

**Sources of Music and**

**Their Interpretation**

*Duke Studies in Music*

General Editor Peter Williams

Advisory Editors Tilman Seebass,

Alexander Silbiger, and

R. Larry Todd

# Richard Strauss

*New Perspectives on the Composer and His Work*

Bryan Gilliam, Editor



DUKE UNIVERSITY PRESS Durham and London 1992

## Contents

Preface ix

### **The Musical-Historical Context**

- R. Larry Todd / Strauss before Liszt and Wagner:  
Some Observations 3
- Stephen E. Hefling / Miners Digging from Opposite Sides: Mahler,  
Strauss, and the Problem of Program Music 41
- Kofi Agawu / Extended Tonality in Mahler and Strauss 55
- Reinhold Schlöterer / Ironic Allusions to Italian Opera in the  
Musical Comedies of Richard Strauss 77
- Pamela M. Potter / Strauss and the National Socialists:  
The Debate and Its Relevance 93
- Barbara A. Petersen / *Die Händler und die Kunst*:  
Richard Strauss as Composers' Advocate 115

### **The Musical Works**

- James Hepokoski / Fiery-Pulsed Libertine or Domestic  
Hero? Strauss's *Don Juan* Reinvestigated 135
- Günter Brosche / The Concerto for Oboe and Small Orchestra (1945):  
Remarks about the Origin of the Work Based on  
a Newly Discovered Source 177
- Timothy L. Jackson / The Metamorphosis of the *Metamorphosen*:  
New Analytical and Source-Critical Discoveries 193
- Lewis Lockwood / The Element of Time in *Der Rosenkavalier* 243
- Bryan Gilliam / Strauss's *Intermezzo*: Innovation and Tradition 259

Index 285

## Fiery-Pulsed Libertine or Domestic Hero? Strauss's *Don Juan* Reinvestigated

James Hepokoski

Vielleicht ein Blitz aus Höh'n, die ich verachtet,  
Hat tödlich meine Liebeskraft getroffen,  
Und plötzlich ward die Welt mir wüst, umnachtet;  
Vielleicht auch nicht. . . .

—Nikolaus Lenau, *Don Juan* (1844)

Confronting a late-nineteenth-century work such as Richard Strauss's 1888–89 *Don Juan: Tondichtung* (nach Nicolaus Lenau) involves, first of all, locating a methodology and level of discourse adequate to the task. Today, when the traditional categories of music analysis strike us more as problems than as self-evident concepts, we would do well to stand clear of the temptation to simplify “modern” compositions of this sort.<sup>1</sup> It may be that these compositions cannot be grasped in single-dimensional terms: they are not musical puzzles to be solved by the assigning of quick analytical labels. More often, these pieces present a network of processes—structural, generic, aesthetic, social—more in need of hermeneutic untangling than of solution in any usual sense of that term. Such processes often unfold in a nonclosed realm in which aesthetic suggestion and allusion can replace concrete realization. Rather than passing over such problems, analyses need to thematize them.

Under the circumstances a more productive goal of analysis would be to uncover a “modern” composition's ambiguities. Stressing the work's unresolved tensions, such an analysis would seek the piece's essential aesthetic moment in the pull of those tensions—in the work's “embodying the contradictions, pure and uncompromised, in its innermost structure,” as Adorno put it.<sup>2</sup> In a study of the musical form of *Don Juan*, for example, this procedure would insist that the work is reducible neither to a single analytical category nor to a flat, unelaborated statement that the piece is a hybrid of two or more. (As will be seen, “sonata” and “rondo,” along with free adaptations thereof, are the categories most frequently suggested.) What does matter is the way

in which the work becomes perceived as a coherent "thing in motion."<sup>3</sup> This essay is an exercise in this type of analysis.

Before beginning the exercise, however, it will prove useful to raise a few preliminary issues, for with *Don Juan* we also face a more generalized problem: the presence of a program. Even considered apart from a program, the nontraditional structures of modern symphonic works are notoriously complex; the difficulties increase once we have been invited to draw connections between a work's musical structure and its accompanying paratextual apparatus (its title along with the additional words or implied narratives that the composer has provided along with the otherwise untexted music). As Genette has argued with regard to literature,<sup>4</sup> titles (and other paratextual material) are attempts by the author to set up the framing conditions of a text's reception; they condition the way in which the text proper is to be perceived. As part of the game of reading,<sup>5</sup> involving the calling forth of some sort of "meaning" from a text (which, when lacking an established principle of interpretation, is normally capable of multiple readings), the reader is encouraged to interpret the text on the basis of the generic or descriptive implications of an overriding title.

A symphonic poem operates under the same premises. The relevant issues here may initially seem to be more problematic, because the paratext employs a mode of discourse (verbal) other than that of the text proper (musical), but in fact the differences are slight. The abstract problem of whether music actually can evoke nonmusical images is utterly irrelevant—and perhaps meaningless—when posed in these terms. Instead, the problem should be grounded in an actual sociohistorical system of production and reception conventions. Within such a system it would suffice that both the producer and the targeted receivers of the musical text agree that forging musical and literary-pictorial interrelationships is fully within the spirit of the game, even if it might be a "controversial" game that any given individual might not care to play.

Thus the explicit invitation is to interpret the musical processes in light of the provided paratext-complex, and this is the defining feature of the symphonic poem as a genre. The essence of a *symphonische Dichtung* is situated in the listener's act (anticipated by the composer's) of connecting text and paratext, music and nonmusical image, and grappling with the implications of the connection. The genre exists, *qua* genre, solely within the receiver, who agrees to create it reciprocally by indicating his or her willingness to play the game proposed by the composer; it does not exist abstractly in the acoustical surface of the music. Consequently, by the rules of the symphonic-poem

game, we are not permitted to ask whether we could deduce the proper images had we not been supplied with them in advance, or had we not at least been given some broad hints in their direction. If we wish to play, we must abide by the rules; otherwise we are playing a different game or redefining the original one to suit our own purposes. More pointedly, there are certain "absolute music" questions that may not be asked of the symphonic poem, for at the moment of their asking the conditions of the symphonic poem's possibility as a genre are liquidated.

The verbal clues that the composer furnishes are givens within the genre. They are neither extramusical (because they are part of the essential character of this musical procedure) nor dispensable, neither accretions nor casual overlays.<sup>6</sup> Whether a program was introduced into a symphonic poem before, during, or after its composition is historically interesting but aesthetically unimportant to the intended transaction between producer and receiver.<sup>7</sup> The fact remains that at the moment of a symphonic poem's "official" presentation we are confronted with a title, epigram, or set of poetic lines, and no knowledge of a paratext's dating grants us the license either to dispense with it or to banish it to an aesthetic periphery. Withheld or "secret" programs within other musical genres, of course, are a different matter: these are covert or genesis-phase "producer's programs" that future receivers occasionally learn either inadvertently or through the result of research that the composer did not anticipate. Similarly, listeners may sometimes seek, apart from explicit composer-furnished clues, to infer programmatic narratives within pieces that were given more "abstract" titles. To be sure, these ramifications complicate the problem of extramusical connotation considered as a whole, but they need not affect the argument offered here, which is restricted to the more straightforward instances provided by explicitly titled symphonic poems. And these works, by definition, seem to insist on an inferable simultaneity—perhaps even a metaphorical identity—between their musical and "literary" narratives.

It follows that the standard questions asked of symphonic poems—which structure, musical or verbal, is mapped onto which?; or, which is truly prior?—are not the most useful ones to pose. Such questions were passionately raised around the turn of the last century, for some argued that decisions of aesthetic validity, or even artistic morality, hung in the balance.<sup>8</sup> Scholars have persisted in posing these questions, with equal fervor, but without profit, in our own time: discussions of symphonic poems rapidly run aground on them. But to run these discussions aground may well have been the tactical point: the priority question typically springs from an aesthetic

stance that assumes the superior status of autonomous music. "The best of [Strauss's] programmatic works," writes Ernst Krause, "always understand how to leave their programmes behind and stand on their own feet as absolute music."<sup>9</sup> Similarly, from Michael Kennedy's monograph on Strauss: "No music will survive unless it has independent life as music; no 'programme' will keep bad music alive. Most of Strauss's programme music can be enjoyed for its purely musical quality. How many listeners, when they have once followed the detailed programme, pay much attention to it again? Very few, I suggest. The music transcends it."<sup>10</sup>

Krause and Kennedy, of course—along with innumerable others—are reciting articles de foi, not elaborating reasoned arguments. Such issues are raised not for informational but for evaluative reasons: to lobby on behalf of (or sometimes against) a work's membership within an aesthetic system that one has tacitly agreed to universalize. There are consequently more useful, less aesthetically loaded questions to ask of a symphonic poem. For example: Are the musical and verbal planes of narrativity, both accepted here as givens, to be forced into an inevitable parallelism, or may they occasionally work at cross-purposes? Can (or must) the music drop out of the narrative at certain points for such "purely musical reasons" as the traditional requirement of formal recapitulation?<sup>11</sup>

As Dahlhaus has repeatedly reminded us, it is easy to interpret the programmatic intention too superficially and reduce it to a one-dimensional, concrete realism. The composers of Strauss's epoch were aware of this danger, and when pressed some relied on a strategy congruent with the privileged metaphysics of absolute music to counter it, one that claimed that a program or nonmusical image was a mere, ultimately discardable initial impulse making higher things possible. In Dahlhaus's words, a program was a "formal motive" [or 'form motive'—the term is Wagner's], a reason for [the piece's] existence, in order to come into being and manifest its potential."<sup>12</sup> Somewhat paradoxically, this standard line of defense permitted composers to argue that a program was both essential and inessential, depending on the circumstances.<sup>13</sup>

Still, to the Richard Strauss of the later 1880s, newly converted to the doctrines of the New German School, the main point was that the concept of absolute music that he perceived as being marketed at the time was aesthetically barren. During this period Strauss argued that the structures of his works were to be understood primarily in terms of the poetic ideas with which they were inextricably bound—a postulate derived directly from Liszt.<sup>14</sup> Thus his famous remarks to von Bülow on 24 August 1888, written

particularly about *Macbeth*, but at the point of the completion of *Don Juan*:

From the F minor Symphony [1884] onwards I have found myself in a gradually ever increasing contradiction between the musical-poetic content that I want to convey [and] the ternary sonata form that has come down to us from the classical composers. . . . Now, what was for Beethoven a "form" absolutely in congruity with the highest, most glorious content, is now, after 60 years, used as a formula inseparable from our instrumental music (which I strongly dispute), simply to accommodate and enclose a "pure musical" (in the strictest and narrowest meaning of the word) content, or worse, to stuff and expand a content with which it does not correspond.

If you want to create a work of art that is unified in its mood and consistent in its structure . . . [then] this is only possible through the inspiration by a poetical idea, whether or not it be introduced as a programme. I consider it a legitimate artistic method to create a correspondingly new form for every new subject. . . . Of course, purely formalistic, Hanslickian music-making will no longer be possible, and we cannot have any more random patterns, that mean nothing either to the composer or the listener.<sup>15</sup>

Modern musical logic<sup>16</sup> was now to be wedded to modern poetic logic: Strauss claims here that his unorthodox musical structures should be understood simultaneously to be tracking a complementary poetic narrative. This narrative was doubtless to be conveyed by an ordered set of representations that, depending on the circumstances, could range from the concrete ("tone pictures," or *Tonbilder*) to the abstract or even metaphysical ("soul states," or *Seelenzustände*).<sup>17</sup> During the *Don Juan* period Strauss embraces a poetic logic that resembles Wagner's concept of the "form motive," but with this difference: Strauss implies that a work's poetic content is more than discardable scaffolding. He seems rather to elevate its importance, hardly surprising from a composer who has just begun to undertake the most ambitious set of symphonic poems since Liszt's. Any hermeneutics that takes Strauss at his word (at least his 1888 word) cannot shy away from the invitation proffered by the symphonic poem as a genre. Our task with *Don Juan* must involve locating a reasonable, relevant poetic narrative that would render possible the parallel music-structural process, and we should do this without collapsing into naive claims for a simplistic, consistently concrete representation or brashly excluding alternative narrative possibilities.

One potential objection at this point might be that Strauss's 1888 remarks

are not representative, for later in his life he downplayed the role of poetic logic to insist that in the last analysis his symphonic poems were to be justified according to their inner musical processes. Thus his 5 July 1905 remark to Romain Rolland:

In my opinion, too, a poetic programme is nothing but a pretext for the purely musical expression and development of my emotions, and not a simple musical description of concrete everyday facts. . . . But so that music should not lose itself in pure abstractions and drift in limitless directions, it needs to be held within bounds which determine a certain form, and it is the programme which fixes these bounds. And an analytic programme of this kind should be nothing more than a starting-point. Those who are interested in it can use it. Those who really know how to listen to music doubtless have no need for it.<sup>18</sup>

This seems to accept the concept of a “form motive,” as does his often-quoted statement from many years later: “A poetic programme can certainly lead to the establishment of new forms, but if the music does not develop logically out of itself the result is ‘Literaturmusik.’” And: “In reality, of course [!], there is no genuine programme music. This is merely a term of abuse used by all those who are incapable of being original.”<sup>19</sup>

These things are not easy to reconcile either with his letter to von Bülow or with several of his other earlier remarks. Consider, for example, his reported boasts: “I regard the ability to express outward events as the highest triumph of musical technique”; and “Anyone who wants to be a real musician must be able to compose a menu.”<sup>20</sup> Or, specifically from the years of *Don Juan*, in a letter to Johann L. Bella from March 1890: “Programme music! real music! Absolute music: it can be put together with the aid of routine and rule-of-thumb techniques by everybody who is at all musical! First: true art! Second: artificiality.”<sup>21</sup>

Ultimately, Strauss’s verbal position on the essential relevance of his programs is deeply problematic and probably unresolvable. It would appear, though, that the later “antiprogrammatic” utterances are less contrite confessions of what had always been the truth than part of a strategy to parry the criticisms of the autonomous-music partisans (who, in fact, continue to quote the passages for the purpose of reassuring their own readers of the aesthetic legitimacy of Strauss’s enterprise). Strauss’s famous 1905 remark to Rolland, for instance, was not delivered, nor should it be read, in the abstract; rather, it was a diplomatic, pacifying response to Rolland’s sharp criticism of the *Symphonia Domestica*. In his letter of eight days earlier, 29 May 1905, Rolland

had claimed that he had been “shocked” by the program and that it “prevented me from judging the work itself. It was only in the evening, at the concert, that I really heard [the piece], forgetting the whole programme,” and so on.<sup>22</sup> Under the circumstances, the most reasonable conclusion would be neither that the later Strauss encouraged a revisionist reading of his earlier works nor that he intended to readjust the balances of his original aesthetic aims, but rather that he wished to call attention to those aspects of his oeuvre that his “absolute-music-oriented” readers would be most likely to respect. In short, it would seem that Strauss’s remarks on programs are neither objective nor neutral; they were probably conditioned by the expected reactions of their intended recipients.

