

BUSONI'S *DOKTOR FAUST*: A CRITICAL STUDY

by

PHILLIP MURRAY DINEEN

B. Mus., University of Alberta, 1980

A THESIS SUBMITTED IN PARTIAL FULFILLMENT

OF THE REQUIREMENTS FOR THE DEGREE OF

MASTER OF ARTS

in the School

of

Music

We accept this thesis as conforming
to the required standard

Mr. Michael Longton

Dr. Gordana Lazarevich

Dr. Johannes Maczewski

Dr. William Kinderman

© PHILLIP MURRAY DINEEN, 1982

UNIVERSITY OF VICTORIA

August 1982

*All rights reserved. This thesis may not be reproduced
in whole or in part, by mimeograph or other means,
without the permission of the author.*

ABSTRACT

Supervisor: Dr. William Kinderman

This thesis is an examination of *Doktor Faust*, the last opera composed by Ferruccio Busoni (1866-1924). The creation of *Doktor Faust* occupied the composer throughout the decade prior to his death in 1924. The opera was left incomplete at Busoni's death, but it was premiered in 1925 in a version completed by one of his colleagues, the Swiss composer Philipp Jarnach. This thesis surveys the cultural influences upon the composition of the opera and it analyzes the work in terms of its harmonic practice and formal design.

The thesis is introduced by a general description of Busoni's compositional style from the period in which the opera was composed, and by a survey of the critical response which Busoni's work has engendered. The first chapter discusses Busoni's cultural world in terms of its influence upon the creation of the opera. It sketches a brief biography of the composer and describes his impressions of his musical contemporaries. The chapter also examines Busoni's appreciation of contemporary literature and its influence upon the creation of his libretto, and surveys Busoni's theoretical and esthetic essays. It concludes with an investigation of the specific sources which Busoni drew upon in creating the Faust libretto--the old German puppet plays and Goethe's *Faust*, and compares the opera with

directly with *Doktor Faust* or with closely related subjects. The discussion of Busoni's esthetics and compositional approach relies primarily upon these sources.

Because of the complex nature of Busoni's harmonic and formal language, the musical analysis concentrates upon the relationship of the score to the drama rather than upon the music alone. When music is discussed apart from the drama, the thesis focuses upon the middleground between the traditional and experimental extremes in

Busoni's style. In particular, it isolates linear progression and describes the implied tonal structure in the orchestral introduction to the Second Prologue.

The author has consulted microfilms of sketch material and of the composer's orchestrated manuscript (left incomplete at his death) which were obtained from the Deutsche Staatsbibliothek, East Berlin, and a copy of the orchestral score (completed by Philipp Jarnach) which was obtained from G. Schirmer in New York.

Examining Committee

[REDACTED]
[REDACTED]
✓ (Dr. Gordana Lazarevich

[REDACTED]
Mr. Michael Longton

[REDACTED]
✓ Dr. Johannes Maczewski

[REDACTED]
Dr. William Kindermann

✓ [REDACTED]
Dr. F. Churchely ✓

TABLE OF CONTENTS

<i>Chapter</i>	<i>Page</i>
<i>Abstract</i>	<i>ii</i>
<i>Table of Contents</i>	<i>v</i>
<i>List of Figures</i>	<i>vi</i>
<i>List of Examples</i>	<i>viii</i>
<i>Acknowledgement</i>	<i>x</i>
 <i>INTRODUCTION</i>	 <i>1</i>
<i>End-notes to Introduction</i>	<i>5</i>
 <i>I THE BACKGROUND TO DOKTOR FAUST</i>	 <i>6</i>
(1) <i>A Short Biography of the Composer</i>	<i>6</i>
(2) <i>Busoni and His Musical Contemporaries</i>	<i>10</i>
(3) <i>Literature in Busoni's Cultural World</i>	<i>14</i>
(4) <i>Busoni's Musical Esthetic</i>	<i>17</i>
(5) <i>The Faust Libretto</i>	<i>25</i>
<i>A Synopsis of Doktor Faust</i>	<i>25</i>
<i>End-notes to Chapter I</i>	<i>35</i>
 <i>II THE HARMONIC LANGUAGE OF DOKTOR FAUST</i>	 <i>39</i>
(1) <i>Five Roads to a New Harmony</i>	<i>39</i>
(2) <i>Experimental and Conservative Harmonic</i> <i>Practice in Doktor Faust</i>	 <i>44</i>
(3) <i>Extended Tonality and Incipient Atonality</i>	<i>49</i>
<i>End-notes to Chapter II</i>	<i>67</i>
 <i>III ASPECTS OF FORM IN DOKTOR FAUST</i>	 <i>70</i>
1. <i>Traditional Formal Structure in Doktor Faust</i>	<i>78</i>
2. <i>Thematic Recall and Formal Experiment in</i> <i>Doktor Faust</i>	 <i>84</i>
<i>End-notes to Chapter III</i>	<i>124</i>
 <i>SELECTED AND ANNOTATED BIBLIOGRAPHY</i>	 <i>127</i>

LIST OF FIGURES

<i>Figure</i>		<i>Page</i>
1	The large formal divisions in the first scene of the Last Picture	54
2	Triadic suggestion in the spirit variations of the Second Prologue	60
3	A formal outline of the Intermezzo	83
4	Major <i>Leitmotive</i> and <i>Leitsektionen</i> restated in <i>Doktor Faust</i>	86
5	The scenario, tonal structure, and thematic material of the Last Picture. Tonal structure indicates the predominant tonal centre. The division into scenes is the author's and is not indicated as such in the score. In this and subsequent figures, the bracketed numerals refer to the order of themes as they appear first in the opera	92
6	Theme restated from the Symphonia into the First and Second Prologues	98
7	Themes restated from the First Prologue into the Second Picture, associated with the three students ..	99
8	<i>Leitmotiv</i> underlying Faust's decline	100
9	The Formal Structure of the Sarabande	102
10	Themes from the Symphonia restated in the Helena vision in the Second Picture	104
11	Interlocking complexes of thematic restatement in the Second Picture	107
12	Themes from the Cortège and First Picture restated to recall the Duchess in the Second Picture	108
13	Thematic restatement in Jarnach's version of the Helena vision	109

<i>Figure</i>		<i>Page</i>
14	Duchess's themes restated in the Last Picture	110
15	Themes from the Intermezzo restated in the Last Picture	112
16	A. portion of the sketch "Faust's End 6"	114
17	Compositional plan contained in the sketch, "Faust's End 3"	117
18	Compositional plan contained in the sketch, "Faust's End 5." The continuation of this plan was indecipherable in the microfilm consulted	118
19	Compositional plan contained in the sketch, "Faust's End 6"	119

LIST OF EXAMPLES

<i>Example</i>		<i>Page</i>
1	Bernard Ziehn, <i>Canonic Studies</i> , p. 293; Ferruccio Busoni, <i>Doktor Faust</i> , Breitkopf und Härtel piano-vocal score mm. 160-162, p. 42	43
2	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 30-34, p. 2	45
3	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 36-39, p. 3	46
4	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 181-189, p. 23	47
5	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 721-728, p. 240	48
6	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 1-8, p. 13	51
7	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 80-87, p. 5	52
8	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 21-37, pp. 14-15	56
9	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 888-897, pp. 184-185	58
10	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 1-51, pp. 31-33	62
11	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 882-890, p. 184; mm. 974-981, p. 190	80
12	Two related motives from the Last Act, the Night-watchman's motive and Mephistopheles's motive	95
13	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 79-82, p. 283	95

<i>Example</i>		<i>Page</i>
14	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 538-552, pp. 312-313	97
15	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 27-29, p. 2	100
16	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 993-1030, pp. 260-261	105
17	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 425-441, pp. 305-306	111
18	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 469- 480, p. 309	113
19	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 89- 96, pp. 17-18	116
20	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 73- 80, p. 198	117
21	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 652- 664, p. 318	121
22	Ferruccio Busoni, <i>Doktor Faust</i> , p. v. s., mm. 665- 674, p. 319	122

ACKNOWLEDGEMENT

Dr. Gordana Lazarevich, Dr. Johannes Maczewski, and Professor Michael Longton, I thank for their kind advice and ample encouragement. I thank Dr. William Kinderman for kindling my interest in Ferruccio Busoni's work and for his infinite patience with my attempts at realizing this thesis. Through his guidance, this project has far exceeded my ambitions. I only hope that in some way it has met his expectations, and that I may continue to do so as a friend and a colleague. I wish to thank my parents for their constant support and understanding. Above all, thank you, Mary.

INTRODUCTION

In six days, from December 21 to 26, 1914, Ferruccio Busoni created the libretto for his last opera, *Doktor Faust*. Despite constant preoccupation with the work, Busoni left the score incomplete at his death a decade later. The composition of the opera was continually interrupted by other professional commitments, by the turmoil of the First World War, and finally by the deterioration of the composer's health.

Doktor Faust was premiered in a version completed by Busoni's one-time pupil and close friend, Philipp Jarnach, on May 21, 1925 in Dresden. In terms of its reception, it may be compared with Alban Berg's operas, the first of which, *Wozzeck*, premiered seven months after *Doktor Faust*. Whereas appreciation of Berg's work grew steadily during the subsequent years, Busoni's operas--*Die Brautwahl*, *L'Arlecchino*, *Turandot*, and *Doktor Faust*--achieved only ephemeral success, and passed rapidly out of the repertoire. Revivals of the works have nonetheless been undertaken; *Doktor Faust* has been mounted at least once a decade.

In a period of great stylistic upheaval, Busoni applied a highly developed compositional technique to *Doktor Faust*. The present study is an attempt to examine the compositional language of *Doktor Faust*, and in particular to analyze prominent aspects of its harmonic texture and formal design.

The introduction to the study describes the critical reception which Busoni's works have received and introduces the general characteristics of his compositional style. The body of the thesis consists of three parts. Chapter I sketches the cultural and biographical background from which the opera emerged, and discusses Busoni's choice and treatment of the libretto. This chapter provides indispensable background for the analysis in Chapters II and III, which is the main emphasis of the study. The thesis concludes with a discussion of Jarnach's completion of the end of the opera, an issue which is inevitably connected with the formal structure of the whole work.

There has been no detailed critical investigation of Busoni's operas comparable to George Perle's studies of *Lulu* and *Wozzeck*. The major biographers, Edward Dent, Guido Guerrini, and H.H. Stuckenschmidt,¹ were confined to a superficial examination by the comprehensive scope of their task. The meagre periodical literature seldom comes to grip with the problem of describing the composer's style in any detail.

Busoni's style was the unique product of several cultural influences, including the German and Italian heritage of his parents. His compositional approach differed considerably from that of his contemporaries; he experimented with new materials but did not employ one technique exclusively. Although Busoni created innovative harmonies and forms, more traditional materials, the use of which he mastered in his youth, were not excluded from his vocabulary.

Busoni's music has not always met unqualified approval from critics. Criticism of Busoni's style as eclectic and derivative has

surfaced in several analyses, notably in Gray's *Survey of Contemporary Music*. Gray claimed that as a pianist, Busoni interpreted traditional works in his own peculiar and original style, but his compositions contained no individually recognizable features, nothing innovative, and a great deal of material borrowed from other composers.² This view resurfaces in moderated form in John Waterhouse's article, "Busoni: Visionary or Pasticheur,"³ some of the essential points of which are reproduced in Jim Samson's recent book, *Music in Transition*.⁴ Though these two publications contain some incisive analyses, the "pastiche" label is unjustly applied to the conservative aspects of Busoni's style.

It is true that Busoni reused material from his own work, but charges of compositional poverty, such as those levelled by Leslie East in his comparison of Busoni and the English composer, Bernard van Dieren and in much the same regard by Waterhouse and Samson, ignore the process of rearrangement to which borrowed materials were rigorously subjected.⁵ The *Nocturne Symphonique* (1914) and the *Second Piano Sonata* (1912) both served as exercises for *Doktor Faust*. However, the process of recasting themes from these works into the opera involved considerable foresight; their employment was anything but a simple insertion where invention flagged.

Busoni's use of pre-existent musical material, and his indebtedness to past musical tradition represent only one aspect of his compositional style. The new harmonies and formal structures which are common in the works of his late period show the influence of Busoni's contemporaries--

Arnold Schoenberg and the Expressionists among others. All the while, Busoni maintained his own unique style characterized by a detached emotional coolness and a preference for formal logic rather than Expressionist rhetoric.

In his esthetic writings, Busoni held the view that music was at an extremely primitive stage of development and that the near future would unfold inconceivable richness. The extent of this projection into the future and the detached reflection upon the past in Busoni's theoretical thought distinguishes it from that of his contemporary, Arnold Schoenberg. The *Sketch of a New Esthetic*, and the other essays are projections of a utopian mind, taking refuge from a world turning callous and dull.⁶ By comparison, Schoenberg's *Style and Idea* and *Harmonielehre* have a much larger, practical component. They are filled with analysis and concrete musical discussion, whereas Busoni's essays treat their topics with a more philosophical approach.

Likewise, Busoni's compositional technique bears few systematic premises comparable to the method of composing with twelve tones that evolved in Schoenberg's work in the second and third decades of the century.⁷ Schoenberg's revolution was topical; Busoni's evolution slightly outside of its time. The unique and sometimes capricious nature of his music mirrors the temperament of a man reliant as much upon intuition and impulse as upon system and forethought.

End-notes to Introduction

1. Edward Dent, *Ferruccio Busoni: A Biography* (London: Oxford University Press, 1933); Guido Guerrini, *Ferruccio Busoni: La Vita, La Figura, L'Opera* (Firenze: Casa Editrice Monsalvato, 1944); H.H. Stuckenschmidt, *Ferruccio Busoni: Chronicle of a European*, trans. by Sandra Morris (London: Calder and Boyars, 1970).
2. Cecil Gray, "Ferruccio Busoni," *A Survey of Contemporary Music* (reprinted Freeport, New York: Books for Libraries Press, 1969), p. 211.
3. John Waterhouse, "Busoni: Visionary or Pasticheur?" *Proceedings of the Royal Music Association*, 92 (1965/66): 79-93.
4. Jim Samson, *Music in Transition* (London: J.M. Dent, 1977).
5. Leslie East, "Busoni and van Dieren," *Soundings* 5 (1975): 46. Van Dieren was one of Busoni's closest associates, an English composer whose work faded rapidly into obscurity after his death in 1936.
6. Ferruccio Busoni, *Sketch of a New Esthetic of Music*, trans. by Th. Baker (New York: Schirmer 1911), reprinted in *Three Classics in the Aesthetic of Music* (New York: Dover, 1962).
7. It is the author's opinion that few elements of Busoni's technique were completely and systematically worked out to form basic compositional premises. Consequently, I have labelled much of his technique 'experimental.'

CHAPTER I

THE BACKGROUND TO DOKTOR FAUST

1. *A Short Biography of the Composer*

Ferruccio Busoni was born in 1866 in Empoli, Italy. His father, a clarinet virtuoso, was a native Italian, but his mother descended from German stock. Ferdinando Busoni, who governed much of his son's early musical tuition, instilled a respect for both Bach and the *Bel Canto* tradition. This mixture of German and Italian influences was in part responsible for Busoni's unique compositional style. Under the tutelage of both parents, their son rapidly developed into a piano prodigy. In 1875 Busoni began a career of constant performance, which lasted a lifetime.

Busoni began composing at an early age. Wilhelm Mayer provided the sole, extended compositional training of Busoni's life, over a period of fifteen months, during the years the family spent in Graz, 1879-1881. Mayer, a prominent composer of his day, guided his young pupils through a thorough course in history, including the study of medieval and Renaissance periods distilled from Burney, Hawkins, and Ambros, as well as harmony, counterpoint, and fugue, which Busoni mastered rapidly.¹ Mayer stressed the study of Mozart and Bach, two principal sources from which Busoni constantly drew inspiration over his lifetime.

Through teaching, composing, performing, and conducting, Busoni became a respected figure in the musical world of the early twentieth century. As a conductor he was an advocate of contemporary composers. The Berlin Philharmonic, in a series of concerts conducted by Busoni, presented important debuts of many composers and compositions that have since become the mainstay of twentieth-century concert repertoire. Twelve evenings, between November 1902 and January 1909, were devoted to the music of Debussy, Elgar, Sibelius, Delius, Nielsen, Schenker (orchestrated by Schoenberg), and Bartok, among others.² In turn, Busoni's works, notably the *Berceuse Élégiacque*, were presented by the best conductors of the day, Mahler and Toscanini.

Busoni reached compositional maturity in the last years of the nineteenth-century.³ The most ambitious project of this period was the Piano Concerto of 1903-1904 in which an Italianate style came to predominate over the early influence of Brahms and the established Germanic tradition. During this and the last style period, Busoni was actively involved in transcribing and editing the works of several composers, including Liszt and Bach.

The years 1907-1908 mark the beginning of Busoni's late-period style in which experimental tendencies balance the traditional techniques of the composer's early periods. A close personal friend, the English composer Bernard van Dieren described Busoni's creative evolution in the essay, "Busoni," from a collection entitled *Down Among the Dead Men*.⁴ According to van Dieren, Busoni's early training and rapid maturity denied him a period of youthful rebellion, a chance to

establish a completely individual style early in his career.

In his late period, Busoni employed the traditional techniques learned in his youth, but he experimented with new compositional materials--new harmonies and musical forms. Despite these two prominent aspects of his style, Busoni fit in with neither the revolutionary nor the conservative extremes of his day. His widely known essay, the *Sketch of a New Esthetic of Music*,⁵ was criticized by Hans Pfitzner for its progressive tendencies and for breaking with the tradition of the great composers.⁶ On the other hand, in light of the views expressed in the same pamphlet, Edgar Varese considered Busoni's musical works extremely orthodox.⁷ His position in contemporary musical history was misunderstood for opposite reasons by opposing camps.

The best known works of Busoni's late period are perhaps the *Elegies* and sonatinas for solo piano. Three operas were finished and premiered during this time: *Die Brautwahl* (The Bridal Choice) 1912, after E.T.A. Hoffmann; *L'Arlecchino*, 1917, with the influence of the *commedia dell'arte* and the *Puppenspiele*;⁸ and *Turandot*, 1917, after Gozzi (and some ten years before Puccini).

L'Arlecchino and *Turandot* were composed and premiered while the composer was in exile from the First World War, in Zurich. This period marks an unfortunate turning point in Busoni's life. The hardships of exile exacted a toll upon his health, but perhaps more crucially, the change in cultural life brought about by the war and the bleak appearance of post-war Europe disturbed Busoni greatly.⁹

Doktor Faust, Busoni's last opera, was conceived and developed during this period and the subsequent years up to the composer's death.

In the post-war years, the gradual decline in the composer's health, brought about partially by continued touring and performance, was offset by the stability of a teaching position at the Berlin Academy of Arts. During these years, Busoni guided a small group of pupils, including Kurt Weill, and lent his encouragement to young composers through his involvement with the International Society for Contemporary Music (Salzburg) and the Festival of Contemporary Music in Donaueschingen. Upon his death in 1924, he left his richest legacy to the field of contemporary music: directly, as a teacher and composer, and indirectly, as a conductor and through his support and encouragement of new music.

Busoni began the composition of *Doktor Faust* in earnest in 1914. Upon his death a decade later, Philipp Jarnach, a close associate and former pupil, was handed the composer's unfinished manuscript to prepare for the Dresden premiere in 1925. This manuscript was destroyed in the Second World War, but a microfilm of it has survived.¹⁰ An ample amount of sketch material has been preserved. Many of the sketches are organized into sheaves which are easily related to the finished score; it would appear that for the most part the composer's first impressions were preserved almost intact in the final draft.

Jarnach reported to H.H. Stuckenschmidt that the work was complete in the manuscript that he was given but for a portion of the

Helena vision of the Second Picture (mm. 1099-1134, pp. 266-268 of the vocal score are Jarnach's) and the last scene of the opera (from approximately m. 488, p. 310 onward is Jarnach's work as well).¹¹ The score breaks off at both these points in the microfilm of the composer's autograph, although the sketch material continues briefly.

