

**Music and Meaning in Three Works by Hector
Berlioz: *Harold en Italie*, *La Damnation de Faust*,
and *Les Troyens***

By

David Curran

Thesis submitted to Royal Holloway, University of London in fulfilment of the
requirements for the degree of Doctor of Philosophy

Royal Holloway, University of London
2017

Declaration of Authorship

I, David Curran, hereby declare that this thesis and the work presented in it is entirely my own. Where I have consulted the work of others, this is always clearly stated.

Signed: _____

Date: _____

Abstract

This study combines detailed musical analysis of form and structure with concerns for history, culture and philosophy. Chapter 1 provides a biographical, historical, and intellectual context for the studies that follow it at the same time as it situates the study in existing musicological literature.

Chapter 2 analyses Berlioz's second symphony, *Harold en Italie* (1834), through the lens of sonata theory and Schenkerian theory, in order to demonstrate its engagement with the formal and tonal conventions of post-Beethovenian symphonism. It argues that if Berlioz's symphony can be shown to engage with the musical processes of this tradition then it also deserves to be interpreted through the philosophical framework of this tradition.

Chapter 3 provides an analysis of the music and text of *La Damnation de Faust* (1846). It focuses, in particular, on the musical characterisation of the work's hero, Faust, by looking at three numbers in which he has a prominent part: 'Le vieil hiver', 'Air de Faust', and 'Invocation à la nature'. It attempts to relate Berlioz's conception of the Faust myth to important aspects of Goethe's world view.

Drawing on Paul Robinson's suggestion that Berlioz's Virgilian opera, *Les Troyens* (1858), is a 'musical manifestation of Hegel's idea of History', the final chapter seeks, through a semiotic-Schenkerian analysis of the prelude-like number, 'Chasse Royale et Orage', to investigate ideas of love and history throughout the opera.

Acknowledgments

Words cannot but fail to give expression to the gratitude that I feel towards those who have helped me along the journey to completion of this thesis.

My interest in Berlioz was first kindled during my undergraduate years at the University of Bristol where he featured, usually as a step on the way to Liszt or Wagner, as a part of a number of survey courses of nineteenth-century music. The fires were truly set ablaze, however, during my Master's Degree at Royal Holloway College, University of London, and stoked by the support and encouragement of my dissertation supervisor, Mark Berry, who kindly agreed to see me through the much more ambitious pursuit of Doctoral work on the composer. His intelligence and extensive knowledge has been a constant source of inspiration throughout this thesis. I owe him a great debt, in particular, for nudging me, gently, over the finish line in the final months of completion. I was fortunate enough, due to an administrative quirk, to be granted a second supervisor a few months into the start my PhD. From the moment he joined the team, Stephen Downes's help and advice in matters both academic and pastoral has been invaluable. His patience in dealing with numerous of my neuroses—including my frequently apologising for them—seems to know no bounds.

Thanks must go, as well, to J. P. E. Harper-Scott, who was kind enough to let me sit in on his second-year lectures on Schenkerian analysis and to offer 'extra-curricular' analysis lessons, in his own time, to a number of post-graduate students. Geoff Chew helped me to refine further my understanding of Schenkerian techniques and enabled me to provide my early drafts with a much-needed focus. I have also benefited from the assistance and guidance of Julian Rushton, of the University of Leeds, whose knowledge of Berlioz's music is as yet unsurpassed. Likewise, David Charlton, my advisor, has always been forthcoming with his encyclopaedic knowledge of nineteenth-century French culture.

The unwavering commitment, on the part of these scholars, to an idea of education as an end in itself is something I will cherish for the rest of my life.

Moving on to more practical matters, this project could not have got off the ground without the financial support of a Royal Holloway College 'Crosslands Scholarship', which paid for my fees and provided me with a modest maintenance allowance. It has been a pleasure to work and to teach on such a beautiful and vibrant campus.

I also owe thanks to numerous friends and colleagues in and outside of Royal Holloway College, University of London, who have seen me through the ups and downs of PhD

research. Peter Tregear, Daniel Elphick, Katie Cattell, Laura Ventura-Nieto, Frieda van der Heijden, Kit Kimbell, Oliver Chandler, Frankie Perry, Rebecca Day, Rachel McCarthy, Sean Dunnahoe, Lauren Faro, Nathan Mercieca, Christopher Tarrant, Emily Tan, have all endured, at some time or other, listening to my struggles with the processes of research and writing.

My family have provided me with much-needed emotional (and financial) support throughout my thesis. My parents, Mark and Sally, encouraged me in my earliest musical efforts by buying me an electric guitar. Their love of music—albeit music quite different to that discussed here—has rubbed off on me, as has their propensity to spend hours and hours talking passionately about it! My older sister, Rachel, also a musician (and a Francophile), has made my life easier at every step of the way by providing me with a great example to follow. I will always value her friendship.

For providing stimulating conversation and many many laughs I must also thank my closest friends: Matthew Dwyer, Matthew Swain, Luc Tudor, and Daniel Smith; Emma Rezel, Tim Ellison, and Luke Bain; David Britain and Matthew Stevens (Oscar Foxley); Tim Powell and Marion Colin.

Last but not least, I offer heartfelt thanks to Mathilde Ducamp without whose love and support this thesis would certainly never have materialised.

Table of Contents

	Illustrative material - lists of figures and examples	8
1	Introduction	11
1.I	Aims - why Berlioz? Why these works?	11
1.II	History and ideas - Romanticism, Classicism and Idealism - revolution and reaction	17
1.III	Musical contexts - stifling academics, dilettantes, and musical Jupiters	22
1.IV	Towards a Methodology - meaning and music's 'relative' autonomy	29
1.V	Structure of the thesis - chapter-by-chapter summary	38
2	Examining aspects of the heroic style in <i>Harold en Italie</i>	43
2.I	Introduction	43
2.II	Towards the development of a method - form, structure, and expression	56
2.III	The long introduction	62
2.IV	Sonata theory - allegro - an expansion of Rushton's analysis	69
2.V	Schenkerian analysis - structural and tonal concerns	87
2.VI	Schenkerian reading of the sonata form proper	95
2.VII	Hermeneutics	104
2.VIII	Conclusion	115
3	<i>La Damnation de Faust</i>, or Berlioz's 'drama of the human species'	118
3.I	Introduction - the importance of closure	118
3.II	Some thoughts on existing scholarship on Berlioz's <i>La Damnation</i>	121
3.III	Lukács's <i>Faust</i>	124
3.IV	Genesis and reception	127
3.V	<i>La Damnation</i> 's plot	130
3.VI	The music as a whole - questions of unity and key	142
3.VII	'Le vieil hiver'	147

3.VIII	‘Air de Faust’	154
3.IX	‘Invocation à la nature’	164
3.X	Some conclusions	175
4	<i>Les Troyens</i>, love, history, and ‘Chasse Royale et Orage’	183
4.I	Introduction	183
4.II	Plot	185
4.III	Diachronic account of the number’s form - a series of waves	191
4.IV	Extroversive semiosis - identification of topics - nature and history	206
4.V	Introversive semiosis - elucidation of the harmonic-contrapuntal strategy	218
4.VI	An enquiry into the number’s ‘meaning’	228
4.VII	Hermeneutics and context in ‘Chasse Royale et Orage’	237
4.VIII	Conclusion	245
5	Conclusions	249
5.I	‘Free, proud, and sovereign’ - music and the politics of meaning	249
5.II	Beyond this study	254
	Bibliography	257

Illustrative material

Figures

Figure 2.1	Overview of form of <i>Harold en Italie</i> , movement IV, 'Orgie de brigands'.	48
Figure 2.2	Overview of form of <i>Harold</i> movement I, 'Harold aux montagnes'.	68
Figure 2.3	Schenker's abstraction of sonata form, adapted from Hepokoski and Darcy, key changed for comparison.	90
Figure 4.1	Formal table, <i>Les Troyens</i> , 'Chasse Royale et Orage'.	190
Figure 4.2	Table of topical content of <i>Les Troyens</i> , 'Chasse Royale'.	212
Figure 4.3	Tabulation of captions on score of <i>Les Troyens</i> , 'Chasse Royale'.	217

Examples

Example 2.1	'Harold' theme, minor mode, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 13-21.	49
Example 2.2	Main theme from <i>Harold</i> , movement II, 'Marche de pèlerins', bars 16-25.	50
Example 2.3	Superimposition of 'Harold' theme with pilgrims' music, <i>Harold</i> , movement II, 'Marche de pèlerins', bars 56-82, adapted from Bonds.	51
Example 2.4	Viola and pilgrims 'marching in step', <i>Harold</i> , movement II, 'Marche de pèlerins', bars 144-52, adapted from Bonds.	52
Example 2.5	Harold taking on Mountaineer's theme, <i>Harold</i> , movement III, 'Sérénade d'un montagnard', bars 167-78, adapted from Bonds.	53
Example 2.6	Brigands' theme, <i>Harold</i> , movement IV, 'Orgie de brigands', bars 118-27.	53
Example 2.7	Opening fugue theme, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 1-5.	62
Example 2.8	'Harold' theme, major mode, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 35-45.	64
Example 2.9	'Glorification' of 'Harold' theme, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 71-2.	66
Example 2.10 (a-c).	Trajectory of secondary subject, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 166-93; 256-81; and 448-71, adapted from Rushton.	70
Example 2.11	Primary Theme, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 130-46.	72

Example 2.12	Secondary Theme, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 166-98.	74
Example 2.13	Structural dominant leading to 'false reprise' of secondary theme, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 262-81.	81
Example 2.14	Return of 'Harold' theme in combination with Secondary Theme, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 329-43.	82
Example 2.15	Combination of 'Harold' theme with Primary Theme, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 358-67.	83
Example 2.16	Recapitulation proper of Secondary Theme, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 457-79.	84
Example 2.17	Deep middleground reduction of <i>Harold</i> , movement I, 'Harold aux montagnes'.	91
Example 2.18	Linear analysis of opening fugue, <i>Harold</i> , movement I, 'Harold aux montagnes'.	93
Example 2.19	Reduction of minor-mode 'Harold' theme, <i>Harold</i> , movement I, 'Harold aux montagnes'.	94
Example 2.20	Reduction of major-mode 'Harold' theme, <i>Harold</i> , movement I, 'Harold aux montagnes'.	95
Example 2.21	Transfer of <i>Kopfton</i> from D to B, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 126-31.	96
Example 2.22	Reduction of primary theme, <i>Harold</i> , movement I, 'Harold aux montagnes'.	97
Example 2.23	Reduction of secondary theme, <i>Harold</i> , movement I, 'Harold aux montagnes'.	100
Example 2.24	Reduction of development section, <i>Harold</i> , movement I, 'Harold aux montagnes'.	101
Example 2.25	Arrival of structural dominant, <i>Harold</i> , movement I, 'Harold aux montagnes', bars 254-64.	103
Example 2.26	Reduction of secondary theme, recapitulation, <i>Harold</i> , movement I, 'Harold aux montagnes'.	104
Example 3.1	Concluding passage, <i>La Damnation de Faust</i> , Scene IX, 'Air de Faust', bars 42-71.	119
Example 3.2 (a)	<i>La Damnation</i> , Scene I, 'Le vieil hiver', from 5 ⁶⁻¹³ .	133
Example 3.2 (b)	<i>La Damnation</i> , Scene IV, 'Sans regrets', from 26 ⁻³⁻⁰ .	133
Example 3.2 (c)	<i>La Damnation</i> , Scene IV, 'Chant de la fête de Pâques', 31 ²⁻⁵ .	134
Example 3.2 (d)	<i>La Damnation</i> , Scenes IV-V, 'Chant de la fête de Pâques', 32 ²⁻⁴ .	134

Example 3.3	Méphistophélés's entrances, <i>La Damnation</i> , Scene V, 'Ô pure émotion', 33 ⁰ and Scene X, 'Je l'entends', 79 ⁰ .	144
Example 3.4	<i>La Damnation</i> , Scene XI, 'Le Roi de Thule', 85 ⁵⁻¹⁰ .	146
Example 3.5	Superimposition of themes, <i>La Damnation</i> , Scene I, 'Le vieil hiver', bars 90-6.	149
Example 3.6	Opening, <i>La Damnation</i> , Scene I, 'Le vieil hiver', bars 1-16.	150
Example 3.7	'False return' of 'Pastoral theme', <i>La Damnation</i> , Scene I, 'Le vieil hiver', bars 108-12.	151
Example 3.8	Tonic return of 'Pastoral' theme, <i>La Damnation</i> , Scene I, 'Le vieil hiver', bars 135-45.	152
Example 3.9	Short score, <i>La Damnation</i> , Scene IX, 'Air de Faust'.	157
Example 3.10	Marguerite's entrance, <i>La Damnation</i> , Scene XI, 80 ¹¹⁻¹⁶ .	160
Example 3.11	Foreground analysis, <i>La Damnation</i> , Scene IX, 'Air de Faust'.	161
Example 3.12	Deep middleground analysis <i>La Damnation</i> , Scene IX, 'Air de Faust'.	163
Example 3.13	Short score, <i>La Damnation</i> . Scene XVI, 'Invocation à la nature'.	165
Example 3.14	Foreground analysis <i>La Damnation</i> , Scene XVI, 'Invocation à la nature'.	169
Example 3.15	Deep middleground analysis, <i>La Damnation</i> , Scene XVI, 'Invocation à la nature'.	172
Example 4.1	Fugal introduction, <i>Les Troyens</i> , 'Chasse Royale', bars 1-30.	192
Example 4.2	Theme 2, 'Aria', <i>Les Troyens</i> , 'Chasse Royale', bars 30-44.	194
Example 4.3	Theme 3, 'fanfare', <i>Les Troyens</i> , 'Chasse Royale', bars 45-82.	197
Example 4.4	Arrival of E ^b , theme 5, <i>Les Troyens</i> , 'Chasse Royale', bars 100-13.	201
Example 4.5	Theme 6, 'fanfare', <i>Les Troyens</i> , 'Chasse Royale', bars 121-7.	201
Example 4.6	Arrival of D's dominant leading to the return of theme 3, <i>Les Troyens</i> , 'Chasse Royale', bars 140-51.	203
Example 4.7	Climax, <i>Les Troyens</i> , 'Chasse Royale', bars 236-47.	206
Example 4.8	Winding transition to dominant, <i>Les Troyens</i> , 'Chasse Royale', bars 284-98.	208
Example 4.9	Closure and return of themes 2 and 3, <i>Les Troyens</i> , 'Chasse Royale', bars 322-51.	211
Example 4.10	Background analysis of <i>Les Troyens</i> , 'Chasse Royale'.	220
Example 4.11	Deep middleground analysis of <i>Les Troyens</i> , 'Chasse Royale'.	220
Example 4.12 (a)	Foreground analysis of 'fugal introduction', <i>Les Troyens</i> , 'Chasse Royale'.	223

Example 4.12 (b)	Middleground analysis of 'fugal introduction', <i>Les Troyens</i> , 'Chasse Royale'.	223
Example 4.13	Middleground analysis of theme 2, <i>Les Troyens</i> , 'Chasse Royale'.	224
Example 4.14	Middleground analysis of theme 3, <i>Les Troyens</i> , 'Chasse Royale'.	224
Example 4.15	Middleground analysis of modulation to E \flat major, <i>Les Troyens</i> , 'Chasse Royale'.	226
Example 4.16	Middleground analysis of tonal closure and return of themes 2 and 3, <i>Les Troyens</i> , 'Chasse Royale'.	227

Chapter 1. Introduction

I. Aims - why Berlioz? Why these works?

In a programme note for a series of concerts of the composer's music in 2013, David Cairns, Berlioz biographer and music critic, wrote:

The differences between Berlioz's music and that of his German contemporaries are much more striking than the affinities. Except occasionally, when it recalls Weber or Beethoven, it doesn't sound anything like them. Its separation of timbres and clarity of texture are far removed from the piano-suffused sonorities of Wagner and Schumann. Berlioz's formal procedures, too, are different. His symphonic movements rarely follow Viennese sonata practice. Their roots in his French (or adopted French) forebears — Méhul, Spontini, Cherubini, Le Sueur — become clearer the more we get to know their work. Yet his music — if not its sound or structure, then the ideals behind it, the ethos, the poetic assumptions would be unthinkable without Beethoven's Fifth, Sixth and Ninth symphonies and Weber's *Der Freischütz*.¹

Cairns's words get right to the heart of one of the main concerns of this thesis. Namely, the idea that, despite stylistic differences, the ideals—poetic and political—that lie behind the works of important figures—Beethoven among them—of the so-called *Goethezeit*,² the 'meanings' that these works hold, can be read into the music of Hector Berlioz. I will seek to elucidate aspects of this affinity through an analytical and hermeneutic investigation of three of Berlioz's major works—*Harold en Italie* (1834), *La Damnation de Faust* (1846), and *Les Troyens* (1858). First, however, it will be necessary to provide the reader with some context. The first part of this introduction, then, will answer the question of why it is still necessary to do analytical work on Berlioz's music and why I have chosen these three pieces in particular for this study. The next part addresses a broader historical context by seeking to arrive at an idea of the aims of the *Goethezeit* as well as considering, briefly, the development of Berlioz's political beliefs. This leads us into a discussion of the cultural context of nineteenth-century France, Berlioz's 'discovery' of Beethoven and the development of an Idealist streak in his criticism. Next, issues relating to methodology are discussed, in particular the idea of music as a semi-autonomous object, before I offer a breakdown of the structure of the thesis.

Why Berlioz and why these works in particular? Berlioz occupies a somewhat ambiguous place in the history of music. For some, indeed, he appears to be a

¹ David Cairns, Programme Note for *Harold in Italy* Op. 16, London Symphony Orchestra, Valery Gergiev (Barbican Hall: November 2013), 8.

² I will explain this term later.

historical anomaly, his musical style difficult to reconcile with pre-conceived ideas of what nineteenth-century music should do. Widely recognised as a pioneer in studies of instrumentation, and a formidable critic, his strikingly original music has struggled to gain widespread acceptance. He was under-appreciated in his own time in the concert halls and opera houses of Paris and has since suffered relative neglect by a musicological discipline apparently more interested in the works of the Austro-German masters. Nevertheless, his music has outlived the hostility with which it was once often greeted.³ Thanks to the efforts of several generations of Berlioz scholars, many of the myths about the composer's music—its supposed formlessness, the absence of melody, the clumsiness of the harmony and counterpoint—have now been conclusively dispelled. Few have been more influential, in this regard, than Julian Rushton. His three books, *The Musical Language of Berlioz* (1983), *The Music of Berlioz* (2001), and a single-work study, *Roméo et Juliette* (1994), as well as numerous articles, have paved the way for analytical studies of Berlioz's music.⁴ What has emerged from these studies, then, is an image of an idiosyncratic composer but one who is in complete command of his art. Sadly, full-length analytical studies of the composer's music are still pretty rare. It is worth mentioning, however, a number of important exceptions to this rule: Jean-Pierre Bartoli's thesis, for example, presents a sensitive account of many of the main features of Berlioz's approach to form and development, and his chapter in Peter Bloom's edited collection, *Berlioz: Scenes from the Life and Works*, is a rare example of a Schenkerian account of a full movement by the composer.⁵ More recently, Stephen Rodgers has elucidated, in a book dedicated to Berlioz's approach to large-scale form, the composer's reliance on strophic forms, and his intermingling of strophic elaboration with

³ Berlioz's own memoirs give a good indication of his reception in the various countries he visited and in his homeland. Numerous studies of Berlioz reception also exist. See, for example, the selection of essays in Peter Bloom, ed., *Berlioz: Past, Present, Future* (Rochester, NY: University of Rochester Press, 2003): Jean-Michel Nectoux, 'Berlioz in 1900: Between Fervor and Fear', 137-157; Lesley Wright, 'Berlioz in the *Fin-de-siècle* Press', 158-72; Jacques Barzun, 'Fourteen Points about Berlioz and the Public, or Why There is Still a Berlioz Problem', 193-201; and Lesley Wright, 'Berlioz's impact in France', in Bloom, ed., *The Cambridge Companion to Berlioz* (Cambridge: Cambridge University Press, 2000) 253-68. For a discussion of Berlioz studies as it stood in 2001-02 see D. Kern Holoman, 'Berlioz, Lately', *19th-Century Music*, 25, no. 2-3 (2001-02), 337-46.

⁴ Julian Rushton, *The Musical Language of Berlioz* (Cambridge: Cambridge University Press, 1983); *The Music of Berlioz* (Oxford: Oxford University Press, 2001); *Berlioz: Roméo et Juliette* (Cambridge: Cambridge University Press, 1994). See also articles, 'The Overture to "Les Troyens"', *Music Analysis*, 4, no. 1 (1985), 119-44; 'Berlioz's Swan-Song: Towards a Criticism of *Béatrice et Bénédict*', *Proceedings of the Royal Musical Association* 109 (1982), 105-18; 'Berlioz through the Looking-Glass', *Soundings*, 6 (1977), 51-66.

⁵ Jean-Pierre Bartoli, 'L'Oeuvre symphonique de Berlioz: Forme et principes de développement' (unpublished doctoral thesis, Université de Paris IV, Paris-Sorbonne, 1991); 'Beethoven, Shakespeare, and Berlioz's *Scène d'amour*', in Bloom, ed., *Berlioz: Scenes from the Life and Works* (Rochester, NY: University of Rochester Press, 2008), 138-60.

other formal models, such as sonata form.⁶ And finally, J. P. E. Harper-Scott has gone so far as to provide a linear reduction of an entire opera, *Béatrice et Bénédict*, as well as numerous of the work's arias.⁷ One aim of this thesis, then, is to add to this small number of analytical studies of this composer and to thereby increase our knowledge of his musical style. At the same time, however, I hope to contribute to ongoing discussions about musical meaning and the meaning(s) of Berlioz's works in particular.

The three works that form the focus of the central chapters of this thesis, *Harold en Italie*, *La Damnation de Faust*, and *Les Troyens* are rich candidates for an investigation into musical meaning for a number of reasons. First of all, these works each occupy an important place in Berlioz's output: they are all major works and they cut across a number of different genres. By contrast to his state-commissioned works each of these works was composed in a state of relative artistic freedom for Berlioz. Each work also responds to a favourite literary stimulus and each is centred around the exploits of various heroic or anti-heroic protagonists. Finally, taken together the works span a large portion of the composer's career. *Harold en Italie* is the product of what Rushton has described as Berlioz's 'Romantic decade', one which begins with the composition of Berlioz's first symphony, *Symphonie fantastique*—the most immediate result of his encounter with Beethoven—and closes with the composition of his last, *Symphonie funèbre et triomphale*.⁸ *Roméo et Juliette* (1839) also belongs to this decade and is more clearly indebted to opera than are the other symphonies but it was surely Beethoven's example, and the incomparable power of his instrumental music, as Berlioz saw it, that convinced Berlioz to dispense with voices for the central portion of that work. The decision to conclude with a chorus may also be due to the example of Beethoven's Ninth Symphony but it is in keeping with the work's operatic leanings. *Symphonie funèbre et triomphale*, on the other hand, was composed after the model of the music of the composers of the revolution—another point of contact with Beethoven as he also admired much of this music.

Harold was conceived according to a commission from Paganini, but after the violinist expressed his dissatisfaction with the work's first movement, and withdrew his commitment to perform it, Berlioz was free to pursue his own artistic ends. His financial situation was also likely much better than it had been for some time. He had been granted a yearly stipend for having triumphed in the *Prix de Rome* and it had yet to run

⁶ Stephen Rodgers, *Form, Program, and Metaphor in the Music of Berlioz* (Cambridge: Cambridge University Press, 2009).

⁷ J. P. E. Harper-Scott, 'Berlioz, Love, and *Béatrice et Bénédict*', *19th-Century Music*, 39, no. 1 (2015), 3-34.

⁸ See chapter 2 of Rushton, *Music of Berlioz*, 28-46.

dry. *Harold* was one of Berlioz's greater successes in his compositional career but it has since been overshadowed by the *Fantastique* in terms of scholarly interest.⁹ The literary stimulus for the work was provided by Lord Byron's narrative poem, *Childe Harold's Pilgrimage*. Berlioz had long felt an affinity with the poet of this work. Famous throughout Europe for numerous scandals and for his eventual heroic death in the war for Greek Independence, Byron was rarely far from the composer's thoughts while Berlioz was living in the French Academy in Rome. With its generic classification as a symphony, *Harold* is perhaps the most obvious candidate for the present investigation. It is with *Harold* for instance, that we witness Berlioz's most explicit allusion to a Beethovenian technique—the technique of thematic recollection that he 'borrowed' from the finale of the Fifth and Ninth Symphonies. Berlioz would go on to experiment with ideas of cyclic unity and thematic reminiscence in all of his symphonies, and, indeed, in a number of operatic works where Weber's *Der Freischütz* is probably the most likely model for the technique, but nowhere is his debt to Beethoven more obvious than in this work. Nevertheless, Cairns's comments at the top of this chapter suggest that the most profound influence that Beethoven had on the young composer did not operate at the level of musical detail but, rather, at the level of 'idea'. This is certainly true of *Harold* in the sense that, as Mark Evan Bonds has observed, the whole idea of composing a symphony around the exploits of a single protagonist is surely indebted to a Beethovenian example.¹⁰ But it is also true that the work engages with important Romantic tropes such as the question of humanity's relationship with nature, the idea of romantic love, and a sense of nostalgia for a lost Golden Age. To say this is to place the work squarely in the Idealist tradition to which Beethoven belonged.

Less obviously indebted to the example of Beethoven, *La Damnation de Faust* was composed in the latter half of the 1840s and owes much more to opera than it does to the symphony. It is easy to speculate that Berlioz's lack of success in the theatres of Paris, and his relative success in the concert halls, led him to compose this 'opera of the mind'. But the composer's flexible approach to genre is a hallmark of his style, as the *Fantastique*, *Harold*, and *Roméo* had already shown. The generic flexibility of Goethe's *Faust*, upon which—albeit in Gérard de Nerval's translation—*La Damnation* is based, suggests that the conventions of the old masters, whether in literature or in music, were not suitable containers for the ideas with which both of these works are

⁹ Berlioz describes the first performance, conducted by Narcisse Girard, in *The Memoirs of Hector Berlioz*, ed. and trans. David Cairns (London: Granada, 1970), 271. It was Girard's inability to bring off the reunion of themes in the third movement that led to Berlioz taking up the baton himself.

¹⁰ Mark Evan Bonds, 'Sinfonia anti-eroica: Berlioz's *Harold en Italie* and the Anxiety of Beethoven's Influence', *The Journal of Musicology*, 10, no. 4 (1992), 417-63 and later as Chapter 2 in *After Beethoven: Imperatives of Originality in the Symphony* (Cambridge, MA: Harvard University Press, 1996), 28-72.

concerned. This artistic freedom in matters of genre was something that Berlioz had also admired in the works of Beethoven and Shakespeare. He had voiced his support, in an article in 1830, for Victor Hugo's call, in that author's 'Preface to *Cromwell*' for 'artistic freedom'.¹¹ Hugo had identified the mixture of high and low, the grotesque and the ordinary, the comic and tragic as the mode proper to the Romantic artist.¹² No doubt this is what had initially attracted Berlioz to Goethe's masterpiece. But Goethe's *Faust*, with its world-weary, all-too-human, central character, who seeks Absolute knowledge, sells his soul to the devil, and betrays the only other human with whom he has thus far been able to empathise, is a founding work of the German Idealist tradition, comparable in terms of significance and in scope to Hegel's *Phenomenology of Spirit* (1807) and Beethoven's *Eroica* Symphony (1804). It therefore provides another excellent opportunity to explore Berlioz's relationship to the ethos and poetic assumptions of Idealist thought.

The apparent indifference, and in some cases outright hostility, of the critics who reviewed Berlioz's 'dramatic legend', *La Damnation*, wounded the composer deeply. The work has since fared much better, at one point rivalling *Symphonie fantastique* in terms of popularity.¹³ In the wake of *La Damnation*'s unwelcome reception, and the debts that came with it, Berlioz vowed never again to stake so much on a large-scale work.¹⁴ Had it not been for the encouragement of the formidable Princess Sayn-Wittgenstein, then, we might never have had Berlioz's magnum opus—the enormous score of *Les Troyens*, for which he wrote both words and music. This work has been figured by a number of Berlioz scholars as the 'crowning achievement' of the composer's career and by others as a 'summation' of all his most important concerns as an artist.¹⁵ It represents, to some extent, a return to the principles of opera outlined by Gluck in his preface to *Alceste* and it asserts itself, in its commitment to a conception of opera based on aria and recitative, as a viable alternative to Wagnerian music drama. History, however, has tended to favour the latter. Berlioz struggled to get

¹¹ The article in question was 'Apperçu sur la musique classique et la musique romantique'. It first appeared in *Le Correspondant*, October 22, 1830 and has been reprinted in Berlioz, *La Critique Musicale*, Vol. 1, 1823-1863, ed. by H. Robert Cohen and Yves Gérard (Paris: Buchet/Chastel, 1996), 63-8. The allusion to Hugo is on page 66. Discussions of the relative merits of Romanticism and Classicism were popular at this time. Berlioz's effort, for example, echoes that of Hugo's, in literature, in 1827 and Stendhal's 'Racine et Shakespeare' (1823). All of these efforts, however, seem to rehearse, in a French context, Schiller's much earlier work, 'On Naive and Sentimental Poetry' (1795).

¹² Victor Hugo, 'Préface' in Jean Massin, ed., *Oeuvre Complètes*, Vol. 3 (Paris: Le Club Français du Livre, 1967), 43-87.

¹³ Rushton, *The Music of Berlioz*, 52.

¹⁴ Details of the work's reception are explored at greater length in chapter 3.

¹⁵ See chapter 4.

his work performed in Paris's main opera house and was eventually forced to make major revisions to the score and libretto in order to see it staged in one of the lesser theatres. It was not until 1957, indeed, that the work was performed as a whole, on one evening and without substantial cuts, for the first time.¹⁶ Up until this point it was generally thought that *Les Troyens* was made up of two operas: *La Prise de Troie* and *Les Troyens à Carthage*. Despite admiration for the work coming from numerous quarters,¹⁷ performances of the opera, though much more frequent, are however still relatively thin on the ground.

On the face of it, *Les Troyens* might not seem as easy to locate in the Idealist tradition as the other works dealt with in this study. But with its intermingling of an individual's destiny with the fate of an entire people, this work perhaps more obviously partakes of the Idealist tendency to read the history of humanity in the life of a single person than either *Harold* or *La Damnation* did before it. This is also one of the things that marks it out as an opera in the tradition of French Grand Opera, but the machinations of the gods in the Berlioz work also lends it a cosmic flavour, meaning that it confronts directly the age-old question of self-determination and determination by other forces. It is for this reason, no doubt, that, in a book called *Opera and Ideas*, intellectual historian Paul Robinson has convincingly argued that Berlioz's opera is a musical manifestation of Hegel's *Philosophy of History*, a work equally concerned to deal with questions of historical self-determination.¹⁸ Composed at rapid pace in the space of about two years (1856-1858), *Les Troyens* is the result of Berlioz's life-long love affair with the poetry of Virgil—to whose works he had been introduced by his father during his childhood in La Côte St André. All of the most important ingredients of Berlioz's distinctive style are present here. Berlioz's predilection for strong female leads is borne out by the parts for Cassandre—a minor character in the original play—and Didon, at whose fate Berlioz wept when he recited the words of the play to his father, and whose suffering, at the hands of the 'perfidious Aeneas', as Berlioz called him, provides the impetus for the work's heart-wrenching final scene.¹⁹ Note too the appropriation of Shakespeare, a

¹⁶ The performance took place at Covent Garden's Royal Opera House, the conductor was Rafael Kubelík and the director was John Gielgud. It was sung in English, as was normal for the time.

¹⁷ Donald Francis Tovey, by no means an uncritical admirer of Berlioz's music, has described the work as 'one of the most gigantic and convincing masterpieces of music-drama', see his *Essays in Musical Analysis: Illustrative Music* (London: Oxford University Press, 1972 [1937]), 89, n. 1; W. J. Turner, another early critic of Berlioz has called it, 'the greatest opera that has ever been written', see his *Berlioz: The Man and His Work* (New York: Vienna House, 1974), 300; And Donald J. Grout has described *Les Troyens* as 'quite possibly the most important French opera of the nineteenth century, the Latin counterpart of Wagner's Teutonic *Ring*', *A Short History of Opera* (New York: Colombia University Press, 1965), 364.

¹⁸ See Paul Robinson, *Opera and Ideas* (Ithaca, NY: Cornell University Press, 1985).

¹⁹ See Berlioz, *Memoirs*, 39.

'Romantic' counterpart to 'Classical' Virgil, for the words of the stunning love duet, 'Nuit d'ivresse', and the proliferation of ceremonial pieces—the glorious 'Marche troyenne' and the anthem-like, 'Gloire à Didon'. *Les Troyens*, then, with *La Damnation* and *Harold* before it, is another tale of past glories, romantic love, and human destiny. It is, therefore, apt for treatment as a work of the Idealist tradition.

II. History and ideas - Romanticism, Classicism and Idealism - revolution and reaction

Just what are the ideals, ethos and poetic assumptions that lie behind the *Goethezeit* and what do they have to do with the Romantic subject? The term, which can be translated as the 'Age of Goethe', originates in Nicholas Boyle's biography of that poet where it was used with ironic effect to describe a movement to which Goethe did not, in fact, belong.²⁰ But it has since been appropriated by Scott Burnham, and stripped of its irony, to refer to a 'watershed era in the formation of our modern concept of self, an end to which many of the diverse currents of romanticism, classicism, and idealism prove to be kindred streams'.²¹ My fondness for Burnham's use of the term stems from the fact that it seeks to minimise the obvious stylistic differences between these various schools of thought in order to capture something of their common 'modernity'. This is important for my purposes since Berlioz's music is often considered to sit uncomfortably in the music historical line that runs from, say, Bach through Beethoven and Brahms, to Schoenberg and beyond. And yet, Berlioz's music fared much better, for various reasons, across the Rhine, in Germany, than it did in his homeland.²² As a champion of Beethoven's music, too, Berlioz can be considered as crucial in reshaping critical opinion about 'German' instrumental music in France. If Berlioz's music often does not sound like the music of his German contemporaries then perhaps it shares something of the 'spirit' of their music. This claim is not as implausible as it might sound. Despite important differences in their immediate historical situations, the development of Romanticism throughout Europe can be considered to be a reaction to a much broader current in European history that played an important part in the formation of a modern self. To suggest that French music, or any other music, cannot be thought of as having

²⁰ See Nicholas Boyle, *Goethe: The Poet and the Age: The Poetry of Desire*, Vol. 1 (Oxford: Clarendon Press, 1991), 7.

²¹ Scott Burnham, *Beethoven Hero* (Princeton: Princeton University Press, 1995), xviii.

²² See for instance, Mark A. Pottinger, 'The Breslau Concert Tour of 1846: Provincial German Insights into Berlioz's Music and Aesthetic', in David Charlton and Katharine Ellis, eds., *The Musical Voyager: Berlioz in Europe* (Frankfurt am Main: Peter Lang, 2007), 80-94. Pottinger demonstrates how three prominent theorists considered Berlioz's music to be decidedly modern and Idealist. In his chapter, "Ritter Berlioz" in Germany', David B. Levy has argued that the question of musical nationalities or national traits in composition is a much more complex affair than often supposed. See chapter 6 of Bloom, ed., *Berlioz Studies* (Cambridge: Cambridge University Press, 1992), 136-47. For an extended look at Berlioz's travels in Germany see, *Hector Berlioz in Deutschland: Texte und Dokumente zur deutschen Berlioz-Rezeption (1829-1843)* eds. Gunther Braam and Arnold Jacobshagen (Göttingen: Heinholz, 2002).

had as equally profound a reaction to these issues as was experienced in Germany would be to essentialise it or else to subscribe to a very simplistic view of influence.²³

Who is the Romantic subject?²⁴ He (it is often a 'he' but not necessarily so)²⁵ emerges as a reaction to the profound changes that resulted from a series of related revolutions that culminated in the political revolution in France in 1789 and the Industrial Revolution —initially in Britain—around the same time. The effect of these revolutions was to transform the social, political and ideological foundations of society. To simplify the matter somewhat: the thought of Galileo and Newton, for example, had demonstrated the explanatory power of science and challenged the authority of the world-view propagated by the teachings of the church. Likewise, the Industrial Revolution had resulted in a massive expansion in humanity's capacity to dominate nature at the same time as it brought about the creation of two new classes—the proletariat and the bourgeoisie—and new modes of social organisation—the division of labour and the increasing atomisation of relations between people. 'Instrumental' or 'means-end rationality', as Max Weber terms it, saw as suspicious anything that could not be measured or quantified. The expressive and spiritual life of the individual was viewed as the enemy of efficiency. In France, Enlightenment thinkers such as Diderot and D'Alembert, in their bid to assemble all existing knowledge in order to build a new world according to the dictates of reason, had begun to question the legitimacy of all existing social and political institutions. Even the existence of God, and, therefore, the Divine Right of Kings (already questioned centuries earlier in England), came to be undermined in France. Their project would play no small part in the events that would lead to the overthrow of the *ancien régime* in the Revolution of 1789. In the age of reason, anything

²³ In a recent book, Julian Johnson has argued that in understanding music from the broad perspective of 'modernity', the similarities between composers as temporally, geographically and stylistically divergent as Monteverdi and Stravinsky become much more apparent. Johnson seeks to move music studies away from linear narratives of stylistic development based on periodizations such as 'Baroque, Classical, Romantic, Modern' and towards a 'wider history of modernity'. See Julian Johnson, *Out of Time: Music and the Making of Modernity* (Oxford: Oxford University Press, 2015) in particular 'Introduction: Mapping Musical Modernity', 1-12.

²⁴ Numerous discussions of Romanticism exist. I have found the following selection particularly useful: Tim Blanning, *The Romantic Revolution* (London: Phoenix, 2011); Barzun, 'The Century of Romanticism' in *Berlioz and the Romantic Century*, Vol. 1 (New York and London: Colombia University Press, 1969), 367-98; Lilian R. Furst, *The Contours of European Romanticism* (Nebraska: University of Nebraska Press, 1979); Roy Porter and Mikulás Teich, eds., *Romanticism in National Context* (Cambridge: Cambridge University Press, 1988), see Stephen Bann, 'Romanticism in France', 240-59, for a discussion of proto-Romantics, Rousseau, Mme De Staël, and Châteaubriand; the relationship of Romantics to the past, and the links between French Romanticism and liberal politics. Brian Primmer's 'Unity and Ensemble: Contrasting Ideals in Romantic Music', *19th-Century Music*, 6, no. 2 (1982), 97-140 is an influential discussion of the differences between French and German Romantic music.

²⁵ Matthew Head has argued that the feminine plays an important role in the construction of the Romantic heroic subject. See, for example, 'Beethoven Heroine: A Female Allegory of Music and Authorship in Egmont', *19th-Century Music*, 30, no. 2 (2006), 97-132.

that could not be explained was deemed unworthy of attention. Within such a context, language was seen as the bedrock of reason and rationality whereas music, lacking the specificity of words, was seen as highly suspicious, the pleasures that it gave often compared to the intoxicating power of women. Human passion, like nature, was to be controlled.

Against the cult of reason and rationality, then, the Romantic subject often reasserted the importance of feeling and passion—areas of human life not reducible to reason. He was, then, a sensuous subject. Now, it was not that reason was to be abandoned altogether. Rather, there was a widespread sense that, through the Enlightenment's enthusiastic embrace of reason and rationality something more primitively human had been lost. Weber would later talk, for example, about the 'disenchantment' of the world—the idea that, with the advent of modernity, the world had been divested of all meaning and now confronted man as something cold and alien.²⁶ The Romantic subject, then, sought to recapture something of what had been lost in this relentless drive towards modernisation by, variously, searching for meaning in religion, art, or nature, or indeed, by turning to the past. Many figures in the wake of these revolutions felt, for example, that the process of modernisation had led to human's estrangement from the world and from other humans. There is often expressed in the works of Romantics, for example, a yearning after a lost Golden Age in which humans were perceived to exist in a harmonious unity with nature and with others. Unquestionably the most influential figure on Romantic thought, either in Germany or in France, in this regard, was the figure of Jean-Jacques Rousseau, who had begun to question the ideals of the Enlightenment from within. Against reason's claim to have liberated humanity, for example, Rousseau suggested that the advent of civilisation and modernity was precisely that which had caused our enslavement. 'Man is born free', he said, 'and yet he is everywhere in chains'. Rousseau caused a storm by suggesting, in his *Discourse on Inequality*, that humans may have been happier in a state of nature than they were in civilisation. But Rousseau also insisted that, for better or worse, we could not go back. The task facing humanity, then, was to use the capacity for reason and abstraction—those tools that had ripped us apart from nature in the first place—to create a 'second' nature, one in which such a unity is restored.²⁷

This is the impulse that drives the works of such important figures of the Idealist movement as Goethe and Hegel, and, after them, the political and economic work of

²⁶ Max Weber, 'Science as a Vocation', in *From Max Weber*, ed. by H. H. Gerth and C. Wright Mills (London: Routledge, 2009), 139.

²⁷ For a good summary of Rousseau's political ideas see, Jean Starobinski, 'The Political Thought of Jean-Jacques Rousseau', in Alan Ritter and Julia Conaway Bondanella, eds., *Rousseau's Political Writings*, trans. Julia Conaway Bondanella (London and New York: W. W. Norton and Company, 1988), 221-31.

Karl Marx, the early philological studies of Friedrich Nietzsche, and the humanism of Ludwig Feuerbach among others. These figures, more than any others of the age, perhaps, diagnosed the problem facing humanity in modernity and attempted to overcome its major contradictions at the level of thought or, in the case of Marx, practice. They sought a way of balancing the needs and wants of the individual by thinking a socio-political order that respected that individuality at the same time as it provided humans with a sense of 'belonging' in the world. Hegel, in particular, offered a vision of history as an unfolding process towards the expression of freedom in the world. This process was not, however, abstract—something that worked itself out over the heads of humans—but, rather, something of which the actions and passions of humans were an integral part. History used humans' passions, suggested Hegel, as by a 'cunning of reason' in order to carry out its aims in a great dialectical struggle between 'reason' and 'passion'. Humanity's estrangement from the world, then, was not to be lamented. It was, rather, simply a necessary stage on the path of history towards freedom. For Hegel, as for many others at this time, the endpoint of this historical process was imminent. Artists and philosophers in the nineteenth century, then, were inspired by a great sense of optimism for the future. Their work is often characterised by the setting up of opposites which are then 'overcome'. Hegel's dialectical method did not, however, apply solely to the idea of history as a process of becoming. It also gave expression to a new idea of the human subject. No longer, for example, was the human subject seen to be formed of an unchanging essence. Rather, Hegel saw the life of the individual as a sort of quest by which the individual confronts and overcomes obstacles. In exactly the same fashion by which history was guided by a series of setbacks followed by leaps forward, individuals were created incomplete but embodied great potential to develop. It is this idea, some believe, that is given cogent expression in the music of Beethoven's middle period.²⁸

The age in which Berlioz lived was one of rapid social, political, and technological change. Berlioz was born in 1803, the year before Napoleon Bonaparte declared himself emperor, and died in 1869, on the verge of the establishment of the Paris Commune (1871). He lived through two violent political revolutions. The revolution of July 1830 put an end to the Bourbon restoration of 1814 and established a new monarchy under Louis-Philippe. Berlioz was competing in the Prix de Rome at the time and was unable to leave his room. In his memoirs he laments not having been able to participate in the revolution but describes leading a chorus in a rendition of Roget de Lisle's *La Marseillaise*—a work which he later orchestrated—in the aftermath of the fighting. It was around this time, too, that Berlioz cultivated an interest in what Marx and Engels would later label the 'utopian socialist' thought of Saint-Simon and Fourier. In a letter to

²⁸ This is the central argument of Scott Burnham's *Beethoven Hero* (Princeton, NJ: Princeton University Press, 1995).

Charles Duveyrier, a leader of a group of Saint-Simonians, Berlioz expresses an interest in the ‘betterment of the lot of the poor and most numerous in society’ and offers any help that he can give in his capacity as a musician.²⁹ The contrast between the thought of Saint-Simon and Fourier can best be grasped in terms of their respective attitudes towards work. Saint-Simon retained a fairly rationalistic conception of social organisation based on increasing specialisation whereas Fourier was concerned to preserve the subject’s self-expression in his/her social activity—in other words they are separated by a concern for reason and passions. Despite Berlioz’s interest in followers of the former, however, he appears to have distanced himself from them as they began to embrace a mysticism of which the composer was very sceptical. Nevertheless, the influence of utopian socialist thought on Berlioz can be strongly detected in the composer’s own utopian tale, ‘Euphonia, or the musical city’—a story in which scholars have also detected the influence of Étienne Cabet and the Icarians.³⁰

Despite this initial revolutionary fervour, which provides at least a part of the basis for the composer’s interest in large ceremonial works in the mould of the music of the revolutionary festivals, Berlioz later become disillusioned both with revolution and with the idea of popular sovereignty more generally. The opening pages of the composer’s memoirs, for example, penned while Berlioz was in England, while another revolution was taking place in France, are telling: ‘As I write the juggernaut of Republicanism rolls across Europe. The art of music, long since dying, is now quite dead. They are about to bury it or rather throw it on the dung-heap.’³¹ These words reflect a disdain for popular sovereignty on the basis of what that would mean for the art of music. For the art of music, as Berlioz frequently argued, was emphatically not ‘for everyone’. It was, rather, for highly cultivated individuals, alone: those rare men and women, Berlioz argued, endowed with the appropriate powers of imagination. Berlioz would mock the idea of popular sovereignty, perhaps, in his depiction in *Les Troyens* of the ignorant masses who gleefully wheel in the horse left by the Greeks, while Cassandre, at the front of the stage, despairs at their folly. But the composer’s disdain for the public was really a

²⁹ The letter, now lost, has been reconstructed in *Correspondance Générale de Berlioz*, ed. Pierre Citron (Paris: Flammarion, 1972), 476-7. This quote is to be found on p. 477. For a discussion of Berlioz’s contact with the Saint-Simon movement see, Ralph P. Locke, *Music, Musicians, and the Saint-Simonians* (Chicago, IL and London: The University of Chicago Press, 1986), chapter 9.

³⁰ Joël-Marie Fauquet, ‘Euphonia and the Utopia of the Orchestra as Society’, in *Berlioz: Scenes from the Life and Work*, ed. Peter Bloom (Rochester, NY : University of Rochester Press, 2008), 47-63; Inge van Rij, *The Other Worlds of Hector Berlioz: Travels with the Orchestra* (Cambridge: Cambridge University Press, 2015), see chapter 4, ‘Back to (the music of) the future: Aesthetics of technology in Berlioz’s *Euphonia* and *Damnation de Faust*’, 193-244; see also the entry under ‘Politique’ in Pierre Citron et al., *Dictionnaire Berlioz* (Fayard, 2003), 432-6. The story ‘Euphonia, or the musical city’ appears as the ‘Twenty-fifth evening’ in the collection *Evenings with the orchestra*, ed., trans. Jacques Barzun (Chicago and London: The University of Chicago Press, 1956 and 1973), 258-97.

³¹ Berlioz, ‘Preface’, *Memoirs*, 33.

reflection of his views of the damage they could do to great art. In art, popular sovereignty, for Berlioz, could only result in the production of more and more vapid works such as those operas by Rossini that Berlioz detested, and the sidelining of the works of genius such as Gluck and Beethoven. Such a political situation, then, could never be countenanced.

It is perhaps for similar reasons, then, that Berlioz appeared to give his support to Louis-Napoleon's *coup d'état* in 1851 in which, after having won the election that had taken place in the wake of the decline of the July Monarchy, in 1848, Napoleon Bonaparte's nephew declared himself Emperor of France. Berlioz had met the Emperor on several occasions and had been impressed by the man. His support for Emperor Napoleon, however, appears to have been a more pragmatic matter than a political one. Berlioz had heard of interventions into artistic matters on the part of the first Emperor of France and was possibly hoping for a similar intervention, from Louis-Napoleon, in order to get his *Les Troyens* staged. The composer had been holding out hope, it seems, for an 'enlightened despot' who would improve conditions for French artists who had struggled under the July Monarchy. Jacques Barzun notes, indeed, that Berlioz was not alone among French intellectuals, then and since, who welcomed the accession of Emperor Napoleon III as a better alternative to the Second Republic.³² Alas, an intervention such as the one that had secured a performance for Berlioz's composition teacher, Jean-François Le Sueur, during the first Napoleonic Empire, did not materialise for Berlioz. We have very little evidence, otherwise, to suggest that Berlioz was very much interested in the affairs of state outside of exclusively artistic concerns. Compared to, say, Wagner, Berlioz says very little about politics or philosophy in his prose writings or in his letters. Our understanding of his politics, then, is inevitably the product of speculation.³³ Barzun has, for instance, gone so far as to describe the composer as apolitical.³⁴ What we do have, however, is the example of his music and, as a composer, it is surely reasonable to consider that Berlioz's most sincere and profound thoughts would be located there. Before we do that, however, it is necessary to provide some information about the composer's artistic development.

III. Musical contexts - stifling academics, dilettantes, and musical Jupiters

Best known for his archetypically Romantic *Symphonie fantastique* (1830), with its brazen literariness in the form of a lengthy accompanying note, Berlioz has become synonymous with the idea of programme music. Indeed almost all of his works are

³² Barzun, 'Fourteen Points', 195.

³³ But do see, again, the entry under 'Politique' in *Dictionnaire Berlioz*, 432-36.

³⁴ See Barzun, 'Berlioz as man and thinker', in *The Cambridge Companion to Berlioz*, ed. Peter Bloom (Cambridge: Cambridge University Press, 2000), 15.

attached to some sort of text and the question of the connection between his innovative forms and the literary sources which inspired them has long been a question of contention. Alongside Wagner, whom he admired for having written his own librettos, and Schumann, who wrote the well-known review of his first symphony, he is one of the most literary minded of nineteenth-century composers. When conditions outside of his control forced him into having to complete the libretto of *La Damnation* by himself, for example, he never again employed the services of a librettist, preferring, instead, to write them himself. As was noted earlier, his lifelong love of Virgil culminated, in the composer's later years, in his most ambitious operatic project—the enormous *Les Troyens*—for which he provided both music and words.

To the composer's love of Virgil was later added Shakespeare, Goethe, and Byron, all of whom provided inspiration for one or more large-scale work. Shakespeare, for instance, provides the source for a fantasy on *The Tempest* (1830), the symphony on *Roméo et Juliette* (1839), an overture on *King Lear* (1831), and an opera, *Béatrice et Bénédict* (1862), which was based on *Much Ado About Nothing*. Shakespeare's influence is also strongly felt in Berlioz's penultimate opera, *Les Troyens*, where Berlioz appropriates text from *The Merchant of Venice*, and in particular the love scene of Jessica and Lorenzo, for his own love scene, 'Nuit d'ivresse', between Didon and Énée. Berlioz describes the impact of Goethe's *Faust*, which he read in Gérard de Nerval's translation, in terms similar to that of his first encounters with Shakespeare and Beethoven.³⁵ The immediate upshot of this encounter was one of Berlioz's first published compositions, *Huit Scènes de Faust* (1828), but it also provided, along with Beethoven's influence, the impetus behind the *Symphonie fantastique*. No doubt Berlioz discerned in Goethe's mixing of genres, his use of sharp contrasts, and his propensity for grotesquerie, a kindred spirit. When he came to compose his 'opéra de concert', *La Damnation*, then, it was the culmination of years of pondering Goethe's play. Nevertheless, some have argued (see chapter 3), that Berlioz's conception has more to do with Byron's Romantic heroes than it does with Goethe. Indeed, the Romantic hero from Byron's *Childe Harold's Pilgrimage* had provided the inspiration, again alongside that of Beethoven, for the subject of his second symphony, *Harold en Italie*. These literary influences were arguably as important in terms of Berlioz's artistic development as Gluck, Beethoven, and Weber would be in music.

Despite his reputation as a composer of programme music, however, in his own lifetime Berlioz refused to be drawn into the mid-century debates between the absolutists—Hanslick and Brahms on one side—and the programmaticists—such as Wagner and

³⁵ One can generally discern the importance to Berlioz of a particular composer or writer simply by checking to see if he devotes a chapter of his memoirs to his discovery of him. Usually the title will read along the lines of 'The advent of...'

Liszt on the other. In an article discussing Wagner's 'music of the future', for example, he pointedly exclaimed, '*Non credo*'.³⁶ His own views on music, then, spelled out in a series of articles which he wrote to subsidise his compositional activity, were in some respects more conservative, while in others they were quite radical. They were inspired, primarily, by the ideas of Gluck, as most famously outlined in that composer's preface to his opera, *Alceste*. After Gluck, Berlioz advocated a doctrine of 'dramatic truth' whereby music should give a faithful expression of the words to which they are attached. But he did not, therefore, attach more importance to the words than to music. This, indeed, is what he perceived Gluck to be ultimately advocating and Wagner to be finally doing. In this respect, Berlioz sought a compromise between words and music such that music retained its autonomous status but its meaning could be more concretely established with recourse to an attached text.³⁷ Nevertheless, for Berlioz, music, and instrumental music in particular, was always to have the upper hand and it was Beethoven's music, as he would write in his treatise on Romantic and Classic music in 1830, that convinced Berlioz of the greater power of instrumental music as opposed to vocal music.³⁸ But Berlioz's encounter with Beethoven's music, a fact that provided the impetus for the composition of his first symphonic work, came relatively late into his career, when he was already in his twenties. The most formative influence on Berlioz's musical style, then, was arguably not Beethoven.

Berlioz's music is undoubtedly idiosyncratic but it is not the product of ineptitude. His musical training was, however, unorthodox by comparison with the likes of Mendelssohn, Schumann, or Wagner. He first encountered music, in the relative isolation of La Côte St-André, at the hands of his father, a doctor, and other local musicians.³⁹ He learned the flute, the guitar and the flageolet and could sing at sight but is a rarity among major composers for not being able to play the piano, a fact he seems to have considered both a blessing and a curse. Though he often felt disadvantaged for not playing the instrument, for example, he nevertheless believed that this handicap prevented him from relying on habit and convention. At the age of twelve he began composing his own music. In his memoirs he speaks of reading, but not understanding,

³⁶ See Berlioz, 'The Richard Wagner Concerts', in *The Art of Music and Other Essays (A Travers Chants)*, ed. and trans. Elizabeth Csicsery-Rónay (Bloomington and Indianapolis: Indiana University Press, 1994), 209.

³⁷ See Berlioz, 'On Imitation in Music', in *Fantastic Symphony*, ed. Edward T. Cone trans. Cone and Barzun, 36-48. This essay appeared as 'De l'imitation musicale' in *Revue et Gazette musicale de Paris*, in 1837.

³⁸ Berlioz, 'Observations on Classical Music and Romantic Music', in *Berlioz on Music: Selected Criticism 1824-1837*, ed. Katherine Kolb, and trans. Samuel N. Rosenberg (Oxford: Oxford University Press, 2015), 34-40.

³⁹ In his memoirs he mentions a man named Imbert, a second violinist from the Théâtre des Célestins, Lyons, whom his father recruited, and another multi-instrumentalist by the name of Dorant, who taught Berlioz to play the guitar. See *Memoirs*, chapter 4.

Rameau's *Treatise on Harmony*, a work he would later get the measure of in his years at the conservatoire. For now, he turned, instead, to a textbook by Charles-Simon Catel from which, alongside listening to the quartets of Pleyel, he uncovered the 'mysteries of chord formations and progressions'.⁴⁰

It was in reading about the lives of Gluck and Haydn in the *Biographie universelle*, however, that decided Berlioz, much to his father's later displeasure, on becoming a musician. He left La Côte St-André for Paris at the age of seventeen to pursue a career in medicine at the behest of his father. Thus began the second stage of Berlioz's artistic education. Living in Paris exposed Berlioz to musical experiences of which he could have had only little intimation in his artistic exile at home. Through his frequent visits to the opera house, for example, he was initiated into the music of the Old French School of Méhul, Salieri, Gluck, and Spontini, among others. Berlioz speaks in his memoirs of having pored over Gluck's scores in the conservatoire library and of copying them out so that he knew them by heart. And when, finally, he was able to hear a performance of Gluck's *Iphigénie en Tauride* he was moved to quit medical school and become a composer. He was taken on as a private pupil by conservatoire composition tutor, Le Sueur, in 1822. Later, upon enrolment at the conservatoire, he was inducted into the rules of counterpoint by the theorist, Anton Reicha, of whom he speaks very kindly. Nevertheless, he found the time he spent at the conservatoire truly stifling of his creativity. In his memoirs he frequently complains of the teachers' fondness for rules and conventions and their inability to provide the reasons behind them. His experience with his numerous entries into the *Prix de Rome* (it was not until his fourth attempt, and much self-discipline, that he won it with his cantata *Sardanapalus* (1830)) bears witness to his troubles with the stuffy academicism of the conservatoire musicians.

At the moment that Berlioz's ideas about the art of music were being informed by the doctrines of 'dramatic truth' that guided Gluck's work, and that Berlioz sensed as operating in the work of the other members of the French school, the Parisian public were becoming increasingly enraptured by Italian opera. Nothing seems to have incensed Berlioz more, in these early years in Paris, than the 'dilettantes' who would listen to nothing but Rossini. The assessment of Rossini's operas offered in Berlioz's *Memoirs* is cutting:

Rossini's melodic cynicism, his contempt for dramatic expression and good sense, his endless repetition of a single form of cadence, his eternal puerile crescendo and brutal bass drum exasperated me to such a point that I was blind to the brilliant qualities of his genius even in his masterpiece, the *Barber*,

⁴⁰ Berlioz, *Memoirs*, 45. Berlioz later demonstrates knowledge of the 'well-known Berlin theorist and critic', A. B. Marx, but it is unclear how much he knew of the theorist's work. See page 147.

exquisitely scored though it is.⁴¹

Against the rising temperature of Rossini fever, and that composer's scorn for the idea of dramatic truth, Berlioz could only advocate the example of the now declining Old French School. At this point in his career, with several large-scale works under his belt, and the main ingredients of his style already formed, he had not yet had opportunity to hear the music of Beethoven, the effect of which would be to transform his views of what instrumental music could do.

What Berlioz seems to have so admired about Beethoven's music was the composer's capacity for powerful expression — his willingness, as Berlioz saw it, to disregard academic convention when the expressive situation demanded it. This was something he also admired in the work of Gluck. And indeed, these two composers represented for Berlioz the twin Jupiters of music. Here were two composers, it seemed to Berlioz, who scorned both the academicism of the conservatoire as well as the vapidness of Rossini's music and his cultish followers. But with Beethoven, in particular, as with Shakespeare in literature, a new world of musical possibility opened up before him. A letter to his friend Eduard Rocher, in 1829, in which he explains the impact of Beethoven, illustrates the point well.

Now that I have heard that terrifying giant Beethoven, I know how far the art of music has come, the task now is to take it from there to the furthest point possible...no not further, that is impossible, he has reached the limits of the art, but as far in another direction. There is much to do that is new, I feel it with extreme energy; and I will do it, you can be sure, if I live.⁴²

Not only do these sentiments express the profound impact Beethoven's music had on Berlioz but the passage also reads like an artistic mission statement. Not long after Berlioz's first encounter with Beethoven's music, for example, Berlioz embarked on the composition of a symphony—a fairly unusual thing to do for a French musician of this time, for, as is often remarked, music for the French in this period primarily meant vocal music. It was in the aftermath of this discovery that Berlioz wrote what is essentially a manifesto for Romantic music.

Berlioz begins his manifesto with an allusion to Rousseau, as Katherine Kolb notes, by describing music as 'the most essentially free of all the arts, yet the longest fettered by prejudice and arbitrary rules'.⁴³ He outlines a brief 'history' of the development of music from 'primitive rhythms' to melody and harmony, and larger forms and explains how

⁴¹ Berlioz, *Memoirs*, 90.

⁴² Berlioz, *Correspondance Générale de Berlioz*, Vol. 1, ed. by Pierre Citron (Paris: Flammarion, 1972), 229. My translation.

⁴³ Berlioz, *Berlioz on Music*, 35.

conventions later hardened into rules the flouting of which the Classicists would not endure. In the essay's final move, however, he introduces a music 'wholly unknown to the Classics' that was 'brought to France in the past few years through the compositions of Weber and Beethoven' and 'is very closely tied to Romanticism'. Berlioz calls this the 'genre instrumental expressif'.⁴⁴ His explanation of this genre deserves being quoted in full since it is the clearest and most extended statement we have from Berlioz of what I am describing as his Romantic Idealist mindset.

The instrumental music of the early composers seems not to have any purpose beyond pleasing the ear or engaging the mind. In the same way, the instrumental cantilenas of the modern Italians produce a sort of voluptuous sensation in which heart and imagination play no part. Throughout the compositions of Beethoven and Weber, on the other hand, we find evidence of a poetic turn of mind. It is music on its own, with no verbal help to make the meaning clear; its language becomes extremely vague and precisely thereby acquires yet greater potency for listeners *endowed with imagination*. Like objects glimpsed in semi-darkness, its scenes expand and its shapes become blurred and vaporous. The composer, no longer constrained by the limited range of the human voice, can give his melodies much greater flexibility and variety. He can write the most unusual, even the most bizarre, phrases without fearing their execution will be impossible—the risk he always runs when writing for voices. Whence the extraordinary effects, the strange sensations, the inexpressible emotions produced by Weber's and Beethoven's symphonies, quartets, overtures, and sonatas. This bears no resemblance to our experience in the theater. There we are in the presence of humanity, with all its passions. Here a new world opens before us; we are lifted into a higher sphere of ideas. We feel growing within us the sublime life dreamt of by the poets, and along with Thomas Moore, we cry: 'Oh divine music! Language, weak and powerless, retreats before your magic. Why would feeling ever speak, when you alone can voice its very soul?'⁴⁵

This concern for liberty, with a 'higher sphere of ideas', or, the 'sublime life dreamt of by the poets' has a clear resemblance to the review of Beethoven's Fifth Symphony by E. T. A. Hoffmann. This view appears to have stayed with the composer for most of his life, even if he would later claim that he was not a 'Romantic'. Running through his criticism, for example, is an implicit opposition between what we might describe, after Schiller, as 'naive' Classical composers and 'sentimental' Romantic composers. This is nowhere more clear than when the composer compares the music of, say, Beethoven and Haydn where Haydn is figured as a calm and peaceful man whose music reflects his mild temperament, or in his essay, 'De L'imitation Musicale' where he argues that the mode of composition most appropriate for the modern composer is 'emotional imitation', by which he means imitation of the artist's feelings and not 'physical imitation' by which he means imitation of sounds of nature.⁴⁶ When he was composing his *Les Troyens*, he wrote a revealing letter to Princess Sayn-Wittgenstein in which the theme of freedom

⁴⁴ Berlioz, *Berlioz on Music*, 39-40.

⁴⁵ *ibid.*, 40. Emphasis in original.

⁴⁶ See Berlioz, 'Imitation in Music', 37.

once more looms large:

What is immensely difficult about it is finding the musical *form* - that form without which music does not exist or is merely the lowly slave of the text. That is Wagner's crime: he wants to dethrone music, to reduce it to 'expressive accents', thus exaggerating the system of Gluck (who happily did not succeed in keeping to his ungodly theory). I am for the kind of music you yourself call free. Yes, free, and proud, sovereign, conquering, I want it to grasp, to assimilate, everything, I want there to be, for it, no more Alps or Pyrenees. But to achieve its conquests it must fight in person and not through its lieutenants. I certainly wish it to have, if possible, fine verses drawn up in battle array, but it must itself advance into the line of fire, like Napoleon, and march in the front rank of the phalanx as Alexander did. Music is so powerful that in given cases it could conquer on its own; again and again it has had the right to say, like [Corneille's] Medea, 'Myself—that is enough.' To want to take it back to the old recitation of the antique Chorus is the most unbelievable, but happily the most unavailing, folly in the history of art.⁴⁷

Where to start? Here we have music cast as the Napoleonic hero battling for freedom. But on top of that Berlioz casts Wagner as some crusty old Classicist—anticipating a line of Wagner criticism in which the composer is seen as a realist—who wants to reduce music to its 'expressive accents'. This letter, and the manifesto quoted before it, decidedly overturns the popular view of the composer as the 'programmaticist *par excellence*'. As Berlioz insists, for instance, 'music is so powerful that in given cases it could conquer on its own.' That is, it seems to offer up a vision of a new world unconstrained by the reality-driven expressions of language.

This letter opens up, as Rodgers has shown in his book, new perspectives on Berlioz's notion of musical form.⁴⁸ Rodgers conceives Berlioz's use of form as constructing a musical metaphor for a poetic thought. Tracing Berlioz's argument through these statements, and his essay, 'De l'Imitation Musicale', for example, he argues that Berlioz's rather unorthodox approach to form stems from the composer's belief that once music is given complete freedom of expression, free from the restrictions of words, from the limits of the human voice, from the shallow artifice of 'direct imitation', and, perhaps, most importantly, from the limiting demands of academic conventions and conventional forms, only then can it give expression to the deepest of human passions and emotions. Far from being some literal translation of a literary programme, far from attempting to depict in music the events of some literary narrative, the music in fact seeks to reproduce feelings engendered by the poetic thought. But, since it has to 'fight in person' it will not abandon pre-existing musical forms entirely. Neither will it limit itself, however, to single genres. Berlioz aims for something totally *musical*. He aims to

⁴⁷ Quoted in David Cairns, *Servitude and Greatness* (London: Allen Lane, 1999), 609. The translation is his. Also reproduced in Berlioz, *Correspondance Générale*, V, 1855-1859, ed. Pierre Citron, Hugh J. Macdonald and François Lesure (Paris: Flammarion, 1989), 352. Emphasis in original.

⁴⁸ See Rodgers, *Music of Berlioz*, chapter 3, 'Form as metaphor'.

exploit all of its pre-existing capacities to more exactly arrive at the emotions that he seeks to express.

IV. Towards a methodology - meaning and music's 'relative' autonomy

As its title suggests, this thesis is concerned with the music and meaning(s) of three of Berlioz's major works. It proposes an analytical model, which mixes an approach to form and tonal structure grounded in a combination of sonata theory and Schenkerian theory with a methodology for contextualising analysis that draws on topic theory, narrative theory and a range of cultural-philosophical authorities. That is to say, this thesis is as much an exercise in music analysis as it is an investigation of meaning. To say this is to go against the grain of a view widely accepted in the academy that music analysis is in many respects the enemy of discovering music's meaning. Consider, for instance, that since the advent of New Musicology—a movement which praises itself for having put the issue of musical *meaning* back on the table—it is fair to say that music analysis has lost its privileged place as a mainstay of university music education. Indeed the relative decline of musical analysis in British universities—where it did not enjoy institutional protection, by contrast with universities in the US where musical analysis exists, and always has existed, as a separate institution—would seem to suggest that musical analysis is now facing something of an existential crisis. But that would be too hasty and alarmist a judgement. Despite losing its institution protection, in the UK at least, music analysis has continued to thrive. There is little indication that musicology has had enough of getting to know the intricacies of musical compositions.

The objections to music analysis, which arguably brought about this crisis, are well-known and do not need rehearsing at length here. Briefly then, music analysis, with its apparent tendency to treat music as a hermetically sealed 'object', is seen as always in danger of erecting a wall between the musical text and its social, cultural, historical, and political contexts. Falling back on the idea of the autonomous artwork, so the argument goes, analysts have historically sought to avoid confronting the difficult question of the function that race, sexuality, gender, and class, for example, play in the construction of the ideals by which art works are measured and in deciding who gets to talk about them. New Musicology and its aftermath has, to a certain extent, witnessed a reinvestment in these contexts, and has sought to open up space for excluded voices. One of the upshots of this, however, is that this investment in music's contexts has often (but not always) come at the expense of any discussion of the 'music itself'. Or, at

the very least, it has, perhaps not unjustifiably, aroused a strong suspicion of the claims upon which the formal analytical methods based on Schenker or *Formenlehre* rest.⁴⁹

In one of the most recent books on the composer, for example, Inge van Rij, writes of Berlioz's fascination with 'other worlds'. In this book van Rij seeks to 'historicise the concept of the racial Other in western art music by demonstrating how the dialectic between Otherness and universalism is germane to Berlioz's milieu', and she also intends to 'broaden the definition of Otherness to encompass not only racial or ethnic identity, but also temporality and technology, as well as the supposed transcendence of western art music itself'.⁵⁰ Her aims can be summarised as an interest in various manifestations of the notions of the material and the metaphysical as they relate to the western world and its conceptions of the Other. Thus Berlioz's music is seen to exhibit a tension between a 'composer-oriented work concept' (metaphysical) and a 'performer-centred physicality' (material).⁵¹ It will come as no surprise to the reader which of these two categories is considered by van Rij to be 'reactionary' and which is considered to be 'progressive'. Van Rij's tactic, throughout her book, is essentially to project onto Berlioz's music aspects of the somewhat problematic discourse that surrounded it. Berlioz's art then comes across, when seen from this point of view, as deeply racist and misogynistic.⁵² And if this is the case, then it is not altogether clear why we should be listening to his music at all. We get little sense from van Rij, since the engagement with the music is far from detailed, that Berlioz's art might have also expressed a desire to escape the material conditions that gave rise to such problematic discourses around the 'other', especially since the idea of transcendence, as opposed to the material and everyday, is treated with such disdain.

