[72]

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[70] Sigmund Freud and Josef Breuer, *The Standard Edition of the Complete Psychological Works of Sigmund Freud*, vol. 2, *(1893-1895): Studies on Hysteria*, ed. James Strachey, trans. James Strachey et al. (London: Hogarth Press, 1955).

[71] Sigmund Freud, Fragment of an Analysis of a Case of Hysteria (1905 [1901]),' in Strachey, *Standard Edition* 7; and Showalter, *Hystories*, 84-85.

[72] Roland Barthes, "The Grain of the Voice," in *Image-Music-Text*, trans. Stephen Heath (New York: Hill and Wang, 1977), 182. Kristeva's pheno-text refers to "language that serves to communicate." Julia

Thus, the melodramas' texts belong to this domain—the mixture of fantasy and cool detachment with which Pierrot's mad pranks are recounted recalls the objective, clinical tone in which Freud wrote accounts of his patients' (as well as his own) dreams. As for the Sprechstimme, one of its exceptional features is the extent to which it preserves the intelligibility of its textual component (which sets it apart from, say, the singing of opera arias.) This owes to a prosodic rhythm—the exact delivery of which was of paramount importance for Schoenberg—that emphasizes the accentuation patterns of the German language; moreover, the melodic lines often follow the intonation contours of the language.[73] (The composer perhaps placed such a premium on textual clarity because obscuring the semantic signification in a text about a mute mime would be equivalent to turning the lights off during a pantomime.)

But Schoenberg also draws upon the potential of song to upend the linguistic priorities of speech, and the "geno" element of the Sprechstimme plays an important role in the characterization of Pierrot's body as hystericized. In Barthes' words,

> The *geno-song* is the volume of the singing and speaking voice… it forms a signifying play having nothing to do with communication, representation (of feelings), expression…it is that apex (or that depth) of production where the melody really works at the language—not at what it says, but the voluptuousness of its sounds-signifiers, of its letters—where melody explores how the language works and identifies with that work.[74]

David Burrows, among others, has discussed song's tendency to elongate vowels, which are less capable than consonants of conveying semantic information; the classic example is coloratura writing that stretches words out to such an extent as to render them unintelligible.[75] Song is especially prone to effacing language in the upper range of the

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Kristeva, *Revolution in Poetic Language*, trans. Margaret Waller (New York: Columbia University Press, 1984), 87.

[73] See Eliezer Rapoport, "Schoenberg-Hartleben's *Pierrot lunaire*: Speech, Poem, Melody, Vocal Performance," *Journal of New Music Research* 33/1 (2004): 71-111.

[74] Barthes, "The Grain of the Voice," 182.

[75] David Burrows, *Sound, Speech, and Music* (Amherst: The University of Massachusetts Press, 1990), 62-63.

female voice, where vowels become increasingly indistinguishable from one another above high E. For Michel Poizat and others, the singing voice (and especially the high female voice) thus holds the potential to dissolve into a Lacanian pre-linguistic condition, which he calls the diva's "cry." (Poizat specifically relates such moments of operatic *jouissance* to a quest for a lost materiality of sound that only the newborn can entirely experience, and which disappears when speech becomes imbued with signification.[76]) The Sprechstimme's distinctiveness as a vocal medium relies in great part on the fashion in which it reformulates song's typical protraction of vowels. Even though words are rarely stretched out to the extent they are in the lied or aria styles, the glissandi and portamenti that connect the signifying phonemes (according to Schoenberg's injunction that the voice immediately leave tones by descending or ascending) do emphasize pure vocalization and colorful timbre in a way that neither the notated score nor the conventions of language and song can determine. In places, Schoenberg specifically demands that the reciter fill large intervals with fully fledged glissandi, such as in "Rote Messe" (No. 11) where the voice must slide from G♯5 to D4 on the word "zerreisst" (mm. 11-12) or in "Enthauptung" (No. 13), between F5 and D2 on "Mond" (m. 20). These vocalizations, of course, also allow the performer, as she elongates vowels, to take advantage of all the timbral gradations between whispered, spoken, and sung tones.