To write today under the automatic assumption of the aesthetic superiority of autonomous music (or, stated more cautiously, of music that asks to be perceived as autonomous) seems dated, as if one were unwilling to release oneself from the grasp of the system that one is attempting to explain. In practice, restriction exclusively to either a privileged musical or verbal sphere of discourse proves inefficient, if not naive. For us, and probably for the late nineteenth century as well, the two commingle in ways that it would be unwise to separate: the form-creating element is synonymous with the form *per se*—with the form as narrative process, a thing in motion.

If for no other reason than to steer clear of elementary (and by now tedious) issues, I shall not repeat here the most basic and widely available information about *Don Juan*: Strauss’s linking of the music with Lenau’s 1844 (but published posthumously in 1851) *dramatisches Gedicht* of the same name; his preceding of the printed score with thirty-two expressive (not narrative) lines, subdivided into 7 + 17 + 8, the first two subdivisions extracted from near the beginning, the last near the end, of the poem; and so on.<sup>23</sup> This study is concerned not with laying out these details, but with the larger question of how we can come to perceive adequately the work’s structure, content, and represented meaning.

The following discussion subdivides into three sections (2–4). Section 2 is more attentive to musical structure than to that of its implied programmatic companion. As an overview, not a complete analysis, of the most crucial elements of *Don Juan*, it attempts to sketch out the issues involved in apprehending the work’s form as interactive process. Section 3 takes up more directly the problem of verbal meaning—metaphorical or actual—within the musical representations of the symphonic poem. Section 4 provides a brief summary and final consideration of the issues raised in the preceding sections.

Riddled with ambiguities, the musical structure of *Don Juan* has elicited a variety of analyses over the past century. Most commentators have heard it as a free sonata: this position is clearly discernible in the discussions of Gustav Brecher (1899), Otto Klauwell (1910), and Max Steinitzer (1911), and it continues with such writers as Hermann W. von Waltershausen (1921), Reinhold Muschler (1924), Norman Del Mar (1962), Michael Kennedy (1976), Robert Bailey (1980), and Kenneth Levy (1983).<sup>24</sup> Another group, however, has considered it a rondo or a free rondo: one of the earliest writers to take this position was Ernst Otto Nodnagel (1902), and the case for the rondo was argued with particular vigor by Richard Specht (1921). We also find discussions on its behalf from such later commentators as Gerald Abraham (1938, rev. 1964), Antoine Goléa (1965), Edward Murphy (1983), and Heinz Becker (1989).<sup>25</sup>

A few others—most notably Reinhold Gerlach (1966) and Arno Forchert (1975)—have tried to effect a synthesis between the two formal positions by discussing *Don Juan* as a mixture of sonata and rondo (sometimes incorporating aspects of other structures as well).<sup>26</sup> In these analyses the sonata is the ultimately defining category, but it is a category loosened in the direction of others for programmatic or innovative reasons, although those reasons have gone largely unspecified. Thus Gerlach writes:

The adventurous element in the symphonic poem *Don Juan*, its aversion to a stringent coherence [Zusammenhang], is expressed in that its sonata form may be perceived only as something fragmentary, [as a structure] that passes over into something else: the sonata layout, which [first] dissolves itself into a rondo, is then confused still further with a four-movement, symphony-like cycle (Allegro, Andante, Scherzo, and Allegro). . . . A new, scarcely describable form is trying to realize itself in and with the fragmentarily appearing forms. . . . Neither [a sonata nor a rondo] is actually composed out in an intact manner in *Don Juan*. The newness of *Don Juan* is the compounded aspect of its many-layered “modern” form, which arises out of fragments.<sup>27</sup>

For the sake of completeness one might add that *Don Juan* has also provoked other analytical positions. Echoing similar remarks of Erich Urban (1901) and doubtless many others, Wilhelm Mauke (1908), the main source of the programmatic details usually assigned to the work, was content to assert the freedom of its form without specifying further (“breaking every traditional form . . . a proof of the artistic justification of disdainfully potent [selbstherrlichen] expression vis-à-vis the conventionally formal appeal to schematics”),

primarily to make claims for its modernism and avoidance of *idées reçues*.<sup>28</sup> Nearly thirty years later Alfred Lorenz, in a quirky but by no means negligible essay of 1936, proposed (in recognizably post-*Geheimnis-der-Form* fashion) that *Don Juan* is neither a sonata nor a rondo, but rather traces out a massive *Reprisenbar*.<sup>29</sup> And in his textbook *Form in Tonal Music* (1965, rev. 1979) Douglass Green noted the work's resemblance to a sonata form but urged us for harmonic reasons to disregard it, to hear *Don Juan* as a “unique form” governed by its patterns of tonal closure, “a continuous four-part form with coda having the over-all design AA'BA'.”<sup>30</sup>

Such solutions as Green's (and to some extent Lorenz's), which arrive at unexpected or ad hoc forms, dismiss the expressive power of generic implications. In response, current genre theory would stress that our ability to interpret a work's gestures resides in our decision regarding to which generic family they belong.<sup>31</sup> The genre decision attempts to locate the “horizon of expectations”<sup>32</sup> or pattern of defaults against which the individual work may be understood; it identifies the rules or the “social code”<sup>33</sup> by which a work's sequence of signals may be processed; it involves facing a network of traditional structures, contents, tones, and social purposes.

Making this decision can be difficult for turn-of-the-century modern works, since they often confront us with generic mixtures and unusual interactions with the traditions, things that I have elsewhere called generic or structural deformations.<sup>34</sup> In brief, the term “deformation” (for example, “sonata deformation”) is most appropriate when one encounters a strikingly nonnormative individual structure, one that contravenes some of the most central defining traditions, or default gestures, of a genre while explicitly retaining others. (I refer here especially to the normative practice, or set of reified defaults, urged by the *Formenlehre* traditions, for better or worse a fundamental frame of reference for the institution of Germanic art music at least from the time of A. B. Marx onward. Indeed, Strauss's essential complaint in his 24 August 1888 letter to von Bülow, quoted above, is that the “ternary sonata form that has come down to us from the classical masters” is in fact reified, an inflexible given, a mere formula.) The advantage of the term “deformation” is that one may refer to a generic aspect of a piece without reducing that piece into a mere exemplar of the genre.

In any event, it is the presence of such deformations that has led *Don Juan* commentators to produce markedly differing analyses. More important, this is why both a simple, reductive labeling of the structure (sonata? rondo? a mixture?) and the appeal to a nongeneric “unique form” are insufficient. What is needed is to proceed beyond the reductions into hermeneutics.

When confronted with such problems in any individual piece, we need first to determine with which generic traditions it is in dialogue. In most cases these traditions will be ones immediately at hand; one normally should be advised against seeking out exotic or unusual genres. (This follows Dahlhaus's dictum, "One may establish in analysis the rule that a movement is to be interpreted, within sensible limits, as a variant of the form characteristic of the genre, and not as exemplifying another schema unusual for the genre.")<sup>35</sup> And second, we need to discover the principle that shapes these traditions into a unique but still coherent process guided by both musical and poetic logic.

The formal issues at stake in *Don Juan* may be clarified by investigating the rondo and sonata positions in their purer forms. The programmatic argument in favor of the rondo is the more enticing, for this structure, as Alfred Lorenz pointed out even while archly rejecting the position, may be heard as a formal analogue of sexual libertinism: "Don Juan is a man who has had many adventures. The structure of the work, therefore, is very simple: a rondo! Don Juan—adventure—Don Juan—adventure—Don Juan—adventure—and so on."<sup>36</sup> In this scheme the "rondo theme," a representation of Don Juan, is first sounded as a complex of two related E-major ideas: the introductory figure, m. 1 (DJ<sup>int</sup>, beginning on a seeming "C<sup>6</sup>" that is actually an E chord subjected to a 46-43 shift) and the Don Juan theme proper, m. 9 (DJ). The rondo theme recurs most clearly in m. 62 (a fleeting reference to DJ<sup>int</sup> only, expressing here an ephemeral V<sup>7</sup>/B<sup>b</sup>), m. 169 (DJ: as in m. 1 the initial "C<sup>6</sup>" is an expression of the E bass), and m. 474 (DJ<sup>int</sup>, shortened, and DJ, in E major). The "Hero Theme" or *Heldenthema* sounded in the horns (V/C major), beginning with the upbeat to m. 315, is often considered a substitute for the rondo theme,<sup>37</sup> and some commentators consider it a rondo-theme recurrence.<sup>38</sup>

The rondo reappearances alternate with four adventures, or episodes, although various Don Juan motives also invade each of the episodes. The first three are commonly (and doubtless correctly) interpreted as representing the subject's aggressive seduction of three mistresses. Strauss constructs each of these episodes to be more ardent and prolonged than its predecessor. Episode 1 (mm. 44–62) is brief and tonally unstable. Although all commentators have considered it to signify the first of Don Juan's sexual encounters, it has been a problematic passage within the proposed rondo structures because of its brevity and tonal instability and because of the incomplete appearance of DJ<sup>int</sup> only (and on V<sup>7</sup>/B<sup>b</sup>, the "wrong" key) at its end, mm. 62–65. Most commentators have refused it the status of a full-fledged rondo epi-

sode and, not unreasonably, have relegated it to the status of a transition (or "transition episode") to the more stable B major of the following episode.<sup>39</sup> However we categorize it, it begins with what is clearly the first appearance of "the Other"—a radical change of texture, motive, and dynamic, along with a sudden shift onto what would seem to be C major (m. 44). This C major is overpowered at once, however, by a potent, *fortissimo* cadential  $\frac{6-5}{4-3}$  in E (that is, in the rondo key, m. 46) that deflects it first onto a deceptive-cadence C-sharp minor chord (m. 48), tonicizes that C sharp via an authentic cadence on its dominant (m. 51), moves via sequences toward B-flat major (mm. 57ff.: now an augmented fourth away from the rondo's E), and rushes toward an abrupt diminished-seventh close (m. 62, enharmonically vii<sup>o7</sup>/B<sup>b</sup>).

Episode 2 (mm. 90–160, preceded by a lengthy dominant) is conceived essentially in B major, although it moves through other keys and builds to climactic E-minor chords in triplets in mm. 149–52 and 156–59. Episode 3 (mm. 197–314) is even longer and is subdivided into two sections: an ardent G-minor one (mm. 197–232) that relaxes into a slower, G-major idyll (mm. 232–314). Following the announcement of the subsequent *Heldenthema* (mm. 315ff., V/C), Strauss brings us to a modulatory Episode 4 (mm. 351–424) that begins in D major and proceeds to developmental activity (mm. 386ff.) that ends catastrophically (mm. 421–24). This episode is usually referred to (following Mauke, who was evoking an incident in Lenau's *Don Juan*) as the "Carnival" or "Masked Ball" Scene, although Lorenz also refers to it as the "Orgy."<sup>40</sup> The E-major tonic reprise of the initial Don Juan themes and the *Heldenthema* leads to the suicide-duel, invariably interpreted as a coda (mm. 567–606).

The argument in favor of a free-rondo structure has its musical and programmatic attractions, but there are also some strong objections to it. First, as Abraham admitted, "Some of the sections . . . are disproportionately long; themes are freely interwoven, sections skilfully fused into one another."<sup>41</sup> Similarly, Lorenz had opposed the notion of a rondo on the grounds that it led to a sprawling, insufficiently regulated plan, from which "not the slightest artistic pleasure could arise"; moreover, to interpret the *Heldenthema* as a rondo-recurrence was unconvincing, since it bore "not the slightest musical resemblance to the other principal themes."<sup>42</sup> In addition, two of the moments that we might wish to count as DJ-rondo appearances, measures 62–66 and measures 169ff. (not to mention the first statement of the *Heldenthema*), do not articulate the theme in the tonic. (In this respect the form seems oriented more toward a "ritornello" than a "rondo" structure.) Most important, however, the expansive E-major tonic reprise, reinitiating the vigor of the

opening and then moving to an apotheosis of the *Heldenthema* introduced on the tonic (but over a dominant pedal), seems unmistakably to suggest a varied recapitulation. In short, *Don Juan* is no standard rondo, although portions of it, especially its episodic first half—at least up to the *Heldenthema*, and perhaps up to the reprise—seem clearly to be in dialogue with the rondo tradition. Hence one may consider it to be, at least in part, a “rondo deformation.”