That said, many of the objections of the New Musicologists are well taken. And this thesis therefore does not seek to bracket off the question of musical meaning as it relates to its extra-musical contexts in order to fall back on a reactive formalism. But nor does it seek to bracket off the music in favour of a discussion of context alone. Rather, it seeks to locate music's meaning as much as possible in the analysis of the close details of musical form and tonal structure. In this task it is deeply indebted to the thought and example of Theodor W. Adorno who, as a result of his insistence that music bears the trace of its history, and when stripped of his 'unsavoury' modernist leanings,

⁴⁹ For two very helpful critiques of the New Musicological stance towards close reading of musical works, see Julian Horton, 'Postmodernism and the Critique of Musical Analysis', *The Musical Quarterly* 85, no. 2, (2001), 342-366 and Kofi Agawu, 'How We Got out of Analysis, and How to Get Back in Again', *Music Analysis* 23, no. 2/3, (2004), 267-286.

⁵⁰ van Rij, *The Other Worlds of Hector Berlioz*, 4.

⁵¹ *ibid.*, 9.

⁵² Compared to many of his contemporaries, however, Berlioz was really rather liberal.

somewhat confusingly became the poster-boy of a number of prominent New Musicologists, Susan McClary and Rose Rosengard Subotnik among them. What this thesis takes from Adorno, then, is the idea that music's substance, that is, its historical content, can only be grasped through a detailed engagement with its inner workings. That is to say, it endorses a belief that a hermeneutics which either totally eschews close engagement with a musical work or engages with the music in only a cursory way, and fails to understand it as a dynamically unfolding whole—even a fragmented one—will be all the poorer for it.

It was Adorno's view, for example, that music in the Western tradition is at once self-referential—that is, composed of interactions between parts and whole—and socially embedded. Music, claims Adorno, emerges from a particular set of historical, social, and political contexts, and will inevitably bear the trace of these contexts in its own forms. This is the objective background within which a composing subject is situated and which is mediated in the art works the subject produces. But each composing subject is also, to a certain extent, an autonomous individual. She takes the socially-mediated musical forms and conventions of her contemporaries and predecessors and she 'individualises' them. Thus, musical composition emerges, in Adorno's view, as a staging ground for a confrontation between the subjectivity of the composer-as-individual and the objectivity of the handed-down musical material. The composer-subject can either submit to the demands of the inherited material, and recreate the material as an act of free will, or eschew those demands and take a different route. Music can thereby acquire a critical force in relation to the society from which it emerged simply by virtue of the composer's acquiescence to or rejection of its formal demands. We can choose to call this approach one which embraces an idea of the 'relative autonomy' of art works if we wish but the truth is that the distinction between the socially embedded art work and the autonomous art work here breaks down because the ways in which one composer's work interacts with others precisely is a social process. This arguably allows us to turn the critique of music analysis on its head. Far from analysis being the means to close off questions of social and historical context from the study of music, Adorno argues that it is only through detailed musical analysis that we can access this content at all.

Adorno outlined his view of analysis's relation to a sociology of music most clearly and succinctly in a radio talk he delivered entitled 'On the problem of musical analysis'. In this talk Adorno arrives at his concept of the 'problem' at the centre of a work of art through a discussion of the 'problems' with music analysis as it existed in his own time. "To analyse", argues Adorno, is 'to become aware of a work as a *force-field* [Kraftfeld]

organised around a *problem*'.⁵³ To carry out an analysis in the Adornian mode would be to trace the way in which a particular composition seeks to 'work out' its own 'problem'. It is to consider a work as something that resembles a living being. As Adorno sees it, the analytical approaches of his time did not adequately rise to this challenge. For example, he derides *Formenlehre* as being concerned only with mere 'description' or 'fact-collecting' and for dealing with 'what everyone can hear in the music anyway' but acknowledges the importance of pre-existing schemata.⁵⁴ And he criticises Schenkerian analysis for being too reductive in treating formal structures as of peripheral importance by comparison with the unfolding of the *Ursatz* but notes the success of Schenker's theory when applied to the music of Beethoven.⁵⁵ Adorno's response to these problems is in seeking to uncover what is going on *underneath* the formal schemata, without losing sight of such schemata as a determinant of their own deviation. For Adorno, for instance, it is in the interplay of the individualising aspects of the work of art grasped as a dynamic whole and the schemata from which it derives that the social content of a work, or what Adorno calls the work's 'surplus' [das Mehr], reveals itself.⁵⁶ Only a criticism capable of grasping this 'surplus', of moving beyond mere 'description' or 'tautology', can then hope to grasp music's 'truth content', its social significance. As Adorno puts it, 'now the ultimate "surplus" over and beyond the factual level is the *truth content*, and naturally it is only critique that can discover the truth content. No analysis is of any value if it does not terminate in the truth content of the work, and this for its part, is mediated through the work's technical structure.'⁵⁷

Sadly, Adorno was no analyst. We therefore have few clues of what such an analytical methodology would look like. Adorno left behind mountains of prose on a wide range of composers but nothing that could justifiably be called analysis in the modern sense. While his comments on music, and his books on particular composers, are packed full of tantalising insights, his analyses, on the other hand, tend to frustrate the modern analyst who looks for a much closer engagement with musical detail. Thankfully, however, we are blessed with a wide range of theories, old and new, that can rise to the challenge. Adorno's argument, then, that close analysis is a pre-requisite for an engagement with music's meaning is, for the purposes of this thesis, considered axiomatic. Enshrined in this axiom is the idea that musical structures, and their discovery, are always already inherently 'meaningful', always already marked by history.

⁵³ Theodor W. Adorno, 'On the Problem of Musical Analysis', trans. by Max Paddison, *Music Analysis* 1, no. 2 (1982), 181. Emphasis in original.

⁵⁴ *Ibid.*, 177.

⁵⁵ The critique of Schenker can be found at *ibid.*, 173-175.

⁵⁶ *Ibid.*, 177.

⁵⁷ *Ibid.*

It is hard not to agree with Kofi Agawu that New Musicological critiques might have met less resistance in the academy if they had ‘focused on the enabling structures of theoretical work and uncovered theories of meaning that, because they were hidden and implicit, retained considerable motivating power without having to be openly acknowledged’.⁵⁸ Again, this does not mean a retreat to a regressive formalism but it does mean ‘making explicit what has remained implicit’ and ‘extend[ing] theory’s domain without undermining its commitment to the music itself’.⁵⁹ In this thesis, I seek to make explicit what I believe has long been implicit in analyses of form and tonal structure. In so doing, I hope to render New Musicological critiques of music analysis obsolete. My analytical apparatus is a combination of sonata theory and Schenkerian analysis with topic theory being introduced as a bridge to the extra-musical domains. Ultimately, though, I hope to show that all aspects of music’s form and structure can be seen (or heard) to contribute to its meaning.

James Hepokoski and Warren Darcy developed their sonata theory through years working as leading analysts of a wide range of Western art music. Their approach, codified in the co-authored *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, draws on a wide range of intellectual frameworks outside of music, such as genre theory, phenomenology, hermeneutic theory, reader-response theory, sociological theories, theories of cultural materialism, ideology, and institutions, and postmodernist and poststructuralist concerns.⁶⁰ Sonata theory offers a ‘dialogic’ interpretation of musical form whereby each work is considered to be entering into a complex relationship with a background of historically contingent norms and default options at every compositional juncture. As Hepokoski and Darcy put it, ‘at any given point in the construction of a sonata form, a composer was faced with an array of common types of continuation-choices established by the limits of “expected” architecture found in (and generalized from) numerous generic precedents.’⁶¹ Based on their analysis of hundreds of eighteenth and nineteenth-century sonatas, Hepokoski and Darcy have assembled what amounts to a roadmap of the course of events—harmonic, rhetorical, structural—in an ‘average’ eighteenth-century sonata. When a composer rejects these norms or other less frequent default options in favour of an alternative strategy, a deformation is said to have

⁵⁸ Kofi Agawu, *Music as Discourse: Semiotic Adventures in Romantic Music* (Oxford: Oxford University Press, 2008), 5.

⁵⁹ *Ibid.*, 7.

⁶⁰ For a discussion of the ‘grounding principles’ of sonata theory see James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), 603–610.

⁶¹ Hepokoski and Darcy, *Elements of Sonata Theory*, 9.

occurred. If a deformation occurs with enough regularity (i.e. in a particular composer's oeuvre or in a particular period) it can become a new norm.

This dialogic approach to musical analysis, by which a composer's work is measured by its relation to a set of background norms, fits well with the Adornian approach outlined above. Sonata theory also moves well beyond the mere 'fact-collecting' of which Adorno complains in contemporaneous *Formenlehre* by grasping the essence of a sonata as a set of inter-related modules each of which might alter the course of the sonata later down the line. But there is another benefit to sonata theory besides. One of the grounding principles of sonata theory, for instance, is that historically sonata forms have functioned as a complex metaphor for a human action. To undertake a sonata theory analysis, therefore, is to tap into a whole host of cultural and philosophical ideas coeval with the historical development of the sonata in the eighteenth and nineteenth centuries. Sonatas trade, in other words, in perhaps the most lasting legacy of the Enlightenment, that is, the idea of an individual's right to self-determination. To a certain extent, then, sonata theory can be said to generate its own hermeneutics. Hepokoski and Darcy suggest, for example, that a sonata form is a musical analogy for the quest narrative in which a subject sets out into the world, faces down an obstacle, and in so doing realises her own capacities. To say with the New Musicologists that music analysis serves to close off questions of meaning would be to ignore the rich potential for hermeneutics that inhere in sonata theory. Within this humanistic context, for example, deformations can provide some of the most interesting opportunities for hermeneutic speculation. A deformation to an expected norm begs the question as to why a particular strategy has been deemed inadequate. For an era in which deviations from expected norms—social ones, for instance—a sonata could scarcely be more relevant.

The view that a sonata is a mimesis of human experience or action, finds a surprising bedfellow in the work of Heinrich Schenker, who similarly saw all composings out of the *Ursatz* as a metaphor for a particularly human struggle. The *Ursatz*, for Schenker then, is no mere abstract structure but, rather, a 'full analogy to our inner life'.⁶² The realisation of a tonal composition was for Schenker a musical manifestation of the self-actualisation of the subject through the full development of her particular capacities. It is not for nothing that, in explaining the content of a musical composition, Schenker invokes Hegel's definition of destiny as 'the manifestation of the inborn, original predisposition of each individual' as an equally valid description of path traveled with each descent of the *Urfinie*.⁶³ Crucial to Schenker's view is the simultaneously universal

⁶² Heinrich Schenker, *Free Composition (Der freie Satz)*, trans. and ed. by Ernst Oster, (NY & London: Longman, 1979 [1935]), 4.

⁶³ Schenker, *Free Composition*, 3.

and particular aspects of this journey. That is, just as every individual will in the course of her life confront her own destiny in a way that accords with her own capacity so too will every composition develop only according to its own inherent tendencies. In other words, the destination is always the same, but the journey is unique: ‘Semper idem sed non eodem modo’ [always the same but not in the same way]. As Schenker has it, ‘in the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds.’⁶⁴ The unfolding of a composition is without a doubt, in Schenker’s view, an inherently dramatic, inherently meaningful process. To undertake a Schenkerian analysis is to consider the particular way in which a composition realises itself. It is to grasp it in its individuality and its universality. It is far from being a way to shut off questions of musical meaning.

But that is not to say that, as Schenker probably believed, all one need do is produce a sketch of a foreground, middleground, and background, without any further elaboration. As with sonata theory, what we need to do is to make explicit what was already implicit in the theory. In my pursuit of making explicit the meanings of my analyses of Berlioz’s music, I have been aided by the theories of Robert Hatten, Raymond Monelle, Eero Tarasti, Thomas Pankhurst, and Byron Almén, among others.⁶⁵ And while I have generally not couched my analyses in their terms, falling back, instead, on the Schenkerian and sonata theory terminology, their influence looms large in this thesis. Pankhurst, for instance, alerted me to the similarities between Schenker’s generative approach to tonality and the narratological theories of Algirdas Julian Greimas. This allowed me to re-configure Schenkerian analyses in terms of subject-object disjunctions and conjunctions, which, in turn, allowed me to think through similarities between, say, operatic narratives and musical structures. Tarasti’s work showed me that ideas of disjunction and conjunction (modalities of ‘doing’ and ‘being’ in Tarasti’s terms) could be applied to other musical parameters. Tarasti identifies parameters such as ‘actoriality’, ‘spatiality’, and ‘temporality’, more commonly known to us perhaps as theme, tonal structure, and meter, each of which can be ‘modalised’ in various different ways in the service of musical ‘narratives’. Just as the arrival of a dominant can create a ‘spatial’ disjunction relative to the tonic, so can a shift to a high register mark a disjunction in a

⁶⁴ Ibid., 5.

⁶⁵ See, for instance, Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation*, (Bloomington, IN.: Indiana University Press, 1994) and *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert*, (Bloomington, IN.: Indiana University Press, 2004); Raymond Monelle, *The Sense of Music: Semiotic Essays*, (Princeton, N.J.: Princeton University Press, 2000) and *Linguistics and Semiotics in Music*, (Chur, Switzerland and Philadelphia: Harwood Academic, 1992); Eero Tarasti, *A Theory of Musical Semiotics*, (Bloomington, IN.: Indiana University Press, 1994); Thomas Pankhurst, ‘Desiring closure, yearning for freedom: a semiotic study of tonality in three symphonies by Carl Nielsen’, (unpublished doctoral thesis, University of Manchester, 2004); Byron Almén, *A Theory of Musical Narrative*, (Bloomington and Indianapolis: Indiana University Press, 2008)

piece that opens in a middle register. Perceiving these modalities in action, however, often requires a sensitive understanding of how music can articulate difference. Hatten's theory of musical markedness alerted me to the ways in which musical differences can be mapped onto differences in meaning. Hatten's theory is that 'marked' musical features have more specific connotations than their 'unmarked' counterparts. Consider, for instance, how the minor mode in Classical music almost always signifies the tragic whereas the major mode has a variety of different possible connotations. Recognising these differences, and how they correlate with extra-musical concepts, is often a first step along the way towards uncovering a potential meaning.

Many of these writers—Agawu, Hatten, Almén, and Monelle, for example—also make extensive use of topics and topic theory in their writing. Leonard G. Ratner introduced the notion of topic in his influential book *Classic Music: Expression, Form, and Style*.⁶⁶ He defines topics as 'subjects for musical discourse' and separates them into two loose categories: types and styles.⁶⁷ The first category indicates a 'fully-worked out piece',⁶⁸ such as, in the Classical era, a minuet, bourée, or sarabande, or, say, the nocturne, waltz, or étude in the Romantic period, while the second—styles—designates 'figures and progressions within a piece',⁶⁹ such as fanfares, horn-calls, or the singing style. As Ratner notes, however, the boundaries between these two categories are blurred since types 'also furnish styles for other pieces'.⁷⁰ Thus we can imagine a piece of Classical music that contains within it a succession of different types—passepied, chorale, concerto-style—or Romantic music that contains within it various references to, say, a 'waltz-style', a 'nocturne-style', or an 'étude-style'. The main point about topics is that they tend to point 'outside' of the work, either to other works or genres or to something extra-musical such as a social ritual, like a hunt or a dance. That is, topics are a type of musical 'sign', recognisable to a culture of listeners, whose signified lies outside of the work. Topics are therefore one of the most immediate ways of bridging the perceived gap between the intra-musical and the extra-musical, or what Agawu defines as the 'introversive' and 'extroversive' aspects of the work. Topical analysis can lean towards the sort of 'fact-collecting' lambasted by Adorno. This is no doubt partly because its proponents have struggled to establish a 'syntactical basis' for topic analysis in order to explain the ordering of topics within a given piece.⁷¹ Nevertheless, done sensitively, and

⁶⁶ Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (NY & London: Collier Macmillan, 1980).

⁶⁷ Ratner, *Classic Music*, 9.

⁶⁸ Ibid.

⁶⁹ Ibid.

⁷⁰ Ibid.

⁷¹ See William E. Caplin, 'On the relation of musical topoi to formal function' *Eighteenth-Century Music* 2, no. 1, (2005), 113-24.

in conjunction with structural analysis (the introversive domain), topic theory is a richly rewarding enterprise.

A number of studies now exist that make explicit what I feel has long been implicit in musical analysis. Burnham's influential monograph on Beethoven, in which the author argues that musical analysis is tied up with the meaning of Beethoven's music, precisely demonstrates that the analytical lexicon of the nineteenth century developed out of the programmatic readings that characterised early responses to Beethoven's music. Burnham's book itself relies heavily on ideas explored with regard to Beethoven's music by figures such as Adorno, in his unfinished monograph on Beethoven, and by Carl Dahlhaus in his book, *Ludwig van Beethoven: Approaches to his Music*.⁷² Both of these figures, for instance, make a strong case for the link between Beethoven's music and Hegelian philosophy. Extending such studies beyond the work of Beethoven, Dahlhaus's ideas with regard to this composer's music also reappear, in a much wider context, in his study, *Nineteenth-Century Music*, where the Hegelian nature of Beethoven's middle-period style is taken as the model for one side of a dichotomy that Dahlhaus saw as fundamental to the stylistic dualism, in the nineteenth century, between German Instrumental music and Franco-Italian opera.⁷³ Likewise, Adorno's view of Beethoven's music informs his own readings of much post-Beethovenian music. Along similar lines, Julian Horton has looked at the relationship between dialectics, the philosophical systems of Hegel and Adorno, in relation to the music of Beethoven, Bruckner, and Berg, in a useful chapter titled 'Dialectics and Musical Analysis', in Stephen Downes's *Aesthetics of Music: Musicological Perspectives*.⁷⁴ Crucial to Horton's idea is that, after the formal innovations of Beethoven, dialectics was absorbed into the musical language of the nineteenth century. Likewise, Janet Schmalfeldt has recently also explored the legacy of Idealist philosophy and its influence on long-range form in works by such figures as Beethoven, Schubert, Chopin, Mendelssohn and Schumann. Schmalfeldt is particularly interested in the idea of form as an unfolding process, taking Dahlhaus's analysis of Beethoven's 'Tempest' Sonata as her starting

⁷² Theodor W. Adorno, *Beethoven: The Philosophy of Music*, ed. Rolf Tiedemann and trans. Edmund Jephcott (Cambridge: Polity, 1998); Carl Dahlhaus, *Ludwig van Beethoven: Approaches to His Music* (Oxford: Calrendon, 1991).

⁷³ Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley, LA, and London: University of California Press, 1989).

⁷⁴ Julian Horton, 'Dialectics and musical analysis' in Stephen Downes, ed., *Aesthetics of Music: Musicological Perspectives* (New York and London: Routledge, 2014), 111-43. Horton's *Bruckner's Symphonies: Analysis, Reception, and Cultural Politics* (Cambridge: Cambridge University Press, 2004) features a similarly 'dialectical' analysis of the finale of Bruckner's Third Symphony as a response to a particular socio-political problem of reconciling bourgeois liberalism with Catholic absolutism. See chapter 2, 'Bruckner and late nineteenth-century Vienna: analysis and historical context', 26-63.

point for subsequent analyses.⁷⁵

Moving away from German composers, and from Hegel, J. P. E. Harper-Scott's *Edward Elgar, Modernist* has explored Elgar's First Symphony and his 'symphonic study', *Falstaff*, as an exploration of 'Being' or *Dasein*, in Heidegger's sense of that word. He suggests that sonata form, in common with the quest narrative, can be heard as offering a powerful interrogation of the idea of the self.⁷⁶ Sarah Reichardt, in her book, *Composing the Modern Subject: Four String Quartets by Dmitri Shostakovich*, on the other hand, uses Lacanian theory to discuss the music of Shostakovich not in terms of its immediate historical context in Soviet Russia, but, rather, as a response to modern subjectivity.⁷⁷ And taking a much wider view, Julian Johnson has recently explored music from as far back as 1600, in his book, *Out of Time: Music and the Making of Modernity* as playing a crucial part in the construction of the idea of modernity.⁷⁸ The implications are quite clear, then. A great deal of music from a wide range of cultures and from a wide range of geographical locations can be plausibly examined from the standpoint of ideas of modernity. From this perspective, then, the aims of my thesis appear comparatively less ambitious. But this aspect of Berlioz's music has been left largely unexplored. One exception to this rule might be Harper-Scott's analysis of Berlioz's *Béatrice et Bénédict* in terms of the psychoanalytical theories of Lacan.⁷⁹ In this article, for instance, Harper-Scott provides a detailed Schenkerian analysis of Berlioz's final opera and concludes that it presents a radical critique of the modern institution of marriage. His analysis mostly eschews questions of the composer's own views about marriage and locates the critique squarely within the musico-dramatic structure. The following, then, is conceived in much the same spirit as are many of these studies. I seek to read Berlioz's music as a response to a broadly conceived socio-political situation: the breakdown of traditional systems of belief and political organisation and the search to find alternative ways of organising the world.

V. Structure of the thesis - chapter-by-chapter summary

The rest of this thesis is geared to the analysis of three of Berlioz's large-scale works.

⁷⁵ Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York and Oxford: Oxford University Press, 2011).

⁷⁶ Harper-Scott, *Edward Elgar, Modernist* (Cambridge: Cambridge University Press, 2006).

⁷⁷ Sarah Reichardt, *Composing the Modern Subject: Four String Quartets by Dmitri Shostakovich* (Aldershot: Ashgate, 2008).

⁷⁸ Johnson, *Out of Time: Music and the Making of Modernity* (Oxford: Oxford University Press, 2015).

⁷⁹ Harper-Scott, 'Berlioz, Love, and *Béatrice et Bénédict*', *19th-Century Music*, 39, no. 1 (2015), 3-34.

These works cut across three different genres so necessitate slightly different analytical methodologies. The next chapter presents an analysis of Berlioz's second symphony, *Harold en Italie*. Taking as a starting point Mark Evan Bonds's suggestion that *Harold* be considered an 'anti-heroic' work conceived in deliberate contradiction of Beethoven's symphonic practices, this chapter argues that, in the wake of Burnham's study of Beethoven's heroic style, labels such as 'heroic' and 'anti-heroic' carry with them strong musical and extra-musical associations that have yet to have been sufficiently addressed with regard to Berlioz's symphony. Burnham's distillation of the 'heroic' style into the formal and tonal conventions of sonata form provides the methodological and hermeneutic foundation of the chapter. That is, the chapter proceeds by means of an analysis of the symphony's first movement, based on James Hepokoski and Warren Darcy's Sonata Theory before examining the movement's articulation of tonality. Particular attention is paid to the way in which the symphony's first movement sets up a series of oppositions—both formal and tonal—which it then 'fails' to resolve. This 'failure'—the term is not meant to be derogatory but descriptive—is then read in 'negative dialectical' terms as a critique of post-Enlightenment solutions to social antimonies such as those between humanity and nature—read through the work's pastoral topics and sentimental archaism—and individual and community—read through the integration of 'contemplative lyricism' into a symphonic argument. The 'failure' of this first movement, I argue, adumbrates the 'failure', on a larger scale, of the symphony's protagonist to secure the work's valedictory ending. And yet, the victory of the brigands, in the finale, is understood as a celebration not too dissimilar, in its Dionysian de-individuation—that is, the Nietzschean idea that certain experiences, such as listening to a piece of music, can help to blur the boundaries between self and other —, to the brotherhood of man that caps off Beethoven's Ninth Symphony.

Chapter 3 pulls away from the symphonic genre towards Berlioz's quasi-operatic adaptation of Goethe-Nerval's *Faust*. Here the focus falls on three numbers in which Faust has a prominent vocal part: the opening number, 'Le vieil hiver', Faust's first air, 'Air de Faust' and his arioso, 'Invocation à la nature'. This chapter develops out of the Marxist philosopher Georg Lukács's suggestion that Goethe's *Faust* be considered a literary parallel to Hegel's *Phenomenology of Spirit* in order to investigate questions of Faust's subjectivity in Berlioz's adaptation. In this way it goes against the grain of much recent scholarship on the work that locates the model for Berlioz's *Faust* in the works of Byron. The first part of the chapter offers an analysis of the work's libretto in which Faust is seen as engaging in a battle for the good and evil aspects of man's nature, his relentless striving for the Absolute against his sensuous—at first purely physical—desire for Marguerite. Out of this discussion emerges a view of the work as a whole as a negative critique of the foundations of bourgeois society and its ideological injunction towards constant self-development at whatever cost. The second part of the chapter

locates this critique in more purely musical terms first by providing a summary of the musical structure of the work as a whole and second by zooming into an analysis of three important numbers. 'Le vieil hiver' is heard to set the work's philosophical tone in its highly pictorial representation of the intrusion of humanity into nature. Next, 'Air de Faust' is heard as a crucial turning point in the development of Faust's personality in that it represents his confrontation with another 'subject'. This is represented musically, I argue, by the song's articulation of a strongly articulated PAC, the first that truly belongs to Faust and that can be seen to have resulted 'organically' from the tonal processes of the song. Faust's 'striving', additionally, is captured by a long-range middle-ground linear progression. In the wake of Faust's abandonment of Marguerite, the radical challenge to tonality presented by his final aria is read as a musical staging of the impossibility of reconciling self and other within the confines of pre-existing tonal conventions. Here, the tonal argument divests the final cadence of its full force by undermining the tonic-dominant polarity that inheres in functional tonality.

The path from chapter 3 to chapter 4 completes a path from symphony through '*légende dramatique*' to full-blown opera. The fourth chapter presents a semiotic-Schenkerian analysis of the prelude-like 'Chasse Royale et Orage' (Royal Hunt and Storm) and reads it as a microcosm of *Les Troyens*' global concerns. The first part of the chapter outlines a brief narratological analysis of the opera's plot, paying particular attention to the scenes in Carthage. The second part of the chapter offers a diachronic account of the form of 'Chasse Royale et Orage' followed by an analysis of the work's topics and, finally, a Schenkerian reduction. Signifying the moment during which Didon and Énée consummate their love, this orchestral tableau plays witness to the first confrontation of the opera's two main themes: love and history. Formal analysis of the piece, however, has been thin on the ground. Ian Kemp has provided valuable if informal commentary on the movement in his edited essay collection on the opera. He suggests a structural premise in a large-scale crescendo and identifies motivic connections between several of the work's themes. Nevertheless, his programmatic reading fails to satisfy the analyst who seeks corroboration in a closer reading of the music. My reading, which locates meaning in a close reading of the notes, sees the prelude as a portent, in its undermining of Classical tonal convention, for the disaster that will befall Carthage. At the same time, however, the work's wave-like structure and gigantic climax is seen as enabling the self-development of Énée and the rescue of his people. Once again, then, the opera demonstrates that self-development of the individual always comes at the cost of an 'other'.

The conclusion seeks to draw together into some sort of unity the observations gleaned from the analyses of these three large-scale works. It points, in particular, to the tendency of Berlioz, in his work, to project the resolution of social antinomies as a devoutly wished-for goal but one that nevertheless oversteps the end of his works. In

this respect, despite the composer's disillusionment with revolution and popular sovereignty, Berlioz is seen to harbour an Idealist desire for the resolution of social antinomies in a place 'beyond' the conditions of his social existence. The conclusion also seeks to point to other possible paths of enquiry beyond these three works, in the composer's other operas and, indeed, his works in the mould of the tradition of the revolutionary festivals.

Chapter 2. Examining aspects of the heroic style in *Harold en Italie*

I. Introduction

In this chapter I will examine the relationship of Berlioz's *Harold en Italie* to the formal and tonal conventions of sonata form. The analysis will form the basis of a discussion of musical constructions of heroism and anti-heroism. Given that the circumstances surrounding the work's composition had a profound impact on the work's unusual shape, however, it is necessary to start with a brief discussion of its genesis.

Having been commissioned by the great violinist Nicolò Paganini to write a piece in which the virtuoso could show off his new Stradivarius viola, Berlioz set to work on a 'dramatic fantasy for orchestra, chorus and solo viola' based on the last moments of Mary Stuart.¹ Paganini had been an admirer of Berlioz since attending a concert of 9 December 1832, after which he had lavished praise on the younger composer.² A little more than a year later, though Berlioz has conflated the events in his memoirs, Berlioz gave another concert with Paganini in attendance. It was in the aftermath of this concert that Paganini commissioned the work from him and an announcement was made in *Rénovateur*, and elsewhere, that Berlioz was to write his dramatic fantasy and that Paganini would be the viola player at the première.³ At some point during the process of composition, however, Berlioz jettisoned the plan based on Mary Stuart in favour of one based on the work of Byron, in particular his *Childe Harold's Pilgrimage*. As composition progressed, dramatic fantasy came closer to symphony and the work was enlarged from two movements to four. The idea to include a chorus, perhaps after the example of Beethoven, was also abandoned, though Berlioz would go on to include a chorus in his next symphony. *Harold* is built around material lifted from the abandoned *Rob Roy* overture but there is also much that is new.

Berlioz had warned the violinist that, not playing the viola himself, he would struggle to write the concerto that Paganini would want. With the Italian's insistence, however, he

¹ The story of the work's genesis offered below is recounted in *Memoirs* chapter 45. Cairns has fleshed out—and corrected—some of the details of Berlioz's story in his *Servitude and Greatness 1832-1869* (Berkeley, LA: University of California Press, 2000), see pages 31-34 in particular.

² 'He stopped me in the passage and seizing my hand uttered glowing eulogies that thrilled and moved me to the depths.' Berlioz, *Memoirs*, 270. Later, Paganini would name Berlioz Beethoven's successor: 'Beethoven being dead, only Berlioz can make him live again'. Berlioz, *Memoirs*, 301.

³ Cairns gives the date as 21st January, *Servitude and Greatness*, 32. The notice was copied in the *Gazette musicale*.

set to work. His intentions were clear: 'So, to please the great man, I attempted to write a solo for viola, but a solo combined with orchestral accompaniment in such a way as to leave the orchestra full freedom of action; for I was confident that, by the incomparable power of his playing, Paganini would be able to maintain the supremacy of the soloist.'⁴ The result, of course, was that achieving a satisfactory balance between soloist and orchestra has been a problem for conductors to this day. But it is worth remarking that, from the outset, it appears Berlioz intended to give the orchestra a prominent role in the work, a fact that, perhaps, explains the work's generic classification as a symphony and not a concerto. It was apparently for this reason—the lack of prominence in the solo part—that Paganini later declined to play it. Berlioz recounts the story in his memoirs, reporting that, after having seen a draft of the first movement, the violinist exclaimed, 'That's no good. There's not enough for me to do here. I should be playing all the time.'⁵ Cairns has suggested, however, that the reasons for Paganini withdrawing from the performance may have been more obscure having to do with the Parisian press's scrutiny of the violinist's private life.⁶ Whatever the reason, it was another viola player, Chrétien Urhan, whom Berlioz had met through Le Sueur, who was enlisted for the first performance, with Narcisse Girard wielding the conductor's baton. The performance was given on 23 November 1834 in the 'salle du Conservatoire' and was one of Berlioz's greatest successes, Girard's failings notwithstanding.⁷ The second movement, in particular, became an audience favourite. Upon hearing the work, Paganini realised his mistake in rejecting it and later made amends by giving Berlioz 20,000 francs—a donation which enabled composition of his third symphonic work, *Roméo et Juliette* (1839).

By the time of its first performance, then, Berlioz's original conception of a dramatic fantasy had crystallised into something resembling the four-movement symphony with solo viola that we know today.⁸ Despite representing something of a retreat from the bold intermingling of literature and music in *Symphonie fantastique*, with its lengthy attached programme, which the composer likened to an 'operatic text', Berlioz's second symphony nonetheless displays its literary colours in its titular allusion to Byron's *Childe Harold's Pilgrimage*. In addition, each movement carries a programmatic heading: I. 'Harold aux montagnes, scènes de mélancolie, de bonheur et de joie' (Harold in the

⁴ Berlioz, *Memoirs*, 270-1.

⁵ Berlioz, *Memoirs*, 271.

⁶ Paganini had reportedly abducted a girl in England and taken her to France with him. As Cairns points out, the violinist defended himself on the grounds that the girl was being maltreated but the events were enough to create a scandal in Paris. See Cairns, *Servitude and Greatness*, 40-1.

⁷ Girard failed to bring off the superposition of themes in the third movement, motivating Berlioz to conduct all of his own works from then on.

⁸ Edits were, however, ongoing for a number of years.

Mountains, Scenes of Melancholy, Happiness and Joy); II. 'Marche de pèlerins chantant la prière du soir' (March of Pilgrims Singing their Evening Prayer); III. 'Sérénade d'un montagnard des Abruzzes à sa maîtresse' (Serenade of an Abruzzi Mountaineer to his Mistress); and IV. 'Orgie de brigands, souvenirs des scènes précédentes' (Brigands' Orgy, Recollection of Previous Scenes).

In a technique that was to become typical of the composer's output, for example, Berlioz does not appear to have intended a literal translation of the narrative of his literary source into music. Rather, he has selected or invented scenes that lend themselves well to musical representation in a pre-existing, though for Berlioz very flexibly treated, form.⁹ Thus the scenes correspond to a fairly typical four-movement symphonic format composed of a sonata-allegro, a slow march, a scherzo (in the form of a serenade) and a finale, also in sonata form. The disposition of keys is, perhaps, typically Romantic, based as it is on third movement: G minor/major, E major, C major, and G minor/major. The only really unusual thing here is the use of E major rather than E minor for the second movement but there is precedent for this key relationship in his first symphony, in C major, which has a second movement in A major. We can perhaps 'hear' the key structure, then, as an arpeggiated descent to the subdominant followed by a return to the tonic in the final movement via its opening *tutti* dominant chord.

We can learn much about the work from the composer himself. Writing in his memoirs, years after the work's composition, Berlioz reflected on the inspiration behind the symphony's final form:

My idea was to write a series of orchestral scenes in which the solo viola would be involved, to a greater or lesser extent, like an actual person, retaining the same character throughout. I decided to give it as a setting the poetic impressions recollected from my wanderings in the Abruzzi, and to make it a kind of melancholy dreamer in the style of Byron's *Childe Harold*. Hence the title of the symphony, *Harold in Italy*.¹⁰

Berlioz's allusion to his wanderings in the Abruzzi suggests an intermingling of literature and autobiography. Indeed, it is possible to find direct parallels in the memoirs to the scenes portrayed in the music. The second movement, for example, has its origins in a scene that Berlioz witnessed, while in Italy, during which workers, 'returning late from the plain' sung 'litanies, while from somewhere comes the sad jangle of a monastery

⁹ Rodgers's analysis of the second movement, 'Pilgrim's March' bears out this point particularly well. He suggests that the extreme repetitiveness of this movement, its strophic design, crescendo-decrescendo shape, and its logical but 'errant' key structure, based on a departure and return scheme, all combine to *evoke* the slow and steady march of the pilgrims. See Rodgers, *Form, Programme, and Metaphor*, 32-8.

¹⁰ Berlioz, *Memoirs*, 271.

bell'.¹¹ It could also have been inspired by a religious procession Berlioz witnessed in his youth and which he recounts during the 'Travels in Italy' section of his memoirs.¹² In a number of passages in the memoirs, too, Berlioz recalls helping a peasant serenade his mistress, an event that likely inspired the music of the third movement.¹³ The first movement, by contrast, seems less concerned with any concrete event than with a more abstract emotional response to the Italian mountains, where Berlioz used to go to escape the stultifying life in the city, while the final movement's orgy is likely either a fabrication of its author (unless he was being coy) or inspired by a scene from *Childe Harold*. Berlioz appeared to harbour a certain fascination with the brigands, though it is not certain that he ever encountered any of them. In any case, in his memoirs, Berlioz provides a sort of program for this final scene while describing a particularly invigorating performance of the movement.

Wine, blood, joy, and rage mingle in mutual intoxication and make music together. The rhythm seems now to stumble, now to rush furiously forward, and the mouths of the brass seem to spew forth curses, answering prayer with blasphemy; they laugh and will and strike, smash, kill, rape, and generally enjoy themselves. The orchestra played as though a devil possessed them. There was something uncanny and awe-inspiring in their frantic exhilaration. Violins, cellos, trombones, drums, cymbals, roared and leaped and sang with incredible accuracy and precision, while from the viola, the pensive Harold fleeing in dismay, a few faint echoes of his evening hymn still hovered on the vibrant air.¹⁴

No such scene occurs in the Italian canto of Byron's poem. Nevertheless, Jeffrey Langford makes a convincing case for reconsidering the relationship between the music and the poem by looking beyond Canto IV, which deals with Italy explicitly, to the other cantos.¹⁵ My view of the relation between music and text, however, aligns more closely with that of Mark Evan Bonds, who suggests that Berlioz has captured, in his unique musical structures, something of the spirit of Byron's poem—and particularly the character of Harold—without seeking to create a musical reduplication of the text.

Berlioz's words provide a most useful way into considering the way in which the

¹¹ *ibid.*, 209.

¹² *ibid.*, 226-7.

¹³ *ibid.*, 214-5.

¹⁴ Berlioz, *Memoirs*, 379.

¹⁵ Opinions about the relationship of Berlioz's music to Byron's text range from Tovey's claim that though there are 'excellent reasons for reading *Childe Harold's Pilgrimage*...I cannot find any that concern Berlioz and this symphony' to Jeffrey Langford's suggestion of a more intimate relationship between the two works. See, for instance, Tovey, 'Berlioz, *Harold in Italy*', in *Essays in Musical Analysis* 4, *Illustrative Music* (London: Oxford University Press, 1937), 74 and Jeffrey Langford, 'The Byronic Berlioz: *Harold en Italie* and Beyond', *Journal of Musicological Research*, 16, no. 3 (1997).

composer has given expression to the 'melancholy' character of Byron's text. In his memoirs, for example, the composer states:

As in the *Symphonie fantastique*, a motto (the viola's first theme) recurs throughout the work, but with the difference that whereas the theme of the *Symphonie fantastique*, the *idée fixe*, keeps obtruding like an obsessive idea on scenes that are alien to it and deflects the current of the music, the Harold theme is superimposed on the other orchestral voices so as to contrast with them in character and tempo without interrupting their development.¹⁶

These comments have provided the basis for a number of recent enquiries into the work's meaning. Much of the critical literature, indeed, has been concerned with the various methods of characterisation in the symphony. As the composer explains, for example, the solo viola takes on the role of the work's protagonist, Harold. But Berlioz also makes reference to a particular theme, which he describes as the work's *idée fixe*, and which we hear in all of the work's four movements.

Both the symphony and the concerto provide strong precedents for this sort of musical characterisation. Without neglecting the concerto element, however, there is much to be gained from an interrogation of the ways in which Berlioz's symphony interacts with the genre to which its title actually alludes. And, as Bonds has noted, drawing on Dahlhaus, 'the indication of genre...is at least in part an indication of the tradition within which a work asks to be judged.'¹⁷

Indeed, whether this technique comes from symphony, concerto, or even opera, is largely irrelevant to the effect that it has when brought into a symphony.

Bonds, indeed, has provided a convincing argument for reading Berlioz's symphony as bearing a strong intertextual relation to Beethoven's symphonic works. He goes so far as to read the former's work as a self-conscious engagement with the legacy of the latter and concludes, drawing on the familiar association of Beethoven's symphonies with heroic narratives that '*Harold en Italie*, is, in effect, Berlioz's *Sinfonia anti-eroica*.'¹⁸ It is worth providing an account of Bonds's reading, here, since it will allow us to establish a view of the work's macro-structure as a convenient map for orienting ourselves in the close analysis of the first movement that follows.

Bonds's reading of the work as an anti-heroic one stems largely from his tracking of the progress of the double *idée fixe* of solo viola and the symphony's recurring theme. He provides a convincing account of how the near total disappearance of the solo viola in

¹⁶ Berlioz, *Memoirs*, 271.

¹⁷ Bonds, '*Sinfonia anti-eroica*: Berlioz's *Harold en Italie* and the Anxiety of Beethoven's Influence', *The Journal of Musicology*, 10, no. 4 (1992), 423.

¹⁸ Bonds, '*Sinfonia anti-eroica*', 424.

Section	Theme	Key	Bar numbers
Introduction	Brigands' theme	i	Opening-11
	Reminiscence of Fugal Introduction	i	12-17
	Brigands' theme	i	18-33
	Pilgrims' theme	#VII	34-41
	Brigands' theme	#VII	42-5
	Mountaineer's theme	I	46-54
	Brigands' theme	—>	55-9
	Reminiscence of first movement, primary theme	I	60-72
	Brigands' theme	i	73-9
	Harold's theme	I	80-109
	Brigands' theme	i —>	110-7
Exposition	P (Brigands' theme)	i	118-62
	S1	VI	163-200
	S2	vi	200-47
Retransition	?	vi	248-79
Expositional Repeat	As above	As above	280-410
Development	P	—> V	411-48
Recapitulation	S1	I	449-63
	Interpolation: Pilgrims' March	I	464-505
	S1	I	506-18
Coda	P and S	I	518-83

Figure 2.1: Overview of form of *Harold en Italie*, movement IV, 'Orgie de brigands'.

the finale—the Brigands' Orgy—is given greater force by its being carefully prepared throughout the preceding movements of the work. As Bonds puts it, 'in the simplest terms, Harold progresses from solitude, in the opening Allegro, to at least a limited degree of contact with others in the subsequent three movements.'¹⁹

The work's *idée fixe* is heard for the first time not on the solo viola, then, but on woodwinds in the minor mode (example 2.1). It is repeated twice on the viola before dropping out for a large portion of the first movement. In an extensive recapitulation section, however, it is heard in combination with both of the sonata's main themes.²⁰ In

¹⁹ *ibid.*, 435.

²⁰ I will talk more about this later.

Example 2.1: 'Harold' theme, minor mode, *Harold*, movement I, 'Harold aux montagnes', bars 13-21.

the second movement, the *idée fixe* is heard superimposed on the music of the pilgrims (from bar 64: see examples 2.2, 2.3 and 2.4). Here, the emphasis appears to be on the differences between Harold and the pilgrims—their respective distance reflected by differences in hyper-metre—but, as Bonds notes, as the movement progresses, the music of the pilgrims and the music of Harold come closer together. The viola takes on a countermelody to the march music, at bar 144, which matches its pulse more insistently than had the *idée fixe*, and indeed, Harold neglects his own theme for the remainder of the movement, reverting, instead, at bar 169, to an arpeggiated figure in a delicate *sul ponticello* in a section that Berlioz marks 'Canto Religioso'.²¹ This trend

²¹ Bonds, '*Sinfonia anti-eroica*' 435-8.



Example 2.2: Main theme from *Harold*, movement II, 'Marche de pèlerins', bars 16-25.

towards integration with others appears to continue in the third movement, where, despite an initial disjunction between Harold's music and its surroundings—once again the two main themes are subject to a temporal mismatch—we become more and more alert to the similarities of the serenader's music and the music of Harold. This is made explicit towards the end of the movement when the viola—Harold—takes on the mountaineer's theme as his own (starting at bar 167: see example 3.5). This is the first time, as Bonds notes, that Harold shows himself willing to take on musical material explicitly associated with another character. Even though Harold chooses to 'emphasize...those elements of the mountaineer's serenade that correspond most closely to his own theme', Bonds suggests, 'this is an important moment...for it provides the strongest evidence yet that Harold, in spite of his essentially solitary nature, is in fact attempting to assimilate the world beyond himself.'²²

For Bonds, this tendency towards integration throws into relief the shocking outcome of the final movement (see figure 2.1) and serves to explain the tantalising allusion to Beethoven at this pivotal moment in the work. In this final movement, for example, Berlioz famously provided thematic reminiscences of all of the previous themes of his symphony only to reject them for another. Whereas in Beethoven's Ninth Symphony, the musical crisis that brings about the rejection of the several main themes gives way to a theme of 'transcendence', Berlioz's alternative is to return to the very music that precipitated the crisis (example 2.6). The table above (page 42) summarises the movement's form. Bonds highlights a number of important structural features of this

²² *ibid.*, 439.

Allegretto

Viola

Violin 1

p *sempre*

Violin 2

pizz.

Viola

Cello + Basses

mf

62

Vla.

Vln. 1

mf

Canto

Vln. 2

mf

Vla.

Vc.

69

Vla.

Vln. 1

Vln. 2

Vla.

Vc.

mf

Example 2.3: Superimposition of 'Harold' theme with pilgrims' music, *Harold*, movement II, 'Marche de pèlerins', bars 56-82, adapted from Bonds.

movement as contributing to the shock of the non-return of the *idée fixe*. The review of themes at the beginning of the movement, for example, sets up the *idée fixe* as the

Example 2.3: *continued.*

Allegretto

Example 2.4: Viola and pilgrims 'marching in step', *Harold*, movement II, 'Marche de pèlerins', bars 144-52, adapted from Bonds.

theme to transcend the conflict. It is the last theme to emerge in the reminiscences, increasing the weight of expectation for this theme's return much later, to save the day. We are all the more surprised, then, when the conflict music rejects this theme, too, and the movement fails to find a satisfying alternative. Bonds also points out that the inability of this theme to overturn the brigands' victory, when it does finally return (bars 473-505) in the movement has a greater effect due to the large-scale repeats. Everything is geared, argues Bonds, to delaying the return so that its 'failure' to redeem Harold is all the more effective.²³ Bonds interprets this late gesture from Harold, then, in

²³ Bonds is mostly concerned throughout his article, '*Sinfonia anti-eroica*', with the work's finale, which he discusses on pages 425-34 and, again, on pages 439-43.

Allegretto

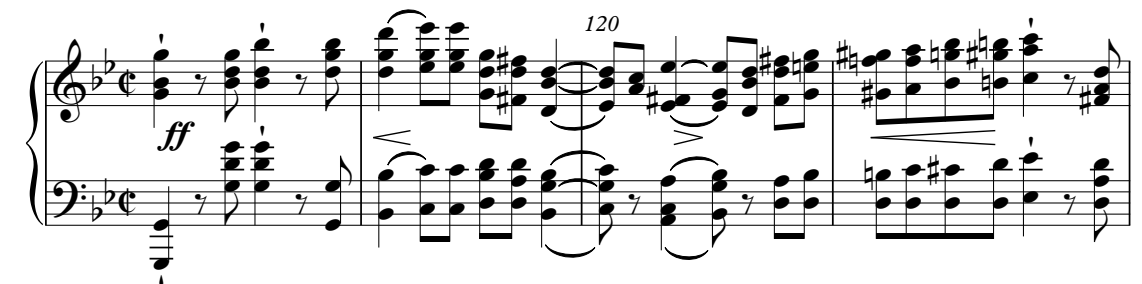
167



173

*dim. poco a poco*

Example 2.5: Harold taking on Mountaineer's theme, *Harold*, movement III, 'Sérénade d'un montagnard', bars 167-78, adapted from Bonds.

Allegro frenetico

Example 2.6: Brigands' theme, *Harold*, movement IV, 'Orgie de brigands', bars 118-27.

line with the composer's own words, as indicative of Harold having fled from the scene in disgust.

The idea of writing a symphony in which the main protagonist flees is in complete contradiction to the notion of Beethovenian heroism as Bonds conceives it. And it is from this idea that Bonds derives his understanding of the work as an anti-heroic one. Bonds employs Harold Bloom's theory of the poet's 'anxiety of influence' as a framework for discussion and sees Berlioz's symphony as a Bloomian 'misprision' of

Beethoven's Ninth Symphony, associated, for Bonds, with the composer's heroic style.²⁴ He believes that Berlioz's wish to distinguish himself from Beethoven in a genre so strongly associated with the latter composer lies behind both the choice of an anti-hero—Byron's *Childe Harold*—as a symphonic protagonist and the musical procedures Berlioz employs to give expression to his programme. He reads a narrative into the work, then, whereby the character, Harold, passes through a number of scenes and is relatively uninterested or unaffected by what he witnesses. He identifies the characteristics of Byron's anti-hero—withdrawn, contemplative, and isolated from society—with Berlioz's own and seeks musical equivalents in these notions. The anti-hero, he suggests, is reflected musically in ways totally opposed to those musical features strongly associated with Beethoven's heroic style. According to Bonds, Berlioz's symphony is notable for the lack of integration between the principal themes as well as a scarcity of symphonic development—mainly of the viola theme—and an almost total independence of the solo part even when playing with the orchestra.

The intertextual approach that Bonds employs here enables him to reconcile many of the work's most challenging attributes, such as the lack of instrumental display, the allusion to Beethoven, the reference to Byron, and the work's generic ambiguity, under a single all-embracing concept as a deliberately 'negative response' to Beethoven's legacy. At the same time it locates Berlioz's work squarely within a post-Beethovenian tradition from which the composer has frequently been excluded and, as a consequence, often dismissed as historically 'other'. His suggestion that nineteenth-century symphonies be read as ambivalent responses to Beethoven is thought-provoking and invites further consideration.

Each of Lawrence Kramer's 'hermeneutic windows'—here, perhaps, autobiography and the textual allusion to Byron; the inter-textual reference, or 'citational inclusion', perhaps even 'structural trope' linking the music to Beethoven—provide 'ways in' to understanding Berlioz's symphony.²⁵ Commentators approaching the analysis of *Harold* are also likely to engage with the dialectic between soloist and orchestra, an approach that informs the work of, for instance, Bonds, van Rij, and Maiko Kawabata. Common to these approaches is the way in which Berlioz's work subverts the generic expectations of either the symphony or concerto. Indeed Berlioz's symphony is often characterised as an 'anti-heroic' (Bonds and van Rij) work or an 'anti-concerto' (Kawabata and van Rij), due in large part to the relative absence of the soloist in the work's finale, and the

²⁴ Harold Bloom, *The Anxiety of Influence: a Theory of Poetry* (New York and Oxford: Oxford University Press, 1973).

²⁵ Lawrence Kramer, *Music as Cultural Practice, 1800-1900* (Berkeley, CA: University of California Press, 1990). Kramer lists the hermeneutic windows as 'Textual inclusions', 'Citational inclusions' and 'Structural tropes', see 9-10.

lack of integration between the symphony's main thematic actors.²⁶ What is missing, however, is an interrogation of 'meaning' in Berlioz's symphony that does not eschew close reading. This last window, arguably the richest of all, has scarcely been investigated with regard to the 'meaning' of Berlioz's symphony. We have little sense, from the work of these authors, for instance, of the relationship between Berlioz's music and the musical language of his contemporaries or his predecessors.

David Fanning's review of Bonds's book, for instance, opens up two related paths of enquiry. Discussing the chapter on Berlioz, Fanning suggests,

What interests and perturbs me far more [about Bonds's argument] is the implication that conceptual consistency, of the kind Bonds so persuasively identifies, can be invoked as a guarantee of artistic quality. Unless we are to side-step the awkward area of value judgement altogether (and Bonds is, after all, making this his point of departure), I feel there remains a need to demonstrate Berlioz's musical coherence in more detail, especially when so much of the pleading at the conceptual level has involved praising him for negative virtues.²⁷

However much we might baulk at Fanning's prejudice concerning Berlioz's music, his reservations nevertheless speak to the analyst's desire to ground interpretation in a closer reading of the music than that which Bonds has employed. Moreover, Fanning is a renowned music critic and his comments cannot be so easily brushed aside. But these comments also open up questions about the relationship between musical and cultural values of the sort that Scott Burnham has argued for in his book, *Beethoven Hero*. Few analysts, for example, would consider the lack of thematic integration a positive virtue in a symphony, for instance. On the other hand, Fanning's ambivalence with regard to Berlioz's music betrays what Robert Fink has described, in a discussion of the Beethovenian 'anti-hero', as a 'beautifying' impulse on the part of certain analysts who turn to organically unified autonomous art music as a 'tonic' against the fractured nature of modern societies. On the other side, Fink suggests, are the 'sublimists', analysts who are interested in the 'cracks' in the musical work.²⁸

²⁶ See Bonds, '*Sinfonia anti-eroica*'; Inge van Rij, 'Conquering Other worlds: Military metaphors, virtuosity, and subjectivity in *Symphonie funèbre et triomphale* and *Harold en Italie*', in *The Other Worlds of Hector Berlioz*; and Maiko Kawabato, 'The Concerto that Wasn't: Paganini, Urhan and *Harold in Italy*, *Nineteenth-Century Music Review*, 1, no. 1 (2004), 67-114.

²⁷ David Fanning, 'Review: *After Beethoven: Imperatives of Originality in the Symphony* by Mark Evan Bonds', *Music Analysis*, 18, no. 1 (1999), 151.

²⁸ Robert Fink, 'Beethoven Antihero: Sex, Violence, and the Aesthetics of Failure, or Listening to the Ninth Symphony as Postmodern Sublime', in Andrew Dell'Antonio ed., *Beyond Structural Listening?: Postmodern Modes of Hearing* (Berkeley, LA, and London: University of California Press, 2004), 109-53.

Fanning's response to Bond's essay is interesting, then, since it bears out Burnham's—and Fink's—point that discussions of heroism in music are at one and the same time discussions of what we have come to understand as musically coherent. Moreover, both suggest, Beethoven's heroism is closely bound up with a whole host of cultural ideals that grew out of the Enlightenment and the German Idealist tradition of Schiller and Hegel, among others, and that still inform many Western ideals to this day. Burnham demonstrates how music theorists attempted in various ways to ground principles of musical logic and coherence in Beethoven's musical procedures, whether thematic or harmonic, formal or structural. Crucially, it would seem that it is not the particular musical element the analyst chooses to focus on that is most important, but, rather, the sense that music can be heard to 'cohere' in the first place. Whether we approach music from the point of view of A. B. Marx's *Satz and Gang*, Schenker's *Ursatz*, Schoenberg's 'developing variations', or Dahlhaus's 'form as process', Burnham's argument suggests, we are subscribing to a view of music as a dynamically unfolding whole reflective of burgeoning notions of self-determination in the light of such cataclysmic events as the French Revolution and the Declaration of the Rights of Man.

So far there have been few attempts to examine Berlioz's music with reference to its location in the broad context of post-Enlightenment thought after the fashion typified in the work of, say, Adorno. This is largely due, perhaps, to an overriding sense of Berlioz's music as not easily belonging to the tradition spanning from, say, the sonata forms of Beethoven to the serial music of Schoenberg: the tradition, that is, in response to which most of our music theoretical apparatuses have developed. Examining Berlioz's music from such a viewpoint, the argument goes, runs the risk of divesting it of what makes it historically particular; of judging it from the standpoint of an ideal to which it does not aspire; or, indeed, of reading meaning into departures from theoretical norms to which Berlioz did not subscribe. It is surely this circumstance that leads Fanning to demand a more rigorous demonstration of how Berlioz's music coheres. In fact, however, it is precisely Berlioz's ambiguous relationship to this tradition that makes his work fertile ground for such an investigation. A broadly Adornian approach, then, which attends to Berlioz's music as a dialectic of 'coherence' and 'incoherence' can solve some of the problems that gave rise to Fanning's critique of Bonds. At the same time, however, Adorno's approach can, perhaps, rescue something more positive from the 'negative virtues' that Fanning derides by finding in them a means to critique pre-existing formal and tonal conventions as well as the socio-political environment from which it emerged.²⁹

II. Towards the development of a method - form, structure, and expression

²⁹ I have in mind, here, the approach advocated by Adorno in his talk, later transcribed into an essay, 'On the Problem of Musical Analysis', trans. Max Paddison, *Music Analysis*, 1, no. 2 (1982), 169-87.

In the following, then, I offer a close reading of the form and tonality of the first movement of *Harold en Italie* paying particular attention to the ways in which Berlioz calls up and subverts (consciously or not) what have come to be codified as notions of musical coherence. I have chosen to investigate, primarily, the musical procedures of the first movement since it has received little analytical attention by comparison with the famous finale. In Bonds's more holistic approach to the work, for example, it is the finale that seems to command more of his attention than any other movement. My analysis is undertaken in the spirit of Tovey's insistence that 'the first movement of a sonata tells a complete story which no later movement can falsify', but I will nonetheless provide some comments as to the working out of some of the symphony's ideas in later movements.³⁰

Rushton's analysis of the first movement, in 1983, remains the most detailed and accomplished reading of that movement to date. My analysis engages closely with Rushton's analysis but differs on a number of crucial points. Where we overlap, however, I will provide references to Rushton's arguments. In the final section of the chapter I will seek to build on Bonds's insights about the work as bearing an ambivalent relation to the legacy of Beethoven by bringing them into contact, more insistently, with the music-philosophical tradition that reads Beethoven's heroism as, to some extent, synonymous with Hegel's dialectical understanding of history as the gradual coming into being of the notion of freedom. Bonds's treatment of the work as an 'anti-heroic' one, for example, suggests that *Harold* bears out Adorno's claim that nineteenth-century music is engaged in a negative critique of the truth claims of Viennese Classicism.

It is important to note, however, as Julian Horton has shown, that it is 'reductive to argue that Beethovenian sonata forms in general project synthesis as an expressively marked processual goal'.³¹ Moreover, there have been several recent reappraisals of Beethoven's heroism, particularly the Ninth Symphony, as being tinged with ironic distancing or, in some cases, complete disavowal.³² In musical terms, what seems more important, indeed, as a legacy of Beethoven's music, is not necessarily the sense of affirmation or negation but, rather, the idea that musical form is motivated by the working out of oppositions. This was achieved, in Beethoven's music, according to

³⁰ Donald Francis Tovey, *A Companion to Beethoven's Pianoforte Sonatas* (London: ABRSM, 1931), 169.

³¹ Julian Horton, 'Dialectics and musical analysis', in Stephen Downes ed., *Aesthetics of Music: Musicological Perspectives* (New York and London: Routledge, 2014), 127.

³² See, for instance, Stephen Hinton, 'Not Which Tones? The Crux of Beethoven's Ninth', *19th Century Music*, 22, no.1 (1998), 61-77; or Fink, 'Beethoven Anti-Hero'.

Horton, by the 'decoupling of the classical association between the presentation of material and the assertion of a formal premise'.³³ This, indeed, is what distinguishes Beethoven, and post-Beethovenian composers, from the composers of the classical period. As Horton continues, 'Its consequence is the emergence of a conception of form as the exposure and resolution of a problem'.³⁴ Dahlhaus discusses this idea, for example, in his analysis of Beethoven's Tempest Sonata, in his book on the composer, and later, in an abridged reproduction, in *Nineteenth-Century Music*, as part of his exposition of the idea of the nineteenth century as being characterised by the 'Twin Styles' of Beethoven and Rossini. Here Rossini, a stand-in for the Franco-Italian operatic school as a whole, is viewed as a hangover from a previous period of compositions in which formal function and presentation have not yet been subject to such a decoupling. Interestingly enough, Dahlhaus seems to place Berlioz's music in the latter category when he analyses *Symphonie fantastique* as being guided by a theme with the 'function but not the appearance of a theme'.³⁵

In an important sense, then, we can understand Beethoven's music as staging a sort of 'fall from grace' and the 'problem' that emerges at the centre of the work is akin to the constitutive loss that psychoanalysts describe as lying at the centre of modern human subjectivity. It can no longer be assumed for Beethoven, and composers after him, that the forms that had served past masters will be adequate vehicles for expression. Such forms have to be created afresh by the mediation of the composer's expression with inherited conventions. The result is a splintering off of forms into a vast number of individualised examples and the logical endpoint of this circumstance would be the dissolution of codifiable form altogether. Adorno describes this, in his important essay on musical analysis, as the relationship between *schema* and *deviation* and he elsewhere characterises it as a 'rupture between self and forms'.³⁶ This relationship is precisely what motivates the analyses of Hepokoski and Darcy, I argue, in their much more rigorously theorised (in musical terms, at least) *Elements of Sonata Theory*, which can provide a basis for the approach here.

Harold I is a broadly rotational work in that it engages with the important sonata form convention of recycling through previously exposed material. The referential thematic statement outlined by the exposition provides a blueprint for subsequent rotations. This is doubly important for our purposes. Upon hearing a sonata form exposition, for

³³ Horton, 'Dialectics and musical analysis', 120.

³⁴ *ibid.*, 121.

³⁵ Dahlhaus, *Nineteenth-Century Music*, 155.

³⁶ For a brief examination of this idea see, for instance, Max Paddison, *Adorno's Aesthetics of Music* (Cambridge: Cambridge University Press, 1997 [1993]), 37-8.

example, we are aware that a 'contract' has been entered into by the composer and the listener, the terms of which allude to the fulfilment of a number of basic conventions (that we will hear a contrasting tonal area being a particularly important one, for example). As we proceed through a nineteenth-century sonata, then, we will carry a number of expectations of what a particular section might do. At the same time, a rotational structure can produce additional expectations that work alongside, and against, those associated with sonata form. The interaction of these two structures, the frustration of some expectations and the fulfilment of others, provides ample opportunity for hermeneutic insight.

The dialogic approach outlined by Hepokoski and Darcy, i.e. the ways in which more local rotational procedures interact with the conventions of sonata form, is as much a theorisation of this developmental process as were the theories of A. B. Marx and Heinrich Schenker in response to Beethoven's work. While Burnham's exemplification of the musical procedures encountered in Beethoven's heroic music pre-dates Hepokoski and Darcy's fuller formulation of sonata theory, much of what Burnham says about other analytical procedures holds true of Hepokoski and Darcy's approach. In order to determine the impact of the deformations employed by Berlioz, it is necessary to rely on a historical catalogue of commonly adopted musical procedures. Hepokoski and Darcy, by virtue of their analyses of vast swathes of eighteenth-century music have established a highly flexible understanding of sonata form as an 'ideal type', the universality of which is in fact predicated on the number of deviations it can sustain while remaining recognisable. The way in which Berlioz calls up such conventions only then to deprive us of their fulfilment is crucial to an understanding of his place within the post-Beethovenian tradition.

Burnham repeatedly emphasises, as part of a heroic paradigm for analysis, for example, a relationship between the musical materials employed in a work and the overall form within which these materials are contained. Beethoven's *Eroica* Symphony, Burnham suggests, gives the impression, through its harmonic-thematic interactions, of generating its own form from its material.³⁷ Rather than pouring musical material into a ready-made framework such as sonata form, Beethoven's achievement, according to Burnham, was in creating a sonata within which standard formal conventions seem to be the logical outcome of the development of the musical material. He does this, primarily, by emancipating development from its containment in a specific section within the form. The result is that the entire work presents itself as an unfolding of a logical developmental process. It is this that allows us to recognise Beethoven's work as articulating a new conception of the self as a process of becoming rather than the

³⁷ In chapter 3 'Institutional Values', Burnham repeatedly stresses, over the course of an explication of numerous analytical theories, the importance of the notion of 'wholeness' to the theorization of the heroic style, *Beethoven Hero*, 66-111.

articulation and testing of an already stable identity. To understand this notion requires a new concept of development. The *locus classicus* of this sort of conception of development is the destabilising effect of the C# that disrupts the articulation of the first theme of Beethoven's *Eroica* and motivates the unfolding of a substantial melodic paragraph. Here we see how the introduction of developmental processes into the exposition has a wider effect on the form. It is common to remark that an aspect of this Beethovenian 'turn' is that the musical interest resides not in the thematic material itself but in the structural process within which the material is caught up. The first theme itself is famously banal—a triadic horn call—the process by which this theme achieves its fulfilment is what gives it its monumental character.³⁸

The upshot of this situation, however, is that the material often has to be stripped down to its bare essentials so that it is malleable enough to be carried by the thematic process. Thus the composer's expression, located in the individualised material, is sacrificed to a structural premise. And for Adorno this exposed the limitations of the liberal democratic institutions with which the Beethovenian paradigm is often associated. Thus, for Romantic composers, who revived an interest in melodic lyricism, this caused further structural problems. As Dahlhaus notes with regard to Schubert:

In the first movement [of the *Unfinished Symphony*], he adopted one of Beethoven's structural principles only to apply it to a difficulty which, though non-existent for Beethoven, exercised composers of romantic symphonies for decades: how to integrate contemplative lyricism, an indispensable ingredient of 'poetic' music, into a symphony without causing the form to disintegrate or to function as a mere framework for a potpourri of melodies.³⁹

Dahlhaus assesses Berlioz's contribution, in the form of his first symphony, to the solution to this problem. He compares it, significantly, with Beethoven's third symphony.

In the first movement of the *Eroica*, the broken triad usually referred to as the 'first theme' forms the actual thematic substance of the work not by itself but in relation to its chromatic continuation, which then influences the course of the movement at every 'juncture.' However, if Beethoven's 'surface theme' is reduced to a musical rudiment, Berlioz's is extended to a melody spanning forty measures....however remote it [the formal conception] may otherwise be from Beethoven's, the two nevertheless have one notion in common: both relate a "surface theme" to a latent structure that motivates the formal process.⁴⁰

Burnham also convincingly demonstrates, through a survey of Schenker's work, that his *Ursatz* is, as Harper-Scott has put it, 'the most refined theoretical ossification of

³⁸ Burnham analyses the famous intrusion of C# into the main theme of Beethoven's *Eroica* in *Beethoven Hero*, 4-9, but it is a staple of musical analytical discussion of the work.

³⁹ Dahlhaus, *Nineteenth-Century Music*, 153.

⁴⁰ *ibid.*, 155-6.

Beethoven Hero'.⁴¹ The suggestion, here, is that not only has sonata form become part of the reified material the composer engages with but so too has tonality. Crudely put, we might consider Schenker's *Ursatz* a musical analogue for the German Idealist notion of the development of the personality, and the symphony, therefore, a musical *Bildungsroman*. As an 'open interval', for instance, the *Kopftön* can be said to embody an as yet unrealised potential at the outset of a musical work, which, through confrontation with the 'other' (scale degree $\hat{2}$), reaches a higher level of consciousness, with the closure of the *Ursatz* and the resolution of the structure on $\hat{1}/I$. This is particularly important with respect to sonata forms, since they are characterised, according to Schenker, by the composing out of an interruption structure, which establishes large zones of conflict and resolution. In Schenkerian terms sonata form is nothing less than a dramatisation of the fundamental conflict of tonality. We also find, in Schenker's *Ursatz*, possibilities for the examination of schema and deviation since the notion of structural levels which implies that all dissonance on the foreground will be resolved in the background creates an interrelationship in which such resolution can no longer automatically be assumed.

But it is not just in the deep structure of musical works that drama can be located. An *Ursatz* by itself is a fairly abstract phenomenon and its discovery as the guiding principle of a work does not guarantee a dramatisation of the tenets of tonality. Burnham repeatedly emphasises that many of the formal and structural gestures associated with Beethoven appear in works that have not tended to have been viewed in heroic terms. As he points out, 'James Webster, in his impressive study of Haydn's symphonic art, argues that many of the important musical values we associate with Beethoven...actually originate with Haydn.'⁴² Elsewhere he notes that despite similarities between Beethoven's Fifth and Sixth Symphonies, only one—the former—is characterised as heroic.⁴³ So, it is clearly important to consider what the *surface* of the music is telling us about the potential readings of the music, heroic or otherwise. The horn call in Beethoven's *Eroica*, for instance, a surface gesture, is surely one of the most potent symbols of musical heroism. It will be necessary in the following analysis, therefore, to appeal to ideas of musical topics. As with form and tonality, however, musical topics in the nineteenth century become more problematic. Since music had been separated from its social function—and the artist 'emancipated' from his reliance on aristocratic benefactors—topics become subject to the same processes of 'reification' that had befallen tonality and form. They can therefore no longer be taken at 'face value'. Nevertheless, they had been absorbed into musical discourse and became

⁴¹ Harper-Scott, *Edward Elgar, Modernist*, 28.

⁴² Burnham, *Beethoven Hero*, 63-4.

⁴³ *ibid.*, 153.

The image shows a musical score for the opening fugue theme of 'Harold aux montagnes' from Berlioz's 'Harold'. The score is in 3/4 time, G minor (one sharp, F#), and consists of two systems of staves. The first system shows the initial entry of the theme in the bass clef, marked *pp* (pianissimo) and *sfz* (sforzando). The second system shows the continuation of the theme, marked *p* (piano) and *espress.* (espressivo). The music features a complex, learned style with many accidentals and dynamic markings.

Example 2.7: Opening fugue theme, *Harold*, movement I, 'Harold aux montagnes', bars 1-5.

an 'available' aspect of musical language to nineteenth-century composers. My identification of topics in Berlioz's music, then, acknowledges—indeed embraces—their problematic status as evidence of a further 'rupture' between self and forms. In matters of interpretation we are helped in Berlioz's case, as we are so often in his works, by the presence of programmatic titles, as well as a number of clues left behind in Berlioz's prose works. We have arrived at a method. Elucidation of the meaning of Berlioz's symphony will be located in the interaction of form, structure and expression.