Schoenberg may have derived this play of linguistic tensions from the practice of melodramatic recitation in general, and from his conversations with Zehme prior to composing *Pierrot* in particular.[77] Indeed, at the beginning of their professional

[76] Michel Poizat, *The Angel's Cry: Beyond The Pleasure Principle in Opera*, trans. Arthur Denner (Ithaca and London: Cornell University Press), 99-104.

[77] Jacqueline Waeber has discussed the lively tradition of melodrama and recitation which may have influenced Schoenberg's Sprechstimme. For example, the musically-trained recitants Ernst von Possart (1841-1921) and Ludwid Wüllner (1858-1938) specialized in "highly musicalized declamation;" Waeber also believes, despite Steuermann's conviction that Schoenberg created his Sprechstimme *ex nihilo*, that the composer must have been aware of Humperdinck's "gebundenes Melodram" (a declamation notated with x-shaped noteheads) in his *Königskinder* of 1897. While it is customary among scholars to minimize Zehme's contribution to the creation of the Sprechstimme, Waeber acknowledges the fundamental

collaboration, Zehme informed Schoenberg that she had developed her own style of recitation, based on the particular qualities of her voice and her expressive capabilities, and that she wished to introduce him to her "spiritual instrument" [*seelischen Instrument*].[78] Zehme left two documents respectively explicating her views on recitation and Sprechstimme. The first consists of a text that she included in the program of her recital of Vrieslander's *Pierrot lunair* [sic] lieder, entitled "Why I Must Speak These Songs." Here, Zehme explicitly likens the art of declamation to pre-syntactic vocalization:

> When the child's small lungs stretch for his first cry … thus begins already his first experience in sound!… The older the child, the richer the spectrum of sounds he can produce. This is because the colour and the pitch of the tones are in close relationship with his multifarious wishes. There is no mother who will not be distraught at these first energetic expressions of feelings… She immediately adjusts her ear to his language of sounds, which at first appears so different from the language that she uses to interact with her environment. In everyday life the ear is not the intermediate, rather, we are used to extracting from the signification of words what we would like to know or communicate… *I* will however recapture the place of the ear in life. The words that we speak should not only become concepts following their meaning, but should also allow us to take part in the inner experience in their capacity as sound. In order for this to be possible, we must however have an unrestricted freedom of tone. None of the thousand vibrations should be excluded from the expression of feelings. I demand freedom of tone, not of thinking![79]

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importance of her input. See *En musique dans le texte: Le mélodrame, de Rousseau à Schoenberg* (Paris: Van Dieren, 2005), 299-308, 373-380.

[78] Albertine Zehme to Arnold Schoenberg, January 26, 1912, in Brinkmann, *Kritischer Bericht* (*Pierrot lunaire*), 22.

[79] "Wenn das Kind mit dem ersten Schrei die kleinen Lungen bläht...so beginnt damit auch schon sein ertes Erlebnis im Ton!... Je älter das Kind wird, desto reicher wird die Scala seiner Töne. Denn die Tonfarbe und die Tonhöhe steht mit der Mannigfaltigkeit der Wünsche im engsten Zusammenhang. Es gibt keine Mutter, die sich diesen erten energischen Gefühlsäusserungen ihres Lieblinges gegenüber rat- oder hilflos verhielte... Sie stellt irh Ohr sofort auf seine Tonsprache ein, die doch zunächst so verschieden von der Sprache erscheint, in der sie mit der Umwelt verkehrt. Im täglichenLeben ist nicht das Ohr der Vermittler, sondern wir haben uns daran gewöhnt, aus dem Sinn der Worte das zu entnehmen, was wir wissen wollen oder mitzuteilen wünschen... **Ich** wird aber dem Ohr seine Stellung fürs Leben zurückerobern. Die Worte, die wir sprechen, sollen nicht allein dem Sinne nach Begriffe werden, sondern sollen uns auch als Klang Anteil am inneren Erlebnis gestatten. Um das zu ermöglichen, müssen wir aber uneingeschränkte Tonfreiheit haben. Keine der tausend Schwingungen zum Gefühlsausdruck zu benutzen darf verwehrt sein. Ich fordre nicht Gedanken-, sondern Tonfreiheit!" In Brinkmann, *Kritischer Bericht* (*Pierrot lunaire*), 307.