The “free-sonata” position avoids some of these problems but introduces others. Its strongest piece of evidence is the recapitulatory reprise, and it also makes appeals to the dominant-key, second-subject-like effect of Episode 2 (preceded by what is now interpreted as a transition) and to some developmental aspects of the Carnival Scene. In 1921 Waltershausen stated what has become more or less the standard sonata argument—“a sonata form with a thematically free development and a shortened reprise”—and even suggested that the structure of Wagner’s *Siegfried-Idyll* provided an interesting comparison, an argument echoed by Reinhold Muschler three years later.<sup>43</sup> (The comparison is indeed apt. Grounded, of course, in Lisztian practice, *Siegfried-Idyll* could well have provided one of the most influential models for late-century sonata deformations. More precisely, it was one of the key representatives of a deformation family that, particularly in symphonic poems or related genres, featured a developmental space given largely over to an episode or, more commonly, to a set of episodes—in this case, to a pair of them.<sup>44</sup> Some other family members include Liszt’s *Tasso*, in which the episodes are little more than rudimentary thematic transformations of expositional material, along with Strauss’s more complex *Macbeth* and *Death and Transfiguration*.)

Discussions along this line have been furthered by current writers in English, particularly in the variant disseminated by Norman Del Mar: “The form of the work is fundamentally the same as that of [his immediately preceding symphonic poem] *Macbeth*: i.e. a sonata first movement with two major independent episodes inserted into the development.”<sup>45</sup> The episodes in question are the G-minor/major “Episode 3” and the “Episode 4” Carnival Scene, which ends developmentally: they are separated, of course, by the appearance of the *Heldenthema*. In this view the development is considered to begin with DJ in m. 169 (Green concurs, for example, even while denying priority to the “sonata” aspects of the work), to be interrupted by the episodes, and then to resume midway through the Carnival Scene, in the vicinity of m. 386. This seems to me to be the most satisfying sonata-based arrangement of subsections within *Don Juan*.

Other solutions, however, are imaginable (although, I believe, less de-

fensible). Some commentators might wish to consider the development to begin only after the highly stable “Episode 3,” which would argue on behalf of a lengthy, three-key, triple-theme exposition, in which the second and third themes are separated by a brief, developmental (or transitional) appearance of the DJ theme.<sup>46</sup> Given the ambiguities tolerated, or even encouraged, within deformational practice, anything is possible, one supposes, and to some extent within that practice we ought not to insist so inflexibly upon our *Formenlehre* subcategories. Still, it should be remarked, first, that such an expansive exposition would be highly unusual for Strauss, who during this period seemed to favor, as in *Macbeth*, references to bithematic expositional spaces. Moreover, the problem that the “triple-theme exposition” argument would be intended to solve, the presence of the “static,” clearly thematic G-major/minor episode, disappears once we become aware of the existence of a normative sonata-deformation family with an “episodic” treatment of the developmental space. Along these lines, though, we should acknowledge Kenneth Levy’s related—and highly unusual—suggestion that *Don Juan* provides us with a double exposition, the second beginning with DJ in m. 169 (which he mistakenly identifies as being “in the home key”) and leading to the G-minor/major section as a “new second theme,” with the *Heldenthema* serving as a link to the “Carnival” development.<sup>47</sup> This solution seems the least satisfactory for at least three reasons: it is either unaware of or unconcerned with the actual *Rezeptionsgeschichte* of *Don Juan*, from which it differs markedly; a repeated or double exposition is emphatically not part of the generic tradition of the symphonic poem (hence Levy draws his sonata-model from what would appear to be a less appropriate genre, the classical “first-movement” sonata form); and none of Strauss’s other symphonic poems shows the slightest interest in either a repeated or a double exposition.

As opposed to the libertine suggestions of the rondo structure, the programmatic connotations of a sonata, a form that stresses rounding, balances, symmetries, and resolution, pose considerable problems. What does a quasi-symmetrical resolution, for example, have to do with the cynical denouement of what is normally taken to be the program, the unraveling of Don Juan’s desire to live and his renunciation of a meaningless life by means of the suicide-duel? Sonata-resolutions function well enough with *per aspera ad astra* contents, but not with perverse (and rare) ones of the opposite type, *per astra ad aspera*. More specifically: if Strauss leads the second development episode (the Carnival Scene) to a catastrophe (mm. 421ff.) that ushers in Don Juan’s loss of sexual appetite and his lack of desire to continue living (which seems unarguable), why does he follow it up with a triumphant reprise fea-

turing a *Heldenthema* apotheosis (mm. 51off.) prior to the suicide duel in the coda? The jubilant recapitulation has proven to be difficult to assimilate into the assumed program of the work, and even the most programmatically conscientious of writers—Del Mar, for example—drop their discussions of the program at this point, only to resume them again at the point of the coda-duel.<sup>48</sup>

Nor are programmatic matters the only difficulties faced by the sonata interpretation. As might be inferred from what has preceded, on “purely formal grounds” the “nondevelopmental” episodes within the developmental space have been a perennial sticking point in *Don Juan*. Coming so directly after the narrative presentations in the exposition, these new episodes seem only to string out further the succession of self-contained adventures (rondo-like!), thus denying the work, at least up to the moment of the reprise, the “feel” of a standard sonata. Considered from the point of view of the expectations within a reified, *Formenlehre* sonata—and not, as seems preferable, from that of the far less restrictive ones within a characteristic “symphonic-poem” family of late-century sonata deformations—this can become a serious problem. Defenders of the sonata position’s priority, such as Forchert, have consequently tended to see the looseness of the structure as a symptom of the disintegration of the late-century sonata, one in which the earlier ideals of functional musical coherence, motivic-tonal interconnections, and “[the sonata’s] most important principle, thematic economy” are being undermined by the fracturing of the whole into “stylistically differing sections” that strive to become self-sufficient, sharply characterized, contrasting units.<sup>49</sup>

A second “sonata” problem mentioned by some commentators is what is often judged to be its lack of a sufficient symmetry in the recapitulation, in which the exposition’s “transition” and “second theme” (Mistresses One and Two) fail to reappear and are replaced instead by a grand statement of the seemingly post-expositional *Heldenthema*. Lorenz, for example, refused to grant sonata status to *Don Juan* on the combined effects of the episodic development and this “blow in the face of sonata form” in the reprise.<sup>50</sup> Forchert, on the other hand, noted the recapitulation problem and ascribed it to programmatic considerations: “For it is surely not by chance that a Don-Juan-based piece, on the one hand, has more than one ‘feminine’ theme and, on the other, adheres to none of them all the way to the end.”<sup>51</sup>

But in fact, the rationale for such a structure is not exclusively programmatic. As was the case with the episodic-development problem, the recapitulation problem is best addressed by considering it within the category

of another of the characteristic *fin-de-siècle* deformation families: that of the “breakthrough” (*Durchbruch*) sonata deformation. (Late-century works, such as this one, not uncommonly mix the features of two or more deformation families.) *Durchbruch*, of course, is one of the central content-categories that Adorno devised in 1960 to interpret the music of Gustav Mahler,<sup>52</sup> and in the past two decades the concept has received some attention from German writers, particularly in Bernd Sponheuer’s work on Mahler.<sup>53</sup> The concept of breakthrough, closely related to the category of peripeteia, or sudden reversal of fortune, involves abandoning or profoundly correcting the originally proposed sonata (the one proposed in the exposition) through the inbreaking of an emphatic, unforeseen idea at some post-expositional point, usually during the space customarily given over to development. The mid-piece inbreaking of the new from outside the proposed structure, sundering the piece’s immanent logic, is sufficiently powerful to render a default recapitulation inadequate. The breakthrough thus triggers a recomposed or totally reconsidered recapitulation, in which the breakthrough idea itself usually plays a prominent role. Although there are many ways of realizing the concept, it can be seen to have arisen historically as one solution to the problem of a potentially redundant recapitulation within an aesthetic system that increasingly validated only original ideas.<sup>54</sup>

While tailored to explicate Mahler’s First Symphony, Sponheuer’s remarks on the concept of breakthrough are not without relevance to *Don Juan*:

[In a piece that relies on a breakthrough] what is constitutive is its claim to contrast the “world” as the embodiment of the real, historical life-process [of which the given music is initially a reflection] . . . with that “other world” [that is, with the redemptive condition that invalidates the given world of the music]. . . . Such a contrast corresponds to the critical moment of breakthrough. [As Adorno put it,] “for a few seconds the symphony believes that what it has hoped for so anxiously and for so long, the earthly glimpse of heaven, has actually become real . . . the tearing of the veil. . . .” [In Mahler *Durchbruch* is] a breaking into the closed formal immanence through the unexpected (“as though it were dropping down from heaven”), peripeteia-like turn to chorale-like transcendence.<sup>55</sup>

The structural analogue in *Don Juan* is clear. Strauss proclaims this new condition with the *Heldenthema* in the horns (m. 315), which arrives emphatically as (to quote Lenau) “a thunderbolt from the heights,” *ein Blitz aus Höh’n*.<sup>56</sup> This can be considered the announcement of the breakthrough-intention, and

it eventually results in a radically altered recapitulation in which the breakthrough is more fully realized. There Strauss, following the guidelines of the deformation family, collapses the exposition schema to produce an apotheosis, or true breakthrough, in which the *Heldenthema* is sounded fortissimo on the tonic E major, mm. 50ff., as a substitute second subject. This event is clearly the sonorous high point of the work to which all else has led. Significantly, in the recapitulation the *Heldenthema* is sounded over a dominant pedal: its initial sonority is a powerful  $\frac{5}{4}$  chord proclaiming both arrival and expectation. The larger point, however, is that it is not yet resolved. The composer subsequently drives the climactic music to an ecstatic C-major *Jubelruf* in measures 543ff., seemingly its true goal, to a series of sequences that land on F major (heard as IV/C), and finally to a cadence back in E to begin the suicide-duel coda. These details—particularly the crucial significance of C major, which functions as a kind of “second (or redemptive) tonic” in *Don Juan*—will be taken up again in Section 3 below.

But what about the rondo argument, which was also so cogent, at least up to the moment of the *Heldenthema*'s appearance—indeed, up to the point of the reprise? That, too, can be accommodated through a shift from the concept of form-as-schema to that of form-as-process. The actual musical logic of *Don Juan* is best described as a process by which what initially appears to unfold as a rondo deformation is conceptually recast, toward the end, as a sonata deformation.<sup>57</sup> Notwithstanding the general sonata-deformational orientation of its genre, Strauss begins *Don Juan* by providing us with what would seem to be rondo-like signals: cyclical thematic recurrences (albeit in various keys, some of them “wrong”) and episodic adventures. None of this need be problematic until the moment of the first sounding of the C-major *Heldenthema* (m. 315)—seemingly an unforeseen regeneration of some sort—which is puzzling within the rondo-deformation context. (Equally important, however, is that up to this point the evidence that the piece might be a sonata is even slimmer.) Notwithstanding the inbreaking of the Hero-Theme, the piece proceeds, rondo-like, into another episode, the Carnival Scene, in which the new *Heldenthema* plays a prominent role. But instead of suggesting another conquest for Don Juan, the Carnival music suggests instead catastrophe and collapse (mm. 421–24). What Strauss also collapses here is the rondo principle itself: the inner momentum of the rondo, ideally capable of an infinite number of self-replications, is now spent and cannot continue. This precipitates a crisis of form and formal continuation.

The musical zone that connects the Carnival Scene catastrophe to the onset of the reprise (m. 474) comprises a series of brief recollections of the

a. Oboe Idyll, mm. 236–44

b. *Heldenthema*, mm. 315–26

Example 1.

episodes, a barren review of the path that has led to the present structural crisis: images from Episode 1 (mm. 431–33), Episode 2 (mm. 438–41), Episode 3 (mm. 444–47), and, again, Episode 2 (mm. 448–57).<sup>58</sup> The sudden dominant-seventh “snap” in m. 457 (initiating a prolonged  $V^7$  of E) would appear to be connected with Strauss's decision to shift genres: it is as if a solution is glimpsed, and we hear a dominant intensification into what we may now interpret as the recapitulation of a breakthrough sonata deformation. It is only at the moment of the reprise, then (m. 474ff.), and especially at the moment of the *Heldenthema* apotheosis (m. 510), that we realize that the rondo principle has been supplanted by that of the sonata (more specifically, by that of the breakthrough deformational variant). Retrospectively, we may now recall the sonata potential embedded in the dominant-key, second-subject-like Episode 2 (mm. 90–160), the transition potential in Episode 1, the piece's overall structural similarity to other “developmentally episodic” symphonic poems, and so on, and we may accordingly reshape our understanding of the piece under a new generic category.

As we rethink our way through the piece, it would at first appear that the crucial moment for the structure was the initial appearance of the *Heldenthema*. This unforeseen event seems to have disempowered the rondo and made its successful continuation impossible; the subsequent attempt to do so has ended in crisis. But as Strauss tells the tale, the proximate cause of the *Heldenthema* *Durchbruch* is the experience of the idyllic third episode, for the *Heldenthema* is itself a thematic transformation of (or complement to) Episode 3's oboe theme. One hears once again in the *Heldenthema*, for example, the octave leap to the held note (example 1, at [a]), the oboe's coy grace note transformed into a powerful iambic rhythm (b), the subsequent descent with reiterated subphrase (c), and so on. The breakthrough that precipitates the generic crisis (and ultimately, as the agent of peripeteia, that makes the ensuing sonata deformation possible) is itself generated by the experience of the

third episode. Episode 3, then, is the crux of the matter: it is an episode with unforeseen structural consequences.<sup>59</sup>

Before pursuing those consequences, we might finally recall Gerlach's observation, quoted at the beginning of this section, that *Don Juan* is also mixed throughout with an overarching "four-movements-in-one" structure. As has also been noted by Lorenz and Green, the oboe idyll in Episode 3 corresponds with a closed slow movement, the Carnival Scene with a scherzo, and the recapitulation with a finale.<sup>60</sup> And as Dahlhaus has argued, this multi-movement principle is one of the key categories of the post-Lisztian sonata,<sup>61</sup> and it, too, has its own expressive consequences, which will also be considered below.