III. The long introduction

Harold begins with a slow lengthy introduction in G minor. Such expansive introductions had become more common by the time Berlioz came to compose symphonies. They tend to establish a serious tone, signalling to the listener that the stakes are high. All the more so when they begin, as here, in a minor key with music indicating the learned style (example 2.7). Long introductions can heighten the sense of anticipation for the events to follow. Functionally they also often foreshadow much of the material with which the work will be concerned and often also produce an active dominant chord in preparation for the onset of the Allegro. The material that introduces *Harold* does do many of these things but in other respects it is highly unusual. It is not, for instance, the *creatio ex nihilo* type that we have come to expect from Beethovenian introductions, the Ninth Symphony in particular; rather, it is concerned with relatively pre-formed, self-consciously historical material. It is not until the first Allegro at bar 95 that we get material more suggestive of introductions: fragmentary anticipations of primary material

culminating on an active dominant. The complexity of this introduction, its being split into numerous sections; its sheer length—it occupies approximately half of the performance time of the first movement, means that it threatens to supplant the sonata form proper in terms of structural significance. This might be considered one of the most significant deformations of Berlioz's symphony and one of the primary means by which the composer expands the forms of his predecessors.

It is worth considering the implications of this upset to conventional formal hierarchies. Introduction-coda frames belonging, strictly speaking, to a region outside of the sonata form proper, the expansion of these 'parageneric spaces' sets up a conflict between interior and exterior aspects of form. It is possible, for instance, that the main conflict of this movement exists more between the introduction space and the sonata allegro than between different parts of the sonata itself. This tension between the sonata and its frame adds an additional conflict to the internal structural conflicts of sonata form and places greater demands on the recapitulation as the locus of reconciliation not only of the sonata but of the sonata and its parageneric spaces. Comparisons of the opening of *Harold* with other works are instructive. The lengthy slow introduction looks back to the opening of the *Symphonie fantastique*, while the fugato texture is anticipatory of *Roméo et Juliette*. All three symphonies, it is worth noting, also evoke a Beethovenian *per aspera ad astra* trajectory with its large-scale *tierce de Picardie* structure in the progression from minor to major mode. One of the main preoccupations of *Harold*, for instance, is the threat of an established major mode being overcome by the darker forces of the minor mode. In the finale, the work does indeed conclude in the major mode but the 'victory' does not seem to belong to the hero, Harold. With the addition of works outside of the symphonic genre it is fair to say that the fugato opening is something of a Berliozian fingerprint. A similarly contemplative fugue opens *La Damnation de Faust* in D major, for example, while a sombre D minor fugue introduces the *Grande Messe des morts* (1837). After a short recitative, *L'Enfance du Christ* (1853-54) too, relinquishes voices for an instrumental fugue, this time in C minor. The first tableau of act IV of *Les Troyens*, the 'tone-poem' 'Chasse Royale et Orage', opens with a modally ambiguous fugal introduction in C.

After the first exposition of the fugue in *Harold*, we hear for the first time the symphony's main motto—the so-called Harold theme, in the minor mode (example 2.1). It is not given by the solo viola but by clarinets in combination with strings, which provide, via their semiquaver rhythm, some continuity with material from the opening. The characterisation of Harold by this theme alone or by the viola is a more complicated affair, then, than it would appear on first glance. At times Berlioz exploits the soloist-orchestra conflict to suggest Harold's alienation; at others Harold is represented with different music or on different instruments. This 'double *idée fixe*', as Edward T. Cone

35 *espress. e largamente*

mf

poco f *p*

40

45

pp

Example 2.8: 'Harold' theme, major mode, *Harold*, movement I, 'Harold aux montagnes', bars 35-45.

has called it, allows Berlioz to create further opportunities for tension and resolution in the work. As Cone summarises,

The viola is not restricted to the theme, the theme is not restricted to the viola: the two enter into varied relationships with each other and with the other elements of the movements in which they take part. If the viola represents Childe Harold himself, the theme is probably intended to emphasize one facet of his nature, for example, his melancholy introspectiveness.⁴⁴

We also have the option of locating an 'aesthetic subject' in the unfolding of the work as a whole rather than by tracking the fate of the Harold theme alone. In this respect, I

⁴⁴ Cone, 'A Lesson from Berlioz', in *The Composer's Voice* (Berkeley and Los Angeles, CA: University of California Press, 1974), 92.

differ, perhaps, from Bonds's approach in locating the 'subject' of the work, like Cone, in an 'unspecified musical persona' who is not identical with the biographical subject of the composer but who has created this musical universe and populated it with 'characters'. This aesthetic subject can then be heard to control the movement of the musical elements and the resolution or not of the work's major conflicts. Seen in this way, the conflict between soloist and orchestra is just one of many conflicts that the symphony can be heard to dramatise.⁴⁵

Over the course of the introduction we hear the Harold theme a total of three times. After the minor-mode presentation, for example, we are returned to the fugal music with which the movement opens. Following this, the Harold theme returns in the major mode with stripped-down instrumentation (see bars 36-68: example 2.8). Here, the theme is played on the solo viola with harp accompaniment and light interjections from clarinets and strings. The texture is folkloric; a simple melody-accompaniment, in direct contrast with the complex polyphony of the opening fugato. The placid atmosphere is supported by the diatonicism of the Harold theme. This presentation is also lengthier than the minor-mode presentation and it introduces some wayward harmonic progressions, including the reverse resolution of the seventh above the tonic chord to a chord formed on vii, in bars 55-6. For the most part, however, chromaticism is kept to a minimum, in stark contrast, again, to the high chromaticism of the fugue. Indeed, the 'pastoralism' of the Harold theme suggests a protagonist in the role of a bard, accompanying himself on the harp, as if to evoke the poetry of Ossian. Notably, also, this section passes through the dominant, D major, and provides some opportunity for showmanship from the viola part, including a brief cadenza, in preparation for a reprise of the Harold theme at bar 73. The third presentation of the Harold theme would appear to be something special. It is a particular favourite of Berlioz scholars. For D. Kern Holoman, for example, this moment 'constitutes one of the most exceptional passages in *Harold*'.⁴⁶ With its resplendent orchestration, numerous doublings, canonic imitation, delicate *divisi* strings, and light percussion, it acts as a glorification or elevation of the humble Harold tune (example 2.9). The music glistens by virtue of its orchestration. The first allegro section follows and provides snippets of what will be the sonata's primary theme. Here, the increasingly agitated music spills over into a particularly violent passage which secures the dominant upbeat for the onset of the sonata proper.

This process of variation to which Berlioz subjects the Harold theme allows for the exposure of a number of oppositions within an overriding sameness. The most obvious opposition, in the introduction, occurs between the complexity of the fugal introduction

⁴⁵ This idea—the distinction between 'Protagonist', 'Persona' and 'Characters', is explored in chapter 2 of Cone's classic work, *The Composer's Voice*.

⁴⁶ D. Kern Holoman, *Berlioz* (Cambridge, MA: Harvard University Press, 1989), 144.

Woodwind

Flute

Oboe

Clarinet in C

mf

'Rich' doublings

Bassoon

mf

Canonic imitation of *idée fixe*

Brass

Trumpet in A

mf cantato

Horns in G and D

Trombones

pp

Triangle

$\frac{3}{4}$

p

Percussion

Baguettes d'éponge

Timpani

$\frac{3}{4}$

p

Harp

f

f

Viola

solo

mf

Violins and violas divided into six groups

Violas

arco divisi

pp

2nd Violins

3

3

3

3

3

3

1st Violins

3

3

3

8^{va}

arco

'cellos

pizz.

mf

Contrabass

Example 2.9: 'Glorification' of 'Harold' theme, *Harold*, movement I, 'Harold aux montagnes', bars 71-72.

and the relative simplicity of the first major-mode presentation of the Harold theme.

The musical score for Example 2.9, continued, consists of seven staves. The first system shows a grand staff with a long melodic line in the treble and a sustained bass note. The second system shows a grand staff with a long melodic line in the treble and a complex, arpeggiated bass line. The third system shows the Tri. and Timp. staves with a single note each, and the Hp. staff with a sustained chord. The fourth system shows the Vla. staff with a long melodic line and the double bass staff with a complex, arpeggiated line. The fifth system shows the double bass staff with a complex, arpeggiated line and a sustained bass note.

Example 2.9: *continued.*

These two sections are opposed, for instance, by their modes—an unstable minor mode giving way to a more stable major mode; their texture—complex polyphony giving way to simple melody and accompaniment; their relationship to dissonance—highly chromatic music giving way to diatonicism. These oppositions are also supplemented

Rotation scheme	Section	Theme	Bars	Key
	Introduction	Fugue	Opening-13	i
		<i>idée fixe</i>	14-29	i
		Fugue	30-5	i
		<i>idée fixe</i>	36-67	I
		<i>idée fixe</i> glorification	73-94	I
Rotation 1	Introduction ₂	P fragments	95-131	I→V _a
	Exposition	P	132-66	I
		S	167-98	→I no EEC
Rotation 2	Development	P	199-264	ii→V _a
	'False' Recapitulation	S	265-90	I→ \flat VI
Rotation 3	Recapitulation proper	P	291-328	I
		<i>idée fixe</i> fugato	329-41	I
		<i>idée fixe</i> / S	342-357	I
Rotation 4		<i>idée fixe</i> / P	358-447	I
		S	448-71	I
Rotation 5?	Coda	P(?) -based	472-end	I: ESC (bar 489)

Figure 2.2: Overview of form of *Harold* movement I, 'Harold aux montagnes'.

by oppositions in the topical content of the introduction—the learned style of the opening fugue as opposed to the rustic style of the Harold theme or the *tempesta* of the opening by contrast with the calm pastoral of the second section. Perhaps the greatest expression of the contrasting character of the opening sections, however, is dramatised in the direct juxtaposition of the minor and major modes of the tonic chord in bar 36. The absence of an intervening dominant here also foregrounds paratactic harmonic 'contrast' at the expense of hypotactic 'functional' movement. Nevertheless there is a sort of teleological structure in the increasing self-assuredness of the Harold theme—its journey through repetition from instability, to placidity, to glorification—and this is something that will emerge with greater clarity when we consider the harmonic strategy of this section.

Despite the unusual nature of this introduction, then, it is important to note that it nevertheless fulfils its conventional function of exposing the main concerns of the piece, by introducing material that is to be developed later on. In many ways, for instance, we

might consider this introduction to function as an introduction to the symphony as a whole, as if 'beginning-weighted' by contrast to the end-weighted symphonies of Beethoven, rather than simply as an introduction to this particular movement. This seems especially convincing given that the Allegro seems to have its own miniature introduction. Moreover, as Bonds's analysis suggests, the Harold theme turns out to be motivically pregnant, providing much of the material for the remainder of the symphony.⁴⁷ That the long introduction be considered an introduction for the entire symphony would also go some way to explaining the relative brevity of the coda at the end of the first movement, which is dwarfed by this gigantic opening section. But before we come to the coda, it is necessary to discuss Berlioz's approach to sonata form.

IV. Sonata theory - allegro - an expansion of Rushton's analysis

Figure 2.2 provides an overview of the form of the first movement of Harold, 'Harold aux Montagnes: scènes de mélancolie, de bonheur et de joie'. The movement is a Type 3 sonata form with full exposition, development and recapitulation, and a framing introduction and coda.⁴⁸ Such is the extent of the deformational procedures, however, that Rushton has suggested alternative schema in order to explain it. He suggests, for instance, that the work be considered a 'complex example of arcade form', one in which the 'sonata element is not neglected; rather its principles of resolution are treated in a new way—one more thematic than tonal'.⁴⁹ I will deal with Rushton's assertion about the work's tonal argument later. For now, however, it is important to note that he is of course right to suggest that the sonata paradigm alone cannot explain the formal processes of this work. He sees an interaction between Berlioz's arcade form, by which he appears to mean large-scale alternation between passages of stability and instability, and the more standard sonata form procedures of a symphonic first movement. Indeed this interaction between two formal processes is precisely what makes Berlioz's symphony interesting from an Adornian perspective. The competition between the sonata and the arcade form results in the 'decoupling' of thematic presentation and formal boundaries since the points of articulation for one process are often disrupted by the continuation of another. The question of whether we should consider the arcade or the sonata as the 'host form' of the piece, however, surely finds resolution in Berlioz's designation of the work as a symphony. We are primed to expect a sonata allegro first movement and thus we hear the intrusion of the arcade form as enabling the processes of deformation. It is in the tension between the sonata form conventions and the deformations employed here that some of the most interesting

⁴⁷ Note the similarity, for example, between the *idée fixe* theme and the theme of the serenade.

⁴⁸ The terminology used throughout this essay derives from Hepokoski and Darcy, *Elements of Sonata Theory*.

⁴⁹ Rushton, *The Musical Language of Berlioz*, 196.

166

174

182

188

Example 2.10: (a)

265

270

275

280

Example 2.10: (b)

448

456

dim. 7th (V of ii)

464

I

ii⁶

ii

V⁶

I

V₅⁶

Example 2.10: (c)

Example 2.10: Trajectory of secondary subject, *Harold*, movement I, 'Harold aux montagnes', bars 166-93; 256-81; and 448-71, adapted from Rushton.

hermeneutic points can be opened up. Fulfilment of these expectations can of course be equally suggestive, especially in an era in which the sonata form's viability as a vehicle for 'authentic' expression is contested, and they therefore deserve as much attention as the deviations.

There is much to suggest the usefulness of a sonata form paradigm for understanding this movement. The exposition is made up of two distinct themes, labelled P and S in figure 2.2. The rotational aspect of the form is concerned with these two themes primarily, though material from the introduction is integrated into the recapitulation. The boundary between these two themes is clear but, in lieu of a medial caesura (hereafter MC), the continuation of the P theme is forcefully cut off by a *forte* dominant chord. The exposition is repeated, as is conventional practice, but at the repeat it elides with the onset of developmental material without having established the complementary key. The development is mainly given over to P material, though there are hints of S in the dotted rhythm of the orchestral accompaniment and an interjection of S-material, at bar 265, that blurs the work's formal boundaries. Finally, the recapitulation reprises both P and S in order but with the interpolation of material from the introduction variously heard in combination with either theme. The movement's final PAC, and the closure of the structure, is located not with the S-theme in the recapitulation, but in the brief lively coda.

The movement's most deformational features with respect to this brief outline, then, concern the lack of an 'organically generated' MC, the failure of the S theme to achieve a PAC in the dominant or other complementary key, the interpolation of paragenetic material in the recapitulation, and the lack of an ultimate tonal reconciliation between the S and P theme in the form of a PAC in the tonic in the reprise of S. In addition, the boundary between the development and the recapitulation is, as Rushton has pointed out, difficult to discern, due to the surprise appearance of S-material in the tonic at bar 265. The table shows that I concur with Rushton that this reprise of S is best considered as a 'false recapitulation' (but more on this later). There is, as he notes, much more work to be done after this appearance, regarding the resolution of this theme's instabilities. Indeed one of the most valuable aspects of Rushton's analysis is his identification of a process of strophic elaboration whereby in each repeat of the S theme it becomes more harmonically stable and more conventionally thematic in shape (see examples 2.10 a-c). Over the course of the movement, for instance, it goes from being, as Rushton notes, 'hopelessly unstable', its tonality difficult to define, to an S more clearly rooted in the tonic, though still 'melodically nebulous'. Finally, in its last appearance, it is given a full thematic shape and is 'fully assimilated into the solo viola part', the viola having hitherto been pre-occupied mainly with the P-theme.⁵⁰ This process of strophic elaboration,

⁵⁰ Rushton, *The Musical Language*, 198-9.

130 **P antecedent**

136 **P consequent**

141 *rit.* **Tempo primo**

sf *rit.* **Tempo primo** *p*

Chord symbols: I, V, VI⁶, VI⁵, ii, V⁶, I, V, I, V, I⁶, ii⁶, II⁶, V, I.

Example 2.11: Primary Theme, *Harold*, movement I, 'Harold aux montagnes', bars 130-46.

then, could arguably be seen as the main cause of upset regarding the work's deformational procedures. Nevertheless it represents another of Berlioz's approaches to solving the problem of, as Dahlhaus put it, 'integrating contemplative lyricism into a symphonic argument'. The impact of these deformations, as is now widely appreciated, is the obscuring of the utopian possibility of producing a Viennese sonata form and the impossibility of reconciling objective convention with subjective expression.⁵¹

Despite its tentative start, and the chromaticism notwithstanding, once it gets going the primary theme is fairly self-assured (example 2.11). It comprises a sixteen-bar period

⁵¹ Much of Harper-Scott's work, for example, is concerned with this 'meaning' of deformations. For a concise example of such an analysis, see his 'Facetten der Moderne in Elgars Musik', *Kusik-Konzepte* 159 (2013), 96-120.

followed by a varied restatement. Here we see again how Berlioz creates interest with the simplest of means. In the first statement of the primary theme, for example, there is a clear separation of melody and accompaniment, between soloist and orchestra. In the second statement, this gives way to a rare moment of concerto-like soloist and orchestral interaction. We might interpret this as a re-assertion of the orchestral forces against the unlikely soloist's domination in the first presentation of the theme. Certainly there is an impression, here, of the orchestra wrestling for the listener's attention. The primary theme is also characterised by a certain degree of forward momentum. The key is unambiguously G major, harmonic movement is functional and conventional and phrasing is balanced and even. Each eight-bar phrase can be divided into further sub-phrases. The first sub-phrase divides into four groups of two bars. Here, balance is key, too. The rising melodic line of the first sub-phrase is answered by a chromatic descent in the second. Then, a descent in the third sub-phrase is answered by an ascent in the fourth. The consequent phrase, on the other hand, divides neatly into two groups of four. The first sub-phrase rises while the second falls.

In a word, the primary theme is characterised by a 'Classical' concern for balance and symmetry. It is harmonically and tonally secure. The accompaniment's throbbing rhythms and emphasis on downbeats contribute to the theme's self-assuredness. Melodic presentation and formal function are here kept intact so that the primary theme is not caught up in a developmental process that has spilled over the work's formal boundaries. Any tension generated by the chromaticism here is easily contained and does not seem to generate a developmental process. The upbeat provided by the first phrase's culmination on the dominant is neatly answered by a perfect cadence in the tonic in the second phrase. Berlioz's practice contrasts with his practice in his first symphony. There, for example, the imbalance generated by a seven-bar consequent phrase motivates a continuation that extends the theme to forty bars in length and as the movement progresses, it becomes less nebulous, more regular. The varied restatement of *Harold's* primary theme, by contrast, is extended simply by a more gradual chromatic descent in the consequent phrase; it is not the result of a formal necessity to restore balance and does not motivate continuation or growth, but elaboration.

If the primary zone is characterised by a certain self-confidence, the secondary theme is an astonishing affront to Classical notions of thematic construction based on balance and clarity (see example 2.12). Perhaps the first sign that we are moving in this direction is the sudden interruption of the primary theme's elaboration by a strongly accented dominant chord at bar 166. In lieu of a transition (TR) and an MC, the primary theme is simply stopped in its tracks by this dominant harmony so that the exposition of the secondary theme can begin. This strategy prevents us from hearing any 'necessary' connection between the primary and secondary theme. If Beethoven's achievement was

166

p *mf*

I 6 V F: I I vi⁶ I B \flat :

171

ff

I *p* vi D:

174

pp

I IV

177

I d: i⁶ i i

Example 2.12: Secondary Theme, *Harold*, movement I, 'Harold aux montagnes', bars 166-98.

to emphasise the form's *becoming* through the adoption of a continuous developmental process the seeds of which were sown in the dramatic musical language of the

180

183

187

191

f *mf* *pp*

f *ff* *mf* *pp*

pp

cresc. poco a poco

cresc. - poco a poco

f *ff*

G: V₄ *V*

Example 2.12: *continued*.

Classical style, then Berlioz here appears to be turning to a more sectional conception of large-scale form in his clear separation of these two thematic areas. Berlioz's tactic is to juxtapose his thematic areas, not to elide them. This strategy bears some relation to what some scholars have described as the paratactic nature of Schubert's music. But

EEC: PAC: Tonic (!) EEC Failure

195

2.

A: I

Example 2.12: *concluded*.

like Schubert, Berlioz weaves paratactic and hypotactic strategies into the same work. And this is something we can see more clearly in the secondary theme's progress from instability to stability, mentioned earlier.

A number of factors contribute to the overwhelming sense of instability of the secondary theme. It is highly ambiguous with regard to tonality, for example, and therefore fails to establish a tonality of equal weight in opposition to the strong G major of the primary subject. Its phrasing is highly irregular and unpredictable; sometimes three bars, sometimes four; and it lacks unity at the level of phrase, being passed around by various instruments. Harmonic movement is, for the most part, contrapuntal, i.e. non-functional. The theme travels through a number of keys of varying relation to the tonic G major but none is established any more convincingly than any other. The dominant chord that announces its arrival, for example, is swiftly sidelined in favour of F major. The theme suggests at various points B \flat major, D major, D minor and G minor. The failure of an alternative key to emerge is confirmed by the sudden lurch back to G major at the close of the first expositional rotation (bars 193-6). At the repeat, moreover, the exposition is simply elided with the onset of developmental material so that it fails to achieve closure *tout court*. In summary, the secondary theme is highly problematic, capricious even, and the effect of this on the sonata's structure is profound.

This distinction between the P theme—a tonally stable period—and the S theme—a highly unstable contrasting area—calls to mind William E. Caplin's work on Classical syntax and particularly his distinction between tight-knit and loose formations, which would account well for the differences between the two theme groups in *Harold*. Caplin seeks to move beyond both the nineteenth-century position, with its focus on 'melodic-motivic design' whereby a 'dynamic, "masculine" main theme stands in opposition to a lyrical "feminine" subordinate theme' and the more recent tendency, strongly associated with Schenker, to locate the 'source of contrast principally in the realm of harmony and

tonality'.⁵² Not wishing to contest the validity of the latter position, and the observation that harmonic contrast often defines the difference between the first- and second-theme groups, Caplin wants to draw our attention instead to the 'differences in phrase-structural organization routinely evidenced by these themes'.⁵³ In this regard, he calls upon the work of Ratz and Schoenberg who 'view the subordinate theme as loosely organized in relation to a relatively tight-knit main theme', a position which 'embraces not only issues of harmony and tonality but also those of formal function, grouping structure, melodic-motivic content, and the like'.⁵⁴ As Caplin argues, while subordinate themes, like main themes, normally comprise 'an *initiating* function of some kind (antecedent, presentation, or compound basic idea), a *medial* function (continuation), and a *concluding* function (cadential or, more rarely consequent)',⁵⁵ these 'intrathematic' functions are usually subjected to loosening strategies of some kind or other. Caplin lists several such strategies including phrase extensions, modal shifts, tonicizations of remote tonalities, re-ordering of the intrathematic functions or omission of one phase or other. This is almost the exact situation we encounter in the first movement of *Harold*, where the P theme is a classic example of what Caplin would describe as a compound period—an eight-bar antecedent ending on the dominant followed by an eight-bar consequent closing in the tonic—contrasting strongly with the much more loosely constructed—harmonically and tonally unstable, modally mixed, irregularly phrased—S theme.

In fact, Berlioz's maintenance of this distinction between a 'tight-knit' main theme and 'looser' subordinate theme could plausibly be seen as a regression to a 'Classical' practice. As Janet Schmalfeldt and Steven Vande Moortele have independently shown, for example, the nineteenth century bore witness to the emergence of much 'stronger' subordinate themes and much weaker main themes than were typical of the Classical era. Schmalfeldt, for instance, discusses the importance of the 'inward-turning' subordinate themes of Schubert's instrumental music. This is a theme, she says, that 'becomes the focal point of the complete work—the center of gravity toward which what comes before seems to pull, and from which all that follows seems to radiate'.⁵⁶ Vande Moortele groups strong subordinate themes into two categories: the 'German' subordinate themes that 'turn inward' (he adds Mendelssohn and Wagner to Schmalfeldt's Schubert) and 'French' subordinate themes that 'turn outward' (here

⁵² William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (NY & Oxford: Oxford University Press, 1998), 97.

⁵³ Caplin, *Classical Form*, 97.

⁵⁴ *Ibid.*

⁵⁵ *Ibid.* His emphasis.

⁵⁶ Janet Schmalfeldt, *In the Process of Becoming* (Oxford & NY: Oxford University Press, 2011), 136.

exemplified in the music of Berlioz and Auber). These latter are themes that, for Vande Moortele, could just as easily function as main themes but seem to have been displaced.⁵⁷ Berlioz's practice in *Harold*, then, could plausibly be seen as a deformation of an established Romantic practice to which he himself had contributed. But this would be to miss what is truly deformational about Berlioz's practice, here.

According to Hepokoski and Darcy, for example, 'the most important generic and tonal goal of the exposition' is when 'S attains a satisfactory cadence in the new key and gives way to differing material'.⁵⁸ Consequently, contrary to much received wisdom, the secondary theme can be seen as the most important part of a sonata form. Hepokoski and Darcy state:

What happens in S makes a sonata a sonata. Far from being passive or pejoratively 'secondary' (in the sense of 'lesser'), S takes on the role of the agent in achieving the sonata's most defining tonal moments. S may be regarded as an additional facet of the social or personal self initially projected in P and TR, a preplanned phase in the sequence of events that will carry out the sonata as a whole.⁵⁹

Hepokoski and Darcy's interpretation of the competing themes of a sonata form as different facets of the same personality is appealing in that it adds additional possibilities for characterisation in the *Harold* symphony other than the viola and *idée fixe* theme. As I noted earlier, for example, the 'aesthetic subject' is more properly located in the unfolding of the sonata as a whole than in a single theme. In competition with the more self-assured primary theme, the secondary theme presents itself as an erratic and unpredictable facet of the personality projected earlier. This causes a structural 'problem'. Since, as Hepokoski and Darcy argue, the main actions that need to be undertaken in a sonata are closely tied to the second subject, the second subject must be understood as being of crucial importance in the creation of the sonata world. A less self-assured secondary theme, then, threatens the looming possibility of the work's later failure.

As Hepokoski and Darcy again clarify, 'S serves additionally as both a proposal and a prediction for the manner in which the ESC [Essential Structural Closure] is likely to be effected in the recapitulation.'⁶⁰ So, while the primary aim of S is to secure a PAC in a secondary key in the exposition, it also acts as a referential statement which anticipates the course of development for the entire sonata: 'While it is true that the basic function of part 2 [the S-theme] is to ground or stabilize the new key of the dominant, it is also

⁵⁷ See Steven Vande Moortele, *The Romantic Overture from Rossini to Wagner* (Cambridge: Cambridge University Press, 2017), 148.

⁵⁸ Hepokoski and Darcy, *Elements of Sonata Theory*, 117.

⁵⁹ *ibid.*

⁶⁰ *ibid.*, 118.

the case that the exposition's part 2...is fashioned to articulate a rhetorical and tonal structure of promise that, when transposed in the recapitulation, will bring the trajectory of the entire sonata to a successful conclusion.⁶¹ This, precisely, is what turns the recapitulation into the sonata's locus of reconciliation for the theme and the form. The relationship of EEC to ESC, for instance, can be considered as synonymous, but at a higher level of structure, with the relation between antecedent and consequent whereby the V with which the antecedent culminates is only considered to have been resolved by the cadence at the end of the consequent and strictly not with the return to tonic harmony at the opening of the consequent. As Hepokoski and Darcy explain with regard to the EEC and ESC relation, 'even as our immediate expositional anticipations are satisfied with the EEC that brings S-space to a close, the larger effect of the whole is to establish a higher-level set of anticipations for the remainder of the sonata. In the recapitulation—still far down the road—the exposition's structure of promise is destined to become a structure of accomplishment.'⁶² This structure of accomplishment is supposed to occur with the transposition of the secondary theme into the tonic so that the cadence with which it closed the exposition, in the dominant, now appears in the tonic and serves to close off the structure as a whole.

It should be immediately apparent, then, how significant a deformation the absence of a strongly articulated PAC in a secondary key in the first movement of Berlioz's *Harold* represents. First, as with all deformations, it prevents our being able to hear the work unambiguously as a sonata form. Secondly, and perhaps most importantly, it suggests a tendency towards disintegration on a formal and structural level. One of our most important expectations for expositional space has not been met. In sonata theory terms, the elision of expositional and developmental space resulting from the absence of a strongly articulated PAC in an alternative key represents an 'expositional failure'. Hepokoski and Darcy explain the concept of failed expositions in sonata theory and offer a number of possible readings. They note, 'were the PAC/EEC left unaccomplished...the exposition would be an illustration of frustration, nonattainment, or failure.' The effect of failing to achieve a PAC in a new key in the secondary theme affects the sonata as a whole:

Failure to attain the EEC within the exposition suggests that the entire sonata is threatened with nonclosure in the recapitulation (sonata failure). To undermine S's *raison d'être* in this way suggests that something has gone amiss, that the whole point of undertaking a sonata (as a metaphor for human action) has proven futile.⁶³

⁶¹ *ibid.*

⁶² *ibid.*

⁶³ *ibid.*, 118.

This certainly represents a striking contrast to the dramatisation of important structural moments, such as the dominant arrival, that we have come to expect from the music of the Viennese classics and from Beethoven in particular. It is at the structurally most crucial moment, for example, that Berlioz's 'musical persona' falters.

There is an additional effect of the two alternative outcomes of the expositional repeat in Berlioz's movement. As Rushton explains,

The first time, the exposition produces a large strophe (bars 131-96); the repeat produces either a ninety-eight-bar period until stability is restored by C major (bar 229), or a period of stability to bar 166bis and a period of instability, the longest in the movement, from there to 229. Certainly no good division falls at the second-time bar.⁶⁴

This ambiguity begets other ambiguities. Is the tonic restatement of the secondary theme at bar 265 the start of a reverse recapitulation or a 'false recapitulation'? Rushton and I differ slightly in our solutions to these questions. While we both prefer to hear the reprise of the secondary theme as a false recapitulation, for instance, I do not give the C major statement of the primary theme the importance that he gives it. I prefer to hear it as being swept up by a long-range drive towards the dominant (on which more later). Nevertheless, in many ways, it is the very ambiguity that this causes that is the point. The blurring of formal boundaries is what propels the music forward in the absence of a clear tension operating between tonic and dominant. Rushton's words serve well again. 'The result is a massive sprung rhythm, which gives the music a forward impetus which more obviously sectionalized movements, such as *Fantastique* I or *Roméo* II, tend to lack'.⁶⁵

Aspects of this process of formal disintegration in *Harold* continue into the developmental section, as might be expected. Developmental space, as I conceive it, occupies the section spanning from the second time bar to the 'false recapitulation' of S-material. In fact, however, the effect of this reprise of the secondary theme is to create a moment of formal interlocking such that this reprise is both a development-cum-recapitulation and a recapitulation-cum-development. True, the theme is a lot more stable than in its previous appearance but it properly represents, therefore, a growth or 'development' on the last appearance. At the same time, it is not yet a fully convincing secondary theme. It is sequential and therefore feels more like a developmental episode than a recapitulatory rotation (see example 2.13). Most importantly, however, it fails to

⁶⁴ Rushton, *The Musical Language of Berlioz*, 198.

⁶⁵ *ibid.*, 198.

Viola

Structural dominant?

mf

Violins

ff

pp

Cello and Contrabass

ff

Wind

p

Figuration continued in violins

mf

pp

cresc.

ff

ff

ff

Example 2.13: Structural dominant leading to ‘false reprise’ of secondary theme, *Harold*, movement I, ‘Harold aux montagnes’, bars 262-81.

achieve any sense of closure—it lacks a cadence.⁶⁶ This dissolution of clear boundaries between the sonata’s main sections is, perhaps, something characteristic of Romantic form.

The development proper is concerned almost exclusively with P material. It is just as capricious as the material of the exposition’s secondary theme. Among the keys it passes through are A major, D \flat major, D minor, B \flat major, B minor, and C major. It culminates on a highly charged dominant chord, at bar 264, that provides the most likely candidate for the work’s structural dominant. Snippets of the primary theme are exposed in a number of keys but are often interrupted by orchestral interjections that undermine the music’s sense of continuity and provide recollections of an important motif (D-E \flat , on which more later) at the top of the texture. The fullest statement of the primary theme does indeed occur in C major but this also dissolves into an unstable

⁶⁶ A similar thing happens with the tonic restatement of the *idée fixe* in the first movement of *Symphonie fantastique*. See Rodgers, *Form, Programme, and Metaphor*, 95.

Allegro
animez un peu.

330

pp

335

p *mf*

340

Example 2.14: Return of 'Harold' theme in combination with Secondary Theme, *Harold*, movement I, 'Harold aux montagnes', bars 329-43.

contrapuntal shifting between various keys, propelling the music onwards beyond C major to the 'real goal' of D major. Occasional pedal points anchor the music more securely throughout the development and provide some sense of directed motion towards the dominant at bar 264, as we shall see in the tonal analysis later. The arrival of the dominant, however, seems to precipitate a musical crisis of some violence; a metrical dissonance in the hemiolas and harmonic dissonance in the minor ninth chord erupt on the surface. The false recapitulation of secondary material in the tonic is scarcely strong enough to restore stability and instead leads to another formal rupture

Allegro 360

365

Example 2.15: Combination of 'Harold' theme with Primary Theme, *Harold*, movement I, 'Harold aux montagnes', bars 358-67.

as it charges headlong into a section in E \flat major, which is cut off by a fall into silence in bar 290.

The recapitulation is faced with the task of resolving the structural tensions created by the work's tendency towards formal disintegration. It contributes a great deal to the cause in the integration of introductory material into the sonata proper. The fugal texture of the reprise of the *idée fixe*, for example, acts as a double-reprise of the opening material. The fugue begins at bar 329 and continues, at bar 335, in combination with snippets of the secondary theme (see example 2.14). At bar 357, the primary theme replaces the secondary theme in combination with the *idée fixe*, now no longer in a fugal texture, and rises in a chromatic sequence which is broken off by a further interruption (see example 2.15). The primary theme/*idée fixe* combination is then heard again, leading to another interruption before, finally, the recapitulation of the secondary theme.

Having come through an ongoing process of development, the secondary theme is far less problematic than in previous appearances (example 2.16). As Rushton has shown, in this last appearance it has a structural integrity about it which is completely absent from its expository statement. The first time we heard it it failed to complete a full statement on a single instrument and was instead passed around the orchestra. Here,

by contrast, it is mostly given to the viola and therefore exhibits a sort of timbral unity

475

The musical score for Example 2.16: continued, measures 475-480. The piano part begins with a tonic pedal on G, marked *mf*. The woodwinds (Bsn. and Vla.) enter with a *ff* theme. The piano part has a 'Resolution of E b' marked. The section ends with a Coda.

Example 2.16: *continued*.

that it lacked before. This timbral ‘resolution’ is not total, however, since the viola still shares aspects of its theme with the bassoon. Nevertheless, as Rushton notes, even here ‘the solo preserves overall melodic continuity through the resolution of the G# which links the central pair of the four five-bar phrases’.⁶⁷ Note also, that phrasing is irregular but balanced and the tonality is a clear G major, anchored by a tonic pedal. The theme makes a number of gestures, then, towards resolution in a variety of domains. Full *tonal* resolution of the work, however, is not provided, ultimately, by the secondary theme. This theme makes two gestures towards tonal closure but fails to achieve it both times. The first attempt (bar 466) lacks root position tonic-dominant harmonic movement and is therefore robbed of the force of the most powerful resolution (V-I under $\hat{2}$ - $\hat{1}$). In the second gesture (bar 471), tonal resolution is evaded by a deceptive cadence onto a unison flattened sixth scale degree. Resolution is thus deferred until the coda, which makes several unsatisfying attempts to achieve closure. This is not, for instance, a Beethovenian coda whereby resolution is repeatedly re-affirmed, such as the one that closes the finale of the Fifth Symphony, where the secondary subject had also proved unable to produce an EEC and thereby motivated the ‘corrective’ effect of this coda. Rather, resolution in *Harold* is consistently evaded until the last moment. The most emphatic cadence, then, is the movement’s final one and it is scarcely strong enough to compensate for the secondary subject’s inadequacies earlier on. It is, rather, an act of bravado—a last blush attempt to paper over the cracks, as it were.

⁶⁷ Rushton, *The Musical Language of Berlioz*, 199.

There is therefore reason to consider the movement as lacking a sufficiently conclusive resolution. First, the deferral of resolution to the coda means that, ultimately, the resolution is not effected within the sonata form proper. In sonata theory terms this would constitute ‘sonata failure’ and would thus suggest that the structural demands of the movement were not sufficient to contain the deformation caused by the secondary theme’s failure to achieve a perfect cadence in an alternative key in the exposition.⁶⁸ Deferred tonal resolutions become a common deformational strategy in the late nineteenth-century, particularly in the symphonies of Mahler and Bruckner.⁶⁹ The effect is an exacerbation of the teleological impulses of the sonata form. And the longer a resolution is withheld, the more powerful, the more convincing it will need to be. This strategy was, of course, not uncommon in Beethoven’s works. In the *Eroica* Symphony, for example, as Burnham has pointed out, the coda is tasked with the completion of the work’s unfinished business—in particular the final conclusive resolution of the C# that destabilised the very first thematic statement. But whereas Beethoven’s recapitulation, and coda, leaves no doubt as to the affirmative nature of the movement’s closure, in its hammering out tonics and dominants in alternation, Berlioz’s form leaves us with more of a niggling doubt as to the movement’s outcome. This is not so much a matter of ‘unfinished business’ as it is the ‘main business’ of a sonata form.

A number of issues prevent us from taking the work’s resolution as conclusive. Primary among these, perhaps, is the gradual disintegration of the primary theme working in tandem with the gradual development of the secondary theme. The primary theme returns at the start of the recapitulation in bar 295, for example, in a varied restatement that grinds to a halt in a general pause at bar 315, for the introduction of the Harold theme. From then on it is only heard in snippets and in rising chromatic sequences, twice crashing into material that tests the limits of tonal syntax. The rhetoric suggests that the processual working out is unable to yield a coherent form and thus the music lapses into silence. Furthermore, the secondary theme, its improved stability notwithstanding, is ultimately left unreconciled to the primary theme when it is robbed of a satisfactory tonal resolution. Resolution is thus projected to a region outside of the first movement, in a manner not dissimilar to the conclusion of the first movement of the Fifth Symphony, perhaps the paradigmatic work for the extension of the heroic narrative

⁶⁸ Hepokoski and Darcy discuss ‘sonata failure’ in *Elements of Sonata Theory*, 245-7.

⁶⁹ This has led Julian Horton, in *Bruckner’s Symphonies*, to subject Hepokoski and Darcy’s deformation idea to a critique, see 152-60. He argues that, after Beethoven, deformation becomes the norm. Therefore, it becomes more difficult to talk of deformations from an accepted norm. What we’re talking about here, however, is a difference in diachronic and synchronic approaches to intertextuality and analysis. Deformations in the nineteenth century, for example, still arguably obtain their force by reference to the procedures they avoid from the eighteenth century.

across a multi-movement form.⁷⁰ Berlioz's deformations to sonata form, then, point to a hermeneutic conclusion, namely, the problematisation of the form's ability to give expression to an autonomous self in a post-Beethovenian context.

V. Schenkerian analysis - structural and tonal concerns

Now that a broad outline of the form has been sketched, a more detailed analysis of *Harold I* can be pursued. Perhaps the most significant point to be made about the tonal structure of *Harold I* is the disturbance and displacement of the structural tension between the tonic and the dominant. In his 'General observations on sonata form' Schenker famously decreed that 'only the prolongation of a division (interruption) gives rise to sonata form.' He continued, 'herein lies the difference between sonata form and song form: the latter can also result from a mixture or a neighbouring note'.⁷¹ Schenker's understanding of sonata form as arising from the elaboration of an interruption structure allows us to see sonata form as the most dramatic staging of the fundamental conflict that inheres in tonality. Undermining the function of this conflict, then, is always already to undermine the possibility of generating sonata form. In Berlioz's sonata form, significantly, the first phase of the interruption structure is displaced from its usual position at the end of the exposition so that the large-scale tension between tonic and dominant that this section conventionally sets up is strongly undermined. As a consequence the force of the dominant's demand for resolution is weakened. And the upshot of this is that, since the tonic and dominant are dialectically related, hearing the work as a unified articulation of a single tonality (and by analogy, as a unified self) becomes more difficult.

Schenker's discussion of sonata form in *Free Composition* is frustratingly brief. Nevertheless, a brief description of what Schenker considers most fundamental to the form can be sketched as follows. In Schenker's fundamental structure for a stereotypical sonata form (see figure 2.3), the task of the exposition is first to establish scale degree $\hat{3}$ as a head tone and second to establish scale degree $\hat{2}$ in a competing tonal area. 'The primary tone $\hat{3}$ can be prolonged by means of a third progression....However, a third progression of this kind must not be confused with the first third-progression in an a_1 section of a song form: in sonata form it is imperative that the third-progression be followed by $\hat{2}/V$ '.⁷² The space normally dedicated to the prolongation of $\hat{2}/V$ is, as Schenker observes, normally designated as the subordinate

⁷⁰ Burnham suggests, for instance, that Beethoven's reactivation of the minor mode towards the end of the first movement can be heard to bring about the following movements. See *Beethoven Hero*, 56.

⁷¹ Schenker, *Free Composition*, 134.

⁷² *Ibid.*, 134.

theme. In place of this conventional view, and in accordance with his desire to demonstrate the obsolete nature of traditional *Formenlehre*, Schenker counters that ‘A fifth-progression in itself suffices for the prolongation of $\hat{2}/V$ without necessarily involving a “lyrical” or “contrasting” theme.’⁷³ This fifth-progression, which introduces chromaticism with respect to the global tonic and serves to establish a competing harmony, completes the first phase of the interruption structure that, for Schenker, is a fundamental postulate of sonata form.⁷⁴

In accordance with the importance given to the principle of division by Schenker, the only goal Schenker sets for the development section of a sonata form is ‘to complete a motion to $\hat{2}/V_{\#3}$ ’.⁷⁵ It is clear that Schenker is thinking here of both major- and minor-mode sonata forms since in a minor-mode form the descent to $\hat{2}/V$ will not yet have occurred and will need to occur in order that the reprise can be brought about. In a major-mode sonata form, on the other hand, Schenker suggests that the task of the development section is to remove the chromaticism that attended the establishment of $\hat{2}/V$ in the exposition, presumably so that it can function as a dominant again. The recapitulation is then signalled by the return of the tonic key and primary tone, and the closure of the fundamental line. It should be noted that scale degree $\hat{2}$ is not, for Schenker, resolved by the launch of the recapitulation. Instead, the recapitulation begins again on $\hat{3}$, and, with the transposition of the essential expositional closure into the tonic, effects a resolution of the entire structure by descending, finally, and conclusively, to $\hat{1}$ over a root position tonic chord. Crucially, the division of the structure via interruption sets up two large harmonic areas: a tonic area, which occupies expositional space, and a dominant area, which occupies developmental space. In order for the tonic proposed at the opening of the sonata to be ultimately fulfilled, it must confront and resolve a firmly established contrasting key area. Until that moment, it remains provisional. It is in this sense that sonata form, especially in the hands of Beethoven, can be heard as a dramatisation of the fundamental tenets of tonality. All that Schenker offers as an explanation of the processes of the recapitulation is that ‘in the case of $\hat{3}-\hat{2}$ || $\hat{3}-\hat{2}-\hat{1}$, a fifth-progression is frequently superimposed on the final third-progression’.⁷⁶ This is because composers often transpose the fifth-progression that served to prolong $\hat{2}/V$ in the exposition in the dominant into the tonic in the recapitulation. Schenker is at pains to point out that this fifth-progression is of only secondary importance. As he

⁷³ Ibid., 135.

⁷⁴ There is some debate over which of the two dominants, the one that closes the exposition or the one that precedes the reprise, should be considered the interrupting dominant. As Charles Smith has observed, however, it makes more sense, when we have the option, to select the first since the second is more properly considered as a more local phenomenon and often provides the means for the return of the tonic in the recapitulation which immediately follows it.

⁷⁵ Schenker, *Free Composition*, 136.

⁷⁶ Ibid., 138.

remarks, 'there is no doubt that the primary tone remains the $\hat{3}$; the fifth-progression is merely a final reinforcement.'⁷⁷

Schenker's main goal in outlining his theory of sonata form appears to have been to stress the importance of the principle of division as the main determinant of a sonata form at the expense of theories of form based on the recurrence of themes. As Charles Smith has argued, however, Schenker was somewhat inconsistent in outlining this aspect of his theory and often deviated from it in practice. Moreover, as a definition of a sonata form, Smith argues, the principle of division is 'neither necessary nor helpful'.⁷⁸ This point is borne out by the fact that even by Schenker's own admission, the presence or absence of an interruption structure is not enough to designate a work as being in sonata form. Not every work with an interruption structure is a sonata form and not every sonata form contains an interruption structure. Many minor-mode sonata forms, for example, do not establish $\hat{2}/V$ until the end of the development section and whether this arrival on an active dominant can be properly considered to be an interruption, since it functions locally to bring about the return of the tonic, is open to debate, though it is notable that Schenker does not rule this out. In considering some of these inconsistencies Smith demonstrates that Schenker must, at times, have made analytical decisions on the basis of an inherited notion of form. Rather than indulge Schenker's claim to have demonstrated the obsolete nature of traditional *Formenlehre*, then, Smith argues for a close relationship between form and background structure such that determining a work's form is an important pre-requisite for determining its likely background structure.

A more precise definition of sonata form than that offered by Schenker, then, might be 'an expanded three-part open form with a reprise'. That is, a form in which the primary tone in the exposition is quitted for another tone, or reharmonized, (open) and in which a thematic reprise is accompanied by the re-emergence of the primary tone over I (the reprise). This flexible but precise definition of sonata form provides a corrective to what Smith views as some of the problematic analyses offered by Schenker throughout *Free Composition*. It encompasses major- and minor-mode sonata forms by replacing the concept of division as a determinant of the form with the idea of a form that is 'open', i.e. moves away from the tonic during the exposition. This reconceptualisation then allows Smith to arrive at a number of 'stereotypical backgrounds' (of which figure 2.3, adapted from Hepokoski and Darcy might be considered one) for both major- and minor-mode sonata forms while being open to the possibility of unorthodox treatments of the harmonic framework of sonata form generating unfamiliar backgrounds. He

⁷⁷ Ibid., 138.

⁷⁸ Charles Smith, 'Musical Form and Fundamental Structure: An Investigation of Schenker's *Formenlehre*', *Music Analysis* 15, no. 2/3 (1996), 231.

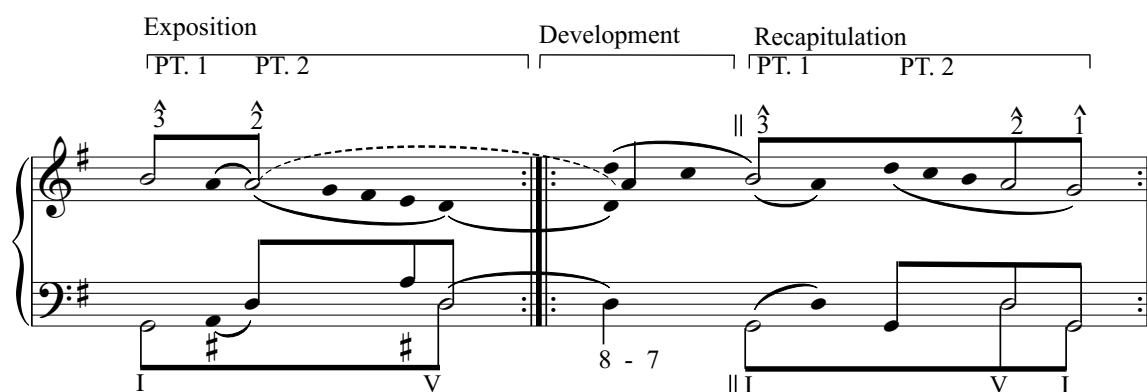


Fig 2.3: Schenker's abstraction of sonata form, adapted from Hepokoski and Darcy, key changed for comparison. Page 148.

mentions in the light of this last point works that do not move to the dominant (major mode) or the mediant (minor mode).

Example 2.17 provides a deep middleground graph of the entire first movement of *Harold* and shows a two-part *Ursatz* structure with a descending line from $\hat{3}$ over tonic harmony to $\hat{2}$ over dominant harmony in the exposition, followed by a prolongation of $\hat{2}$ during the development and a re-establishment of $\hat{3}$ and a full descent therefrom to $\hat{1}$ and the closure of the structure. Much of this fits Smith's reformulation of Schenker's understanding of sonata form as an open, three-part structure, with a reprise. This should not blind us, however, to some of the more unorthodox aspects of Berlioz's sonata form. Many of the traditional points of structural articulation, and, as a result, the formal boundaries, of sonata form are over-ridden in Berlioz's form without having been abandoned entirely. Notable in this regard is the absence of a perfect authentic cadence in the dominant at the end of the exposition, however, means that despite $\hat{2}$ being prolonged for the duration of the second-subject group and the entirety of the development section, the dominant is not so easily heard as enacting a large-scale structural tension with the tonic since it is never established as a tonal pole of equal weight to the tonic but is, rather, just one of a string of contrasting tonal centres. The descent from $\hat{3}$ to $\hat{2}$ in the exposition, for instance, gives rise to a sustained passage of tonal instability that has the effect of undermining the tonic via the introduction of remote tonalities in a series of hexatonic shifts that destabilises the conventional functional harmonic connection between tonic and dominant while keeping $\hat{2}$ present on the music's surface. The resolution of the interruption structure thereby obtains less force—is heard more locally—than would be the case if these remote tonalities had not supplanted the dominant in the secondary theme group.

But this is not to suggest the unopposed governance of the tonic either since the grip of the tonic is sufficiently undermined in the second theme group and in the development section so as to demand a convincing tonal resolution. In effect, to weaken the

b. 1 94 126 132 147 166 199 264 296 358 446 488 489

Intro. P S Dev. P S Recap. P S Coda

Example 2.17: Deep middleground reduction of *Harold*, movement I, 'Harold aux montagnes'.

dominant is, to some extent, to weaken the tonic. This is another way in which Berlioz's movement can be heard as tending towards disintegration. Tonality resides in the tension that obtains between tonic and dominant. It is for this reason that a tonality can be expressed without once sounding a tonic chord, by generating a tension that suggests resolution to an unheard tonic. Tonality is strictly not merely the presence of a tonic chord, then, but the generation and resolution of a tension through relationships between large-scale harmonic areas. When a composer disrupts this tension then he/she is undermining the functioning of tonality. A closer look at the music shows how Berlioz dramatises this failure to articulate a unified tonal structure by alluding to the structure from which he departs. His structure is, properly, a stretching of the limits of the possibility of articulating a sonata form in both the formal and structural domains. Here too it is the relationship between a broadly defined schema and deviation that will exercise us. And once again the introduction seems to set itself in opposition to the sonata in that it proves more capable of articulating and resolving structural tensions than the sonata form proper.

Berlioz's procedure here calls to mind the tension that Peter Smith has identified in Schenker's own thought, and Brahms's compositional practice, 'between conservative and progressive yearnings...to reconcile the sharply articulated musical surfaces of the late-eighteenth-century sonata style with the esthetics of the late nineteenth century, which in contrast favored continuous motion and highly evolutionary formal relationships.'⁷⁹ This contradictory aspect of Schenker's thought, Smith observes, is neatly captured in Schenker's simultaneous insistence that the sonata form derives from a form-generating interruption structure and that this division itself can be derived from a single *Ursatz*. Smith demonstrates that any attempt to fold the interruption back into a

⁷⁹ Peter Smith, 'Brahms and Schenker: A Mutual Response to Sonata Form', *Music Theory Spectrum* 16, no. 1, (1994), 77-78.

single governing *Ursatz* will create inconsistencies with other fundamental tenets of Schenker's theory. For instance, it is impossible to determine which of the two $\hat{2}/V$ formations should form part of the background. If the first is chosen (at the interruption) then the final cadence seems less important contradicting the idea that the tension mounts as the piece progresses. If the latter is chosen (at the final cadence) then the first $\hat{2}/V$ becomes a neighbour at a higher level. In the following analysis we shall see how Berlioz's sonata form, like Brahms's but in a different way, attempts to reconcile the competing impulses of Classical and Romantic aesthetics.

It is worth recapping the main formal events of the introduction. The work opens with a double fugue in the minor mode during the course of which the symphony's *idée fixe* is exposed. After this, the *idée fixe* is repeated in the major mode, with minimal accompaniment, and finally, in full orchestration. It is important to note that in both sonata theory and Schenkerian terms the introduction is not usually considered to be the start of the structure proper though it often contains features that will be recapitulated later. Strongly articulated tones in the introduction are not normally to be considered candidates for the primary tone especially if another tone is articulated strongly in the sonata proper. This would seem to be the case in *Harold*, too, since the tone that the introduction articulates most strongly is $\hat{5}$ and not the $\hat{3}$ that we hear in the sonata form proper. The most important thing to note about the introduction is that it articulates a self-contained interruption structure with a modulation from tonic to dominant and back and an interrupted descent from $\hat{5}$ to $\hat{1}$ in the top voice.

The fugal introduction proposes the tonic G minor (see example 2.18). We have to wait until bar 29 for a perfect authentic cadence, but there are numerous cadential gestures throughout the introduction, not the least of which being the IAC in bar 13 that closes off the fugue (see example 2.18). The tonal structure of the fugue is fairly orthodox; a section in the tonic is answered by a section in the dominant, followed by a return to tonic harmony. There is some ambiguity resulting from the double fugue having two subjects but this can be resolved by hearing the first fugue as an accompaniment for the second. The semiquaver figure in the basses, for example, receives an answer at the fifth in bar 4 but there is no modulation and the music remains securely rooted in the tonic. The first two bars of the work, then, are akin to the piano introduction of a song before the voice has entered. The theme in the woodwinds, which enters in bar 3, is indeed lyrical. It is this theme, however, that articulates the tonal structure of the fugue. The cadential gesture at the end of this theme's first sub-phrase in bar 4 confirms the opening tonality as G minor while the second sub-phrase moves to the dominant at bar 6 where it is answered at the fifth. Tonic harmony returns in bar 9 and gives way in the following bar to a dominant pedal which prepares the movement's first cadence in bar 13.

Example 2.18: linear analysis of opening fugue, *Harold*, movement I, 'Harold aux montagnes'.

The melodic identity of D as a local primary tone, however, is not clearly established until the arrival of the *idée fixe* theme (see example 2.19). If we hear D as already operative in the fugal introduction it is likely only to be retrospectively. The first iteration of the *idée fixe* composes out a linear descent from $\hat{5}$ in bar 14 to $\hat{1}$ in the cadence in bar 29. This sixteen-bar theme can be subdivided into four phrases of four bars each. The first eight bars form a period in the tonic G minor. The antecedent phrase decorates D with its neighbour $E\flat$ and a consonant skip down to A, and the consequent phrase repeats this motion but skips down to G for the cadence. Resolution is only provisional here since it occurs, strictly speaking, in an inner voice. The melodic identity of D carries through these phrases. In the next phrase neighbour motion about D is developed at a deeper level of structure as a large-scale melodic neighbour motion between the two periods. The four bars from bar 22 to 25 establish an $E\flat$ in the upper voice; its melodic identity is secured by the deceptive cadence to $E\flat$ major in bar 25. Resolution of this neighbour motion is achieved in the last four bars of the theme where the melody also completes a descent to $\hat{1}$ in an inner voice.

The $\hat{5}-\flat\hat{6}-\hat{5}$ progression heard in this section is an important motif throughout the symphony. We have heard it elsewhere in the introduction as part of the woodwind fugue theme at bar 8 and in the bass parts at bars 6, 12, 22, 26, and 28. It returns several times over the course of the first movement: in the progress of the second theme, in the interruption to the false recapitulation, and in the evaded cadence in the

Example 2.19: Reduction of minor-mode 'Harold' theme, *Harold*, movement I, 'Harold aux montagnes'.

recapitulation proper of the secondary theme. It features heavily in the minor-mode finale and even colours the work's plagal cadence in the G major coda. A common indicator for romantic yearning, it seems an appropriate sign for the sadness alluded to in the movement's title. It brings with it a reminder of the minor mode and therefore acts as an omen for the failure of the *per aspera ad astra* teleology. Indeed the conflict of major and minor modes is an important aspect of the work's drama. After the first cadence in G minor in bar 29, for instance, the fugue returns in a truncated form and leads to a tonic chord in bar 35. The major and minor modes of the tonic are directly juxtaposed in bars 36–7 without any intervening harmonies. Berlioz simply 'cancels' the B \flat of his minor chord for the B \natural of the major mode in preparation for the major-mode *idée fixe*. In summary, then, this dark introduction casts a profound shadow over the remainder of the movement. It is the background against which much of the rest of the music is heard.

Although seemingly distinct, the next two iterations of the *idée fixe* in the major mode form a single large unit spanning bars 36 to bar 95 (see example 2.20). The harmonic task of the first section is to secure a PAC in the dominant key and to thereby establish an interruption structure in the introduction which it is the task of the second section to resolve. The two iterations of the *idée fixe* theme, then, have a relationship of antecedent to consequent that locks them together as one. The first section opens with an eight-bar period which prolongs the melodic D via neighbour motion and consonant skipping down to A in the first phrase and G in the second—a major-mode variant of material heard earlier. In the next phrase the line begins to descend, pausing on B at the cadence in bar 58, still in the tonic. With the establishment of A at bar 61, however, the harmony makes a determined move towards the dominant and initiates a nested descent in the upper voice from this A to D at bar 68. The perfect authentic cadence, here, establishing the interruption structure. The following four bars reactivate the

Example 2.20: Reduction of major-mode ‘Harold’ theme, *Harold*, movement I, ‘Harold aux montagnes’.

dominant in preparation for a reprise of the *idée fixe*. Here, finally, the line completes the descent from $\hat{5}/G$ to $\hat{1}/G$ and resolves the relative tension generated by the interruption structure.

VI. Schenkerian reading of the sonata form proper

That such strong tonal closure should occur in an introductory section is remarkable. It bears out the suggestion made earlier that the introduction threatens to supplant the sonata proper. Indeed it runs the risk of becoming a detachable part of the movement. In other words, since the introduction so conclusively closed off the structure that it produced there is little motivation for the commencement of a sonata allegro. We usually expect introductions to produce a dominant, not to resolve them. The purpose of the first Allegro section, then, is to reactivate the dominant once more in preparation for the Allegro proper and to transform the local primary tone D into an upbeat to the sonata’s primary tone, B. The section prolongs a motion from the tonic of bar 95 to the dominant in bar 126. At the arrival at the dominant the viola announces itself on a low D.

The musical score for Example 2.21 is presented in two systems. The first system shows the initial bars, with the upper voice (bass clef) starting on D and the piano accompaniment (treble and bass clefs) providing harmonic support. The second system continues the melodic line, showing the transfer of the *Kopfton* from D to B. The tempo is marked 'Allegro' and the dynamics are 'ff'.

Example 2.21: Transfer of *Kopfton* from D to B, *Harold*, movement I, 'Harold aux montagnes', bars 126-31.

The transformation of this local *Kopfton* D into an upbeat to the sonata's *Kopfton* is achieved by the simplest of means. Berlioz repeats the primary theme's opening leap of a sixth (D-B) so many times that our ears become accustomed to hearing it as an upbeat and its melodic identity becomes subordinated, in this way, to the *Kopfton*, B. At the same time this gesture functions 'expressively' as an indication of the soloist's hesitancy (see example 2.21).

Once the sonata proper begins, the *Kopfton*, $\hat{3}$, is given strong support in the unfolding of the primary theme's linear descent over a third (see example 2.22). This nested *Ursatz*, complete with an interruption structure, is an example of what Schenker described as 'parallelism': the idea that structures found in the deeper levels of a musical work will be duplicated at higher levels of structure. And the discovery of this nested *Ursatz* in the unfolding of the primary theme bolsters our impression of this theme as securely grounded, since it can be heard as an elaboration of a perfect authentic cadence. This nested *Ursatz* can even be heard as an important motif in this theme, which opens with a $\hat{3}\text{-}\hat{2}\text{-}\hat{1}$ descent after its upbeat. As was noted above, the primary theme is a sixteen-bar period with an eight-bar antecedent and consequent. The first phrase prolongs a movement to the dominant via a strong I-VI-ii-V progression. The descent from $\hat{3}$ to $\hat{2}$ in the upper voice is elaborated by a chromatic turn figure and an upper neighbour note. The second phrase re-establishes the *Kopfton* on $\hat{3}$ and initiates a drive towards the cadence. Intensification of the cadence by the chromatically descending linear intervallic pattern from bar 144 adds additional strength to the

Example 2.22: Reduction of primary theme, *Harold*, movement I, 'Harold aux montagnes'.

resolution. If it is the task of a primary theme to establish the opening tonic of a sonata form, then it is the task of the secondary theme, as was noted above, to establish a contrasting tonal area of equal weight.

In Schenker's understanding of sonata form, a cadence in a contrasting tonal area is what secures the sonata's interruption structure by establishing scale degree $\hat{2}$. This $\hat{2}$, and (conventionally) the dominant that supports it, is then prolonged by the development section until it is reactivated as an unstable chord in preparation for the recapitulation. By comparison with the primary theme, however, the secondary theme confounds the generic expectations of sonata form by failing to secure the $\hat{2}/V$ that it prolongs with a perfect authentic cadence in the dominant. While this failure to secure a contrasting key has been noted by a number of commentators, most notably Rushton, I argue that it is additionally important to understand how Berlioz calls up the convention only to subvert it. By Schenker's reckoning, for instance, a sonata that fails to articulate an interruption structure is not really a sonata form. If that were the case then it would be worth considering other paradigms to explain the processes at work in Berlioz's symphony. But if we can demonstrate how Berlioz's tonal strategy suggests an interruption structure only to subvert the tonality-defining tension of tonic and dominant, then we have grounds for a hermeneutics based on an interaction with the sonata tradition.

The background graph (example 2.17) supports a reading based on a 3-line with an interruption structure and therefore alludes to the tonal structure that Schenker most strongly associates with sonata form. It suggests that the dominant can be heard to govern the music that stretches from bar 165 to bar 264. But while the background structure of the tonic area is clearly articulated on the musical surface so that this

important structural goal can be heard as dramatised at a higher level of structure, the secondary theme obscures the functioning of the background at higher levels of structure without destroying it completely. The result, as I will continue to argue, is that the tension that defines tonality is disrupted. The situation, here, is complicated additionally by the two alternative versions of the exposition's part 2. As was noted earlier, for instance, in the first repeat, the secondary theme returns to the tonic. In the second repeat, however, the exposition is elided, somewhat anti-climatically, with the developmental space so that the $\hat{2}$ that the secondary theme establishes and the first repeat resolves is now left unresolved and carried through to the developmental space. Let us now look a little closer at the musical details (see example 2.23).

A dominant chord interrupts the repeat of the primary theme at bar 166 and the *Kopfton* descends a tone to $\hat{2}$. As soon as the dominant has been sounded, however, it appears to have become an irrelevance. The bass skips down a third to F so that $\hat{2}/V$ is immediately reinterpreted as $\hat{3}/F$. These four bars of F major are strongly coloured by a local submediant (D minor) suggesting that it functions as a minor-mode reinterpretation of the dominant, a mixture which robs the dominant of much of its functional force. Indeed many of the keys through which the secondary theme travels (F major, B \flat major, G minor, D major/minor) appear to relate to this modally mixed dominant chord. Nevertheless, hexatonic movement such as this prevents any key from taking a strong tonal hold over the secondary theme area. The exception perhaps is the fifth motion in the bass in bars 170-1 that suggests tonicization of the B \flat major that announces itself in a *fortissimo* orchestral *tutti*. But the focus on B \flat major is short-lived and more hexatonic shifting brings us to a G minor chord which pulls strongly in the direction of D major by virtue of the tendency of the flattened third of the minor subdominant to fall in the direction of the local tonic's fifth ($\hat{2}/V$).⁸⁰ Berlioz exploits the reciprocity of these two chords throughout the secondary thematic area to prevent the dominant from taking hold. Throughout most of the secondary theme, for example, he withholds the V/V chord that would allow confirmation of the dominant, coming to the dominant via G minor in most instances. Once again, then, the switch to D minor that follows in bar 178 neutralises the tension generated by the major-mode dominant that preceded it.

A hiatus caused by the Neapolitan chord in bars 181-2 recalls the yearning $\hat{5}-\flat\hat{6}-\hat{5}$ progression that was an important motif in the symphony's introduction. From there the music finds G minor once more and transforms it, by contrapuntal means, into a diminished seventh chord. The spelling of this diminished-seventh chord (C \sharp -E-G-B \flat) is

⁸⁰ Richard Cohn has discussed the strong pull of the minor iv chord towards its tonic as resulting from the flattened 3rd tending towards resolution to the 5th of the tonic. He describes a reciprocity between the two chords such that, without a particular context, neither has priority. This hexatonic move he terms, after Weitzmann, a *nebenverwandt*. See Cohn, *Audacious Euphony: Chromaticism and the Consonant Triad's Second Nature* (Oxford: Oxford University Press, 2012), 46-7.

suggestive of an altered V/V. It is locked on to for a period of eight bars—a far longer stretch than that given over to any other chord/key in the secondary theme area—and it begins to generate tension in its ceaseless oscillating between an inner voice C# and an upper voice B♭. In the first run-through of the exposition, however, Berlioz thwarts the impending dominant arrival by interpreting this diminished-seventh sonority as a raised supertonic and resolving it onto a dominant 6/4 chord which brings about the return of the tonic, G major, ready for the repeat of the exposition. It is worth noting, here, that had Berlioz replaced the diminished-seventh chord with an applied dominant chord he would not be able to exploit the ambiguity that causes the surprise of the return to the tonic. In the repeat of the exposition, however, instead of resolving this diminished seventh onto a dominant 6/4 to bring about the return of the tonic, Berlioz simply skips from the C# in the bass to an A, over which is formed the supertonic triad with which the development section commences. This is a masterstroke since Berlioz has us expect the unexpected and then declines to give it to us.

In summary, then, the secondary theme is, in tonal terms, very unconventional by contrast with the self-assured nature of the primary theme's tonal organisation. Nevertheless it frequently points to a pre-occupation with the minor dominant through the disposition of keys and the highly suggestive diminished-seventh sonority, only to veer away from it at the crucial moments. Strong functional motion that would solidify the dominant's hold on the secondary theme area is replaced by 'weaker' progressions over a third or by the substitution of minor iv for the dominant's dominant, A. These progressions can only 'point' to the key of D; only functional motion by a fifth can confirm it. The point of this theme, then, is to expose a weakened dominant in order at once to forge a strong connection to the tradition with which it interacts and to subvert it thereby. Berlioz provides the contrapuntal framework suggestive of sonata form in the descent to $\hat{2}$ for the second subject but weakens the harmonic force of the dominant as a polarisation of the tonic by promising its impending arrival but never providing it.

The conflict between the primary and the secondary theme also amplifies, at a higher level of structure, the conflict between major and minor that was exposed in the long introduction. The G major primary theme, for example, with its strong sense of forward propulsion, is pre-occupied with the brighter 'perfect' side of the circle of fifths. That is, departures from the G major tonality tend to move clockwise around the circle of fifths, from G. The secondary theme, on the other hand, seems more pre-occupied with the darker tones of the 'plagal' side of the circle of fifths. The keys it travels through are, for the most part, situated in the anti-clockwise direction in the circle of fifths (with G at the top). The subdominant aura of the secondary theme relates to its inadequacy with regard to its function as establishing a key to provide a conflict with the tonic. At precisely the moment at which the sonata needs to push forwards, it appears to

166 174 182 185 194 198

I bIII bVI I IV i iv⁶ bII i iv V₆ II₆ V₄⁶ V₃⁵ I II₆ II

Example 2.23: Reduction of secondary theme, *Harold*, movement I, 'Harold aux montagnes'.

withdraw. Nevertheless, through its frequent touching of D minor (a 'plagal' alternative to D major) it maintains some contact with convention.

The secondary subject suggests D minor in a fashion not dissimilar to the way that the prelude to *Tristan und Isolde* suggests A minor. While commentators have noted the nebulous nature of this thematic area in *Harold*, none have sufficiently explored the way in which it can be heard to cohere as arranged around a single key centre, however weakly suggested. Failure to do so risks not recognising the historical content of Berlioz's symphony as an engagement with sonata form convention. It is not enough, I suggest, to point out the instability of the secondary key area. A satisfactory tonal analysis—since tonality arises by virtue of relationships even when a tonic chord is not once sounded—must either show how it articulates a tonality whose tonic is never sounded or, indeed, must show how it does not do this.