Zehme thus claimed for the declaimed word the pre-linguistic expressive power that Poizat attributes to the "cry." However, she did not want this expressivity to be disciplined by the art of song, which she believed was more apt to fetter than to channel it:

> The singing voice, that supernatural, chastely controlled instrument, ideally beautiful precisely in its aesthetic lack of freedom, is not suited to the strong eruptions of feeling—since even one strong breath of air can spoil its incomparable beauty.
> Life cannot be exhausted by beautiful sound alone.[80]

Zehme returned to this idea in the treatise on the singing and speaking voice that she published in 1920. Here she calls melodious speech [*die Melodik des Sprechens*] a "freer sister of the stricter vocal music… which does not let itself be bound to the ironclad laws that subjugate [vocal music]."[81] For Zehme, the melodramatic art liberated the voice, and the actress appears to have felt that Schoenberg's Sprechstimme accorded with her artistic aspirations. The tone of her correspondence with Schoenberg during the time she rehearsed Pierrot reveals general enthusiasm as she marvels at the "endless possibilities" [*unbegrenzte Möglichkeiten*] that *Pierrot* afforded her.[82] And her reflections on its Sprechstimme in her 1920 book show that it fulfilled the expressive agendas she had formulated in 1911. Immediately after quoting at length Schoenberg's performance instructions for the Sprechstimme, Zehme wrote:

> This results in much more refined and subtle shades of speech-like [*sprachlicher*] tones in comparison with musical ones. In addition to real

[80] "Die Singstimme, dieses überirdisch keusch gebundene, gerade in seiner asketischen Unfreiheit so ideal schöne Instrument—schon ein straker Lufthauch trübt seine unnahbare Schönheit—eignet sich nicht zu starkem Gefühlsausbruch. Das Leben ist nun aber mit dem schönen Klang allein nicht auszuschöpfen." Ibid., 307; trans. in Simms, *The Atonal Music of Arnold Schoenberg*, 121.
[81] "Die Melodik des Sprechens jedoch, eine freiere Schwester der strengen vokalen Music..., lässt sich von den eisernen Gesetzen, denen jene unterworfen ist, nicht binden." Albertine Zehme, *Die Grundlagen künstlerischen Sprechens und Singens mit völliger Entlastung des Kehlkopfes für den Selbstunterricht* (Leipzig: Merseburger, 1920), 33.
[82] Albertine Zehme to Arnold Schoenberg, May 17, 1912, in Brinkmann, *Kritischer Bericht* (*Pierrot lunaire*), 229.

> pitch there exist many vibrations to which the reciter of melodrama or lyric poetry may freely avail himself.[83]

The pre-symbolic materiality of language that Zehme stresses as a *sine qua non* of expressive vocal art became, half a century later, part of the discourses of feminist writers who theorized the hysteric's broken language and "located the origin of 'hysterical' discourse in the pre-Oedipal phase of feminine development."[84] Dianne Hunter, for example, has compared Anna O.'s distorted language to the "semiotic babble that exists between an infant and its mother," while Hélène Cixous theorized hysteria as a specifically female signifying system operating outside of, and subverting, language. She reclaimed (along with Catherine Clément, among others) hysteria as woman's discourse of resistance against patriarchal structures and petitioned female writers to develop an *écriture feminine* that would speak from the position of "admirable hysterics" such as Dora, the "true 'mistress' of the Signifier."[85] In these respects, Pierrot's hystericized body bears some resemblance with the hysterical femininity advocated by these theorists: he, too, resists assimilation to norms of gender enforced by patriarchal structures, and he, too, makes his body sound (in *Pierrot lunaire*) in ways that are not sanctioned by convention.