To summarize the musical-logic argument presented thus far: *Don Juan* is structurally in no single form; rather, it is a structural process in dialogue with several generic traditions. Most important, these traditions are not presented randomly: Strauss undermines the initial rondo deformation's force with the material in the third episode along with its immediate consequences, the *Heldenthema* breakthrough (the *Blitz aus Höh'n*) and the catastrophic Carnival, then liquidates it by presenting subsequent events that permit us to reinterpret the piece as a sonata deformation (a reinterpretation that, however ultimately decisive, must not ignore the earlier presence of the rondo, which had by no means been a false presence); and the whole complex is suffused with the urge to be perceived as a multimovement form in a single movement. This narrative of structural dissolution and replacement could be pursued in a purely musical language by elaborating its tonal ("double-tonic"), harmonic, melodic, rhythmic, and textural details. But this is a symphonic poem—the genre that asks us to consider these things in conjunction with a verbally based, poetic logic. And it is to that more uncertain, but generically defining, realm that we now turn.

### 3

The obvious base text for an inquiry into the poetic logic of *Don Juan* is the set of brief extracts from Lenau's poem that Strauss provided along with the score.<sup>62</sup> Establishing a clear link between the music and the extracts, however, has proven problematic over the past century. The cited lines furnish only a generalized expressive shape, that of an initial erotic energy ultimately transformed into loss and disillusionment; but with regard to specifics, as Muschler put it, they have "nothing to do with a chain of events."<sup>63</sup> For this reason, seekers of a more vivid narrative program have tended to follow the

1908 strategy of Wilhelm Mauke, who refused to be limited to the thirty-two provided lines and insisted that "the whole poem of Lenau must be considered, for we find all of its principal episodes expressed here in sounds."<sup>64</sup> This procedure encouraged a closer identification of what seems to be unambiguously represented in the musical work: three specific sexual encounters, the catastrophic Carnival Scene and its immediate aftermath, and the concluding suicide-duel, none of which is mentioned in the provided lines.

Still, the connection of the Strauss work to the Lenau poem has not been easy to explain, and opinions have ranged from Mauke's Lenau-based concreteness to Specht's 1921 assertion that a far wider program or poetic idea dominates the work: "the symphonic expression of the strongest, most primitive human feeling, the erotic, a series of sensuality masks in their most potent forms. . . . Lenau's *Don Juan* gives [Strauss's work] only its name."<sup>65</sup> Specht's expansion of the poetic content into the general concept of Don-Juanism as the key image of masculine sexual desire was echoed by Lorenz in 1936. "The work's material is not that of Lenau's *Don Juan*. This shape is only a symbol for something far more general . . . the representation of the Will to Life in its most undisguised shape, in Eros."<sup>66</sup>

Particularly because the music's most significant structural events reside outside the confines of both any simple reading of Lenau and any unproblematic celebration of sheer libido, what is needed is a closer study of the work's imagery. Much of this centers around the erotics of the music. On the most basic level it could scarcely be more evident that the work's prevailing images are clearly musical representations of male sexuality—both of its physical mechanics and of nineteenth-century masculine conceptions of the feminine. These allusions are as explicit as the degree to which they have been euphemized by past commentators. One may be certain, however, that on certain basic levels of poetic content this piece concerns itself neither with innocent hand-holding nor with mere serenades to an idealized object of beauty: as Leporello reminds us about another *Don Juan*, "Voi sapete quel che fa."

In a 1934 study of the typology of Strauss's melodies Roland Tenschert identified certain theme types as masculine and feminine. Masculine themes were those displaying an initial, vigorously rising anacrusis incorporating "activity and positive engagement . . . ascending impetus [Auftrieb], power, will"; feminine themes were lyrically rich, legato, descending lines embodying "sinking downward, conceding to another [Gewährenlassen], emotion, and also, not infrequently, a specific disposition [Gemüt]."<sup>67</sup> More current perspectives would probably consider it self-evident that the leading symbol of

the principal Don Juan themes (mm. 1 and 9ff.) is that of the phallus, here also to be understood as a signifier of potential conquest (Lenau's *immer neuen Siegen*, mentioned in the lines quoted by Strauss), of the drive toward libertinism (the magic circle, *Den Zauberkreis*), and of blind sexual desire (*der Jugend Feuerpulse* in pursuit of the *Sturm des Genusses*). The appropriateness of its initial reappearances as a rondo theme—the unflinching regeneration of sexual potency after finishing with the feminine episodes—is obvious enough (cf. Lenau's *Sie kann nur sterben hier, dort neu entspringen*), and at least one commentator, Bryan Gilliam, has explicitly identified E major in Strauss as “typically associated with the passionate or erotic.”<sup>68</sup>

Observations such as these can help us to interpret the significance of an important motive used near the onset of both the first and second episodes (that is, in Don Juan's seductions of Mistresses One and Two, mm. 46–48 and 90–92: see example 2a and b). To be sure, this figure need not be identified exclusively as a musical metaphor of sexual penetration (although the case that could be argued on its behalf is obvious enough, to insist too strongly upon it would be both crudely reductive and unnecessary), but whatever our graphic interpretation might be, the far more important point is that on a broader level of metaphor it would appear to represent Don Juan as possessor, the invader of episodic “other-space” that he is now claiming as his own. In this regard, it is also easy to perceive in the music's early narratives a classic unfolding of what gender theory would identify as one characteristic type of masculine discourse: the conversion of sexual desire (the principal theme) into acts of power and possession (the episodes).

In the first episode Strauss employs this figure *fortissimo* to overwhelm Mistress One's brief C-major identity. “Her” C in mm. 44–45, which in its non sequitur appearance can strike us as a potentially stable, “other” tonic approaching E major as if “from outside” (this is surely its programmatic point, as virtually all commentators have noted), is instantly appropriated and nor-

#### Example 2.



malized as a mere upper neighbor to “his” dominant, V/E. Thus a subject-centered tonic control is insisted upon; through the possession figure “for itself” is consumed and converted into “for him.” The composer then leads the episode, now confidently centered on “Don Juan-related keys” (those more relatable to “his” E than to “her” C), into the musical interplay of the assertive masculine and the alternating *fleBILE* and stereotypically giggling feminine.

In the second episode the possession figure serves as the less aggressive incipit of a more prolonged, lyrical, and *tranquillo* seduction. (To those who, following the interpretive tradition, would argue that this figure represents Mistress Two here, one may respond very simply: it may in fact “be” her, but only in the limited sense that, in actuality, it is nothing more than Don Juan's perception—or Strauss's construction—of her as something beautiful to be possessed. In any event, the tradition does not account for the prominent appearance of this figure in the prior episode.) The second episode begins in B major, moves through other keys, and leads to what is probably a musical representation of masculine sexual climax (the E-minor chords in triplets, mm. 149–52 and 156–59; cf. “Don Juan's tonic,” E major).

Without question, there is an aspect of the modernistically sensational in Strauss's treatment here of the erotic, and it is a simple enough task to propose interpretations of the musical details as representations of graphic concretes once the basic premise is accepted. Needless to say, however, the main risks in any interpretive multiplication of specific erotic referents are, first, the difficulty of sensing at what points our supposed concretes pass over into either the unlikely or the preposterous—tastes and temperaments will differ on this point—and, second, the danger of becoming so taken with a single line of sensational representations that we overlook other possibilities or broader interpretations.

All of this bears on Strauss's construction of the third episode, Don Juan's sexual encounter with Mistress Three. As already mentioned, this episode differs significantly from its predecessors in that it subdivides into two complementary sections, in G minor and G major, traditionally interpreted as an ardent wooing followed by a more intimate love scene.<sup>69</sup> But on this point the tradition seems mistaken, or perhaps squeamish. Although the first section, in G minor, (mm. 197–232) lacks the possession incipit, it is helpful, I think, to interpret it as precisely what we might expect on the basis of the preceding episodes: another musical representation of the sexual act, initiated, as before, without delay by the indefatigable seducer. Once again the composer presents us with a dominating, ascending masculine theme, now

syncopatedly assertive and *molto appassionato*, in dialogue (as in Episode 1) with *febile*, gasping feminine responses.

But Episode 3—or Mistress Three—is not immediately discarded, as her predecessors had been. On the contrary, the G-minor episode now relaxes into a second section, the prolonged G-major idyll, *sehr getragen und ausdrucks-voll*. The most obvious inference would be that Strauss, as narrator, is suggesting that Don Juan is lingering in a prolonged embrace, now released (or “redeemed”—Wagner’s *erlöst*) from a roguishly coital G minor into a radiant, and doubtless postcoital, G major. For the first time—and this must be the *raison d’être* of the nonnormative “double episode”—Don Juan is portrayed as accepting satisfaction and stasis. This is a reversal of that which had defined his essence (Lenau’s *Ich fliehe Ueberdruss und Lusterermattung . . . Hinaus und fort nach immer neuen Siegen, / So lang der Jugend Feuerpulse fliegen!*). In the G-major episode, then, Strauss begins the process of undoing Don Juan qua Don Juan; the melodic, harmonic-tonal, and structural signs associated with him are now seriously threatened. (We may recall that Episode Three’s idyll is the musical event through which, and after which, the ongoing rondo deformation will be dissolved. After this third episode Don Juan is permitted no more episodic successes, or conquests.) In this pivotal G-major idyll Don Juan the penetrator is himself penetrated—presumably by such things as genuine emotion, fulfillment, and so on—and the rondo principle, his structural sign, is incapable of continuing as if nothing had happened.

With the G-major idyll emerges the famous oboe theme (mm. 236ff.); Don Juan’s prior “Episode 3 seduction” motive has now collapsed into a cozily satisfied prop (in the muted cellos and violas, *divisi*, above a settled tonic pedal) for the theme itself. Here too, in the new attention to the feminine, Strauss overturns the piece’s basic premises, and this first peripeteia is simultaneously linked with the problem of placing a slow movement into a multimovement-form-in-a-single-movement that claims to convey the fiery pulses (*Feuerpulse*) of libidinal insatiability. Because the slow movement would inevitably be the contradictory movement of such a piece, one might have expected Strauss to have suppressed it or to have treated it in a less substantial way. The composer’s solution to this structural dilemma is as simple as it is brilliant. By expanding the slow movement into a prolonged, sensual stasis, and by subsequently abandoning the rondo principle in a negative scherzo, Strauss invites us to interpret the slow movement as the irreversible wounding of the piece’s initial principles. Thus Don Juan’s encounter with Mistress Three becomes the cardinal event of his life, at least as traced out in this narrative.

Virtually all commentators interpret the idyll as displaying a new depth to Don Juan’s emotion, although as a rule they draw no further conclusions from this apart from pointing us toward the beauty of the music. Mauke touches here on the German Romantic tradition that Don Juan did indeed fall in love with one woman, Donna Anna (in fact, such an event is mentioned, but not explicitly dramatized, in the Lenau poem);<sup>70</sup> Specht conjures up “das uralte Mysterium von Mann und Weib”; and Del Mar, while hesitant to accept Mauke’s identification of Mistress Three with Anna, assures us that “there is not the slightest doubt that Strauss is now concerned with Juan’s deepest love-experience.”<sup>71</sup>

Moreover, the opening of the G-major passage is not without its Wagnerian resonances. In terms of affect, allusion, and even melodic contour, the oboe theme can easily recall such nineteenth-century masculine constructions of the ideal woman—almost invariably represented as a gentle, centered voice of security, the domestic complement to masculine striving—as heard, for instance, in the E-major portion of the love duet in *Siegfried*, act 3, the rescued and newly awakened Brünnhilde’s “anmüthiges Bild vor die Seele” (see example 3a and b).<sup>72</sup> Perhaps even more to the point, this passage was also familiar as the principal theme of the *Siegfried-Idyll*, one of the principal models for late-nineteenth-century sonata deformation, and one which, as mentioned above, Waltershausen and Muschler claimed as the prototype for the structure of *Don Juan*. Related examples of this familiar “ideal-partner” topos (which frequently features a solo woodwind instrument, often an oboe) include Liszt’s representation of Gretchen in *Eine Faust-Symphonie* (example 3c) and the theme, sung by a newly blissful Eva, that opens the quintet from *Die Meistersinger*, act 3 (example 3d; certain features of the quintet seem to be explicitly echoed in this *Don Juan* episode). Strauss would reuse the topos for Dulcinea del Toboso (or, as Del Mar argues for its first appearance only, for “the ideal Lady of Knighthood”) in *Don Quixote* (example 3e).<sup>73</sup>

The idyll closes in its tonic, G major (m. 296), and a *molto tranquillo/dolcissimo* codetta is appended (mm. 296–307). At this point we hear Don Juan’s “seduction” motive—a mere support in the idyll—beginning to stir, *stringendo* (mm. 307–14), rising out and away (*hinaus und fort*) from the stasis, driving toward the refocussing of the masculine voice. But this voice is no longer that of the initial rondo; it is the *Heldenthema* (another peripeteia) sounded in unison by the four horns (mm. 315ff.). As mentioned above, its melody is determined primarily by the rhythms and contours of the Mistress-Three theme, and yet one might argue that its (upbeat)-descent-ascent shape, reinforced with extraordinary intensity of timbre, concludes in a manner likely to strike us as

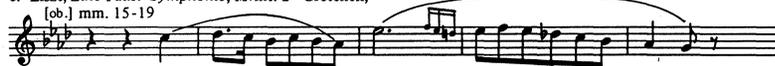
a. Wagner, [*Siegfried*, III], *Siegfried - Idyll*, mm. 28-34



b. Strauss, *Don Juan*, mm. 236-42



c. Liszt, *Eine Faust-Symphonie*, Mvmt. 2 "Gretchen,"  
[ob.] mm. 15-19



d. Wagner, *Die Meistersinger von Nürnberg*, Act III, Quintet  
(doubled by ob.)



e. Strauss, *Don Quixote*, mm. 24-29  
[ob.]