The development (example 2.24) prolongs the dominant in a fashion similar to that of the secondary theme. It travels through a series of chromatically related keys (among them A major, D^b major, D minor, B^b major, B minor, and C major) and it culminates in an extremely violent passage on a super-charged dominant. Once again Berlioz is heard to be alluding to, but refraining from confirming, a dominant chord. The A major (V/V) with which the development begins is immediately suggestive of a move towards the dominant but resolution in this direction is thwarted by a move to B^b major before the bass treats the lower neighbour to the A (A^b/G[#]) in bar 205 as a means to move to the distantly related D^b major with which, nevertheless, the minor dominant chord shares a common tone (F). The completion of this neighbouring motion in the bass, then, allows for a reinterpretation of $\hat{3}/D^b$ as $\hat{3}/d$ but the retention of A in the bass as a dominant pedal forces us to hear this D minor as a local prolongation of a V 6/4 sonority, the resolution of which occurs in bar 221 onto V 5/3 (in D). Resolution of this local dominant

Example 2.24: Reduction of development section, *Harold*, movement I, 'Harold aux montagnes'.

is once again thwarted by a shift into $B\flat$ major but now the bass line begins a long-range ascent the goal of which is the violent D major harmony at the end of the development section. $B\flat$ major becomes B minor by 'punning' on the melodic D. The C major section that causes some confusion in Rushton's analysis is not, as he suggests, a return to stability after a long section of instability; it is merely another step on the way to D, intimations of which can be heard in the $C\sharp$ -D bass motion during the C major section. Crucially, however, the arrival of the dominant, conclusively at bar 262, is not approached by its own dominant but, rather, by a local chord IV (G major) (see bars 254-56 in example 2.25). Just as the minor subdominant frequently preceded the dominant minor in the secondary theme, so too does the major subdominant allow for the arrival of the major dominant in the development. Admittedly, the dominant's own dominant does appear, in bar 257, as a neighbouring sonority. The result, once again, is to deprive the dominant area of the bass fifth motion that would establish it as an equally weighted harmonic contrast to the tonic.

The immediate 'resolution' of the extremely violent dominant chord that caps the development section is, however, decidedly weak. True the large-scale resolution of a contrasting tonal area does not 'properly' occur until the recapitulation's ESC but it is common in Classical sonata forms for the return of the tonic in the recapitulation to be announced with more than a little fanfare. We are deprived of the full force of the local resolution of the dominant minor ninth chord by the absence of bass support in the false recapitulation of the primary theme. By the time the bass comes in, at bar 265, the harmony has moved to the subdominant (C major). A strong dominant in bar 276 is approached by sequence but resolution is evaded by the intrusion of a section in $E\flat$

major (another recollection of the important motive heard in the introduction). The entrance of the recapitulation proper, then, is approached by a much weaker, because inverted, Italian 6th - V 4/3 progression.

As was noted above, the recapitulation does a great deal to resolve the numerous structural tensions of the work. It integrates material previously only heard in the introduction into the sonata form proper and it provides S with a thematic shape and solid harmonic foundation. Nevertheless it is a maze of false turns, backtracking and retreats. Despite the absence of root position bass movement the primary theme begins confidently but it runs into two consecutive *tutti* pauses in its consequent phrases that prevent closure and prepare the ground for additional thematic resolutions. It is here, for instance, that material from the introduction inserts itself in combination first with the secondary material and second with the primary material. Two further iterations of primary material run into trouble in passages that push the limits of musical coherence (at bars 385-401 and bars 427-43). The rhetoric here seems to suggest the music's deciding whether the first recapitulation of the tonic with secondary material can be accepted as a reverse recapitulation (as in *Symphonie fantastique*) so that the primary theme, as the more confident of the two themes, will be tasked with the resolution of the structure. The retreats from closure of the primary material, however, suggest that there is still unfinished business with the S-theme. Finally, the secondary theme returns once more (see example 2.26). Despite its approach by yet another 'weak' inverted dominant (V 4/3) it is far more stable and self-assured than any of its previous formations. It gestures twice towards closure in G major but both attempts fail to satisfy: the first by another inverted cadence (V 4/2) and the second, despite a root position dominant, by the intrusion—once more—of the problematic E♭ that has plagued so many attempts at closure in the movement so far. This is the sonata failure discussed in the sonata theory section and established as a likelihood from the expositional failure.

Resolution is thus deferred until the coda, which does indeed make numerous gestures towards tonic closure of varying strength. First, however, it must address the problematic flattened sixth degree that has caused numerous problems throughout the sonata. This it does at bar 477 by treating E♭ as D♯ and resolving it upwards to the diatonic submediant chord in an approach to the dominant, which arrives at bar 478. Numerous closural gestures follow but the upper voices cannot find agreement (in a conclusive $\hat{2}-\hat{1}$ descent) with the root position tonic-dominant bass movement until the two closures of bars 488-9 and, more emphatically, bars 494-9. That is to say the 'problem' of closure seems to spill over into coda space. There is sufficient reason, then, to consider this final resolution a problematic one. For starters, resolution does not occur with the secondary material in the coda but with material that more closely resembles the primary theme. Thus the tonal reconciliation of the secondary theme with the primary theme has not, theoretically, been achieved and the second theme is

254

259

262

Example 2.25: Arrival of structural dominant, *Harold*, movement I, 'Harold aux montagnes', bars 254-64.

Example 2.26: Reduction of secondary theme, recapitulation, *Harold*, movement I, 'Harold aux montagnes'.

exposed as inadequate.⁸¹ Secondly, by contrast with the weight of the opening, the coda is dashed off in short order, as if only to fulfil the rhetorical demand to close with a perfect cadence and not, therefore, satisfying a structural demand. Most importantly, however, since we have not truly encountered a dominant of equal structural weight to the tonic this tonal resolution cannot be deemed as a sufficient articulation of a single tonality. The absence of a PAC in the dominant means that the tonality and form-defining interruption at $\hat{2}$ has not sufficiently inscribed itself on the movement. The tonic is thus, in an important sense, 'hollow' or 'incomplete' and the contrapuntal tension of the open interval between I and $\hat{3}$ lingers on. In many ways, then, the structural failure of the opening movement of *Harold* presages the ultimate 'defeat' of the symphony's famous conclusion.

VII. Hermeneutics

Having arrived at a secure understanding of the music's formal and tonal processes we are now in a position to speculate as to the work's possible wider significance. The results of the analysis demonstrate that Berlioz's first movement, at the level of form and of structure, can be heard to engage with and thereby subvert, the conventions of the Viennese Classical sonata form. Further, I have identified structural processes in Berlioz's music that can be understood as a response to the structural and formal innovations of Beethoven. If Berlioz's music can be understood as responding to the conventions of classical sonata forms, I argue, they therefore demand interpretation

⁸¹ Many of the issues surrounding different types of 'non-resolution' of sonata forms are discussed by Hepokoski and Darcy in Chapter 11 of their *Elements of Sonata Theory*. They insist that the absence of a PAC in S despite S appearing mainly in the tonic must still be considered a 'sonata failure'.

from the point of view of the aftermath of the socio-political, philosophical, and historical contexts of Viennese Classicism.

In a powerful sense the theoretical framework outlined by Hepokoski and Darcy already generates a hermeneutic reading along these lines, bearing out Burnham's suggestion that to analyse music is always already to invoke the ideals articulated in Beethoven's music. This is because, for them, 'It is in the nature of a sonata form to set up a quest narrative.'⁸² Indeed, they argue, 'since a central component of the sonata genre is its built-in teleological drive—pushing forward to accomplish a generically predetermined goal—the sonata invites an interpretation as a musically narrative genre.'⁸³ And while this narrative can be understood along purely musical lines, 'the music of the period was widely perceived as having a human basis, whether in the emotions, in the intellect, in other schemes of representation or implication, or in various combinations of these.'⁸⁴ In other words, the sonata form invites interpretation as a mimesis of human experience. But more than this, they insist, the sonata is a representation of a 'perfect human action'. As they explain,

It is a narrative "action" because it drives through a vectored sequence of energized events toward a determined, graspable goal, the ESC. It is 'perfect' because (unless artificially blocked from achieving the goal) it typically accomplishes the task elegantly, proportionally, and completely. It is 'human' primarily within eighteenth-century European conceptions of humanness.⁸⁵

If the sonata is dramatic, however, this is not due to any concrete representative quality, but, is rather, 'inlaid (as part of the sonata "game") into their chains of dramatic, linear modules, into their calculated impression of pulling insistently for attention at our sleeves, as if at some deeper level each of them must somehow also be "about" processes that are fundamental to Western European experience'.⁸⁶ This more abstract narrative can then be attached to any number of metaphors for human experience though a composer might seek to specify 'conceptual implications [that] would be appropriate to map onto the music' through his/her use of topics or of programmes or programmatic titles that link it to other texts.⁸⁷ That Berlioz conceived of a sonata in similar terms is, perhaps, attested to by the fact that he attached a programme to it.

⁸² Hepokoski and Darcy, *Elements of Sonata Theory*, 251-2.

⁸³ *ibid.*, 251.

⁸⁴ *ibid.*, 252.

⁸⁵ *ibid.*, 252.

⁸⁶ *ibid.*

⁸⁷ *ibid.*, 253.

Mediating between the broader context of post-Enlightenment thought and the problems confronting the human subject in the nineteenth century can provide a productive way of thinking about the socio-political content of Berlioz's symphony as a work located at a specific historical moment as well as one that engages with a 'purely' music-historical tradition of the post-Beethovenian symphony. Here, history and aesthetics can truly be seen as expressing parallel concerns. In many ways, for example, the political history of nineteenth-century France, the various regimes that emerged in the aftermath of the Revolution, were concerned with resolving the problems thrown up by the the rationalistic thought of the Enlightenment and by the political instability ushered in by the French Revolution. Tombs describes the entire post-revolutionary period, for example, in the following quite instructive words, aligning art and world history in the same statement. 'The great problem facing successive generations was how to end the Revolution. And in a revolution, as in a novel, the end is the most difficult part to invent'.⁸⁸ Bringing this broad context of the work into contact with the analyses offered above is the task of this section. I suggest that the work exemplifies a new historical consciousness through its preoccupation with a sentimental archaism which expresses a yearning after modes of life now seen as lost. This is most clearly articulated through the work's topical content and dramatised through the breakdown of the formal and tonal conventions of a sonata form which fails to reconcile old with new.

A number of Adorno's categories, for example, can be brought to bear on the first movement of *Harold*. The dialectic of tradition and innovation can be seen in the work's engagement with and departure from a number of important formal and structural conventions of sonata form. This insight provides a corrective to Adorno's own quite crude view of Berlioz's position in the history of music as a composer within whose music 'the achievements of Viennese Classicism are forgotten'.⁸⁹ Adorno sees Berlioz's music as manifesting an intrusion of the social into the otherwise logical working-out of compositional problems in the development of musical material, in the realm of autonomous music, that is more characteristic of the Austro-German masters—Brahms, Wagner, and Schoenberg, for example. Berlioz's music, for Adorno, represents instead a 'crisis in musical logic' whereby the developments of a previous generation are not absorbed and worked upon but, rather, the music gains its coherence from its absorption of aspects of its immediate social circumstances. The position of Berlioz in music history, then, for Adorno, echoes the position of the galant composers who 'forgot' the achievements of Bach but whose own achievements were then synthesised, with those of Bach, in the music of Mozart, Haydn and Beethoven. The crisis in musical logic, as it pertains to Berlioz, then, has its counterpart in the increasing rationalisation

⁸⁸ Robert Tombs, *France 1814-1914* (London and New York: Longman, 1996), 4.

⁸⁹ Paddison, *Adorno's Aesthetics of Music*, 241.

and control of the orchestrational aspects in Berlioz's music—a development that was then absorbed into the historical dialectic of musical material and passed on to subsequent generations, and which has its roots, for Adorno, in the progressive rationalisation of nineteenth-century society. Composers such as Wagner and Mahler synthesized the achievements of Beethoven with Berlioz's achievements in orchestration.

My analysis shows, *pace* Adorno, that the achievements of Viennese Classicism have not, in the last analysis, been completely 'forgotten' in Berlioz's music. The application of sonata deformation theory to Berlioz's movement has proven a productive way of engaging with the work's form. Likewise the identification of a governing *Ursatz* places Berlioz's work squarely in the tradition of Beethovenian heroism. Thus Adorno's understanding of the position of Berlioz in music history, and the social content of his music, needs revising. There is a kernel of truth in Adorno's suggestion that Berlioz's music bears out a crisis in compositional logic, however, if musical logic is taken to mean adherence to an all-embracing sense of line. We can see this breakdown in 'logic', for instance, in the frequent ruptures on the musical surface and in the abrupt changes between sections, such as in the transition (or absence thereof) between the fugal introduction and the major-mode *idée fixe*; or in the abrupt juxtaposition of the primary and secondary themes; in the unexpected shift towards the tonic at the close of the first repeat of the second subject; and the anti-climactic shift to the supertonic in the second repeat. Nowhere is the sense of disintegration more prominent, however, than in the frequent ruptures in the progress of the recapitulation and particularly with regard to the primary theme. These ruptures, for example, contribute in a strong way to the sense of the work's non-resolution. But Berlioz's music achieves its effects in deliberate opposition to Classical 'logic' not because such logic has been forgotten, but, rather, because it is no longer a viable form of expression.

The work's numerous deformations, then, as was noted above, serve to obscure, to an alarming degree, the articulation of a Viennese sonata form without abandoning it altogether. Our sense of Berlioz's deformations rely on expectations that are immanent to the work's form. This is seen most clearly in the progress of the work's secondary theme, which is tasked with articulating the work's most important structure-defining moments, and in the achievement of which it is shown to be inadequate. The resulting sonata failure and the unique form that results suggests an increasing heterogeneity of formal responses to compositional problems rather than a work's participation in a commonly agreed upon, limited set of conventional procedures. This takes on a social significance as the bourgeois aesthetic subject's inability to reconcile subjective expression to objective social conventions. The composer's expression oversteps the limits imposed upon it by the form with which it engages and as such sonata form is no

longer internalised, as it was in the music of Beethoven, as an authentic means for self-expression. That is to say, Berlioz no longer recognises himself in the articulation of a Viennese sonata form.

This refusal on the part of the work to recognise self-expression in a circular relationship with objective convention extends to the work's tonal strategy. My analysis shows, once again, how Berlioz's music demonstrates an engagement with the harmonic-contrapuntal conventions of sonata form at a deep background level. The obscuring of the governing *Ursatz* on the surface of the music, however, weakens the sense of the work as composing out a single tonality. By weakening the tension-generating function of the dominant, Berlioz disrupts the dialectical relationship that is central to tonality. By analogy with Hegel's Lord and Bondsman dialectic, for example, the tonic-as-Lord dominates the dominant-as-Bondsman and the result is to the detriment of both parties. The tonic Lord is not able to realise its own strength by overcoming the threat to itself posed by an equal. Likewise the dominant is prevented from realising its own strength since it is encircled by the oppressiveness of the tonic-as-Lord. The disruption of the governance of the *Ursatz* on the surface of the music carries a social significance as evidence of an inability to quilt the constituent parts of an individual work under an all-embracing concept, pointing to another aspect of the musical work's (in both the particular and universal sense) disintegration. And this means that recognising Berlioz's work as an exemplar of a music-historical period in which works are governed by tonality is more difficult, though not impossible.

A dialectic of 'being' and 'becoming' resulting from the interweaving of paratactic and hypotactic strategies is also an important concern throughout the work. Janet Schmalfeldt has explored the concept of 'becoming' in relation to the nineteenth-century music of Beethoven, Mendelssohn, Chopin, Schubert, and Robert and Clara Schumann.⁹⁰ In Schmalfeldt's usage musical 'becoming' denotes a process whereby a passage of music initially gives the appearance of performing a particular formal function (say that of an introductory module) only then to be revealed as something else (a transition, say). The *locus classicus* for this sort of process is the first movement of Beethoven's *Tempest* Sonata, which is the starting point for Schmalfeldt's study. Here, for instance, the rolling sixth chord that opens the first movement initiates a passage with the character of an introduction, giving way to the main theme in bar 20. When the initially strident main theme takes on a transitional character, however, we are forced to

⁹⁰ See Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (Oxford & NY: Oxford University Press, 2011). Steven Vande Moortele has also discussed the notion in his article 'In Search of Romantic Form'. *Music Analysis* 32, no. 3, (2013), 404-431; and Vande Moortele and Nathan John Martin deploy the concept in their article 'Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet', *Music Analysis*, 33, no. 2, (2014), 130-155.

reinterpret the opening as the main theme proper and the main theme itself as a transition. To capture the transitory nature of such passages, Schmalfeldt employs a single-headed double-lined arrow symbol (\Rightarrow) indicating the progression of one function into another, e.g. MT \Rightarrow TR for Main Theme ‘becomes’ Transition.

I do not employ the term ‘becoming’ in the strict sense that Schmalfeldt does in her study. As Schmalfeldt herself recognises, the term derives from the German Idealist philosophical tradition. Her own use of it with reference to this particular musical repertoire connects her to a long tradition within which Beethoven’s formal processes are seen as to some extent analogous with Hegel’s dialectical method. Schmalfeldt’s use is therefore not the only one to which the term can be put. I accept Schmalfeldt’s argument that musical form experienced a revolution at this time of a magnitude similar to that of Hegel’s in philosophy but there are many ways in which the idea of ‘becoming’ might manifest itself in a musical work coeval with this revolution in thought.⁹¹ Stephen Rodgers, for example, has explored the idea of thematic becoming, without reference to Schmalfeldt, in Berlioz’s ‘Scène d’Amour’. He suggests that the entire form of this large instrumental number is geared towards the gradual revelation (becoming) of Roméo and Juliette’s love theme, snippets of which we hear in the preceding music but never fully formed and never in the ‘correct key’.⁹² A similar process of thematic ‘becoming’ is arguably deployed in the first movement of *Harold*.

This thematic ‘becoming’ is most evident, for example, in the progress of the second theme, whereby in each successive iteration the theme ‘becomes’ more and more stable. In its first appearance, for example, it has no real claim to being labelled thematic. It is only through the progress of the work that it achieves a form that resembles what we usually think of as thematic. By contrast the primary theme seems to move in the opposite direction, progressing from a relatively stable form in the exposition to a theme that appears less stable, less self-contained the more often we hear it throughout the work. In later appearances, for example, it is frequently heard in sequence, at others it is unable to produce a tonic cadence. In a word, the primary and secondary themes seem to relativize one another as a result of the working out of the work’s formal process. While the secondary theme is caught up in a formal ‘process’ and therefore manifests a strong relationship between form and content, an aspect of its construction that aligns it more strongly with a Beethovenian heroic subject, the primary

⁹¹ One could argue that I should therefore steer clear of the term employed by Schmalfeldt but it is precisely the German Idealist connotations of this term that I seek to tap into. Moreover, the term is used in less formalised ways by both Dahlhaus and Adorno. Schmalfeldt does not have a monopoly on analytical discussions of ‘becoming’.

⁹² Rodgers, ‘Love’s emergence and fulfillment: the *Scène d’amour* from *Roméo et Juliette*’, in *From, Program, and Metaphor in the Music of Berlioz* (Cambridge: Cambridge University Press, 2009), chapter 6.

theme seems to initiate development, to encourage elaboration and repetition and is therefore not as easily heard as partaking in the whole. The ultimate lack of reconciliation between these two themes, in the absence of a tonic cadence in the second subject in the recapitulation, is more suggestive of a negative dialectical approach to musical form.

The conflict between the forces of negation and a tendency towards overcoming also plays itself out in a dialectic of darker and brighter sides of the tonic, a dialectic which is given expression variously in a conflict between the flat and sharp sides of the tonic in the circle of fifths, with G at the centre, and in a conflict between major and minor throughout the work. The striking juxtaposition between major and minor in the transition between the fugal introduction and the first major-mode appearance of the *idée fixe* sets the stage but the major/minor conflict extends, also, to the conflict between the primary and secondary materials. The nested interruption structure of the primary theme, for instance, demonstrates some capacity to move forwards whereas the secondary theme is structured around more static neighbouring motions. This opposition can be demonstrated in their harmonic structure, too. The primary theme regularly moves to and resolves its dominant. By contrast, the secondary theme is pre-occupied with the 'flatter' D minor variant of the dominant. Moreover D minor is frequently approached by its own subdominant minor. The preoccupation with the darker side of the circle of fifths might go some way to explaining the secondary theme's incapacity in generating a PAC in the dominant. Compared to the 'brightness' of the expected dominant, for example, we are given the dominant's own subdominant (the tonic major). Herein lies some ambiguity, however, since the unexpected shift to the tonic major is also suggestive of an overcoming of the minor mode. As the secondary theme progresses, it slowly rids itself of the forces of negation. Nevertheless, its resolution is not total or absolute as the problematic E \flat disrupts its final cadence and pushes resolution beyond the form.

Sentimental archaism, or a conflict between antiquity and modernity, is also an important concern in the work's long introduction. I noted above the self-consciously historical nature of much of the material of the introduction. The fugue of the opening, for example, suggests the 'learned style' but the model here is surely not Bach. Keith Chapin has suggested that the fundamental cultural value of counterpoint or the learned style or styles is 'a sign of order and tradition' and 'religion, professionalization, and political order'.⁹³ Related values include, 'God, cosmology, nature, number, law, history, communal collectivity, uncanny alterity, seriousness of purpose, routine and pedantry,

⁹³ Keith Chapin, 'Learned Style and Learned Styles', in Danuta Mirka ed., *The Oxford Handbook of Topic Theory* (New York: Oxford University Press, 2014), 323.

the mechanical, and masculinity, among others'.⁹⁴ By contrast, the first major-mode appearance of the *idée fixe* (bars 36-67) is redolent of what Dahlhaus has called "second" diatonicism, in the sense that Hegel spoke of a "second" nature or "second" immediacy'.⁹⁵ The theme is characterized by a 'naive simplicity' as manifested in its diatonicism, its square form and triadic melodic contour. It is, moreover, largely self-contained, as the composer himself notes, almost totally shunning development. Indeed Bonds finds this theme to be the perfect bearer of Harold's character and a striking contrast to Beethovenian practice. In his words, 'the "Harold" theme is a more or less self-contained unity, as if to symbolize the isolated, self-contained character it represents'.⁹⁶ He continues, 'The idea of presenting an opening theme impervious to motivic manipulation is diametrically opposed to the Beethovenian concept of symphonic form, especially as manifested in the Fifth and Ninth Symphonies'.⁹⁷

This is true, so far as it goes, but I would argue it needs to be emphasised that the self-contained character of this theme is experienced indirectly. It is, in other words, a 'sentimentalization' of the naive mode, not the naive mode experienced directly or unmediated. Despite their differences, then, the fugal introduction and the *idée fixe* are strongly suggestive of an interest in sentimental archaism. As Dahlhaus has it, 'Archaizing music is "sentimental" in Schiller's sense of the word: not instinctive but the product of reflection. No matter what stylistic disguise it assumes, it cannot escape the age on which it turns its back; restored, the language of the past becomes dialect, tingeing the language of the present'.⁹⁸

That the fugue and the *idée fixe* constitute a pair, in this regard, is perhaps indicated by the fact that the first time we hear the *idée fixe* it is in the minor mode and is framed by the fugal exposition. The minor mode provides the greatest sense, here, of a sentimental disposition, of a pre-occupation with this music as lost or as a product of a different time. The exposition of both of these themes in the minor mode, however, gives rise to the possibility, through a *per aspera ad astra* trajectory, at the level of the single movement, or at the multi-movement level, of an overcoming, in a major mode conclusion. An aspect of this overcoming can be heard in the glorification of the *idée fixe* within the introduction, but antimonies persist unresolved between the *idée fixe* and fugue and between the introduction and sonata that do not get resolved until the

⁹⁴ *ibid.*, 323-4.

⁹⁵ Dahlhaus, *Richard Wagner's Music Dramas*, trans. Mary Whittall (Cambridge: Cambridge University Press, 1979), 75.

⁹⁶ Bonds, *After Beethoven*, 66.

⁹⁷ *ibid.*, 67.

⁹⁸ Dahlhaus, *Wagner's Music Dramas*, 74.

recapitulation. The reprise of the *idée fixe* in a fugal texture, in the major mode, in the recapitulation represents a resolution of sorts. This moment also provides a sense of reconciliation between antiquity and modernity in that the *idée fixe* is brought into the sonata form proper and reconciled with both the primary theme and the 'heroic' second subject. In a strong sense, as Bonds points out, the *idée fixe* is presented as the theme most likely to overcome the forces of negation. Its return in the recapitulation appears to 'enable' the subsequent resolution of the secondary subject. The difficulty, however, is that it takes an intrusion of something strictly outside of the form to enable this resolution and therefore resolution is achieved only at the level of the individual work: the strategy cannot be universalised as an aspect of a common discourse. In an approximate sense, then, the intrusion of the fugal *idée fixe* adumbrates what Adorno would later describe, with reference to Mahler, as 'breakthrough' (*Durchbruch*). Michael Spitzer defines this as 'a breakthrough, or eruption, of the repressed, which can be subjectivity, nature, particularity, or the historically archaic, (Baroque parataxis, Classical articulation, heroic rhetoric)'.⁹⁹ This moment, for example, adumbrates the course of the work in that it sets up the *idée fixe* as the theme of transcendence and it clarifies the 'problem' of the work as trying to reconcile the old with the new—a key concern for the German Idealists and a manifestation of a new historical consciousness.

The heroic paradigm encoded in Beethovenian symphonies, as Horton has noted, operates on a number of different levels. From the Fifth Symphony onwards, at least, it can be heard to occur both at the level of the single movement, in the unfolding of the *Ursatz*, and at the level of the work as a whole, in the *per aspera ad astra* teleology.¹⁰⁰ Berlioz, indeed, seems to have taken up Beethoven's concern with such all-embracing structures in his *Harold* symphony as well as in his first and third symphonies. It is fair to say that Bonds's analysis engages, for the most part, with the latter of these structural levels. His conclusion that Berlioz's symphony, in its trajectory from Harold's initial isolation, to a limited degree of contact with others, and his fleeing from the brigands' orgy, represents a 'realist' antidote to the 'idealism' of Beethoven's Ninth seems on the mark. It is clear for instance that despite the work's major-mode ending, the victory does not belong to Harold. Moreover, the final cadence in the coda is strongly coloured by the darker tones of the plagal side of the circle of fifths and the E♭-D motif maintains a strong presence throughout (see from bar 518 of the finale).

At the higher level of structure, one of the major pre-occupations of the work seems to be precisely the sort of yearning for a lost Golden Age that characterised the Romantic reaction to the rationalising tendencies of the Enlightenment. We know from Berlioz's

⁹⁹ Michael Spitzer, *Music as Philosophy: Adorno and Beethoven's Late Style* (Bloomington, IN.: Indiana University Press, 2006), 69.

¹⁰⁰ Horton, 'Dialectics and musical analysis', 127.

memoirs that the symphony was inspired in part by the composer's wanderings in the Abruzzi Mountains and that it recounts a number of events that he witnessed there while seeking refuge from the Academy of Arts in Rome where he was staying as a condition of his having won the coveted Prix de Rome. There is thus an implicit opposition, in the work, between town and country, or civilisation and nature. And this translates, I argue, in to a conflict between a view of the world as inherently meaningful and a more 'rationalistic' or 'mechanical' conception of the world in which this meaning has been lost. Many of the topical associations of the work make this clear. The work is awash with Pastoralism in many different guises, from the Ossianic allusions of the *idée fixe* theme, to the 'Scottish piping' of the first movement's second subject, to the rustic simplicity of the middle movements, and the unruly rabbles of the final movement.

The events that Berlioz reproduces in his symphony point to older ways of life that seem to express community in contrast to the alienation of the main protagonist. It was common in artistic conceptions in which an implicit opposition between town and country is present for country life to be associated with an idyllic past. Both the march and the serenade, for example, even the finale, represent social rituals in which music plays an important part - a mode of existence in which the concept of 'autonomous' music, and by extension, an autonomous subject, would be alien. The unconventional structure of the Pilgrims' March, for example, is a perfect expression of a primitive religiosity uncorrupted by modern forms of (religious) organisation. It is unrefined, perhaps, but operates according to a 'logic' entirely of its own, as Rodger's analysis of the movement, cited above (page 39, n.9) attests.¹⁰¹ It is therefore meaningful that, as Bonds's analysis shows, the melancholy dreamer, Harold, demonstrates a limited degree of desire for integration with these characters. What is perhaps more interesting is that these past modes of life in which music and social ritual acted as a unity have been brought into the most modern musical form of which Berlioz was aware - the symphony - and which, after the example of Beethoven, projects a teleological drive towards reconciliation in its *per aspera ad astra* narrative. Thus Berlioz's symphony does not project a regressive tendency towards older forms of musical expression, since these older forms are explicitly staged as lost. The point, rather, is to secure their reconstruction in a post-Enlightenment age, not to go back.

For there is little doubt that Harold is a 'sentimental' artist, in the Schillerian sense of that word, and that the old forms of life that he yearns for represent the 'naive' other to that famous dualism. And seen in this way the macro-structure of *Harold* takes on the form of a narrative in which the attempt to reconcile 'natural' modes of expression of the naive with modern forms of expression that are the product of the splitting up of this

¹⁰¹ Rodgers highlights, for example, the linear structure of the work as 'un-Schenkerian' but nevertheless logical. See *Form, Programme, and Metaphor*, 32-8.

expressive unity in man is staged as a failure. The musical persona of *Harold*, in this sense, might be considered a particularly bourgeois character. Berlioz as aesthetic subject, as the controlling presence of all the disparate forces of the work, is the one seen to be attempting to bring about a reconciliation of modern man and old forms of life. It is a mistake, therefore, to identify Berlioz, or the aesthetic subject, too strongly with the character Harold, as those inclined to biographical readings tend to do, even if Berlioz might have identified more strongly with Harold than any other character. Rather Berlioz, as the originator of all the music in the work, is a vessel through which these social antimonies find expression, and his working out of the symphonic argument demonstrates the impossibility of reconciling these antimonies with recourse to bourgeois liberal solutions in the articulation of a classical Viennese symphonic form.

Berlioz, then, does not present a solution to the work's social antimonies in some sort of reassertion of the verities of the primitive religiosity of the second movement or the romantic love of the third movement. The recollection and rejection of the work's themes at the beginning of the finale makes this clear. If Berlioz were to present us with some sort of 'solution', we should expect any one of the work's previous themes to arise as a candidate to carry the work to its conclusion. In the event, however, it is the music of conflict, as Bonds points out, that appears to win the day. The *idée fixe*, and the religious music of the Pilgrims' March returns once again towards the end of the final movement in a last ditch attempt at generating a positive conclusion, but it is the brigands who ultimately triumph.

So what exactly does the brigands' music represent and why is it such a threat to reconciliation? Berlioz's 'programme' for the final movement of his symphony paints a picture of an anarchic collective or an unruly group of social outcasts who drink, make music, and commit acts of violence. There is something of the Dionysian character about the group and in many ways they anticipate the pandemonium of *La Damnation de Faust* and the 'intoxicated mobs' who bring the horse into Troy in *Les Troyens*. The phrase Berlioz employs to describe them—drunken intoxication (in French, '*ivresse du vin*'), for example—would seem to point explicitly to Dionysus or Bacchus.

Berlioz appeared to harbour a qualified fascination with respect to the brigands, as he delighted in hearing tales of their misdeeds from fellow travellers. And indeed, as much as the word *ivresse* or intoxication seems to evoke ideas of unruliness or of ignorant masses it is also used to represent, in the 'Nuit d'ivresse' of *Les Troyens* a sense of an almost drunken unity of self and Other of the sort that characterised, for Berlioz, the highest form of romantic love. Nevertheless, if the brigands seem to evoke the sort of dissolution of independence and autonomy in their 'mutual intoxication', and thereby warrant comparison with the intoxication experienced in hearing the Ninth Symphony, or

in romantic union, then the absence of an Apollonian counterpart prevents this Dionysian orgy from becoming socially productive or achieving a dialectical synthesis. In this sense, perhaps, while we might sense some desire on Berlioz's part to share in the experience of de-individuation that this intoxicated mob seems to evoke, unless this de-individuation is tempered by the rationalising actions of an autonomous subject, represented by Harold, then it will amount to nothing, or worse, it will end in disaster. The finale of *Harold* presents us with a situation in which the irrational forces overcome the tempering ability of the 'rational subject'. The aims of a liberal intelligentsia cannot ultimately be united with the aims of an unruly uneducated mass. In some ways, then, Berlioz's symphony could be seen as revealing a latent social unrest that would prove too difficult for the July Monarchy to overcome and would lead eventually to the popular uprising of the 1848 revolutions. But I prefer to see the work as embedded in a broader post-Enlightenment context. And in this sense Berlioz's music can be seen positively, from the perspective of an Adornian aesthetics of music, as demonstrating the 'truth of the subject's alienation' rather than the 'lie of totality'.

VIII. Conclusion

This chapter has attempted to synthesise a number of related concerns around Berlioz's second symphony, *Harold en Italie*. It attempts to demonstrate that a number of the 'problems' surrounding scholarship of Berlioz's work beget one another. In effect, Berlioz's ambiguous place with regard to the Austro-German canon precipitates difficulties in dealing with his music from the perspective of an analytical discourse that grew out of an almost exclusive concern with these canonic works. This, in turn, seems to place Berlioz's work outside of the purview of a hermeneutic framework that sees musical works as so many attempts to confront the philosophical concerns of a post-Enlightenment world. The implications of this circular relationship are interesting. If Berlioz's work did not necessarily absorb or embrace the conventions of the Viennese masters then, for all the differences of French and German history in the nineteenth century, it would be implausible to suggest that Berlioz was immune to a *Zeitgeist* which manifested itself in a new historical consciousness. In which case we can suggest that Berlioz's music absorbed something of its social circumstances. Paradoxically, however, this is precisely what would reconnect it to the tradition in relation to which it is often seen as 'other'.

This chapter has therefore drawn inspiration from Bonds's suggestion that Berlioz's symphony deserves consideration as bearing an intertextual relationship with Beethoven's heroic work and has sought to push this intertextual relationship to its limit by investigating the implications of this argument for reading 'meaning' into the work. I have attempted to resolve the apparent problem caused by Fanning's suggestion that

negative virtues cannot stand in for musical coherence with recourse to an Adornian dialectic of coherence and incoherence—the idea, that is, that, to paraphrase Adorno, analysis after Beethoven needs to proceed in two directions: from the whole to the particular and from the particular to the whole, to take account of the work’s tendency towards both integration and disintegration of musical material.¹⁰² I hope to have shown that Berlioz’s work repays this sort of contextualisation within a post-Enlightenment framework, that Berlioz’s work, far from being simply a product of a fantastical imagination, is in fact engaged in a musical discussion of some of the most profound questions confronting thinkers of the eighteenth and nineteenth centuries. In the next chapter I turn to a different intertext (or paratext)—that of Goethe’s *Faust*—in order to discuss further Berlioz’s relationship to idealist philosophy. In the process we make a move from the ‘autonomous’ world of the symphony to the quasi-operatic world of Berlioz’s *légende dramatique*, *La Damnation de Faust*.

¹⁰² Adorno, ‘On the Problem of Musical Analysis’, 182-4.

Chapter 3. *La Damnation de Faust*, or Berlioz's 'drama of the human species'

I. Introduction - the importance of closure

Example 3.1 is a reproduction, in short score, of the concluding passage of 'Air de Faust' from Berlioz's *La Damnation de Faust*. It shows the song's emotional climax, at bar 53, followed by a second climax, in bar 60, and a descent towards the song's final cadence in the tonic, F major, in bar 66. I have singled this cadence out, in particular, because it is the first truly conclusive cadence in the work that is sung by Faust alone. In the preceding number he joined a chorus of soldiers and students in bringing their raucous Part II finale to a close but until that point he had relied on other groups, whether instrumental or vocal, to provide ultimate closure. And earlier than that, he achieved a greater sense of closure in response to hearing the Evening Hymn, in F major, in his recitative that preceded Scene V. There however, the cadence was immediately overridden by the entrance of Méphistophélès in the tritone-related B major. Here, however, we get for the first time a real sense of Faust achieving a closure apparently all of his own making—though as ever Méphisto lurks in the shadows. What really gives this particular cadence its strength, aside from its being the first that truly belongs solely to the work's hero, however, is that it is a perfect authentic cadence. That is to say, it resolves a $\hat{2}/V$ harmonic-contrapuntal formation—a root position dominant chord, supporting scale degree $\hat{2}$ —onto a $\hat{1}/I$ harmonic-contrapuntal formation—a root position tonic chord supporting the tonic scale degree. Perfect authentic cadences such as this one, with its stepwise melodic descent and leap of a fifth/fourth in the bass, provide a maximum sense of tonal resolution. Should the vocal part close onto another scale degree, such as $\hat{3}$ or $\hat{5}$, over tonic harmony then the cadence will tend to feel open and unresolved even if the bass is on a root position tonic chord. Likewise, if the bass does not fall by a fifth or rise by a fourth onto the root of the tonic then the cadence will be robbed of its ability to effect a convincing closure. Considered in isolation, then, the cadence at the end of 'Air de Faust' suggests a significant turning point in *La Damnation*'s musico-dramatic narrative: a rare moment of subject-object conjunction.

The importance of strong cadences in classical musical syntax for articulating tonal structure is hard to over-estimate.¹ The relative infrequency, by contrast, of clearly articulated cadences in some Romantic music has also been widely noted. Indeed, a history of tonal music could be written from the perspective of the emergence of the

¹ Consider, for instance, the most important markers of form in Hepokoski and Darcy's sonata theory: the MC, the EEC, and the ESC.

42 *sotto voce*
 Quel sentiment j'é - prou - ve en ce moment fa - tal! Que j'aime a con - tem - pler ton che

47 *ppp* *a tempo I*
 vet vir - gi - nal! Quel air pur je res - pi - re! Sei gneur! Seigneur!

54 *animando* *poco f*
 A - près ce long mar - ty - re, Que de bon - heur! Sei gneur! Seigneur! A - près ce long mar

63 *molto rit.* *a tempo I*
 ty - re, Que de bon - heur!

Example 3.1: Concluding passage, *La Damnation de Faust*, Scene IX, 'Air de Faust', bars 42-71.

tonal cadence as an important structuring device in Baroque and Classical music and the increasing tendency of Romantic and Modernist composers to undermine or avoid cadences and to thereby erode the internal boundaries of musical form and, consequently, undermine the articulation of a single tonality. The cadence is the foundation upon which, arguably, the entirety of Schenker's analytical approach to tonal music rests, for example. A perfect authentic cadence provides the logic behind Schenker's *Ursatz*, the tonal structure that, the theorist claimed, lies deep beneath the surface of every piece of tonal music. Whereas cadences tend to be rather local phenomena, Schenker's *Ursatz*, by contrast, can stretch over an entire piece of music,

even—if Harper-Scott is to be believed—an entire opera.² It provides the regulatory background from which the notes on the surface derive and from which they obtain their meaning in relation to one another. Seen in this way the cadence can be understood as a microcosm of larger tonal articulation. Or, rather, tonality can be seen to have emerged from a massive expansion of the cadence. Indeed, it is this reciprocal relationship that gives a piece's final cadence, like the one discussed above, its greater significance above other cadences in the work, since it is precisely this cadence, for Schenker, which serves to close a piece's *Ursatz* and thereby to resolve, in theory, all of a work's previous tensions. The weight of resolution falls heavily on this cadence, then.

We saw in the last chapter how Schenker's *Ursatz*, and its derivation from the music of Beethoven, can be understood as a musical analogue for the Hegelian notion of the subject's becoming. Simply put, the first strand of the *Ursatz*, $\hat{3}/I$, is a relatively stable configuration and as such can be heard to represent something partially formed but tending towards fulfilment in a more stable harmonic contrapuntal figuration. Before it can achieve fulfilment in a unity, however, it must first pass through and resolve a dissonance, $\hat{2}/V$ —the second strand. Finally, in the third strand, the music's return to tonic harmony, supporting scale degree $\hat{1}$, represents a fulfilment of the unity highlighted as a potential in the first strand. The unfolding of the *Ursatz* in a musical composition thereby mimics the structure of Hegel's dialectic whereby the subject goes out into the world, is confronted by another object, which it initially takes to be a threat to its own integrity, but eventually overcomes this threat in the realisation that the object is, in fact, another subject, and is integral to its understanding of itself. As Harper-Scott puts it with regard to sonata form, and discussing Elgar, for instance, 'the two tonic areas of the traditional sonata require each other if they are to have any identity, just as in Hegelian philosophy every self-consciousness requires the recognition of an external object.'³

That the 'maximally resolved' perfect authentic cadence, in 'Air de Faust' falls under a declaration of happiness from the work's hero—'Que de bonheur!' (What happiness!)—is surely no coincidence, then. With it Berlioz appears to be forging an explicit link between the sense of fulfilment provided by tonal closure and the fulfilment felt by his

² See, for instance, Harper-Scott, 'Berlioz, Love, and *Béatrice et Bénédict*, in *19th-Century Music*, 39, no. 1, 3-34, where Harper-Scott posits an *Ursatz* for the entire opera as he also does, for an entire symphony, in *Edward Elgar, Modernist* (Cambridge: Cambridge University Press, 2006), 106. See also, 'Elgar's Deconstruction of the Belle époque: Interlace Structures and the Second Symphony' in Harper-Scott and Rushton eds., *Elgar Studies* (Cambridge: Cambridge University Press, 2007) wherein an *Ursatz* is proposed for the entire four-movement symphony, see page 212. It has not been possible to do a similar thing for *La Damnation de Faust*, which does not exhibit the tonal unity that, say, *Béatrice*, *Roméo et Juliette*, or, even *Benvenuto Cellini*, might plausibly be seen as exhibiting. My approach, rather, will be based on analysis of individual numbers.

³ Harper-Scott, *Edward Elgar, Modernist*, 223.

character, Faust, who, at this moment in the work, has just encountered, through the indirect medium of her room, another subject, Marguerite. Of course a single cadence, taken in isolation, is not in itself enough to suggest the kind of philosophical implications I have explored just now. Cadences such as this feature in music as widely separated in intention as ‘Three Blind Mice’ and Beethoven’s Fifth Symphony—though this apparent ‘universality’ is, of course, part of what gives the cadence its ability to provide such a familiar feeling of fulfilment. Most listeners would require additional evidence before speculating about music’s meaning. One must therefore consider the wider context.

In this chapter, this context is provided by Georg Lukács’s assertion, to be explored later, that Goethe’s *Faust* is a literary analogue of Hegel’s *Phenomenology of Spirit*. It is this context, I argue, that enables us to read Berlioz’s work as an exploration of nineteenth-century subjectivity. In the subsequent parts of this chapter, then, I will provide an analysis of Berlioz/Gandonnière’s libretto, followed by a series of analyses of various of the work’s arias. Before, that, however, I will discuss some existing literature on the work in order to tease out a productive ambiguity operating between Berlioz’s adaptation and Goethe’s original. A summary of Lukács’s argument will follow before, finally, some comments on the work’s genesis lead us into an analysis of the plot, followed by discussion of the music.

II. Some thoughts on existing scholarship on Berlioz’s *La Damnation*

Berlioz scholars have typically been far less willing than, say, scholars of Wagner’s work to explore the connections between Berlioz’s music and nineteenth-century thought, often preferring, instead, to explore the composer’s work as a representation of the composer’s life-story. Jeffrey Langford, for instance, considers *La Damnation* to be an exploration of the idea of a ‘fictional self as a poetic alter-ego (i.e., a self apart from himself) which could serve to relieve feelings of guilt surrounding specific actions or events in his life’.⁴ For Langford, then, Berlioz used the Faust myth to ‘unburden his soul by dealing with his real-world problems in some form of autobiographical art’ drawing a ‘parallel between Faust’s abandonment of Marguerite and Berlioz’s abandonment of Harriet’.⁵ Berlioz’s damnation of the work’s hero, then, allowed the composer to absolve himself from his guilt so that he could ‘move on with his life and work’.⁶ More recently, Geoffrey J. A. Jubault has written a doctoral thesis on *La Damnation* as a species of musical-autobiography. He goes so far as to suggest that certain characters of the

⁴ Jeffrey Langford, ‘The Byronic Berlioz: *Harold en Italie* and Beyond’, 211-2.

⁵ Langford, ‘The Byronic Berlioz’, 216.

⁶ *ibid.*, 217.

opera are based on characters in Berlioz's own life. Thus in an early chapter Faust is examined for his similarity to Berlioz's father—both were doctors, for example.⁷

Likewise, David Cairns suggests that Berlioz turned to the Faust myth because it resonated strongly with his own life:

The sufferings of the central character echoed his own. He had been there, he knew it all: the disillusioned idealism, the attachment to an idea of love that never found fulfilment, the wanderings, the thirst, like Byron's, for sensation, the pantheistic worship of nature, the longing to be united with all existence, the terrible sense of alienation, the self-questioning that turned beauty to ashes, the black depressions which precipitated from the depths of the psyche the demon of eternal denial.⁸

As Harper-Scott has pointed out, however, Cairns's 'exaggerated autobiographical reading' can be inverted. There is no reason we should privilege this immediate context of the work over other more broad, and potentially much richer, contexts. Pointing to the connection between Goethe's *Faust* and Hegel's *Phenomenology*, then, Harper-Scott suggests, that, 'rather than providing yet another *particular* tale of love, Goethe's play presents material for Berlioz to reflect further on the *universal* interconnectedness of ideology, freedom, and the longing for fulfilment in the other.'⁹ Harper-Scott's comments, then, point to a desire to buck the trend of the autobiographical bent of much Berlioz scholarship and to open up the work to wider perspectives, re-orienting discussion around the philosophical implications of Goethe's work. The relationship between Berlioz's work and Goethe's, however, has been a subject of some contention.

Hermann Hofer seems to have been the first, in recent times, to suggest that Berlioz's hero was but a pale imitation of Goethe's, by arguing that the composer's ambivalent reaction to the revolutionary politics of his century led him to emasculate Goethe's Faust, to create a hero, in other words, who shies away from military action, is incapable of seducing Marguerite, is devoid of any deep intellect, and is therefore doomed from the start.¹⁰ Likewise Daniel Albright sees in the Berlioz work a 'shrunk image of Faust', a 'tentative, desultory, fretful thing, peculiarly unresponsive to the world he beholds—..., a kind of zero man' who makes explicit the 'bizarre nonentity of all

⁷ See Geoffrey J. A. Jubault, 'Les Eléments autobiographiques dans *La Damnation de Faust* d'Hector Berlioz' (unpublished doctoral thesis: Université Nancy 2, 2011). The similarity between Faust and Berlioz's father is explored on pages 47-51.

⁸ David Cairns, *Servitude and Greatness*, 356.

⁹ Harper-Scott, 'Berlioz's Idea of Love', later published in a substantially reduced form as 'Berlioz, Love, and *Béatrice et Bénédict*', 7. My thanks to Harper-Scott for sharing this material with me.

¹⁰ Hermann Hofer, 'Faust einmal ganz anders: "La Damnation de Faust" von Hector Berlioz neu gelesen', in *Lendemains* 31-2 (1983), 30-42.

Fausts'.¹¹ But he differs from Hofer in seeing this not as a result of political ambivalence on Berlioz's part, but, rather, from an interest in 'a well-defined genus of hero, a genus derived from Byron'.¹² Albright also suggests, and he has the benefit of the composer's support in this matter, that there are many Fausts apart from Goethe's and that Berlioz's work may therefore be participating in a long tradition of Faust adaptations. Berlioz's long-time admiration for Goethe's work, however, leaves little doubt that when Berlioz thought of Faust it was to Goethe's that his mind went. Nevertheless, Rushton, similarly, distances Berlioz's conception from Goethe's, at least with respect to its hero, when he says that while 'Berlioz's Marguerite is Gretchen, and his Méphistophélès, like Goethe's, is a subtle and ironic demon...Berlioz's Faust is French, a conception more primitive in character, yet more modern in his Romantic ennui'.¹³ He attributes the shift in tone from Goethe's work to Berlioz's to 'cultural differences' between France and Germany, the upshot of which is that Berlioz's work becomes a

theatrical concentration on forms of beauty, human and scenic, and extending to the grotesque as well as the enchanting—all at the expense of philosophy. Faust becomes an observer of life, rather than a man of intellect or action, afflicted by ennui, and too readily swept off balance by Méphistophélès.¹⁴

And in this respect Berlioz's Faust, says Rushton, echoing Albright, is 'like the more authentically Byronic hero in Berlioz's symphony *Harold en Italie*'.¹⁵

The view that Berlioz's Faust derives, to some extent, from the Romantic (anti-)hero finds another subscriber in the work of Katherine Reeve. Where she differs from those authors listed above, however, is that she does not consider this to be as far a remove from Goethe as they imply. Finding 'more kinship than contradiction in Berlioz's version of Goethe' she suggests that the heroic characteristics of Goethe's Faust, especially in the first part, tend to have been overstated.¹⁶ 'By taking Faust to a harrowing conclusion', she argues, 'Berlioz follows the darker implications of Goethe's Part I, where the hero is a long way from salvation and believes himself inexorably headed for

¹¹ Daniel Albright, *Berlioz's Semi-Operas* (Rochester, NY: University of Rochester Press, 2001), 111.

¹² Albright, *Berlioz's Semi-Operas*, 113.

¹³ Rushton, 'Berlioz, *Faust*, and the Gothick', in Lorna Fitzsimmons and Charles McKnight eds., *The Oxford Handbook of Faust in Music* (Oxford: Oxford University Press, forthcoming), 130. My thanks to Rushton for sharing his copy of this forthcoming material with me.

¹⁴ *ibid.*, 122.

¹⁵ *ibid.*, 132-3.

¹⁶ Katherine Reeve, 'The Damnation of Faust, or the perils of heroism in music', in Peter Bloom ed., *Berlioz Studies* (Cambridge: Cambridge University Press, 1992), 153.

destruction.’¹⁷ Michael Beddow, a scholar of *Faust*, would seem to agree with this reading of the original. For him, for example, ‘Goethe’s Faust, though a representative figure, is not an exemplary one: in an important sense, he is an evil-doer.’ Even though he is eventually redeemed, from a cosmic perspective, by his continuous striving, Beddow notes, this ‘is not the only [perspective] from which the drama comes into focus. There is also an earthbound viewpoint, from which the pursuit of self-realisation acquires a sinister aspect, and it is from this viewpoint that Faust’s treatment of Gretchen is portrayed’.¹⁸ By reducing the role of Faust in the work’s action and expanding the role of Mephistopheles, it could be argued, Berlioz is simply intensifying the conflict at the heart of Goethe’s *Faust*. Admitting of the differences, again, between the work of the two artists, for example, Holoman also holds, contrary to much recent opinion, that ‘no other musical *Faust* so successfully captures Goethe’s spirit’ while Hugh Macdonald suggests that, at times, ‘Berlioz’s Faust approaches closer to Goethe’s fathomless embodiment of human aspiration than any other Faust work, even against such distinguished competition as Liszt and Busoni. Spohr, Wagner, Schumann, Gounod and Boito, in their various Faust works all fall short of Berlioz’s profoundly characterized blend of poetry and drama, vitality and reflection.’¹⁹

III. Lukács’s *Faust*

The connection Lukács posits between Goethe’s *Faust* and Hegel’s *Phenomenology* is complex and multi-faceted. It stems, essentially, from their shared world-views, which they worked out in relative independence from one another, and which manifest themselves in different ways in the different mediums in which they worked: literature and philosophy. Lukács’s reading of Goethe’s *Faust*, then, in which he works out this connection, is an extensive, and explicitly Marxist, close reading of the entire poem, Parts I and II. It cannot be summarised in full, here. Nevertheless, important features of the argument and specifically those which pertain to an understanding of Berlioz’s *La Damnation* will be addressed.

Perhaps the most important aspect of the shared view of these two great thinkers of German Idealism, was their unshakeable faith, as sons of the Enlightenment, in the perfectibility of humanity once it had freed itself from the fetters of myth and superstition. Both were convinced, for instance, that human history was on an upward trajectory towards a state of universal freedom in the world. Related to this belief was the idea that this precise historical process was expressed, in an abbreviated form, in

¹⁷ *ibid.*, 153-4.

¹⁸ Michael Beddow, *Goethe: Faust I* (London: Grant & Cutler Ltd, 1986), 21-2.

¹⁹ See Holoman, *Berlioz*, 375; Hugh Macdonald, *Berlioz* (London: Dent, 1991 [1982]), 137.

the development of the individual consciousness towards a perfect self-understanding. Crucially, also, this relationship between the individual life and the historical process was conceived, in the works of both thinkers, as a dialectical one. History uses a human's passions and drives—whether they stem from virtuous motives or not—to advance its project of universal freedom in the world. On the other hand, humans are revealed to be agents of an historical process which nevertheless transcends their individual concerns. Here, we come to another important belief of both Hegel and Goethe: the idea that, in Lukács's words, 'the evolution of the species is non-tragic, [i.e. will lead to humanity's salvation] but it unfolds itself through countless objectively necessary individual tragedies.'²⁰ Herein lies the importance of the concept of 'negation', for Hegel, in the unfolding of human history. For both thinkers, for example, history's forward march towards freedom is beset by constant reversals and tragedies. In the Hegelian-Goethean worldview, however, these reversals form part of another dialectic. It is only by overcoming tragedy, for instance, that any advance in history's trajectory towards freedom can be made. And this dialectic has another individual manifestation, according to Lukács, in the struggle within humans between the good and evil aspects of their nature. But just as this dialectic can result, in the trajectory of human history, in the expression of freedom in the world, so too can the evil aspects of human nature be put to good use if sublimated into socially useful goals. Thus Hegel and Goethe both seek a harmonious unity in the human subject of these two sides of its nature. This is in strict opposition to the thought of their immediate predecessors, Kant in particular, who advocated repression of the 'evil' side of men's nature. For Hegel and Goethe this represented an inhuman solution. The point was to show how humans could be true to their own nature and continue to do good in the world. Hegel's *Phenomenology* and Goethe's *Faust* are both concerned to reveal this logic at work in world history. At the same time, however, they are keen to reveal the process by which humans—and themselves in particular—have come to this understanding of the world.

Turning to *Faust* in closer detail, then, we can see how Goethe's understanding of the world, through these dialectical formations, manifests itself. First, the dialectic of individual and humanity finds expression in the person of Faust 'whose experiences, destiny, and development are supposed to represent at the same time the progress and destiny of the whole species'.²¹ Thus Faust is a philosopher whose quest is properly understood as an urge towards self-perfection through the achievement of 'absolute knowledge', i.e., 'a philosophy which transcends the solely contemplative, dead objectivity, and the disunity between knowledge of nature and human activity'.²² Faust

²⁰ Georg Lukács, *Goethe and His Age*, trans. Robert Anchor (London: Merlin Press Ltd, 1968) 180.

²¹ Lukács, *Goethe and His Age*, 175.

²² *ibid.*, 168.

is, then, analogous to Hegel's 'individual consciousness' whose passions are used by history to advance its own project. The dual nature of Faust's character—individual and universal—is captured in the poem by what Lukács describes as a 'subjective-objective' time sequence of a 'little world' and a 'great world'. That is to say, the immediate context of the poem is, as it was in the legend, Renaissance Germany—itself not an incidental point as Goethe saw this period as the true forerunner to the Enlightenment.²³ Integrated into Faust's life-story in this little world, however, are different epochs of human history. Thus the story of Faust is at once a story of his own self-development *and* the progress of history towards freedom. As he moves through these two worlds, he experiences a series of setbacks (or 'tragedies') in his pursuit of absolute knowledge. These are the moments of Hegelian negation. Mephistopheles, Faust's diabolical companion, is the main agent behind these 'tragedies'. Indeed, he describes himself, at one point, as the 'spirit of negation'. But he is no mere embodiment of evil. He is, rather, a facet of human nature. Given that both Goethe and Hegel considered that evil in humans has a part to play in the forward-march of history, Mephistopheles can only influence Faust provided that he can 'elevate the diabolical principles to a sufficiently high level of spirituality, sublimate them in order to arrive at a common field of action with Faust'.²⁴ Thus every action taken by Faust is balanced on a 'razor's edge' between the good and evil in human nature and it is this tension that provides for the movement in the work just as in tonal music the tension between tonic and dominant unfolds the structure. Each advance in the 'great world' is accompanied by tragedy, for somebody, in the 'little world'. Faust's struggle with Mephistopheles takes on the character of a struggle within man to master (not repress) these two sides of his nature. The story is driven by Faust's gradual—tragic—realisation of the indispensability of Mephistopheles in the achievement of his goals—just as Hegel's *Phenomenology* reveals the indispensability of the concept of negation in the progress of human history. And it is here that the salvation of humanity, if not of Faust himself, lies. As long as humanity engages in this struggle and strives for self-perfection, it will be redeemed. In Lukács's explicitly leftist reading, neither Hegel nor Goethe could offer an image of a 'real-world' solution to the contradictions of the socio-political order in which they lived. All they could do, indeed, was to reveal the logic by which these contradictions would eventually lead to freedom. Both the *Phenomenology* and *Faust* are to be understood as summaries of the process by which we have arrived at this socio-political situation and how, eventually, we will overcome it. Goethe expressed in literature, in other words, precisely what Hegel is thought to have achieved in philosophy. This, then, is the intellectual backdrop of Berlioz's engagement with the Faust myth. We have already seen hints of how such an idea might be translated into music. The task of the next few

²³ *ibid.*, 165.

²⁴ *ibid.*, 196.

sections of this chapter, then, will be to add more detail to the sketch provided in the introduction by addressing *La Damnation* as a musico-dramatic whole.

IV. Genesis and reception

Berlioz first mentions having read Goethe's *Faust* in a letter to his close friend, Humbert Ferrand, on 16 September 1828.²⁵ He tells Ferrand that he had been reading both *Hamlet* and *Faust* and he exclaims, 'Shakespeare and Goethe! Mute confidants of my torments, explainers of my life.' Begging Ferrand to join him at La Côte-St-André (his family home) he complains, 'no-one understands this raging genius. The sun blinds them. One can only find it odd.'²⁶ Immediately after reading *Faust* he was inspired to compose a song on the poem the King in Thule. This ballad would go on to make up, with seven other movements, all with lyrics provided by Nerval's translation, part of his first extended essay on the *Faust* myth, *Huit Scènes de Faust*, and would even survive the expansion of that work into *La Damnation* when he revisited the story years later. In this, his first opus, Berlioz provided no part for the main character of Goethe's play, preferring to set, instead, those parts of Goethe's *Faust* that Nerval had retained in verse in his translation. Berlioz published his *Huit Scènes de Faust* at his own expense, in 1829, and sent two copies to Goethe, who passed them on to Carl Zelter, one of Mendelssohn's teachers. Zelter's counsel—he described the work as 'an excrescence, the aborted offspring of a hideous incest'—no doubt dissuaded Goethe, much to the French composer's disappointment, from ever responding to Berlioz's letter.²⁷ Another reader—none other than the Berlin theorist A. B. Marx—responded more favourably, however. Nevertheless, shortly after its publication Berlioz heard the work for the first time and decided that it was 'crude and badly written' and so determined to destroy all of the copies he could lay his hands on.²⁸

Zelter's and the composer's own criticisms notwithstanding, Berlioz clearly thought there was much that was valuable in his first opus since the *Huit Scènes* provided a solid foundation upon which the composer would build his later work. Many *Fausts* were imagined. So drawn to the *Faust* myth was Berlioz, for instance, that he

²⁵ This would have been in translation, of course, since Berlioz had little to no German. It is highly likely that the translation he read was Gérard de Nerval's 1827 work.

²⁶ Berlioz, *Correspondance Générale d'Hector Berlioz, 1803-1832*, Vol. I, ed. Pierre Citron (Paris: Flammarion, 1972) 208. My translation. It's interesting that Berlioz mentions Hamlet, here, a proto-typical romantic hero, in conjunction with Faust. It would seem to suggest that the two characters were associated, in Berlioz's mind, from the very beginning. Could Hamlet, then, rather than Byron's Harold have provided Berlioz with his model?

²⁷ Cairns, 'Goethe', in Berlioz, *Memoirs*, 678.

²⁸ Berlioz, *Memoirs*, 147.

considered, at one time, writing a *Faust* ballet, which came to nothing, and at another, a descriptive symphony, which appears to have been absorbed into his plan for *Symphonie fantastique*.²⁹ When he finally came round to revisiting the idea, in the mid 1840s, he composed the bulk of *La Damnation* during his travels with the finishing touches added when he had returned to Paris. 'I wrote it when and where I could: in coaches, in trains, on steamboats, even in the towns that I visited (this despite all the various responsibilities that my concerts entailed).'³⁰ In addition to his *Huit Scènes*, the composer had an incomplete draft of a libretto by a writer called Almire Gandonnière, but decided, for the first time in his career, no doubt as a result of necessity, to complete the rest of the libretto himself, beginning with the text for the remarkable aria, 'Invocation à la nature', as he 'bowled along in [his] old German post-chaise'.³¹ He wrote the work's introduction 'in an inn at Passau on the Bavarian frontier' while the scene on the banks of the Elbe, Méphistophélès's aria, and the 'Ballet de sylphes' were all written in Vienna.³² The music came to him at great speed and often provided the impetus for the words. The sketches reveal the speed and fluency of the compositional process. As Cairns notes, at times the composer worked straight 'onto full score, subsequently inking over and filling out the pencilled notation'.³³

Comparison of the *Huit Scènes* and *La Damnation* reveals the latter work to be a vast expansion of the former such that the latter can now be considered to form a loose narrative as opposed to existing as a mere selection of scenes. Its generic designation is somewhat difficult to determine. Berlioz referred to it as an 'opéra de concert' but later settled on the unprecedented, and rather ambiguous, '*légende dramatique*'. Rushton has written on the work's genesis in great detail and has outlined the means by which Berlioz expanded the earlier work. In summary, to a work of 'five solos and four choruses' was added, two arias for Faust, and one for Mephistopheles, five choruses, three instrumental movements, an operatic finale (the trio) for the end of Part III, four 'mainly instrumental pieces with vocal *arioso*', connectives such as recitatives and transitional material, and the superimposition of a part for Faust onto two of the earlier scenes. There was also a fair bit of recomposition. But it is remarkable to note how much of the earlier work is still retained in the latter, indicating, perhaps, how accomplished a composer Berlioz already was by the time he penned his first opus.

²⁹ He makes reference to the *Faust* ballet in a letter to Vicomte Sosthène de La Rochefoucauld of 12th November 1828, and to a descriptive symphony in a letter to Ferrand, 2nd February, 1829, see Berlioz, *Correspondance Générale*, Vol. I, 217 and 232.

³⁰ *Memoirs*, 511.

³¹ *ibid.*, 510.

³² *ibid.*, 511.

³³ Cairns, *Servitude and Greatness*, 354.

Famously, Berlioz also integrated the *Rákoczy March* that had won him much acclaim when it was performed in Pesth, into the work. Repurposed for *La Damnation*, the 'Hungarian March' would now serve as the finale to Part I and would result in a three-part work being enlarged into four parts.³⁴ The full work was completed on 19th October 1846, but not published until 1854, and concerts of the work were given on 6th December and 20th December 1846 at the Opéra Comique.³⁵

Immediate public reception of *La Damnation* was far from pleasing.³⁶ As Cairns explains, 'When Berlioz stepped on to the rostrum at the Opéra-Comique on Sunday afternoon, 6 December, he confronted a half-empty theatre. Despite further energetic publicity in the interim, it was worse still at the second performance a fortnight later. The public, musical and otherwise, was not interested.'³⁷ The indifference of the public cost him dearly and he ended up with large debts without hope of repayment. Worse still was the damage done to his self-esteem. It was a hard lesson but an important one. 'Nothing in my career as an artist wounded me more deeply than this unexpected indifference. The disillusionment was cruel but it was useful. I learnt my lesson, and since then have not staked twenty francs on the popularity of my music with the Parisian public. I hope I never will, if I live to be a hundred.'³⁸ If the French appeared indifferent, the Germans, on the other hand, accused him of having 'mutilated a monument'. Berlioz's inclusion of the *Rákoczy March* meant having to open with Faust in Hungary, providing the first stick with which German critics would beat him. As Berlioz notes in his *Memoirs*, 'I took the liberty of locating my hero in Hungary when the action begins, and of making him witness the passage of the Hungarian army across the plain where he wanders, wrapped in his thoughts. A German critic professed to find it most irregular that I should have done so.'³⁹ This gave Berlioz cause to defend himself in a preface to his score, a move he later regretted. The main lines of his defence are that it is impracticable to set any literary work of length to music without considerable alterations being made to the text. In addition, he suggests, the reasons for having the work open in Hungary, were purely musical: 'he [Berlioz] would have sent [Faust]

³⁴ This is a stripped-down summary of the research carried out by Rushton in, 'The Genesis of Berlioz's "La Damnation de Faust"', *Music and Letters*, 56, no.2 (1975), 129-130. Kent W. Werth has also written on the genesis of 'Invocation à la nature'. See, Kent W. Werth, "'Invocation à la nature," a Sketch from Berlioz's *La Damnation de Faust*: A New View of the Composer at Work', *The Musical Quarterly*, 74, no.1 (1990), 57-82.

³⁵ Cairns, *Servitude and Greatness*, 362.

³⁶ As Cairns shows, critical reception was much better. *ibid.*, 363.

³⁷ *ibid.*, 362.

³⁸ Berlioz, *Memoirs*, 513.

³⁹ Berlioz, *Memoirs*, 511.

anywhere else, had any other musical motive induced him to do so'.⁴⁰ What is more, he suggests, 'The story of Doctor Faust may be treated in ever so many ways: it is public property, and was dramatised long before Goethe's time; it had assumed most various forms in the literature of northern Europe ere Goethe chose it for the subject of his drama.'⁴¹ He mentions Marlowe's *Faust* as a precedent and elsewhere he demonstrates awareness of Spohr's work on the *Faust* theme. Trying to distance himself, perhaps, from association with Goethe's drama, and the inevitable backlash attending to that connection, he points out, 'The title alone of this work shows that it is not based on the main idea of Goethe's *Faust*, since in the celebrated poem, Faust is saved.'⁴²

V. *La Damnation*'s plot

That the composer himself seems to distance his work from Goethe's original might seem to render futile this chapter's attempts to explore the relationship between the two works. As this brief summary of the work's genesis shows, however, the Faust myth was associated, in Berlioz's mind, with Goethe's work from the outset. Reading Goethe, like listening to Beethoven or watching Shakespeare, was another revelation in Berlioz's artistic career and it stayed with him his entire life. When he tries to distance himself from Goethe in the preface to the work, then, he is clearly on the defensive. Nevertheless, the first thing to note about Berlioz's adaptation of Goethe's (Nerval's) *Faust* Part I is that it amounts to a drastic reduction of its source text. Berlioz and Gandonnière have stripped down Goethe's plot to its bare essentials, have rewritten some parts, and have removed most of the inessential characters, and some other more crucial side characters. There is no Valentin, for example, no Wagner, and no Marthe. There's no 'Walpurgis Night' and no prison scene. Berlioz has simplified the pact between Mephistopheles and Faust and removed altogether the pact between Mephistopheles and the Lord, depriving the work of what gives it, in Goethe's *Faust*, its most obvious allusion to a cosmic context. Though, as we shall see, music is more than capable of providing such a context.

The most significant change Berlioz makes to the plot, as the composer himself notes, is his damnation of its hero, Faust. In so doing, he supposedly overturns the salvation of Faust in Goethe's Part II, of which he was certainly aware, and he confirms what is only hinted at by Goethe—that Faust is headed for destruction—in Part I. Berlioz was not alone, however, in interpreting Mephistopheles's 'come with me' at the end of Part I as

⁴⁰ Berlioz, *La Damnation de Faust*, translator not named (New York, London: Ernst Eulenburg Ltd), see preface, vii.

⁴¹ *ibid.*, vii-viii.

⁴² *ibid.*, vi.

suggesting Faust's damnation. And in a certain sense, even in Goethe's Part II, Faust resigns himself to collaboration with the devil in his pursuit of developing the productive forces of society. He engages in massive public infrastructure projects, relying on Mephistopheles to remove any obstacles—including human ones—that get in his way. True, Berlioz's Faust does not demonstrate the sort of patience and future-oriented thinking that Goethe's does: at the moment he finds out about Marguerite's imprisonment, for instance, he seeks instant relief of his suffering and relinquishes 'tomorrow' in favour of this relief 'today'. But even Goethe's Faust is only really redeemed as a matter of faith. It is therefore entirely reasonable to entertain the possibility of Faust's salvation in Berlioz's work.