Jarnach also stated to Stuckenschmidt that he edited the libretto to the final scene. "The only liberty that I have taken is in shortening the text in the final monologue, which even so lasts almost twenty minutes."¹² Drafts of the libretto are not included in the microfilm that the author of this thesis consulted, but a hand-written draft of the last lines as they appear in the published score, from "Blut meines Blutes, Glied meines Gliedes," to the end are preserved in a facsimile dated 1917, in Jakob Wassermann's biography, *In Memoriam Ferruccio Busoni*.¹³ This evidence would suggest that Jarnach revised the libretto before this point, or that Busoni added material which Jarnach excised, and thus restored the libretto to its original form.

2. *Busoni and His Musical Contemporaries*

The constant touring which characterized Busoni's professional life provided invaluable exposure to a cross-section of modern music. Much of this musical world is documented in the letters to his wife and in his essays. Although Busoni's critical evaluations of individual works and personalities carry no small amount of posturing and polemic, they do give insights into the cultural forces affecting him and into the shaping of the Faust opera.

Busoni's compositions never received the acclaim accorded Richard Strauss's works. Although Busoni held him in great esteem, Strauss's achievement was a product of cultural conditions that he detested; Busoni labelled it an offspring of art and industry, a cross between "boorish naïveté" and "excessive cultivation."¹⁴

In Debussy's work, Busoni saw a musical language which portrayed a great variety of feelings and situations with similar sounding formulas. "In Debussy's music we find the chord of the ninth as a harmonic foundation and the whole tone as a melodic principle, without their merging together. I try to avoid every system, and to turn harmony and melody into indissoluble unity."¹⁵

According to Busoni, Debussy worked from his personal, clearly-defined feelings, outward into the world. Busoni worked in a converse fashion, drawing on the world around him and molding those materials into an expression of sentiment, or "dissolving forms into feelings." Musical form was central to Busoni's esthetic. Musical materials were selected for the way they logically filled out a formal unit, which in total portrayed a feeling.

Debussy's work was generated from a representative motive or symbol, which through elaboration and combination grew into a form. "Perhaps in the end we may best summarize Debussy's method of composition in the simple definition of Cézanne: 'Je travaille sur le motif.' The *motif* is the generating design or symbol. How it proceeds to acquire a form is so much an internal matter that any kind of formal analysis is bound to be inadequate."¹⁶ "For Debussy, form is never

given, his whole life was a search for the unanalyzable, for development that even in its procedures, would incorporate the surprises of the imagination. He mistrusted architecture in its petrified sense; he preferred structures that mixed precision and free will."¹⁷

In a comparison of "Nuages" from Debussy's *Nocturnes* and Busoni's *Berceuse Élégiique* it may be seen that although the two employ similar musical resources, Busoni's work is still conditioned by the remnants of a phrase structure based on functional harmony--the lines still move toward a goal, however tenuous. In "Nuages," the sense of phrase is additive, built upon motivic repetition and elaboration; it is not goal directed.¹⁸

Busoni was a neo-classicist, but in a distinctly different sense than Stravinsky or Hindemith. The basic framework for his approach emerged in 1907, in the *Sketch of a New Esthetic*.¹⁹ In the period of expressionist and primitive styles, Busoni stressed a detached and objective stance modelled upon Mozartian classicism. The style of parody which is evident in Stravinsky's *Pulcinella* was avoided. Nor was Busoni's technique constituted of an austere, Teutonic brand of counterpoint akin to Hindemith's. Instead, a contrapuntal underpinning is complemented by an Italianate tendency toward buoyant, singing melodic lines.

Busoni viewed Stravinsky's music with continuous distaste, for the greater part of his later years.²⁰ However, in the last year of Busoni's life, a reconciliation was reached over *L'Histoire du Soldat*.²¹ It contains the supernatural ingredient as well as the biting wit which

is central to *L'Arlecchino* and parts of *Doktor Faust*. In *L'Histoire*, the element of parody is retained, but the sources are non-classical. It is perhaps these qualities of the score that appealed to Busoni.

In the letters and essays, Schoenberg is often the target of some disparaging remark, but Busoni had a fascination and respect for his music. Busoni prepared and published a concert arrangement of the second of Schoenberg's Three Piano Pieces, op. 11. The two composers were well acquainted both personally and professionally.²²

In the later years of his life, Busoni reacted strongly to the growing employment of atonality and expressionism by younger composers.²³ His criticisms do not apply strictly to Schoenberg, who although labelled as a practitioner of musical "anarchy,"²⁴ still commanded Busoni's respect, especially through his pre-war compositions.²⁵ Busoni outlined his most detailed criticism of expressionist composers like Ernest Krenek and Felix Petyrek in the essay "Concerning Harmony."²⁶ It reflects the emphasis he placed upon a discursive formal logic. Busoni sensed that in the expressionists' work, all materials appeared immediately, nothing was concealed, no dynamic element built up within the piece. With the exclusion of more consonant materials from these works, the removal of gradation between harmonies stunted the resources of musical expression.

Harmony was always of great concern to Busoni. To him, the new harmony would be a product of an "extremely cultivated polyphony," created within a new system of keys.²⁷ However, he did not exclude the use of traditional harmonic materials in his later works.

It was a great misfortune that Busoni did not live to become acquainted with Schoenberg's serial technique. The concept of form, labelled *Grundgestalt*, related to this technique--the proposition that the qualities of a motivic cell relate to and determine in part the overall framework of a piece²⁸--is strikingly similar to Busoni's concept of the germinal motive, which like an embryo carries the identity of its fully developed form.²⁹ Although Busoni was familiar with earlier works of Schoenberg which employ forms derived from germinal motives (such as op. 11), the particular implementation of this principle as the technique of serial composition might have excited strong, critical interest on his part.

3. *Literature in Busoni's Cultural World*

Doktor Faust was the product of an agile and cultivated mind. It reflects the substance of Busoni's artistic creed, which drew upon the dramatic, visual and literary arts of contemporary Europe. From the collected letters and the biographies, a picture emerges of Busoni's circle of friends and associates, many of whom were members of scholarly and artistic circles.

Contemporary literature had a special attraction for Busoni. His artistic values were influenced by the esthetic writings of others, but also by his own studies of fiction. Authors like Edgar Allan Poe and E.T.A. Hoffmann and works concerned with fantasy and the supernatural had a strong effect upon his concept of opera and the creation of his libretti.

He met many literary personalities on his tours including George Bernard Shaw in London and the Italian poet, playwright, and journalist Gabriele d'Annunzio in Paris. A lively conversation with Shaw is recorded in Busoni's letters.³⁰ The author was amazed at Busoni's ability as both a composer and a performer; it seemed incomprehensible to him that one person should be so gifted in two such areas. When Busoni expressed interest in setting a scene from Shaw's play, *Man and Superman*, the playwright responded that it would be monetarily unprofitable. From this and other remarks, Busoni was left with the impression that Shaw was more interested in his own success than in any intrinsic reward derived from his work.

D'Annunzio, who is known for the play *Le Martyre de Saint Sebastien* (1911) to which Debussy set instrumental music, was a strong advocate of Italian culture. Busoni was to collaborate with him upon an Italian opera with Leonardo da Vinci as the subject. The project progressed optimistically in their initial meetings, but Busoni soon became disenchanted and suspicious of d'Annunzio's sincerity and abandoned the collaboration.³¹

In his eyes, neither Shaw nor d'Annunzio matched his intensity and devotion to work. Busoni set his own libretti to his operas. All his libretti are concerned with fantastic or supernatural subjects, with unreal incidents. It was through these themes that Busoni attempted to interpret the everyday world.

In a letter to his wife, Gerda, Busoni quoted Schopenhauer: "Music reflects all the emotions but none of the actualities of our

being and is far removed from its torment."³² The idea is akin to Busoni's conception of opera, not as the portrayal of life through the replication of reality (Busoni was adamantly opposed to *verismo*) but as the reflection of emotional and spiritual life in an operatic world of fantasy.

Busoni's regard for fantastic literature is recorded in his critical impressions of Robert Louis Stevenson's *Dr. Jekyll and Mr. Hyde* and Thomas de Quincey's *Murder As One of the Fine Arts*.³³ A description of crime in de Quincey's essay made a strong impression upon him and he quoted: "The power that a person possesses is wonderful if he can pass lightly over scruples and fear, and hold a nation in his hands." How closely this resembles Faust's urge to power in the opera:

Faust, Faust now your moment is come at last.
To my hands the magic power is given . . . Yes, oh
mankind, you who have oft plagued me, stand in
fear of Faust! Into his hand the power is given,
dark and secret forces are his slaves, he shall
compel you, he shall rule you. Woe, woe to you
all.³⁴

In Stevenson's work, Busoni was intrigued by the portrait of an abstract moral idea in the guise of a living character--the idea of innate desire for evil in even the best person, which slowly exhausts all the powerful restraint of goodness. As this restraint becomes more desperate, so do the pleasures of overcoming it. But this malevolence thrives at the expense of the conscience; pleasure builds in proportion to its ability to overcome scruples. Goodness exhausts itself as evil feeds upon it.

This particular abstraction has much in common with *Doktor Faust*. Faust starts with noble desires but these turn to evil. His needs grow until, in the guise of Mephistopheles, they gain complete control. Busoni suggested that at one point--the final scene when Mephistopheles appears in the garb of a Nightwatchman--this representation of evil in the guise of the devil might be confused:

Then, as a Nightwatchman, the devil, no longer connected with evil, is brought into everyday human affairs, so that the situation is hardly symbolic any longer . . . a doubt is raised as to the reality of the idea of the devil, which therefore lessens its importance.

What has the last act got to do with the devil? A man, ill, disappointed, tormented by his conscience, dies of a heart failure and is found by the Nightwatchman.³⁵

This passage suggests that in the final moments of the opera Busoni intended to set reality and abstraction against each other by mixing the identity of the devil with the identity of the Nightwatchman. Busoni did not do this to confound his audience. He meant to show that one does not need Mephistopheles to be a Faust. There are enough torments in real life capable of taking the devil's role, not the least of which is the onslaught of time represented here by the Nightwatchman who counts the hours to Faust's death.

4. *Busoni's Musical Esthetic*

Two particular concepts expressed in Busoni's esthetic writings had a direct influence upon *Doktor Faust*. Busoni valued fantasy and abstraction in an opera. He also held that all music shared a

common essence regardless of application or context, and that formal criteria applied equally to all musical works regardless of programmatic or dramatic implication.³⁶

These ideas were formulated first in the *Sketch of a New Esthetic of Music*, which dates from 1907. Among his subsequent essays--many of which have been gathered together into the collection entitled *The Essence of Music and Other Papers*--"The Future of Opera," and "The Score of *Doktor Faust*," both published in 1926, concern *Doktor Faust* directly.³⁷ The central concept which combines the various ideas in his work into one program is the doctrine of "Young Classicism" the major tenets of which were discussed in the *Sketch of a New Esthetic*, but not formulated concisely until 1920, in a letter to the musicologist Paul Bekker.³⁸

The elements of fantasy and abstraction that Busoni so closely observed and admired in literature were an essential component in his conception of the operatic genre. He believed that the sung word was incapable of conveying any absolute sense of reality and thus assumed a basic incredulity on the part of the audience, which was not to be confused by attempts at reality in a libretto, but rather, to be complemented by the choice of an incredible or fantastic plot.

The sung word will always remain a convention on the stage, and a hindrance to any semblance of truth; to overcome this deadlock with any success a plot would have to be made in which the singers act what is incredible, fictitious, and improbable from the very start, so that one impossibility supports the other and both become possible and acceptable . . .³⁹

The duty of opera was not to mirror life realistically, but to transcend reality, to show what it concealed, either through psychological portrait or by staged perspective (discussed in Chapter III as "acoustic perspective").⁴⁰ Busoni extended this proposition to drama in general: "A play should offer something which is contrary to daily life; it fulfils its purpose when it gives what life has not got."⁴¹

Verdi received strong criticism from this perspective, especially with regard to *Otello*, "a subject thoroughly opposed to music."⁴² The addition of music to this play was seen as unnecessary; without music the play stood quite sufficiently on its own. Even with the addition of musical numbers the end result was not truly operatic.⁴³

For the benefit of both artist and audience, the detachment arising from a basic incredulity was best preserved:

The artist, if the control over his medium at certain moments is not to be lost, must not be moved when he wishes to move others, and in the same way the onlooker, if the artistic enjoyment is not to be debased to human participation, must never consider it as reality. The performer 'acts', he does not experience. The onlooker, being incredulous, is thereby unimpeded in mental reception and keen enjoyment.⁴⁴

The avoidance of pseudo-emotion and pseudo-experience was paramount,⁴⁵ and extended to a condemnation of the traditional love duet, especially in Italian opera.⁴⁶ Busoni's censorship is not to be confused with Victorian prudishness. For him, the love duet was a dubious representation of something real and valued: "Eroticism is no subject for art, but a concern of life. Those who feel the inclination

should experience it; but not represent it or read a representation of it and least of all set it to music."⁴⁷ In accordance with these ideas, the representation of love is avoided in *Doktor Faust*. The seduction of the Duchess is portrayed only in part. The details are filled in later by Mephistopheles in his *Lied*.

The idea of a common essence underlying all musical works which Busoni called "Oneness" in music is expressed throughout the essays. To Busoni, all music had an absolute sense, devoid of dramatic or programmatic implication. Although a musical work might be used to complement a dramatic idea, it had to have its own, complete formal unity.

[By Oneness in music] I mean the idea that music is music, in and for itself, and nothing else, and that it is not split up into different classes: apart from cases where words, title, situations and meanings which are brought in entirely from outside, obviously put it into different categories. There is no music which is Church music in itself, but only absolute music to which sacred words are put or which is performed in church.⁴⁹

A purely-musical sense of unity, devoid of all dramatic associations, does exist in the score to *Doktor Faust*. However, it is difficult to isolate individual elements that create this sense. Busoni's style is a highly concentrated mixture of traditional and experimental materials. Although he created a sense of tonal structure in parts of the opera, the greater part of the opera is without one. Busoni did create a sense of formal unity through thematic restatement at various levels in the opera and through the use of traditional formal structures,

but this sense of unity is not easily divorced from the structure of the drama. Neither the traditional use of tonal structures, nor the experimental use of thematic restatement and the reinterpretation of traditional forms creates a sense of unity by itself, although thematic relationships create unity in a great part of the score. It is only the combination of these elements that gives *Doktor Faust* musical unity.

Busoni's concept of absolute music must be viewed in part as a reaction to one aspect of Richard Wagner's theories:

The concept of 'absolute' music, founded in and sufficient to itself, was a non-concept for Wagner: music is always determined from outside itself, by words, dance, or stage action.⁴⁹

The existence of common, "absolute" musical qualities implied that music put to instrumental tasks shared basic criteria with music used for vocal or dramatic purposes. Thus the distinction between church music and symphonic music, for example, was simply extra musical; by switching all the external associative trappings, the same music could serve both purposes.

Busoni constantly inserts excerpts from his instrumental works into *Doktor Faust*. In fact, the *Nocturne Symphonique* and the *Second Piano Sonata* served as studies for the opera; Busoni liberally incorporated materials from them into the score. Although these excerpts often contain more concentrated harmonic and melodic materials, their use disturbs neither the musical nor the dramatic sense; rather, they are employed at important moments when a more concentrated

accompaniment is required.

The doctrine of "Young Classicism" primarily prescribed a general approach to composition that stressed a Mozartian objectivity and detachment.⁵⁰ However, Busoni also described specific compositional premises that would apply to this style. In charting a path for this doctrine, he stressed polyphony as its principal compositional technique. Voices were not to be led independently at the whim of the composer, but rather brought together with an objective skill into a co-ordinated texture.

The creation of melodies from "germinal" motives is discussed in the *Sketch of a New Esthetic*.⁵¹ These motives were basic musical ideas, which, like seeds, contained their fully developed form within them. These forms were realized with careful and correct cultivation, and not through their application to the needs of a program or drama. That the basic material of a musical piece should bear its complete form within itself like a genetic code, assumes the composer approach his task objectively, with restraint and concern for that implicit structure.

In the letter to Paul Bekker that outlines "Young Classicism," Busoni drew a distinction between "melodic" and "thematic" relationships as premises for formal unity in a musical work: "With 'Young Classicism' I include the definite departure from what is thematic and return to melody again as the ruler of all voices and all emotions (not in the sense of the pleasing motive) and as the bearer of the idea

and the begetter of harmony, in short, the most developed (not the most complicated) polyphony."

Zur 'jungen Klassizität' rechne ich noch den definitiven Abschied vom Thematischen und das Wieder-Ergreifen der Melodie--nicht im Sinne eines gefälligen Motives in der guten Lage eines Instrumentes--sondern der Melodie als Beherrscherin aller Stimmen, aller Regungen, als Trägerin der Idee und Erzeugerin der Harmonie, kurz: der höchst entwickelten (nicht kompliziertesten) Polyphonie.⁵²

It is assumed by this author that a musical logic created through "thematic" means relies upon references between musical ideas, whereas a "melodic" logic applies to the very nature of the individual idea--to its harmony and rhythm--without external references. A programmatic work relies upon themes which allude to a specific, programmatic logic. An absolute musical work relies upon the logic of its materials and its construction with no need for external reference.

In apparent contradiction, *Doktor Faust* does contain many "themes" that are restated at several levels to create structural unity (as was discussed above). Some of these thematic ideas are short enough to be labelled motivic cells.⁵³ However, with rare exception, these motives are not combined or transformed to create larger melodic patterns. Instead, larger melodies seem to arise full-blown, like the *Bel Canto* lines of Bellini and Donizetti for whom Busoni had great respect.⁵⁴ Melodic ideas are not broken into fragments and developed. When themes are restated they usually retain their original melodic profile and are combined only as independent melodies in a contrapuntal texture.

Analysis of motivic transformation was applied by Larry Sitsky to the six piano sonatinas, but with inconsequential results.⁵⁵

Motivic relation entails a modicum of motivic identity. The materials that Busoni employed are so enriched by chromaticism, their profile so obscured by chromatic voice-leading, that the isolation of related motives is often deceiving. Drawing a structural framework based upon motivic relation and ignoring voice-leading and linear progression, as Sitsky does, misses an essential tenet of Busoni's creed. To Busoni, musical form was not only a product of thematic and motivic relationships; instead the creation of musical forms involved the careful co-ordination of a contrapuntal texture and a harmonic language with a particular melodic idea.

In the orchestral introduction to the Second Prologue of *Doktor Faust*, which is discussed at greater length in Chapter III, the restatement of a cambiata-like motive does not create a sense of structure by itself. The extended, descending lines which, in several forms, connect statements of the figure give the passage a sense of formal completeness that motivic reference alone could not create.

Many of the qualities and concerns which together create the uniqueness of Busoni's work--the formalism, the emotional coolness, the constant rearrangement and transcription of material--stem directly from his esthetic principles. Their basic ideas are restated throughout his writings, although they are not consistently applied to his music. Their relationship to the Italian and German influences of Busoni's childhood has not been well documented, but it may be assumed that the

contemporary musical climate of Europe had a profound effect upon them. For a great part of his life, Busoni was concerned with reviving an Italian national style, and "Young Classicism" might have been an essential part of that process.

5. *The Faust Libretto*

A Synopsis of Doktor Faust

Busoni partitioned *Doktor Faust* into nine divisions: a Symphonia or overture; a spoken prologue, where a character in the guise of the "Poet" delivers a short speech describing the choice and creation of the libretto; two dramatic "Prologues," where the background to the plot is established; an Intermezzo, which contains a short sub-plot; and three "Pictures," which contain the major events of the plot. The First and Second Pictures are divided by a musical interlude that Busoni labelled a "Symphonic Intermezzo: Sarabande."

As the First Prologue begins, Wagner, Faust's famulus, interrupts him at work in his study and announces the arrival of three mysterious students bearing a book titled "Clavis Astartis Magica," a work dealing with magic and sorcery. The students present the book to Faust, who immediately offers to pay or at least to entertain them, but they reply, "Later, Faust," and take their leave.

The Second Prologue begins at midnight, again in Faust's study. After surrounding himself with a protective magic circle, Faust calls upon Lucifer to provide him with a servant. Six flames appear,

hovering in mid air, each flame representing a Satanic spirit.