### Example 3.

more potently masculine than anything presented thus far. This is the moment announcing the advent of the *Durchbruch*, Lenau's *Blitz aus Höh'n*—Don Juan in some sense unexpectedly transformed by Mistress Three—and the theme is underpinned with “her” tonic pitch, G, now functioning as a powerful dominant of C major. Since the *Heldenthema* expresses the dominant, not the tonic—potentiality, not actuality—we are now presented with the possibility of a transformed tonic, a *telos* or utopian tonic to which Episode 3, it now appears, has been pointing. Thus just as Don Juan is given a new theme at this point, he is also given a potentially new tonic. And although it is as yet unrealized, indeed scarcely envisioned, he will also be offered a new structural sign: that of the *Durchbruch* sonata deformation.

Such an interpretation also addresses one of the (only seemingly minor) puzzles of the piece: why did Strauss fail to provide key signatures for the entire middle section of *Don Juan* (mm. 197–456; the outer sections, of course, are in four sharps)? Curiously, the signature change to no sharps or flats occurs at the outset of Episode 3, although that moment launches an extensive stretch of “two-flat” music followed by an even longer one of “one-sharp” music (mm. 197–231, 232–313). (All of this, of course, is intended to raise the much-neglected issue of the poetic content of pure notation—in

this case, of “wrong” key signatures.) One presumes that Strauss is notationally suggesting that from its beginning he conceives the G area of Episode 3—that is, Mistress Three—as striving by stages to attain the redemptive C major. Thus the G-minor/major episode followed by the clearly dominant function of the *Heldenthema* can be seen as a long-range potential cadence in C major. It is the function of the *Heldenthema* to usher in the *telos*, C major—a *telos* cleverly foreshadowed in such spots as the pseudo-“C<sup>6</sup>” implication of measure 1, the first, “innocent” appearance of the feminine (mm. 44–45), and the “C<sup>6</sup>” of the rondo recurrence of DJ at m. 169.

But the potential for transformation is not accepted. Instead of resolving the G dominant, Strauss confounds it by bringing it onto a common-tone, C-sharp diminished seventh chord (m. 337). This triggers the return of the old “libertine” impulse in the cellos and basses (DJ<sup>int</sup>, *rapidamente*), and it is followed by a brief, developmental representation of the struggle between the two *personae* of Don Juan: the traditional libertine (DJ<sup>int</sup>) and the newly transfigured (perhaps potentially domestic) Held (mm. 337–50). At stake is the continued viability of Don Juan's old signs: DJ<sup>int</sup> and DJ, E major, and the rondo structure.

The composer now leads Don Juan into a fourth episode, the Carnival “scherzo” beginning in D major but lacking a key signature (m. 351: that is, the music is notationally branded by the remembered possibility of C major).<sup>74</sup> Strauss's poetic logic, parallel to the musical logic, would appear to suggest that in rejecting the transformation offered to him, Don Juan believes that, as before, he will be able to get back onto the rondo track. But in Episode 4 Don Juan is identified primarily by the new Hero Theme. He is not who he was: he is now marked by Mistress Three, and the *Heldenthema* is subjected to a developmental, decentering process that leads from frivolity (*glockenspiel*, m. 358) to increasing distortion and attempts to reassert the rondo theme (DJ<sup>int</sup> and DJ variants, *vivo*, mm. 386ff.), to ultimate crisis, nonresolution, and collapse (mm. 421–24). The fourth episode is unsuccessful; the rondo game is liquidated.

In the famous shattered-review of episodes (mm. 424–57)—Mistresses One, Two (the possession figure as a sign of Don Juan's original persona), Three, and Two again—Strauss brings the rondo narrative to a halt. What is created here is something of a corridor connecting two areas grounded in differing formal categories—rondo and sonata deformation. Everything preceding this corridor is mainly in dialogue with the rondo principle; everything following it will invite us to revise our hearing in the direction of a sonata deformation. The poetic metaphor would seem to be that of Don

Juan weighing the alternatives of the two personae available to him as expressed in the past episodes. In this famous "Katerstelle" (Hangover Passage) as Strauss called it,<sup>75</sup> the ordering 1, 2, 3 (the new persona), and 2 must be significant, and the second reevocation of the possession figure from Episode 2 (mm. 448–57) conjures up Don Juan's realization that the former rondo persona (the libertine) holds no more pleasure for him (Lenau's *plötzlich ward die Welt mir wüst, umnachtet . . . der Brennstoff ist verzehrt*, and so on). Along with the rondo structure, the DJ themes themselves and their E-major tonic key will ultimately have to be abandoned.

For the present, however, the moment of decision (m. 457, the "snap" V<sup>7</sup> of E major, *a tempo primo*) prepares a sonata-deformation reprise of the *Durchbruch* type. Both structurally and poetically, this "recapitulation" holds the key to the meaning of *Don Juan* and is simultaneously the most difficult portion of the work to interpret. The composer's decision to have the subject "rebegin" here—after the preceding collapse—can be understood in a number of ways, and I shall suggest three. First, the adoption of a deformation of the sonata principle suggests above all a jettisoning of the rondo, coupled with an acceptance of architectonic rounding and more or less symmetrical resolution, all of which must be understood to be antithetical to the original *Don Juan* persona. To accept the reprise-and-resolution aspect of the sonata here is decisively to accept the transformation wrought by the peripeteias of Episode 3 and the *Heldenthema*. Thus, from one perspective the energetic rondo theme, now the principal theme of the sonata, is brought back as a sign of embracing sonata activity. (This is no trite argument, I hope, that the recapitulation exists for "purely musical reasons." In some senses this is accurate, but the semiotic point is that those reasons constitute a "negative sign" of what is abandoned—here, the poetic idea of the abandonment of the rondo and the persona with which it is identified. In other words, one way to abandon a rondo is to show the listener that it has become a sonata.)

Second, one may argue that Strauss's narrative task is now to extinguish the signs of *Don Juan* as libertine in as emphatic a manner as possible. The dialectic established thus far is essentially this: on the one side, E major, rondo deformation, DJ themes, and libertinism; on the other, a potential C major as *telos*, sonata deformation, *Heldenthema*, and abandonment of libertinism and *Erlösung* via Mistress Three. This argument would maintain that the rondo theme and its key are being "set up" in the recapitulation primarily to be destroyed (that is, in the coda). This return of the rondo theme, now the principal theme of a sonata, may be heard as the first stages of the propping up of the target.

Third, the rondo theme may be reevoked to serve as a pointer or pathway to something beyond itself, namely the triumphant reappearance of the *Heldenthema* (mm. 510ff.). The recapitulation would thus summarize the old-persona/new-persona trajectory that characterizes the entire work. One notices that the DJ theme itself now differs from its version in the "exposition": it is far briefer (functioning primarily now as an intensification leading to the *Heldenthema*), and it is no mere restatement of the opening—rather, it is imprinted with traces of the catastrophic Episode-4 experience (for example, the fleeting shift through D in m. 486, suggesting also an unstable E major; the brass motives in mm. 490ff., beginning on V of C-sharp minor; and so on). The actual moment of passage into the *Heldenthema* apotheosis also seems significant: the bass line of the two measures preceding it (mm. 508–9) reevokes the d<sup>1</sup>-b chromatic descent characteristic of the accompaniment of the opening of the G-major idyll (cf. mm. 232–37, which, as I have suggested earlier, is the first indication of *Don Juan*'s acceptance of a passive, static role).

As for the *Heldenthema* apotheosis itself (mm. 510ff.), it seems to have a double function. Considered from the side of symmetries and balances, it confirms the sonata deformation, and hence the negation of the rondo, by replacing the themes of the earlier mistresses with the *Durchbruch* idea in E major. But more importantly, the *Heldenthema* expresses V, not I: underpinned by a pedal dominant, it is still unresolved at the moment of its appearance in the recapitulation and represents promise, not fulfillment. In measure 526 the bass dominant begins its 5-4-3-2-1 descent to the tonic, but when the E tonic is reached (m. 529), a ♯7 above veers away from closure on E and begins a process of further intensifications and sequences that push instead into a triumphant C major (m. 543).

In short, Strauss drives the *Heldenthema* not to a cadence in E, but to one in C, the *telos* key promised in Episode 3. I take this attainment of root-position C major (a harmonic and chordal stability that the *Heldenthema* proper never attains) to be both the central "tonal point" of the symphonic poem's key patterns, and, ultimately, the point that I believe unlocks the poetic content of the whole. The E-major tonic (the "rondo"-*Don Juan*'s tonic) is not to be the true locus of the new persona: that E major, too, will have to be liquidated. At this point the composer opens up an escape hatch, so to speak, to permit the new persona to "leap out of" E major into C major—to abandon the E-major piece that has been created thus far.<sup>76</sup>

The C-major passage, the final peripeteia or transfiguration (mm. 543ff.), introduces an exultant, quasi-pentatonic (and again, somewhat Wagnerian)

mm. 543-47



Example 4.

*Jubelruf*, itself derived from a portion of the *Heldenthema* (example 4).<sup>77</sup> Notwithstanding its function as the redemptive space or the true goal, the C-major passage itself is brief. Strauss now leads the *Jubelruf* through ascending sequences and locks it onto an F-major chord (mm. 556–67), which clearly is to be heard as IV of C. Its function here, however, is to serve as the setup for the E-major cadence that launches the coda (m. 567), whose goal it is to destroy that E major, that is, the old persona. With the F-chord setup comes the return of the ascending “libertine” figures, and with the E cadence that “libertine” key, along with the DJ themes, is propped up as the target for liquidation: the destruction of these things is to be dramatized, made patently audible. (And if we have concluded that the “real content” of the piece has been abandoned with the leap into the C-major *Jubelruf* passage, what remains here on E is a mere shell, a set of empty gestures vulnerable to collapse—that is, transformation into E minor.)

In the “suicide-duel” coda, that E major is extinguished, brought down to E minor with what is usually interpreted as the sword thrust of Don Pedro (mm. 586–87). Once again the penetrator is penetrated (only now literally), in a gesture parallel to that of Episode 3. All of the prior buoyancy and *élan* of the tonic now deflates to its parallel minor—here, as all commentators have noted, a death symbol.<sup>78</sup> Thus the poetic structure of the entire work follows the reverse of the pattern found in Strauss’s next symphonic poem: here, instead, we have a *Verklärung und Tod*.

## 4

That all of the above suggests things beyond the thirty-two lines of Lenau selected by Strauss (in fact, beyond the actual content of the entire Lenau poem or the Don Juan tradition) is obvious. This need not invalidate the poetic idea proposed here. Rather, it raises the issue of whether a musical work may go beyond the concreteness of its avowed program—whether a piece can be in dialogue with its paratext rather than remaining bound to it. The point, ultimately, lies not so much in the verifiability of my programmatic suggestions (short of discovering a note from Strauss mapping out the “secret program” of *Don Juan*, how could one be certain of the details?) than in the exercise itself. I am less concerned with issues of argumentative clo-

sure than I am with illustrating a process that founds the symphonic poem as a genre.

But we are still left with some puzzles: which Don Juan story is Strauss telling, and what is its larger significance? Any answer would have to begin by reconfronting the issue of whether the death of Don Juan at the work’s end is to be understood literally. If so, in Strauss’s version Don Juan ceases to exist as Don Juan at the point of the G-major idyll, the quelling of the ever-renewable potency of his *Feuerpuls*. Strauss leads his hero to confirm this in the *Durchbruch* and subsequently decentering fourth episode, and after permitting him a last embrace of his beloved destroyer (the *Heldenthema* and *Jubelruf* in the recapitulation) the composer brings his subject to a literal death, the physical realization of the spiritual death suffered earlier. This is a recasting of the common, nihilistic version of the story, variants of which were expanded by Rolland in 1908 into an image of a technically invincible but purposeless German military machine (which “clasps the world in its great arms and subjugates it, and then stops, fatigued by its conquest, and asks: ‘Why have I conquered?’”),<sup>79</sup> and, more recently, by Adorno into a metaphor for what he perceives as the emptiness of Strauss’s music itself:

Senile and infantile, his music responds through mimesis to the universal domination of the calculated effect in which it becomes ensnared; it thumbs its nose at the censors. It does not take part, however, in the process of self-preservation. The life which celebrates itself in this music is death; to understand Strauss would be to listen for the murmur beneath the roar, which, inarticulate and questioning, becomes audible in the final measures of *Don Juan* and is his truth-content. Solely in decline, perhaps, is there a trace of what might be more than mortal: inextinguishable experience in disintegration.<sup>80</sup>

But yet, as Lenau suggests in the most telling phrase in the extracts quoted by Strauss, “And perhaps not” (*Vielleicht auch nicht*). Another interpretation, one that seems more likely to me, although it is hardly less unsettling, is that Strauss dramatized the rejection of one traditional masculine persona (the libertine) through the acceptance of another (the sharer of middle-class “heroic” domesticity with the “intended” partner). The suicide-duel at the end of this superficially positive version of the tale, one of the wholehearted acceptance of *bürgerlich* stasis and conformity, would signify not the destruction of the physical individual, but rather the abandonment of an earlier, rakish persona, all cast in somewhat overinflated, mock-heroic terms, but terms that after all are not unrelated to Strauss’s life situation in the late 1880s.