There are grounds to consider the ending of Berlioz's *La Damnation* in much more ambiguous terms than would first appear. Rushton has argued, for instance, that Berlioz initially intended to save Faust and asserts that his damnation was a later revision of this initial intention.⁴³ This latter revision—Faust's damnation—however, provides an interesting parallel to Bonds's insistence that the departure of the hero at the end of *Harold* constitutes a deliberate 'misreading' of Beethovenian heroism. Indeed, a number of scholars have described *La Damnation*, in similar terms, as a deliberate 'misreading' of the Goethean original.⁴⁴ Reeve has suggested that Faust *deserved* to be saved, pointing to his 'newfound humanity': his concern for the women and children during the 'Ride to the Abyss', and his self-sacrifice in order to save Marguerite, as a justification for his redemption.⁴⁵ By contrast, Albright sees Faust's damnation as consistent with the character's 'dismemberment' and his tendency to 'nonentity'.⁴⁶ Rushton's reading, wedded to the complexities of other competing readings, then, allows us to get closer to the Goethean notion of the 'incorruptible nucleus' in man and the concomitant belief that tragedy exists only for the individual and not for humanity as a whole by allowing us to recognise both Faust's potential redemption and his actual damnation. In the 'Epilogue in Heaven', for instance, Rushton notes that the angels bid Marguerite to 'Conserve l'espérance' (keep hope). And for what, asks Rushton, could Marguerite be told to keep hope for, other than Faust's future salvation? The scene in heaven, therefore, could be interpreted as pointing to a different 'tomorrow' than the one to which Faust resigns himself.⁴⁷ The struggle between good and evil over man's soul, for

⁴³ Rushton, 'Le salut de Faust' in C. Wasselin and P. Serna eds., *Hector Berlioz* (Paris: Editions de l'Herne, 2003), 176-86.

⁴⁴ See Albright, *Berlioz's Semi-Operas*, 112-3; Reeve, 'The Damnation of Faust', 154; Rushton, 'Berlioz, Faust, and the Gothick', 144.

⁴⁵ Reeve, 'The Damnation of Faust', 186.

⁴⁶ Albright, *Berlioz's Semi-Operas*, 112.

⁴⁷ Rushton, 'Berlioz, Faust, and the Gothick', 133.

example, is presented in striking opposition at the end of the work in the separation of Marguerite and Faust in Heaven and Hell respectively. Their disjunction, and the glimmer of hope offered by the angels, opens up the possibility of their subsequent re-unification in a distant future. And although Rushton suggests that this ending is probably just a remnant of the earlier version that had Faust saved, it can and should be taken much more seriously.

Berlioz's simplification of Goethe's plot to its bare essentials makes it highly responsive to narratological analysis. And this in turn allows us to understand immediately the connections between Berlioz's work and Hegel's philosophical system because both narratological analysis and Hegelian phenomenology are concerned with the conjunction and disjunction of subjects and objects. The structure of the work, at the deep background level, moves from subject-object disjunction, at the beginning, to conjunction, in the consummation of Faust and Marguerite's love, to disjunction once more, the separation of Faust and Marguerite in hell and heaven, respectively. This background structure is, however, fleshed out on the surface by a number of more localised goals and moments of subject-object conjunction and disjunction.

To say this is to identify Faust as the hero of the work. Faust is the subject who, at the early stages of the work, experiences an as yet unspecified lack at the centre of his subjectivity. Formally speaking, each 'subject' in Berlioz's drama can be seen to be pursuing an 'object'. Thus while Faust, as the hero of the work, is the main subject with whom we are concerned, we can also view the work from the perspective of Méphisto as subject, with Faust as object, and Marguerite as subject, with Faust, again as her object. Indeed, it is precisely this that allows us to discern how tragedy is an inevitability in the subject's ruthless pursuit of an object. Should any of these subjects obtain their object, for example, it would result in tragedy for one of the other subjects of the work who would be lacking their object. It is hard to imagine a conclusion, for instance, that would have all these actors satisfied. Once Méphisto (as emblem for modernity) has entered into the mix between these stand-ins for Adam and Eve he cannot be removed. Much can be learned from this switching of perspectives but I nevertheless reject the notion that, as Reeve suggests, the opera is in any real sense 'about' Méphisto.⁴⁸ Berlioz's plans for a Méphisto opera notwithstanding, this work is clearly concerned, first and foremost, with the fate of its title character, Faust. More than any other character in the work we are given insights into Faust's feelings, his character, and his

⁴⁸ Reeve's admittedly highly nuanced view is that 'a structuralist view of the plot would see Mephisto as primary and Marguerite as a mere pawn in his pursuit of Faust's soul' but she goes on to suggest that 'structure is not everything' and that, in the musical domain, Marguerite challenges Mephisto for the title of the work's hero. Nevertheless, her approach is largely geared towards seeing the work from Mephisto's perspective. She begins her analysis, for example, with the devil and not, as one might expect, with Faust. See, '*The Damnation of Faust*', 158-9 for this quotation.

Andante placido

Faust

Loin *poco f* de la lutte hu - mai - ne et

F

loin *pp* des mul - ti - tu - des! *p*

Bb: V⁷ I

Example 3.2 (a): *La Damnation*, Scene I, 'Le vieil hiver', 5⁶-13.

Allegro

Faust

Qui doit il-lu-mi-ner ou tu - er ma rai-son!

C: V I

Example 3.2 (b): *La Damnation*, Scene IV, 'Sans regrets', 26³-0.

desires, and we come to see the world that Berlioz creates more through his eyes than through Méphisto's, or even Marguerite's, though it is true that we come to sympathise with her position.

Faust is the 'lacking' subject of the work, then. To a certain extent, indeed, *Faust* and *La Damnation* are adventure stories after the fashion of a Walter Scott novel. They deal with a restless individual keen to break out of the confines of his narrow existence. In *La Damnation* this vague desire for worldly experience crystallises at different times around a number of objects, the most powerful of which is the idea of romantic union with Marguerite, but which also includes, as the first part of the work suggests, communion

Religioso moderato assai

Faust

ments, Et chassais tout dé - sir, tout dé - sir fu -

rit. .

rit. .

F: V

A tempo

F

nes - - - - - tel...

V I

Example 3.2 (c): *La Damnation*, Scene IV, 'Chant de la fête de Pâques', 31²⁻⁵.

Allegro moderato

Faust

Le ciel m'a re - con - quis. MÉPHISTOPHÉLÉS
(apparaissant brusquement)

p **pp**

F: V₄⁶ V₃⁵ I B: I₆

Example 3.2 (d): *La Damnation*, Scenes IV-V, 'Chant de la fête de Pâques', 32²⁻⁴.

with other men and with nature. The real 'goal' of the plot, however, as Méphisto will make clear, is the living of life itself. The end is thus bound up, in an important sense, with the means, just as it is in Hegel and Goethe. An important aspect of the tragedy of the plot is that all other objects, most notably Marguerite, are swept up and subordinated to this greater aim. The psychological aspect of *La Damnation*, for those so inclined, lies precisely in the way that Faust is unable to extinguish an unquenchable

desire—in other words the *objet a*. A number of scholars, most notably the Slovenian philosopher and cultural critic, Slavoj Žižek, have suggested that this situation, of an unquenchable desire that seeks fulfilment in countless new objects, is an experience unique to human subjects under capitalism.⁴⁹ Méphisto's role is to exploit this lack experienced by Faust to goad him on to ever new experiences. How then is Faust's 'lack' characterised musically?

The primary musical means by which Berlioz suggests Faust's lack is through the evasion of cadences and the simple means of not providing the character, for some time, with a self-contained number (see example 3.2). In the first number, for instance, he exits the work with a cadence in B♭ major having entered in F# minor. The global key of this movement being D major, however, means that Faust's part is unresolved. More than that, it is not even unified on its own terms. The next number which belongs to Faust alone, the scene in the study at the beginning of part II, similarly denies the philosopher a final cadence. Here he begins once again in F# minor but the number is not self-contained. By the end of this arioso, for instance, Faust has modulated to C major, where he does, admittedly, achieve a cadence—and a perfect authentic one at that. The next number, however, reveals this cadence to be a half cadence: a dominant preparation for the subsequent number, in F major. The only time that Faust does achieve a cadence, in the first part of the work, then, is as a result of the satisfaction that he feels upon hearing the Easter Hymn. But this satisfaction, and the F major cadence that comes with it, lasts for but a single quaver. Méphisto comes crashing in on the next beat and his tritone-related B major causes a rupture in the tonal fabric between these two movements. Thus we understand immediately, through the music alone, what will be Méphisto's role in the drama. There is throughout, then, an explicit link between Faust's sense of satisfaction and the satisfaction provided by the cadence. It is significant, for instance, that the strongest cadence, before the one at the end of 'Air de Faust', is heard at the end of the Easter Hymn, at the point at which Faust expresses his greatest sense of satisfaction so far.

Méphisto represents, in narratological terms, an 'obstacle' to Faust's satisfaction. But he is also, in an important sense, a 'helper'. As an obstacle he appears to thwart Faust at every turn. He first interrupts Faust at the moment in which the philosopher seems to have found some consolation in religion and, despite promising him happiness, he takes him to Auerbach's cellar, which is full of intoxicated bores, and which only seems to increase Faust's frustration. Most importantly, at the point at which Faust is convinced

⁴⁹ See, for instance, Žižek, 'Coke as *objet petit a*', in *The Fragile Absolute* (New York and London: Verso, 2000), 21-39. Méphisto, in Berlioz's drama embodies the function of 'Coke as *objet petit a*' in capitalist society. He claims to be able to give Faust happiness but all he actually does is increase Faust's desire: 'Coke has the paradoxical property that the more you drink the thirstier you get, the greater your need to drink more—with that strange, bittersweet taste, our thirst is never effectively quenched', 19.

he has found the fulfilment he so longs for in Marguerite, Méphisto makes so much noise with his serenade that he wakes up Marguerite's neighbours and he and Faust are forced to flee. In his serenade, too, Méphisto warns Marguerite with his moral song to 'little Louison' to resist Faust's advances unless he offer her a ring first ('Près du moment fatal fais grande résistance, s'il ne t'offre d'avance un anneau conjugal.') This, despite his having suggested to Faust, with the soldiers and students as his medium, that girls, like towns, are there for the taking, and that though they may put up some resistance, girls (and towns) all surrender eventually. ('Fillettes and villes, Font les difficiles; beintôt tout se rend'). We will discuss the more sinister aspects of the love relationship later, suffice it to say for now, however, that Méphisto exactly mirrors the structure of capitalist commodities in that he constantly promises an end to Faust's desire in ever new experiences but then conspires to rob Faust of the fulfilment that he promises.

Méphisto embodies a number of forces that are fundamental to the functioning of bourgeois society. This is also what allows Berlioz (and Gandonnière) to stage a critique of bourgeois society. In his capacity as the 'spirit of life' Méphisto acts as something like a 'Protestant ethic' in that he encourages Faust to act.⁵⁰ Not for nothing, perhaps, does the saying identify the devil as the one who 'makes work for idle hands'. So, crucially, Méphisto, and by analogy, society, is also a helper to Faust since the philosopher would not have 'left the rubbish of philosophy' ('Partons donc pour connaître la vie. Et laisse la fatras de la philosophie', Méphisto says to Faust) to embark on the experience of life, had Méphisto never appeared. Faust would have continued to search, in vain, for more immediate cures to his malaise and would never have come close to self-actualisation in the realisation of his love for Marguerite. Berlioz's *La Damnation* shows us at once the positive potential in the utopian impulse that is inseparable from bourgeois society and the emergence of a split subject and at the same time the possibility of that impulse leading to self-destruction for man and for humanity. Méphisto is the obvious embodiment of this ambivalent understanding of nineteenth-century society in his joint role as helper and obstacle. The problem in *La Damnation*, as Berlioz construes it, then, is how to hold on to the greatest achievements of the liberal bourgeois revolution—the conception of free love, the remarkable capacity for the production of commodities—while exorcising oneself of the diabolical elements that accompany it (such as capitalist exploitation, alienation, and the loss of individual integrity).

This dual aspect of the work—the struggle to put evil to the service of good—is evident throughout. Indeed, it makes its mark on every aspect of the plot. It even extends, for

⁵⁰ The term comes from Max Weber's *The Protestant Ethic and the Spirit of Capitalism* (London: Routledge, 1992). Weber argues that the success of Capitalism to some extent derives from its compatibility with a new Protestant (Calvinist) ethic which suggests that constant productivity is evidence of having been blessed by God.

example, to the work's attitude towards love. Reeve has discussed the contrasting depictions of men and women in *La Damnation* as, respectively, virile and virginal. And she notes that the work to some extent subverts the stereotypes that attach to men and women.⁵¹ But she also suggests that the conclusion to the work represents a restoration of the social order—implicitly advocated by Berlioz, who 'like all dramatists...is in some manner implicated in the fate he assigns his characters'⁵²—when Marguerite ascends to a desexualised, ascetic heaven and Faust to a hellish boys' club. She argues, therefore, that Marguerite's salvation is dependent on her giving up what makes her human.⁵³ But therein she misses a crucial point. Berlioz is concerned throughout with both the spiritual aspect of love as well as its potentially more sinister physical side. The conclusion to the work suggests the possibility of the synthesis of these two notions of love. For Marguerite ends the work, equally, in lack of her object, Faust. A true resolution, then, would see Marguerite and Faust, the spiritual and physical, naive and sentimental, re-united once more. This is the goal towards which the work 'aspires' — a reconciliation that sees Marguerite and Faust embrace both the spiritual and the physical side of love.

Méphisto has an important role, here, as being implicated in the 'evil' and purely physical side of love. Indeed Faust is pulled in two directions—up towards Marguerite and the lofty ideals of the 'Eternal feminine' and down towards Méphisto. Certainly Méphisto has been associated with this aspect of love throughout the work and with sensualism more generally—cf. the scene in Auerbach's Cellar. His implication in the love relationship is made clear by the fact that he is the one to seduce Marguerite and by the fact that he plants the idea of her in Faust's mind in the first place. Moreover, his seizure of Faust parallels Faust's desire to 'seize' Marguerite. One of the overarching themes of *La Damnation*, then, is precisely this conflict between the physical—at times sinister—aspect of love and a more spiritual or lofty side to it.

The dual aspect of the work is prepared early on. In the second number, for instance, Faust encounters a group of peasants dancing. One of the men in this group touches one of the women without invitation and the woman responds angrily, 'Don't touch me like that' ('Ne me touchez donc pas ainsi!'). Nevertheless, the man protests that his wife is not around and that they must 'seize the moment'—words that resound throughout the whole work—then leads her away, presumably, to make love to her. Although, it should be noted, considering that we hear nothing of her after her initial protestation, the extent to which this is a product of mutual consent is left up in the air, to put it

⁵¹ 'the real difference between the sexes lies rather in the way each is conditioned to respond to this shared given [sexuality] of human nature.' See Reeve, '*The Damnation of Faust*', 183.

⁵² *ibid.*, 187.

⁵³ *ibid.*, 166.

mildly. This encounter has sinister and misogynistic connotations, then, in the physical harassment committed, the infidelity of the man to his wife, and the ambiguous nature of the consent surrounding the sexual encounter. Later on, when Faust has demanded that Mephistopheles take him to see Marguerite, they travel there concealed amidst a group of students and soldiers who are celebrating their own anticipated 'feast' of love-making. The word feast and the students' and soldiers' comparison of military conquest with the 'conquest' of women again provides for some disquiet. Worse still is their insistence that women—like cities—will yield with enough pressure. Faust will later echo their words in the love duet when he speaks of 'seizing' his happiness, by which he means Marguerite, and, again, when he speaks of a 'feast' of love. This then provides the context for the entire love story, which begins with Faust's aria. We spoke of 'Faust's Air' in the introduction to the chapter. There we noted that the aria provided the first cadence, in the entire work, up to this point, that Faust achieves by himself. The song thus provides an example of fulfilment, on the part of Faust, but, once again, there is a sense that this fulfilment will come at the expense of someone else.

In the immediate aftermath of this song Marguerite sings her famous ballad about the King in Thule. The song, not coincidentally, is about an everlasting love between a King and his deceased wife to whom he was faithful even after her death. Marguerite, here, becomes associated with this 'idealised' love in clear contrast to Faust's excitement at the prospect of a physical union and his having shared, so far, in the sensuous and devious idea of love. In the recitative which precedes Marguerite's song, for example, she describes herself as a child, marking herself out as naive, and she expresses some trepidation, as if she senses the presence of an unwelcome guest. The conflict between these two aspects of the love relationship acquires an explicitly social aspect in Mephistopheles's serenade, which comes after Marguerite's aria. Mephistopheles mounts his 'seduction', bizarrely, because surely not very seductive, with a 'moral song' (*Chanson morale*). He addresses a girl called 'Petite Louison' but it is clear that the real addressee is Marguerite. Here Méphisto's function as the one who upholds the symbolic order becomes especially clear, as does the social context within which the love conflict arises. This song, for instance, acts as a warning to Marguerite to 'strongly resist' Faust unless he offers her a 'wedding ring' first. Thus marriage becomes the socially sanctioned mediator between the sensuous and spiritual aspects of the love relationship. Marguerite cannot give herself to Faust unless he proposes marriage. Indeed it is Méphisto (as a representative of the symbolic order) who has manipulated the situation in which free love should flourish so that love's human, sensuous, side has the potential to turn violent. First he primes Faust to believe that women, like cities, will fall eventually and then he primes Marguerite to redouble her efforts of resistance. The more that Marguerite resists, therefore, the more it seems likely that Faust will press the issue. These social conventions act as a barrier to the proper spiritual and physical realisation of Faust and Marguerite's love. Seen in this light, *La Damnation* can be read,

just as much as Goethe's original, as a critique of nineteenth-century society's attitude towards love.

The opera explores a social environment in which love is, by definition, a violent act. The more that Marguerite resists Faust, the more pressure he is likely to exert. Reeve has highlighted that the language of the love duet continuously returns to the idea of possession. Take, for instance, Faust's declaration that 'Marguerite is mine' ('Marguerite est à moi'), which, as Reeve points out, he sings to the sound of a fanfare, thus forging a connection with the scholars and soldiers, and their less-than-noble pursuits, as well as their comparison of military conquest with the conquest of women.⁵⁴ Note also Faust's frequent references to 'seizure' ('Saisir') and his description of the duet as a 'feast of love' (*festin d'amour* [my italics]) echoing, again the sentiments of the students. Indeed the love duet frequently makes explicit the parallels between Méphisto's desire to possess Faust and Faust's desire to possess Marguerite. Méphisto makes this clear repeatedly by echoing Faust's words: 'The moment approaches when I will seize you' ('Le moment approche où je vais te saisir').

As well as having sinister connotations to do with sexual violence, the idea of possession or seizure plainly connects the idea of love in this social context with the institution of private property. Women are merely objects to be possessed and traded, in this world, not yet human beings with their own subjectivities. This is inimical to the idea of 'free love' that was championed in France by, among others, Charles Fourier, and in Germany by the Young Germans, in particular.⁵⁵ It is also indicative of a political environment in which social relations have become underwritten by economic concerns. And love finds its most effective policemen in the modern institution of the family. It is especially important, in this regard, that Marguerite's mother is the main barrier to the romantic union of Marguerite and Faust and that all Méphisto has to do to thwart the consummation of Faust's desire is to rouse her mother. On the other hand, Méphisto is also the symbolic 'Father' who preaches abstinence—with his 'Chanson morale' while encouraging male virility—by allowing the ideas of the students and soldiers to influence Faust. Moreover, as Faust is about to meet Marguerite for the first time, he bids Faust to 'profit from the moment' (*Profite des instants*) and then, immediately after, to 'control

⁵⁴ Reeve, 'The Damnation of Faust', 169.

⁵⁵ Berlioz had plenty of experience of the interference of society into romantic relationships. His relationship with Camille Moke, for example, was constantly haunted by the presence of Moke's mother, who was concerned that her daughter should marry someone respectable i.e. not a mere composer but the piano manufacturer, Pleyel. Berlioz's desire for a love free of social constraint is frequently borne out by his numerous obsessions with various women. He first fell in love, for example, with a girl named Estelle, when he was only twelve years old and she was six years his senior. His love for Harriet Smithson was a hard sell to his parents who, like many 'respectable' people at the time, considered acting akin to prostitution. Harper-Scott has analysed Berlioz's attitude towards love in the composer's last opera in his article 'Berlioz, Love, and *Béatrice et Bénédict*' discussed briefly in this thesis's introduction.

yourself' ('modère-toi). He thus fulfils Lacan's idea of the 'Law of Two Fathers' — the one who simultaneously upholds and subverts the law.⁵⁶ The incestuous aspect of Lacan's law is also present in the fact that, not only does he seduce Marguerite, but in the scene by the Elbe, arguably, he 'seduces' Faust with images of Faust's beloved.

The tragedy of the love story only really comes into focus when viewed in the wider context of the whole plot. We've seen how Berlioz provides, in the lead up to the love scene, a context which suggests a sensuous, at times violent, side to the love relationship. But there is another context for the love relationship, strands of which also run through the opening numbers. This is the more exalted of Faust's aims: the spiritual quest for unity. What makes 'Air de Faust' such a significant moment in the work, then, is that it represents something of a synthesis of these two strands. The aria is poised between Faust's desire for a physical conquest of Marguerite and a more 'spiritual' union of self and other. This is made clear, perhaps, in his call to heaven at the climactic moment of the work. Faust appears to raise his sensuous side of love to the same level of his spiritual quest. The effect of this romance on Faust's understanding of himself and the world is clearly discernible in his next aria, 'Invocation à la nature'. Before we turn to that song, however, it is necessary to place the love scene in its wider context starting with *La Damnation*'s opening number.

The main function of the introduction is to provide a cosmic background to the work and to introduce Faust as a sentimental character, in the Schillerian sense of the term, who finds the modern world a weary place. Though nature appears to have a healing power, at the end of the introduction the separation between man and nature is maintained and so Faust's *ennui* is not convincingly relieved. One of the things that Faust appears to desire, then, is a union with nature. The next few numbers continue to add to and elaborate on this desire. For instance, in the very next number, Faust witnesses a group of peasants dancing. We have already discussed the sinister connotations of this dance but there is also a more innocent strand, here. Faust is encountering a vibrant human world that seems to contrast with the weary world from which he escaped into nature. He expresses jealousy at the pleasures of the peasants. His jealousy suggests a desire for the sense of wholeness and belonging that rural community grants to the peasants. But Faust is clearly an outsider, here. The music suggests as much in that, while the peasants sing a simple, modal, strophic song, Faust does not attempt to integrate with them and to sing their music. Rather, he sticks to the same melody that he took up in the opening number, his minor mode contrasting with the major mode of the peasants. At one point, however, his music does seem to infect the music of the dancers as they turn away from their G major towards the darker hues of B minor. Nevertheless, the impression of a chasm between their perception of the

⁵⁶ This idea is explained in Sean Homer, *Jacques Lacan* (London: Routledge, 2005), 59-60.

world and Faust's is plain to see. Likewise with the Hungarian army, who, again, appear to cause some jealousy on the part of Faust who declares himself 'insensitive to their glory' ('insensible à la gloire').

Faust's inability to find anything to relinquish his *ennui* comes to a crisis point in the scene in the study where he contemplates suicide. This scene in many ways clarifies all that we have witnessed so far in the work. His retreat into nature, Faust explains, was accompanied by the same *ennui* that he experienced in the modern world. Thus solitude in nature is not in itself a sufficient means to overcome the separation of man and nature that followed the Fall. It seems apparent to Faust, then, that the only relief to his unquenchable desire is to end his life altogether. And here he makes explicit that 'reason' is to blame when he says 'Come, come, noble crystal, pour the poison that must illuminate or kill my reason' ('Viens, viens, noble cristal, vers le poison / Qui doit illuminer / Ou tuer ma raison'). We have a clear indication, in true Rousseauian fashion, that it was reason that separated humanity off from the joys of the world and the meaning that, say, rural community provided. Before Faust puts the glass to his lips, however, he is distracted by the sounds of an Easter Hymn—religion being another emblem of a lost, previously meaningful world. That religion is indeed part of an 'old' world is indicated by Faust's reference to his childhood memories. By association with the childhood of humanity we can understand religion as something belonging to Arcadia—a lost Golden Age. This last emblem, however, seems to have a healing power greater than that of nature, however, in that Faust declares that 'Heaven has conquered me again' ('le Ciel m'a reconquis'). At this moment, when heaven appears to have won Faust—and it is important to note that Marguerite will share in the heavenly, the 'Eternal Feminine'—Méphisto steps in to prevent the 'regression' to old faiths. It is in this sense that Méphisto represents, to a certain extent, the curse that we have to live with as human subjects in modernity. This is why, in Goethe's play, Mephisto, with all his wit, often makes a great deal of sense even if we are only, reluctantly, able to agree.

Such is the richness of Berlioz's conception that a number of these themes—discussed above—overlap and interact throughout the work. Faust's desire to find unity with nature, for instance, cannot be understood outside of a theological context whereby nature becomes the manifestation of a divine or cosmic order, or indeed, the self-expression of a deity. Community with nature, and community with men, becomes conflated, in the second scene of the work, when Faust witnesses a folkloric idyll that warms his heart. In her Gothic song, too, Marguerite demonstrates some affinity with the peasants, who are often seen as being 'close' to nature. Marguerite's music has a rustic simplicity about it that she shares with the 'Ronde des paysans'. And so Faust's union with Marguerite, in some senses, represents a union of the modern subject and nature—sentimental and naive. But just as nature at times is unfriendly, as in its complicity in the intoxication of Faust in the scene by the Elbe, so too does Faust resist

communion with the intoxicated men of Auerbach's cellar. In other parts of the work, the intoxication of romantic love with Marguerite brings Faust closest to achieving the end of his desire. But another 'brown liquid' is responsible for the death of Marguerite's mother, in a parallel with Faust's own contemplation of suicide by another 'intoxicating' liquid, and thereby is responsible for Marguerite's downfall. Faust is also implicated in the death of Marguerite's mother since it was from Faust that Marguerite had acquired the liquid. The 'intoxicating' influence of love with Marguerite is also partly to blame for Faust's damnation even if it also provides the means by which he might achieve a sense of unity. So caught up is he in his love for her, however, that he is unaware of the trap that Méphisto sets for him. The transcendent quality of Marguerite's love, likewise, saves her from damnation but it is also what caused her to kill her own mother. The depth of Berlioz's work, as with Goethe and Hegel, is that it holds onto these contradictions without necessarily 'reconciling' them.

VI. The music as a whole - questions of unity and key

Turning to the music of the *La Damnation*, the tonal scheme appears to be a product of more localised concerns or a response to an immediate dramatic stimulus such as the entrance of Méphisto than of any concern for an overriding tonal plan. Indeed, there is little suggestion of tonal unity across longer stretches of music with the exception of Part III.⁵⁷ The work begins in D major and ends in D \flat major. It would be fanciful to suggest any sort of 'progression'. The first part goes from D to A major, the second from F# minor to B \flat major, though with D major featuring prominently. Part III is arguably tonally unified by a departure from and return to F major, whereas Part IV moves from F to an as yet unused D \flat major. D major and F major, then, are marked as significant due to their prominence more than for any regulatory function they have on the other tonalities. Ideas attaching to particular tonalities are not consistently applied so as to enable association. Faust first enters in F# minor and his first arioso, 'Sans regrets', returns to F# minor. 'Invocation à la nature' is also in F# minor (though not unambiguously so), but 'Air de Faust' is in F major. We might be keen to associate F major with thoughts of Marguerite, whose two arias, 'Le Roi de Thulé' and 'Romance' are both in F major, but Méphisto also uses that key in his 'Evocation'. Otherwise, Méphisto, at times, appears to favour B major, as in his first entrance, and his 'Serénade' but he also makes frequent use of D major, as in the scene by the banks of the Elbe. The best we can say, it would seem, is that, at times, a tonality may be used for its associative connotations but at others it may be purely a matter of suitability for its resonance in a particular register or on a particular instrument.

⁵⁷ This matter (the work's unity) has been discussed in some detail by Rushton, *The Musical Language of Berlioz*, see, especially, pp. 253-6; Cairns has also noted the importance of the tritone, throughout the work. See his, 'Le Mal de l'isolement', in *L'Avant Scène Opéra*, 84-5.

Insofar as the work can be said to exhibit any unity, then, it is a motivic one more than a tonal one. Rushton has convincingly demonstrated the preponderance, in Faust's part, of 'shapes falling from $\hat{5}$ to $\hat{3}$ or $\hat{2}$ ' especially prominent in the keys of F# minor and F major.⁵⁸ Faust's entrance in the introduction, the opening lines of 'Air de Faust' and 'Invocation' all share the same melodic shape. Rushton also notes the frequent deployment of falling lines from other degrees when Faust is expressing his *ennui*. Another important technique for binding numbers together is the anticipation of musical material yet to be heard. The most obvious instance of this is in the Introduction where music from the 'Ronde des paysans' and the 'Marche hongroise' is combined with the melody of the opening. Such anticipations seem to act as musical 'summaries' of the events about to unfold in a technique not dissimilar to the one Berlioz employs in *Roméo et Juliette*, where most of the symphony's main themes are heard in the 'Prologue'.⁵⁹ Further examples in *La Damnation* include the anticipations of Marguerite's first aria when Faust and Méphisto enter her room, and anticipations of her own 'Romance' in the recitative that precedes 'Le Roi de Thulé'. Méphisto's own 'Serénade' is also anticipated by his 'Menuet des follets'. Another example of 'thematic unity' in *La Damnation* include the tightly knit thematic material of the scenes by the banks of the Elbe. The return of the music of the soldiers and students is one of the few veritable examples of thematic recall, another being the G major reprise of the 'Roi de Thulé' theme.

The musical 'plot' of *La Damnation* is unique. At times it is quasi-operatic, as in the love duet and climactic trio, the drinking songs, and the ballet, and at others it seems to resist generic classification altogether. There is no overture, as is the case with *Les Troyens*, and recitative is kept to a minimum, Berlioz preferring to give as much space as possible to musical numbers. Of all the parts, Faust's is the least 'operatic'. His music is often superimposed onto other orchestral voices, as is fitting for his role as an alienated observer. In the luscious orchestral canvas of the introduction, he turns a pastoral D major into a melancholic F# minor in a fugato texture. We also noted that his last phrase came in the submediant region, B \flat , and that he remained silent thereafter, for the remainder of the number, including during the superimposition of the opening theme with the anticipations of the 'Ronde des paysans' and the 'Marche hongroise', and the subsequent climactic return to the D major tonic.

His next entrance, in B minor, casts a dark shadow on the otherwise gleeful G major/E minor music of the modal 'Ronde des paysans' before his recitative — another

⁵⁸ Rushton, *The Musical Language of Berlioz*, see 230-4. The quotation is taken from 231.

⁵⁹ Holoman provides numerous examples of these thematic foreshadowings in his *Berlioz*, 377-9.

Allegro moderato

a)

b)

Example 3.3: Méphistophélès's entrances, *La Damnation*, a) Scene V, 'Ô pure émotion', 33⁰ and b) Scene X, 'Je l'entends', 79⁰.

opportunity for the expression of *ennui* — provides a bridge to the A major/minor of the uproarious 'Marche hongroise'. A swift move to G major, provided with a strong cadence and followed by a 'rhythmic modulation' had enabled the transition between the Introduction and the 'Ronde des paysans', which had proceeded without pause. The aria-like scene in Faust's study in North Germany takes us back to the F# minor — relative minor to the preceding A major from which it is separated by silence — and fugato texture with which the philosopher entered in the introduction. Before reaching a final cadence, however, the aria breaks off and Faust falls back on recitative for the expression of his melancholy state, as he contemplates suicide. This time he is interrupted by the 'Chant de la fête de Pâques', in F major, above which he voices warm sentiments while retaining a careful distance. F major and F# minor are linked, throughout, by a pun on their mediant.

The next scene heralds the introduction of Méphisto, his B major a deliberate, and striking contrast, to the tritone-related F major of the religious song that preceded it (see example 3.3). His harsh entrance on staccato wind will become something of a signature. After a brief exchange Faust and Méphisto go to Auerbach's cellar. The chorus of drinkers ('Chœur de buveurs') enter in C minor but end up in E♭ major and Brander's song, which provides the theme for the 'ironic' Amen fugue, returns to the opening's D major, whereas Méphisto's ballad appropriates the F major previously heard as sacred. D major maintains a strong presence in the following scenes by the banks of the Elbe, referring back, perhaps, to the D major of the opening, another nature scene. Here, however, in Méphisto's hands, nature is devious, intoxicating even. The three numbers of the scene by the banks of the Elbe all feature the same two melodies, which are themselves related by a rising scalar motive of a perfect fourth. The opening of 'Voici

des Roses' anticipates the melody of 'Ballet des sylphes' as well as a number of climactic moments in the chorus. 'Ballet des sylphes' is harmonised throughout with a tonic bass pedal, over which Berlioz puns to G major/minor and B \flat major. As Rushton notes, this remarkable movement, an instant audience favourite, appears to have grown out of the final cadence of the preceding number.⁶⁰

The Finale to Part II, in which Faust and Méphisto move among soldiers and students, is one of the most remarkable moments of the score. It is approached by a recitative in which Faust demands to see Marguerite. The soldiers are heard first—they take the music from F major to B \flat major—followed by the students, who sing in D minor. Next, Berlioz combines the two choruses; the D minor of the students initially rubbing up against the soldiers' B \flat major and their 2/4 clashing with the soldiers' 6/8. Rushton associates such 'superimposition of ideas' in *La Damnation* with the machinations of Méphisto. Certainly Méphisto's influence is felt here. He seems to be planting a violent idea of romantic love into Faust's mind just as the philosopher approaches his own beloved. Other examples of such superimposition include the cruel combination of the end of Marguerite's 'Romance' with the music of the students and the soldiers, noted above, and the superimposition, in the 'Course à l'abîme' of the oboe melody with the sounds of wailing women.⁶¹

The transition from the B \flat of the Finale to Part II to Faust's F major aria is achieved by the simple but effective means of converting a B \flat tonic to a 6/4 chord, which 'resolves' effortlessly into F major. But for this opening in B \flat , Part III was planned, as Rushton has pointed out, as a movement away from and back to F major.⁶² Both Faust's Air and Marguerite's 'Chanson Gothique' are in F major. They are separated by recitative, the first involving Faust and Méphisto and another with Marguerite alone and Faust and Méphisto silently hidden behind a curtain. Méphisto crashes in with his signature sharp bursts on the winds after the winding coda of Faust's Air comes to a close (see second set of staves in example 3.3). These two recitative sections are a rich source for material yet to come. The theme of Marguerite's first aria is foreshadowed, albeit in G minor and not the F major in which it appears later. This appears to have been a hangover from *Huit Scènes*. Next, Méphisto's serenade music also gets a first hearing in G \flat major (it will later appear in B major). From here, another tritone shift brings us to the C minor of Marguerite's recitative wherein we hear anticipations of the climactic point of her 'Romance' (in B major, here), before dissolution onto a dominant chord, on C major, which paves the way for Marguerite's 'Le Roi de Thulé', in F major.

⁶⁰ Rushton, Genesis of Berlioz's *La Damnation de Faust*, 135-6.

⁶¹ See Rushton, 'Berlioz, *Faust*, and the Gothick', pp. 128, 134, and 143-4 in particular.

⁶² Rushton, *The Music of Berlioz*, 307.

Marguerite

Autrefois un roi de Thu - lé Qui jus-qu'au

M.

tombeau fut fi - dè - le, Reçut, à

Pno.

Example 3.4: *La Damnation*, Scene XI, 'Le Roi de Thule', 85⁵⁻¹⁰.

This 'Chanson Gothique', with its characteristic upward leap of a tritone, is redolent of a rustic simplicity. It links Marguerite with the folkloric music of the 'Ronde des paysans' and highlights her humble origins and, perhaps, her participation in a similarly rustic community. Note too the 'vulgar' root position triads that proliferate and the close 'muddy' harmony in the low strings. Her frequent resolution of the tritone, as an upward appoggiatura, could be heard either as an indication of her redemptive potential or, indeed, of Méphisto's ability to corrupt even the most innocent of individuals. Her pre-occupation with the flattened-sixth degree is suggestive of romantic yearning much in keeping with a text which deals with nostalgia for a chivalrous age and an ever-faithful king. In the next scene Méphisto seems to quash any hope expressed in Marguerite's song by reversing her wistful upward resolution into a downward-plunging tritone in the near atonal opening to his 'Evocation', which eventually settles onto F before moving to D major in anticipation of the spectacular 'Menuet des follets'. This large orchestral movement, which Rushton has likened to a 'polonaise', consists of a 'spiky' melody in the winds, which alternates with a 'curious' figure in the strings, and a lyrical melody that could pass as a 'love theme'; it is capped off by a manic parody of Méphisto's 'Serénade', yet to be heard.⁶³

⁶³ The adjectives belong to Rushton, 'Berlioz, *Faust*, and the Gothick'. See 140-4, in particular, for an insightful analysis of this movement.

The 'Serénade' proper is in B major and a quick 'tempo di Valse'. An example of Berlioz's astonishing imagination in matters of orchestration, it originated in the *Huit Scènes* as a song (for tenor) with accompaniment from a solo guitar. In *La Damnation*, Berlioz re-imagines the orchestral strings as a gigantic guitar. He even goes so far as to instruct the second violinists and violists to use their thumbs to 'glide over the strings' in articulating the *pizzicato* arpeggios, which imitate the texture and timbre of the guitar. Méphisto's B major 'Serénade' appropriately 'prepares' the love duet's E major, by acting as its dominant. The oboe solo that recalls 'Le Roi de Thulé', as Harper-Scott has pointed out, tragically suggests that Marguerite might consider Faust to be just such a chivalrous man.⁶⁴ The E major of their duet does not achieve a convincing consummation. True, it culminates in a tonic chord but only after a process of tonal and thematic dissolution over a sequence of sliding diminished sevenths. Méphisto crashes in in F major to announce that they have woken the neighbours. Here, Berlioz puns on the E major's third, turning it into the mediant of an F minor 6/4 chord.

Marguerite's 'Romance', in F major, opens the final part of the work. It reaches a level of intensity comparable in some ways to Faust's earlier air and therefore marks a development of Marguerite from her humble and naive origins to someone more consciously aware of her own passions. Faust's final aria, ostensibly in C# minor but with a strong focus on F# minor, is linked to Marguerite's Romance by a single G#, sounded by the viola, which forges a connection between the two. Berlioz arrives at the C minor of the 'Course à l'abîme' through C major, which shares its mediant with the tonic of the 'Invocation à la nature', then moves through E♭, the relative major. The rhythm of the strings imitates horses galloping, while hunting horns make clear that Faust is now the hunted one. Thus the music indicates to us something of which the main protagonist is unaware. Marguerite is represented by a tune on the oboe, which Faust perhaps professes to hear when he says 'In my heart sounds her desperate voice' (*Dans mon cœur retentit sa voix désespérée*). Faust's 'Ah!' on a G♭, with which the 'Course à l'abîme' culminates, spills over to the next number and is 'captured' as F# of Méphisto's hellish B major 'Pandaemonium', the opening of which juxtaposes chords a tritone apart (B major and F major) echoing—and reversing—the F major to B major juxtaposition of Faust and Méphisto's first meeting. The 'trajectory' of this number, which is characterised by frequent harmonic juxtapositions, also traverses the keys of B major and F major. The depiction of Marguerite's ascent to heaven naturally presents a marked contrast. Its D♭ major is the first prolonged appearance of this key, arrived at via the E♭ major of the scene 'Dans le ciel'.

VII. 'Le vieil hiver'

⁶⁴ Harper-Scott, 'Berlioz's idea of love', 8.

The opening number exposes many of the philosophical preoccupations of the work with great effect. It is an extraordinarily rich musical canvas that places Faust directly at the centre of the *légende*'s concerns. This opening number derives from no pre-existing formal schema but the shape of the work is easy enough to grasp by tracking the returns of the tonic, D major, and the various reprises of the opening theme. The piece is arguably also divided at the approximate half-way point by the exit of the protagonist, Faust, who, having entered in F# minor at bar 7, quits the work in B♭, at bar 74, leaving the orchestra to finish the job of returning the music to its original key. There are only two clear instances of alternative keys being established: B♭ major at bar 74, and F major at bar 108, a 'false return' of the main theme. The tonal structure, indeed, appears to alternate passages of tonal stability with passages that deliberately disrupt tonal connections, and provide contrast, between returns of the tonic and brief tonicisations of other key areas.⁶⁵ In addition, the introduction has a clear musical narrative as a representation of the intrusion of humanity onto a mythical nature. Berlioz says as much in a caption he adds to the score at around bar 89, where he introduces into the piece anticipations of the music of the two following numbers, the 'Ronde de paysans' and the 'Marche hongroise' — contrasting representatives of humanity — over the top of numerous reiterations of the introduction's main theme.

The famous anticipations in the second half of the movement, then, occur during a moment of tonal stasis. They cycle through a number of different keys, without establishing any of them. The keys through which they travel are linked, it would appear, by their compatibility with the first violins' inner pedal on C. Despite the stasis that results from this common-tone movement, there is nevertheless a sense of build-up provided by a long-range crescendo and the increased frequency of the returns, spilling over into a re-assertion of the main theme in a clear F major — a third away from the movement's governing D major tonic, and thus a 'false return' — at bar 108. Denied its cadence, the introduction's main theme on F gives way to a further passage of anticipations beginning at bar 118, and the process is repeated, now transposed, with the invariant element this time being the first violins' B♭ inner pedal. This leads to a further re-assertion of the introduction's main theme, this time in its home key of D major, at bar 135. The final appearance of the theme, here, however, is inflected with a high degree of chromaticism and it fails to generate a PAC that would suggest, perhaps, a higher synthesis of nature (the pastoral) and culture (the anticipations of human activity). Furthermore, the main character, Faust, has long since ducked out. In lieu of a final cadence, then, D major is swiftly brushed aside for a much stronger, though

⁶⁵ See Rushton, 'Berlioz through the Looking-Glass' in *Soundings* 6 (1977), 51-66, for an interesting critique of Brian Primmer's discussion of the work's key scheme, in Primmer, *The Berlioz Style* (Oxford University Press, 1973). This absence of functional tonal relationships between keys makes the piece highly resistant to Schenkerian analysis.

Andante placido

Example 3.5: Superimposition of themes, *La Damnation*, Scene I, 'Le vieil hiver', bars 90-6.

inauthentic, cadence in G major at bar 144, which anticipates the tonality of the upcoming 'Ronde des paysans' which follows initially in E minor, before moving to G.

This potted summary of the movement brings to mind the philosophy of Jean-Jacques Rousseau, with whose works Berlioz would undoubtedly have been familiar. It was Rousseau, for instance, who most famously declared, in stark contrast to Enlightenment thinking, that humans may have been happier in a state of nature than they evidently were in civilisation. Even more radically, in fact, he considered that civilisation itself may be responsible for the corruption of what he saw as a natural human morality. Rousseau outlined a theory of history, therefore, that suggested that humans, in their natural state, knew nothing of need nor of jealousy. They lived, rather, a solitary existence, in a harmonious unity with nature. Everything that humans could need was provided for them by nature, with no recourse to manipulation or invention. At some point in human history, however, Rousseau suggests, nature must have presented obstacles to humans that they could not overcome by as solitary individuals. Humans were therefore forced to enter into communion with other humans, forced to adapt and to invent, and in so doing to create things which nature could not provide, and, with it, therefore, the

Andante placido

Example 3.6: Opening, *La Damnation*, Scene I, 'Le vieil hiver', bars 1-16.

capacity for jealousy, and, ultimately, violence. This, then, was the root of Rousseau's discontentment with human civilisation. But he did not, nevertheless advocate a return to a state of nature. Rather, he suggested, humans should use their newfound capacity for reason and abstraction to liberate themselves from its vices and to create a state in which humans regained a harmonious unity with nature, and with other humans, without relinquishing their capacity for reason.

This is as much the philosophical backdrop of Berlioz's *La Damnation* as it is of Goethe's *Faust* and Berlioz's music and libretto take a similarly nuanced position to that of Rousseau. The pantheistic tone of the opening of *La Damnation* is unmissable. A caption tells us that the work opens with Faust alone on the plains of Hungary, at sunrise. Into this pastoral context steps Faust, the philosopher, who reports on his feelings in response to nature and his pleasure in solitude, away from crowds and from human struggle, thereby invoking directly the sentiments expressed by Rousseau, and, in particular, his *Les Rêveries du promeneur solitaire*. The pastoral mood of the introduction is suggested by, among other things, the compound metre (6/8); the low opening dynamic (*piano*); and the tempo marking (*Andante placido, non troppo lento*); as well as the major mode, D major, and the lyrical, diatonic main theme. All of these features combine to suggest a calm and peaceful atmosphere. The proliferation of pedal points throughout the movement, whether imbedded in an inner voice or sitting at the bottom of the texture, are also common signifiers of the pastoral topic, and are suggestive, perhaps, of nature in its unchanging guise. There are also numerous imitative figures throughout that mimic, variously, bird calls (the flutes and clarinets from

Andante placido

The musical score is for a piano piece in 6/8 time, D major, marked 'Andante placido'. It consists of two systems of staves. The first system (bars 108-112) begins with a forte (ff) dynamic. The right hand plays a melody with a long note followed by a series of eighth notes, while the left hand plays a rhythmic pattern of eighth notes. The second system (bars 113-117) features a forte (sf) dynamic. The right hand plays a series of chords, and the left hand continues the rhythmic pattern. The score ends with a final cadence in the tonic.

Example 3.7: 'False return' of 'Pastoral theme', *La Damnation*, Scene I, 'Le vieil hiver', bars 108-12.

bar 16, for example) and a morning breeze (the rushing demisemiquavers from bar 43), both of which are mentioned in Faust's monologue.

For all of Faust's declarations of happiness in nature, however, there is much to suggest that this is not a perfect Eden. Confirmation of the movement's D major tonality, for example, does not occur until the glorification of the opening melody, at bar 28. And we have to wait until bar 43 for the first, and only, perfect authentic cadence in the movement's D major tonic. The theme in the violas at the opening, while outlining in its melodic contour the tones of the tonic triad, is unaccompanied and, therefore, ultimately, tonally ambiguous. Moreover, the chromatic inflection of the sixth degree in this melody is indicative of romantic yearning. It suggests that, despite Faust's apparent self-satisfaction, something is still missing. Nature alone, it seems, is not enough, especially for a modern man such as Faust. The entrance of the bass, which should bring with it some tonal clarity, in bar 7, instead pulls us into F# minor, from bar 8, at which point, also, Faust's voice enters, his minor mode contradicting the happy sentiments expressed in his words, and the melody of the opening is pulled into a 'contemplative' winding fugato texture. This texture, I suggest, could be indicative of Faust's status as a learned, rational, man. Or it could simply be a representation of 'process', an adequate musical metaphor for the rising sun or the emergence of 'culture' out of 'nature'. Whatever the case, the fugue proceeds, in a rather unorthodox fashion, by a series of entrances in rising thirds (D major at the opening, F# minor at bar 7, A major at bar 16, and C# minor at bar 25) before it is wrenched back to D major, at bar 27, in preparation for the theme's glorification, at bar 28, in a more folkloric, melody-accompaniment texture, followed by the work's first cadence, in the tonic, at bar 43.

Andante placido

The musical score is written for piano in D major (two sharps) and 6/8 time. It is marked 'Andante placido'. The score consists of four systems of two staves each (treble and bass clef). The first system begins with a treble clef and a key signature of two sharps. The bass clef part starts with a forte (*ff*) dynamic. The second system continues the melodic and harmonic development. The third system shows a shift in the bass line. The fourth system concludes with a decrescendo (*dim.*) and a final cadence. A '8va' marking is present above the final measure of the fourth system.

Example 3.8: Tonic return of 'Pastoral' theme, *La Damnation*, Scene I, 'Le vieil hiver', bars 135-45.

The opening thus follows a familiar trope in romantic music whereby an 'emptiness' is gradually 'filled out' with content.

The music up to the cadence in bar 43, then, prolongs the tonic. The task of the next section (up to bar 74) is, first, to erase the tonic, D major, so that another key—ultimately B \flat major—can take hold. A tonic pedal supports the melody from bar 43 to

bar 49. Thereafter the bass moves by fifths, at irregular intervals, taking us to the root of an F major chord at bar 53 and then onto a B \flat , supporting a diminished harmony, in bar 54. This is a classic example of a Berliozian ‘consonant appoggiatura’ in that, while the voice’s F is consonant with the supporting harmony in bar 53 it nevertheless ‘resolves’ – or seems to resolve – onto a dissonance in the following bar. Hereafter, the bass and vocal parts are static, stuck on a B \flat and E \flat respectively, while the inner parts shift restlessly between different harmonies. Rushton quite rightly describes the passage (from bar 53 to 63) as being ‘virtually without tonality’.⁶⁶ Thus the process of ‘filling out’ that characterised the opening has been temporarily reversed by a subsequent ‘emptying out’. With D major a distant memory, however, Berlioz is free to go wherever he wants. In bar 63, then, the vocal part reaches a climax, of sorts, on a top F, above a chord formed on the tonic minor. This chord is approached by the simple means of a ‘creeping up of the bass’⁶⁷ through B \flat , supporting a diminished seventh in bar 61, then through B \natural and C \sharp in the next bar, under a local supertonic and dominant, respectively. The arrival of D minor accompanies an exclamation of ‘Oh!’ from Faust. It could perhaps represent the philosopher’s ambivalent attitude towards his natural surroundings or his perception of the chasm that now separates him from nature.

The passage from D minor to B \flat major is by no means any more certain in direction. B \flat major emerges as early as bar 64 but from there the music touches on both C minor and G minor. It is only really at bar 71, with the arrival of B \flat ’s dominant, that we know where we are going. This cadence is Faust’s last utterance in the movement. He thus leaves the number not having achieved reconciliation with the pastoral music’s D major tonality. D major is, indeed, the work’s next goal but it will have to be achieved without the help of Faust. Another pedal point on B \flat supports a winding melody in the violins that decorates the tones of the B \flat major triad before the return of the tonic is approached in exactly the same manner as the tonic minor was approached in bars 61-3. A tonic statement of the main theme, in bars 83-5, is provided with a dominant answer, from bar 86, but a cadence is evaded by the interruption of the sounds of humanity, discussed above, and another moment of tonal stasis is followed by a tonal clarification, with the theme on F, before the process is repeated, leading finally to a reassertion of the movement’s main theme, in the tonic, D major, bar 135.

This ‘Introduction Pastorale’, as Berlioz once thought to call it, then, is a wonderfully colourful piece that substitutes orthodox tonal logic, at times, for a contrapuntal logic that is characteristically Berliozian, related to the contrapuntal, hexatonic, and octatonic practices of composers such as Schubert, certainly, but less systematic, or refined, and based, more often than not, on shifting harmonies over static pedals rather than the

⁶⁶ Rushton, ‘Berlioz through the Looking-Glass’, 61.

⁶⁷ The phrase comes from Rushton, ‘Berlioz through the Looking-Glass’, 61.

consistent application of hexatonic transformations. The result, in tonal terms, is that the tonality of D major is never truly ‘tested’ and therefore never truly established. Berlioz does not allow an alternative key to take hold for more than a few bars. The tonicisations of B^b major, D minor, and F major, then, are merely bumps on the road; they add colour to the work but do not force its tonality into a grand dialectical battle. Rushton’s words about the piece are, as ever, instructive: ‘the frame is simple and logical in musical terms, and provides a proper support for the truly extraordinary proliferation of harmonic, melodic, contrapuntal, instrumental, and picturesque detail.’⁶⁸ This number, which functions as the work’s ‘overture’ by introducing a large number of the ‘opera’s’ characters—whether Faust himself, nature, or, indeed, the communities of men with whom Faust will come into contact—replaces the more obvious choice of an overture in sonata form. This latter form—with its dialectical confrontation of theme actors and tonalities—and obligatory recapitulatory reconciliation—its mediation of opposites—would not, perhaps, have allowed Berlioz to express the sense of a fragmented and fractured reality that he appears to aim at, here. Nevertheless, the work engages, to some extent, with familiar formal and tonal structures by virtue of its use of tonal and thematic return. What is missing, however, is any sense of the inevitability of this return. Berlioz’s introduction to this rich work, then, presents a remarkable ‘alternative’ to sonata form structures.

VIII. ‘Air de Faust’

Faust begins his song by establishing the tonic key of F major via a perfect authentic cadence in bar 12. In an unusual upturning of convention, his first phrase, as Rushton has pointed out, appears to be the model for, rather than the variant of, the brief instrumental introduction that precedes it.⁶⁹ There, the antecedent’s conventional approach to the dominant is derailed by a brief tonicisation of G minor. We might choose to hear in the introduction, then, an anticipation of the tonal instability of much of the rest of the song, itself an indication, perhaps, of Faust’s restlessness, his nervous anticipation. Nevertheless, the first vocal phrase ‘corrects’ the unorthodox progression and restores the dominant, in bar 9. It proceeds, with little fuss in the next phrase, to the cadence in bar 12. This early close in the tonic, then, seems rather to reflect Faust’s newfound sense of contentment. The lyrics, in which Faust can be heard to be thanking and welcoming twilight for the clarity it brings, would seem to support this reading. In bar 6, a local melodic high-point, on D, picks up the first phrase’s focus on the *Kopft*on, C, to assert itself as a neighbour note in the middleground, on Faust’s exclamation, ‘Oh!’. The neighbouring motion is completed in the very next bar, providing only a minimal level of tension that appears easily resolved, and contributing to the overall

⁶⁸ Rushton, ‘Berlioz through the Looking-Glass’, 64.

⁶⁹ Rushton, *The Musical Language of Berlioz*, 237.

sense of contentment in this phrase. Nevertheless, D has succeeded in planting itself in our musical consciousness due to its longer duration—a dotted minim—and its being the highest pitch in the song so far. We await its return.

The next period departs from F major and moves to tonicise G minor, at bar 20—a recollection of the focus on that key in the introduction, perhaps. The tonic chord on the upbeat to bar 13 is quitted immediately, on the downbeat of this bar, for a chord formed on the mediant at the start of the second period. In bar 14 a descending counter-melody appears in the flute and seems to indicate the presence of Marguerite in Faust's thoughts. It is an adumbration, for instance, of the flute's G at the opening of the number that witnesses Marguerite's first entrance into the work (example 3.10).⁷⁰ It will also return later in this song 'corrupted' by chromaticism. This second period also sees the development of the sixth scale degree that emerged as an important motive as early as bar 6. Having descended to $\hat{1}$ at the cadence in bar 12, the voice arpeggiates up to the *Kopftön* at the beginning of the second period and decorates it with a skip down to A from which it returns via passing motion. In the next bar, however, $\hat{6}$ is approached from below, via arpeggiation up from G, and then decorated from above via passing motion down from F. The *Kopftön* all but disappears from the surface of the music, its presence only inferable from the implied resolution of Db (C#) which otherwise points onwards to the establishment of D in the next phrase. The voice falls to B \flat at the cadence at bar 20, in G minor, and from there it makes a concerted motion, via an ascending chromatic line, in contrary motion with the bass, to the D which functions as the top voice of the B minor cadence in bar 28. The establishment of D at the B minor cadence also brings together the two lines opened up by the compound melody of the opening and thus strengthens D's status as the controlling tone of the passage.

It is worth saying a little bit more about this unusual cadence in B minor. The cadence in G minor, the supertonic, in bar 20, suggested that we were heading for a cadence in the dominant. Indeed, as Rushton has shown, this appears to have been the original logic of the passage that approaches the cadence in B minor.⁷¹ The ascending chromatic line in the top part, from bar 21, is supported by parallel motion, a tenth below, in the bass, up to bar 22. Thereafter contrary motion in the two parts strongly suggests resolution onto a first inversion D minor chord, in bar 23, but Berlioz substitutes in a diminished seventh chord (F-B-G#-D). The bass slips off its F, on the next beat, onto the dominant of B minor, above which is formed a 6/4 sonority, and from there the cadence in B minor comes easily. This derailment of the intended goal, by the tritone-related harmony, no less, could plausibly suggest the malign influence of Méphisto on all of Faust's activities. The lyrics otherwise give few clues as to the significance of this dark cadence.

⁷⁰ My thanks go to Rushton for pointing this out to me in an email exchange on 14/05/2016.

⁷¹ Rushton, *The Musical Language of Berlioz*, 238.

Instead, Faust continues with his expressions of contentment, apparently unfazed by (or unaware of) the diabolical influence of Méphisto. The music thus ‘qualifies’ for us the contentment that he expresses as caught up in the dialectic of good and evil. The swift return to F major, in the next phrase, perhaps adds to this sense of unease. By contrast with the drawn out preparation of the B minor cadence, for example, the return to F is highly efficient (in F major: VII#4/2 - Ger 6th - V - I). The question emerges of whether the F major cadence is strong enough to ‘cancel’ the effect of the cadence in B minor. The next period suggests it is not. Moreover, the voice only manages a descent to the ‘open’ $\hat{3}$, at the cadence. As Rushton puts it, ‘This modulation to B minor poses a large question mark over the whole composition, and the very swiftness of the return to F only poses it again.’⁷²

No sooner has the music returned to F major than it leaves it once more. The section from bar 30 to (roughly) bar 41 is all in A \flat major, the flattened mediant. Berlioz returns to a dominant chord at bar 29 and then simply skips from the octave C, in the outer parts, to an A \flat in the bass and an E \flat in the voice. The carefree manner in which the modulation to this hexatonically related region is effected could be heard to reflect the carefree sentiments of Faust’s words at this moment. ‘Oh! How I feel here, unburdened by worry’ (‘Oh! comme on sent ici / S’envoler le souci!’). The harmony floats. Faust reaches up to the highest note of the aria, a top A \flat , in bar 32. This high note gives the section a transcendent, almost spectral, quality, aided, in no small part, by the dynamic marking, *ppp*, which forces the singer into *false* and enhances the note’s ghostly quality. As Rushton has shown, this section, in A \flat major, is a transposed variation of the opening period.⁷³ It goes some way to clarifying the strong focus on $\hat{6}$ of the previous period in that $\hat{6}$ provides the link between the *Kopft*on, $\hat{5}$, of the opening period, and the local primary note, E \flat ($\flat\hat{7}$, globally), here. To hear it in this way is also to demote the return to F major, in bar 28, to the status of a linking section between the cadence in B minor and A \flat major. And this confirms our suspicion, voiced earlier, that this return to the tonic is rather illusory.

The return to F major, from A \flat major, begins with an intensification, by the addition of triplets, in bar 38. This development in the music reflects Faust’s feelings in response to being in Marguerite’s room. He appears to call out to her, in bars 38-41, with three exclamations (‘Oh young girl! Oh my beloved! Oh my too ideal love!’ [Ô jeune fille! Ô ma charmante! Ô ma trop idéale amante!]) which ratchet up the tension as they progress, rising to a melodic high point at bar 41. The woodwind appear to answer each exclamation with a whimpering figure, above. A second miniature climax, on F, again, follows in the next bar, 42. These punctuations of the tonic note on the surface of the

⁷² *ibid.*, 238.

⁷³ *ibid.*, 239.

Andante sostenuto ♩ = 66 ***p*** *sotto voce*

Faust

Mer - ci, doux cré-pus - cu - le! Oh!

sois le bien-ve - nu! E - claire en - fin ces lieux sanc - tu - ai - re in - con - nu, Où je sens à mon front glis -

ser comme un beau rê - ve, Com-me le frais bai - ser d'un ma - tin qui se lè - ve! C'est de l'a - mour!

c'est de l'a - mour! j'es - pè - re... Oh! comme on sent i - ci S'en - vo

ler le sou - ci! Que j'ai - me ce si - len - ce, et com - me je res - pire Un air pur!

un poco rall. ***ppp*** *sostenuto*

un poco rall. *perdendo* ***ppp***

Example 3.9: Short score, *La Damnation*, Scene IX, 'Air de Faust'.

music establish this tone as a goal in the middleground and the apex of a long-range progression that spans the song's first 52 bars, as we shall see. First, however, Berlioz makes two moves to the dominant, one in bar 44, and the second, via another German Sixth, in bar 48. The function of these two pauses on the dominant prepare for the

38 **a tempo I**

O jeu-ne fil - le! ô ma char - man - te! O ma trop i - de - ale a-man - te!

42 **a tempo I**

Quel sentiment j'é - prou - ve en ce moment fa - tal! Que j'aime a con - tem - pler ton che

47 **ppp** **a tempo I**

vet vir - gi - nal! Quel air pur je res - pi - re! Sei gneur! Seigneur!

54 **animando** **poco f**

A-près ce long mar - ty - re, Que de bon - heur! Sei gneur! Seigneur! A-près ce long mar

63 **molto rit.** **a tempo I**

ty - re, Que de bon - heur!

The musical score is written for voice and piano. It consists of three systems of staves. The first system (measures 38-41) features a vocal line with lyrics and a piano accompaniment with triplets and a 'rit.' marking. The second system (measures 42-46) continues the vocal line with lyrics and piano accompaniment, including a 'sotto voce' marking and a 'poco cresc.' instruction. The third system (measures 47-53) shows the vocal line with lyrics and piano accompaniment, marked 'ppp' and 'a tempo I'. The fourth system (measures 54-62) continues the vocal line with lyrics and piano accompaniment, marked 'animando' and 'poco f'. The fifth system (measures 63-66) shows the vocal line with lyrics and piano accompaniment, marked 'molto rit.' and 'a tempo I'.

Example 3.9: *continued*.

climactic return of the tonic and the conclusive arrival of the top F in the next period. They also allow Berlioz to cancel out the previous section's focus on E \flat by introducing

72

79 *pp*

86 *ppp*

93 *un poco rit.* *ppp*

Example 3.9: *concluded*.

an E \flat . The latter arrival, at bar 48, comes at the end of Faust's sinister line, 'How I love to contemplate your virgin bed!' ('Que j'aime à contempler ton chevet virginal!'). Here, the flute (Marguerite?) responds again by recalling the counter-melody of bars 14-5. This time, however, the melody has been chromatically distorted and its range reduced. It suggests, again, the corruptive influence of Méphisto on Faust's love for Marguerite or, indeed, the corruption of innocence in general.

The next passage (bars 49-66) is the climax and the final descent of the fundamental line, discussed above. It is truly the culmination of all that has gone before it. The progression starting in bar 49 is the approach to the song's emotional climax. The previous phrase having culminated on a dominant chord, at bar 48, the outer voices begin to move, at the start of the next phrase, in stepwise contrary motion toward their immediate goal: an octave F at bar 52 supported by tonic harmony (F major). The progression is fairly unorthodox, the result of smooth contrapuntal writing as opposed to functional harmonic movement, but by no means atypical of the song as a whole. Stepwise movement coupled with a crescendo nevertheless provide a sense of direction, one that is perhaps only slightly offset by the unexpected reverse resolution onto G of the G \sharp that supports an 'alien' E major triad in bars 51-2. Otherwise, we need only dig slightly beneath the surface to understand this progression as an elaboration of the tonic harmony towards which it is apparently directed. The framing tones of the progression, for example, spell out the notes of the tonic triad. The bass descent spans the interval of a major third (A-F) while the voice ascends a perfect fourth from C to its

Allegretto non troppo presto

Example 3.10: Marguerite's entrance, *La Damnation*, Scene XI, 80¹¹⁻¹⁶.

top F. No sooner has the tonic been reached, however, than it is quitted again. It arrives on the weak beat of bar 53, for example, and the word setting, which splits 'Seigneur!' across the bar-line, indicates that it is intended, from one point of view, as an upbeat to the harmony of the next bar. In bars 52-3, for example, the bass skips up a sixth, to D, and moves, in the following bars, to tonicise B \flat minor in bar 56. Thus the tonic arrival is re-quilted, in a flash, as a dominant of the new key.

This reinterpretation of the tonic is made all the more clear, perhaps, in the vocal part, which, having reached a peak on the tonic note, F, descends—after first being decorated with a G \flat upper neighbour—through the bottom half of a B \flat minor scale, pausing on the new tonic note, B \flat . In such a way, the top F is reinterpreted as $\hat{5}/iv$ having first presented itself as $\hat{8}/I$. Ambiguities proliferate, however, as, B \flat having been established in bar 56, the line continues to descend, in the next few bars, through A \flat in bar 56, and on to G ($\hat{2}$ in F major) in bar 57, suggesting a cadential approach to F major that is evaded in bar 58. The song, it would seem, is not yet ready to end. It refuses to accept this first descent as a satisfactory resolution of the fundamental line, corrupted as it apparently is by the minor subdominant colouring, and the modal mixture of the A \flat . Evasion precipitates a second climax, then, and a second descent. This time, however, Berlioz does the descent differently so that he can push on to the cadence in the tonic, F major, in bar 66. It still has a subdominant colouring, but this time in the more acceptable major mode. The root position bass movement (F-B \flat) has also been removed—weakening the strength of the subdominant—and replaced, in bar 63, by a bass line that is more obviously directed to the dominant, which arrives in bar 64 supporting a natural $\hat{3}$ and thereby cancelling the problematic $\flat\hat{3}$ of the previous descent. The final cadence, and the closure of the fundamental line, in bars 65-6 coincides with Faust's first declaration of his hard-won happiness, though the heavy chromaticism might be heard to contradict him. Thus, if the descent from the first climax

Reh. mark 75

The musical score is presented in four systems, each with a treble and bass staff. The key signature has one flat (B-flat). The score includes several annotations and bar numbers:

- System 1:** Treble staff starts with a fermata and a '5' above it. A bracket labeled 'b. no. 1' spans the first two staves. Bar numbers 10 and 75 are present.
- System 2:** Bar numbers 20 and 30 are present. A bracket labeled '76' is above the treble staff.
- System 3:** Bar number 40 is present.
- System 4:** Bar numbers 50 and 60 are present. A bracket labeled '77' is above the treble staff. At the end of the system, there are four notes with fingerings 4, 3, 2, and 1 above them.

Example 3.11: Foreground analysis, *La Damnation*, Scene IX, 'Air de Faust'.

was necessary to debunk the song's stubborn focus on the *Kopfton* and to establish the next tone of the fundamental line, the descent from the second climax was necessary to scrub out much, but not all, of the chromaticism that plagued the first descent. The final cadence reached, in bar 66, the song proceeds directly to a remarkably extensive instrumental coda of no less than 44 bars. A caption informs us that the coda represents Faust walking around Marguerite's room, where he currently finds himself, examining its interior with a 'passionate curiosity'. Certainly the 'winding' quality of the violin's line seems a suitable musical counterpart to Faust's searching.

The linear analysis (example 3.12) shows that 'Air de Faust' composes out its F major tonality via a one-part descent from scale degree $\hat{5}$. Interacting with this background structure, however, is the long-range ascent in the middleground that culminates on the climax on the tonic scale degree at bar 52. Thus the climax is painstakingly prepared right from the opening bars via a gigantic unfolding of a fourth (C-F). The interaction of this middleground ascent and the song's background structure provides the main source of tension in the work. In expressive terms, for example, while descending lines can be heard to release tension, ascending lines heighten it. As the top line ascends from the *Kopftön*, in 'Air de Faust', it moves further and further away from the tone of resolution, $\hat{1}$, in its obligatory register, thereby generating a large-scale tension that seeks resolution in the descent of the fundamental line. This large unfolding, which ultimately prolongs the movement from the *Kopftön* to the next tone of the fundamental line, serves to intensify the relative instability of the open interval $\hat{5}/1$ by delaying the descent of the *Urlinie* for as long as possible. At the same time, however, it can be heard to 'enable' the progression to the work's first proper non-tonic harmony, the subdominant support for $\hat{4}$, in the deep middleground. The twin descents at the end of the work are needed to dissipate this huge accumulation of energy and to reconnect this wayward line to the *Urlinie* so that the song can come to a close.

We can reconnect this interpretation to the question of Faust's subjectivity. One way of doing so, for instance, is to explore an analogy of self and other in the separation of bass and treble parts. At the opening of the song, for example, the contrapuntal-harmonic formation $\hat{5}/1$ represents a separation of bass 'self' and treble 'other'. The relative instability engendered by the open interval between the bass and the voice, for example, seeks resolution in a more stable contrapuntal-harmonic formation, $\hat{1}/1$, a unity of self and other, but must first pass through the other tones of the fundamental line. The middleground ascent, then, takes on a double significance. While ostensibly serving only to exacerbate the tension generated by the gap between the bass 'self' and treble 'other', and thereby precipitating a greater sense of alienation, it emerges that it was precisely this progression that 'enabled' the descent of the fundamental line, in the first place, and, therefore, the restoration of a unity of self and other in a unison of bass and treble, $\hat{1}/1$. When considered in conjunction with the work's plot, and the lyrics of the song, the gradual ascent from the *Kopftön* in the middleground, and the tension that it generates, is an appropriate musical metaphor for the gradual intensification of Faust's feelings for Marguerite, at first heightening Faust's sense of alienation, before being overcome, in a new unity of self and other. It is possible then to say that Faust's realisation of his love for Marguerite in this song truly 'enables' this fulfilment. The Hegelian overtones, here, are deliberate. 'Air de Faust' bears out the German Idealist mantra that true fulfilment can only be achieved by the overcoming of opposition. For the time being, at least, Faust seems to have transformed the sinister sensualism of

The image displays a musical score for the 'Air de Faust' from *La Damnation*. The score is written for piano, with a treble and bass staff. The key signature is one flat (B-flat). The score is divided into two systems. The first system covers measures 20 to 67, and the second system covers measures 68 to 74. The score includes a deep middleground analysis, with Roman numerals indicating the harmonic structure. The analysis is as follows:

Measure	Harmonic Analysis
20	I
24	#iv V
28	I
30	bIII
32	I
36	bIII
40	I
44	V
48	I
52	IV
56	V
60	I
64	V
68	I
72	V
74	I

The score also includes measure numbers 20, 24, 28, 30, 32, 36, 40, 44, 48, 52, 56, 60, 64, 68, and 72, which are placed above the staff. The analysis is indicated by Roman numerals (I, #iv, V, bIII, IV) placed below the staff.