Faust calls upon the first five; each spirit describes his particular speed and agility. The whole sequence moves progressively faster as the spirits' respective speeds increase, but Faust dismisses each of the five in turn as being too slow. In dejection he steps out of the protective circle. The sixth spirit, Mephistopheles, calls him; Faust is unable to resist.

The two begin to contract a pact: Faust lists his desires, Mephistopheles gives his one condition--in the end Faust must serve him. Faust balks at this, but Mephistopheles calls his attention to a knock on the door. His creditors are outside ready to seize him. Faust orders them despatched, gives in to Mephistopheles, and signs the pact. It is Easter Morning and a church choir intones the *Credo* from behind the curtain. Faust faints and Mephistopheles cries out, "My victim!"

The Intermezzo, set in a Romanesque chapel, begins with a soldier (Valentin, Gretchen's brother, assuming familiarity with Goethe's *Faust*) praying for justice and revenge against Faust for the tragedy of his sister. Mephistopheles has him murdered in the church, to Faust's debit.

In the First Picture, set at the Ducal Court in Parma, Faust is enlisted to entertain the Duke and the Duchess. As he enters, he spots her and claims, "You, the proudest of women, will be my prize." At the royal command, he conjures three apparitions. The first is a portrait of Solomon and the Queen of Sheba; the spectres bear the features of

Faust and the Duchess, respectively. A portrait of Samson and Delilah follows, with the same correspondence. The last apparition is of John the Baptist and Salome again with the same appearance but this time joined by an executioner bearing the features of the Duke. The Duchess betrays herself, "He must not die," and Faust responds, "So you love me then." The spectacle is ended abruptly and all parties exit. The Duchess reappears to sing an aria describing the spell Faust has cast upon her. After she leaves to follow Faust, the Duke enters with Mephistopheles who, describing her abduction, counsels him to choose another bride.

The Second Picture is set in a Wittenberg tavern. A group of students are debating philosophy, religion, and jurisprudence. They call upon Faust, who sits aside in dejection, for his opinion. He replies, "Nothing is proven, nothing proveable. In every study I have erred anew." When religion is mentioned a heated debate, in the style of a choral fugue, breaks out and is only resolved when the topic changes to women. Again Faust is asked his opinion; as he tries to recall his most impressive seduction, Mephistopheles enters to announce the death of the Duchess. He carries with him the body of a child, her offspring from union with Faust, and he sings a tale of her demise. As it ends, Mephistopheles conjures a vision of Helen of Troy to ensnare Faust once more. He departs with the students, leaving Faust alone as the vision grows. As Faust reaches for her, she disappears. In the final scene, the three students return for their book, are rebuffed, and deliver a warning, "Till midnight, Faust."

The Last Picture, set in the street outside Faust's old lodgings, is introduced by the Nightwatchman, who calls out the hours periodically throughout the act. Wagner, who is now the master, enters with his students. He describes Faust: "As a man of learning not at all outstanding. So help us God his conduct was offensive." Wagner retires; his students serenade him, and exit. Faust enters and is assailed by the ghost of the Duchess. She passes the body of their child to him and implores him to complete what he set out upon. Faust, carrying the child, turns to a church in an attempt to pray. His path is blocked temporarily by the ghost of the Soldier. In the church, Faust kneels before the crucifix, but the Nightwatchman enters stealthily and his lamp reveals the figure of Helena upon the crucifix.

Faust realizes he is damned, sets the body of the child on the ground, and as he dies, passes his life to the child, who rises and exits. The Nightwatchman enters one last time, but suddenly Mephistopheles reveals himself in the Nightwatchman's garb. He stoops over the body and says, "This man, it seems, has met with some misfortune."

After the curtain falls, the poet delivers an epilogue: there are many symbols in the work, let all be free to interpret them as they may.

Each part of the opera has its own dramatic and musical purpose. The Symphonia serves to introduce important thematic materials which are recalled at various points in the body of the opera. The Prologues establish Faust's character. His speeches--in the First Prologue where

Wagner interrupts his work, after he hears the title of the book, and in the Second Prologue where he describes his desires and ambitions to Mephistopheles--expose the essentials of the plot: Faust's ambition far exceeds his means, and the devil is only too willing to assist. Mephistopheles is introduced with two important motivic ideas: a motive spanning the interval of a third, which announces his entry, and a knocking rhythm that accompanies the death of Faust's creditors.

The Intermezzo is a self-contained incident describing the Soldier's death, which serves to introduce the main part of the opera --the series of events which leads directly to Faust's damnation and death. The abduction and death of the Duchess, which starts in the First Picture and is described in the Second Picture, is of greater significance to the plot than the Soldier's murder. She provides the means for Faust's renewal--their child, which is later reborn at Faust's death. The Second Picture summarizes the central dramatic incidents that determine Faust's damnation. The Sarabande preceding it restates motives from Mephistopheles's entry into the First Prologue, and thus recalls the first incident in Faust's damnation.

In the Second Picture, Mephistopheles assumes control and toys with Faust's ambition. He goads a dejected Faust with the story of the Duchess and with the body of their child. Igniting a bundle of straw which he draws from the spot where the body lay, Mephistopheles conjures up the Helena vision. She is the ultimate of Faust's desires. He reaches for her, but the smoke dissipates, the vision disappears shattering all of Faust's ambition. His hopes revive;

he has learned his lesson and perhaps there is still time to start afresh. The three students enter and warn of the impending reckoning.

The Last Picture ties the musical and dramatic strands together. Faust's hopes and ambitions are passed on through his child. Important musical themes from the earlier part of the opera are brought together with a cadential effect.

The composition of a large scale heroic opera is recorded in Busoni's letters from the spring of 1908. The project arose initially as an Italian nationalistic opera. As subject matter, the life of Leonardo da Vinci was considered. Faust appeared briefly as a possible subject in 1910. In 1913, Busoni contemplated a collaboration with the poet Gabrielle d'Annunzio, but abandoned the partnership after several meetings. At this formative stage, Leonardo and Faust were connected in Busoni's conception of the opera. Finally, in December of 1914, a Faust libretto emerged suddenly, within a week's time.

In creating his libretto, Busoni reportedly drew upon the old German puppet-play of the Faust legend rather than upon Goethe's *Faust*. He described this in the essay, "The Score of *Doktor Faust*:"

The intention and still more the desire to provide Goethe's *Faust* with music has deeply engrossed me, but veneration for the overpowering task led me to renounce it . . . but I had fallen under the fascination of the Faust idea, and continued to be ruled by it. I was freed from the swaying dissention between longing and renunciation by my ensuing acquaintance with the old puppet-play, of which I inspected several versions, for that, I decided would be the starting-point of the libretto of my opera.⁵⁶

Busoni did not cite the sources of the puppet-play which were available to him. One bibliography of Faust materials, the *Bibliotheca Faustiana* compiled by Karl Engel in 1885,⁵⁷ lists approximately twenty editions of the play. A version prepared by Wilhelm Hamm, *The Old German Puppet Play of Doctor Faust*⁵⁸ contains references to other editions in appendixes, including an edition by Karl Simrock; *Faust: Das Volksbuch und das Puppenspiel* (1846 and 1873) which bears the closest resemblance to Busoni's libretto.

Busoni adapted materials freely, and rearranged them to avoid too strong a resemblance to the *Puppenspiele*:

For good reasons I have struck out the first monologue of the puppet-play (which Goethe takes over almost literally) for to begin the piece in such a way would have been too reminiscent of the conventional *Faust* and the onlooker would be tuned to expect similar familiar pictures. In addition to this, the sense of monologue is contained in Mephistopheles' threat later on when he puts Faust's desperate situation in front of his eyes.⁵⁹

In Busoni's libretto, the two Prologues bear the closest resemblance to the puppet-play. Busoni reported that his drama began with the First Picture--the scene at Parma--but there is much material in this and later Pictures which is taken from the puppet-play.⁶⁰ Simrock's edition, for example, contains a Ducal scene set in Parma in which Faust attempts to seduce the Duchess, and in Hamm's version, Mephistopheles brings Helen of Troy to Faust.

Although Busoni stated that he set aside Goethe's *Faust*, many details in the libretto suggest a relationship with Goethe's work. The "Night" scene in Goethe's *Faust: Part I* ends on Easter morning as

several choirs sing of Christ's resurrection. This resembles the Second Prologue of Busoni's opera, which ends on Easter morning as a choir intones the Credo. The scene, "Auerbach's Cellar in Leipzig," in Goethe's play contains a series of boisterous drinking songs with passing references to the Pope and Luther. Mephistopheles enters with Faust and sings a song about a flea and a king. In a similar way, the Second Picture in *Doktor Faust* is set in a Wittenberg Tavern and contains two quarreling groups of students, one Catholic, the other Protestant. Mephistopheles enters and sings a bitter song summarizing the demise of the Duchess. In *Doktor Faust*, the soldier slain in the Intermezzo corresponds to Goethe's soldier, Valentin, taken from *Faust: Part I*.

The first act of Goethe's *Faust: Part II* contains a vision of Helen of Troy as does Busoni's opera, but the correspondence between the two Helenas lies far deeper than the level of detail. Helena plays an important part in Goethe's symbolism. As one of Faust's goals on his path to spiritual growth, she represents the essence of perfection. Busoni's Helena is dealt with briefly, much as she is treated in the puppet-play, but her symbolic meaning is borrowed from Goethe:

Dream of young men,
 goal of wise men!
 Perfect image
 of purest beauty. 61

Traum des Jugend,
 Ziel des Weisen!
 Reinsten Schönheit
 Bildvollendung.

The role of the Duchess in *Doktor Faust* is linked to Goethe's Helena. Like the Duchess, Helena bears Faust's child. In both works the child dies, but death in Goethe's work is not an end. Through death his characters live in a more spiritual existence. In Busoni's opera, Faust dies but lives on in the life of his child.

Thus I may still . . .
 work through you . . .
 in what . . . you beget
 and deeper and deeper trench
 the track of my being . . .⁶²

So wirk' ich weiter in dir,
 und du zeuge fort
 und grabe tiefer und tiefer
 die Spur meines Wesens . . .

The references to Goethe are often obscure in *Doktor Faust*, but an audience familiar with Goethe's play would have noted their inclusion. In making these allusions, Busoni invoked Goethe without committing himself to a more complete representation of the play.

The libretto of *Doktor Faust* is very different from the libretto of Gounod's *Faust*. Gounod's opera centers around the relationship of Margaret and Faust. Busoni avoided the portrayal of what he labelled "pseudo-emotion" which he found so often in the Italian "love-duet" and which the relationship of these two characters might have implied for an audience familiar with Gounod's setting. He praised Goethe for his treatment of the subject:

What felicity and judgement Goethe showed in his circumnavigation of this rock, in the conversation between Faust and Gretchen. Domestic information and 'How dost thou stand with regard to religion?' When action begins, words cease. Eroticism is no subject for art but a concern of life.⁶³

In *Doktor Faust*, Gretchen is only referred to in passing by her brother, the soldier, and he does not refer to her by name.

Busoni's libretto concentrates on Faust's deeds. The portrayal of love does not interrupt that concentration, not even in the Duchess's aria which is a description of the spell that Faust casts upon her; the aria is not a portrait of her own emotion.

End-notes to Chapter I

1. Edward J. Dent, *Ferruccio Busoni: A Biography* (London: Oxford University Press, 1933), pp. 37-39.
2. *Ibid.*, pp. 332-336.
3. *Ibid.*, p. 116.
4. Bernard van Dieren, "Busoni," *Down Among the Dead Men and Other Essays* (London: Oxford University Press, 1935), pp. 20-101.
5. Ferruccio Busoni, *Sketch of a New Esthetic of Music*, trans. Th. Baker (New York: Schirmer, 1911), reprinted in *Three Classics in the Aesthetic of Music* (New York: Dover, 1962).
6. Hans Pfitzner, "Die neue Ästhetik der Musikalischen Impotenz," *Gesammelte Schriften*, 2 vols. (Augsburg: Dr. Benno Filser Verlag, 1926), 2: 187-211; Ferruccio Busoni, "Open Letter to Hans Pfitzner," *The Essence of Music and Other Papers* (London: Rockcliff Publishing, 1957), pp. 17-19.
7. Louise Varese, *Varese: A Looking-Glass Diary*, Vol. 1 (1883-1928) (New York: Norton, 1972), p. 49.
8. Dent, *Busoni* . . . , p. 234.
9. Ferruccio Busoni, *Letters to His Wife*, trans. Rosamond Ley (New York: Da Capo Press, 1975), p. 278.
10. Ferruccio Busoni, "Doktor Faust: Fotokopie des im. 2. Weltkrieg verbrannten Autographs der Partitur," "Skizzen zu Doktor Faust," Berlin, DDR: Deutsche Staatsbibliothek Busoni-Nachlasse-Nrn. 346 and 342, 345 respectively. Microfilm materials. See also, Jürgen von Kindermann, *Thematisch-chronologisches Verzeichnis der Werke von Ferruccio Busoni*. Regensburg: Gustav Bosse, 1980.
11. H.H. Stuckenschmidt, *Ferruccio Busoni: Chronicle of a European*, trans. Sandra Morris (London: Calder and Boyars, 1970), p. 126.
12. *Ibid.*
13. Jakob Wassermann, *In Memoriam Ferruccio Busoni* (Berlin: S. Fischer, 1925). The facsimile is attached as an unpaginated appendix.

14. Ferruccio Busoni, "Don Quixote," *Essence of Music*, pp. 175-176; *Letters*, p. 138.
15. Idem, "Self-Criticism," *Essence of Music*, p. 49.
16. Edward Lockspeiser, *Debussy: His Life and Mind*, 2 vols. (London: Cassell, 1965) 2: 26.
17. Pierre Boulez, *Notes of an Apprenticeship*, trans. Herbert Weinstock (New York: Alfred A. Knopf, 1966), p. 30.
18. "Nuages" is extreme in this regard. The *Prelude a L'apres-midi d'un Faune*, another work of Debussy's that bears a close resemblance to the *Berceuse* has more of a sense of traditional structure.
19. Ferruccio Busoni, "Young Classicism," *Essence of Music . . .*, pp. 19-22.
20. Busoni, *Letters . . .*, pp. 288-289; Igor Stravinsky and Robert Craft, *Conversations with Igor Stravinsky* (New York: Doubleday, 1959), p. 99; H.H. Stuckenschmidt, *Ferruccio Busoni: Chronicle of a European*, trans. Sandra Morris (London: Calder and Boyars, 1970), p. 58.
21. Igor Stravinsky, *Stravinsky: an Autobiography* (New York: Simon and Schuster, 1936), p. 170; Stuckenschmidt, *Busoni . . .*, pp. 63-64.
22. Busoni, "Briefwechsel zwischen Arnold Schönberg and Ferruccio Busoni 1903-1919 (1927)," "Briefe Gustav Mahlers an Ferruccio Busoni," ed. Jutta Theurich, *Beitrage Zur Musikwissenschaft* 19:3 (1977): 163-215.
23. Stuckenschmidt, *Busoni . . .*, p. 62.
24. Busoni, "The New Harmony," *Essence of Music . . .*, p. 24.
25. Dent, *Busoni . . .*, p. 254. Dent quotes Busoni, "I look back to Strauss's and to Schönberg's youthful works--and to my own too--and feel ashamed of the present age."
26. Busoni, "Concerning Harmony," *Essence of Music . . .*, pp. 24-27; Stuckenschmidt, *Busoni . . .*, p. 62.
27. Idem, "The New Harmony," p. 24.
28. David Epstein, *Beyond Orpheus: Studies in Musical Structure* (Cambridge: M.I.T. Press, 1975), see pp. 9-10 and Chapter 2 for a brief introduction to this concept.

29. Ferruccio Busoni, *Sketch of a New Esthetic of Music*, trans. Th. Baker (New York: Schirmer, 1911), reprinted in *Three Classics in the Aesthetic of Music* (New York: Dover, 1962), p. 81.
30. Idem, *Letters*, pp. 279-280.
31. Ibid., pp. 222-227.
32. Ibid., p. 88.
33. Ibid., pp. 79-80, 118.
34. Idem, *Doktor Faust*, libretto trans. Edward Dent, contained in record notes to: Deutsche Grammophon Gesellschaft recording #2709 032 (unpaginated).
35. Idem, *Letters*, p. 252.
36. Idem, "Concerning Harmony," *Essence of Music*, p. 27.
37. Idem, *Sketch of a New Esthetic*, "The Future of Opera," "The Score of *Doktor Faust*," *Essence of Music*, pp. 1-16, 70-76.
38. Idem, "Young Classicism," *Essence of Music*, pp. 19-22; reprint of original is contained in "Sonderheft Ferruccio Busoni," *Musikblätter des Anbruch* 3: 1-2 (January 1921): 26-27.
39. Idem, "The Future of Opera," pp. 39-40.
40. Idem, "The Score of *Doktor Faust*," pp. 74-75.
41. Idem, *Letters* . . . , p. 213.
42. Ibid., p. 285.
43. Idem, "The Oneness of Music . . . ," pp. 9-10.
44. Idem, "The Future of Opera," pp. 40-41.
45. Idem, *Sketch of a New Esthetic* . . . , pp. 97-98.
46. Idem, "The Oneness of Music . . . ," pp. 10-11.
47. Ibid., pp. 79-80, 118.
48. Idem, "Young Classicism," p. 21.
49. Carl Hahlhaus, *Richard Wagner's Music Dramas*, trans. Mary Whittall (Cambridge: Cambridge University Press, 1979), p. 6.

50. Busoni's opinion of Mozart, in this regard, is illustrated in the following quotation: "Through the mastery and unusually beautiful treatment of form Mozart's settings attain that peculiar aesthetic calm which, if in discussing western music the thought of a relationship with Hellenic art is at all allowable, might lead one to draw a parallel between this and Mozart's settings." Ferruccio Busoni, "For the Don Giovanni Jubilee," *Essence of Music*, p. 111.
51. Idem, *Sketch of a New Esthetic*, p. 81.
52. Idem, "Young Classicism," p. 21; *Anbruch*, p. 27.
53. Examples of this are the motives which accompany the entrances of Mephistopheles and the Nightwatchman into the opera.
54. In this regard, Liszt was an important link to the *Bel Canto* tradition. See Busoni, "Biographical and Critical Study Drawn Up as a Foundation to the Proposed Collected Edition of Liszt's Pianoforte Works," *Essence of Music*, p. 150; Dent, *Busoni*, p. 151; Jim Samson, *Music in Transition* (London: J.M. Dent, 1977), p. 21; John Waterhouse, "Busoni: Visionary or Pasticheur?" *Proceedings of the Royal Music Association* 92 (1965/66): 84-85.
55. Larry Sitsky, "The Six Sonatinas for Piano of Ferruccio Busoni," *Studies in Music* 2 (1968): 66-85.
56. Ferruccio Busoni, "The Score of *Doktor Faust*," *Essence of Music*, p. 71.
57. Karl Engel, *Bibliotheca Faustiana: Zusammenstellung der Faust Schriften vom 16. Jahrhundert bis Mitte 1884* (first published in 1885; reprint ed., Hildesheim: George Olms Verlagsbuchhandlung, 1963).
58. Wilhelm Hamm, *The Old German Puppet Play of Doctor Faust*, trans. T.C.H. Hedderwick (London: Kegan Paul, Trench and Co., 1887).
59. Ferruccio Busoni, "The Score of *Doktor Faust*," p. 72.
60. Ibid.
61. Idem., *Doktor Faust*, libretto trans. Edward Dent.
62. Ibid.
63. Ferruccio Busoni, "The Score of *Doktor Faust*," p. 72.

CHAPTER II

THE HARMONIC LANGUAGE OF DOKTOR FAUST

Busoni reached compositional maturity on the threshold of a revolution in harmonic practice. His technique encompasses many of the innovative trends of the early 20th century. Busoni was not quick to abandon the rich legacy of his predecessors, however; composition within a traditional tonal framework constitutes a considerable part of his output. Between the innovative and conservative styles lies a rich middleground, an area of tonal ambiguity or incipient atonality. This style characterizes the greater part of his work.