In this reading the transformed subject would survive (somewhere outside of the actual piece, one supposes, but in the sharpless and flatless land of C major, having bailed out through the redemptive window opened by the composer near the end of the recapitulation), and the logical poetic sequels to *Don Juan* would be the "bourgeois" conclusion to *Ein Heldenleben* and the whole of the *Symphonia Domestica*. To the degree that one entertains the possibility of the domestic denouement as opposed to the nihilistic one, one might argue that in a broader sense Strauss's radicalism in *Don Juan* is deceptive: a dazzling technical façade conceals far more conventional attitudes that he would reveal more overtly in some of his later tone poems and then embrace even more fervently in the second decade of the next century.

Such considerations suggest larger issues of historical content and meaning. Within the sphere of technique, Strauss situated *Don Juan* within a historical paradigm whose validity was intertwined with issues of artistic innovation and obsolescence, that is, with an aesthetically "correct" intersection with (to borrow Adorno's concept) the "state of the material."<sup>81</sup> His overriding concern was to be perceived as engaging in a progressive dialogue with a complex set of historically determined default attitudes, genres, and formal traditions.

Still, within a working out of these technical problems one may perceive some of the growing historical tensions between "realism" and "modernism," and notwithstanding the slipperiness of these terms and the complexity of the issues they raise, we might conclude by sketching out some of these larger concerns. It could be argued, for example, that the category of realism seems particularly active in the first two thirds of the work. Here in the rondo we encounter a mimetically representational content that seems to be a larger concern than form per se.<sup>82</sup> The mere impulse toward representation, of course, cannot define a work as realistic. As Dahlhaus has warned us, nineteenth-century music's relationship to realism is problematic. Instrumental music more often represents a prolonged adherence to romanticism in an otherwise increasingly realistic world: "The simplistic equating of 'realistic' and 'programmatic' . . . is too primitive to make discussing the instances where it is propounded worthwhile."<sup>83</sup> The larger point, though, is that here the specific rondo program, a mere sequence of sexual encounters altogether unconcerned with defining itself in terms of shape and proportion, is extraordinarily flat, emphatically physical, and (certainly by the onset of the third episode) both repetitively ordinary and seemingly pointless.

More broadly, then, traces of realism may be discerned not in the mere representational intention but in the music's underlying aesthetic stance and

*Weltanschauung*. As Fredric Jameson has argued, one of realism's key features is to desacralize experience previously overcoded through myth or metaphysics; this is a realism whose represented objects belong to a "desacralized, postmagical, common-sense, everyday, secular reality."<sup>84</sup> In its embracing of some sort of nontranscendent, everyday concreteness and secularized representation, much of Strauss's *Don Juan* (and the later tone poems even more) subjects the prevailing concept of a mystical, autonomous music to a rigorous critique. This aspect of Strauss, which we may now regard as the principal challenge of his work, was not lost on those of his critics who continued to uphold the Schopenhauerian-Wagnerian belief in a music that transcends the merely phenomenal. For any true believer—Mahler, Schoenberg, Bloch, Adorno, and others—the all too easy link between Strauss and the acceptance of everyday experience poisoned the composer's oeuvre and tilted dangerously at the seriousness of music itself: as one of the defenders of the faith, Bloch would refer to Strauss as "the master of the superficial."<sup>85</sup> Strauss's music invites us to ponder the disproportion between the generic promise of his apparatus—the full-blown symphony orchestra, developed by believers to become the bearer of a sacrament—and the often mundane or emphatically negative "realities" that Strauss uses it to convey. All of this would seem to be connected with the sociohistorical concerns of realism and desacralization. To what extent Adorno's charge of Strauss's "technification" of music is relevant here remains to be explored.<sup>86</sup>

The concept of turn-of-the-century musical modernism, too, needs further investigation. Although this "modernism" (in a specifically narrow sense of the term, as opposed, say, to the far broader concept of "modernity" that many writers in the Germanic tradition would see as extending back at least to the eighteenth century)<sup>87</sup> is one of the chief categories of Dahlhaus's system, it remains curiously undeveloped in his writings, existing mostly as something to be posited, following Hermann Bahr, as a "breakaway mood of the 1890s."<sup>88</sup> The literature on literary and artistic modernism, however, is enormous, and although I wish to steer as clear as possible from the impulse to reduce the term to any one of its competing definitions, once again, for our more limited purposes Fredric Jameson provides some helpful remarks. To Jameson this more specifically delimited modernism (which flourished especially in much of the radical art of the earlier twentieth century) is the "dialectical counterconcept" of realism, one with an "emphasis on violent renewal of perception in a world in which experience has solidified into a mass of habits and automatisms."<sup>89</sup> This articulation seems tailored to describe the events of *Don Juan*: the merely sequential, "pointless" rondo,

capable of replicating itself *ad infinitum* (*Sie kann nur sterben hier, dort neu entspringen*); the *Heldenthema* *Blitz aus Höh'n*; the subsequent decentering of Don Juan's initial persona; the corridor of self-reflection (in which Don Juan acquires a history by reflecting on and thus problematizing the emptiness of merely habitual, "realistic" experience); and the "renewal of perception" made available by retrojecting the category of a breakthrough sonata deformation over past events and then proceeding in suit.

In short, in *Don Juan* Strauss brings into tension three historical categories: the *de facto*, "neo-Romantic" ideology of the metaphysics of instrumental music; the "realistic" desacralization and the initial embrace of the merely material or the everyday, whose function is to critique the neoromanticism; and the recourse to such "modern" structural processes as breakthrough and attempted resacralization, which, in their turn, critique the realism. It is difficult to ascertain which of the three categories is ultimately decisive. Rather, they seem suspended in an unresolved tension, and it is in that tension that the heart of the piece resides. Such considerations begin to account for the ambiguity of *Don Juan's* form—a provocative set of possibilities rather than a trim, solvable narrative. And, as the Strauss of 1888 would remind us, all of this is grounded in the "poetic idea" itself ("the musical-poetic content that I want to convey")—which is why, for Strauss, the appeal to older sonata models and "purely formalistic, Hanslickian music-making will no longer be possible."

The crux of the *Don Juan* problem, or network of problems, will always reside in its most ambiguous portion: the altered reprise with its drive out of an ecstatic E major into the temporary, even more ecstatic C major. The recapitulation is the section that most clearly conveys the constellation of tensions at the core of the work. Our preferred individual solutions to these problems (if we need them to be solved at all) will depend largely on the set of assumptions that we bring to them, that is, on our own set of myths that we shall want reinforced. But perhaps we should be content not to fix these meanings too closely. All that is certain is that, as Strauss wants us to hear the tale, the actual subject of *Don Juan* allows his own integrity as indefatigable seducer to be breached. The rules of the game have been broken, and the *Don Juan* myth distorts, despairs, and ultimately, grudgingly, disappears. (*Vielleicht auch nicht.*)

## Notes

- 1 Carl Dahlhaus, "Schreker and Modernism: On the Dramaturgy of *Der ferne Klang*" [1978], in *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1987), p. 192; and *Nineteenth-Century Music* [1980], trans. J. Bradford Robinson (Berkeley: University of California Press, 1989), p. 330. For Dahlhaus, the onset of musical "modernism"—a period later maligned for polemical reasons as "late Romanticism" or "post-Romanticism" by the adherents of New Music—is linked to the 1889 premieres of *Don Juan* and Mahler's First Symphony, and it proceeds with its own aesthetic goals and assumptions until around 1914.
- 2 Theodor W. Adorno, "Cultural Criticism and Society," in *Prisms* [1955], trans. Samuel and Shierry Weber (Cambridge, Mass.: MIT Press, 1981), p. 32.
- 3 Theodor W. Adorno, "Thoughts on a Theory of the Art Work," *Aesthetic Theory* [1970], ed. Gretel Adorno and Rolf Tiedemann, trans. C. Lenhardt (London: Routledge & Kegan Paul, 1984), p. 252.
- 4 Gérard Genette, "Structure and Functions of the Title in Literature" [1987], trans. Bernard Crampé, *Critical Inquiry* 14 (1988): 692–720. Cf. Françoise Escal, "Le titre de l'oeuvre musicale," *Poétique* 69 (1987): 101–18.
- 5 Particularly helpful here is Jean-François Lyotard's concept of agonistics—an adaptation of Wittgenstein's theory of language games—as elaborated in *The Postmodern Condition: A Report on Knowledge* [1979], trans. Geoff Bennington and Brian Massumi (Minneapolis: University of Minnesota Press, 1984), pp. 10–11, 16–17.
- 6 Cf. Carl Dahlhaus, "The Idea of the Musically Absolute and the Practice of Program Music," in *The Idea of Absolute Music* [1978], trans. Roger Lustig (Chicago: University of Chicago Press, 1989), pp. 128–40. Related writings of Dahlhaus that help to focus the program problem are: "Schoenberg and Programme Music" [1974], *Schoenberg and the New Music*, p. 95; "The Twofold Truth in Wagner's Aesthetics: Nietzsche's Fragment 'On Music and Words,'" [1974], in *Between Romanticism and Modernism*, trans. Mary Whittall (Berkeley: University of California Press, 1980), pp. 19–39; *Realism in Nineteenth-Century Music* [1982], trans. Mary Whittall (Cambridge: Cambridge University Press, 1985), pp. 37–40; and "Program Music and the Art Work of Ideas," in *Nineteenth-Century Music*, pp. 360–68.
- 7 For a discussion of the classic "chronological" case, see Andrew Bonner, "Liszt's *Les Préludes* and *Les Quatre Élémens*: A Reinvestigation," *19th-Century Music* 10 (1986): 95–107. An "aesthetic" response may be extrapolated, e.g., from Dahlhaus, "Schoenberg and Programme Music," p. 95.
- 8 Otto Klauwell's discussion in *Geschichte der Programmmusik* (Leipzig: Breitkopf & Härtel, 1910), pp. v–vi, which legitimizes only those programmatic works that can also be grasped by a purely "musical logic" or by musical principles alone, may be taken as paradigmatic.
- 9 Ernst Krause, *Richard Strauss: The Man and His Work*, trans. John Coombs (Boston: Crescendo, 1969), p. 216.
- 10 Michael Kennedy, *Richard Strauss* (London: Dent, 1976), p. 127.
- 11 The issue has been effectively touched upon by Carolyn Abbate, "What the Sorcerer Said," *19th-Century Music* 12 (1989): 221–30. Note especially pp. 223–24, wherein she critiques the "interpretive escape route" of explaining puzzling passages of otherwise descriptive music as occurring for "some wholly musical reason": "When a motif's appearance seems contradic-