But *Pierrot*'s Sprechstimme does not seem primarily concerned with voicing a trapped, protesting femininity. The clown's gender ambiguity bypasses the masculine/feminine dichotomy, just as the hybridized Sprechstimme eschews the

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[83] "Daraus ergibt sich eine viel feinere und zartere Schattierung sprachlicher Töne im Vergleich zu den musikalischen. Bis zur absoluten Tonhöhe gibt es viele Schwingungen, sie alle kann sich der Rezitator von Melodram sowohl als von reiner Lyric ohne Skrupel dienstbar machen." Zehme, *Die Grundlagen künstlerischen Sprechens und Singens*, 33.

[84] Showalter, *Hystories*, 56.

[85] Dianne Hunter, "Hysteria, Psychoanalysis, and Feminism: The Case of Anna O.," *Feminist Studies* 9 (1983): 474, 484; Hélène Cixous, "The laugh of the Medusa," trans. Keith Cohen and Paula Cohen, *Signs* 1/7 (1976): 886. For a survey of how French feminists in the 1970s theorized hysteria in relation to femininity, see Showalter, "Politics, Patients, and Feminism," in *Hystories*, 49-61; Martha Noel Evans, "Feminist Critiques: The Hysteric as Heroine," in *Fits and Starts: A Genealogy of Hysteria in Modern France* (Ithaca and London: Cornell University Press, 1991), 200-222; and Micale, "Feminist Theories of Hysteria," in *Approaching Hysteria*, 66-88.

symbolic/semiotic one. In its eerie, wonderful suppleness and indeterminacy, the Sprechstimme gives material presence and texture to a body which "hysterically" resists assimilation to gender binaries. And Pierrot's "thirdness" also finds expression in other hybridizations in the cycle: its "transgeneric" admixture of *Liederkreis* and melodrama, for example (the work's complete title reflects both categories), and the instrumental ensemble itself—progressively assembled as Schoenberg requested Zehme's permission to add various instruments to the initial piano-voice combination—whose heterogeneous composition relates both to the highbrow tradition of the orchestral lied and the popular, cabaret ensemble (such as that which Schoenberg conducted at Wolzogen's *Überbrettl*). Even the demands Schoenberg places on some of the musicians mimic the reciter's "very, very big scala": the flutist doubles on the piccolo, the violinist also plays the viola, and the clarinetist takes up the bass clarinet, effectively exaggerating the range of each.

The instrumental ensemble also contributes to *Pierrot*'s vocal "thirdness" through the ways in which it differs from the Sprechstimme. I opened this chapter by noting that Albertine Zehme's vision of the work's staging differed dramatically from Schoenberg's. The actress created a visual and sonic *mise-en-scène* that foregrounded her cross-dressed, quasi-pantomimic body and hystericized vocal delivery, hiding the ensemble behind dark screens. Schoenberg, on the other hand, would have preferred to treat *Pierrot* as a work of chamber music rather than a theater piece. While he did not shirk from giving musical expression to the provocative *Pierrot* poems, he nevertheless recoiled from excessively histrionic performance (as his guarding admonition to the reciter against "adding what the composer did not intend" suggests in the preface of the score) and scorned theatrical elements such as screens, dramatic lighting, and costumes. Rudolf Kolisch, who rehearsed with Stiedry-Wagner in the 1920s and played the violin and viola for the 1940 recording, observed that "for [Schoenberg], the speaking voice was equivalent to any

other instrument"; accordingly, Stiedry-Wagner stood amidst the other performers, close to the conductor's baton.[86] Despite the condescending reviews solicited by Zehme's theatricality, I believe that her staging decisions were not merely whimsical or gratuitous. Rather, as a sensitive actress, she perceptively responded to the highly pictorial quality of the music and sought to emphasize this aspect of the work. The individual melodramas all express the tableau-like quality of a postcard, not only in that they present discrete "extracts of life" (to borrow Peter Altenberg's characterization of the epigrams that Berg set in his *Picture Postcard Songs*, Op. 4), but also in the aural perspective that their acoustic textures evoke. This sense owes much, I would suggest, to the interrelation between voice and accompaniment. Although Pierre Boulez, like most earlier critics, derided Zehme's "rather ridiculous" Pierrot costume, he believed that the staging of Schoenberg's work should project two distinct sound streams:

> I personally think that a "concert" setting prejudices the work both aesthetically and acoustically. *Pierrot* is, in its own way, a theatre piece, and the voice is distinguished from the instrumental ensemble by the very fact of being *isolated*. Placing the singer in the middle of the players is an aesthetic contradiction, and as damaging to the visual as to the acoustic effect… The two acoustic planes—speaking voice and instruments—must unquestionably be made absolutely distinct from each other. Otherwise the vocal dynamics will have to be dangerously forced or the players will have to reduce their dynamics to such a degree that the individual "character" of the pieces will evaporate, dissolving into a kind of monotonous mezzotint.[87]

Boulez argues for a phenomenological distinctiveness between voice and ensemble on the basis of aesthetic and acoustic considerations. Such a performance, we may also add, also draws the listener's attention to the technical and expressive qualities particular to the ensemble on the one hand, and the vocal part on the other. The music Schoenberg

[86] Smith, "Schoenberg's Way," 277.
[87] Pierre Boulez, "Speaking, Playing, Singing: *Pierrot lunaire* and *Le Marteau sans maître*," in *Orientations: Collected Writings by Pierre Boulez*, ed. Jean-Jacques Nattiez, trans. Martin Cooper (Cambridge, MA: Harvard University Press, 1986), 334.

wrote for the instrumental ensemble attained a level of technical perfection which surpassed much of his previous work, awing even sceptics. More fluid and less turgid than Op. 15 (and certainly than Opp. 6 and 8), Schoenberg's writing in Op. 21 is exceptionally immaculate and controlled—it is clear, in the literal sense of the word: "scintillating, radiant," fit for Pierrot's "lucent and diaphanous" world.[88] The melodrama's first bars are vividly graphic, creating an immediate sense of atmosphere and landscape that both frames and sets off the recitation. Consider "Nacht"'s smothering tapestry of ominous, intertwined 014s rumbling in the low register of the piano before the giant moths—*Wozzeck*-like—obliterate the sun; the mocking, pseudo-romantic curlicues of moonbeams and knitting needles at the beginning of "Parodie"; or the bleak chords that introduce the insomniac "Washerwoman." The quintessential example is of course the "Pierrot motive" of the piano ostinato that opens "Mondestrunken," a tiny *perpetuo* that fades in and out of hearing across the cycle (perhaps in a fashion reminiscent of Mahler's *perpetuo* in the scherzo of the Second?), providing Pierrot with a lunar landscape for his revels and tricks. Against this precise, crystalline, flawless instrumental canvas, the Sprechstimme is indeterminate in pitch, strained, and eerie—not a *Sprachkostüm* like those Hoffmansthal created for the characters of *Der Rosenkavalier* but rather a *Klangkostüm*. Zehme's attempts at visually rendering these dimensions of the work ultimately failed, at least in the critics' minds. Yet while Zehme might have lacked the ability to perform or to stage *Pierrot* convincingly, her aesthetic vision was perhaps more cogent than posterity has acknowledged.

Schoenberg's treatment of the clown's conflicted gender does not propose a way out of the crisis of gender that plays out on Pierrot's body. Contrary to Peter Brooks's

[88] Kurth, "Pierrot's Cave," 203.