This chapter describes general aspects of Busoni's harmonic language, and analyzes excerpts from the opera in terms of these three harmonic styles and where applicable in terms of their specific relation to the drama.

1. *Five Roads to a New Harmony*

In the essay, "The New Harmony," Busoni set forth a series of five propositions which he labelled the "Five Roads." Taken together, as the fifth and culminating proposition, these were meant to stimulate the creation of a new compositional language. These five propositions are given below.

The present-day harmony and that of the future interest me as they do the musical world and with a similar intensity. At present there is a searching and groping but I see the roads. There are five in all and as yet no composer has walked up to the end of any of them.

The first new harmonic system rests upon chord formation according to customary scales. (Debussy, out of 113 scales which I have compiled, only employs the whole-tone scale, and that only in the melody.)

By the symmetrical inversion of the harmonic order Bernard Ziehn shows me the second way.

Keeping the voices independent of each other in polyphonic compositions produces the third road. (I have, as an experiment, constructed a five-part fugue in which every voice is in a different key so that the harmony flows in quite new chord successions.)

A fourth road is anarchy, an arbitrary placing of intervals, next to and over one another, according to mood and taste. Arnold Schönberg is trying it; but already he is beginning to turn round in a circle.

The fifth will be the birth of a new key system which will include all the four afore-mentioned ways.¹

Of these Five Roads, only the first deals directly with materials including the creation of chords formed from new scales, some of which are outlined in the *Sketch of a New Esthetic of Music*.² In the second and third propositions, Busoni advocated polyphonic voice-leading procedures as the ground work of the new language, a concern which finds its way into many of Busoni's writings. In this regard, he alludes to the theories of the expatriate German, Bernard Ziehn, whose acquaintance Busoni made on his travels to America.³ Ziehn was

preoccupied with imitation and contrapuntal technique, especially in a chromatic context. His work is known specifically for the theory of symmetrical inversion, the practice by which a particular melodic profile of a given voice is mirrored through inversion of its constituent intervals, often with reference to a central common tone.⁴

An example of "symmetrical correspondence" may be drawn by comparing major and minor triads built upon a common root. The vertical arrangement of major and minor thirds in one triad is inverted in the other: in C major, a minor third is placed above a major third; in C minor, a minor third is placed below a major third.⁵

C minor and F major are triads "symmetrically inverted" around the central pitch C, if C is taken as the root of C minor and the fifth of F major. The intervals in the respective chords are duplicated as one moves in contrary motion from the central pitch: C rising to E^b, an ascending minor third, is mirrored by C falling to A, a descending minor third; E^b rising to G, a major third, is mirrored by A falling to F, another major third.⁶

Symmetrical inversion often gives rise to chromatic relationships, for example most major intervals combined with their symmetrical inversions yield an augmented interval--a major third above C combined with a major third below C creates the interval A^b to E, an augmented 5th; most minor intervals combined with their inversion yield a diminished interval. According to Ziehn, the practice of symmetrical inversion was best applied to chromaticism: "The more chromatic a setting is the more appropriate it becomes for symmetrical inversion, because

chromatic progression is the smoothest."⁷

Although Busoni did not employ symmetrical inversion systematically in his opera, examples of his work resemble Ziehn's published exercises both in the chromaticism of their voice leading and in canonic imitation (see Example 1). As Jane Edmister states in her paper, *The "Five Roads" and Busoni's Nocturne Symphonique, op. 43*, Busoni frequently composed with symmetrical constructions.⁸ His work contains many examples of whole-tone arrangements, tritone relationships, and other individual pitch collections displaying symmetry. Some examples of tritone relationships and the effects produced from their use will be discussed at greater length below.

The fourth "road"--through which, according to Busoni, Arnold Schoenberg was starting to turn "round in a circle"--Busoni labelled "anarchy, the arbitrary placing of intervals . . . according to mood and taste."⁹ It is strange that this category should be included in the "Fifth Road," the proposition which combines all the preceding propositions into one compositional system. Although Busoni criticized others for musical "anarchy,"¹⁰ that category is included here, as part of the "new key system" envisioned by Busoni.

Busoni's sketches suggest that he composed rapidly and followed no hard and fast rules or systematic procedures. Nevertheless, there are few passages in his work which suggest an anarchical treatment of materials. It is interesting in this connection to compare Busoni's harmonic style in *Doktor Faust* with those portions of the opera completed by Jarnach. In the final scene of the opera, which comes at

Two staves of musical notation. The upper staff is in treble clef and the lower staff is in bass clef. The music features a melodic line with chromaticism and a supporting bass line. The key signature has one sharp (F#) and the time signature is 3/4. The piece concludes with a double bar line.

Continuation of the musical score from the previous block. It shows further development of the melodic and bass lines. The notation includes various rhythmic values and accidentals. The piece concludes with a double bar line.

Musical score for Trombe e Corni (under der Bühne, ad lib.), Viola, Violini, and Basso. The score includes performance instructions such as *verhallend*, *dolce*, *m.d.*, *pp*, and *f*. The number 21 is marked above the Viola staff. The score concludes with a double bar line.

Example 1. Bernard Ziehn, *Canonic Studies*, p. 203; Ferruccio Busoni, *Doktor Faust*, Breitkopf and Härtel piano-vocal score mm. 160-162, p. 42.

the most expressive (and perhaps Expressionistic) moment in the libretto--Faust's long final monologue--Jarnach indulged in a much richer harmony. Here, one immediately senses the presence of another hand, and in retrospect the circumscribed nature of Busoni's style.

2. *Experimental and Conservative Harmonic Practice in Doktor Faust*

Busoni's most experimental harmonies arise for the most part as by-products of his contrapuntal technique. In the essay, "The Score of *Doktor Faust*," he described the harmonies in the work, not as isolated chords, but rather as the results of weaving polyphonic strands together.¹¹ Voice leading in these passages employs conjunct, primarily semitone movement. John Waterhouse described the style as controlled semitonal instability and linked it to the late piano compositions of Franz Liszt, especially to *Nuages Gris* (1881).¹²

Carried to an extreme, this technique leads to the employment of all twelve chromatic pitches within a narrow time frame. When all the chromatic pitches are balanced equally, through even distribution over a phrase or through the simultaneous presentation of pitches in consecutive cluster chords, the result obscures any underlying sense of tonal centre, and can be described as chromatic saturation.

The *Symphonia* contains several examples of chromatic saturation. In the most conspicuous of these, the addition of parts in parallel motion to a chromatic line thickens the harmony beyond any key identity suggested by a melodic profile (see Example 2).¹³ A passage which follows shortly after this uses a succession of quartal chords

3

30

Cor. *pp*

p

espr.

31

Viol.

m. s. dolciss.

Cor.

m. d.

Clar.

dolce sostenuto

34

Fl. *flebile*

Clar.

ppp

p

Example 2. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 30-34,
p. 2.

to evade tonic statement, although it does not create a saturation as dense as the first passage (see Example 3).¹⁴ The excerpt contains only

The image shows a musical score for Ferruccio Busoni's *Doktor Faust*, measures 36-39. The score is in G minor and 3/4 time. It features a piano part with a 'dim.' marking and a 'ppdolciss.' marking. The upper part includes parts for Cello (Cel.), Violin (Viol.), and Flute (Fl.), with a 'sostenuto' marking. The lower part includes parts for Cor and Trompa (Alpa).

Example 3. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 36-39, p. 3.

a minimal suggestion of cadence: (in m. 38) from a seventh chord of G (beat3) to the quartal chord B^b-E^b-A^b-D^b-G^b (beat4).

These two passages as well as others from the *Symphonia* are reserved for recapitulation in the Helena vision of the Second Picture (described at greater length in Chapter III). Here, the suspension of tonal gravitation completes the ethereal apparition.¹⁵ The quartal chord succession lends a special floating quality to the

passage, in comparison with the harsh activity that starts as Faust reaches for Helena.

The most adventurous harmonic passage in the opera accompanies the entrance of the three students in the Second Prologue (see Example 4).¹⁶

(Es treten auf drei schwarzgekleidete Studenten)
 ♩ = ♩ *Alla marcia sostenuto*
 181 *pp* *Fiat Cor.*
dolciss. *poco* *pp*

Example 4. Ferruccio Busoni, *Doktor Faust*, p.v. s., mm. 181-184, p. 23

This march-like passage was borrowed directly from the *Second Piano Sonatina*. A striking series of chords is contained within it. In these chords, the voices are governed by very strict motion, but do not proceed toward or suggest a tangible tonal orientation, partly because of the successive ninths, both major and minor, in the bass and inner voices, as well as the tritone relationships contained in the outer voices, and partly because of chromatic saturation. The concentrated harmonic material contained in the passage departs from that of its surroundings and lends a special intensity to the student's entrance.

In some parts of *Doktor Faust*, Busoni retained elements of the tonal harmonic tradition which contrast strongly with his harmonic experiments. Mephistopheles's *Lied*, from the Second Picture, is the

sole extended formal unit in the opera that displays a traditional tonal scheme.¹⁷ Set in three stanzas and a coda, the *lied* describes the demise of the Duchess at Faust's hands. The piece is set in G minor, but a subtle chromatic coloration undermines complete tonal stability. The presence of F^b weakens a brief modulation to A^b (see Example 5), as does F with the modulation to A, and G^b with the return to tonic minor. The undermining of tonal stability through chromatic infusion is a basic procedure throughout Busoni's work.

51

M. denn er war so fromm und so flau. Da kam da her ein

721

M. Dok.tor, trat auf mit großer Pracht, der nahm sie oh - ne

725

Example 5. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 721-728, p. 240.

This *lied* parodies a bawdy song, a tavern ballad. The element of parody underscores the adoption of a conservative framework. The summation of this crucial incident in Faust's life in the form of a drinking song represents something of Mephistopheles's biting sarcasm.

The Symphonia contains brief passages of tonal clarity. The last sonority of the movement is a C major chord (with an added seventh and the third in the bass).¹⁸ It is the final sonority in a part tonal, part modal passage, reminiscent of Debussy, in which this tonic, or 'final' is approached from the perspectives of sharp and flat keys--B^b/F major beginning with the entry of the choir, intoning "Pax" (mm. 117-134), and G/D major in a short instrumental interlude (mm. 134-137). The last chord is perceived as the tonic of a long-range, functional progression IV-V-I, F-G-C, but even more so as the middle-ground of a chromatic spectrum, a mean between sharp and flat key perspectives.

3. *Extended Tonality and Incipient Atonality*

From a conservative harmonic grounding secured early in his career through rigorous study of traditional composition, Busoni made wide-ranging forays into the expanding territory of harmonic practice that developed through the breakdown of traditional tonality. The most extreme of his experiments resulted in the complete suspension of tonality. The piece most often noted in this regard is the *Second Piano Sonatina*, an excerpt of which has been discussed above. The many passages that fall short of this extreme constitute the

greater part of Busoni's work.

For the most part, these passages maintain a semblance of functional progression. However, their pitch content encompasses such a wide range of materials that a sense of functional quality is often ambiguous or confused. Through this ambiguity, Busoni avoided the strong punctuation of individual phrases. Instead he created a continuous flow of ideas; ideas which assume the proportions of a phrase but with a minimum of cadential gravitation.

The constant exchange of major and minor forms of a given chord was one means by which Busoni avoided clear statement of functional progression. The distinction between major and minor was "more symbolic than real" to Busoni. He held that over the course of time, minor keys had been granted certain attributes which did not arise from the quality of their sound, but which had accrued from their employment as effects, for the creation of sad or dark associations.¹⁹ Other composers have freely interchanged major and minor, but in doing so, these particular associations were most often retained. Busoni strove to eliminate these; the final chord of the Second Picture, after Faust learns of his impending death, is a bright C major. To ears accustomed to the usual associations, this is a strange sonority following such a dark forecast.

One aspect of Busoni's concept of unity in music called for the replacement of all distinctions between keys by a "kaleidoscopic blending and interchanging of twelve semitones."²⁰ This prescribes not only the equating of major and minor, but also the adaptation of

tonal function to complex harmonies and to several simultaneous tonal centres. This prescription applies on many structural levels in *Doktor Faust*.

The orchestral introduction to the First Prologue contains characteristic examples of major/minor modal-exchange (see Example 6). The first measures fluctuate freely between the major and minor modes of A and D. Clear statement of a tonal centre is avoided through this and other means (to be discussed below) until Faust begins his first speech.

The image shows a page of musical notation for the orchestral introduction to the First Prologue of *Doktor Faust*. The score is divided into two sections: "Agitato (das Ganze hell-dunkel zu halten)" and "Offener Vorhang". The "Agitato" section includes the instruction "(Hier öffnet sich der zweite Vorhang, *Fia!*)". The notation features a complex harmonic structure with multiple tonal centres, as indicated by the text. The score includes parts for Tromb. (Trumpets), Cor. (Cornets), Timp. (Timpani), Viol. trem. (Violins, tremolo), Cor. (Cornets), Fag. (Bassoon), and C. Fag. (Contrabassoon). The dynamics range from *sp* (sforzando piano) to *ff* (fortissimo). The tempo is marked "Agitato". The "Offener Vorhang" section begins with a *p* (piano) dynamic and features a more melodic and sustained texture.

Example 6. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 1-8, p. 13.

The juxtaposition of several tonal centres exists on different levels in Busoni's work. It does not always take the form of superposed triads, as outlined by Stuckenschmidt in his discussion of the *Berceuse Élégiacque*.²¹ Often a simple succession

of triads gives the impression of a split tonal centre.

The sequence of chords in mm. 82-86 of the *Symphonia* closes with a chromatic mediant shift from C major to A major (see Example 7). When this passage is restated, the mediant relationship is replicated at both the same pitch level and in transposition.²²

Example 7. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 80-87, p. 5.

The chord preceding the mediant shift (C in the C/A passage) is established very tentatively as tonic of the chordal succession: $\text{iii}^7\text{-IV-I}$, with a descending line in the highest voice to the fifth of the chord. The mediant shift counters this impression immediately; the fifth of the previous chord is now heard as a lower neighbour decorating the new tonic. The ambiguity in this progression still admits a sense of cadence, but the tonic encompasses both final chords.

Mediant relationship and major/minor modal-exchange exist on larger structural levels than those of the excerpts discussed above.

They also characterize the larger formal structure of the first scene in the Last Picture, until shortly after Faust's entry. The excerpt outlined in Figure 1 displays a formal organization built largely out of these harmonic relationships, particularly the mediant relationship between A and C.²³ A striking long-range relationship encompasses the Nightwatchman's cry, in C minor, the entry of the students, in A major/minor, and Faust's entry, again in C minor. Each of these passages is linked by the restatement of a prominent motive, which is heard first as the Nightwatchman's cry. (This will be discussed in greater detail in Chapter III.)

The structural divisions outlined in the accompanying figure are reinforced by changes in orchestration, tempo, and dynamics. Thus, despite the intrusion of chromatic materials in intervening passages, the association of this tonal framework with the divisions in the scenario is firm enough to be heard in a larger dramatic context.

Tritone relationships have a more immediate and practical function in the opera than mediant relationships or modal exchange. They obscure a tonal centre rapidly, but without suspending a tonal sense as completely as does chromatic saturation. Instead of being described as extensions of tonality, they might be better labelled as forms of incipient atonality. Often a degree of chromatic saturation is involved, or the tritone passage may contain symmetrical structures --diminished or augmented chords, whole-tone scales, or even the simple interval of a tritone--which can disrupt a sense of tonal gravitation.

Measure	Key	Scenario	Division
1	C major	instrumental prelude	introduction.
25	C minor	Nightwatchman's song	
56	A major	entry of Wagner and students	Wagner's scene
79	A minor	first student speaks	
90	A major	students sing	
93	C major	students sing	
intervening highly chromatic area: student's accolades and Wagner's speech			
148	A major	conclusion of Wagner's speech	
155	F major	students' song begins with <i>Ritornello</i>	students' song
187	B ^b major/minor	<i>Serenata</i>	
221	F major	<i>Ritornello</i> , with the Nightwatchman's song in the highest part	
275	B ^b major	<i>Serenata</i>	
291	A major	point of imitation	
297	C minor	orchestral reply	
intervening highly chromatic area: students' praise womankind			
345	C minor	Faust enters, Nightwatchman's song forms motive of the accompaniment	Faust's entry

Figure 1. The large formal divisions in the first scene of the Last Picture.

Tritone relationships tend to occur where there is an interruption in the rhythmic momentum of a given passage. Wagner's entrance in the Second Prologue creates a break in the rhythmic momentum established by the orchestral introduction and is accompanied by a conspicuous tritone relation: the melodic interval, G to C[#], (in the bass of mm. 31-32), which is restructed as a harmonic interval (mm. 33-34).²⁴ (See Example 8.) In this passage, all suggestion of tonal centre is disrupted at a point of imitation (mm. 27-29) through chromatic saturation. In the passage that follows, the bass establishes a pattern of descending sevenths in a dotted-rhythm figure. This line gradually slows, through rhythmic augmentation, and comes to rest first on G and finally on C[#] (mm. 31-33). Out of the chromatic saturation, pitches are pared away leaving several whole-tone chords which contain the C[#]/G tritone (with the exception of F^b, F[#], and C which surface briefly to obscure a clear statement of a whole-tone harmony).

By paring away the chromatic saturation, the texture which contains it, and the rhythmic momentum, Busoni marked Wagner's hesitant interruption of Faust's labors by an almost complete stop in the flow of the music. Busoni chose to settle upon the tritone rather than a more tonally suggestive interval to avoid weakening the first strong statement of tonal centre D minor, which he delayed until Faust's speech (starting m. 60), where the rhythmic momentum is re-established. After this passage, the tritone pattern recurs when Wagner describes the nature of the student's gift, again with a point of imitation

14

21

Flauti
marc.
Corni
Fag.

24

Flauti
p

27

Basso pizz.
Arpa
Clir.
Fl.
Clar.
m.d.
p marc.
p marc.
m.s.
Cor. più marc.
Basso pizz.

Faust's Famulus Wagner (Ball) tritt zögernd ein)

30

17
Fl.
Clar.
Viol.
(Tiefe Verbeugung)
pp
Fag.
C. Fag.
mf sost.

Wagner
 (Da Faust keine Antwort gibt, verbleibt Wagner in respektvoller Erwartung)

Eu . . e . rer Magni . fi . zenz Ver . zei . hung -

Viol.
 dolce
 Viola
 C. ingl.
 dolce espr.

33

Example 8. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 21-37, pp. 14-15.

(mm. 86-90), followed by a melodic tritone, a melody accompanied in bare octaves which spans the interval of D^b to G (mm. 90-94).²⁵

The Duchess's aria in the First Picture contains a tritone relationship that falls just short of chromatic saturation (see Example 9).²⁶

The excerpt is preceded by a passage containing several chromatic falling lines counterpointed by a solo violin melody. The soprano's entry, which replicates the violin line, begins on C^b , the third of A^b minor, and the lowest vocal pitch of the aria. The tessitura of the voice part contributes to the turgid quality of the opening phrase.

The simple A^b minor triad of the first two bars shifts immediately to a more complex arrangement centred around the pitch of D.²⁷ By repeating the opening three bars (abbreviated to two bars) with modal exchange, new notes are added with the result that all chromatic pitches are struck within this passage. Even though the fifth measure is a transposition of the third, the tritone relationship is maintained

(tritt auf die Bühne, wie im Traume schreitend, die Arme vorgestreckt)

Hn. zieht mich...

868 *sempre pp* *sotto voce* *m.s.* *m.d.* *m.s.* *m.d.*

Hn. *dolce con calore*
Er ruft mich wie mit tausend Stimmen,

87 *Cor.* *Viol.* *C. ingl.*

891 *m.s.* *m.d.* *p* *Clar. Fag.* *Viola* *Vcllo.*

Hn. zieht mich wie mit tausend Armen, ich fühle in einem tausend Augen.

895 *Viol.* *Ob.* *C. ingl.* *Fl. Clar.* *Fag. Viola* *Vcllo.*

Example 9. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 888-897, pp. 184-185.

by the tritone interval in the bass between mm. 895-896. All the pitches of the chromatic scale are present here, but not as chromatic saturation. Instead the passage gravitates between two triadic centres, A^b and a much weaker D. As with Wagner's entrance into the First Prologue, these materials alter the sense of rhythmic momentum.