- tory in terms of its symbolic force, it will be stripped of its symbolic meaning. Its recurrence is written off to the exigencies of purely musical logic."
- 12 Dahlhaus, "Program Music and the Art Work of Ideas," in *Nineteenth-Century Music*, p. 361. See also n. 6 above.
  - 13 Dahlhaus, "The Twofold Truth," in *Between Romanticism and Modernism*, p. 22.
  - 14 Liszt, "Berlioz und seine Harold-Symphonie" [1855], in *Gesammelte Schriften*, vol. 4 (Hildesheim: Georg Olms, 1978), pp. 1–102. See also the excerpt in Constantin Florós, *Gustav Mahler*, vol. 2 (Wiesbaden: Breitkopf & Härtel, 1977), p. 54.
  - 15 Hans von Bülow and Richard Strauss: *Correspondence*, ed. Willi Schuh and Franz Trenner, trans. Anthony Gishford (London: Boosey & Hawkes, 1955), pp. 82–83.
  - 16 For a discussion of the term "musical logic" (which by the end of the nineteenth century was intertwined with Hanslick's concept of the "purely musical") see especially Dahlhaus, *Klassische und romantische Musikästhetik* (Laaber: Laaber, 1988), pp. 282–84, and the chapter devoted to it, "Musical Logic and Speech Character," in *The Idea of Absolute Music*, pp. 103–16.
  - 17 The term *Tonbilder* (tone pictures) is common enough with regard to the Strauss symphonic-poem repertory; one notes its usage (*Tonbilderfolge*) even in Gerlach (see n. 26 below), a writer unconcerned with "extramusical" content. For the important term *Seelenzustände*, the use of which goes back at least as far as A.B. Marx in the 1820s, see Arno Forchert, "Adolf Bernhard Marx und seine Berliner Allgemeine musikalische Zeitung," in *Studien zur Musikgeschichte Berlins im frühen 19. Jahrhundert*, ed. Carl Dahlhaus (Regensburg: Bosse, 1980), pp. 381–404, esp. pp. 390–91. See also Leon B. Plantinga, *Schumann as Critic* (New Haven, Conn.: Yale University Press, 1967), p. 120. One may also find the term in Lorenz's 1936 commentary on *Don Juan*, p. 454.
  - 18 Rollo Myers, ed., *Richard Strauss & Romain Rolland: Correspondence [1951]* (Berkeley: University of California Press, 1968), p. 29.
  - 19 Strauss, "Aus meinen Jugend- und Lehrjahren," trans. as "Recollections of My Youth and Years of Apprenticeship," in *Richard Strauss: Recollections and Reflections*, ed. Willi Schuh [1949], trans. L.J. Lawrence (London: Boosey & Hawkes, 1953), p. 139. A ca. 1940 dating is provided in *The New Grove*. Also quoted (along with a few other, similar remarks) in Krause, pp. 179–80, and Dahlhaus, "Program Music and the Art Work of Ideas," pp. 361–62 (see also *The Idea of Absolute Music*, pp. 137–38). The translations above are taken from those of Krause and Schuh. For further collections of Strauss's remarks about programs and musical structures, see also Krause, pp. 214–23, and Constantin Florós, *Gustav Mahler*, vol. 2, pp. 55–56.
  - 20 Krause, pp. 221–22, quoting reminiscences of Strauss by Albert Gutmann and Stefan Zweig. Cf. p. 72; and cf. Schoenberg on Strauss's "pictorial" concerns in "Human Rights" [1947], in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein [1975] (revised and reprinted, Berkeley: University of California Press, 1984), p. 511.
  - 21 Krause, p. 217.
  - 22 In Myers, *Richard Strauss and Romain Rolland*, pp. 27–28. For his part, Rolland was eager to accept Strauss's explanation, and we see him offering it on behalf of various tone poems in his essay, "Richard Strauss," in the 1908 *Musiciens d'aujourd'hui*: "[In *Tod und Verklärung*] if all suggestion of a programme is taken away, the symphony still remains intelligible and impressive by its harmonious expression of feeling" (*Musicians of To-day*, trans. Mary Blailock [New York: Henry Holt, 1914], p. 145).
  - 23 For our purposes, an adequate summary of these issues—and of the Lenau poem itself—is provided in Norman Del Mar, *Richard Strauss: A Critical Commentary on His Life and Works*, vol. 1 (1962; reprint, Ithaca: Cornell University Press, 1986), 65–69.
  - 24 Brecher, "Richard Strauss als Symphoniker," [part 2], *Leipziger Kunst* 1 (1 June 1899): 418; Klauwell, *Geschichte der Programmusik* (see n. 8 above), p. 230; Steinitzer, *Richard Strauss* (Berlin: Schuster & Loeffler, 1911), pp. 229–30; Waltershausen, *Richard Strauss: Ein Versuch* (Munich: Drei Masken, 1921), p. 49; Muschler, *Richard Strauss* (Hildesheim: Borgmeyer, [1924]), pp. 262–69; Del Mar, *Richard Strauss*; Kennedy, *Richard Strauss* (London: Dent, 1976), pp. 129–30; Michael Kennedy and Robert Bailey, "Richard Strauss," in *The New Grove Dictionary of Music and Musicians* [1980], revised and reprinted in *The New Grove Turn of the Century Masters* (New York: Norton, 1985), p. 218; Levy, *Music: A Listener's Introduction* (New York: Harper & Row, 1983), pp. 265–69. Donald Francis Tovey also seems to acknowledge at least a sonata exposition in *Essays in Musical Analysis*, reprinted in *Symphonies and Other Orchestral Works* (Oxford: Oxford University Press, 1989), p. 510.
  - 25 Nodnagel, *Jenseits von Wagner und Liszt* (Königsberg: Ostpreußischen Druckerei, 1902), pp. 75–77; Specht, *Richard Strauss und sein Werk*, 2 vols. (Leipzig: Tal, 1921), vol. 1, 183–93; Abraham, *A Hundred Years of Music*, 3d ed. (Chicago: Aldine, 1964; reprint, 1966), p. 209; Goléa, *Richard Strauss* (Paris: Flammarion, 1965), pp. 58–60; Edward Murphy, "Tonal Organization in Five Strauss Tone Poems," *The Music Review* 44 (1983): 223–33; and Heinz Becker, "Richard Strauss," in *The Heritage of Music*, ed. Michael Raeburn and Alan Kendall, vol. 3, *The Nineteenth-Century Legacy*, ed. Martin Cooper and Heinz Becker (Oxford: Oxford University Press, 1989), pp. 281–82.
  - 26 Gerlach, "Analyse und Interpretation der Tondichtung für Grosses Orchester Don Juan Op. 20 von Richard Strauss," in *Don Juan und Rosenkavalier: Studien zu Idee und Gestalt einer tonalen Evolution im Werk Richard Strauss* (Bern: Paul Haupt, 1966), pp. 13–65. Forchert, "Zur Auflösung traditioneller Formkategorien in der Musik um 1900: Probleme formaler Organisation bei Mahler und Strauss," *Archiv für Musikwissenschaft* 32 (1975): 85–98, esp. pp. 94–96. Cf. Leon Plantinga, in *Romantic Music: A History of Musical Style in Nineteenth-Century Europe* (New York: Norton, 1984), p. 448: "The structure of *Don Juan* bears some resemblance to both sonata-allegro and rondo form."
  - 27 Gerlach, pp. 46–47.
  - 28 Mauke, "Don Juan: Tondichtung nach N. Lenau: Op. 20," in *Richard Strauss: Symphonien und Tondichtungen* [Meisterführer Nr. 6], ed. Herwath Walden (Berlin: Schlesinger [Lienau], 1908), p. 49. Earlier in the essay (again p. 49) Mauke claims that the work subdivides into a beginning, a "calm *Mittelsatz* with three beautiful themes," and a "powerful *Conclusio*" that is followed by an ending in a "gloomy E minor." Cf. Urban, *Richard Strauss* (Berlin: n.p., 1901), p. 19, concerning the early symphonic poems in general: "Here occurs the break with all traditions. One no longer recognizes symphonic forms," etc.
  - 29 Lorenz, "Neue Formerkenntnisse, angewandt auf Richard Straußens 'Don Juan,'" *Archiv für Musikforschung* 1 (1936): 452–66. In brief, according to Lorenz, the bar form's second *Stollen* begins with m. 163, the transition out of *Don Juan*'s B-major encounter with the second of the three mistresses evoked by the music; its *Abgesang* begins with the inbreaking of the *Heldenthema* in the horns, m. 315. While the details of Lorenz's analysis seem largely untenable and uncomfortably schematic today, his reason for arguing on behalf of the bar form rests ultimately on the significance of the appearance of the *Heldenthema*—the arrival of something new midway through the piece. Among the analysts Lorenz alone adequately judges the radical importance of this musical event, and he deals with it by relating it to his concept of *Abgesang* as spiritual transcendence: the bar form itself springs from "processes within the human soul; . . . the attainment of an increase [Steigerung] of the soul's power, which as a rule only succeeds after two similar starts" (p. 453).

- 30 Green, *Form in Tonal Music*, 2d ed. (New York: Holt, Rinehart and Winston, 1979), pp. 299–303. Green's A' is very brief: it is the seemingly developmental return of the Don Juan motive, mm. 168–96. His B begins with the G-minor episode (mm. 197–231) and continues through the G-major oboe idyll, mm. 232–314. The final A comprises everything from the onset of the *Heldenthema* in the horns (m. 314) up to the coda (mm. 567–606). The primary sticking point for Green with regard to the sonata issue is the G-minor/major section (his B), for, in the manner of a nondevelopmental episode, it “has all the characteristics of a part in itself.” Thus what would have been a sonata-like work in two parts (that is, following the “continuous binary” concept of sonata form) becomes a “unique form” in four parts, the whole governed by its patterns of tonal closure.
- 31 See especially Hans Robert Jauss, “Literary History as a Challenge to Literary Theory” [1970] and “Theory of Genres and Medieval Literature” [1972], in *Toward an Aesthetic of Reception*, trans. Timothy Bahti (Minneapolis: University of Minnesota, 1982), pp. 3–45 (esp. pp. 20–24) and 76–109. A helpful introduction to the subject of genre is provided by Heather Dubrow, *Genre* (London: Methuen, 1982).
- 32 Jauss, “Literary History.”
- 33 Dubrow, pp. 1–4.
- 34 Hepokoski, “Genre and Content in Mid-Century Verdi: ‘Addio, del passato,’ (*La traviata*, Act III),” *Cambridge Opera Journal* 1 (1989): 249–76. See also the brief discussion and categorization of late nineteenth-century sonata-deformation families provided in the first chapter of Hepokoski, *Sibelius: Symphony No. 5*, forthcoming from Cambridge University Press.
- 35 In “Mahler: Second Symphony, Finale,” in *Analysis and Value Judgment* [1970], trans. Siegmund Levarie (New York: Pendragon, 1983), pp. 82–83.
- 36 Lorenz, p. 463.
- 37 The earliest commentators, Mauke (1908, p. 56) and Steinitzer (1911, p. 230), established the tradition of identifying the horn theme as the “second Don-Juan theme,” and subsequent writers have in one way or another agreed. The term *Heldenthema* occurs influentially in Specht (1921, p. 187) and, varied, in Lorenz (“Heldenmotiv,” 1936, p. 459); it, too, has been adopted by several subsequent commentators. Cf. Becker's identifying of it as Don Juan's pride, n. 38 below.
- 38 E.g., implied in Specht, pp. 187–88, and stated most clearly in Becker, p. 282: “the hero's theme [D], m. 9], which recurs as a rondo and is later replaced by a second theme—a theme on the horn often described [sic] as Don Juan's pride.”
- 39 See, e.g., Specht, p. 185; Abraham, p. 209; and note the characteristic ambiguity of the diagram provided in Murphy, p. 224, in which this passage is denoted as “Transition” and “Female 1,” and the first episode proper is deferred until “Female 2” (Murphy's B).
- 40 Mauke, p. 57; Lorenz, p. 459 (Lorenz may be recalling Mauke, p. 57: “Da wirft sich ihm gleich eine Dirne an den Hals”).
- 41 Abraham, p. 209. Even more to the point, the four episodes, if we are to include the initial transition episode, are grossly unequal in length—19, 70, 118, and 73 measures respectively—and the longest of these is also the slowest. As will be argued in Section 3 below, the interweaving of themes is programmatic.
- 42 Lorenz, p. 463. Abraham's letter scheme for the work (p. 209), a slight expansion of Specht's, seems designed to demonstrate Lorenz's point: “It might be represented graphically by some such formula as this: A, B, A, Ca, Cb, D, A (+ D), E (+ A and D), B (+ C), A, D, A.” Within Abraham's scheme B and C are *Mistresses Two and Three*, D the *Heldenthema*, E the “Carnival.”

- 43 Waltershausen, p. 49; Muschler, Richard Strauss (Hildesheim: Borgmeyer, [1924]), p. 266. Cf. the remarks on Muschler in Abraham, p. 209.
- 44 Each episode in *Siegfried-Idyll* is marked by its own theme: the first with what might be identified as the Siegfried “Hort der Welt” theme, measures 148–258 (very possibly, within this eminently personalized idyll, a direct reference to the recent birth of Siegfried Wagner as a welcome addition to the “domestic” representations of the exposition); and the second, measures 259–75, with the theme associated in act 3 of *Siegfried* with the words “Sie ist mir ewig, ist mir immer Erb' und Eigen Ein.” Both themes—and especially the “Hort der Welt” theme—recur prominently in the recapitulation, beginning at measure 286. Another way of hearing the *Siegfried-Idyll* would be as a large ABA' structure in which A and A' recall aspects of exposition and recapitulation, and in which A' incorporates (as an *Aufhebung* of A and B?) elements of the diptych provided in the B section. The latter description, however, also meshes with that of a sonata deformation conceived in the late-nineteenth-century “ternary” manner. Cf. Del Mar's description of *Don Juan*, mentioned in the text almost immediately below.
- 45 Del Mar, vol. 1, 69. Cf. Kennedy, *The New Grove Turn of the Century Masters*, p. 218: “Like *Macbeth*, *Don Juan* is a sonata movement with self-contained episodes. . . .”
- 46 Such a plan might have been behind Reinhold Muschler's somewhat unclear remarks in 1924 (p. 266) linking *Don Juan* not only with *Siegfried-Idyll* (see n. 43 above) but also with the structure of the *Prelude to Die Meistersinger*. In the latter case he maintains that both pieces offer us a “broad presentation of themes [in the exposition] with a surprisingly short development”; taken together, the “broadened” exposition and the “minimized” development account, “ganz logischerweise,” for the “shortened” reprise and coda, “because a repetition of this impressive utterance would weaken the whole [structure].” It may be that Muschler considered the exposition of *Don Juan* as continuing through the G-minor/major episode, although in that case it would have presented its contrasting themes in essentially three keys, E, B, and G. The exposition of the *Meistersinger* *Prelude*, while certainly multithematic, articulates primarily two keys, C (for a broad complex of themes) and E (the beginning of the “second theme” proper, although before long this material modulates away from that key and soon merges into the developmental space, occupied largely by a “scherzo episode”).
- 47 Levy, pp. 265–69. Continuing one of the most curious available descriptions of the work—albeit within the context of an “appreciation” textbook—Levy also appears to contend that the recapitulation begins toward the end of the *Carnival Episode* (if so, he may be thinking of the *Vivo* passage, mm. 387ff., beginning in C-sharp minor) and that the entire reprise, mm. 457–566, is actually a coda devoted largely to the “glorification” of an already-dead *Don Juan*. The catastrophe in mm. 421ff., he argues (apparently following Tovey, who also misunderstood this point), is “the fatal sword thrust” and it is followed by his death, apparently in the *sul ponticello* bars before m. 457. All of this lies far outside the interpretive tradition, and none of it seems tenable.
- 48 Once again, cf. the differing—but highly unlikely—explanation in Levy (and Tovey), n. 47 above.
- 49 Forchert, pp. 94–96. “[For Strauss] the procedure is already fully formed in *Don Juan* . . . insofar as *Don Juan* may be considered to be written in first-movement sonata form. But already here the stringency in the succession of these sections is so greatly weakened—because of the individual weight given to each—that it is difficult to decide to what to attribute this: to the logic of musical coherence or to the stations of a represented program” (p. 94).
- 50 Lorenz, p. 464. See also Green's objections to the sonata interpretation, n. 30 above.