Example 3.12: Deep middleground analysis *La Damnation*, Scene IX, 'Air de Faust'.

Méphisto into something more spiritual by conflating it with his quest for fulfilment. Nevertheless, the distortion of the flute melody, the deeply unsettling chromaticism of the B minor cadence, and the modal mixture of the twin descents to the tonic, for example, all contribute to a song that is, as Rushton describes it, 'balanced on a knife-edge between tranquility and anxiety, musically achieved by these apparently irresolute or paradoxical elements in its structure'.⁷⁴ We can hear this, also, as balanced between the spiritual and sinister aspect of love. For but a single moment, it seems, Faust has sublimated his lofty ideals and his sinister physical desires into his pursuit of Marguerite.

IX. 'Invocation à la nature'

If 'Air de Faust' anticipated the love scene that is the philosophical core of *La Damnation*, and thereby clarified the terms of Faust's quest for absolute knowledge as bound up with his desire for Marguerite, then 'Invocation à la nature', which occurs directly after we learn that Faust has abandoned his beloved, gives us new insight into the nature of Faust's quest. Its placement after the love scenes of the third part also gives cause for us to believe that Faust's new understanding of his relationship with the world was 'enabled' by his romantic union with Marguerite. This being the case then we can see how liberal humanist ideology of the post-revolutionary era, which holds that love, as a manifestation of all that is 'natural' in man, is fundamental to the self-development of an individual's personality, which is the central tenet of liberal humanist thinking, has a direct influence on the plot of *La Damnation*.

Although Berlioz's *La Damnation* does not address political questions explicitly, then, it nonetheless reveals a political aspect, as was noted above, in that it sets an individual, Faust, in direct conflict with a number of different 'worlds', whether that be the world of brute nature, of rural community, of militarism, of a Dionysian rabble of drinkers, soldiers, or students, or, more importantly perhaps, polite society, with all its proscriptions on, say, sex outside of marriage. *La Damnation* is, in this precise sense, inherently political, and inextricably bound up with the ideological concerns of the age in which it was written. The compulsion to 'act', for instance, that is personified by the character, Méphisto, and which smacks of a Protestant ethic, as theorised famously by Max Weber, is seemingly inseparable from the capitalist mode of production. The problem, then, as it is construed in *La Damnation*, as it is, too, in Goethe's *Faust*, and later in Marx, is how to hold on to the greatest advancements of the bourgeois revolution that defined the nineteenth century, and still impacts us today, such as the cherished bourgeois conception of romantic love or the remarkable productivity unleashed by the industrial revolution and the capitalist mode of production, while ridding ourselves of the undesirable aspects with which it is inextricably bound—the

⁷⁴ Rushton, *The Musical Language of Berlioz*, 242.

Andante maestoso *très large et très sombre*

Faust

ture im men - se, in- pénétrable et fiè- re,

Toi seu - le don - nes très - ve à mon en-nui sans

fin. Sur ton sein tout- puissant je sens moins ma mi - sè - re: Je re

Example 3.13: Short score, *La Damnation*. Scene XVI, 'Invocation à la nature'.

perpetuation of class conflict, and the effect this has on romantic relationships, and the violation of nature. Berlioz has no solution to this problem—indeed how could he since we are still grappling with them now. Instead, he exposes the contradictions and refuses to accept the solutions posed to him by liberal democratic institutions. This is why Faust must abandon Marguerite, for he knows that love cannot flourish in such an environment: it does violence to women, as a legalised form of prostitution, and to men, in that it creates fetters for the development of their personality.

22 *poco rit.* *A tempo*

trou - ve ma for - - - ce, et je crois vivre en - fin.

26

Oui, soufflez ou - ra - gans! Cri - ez, forêts pro -

29

fon - - des! Crou - lez, croulez, ro - chers! Tor

32 *un poco alar*

rents, précipitez vos on - - des! A vos bruits souverains ma voix *un poco alar*

36 *A tempo*

ai - - me a s'u *A tempo* Fo

Example 3.13: *continued.*

In this aria, then, Faust returns to contemplating nature, as he had done at the very opening of the work. But whereas he addressed a calm and peaceful nature in the introduction, he now addresses nature in its sublime aspect. It is important to note that even though it is nature that Faust is addressing most explicitly, here the relationship

39

rêts. ro- chers, tor - rents, je vous a

42 *cresc.*

do - - re! Mon - des, Qui scintillez, vers vous s'é - lan - ce le dé

46 *poco rit.* *f* *A tempo*

sir D'un coeur trop vas - te et d'une âme al té - ré - e D'un bon-heur qui la fuit.

50 *p* *dim.*

53 *p*

Example 3.13: *concluded.*

between the philosopher and nature is always already an analogue for the relationship between humanity and his social environment. This is especially evident when we consider, for example, the dialectical relationship between history and nature whereby,

as humans work on nature, they transform it, creating a 'second nature' which they pass on to subsequent generations and which this new generation confronts as 'natural'.

The implication of this new relationship with nature, perhaps, is that Faust no longer sees nature, as he naively did before, as inert and idyllic, but, rather, as a site of conflict and of humanity's unending struggle to master it. There is a sense, now, that he sees this relationship with nature, then, as a productive one. He abandons his desire for 'immediate knowledge' of nature and turns to a dialectical understanding of man's relationship with nature. The text has strong resonances with German idealist philosophy and the notion that, in working on the world, men have the capacity to change it. 'On your all-powerful bosom I feel less miserable. I find my strength, and I finally believe that I live' ('Sur ton sein tout puissant je sens moins ma misère. Je retrouve ma force, et crois vivre enfin'). The implication is that Faust comes to know himself by engaging with the world. Just as, in the dialectic of the Lord and Bondsman, it is the Bondsman, who, through working on the world realises his strength, and, theoretically, his freedom. And, as noted earlier, it appears to have been his relationship with Marguerite which brought about this realisation. Indeed the final lines indicate as much. 'Worlds which sparkle, towards you my desire soars, from a heart too vast and a soul transformed by a happiness which flees from it' ('Mondes qui scintillez, Vers vous s'élance le désir // D'un coeur trop vaste et d'une âme altérée // D'un bonheur qui la fuit'). There is little doubt that the happiness of which Faust speaks is the happiness that he identifies in his 'Air de Faust' as resulting from anticipation of his union with Marguerite. And he plainly states that it was this very happiness that transformed his soul but which has now abandoned him and forced him to continue to strive rather than accept a less fulfilling 'solution'.

Faust's final aria, before he is tricked by Méphisto into a pact which sees him relinquish ownership of his soul, is one of Berlioz's most radical affronts to what we have come to understand, especially with regard to eighteenth- and nineteenth-century music, as being musically 'coherent'. In many ways—its harmony is, again, extraordinarily fluid, its structure is based on a long-range ascent, followed by a brief descent, and it is awash with chromaticism—it is the partner of 'Air de Faust' and, in a different sense, of the introduction. And yet it goes much further in its attempts to break out of tonality than did either of those numbers. Whereas 'Air de Faust' repays the effort of linear analysis, and is clearly monotonal, based on the prolongation of a single key, F major, a few bumps in the road notwithstanding, and 'Le vieil hiver', at least, conforms to a single key, 'Invocation à la nature', by contrast, proves a very slippery thing indeed for the analyst. The most difficult aspect, it seems, is to decide what key the work is actually in. It is, ostensibly, in C# minor, as indicated by the key signature, and the opening chord, but by the end of the introduction we find ourselves in F# minor, where the voice enters. The work's *Kopfton*, G#, only seems to emerge right at the end of the song and it

The musical score is presented in five systems, each with a vocal line (treble clef) and a piano accompaniment line (bass clef). The key signature is C# minor (three sharps: F#, C#, G#). The score includes the following elements:

- System 1 (Measures 1-13):** The vocal line begins with a melodic phrase. The piano accompaniment features a bass line with chords labeled F# minor, I, IV, V, and I. A dotted line indicates a melodic continuation above the staff. The lyrics "Nature Immense" and "Impénétrable et fière" are present.
- System 2 (Measures 14-23):** The vocal line continues with a melodic phrase. The piano accompaniment has a bass line with chords labeled Aug 6th and V. The lyrics "Je re - trou - ve ma force" are present.
- System 3 (Measures 24-35):** The vocal line continues with a melodic phrase. The piano accompaniment has a bass line with chords labeled Aug 6th, V, and I. The lyrics "ma voix aime a s'anir" are present.
- System 4 (Measures 36-45):** The vocal line continues with a melodic phrase. The piano accompaniment has a bass line with chords labeled I, IV, and V. The lyrics "D'un cœur trop vaste et d'une âme altérée" are present.
- System 5 (Measures 46-55):** The vocal line continues with a melodic phrase. The piano accompaniment has a bass line with chords labeled V and I. The lyrics "D'un bon-heur qui la fuit" are present.

Example 3.14: Foreground analysis *La Damnation*, Scene XVI, 'Invocation à la nature'.

descends to a cadence in C# minor, the ostensible tonic. Thus the vocal part, taken on its own, seems to 'progress' from F# minor up a fifth to C# minor. As a number of scholars have noted, the sketches reveal that the introduction was added at a late stage

in composition, perhaps to adjust for the fact of the C# minor ending.⁷⁵ The interior of the work, moreover, is tonally disorienting. Functional harmonic motion is kept to a minimum—another fact that obscures the sense of a stable tonality, Berlioz preferring smooth counterpoint—and the tonic, whether that be C# minor or F# minor, is consistently undermined such that C# is frequently reinterpreted as the dominant of F#, and F# is frequently heard as a pre-dominant chord in C#. The two tonalities, are, in a certain sense, paired.

This affront to tonal orthodoxy, I believe, conveys the sense of Faust's having come to a new conception of the relationship between man and society, or nature, by analogy with the irreconcilability of these two tonalities engaged in a never ending struggle. Berlioz's tonal structure, in 'Invocation à la nature', for instance, pushes tonal conventions to its furthest limits, without, in the end, abandoning it entirely. The song is given a sense of 'coherence', as we shall see, later, by virtue of another ascending linear progression in the middle-ground.

As noted above, the song opens ostensibly in C# minor but the introduction already presents an alarming challenge to conventional tonal syntax in that Berlioz has modulated, by the end of its 8 bars, to the subdominant, F# minor. Moreover the sequence of chords in the introduction is highly idiosyncratic. The 'progression', if one can call it that, from the opening bar to the F# in the bass at bar 5, is constructed from shifting harmonies under a common tone, C#, in the top voice. But there are also other oddities that seem to result from surprising chord substitutions. The under-seventh added to the tonic in the opening bar resolves not to a first inversion subdominant, as might be expected, but, rather, a very colourful, B♭ minor chord, in bar 2. Likewise the shift to a second inversion F minor chord, in bar 7, comes as a jolt, and could easily lead us to a cadence in F, before smooth contrapuntal motion converts it into a dominant 7th for the imminent cadence in the F# minor 'tonic', which arrives in bar 9, and on top of which the vocal part begins.

From here on after there are, perhaps, five important cadences in the work: to D♭ major in bars 12-13 (enharmonically equivalent to C# major), to D major in bars 16-17, to F major in bars 24-5, to C# major, again, in bars 36-7, and, finally, to C# minor in bars 47-9. The coda also features a 'modal' cadence, as a number of scholars have noted, including a minor dominant chord, in first inversion, rather than the more orthodoxly

⁷⁵ See Rushton, *The Musical Language of Berlioz*, 249. Berlioz may have intended to write a song in F# minor and, by the end, found himself in C# minor but, strictly speaking, the compositional genesis of the song does nothing to detract from the expressive quality of the result. This remarkable song may be the result of a happy coincidence but Berlioz clearly felt that its unusual structure was a suitable means to express Faust's feelings at this moment.

tonal major dominant.⁷⁶ Strictly speaking this cadence occurs outside of the fundamental structure but it nevertheless can be heard to contradict the 'victory' represented by the descent of the fundamental line. But for these rare moments of relative tonal clarity, the song is extremely difficult to make sense of in Schenkerian terms, due, largely, to the almost total absence, for the most part, of functional harmonic motion. Nevertheless some idea of goal-oriented motion can be grasped in a number of long-range chromatic ascents in the top voice supported by contrary motion in the bottom voices. This is the logic by which, it seems, the two latter cadences in C#, in bars 36-7, and later, in bars 47-9, are reached, and the way in which this otherwise amorphous work can be heard to articulate a 'coherent' structure.

The three cadences in C#, then, are rare points of tonal articulation. Each of them receives strong emphasis to mark them out as important. The first, in bar 12, comes at the peak of a local crescendo, and is sounded *forte*. One of the song's most important orchestral motives, the rising and falling bass surge, arrives to punctuate it.⁷⁷ The problem, here, however, is that coming after the strong cadence provided by the introductory measure, it can be read, as indeed Rushton does read it, as a half cadence in the tonic, F# minor.⁷⁸ This is perhaps even more apparent when in the following bars Berlioz adds a seventh to this chord to take us back to the 'tonic' F# minor. The next cadence, in the ostensible C# tonic, comes at bar 36. It is similarly reinforced by a *forte* dynamic and, significantly, it is sung to the words, 'With your sovereign noises my voice loves to unite' ('A vos bruits souverains ma voix aime a s'unir'). The immediate turn to F# minor in bar 38, then, seems to convey the hopelessness of this wish. Finally, the cadence that initiates the final descent, in bar 47, marks another climax, with another *forte* dynamic, and seems the most convincing, because not immediately contradicted, cadence of the whole work. As noted above, however, the modal cadence in the coda gives us some cause for doubt. Why then does Berlioz mark out these cadences so strongly only to immediately reject them? The music appears to be asking us to make a choice between form and syntax.

If we struggle to come out strongly on the side of C#, can we wholeheartedly embrace F# minor as the tonic of the work? The answer, unfortunately, is a resounding 'no'. Rushton points out that 'After bar 1 no chord of C# minor is heard until bar 47'⁷⁹ and he is right, since all the big cadences, except the last, are in C# *major* and are therefore,

⁷⁶ See, for example, Reeve, *'La Damnation de Faust'*, 178.

⁷⁷ Daniel Albright associates this surging bass motif with the primal forces of nature. See Albright, *Berlioz's Semi-Operas*, 126-7.

⁷⁸ Rushton, *The Musical Language of Berlioz*, 250.

⁷⁹ *ibid.*, 249. His emphasis.

Example 3.15: Deep middleground analysis, *La Damnation*, Scene XVI, ‘Invocation à la nature’.

arguably, more properly considered as half closes in F# minor. But the problem here is that there are very few strong cadences in F# minor at all, the one at the end of the introduction being, really, the sole exception. The resolution, in bar 15, of the C#7 chord of the preceding bar, comes only at the end of a sub-phrase, and is dwarfed by the half close of bars 12-13. The vocal line's descent to an A# at bar 15, for instance, continues

in the string part, down, chromatically, to a G#, which forms part of another C# chord, in the following bar. It thus provides for a sense of continuation rather than rest. And from there the music progresses to a brief close in D major. The cadential motion C#-F# in the bass at bars 19-20 also comes in the middle of a phrase. The bass part having reached F# it begins a descent that takes it back to the dominant, C#, in bar 22. Similarly, a German sixth in bar 31, resolves, in bar 32 to a dominant 6/4, in F#, proceeding to a root position dominant in the next bar and implying an imminent close in F# minor, but the cadence is evaded in bar 35, and the real goal seems to be the C# major cadential 'coup' of bars 36-8. The return to F# minor in bar 38, likewise, is immediately undermined, it seems, when its C# becomes the initiating tone of a long chromatic ascent, the goal of which is the *Kopftón*, G#, in bar 47.

Nevertheless, much of this music really *feels* like F# minor. If we hear much of it in this way, I argue, then it is more often the result of Berlioz shoring up C# major as a dominant, and thereby implying resolution onto F#, than it is as a result of F# minor imposing itself strongly on the surface of the music, the cadence at the opening notwithstanding. From bar 13 to bar 33, for example, Berlioz seems to be prolonging C# major as a dominant in the middleground and thereby prolonging F# minor 'at a remove', as it were, in the background. This seems to be the function of the subsidiary cadence in D major, for example, in bar 17 and the German sixth (also a D major-type harmony) in bar 31. In both instances Berlioz is able to provide a strong sense of resolution onto the dominant, with intervening V6/4 chords. The F major cadence in bar 23 then is in my view a variant of this augmented sixth chord rather than, as Rushton describes it, a pun on F#, since it shares two of its notes with the German sixth chord and only one with the 'tonic'.⁸⁰ In support of this view, I see the function of the passage in contrary motion, between the vocal part and the bass part, from the cadence at bar 23 to the augmented sixth chord at bar 31, as being essentially to convert this F major chord, through contrapuntal means, into a German sixth for the preparation of the local dominant in bar 37. The framing tones of this progression, for example, are F to A in the bass, followed by a skip up to D, supporting the German sixth, and A to C natural in the vocal part.⁸¹ These framing tones thus outline the F major harmony before giving way to the D7 chord that functions as a German sixth.

To summarise, then, it is possible to construct a linear reading of the song with the qualification that any long range structures we might hear are there more by their insistence on the surface of the music than by a strict Schenkerian logic. Consider for

⁸⁰ *ibid.*, 250.

⁸¹ I see no reason to divide this line at bar 26, as Rushton does, since the chromatic descent in the bass and ascent in the voice is unbroken in both parts until bar 31. See Rushton's middle-ground analysis in *The Musical Language*, 251-2.

instance the three cadences in C# (major or minor). In each of these rare points of tonal clarity, for instance, the top note of the vocal line establishes a different pitch of the C# major triad (C# at bar 12; E# at bar 36; G# at bar 47) before then descending through the fundamental line. The controlling tone from the opening bar to the cadence in bar 36 is without a doubt the tonic pitch, C#. In the half cadence in bar 12 the voice leaps up to an F natural (enharmonic of E#) but this is really only a covering tone, a sudden burst of uncontrollable excitement from Faust, perhaps. At the same time, however, and in much the same way as in 'Air de Faust', this tone plants itself in our musical consciousness. At this point in the music Faust is singing about nature as being 'impénétrable et fière' (impenetrable and proud). The coincidence of these words with this important cadence might suggest a certain stage of the development of Faust's consciousness with regard to nature. The idea, that is, that nature is separate from man, insurmountable, and incomprehensible. Indeed, each point of tonal articulation seems to coincide, roughly, with points of clarity in the poetry.

With the next appearance of this tone, in bar 23, at the F major cadence, then, Faust seems to realise that his engagement with nature is one of the primary means by which he is able to realise himself: 'Je retrouve ma force et je crois vivre enfin' (I find again my strength and believe that I finally live). The next linear motion is the above-mentioned contrary motion between the voice and bass parts. The goal of this motion, it seems, is the cadence in C# major in bars 36-7. I argue that this E# must be heard as an important structural tone, *pace* Rushton, since it has been planted so convincingly in our consciousness from very early on in the work, as a goal.⁸² I therefore see the #3-2-1 descent at this cadence as prolonging E#. Once again the text seems to mark the moment as important. Faust now seeks unity with nature and thus as no longer separate to him.

True, C# does return at the cadence but it is absent from the vocal part when F# minor returns in bar 38, relegating it, instead, to an inner voice. And besides, its real function is to initiate an unbroken chromatic ascent to the *Kopftón*, G#, in bar 47. From the cadence in bar 37, then, it is possible to hear the music as being grounded in C#, not F# minor. The A \flat 7 chord that appears in bar 41, for instance, feels more like a half close in the ostensible tonic that is thwarted by its being reinterpreted as an augmented sixth chord. By the attainment of the *Kopftón*, then, Faust seems to have progressed from a conception of nature as impenetrable to one with which he dreams to unite, to, essentially, an understanding of man's relationship with nature as a site of constant conflict. His heart is too vast, he exclaims, and therefore cannot find fulfilment in a simple unity with nature. He embraces the lack at the centre of his subjectivity.

⁸² Rushton sees this cadence as, essentially, a local event. See *ibid.*, 253.

My reading of the work, then, is that it is based on a long-range arpeggiated ascent to the *Kopftton*, G#, in bar 47. It should be clear from this analysis that I do not entirely agree with Rushton's suggestion that a *Kopftton* that arrives this late in the work cannot really be considered to have initiated anything.⁸³ Rather, I see the work as being based on a massive expansion of the area normally considered to exist, strictly speaking, outside of the work's structure—the initial ascent. And I see in this structure a reversal of classical tonal syntax whereby a goal is established early on in the work the remainder of which is then directed towards achieving it. In 'Invocation à la nature', by contrast, the idea seems to be that there is a goal, certainly, but we remain in the dark, for the most part, about what that goal will turn out to be. This I take as being negative dialectical, based on the idea that history has some sort of immanent logic but that it is impossible to know, during the course of its unfolding, where it is leading and whether, ultimately, it is leading to salvation, or, as in this instance, to damnation.

X. Some conclusions

Katherine Reeve suggests that it is 'usually taken for granted that Berlioz's ending supplies an edifying moral, whereby Faust is punished for his mistreatment of Marguerite while she is wafted back to a realm of pure spirit that she supposedly originates from and would never have left, were it not for Faust - or the devil'. Her main problem with this line of criticism, she says, is that 'Faust is punished at the very moment his new-found pity and terror make him worthy of salvation.'⁸⁴ But what she neglects to mention is that Faust seems still happy to enlist his companion, Méphisto, a representative of humanity's more sinister, more ruthless side, in the pursuit to save Marguerite, and thereby condemns himself with this association. The ending, here, is not really, then, very different from the one suggested at the end of Goethe's Part II where Faust is resigned to the fact that, in order to carry out his work on the world, he requires the help of Méphisto. This is the final tragedy but it is only a tragedy in the 'small world'. The angels' message to Marguerite to keep hope is suggestive of a future redemption and Berlioz has clearly set out what such a redemption will look like even if this is not achieved in this work.

Reeve also casts some doubt on the redemptive potential of Marguerite's love for Faust in the Apotheosis. She argues that while we are told that 'Marguerite is saved...because (in the Gospel phrase) she has 'loved much': Elle a beaucoup aimé, Seigneur'. This sentiment is overturned immediately, in the next stanza, where 'love is branded as the

⁸³ Rushton, *The Musical Language*, 252.

⁸⁴ Reeve, 'The Damnation of Faust' 166-7.

'error', that 'altered' her 'primitive beauty'.⁸⁵ This represents a slight misreading in an otherwise excellently argued essay. Is there really nothing, for instance, for which we can condemn Marguerite? She has, after all, inadvertently murdered her mother in pursuit of her love for Faust. That, surely more than her transgressions against her society's moral code with respect to love outside of marriage, was her 'error', and it was an error committed in the name of love. I think we have cause to take the ending at face value and to see the work, in one sense at least, as a celebration of the redemptive capacity of love.

A broad sweep of the work, then, sees a Faust, in the introduction, manifesting a typically Romantic *Naturphilosophie* seeking a return to a state of nature and a solitary existence, in his words, 'away from human struggle and from crowds'. The political implications of this are quite clear. Faust seems to see the modern world as a site of conflict and jealousy. He states plainly that this is the product of human 'society' and 'collaboration'. Nature, by contrast, is, for him, a sort of means of escape. His solution to the angst that he feels in relation to the modern world, then, is entirely regressive and is no doubt part of the reason that he still suffers from *ennui*. He appears to want to undo all that modern civilisation has brought along with it. If we are to attach this to a musical aspect of the introduction we could do worse than to find an analogy between the introduction's ultimately 'untested' D major tonality and an idea of nature as being absent of conflict. The introduction of the sounds of humanity which come, crucially, after Faust has exited the work, are the first stirrings of culture in the natural world, but Berlioz does not allow these contrasting elements to emerge in a properly dialectical conflict with nature as nature's 'equal'. Rather, these external elements are seen as a threat that needs to be extinguished. The result is the reassertion of nature—and D major—over and above culture. Nevertheless, despite all of Faust's declarations to the contrary, there is the suggestion that Faust is not entirely happy, as modern man, in a state of nature. He is therefore inclined to search for something else.

We are given more insight, in the following scenes, into Faust's opinion of these manifestations of human life. The philosopher seems more positively disposed towards the rural community than he does the marching soldiers. This, perhaps, is entirely in keeping with his romantic *Naturphilosophie*, since the rural community is, from the perspective of nineteenth-century society, close to nature; a pre-modern, primitive, example of human society. Nevertheless we do witness an example of vice in the adulterous advances of a man towards another dancer. Faust expresses a desire to share in the peasants' happiness but he is quite clearly marked as an outsider or onlooker by virtue of his music being superimposed on theirs. Slowly there begins to emerge a sense of conflict, then, between Faust as a representative of rational modern

⁸⁵ *ibid.*, 166.

man and more primitive modes of human existence. And although Faust seems to demonstrate a regressive tendency with regard to modern society, he nonetheless cannot reconcile his own personality, his own 'modernity' with these primitive modes of existence. There is always a sense that this regression is not a real solution to the conflicts of modern existence. The most plain example of such conflict is given in the next scene, with the arrival of the Hungarian army, which leaves Faust feeling cold. Here, I think Reeve is right to disagree with Hofer's suggestion that Faust's dissatisfaction with the world might have been alleviated by engagement with the military.⁸⁶ Rather, the contrast presented is that between two entirely different conceptions of society, between a much longed-for communion between men that the rural community suggests, and a rigid, disciplined, violent community of men represented by the marching soldiers. And yet, it should be noted that Faust is not entirely cold to such groups, as his marching with the soldiers and students later demonstrates. Another example of Faust's ambivalent position with regard to archaic modes of existence comes in the next scene where the philosopher overhears the Evening Hymn. His reference to his own childhood, and the happiness provided by religion, can here be interpreted as a reference, also, to the childhood of man. Once again the conflict emerges between modern forms of life, this time post-Revolutionary secularism, and archaic forms of existence. And it is an ambivalent position because there is a sense, as ever, that something has been lost in the abandonment of religion but we nevertheless, as rational modern men, cannot return to a pre-modern existence.

Faust is thus stuck in quite a bind. As a philosopher, perhaps, he is more attuned to the contradictions facing him in modern existence. In this sense the first scenes of the work could plausibly be considered figments of the philosopher's imagination. It is as if Faust is testing out the various options available to modern human subjects as a means to self-actualisation. But he finds no solution there and decides, ultimately, to 'kill his reason', or at least to blunt it, and to return to a state of ignorance before the Fall where his life might have meaning. Religion, it appears, is the only thing that might console him, as it is the Evening Hymn that stops him from taking the potion that would kill him. But enter Méphisto, the 'spirit of life', who effectively saves Faust and seems to offer him a way of living a modern existence that is not devoid of meaning. Leave the rubbish of philosophy, he says, and engage in life. This is a vital lesson. It is the most progressive 'solution' that has presented itself to Faust so far. Rather than retreat from modern life into a somnambulistic state, Méphisto bids Faust to engage with the world. Ultimately, whatever Méphisto's true intentions, this is what leads Faust to conclude that humans and their world are engaged in a dialectical struggle: that humans can change the world by engaging with it. Faust at this point makes a clear choice to be modern.

⁸⁶ Reeve, '*The Damnation of Faust*', 154.

Méphisto offers Faust, in Auerbach's cellar, a poor substitute for the meaning that religion, nature and community, offered men. In place of these archaic modes of existence, for example, Méphisto seems to offer a Dionysian 'liquidation' of the individual as a replacement for the community between men that the Peasants' Dance represented. But he also eventually offers Faust the idea of love. To my mind, then, Méphisto is a sort of cypher for the nineteenth-century subject's ambivalent relationship to society in that he encourages action and productivity in his human agents by giving them a clearly defined goal, and thereby gives meaning to their lives, but then appears to thwart them in their ability to achieve that goal. Is this not precisely the problem of bourgeois ideology in that it promotes some of the greatest ideals of humanity but at the same time props up an economic system which makes the realisation of those ideals an impossibility? Berlioz makes this clear by having Méphisto, the emblem of society, implicated in every one of Faust's relationships with other people first by having Méphisto present the idea of Marguerite to Faust and then by having Méphisto seduce Marguerite for him. This last amendment of the original is all the more significant in that it seems to represent the exact nature by which bourgeois society gives rise to the idea of love and then prevents its free consummation.

Nevertheless, this moment represents a significant turning point in the drama in that Faust has come to realise that pursuit of a goal within modern civilisation will give his life some meaning. His aria seems to make this clear in that its structure is 'about' a gradual unfolding of an idea, the clarification of which brings about the descent to the tonal goal. Despite a number of harmonic 'sores', for instance, the aria is nevertheless perfectly understandable, in Berliozian terms, at least, as a relatively orthodox tonal structure. A stable tonality is clearly established at the beginning, is subject to some opposition, but returns with a newfound clarity at the end. At this point in the drama, however, it seems that Faust does not yet have an entirely dialectical view of the love relationship. He appears to view it only from his own perspective, as being about the satisfaction of his own desire. In other words, he does not yet consider Marguerite to be another human subject with her own wants and desires, but, rather, he sees her as a passive object to be 'conquered'. The language of the later love duet, as noted above, is also instructive in this regard. But this approach to the love relationship, perhaps, is also reflected in the commensurability of the aria with orthodox tonal structures, as a manifestation of Faust's pursuit of love within the bounds of his social (musical) environment. None of this is to detract from the expressive power of the aria, however, since the musical language at least points to the transformative power that love has on Faust even within the bounds of (relatively) orthodox tonal structure.

With 'Invocation à la nature', however, another lesson appears to have been learnt and it is significant that it was learnt in the wake of his relationship with Marguerite. We learn from her 'Romance' that Faust has abandoned her. Although nothing in the libretto

helps us to understand why Faust has abandoned Marguerite we can surmise that the idea of love that Méphisto planted in Faust's mind was not borne out by the reality. The implication, therefore, is that while it was Méphisto who presented an idea of love to Faust, this idea of love could not be sustained under the conditions set by Méphisto (society's representative). Faust's strange relationship with Méphisto (and society) is encapsulated in the dialogue at the beginning of the trio when Marguerite asks Faust who this strange figure is. Méphisto answers that he is a friend (he sings, gleefully, 'un ami') but Faust rebuts him immediately and describes him as a fool (with his harsh, brusque, 'un sot'). Faust thus turns away from the world, again, and addresses nature once more, perhaps because, as Reeve has suggested, nature is, unlike Marguerite, impenetrable, and therefore not corruptible.⁸⁷ I prefer to think, rather, that Faust's disgust is not directed at the now 'impure' Marguerite but at himself for having engaged in love on society's terms. For being, in other words, no better than the drinkers in Auerbach's cellar. He appears to have recognised that love under certain social conditions debases both members of the relationship, the man for the act of violence he carries out on the woman, and the woman, in the eyes of society, at least, for 'submitting' to the man, and thereby ruining herself. The problem for Faust now appears to be to seek a love that does not result in the violation of its object. But this would require a complete overturn of the co-ordinates of bourgeois ideology.

The beauty of 'Invocation à la nature', then, is that it provides another step along the way to this re-orientation in, musical terms, in its radical affront to tonal orthodoxy, most obviously manifested in its rejection of the notion that a piece must establish a single tonality at the expense of another. At the same time, however, the linear shape of the work, like 'Air de Faust', seems also to give expression to Faust's gradual realisation of a new relationship with the world in that it rises up through another long-breathed ascent before giving way to the first moment of tonal clarity. This is the point in the work, then, that Faust appears to come to a proper dialectical understanding of the relationship between himself and the world by analogy with the dialectical tension existing between these two key areas. 'Invocation à la nature' pushes tonality to its limit. While Faust is ostensibly addressing the natural world, I argue that nature could be a metaphor for any number of things. Most obviously it is a metaphor for the relationship between humanity's capacity for innovation and the world as a natural limit, whether that world be considered a natural world or a social one. In this aria, the expression required for Faust's exclamations effectively causes a revolution in musical form that overturns a monotonal hegemony. Thus the journey Faust has embarked on, throughout the entire work, has seen him progress from a regressive desire to retreat from the world into nature (in the Introduction) to a willingness to seek fulfilment within society, to go out into the world, and to pursue a goal (in 'Air de Faust'). But it is in 'Invocation à la

⁸⁷ Reeve, 'The Damnation of Faust', 184.

nature' that he comes to his most profound understanding of his relationship between himself and the world as a site of constant struggle. It is here, for example, that he seems to understand the reciprocity between his actions in the world and his personality. In other words, he comes to see nature (and Marguerite) not as an object to be dominated but, rather, as having their own 'subjectivity' and he realises that by interacting with the world he is able to change it. Rushton's words seem, as ever, apposite, in 'Invocation à la nature' 'Faust aspires to completeness, through reconciliation with nature; the music also aspires.'⁸⁸

In conclusion, Berlioz's *La Damnation de Faust* demonstrates a striking commensurability, at the level both of musical and textual detail with the concerns of the German Idealists, and Goethe and Hegel in particular. This chapter's main contribution to knowledge lies in its synthesis of the insights provided by Albright and Reeve into the libretto and the music analytical insights of Rushton. But combined with Lukács's reading of Goethe's *Faust* as a literary analogue of Hegel's *Phenomenology of Spirit* it has grappled afresh with the intersections between tonality, heroism, and German Idealist philosophy as they pertain to Berlioz's work. From the point of view of the libretto, then, I have suggested that its structure operates according to a typically Goethean dialectic between good and evil and that this dialectic that motivates all action and movement in the work. The work as a whole can be considered in negative dialectical terms, just like *Harold* before it, as presenting, at the end, the disjunction of subject and object. In this respect it might be considered a dysphoric structure i.e. one that goes from a state of disjunction to a state of conjunction before returning to a state of disjunction once more (as opposed to a euphoric structure which progresses from conjunction to disjunction to conjunction again). But the hope suggested by the angels cuts through the differences between these narrative outcomes by pointing to a space outside of the work.

Musically, I have pointed to the idea of the *Ursatz* as an important structure for the expression of an autonomous subject. The progress of the work in musical terms, then, can be summarised as the emergence of Faust as a self-contained subject—in the more orthodox tonal structure of 'Air de Faust'—followed by his rejection of a symbolic order which imposes this subjectivity on him and his embrace of the lack at the centre of his subjectivity as a positive force. This latter idea is to be associated with the destruction of the *Ursatz* and the replacement of a tonic-dominant hegemony with an alternative dialectic in 'Invocation à la nature'. This analysis has also allowed us to negotiate and to partially 'deconstruct' the cultural chasm often perceived to exist between French and German cultural products without in any way attempting to dismiss important differences in style. It is to suggest that despite the apparent differences in these two

⁸⁸ Rushton, *The Musical Language of Berlioz*, 253.

cultures and their stylistic traits there nevertheless exists a parallel concern about the dangers and the benefits posed to human civilisation in the ceaseless pursuit of progress and the rupture between the self and the world that occurred with the advent of modernity. In the next chapter, we move onto full-blown opera, in an investigation of Berlioz's penultimate large-scale work, *Les Troyens*. In so doing we move from the 'small world' of *Faust* Part I, to the 'big world' of *Les Troyens*. Here, for example, the love relationship between Énée and Didon takes place, by contrast with *La Damnation*, on the world-stage as a clash between civilizations.

Chapter 4. *Les Troyens*, love, history, and 'Chasse Royale et Orage'

I. Introduction

Les Troyens is frequently described as Berlioz's magnum opus. For David Cairns, for instance, 'it is his greatest score and his most daring and eventful – a conscious summing-up and a reaching out into new regions';¹ for Rushton, it is the 'culminating work of his career'.² Berlioz composed it against his better judgement that he was unlikely to see it performed in his own lifetime. By all accounts, including the composer's own, it was Princess Sayn-Wittgenstein, a woman of formidable intellect, and long-time partner of Liszt's, who finally convinced Berlioz to put pen to paper, despite the odds stacked against him. Berlioz frequently consulted the Princess throughout the entire period of the work's gestation. It is for this reason that we seem to know more about the genesis of this work than any other work by Berlioz. Their correspondence gives us a delightful insight into Berlioz's compositional process and his sense of artistic or dramatic truth.³ Ernest Newman once speculated that the Princess had an ulterior motive in seeking a composer able to write a work large enough and serious enough to challenge the dominance of the music dramas of Richard Wagner in the wake of somewhat frostier relations between Liszt and the German composer.⁴ History would suggest that Berlioz did not succeed in this respect since Wagner's operas came to define musical aesthetics in the early twentieth century. It was Wagner's music dramas, not Berlioz's operas, that twentieth-century composers in Europe positioned themselves in relation to, much like nineteenth-century composers with regard to Beethoven's symphonies. By almost any other measure, however, there is little doubt that Berlioz was successful. For *Les Troyens* is a formidable work. Not as frequently performed as Berlioz's idolaters—as Charles Rosen describes the Berlioz clique—might wish, it is, nevertheless, an object of great adulation from a large number of respected music critics.⁵ Edward Said, in a review that originally appeared in *The*

¹ Cairns, *Servitude and Greatness*, 598.

² Rushton, 'Genre in Berlioz', in Bloom ed., *The Cambridge Companion to Berlioz*, 51.

³ Cairn's translates and reproduces many of the letters he sent to her and to others, in 'The Trojans', *Servitude and Greatness*, chapter 22, esp. 603-27. For a discussion of Berlioz's relationship with the Princess see, Gottfried S. Fraenkel, 'Berlioz, the Princess and *Les Troyens*' in *Music & Letters*, 44, no. 3 (1963), 249-56.

⁴ See Ernest Newman, 'Les Troyens' and 'The Ring', in *Berlioz, Romantic and Classic*, ed. by Peter Heyworth (London: Gollancz, 1972), 227.

⁵ See Charles Rosen's chapter on Berlioz, 'Blind Idolators and Perfidious Critics', in *The Romantic Generation* (Cambridge, MA: Harvard University Press), 542.

Nation, for example, states that ‘for sheer grandeur of scale, elevation of style and audacity of conception, Berlioz’s last opera, *Les Troyens* (1863) [sic], is *The Ring of the Nibelung*’s only nineteenth-century competitor’.⁶ Paul Robinson, similarly suggests that ‘Hector Berlioz’s *The Trojans* is one of the great operas of the nineteenth century, comparable to Verdi’s *Otello* or Wagner’s *Tristan und Isolde*’.⁷

Despite the acclaim the work has received, it has not provoked a great deal of critical interest. I believe that Berlioz’s work demonstrates a serious engagement with some of the most profound issues of the nineteenth century and that this engagement has not been sufficiently explicated in the discussion of Berlioz’s work. One exception to this rule is Robinson’s chapter on the opera in his book, *Opera and Ideas*, in which he suggests that Berlioz’s opera ‘is a musical embodiment of the Hegelian idea of history’.⁸ Robinson’s attempt to locate his reading in the specificities of Berlioz’s score is an admirable one. The insights that he gleans from his listening are invaluable and speak to an intuitive sense of the work’s unity of concept. His ideas have had a profound influence on this chapter. Nevertheless, I believe there is still much to be said of the way in which the opera deals in such grand ideas. There remains a need to explore such issues in relation to the close details of the score. The way in which ideas are ‘translated’ or ‘discussed’ in music is a rather sketchy one and involves a great deal of speculation. But few would argue that music is incapable of producing meaning in some way or another—except, perhaps, some postmodernists and, somewhat ironically, some formalists. And if some loss of specificity is the cost of such speculation then so be it. Recent, and not so recent, developments in musical semiotics, however, have attempted to codify the ways in which ‘meaning’ manifests itself in musical texts. My task in the following, then, will be to interrogate the ways in which Berlioz’s work ‘means’, attempting, as far as possible, to ground my insights in a close reading of the work in question. An entire book could be devoted to this opera. Since I only have the space of a single chapter, however, and since I want to give as close attention to the music as possible, my analysis will necessarily be selective, focusing on an individual number instead of entire acts.⁹ I will nevertheless endeavour to give a broad account of the whole opera in terms of plot.

⁶ Edward W. Said, ‘*Les Troyens*’, in *Music on the Limits* (London: Bloomsbury, 2009 [2008]), 182.

⁷ Paul Robinson, *Opera and Ideas* (Ithaca, NY: Cornell University Press, 1985), 101.

⁸ *ibid.*, 190.

⁹ For an analytical overview of the entire opera see Rushton’s ‘The Overture to *Les Troyens*’, *Music Analysis*, 4, no. 1 (1985), 119–44; also, Louise Goldberg, ‘Aspects of Dramatic and Musical Unity in Berlioz’s *Les Troyens*’, *Journal of Musicological Research* 13, nos. 1–2 (1993), 99–112; Kemp, ‘The unity of *Les Troyens*’, and Rushton, ‘The musical structure’ in Kemp ed., *Les Troyens* 106–18 and 119–49.

The opera was written at a time in which Berlioz was no longer experiencing the sorts of financial difficulties that had plagued him for most of his life. His father had died in 1848 and Berlioz, as the eldest male in the family, had inherited whatever wealth and assets had been left behind. This financial security is part of what allowed Berlioz to fulfil a task that he had dreamt of undertaking for most of his life. He often spoke, in his letters, of the importance of him completing this task regardless of its prospects for performance and he even turned down a small fortune offered to him to take up a conducting position in the United States since, he said, it would not be in the service of art to abandon his project.¹⁰ Berlioz gives the impression, then, of writing for posterity's sake. It is becoming unfashionable to suggest that some works in a composer's output are more 'sincere' reflections of their thoughts than others, but the emancipation of the artist from aristocratic patronage posed very real material problems for artists in the nineteenth century and resulted in a situation whereby less 'sincere' works might subsidise more serious ones.¹¹ Composers often had to rely on state commissions and this could mean appearing to endorse political regimes or movements now seen as problematic. So-called 'autonomous' artworks, then, gave composers an opportunity to reflect on more 'universal' questions of human experience—to abstract, to some extent, from their immediate political contexts. This aspect of the notion of artistic autonomy tends to get side-lined, nowadays, in favour of discussions of the way in which this concept is bound up with problematic questions relating to, for instance, gender, sexuality or the body.¹² I do not, of course, wish to shut down such discussions but I do want to suggest that such readings are in danger of missing what is truly emancipatory about such works. I argue, then, that Berlioz's most profound thoughts on his social situation are not necessarily to be found in his explicitly political works but in so-called 'autonomous art'. A good reason for undertaking an analysis of parts of *Les Troyens*, then, might stem from a belief that, as the most ambitious artistic project of his life, the opera is likely to reflect the composer's most profound thoughts on the nature of nineteenth-century subjectivity. Before commencing the analysis of 'Chasse Royale', however, it is necessary to provide some comments on the work's plot.

II. Plot

¹⁰ See the letter to the Princess dated 30 November 1857, *Correspondance Générale*, V, 1855-1859, 509.

¹¹ Consider, for instance, Nicholas Cook's article, 'The Other Beethoven: Heroism, the Canon, and the Works of 1813-14', in *19th-Century Music*, 27, no. 1 (2003), 3-24, wherein Cook critiques the various 'apologists' for Beethoven's 'worst works', *Wellingtons Sieg* and *Der glorreiche Augenblick*, and comes to the conclusion that such apologia bear out the romantic myth-making that resulted from critical reception of 'Beethoven Hero'.

¹² For an example of this sort of scholarship as it relates to Berlioz see, for instance, Inge van Rij, 'Exhibiting Other worlds: *Les Troyens*, museum culture, and human zoos', in *The Other Worlds of Hector Berlioz*, 245-319.

In many ways, the mainly instrumental number (it includes a small choir towards the end), 'Chasse Royale et Orage' (Royal Hunt and Storm), which opens Act IV, is the crux point of the entire opera. As such it can be seen as representing, in microcosm, the concerns that the opera seeks to deal with and to question. Moreover, it is an exceedingly rich piece of music and has received scant analytical attention aside from a brief commentary by Ian Kemp.¹³ It is therefore apt for an interrogation of the way in which music, and in particular Berlioz's music, can be seen to 'discuss' ideas. On a basic level, it is the moment at which Énée and Didon consummate their love. It is the first time that the two most important forces of the opera—love and history—confront each other and it sets the scene for the ensuing Act IV, which is devoted almost exclusively to an exploration of romantic love. The music of this scene accompanies a ballet on stage and Berlioz's stage directions provide us with something close to a programme of events. In the previous act we had encountered Queen Didon, and her Carthaginian subjects, celebrating their prosperity. Didon is depicted as a benevolent monarch, ruling over a prosperous nation that values and celebrates its workers. For this reason some have gone so far as to describe Carthage as modelled on the ideas of utopian socialists such as Saint-Simon and Fourier with which Berlioz had flirted as a young composer.¹⁴ Despite the happiness of her people and their bountiful harvest, however, Didon confesses to her sister Anna that she is unhappy. The reason for her unhappiness, it emerges, is that she finds herself incapable of love ever since the loss of her husband. Anna reassures her that she will indeed find love again and thus opens up a narrative possibility in which Didon's yearning for love finds its fulfilment.

Enter Énée and his troop of Trojan Soldiers. The last we had heard of Énée was, in Act II, from the mouth of the prophetess, Cassandre, who had revealed in a vision that Énée and a group of soldiers had escaped besieged Troy with the Trojan gold. Cassandre predicts that Énée and the surviving Trojans will go on to found a new civilisation in Italy and that Énée's ancestors will come to dominate the world. It is in Italy where Énée is destined to succumb to a heroic death. He is charged with the task of the deliverance of the Trojan people, whose fate is reflected, musically, in the transformations of the recurring Trojan March throughout the work.¹⁵ On their way to Rome, their promised land, the Trojans must brave the perilous sea. After they leave Troy the next we hear of

¹³ Ian Kemp 'Commentary and analysis' in Ian Kemp ed., *Hector Berlioz: Les Troyens* (Cambridge: Cambridge University Press, 1986), 150-7.

¹⁴ See, for instance, Rey Longyear, 'Political and Social Criticism in French Opera, 1827-1920', in Robert L. Weaver ed., *Essays on the Music of J. S. Bach and Other Divers Subjects: A Tribute to Gerhard Herz* (Louisville: University of Louisville, 1981), 248-9; see also, William Fitzgerald, 'Fatalis Machina: Berlioz's *Les Troyens*', *Materiali e discussioni per l'analisi Dei testi classici* 52 (2004), 202.

¹⁵ For an analysis of the role of the Trojan March throughout the work see Goldberg, 'Aspects of Dramatic and Musical Unity in Berlioz's *Les Troyens*', 106-7; for a commentary on the March as it was heard in the finale to Act I, see Kemp, 'Commentary and analysis', *Les Troyens*, 157-61.

them is from the mouth of a Carthaginian in Act III. The Trojans have got into trouble in the sea and seek refuge from the people of Carthage, who happily oblige. This moment arguably parallels the Trojans' earlier mistake of bringing the horse left by the Greeks into their city in that, unknown to the people of Carthage, it will spell their doom. The Trojans come to shore with Énée disguised under a cape so as to go undetected by the Carthaginians. Meanwhile we learn of an impending threat to the people of Carthage from an invading army, the leader of which wishes to force Didon to marry him. The Trojans agree to help the Carthaginians repel the invading force and Énée, in a great example of dramatic revelation, comes out from under cover of his disguise ('Je suis Énée') to lead the army against the invaders and to display his heroic credentials to an admiring Didon.

By the end of the third act, then, Berlioz has opened up two significant narrative possibilities that correspond to the two major preoccupations of the opera: the heroic destiny of Énée and the deliverance of the Trojan people, and the fulfilment of Didon's desire to love and be loved. It will be the task of the remainder of the opera (Acts IV and V) to find a way to reconcile these competing narratives or, alternatively, to demonstrate the impossibility of such a reconciliation. The differences between the two characters are instructive. The development of Énée's personality, the condition of his self-actualisation, is that he accept his destiny and fulfil his 'contract' with society. His acceptance of his destiny, of course, proves fatal for Didon, who is effectively sacrificed for the cause. The development of Didon's personality, on the other hand, the condition of her self-actualisation, is that she fall in love. Didon, for example, has arguably already obtained what Énée seeks: a new homeland. Didon and her followers, similarly to Énée, were refugees from their homeland but were able to settle and to prosper in Carthage. Didon is therefore now able to seek love as an end in itself not as a means to an end but she relies on Énée for her self-actualisation where he does not rely on her. This becomes even more apparent when Énée successfully repels the threat of an invading army. As such the relationship is not an equal one, since Didon depends on Énée for her survival and the safeguarding of her home. True, Énée is undoubtedly enriched by his love of Didon, she saves him from his wayward journeying at sea, but the conditions of his self-actualisation are not fulfilled by his relationship with Didon alone. The outcome, then, is destined to be tragic for either Didon or for Énée. There is no solution that would allow for the self-actualisation of both parties. Neither one of the pair can fulfil their social obligations and exercise their natural capacity to love. It is significant, then, that Didon acts as a benevolent 'mother' to her people whereas Énée is the symbolic 'father' to his. In other words, Didon stays at home while Énée goes out to work and the result, as we learn from the conclusion to the opera, is a relentless conflict between Carthage (Didon, female) and Rome (Énée, male) with the latter ultimately gaining the upper hand. The nature of this conflict mirrors exactly the unequal nature of sexual relationships in a patriarchal-capitalist society in which a woman is economically dependent on a man, a

situation which sustains and is sustained by the institution of private property and inextricably linked with the notion of inheritance along paternal lines. In order to safeguard a patriarchal system of private property along male lines of inheritance, for example, monogamy for the woman is enforced by her economic dependency on a man. Resolution of this conflict would therefore require an organisation of society that cannot yet be symbolised. Either love has to submit to the socially accepted form or society will have to evolve to allow love to flourish.

In narratological terms this plot can be profitably reduced down to its actorial functions such that Énée, as subject, seeks *Italie* as object. Didon, from the perspective of Énée's achieving his goal, is cast as both helper, when she gives refuge to the Trojan people, and obstacle or enemy, when she falls in love with Énée and diverts him from his object. On a smaller scale, however, Didon is also a love-object for Énée. We can also view the narrative from Didon's perspective. Here, Didon as subject seeks Énée as object. An invading army, the leader of which wishes to force Didon to marry him, is one enemy or obstacle, another being Didon's reluctance to relinquish the memory of her former husband. Here Énée functions as the helper in both scenarios. He repels the invading army and he tells Didon about the fate of Andromache, who was re-married after the death of her beloved Hector. Énée's recounting of this story appears to give Didon the justification she needs to fall in love again. Énée's son, Ascagne, also acts as helper to both Énée and Didon when he removes the ring from Didon's hand, allowing her to overcome the loss of her husband. Énée's securing the love of Didon, however, is only a short-term goal in a larger narrative structure. At the level of the act, Énée as subject seeks conjunction with Didon as object, but at a higher level of narrative structure—that of the whole opera—Didon functions as an obstacle to Énée. This mismatch of narrative structural levels proves tragic for Didon and Carthage.

What gives the opera its epic character, and at the same time demonstrates its indebtedness to French Grand Opera is the way in which the fates of entire peoples are bound up with the fates of individuals.¹⁶ More concretely, the fates of the people of Carthage and Troy are tied up with the fates of their leaders. This traversal of the private and public spheres demonstrates a concern for the competing demands of individual will and social obligation and the reconciliation of love and law, the compatibility of which was a central concern of the period in which the bourgeoisie was in its political and economic ascendancy. I argue that Berlioz stages the irreconcilability of love and law in the way he adapts the story of Didon and Énée in order to provide a critique of the bourgeois conception of romantic love. In so doing he demonstrates the two-fold character that is so typical of bourgeois ideals in that it at once provides the conditions

¹⁶ For a discussion of Grand Opera and its relationship to Berlioz's work see Kemp, 'Les Troyens as 'grand opera'', and David Charlton, 'On the nature of 'grand opera'', in Kemp ed., *Les Troyens*, 89-93 and 94-105.

for which romantic love can arise at the same time that it prevents its realisation. That Didon and Énée's love is a specifically bourgeois conception of love, for example, is indicated in the insistence that it is entered into by two free-acting individuals by stark contrast to the forced marriage that Didon is threatened with by the invading army repelled by Énée. The space Berlioz gives to the theme of love, virtually the whole of Act IV, alone indicates how much he cherishes this ideal. That the irreconcilability of love and law is the result of impersonal historical forces is dramatised in the machinations of the gods, the Trojan ghosts, and the intersubjective element whereby Énée's destiny is bound up with the destiny of the Trojans as a whole, who press him to go on to *Italie*.

The number 'Chasse Royale et Orage' is the closest thing the opera has to a prelude or overture to any of its five acts.¹⁷ I have argued throughout this thesis for the intersection between musical structures and the history of ideas based on Scott Burnham's assertion that the music of Beethoven's middle period style can be seen as giving the most cogent expression of burgeoning ideas of the self and that, the institution of musical analysis having grown out of a preoccupation with Beethoven's middle period works, to analyse music is always already to be interrogating questions of subjectivity. I noted above that the way that music 'means' is often quite a sketchy process. I nevertheless take it as axiomatic that every aspect of a musical text contributes to a meaning and that that meaning results from a dialectical interplay between introversive and extroversive aspects of the music. Introversive semiosis equates roughly with a concern to elucidate aspects of musical structure while extroversive semiosis equates roughly with a concern to elucidate aspects of the work that have extra-musical referents. In other words introversive semiosis is self-referential while extroversive semiosis refers to something outside of the work—a dance, an historical style, etc. I follow Agawu in taking this distinction to be, ultimately, a false one since any musical 'sign' can be dissected into its purely musical elements and, similarly, aspects of structure are capable of being expressive. To get at a possible 'meaning' of a work, then, neither the expressive nor the structural domain can be ignored. If topics nevertheless allow the listener to arrive at a musical 'plot' to understand what is being discussed in the music, then structure allows us to understand the musical 'essence' of each topic. In what follows, then, I will provide first a diachronic account of the work in question—broadly understood as an explication of the work's form—followed by extroversive semiosis—taking a look at the disposition and relationship of various topics—and, finally, an interrogation of the work's tonal structure as understood by Schenkerian analysis.

In his important essay on analysis of song Agawu states that 'an enduring problem for the song analyst is deciding what to do with those aspects of structure that appear not

¹⁷ But see Rushton, 'The Overture to *Les Troyens*'.

Rehearsal Mark	Theme	Key	Comments	Accumulating Wave Peaks
Opening - D	1	C major	Fugal; Larghetto non troppo lento; Common Time	
D - E	2	C major	Aria-like theme	
E - H	3	C major	Fanfare 1; Allegretto; 6/8	
H - I	4	C major -> D minor	Rising scale figure; illusory tempo change	
I - K	5	-> E♭ major/minor	Fanfare-based theme	
K - L	6		Fanfare; diminished seventh support; alla breve	
L - N	Transitional	V♭9 of D major	Prolonged applied dominant chord	Peak of first wave
N - P	3	D major -> B♭ major	6/8 against prevailing alla breve	
P - Q	Transitional	-> D minor		Peak of second wave
Q - S	7	B♭ major	Composite of Fanfare 2 (6/8) and Fanfare 3 (at R (in 3)) against prevailing alla breve	
S - T	4	(D minor)		
T - U	5	G minor		
U - V		E♭ major	Alla breve	Peak of third wave
V - W: 1	7	D major -> B♭ major	6/8 against prevailing alla breve	
W: 2 - Z	6/7	E♭ major	6/8, 3 and 2/2 in combination; introduction of voices; climax	Peak of fourth wave
Z - B'		F minor -> D♭ major -> C# minor	second climax	Fifth peak (Lower)
B' - D'	Transitional	-> G major	Structural Dominant?	
D' - G'	2	C major	Alla breve	
G' - End	3	C major	6/8	

Figure 4.1: Formal table, *Les Troyens*, 'Chasse Royale et Orage'.

to participate directly in the signifying processes of the text. Are they merely gaps to be ignored?'.¹⁸ Agawu's answer to this question is a resounding 'no'. It is in this spirit that I have followed the structure I have followed. If we are to do justice to the richness of musical works with texts then we need to confront the music as a whole in its own right in addition to confronting its relationship with the words. This next section, then, might be considered to be 'informal data-gathering' in preparation for the more formal data

¹⁸ Kofi Agawu, 'Theory and Practice in the Analysis of the Nineteenth-Century 'Lied'', *Music Analysis*, 11, no. 1 (1992), 24

gathering of the Schenkerian analysis and interpretive reading to be offered later. I ask the reader to be patient as to why particular musical features of the work are brought to their attention without yet appearing to have hermeneutic significance.

III. Diachronic account of the work's form - a series of waves

The opening of the piece is characterized by ambiguity and instability (see example 4.1). The key signature points to C major but the support for the opening tonic harmony is a weak first inversion chord and thus C major's claim to structural priority is, as of yet, a weak one. The chromaticism adds further layers of ambiguity. The descent in the violin melody through $\hat{7}$ and $\flat\hat{7}$ is suggestive of a pull towards the subdominant or of a minor-mode colouring. Likewise the flattened $\hat{3}$ in the flutes in bar 2, and its resolution in bar 3, points up a conflict between major and minor modes of the tonic. The undermining of this resolution to the tonic major by the dominant seventh in the oboe part highlights closure as an issue in the work since resolution in this bar is at the same time suggestive of a continuation. The first sub-phrase (bars 1-4), for instance, comes to rest on a dominant and thereby sets up the expectation of an answering sub-phrase that would culminate on the tonic. In keeping with the conflict between opening and closing, however, the expected cadence in the tonic is evaded by a secondary dominant, this time pointing towards the mediant, E, and enabling further continuation. A pattern established, Berlioz continues to play with the opposition between opening and closure and between major and minor modes in the subsequent transpositions of the fugue theme in the keys of E major/minor, F major/minor and A major/minor. In each case cadences are evaded so that no key is established convincingly. Bar 12 is a case in point. Rhetorically it suggests an appoggiatura with a resolution on the third beat to an E minor chord but the G in the bass (viola) is reinterpreted as an under-seventh of an A7 chord, progressing, eventually, to the first inversion dominant of G and from there towards F major. The phrase in F echoes that of C major, while the phrase in A echoes the one in E.

The cadence in C major that caps this fugal exposition is also highly unorthodox. Berlioz treats a diminished seventh (B-D-F-A \flat) as a pivot chord between A minor and C major. The resolution of the bass D to C in bar 29 is undermined by the 6/4 suspension (F-A \flat above C in the bass) whose resolution to the tonic minor necessitates a second cadential approach and a firmer resolution in bar 30, with root position dominant and tonic chords and $\hat{7}$ rising to $\hat{1}$. This, the work's first perfect authentic cadence (hereafter PAC) is a microcosm of the introductory fugue in that it includes the two oppositions we have thus far identified in the piece: between opening and closure—as exemplified in the double resolution—and between major and minor—as seen in the *tierce de Picardie* close. There is a further opposition of which we have not yet spoken and that has to do with register. The cadence in bar 30 comes to rest on $\hat{1}$ an octave below the register in

Example 4.1: Fugal introduction, *Les Troyens*, 'Chasse Royale', bars 1-30.

which $\hat{1}$ was originally heard in the first violins at the opening. Looking back through the introduction we note that register transfer is a feature of every phrase. Lastly the instrumentation divides material between the two orchestral groups—strings and woodwind. We will broach the signification of these divisions in a further section of this

The image displays three systems of musical notation, each with a treble and bass staff. The first system (measures 21-24) includes harmonic labels: V_2^1 , I^6 , $[V^6, VII^6]$, and MI . Above measure 23 is a bracket with a '3' and a dashed line. Above measure 24 is a bracket with a 'trm' and a dashed line. The second system (measures 25-27) has a V^7 label below measure 25. The third system (measures 28-31) includes labels $[V_2^1]$, I^6 , and I^6 below measures 28, 29, and 30 respectively. Above measure 28 is a bracket with a '2' and a dashed line. Above measure 29 is a bracket with a '3' and a dashed line. Above measure 30 is a bracket with a '7' and a dashed line. Above measure 31 is a bracket with a '1' and a dashed line. A large bracket spans the bottom of measures 28-31, with a 'V' label below measure 28 and an 'I' label below measure 31.

Example 4.1: *concluded*.

chapter. To summarise this opening section, then, we might remark that, as a result of the unstable harmony at the beginning, it is open at the front end, and seemingly closed at the other end. This structure is more characteristic of endings than of beginnings, which are normally open at their end and closed at their beginning. Thus the macro structure can be seen to parallel the micro structure by making an issue of opening/closure. Of course this could also result from a desire to create some sense of continuity between numbers or even between acts but this need not necessarily detract from the rhetorical effect created here. Rather, it would seem to heighten it. So too would the fact that this movement opens with material heard at the end of the previous movement—the finale to act III. More locally, however, the opening fugue seems to partake of the Romantic trope of an emergence of order from disorder.

The next section from bar 30 to bar 44 introduces a new theme (example 4.2). It also demonstrates a continuing concern with the issues exposed in the opening. It is

Statement

Continuation

Example 4.2: Theme 2, 'Aria', *Les Troyens*, 'Chasse Royale', bars 30-44.

remarkable, for instance, that the final cadence of the opening period overlaps with the beginning of this next section, thereby allowing the close of the previous section to operate as a new opening. Here, also, the strings take on a subsidiary role, reversing the

35

37

38

Cadential phrase

Example 4.2: *continued.*

hierarchy of the opening period but restoring the initial register. Nevertheless, the dialogue between the flute and the oboe opens up a registral chasm once more. Modal

The musical score for Example 4.2, concluding, is written in 6/8 time. It features a piano accompaniment with a melody in the right hand and a bass line in the left hand. The melody includes trills (tr) and triplets (3). The bass line includes triplets (3) and is marked 'arco'. The score is divided into measures, with a 'Liquidation' section indicated by a box above the staff. The key signature is one flat (B-flat). The score ends with a double bar line and a repeat sign.

Example 4.2: *concluded*.

mixture is introduced, again, in the approach to the cadence in the flattened sixth chord in bar 39 and here too closure is heard as problematic. The resolution of the flattened sixth chord, for instance, provides a premature glimpse of the tonic, but voice leading requires a resolution onto a tonic in first inversion. A second approach is then undermined by an under-seventh—recalling the procedure at the opening and necessitating a third close, which, again, elides with the next section. Nevertheless, this second section is more stable than the first period by virtue of its clear tonality, diatonicism, and simple harmony. In contrast to the first period there is also a clear separation of melody and accompaniment, polyphony having given way to homophony.

A change of metre – from common time to 6/8 – and tempo – from *Larghetto non troppo lento* to *Allegretto* – ushers in the third section and yet another theme (example 4.3). We also hear brass for the first time in the movement so far, thereby supplementing the simple opposition of strings and woodwind set up in the two opening sections. This section is structured around antiphonal exchanges between two saxhorns, one echoing the other. Of note here is the modal colouring which inflects the predominantly diatonic melody of the saxhorns in each of its three phrases, lending it a slightly exotic flavour. The first phrase, which culminates on a melodic E over tonic harmony, suggests an opening out. Harmonic movement here, however, is minimal; it is supported by a static tonic pedal. The second phrase is more active. The bass is dislodged from the tonic

The musical score is divided into three systems. The first system (bars 45-50) features Saxhorns in Eb, Violin I and II, Viola, and Violoncello. The Saxhorns play a melodic line with accents and triplets. The Violins play a sustained harmonic accompaniment. The Viola and Violoncello provide a rhythmic and harmonic foundation. The second system (bars 51-56) continues the Saxhorns' melodic line, with the Viola playing pizzicato and the Violoncello playing arco. The third system (bars 57-62) features the Saxhorns playing a melodic line with accents and triplets, the Violins playing a sustained harmonic accompaniment, and the Viola and Violoncello providing a rhythmic and harmonic foundation. The score includes dynamic markings such as *f*, *mf*, *dim.*, and *p*, and articulation marks like accents and slurs. The key signature is one flat (Bb).

Example 4.3: Theme 3, 'fanfare', *Les Troyens*, 'Chasse Royale', bars 45-82.

pedal and provides a dominant 'answer' to the initial phrase's tonic, coming to rest on $\hat{2}$. The third phrase is closural, coming to rest on $\hat{1}$ and securing yet another PAC in the tonic, C major, this one more conclusive than the last two.

63

mf

div.

p

V

70

f

V

77

mf

p

V⁶

I

Example 4.3: *continued*.

Let us pause momentarily, then, to consider some of the implications of this movement so far. We have heard three apparently self-contained sections with different thematic material. Each section, with the exception of the first, perhaps, has remained securely in the ambit of the tonic. As of yet, then, the movement does not seem to have actually 'begun'. We seem to have been offered, instead, a series of 'beginnings'. Despite

The musical score is divided into two systems. The first system covers measures 82 to 85. Measure 82 begins with a treble staff melody and a bass staff accompaniment. Measure 83 has a 'div.' marking in the bass staff. Measure 84 has a 'ii' marking in the bass staff. Measure 85 has a 'V' marking in the bass staff. The second system covers measures 86 to 89. Measure 86 begins with a treble staff melody and a bass staff accompaniment. Measure 87 has a 'p' marking in the treble staff. Measure 88 has a 'mf' marking in the bass staff. Measure 89 has a 'mf' marking in the bass staff. The score includes structural markers (ii, V, I) and articulation (div., unis.).

Example 4.3: *concluded*.

numerous cadences, for instance, the tonic has to be heard as provisional: it has not been challenged yet by another equally stable tonality. Everything we have heard so far is thus introductory. Ian Kemp draws attention to an interesting ambiguity here, however. He suggests that the structure of the piece functions something like an 'introduction and allegro'. But he adds that 'in fact the 'allegro' (marked *allegretto*) begins in the middle of the 'introduction' (by means of a subtle tempo change; when the 'allegro' seems to begin, it actually is in the same tempo as before. So the punctuation which could have arrested the momentum is elegantly bypassed'.¹⁹ This points to a playful mismatch between structural articulation and rhetorical strategy of the sort Carl Dahlhaus identifies as operative in Beethoven's 'Tempest' Sonata.²⁰ And it allows Berlioz to propel the music forwards so that downbeats function simultaneously as upbeats to subsequent sections (this is also exactly how Burnham describes

¹⁹ Kemp, 'Commentary and analysis', 151.

²⁰ Dahlhaus, *Nineteenth-Century Music*, 13-15.

Beethovenian heroism).²¹ Thus we see the ambiguity between closing and opening replicated on various levels of structure. As we shall see, the harmonic strategy—discussed in the Schenkerian analysis section—operates in much the same way, bearing out Kemp’s intuition that the work functions as a series of ‘accumulating waves of movement which are the real shape of the piece’.²²

The real beginning is perhaps felt to occur in bar 86 when the music starts to gather pace. The first proper move away from the tonic occurs in bar 92 where the music shifts into the supertonic (D minor), an adumbration of the music’s preoccupation with this key, and its parallel major, later on in the movement. For now, however, D minor is not securely established. Instead, enharmonic sleight of hand takes us to another of the movement’s important keys, E♭ major/minor, and it is here that we get the first articulation of another key centre as well as the movement’s fifth theme. The cadence in bar 106, for example, serves to tonicize the key of E♭ major/minor (example 4.4). The root position bass motion, however, supports only a local descent to ♭3̂ (a global ♭5̂) and as such the ‘cadence’ remains relatively ‘open’. Nevertheless, we still feel E♭ major as a local downbeat, it being the first real key to contrast with the tonic, and some harmonic sorcery is required to convert it into another upbeat.

The process of transforming E♭ into an upbeat begins in bar 119 where the E♭ major tonic is transformed contrapuntally into a diminished seventh chord (E-G-B♭-D♭) over which a new theme is heard (see example 4.5). This diminished seventh allows for a ‘maximally smooth’ transition from E♭ major to the dominant of D major—a key whose minor mode was anticipated in the ‘allegro’ proper in the passage of bars 92–4. One only need add an A in the bass, for instance, to convert this diminished seventh chord into a dominant minor ninth in D major. This is almost exactly what Berlioz does at the passage beginning at bar 137 (example 4.6). What makes this passage so remarkable, indeed, is the way in which Berlioz dramatizes, again, the surface conflict between large-scale upbeats and downbeats. For here we have a highly charged dominant chord—a dominant to the highest power so to speak—that Berlioz treats rhetorically as an arrival. The energy generated by this chord dissipates into a D major reprise of the Allegretto theme but while the melody suggests an unambiguous D major, the bass provides an under-seventh so that another ‘arrival’ feels like a point of departure. What is more, Berlioz declines to resolve this seventh. Instead, the bass skips off the under seventh on C onto the chord’s dominant, A. Here, then, the suggestion is of another dissonance—a 6/4 harmony.

²¹ See Burnham, *Beethoven Hero*, 7.

²² Kemp, ‘Commentary and analysis’, 151.

Allegretto*gna*

Example 4.4: Arrival of E \flat , theme 5, *Les Troyens*, 'Chasse Royale', bars 100-13.