argument that hystericized bodies theatrically function as agents of dramatic and psychological denouement, there are no resolutions, no catharses in *Pierrot lunaire*. This is rather in accordance with the clown's character: Pierrot typically maintains no creative potency; his way is destruction. In any case, attempting to place Schoenberg's clown in a clearly circumscribed sexual or gender category contradicts Pierrot's nature. Amid the debates on gender and sexuality ca. 1912, *Pierrot* did not take a position but made manifest a state of crisis with no clear resolutions in sight. Schoenberg's treatment of this crisis is remarkably blunt and honest; the composer made no attempt at domesticating Pierrot, nor did he retreat into defensive strategies in order to re-center inherited conceptions of gender. Rather, he challenged his listeners to confront the myriad contradictions embedded in these conceptions at the beginning of the twentieth century. As disorienting as such contradictions appeared to *Pierrot*'s first audiences, the work also opened up possibilities for re-conceptualizing traditional notions of masculinity and femininity, or at least invited speculations about what might be possible alternatives. If Pierrot the iconoclast conscientiously dismantled the codes of gender that had prevailed during the golden age of the bourgeoisie, the creative techniques of *Pierrot lunaire* suggest there might be ways to build new ones, more suited to modernity.

CONCLUSION

Between 1899 and 1925—the years of Schoenberg's *Verklärte Nacht* and Berg's *Wozzeck*, respectively—the Austro-German world saw its deeply ingrained codes of gender and sexuality on the one hand, and its inherited conventions of musical language on the other, subjected to unrelenting destabilization and reformation. By way of conclusion, let us briefly reflect upon how these issues relate to the components of the term "Neue Wiener Schule," translated literally—New Viennese School—rather than the normative English rendition "Second Viennese School." *Vienna* has served as the cultural focal point in this study. In "Vienna 1900," the old clashed against the new at every turn and in every discipline, from medicine and psychology to architecture, politics, and the arts; discourses on masculinity and femininity were no exception. Sigmund Freud, Rosa Mayreder, Otto Weininger, and Richard von Krafft-Ebing, to name only a few, numbered among the most prominent Viennese participants in these debates. Regardless of whether today we view these thinkers as strikingly enlightened or grossly misguided, as progressive or repressive, they attempted to adapt traditional beliefs on masculinity, femininity, and sexuality to modern mores and contemporary realities. Schoenberg, Webern, and Berg, while not always living in Vienna, thoroughly absorbed Viennese intellectual and artistic traditions and were steeped in its *Zeitgeist*. All three avidly read modern poetry and literature, all selected or composed texts that dealt with evolving concepts of gender. The indelible imprint they left on Western art music, I have attempted to show, in part owes its breadth of impact to their engagement with the variegated and contradictory discourses and debates on sexuality and gender that brewed in Vienna at the time.

In particular, I have brought intellectual and literary discourses on gender and sexuality to bear on the quintessential *newness* of the music I have discussed. I consider this gender crisis to have been a vital impetus for the extraordinary creativity and originality—and also the anxiety—that characterized the transition from late tonality to atonality. This premise has allowed me to shed new light on a range of progressive pitch-structural, formal, and timbral techniques; accordingly, I have posited the development of novel, dissonant harmonies and of harmonic strategies that veered off traditional tonal paths as a response to the contemporary reexamination of gender and sexuality. For example, in Chapter 3, we observed that the anxieties generated by a masculine ideal in crisis were instrumental in the development of the increasingly dissonant style of Schoenberg's late tonal works (which eventually led to the complete dissolution of tonality). This chapter perhaps reveals most explicitly how gender discourses (in this case, poetic discourses on masculinity) made an impact on both the surface and the deeper middle-ground levels of pitch organization (for example with the replacement of functional harmony by recursive, sequence-based chord successions in "Warnung," Op. 3, No. 3, or of a monotonal triad by a multitonal dissonant collection in "Lockung," Op. 6, No. 7). Together which Chapter 1, which shows how a range of stylistic deformations in three modernist waltzes express the alienated male subject, Chapter 3 suggests that the reconsiderations of traditional masculine ideals at the turn of the century form as crucial a social context for the music of the Second Viennese School as the better-known *Frauenfrage*. It has also been my contention throughout this study that analysis informed by gender discourses reveals fresh hermeneutic insight. In Chapter 4, for example, I proposed that Webern's expressive agenda in his Op. 8 songs—spurred by personal factors in his relationship with his cousin and his response to Rilke's poetry, he sought to create an atonal musical language that moved beyond gender—brought about changes in