- 51 Forchert, p. 95.
- 52 Theodor W. Adorno, *Mahler: Eine musikalische Physiognomik* (Frankfurt: Suhrkamp, 1960), for example, pp. 60–66. Adorno's other principal Mahler categories are *Weltlauf*, *Suspension*, *Erfüllung*, and *Absturz* (or *Katastrophe*). The term *Durchbruch* may ultimately stem from a passage of analysis of Mahler's First Symphony, first movement, in Paul Bekker, *Gustav Mahlers Sinfonien* [1921] (rpt. Tutzing: Hans Schneider, 1969), p. 39.
- 53 Sponheuer, *Logik des Zerfalls: Untersuchungen zum Finalproblem in den Symphonien Gustav Mahlers* (Tutzing: Hans Schneider, 1978), and especially the extract from the book revised as "Der Durchbruch als primäre Formkategorie Gustav Mahlers: Eine Untersuchung zum Finalproblem der Ersten Symphonie," in *Form und Idee in Gustav Mahlers Instrumentalmusik*, ed. Klaus Hinrich Stahmer, Taschenbücher zur Musikwissenschaft, no. 70, ed. Richard Schaal (Wilhelmshaven: Heinrichshofen, 1980), pp. 117–64.
- 54 Adorno's paradigms for the breakthrough effect are those of the trumpet call in the Duneon Scene of *Fidelio*—the announcement of salvation from a different, outside world—and in Beethoven's Seventh Symphony the a-natural four bars before the trio that causes a "caesura" in the scherzo (see Adorno, *Mahler*, p. 12). As Sponheuer points out, however, the clearest symphonic paradigms are the interconnected first and last movements of Mahler's First Symphony, which received its premiere in the same year as Strauss's *Don Juan*.

The historical roots of the category would seem to go back at least to such works as Schumann's Fourth Symphony. Here the lucid exposition schema of the first movement is abandoned during the development with the double announcement of two new "breakthrough" themes that will play a larger role later in the symphony. Their immediate effect on the first movement's expected recapitulation is to shrink it into a brief, nonsymmetrical, and inconclusive tonic reprise in which the thematic schema of the exposition is replaced by a breakthrough variant of the development's second new theme. The further implications of the breakthrough are pursued later in the work: the development's first new theme becomes the theme of the finale, and so on. The breakthrough strategy in the first movement is an impulsive, Romantic gesture—a peripeteia—that jettisons the original, orthodox exposition in order to pursue a highly unorthodox, four-movement-in-one plan.

- 55 Sponheuer, "Der Durchbruch," pp. 119–20. The passage quoted from Adorno may be found in *Mahler*, p. 11.
- 56 The relevant lines, lines 28–31 of the thirty-two quoted by Strauss, also appear at the beginning of this essay: "Perhaps a thunderbolt from the heights which I contemned, struck fatally at my power of love, and suddenly my world became a desert and darkened. And perhaps not..." Trans. from Del Mar, p. 68, n. 12.
- 57 Cf., for example, the structural transformation discussed in Anthony Newcomb, "Once More 'Between Absolute and Program Music': Schumann's Second Symphony," *19th-Century Music* 9 (1984): 233–50.
- 58 Arguing principally for the category of a sonata, however fragmentarily realized and however intermixed with other genres, Gerlach proposes a novel idea at this point: the "forgotten themes" recur here, and, in particular, "The [sonata's] 'second theme' in B major and the G-major-section's theme both file a suit on behalf of their right to be 'developed,' to remain within the piece's construction; they file suit on the grounds of infidelity" (p. 43).
- 59 This is hardly the place to launch a more generalized discussion of the relationship of peripeteia structures to that of "organic" motivic-thematic unfolding, but such a discussion would involve issues central to the aesthetic of both Mahler and Strauss, and probably to

other modern composers as well. We may note here, however, that Strauss, like Mahler, has been careful to ground the breakthrough in the thematic material of the preceding episode.

All of this bears on—and to some extent begins to formulate a response to—Adorno's central criticism of Strauss, namely the charge that the principal aesthetic category of the composer is "the glorification of contingency which is supposed to be the same as a life of freedom (whereas in truth it is nothing but the anarchy of commodity production and the brutality of those who run it)," *Aesthetic Theory*, p. 306. See also Adorno, "Richard Strauss," trans. Samuel and Sherry Weber, *Perspectives of New Music* 4 (1965): 14–32, 113–29.

- 60 Lorenz, p. 464; Green, p. 301.
- 61 The basic discussions are Dahlhaus, "The Symphonic Poem" and "Program Music and the Art Work of Ideas," in *Nineteenth-Century Music*, pp. 236–44 and 360–68; and "Liszt, Schönberg und die grosse Form: Das Prinzip der Mehrsätzigkeit in der Einsätzigkeit," *Die Musikforschung* 41 (1988): 202–13.
- 62 Another option would be to investigate Strauss's sketchbooks for additional clues. The programmatic sentences transcribed in Franz Trenner's *Die Skizzenbücher von Richard Strauss* (Tutzing: Hans Schneider, 1977), p. 2, tantalize but, in the final analysis, offer little concrete help. They seem to belong to an early stage of composition and although they provide some provocative, if maddeningly generalized, labels for themes—*Wonnethema*, *leichtfertiges Thema*, *Schmerzens u. Wonneseufzern*, *Liebes u. Freudenthemen*, and so on—the musical details and the process they sketch, while certainly recognizable, differ from what actually happens in the final *Don Juan*.

A rough translation of the sketch comments (which seem to begin at a point analogous to the G-minor/major Episode 3) is as follows: "Then connect C-sharp minor. NB! the Delight Theme [*Wonnethema*] again on C-sharp major cantilenas, which, with the appearance of the climax [*Erschöpfung*] will be interrupted in the violas by the first *Don Juan* theme. At first this [theme] sounds with a jolt and rises up with a bold leap of the first theme onto the C-dominant [and] from there further into a frivolous theme—from which it proceeds into increasingly madder activity, joyful, rejoicing—but interrupted by pain and sighs of delight [*Wonneseufzern*]. Development with ever-increasing *fortissimo*, to the highest intensification. Sudden disenchantment [*Ernüchterung*]. English-horn solitude, the Love and Joy Themes interpenetrate in a purposeless way, interrupted by new yearning and shivers of delight. Finally it connects with a new love-motive, very gushing [*schwärmerisch*] and tender. Then suddenly the new appearance of the first theme. A large, dashing coda. Stormy close."

- 63 Muschler, p. 265.
- 64 Mauke, pp. 48–49. Cf. Del Mar, pp. 69–75.
- 65 Specht, pp. 183–84. Cf. Muschler, p. 266: "It has nothing more in common with it than the initial glimpse of the artistic impulse being liberated out of the merely human. Hence this music lacks anything of the literary; hence it is purely musical [*rein musikalisch*]."
- 66 Lorenz, p. 464.
- 67 Tenschert, "Versuch einer Typologie der Richard Straußschen Melodik," *Zeitschrift für Musikwissenschaft* 16 (1934): 282–87.
- 68 Gilliam, "Strauss's Preliminary Opera Sketches: Thematic Fragments and Symphonic Continuity," *19th-Century Music* 9 (1986): 179.
- 69 Mauke, pp. 53–54; Specht, pp. 186–87; Lorenz, p. 458; Del Mar, pp. 71–72.
- 70 Mauke's wish to identify this heroine with the traditional figure of Doña Ana (pp. 55–56, "[Anna], die ihm hätte ein rettender Engel werden können") is based on the central mono-

logue of the Lenau poem, cited by Mauke but not by Strauss, in which Don Juan confesses: "Zum erstmal bei diesem Weibe / Ist in der Liebe mir zu Mut, / Als sollte meine heiße Glut / Auslöschen nie in ihrem Götterliebe. . . Und selig scheidend hängt an Klippen / Der letzte Wunsch an ihren Lippen. / Wenn ich den holden Leib umranke, / Des Himmels Inbegriff und Schranke, / Möcht' ich vergötternd ihn verderben, / Mit ihr in eins zusammensterben" (Nikolaus Lenau, *Werke in einem Band* [Hamburg: Hoffmann und Campe, 1966]), pp. 460–61. Cf. the translation of the last two lines in Hugo Schmidt, *Nikolaus Lenau* (New York: Twayne, 1971), p. 151: "While deifying her body, I would like to destroy it and reach union with her in death." Anna is clearly the vision of the Ideal Woman for whom Lenau's Don Juan is striving (cf. "Die Einzle kränkend schwärm' ich für die Gattung"—lines cited by Strauss), but it is unclear whether she actually exists. The immediate link of this idealized love with death may be relevant to Strauss's poetic idea behind the symphonic poem. The G-major section, however, is shadowless, and its pairing with the subsequent, and surely positive, *Heldenthema* is difficult to reconcile with the lurking negative content in Don Juan's apostrophe to Anna in Lenau.

Lenau's version pays homage to the tradition in some retellings of the Don Juan legend of Anna being the only woman with whom Juan actually falls in love—but always with tragic results. This happens, for example, as early as in Alonso Córdoba's *La venganza en el sepulcro* (1660–70), but it is most characteristic of Germanic tellings of the story after E. T. A. Hoffmann's influential tale, *Don Juan* ("Donna Anna is Don Juan's female counterpart . . . Suppose Anna had been destined by Heaven to make Don Juan recognize the divine nature within him through love . . . and to rescue him from the despair of his vain striving. But it was too late; he saw her at the moment when he had reached the height of wickedness"). See Leo Weinstein, *The Metamorphoses of Don Juan* (New York: AMS, 1967), esp. pp. 69–70, from which the above Hoffmann quotation is taken.

- 71 Specht, p. 187; Del Mar, p. 72.  
 72 Perhaps significantly for Strauss, this Brünnhilde melody (or Cosima melody?) is texted in its original appearance in *Siegfried*, "Ewig war ich, / ewig bin ich, / ewig in süß / sehrender Wonne, / doch ewig zu deinem Heil."  
 73 Del Mar, pp. 150–51.  
 74 Notice also, however, the motivic relationship with a passage from the *Mistress One* Episode, mm. 52ff.  
 75 Richard Strauss, letter of 8 November 1889, in *Briefe an die Eltern 1882–1906*, ed. Willi Schuh (Zurich: Atlantis, 1954), p. 119.  
 76 Again, the C-major goal of the *Heldenthema* in the recapitulation articulates a possibility that had been present from the beginning, as with, for example, the pseudo-"C<sup>6</sup>" implication in mm. 1 and 169. While these early appearances of the potentially redemptive C fall under the actual power of the overriding E, the tonic of libertinism or erotic desire, one of the tonal points of the recapitulation is that the E in the bass has been exorcised and replaced by C.  
 77 Cf. Brünnhilde's Slumber Motive at the end of *Die Walküre* and, of course, elsewhere in the Ring. Ring allusions abound elsewhere in the reprise: compare the violin figures in mm. 528ff. with the "Love Motive"; and the horn timbre of the *Heldenthema* itself is not without its Siegfried resonances. Cf. the Wagnerian allusions in the triplet anacrusis in the trumpets at the move to C major, mm. 542–45. One notices that all of the allusions carry connotations of love, masculine triumph, the ideal partner, etc.

- 78 In one of the nicest touches of the piece, this E-minor "death" is foreshadowed by the E-minor-chord image of sexual climax in the second episode (mm. 149ff.). The ultimate source of the E minor, of course, is the e<sup>6</sup> chord at the end of m. 2, a chord that immediately restabilizes onto the "proper" tonic, E major, at the beginning of m. 3. Considered along with the phallic imagery of the opening, the poetic content of the initial measures becomes self-evident: a springing past the possibility of C-major stasis and resolution (attainable, as we eventually learn, only through a fusion with the feminine principle), an arrogant brushing aside of the possibility of E-minor peril or death, and a leaping into the embrace of the erotic E major, the world of libertinism.  
 79 Rolland, *Musicians of To-Day*, pp. 167. Rolland sees in Strauss's music in general the overturning of a central Beethovenian theme, "the triumph of a conquered hero," into "the defeat of a conquering hero" (p. 166).  
 80 Adorno, "Richard Strauss," *Perspectives of New Music* 4 (1965): pp. 128–29.  
 81 See, for example, the standard discussion in Adorno, "Inherent Tendency of Musical Material," *Philosophy of Modern Music* [*Philosophie der Neuen Musik*, 1948], trans. Anne G. Mitchell and Wesley V. Blomster (New York: Seabury, 1980), pp. 32–37; and *Aesthetic Theory*, pp. 300–308.  
 82 See, however, Dahlhaus's discussion of the problematics of the political and methodological issues involved in claiming that musical content can take precedence over form; *Realism*, p. 3.  
 83 Dahlhaus, *Realism*, pp. 37, 120.  
 84 Jameson, "Beyond the Cave: Demystifying the Ideology of Modernism," in *The Ideologies of Theory: Essays 1971–1986* (Minneapolis: University of Minnesota, 1988), vol. 2, 122.  
 85 Ernst Bloch, "The Exceeding of Limits and the World of Man at Its Most Richly Intense in Music," [from *Das Prinzip Hoffnung*, 1938–1959], trans. Peter Palmer, *Essays on the Philosophy of Music* (Cambridge: Cambridge University Press, 1985), p. 222.  
 86 Cited in Dahlhaus, *Realism*, p. 39.  
 87 A prominent example is Jürgen Habermas, *The Philosophical Discourse of Modernity: Twelve Lectures*, trans. Frederick Lawrence (Cambridge: MIT Press, 1987). For a useful discussion of some of the principal issues involved in defining modernism, see Jochen Schulte-Sasse, "Foreword: Theory of Modernism versus Theory of the Avant-Garde," in Peter Bürger, *Theory of the Avant-Garde* [1974], trans. Michael Shaw (Minneapolis: University of Minnesota, 1984), pp. vii–xlvii. Cf. the issues raised in Matei Calinescu, *Five Faces of Modernity* (Durham, N.C.: Duke University Press, 1987). A rather different view is provided in Michel Foucault, *The Order of Things* (New York: Vintage Books, 1973).  
 88 Dahlhaus, *Nineteenth-Century Music*, p. 334. Cf. "Schreker and Modernism," n. 1 above.  
 89 Jameson, "Reflections on the Brecht-Lukács Debate" [1977], in *The Ideologies of Theory*, vol. 2, 147.