Example 4.5: Theme 6, 'fanfare', *Les Troyens*, 'Chasse Royale', bars 121-27.

The impending cadence to D major/minor suggested by this 6/4 is, however, further evaded by a deceptive cadence to B \flat major (see bar 235-6). In a repeat of this process, a cadence in D minor is achieved at bar 183 but is decidedly weak due to the low dynamic, lack of root position movement, and the local $\hat{3}$ (not $\hat{1}$) in the top voice. It is

immediately overshadowed, for instance, by another lurch into B \flat major. In bars 199-200 B \flat major is also supported by cadential motion in the bass but the local $\hat{5}$ in the top voice undermines a strong sense of closure and propels the music onwards into a passage suggesting, but never confirming, G minor. E \flat major re-emerges unexpectedly at bar 219 but collapses into a further restatement of D major at bar 227. Bass motion (V-I) suggests a cadence in D major in bar 232, with $\hat{3}$ in the top voice, but another deceptive cadence, to B \flat major, allows a return to E \flat major in preparation for the movement's greatest climax (see example 4.7 for the climax). The movement is structured, then, as a series of motions towards this gigantic climax. Thus we are reminded of Cone's suggestion, quoted in the thesis introduction, that Berlioz's music functions as a series of 'wave-like motions towards proximate goals'. The effect is cumulative—the music is characterised by a series of frustrated resolutions. Berlioz mobilizes all forces available to him to carry off the climax. Voices singing 'pre-linguistic' sounds herald something of a 'breakthrough' moment while others call to 'Italy' indicating, perhaps, that the *real telos* lies elsewhere. A number of fanfares hitherto separately sounded are now heard in combination resulting in an overlapping of several time signatures anticipatory of twentieth-century rhythmic innovations. The result is a confrontation of all the disparate elements of the work so far, each wrestling for attention while Didon and Énée, apparently unnoticed, slip off into a cave to make love.

The peak of the climax, comparable in effect, if not in style, to the 'climactic' anti-climax of the prelude to *Tristan und Isolde*, signals the beginning of the end portion of the work. From a state of highest tension Berlioz is obliged to return us to a state of relative stability. This he accomplishes by step in order slowly to dissipate the huge amount of energy built up in the middle section of the work. The first sign that we are returning to the ambit of the C major tonic, remarkable by its absence from so much of the preceding music, is provided by the swift tonicization of F minor in bar 264. This takes us to another, less weighty, climax in D \flat major. The tonicization of C \sharp minor—enharmonic equivalent to D \flat —in bar 283 prepares us for the naturalization of $\hat{3}$, while the 'winding' section from bars 284 to 303 (see example 4.8) acts as a transition to the first appearance of the movement's structural dominant in bar 304—a remarkably late appearance but not unprecedented in Berlioz's output (cf. 'Scène d'amour' from *Roméo et Juliette* or 'Spectre de la rose' from *Les Nuits d'été*). We will consider more fully the implications of the work's tonal layout in the passage treating the Schenkerian reduction. Suffice it to say, for the moment, that this movement represents a significant departure from Classical syntax with its traditional polarisation of the tonic with an equally weighted dominant prolongation. The central section of this work does not so much function as a polarisation of the tonic but rather as a typically Berliozian 'obliteration' of it.²³ It is absent for so many bars as to seem an irrelevance. By such

²³ Rushton discusses Berlioz's technique of tonic 'obliteration' in *The Musical Language*, 39.

Allegretto

Sax. (Mib)

Flute

Oboe

Clarinet in Bb

Bassoon

Horn in C

Horn in F

Trumpet in Bb

Timpani

ff (il va se mettre à l'abris sous un arbre) *dim.*

Allegretto

Violin I

Violin II

Viola

Violoncello

Example 4.6: Arrival of D's dominant leading to the return of theme 3, *Les Troyens*, 'Chasse Royale', bars 140-51.

means is Berlioz able to make the return of the tonic seem less an inevitability and more a concession to convention. The end section of the work, from bar 309 reprises material from the introduction, without the opening fugue, and recaptures a 'precious' C major—precious, that is, by virtue of its rarity. The sense of imminent closure is provided by the dominant pedal that undercuts the return to C major. Resolution of this pedal is,

141

Sax. (Mb)

Fl.

Ob.

Cl.

Bsn.

Hn.

Hn.

Tpt.

Timp.

Vln. I

Vln. II

Vla.

Vc.

p *f* *p*

Example 4.6: *continued.*

however, thwarted in bar 319, where the it breaks off. At bar 329, also, the cadence in C major is undermined, as it was in the introduction, by the flattened seventh in the middle voices. Two further cadential motions, in bars 336-7 and 348-50 serve, finally, to round off the number, but the atmosphere is decidedly subdued.

The foregoing analysis provided a fairly detailed account of the significant harmonic motions of the movement as well as an impression of the piece's overall shape as a large crescendo rising to a grand climax and a descent therefrom. We have come to

145

The musical score is arranged in a system of staves. The top section includes the Saxophone (Midi), Flute, Oboe, Clarinet, and Bassoon. The middle section includes the Horns, Trumpets, and Timpani. The bottom section includes the Violin I, Violin II, Viola, and Violoncello. The score is in 3/4 time and features a series of triplets in the woodwinds and strings, leading to a concluding passage. The key signature is one sharp (F#) and the time signature is 3/4. The score is labeled '145' at the top left.

Example 4.6: *concluded*.

understand the essence of the musical drama as a series of motions towards downbeats that act simultaneously as upbeats to subsequent goals. This drama provides the backdrop for the work's surface-level 'discussion' of various topics, to which we now turn.

[illegible]

Example 4.7: Climax, *Les Troyens*, 'Chasse Royale', bars 236-47.

IV. Extroversive semiosis – identification of topics - nature and history

In his seminal study, *Classic music: expression, form, and style*, Leonard Ratner introduced the notion of topic as crucial to the understanding of the music of the eighteenth century. 'From its contacts with worship, poetry, drama, entertainment, dance, ceremony, the military, the hunt, and the life of the lower classes', explains

242 X

Sax. (Mib)

Tromb.

Timb.

P. Fl.

Fl.

Hb.

Cl. (Sib)

Bns

(Ut)

Cors

(Fa)

Tromp. (Mib)

C. à P. (Sib)

Tromb.

Oph.

Timb.

G. C.

Sopr. et Contr.

Tén.

Basses

Vns

Altos

Vlles et C.-B.

(Les Nymphes des bois paraissent les cheveux épars sur le haut du rocher, et vont et viennent en courant, en poussant des cris et faisant des gestes désordonnés.)

(Entrent les Faunes dansant. Le ruisseau du rocher grossit et devient une bruyante cascade.)

A - o a - o a - o a - o

I - ta - li - - - -

I - ta - li - - - -

I - ta - li - - - -

I - ta - li - - - -

Example 4.7: *concluded*.

Ratner, 'music in the early 18th century developed a thesaurus of characteristic figures, which formed a rich legacy for classic composers.'²⁴ Ratner's study has proven to be truly foundational and has had a profound influence on analysts of eighteenth-century music. The usefulness of topic theory, and no doubt the reason for its popularity especially since the New Musicological revolution of the 1990s, is that it provides an indispensable way to mediate between music's content and its social meaning. A

²⁴ Ratner, *Classic Music*, 9.

284 **B₁**

Fl. unis.

Hb. unis.

Cl. (Sib) unis.

Bns

(Ut) I

Cors (Fa) III

(La scène se couvre lentement de nuages épais.)

Vns

Altos

Vlles et C.-B.

291

Fl. I

Hb. I

Cl. (Sib) unis.

Bns

(Ut) I

Cors (Fa) p

Vns

Altos

Vlles et C.-B.

Example 4.8: Winding transition to dominant, *Les Troyens*, 'Chasse Royale', bars 284-98.

number of scholars, most notably Robert Hatten, and Kofi Agawu, have added to and refined Ratner's thesaurus in further studies of Classical repertoire. Kofi Agawu wedded topical analysis (extroversive semiosis) to Schenker analysis (introversive semiosis) in his *Playing with Signs: A Semiotic Interpretation of Classic Music* while Robert Hatten refined topic theory in the light of linguistic theories of 'markedness' in his book-length

discussion of musical meaning in Beethoven.²⁵ Janice Dickensheets, Kofi Agawu, Raymond Monelle, Robert Hatten, Julian Horton, Johanna Frymoyer, and Márta Grabócz, to name a few, have extended topical analysis into the nineteenth and twentieth centuries, though not without some qualification.²⁶ Few would disagree with the idea that topics continued to be employed by composers in the nineteenth century and that topic analysis therefore continues to be an indispensable tool for scholars of this repertoire. What is contested, however, is a straightforward equivalence in the way in which topics were employed in the eighteenth century and how they continued to be employed in the nineteenth.

As Agawu argues, there is 'a level of continuity between eighteenth- and nineteenth-century styles that would undermine historical narratives posited on the existence of a categorical distinction between them'.²⁷ That is to say, Romantic music is highly saturated with topics, many of which were preserved from the eighteenth century. 'It would be equally problematic, however,' Agawu continues, 'to assert a straightforward historical continuity on the way between them'.²⁸ This is because, as Horton makes clear, 'on the one hand, the eighteenth-century thesaurus persists, but in changed social circumstances, and this renders attempts to read topical discourse as social commentary irreducibly complex.'²⁹ He gives as an example the difference between the

²⁵ Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music* (Princeton, NJ: Princeton University Press, 1991); Robert S. Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 1994).

²⁶ Drawing from a wide range of composers, Janice Dickensheets has assembled a 'lexicon' of nineteenth-century topic in her article, 'The Topical Vocabulary of the Nineteenth Century', *Journal of Musicological Research* 31, nos. 2-3, 97-137 (2012); In a sequel to his well-received book on Classical topics, Agawu has dealt with the issue of topic theory for nineteenth-century repertoire in his *Music as Discourse: Semiotic Adventures in Romantic Music*; Raymond Monelle has refined and corrected Leonard Ratner's discussion of topics in his *The Sense of Music: Semiotic Essays* (Princeton, NJ: Princeton University Press, 2000) wherein he also discusses the overlap of topic and leitmotiv with reference to the music dramas of Wagner; Robert Hatten has supplemented his study of markedness in Beethoven with a multi-composer study which includes discussion of Schubert, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington: Indiana University Press, 2004); Julian Horton uses topic theory as a bridge to historical contextualisation in discussions of the music of Bruckner in *Bruckner's Symphonies: Analysis, Reception and Culture* (Cambridge: Cambridge University Press, 2004); Johanna Frymoyer has warned about the pitfalls of topical analysis in her article, 'The Musical Topic in the Twentieth Century: A Case Study of Schoenberg's Ironic Waltzes', *Music Theory Spectrum* 39, no. 1, 83-108. She has argued for a more nuanced approach to the definition of topics, suggesting that identification of common signifiers for a particular topic should be supplemented by a careful weighting of the relative importance of these signifiers to the topic's identity; Márta Grabócz has explored topics in the music of Liszt, in 'Semiological Terminology in Musical Analysis', in Eero Tarasti, *Musical Semiotics in Growth* (Bloomington: Indiana University Press, 1996), 195-218.

²⁷ Agawu, *Music as Discourse*, 42.

²⁸ Ibid.

²⁹ Julian Horton, 'Listening to Topics in the Nineteenth Century', in Danuta Mirka, *The Oxford Handbook of Topic Theory*, (Oxford: Oxford University Press, 2014), 643.

[F1]

solo

Oboe

Clarinet in B \flat

Horn in C

Violin I

Violin II

Viola

Violoncello

Contrabass

div.

pp

pp

pp

pp

Example 4.9: Closure and return of themes 2 and 3, *Les Troyens*, 'Chasse Royale', bars 322-51.

social connotations of a march in the post-revolutionary world of the nineteenth century and one in the pre-revolutionary world of Classical repertoire. And 'on the other hand, nineteenth-century composers also devised fresh topics, which as facets of a new style are conceptually opposed to topics associated with the classical past.'³⁰ Agawu has suggested an additional complexity resulting from the emergence of more private

³⁰ Ibid.

[G1]

Ob.

Cl.

Hn. solo

Vln. I *p*

Vln. II

Vla. div.

Vc.

Cb.

Hn.

Vln. I

Vln. II

Vla. unis.

Vc. pizz.

Cb. *p* pizz.

(Les nuages s'élèvent et se dissipent.)

Example 4.9: *concluded*.

modes of discourse in Romantic music. The upshot of this perhaps being that by comparison with the topical thesaurus of the Classical period, that of the Romantic century becomes more and more vast.³¹ One can almost envisage a topical vocabulary needing to be theorised for each composer (in many cases, this is exactly what is being done). Rather than shy away from the daunting complexity of topical analysis of nineteenth-century music, then, I endorse Horton's belief in the importance of topical analysis of this music with his caveat that such analysis needs to be 'nuanced in relation to changing social and cultural circumstances.'³²

³¹ Agawu, *Music as Discourse*, 43.

³² Horton, 'Listening to Topics', 661.

Learned Style	Fanfare	Tempesta	Singing Style	Musette	Pastoral	Rocket?
1-30	44-86	8-31	30-45	44-58	8-10	303-4
	100+	119+	309-37		12-16	
	148-66	219+			18	
	185-201				21-2	
	207-18				24-4	
	227-84				28	
	338+				29	
					30-86	
					40-42	
					309+	

Figure 4.2: Table of topical content of *Les Troyens*, 'Chasse Royale'.

'Chasse Royale et Orage' is pregnant with topical associations. The title, indeed, suggests that the number is a character piece embedded within the opera and on its own gives rise to speculation about what we might expect to hear—gestures associated with the hunt and with *tempesta*, for example. These topics have received extensive treatment in the literature around topic theory and their signifiers and connotations are well known. Raymond Monelle has written a detailed study of the hunt in his book, *The Musical Topic: Hunt, Military and Pastoral*. He notes the abundance of 'musical hunts' across the eighteenth and nineteenth centuries in a variety of genres. Berlioz's treatment of the hunt here taps into a long history of operatic hunts which function pictorially in response to a text, often within an aristocratic context. As a topic in instrumental music, however, the hunt also draws on associations with 'manliness, nobility, adventure, risk, and exhilaration; youth, the overcoming of danger; the outdoors, the morning, the woodland, the fall; the exotopic and unforeseen'.³³ It does not seem a stretch to say that these are the precise associations upon which Berlioz wishes to draw for this love scene between Didon and Énée.

The use of the storm to represent human passions also has a long pedigree in music of the theatre. It is this very connection, along with its problematic origins, that has led Clive McClelland to reject the term *Sturm und Drang* in favour of *tempesta*.³⁴ McClelland

³³ Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral*, (Bloomington: Indiana University Press, 2006).

³⁴ See Clive McClelland, 'Ombra and Tempesta' in Danuta Mirka, *The Oxford Handbook to Topic Theory* (Oxford: Oxford University Press, 2014), 279-300.

has argued, for instance, that the erroneous use of *Sturm und Drang* to describe unsettling or stormy passages of music of the eighteenth and nineteenth centuries derives from a 'misguided attempt' by Théodore de Wyzewa to 'draw parallels between certain movements of Haydn's middle-period symphonies and the trend in German Romantic literature.'³⁵ Given the absence of any evidence of such a connection, McClelland suggests *tempesta* as an alternative since it recognises the origins of this stormy musical style in early opera and avoids the obfuscation of the *Sturm und Drang* term. That Berlioz would have been familiar with this style from his intimate knowledge of the operas of Gluck, who was a great practitioner of the style, is undeniable.

Tempesta music, according to McClelland is typically declamatory, agitated, stormy, in a fast tempo, and in the minor mode. It makes use of surprise progressions and sudden modulations, is often chromatic, melodically disjunct, characterised by rapid scale figurations, frequent tremolo effects, and syncopation etc.³⁶ In a word, the *tempesta* topic is characterised by its unsettling nature in a variety of domains.

Let us proceed through the work a second time, then, paying close attention to the music's explicitly referential gestures. Once again the introduction proves a rich source of material for the remainder of the movement. We have already noted the segmentation of the orchestra into two groups—strings and woodwinds. By such means Berlioz is able to combine and oppose various topics. The fugue in the string section points clearly, for instance, to the learned style, hints of which can, perhaps, also be heard initially in the overlapping of voices in the woodwind section in bars 1-8. Thereafter, however, the woodwinds are reduced to offering brief interjections that are clearly intended to imitate birdsong. Note here the numerous trills and the otherwise measureless quality of the interjections, their unpredictability. We spoke earlier of the minor-mode inflections of the opening fugue and the unstable, provisional nature, at this point, of the home tonality, C major. Instability such as this points to *tempesta*, the impression of which is enhanced by the *tremolando* strings, starting at bar 8, and various 'sliding' chromatic harmonies (see, for example, bars 11-12, 18-19, and 25-6). Note that the learned style is able to accommodate the *tempesta* gestures since it operates in the domain of counterpoint whereas *tempesta* ultimately relates to harmonic and, perhaps, rhythmic instability. Counterpoint, on the other hand, is neutral with regard to rhythm and harmony. This opening section, then, sets up an opposition of bucolic innocence, in the pastoral associations of the birdsong, and the disturbance of this innocence by dormant forces. Related to this is the implicit opposition between an 'innocent' C major and a more troubling C minor—an opposition that also brings Beethoven's use of C minor—in the Fifth Symphony, for example, to mind. The opening

³⁵ McClelland, '*Ombra and Tempesta*', 280.

³⁶ McClelland tabulates the characteristics in '*Ombra and Tempesta*', 282.

could be said, then, to set up an idea of overcoming of the intrusions of the minor mode. Lastly, the opposition of the learned style and pastoralism is a contrast of high and low musical styles suggesting an implicit opposition between culture and nature, one which, perhaps, extends to the separation of instrumental groups of 'sentimental' strings and 'naive' woodwind.

The oppositions exposed in the opening section are situated on the vertical axis but the work also engages in oppositions along the horizontal axis. We have here another example of the romantic trope of 'light' emerging from relative 'darkness'.³⁷ The polyphonic texture of the first section, for example, gives way to a clear separation of melody and accompaniment texture in the second. The strings now play a subordinate role while the woodwind assume a position at the top of the texture. A further contrast with the opening fugue is provided by the relative tonal stability of the second section; it is clearly anchored, for instance, by the C major tonality. Chromatic inflections, such as those in bar 36-8, decorating the supertonic, and the flattened sixth in the approach to the cadence at bar 39, are easily accommodated to the otherwise diatonic atmosphere. If anything, then, these inflections act to strengthen rather than undermine the prevailing C major, in contrast to the more unsettling chromaticism of the opening. Nevertheless, the flattened sixth brings with it associations of 'romantic yearning' indicating, perhaps, that this is a 'lost' Eden. The opposition of diatonicism and chromaticism further suggests referential oppositions such as simplicity and complexity, purity and impurity, naive and sentimental. The main topical association of this second section, however, is undoubtedly the 'singing style', a contested category but broadly defined by melodic simplicity and concerned above all with 'comprehensibility'.³⁸ The singing style is characterised by a certain grace. It is situated on the 'beautiful' side of the beauty and sublime dualism. Related to the pastoral, hints of which can still be heard in the trills of the woodwind instruments, it is also often described as 'feminine'.³⁹ The instrumentation and the overlapping of phrases results in a dialogue between flutes and oboes, suggesting an operatic duet of two musical actors—the Naiades mentioned in the programme, perhaps. Or is this a love duet?

The cadence at bar 40 restores the opening section's opposition of pastoralism and 'sensitivity' while the $\hat{5}-\flat\hat{6}-\hat{5}$ progression in the bass at bar 43 is, as was mentioned above, a common signifier of romantic 'yearning'. The Allegretto section, introduces an as-yet-unheard instrumental group - brass - in the form of an ensemble of spatially distributed saxhorns. The fanfare topic heard here is also a 'masculine' counterpart to

³⁷ By now it should be clear that this is a familiar tactic of Berlioz.

³⁸ Sarah Day-O'connell, 'The Singing Style', in Danuta Mirka ed., *The Oxford Handbook of Topic Theory* (Oxford: Oxford University Press, 2013), 250.

³⁹ Day-O'connell, 'The Singing Style', 254.

the 'femininity' of the 'singing style' of the previous section.⁴⁰ The archaism indicated by the 'redundant' saxhorn instrument is further suggested by the modal ambiguities that result from the Mixolydian inflections of bar 48 and elsewhere. Note also the pentatonicism evoked by the oscillation of tonic and submediant harmonies (see bar 48, again). The simplicity of the melodic contour, the 6/8 metre—a departure from the common time of the previous two sections, the slurred eighth notes and the drone provided by the pedal on C, point to a 'musette'. What is most interesting, here, perhaps, is the suitability of the musette in accommodating hunting topics due to the shared attribute of triadic melodies of a narrow range. This section, then, maintains a pre-occupation with pastoralism and an Arcadian ideal but it also points to militarism and therefore to values such as heroism and nobility. Its lyricism also brings connotations of the 'singing style'.

Throughout this section, also, we hear a sense of foreboding in the agitated string interjections of bars 58-9, 66, 78-81, and 83-85. These interjections are anticipatory of the 'transitional' section that spans from bar 86 to the establishment of E♭ major in bar 100. They also coincide with the first departure of the bass from the pedal C. The string motif in this section, as Rushton has pointed out, is derived from one of the opera's principal motifs: a rising scale that we first hear at the opening of the opera and that comes to be associated with Cassandre. But, as Rushton notes, 'already in the recitative of No. 2 the scale appears covering only a 5th. Its frequent use over this smaller range makes it a conventional figure for agitation or exuberance'.⁴¹ It therefore takes on a 'wider significance' than it would as a personal motif for Cassandre but, Cassandre being the prophetess of doom *par excellence*, the motif gains from this double signification by signalling a parallel between the doom-laden experiences of Cassandre and the impending doom for Carthage. More generally it signals the agitation felt by the Naiades with regard to the approaching hunters.

We can pause here to consider aspects of the musical drama so far. The introduction presents a constellation of topics and styles that have included the *tempesta*, sensibility, the pastoral, the learned style, the hunt topic, the fanfare topic, the singing style, the musette, the galant, archaism, and gestures relating to agitation, foreboding, yearning, and sensuality. This constitutes the signifying drama of the surface of the music: the

⁴⁰ It should be noted, however, that Berlioz's drama complicates this 'gendering' by having Didon dressed as a 'huntress'. It is, therefore, by no means clear that the hunting horns represent Énée and the singing style represent Didon. However, musically speaking, Berlioz's deployment of these topics nevertheless allows him to set up a drama of masculine and feminine that the remainder of the piece 'works out'. A similar 'complication' occurs much earlier on in the drama where, in the operatic duet between Chorèbe and Cassandre, Chorèbe is given the lyrical 'feminine' tune and Cassandre has the 'masculine' declamatory style. See Rushton, *The Music of Berlioz*, 328-31, for a discussion of this duet.

⁴¹ Rushton, 'Overture', 127.

extroversive domain. The large remaining portion of the work deals in varieties of previously exposed signifiers. By far the most remarkable aspect of the work's central section, however, is the complete absence of the singing style until the return to the precious C major at bar 309. The majority of the music is given over, for instance, to a conjunction of the fanfare topic and *tempesta* as well as alternations between the two. The impression given is of a paradisaal state having been disturbed. The sudden shift from E♭ major to minor in bar 102, for example, is another clear allusion to *tempesta* while the theme of this section is based on the fanfare topic, which is made more explicit in the arpeggiated triads of bars 114-18. The ominous sounding trombone theme from bar 121 to 130 sees yet another conflation of the fanfare topic and the *tempesta*, especially in the diminished harmony and agitated *tremolando* strings that support it. In bar 132 an upward surge spills over into an imitation of tempest in the dominant seventh chord spanning bars 137-45 which dissipates into a reprise of the fanfare from the introduction with supporting *tempesta* string *tremolandi*. *Tremolandi*, indeed, proliferate throughout the movement as signifiers for tempest and of the 'stirring' of human passions. Whirlwinds can be heard in the frequent rapid chromatic ascents and descents of bars 175-83 while raindrops are suggested by the *pizzicati* string figures of bars 186-201. Finally, the 'shrieking' piccolos of bars 219-26 are a common signifier for lightning strikes, while drum rolls on the timpani, throughout, are suggestive of thunder.

In a word, the central section of the movement is pictorial. Berlioz avoids lapsing into kitsch, however, by the astonishingly rich simultaneity of ideas and the ease with which he passes from one to another, subordinating these ideas to his structural premise: the long-range crescendo discussed in the previous section of this chapter. Everything is carefully designed, for instance, to lead to the gigantic climax that begins in bar 239 during which, as we noted before, a number of fanfares are heard simultaneously and in combination with tempestuous *tremolandi*. The chorus voicing 'pre-linguistic' vowel sounds suggests a certain primitivism while the anapaest motif on the word 'Italie' (see bar 246) is, as Rushton has pointed out, commonly associated with a death *topos* throughout the opera.⁴² The recovery of the 'singing style' at bar 309, coupled with the precious C major tonality, then, seems a blissful return to a calm placidity. The preceding 'rocket' on the dominant in bar 303 and descending parallel 6/3 chords in bars 305-7 are the movement's last voicing of the tempest and we are left, in the final section, with a reiteration of 'feminine' song—the Naiades—and 'masculine' fanfare—the hunters. Whether this reiteration constitutes a fulfilment, however, is more than a little ambiguous.

⁴² Rushton, 'Overture', 126.

Issues to do with tonal structure will be dealt with in the following section. For now, however, it is worth considering some of the significative or associative aspects of the use of tonality throughout the prelude. We have already touched, for instance, on the opposition between C major and C minor. Major and minor mode oppositions such as this are often considered to carry with them connotations of light versus darkness. The opposition of C major and minor is perhaps a special case, however, due to further associations attaching to the key. C major is suggestive of innocence and purity due to its often being the first key with which young musicians become familiar. Situated at the top of the circle of fifths, C major, is, to some extent, the 'home key' of the tonal system. The significance of C major, then, enhances the significance of its minor-mode counterpart, C minor. Beethoven is well known, for instance, for his deployment of 'C minor moods' in order to invoke a particularly dark atmosphere or to suggest a work of almost cosmic significance. The most famous example is perhaps, his Fifth Symphony in C minor, the archetype of the *per aspera ad astra* teleological struggle in which a dark minor mode is banished by the light of its parallel major. The opening of Haydn's *Creation* is also, no doubt, a potential source for such associations.

The other main keys of Berlioz's 'Chasse Royale' are E \flat major/minor and D major/minor, with B \flat major and G minor in subsidiary roles. Much of the detail surrounding the conflict of major and minor modes was dealt with in section III. Readers will notice, additionally, however, that all of the main keys (C, E \flat , and D) are supplemented by their minor-mode counterparts. More can be said, however, of the relationship operating between these keys. The major/minor conflict, for example, can be seen to be operating within and between different keys. Indeed it almost takes on a motivating role with regard to structure since it allows Berlioz to travel seamlessly between seemingly unrelated keys. Berlioz's use of key throughout the prelude is therefore both colouristic and structural. There seems to be a conflict in the central portion of the work, for example, between the 'bright' colours of D major and the 'darker' hues of E \flat major. The fact that these two keys also lie on opposite sides of C major in the circle of fifths, with D major being 'brighter' than C major and E \flat major being 'darker' than C major could be additionally significant. Note also how E \flat major bears a relationship to D major as a Neapolitan harmony. E \flat major's dominant, B flat major, is frequently used, also, to disrupt D major's ability to achieve a perfect authentic cadence. It relates to D major by way of that key's minor-mode counterpart, D minor, within which it features as a submediant, but it also allows Berlioz to return to E \flat freely by reinterpreting it as a dominant. E \flat major, on the other hand, has an ambiguous signification throughout the piece. Perhaps it has no signification other than its being the key in which the saxhorns are pitched. Nevertheless, it can be heard as relating to C major by virtue of its status as relative major to C minor. It brings about, for example, modal mixture of the tonic's $\hat{3}$. But E \flat major is also suggestive, perhaps, of the 'heroic' E \flat major of Beethoven's *Eroica*

Symphony, an impression bolstered by the frequent deployment, here, of fanfare. This brief discussion of the signification of Berlioz's use of key brings us nicely to the final analytical section of this chapter in which we deal with the 'introversive' domain of the work. The purpose of this section, then, is to develop a reading of the *structure* of 'Chasse Royale' understood from the perspective of Schenkerian analysis. This will allow us, in a later section, to consider the interaction or 'play' between the extroversive and introversive domains, the locus of 'meaning' in musical works, according to Agawu. The most important point of the following section, however, is to account for the felt sense of the work's 'structural continuity'.

V. Introversive semiosis – elucidation of the harmonic-contrapuntal strategy

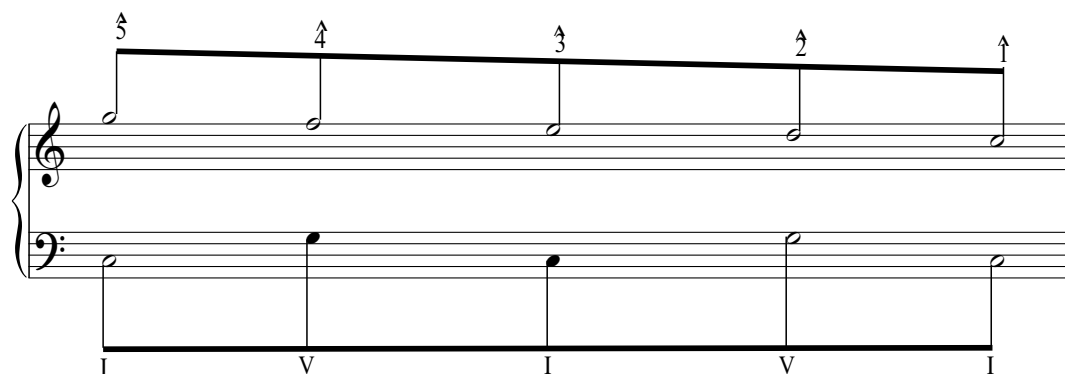
Having provided a diachronic account of the work, in which we were able to grasp the broad outline of the piece's structure, followed by a discussion of the disposition of the work's topical allusions, we can now proceed to a close reading of 'Chasse Royale' in which tentative observations from the 'data-gathering' section can be more concretely discussed by corroboration in formal analysis.⁴³ The Schenkerian reading of 'Chasse Royale' adds further layers of ambiguity to the rhetorical-structural processes of the work unearthed so far. It is in Berlioz's approach to tonality that we witness the work's most significant challenge to Classical syntax, for instance. Namely its undermining of the tonic-dominant polarity that is of crucial importance, for Schenker, in the articulation of a single tonality. In the analysis that follows, for example, I demonstrate that the central section of the work presents a sort of 'double tonic complex' that vies with the global tonic of C major, displaces its dominant, and therefore weakens the sense of fulfilment provided by the return to C major at the end of the piece. This will be explored through a discussion of the tensions between the work's theoretical background and higher levels of structure.

It will not be difficult to move from this purely musical discourse into a social one. Schenkerian analysis need not be a way of shutting down questions about the social content of music. The roots of Schenkerian analysis in German Idealist philosophy, for instance, make it ripe for a dialectical understanding of tonality. Crucial, from this perspective is Schenker's conception of a work as a totality whereby an unconscious background structure is seen to determine, to a greater or lesser extent, the activity on the foreground. This conflict between background and foreground, for instance, can be seen as an analogue for the Marxist conception of economic base and ideological superstructure. Or, we might consider this tension, for instance, as representing a conflict of interests between an objective social order and the desires of a subject. That is, the failure of the 'contract' between foreground and background that 'dictates' that

⁴³ As far as I am aware, a Schenkerian analysis of this number has not yet been attempted.

diminutions in the foreground will be resolved into the background can be seen as the impossibility, in the music of the nineteenth century, of effecting a resolution between individual will and social convention, between subjective 'expression' and objective 'structure'. Readings such as this gain in plausibility when brought into contact with the reading of the opera offered above, with its emphasis on the work's central conflict between Énée's social obligations and his own desires. The divine element discussed in the opera can, likewise, find equivalents in Schenker's poetics in the way in which an 'unconscious' background 'dictates' the activities of the foreground. That is, diminutions have a life of their own but are, at a deep level, ultimately, determined by the background. The failure to successfully synthesise the topical discourse, discussed above, will be seen to work in tandem with the failure to achieve a satisfactory synthesis in the tonal argument.

The graph in example 4.10 shows that I conceive of the work to be based on an elaboration of a deep background structure that articulates a one-part *Urlinie* and bass arpeggiation. This represents the 'objective' background from which the drama of tones on the surface derives. The top line shows a graduated descent from the 'open' interval $\hat{5}/I$ towards the closed interval of $\hat{1}/I$. The bass arpeggiation articulates a departure-return structure that progresses from the tonic chord supporting the primary tone, to the dominant chord supporting $\hat{2}$, followed by a return to tonic harmony and the closure of the fundamental structure on $\hat{1}/I$. This familiar background is a profoundly teleological structure from both a contrapuntal and harmonic point of view. It is heard as being motivated by a will towards the most stable contrapuntal harmonic formation of $\hat{1}/I$. Its tensional peak can be heard in the tonality defining move to the dominant harmony that supports scale degree $\hat{2}$. In Classical tonal syntax, for example, the dominant harmony functions as the dialectical opposite to the tonic. In order for a tonic to establish itself as the governing harmony of a harmonic-contrapuntal structure, then, it is necessary for a tonic to resolve the conflict posed by this polarity. Until a tonic has shown itself capable, indeed, of resolving the challenge posed to it by a dominant, it is only registered as a provisional tonic. The music-narrative arc, progressing from left to right, then, is heard as a tale of the tonic's fulfilment and strictly not a mere 'return' to a provisional stability. The closure of the structure on $\hat{1}/I$ represents the resolution of all previously exposed tensions and the attainment of a unity of self and other. In the context of 'Chasse Royale' this could be seen as a unification of 'nature' and humanity or, indeed, of man and woman. It is important to note, however, that in viewing this structure as the background to Berlioz's 'Chasse Royale', we are at a high level of abstraction from the surface of the music. Nevertheless the claim that this graph makes is really only the relatively modest one that work is in the key of C major. Since the piece begins and ends in this key, this should not seem so controversial. At higher levels of structure, however, Berlioz disrupts the stability of the background in a number of ways so as to threaten our understanding of the C major-ness of this work. We must progress through



Example 4.10: Background analysis of *Les Troyens*, 'Chasse Royale'.

Example 4.11: Deep middleground analysis of *Les Troyens*, 'Chasse Royale'.

various levels of structure in order to see how Berlioz obscures the functioning of this background at higher levels.

The middle-ground structure shown in example 4.11 can be divided into three large areas of contrasting harmonic-contrapuntal activity. An initial ascent to the primary tone, $\hat{5}$, at bar 100 (just after H) followed by a long, harmonically unstable section prolonging the primary tone up to bar 261 (just after W), and a graduated final descent therefrom to

the close of the piece in bar 350. At this level of structure, the greatest contrapuntal-harmonic activity can be heard as being concentrated in the framing C major sections of the movement first in the initial ascent to the *Kopfton* and second in the graduated descent therefrom. For all the 'activity' of the central portion of the work, for instance, the harmony is essentially heard to be 'static'. The elaboration of the passing tone $\hat{4}$ provides the transitional material to take the music from the harmonically unstable central section prolonging $\hat{5}$ to the restoration of tonic harmony—with dominant pedal—under scale degree $\hat{3}$ at bar 308 (G1). The greatest proportion of the work, then, is given over, as might be expected, to the prolongation of the work's primary tone, $\hat{5}$. An ambiguity results here, however, from the dislocation of the arrival of the primary tone and its supporting harmony, I. When the primary tone arrives, for example, it is supported not by a local tonic chord but by a chord formed over $\flat\text{III}$ in the bass. At a deeper level of structure, of course, this tone can be heard as coincidental with its supporting tonic harmony but the effect of this dislocation on the rest of the work is profound. And while more orthodox Schenkerians may not even acknowledge the arrival of a the *Kopfton* on a non-tonic harmony as a possibility, this view is bolstered by this tone being the peak of the preliminary ascent and the felt 'beginning' of the work. Nevertheless, it is significant that the arrival of the primary tone at bar 100 appears to initiate a passage of striking harmonic instability from which, it can be argued, the music never fully recovers. Nevertheless, as the piece progresses, C major successfully appropriates G as its *Kopfton*. Let us go through the main harmonic contrapuntal events of the work.

As the analysis shows, the initial ascent spans the entirety of the expansive introductory section. Preliminary ascents are not uncommon in the introductory sections of a work. Indeed it is only with the achievement of an open interval that a work's structure can be considered to have begun. Structural and formal 'beginnings', however, need not necessarily coincide. We noted in the diachronic account of the work's structure the ambiguity of the formal beginning of the work. The initial ascent at once clarifies and complicates the picture. It spans several distinct sections of the introduction to the work, for example, ascending from the tonic scale degree through the other tones of the tonic triad and reaching a peak on the primary tone, $\hat{5}$, at around bar 100. In harmonic terms this section prolongs a motion from a tonic harmony to a flattened mediant chord. The primary tone, when it emerges, then, is at once a point of arrival and a point of departure. It is the *telos* of the initial linear structure but it also eventually initiates the descent of the fundamental line. The path traced from the tonic scale degree elaborated in the fugal introduction towards the primary tone can be summarised, then, as a path from relative melodic stability to greater melodic tension.

The Creation

The situation is further complicated, in 'Chasse Royale', however, as we move closer to the surface of the work. We can see from the above graph that the long-range initial ascent encounters a number of setbacks during its approach to the primary tone. Each tone of this arpeggiated ascent, for example, is elaborated by its own nested linear progression. The tonic scale degree, established in the fugal introduction, for example, is elaborated by a linear progression spanning a descent over an entire octave whereas scale degree $\hat{3}$, when it arrives, is elaborated by two consecutive linear descents to the tonic. We can consider the implications of these prolongations of each tone of the initial arpeggiation through the tonic triad in turn. The fugal introduction (theme 1), for example, can be heard at a deep level of structure as a prolongation of $\hat{1}/I$ (see examples 4.12 a and b). But the melodic security of the tonic scale degree at the background level is undermined by the insecurity of its harmonic foundation. As a consequence, melody and harmony are subject to a displacement. It is only at bar 30, at the close of the linear progression, for example, that the tonic scale degree finds root position tonic support, whereas the first time we hear it, it is supported by a weaker first inversion chord. Musically, then, the fugal introduction can be heard as a gradual composing out of the relative instability of the tonic first inversion chord of the opening bar into a more secure contrapuntal-harmonic formation at the cadence. Or as the gradual emergence of consonance from dissonance. Conceptually, however, we might wish to consider the section as embodying the emergence of order out of chaos. Cosmic metaphors such as this are entirely in keeping with Schenker's poetics. In his analyses and theoretical writings, for example, he often invokes the idea of an omnipresent being restoring order to a chaotic universe as an analogue of the composer's control over and resolution of the structural tensions unleashed in a work. The octave descent from the 'celestial' heights of c''' to the more 'earthbound' c'' perhaps reinforces the cosmic metaphor.

The Garden of Eden

The following two sections of the work (see examples 4.13 and 4.14) depart from the melodic security of the tonic scale degree by skipping up to $\hat{3}$ in the treble. If the first section counterpoints melodic security with an emergent bass security then these sections counterpoint the relative melodic tension of the third degree, which they prolong, with the harmonic security of their bass support. We noted earlier, however, the ease with which these two sections seem to accommodate their chromatic inflections by contrast with the disruptive chromaticism of the opening fugue. The increased tension implied by the treble's $\hat{3}$, then, belies a much more stable contrapuntal-harmonic atmosphere than that of the opening fugue. This is due in large part to the frequency with which the relative tension of the melodic $\hat{3}$ is relieved by a resolution to

Example 4.12 (a): Foreground analysis of 'fugal introduction', *Les Troyens*, 'Chasse Royale'.

Example 4.12 (b): Middleground analysis of 'fugal introduction', *Les Troyens*, 'Chasse Royale'.

the security of $\hat{1}/I$. This would seem to be a musical world in which any conflict is easily resolved and any lack is easily liquidated. It makes sense, in contrapuntal-harmonic terms, to speak of these two sections as one, as I have been doing, despite their contrasting thematic material, since there is no real harmonic or melodic development throughout these two sections that would set them in opposition to one another. Both theme 2 and theme 3 cling, at a background level, to root position tonic harmony supporting $\hat{3}$ in the treble. The contrasting nature of the thematic material, then, could suggest only an apparent diversity within a real unity. Likewise the fact that both of

Example 4.13: Middleground analysis of theme 2, *Les Troyens*, 'Chasse Royale'.

Example 4.14: Middleground analysis of theme 3, *Les Troyens*, 'Chasse Royale'.

these themes elaborate linear descents from $\hat{3}$ suggests that, despite their superficial differences, they are one and the same beneath the surface. This reading contrasts with the reading of the topical content offered above where the different thematic material of these two sections sets up an opposition between a 'feminine' lyrical theme and a 'masculine' fanfare.

The Fall from Grace

The next section, the transitional material of bars 86-100, announces the arrival of the number's main source of conflict. Let us look more closely at the harmonic contrapuntal makeup of this new material (example 4.15). Bars 86-92 prolong tonic harmony. The saxhorns' $\hat{3}$ is still ringing when the transitional period begins, allowing us, perhaps, to retain $\hat{3}$ over this triadic passage as the graph in example 4.15 does. We have already noted that the passage prolonging D minor (bars 92-7) is an adumbration of this movement's preoccupation with that key but it is much more besides. The supertonic, D minor, suggests a pre-dominant function. Since we have heard no key to challenge the

tonic we strongly hear D minor as heralding an imminent and long-awaited move to the dominant. The shift to E♭ major, then, at bar 100, is a coup that prevents the establishment of the dominant pole to the tonic. Rather E♭ here usurps C major's place in support of the *Kopftón*, G, attempting to take control of the fundamental line. It is notable, then, that the strongest tone prolonged in the C major section was not $\hat{5}$, but $\hat{3}$ —though admittedly $\hat{5}$ is not entirely absent there. In the transitional section, then, we hear the first intimation of the conflict that defines the central portion of the work where D major/minor and E♭ major/minor wrestle one another for attention. Here, for instance, D minor is slowly transformed into the dominant of E♭ major with which it shares two common tones (D and F) by means of the linear intervallic pattern shown in example 4.15. For the remainder of the movement, however, such reinterpretations of harmonic functions occur in a much more brutal fashion. Indeed, the central section of the work is characterised by a near constant flickering between these two harmonies. But the fundamental line will not be able to descend until D minor is allowed to pass to the dominant, offering itself up as support of $\hat{4}$ and reinterpreting $\hat{5}$ as a *Kopftón* in C major and emphatically not E♭ major.

The prolongation of the *Kopftón*, $\hat{5}$, and the conflict that results, is the essential business of the section of the number spanning bars 86-264. The nature of this conflict is captured in the graph in example 4.11 by means of opposing stems. Upward stems capture the movement between E♭ and its dominant while downward stems capture movement between D minor and its dominant. The reader is asked to imagine these two tonalities as if they are shifting tectonic plates rubbing up against one another, neither being able to achieve any stability. It is only in bar 264, for instance, that $\hat{4}$ is finally established and allowed, in bar 309, to recapture $\hat{3}$ over the dominant six-four harmony. Up to this point, for instance, it is frequently undermined. The *Kopftón* having been established in bar 100, it is immediately problematised by a much stronger emphasis on $\flat\hat{5}$ over a cadence at bar 106. This flattened version of the *Kopftón*, however, can also be heard as $\sharp\hat{4}$. The *Kopftón*, in its natural form, is recaptured at bar 117 under E♭ harmony. In bar 137, however, it is reinterpreted as a seventh over the dominant of D major, forcing it to resolve downwards to F♯ ($\sharp\hat{4}$). The function of the section from bar 148-65, however, is to convert this local $\hat{3}$ in D major to a local $\hat{2}$ in E♭ major. Note that the 3-progression from F♯-D in these bars is supported by a move from D major to B♭ major. Thus the opening note of the 3-progression is no longer supported harmonically at the goal of the progression (see the progression around O on example 4.11).

The section from bar 166 to bar 184 reinterprets the *Kopftón* as a dissonant sonority. The G-G♭ toggle can be heard in an inner voice in bars 166-8 and at the top of the texture in bars 171-4. It functions here as part of a half-diminished seventh chord and leads us, eventually, to the cadence in D minor at bar 183 where $\hat{4}$ is now a local $\hat{3}$ (just

Example 4.15: Middleground analysis of modulation to E \flat major, *Les Troyens*, 'Chasse Royale'.

before Q on the graph). It is immediately reinterpreted, however, as a local $\hat{2}$ of E \flat in the sudden lurch to B \flat major in bar 184. The flickering of these tones, G-G \flat /F \sharp -F, is continued through the next sections. F emerges as $\hat{2}$ of E \flat in bar 201 before a section in G minor reinterprets G as part of a dominant 6/4 in that key. At bar 219 E \flat appropriates G again, only for it to be reinterpreted as part of a dominant-seventh harmony, resolving to F \sharp in D major in bar 227. Once again, however, the phrase in D major is not allowed to descend to a local $\hat{1}$; it is evaded by *yet another* shift to B \flat (rehearsal mark W on example 4.11).

Redemption?

That E \flat is, to some extent, victorious over D minor could be seen in the climactic presentation of the fanfare themes in E \flat and a descent from the local *Kopft* of E \flat major down to a local $\hat{1}$ in bar 258 (around rehearsal mark Y). But it is only with the establishment of E \flat major, at this point, that D minor is finally allowed to progress to the dominant, G. Therefore E \flat major is also, in part, a 'helper'. The process by which G is reappropriated as $\hat{5}$ of C begins with the establishment of $\hat{4}$ over a local F minor harmony in bar 264 (rehearsal mark Z). The interval F-D is then unfolded over bars 264-305 culminating on dominant harmony in preparation for the recapitulation of C major. The resolution of F at the top of the unfolding occurs with the recapitulation of the lyrical theme from the introduction supporting $\hat{3}$ in the top voice. A problem arises, here, however, since the $\hat{3}$ in the top voice is supported by a dominant pedal as if to compensate for the lack of dominant in the movement so far and in order to generate some sense of inevitability about the close in C major. Example 4.16 is a linear reduction of this final section. Here we can see that scale degree $\hat{3}$ is prolonged over bars 309-46, before descending through $\hat{2}$ to $\hat{1}$ at the final cadence at bar 350 over root position tonic and dominant harmony. Since this resolution slips into an inner voice, however, it lacks the strength that we would expect from a final cadence (see example 4.16). It is significant, then, that the top voice remains stuck on the *Kopft*, as cover tone, over

The image shows a musical score for 'Chasse Royale' with middleground analysis. The score is in treble and bass clefs. Above the staff, there are labels for chords: D1, E1, F1, and G1. Below the staff, there are labels for functional harmony: V4, V3, and V. The score includes various musical notations such as notes, rests, and accidentals. A dashed line connects the V4 label to a specific chord in the bass staff.

Example 4.16: Middleground analysis of tonal closure and return of themes 2 and 3, *Les Troyens*, 'Chasse Royale'.

the top of the final cadence, in a final assertion of its dominance over the movement. It could be argued, of course, that this allows a smooth transition into the $E\flat$ major of the following number, but Berlioz could have provided us with a structural close followed by a transition or coda. Instead he decides to undermine the sense of closure within his relatively self-contained prelude. The weakening of $\hat{3}$ at the reprise of the singing style, and the lingering of $\hat{5}$ at the final cadence, could be seen as $\hat{5}$'s final victory over $\hat{3}$'s claim to structural priority but it nevertheless leaves the structure feeling unresolved.

If Classical tonal syntax is governed by the polarity of tonic and dominant then Berlioz's harmonic language generates tension in 'Chasse Royale et Orage' through surrogates for these chords. At a background level, ostensibly, the piece is governed by a tonic-dominant polarity, as the above graph shows, but the arrival of the dominant in 'Chasse Royale' is remarkably late. The tonic having been established in bar 30, it is not until bar 305 that Berlioz provides a tonality-defining structural dominant. One of the questions this piece seems to ask, for instance, is how far can the 'unsupported stretch' be stretched before it breaks? In order to test the magnetic pull of two magnets we can place them further and further away from each other until their attraction to one another loses its strength. These large-scale dislocations put the tonic and dominant at such a remove from one another in the temporal unfolding of the music that it is difficult to maintain that there is any real tension existing between them. To analyse the passage from bar 100 to 264, even up to bar 305, as being, in any real sense *in C major* would seem a slightly perverse thing to do. Indeed a C major chord is not heard once throughout this entire passage. Its hegemonic control over the treatment of consonance and dissonance, then, is seriously brought into question in this work. Thus the standard narrative outlined here, of the creation, the fall, and redemption, is, apparently undermined by the interior of Berlioz's work.

VI. An enquiry into the number's 'meaning'

If we are to arrive at a meaning of Berlioz's 'Chasse Royale et Orage' we must consider the way in which the music interacts with the other semiotic systems in use. 'Chasse Royale' is, for example, an accompaniment to a ballet. Berlioz provides fairly detailed stage directions on the score for the dancers. The movement is headed, for example, by a brief programme of the events depicted by the movement. I include it here in the original French with a translation to come later:

The theatre shows a forest on an African morning. At the back, a very high rock. Lower down, to the left of the rocks, the opening of a cave. A little stream flows along the rocks and runs into a pool bounded by reeds and rushes.

Two naiads appear for an instant and then disappear, then we see them swimming in the pool. Royal hunt. Horn fanfares resound throughout the forest. The frightened naiads hide themselves in the reeds. We see Tyrian hunters passing, leading their dogs by leash. The young Ascagné gallops across the theatre on horseback. The sky darkens, rain falls. A storm approaches...quickly the storm becomes terrible, torrential downpours, hail, lightning and thunder. Hunting horns resound amid the tumult of the elements. The hunters disperse in all directions, at last we see Didon dressed as the hunter-goddess Diana, bow in hand and quiver on her shoulder, and Énée in a warrior-like costume. They are both on foot. They enter into a cave. Wood nymphs appear, scattered among the rocks, they come and go, crying out and making mad gestures. Amid the clamour we can make out the word: Italy! The reeds grow and become noisy. Various springs of water form among the rocks and add their noise to the fracas of the storm. Satyrs and sylvans join fauns in a grotesque dance. Lightning strikes a tree, breaks it and enflames it. Debris from a tree falls on the scene. Satyrs, fauns, and sylvans pick up the flaming branches, dance while holding them with their hands, then disappear with the nymphs into the depths of the forest. The scene is covered by cloud. The storm calms. The clouds lift.⁴⁴

We need not speculate, as it is common to do with programmes, which parts of the score refer to which events in the programme, however, since Berlioz provides detailed instructions on the score as well. The table below, then, offers an account of the entire movement with bar numbers indicating the position in the score of the stage directions. The letter refers to the rehearsal mark closest to the direction and the number after the colon indicates the number of bars after the rehearsal mark to the direction. It should be noted that these stage directions frequently echo the programmatic summary offered at the head of the score.

The sequence of events depicted in the ballet is quite complex and requires further elucidation. The fourth act comprises two tableau of which the ballet is the first. It functions as a sort of prelude to this most important of acts. At the general level, the title informs us that we are to witness a Royal Hunt and a Storm. That Énée accompanies Didon on a Royal Hunt signals his being accepted into the Royal circle. As

⁴⁴ My translation.

audience members we are perhaps most concerned with the activities of Didon and Énée but these two characters appear relatively late on in the ballet. For the main part of the movement the music seems concerned with a number of other personages, from the naiads at the opening to the group of hunters rallying around Ascagne—Énée's son—during its central portion. The main 'event', however, is the implicit love-making of Didon and Énée in the cave within which they seek shelter from the storm. Here, too, is introduced another set of mythological creatures: fauns, nymphs, sylvans, and satyrs. Since the love-making happens at so late a point in the narrative of the movement it is necessary to consider how the remainder of the narrative fits together as a whole. The following is a composite of the programme offered by Berlioz and the table of annotations, below. This composite will also serve as a translation.

As the curtain rises on the fourth act, we glimpse two naiads frolicking among reeds and swimming in a stream. Their joyous activity is disrupted by the sound of a distant hunting horn, to which they listen with some trepidation. They leave the water to listen to the horns more intently and to search for its source. Spooked by this interruption, they flee the scene and hide themselves among the reeds. The naiads having departed they are replaced on stage by a group of hunters being led by their leashed dogs. A storm seems imminent and a lone hunter, alarmed by its approach, seeks shelter under a tree. Leaving the cover of the tree, and standing at the edge of the forest, he begins to hear scattered hunters playing their fanfares in the distance. The sky darkens and rain begins to fall. There are lightning strikes. Ascagne, the son of Énée, gallops across the scene on horseback and the other hunters on horseback begin to rally around him while others, on foot, flee and are dispersed. Finally, Didon and Énée enter on the scene as it is approaching night. Didon, as Berlioz informs us, is dressed like Diana, a hunter of Roman mythology, while Énée is dressed like a warrior ('un guerrier'). The storm is at full force now and the amorous pair are forced to seek shelter in a cave. All around them the various groups of hunters sound their hunting horns. In addition, the wood nymphs run around crying and shouting and gesturing in a disorderly manner; they are joined by dancing fauns. The water of the rock-pool, within which the naiads once swam, is disturbed by the storm and begins to crash and fall against the rocks noisily. Satyrs and sylvans join in the grotesque dance of the fauns in the darkness of the night. A bolt of lightning strikes a tree and some branches break off. The fauns and the sylvans take up the flaming branches and continue their dancing. As they disperse and exit the scene the storm begins to subside, leaving behind thick clouds which gradually clear.

Reading the table offered in figure 4.3 alongside the formal table and the Schenkerian reduction provides the reader with some understanding of the coincidence of certain narrative and music-structural events. For, 'Chasse Royale' can be read in such a way as to suggest that the music works in tandem with the events of the narrative. We would of course normally expect some simultaneity in the events of the music and the events

Bar Number	Instruction
C: 5 (28)	Two naiads let themselves be seen among the reeds and then disappear.
D: 4 (34)	We see the naiads swim in the pool.
E: 6 (50)	The naiads seem to listen with trepidation to the distant sounds of hunting horns.
F: -2 (58)	They leave the pool and look into the distance.
F: 5 (65)	They exit stage right showing increasing worry.
G: 6 (80)	The naiads flee and disappear among the reeds.
H: 0 (86)	Some hunters come forward and cross the stage leading some dogs.
L: -1 (128)	A lone hunter passes and seems alarmed by the approach of a storm.
M: 0 (137)	He shelters under a tree.
N: 6 (154)	The hunter comes out from under cover of his shelter and leads himself to a place in the forest where he hears the sounding of trumpets.
R: -1 (189)	The sky darkens, rain falls.
S: -4 (197)	Lightning strikes.
T: 0 (207)	Ascagne gallops across the theatre on horseback.
T: 5 (212)	Other hunters follow Ascagne on their horses at some distance.
V: -2 (225)	Other hunters, on foot, seem to flee in all directions.
W: -2 (234)	Enter Didon and Énée ahead of the storm.
W: 4 (240)	Didon and Énée go into a cave.
X: - 4 (242)	Messy haired wood nymphs appear at the height of the rocks, they come and go, running, shouting, and gesticulating wildly.
X: 0 (246)	Enter fauns, dancing. The rock stream swells and becomes a noisy waterfall.
X: 3 (249)	Water shoots from a number of different points in the rocks and mixes its noise with the fracas of the storm.
Y: 0 (254)	In the darkness, the satyrs and sylvans join in a grotesque dance with the fauns.
Y: 4 (258)	A bolt of lightning hits a tree, it breaks and catches fire.
Y: 6 (260)	Debris from the tree falls on the scene.
Z: -4 (262)	The fauns and sylvans pick up the flaming branches and dance.
A1: -4 (274)	The nymphs, the fauns, the sylvans, the satyrs disperse quickly and leave.
B1: 0 (284)	The scene is slowly covered by thick clouds.
C1: 4 (303)	The scene is completely obscured by thick clouds.
G1: 13 (350)	The clouds lift and dissipate.

Figure 4.3: Tabulation of captions on score of *Les Troyens*, 'Chasse Royale' (my translation).

on the stage: some sort of 'Mickey-Mousing' effect. Another way of looking at the work, however, might be by reading the music and text as working alongside one another— independent systems with their own meanings that, when brought together, acquire even greater richness. With this approach we might consider the ways in which the

issues highlighted in the music give expression to issues explored in the text or onstage. This can be done by consideration of the text and the music as articulating a series of binary oppositions that need not be presented in succession or simultaneously but could be explored across different sections of the music. Music and text are both capable of operating along these two axes but there is no requirement that the operations of both music and text be simultaneous for a meaning to be articulated.

I take it as axiomatic that music can have a meaning independent of its connection to a text or to events on stage, i.e. that the function of the music, here, is not merely to evoke the movements on the stage but that there is an autonomous musical structure that can be articulated in terms of, for instance, a movement from stability to instability followed by a return to stability. This abstract musical structure, just explained, bears close similarities to the beginning-middle-ending paradigm discussed by Agawu in *Playing with Signs*. The reason the beginning-middle-ending paradigm is so ubiquitous surely has to do with the innumerable uses to which it can be put. Here, for instance, the stability-instability-return to stability idea is used as a musical metaphor for the progress and dissipation of a storm but it nonetheless retains its status as an autonomous musical structure, one with its own history. The stable tonal area of the first 86 bars of the work could, nevertheless, be heard to represent the calm before the storm. The storm starts to build up in the next section (bars 86-284) with the peak beginning at bar 241, before the restoration of calm, and the return to tonic harmony, from bar 284 to the end. It is unsurprising, then, that the storm and its build up coincides with the tonally most unstable section of the work. Indeed the sense of disarray is given expression by Berlioz in the spatially distributed saxhorns playing various fanfares and tonally by the frequent changes of key in the central section of the work between E \flat and D. Therefore, the disarray of this central section, and the dispersal of the hunters in the midst of the storm is expressed by means of thematic, tonal and orchestrational devices all of which hold up as musically interesting in their own right. Music and text complement one another.

The flexibility of this structural paradigm has been grasped well by Ian Kemp in his analysis of this movement. Kemp describes it in terms of 'the writing of a piece of music which is universal in its basic design, unique in its working out'.⁴⁵ It's worth outlining his view of the work as a springboard into my own discussion. As he notes, 'Of course the *Chasse Royale* can be heard as a piece of music pure and simple, and unless it holds up under this guise discussion is otiose'.⁴⁶ Kemp's view of the work, then, is very similar to my own expressed above. He sees it as a 'sustained crescendo and diminuendo',

⁴⁵ The phrase has echoes of Schenker's 'always the same but in a different way'. See Kemp, 'Commentary and Analysis', 155.

⁴⁶ *ibid.*, 151.

elaborated, as he goes on to say, by a variety of means, such as, ‘obviously, dynamics and, in particular, orchestral textures’. He adds that

Dynamics do not just get louder, textures thicker. In perpetually new ways textures gather substance and thin out, become dense and then airy, sharp-edged and contoured, arresting and relaxing, all the time controlling the weight of those accumulating waves of movement which are the real shape of the piece.⁴⁷

Interacting with this gigantic crescendo-decrescendo is a gradual overlaying of the work’s themes. It’s possible, indeed, to arrive at something resembling a musical plot—one that closely mirrors the annotations—by elucidating the topical content of each of these themes as I have done above. When a hunter is on stage, for example, we generally hear, unsurprisingly, a theme which articulates a hunting topic. But Berlioz also constructs his themes so that they serve the more abstract shape of the work’s structural premise.

Kemp offers a pictorial account of the work not dissimilar to the outline of events provided by Berlioz. By far his most interesting insight, however, is his suggestion of a third hearing whereby the ‘main dramaturgical purpose of the *Tableau* is to represent the passion that has sprung up between Dido and Aeneas’. As he goes on,

If the remainder of the opera is to depend on this, it seems hardly likely that Berlioz could have disposed of it in just fifty seconds. It is at least possible that he used the whole of the *Tableau* to represent their love-making, drawing on the subliminal power of music to complement the stage picture. In this connection it could be mentioned that the hunt as a symbol of the sexual chase is as old as the hills, as is the storm of emotional turbulence.⁴⁸

He then offers a new programme of events which transforms the whole thing into a sort of operatic duet. I offer it here in full:

At the opening the theme, on the violins, is in a high register: Aeneas looks into Dido’s eyes. He caresses her face. As he slowly finds her whole person, the theme winds downwards and her tremulous responses are heard in the woodwind. She begins to sing. He responds. A saxhorn solo, deriving from the first theme though soon taking on its own elusive character. The symbolism of the horn is also old. Stirrings in the lower strings being to take charge, derived from the earlier woodwind responses. Bolder more decisive movement, and bolder symbolism in which the saxhorn theme is transformed into a new one for trombones, leading to the first surging wave of delight. The urgency quickens and, eventually there is a shrill cry on the piccolos, a signal of the climax, which comes with the sound of multitudinous voices and of all the themes together, a kind of cosmic embrace. A dark forbidding colour and then she sings again.⁴⁹

⁴⁷ *ibid.*

⁴⁸ *ibid.*, 155.

⁴⁹ *ibid.*, 155-6.

While a little too literal for my taste, Kemp's great insight is in the metonymic function of the build up of the storm for the love-making of Didon and Énée, a metonymy, indeed, that bears out the argument that the 'beginning-middle-ending' paradigm can be put to numerous uses, and, moreover, that these alternative ideas can be employed simultaneously. It's by such means, for example, that the private love between Didon and Énée takes on a world-historical significance since the scene is subject to a constant 'flickering' between this 'cosmic' movement and their individual love. We get the sense that Berlioz's *Tableau* is not about just these two individuals, then, but about love in general.⁵⁰ And with the storm we can add that the strength of their love seems to move the world. The only problem, however, is that Kemp's insights, while valuable, are not supported by close reading of the music. How then, can we reconcile such readings with the analysis offered above?

Stephen Rodgers's analysis of *Scène d'Amour* from *Roméo et Juliette* provides a more convincing model for the mapping of programmatic content onto close musical analysis than does the more programmatic approach taken by Kemp. Indeed, Rodgers derives his idea of musical metaphor from Berlioz himself and thereby invokes the composer's authority in his methodology for elucidating the relationship between music and text. The power of Rodgers's analysis, however, derives not from a misguided appeal to composer intentions, but from the fact that the method holds up very well on its own terms. Berlioz's idea of the relationship between text and music, for example, and its codification as musical metaphor in Rodgers's work, is not too dissimilar from the theory outlined by Agawu in his *Playing with Signs*. The gist of the idea is that, for Berlioz, while music is capable of imitating objects that produce sound, such as birds, or rainfall, it is powerless to depict objects that produce no sound. Nevertheless, it is Berlioz's view that, to quote Rodgers, music 'may easily express "dreaminess," just as it may express "blissful love, jealousy, carefree anxiety," and so on'.⁵¹ We might add, then, that though music cannot 'depict' nature it can evoke the same sentiments in the listener that the composer felt when gazing upon nature. The addition of a text, then, allows the composer to indicate the source of the sentiment. As Rodgers summarises, for instance, 'We enter the realm of metaphor, however, when we move beyond the expression of sentiment and into the fashioning of *images*, whose particularities can only be imagined if we have an extra-musical aid to help us'.⁵² Rodgers's great insight is that musical metaphor can, and in Berlioz often does, extend into the realm of musical

⁵⁰ The philosopher Alain Badiou has analysed the 'universal' aspect of the love of Didon and Énée in his *Logics of Worlds: Being and Event II*, trans. Albert Toscano (London and New York: Continuum, 2009). See his 'Amorous Example: from Virgil to Berlioz', 28-32.

⁵¹ Rodgers, *Form, Program, and Metaphor*, 49.

⁵² *ibid.*, 49.

form. His analysis of the form of *Scène d'Amour*, and his relating it, through ideas of musical metaphor, to the balcony scene of Shakespeare's play, is a great example of his theory put into practice.

Rodgers wisely seeks to avoid the impression that Berlioz's music simply 'duplicates' the scene that it evokes. As he notes, for example,

The *Scène d'amour*, in particular, has continued to interest analysts in this regard because the correspondences between its score and the balcony scene are so tantalizing. It is difficult to deny the gut sense that there *must* be a connection between the two, likely a strong one, and to quell the urge to seek it out. But the music throws up roadblocks, continually resisting any reductionist reading that sees it as a reduplication of Shakespeare's dialogue.⁵³

Perhaps the greatest explanation of Rodgers's method is the one that treats the 'program-music interaction in Berlioz' as analogous to an 'interpretative dance'.

A dancer's rendering of the battle between David and Goliath might not contain a single event that corresponds to the slinging of the stone. The 'crucial events' of the story might not be represented at all, or they might be represented many times over, or in non-chronological order. But the dance might manage to give us an *impression* of the story - the attitude of its characters toward one another, the emotions they experience, the thrust and significance of the drama if not *what happens* in it. The dance can take on a life of its own, exhibit a coherence independent of the story that inspired it, and perhaps even give us just as vivid an impression of another story, if we are primed by a different title or a different program note to see the dance a different way. This is not to imply that the dance and the story - or the music and its program - are only accidentally connected. But the connection is not *given*, however essential it might seem to us; it is *made* by us, when we forge complex ties in our minds between the structures of two different conceptual systems.⁵⁴

This idea can extend to the relationship between the stage directions provided by Berlioz for the dance that accompanies 'Chasse Royale et Orage'. Note that Rodgers's method does not discount the possibility that music and text operate in tandem with one another. It simply allows for a number of possibilities. Correspondences between music and text may well occur but this does not detract from either music's or dance's status as independent conceptual systems.

We might surmise, for instance, that the opening of the piece depicts a sunrise. Berlioz does, of course, inform us that the setting for the scene is an African morning but he does not specify that it is a sunrise. What might lead us, however, to imagine that there is a sunrise? In order to answer this question we need to synthesise the insights of the above analyses. How might we describe the 'essence' of a sunrise? I would suggest

⁵³ *ibid.*, 107.

⁵⁴ *ibid.*, 60-2.

that a sunrise is, in essence, a revelatory experience. In the slow emergence of light the eyes see more clearly what is laid out before them. Sunrise is also, of course, a slow process. The light does not simply come on as if switching on a light bulb. It is gradual —light slowly engulfs everything as the sun rises higher and higher above the horizon. In essence, then, sunrise is about the emergence of clarity out of darkness. In 'Chasse Royale et Orage' Berlioz captures this essence in the first 30 bars in the composing out of the linear progression over an octave. The emergence of an unambiguous tonal centre over the course of this composing out models the emergence of clarity provided by a rising sun. We can conceive of the opening 30 bars, for instance, as a self-contained piece that composes out its own *Ursatz* from the ambiguity of a yet-to-be-confirmed tonic C major chord, in first inversion, to the unity of the perfect authentic cadence in C major at bar 30 where all tension is resolved. The musical process, like the dramatic one, is the emergence of clarity out of tonal 'darkness'. The discursive aspect of the piece adds to this impression. In keeping with Berlioz's notion of the relation of music and text, the 'direct' imitation of birdsong is a mere supplement to the expressive power of the musical process of this unfolding of an octave. Even the fact that it spans an octave and moves from a 'transcendent' high register to an 'earthly' middle register seems significant.

It is towards the end of the composing out of this octave descent from $\hat{8}$ to $\hat{1}$ that the naiads first appear on the scene. Their activity unfolds over the course of the next 56 bars or so from the introduction of the operatic duet-like theme (2) to the rising scalic figure (4), between which we hear the first of the work's fanfares. The previous theme having established the setting for the scene about to take place, this next section introduces the *dramatis personae* with which the piece will be concerned. We learn from the annotations that there are two naiads present on stage and so we may naturally associate the two melodic voices of theme 2 with these two creatures. The femininity of the naiads also finds a voice in the 'femininity' of the 'singing style' topic at the same time as it alludes to the 'feminine' Didon—though, it should be noted, Berlioz complicates such gendering by having Didon in the role of huntress. Nevertheless, naiads are mythical *female* spirits who preside over fresh water. Thus they are representatives of the feminine. They are also 'naive' in the Schillerian sense of being part of nature, as is reflected in the diatonicism and rustic simplicity of their melody. Their mythical status and their naiveté suggests a temporal distance with the 'present' of the opera. We might locate the naiads, then, in a distant past. In the 'present', however, this can be translated into the perceived naiveté of the feminine. With the advent of the fanfare, nature meets culture for the first time in this work. Berlioz allows us to view the scene from the perspective of the naiads by spatial displacement of the saxhorns. We are still in the realm of nature, then, but culture is beginning to encroach on this paradise and the anxiety of the naiads is reflected in the agitated string figures.