The aria grows slowly out of the first bar of this phrase but the momentum gathered by the shift from A^b minor to major and by the rising vocal line is weakened by the tritone. Busoni created here a brief, halting moment that describes the weight of Faust's spell over the Duchess.

There are much larger parts of *Doktor Faust* where triads are presented clearly, but within no consistent tonal structure. The orchestral introduction to the First Prologue, which was discussed above in the context of modal exchange, is one example of this procedure. In this passage, Busoni avoided stating one consistent tonal centre. Instead, the score shifts rapidly from one triadic reference to another by deflecting the restatement of a prominent motive to other pitch levels.²⁸

The passage where Faust conjures up the spirits in the Second Prologue contains a similar series of unrelated triadic references.²⁹ Labelled by the composer as a set of variations on the "question and answer motive," the passage contains no conspicuous recapitulation of melodic or harmonic material that would suggest a thematic basis for variation.³⁰ Instead the "variations" consist of successive, contrasting accompaniment patterns in various tempi, interspersed with brief suggestions of unrelated triads (see Figure 2).

The return of musical ideas from the opening of the act interrupts the variations at those points where Faust calls upon the Fifth Spirit, and where he falls into dejection over his apparent lack of success with this sorcery.³¹ These references serve to divide the

Measure	Triadic Suggestion	Scenario
165	D ^b pedal	Faust calls first spirit
183	E major	Faust dismisses first spirit
190-91	F ^{#7} to D minor	Faust calls second spirit
201	C major	second spirit replies
230	B ^b minor	Faust calls third spirit
246-48	E major to A major	third spirit replies
260-61	B ⁷ to E major	Faust dismisses third spirit
267-77	C minor	Faust calls fourth spirit
280	B minor	fourth spirit replies
303	B ^b major	Faust despairs of success
316	C [#] minor	Faust calls fifth spirit
326	E minor	fifth spirit replies
364-68	C [#] major/minor	Faust dismisses fifth spirit and despairs again

Figure 2. Triadic suggestion in the spirit variations of the Second Prologue.

first five variations from Mephistopheles's variation, which has both a different form--Mephistopheles calls to Faust rather than the contrary--and much greater significance for the plot. The material recalled here comes from the orchestral introduction.

Where relationship to a single tonality is maintained for a length of time, it may be established in one of several ways. A tonal centre may be created by the emphasis of a single pitch through what Roman Vlad labels 'tonal polarity'--the polarization of pitches around a central note³²--or, as Jane Edmister suggests, through special prominence in a particular voice, usually in the bass as a pedal or as the ground-work for figuration.³³

A tonal focus may also be established by the repeated statement of triadic or scalar material, which imposes, as it were, a tonal framework upon a given passage. The brief instrumental introduction to the Second Prologue suggests several tonal centres through this procedure (see Example 10).³⁴

The excerpt is based on a series of long, descending lines, which underscore the whole passage. It is not always easy to recognize vertical arrangements with a triadic core because of the addition of voice-leading and coloration pitches which arise from the descending patterns.

A sequence establishes itself in the opening bars. To the accompaniment of a descending line in a lower voice--C to G in the bass of mm. 2-10--two tonal planes--one hovering between C[#] minor/A major/F[#] minor, the other less firmly established around C major/minor--

32

Musical score for measures 32-33, featuring piano accompaniment with treble and bass staves.

Musical score for measures 30-32, featuring Flute (Fl. picc.), Oboe (Ob.), and Clarinet in G (C. ingl.) parts.

Musical score for measures 33-35, featuring Flute (Fl.), Clarinet in G (C. ingl.), and Bassoon (Fag.) parts.

(Der nämliche Raum, um die Mitternacht)

(Tempo 1) Vor hang

Musical score for measures 36-38, featuring Violin (Viol.), Oboe (Ob.), Clarinet in G (C. ingl.), and Clarinet (Clar.) parts.

4 Faust Die

Musical score for measures 40-42, featuring Flute (Fl.), Violin (Villo.), Cor, Clarinet (Clar.), and Clarinet in G (C. ingl.) parts.

m. d. m. s.

Erleichterung (E. P.)

The image displays a musical score for a vocal line and its orchestral accompaniment. The vocal line is written in a bass clef and includes the lyrics: "Sand.uhr zeigt die Mit.ternacht: Fiati ich darf . be." A box containing the number "5" is positioned above the vocal staff. The orchestral accompaniment is divided into three systems. The first system is labeled "Archi *dolciss.*" and includes a grand staff with treble and bass clefs. The second system is labeled "Cor." and features a horn line with a treble clef. The third system is labeled "Flati" and includes a flute line with a treble clef. The score is set in a key with one flat and a 3/4 time signature.

Example 10. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 1-51, pp. 31-33.

begin to alternate. This tonal pairing is reinforced at a larger structural level by the firm establishment of C minor, in m. 10.

The next point of articulation, which divides a long descending line from m. 10 to m. 20, transposes the tonal pairing and the triadic figure to B minor/G major. This is confirmed by the cadence to G in m. 16 and especially in m. 20 with the restatement of melodic material from m. 10.

The descending pattern is broken at m. 24 with the return of the triadic figure, again in A major, but with a much stronger statement of C major.

The orchestral introduction as a whole is interrupted by a brief reference to the *Symphonia*, in mm. 41-87 (material which originated in the *Nocturne Symphonique*).³⁵ Generally, the melodic lines in this passage ascend, and act to regain register as well as some of the momentum drained off by previous descending patterns. The longest descent of the passage starts in m. 36. It is counterpointed midway by two statements of the triadic figure, on F[#] and C, in upper voices, mm. 40-45. The appearance of a tritone relation again marks a break in the rhythmic momentum at the entrance of a character.

In summation, generally Busoni employed the three styles of harmony--the experimental, the conservative, and the broad style which lies between--for separate dramatic effects in *Doktor Faust*. Conservative and experimental extremes of harmony were used to highlight specific dramatic points. Mephistopheles's *Lied* stands out from the adjoining passages harmonically, because of its conservative nature,

and dramatically, because it summarizes the Duchess's demise, the central incident in Faust's decline. Likewise, the entry of the three students was given a concentrated harmonic accompaniment to delineate the presentation of the sorcerer's book from the actions which surround it.

Busoni applied the broad middle-ground style to the drama at large. By retaining a semblance of harmonic function--a sense of phrase structure and cadence built on the model of tonal harmony--Busoni used this harmonic style to delineate structure in the scenario. However, although significant dramatic events were set in this style, the most concentrated elements of plot received the stronger harmonic emphasis.

End-notes to Chapter II

1. Ferruccio Busoni, "The New Harmony," *The Essence of Music and Other Papers*, trans. Rosamond Ley (London: Rockcliffe, 1957), pp. 23-24.
2. Idem, *The Sketch of a New Esthetic of Music*, trans. Th. Baker (New York: Dover, 1962), pp. 92-93; and see Robert Mason, "Enumeration of Synthetic Musical Scales by Matrix Algebra, and a Catalogue of Busoni's Scales," *Journal of Music Theory* 14 (1970): 92-126.
3. Ferruccio Busoni, *Letters to His Wife*, trans. Rosamond Ley (New York: Da Capo, 1975), p. 154.
4. Bernard Ziehn, *Canonic Studies*, ed. R. Stevenson (New York: Taplinger, 1976).
5. Ibid., p. 23.
6. Ibid., pp. 23-29.
7. Ibid., p. 29.
8. Jane Edmister, *The "Five Roads" and Ferruccio Busoni's Nocturne Symphonique, op. 43*, unpublished paper read at the conference of the Society for Music Theory, Los Angeles, California, October 1981.
9. Ferruccio Busoni, "The New Harmony," p. 24.
10. Idem, "Concerning Harmony," *The Essence of Music . . .*, p. 27.
11. Idem, "The Score of *Doktor Faust*," *The Essence of Music . . .*, p. 74.
12. John Waterhouse, "Weill's Debt to Busoni," *Musical Times* 105 (Dec. 1964): 897-899; "Busoni: Visionary or Pasticheur?" *Proceedings of the Royal Music Academy* 92 (April 1966): 79-93.
13. Ferruccio Busoni, *Doktor Faust*, piano-vocal score (Wiesbaden: Breitkopf und Härtel, 1954), mm. 30-34, p. 2. (All subsequent references to this source are abbreviated: p.v.s.).

14. p.v.s., mm. 36-38, p. 3.
15. p.v.s., mm. 995-1036, pp. 260-262.
16. p.v.s., mm. 181-184, p. 23.
17. p.v.s., mm. 713-781, pp. 239-245.
18. p.v.s., mm. 39-40, p. 11.
19. Ferruccio Busoni, *Sketch of a New Esthetic . . .*, pp. 90-91.
20. *Ibid.*, p. 93.
21. H.H. Stuckenschmidt, *Ferruccio Busoni: Chronicle of a European*, trans. Sandra Morris (London: Calder and Boyars, 1970), p. 105.
22. p.v.s., mm. 82-86, p. 5; mm. 168-169, p. 23; mm. 918-919, p. 91; and in mm. 105-106, p. 7, transposed to E^b/C major.
23. It should be noted that smaller portions of the scene, which contain other tonal relationships, are assumed within the framework of this figure, and that all the tonal centres are established briefly and give way rapidly to chromatic alteration.
24. p.v.s., mm. 27-34, pp. 14-15.
25. p.v.s., mm. 86-94, pp. 17-18.
26. p.v.s., mm. 892-896, pp. 184-185.
27. With lower neighbour c#, passing tone E, appoggiatura B^b. This B may be heard as an enharmonic suspension (in a viola part) or as an added 6th (with the entrance of muted horns).
28. Compare p.v.s., mm. 2-3, 6, 12-13, 16-17, and 22-23, pp. 13-14, and see Leslie East, "Busoni and van Dieren," *Soundings* 5 (1975): 52, for a comparison to van Dieren on this point.
29. p.v.s., mm. 165--circa 545.
30. Ferruccio Busoni, "The Score of *Doktor Faust*," p. 75.
31. p.v.s., mm. 316-318, p. 51; mm. 369-398, pp. 55-57.
32. Roman Vlad, "Busoni's Destiny," *The Score* 7 (December 1952): 6; Stuckenschmidt describes this as Busoni's "predeliction for note-groups that chromatically surround a central tone." Stuckenschmidt, *Ferruccio Busoni . . .*, p. 125.

33. Jane Edmister, *Five Roads* . . . , p. 17.
34. p.v.s., mm. 1-23, pp. 13-14.
35. Ferruccio Busoni, *Nocturne Symphonique*, (New York: Breitkopf und Härtel, 1914), mm. 22-26.

CHAPTER III

ASPECTS OF FORM IN DOKTOR FAUST

The turbulent changes in musical style which characterized the early decades of this century affected not only Busoni's harmony, but also the formal structures which encompassed it. His formal conception was influenced by the general decline of tonal harmony and by the nature of the harmonic language which he devised to supersede it, by innovations in the music of his contemporaries and immediate predecessors, as well as by his own esthetic principles--the doctrines of 'Young Classicism' and 'Essence and Unity in Music.' This chapter traces the effects of these influences upon *Doktor Faust*, as well as those elements of form that are unique to the work.

Jim Samson has described Busoni's harmony as the point of contact between a Germanic tradition which extended the Romantic tonal language through chromatic enrichment and functional ambiguity, and an alternative tradition represented by Mussorgsky and Debussy, which replaced functional tonality with more innovative procedures.¹ This simple historical reduction may be sound, but it fails to deal with the issue of Busoni's harmony and its formal context in *Doktor Faust*.

Form in Busoni's later music is not dependent on a consistent tonal framework, as in classical practice. Nevertheless, as we have

seen, Busoni retains the triad in his harmonic practice, and he sometimes employs triadic harmony to create temporary tonal structures. The first scene of the Last Picture is constructed in this way, for instance. A tonal centre underlies this passage; but the establishment of strong tonal centres is constantly avoided or contradicted in other parts of the opera by the procedures outlined in Chapter II. Busoni used individual sonorities to punctuate formal units; the rich chordal harmonies that accompany the entrance of the three students in the Second Prologue, and the cluster and quartal-chord harmonies of the Helena vision in the Second Picture illustrate this procedure. But he did not construct musical form for the purpose of highlighting or displaying a particular sonority.

Busoni's primary formal resources in *Doktor Faust* consist of the adoption of traditional historical forms, on one hand, and the use of thematic recall, or *Leitmotiv*, on the other. In the former sense, Busoni embodies the neo-classical movement of the time; in the latter, he is an heir to the German operatic tradition reaching back to Wagner. Busoni employed traditional vocal forms--including the *Lied* sung by Mephistopheles in the Second Picture, and the Duchess's aria from the First Picture--as well as traditional instrumental forms. Two of these instrumental forms were arranged to accommodate stage drama--a rondo form underlying the First Intermezzo and a set of free variations contained in the Second Prologue. Busoni's originality is revealed by the manner in which he employed these traditional forms in the context of the drama.

The largest sense of formal unity in *Doktor Faust* is created through a process of restating themes as related dramatic incidents are recalled. The opera is concerned primarily with the consequences of Faust's action. Thematic recollection reminds the audience of the deeds which foreshadow the fate of Faust. At the same time, a cyclical musical form is created by the restatement of these thematic ideas.

Like Wagner and Strauss, Busoni employed the *Leitmotiv* in his opera. *Doktor Faust* is a very different type of drama than the *Ring* or *Salome*, however; in it the identity of subordinate characters has less of a bearing upon dramatic structure. The drama is more concerned with incident than characterization.

Although Busoni does refer to individual characters through the use of *Leitmotiv*, he also recalls whole incidents through the innovative use of *Leitsektionen*, a term applied by George Perle to Alban Berg's opera *Lulu*. The term describes "extended formal units whose referential function is comparable to *Leitmotiv*."³ By their extended nature, these units create more than simple character associations; instead their recollection encompasses whole incidents which have a particular dramatic significance. In *Doktor Faust*, *Leitsektionen* condense these long passages into summaries of their most salient features.

Busoni partitioned sections of the Second and Last Pictures into important sequences of *Leitsektionen*. During the last of these--where the ghosts of the Duchess and the Soldier appear--Faust is shown a means to redemption through the revival of his child, and with this the need for his own immediate death. As Faust threads his way

through this scene, one realizes, with a sense of detachment, that Faust's fate has been foreshadowed if not predetermined, in earlier parts of the opera which are recalled as *Leitsektionen*. Through his union with the Duchess, he is condemned to give up his life to revive his child. Through the Soldier's death, Faust has violated the sanctity of the church and is denied God's mercy. Toward the end of the opera, Faust is simply passing through the consequences of his previous actions, toward his appointed moment of death. Even through his last act of will, the revival of the child, he does not transcend this deterministic sequence.

This interpretation is supported by a passage from Busoni's essay, "The Score of *Doktor Faust*:"

From instinct Faust aspires to union with the Duchess, not yet being conscious of the final aim himself. A reminder of the final aim is the transmission of the dead child, with Mephistopheles as courier . . . In the last picture, the vision of the Duchess makes it forcibly clear to Faust what the child signifies to him. After Faust, in his last attempt at an approach to God, has also thrown away belief, he proceeds to mystical deeds which renew his exhausted life.⁴

Although Faust's will is reborn through his child, the whole process has been prepared by the incidents recalled here.

The use of *Leitsektionen* at this particular point in the Last Picture has a special relationship to Busoni's esthetic. The recollecting process is filled with a sense of detachment--Faust's fate has been predetermined, his death is inevitable. Busoni stressed detachment and objectivity in the esthetic of "Young Classicism." In

these passages, Busoni's formal and esthetic conceptions merge.

The relationship of Busoni's esthetics to other aspects of the opera is not easily demonstrated. Busoni stated that he created forms which were complete in their own "absolute" musical terms and that the orchestral accompaniment to an opera should not be excepted from this:

. . . an opera score, whilst fitting the action, should show detached from it a complete musical picture; comparable to a suit of armour which, intended for the envelopment of human bodies, in itself exhibits a gratifying picture.⁵

The principal thing for me to do [in *Doktor Faust*] was to mould musically independent forms which at the same time suited the words and the scenic events and which also had a separate and sensible existence detached from the words and the situations.⁶

However, the forms that Busoni did adopt relate very closely to the drama; all of Busoni's formal structures are adapted to particular dramatic incidents. Busoni's insistence on "musically independent forms" is perhaps best regarded as a conscious reaction to the Wagnerian esthetic, which was so influential in the early years of this century. Despite Busoni's statements to the contrary, it is extremely hard to conceive of a complete separation of his drama and music.

Thematic recapitulation creates the strongest sense of musical unity by employing *Leitsektionen* and *Leitmotive*. This is illustrated best in the Last Picture, from Faust's entry to the end of the opera. Jarnach's completion of the opera operates on more absolute and symphonic terms when compared with Busoni's work. In the portion of the act which Busoni composed, thematic restatement for the most part relates directly to dramatic incident; themes associated with

individual characters are recalled only when those characters appear on stage. In Jarnach's completion this relationship breaks down. Faust is occupied with reviving his child; the recollections have no direct relationship to his actions. Instead they take on a purely symphonic role of recapitulation. It is only with the final appearance of the Nightwatchman that the score concentrates on the dramatic action again.

In *Doktor Faust*, music and drama are most strongly related where the music explains or presents a dramatic idea that is not explicit in the stage action. For Busoni, music was unable to portray "outward incidents and visible occurrences."⁷ In opera, the attempted, purely musical representation of elements that are readily apparent to the eye--for example, a natural phenomenon like a thunderstorm, or the identity of a specific character--was simply unnecessary and illogical.⁸ The only acceptable subject for such representation, and the only conceivable instance of where a musical accompaniment might adopt a purely dramatic logic, was the portrayal of a dramatic or psychological incident hidden from the audience--an element of plot that is confined to a character's mind, or which takes place offstage, beyond the vision of the audience. In this regard, Busoni described a "horizon of sound, an acoustic perspective, in which I frequently allow what is sung and acted behind the scenes to sound: in this way the unseen will be revealed by the hearing."⁹

Two examples of this acoustic perspective are contained in the Second Prologue to *Doktor Faust*. At Faust's behest, his creditors,

who are standing offstage, outside the door to his study, are mysteriously done away with by Mephistopheles to the accompaniment of a "knocking" motive. At this point, the musical flow is interrupted: the chords of the motive are struck like blows and followed by an ominous silence. From this point--where Faust first becomes responsible for another's death--the motive assumes an outstanding dramatic importance as a reminder of Faust's first diabolical deed.

Another example of acoustic perspective occurs as Faust signs away his soul to Mephistopheles, when a choir from a nearby church is heard intoning the Credo. The use of the chorus offstage has notable precedent in Verdi--in the last scene, Act III of *Otello*, and the tempest scene accompanying Gilda's death, in *Rigoletto*. In the first instance, the choir is used with ironical rhetoric; Iago lifts his boot to the prostrate Otello's temple, while offstage, the chorus sings praises to the "Lion of Venice."¹⁰ In *Rigoletto* the chorus sings, wordlessly, as the sound of wind from a nearing storm. This excerpt transcends the merely representational; rather, it lends a fantastic, demonic, *Freischütz*-like quality to the metaphor of approaching turmoil and disaster. The passage left an unforgettable impression upon Busoni as a child.¹¹

The chorus employed in the "Pact Scene" in *Doktor Faust* is also used in a rhetorical sense. Portions of the Credo are sung offstage as Mephistopheles demands Faust's mark upon the deed to his soul. At first Faust is reluctant; the choir gently sings the opening verses. But Faust realizes he has no choice; the creditors are dead, the deed

reckoned on his account. The choir intones harsher verses--the promise of Judgement day. Faust sees the path he has chosen, signs the pact, and falls senseless to the ground. The choir continues, crying out, "Gloria in excelsis Deo," but Mephistopheles, like Iago, is the triumphant lord.