his conception of the chromatic collection. In doing so, I also laid some groundwork for an approach to the thorny question of gender and sexuality in Webern's music. Moreover, I have shown that analyses focusing on issues of gender and sexuality can offer interpretative alternatives where conventional analytical approaches have failed. In Chapter 2, I illuminated aspects of the vexing question of form in *Verklärte Nacht* by positioning form-functional and programmatic aspects of the sextet in relation to contemporary critiques of the institution of marriage. Finally, in Chapter 5, I demonstrated that culturally accumulated gender ambiguities around the character of Pierrot informed Schoenberg's novel vocal technique in what many consider to be the *ur*-modernist masterpiece—Stravinsky himself, after all, summarized the extraordinary innovation and creativity Schoenberg breathed into Western art music when he called *Pierrot lunaire* "the solar plexus as well as the mind of early twentieth-century music."[1] That *Pierrot* lays bare the unresolved state of this crisis invites further investigation into how later works engaged with evolving notions of masculinity, femininity, and sexuality.

Overall, I believe that to the many points of convergence between the three composers of the Second Viennese *School*—ranging from musical language and technique to literary tastes—we may also add participation in contemporary artistic discourses on gender. Joseph Auner, while acknowledging the appropriateness of the term "School" in light of the composers' obvious "commonality of compositional and aesthetic purpose," also cautioned against generalizations that could "limit or distort our understanding of the individual qualities of Schoenberg, Berg, and Webern."[2] Although not comparative in nature, my study nevertheless outlines the very personal ways—in terms of both technique and emotional character—in which each composer approached,

[1] Igor Stravinsky and Robert Craft, *Dialogues and a Diary* (London: Faber and Faber, 1968), 105.
[2] Joseph Auner, "The Second Viennese School as a Historical Concept," in Bryan Simms, *A Companion to the Second Viennese School* (Westport, CT and London: Greenwood Press, 1999), 3-5.

in musical terms, the sensitive issues of gender and sexuality: Berg drawing on his enriched atonal idiom and appealing to popular musical tropes and social codes related to light music, only to better deform them; Schoenberg choosing provocative texts which he set to relentlessly taut, motivically-driven textures; Webern creating a transcendental ether that bypassed constructs of embodied sexual binaries. On the whole, I hope to have shown that close analysis of "transitional" works of the Second Viennese School, informed by questions about the particulars of the turn-of-the-century crisis of gender and sexuality, yields fascinating insights into a musical language that was in the process of reinventing itself.

Future critics might wish to push the topics opened up in this study in a variety of directions. One possibility would be to expand the field of inquiry to another cultural milieu, such as Belle-époque France—Pierrot's homeland. A point of departure could be the comparison of Berg's artistic ethics of "sensuality"—as we have seen in the introduction to this study, the composer believed sensuality pointed the true direction for modern art to follow—with the "sensationnism" Vincent d'Indy and others felt in the music of Debussy and Ravel. How might these composers' controversial emphasis on harmonic colour and timbre—d'Indy feared that that this direction would bring about the debasing of musical culture through the triumph of matter over spirit—relate to the parallel vigorous discourses on gender and sexuality of contemporary Paris? Another avenue of inquiry might extend the set of questions I have asked here for late tonal and atonal music to the twelve-tone repertoire, where the pre-determined ordering of the series brings a new order of limitation on pitch materials while also opening up fresh possibilities for the reformulation of gender constructs. Did composers draw on the gestural, expressive qualities associated with the gender polarities that critics have argued permeate tonal music, or did they devise entirely new types of musical narratives that

reflected changing social and sexual constructs of femininity and masculinity? How, in short, did the composers of the Second Viennese School continue to participate in the ongoing project of reformulating gender and sexuality in the years after 1925? It is my hope that this dissertation will have laid some of the groundwork for future studies along these lines.

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