In this passage, the chorus is used to create a specific dramatic effect. However, Busoni prepared this, in musical terms, by stating a portion of the passage in the *Symphonia*, and again in the First Prologue. This relationship is described in greater detail below, but it is important to note here that the music of the passage is related not only to the dramatic action, but to the preceding parts of the score on purely musical terms. This does not imply that Busoni's music creates an absolute, symphonic unity. It does demonstrate that some formal aspects of the work are not conditioned solely by the drama.

This paper concentrates primarily upon the relationship of music and drama in Busoni's opera. A complete illustration of Busoni's "absolute" musical criteria would entail a comparative survey of his work which is beyond the scope of this study. The relationship of drama and music in *Doktor Faust* is a much more specific topic, but one that is important for an understanding of Busoni's style.

1. *Traditional Formal Structures in Doktor Faust*

Busoni employed several traditional forms in *Doktor Faust*. While each of these retains some traditional characteristics, Busoni recast certain of them to meet a specific dramatic need.

Of the traditional formal structures employed in *Doktor Faust*, two are vocal pieces, Mephistopheles's *Lied* and the Duchess's aria; and two are instrumental pieces, a Ballet Suite which introduces the First Picture, and a Symphonic Intermezzo--a stately sarabande--which stands between the First and Second Pictures. As well, the opera contains two adaptations of instrumental forms which are arranged to incorporate dramatic events, the first Intermezzo, which stands between the Second Prologue and the First Picture and is organized along the lines of rondo form, and the passage in the Second Prologue where Faust questions the six spirits, which adopts a very free treatment of the variation form.

Doktor Faust is a moral tale; its plot stresses action, which is conveyed primarily in freely-declamatory recitative passages. The two traditional forms that encompass dramatic action, the Intermezzo and the spirit variations, incorporate this recitative into their formal structure. The *Lied*, the Duchess's aria, and the *sarabande* are employed where the dramatic action slows or is interrupted. They have a culminating effect and serve to reflect upon and summarize the plot.

Mephistopheles's *Lied* adopts a simple song form consisting of three stanzas and a coda. Aspects of the harmony contained in the song have been discussed at greater length in Chapter II. The *Lied* interrupts the tavern scene of the Second Picture, and marks that portion of the opera where Mephistopheles finally assumes overt control over Faust. By describing the Duchess's demise, Mephistopheles tenders crucial evidence for Faust's damnation (before a crowd of students who have just finished debating jurisprudence among other topics). From that point forward, Faust loses mastery of his fate. Shortly thereafter, the three students reappear to announce his impending demise.

In a similar fashion, the Duchess's aria is the turning point of the First Picture. Here, the spell Faust has cast during the preceding apparition scene reaches fruition; she is totally consumed by desire for him. The final scene of the Picture resumes the plot beyond the point of her abduction--in accordance with Busoni's distaste for staged love duets--and acts simply to tie the loose dramatic threads together.

The Duchess's aria contains several important harmonic and formal aspects that are characteristic of the whole opera. An excerpt from the first stanza, which involves a tritone relationship, has already been described in Chapter II. The aria is primarily through-composed. The contrast between stanzas is extreme in both musical and dramatic terms. The diversity of musical materials threatens to break the aria down into something approximating the recitative-like sections which

surround it, just as the framework of the opera itself can barely contain the wide range of materials it employs. Thematic recollection in the coda to the aria provides a sense of completeness. A sighing motive from the prelude, passed between voice and clarinet to "Er ruft mich . . .," returns as "Ja, ich komme . . ." (see Example 11).¹¹

Piu sostenuto

882

sord. Viol. *pp*

Clar. *dolce sosten.*

88 Herzogin

Er ruft mich...

884

sord. Cor. b2 *ppp*

Arpa

Clar.

Hin.

zieht mich...

888

Cor. *sempre pp* *m. s.* *m. d.* *m. s.* *m. d.*

sotto voce

(tritt auf die Bühne, wie im Traume schreitend, die Arme vorgestreckt)

190

Herzogin 96 (entfernt)

Ja, ich kom - me...

974

Clar. (sopra)

Viol. trem. Corsord.

Vcllo. Basso

Hrn. (entfernt)

fol - ge Dir.

978

Fl.

(Viol. allein)

pp

Example 11. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 882-890, p. 184; mm. 974-981, p. 190.

In his essay, "The Score of *Doktor Faust*," Busoni briefly described the application of traditional forms to the opera.¹² Busoni labelled the Intermezzo in which Gretchen's brother is murdered as a composition along the lines of a rondo form: "The scenic intermezzo . . . I succeeded in putting into the individual form of the Rondo, in spite of the events and moods in it, which follow one another so quickly."¹³

The rondo classification is applicable both in the contrast of instrumental resources and in the restatement of melodic material

(see Figure 3). The two active episodes of the scenario--the entrance of Mephistopheles and Faust, and the Soldier's rejection of Mephistopheles--are accompanied by the orchestra.¹⁴ Framing these episodes are passages for organ which accompany static moments of prayer and reflection. Several organ and orchestral passages are restated and thus serve both to create a rondo scheme and to act as interludes between the developmental episodes.

Another thematic relationship--the return of a theme that first accompanies a brief mention of the Soldier's sister--exposes one element of pathos not treated directly by the plot.¹⁵ Faust's encounter with Gretchen is excluded from the opera. Assuming his audience's familiarity with the story, Busoni referred to her only in passing. These passages constitute the sole reference to her in the work. The recapitulation of this theme in the final moment of the Intermezzo makes the tragedy of the soldier's death much more poignant.

Busoni described the passage in the Second Prologue where Faust conjures up the six spirits, as "a row of variations, arranged on the question and answer motive."¹⁶ He did not clarify whether the term "variations" was applied in the common musical sense or whether it applied only to a dramatic scheme. The passage contains a framework for thematic variation; it is comprised of several sections, each marked by a change of tempo, accompaniment pattern, and orchestration. The voices are arranged to move from low to high tessitura and the tempo accelerates gradually with every entrance of a new voice.

Instrumentation	Measure	Scenario	Melodic Material	Form
organ	1-71	instrumental introduction	toccata-like passage	
voice and organ	71-92	Soldier's prayer	recitative	
voice and organ	93-1924	Soldier speaks about his sister	recitative and sister theme	A
organ	129-149	interlude	interlude theme	B
orchestra	149-174	Mephistopheles and Faust enter	developmental episode	
organ and orchestra	175-181	Soldier cries out against Faust	recitative	
organ and orchestra	182-190 191-197	Soldier prays	interlude theme	B
orchestra	198-217	Mephistopheles reenters	triplet theme	C
	218-248	Soldier rebuffs Mephistopheles	developmental episode	
	248-261	battle, Soldier killed	triplet theme	C
	261-306	Mephistopheles triumphs		
organ	307-331	instrumental coda	sister theme	A

Figure 3. A formal outline of the Intermezzo.

However, the passage contains no underlying thematic material that might constitute a basis for melodic variation. Instead, it consists of toccata-like materials reducible to two planes: an underlying framework of slow-moving voices and a network of more rapidly moving figuration. Both planes characteristically develop a particular motive or theme, often sequentially and in imitation.

There are occasional suggestions of a thematic relationship between variations, but these break down after the second or third subsequent variation. For example, the first two variations are both preceded by a point of imitation--a rising interval followed by a descending scale (mm. 160-162, 188-190, pp. 42, 44). The third variation is preceded by a descending scale pattern but without imitation, and the fourth variation is introduced by a chorale-like passage without imitation or descending scale pattern (mm. 218-225, 267-277).

The whole passage is variation-like both in a dramatic sense--Faust calls, a spirit answers and is dismissed, and this sequence is repeated--and in terms of a skeletal variation structure. However, it also resembles a free fantasy--a sequence of diverse melodic ideas, the whole contained only by a recollection of the act's opening theme and by the gradual movement into a scene concerned exclusively with Mephistopheles and Faust.¹⁷

2. *Thematic Recall and Formal Experiment in Doktor Faust*

There is no single musical entity or device--a tonal or thematic relationship--that provides a complete sense of structural unity for

the whole opera. Certain dramatic ideas are set in a consistent fashion. Waterhouse, in his article, "Busoni: Visionary or Pasticheur?" described particular dramatic ideas which receive a consistent musical treatment, as follows: "It is interesting to note the analogous distribution of visionary and derivative elements in the two operas [*Die Brautwahl* and *Doktor Faust*]: in both one notes that Busoni the visionary predominates in 'supernatural' scenes . . . in *Doktor Faust* with the students from Cracow, the six spirits, etc.; while Busoni the pasticheur is given his head mainly in the more 'worldly' episodes . . . in *Doktor Faust* above all with the festivities in Parma and the wrangling Wittenberg students."¹⁸ Waterhouse held the more experimental traits of Busoni's harmony to be visionary, the more conservative to be derivative. For the most part, the use of experimental and conservative harmonies in the opera accords with the "supernatural" and "worldly" division, although Waterhouse's critical stance may be suspect.

Leitsektionen and *Leitmotive* are employed throughout the opera and create the principal sense of structural unity. The thematic recollections that are most important to the drama are outlined in Figure 4. The clearest example of the thematic recollection principle applied to material within a single dramatic scene is found in the Last Picture. It gives the first portion of the act a taut formal unity unmatched anywhere in the opera.

The dramatic framework of this act can be divided into three scenes:¹⁹ a prelude where time and location are established and dramatic

Measure	Thematic Material	Scenario
Symphonia		
1. 27-29	<i>Leitmotiv</i> underlying Faust's decline (restated in the two Prologues and three Pictures)	
2. 31-40, 88-95	group of themes (restated in the Helena vision)	
3. 80-87, 100-106	chorale theme (restated in the 1st and 2nd Pictures)	
First Prologue		
1. 90-94	<i>Clavis Astartis</i> theme (restated in Busoni's sketches for the Last Picture)	Wagner tells Faust the name of the students' book
2. 130-133	(restatement of Symphonia 1)	Faust yearns for power over men
3. 160-169	(restatement of Symphonia 3)	Faust has a moment of doubt
4. 181-185	three students' march (motives from this theme are restated at the end of the Second Prologue)	three students enter
Second Prologue		
1. 400-415 566-576	themes (restated in the Sarabande)	Faust gives up conjuring, Faust tells Mephistopheles his hopes and ambitions
2. 413-423	<i>Leitmotiv</i> : Mephistopheles's motive (restated at the end of the Last Picture)	Mephistopheles enters

Measure	Thematic Material	Scenario
Second Prologue (Continued)		
3. 812-829	<i>Leitmotiv</i> : "knocking" motive (restated in the Sarabande and in the Last Picture and at other moments in the opera)	Faust's creditors are murdered outside his door
4. 836-838	(restatement of Symphonia 1)	Faust agrees to sign pact
5. 913-919	(restatement of Symphonia 3)	Faust has another moment of doubt
Intermezzo		
1. 17-32	toccata material (restated as Faust approaches the church in the Last Picture)	introduction
2. 128-140	organ interlude theme (restated as Faust tries to pray in the Last Picture)	Soldier prays
3. 175-178	toccata material (restated with Soldier's ghost in the Last Picture)	Soldier recognizes Faust
First Picture		
1. 1-105	Polacca rhythm and themes (restated when Duchess is recalled in the 2nd Picture)	
2. 504-507	(restatement of Symphonia 1)	Faust claims the Duchess
3. 865-983	Duchess's aria (themes restated in the 2nd Picture and with the Duchess's ghost in the Last Picture)	Duchess sings under Faust's spell

Measure	Thematic Material	Scenario
Symphonic Intermezzo-Sarabande		
1. 1-9, and throughout	(restatement of Second Prologue 3 as knocking motive/ <i>sarabande</i> rhythm)	
2. 12-53	(restatement of Second Prologue 1)	
3. 54-63	(restatement of Second Prologue 2)	
4. 75-77	(restatement of Second Prologue 3 and Sarabande 1)	
5. 77-90	cello variation of Sarabande 2 (both Sarabande 4 and 5 are restated in Busoni's sketches for the Last Act)	
Second Picture		
1. 260-271	(restatement of Symphonia 1)	Faust in dejection
2. 609-781	(restatement of First Picture 1 and 3)	Faust recalls the Duchess with Mephistopheles's aid
3. 995-1072	(restatement of Symphonia 2)	Helena vision
4. 1130-1131	(restatement of Second Prologue 3)	Faust disturbs the Helena apparition
5. 1234-1272	(restatement of First Prologue 4)	three students return to announce Faust's hour of death

Measure	Thematic Material	Scenario
Last Picture		
1. 25	first motive/Nightwatchman's motive	Nightwatchman's cry
2. 56	(restatement of Last Picture 1, first motive)	students enter with Wagner
3. 119-124	(restatement of Symphonia 1)	Wagner dismisses Faust as a failure
4. 345	(restatement of Last Picture 1, first motive)	Faust enters
5. 413-437	(restatement of First Picture 3)	Duchess's ghost returns, gives Faust the body of their child
6. 440-450	(restatement of Intermezzo 1)	Faust approaches the church
7. 465-468	(restatement of Intermezzo 3)	Soldier's ghost bars Faust from church
8. 473-480	(restatement of Intermezzo 2)	Faust enters church to pray
9. 633-655	(restatement of 2nd Prologue and Sarabande 1)	Faust dies
10. 657-667	(restatement of Last Picture 1, Nightwatchman's motive)	Nightwatchman's cry, child rises and exits
11. 668-670	(restatement of Second Prologue 2, Mephistopheles's motive)	Mephistopheles enters in the Nightwatchman's garb

Measure	Thematic Material	Scenario
Busoni's Sketches: "Faust's End," material sketched but not preserved in the published score		
1.	(restatement of 1st Prologue 1)	<i>Clavis Astartis</i> theme
2.	(restatement of 2nd Prologue 3 and Sarabande 1, 4)	"knocking" motive/ <i>sarabande</i> rhythm
3.	(restatement of Sarabande 5)	cello variation of Sarabande theme
4.	(restatement of Last Picture 1, first motive)	"That house, I know it well"

Figure 4. Major *Leitmotive* and *Leitsektionen*. restated in *Doktor Faust*

background is filled in, a central scene where Faust is assailed by visions from the past and receives the body of his dead child, and a final scene where he accepts death as his fate and passes his life to his child. In the first scene thematic recollection is employed within the section, unlike the scenes after Faust's entry, which employ themes from other acts. Figure 5 outlines the scenario of the Last Picture, as well as the principal key areas, and the melodic relationships contained within the act. Those thematic relationships which span acts will be discussed later.

A simple motivic idea permeates much of the first scene. This motive appears most often in one of two forms. Both consist of a scale fragment spanning a third, usually a minor third. However, after the third is reached, one form of the motive returns to the first note of the pattern, the other to the semitone below that pitch (see Example 12).

The first of these motives accompanies the voice of the Nightwatchman in the initial part of the scene. The harmony of the passage is centred around C, in particular C minor where the Nightwatchman sings. The motive appears throughout this passage until the entrance of Wagner and his students. The harmony shifts abruptly to A major at this point.²⁰

A variation of this motive now appears with the first words of a student (see Example 13).²¹ This new form of the motive governs that part of the student scene in which Wagner is present. At his departure the original motive reappears in a slightly altered form--

Measure	Scenario	Tonal Structure	Thematic Material
1-15 16-24	orchestral intro	C major	motive in m. 2 motive in m. 16 (as in m. 2) and in mm. 22, 23, 24
25-55	Nightwatchman's cry	C minor	motive in accompaniment and voice
56-78	students and Wagner enter	A major	motive in orchestra
79-89	First student sings	A minor	variation of the motive
90-91 92-94 95-101	students sing in unison	A major C major cadence to unison A	variation of the motive variation of the motive in stretto imitation
102-107	Wagner's speech		new material
108-117	students	F minor	variation of the motive in stretto imitation
118-146	students and Wagner	F/F# major	
146-152	Wagner departs	A major	first restatement of material: return of mm. 57-61
153-154	students prepare to sing	F ⁷ chord	
155-186	ritornello	F to B ^b major	new material
187-220	serenata	B ^b major	new material
221-274	ritornello with Nightwatchman's song	B ^b major	second restatement of material: return of mm. 30-53 above the ritornello

Measure	Scenario	Tonal Structure	Thematic Material
275-290	serenata	B ^b major	
291-296	students	A major	new material
297-330	students and orchestra, students depart	C minor	developmental episode
331-344	orchestral interlude		
345-380	Faust enters	C minor	third restatement: return of m. 25 in the bass
end of scene one, beginning of scene two			
380-412	chorus and organ	E minor	
413-439	Duchess and child		complex of restated themes
439-453	Faust	B ^b major	
454-464	chorus, Soldier appears	D major	
465-472	Soldier disappears	G pedal	
473-507	Faust attempts prayer	D ^b pedal	
Jarnach's version starts m. 495			
508-541	Faust realizes his fate		periodic return of the motive
542-550	orchestra	C minor/major	fourth restatement: mm. 1-4, 22-24

Measure	Scenario	Tonal Structure	Thematic Material
	end of scene two, beginning of scene three		
551-559	Faust prepares for death		restatement of themes from the Second Prologue, not literal quotation
560-655	Faust passes his life to the child		development of themes from previous acts, return of the motive
656-682	entrance of Mephistopheles as the Nightwatchman	A ^b major/minor, cadence to E ^b minor	return of the motive in two versions

Figure 5. The scenario, tonal structure, and thematic material of the Last Picture. Tonal structure indicates the predominant tonal centre. The division into scenes is the author's and is not indicated as such in the score. In this and subsequent figures, the bracketed numerals refer to the order of themes as they appear first in the opera.



Example 12. Two related motives from the Last Act, the Nightwatchman's motive and Mephistopheles's motive.

Poco meno vivace 8

An-tritts-re-de Eu-e-rer Magni-fi-zenz war un-ver-gleich-lich-

p Archi

Ob. Clar.

Fag.

79

a -

Example 13. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 79-82, p. 283.

the first conspicuous recapitulation of material in the act.²² This passage precedes another abrupt harmonic shift--a modulation again through a mediant relationship, A to F major, and then onward to a B-flat region.²³

The dramatic flow is interrupted here by another of the traditional vocal forms contained in the work--a choral *serenata* complete with *ritornelli*, sung by the students at Wagner's departure. Except for the appearance of the Nightwatchman during the second *ritornello*, this material contains no thematic references to other parts of the opera. It serves as a transition between Wagner's exit and Faust's entrance. As Faust appears, the first motive and the key of C minor return.²⁴

Busoni restated melodic ideas from other acts in the ensuing scene, but unlike the first scene, no significant recapitulation of material from within the act is contained in his manuscript. In completing the work, Jarnach chose to restate material from the first scene. At the moment where Faust recognizes and becomes reconciled to his fate, the first motive returns in inner parts,²⁵ and after a brief interlude, two passages from the orchestral introduction are restated almost exactly (see Example 14).²⁶ This restatement marks the beginning of the final scene in the same way that the restatement of the first motive at Faust's entry marked the beginning of the second scene.

The restatement of a chorale-like passage from the Symphonia in the two Prologues is the most significant thematic recollection which does not span an important division between the first two Pictures (see Figure 6). The two incidents linked by this restatement are both moments of doubt for Faust: the first, before the entry of the three students from Cracow, and the second, before Faust signs the pact with Mephistopheles (where the choir enters into the Second Prologue). The recollected passage is a chorale setting.

Largamente (♩ wie zuletzt)

Faust 54 *rit.*

So sei das Werk voll en-det.

Viol. Tr. *mf*
Fag. Bassi *pp*

Andante non troppo lento

Ob. C.ingl. *p* Archi pizz. *ff* Vello. Basso *m.s.* Viol. Clar. *mf* Archi Tramb. *mf*

Fag. *p* Tuba, Bassi *m.s.* Timp.

813

55

F. Hilf, — Sehn — sucht Ur

649 *dolce espr.* *cresc.*
Cor. Ve. *mf* Bassi Timp.

Example 14. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 538-552, pp. 312-313.

Symphonia	mm. 68-87, pp. 4-5, mm. 96-107, pp. 6-7 --in the latter, cadence transposed to E ^b /C
First Prologue	mm. 160-169, pp. 22-23
Second Prologue	mm. 886-922, pp. 87-91

Figure 6. Theme restated from the Symphonia into the First and Second Prologues.

The clear, major key quality of the chorale theme is framed in all three passages by materials of more harmonic complexity, especially in the Symphonia, where the excerpt is surrounded by concentrated chromatic material. In the two prologues, this contrast is amplified, in dramatic terms, by the agitation which surrounds Faust as he wrestles with the choice between salvation and damnation.

On both occasions, Faust is faced with the choice of either turning back to God--in the guise of the chorale theme--or turning to sorcery. Once the choice is made, the possibility of salvation is eliminated; these themes are no longer relevant and are not restated again.

The recollection of material from one act to another is most significant dramatically where it spans the border between the First and Second Prologues. A period of one year separates the picture of Parma from the picture of Wittenberg. By the end of that period a dispirited and exhausted Faust is in decline and Mephistopheles is ascending from the role of servant to master. The return of the three students at the end of the Second Picture is the simplest

association drawn across this boundary. The recollection is brief; it restates only a motive derived from the march and a sequence of fifths which marked the students' initial departure (see Figure 7).

First Prologue

- (1.) mm. 186-189, pp. 23-24
--motive
- (2.) mm. 235-238, p. 28
--descending fifths

Second Picture

- (1.) mm. 1233-1238, pp. 274-275
- (2.) mm. 1271-1273, p. 278

Figure 7. Themes restated from the First Prologue into the Second Picture, associated with the three students.

The six major divisions of the opera have one theme in common, restated once in each of them. It is the first melody of any chromatic complexity in the Symphonia and disrupts the placid quality of the opening by introducing the first region of harmonic turmoil (see Example 15 and Figure 8). The theme returns in the First Prologue with the first statement of Faust's lust for power. It accompanies the signing of the pact in the Second Prologue, Faust's claim upon the Duchess in the First Picture, and his philosophical denial of the possibility of any accomplishment before the students in the Second Picture. The final appearance of the theme accompanies Wagner's denunciation of Faust in the Last Picture (at that moment an all-too-probable assessment of Faust's legacy). The appearances of the theme

La metà di tempo, 12/8
(Sostenutissimo = ♩)

27

Clar.

Viola

p *mf marc*

Example 15. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 27-29,
p. 2.

Symphonia	-- mm. 26-29, p. 2.
First Prologue	-- mm. 130-135, p. 21
Second Prologue	-- mm. 836-838, p. 82
First Picture	-- mm. 504-507, p. 159
Second Picture	-- mm. 262-271, p. 212
Last Picture	-- mm. 119-127, p. 287

Figure 8. *Leitmotiv* underlying Faust's decline.

taken together form a *Leitmotiv* underlying Faust's decline. The theme has a sense of menace and foreboding wherever it occurs, the result of both its context and individual melodic profile.

The rhythmic motive which occurs as Faust's creditors knock on his door in the Second Prologue is a *Leitmotiv* that has a strong association with Faust's damnation. The deaths of the creditors are the first for which Faust must take responsibility. Whenever the *Leitmotiv* recurs it recalls that incident. This *Leitmotiv* is based on the typical rhythm of the Baroque *sarabande*, stressing the second beat of the measure; here Busoni's appropriation of traditional materials is tied to a specific dramatic purpose. This material is recalled at the end of the Second Prologue (mm. 1032-1034, p. 103) and at the end of the Second Picture (mm. 1281-1282, p. 279). In Jarnach's completion of the score it ends the Helena vision (mm. 1130-1131, p. 267) and is also present during the final moments of the opera.

This particular rhythmic pattern forms the basic material of the Symphonic Intermezzo-Sarabande which falls between the First and Second Pictures. Unlike the Intermezzo that precedes the First Picture, this movement contains no staged action. Instead it recalls various incidents from the Second Prologue which led to the signing of the pact between Faust and Mephistopheles, and thus foreshadows Faust's inevitable demise as a result of that agreement.

The movement falls into two sections which are outlined in Figure 9. Three *Leitmotive* from the Second Prologue are restated in addition to the knocking motive. Statements of this motive, taken

Measure	Thematic Material	Formal Structure
1-11	<i>sarabande</i> rhythm (knocking motive from mm. 812-829, p. 81)	introduction
12-21	theme from the point in the Second Prologue where Faust gives up conjuring the spirits (mm. 400-413, pp. 57-58)	Part I: A
22-40	variation of the above	A ¹
40-44	theme from the point in the Second Prologue where Faust tells Mephistopheles his hopes and ambitions (mm. 566-577, pp. 68-69)	B
45-53	variation of the above	B ¹
54-64	motive from Mephistopheles's entrance in the Second Prologue (mm. 415-423, pp. 58-59)	
64-74	A material, varied freely	Part II: A ²
75-77	<i>sarabande</i> rhythm/knocking motive	interlude
77-90	A theme in variation (solo cello)	A ³
91-94	<i>sarabande</i> rhythm/knocking motive	interlude
94-99	new material	C
100-109	variation of <i>sarabande</i> rhythm	coda

Figure 9. The Formal Structure of the Sarabande

here as the *sarabande* rhythm, introduce the movement. These are followed by a melodic line restated from the passage in the Second Prologue where Faust gives up the questioning of the spirits, immediately after the exit of the fifth spirit. A melodic line, built more closely upon the *sarabande* rhythm, follows. It recalls the moment when Faust tells Mephistopheles his hopes and ambitions. The last of these recollections is a motive that accompanies Mephistopheles's entrance. The second section of the movement restates and varies these *Leit-motive*. It also presents a new theme before closing with a series of chords built again upon the *sarabande* rhythm.

The *sarabande* rhythm underlies the whole movement, but when it is stated alone it creates concentrated dramatic associations. In the second part of the movement, before the cello begins a mournful variation, the motive has a bright, hopeful quality. It is restated after this variation, but at that point it takes on a more serious appearance with a change in orchestration. Finally the rhythm returns softly in the coda. It follows a sequence of strongly dissonant chords which foreshadow the frightening events to come.

In the Helena vision, a group of *Leitsektionen* are recalled and combined to form one unit. As Helena appears, a chromatic scale rises out of the violins and bassoons (see Figure 10). The scale becomes thickened into a string of cluster chords with the addition of voices in parallel motion. As Faust speaks, these lines separate into quartal chords. He repeats his words to the accompaniment of a soaring violin melody. The first two of these themes are combined

Symphonia

- (1.) mm. 32-35, pp. 2-3; mm. 91-93, p. 6
--rising chromatic line
- (2.) mm. 33-36, pp. 2-3; mm. 88-92, pp. 5-6
--violin melody
- (3.) mm. 36-38, p. 3; mm. 93-96, p. 6
--cluster chords

Second Picture

- (1.) mm. 995-1001, p. 260; mm. 1031-1046, pp. 262-263
- (2.) mm. 1002-1021, p. 261; mm. 1037-1073, pp. 262-265
- (3.) mm. 1021-1036, pp. 261-262

Figure 10. Themes from the Symphonia restated in the Helena vision in the Second Picture.

as the vision grows more intense (see Example 16).

The excerpt restates a group of themes from the Symphonia, in highly abridged form. The individual character of the themes are much more concentrated than those of other themes in the opera in terms of harmony and melodic profile. And unlike most other musical ideas recalled in the work, these carry no particular dramatic association up to the point at which they are restated. They originate in a purely instrumental part of the opera; like Helena, they are recalled from a world outside Faust's realm.

Three interlocking dramatic units, all containing thematic restatement, create a concentrated sense of recollection near the

end of the Second Picture. In these individual units, several melodic ideas from various parts of the opera are combined to create one specific recollection. Three of these recollections overlap to create the interlocking structure; before one recollection is dealt with completely another related one has begun (see Figure 11).

(Durch Rauch und Flamme treten die Umrisse der Figur stetig deutlicher hervor) Fl.

993

pp

Vle.
Fag.

pp m.d.

Faust

74

tutto dolciss.

Celesta
Viol.

Un - er - kann - te,

1000

Cor. a. sord.
ten.

dim.

pp

Tr.

non cresc.

Cl. b.
Fag.

pp sempre due Pedale

F.

Un - er - reich - te, Un - er - kann - te, Un - er -

1007

Arpa
Bassi

75 261

F. reich . . te, Un . er . füll . . . te, tritt her . vor!

1014 *m.d.* Viol. Archi. Fag. *m.s. sempre pp*

F. Un . . . er . . kann . . . te,

1022

F. Un . . . er . . reich .

1025 *dolce, ma con calore* Fl. *espr.* Ob. *espr.*

F. te, Un . . . er . .

1028 *espr.*

Example 16. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 993-1030, pp. 260-261.

	mm. 609-661, pp. 229-230 --Faust recalls the Duchess
Duchess complex	mm. 662-708, pp. 230-239 --Mephistopheles enters
	mm. 709-781, pp. 239-245 --Mephistopheles's <i>Lied</i>
Mephistopheles's complex	mm. 815-918, pp. 248-256 --Mephistopheles calls upon Helena to appear
Helena complex	mm. 919-930, pp. 256-258 --Mephistopheles exits with the students
	mm. 995, p. 258 --Faust is left alone at the start of the Helena vision

Figure 11. Interlocking complexes of thematic restatement in the Second Picture.

The first of these units restates themes from the Cortège and the First Picture which have a particular association with the Duchess, as Faust at the behest of the students in a Wittenberg tavern tries to bring her back from his memory (see Figure 12). Faust's hazy reminiscences are interrupted abruptly at Mephistopheles's entrance, the beginning of a second interlocking unit. His entry is set to a new theme in C and A major. Within this unit is the last reference to the Duchess--Mephistopheles's *Lied*, which burlesques the stately *Polacca* rhythm of the Cortège as he recounts the Duchess's demise at Faust's hands. The beginning of the Helena vision introduces the third unit. The return of Mephistopheles's entrance theme, this time

Cortege

- (1.) mm. 1-100, pp. 123-30
--Polacca rhythm
- (2.) mm. 23-26, p. 124
--descending triad outline
- (3.) mm. 28-41, p. 125; mm. 62-77, p. 128
--bass moves in semitones beneath Polacca material

First Picture

- (4.) mm. 883-884, p. 184
--clarinet and voice sigh motive

Second Picture

- (1.) mm. 609-616, p. 229
- (4.) mm. 611-616, p. 229; mm. 620-622, 627-628, p. 230
- (2.) mm. 619-627, p. 230
- (3.) mm. 631-645, pp. 230-232

Figure 12. Themes from the Cortege and First Picture restated to recall the Duchess in the Second Picture.

in C and A minor and now accompanying his exit with the students, completes the second unit. Faust is left alone with the Helena vision.

The three dramatic ideas contained here are interrelated. Faust begins the reminiscence; Mephistopheles completes it by introducing the body of Faust's child. From its remains, he draws forth one final and culminating temptation for Faust.

Busoni left the continuation of the Helena vision incomplete. In the published version of the score Jarnach chose to restate several themes from the Second Prologue, one of which is the "knocking" motive that accompanies the death of Faust's creditors (see Figure 13).

Second Prologue

- (1.) mm. 52-59, p. 33
--descending line, dotted rhythms
- (2.) mm. 160-162, 188-190, pp. 42, 44
--points of imitation
- (3.) mm. 463-467, 474-468, pp. 62-63
--rising vocal lines
- (4.) mm. 812-814, p. 81
--knocking motive

Second Picture

- (1.) mm. 1099-1105, p. 266
- (2.) mm. 1105-1109, pp. 266-267
- (3.) mm. 1130-1131, p. 267
- (4.) mm. 1137-1142, p. 268

Figure 13. Thematic restatement in Jarnach's version of the Helena vision.

Faust reaches for Helena, but as he nears her the vision disappears. Faust reaches forward but his goals are illusions. The return of the "knocking" motive emphasizes his failure and recalls the debt he owes Mephistopheles.

The Last Picture contains a large recollection sequence, dealt with briefly in the first section of this chapter. Just after his entry into the act Faust is assailed by the ghosts of the Duchess and the Soldier, the two principal characters in the opera whose deaths are Faust's direct responsibility. When the Duchess appears, the sigh motive and the extended introductory melody from her aria are restated (see Figure 14 and Example 17). When the Soldier's

First Picture

- (1.) mm. 865-883, pp. 182-184
- (2.) mm. 883-888, pp. 184
--sigh motive

Last Picture

- (2.) mm. 414-428, p. 305
- (1.) mm. 417-418, 429-437, pp. 305-306

Figure 14. Duchess's themes restated in the Last Picture.

spirit bars Faust's path to the church, the toccata-like material which opens the Intermezzo is restated (see Figure 15). After a brief choral interlude, Faust forces his way into the church. His agitated accompaniment appeared first in a passage in the Intermezzo

where the soldier recognizes him. Faust, with child in arm, moves to the crucifix to pray and the prayer theme of the Intermezzo is recalled (see Example 18).

de, voll.en.de Du vor Mit.ternacht das Werk, voll

(beginnt zu schwinden) 43

en.de, voll.en.de--- vor Mit.ternacht---

(ist verschwunden)

smorzando 44 Allegro

Example 17. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 425-441, pp. 305-306.

Intermezzo

- (1.) mm. 17-33 et passim, pp. 105-107
--toccata-like material
- (2.) mm. 129-143, p. 109; mm. 183-197, p. 114.
--prayer theme
- (3.) mm. 175-181, p. 113
--Soldier recognizes Faust

Last Picture

- (1.) mm. 440-449, pp. 306-307
- (3.) mm. 465-472, pp. 308-309
- (2.) mm. 473-500, pp. 309-310

Figure 15. Themes from the Intermezzo restated in the Last Picture.

Here, the recollection of themes serves to identify the characters involved, but the whole complex also acts to blend the individual elements together into a unit. Those dramatic events that contributed most to Faust's damnation are recalled together, in a sense as if his life were flashing before his eyes in the moments before death.

Busoni's manuscript breaks off in the middle of this recollection complex, but the sketches for *Doktor Faust* continue briefly beyond the point where the manuscript stops.²⁷ They suggest that Busoni would have created a different continuation from that which Philipp Jarnach realized in his completion of the opera. The evidence in the

47

Un poco ritenuto
(Die Erscheinung schwindet)

F. be . ten. Zer . ge . he, du Höl . lenspuk, noch — bin ich Herr! —

nein, nein!

nein, nein!

47

Un poco ritenuto

Viol. Fl. Ob. *p*

Cl. basso

Fag. Viola

Basso

(Faust schleppt sich, das Kind im Arm, zu den Stufen des Kreuzifix)

48

F.

475

Trum.

Example 18. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 469-480, p. 309.

sketches takes the form of musical materials and plans written in the margins.

The most pertinent sketch is contained in a sheaf of six entitled "Faust's End." A resemblance to the piano-vocal score can be discerned in the last of these, "Faust's End 6," a portion of which

is reproduced in Figure 16.²⁸ The lower stave of the first system

[m. 492, p. 310]

The image shows a handwritten musical score for 'Faust's End 6.' It consists of several systems of staves. The first system has two staves: a treble clef staff with a key signature of one sharp (F#) and a common time signature (C), and a bass clef staff. The treble staff contains a melodic line with many slurs and accents. The bass staff contains a bass line with some dynamics like 'p' and 'f'. The second system continues the bass line. The third system shows a vocal line with lyrics: 'O be ten [lass mich beten]'. Above the vocal line is the instruction 'Trbn Solo'. Below the vocal line is the instruction '[beten]'. The fourth system is a violin part labeled 'vln'.

[m. 496, p. 310]

Trbn Solo

O be ten [lass mich beten].

[beten]

vln

Figure 16. A portion of the sketch, "Faust's End 6."

in this sketch contains a restatement of the organ interlude theme from the Intermezzo. In the scenario, this excerpt is recalled just after Faust has overcome the Soldier's ghost and enters the church to pray. The system beneath this contains Faust's plea "O beten" [Oh pray].²⁹ This particular vocal line ends on A-flat, which corresponds in the published score with the A-flat of m. 496, p. 310.

At this point the resemblance of the sketch to the published score breaks down. Trombones enter with new material, a version of the *Clavis Astartis* theme which accompanied the opening of the First Prologue (see Example 19).³⁰ This theme is followed immediately by the start of a recollection from the Sarabande. The material in the sketch preserves the *sarabande* rhythm in diminution.³¹ The final theme sketched, which starts in eighth notes under an orchestral indication for either violas or violoncelli, resembles a variation of a theme--scored for solo cello--contained in the Sarabande and which is preceded in that movement by several statements of the *sarabande* rhythm (see Example 20).³²

The identity of the Sarabande recollection is assumed not only from the resemblance of these musical materials but also from the plans for continuation drawn in the margins to the sketches. The sketch, "Faust's End 3" serves as an example of Busoni's planning procedure. It contains a plan at the bottom of the page, which is reproduced in Figure 17.

23 (mit Wichtigkeit)

W. trägt einen son - der - li - chen Ti - tel: „Cla - vis A - star - tis Ma - gi -

89 Fag. Vello. pizz. Flati *p* marc.

18 Faust (in höchster Überraschung)

Clavis A - star - tis - ! Irrt Ihr Euch nicht?

W. ca. Viol. (a tempo, agitato) Cor. Cl. basso Fag.

Example 19. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 89-96, pp. 17-18.

73

Fl. *p* *ten.*

ppp Viol.

Archi

Vcllo.solo *sotto voce ma espn.*

78

Archi *pp*

8

Example 20. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 73-80, p. 198.

[a] Später folgt: Orgelvorspiel-Erinnerung im Chor (mit Posaunen u. Pauken), dann	Folgt Agitato (aus toccato II) mit Antwort in Bläsern
[b] Gebet des Bruders nachgebildet	
Later Follows: Organ prelude recollection in Chorus (with trombones and timpani) then Prayer of the Brother reproduced	Follows Agitato (from toccata II) with reply in winds

Figure 17. Compositional plan contained in the sketch, "Faust's End 3."

Plan A refers to an Intermezzo theme which is recollected as Faust--with child in arm--moves toward the church. It also refers to the entrance of the chorus (with trombones and tympani) as the Soldier's ghost appears.³³ Plan B refers to another Intermezzo theme restated at the moment when the Soldier's ghost forbids Faust to enter the Church.³⁴

"Faust's End 5" contains the plan reproduced in Figure 18. The large "S" is probably the first reference to the Sarabande recollection discussed above. The "organ postlude" referred to is another recollection from the Intermezzo, which is recalled as Faust overcomes the Soldier's ghost and enters the church; this is the last of Busoni's sketched recollections to survive to the published score.³⁵

auch S[arabande]
vom Alb. bl. III

orgelnachspiel-Sarab^{de} Übergang (Des)
mit VC-Solo (mit Recitative)

Also S[arabande]

from III of *Three Album Leaves*

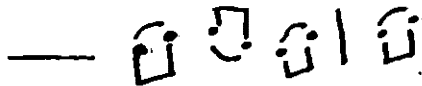
organ postlude-Sarabande transition D^b
with violincello = solo (with recitative)

Figure 18. Compositional plan contained in the sketch, "Faust's End 5." The continuation of this plan was indecipherable in the microfilm consulted.

The "Sarabande transition" alluded to is almost certainly the cello solo passage contained in the sketch, "Faust's End 6," the Sarabande recollection discussed above.³⁶ The word "Recitative" refers to an idea which was sketched in very roughly at the bottom of the sixth sheet (not included in Figure 14).

Busoni sketched a brief plan in the margin to "Faust's End 6," which is reproduced in Figure 19. The plan projects a review of material from an earlier part of the act, material associated with Faust's entry and the line, "That house, I know it well," and possibly the return of the motive which occurs at that point.

Recitat mit Sarab^{de}
im carattere pui appass.



_____ N.S. erhoben

Verrisses
das Haus ist mir bekant

Recitative with Sarabande
in pui appassionato character

_____ plan for the basic eighth-note rhythm
of the excerpt

_____ *N[octurne] S[ymphonique]* raised
review
"That house, I know it well"

Figure 19. Compositional plan contained in the sketch, "Faust's End 6."

Busoni's sketches broke off before Faust's long final monologue, but they suggest that he would have restated a different group of themes from that which Jarnach restated in his completion. Part of Jarnach's score, to the beginning of Faust's monologue, was described above in relation to Example 14. In the final scene, which begins in m. 545, Jarnach recalled themes freely, blending them together in a symphonic fashion not directly related to the stage action.

Jarnach completed the opera with a final recollection of material from Busoni's score--the two motives associated with Mephistopheles and the Nightwatchman, which differ only slightly from each other (discussed above in reference to Example 12). Both forms of the motive are present in the first scene of this act, but the form which returns to the starting pitch has a stronger association with the Nightwatchman. The other form of the motive appears first where it accompanies Mephistophele's entry into the Second Prologue. In Jarnach's version of the score, the use of these two motives in the final measures of the work underscores a subtle dramatic point, one with far reaching implications. After Faust's death, the voice of the Nightwatchman is heard singing his motive (see Example 21). His speech is followed by a point of imitation, pianissimo, again using his motive. But as the Nightwatchman appears on stage, Mephistopheles's motive is struck, sforzando (see Example 22). In the Nightwatchman's garb and holding a lantern as he bends over Faust's body is Mephistopheles. The devil, not the Nightwatchman, has been crying out the hours to Faust's demise.

67 Die Stimme des Nachtwächters *Piu mosso* ($\text{♩} = \text{♩}$)
 (die Viertel schneller als vorher die Halben)

Ihr Män-ner und Frau-en, laßt euch sa-gen,

652 Cor. Viola
 sord. Vcllo. *morendo* *pp* Timp.
 Basso

N. Fag. das Wet-ter hat um-geschla-gen. Der Frost kündet sich an. Die Glockeschlägt die

660

Example 21. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 652-664,
 p. 318.

Jarnach was left with a difficult task. The manuscript broke off at a crucial moment, the point just before Faust accepts his damnation.³⁸ Jarnach chose to recapitulate material freely, in an elaborate form through to Faust's death. This breaks with Busoni's practise of almost literal restatement, where each recollection marks a separate fragment of the scenario, beginning with the return of the Duchess.

319

68

(Während dieser Strophe ist an der Stelle, wo das tote Kind lag, ein nackter halbwüchsiger Jüngling aufgestiegen, einen blühenden Zweig in der Rechten. Mit erhobenen Armen schreitet er über den Schnee in Quasi stringendo)

N. Mit - ter - nacht.

665

die Nacht und in die Stadt hinein) **Etwas schleppend** (Der Nachtwächter (Mephistopheles) erscheint und leuchtet mit der Laterne über den dahingestreckten Faust)

668

69

Der Nachtwächter (Mephistopheles) (gesprochen, frei, aber deutlich betont) *etwas gedehnt*

Soll - te die - ser Mann ver - un - glücklich sein?

671

Example 22. Ferruccio Busoni, *Doktor Faust*, p. v. s., mm. 665-674, p. 319.

Jarnach's version recognizes a change in plot which begins with Faust's "Verdamnis!" The dramatic aspect of recapitulation was complete at that point. All the evidence for Faust's damnation had been tendered, as well as the means of salvation in the guise of

his child, but the process of tying together the thematic interplay was still incomplete. Jarnach recognized the division between the dramatic and musical cadences. He seized upon an idea in the scenario which would serve as both a dramatic coda and a musical climax--the return of Mephistopheles as Nightwatchman and the contrasting of their respective motives.

End-notes to Chapter III

1. See Jim Samson, *Music in Transition* (London: J.M. Dent, 1977), p. 19.
2. George Perle, "Lulu: The Formal Design," *Journal of the American Musicological Society* 17:2 (Summer 1964): 183.
3. Ferruccio Busoni, "The Score of Doktor Faust . . .," pp. 71-72.
4. Idem, "The Oneness of Music and the Possibilities of the Opera," *Essence of Music . . .*, p. 6.
5. Idem, "The Score of Doktor Faust," *Essence of Music . . .*, p. 73.
6. Idem, "The Oneness of Music . . .," p. 5.
7. Idem, *Sketch of a New Esthetic*, p. 83.
8. Ibid., "The Score of Doktor Faust . . .," p. 75.
9. I am indebted to Dr. Kinderman for the analogy between *Doktor Faust* and *Otello*.
10. Ferruccio Busoni, *Letters to His Wife*, trans. Rosamond Ley (New York: Da Capo Press, 1975), p. 130.
11. See Ferruccio Busoni, *Doktor Faust*, Breitkopf und Härtel piano vocal score 5289 (Wiesbaden: Breitkopf und Härtel, 1954). All subsequent references to the piano score are abbreviated: p. v. s., mm. 883-889, p. 184; mm. 974-982, p. 190.
12. Idem, "The Score of Doktor Faust," *The Essence of Music and Other Papers*, trans. Rosamond Ley (London: Rockcliff Publishing, 1957), pp. 72-76.
13. Ibid., p. 76.
14. P. v. s., mm. 149-174, pp. 110-113 and mm. 198-306, pp. 114-122, respectively.
15. P. v. s., mm. 93-124, p. 198 are restated as mm. 307-320, p. 122.

16. Idem, "The Score of *Doktor Faust*," p. 75.
17. P. v. s., mm. 369-389, pp. 55-56; and circa mm. 529-542, pp. 66-67, respectively.
18. Waterhouse, John C.G., Busoni: Visionary or Pasticheur?" *Proceedings of the Royal Music Association* 92 (April 1966); 92.
19. The division into scenes is the author's and is not indicated as such in the score.
20. P. v. s., m. 56, p. 282.
21. P. v. s., mm. 79-80, p. 283.
22. P. v. s., mm. 57-61, pp. 282-283 are restated as mm. 146-149, pp. 288-289.
23. P. v. s., mm. 153-186, pp. 279-281, to m. 187, p. 291.
24. P. v. s., mm. 345-358, pp. 301-302.
25. P. v. s., mm. 501-511, 519-520, 531-532, pp. 311-312.
26. P. v. s., mm. 22-24, 1-4 are restated mm. 542-544 and 547-550, pp. 312-313.
27. Busoni's orchestrated manuscript breaks off at P. v. s., m. 492, p. 310. Ferruccio Busoni, *Doktor Faust*, Fotokopie des im 2. Weltkrieg verbrannten Autographs der Partitur. (Berlin: Deutsche Staatsbibliothek, Busoni-Nachlass-Nr. 346.)
28. P. v. s., m. 492, p. 310.
29. The continuation of the words as they are preserved in the published version (with the interpretation of an added "beten"), but adapted to the rhythm of the sketch, is inserted editorially beneath the relevant stave in the figure.
30. P. v. s., mm. 90-93, p. 17.
31. P. v. s., mm. 75-77, p. 198.
32. The cello passage was itself a recollection, a variation of the Sarabande theme, mm. 12-15, p. 195, which in turn originally accompanied Faust's pact with Mephistopheles, mm. 566-576, p. 68 and mm. 599-602, p. 70 (like the knocking motive which precedes it).

33. P. v. s., mm. 16-23, p. 105 are restated as mm. 440-449, pp. 306-307; the chorus passage is mm. 454-464, pp. 307-308.
34. P. v. s., mm. 175-181, p. 112 are restated as mm. 465-472, pp. 308-309.
35. P. v. s., mm. 129-143, p. 109 are restated as mm. 473-495, pp. 309-310.
36. The reference beneath it is to the third of Busoni's *Three Albumleaves for Pianoforte*, a setting of the chorale tune "Christ lag in Todesbanden," which is quoted just prior to the appearance of the Duchess's ghost, p. v. s. mm. 381-498, pp. 303-304. See Guido Guerini, *Ferruccio Busoni: La Vita, La Figura, L'Opera* (Florence: Casa Editrice Monsalvato, 1944), pp. 335-337 contain a facsimile of the third Albumleaf. A sketch of it entitled "Mir Selbst Zum Geburtstag," presumably from April 1, 1921, is contained at the end of the sheaf entitled "Faust's End." The relationship of the *Three Albumleaves* has been documented briefly in Jürgen von Kindermann, *Thematisch-chronologisches Verzeichnis der Werke von Ferruccio Busoni* (Regensburg: Gustav Bosse, 1980), pp. 349-350. Material from the "Second Albumleaf" was used to accompany the apparition of John the Baptist and Salome in the First Picture.
37. P. v. s., m. 520, p. 311.

SELECTED AND ANNOTATED BIBLIOGRAPHY

Thematic Catalogues and Indices

"
 Kindermann, Jurgen von. *Thematisch-chronologisches Verzeichnis der Werke von Ferruccio Busoni*. Regensburg: Gustav Bosse, 1980.

The most complete catalogue of Busoni's compositions and arrangements. Contains thematic incipits for all works including larger divisions of operas; publication and manuscript information; brief bibliography contained separately but referred to in individual citations.

Bibliographies

Giovanni, Joseph di. "Ferruccio Benvenuto Busoni: A Bibliography." Bibliography from Yale University, November 1976, unpublished. (Typewritten.)

Annötated survey of Busoni materials. Provided by Dr. Kinderman.

Thompson, Kenneth. "Ferruccio Busoni." *A Dictionary of Twentieth-Century Composers*. London: Faber and Faber, 1973.

Catalogues Busoni's work, lists performance details. Good, very complete bibliography for individual works and for general Busoni material.

Essays by Busoni

Busoni, Ferruccio. *Entwurf einer neuen Aesthetik der Tonkunst*. Trieste: 1907; in *Scritti E Pensieri Sulla Musica*. Translated and edited by Luigi Dallapiccola and Guido M. Gatti. Firenze: Felice Le Monnier, 1941; and in *Sketch of a New Esthetic of Music*. Translated by Th. Baker. New York: Schirmer, 1911. Reprinted in *Three Classics in the Aesthetic of Music*. New York: Dover, 1962.

_____. *Über die Möglichkeiten der Oper and Über die Partitur des "Doktor Faust."* Leipzig: Breitkopf und Hartel, 1926. 2nd edition, Wiesbaden: Breitkopf und Hartel, 1967; in *The Essence of Music and Other Papers*. Translated and edited by Rosamond Ley. New York: Dover Publications, 1957; and in *Scritti E ...*, ed. Dallapiccola.

Various collections and editions of Busoni's essays. Ley's is the most complete, but the translation is questionable. Ley lists the essay "The Future of Opera" as being extracted from the *Entwurf einer neuen Aesthetik der Tonkunst* written in Berlin, March 1913. The *Entwurf ...* dates from 1907 (see: Helmut Wirth, "Busoni, Ferruccio," *Groves VI*, vol. 3, p. 511.) The passage cited in Ley is not contained in Baker's translation, *Sketch ... Über die Möglichkeiten ...* dates from 1926.

_____. "Verdi's 'Otello': Eine kritische Studie." *Neue Zeitschrift für Musik* 83:12 (23 March, 1887): 125-127.

An important critical study missing from the essay collections.

Busoni's Letters

Busoni, Ferruccio. *Letters to His Wife*. Translated by Rosamund Ley. New York: Da Capo, 1975.

_____. "Briefwechsel zwischen Arnold Schönberg und Ferruccio Busoni 1903-1919 (1927)," "Briefe Gustav Mahlers an Ferruccio Busoni." *Beiträge zur Musikwissenschaft* 19:3 (1977): 163-215.

Manuscript Materials in Microform

Berlin, DDR. Deutsche Staatsbibliothek. "Doktor Faust: Fotokopie des im 2. Weltkrieg verbrannten Autographs der partitur." Busoni-Nachlasse-Nr. 346.

_____. Deutsche Staatsbibliothek, "Skizzen zu Doktor Faust." Busoni-Nachlasse-Nr. 342, 345.

Published Musical Materials

Busoni, Ferruccio. *Arlecchino: Ein theatralisches Capriccio in einem Aufzuge*. Vocal score by Philipp Jarnach. English translation by E.J. Dent. Wiesbaden: Breitkopf und Härtel, 1968.

_____. *Doktor Faust: Oper in drei Bildern mit zwei Vorspielen und einem Intermezzo*. by G. Schirmer of New York.

Photographically duplicated orchestral score of the version finished by Philipp Jarnach. On loan from G. Schirmer.

_____. *Doktor Faust: Oper in drei Bildern mit zwei Vorspielen und einem Intermezzo*. Completed and edited by Philipp Jarnach. Text and piano reduction by Egon Petri and Micheal von Zadora. Wiesbaden: Breitkopf und Härtel, 1954.

_____. *Doktor Faust: Oper in drei Bildern mit zwei Vorspielen und einem Intermezzo*. Libretto translated by E.J. Dent. Contained in notes to Deutsche Grammophon Gesellschaft recording 2709 032 (unpaginated).

_____. *Elegien: 7 Klavierstücke*. Wiesbaden: Breitkopf und Härtel, (1966).

_____. *Fünf Goethe-Lieder*. Wiesbaden: Breitkopf und Härtel, 1964.

The second of these is an arrangement of Mephistopheles's *lied* from the Second Picture of *Doktor Faust*.

_____. *Nocturne Symphonique*. New York: Breitkopf und Härtel, 1914.

_____. *Piano Sonatina #2*. Wiesbaden: Breitkopf und Härtel, 1940.

Schoenberg, Arnold. *Klavierstück op. 11, #2: Konzertmässig Interpretation von Ferruccio Busoni*. Vienna: Universal Edition, 1938.

Recordings

Busoni, Ferruccio. *Berceuse Élégiacque*. Felix Prausnitz, conductor.
New Philharmonia Orchestra. EMI recording ASD 2388.

_____. *Doktor Faust: Oper in drei Bildern mit zwei Vorspielen
und einem Intermezzo*. Ferdinand Leitner conducting the choir and
orchestra of the Bavarian Radio. Various soloists including
Dietrich Fischer-Dieskau, baritone. Deutsche Grammophon Gesellschaft
recording 2709 032.

_____. *Elegies*. Martin Jones, piano. Argo recording ZRG 741.

_____. "Lied des Brander," "Lied des Mephistopheles," "Lied des
Unmuts," "Schlechter Trost." From the *Fünf Goethe-Lieder*.
Carl-Heinz Müller, baritone. Helle Müller-Thiemens, piano.
Da Camera Magna recording SM 90 008.

_____. *Six Sonatinas for Piano*. Paul Jacob, piano. Nonesuch
recording H-71359.

Major Biographies

Dent, Edward J. *Ferruccio Busoni: A Biography*. London: Oxford
University Press, 1933.

Along with the Stuckenschmidt, the major biographical material
in English. Dent's work contains less critical analysis.

Guerrini, Guido. *Ferruccio Busoni: La Vita, La Figura, L'Opera*.
Florence: Casa Editrice Monsalvato, (1944).

Leichtentritt, Hugo. *Ferruccio Busoni*. Leipzig: Breitkopf und
Härtel, 1916. A major early biography. *Pre-Doktor Faust*.

Selden-Goth, Gisella. *Ferruccio Busoni*. Leipzig: E.P. Tal, 1922.

Stuckenschmidt, H.H. *Ferruccio Busoni: Chronicle of a European*.
Translated by Sandra Morris. London: Calder and Boyars, 1970.

Literature in Monographs and Period Surveys

Bekker, Paul. *The Changing Opera*. Translated by Arthur Mendel.
London: J.M. Dent, 1936.

Dieren, Bernard van. "Busoni." *Down Among the Dead Men: And Other Essays*. London: Oxford University Press, 1935, pp. 20-101.

Contains several transcriptions of conversations between the author and Busoni.

Edmister, Jane. *The "Five Roads" and Ferruccio Busoni's "Nocturne Symphonique," op. 43*. Unpublished paper read at the conference of the Society for Music Theory, Los Angeles, California, October 1981.

Professor Edmister has provided a copy of this paper.

Gray, Cecil. *Predicaments: Or Music and the Future*. Freeport, New York: Books for Libraries Press, 1969. Reprint of 1936 edition.

_____. *A Survey of Contemporary Music*. London: Oxford University Press, 1924.

Grout, Donald. *A Short History of Opera*. Second edition. Two volumes. New York: Columbia University Press, 1965.

Hamm, Wilhelm. *The Old German Puppet Play of Doctor Faust*. Translated by T.C.H. Hedderwick. London: Kegan Paul, Trench and Co., 1887.

Kelly, James William. *The Faust Legend in Music*. Detroit: Information Co-ordinators Inc., 1976. Reprint of dissertation from Northwestern University, Chicago, 1960.

Meyer, Heinz. *Die Klaviermusik Ferruccio Busonis: Eine stilkritische Untersuchung*. Zurich: Karl Heinrich Möseler Verlag, 1969.

Pfitzner, Hans. "Die neue Ästhetik der Musikalischen Impotenz" *Gesammelte Schriften*. Two volumes. Augsburg: Dr. Benno Filser, 1926, 2: 187-211.

Samson, Jim. *Music in Transition: A Study of Tonal Expansion and Atonality, 1900-1920*. London: J.M. Dent, 1977.

- Wassermann, Jakob. *In Memoriam Ferruccio Busoni*. Berlin: S. Fischer, 1925.
- Whittal, Arnold. *Music since the First World War*. London: J.M. Dent, 1977.
- Ziehn, Bernhard. *Canonical Studies*. Milwaukee: W.A. Kaun, 1912.

Selected Periodical Literature

- East, Leslie. "Busoni and van Dieren." *Soundings* 5 (1975): 44-54.
- Gatti, Guido M. "The Stage Works of Ferruccio Busoni." *Musical Quarterly* 20: 3 (July 1934): 267-77.
- Gurtler, Hermann. "Doktor Faust de Busoni." *La Revue Musicale* 6:9 (July 1925): 76-77.

An early review.

- Leichtentritt, Hugo. "Ferruccio Busoni as a Composer." *Musical Quarterly* 3:1 (January 1917): 69-97.
- Mason, Robert. "Enumeration of Synthetic Musical Scales by Matrix Algebra, and a Catalogue of Busoni's Scales." *Journal of Music Theory* 14 (1970): 92-126.
- Mellers, Wilfred. "Bernard van Dieren 1884-1936: Musical Intelligence and 'The New Language'." *Scrutiny* (December, 1936): 263-76.

Van Dieren's relationship with Busoni.

- "Sonderheft Ferruccio Busoni." *Musikblätter des Anbruch* 3:1-2 (January 1921).

Includes important articles by Busoni, Jarnach, Leichtentritt, Dent and others.

- Sitsky, Larry. "The Six Sonatinas For Piano of Ferruccio Busoni." *Studies in Music* 2 (1968): 66-85.
- Vlad, Roman. "Busoni's Destiny." *The Score* 7 (December 1952): 3-10.

Waterhouse, John C.G. "Busoni" Visionary or Pasticheur?" *Proceedings of the Royal Music Association* 92 (April 1966): 79-93.

One of the few major stylistic analyses of Busoni.

_____. "Weill's Debt to Busoni." *Musical Times* 105 (December 1964): 897-899.

VITA

Surname: DINEEN Given Names: PHILLIP MURRAY

Place of Birth: EDMONTON, ALBERTA Date of Birth: August 19, 1953

Educational Institutions Attended, with Dates of Entering and Leaving:

GRANT MACEWAN COMMUNITY COLLEGE, EDMONTON 1972 to 1976

UNIVERSITY OF ALBERTA, EDMONTON 1974 to 1980

UNIVERSITY OF VICTORIA, BRITISH COLUMBIA 1980 to 1982

Degrees, Diplomas, Etc. Awarded, with Dates and Names of Institutions:

Diploma: Performing Arts, Music 1976 Grant MacEwan C.C., Edmonton

B. Mus. (With Distinction) 1980 University of Alberta, Edmonton

Honors and Awards:

Queen Elizabeth Scholarship, 1979

University of Victoria Fellowship, 1980/81, 81/82


PARTIAL COPYRIGHT LICENSE

I hereby grant the right to lend my thesis (the title of which is shown below) to users of the University of Victoria Library, and to make *single copies only* for such users or in response to a request from the library of any other university, or similar institution, on its behalf for one of its users. I further agree that permission for extensive copying of this thesis for scholarly purposes may be granted by me or a member of the University designated by me. It is understood that copying or publication of this thesis for financial gain shall not be allowed without my written permission.

Title of Thesis

BUSONI'S *DOKTOR FAUST*: A CRITICAL STUDY

Author


Phillip Murray Dineen

26 August, 1982