The anxiety of the naiads can be read in numerous ways. We can hear it as the increased heart-rate of Didon being approached by Énée—the stirrings of sexual awakening. The introduction of a new personage coincides with a new musical event at rehearsal mark H. Here the hunters appear on stage for the first time, leading dogs on leashes. The tempo is increased by the introduction of faster rhythms giving the impression of movement in opposition to the static nature of the music of the naiads. It is in this section, too, as remarked above, that we hear the first departure from the home key of C major. At rehearsal mark I the music begins to modulate from C major to E♭ major and thereafter quickly shifts to E♭ minor—a darkening of the opening's light.

How can a Schenkerian poetics be constructed for this introductory scene? The main harmonic-contrapuntal function of these first 86 bars, as described above in section V, is to delay the arrival of the primary tone, $\hat{5}$ by means of an arpeggiated ascent from $\hat{1}$. Each step of this arpeggiated ascent is elaborated by additional linear progressions down to $\hat{1}$ an octave below. Since the structure of the piece, in Schenkerian terms, is not considered to have begun until the arrival of the primary tone, this delay reinforces the sense that the Arcadian opening, during which we see the naiads, is located in a distant past. The preliminary ascent also results in a dislocation of the primary tone and its structural support over a tonic harmony. The large-scale mismatch of melodic and harmonic goals, then, contrasts with the tonal security of themes 2 and 3, anchored as they both are on a secure tonic harmony. This dislocation results in a conflict between background and foreground since, at a background level $\hat{5}$ can be heard over I. The arrival of the primary tone, then, signals the first 'rupture' in this unity as a musical metaphor for the textual content, which concerns the loss of an initial state of unity. That this entrance into culture is at once a necessary event but also one greeted with anxiety is indicated in the tendency of themes 2 and 3 to resolve back to $\hat{1}$ as if to halt the progress of the mounting tension towards the primary degree and to return to a state of stasis. The initial ascent, then, embodies the two opposing tendencies of progression and regression in the will towards the primary tone and the desire to return to the tonic scale degree.

At rehearsal mark L a lonely hunter, the direction tells us, is alarmed by the approach of the storm. We might hear the re-introduction of stormy *tremolandos* as a portent of this storm. At rehearsal mark M this lone hunter seeks shelter under a tree—this is where we hear the aforementioned dominant minor ninth in D major—before coming out from under cover of shelter to hear the horns of his fellow hunters dispersed in the chaos of the storm. At rehearsal mark T, Ascagne, the son of Énée, begins to rally the hunters, while others flee on foot a few bars before rehearsal mark V. The disarray caused by this storm, and described in the programme, is given musical expression in the tonal disarray of the constant flickering between E♭ major and D major—a tonal counterpart to the spatially scattered fanfares. It is as if the disruption caused by this storm, and, by

extension, the love of Didon and Énée has caused a rupture in the normal tonal logic. As Didon's love for Énée threatens to divert the hero from his true *telos* in Italy, so too does the love of this couple cause a disruption in the tonal order, abandoning a clear focus on C major for a conflict between two irreconcilable keys. The harmony, too, no longer operates functionally, as the above analysis showed.

At the peak of the storm Énée and Didon enter into a cave to consummate their love. All of the personages of the movement are present at the climax. Nymphs, satyrs, sylphs and fauns perform a grotesque dance. Lightning strikes a tree and branches break off in flames. The fauns and the sylvans pick up the flaming branches and dance with them. Although we are given a rare example of tonal confirmation in the brief tonicisation, at the height of the climax, of the key of E \flat major the music points more obviously to an increased sense of disarray. This is far from being, for example, a moment of synthesis. Note, for example, that this tonal fulfilment is, crucially, off tonic, on the flattened mediant that had disrupted the imminent move to the dominant much earlier on. As the climax subsides, then, the fauns, sylvans, nymphs and satyrs disperse and the storm calms we are returned to where we began. I say return because one of the results of the disruption to tonal order in the central portion of the work is that it is hard to claim that this return to C major represents a real fulfilment—a higher unity than that offered at the beginning of the piece. Something about this ending, for instance, sounds decidedly hollow and subdued.

VII. Hermeneutics and context in 'Chasse Royale et Orage'

In my discussion of *Les Troyens*, and, indeed, throughout my thesis, I am concerned with the central contradiction of the period in which the bourgeoisie was in the political and economic ascendancy the outcome of which can be seen in two revolutions of world-historical importance: the industrial revolution, which transformed the means of production and all existing civil and social institutions; and the political revolution in France from 1789 which established the bourgeoisie as the ruling power. The declaration of the rights of man enshrined the principles upon which liberal democracy was to be based for the next century and onwards and established the mutual interests of an industrial bourgeoisie and a liberal intelligentsia and therefore, in theory, enabled the rational individual to freely choose to participate in the objective social order. The essence of bourgeois liberalism, then, is the unification of individual will with civil law, given greatest expression in the advent of the legal contract entered into freely by two or more willing individuals. But the great tragedy of bourgeois liberalism is that it simultaneously gave rise to some of the greatest moral ideals of humanity and at the same time provided the conditions in which these ideals could only scarcely become a reality.

In his first monograph, *Edward Elgar, Modernist*, J. P. E. Harper-Scott introduces an idea he calls 'immuring-immured' tonality that might be of use here. The crux of this idea is that it is possible, in an ostensibly tonal composition, for two keys to vie for attention such that the restoration of an initial tonic seems less like an affirmation than as a hollow nod to convention. Harper-Scott, in various of his articles and chapters, finds this structure to be of great importance to the work of Elgar.⁵⁵ In Elgar's First Symphony, for example, the composer sets up a conflict between A \flat major, with which the symphony begins, and D major, which is established, in a subsequent movement, as having a transcendent quality. Harper-Scott argues that although the symphony can be seen to be composing out a unity of A \flat major across its four movements and that although it does indeed return to a triumphant-sounding A \flat major at the conclusion, this 'happy ending' is merely a superficial one and is plainly not strong enough, since A \flat has been so emphatically undermined throughout the work, to act as an affirmation of A \flat major and a resolution of the work's tensions. Why, he asks, should a work that sets up D major as having a transcendent quality end with triumph in a different key? Directional tonality, he suggests, would have made for a happier ending. However, breaking the mono-tonal hegemony would indicate a divinely ordained (since outside the confines of A \flat) triumph. What we get, instead, he suggests, is a 'human' conclusion unable to resolve the conflicts of the modern objective social order.

Harper-Scott's analysis of Elgar's First Symphony relies on an intertextual relationship between that symphony and the work of Beethoven's middle period. That is, it relies on the understanding that the heroism of Beethoven's middle-period style represents the bourgeois utopia of a reconciliation between self and objective social other, between individual will and social necessity. Harper-Scott takes it as axiomatic that such a utopia is given its most cogent expression in the organic unity of Beethoven's middle-period tonality whereby a process of the subject's 'becoming' culminates in the affirmation of the work's original tonic. Expressed as such, the recapitulation, the sonata-form's 'locus of reconciliation' is not a return to the initial tonic harmony but, rather, its fullest realisation and the resolution of all hitherto existing structural tensions in the work. More important, perhaps, is the position of the composer-as-subject and the awareness of the historical nature of musical material. Composition allows for a mediation between the objectivity of handed down musical materials and the expression of a composer. The Hegelian dialectic of the subject can be seen in the way in which individual expression is enshrined in conventions. Beethoven's greatest achievement, according to some, is that he allowed individual expression and convention to collapse into one another such that the conventional aspects of his forms appeared to be generated out

⁵⁵ See Harper-Scott, 'Immuring-Immured tonalities: tonal malaise in the First Symphony, Op. 55' and 6.1 "'A nice sub-acid feeling": the First Symphony', in *Edward Elgar, Modernist* (Cambridge: Cambridge University Press, 2006), 65-106 and 184-99; and 'Facetten Der Moderne in Elgars Musik', *Kusik-Konzepte* 159 (2013), 96-120.

of his individualised material. The impression given is one of the subject simultaneously creating and perceiving his own reality and it is a magnificently humanistic vision since it asserts the Enlightenment vision that human freedom can be achieved without divine intervention. We can perhaps see now the significance of an ostensibly tonal piece that does not sufficiently resolve the structural tensions to which it gives rise and, concomitantly, the absence of divine intervention to put things right. It amounts to the negation of the Enlightenment faith in redemption through human striving alone, a profoundly pessimistic outlook.

All of this needs to be borne in mind in the analysis and elucidation of meaning of Berlioz's music since he operates within the broad confines of tonality after Beethoven. I argue that this influence obtains even in the more 'Gluck-inspired' works such as *Les Troyens*. One important aspect of bourgeois liberalism needs mentioning before going into the hermeneutics of 'Chasse Royale': marriage being hitherto conceived, at least in the upper classes, as a contract for the securing of lines of inheritance from one male to his progeny, the same values were supposed to obtain as much in a marriage contract as in any other. It was thus that romantic love between partners became a desirable condition for marriage over and above its socio-economic dimension. The emergence of marriage as a civic institution and the insistence that all contracts be entered into by free individuals meant the end, in theory, of forced, loveless marriages supplemented by prostitution and adultery by the man and monogamy for the woman. Monogamy for the woman, for example, was insisted upon in order to be sure of the line of inheritance and the maintenance of the institution of private property. Without monogamy for the woman, for instance, one could not be certain who was the father of the child. It is for this reason, precisely, that Engels and Marx described marriage, in a book completed by Engels after the death of Marx, on whose notes it was largely based, *The State, the Family, and Private Property*, as a form of legalised prostitution. Engels also asserted, however, that the form of love given rise to by the period in which the bourgeoisie was in its ascendancy was one of the greatest of humanity's moral advances in that it sought a reconciliation of the desires of the individual with the law of the community. The ideal that is bourgeois love was, for Engels, the first example of such a reconciliation. Hitherto, he suggests, romantic love, in so far as it existed at all, had to exist outside of socially sanctioned forms. It was always extra-marital and thus brought great shame on the men and great distress to the women.

In our analysis of Berlioz's work we can be helped by a comparison with his most famous love scene: the love scene in his third symphony, *Roméo et Juliette*. In that work, as Rodgers has shown, the characters of Roméo and Juliette can be identified with two distinct but nevertheless fairly similar themes (which he labels B and C). Rodgers demonstrates that the work is based on a gradual process of merging these

themes into a third theme that combines elements of both the culmination of which is heard in the return to the home key of A major.⁵⁶ Rodgers describes the process as thoroughly un-German and un-Beethovenian, and in some ways he is right, but the idea of a gradual process of thematic becoming, however achieved, is not altogether different from Beethovenian processes of tonal-thematic manipulation. Thus, on the surface at least, the fulfilment of Roméo and Juliette's love in the home key of A major would suggest a reconciliation of love and law. But as we know from the play this is not a love that is sanctioned by society. Rather, it is a love threatened by bitter and violent disputes between two opposing families. Although Roméo and Juliette achieve romantic fulfilment *locally* in A major, the music in which their love is given full flowering is completely removed from the symphony's global tonic of B minor/major. It is also with the exploration of their love that we temporarily leave the operatic realm and move into the *genre instrumental expressif* which is, for Berlioz, the most powerful and free that music can be, unfettered by words. In the play, words are responsible for the impossibility of Roméo and Juliette fulfilling their love with society's blessing, leading Juliette to complain, 'wherefore art thou Roméo'. The love of Roméo and Juliette, therefore, has a transcendent and transforming function in that symphony just as it does in the play. It is the tragic love of these two, for example, that brings about a reconciliation of the Montagues and Capulets, symbolised musically in Berlioz's symphony by the *per aspera ad astra* trajectory from the opening B minor to a closing B major.⁵⁷

'Chasse Royale' represents this idea in microcosm. Just like *Scène d'Amour* it is based, in the middle portion of the number on the gradual integration of numerous themes culminating in a giant uproarious climax at the moment at which Didon and Énée enter into a cave and consummate their love for one another. But another word, this time it is the call of destiny that would take Énée to Italy in fulfilment of his public obligations to the Trojan people, that sounds an ominous note in the fulfilment of their love. The crucial point here, though, is that just as B major/minor frames the love scenes of *Roméo et Juliette* as a representation of the objective social order, so too, here, does a single tonality frame the gigantic central section of the work during which Didon and Énée consummate their love. In 'Chasse Royale et Orage' it is C major that provides the objective backdrop against which Didon and Énée's love struggles. It is of particular importance, for example, that C major is initially exposed as an Arcadian world. Within this world the two lovers are separate but not altogether dissimilar. The two themes

⁵⁶ Stephen Rodgers, see chapter 6, 'Love's emergence and fulfilment: the *Scène d'amour* from *Roméo et Juliette*', *Form, Program, and Metaphor*, 107-34.

⁵⁷ Rushton has argued, in his book, *Roméo et Juliette* (Cambridge: Cambridge University Press, 1994) that 'Tonal "unity", therefore, is not an issue in this symphony'. Against Rushton's analysis, however, we should argue that, on the contrary, tonal unity is an 'issue' precisely because it has been undermined. This quotation comes from page 5.

after the fugal introduction, the lyrical theme that resembles an operatic duet and the distantly heard fanfare theme, might be heard to represent Didon and Énée respectively. Berlioz thereby sets up a narrative implication that we will see this Arcadia fulfilled and become Elysium with the reconciliation of these two lovers. Crucially, however, Didon and Énée's consummation occurs in E \flat major, a key given a great deal of attention in the central section of the number but never allowed to establish itself as structurally primary. In the central section, the Apollonian world of graceful C major has been all but obliterated and become an irrelevance. Whereas the C major section at the opening is tonally secure—there are no fewer than three PACs in the opening section, for instance—the central section is almost completely devoid of perfect authentic cadences. It is here, for example, in the consummation of Didon and Énée's love that Berlioz offers his greatest challenge to classical tonal syntax in the constant flickering between E \flat and D major/minor. Nevertheless there is a gradual process of thematic combination in this central section of the work between various different fanfares. We might associate these hunting themes with masculine Énée but we are equally able to associate them with Didon, who comes on stage dressed as Diane, the goddess of hunting. The sexual conquest works both ways, it would seem. Nevertheless the separation of feminine and masculine is made more clear in the C major section. It is in the irreconcilability, then, of the central section's absence of tonality with the global tonic, C major, that demonstrates the impossibility of these two characters' ability to unite love and law that is the bourgeois ideal. Nevertheless Berlioz still retains a reverence for the power of romantic love. Berlioz saps his form of a tonal teleology that would see C major as the fulfilment of the Arcadian potential. The music returns to C major as a concession to convention. It retains its heavenly quality as an expression of the vain hope of reconciliation of the two lovers within a single social paradigm but their love exists, properly, outside of society only, outside of the symbolic order of tonality. Their love is not fulfilled in accordance with the demands of a tonal resolution in C major. C major, rather, acts as the backdrop against which their love moves. Moreover C major is less secure at the close of the number than it is after its establishment at the beginning. The return to C major is weakened, for instance, by the dominant pedal, which does not resolve as it should. There is very little fanfare about the achievement of C major. Therefore, it does not feel like the culmination of a tonal trajectory that has absorbed and subsequently resolved all existing tensions of the work. As the piece concludes the tensions remain, something captured, perhaps, in the static *Kopfton* with which the number ends.

It would be well to provide some historical context for these observations about the nature of the family in Berlioz's work by taking a closer look at the situation in France in the nineteenth century. Robert Tombs discusses the importance of the family in nineteenth-century France, as the 'basic social cell', in his magisterial *France*

1814-1914. He argues that the main motivation for marital ties was, throughout the nineteenth century, an economic one, and he singles out France as an exemplary case due, in large part I would argue, to the consequences of the twin revolutions discussed above. As he argues, 'the practical function of the family, however, at all levels from peasant to grandee, was economic: "need and greed", in Weber's words. This was true in every country, but it was given a unique dimension in France because of the millions of families who owned land or businesses'.⁵⁸ The millions of land- or business-owning families emerged as a direct consequence of the enshrining of the rights of private property in the declaration of the rights of man and the sale of the commons that resulted in France. He goes on, 'the preservation, augmentation and transmission of the patrimony formed a solid core for an extended family, and the basis of stable social identity over generations. Parents and children, brothers and sisters were linked (or divided) by the handing on and division of family property'.⁵⁹ Consequently, 'marriage was a key move in the family's collective socio-economic strategy, to which the desires of individuals were necessarily subordinate.' Tombs points out that so desirable was it to achieve a good match, and to avoid bringing dishonour on the family, however, that marriages were rarely forced against the will of the partners involved because they had 'internalized' this desire.⁶⁰

In Virgil's *Aeneid*, Juno does not want Aeneas to reach Italy—nor, it seems, does Venus—but it has been foretold that Aeneas will reach Italy and found an Empire there. Jupiter is the one that forces him to acknowledge his destiny and to keep to it. But the point seems more to be about the extent to which their relationship is bound up with an impersonal historical process, the result of which has ramifications for entire peoples. Harper-Scott, echoing Alain Badiou, has an interesting take on this. He suggests that Énée and Didon look outwards in their love in a bid to universalize it. They speak of one another in the third person or use other loves to describe their own. Their tragedy, according to Harper-Scott, however, is that they are focused on different 'points' outside of their love such that Didon's destiny is not to go on to Italy and Énée's destiny is not to remain. The consequences of this mismatch in goals is the fulfilment of the Trojan destiny to the detriment of Carthage. 'Nevertheless', Harper-Scott suggests,

Berlioz does once again show that this excess to their love, the external cause, is immediately universalized by Enée's countrymen, who recognize their own truth in it: in Act 5, No. 39 makes clear, as nothing does in Virgil, that the ghost of Hector had appeared to the Trojan chieftains, shouting 'Italie'. So in *Les Troyens*

⁵⁸ Robert Tombs, *France 1814-1914* (London: Longman, 1996), 226.

⁵⁹ Tombs, *France 1814-1914*, 226.

⁶⁰ *ibid.*, 227.

we see not only Aeneas but the entire people achieving their destiny: the excessive love of the Two has created a new world.⁶¹

But Berlioz is also able, in this mismatch between 'feminine' Carthage and 'masculine' Troy, to offer a critique of bourgeois love in general.

The conception of the self in bourgeois society that Burnham has shown to be celebrated by Beethoven, Hegel, and Goethe among others can be seen to be operative in the domain of love. One understanding of this conception of the self can be seen in Marx's insistence, in the *Eighteenth Brumaire of Louis Bonaparte*, that humans create their own history but not in the conditions of their own choosing, the idea being, essentially, a collapse of the binary of history and nature.⁶² Humans work on the natural world and in so doing they change it, realizing their own strengths and self-determination, and also changing their own nature. This idea neatly summarizes the main tenet of the bourgeois conception of personality. It avoids a determinism that eliminates the concept of individual will at the same time as it asserts a sort of contingent determinism. This is an idealized unification of nature and culture, which attempts to resolve the problem by which we are aware of historical forces seemingly beyond our control and at the same time aware of our capacity to effect these historical changes. It is at once inter-subjective (or objective?) and subjective; idealist and materialist. Marx's thesis, for example, is a reinterpretation or reiteration of Hegel's dialectic of the Lord and Bondsman where the Lord is the embodiment of the Bondsman's lack of self-determination. But, as Hegel explains, as the Bondsman works upon the world he realizes himself in a way that the Lord is unable to. And, so the story goes, the Bondsman is ultimately thus more 'free' than is the Lord. Man simultaneously creates, inhabits, and is created by his world.

But what has this to do with love? In bourgeois love, again, we encounter the dissolution of the binary between nature and culture. As Lukács puts it with regard to *Faust*, for example,

We know how Goethe conceived the development of man's potentialities. This development is impossible without love. The ascetic is an incomplete human being. The passion of individual love, precisely because it is both the most elementary, the most natural of all passions, and also, in its present individualized form, the finest fruit of culture, represents the most genuine fulfilment of the human personality, so long as its development is regarded as a "microcosm", as an end in itself.⁶³

⁶¹ Harper-Scott, 'Berlioz's idea of love', 7.

⁶² Karl Marx and Friedrich Engels, *The Communist Manifesto* (London: Penguin, 2004)

⁶³ Lukács, *Goethe and His Age*, 220.

Goethe's conception of the development of a human's potentialities is one that was shared by a number of the German Idealists mentioned above. In bourgeois conceptions of love, for these thinkers, we witness a synthesis of nature and culture since, according to Goethe, for example, individual love is considered 'the most elementary, the most *natural* of all passions'. We need not be prescriptive of the form this love takes simply to assert the universality of the fact of love. Forms of loving relationships may be subject to all sorts of contingencies but there is an invariant aspect to multitudinous forms. It is only in the ideal of bourgeois love, however, that the ideal of romantic love—a natural impulse—finds a reconciliation with its social form—the institution of marriage.

It is a tragic contradiction of bourgeois society that it simultaneously gives rise to some of the greatest moral advances of human history at the same time that it makes their realization a near impossibility. One of the most tragic forms of this conflict, is, as Lukács has it,

that between emerging passionate love and the economic and social well-being of the individual. Stated crudely, it is the problem of whether love and marriage are or are not advantageous to his 'career'—where the 'career' may be of the most varied kinds, from the brutal material pursuit of success to the inner unfolding of the personality, from the most base and narrow egotism to really tragic conflicts.⁶⁴

In Berlioz's work, the resolution is shown to be impossible, demonstrating the composer's keen awareness of one of the great tragic contradictions of bourgeois society. This conflict can be summarised as a conflict between the dynamism of heroism and the stasis of the state of love. The self-development of the personality, for instance, implies a lack that needs to be overcome in the mastery of and the exercising of man's material powers. Love, however, does not allow for the dynamism required to realize the self. As Lukács argues,

in a society divided into classes, this self-perfection, to which the deep spiritual comradeship between man and woman belongs, necessitates a solitary development whereby the man imposes on himself an unfettered and unattached existence without family, without wife and children. This is true at least at the beginning of his quest, at the stage of (inevitable) erring, until he finds the course of action proper to him—mastery in his command of the given realities of the world and of his own potentialities.

In a society divided into classes, therefore, a premature union, even one founded on the deepest and most genuine love, can become the starting-point of irresolvable tragic conflicts. If it endures, the young man involved in the union will be the victim; if, under the pressure of his fettered possibilities for development, he breaks away, then the girl must be sacrificed.⁶⁵

⁶⁴ *ibid.*

⁶⁵ *ibid.*, 222.

Is this not the exact situation that we get in *Les Troyens*? Énée falls in love *before* he has fulfilled his heroic destiny, a condition of his self-actualization, and a situation that gives rise to an irresolvable tragic conflict. His relationship with Didon is premature and, as a result, ‘the girl must be sacrificed’. Berlioz foregrounds the extent to which Énée’s destiny is an aspect of an impersonal historical process by reducing allusions to the conflict of the gods. In essence, Berlioz’s *Les Troyens* is a dialectical materialist reading of nineteenth-century society. It is here that his politics shine through, not in the puerile nationalism of his ceremonial works. What makes *Les Troyens* such a compelling opera is that it interrogates the impact of bourgeois ideology on individuals as well as on whole populations. It discloses the violence of the heroic narrative that finds virtue in struggle, an ideology which led to the enslavement of whole nations. It shows the personal element as well as the social in the tragedy of beloved Didon and the fate of Carthage. It even interrogates the impact of bourgeois ideology on nature by conflating Didon, the feminine, with nature and Énée, the masculine, with culture. It is for such reasons that I cannot agree with Edward Said, Inge van Rij, or Anselm Gerhard that *Les Troyens* represents a sort of paean to Empire.⁶⁶

VIII. Conclusion

This analysis suggests a number of important conclusions. The primary concern of this chapter has been to argue that speculations as to music’s meaning, if they are to be convincing, must be grounded in an as thorough as possible explication of the music’s technical features. In Berlioz’s ‘Chasse Royale et Orage’, as in all tonal music, meaning resides in the ‘play’ of the introversive and extroversive semiotic domains. This distinction between two semiotic domains of structure and expression, though ultimately proving to be a false one, is nonetheless a useful starting point for negotiating the play between a more easily audible surface drama of topics and its grounding in a demonstration of the work’s deep structural continuity. Only in negotiating this dialectic of structure and expression are we able to avoid reduction of the music into a series of discrete signs. The above analysis, then, argues for a surface drama of topical allusions to *tempesta*, various pastorals, the singing style, fanfare, and the learned style. Abstracting from this constellation of topics allows us to broadly categorise the work as a conflict of the masculine and the feminine. Identification of more explicit topical allusions then allows us to identify more readily otherwise apparently neutral passages with regard to topic.

⁶⁶ See, for example, Edward Said, *Music on the Limits* (London: Bloomsbury, 2009); Anselm Gerhard, *The Urbanization of Opera: Music Theater in Paris in the Nineteenth Century*, trans. by Mary Whittall (Chicago: Chicago University Press, 1998); Inge van Rij, *The Other Worlds of Hector Berlioz: Travels with the Orchestra* (Cambridge: Cambridge University Press, 2015).

The structural drama suggests a good deal of commensurability with the conventions of nineteenth-century tonality and repays the effort of a Schenkerian hearing. The analysis reveals a structure based on the delayed attainment of the primary tone via a long-range initial ascent, a structural feature that results in the displacement, on the surface, of the work's first deep-structural tone and its supporting tonic harmony. The overcoming of the instability caused by this displacement appears to be the motivation behind the remainder of the musical structure: the restoration of the work's tonic and the descent of scale degree $\hat{5}$ to $\hat{1}/I$, albeit in an inner voice. A number of features of the musical structure combine to undermine this eventual resolution. So extensive is the prolongation of the unstable middle section, based to a large degree on neighbour motion about $\hat{5}-\hat{4}$, that the music is robbed of a strong sense of directed motion towards a preconceived tonal goal. The return to C major, as noted above, is, then, less a fulfilment of a potential than a concession to convention. Moreover, the return of C major is less stable than on the first hearing undermining any sense of 'tonal synthesis'.

The play of the extroversive (expressive) and introversive (structural) domains allows us to perceive a structure embodying the irreconcilability of the conflict between the feminine and masculine. It is then possible to speculate further, should the analyst wish to, as to the relation of this 'play of signs' to a socio-political context, an appended programme, or the biography of the composer. This speculation is, however, guaranteed to be resting on a stronger foundation for having come out of a rigorous process of musical analysis while allowing for a plurality of plausible readings to emerge. In 'Chasse Royale et Orage' the analyst is able, as a first port of call, to bring the insights gleaned from the music into contact with the textual annotations in a bid to arrive at a more concrete reading. I have suggested that the musical drama acts as a sophisticated metaphor for the essence of the text, which can be read variously as an approach and retreat of a storm and as the love-making of Didon and Énée, a portent of the ensuing disaster. At the same time, however, we can hear the work's engagement, through its mediation of individual expression and handed-down musical material, in the form of its topical discourse and structure, an engagement, on the part of Berlioz, with a broader socio-political context.

I have indicated that the social political context for Berlioz's prelude is one in which relationships between men and women are mediated by economic concerns. I view the irreconcilability of the topical and structural conflicts in Berlioz's work as embodying the failure of the bourgeois subject to resolve the essential conflict between men and women in bourgeois society (a conflict described by Engels as the first class conflict) and to achieve a reconciliation of love and law, nature and culture, that is the ideal of bourgeois society. Hearing the piece in this way corroborates Theodor Adorno's characterisation of nineteenth-century music as a negative critique of the claims to universality of the period in which the bourgeoisie was in its political and economic

ascendency. Negative critique, it should be added, does not imply a Fukuyamian 'end of history' but rather a return to a utopian impulse and an opening up of the gap between the ideal and its actualisation. This last point is additionally significant since it draws Berlioz's music into a music-philosophical tradition in relation to which it has normally been considered foreign. While Berlioz's work is more and more being studied for its relation to its social and historical context, and less and less being seen as merely a translation into music of the fantastical aspects of Berlioz's life-story, to my knowledge such questions of context have not yet being adequately demonstrated, with a few notable exceptions, to be grounded in his unique but nevertheless comprehensible musical processes.

Chapter 5. Conclusions

I. 'Free, proud, and sovereign' - music and the politics of meaning

This thesis opened with David Cairns's insight that Berlioz's music shares something of the 'ethos, ideals, and poetic assumptions' that lie behind what Burnham has described as the *Goethezeit*. This relatively modest, seemingly uncontroversial, claim points its reader, however, in several directions. First there is the question of style. Berlioz's own words on his style, in fact, provide a fairly accurate picture of what he was up to.

Generally speaking, my style is very bold, but there is no tendency in it whatsoever to destroy any of the fundamental elements of art. On the contrary, I try to add to their number. I have never dreamed of writing music 'without melody', as people in France have absurdly maintained. Such a school now exists in Germany and I abominate it. It should not be difficult to recognize that although I may not actually confine myself to taking a short subject for the theme of a movement, as the greatest masters often did, I am always careful to make my compositions abundantly melodic....Only, as they are often on a very large scale, a shallow, undeveloped sensibility is slow to grasp their form. They may also be combined with other subsidiary melodies which, for these same weak spirits, obscure their outline. Finally, such melodies are so unlike the desperately trivial little tunes which the riff-raff of the musical world understands by the term, that it cannot bring itself to admit that they are tunes at all.

The predominant features of my music are passionate expression, inward intensity, rhythmic impetus and a quality of unexpectedness. When I say passionate expression, I mean an expression bent on reproducing the inner meaning of its subject, even when that subject is the opposite of passion, and gentle, tender feelings are being expressed, or a profound calm.¹

These words, added as a postscript to Berlioz's memoirs, which he began writing in 1848, serve to reiterate what the composer frequently noted throughout his criticism and other prose writings. They reflect his acute understanding of the historical nature of musical material and his own position within this history.

What Berlioz cherishes, above all, then, are the qualities he lists here: passionate expression, inward intensity, rhythmic impetus and unexpectedness. 'Unexpectedness' has to do with his desire to avoid lapsing into habit, to tried and tested 'formulas'. But an interest in the 'unexpected' necessarily requires an understanding of the 'expected' and the 'conventional'. It is only through our appreciation of the conventions against which the composer is working, then, that the full force of Berlioz's music can hit us. This musical context must, however, necessarily be a fairly broad one since Berlioz's knowledge of a vast array of eighteenth- and nineteenth-century composers is

¹ Berlioz, *Memoirs*, 588-9.

indisputable. It is not enough, therefore, to locate the hallmarks of Berlioz's style in the examples of Gluck, Spontini, and Méhul, among others, and to conclude thereafter that his music only makes sense against this background. Berlioz turned to the examples of these composers, indeed, for their apparent scorn for convention and for their avoidance of cliché. They provided an antidote to the predictable and the hackneyed that Berlioz heard all too often in the opera houses of Paris. Thus his scorn for the 'trivial little tunes', by which he surely means the foursquare melodies of Rossini so beloved of the 'riff-raff', by which he means the bourgeois opera-going public. The classicism of Mozart and of Haydn, therefore, and their apparent naïveté in matters of expression, was also something to be consciously avoided. It is not so much that the 'achievements of Viennese classicism' had been forgotten by the French composer. Rather, it was that these conventions had become hollow and meaningless.

The task of the composer, as Berlioz noted after his encounter with the music of Beethoven, for instance, is to take music 'further but in a different direction'. That is to say, the composer takes up the achievements of a previous generation and continues their development. One could almost characterise Berlioz's compositional project as one that seeks to fully develop the expressive capabilities of the elements of music—melody, harmony, form, rhythm, and instrumentation—without abandoning those very qualities that distinguish music from the other arts. It is in this spirit that we can understand his scorn for the foursquare melodies of Rossini, and other composers of the Franco-Italian operatic tradition, and his response to the conventions of the conservatoire teachers. His lamentable coldness when it comes to Wagner's mature music, then, results from his belief that the younger composer had attempted to turn music into pure drama, into a Greek chorus, in short, into 'words'. Music, for Berlioz, as for most of the Romantics—Wagner included—could reveal a world beyond the world of language. Music steps in, in other words, where language fails. It can penetrate into what Berlioz would call the 'inner meaning of its subject'—a realm closed off to language. That is why, indeed, Berlioz advocates 'emotional imitation' over 'physical imitation'. He wants music to be 'free, proud, and sovereign' not reduced to its 'expressive accents'. It is in this respect, primarily, that Berlioz can be said to share the 'ethos, ideals, and poetic assumptions' of figures of the *Goethezeit* despite the fact that his music often sounds so very different—formed on the basis of the Old French School—from his German contemporaries. But that is not to say, as this short passage perhaps also indicates, that Berlioz was unaware of these differences. There are many different ways, it would seem, of invoking the Absolute.

To speak of the Absolute brings us, paradoxically, to the political domain. It is an accusation often levelled at those purveyors of a Romantic aesthetic of the autonomy of 'absolute' instrumental music that they seek to protect music from socio-political questions, or questions relating to for example, gender, race, power, sexuality, or the

body. The last thirty years in musicology has seen a renewed investment in these questions as they relate to the music of major figures of Western art music. At the same time, there has been greater attention paid to those composers who sit on the peripheries. Much of this has been a very welcome development in musicology. Western art music, for example, has been scrutinised for its apparently reactionary stances with regard to some of the issues just mentioned. Formalistic approaches have been replaced by approaches that seek to elucidate musical meaning. And Berlioz's music has not escaped the notice—mostly recently in the work of van Rij—of a generation of scholars heavily indebted to the example of the New Musicologists such as Susan McClary and Lawrence Kramer, among others. Though Berlioz's political views—his distrust of popular sovereignty, for example—are not always easily reconciled with liberal democratic sensibilities he was, in other matters, refreshingly liberal. He often condemned the chauvinism of many of his contemporaries, for instance, and, in an age of emergent nationalism, he had a strictly international—though an undeniably Eurocentric—outlook. His works are often populated with formidable female characters—Cassandre, Didon, Cléopâtre, and Béatrice—though many of these admittedly succumb to the same regrettable fate that, as Catherine Clément has observed, meets many an operatic leading lady.² Contributions to numerous essay collections have often dealt admirably with these subjects.

What has been lost, however, with some notable exceptions, is a similar interest in the close musical detail of Berlioz's work. As with much work in the wake of New Musicology, there has been a tendency to, as it were, throw the musical baby out with the formalist bathwater. Musicology, as a whole, has moved away from looking at notes towards a strong focus on discourse. Music becomes simply a vessel into which discourse can be poured. There is little respect for music's own ontological status. Musical meaning exists only as a product of discourse and not something located in the music itself. It has nothing to convey in its own terms. In this respect, it is hard to see that we have come much further, in talking about musical meaning, than the formalism from which we had tried to escape. This thesis has been framed by the belief that close reading is fundamental to the elucidation of musical meaning whether such meaning is said to be mediated by an accompanying text or by a work's historical context, or both. Ultimately, I have sought to show that music is always already historical and always already meaningful in its own right and that any attempt to discuss, say, the historical salience of a symphony such as *Harold en Italie*, an opera, such as *Les Troyens*, even a 'légende dramatique' such as *La Damnation de Faust*, needs must closely engaged with that much maligned thing—the 'music itself'. In this thesis, I have proceeded from close musical detail, towards a broad historical context, seeing Berlioz's music as engaged, just like the literature and philosophy with which it was contemporary, in constructing a

² Catherine Clément, *Opera, or, The Undoing of Women* (London: Virago, 1989).

response to the problems faced by humanity in modernity. The idea of music as an 'ideal' realm beyond language is crucial to this humanistic impulse precisely because it allows music to articulate a critical position with respect to its socio-political situation.

It is not a big step from here, for example, to Lacan's idea of the three orders of the imaginary, the symbolic, and the real where music would be located, with respect to language—the symbolic—in the position of the 'real'—meaning, confusingly, that which exists outside of 'reality'. But music, of course, has its own 'symbolic order' when musical expression hardens into convention. For Romantics, Berlioz among them, then, the notion of the Absolute emerges as a way of critiquing the conventional and it can only be revealed through close attention to the interiority of musical works and its relation to a broader musical context. Thus, striving for the Absolute, far from attempting to shut down socio-political questions, becomes in itself a political act. The point, then, is to attend both to the political realities within which music is implicated and to the ways in which it seeks to go beyond such political realities, to create a new world. In other words, meaning in music is a product of a dialectical relationship. It has been one of principal tasks of this thesis not to argue this to be the case but to demonstrate, through examples, what such a position might look like. Thus, in each chapter, Berlioz's music has been heard as the articulation of a composer-subject, of an imaginary world. In each work, a number of political realities are evoked and it is the task of the composer-subject to attempt to resolve the antimonies that are present in this political reality or to demonstrate the impossibility of this reconciliation. Whether the endpoint is one of affirmation or of negation, however, the sense of a yearning for freedom is often, to my ears, unmistakable.

Thus, in chapter 2, I looked at *Harold en Italie* as an example of post-Beethovenian symphonic form within which are encoded certain ideals such as the overcoming of the antagonism between individual and society, and man and nature. This necessitated an in-depth analysis of Berlioz's approach to the tonal and formal conventions of sonata form. I tried to show there how Berlioz's music, in this genre, is best understood as existing in a tense relationship to the conventions of Viennese Classicism. In particular, I tried to show that, for all its deformations, the first movement of the symphony could be understood in terms of sonata form. That is, with its opposition of two thematic areas, its organisation in terms of a long introduction, an exposition, development, and recapitulation, its formal rhetoric is sufficiently grounded in sonata form practices as to encourage the listener to reach for other conventions in order to understand it. Thus, the abrupt shift from primary-theme space to secondary-theme space via a *tutti* dominant chord achieves its full force only when placed in opposition to the classical tendency—not, to be sure, always observed, but observed frequently enough so as to have hardened into convention—to proceed 'organically' from the end of the primary theme into a period of transition, and, typically, from there, towards a 'dominant lock' (an

alternation of V6/4-5/3 chords) and on to a cadence of some sort and a short break (medial caesura), clearing the way for the entrance of a new theme. In place of this smooth, calculated approach, Berlioz seeks to shock, with a 'quality of unexpectedness'. Likewise, the secondary theme's reluctance to secure an alternative key only achieves its full force from our knowledge that, in most cases, this is precisely what a sonata secondary theme 'normally' does. Here, Berlioz's own example can provide the background from which to read his procedure since, in his overtures, the tonic-dominant polarity is almost always kept intact. It is in his two most 'conventional' symphonies, *Harold* and the *Fantastique*, where he launches his greatest challenge.

Analysis of numbers from Berlioz's *La Damnation de Faust* in chapter 3 relied primarily on an understanding of the ways Berlioz extends tonal language, since all of the numbers dealt with there were through-composed or only very loosely strophic in design. Here, too, a sense of the desire for 'transcendence', an issue also at the heart of Goethe's play, is captured by Berlioz's use of long-range middleground progressions in Faust's two most important numbers—'Air de Faust' and 'Invocation à la nature'. While 'Air de Faust' remained—not without a few eccentricities—in the ambit of tonal harmony, 'Invocation à la nature' presented a radical challenge to tonality comparable to the achievements of Schumann—one thinks, in particular, of the ambiguity of key in 'Im wunderschönen Monat Mai'—or Wagner—most famously in his Prelude to *Tristan und Isolde*. As the analysis demonstrated, for example, 'Invocation à la nature' disrupts the tonality-defining relationship between tonic and dominant such that it becomes nearly impossible to tell which of the key of F# minor or C# minor is of greater structural importance in the work. It thus challenges the idea of 'closure' as the most important goal of a piece of music. When brought into contact with the text of Berlioz's adaptation of Goethe, these tonal innovations fall short of the unity so desired by the 'operas's' hero and come to be expressive, as Rushton notes, of Faust's 'desire for unity'. At the conclusion of the opera, despite the hero's damnation, this hope is preserved in the figure of Marguerite, and in her redemption. That Faust might join her is hinted at, as Rushton notes, in the angelic bid for Marguerite to 'keep hope'.

A similar innovation with regard to tonality can be observed in the analysis in the third chapter, on *Les Troyens*, and 'Chasse Royale et Orage', where the disruption of the conventional dialectical relationship between tonic and dominant undermines the sense of the work's 'realisation' of a C major tonality. That is to say, the oppositions exposed in this wonderfully rich orchestral prelude, such as between individual and community, man and woman, and man and nature are not, finally, overcome in the fulfilment of a tonality that was initially exposed as a potential and then realised at a higher unity. Rather, the separation of tonic and dominant, as two parts of the same C major whole, is enough to stretch the tonal coherence of the piece to breaking point. And this acts as

a portent for the disaster that befalls Carthage when Énée decides to abandon Didon—just as Faust was forced to abandon Marguerite. This opera, just as the *légende dramatique* before it, is therefore a negative critique of the bourgeois ideology that insists on the self-development of the individual nourished on a Romantic conception of love. In a word, through the analysis of these three works, I have attempted to demonstrate that there is a consistent ‘negative dialectical’ strain that runs through Berlioz’s oeuvre in a number of genres over a number of periods. Nevertheless, negative critique does not imply nihilism. Despite Berlioz’s disillusionment, in the latter part of his life, with regard to revolution, or popular sovereignty, or even religion, we can still take from Berlioz’s œuvre, through its ‘negation’ of actuality, a yearning for a better life, for utopia, and for freedom.

II. Beyond this study

As a last word I’d like to point to some other directions in which Berlioz studies could henceforth be taken. This study has been largely concerned with Berlioz’s approach to form and tonality. Rodgers noted in his book on Berlioz’s use of form—and strophic variation in particular—that we still lack a full understanding of Berlioz’s approach to sonata form. A full book-length study into Berlioz’s approach to sonata form is long overdue. Such a study would need to tackle the three symphonies that make use of sonata form—*Symphonie fantastique*, *Harold en Italie*, and *Symphonie funèbre et triomphale*—but also the overtures—*Le Carnaval romain* (1844), *Benvenuto Cellini* (1838), *Béatrice et Bénédict* (1862), *Les Francs-Juges* (1826), etc. This would add much-needed nuance to analytical studies of the sonata forms of the symphonies, for example, by allowing us to arrive at a list of norms and deformations in Berlioz’s output as a whole. This need not undermine existing analyses of Berlioz’s sonata forms, however, since musical meaning is constructed in relation both to these immediate contexts and to wider contexts. It would, however, reveal the extent to which Berlioz’s whole approach to sonata form can be considered a radical reappraisal of the models that preceded it.

Indeed, with the exception, perhaps, of Rushton’s 1983 book, and Jean-Pierre Bartoli’s PhD thesis, full-length analytical studies of the composer’s output are still relatively thin on the ground. A study dedicated to Berlioz’s songs, for instance, could go a long way to correcting the persistent association of the composer with ‘noisiness’ and works conceived on a colossal scale. As his song cycle, *Les Nuits d’été* (1841, 1843, 1856) surely attests, Berlioz was as much a master of the small scale as he was a master of the large. Much of the analytical attention that Berlioz’s music does receive has been concerned with the three symphonies above all. Comparatively less attention has been paid, for instance, to his three operas, *Benvenuto Cellini* (1838), *Les Troyens*, and

Béatrice et Bénédict (1862), each worthy of a book-length study. This is no doubt as much to do with analysis's relative neglect of vocal music, when compared to its pre-occupation with wordless instrumental music, as with any prejudice concerning the merits of Berlioz's efforts in this genre. Likewise with works of more ambiguous generic classification, such as his celebrated *L'Enfance du Christ*. Finally, a number of Berlioz's ceremonial compositions, *Grande Messe des morts* and *Te Deum* (1849), for instance, surely merit closer analytical attention than they have yet received.

As well as analysis of Berlioz's music, however, this thesis has been concerned with matters relating to the composer's aesthetics. The importance of Berlioz's critical writings in shaping public opinion in nineteenth-century Paris has been well documented. He was at the vanguard of musical Romanticism in France, and instrumental in bringing the French concert-going public round to the music of Beethoven. As noted earlier, however, his views about music being the exclusive property of an intellectual elite can, today, rub up against our more liberal democratic sensibilities. Nevertheless, and indeed, perhaps for this reason alone, I feel that a reappraisal of the composer's aesthetics is well overdue. In many ways, for instance, Berlioz's views can be seen as a refreshing challenge to our modern-day assumptions about how music functions in our society. It goes against the grain, for instance, of the cultural relativist attitudes dominant in the academy in recent years. Berlioz was well aware that beauty was a contingent category, as is attested by his reviews of Beethoven's symphonies where he laments the insensitivity of others to the wonders of these works. Despite his awareness that matters of taste were not universal, however, he nevertheless remained committed to ideas of 'truth' in art. This commitment to the dramatically 'true' is precisely what lends Berlioz's music the critical force that I have attempted to tease out in the chapters of this thesis.

Bibliography

- Abbate, Carolyn, and Roger Parker, eds. *Analyzing Opera: Verdi and Wagner*. Berkeley, CA; London: University of California Press, 1989.
- Abbate, Carolyn. *Unsung Voices*. Princeton, NJ: Princeton University Press, 1996.
- Adorno, Theodor. *In Search of Wagner*. Translated by Rodney Livingstone. London; New York: Verso, 2005.
- . "On the Problem of Musical Analysis". Introduced and translated by Max Paddison. *Music Analysis* 1, no. 2 (1982), 169-87.
- . *Beethoven: The Philosophy of Music*. Edited by Rolf Tiedemann. Translated by Edmund Jephcott. Cambridge; Maiden: Polity, 1998.
- Agawu, Kofi. "How We Got out of Analysis, and How to Get Back in Again." *Music Analysis* 23, no. 2/3, (2004), 267-286.
- . *Music as Discourse: Semiotic Adventures in Romantic Music*. Oxford: Oxford University Press, 2009.
- . *Playing with Signs: A Semiotic Interpretation of Classic Music*. Princeton, NJ; Oxford: Princeton University Press, 1991.
- . "Theory and Practice in the Analysis of the Nineteenth-Century 'Lied'." *Music Analysis*, 11, no. 1 (1992), 3-36.
- Albright, Daniel. "Les Troyens: The Undoing of Opera." *Music Speaks*. Rochester, NY; Woodbridge, Suffolk: Boydell & Brewer, 2009. 58-71.
- . "Berlioz's Faust: The Funeral March of a Marionette." *Journal of Musicological Research* 13, nos. 1-2 (1993), 79-97.
- . *Berlioz's Semi-Operas: Roméo et Juliette and La Damnation de Faust*. Rochester, NY: University of Rochester Press, 2001.
- . *Music Speaks: On the Language of Opera, Dance, and Song*. Rochester, NY: University of Rochester Press, 2009.
- Almén, Byron. *A Theory of Musical Narrative*. Bloomington and Indianapolis: Indiana University Press, 2008.
- Anger, Violaine. "Berlioz's *The Damnation of Faust*: Redemption through Music." *Publications of the English Goethe Society*, 83, no. 2 (2014), 100-12.
- Badiou, Alain. *Logics of Worlds: Being and Event*, 2. Translated by Alberto Toscano. London and New York: Continuum, 2006, 2009.

- Banks, Paul. "Coherence and Diversity in the *Symphonie Fantastique*." *19th-Century Music*, 8, no. 1 (1984), 37-43.
- Bann, Stephen. "Romanticism in France." *Romanticism in National Context*. Edited by Roy Porter and Mikulás Teich, 240-59. Cambridge: Cambridge University Press, 1988.
- Barry, Barbara R. "Schiller's (and Berlin's) "Naive" and "Sentimental": Propensity and Pitfalls in Philosophical Categorization of Artists." *Philosophischer Gedanke Und Musikalischer Klang: Zum Wechselverhältnis Von Musik Und Philosophie*, edited by Christophe Asmuth, Gunter Scholtz, and Franz-Bernhard Stammkötter, 155-61. Frankfurt/Main: Campus, 1999.
- Bartoli, Jean-Pierre. "Beethoven, Shakespeare, and Berlioz's *Scène d'Amour*." *Berlioz: Scenes from the Life and Works*, edited by Peter Bloom, 138-60. Rochester, NY: University of Rochester Press, 2008.
- . "L'Oeuvre Symphonique De Berlioz: Forme Et Principes De Développement." PhD Thesis. Université de Paris IV, Paris/Sorbonne, 1991.
- Barzun, Jacques. *Berlioz and the Romantic Century*. 3rd edition. Columbia: Columbia University Press, 1969.
- . "Berlioz as Man and Thinker." *The Cambridge Companion to Berlioz*, edited by Peter Bloom, 9-19. Cambridge: Cambridge University Press, 2000.
- . "Fourteen Points about Berlioz and the Public, Or Why there is Still a Berlioz Problem." *Berlioz: Past, Present, Future*, edited by Peter Bloom, 193-201. Rochester, NY: University of Rochester Press, 2003.
- . "The Music in the Music of Berlioz." *Berlioz: Scenes from the Life and Work*, edited by Peter Bloom, 11-25. Rochester, NY: Rochester University Press, 2008.
- Beddow, Michael. *Goethe, Faust I*. London: Grant & Cutler, 1986.
- Berlioz, Hector. *Berlioz on Music: Selected Criticism 1824-1837*. Edited by Katherine Kolb. Translated by Samuel N. Rosenberg. Oxford: Oxford University Press, 2015.
- . *The Art of Music and Other Essays*. Edited and translated by Elizabeth Csicsery-Rónay. Bloomington: Indiana University Press, 1994.
- . *Berlioz's Orchestration Treatise: A Translation and Commentary*. Edited and translated by Hugh Macdonald. Cambridge; New York: Cambridge University Press, 2002.
- . *Correspondance Générale*. Edited by Pierre Citron. I: 1803-32. Edited by Pierre Citron. II: 1832-42. Edited by Frédéric Robert. III: 1842-50. Edited by Citron. IV: 1851-5. Edited by Citron, Yves Gérard, Hugh Macdonald. V: 1855-9. Edited by

- Macdonald, François Lesure. VI. 1859-63. Edited by Macdonald, Lesure. Paris: Flammarion, 1972-2003.
- . *La Critique Musicale d'Hector Berlioz*. Edited by Yves Gérard. I: 1823-34. Edited by H. Robert Cohen and Yves Gérard. II: 1835-6. Edited by Marie-Hélène Coudroy-Saghaï and Anne Bongrain. III: 1837-8, ed. Bongrain and Coudroy-Saghaï. IV: 1839-41. Edited by Bongrain and Coudroy-Saghaï. V: 1842-4. Edited by Bongrain and Coudroy-Saghaï. VI: 1845-8. Edited by Bongrain and Coudroy-Saghaï. VII: 1849-51. Edited by Bongrain and Coudroy-Saghaï. Paris: Buchet/Castel, 1996-2013.
- . *La Damnation de Faust: Légende Dramatique en Quatre Parties, Op. 24*. London: Eulenburg, 1964.
- . *Evenings with the Orchestra*. Edited by Jacques Barzun. New York: Knopf, 1956.
- . *Fantastic Symphony: An Authoritative Score, Historical Background, Analysis, Views and Comments*. Edited by Edward T. Cone. London: Chappell, 1971.
- . *The Memoirs of Hector Berlioz*. Edited and translated by David Cairns. London: Panther, 1970.
- . *The Musical Madhouse*. Edited and translated by Alastair Bruce. Rochester, NY ; Woodbridge: University of Rochester Press, 2003.
- . *New Edition of the Complete Works. Vol. 2a-c, Les Troyens*. Edited by Hugh Macdonald. Kassel; London: Barenreiter, 1969-1970.
- . *New Edition of the Complete Works. Vol. 8a-b. La Damnation de Faust*. Edited by Julian Rushton. Kassel; London: Barenreiter, 1979-1986
- . *New Edition of the Complete Works. Harold en Italie*. Edited by Paul Banks and Hugh Macdonald. Kassel; London: Barenreiter, 2001.
- Blanning, T. C. W. *The Romantic Revolution*. London: Phoenix, 2011.
- Bloom, Harold. *The Anxiety of Influence: A Theory of Poetry*. New York: Oxford University Press, 1973.
- Bloom, Peter, ed. *Berlioz: Past, Present, Future: Bicentenary Essays*. Rochester, NY: University of Rochester Press, 2003.
- . *Berlioz: Scenes from the Life and Work*. Rochester, NY: Woodbridge: University of Rochester Press, 2008.
- . *Berlioz Studies*. Cambridge: Cambridge University Press, 1992.
- . *The Cambridge Companion to Berlioz*. Cambridge: Cambridge University Press, 2000.

- Boldyrev, Ivan A. "Faust and the *Phenomenology of Spirit*." *Russian Studies in Philosophy* 49, no. 4 (2011), 65-95.
- Bonds, Mark Evan. *After Beethoven: Imperatives of Originality in the Symphony*. Cambridge, Mass: Harvard University Press, 1996.
- . "Sinfonia Anti-Eroica: Berlioz's *Harold en Italie* and the Anxiety of Beethoven's Influence." *The Journal of Musicology*, 10, no. 4 (1992), 417-63.
- Boyle, Nicholas. *Goethe: The Poet and the Age, Vol. 1, the Poetry of Desire, 1749-1790*. Oxford: Clarendon, 1991.
- Braam, Gunther, and Arnold Jacobshagen, eds. *Texte Und Dokumente Zur Deutschen Berlioz-Reception (1829-1843)*. Göttingen: Heinholz, 2002.
- Burnham, Scott G. *Beethoven Hero*. Princeton, NJ: Princeton University Press, 2000.
- Cairns, David. "Berlioz and Virgil: A Consideration of *Les Troyens* as a Virgilian Opera." *Proceedings of the Royal Musical Association* 95 (1968), 97-110.
- . *Berlioz: Servitude and Greatness 1832-1869*. London: Allen Lane, 1999.
- . *Berlioz: The Making of an Artist 1803-1832*. London: Deutsch, 1989.
- . "Le Mal De l'Isolement." *L'Avant-Scène Opéra* 22. Edited by Gérard Condé, 82-5 (1995).
- . Programme Note for *Harold en Italy* Op. 16, *London Symphony Orchestra*, Valery Gergiev. Barbican Hall, 2013.
- . *Responses: Musical Essays and Reviews*. London: Secker and Warburg, 1973.
- Caplin, William E. *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. NY & Oxford: Oxford University Press, 1998.
- . 'On the relation of musical *topoi* to formal function' *Eighteenth-Century Music* 2, no. 1 (2005), 113-124.
- Champlin, Jeffrey. "Hegel's *Faust*." *Goethe Yearbook*, 18, no. 1 (2011), 115-25.
- Chapin, Keith. "Learned Style and Learned Styles." *The Oxford Handbook of Topic Theory*. Edited by Danuta Mirka, 301-29. New York and Oxford: Oxford University Press, 2014.
- Charlton, David. "On the Nature of 'Grand Opera'." *Les Troyens*. Edited by Ian Kemp, 94-105. Cambridge: Cambridge University Press, 1988.
- Charlton, David, and Katharine Ellis, eds. *The Musical Voyager: Berlioz in Europe*. Frankfurt am Main; Berlin; Bern: Peter Lang, 2007.
- Citron, Pierre, and Cécile Reynaud, eds. *Dictionnaire Berlioz*. Paris: Fayard, 2003.

- Catherine Clément. *Opera, or, the Undoing of Women*. London: Virago, 1989.
- Cohn, Richard Lawrence. *Audacious Euphony: Chromaticism and the Consonant Triad's Second Nature*. New York: Oxford University Press, 2012.
- Condé, Gérard, ed. *Berlioz: La Damnation de Faust. L'Avant Scène Opéra* 22. Paris: L'Avant Scène, 1995.
- . *Berlioz: Les Troyens. L'Avant Scène Opéra*, 128-9. Paris: L'Avant-Scene, 1990.
- Cone, Edward T. *The Composer's Voice*. Berkeley; London: University of California Press, 1974.
- . *Music: A View from Delft: Selected Essays*. Edited by Robert P. Morgan. Chicago, Ill.; London: University of Chicago Press, 1989.
- Cook, Nicholas. "The Other Beethoven: Heroism, the Canon, and the Works of 1813–14." *19th-Century Music*, 27, no. 1 (2003), 3-24.
- Dahlhaus, Carl. *Ludwig Van Beethoven: Approaches to His Music*. Translated by Mary Whittall. Oxford: Clarendon, 1991.
- . *Nineteenth-Century Music*. Translated by J. Bradford Robinson. Berkeley, CA: University of California Press, 1989.
- . *Richard Wagner's Music Dramas*. Translated by Mary Whittall. Cambridge: Cambridge University Press, 1979.
- Day-O'Connell, Sarah. "The Singing Style." *The Oxford Handbook of Topic Theory*. Edited by Danuta Mirka, 238-55. Oxford: Oxford University Press, 2013.
- Dell'Antonio, Andrew, ed. *Beyond Structural Listening?: Postmodern Modes of Hearing*. Berkeley: University of California Press, 2004.
- Dickensheets, Janice. "The Topical Vocabulary of the Nineteenth Century." *Journal of Musicological Research* 31, nos. 2-3 (2012), 97-137.
- Dickinson, A. E. F. *The Music of Berlioz*. London: Faber, 1972.
- Dömling, Wolfgang. *Hector Berlioz Und Seine Zeit*. Laaber: Laaber-Verlag, 1986.
- Downes, Stephen, ed. *Aesthetics of Music: Musicological Perspectives*. New York and Oxon: Routledge, 2014.
- Engels, Frederick. *The Origin of the Family, Private Property, and the State*. New York: Pathfinder, 1972.
- Faquet, Joël-Marie. "Euphonia and the Utopia of the Orchestra as Society." *Berlioz: Scenes from the Life and Work*. Edited by Peter Bloom, 47-63. Rochester, NY: University of Rochester Press, 2008.

- Fink, Robert. "Beethoven Antihero: Sex, Violence, and the Aesthetics of Failure, Or Listening to the Ninth Symphony as Postmodern Sublime." *Beyond Structural Listening?: Postmodern Modes of Hearing*. Edited by Andrew Dell'Antonio, 109-53. Berkley: University of California Press, 2004.
- Fitzgerald, William. "Fatalis Machina: Berlioz's *Les Troyens*." *Materiali e discussioni per l'analisi dei testi classici* 52 (2004), 199-210.
- Fitzsimmons, Lorna, and Charles McKnight, eds. *The Oxford Handbook of Faust in Music*. Oxford: Oxford University Press, forthcoming.
- Fraenkel, Gottfried S. "Berlioz, the Princess and *Les Troyens*." *Music & Letters*, 44, no. 3 (1963), 249-56.
- Frymoyer, Johanna. "The Musical Topic in the Twentieth Century: A Case Study of Schoenberg's Ironic Waltzes." *Music Theory Spectrum* 39, no. 1, 83-108.
- Furst, Lilian R. *The Contours of European Romanticism*. Nebraska: University of Nebraska Press, 1979.
- Gerhard, Anselm. *The Urbanization of Opera: Music Theater in Paris in the Nineteenth Century*. Translated by Mary Whittall. Chicago: University of Chicago Press, 1998.
- Goldberg, Louise. "Aspects of Dramatic and Musical Unity in Berlioz's *Les Troyens*." *Journal of Musicological Research* 13, nos. 1-2 (1993), 99-112.
- Grabócz, Márta. "A. J. Greimas's Narrative Grammar and the Analysis of Sonata Form." *Intégral* 12 (1998), 1-23.
- . "Semiological Terminology in Musical Analysis." *Musical Semiotics in Growth*. Edited by Eero Tarasti, 195-218. Bloomington: Indiana University Press, 1996.
- Grout, Donald Jay. *A Short History of Opera*. Second Edition. New York: Columbia University Press, 1965.
- Gut, Serge. "Atonalité Et Polytonalité." *La Damnation de Faust, L'Avant-Scène Opéra* 22. Edited by Gérard Condé, 86-90, 1995.
- Haar, James. "The Operas and the Dramatic Legend." *The Cambridge Companion to Berlioz*. Edited by Peter Bloom, 81-95. Cambridge: Cambridge University Press, 2000.
- Harper-Scott, J. P. E. "Berlioz's Idea of Love". Unpublished article.
- . "Berlioz, Love, and *Béatrice Et Bénédicte*." *19th-Century Music*, 39, no. 1 (2015), 3-34.
- . "Elgar's Deconstruction of the Belle Époque: Interlace Structures and the Second Symphony." *Elgar Studies*. Edited by J. P. E. Harper-Scott and Julian Rushton, 172-219. Cambridge: Cambridge University Press.

- . *Edward Elgar, Modernist*. Cambridge: Cambridge University Press, 2009.
- . "Facetten Der Moderne in Elgars Musik." *Kusik Konzepte* 159 (2013), 96-120.
- . *The Quilting Points of Musical Modernism: Revolution, Reaction, and William Walton*. Cambridge; New York: Cambridge University Press, 2012.
- Harper-Scott, J. P. E., and Julian Rushton, eds. *Elgar Studies*. Cambridge: Cambridge University Press, 2007.
- Hatten, Robert S. *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert*. Bloomington: Indiana University Press, 2004.
- . *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation*. Bloomington: Indiana University Press, 1994.
- Head, Matthew. "Beethoven Heroine: A Female Allegory of Music and Authorship in Egmont." *19th-Century Music*, 30, no. 2 (2006), 97-132.
- Heidlberger, Frank, ed. *Hector Berlioz: Les Troyens à Carthage: Dossier De Presse Parisienne*. Heilbronn: Musik-Edition Lucie Galland, 1995.
- Hepokoski, James A., and Warren Darcy. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*. New York: Oxford University Press, 2006.
- Hinton, Stephen. "Not which Tones? the Crux of Beethoven's Ninth." *19th Century Music*, 22, no. 1 (1998), 61.
- Hofer, Hermann. "Faust Einmal Ganz Anders: "La Damnation de Faust" Von Hector Berlioz Neu Gelesen." *Lendemains* 31-2 (1983), 30-42.
- Holoman, D. Kern. *Berlioz*. London: Faber and Faber, 1989.
- . "Berlioz, Lately." *19th-Century Music* 25, nos. 2-3 (2001-02), 337-46.
- . *The Creative Process in the Autograph Musical Documents of Hector Berlioz, c. 1818-1840*. Ann Arbor, MI.: UMI Research Press, 1980.
- . "Berlioz." *The Nineteenth-Century Symphony*. Edited by D. Kern Holoman, 109-41. New York: London: Schirmer Books: Prentice Hall International, 1997.
- . "Troyens, Les." *The Grove Book of Operas*. Edited by Stanley Sadey and Laura Macy. Oxford: Oxford University Press, 2006.
- Holoman, D. Kern, ed. *The Nineteenth-Century Symphony*. New York: London: Schirmer Books: Prentice Hall International, 1997.
- Homer, Sean. *Jacques Lacan*. London: Routledge, 2005.
- Horton, Julian. *Bruckner's Symphonies: Analysis, Reception and Cultural Politics*. Cambridge; New York: Cambridge University Press, 2004.

- . "Dialectics and Musical Analysis." *Aesthetics of Music: Musicological Perspectives*. Edited by Stephen Downes, 111-43. New York and Oxon: Routledge, 2014.
- . "Listening to Topics in the Nineteenth Century." *The Oxford Handbook of Topic Theory*. Edited by Danuta Mirka, 642-64. Oxford: Oxford University Press, 2014.
- . "Postmodernism and the Critique of Musical Analysis." *The Musical Quarterly* 85, no. 2, (2001), 342-366.
- Hugo, Victor, *Oeuvre Complètes*, Vol. 3, edited by Jean Massin. Paris: Le Club Français du Livre, 1967.
- James, A. R. W. "Berlioz the Poet?" *Les Troyens*. Edited by Ian Kemp, 67-75. Cambridge University Press: Cambridge, 1988.
- Johnson, Janet. "The Musical Environment in France." *The Cambridge Companion to Berlioz*. Edited by Peter Bloom, 20-40. Cambridge: Cambridge University Press, 2000.
- Johnson, Julian. *Out of Time: Music and the Making of Modernity*. Oxford: Oxford University Press, 2015.
- Jones, David Wyn. *Beethoven, Pastoral Symphony*. Cambridge: Cambridge University Press, 1995.
- Jubault, Geoffrey, J. A. "Les Éléments Autobiographiques dans *La Damnation de Faust* d'Hector Berlioz." PhD Thesis. Université Nancy, 2011.
- Kawabata, Maiko. "The Concerto that Wasn't: Paganini, Urhan and Harold in Italy." *Nineteenth-Century Music Review*, 1, no. 1 (2004), 67-114.
- Kemp, Ian, and Julian Rushton. "Commentary and Analysis." *Les Troyens*. Edited by Ian Kemp, 150-80. Cambridge: Cambridge University Press, 1986.
- Kemp, Ian. *Hector Berlioz, Les Troyens*. Cambridge: Cambridge University Press, 1988.
- . "*Les Troyens* as 'Grand Opera'." *Les Troyens*. Edited by Ian Kemp, 89-93. Cambridge: Cambridge University Press, 1988.
- . "The Unity of *Les Troyens*." *Les Troyens*. Edited by Ian Kemp, 106-18. Cambridge: Cambridge University Press, 1988.
- Kramer, Lawrence. *Music as Cultural Practice, 1800-1900*. Berkeley, CA; Oxford: University of California Press, 1990.
- Langford, Jeffrey. "The 'Dramatic Symphonies' of Berlioz as an Outgrowth of the French Operatic Tradition." *Musical Quarterly* 69 (1983), 85-103.
- . "Berlioz, Cassandra, and the French Operatic Tradition." *Music & Letters*, 62, no. 3 (1981), 310-17.

- . "The Byronic Berlioz: *Harold en Italie* and Beyond." *Journal of Musicological Research*, 16, no. 3 (1997), 199-221.
- . "The Symphonies." *The Cambridge Companion to Berlioz*. Edited by Peter Bloom, 53-68. Cambridge: Cambridge University Press, 2000.
- Levy, David B. "'Ritter Berlioz' in Germany." *Berlioz Studies*. Edited by Peter Bloom, 136-47. Cambridge: Cambridge University Press, 1992.
- Littlefield, Richard, and David Neumeyer. "Rewriting Schenker: Narrative--History--Ideology." *Music Theory Spectrum*, 14, no. 1 (1992), 38-65.
- Locke, Ralph P. *Music, Musicians, and the Saint-Simonians*. Chicago: University of Chicago Press, 1986.
- Longyear, Rey. "Political and Social Criticism in French Opera, 1827-1920." *Essays on the Music of J. S. Bach and Other Divers Subjects: A Tribute to Gerhard Herz*. Edited by Robert L. Weaver, 236-54. Louisville: University of Louisville, 1981.
- Lukács, Georg. *Goethe and His Age*. Translated by Robert Anchor. London: Merlin Press Ltd, 1968.
- Macdonald, Hugh. "[G- Flat Major Key Signature]." *19th-Century Music*, 11, no. 3 (1988), 221-37.
- . *Berlioz*. London: Dent, 1982.
- . "A New Source for Berlioz's *Les Troyens*." *Berlioz and Debussy: Sources, Contexts and Legacies: Essays in Honour of François Lesure*. Edited by Barbara L. Kelly and Kelly Murphy, 54-65. Aldershot: Ashgate, 2007.
- Martin, Nathan John, and Steven Vande Moortele. "Formal Functions and Retrospective Reinterpretation in the First Movement of Schubert's String Quintet." *Music Analysis* 33, no. 2, (2014), 130-155.
- Marx, Karl and Friedrich Engels. *The Communist Manifesto*. London: Penguin, 2004.
- McClelland, Clive, "Ombra and Tempesta." *The Oxford Handbook to Topic Theory*. Edited by Danuta Mirka, 279-300. Oxford: Oxford University Press, 2014.
- Mirka, Danuta, ed. *The Oxford Handbook of Topic Theory*. New York: Oxford University Press, 2014.
- Monelle, Raymond. *Linguistics and Semiotics in Music*. Chur, Switzerland; Philadelphia: Harwood Academic, 1992.
- . *The Musical Topic: Hunt, Military and Pastoral*. Bloomington: Indiana University Press, 2006.

- . *The Sense of Music: Semiotic Essays*. Princeton, NJ; Oxford: Princeton University Press, 2000.
- Nectoux, Jean-Michel. "Berlioz in 1900: Between Fervor and Fear." *Berlioz: Past, Present, Future*. Edited by Peter Bloom, 137-57. Rochester, NY: University of Rochester Press, 2003.
- Newman, Ernest. *Berlioz, Romantic and Classic*. Edited by Peter Heyworth. London: Gollancz, 1972.
- . *Opera Nights*. London: Putnam, 1943.
- Nietzsche, Friedrich. *The Birth of Tragedy Out of the Spirit of Music*. Edited by Michael Tanner. Translated by Shaun Whiteside. London: Penguin, 1993.
- Nisbet, H. B., ed. *German Aesthetic and Literary Criticism: Winckelmann, Lessing, Hamann, Herder, Schiller, Goethe*. Cambridge: Cambridge University Press, 1985.
- Paddison, Max. *Adorno's Aesthetics of Music*. New York: Cambridge University Press, 1993.
- Pankhurst, Tom. "Desiring Closure, Yearning for Freedom: A Semiotic Study of Tonality in Three Symphonies by Carl Nielsen." PhD Thesis, University of Manchester, 2004.
- Pillinger, Emily. "Translating Classical Visions in Berlioz's *Les Troyens*." *Arion*, 18, no. 2 (2010), 65-104.
- Porter, Roy, and Mikulás Teich, eds. *Romanticism in National Context*. Cambridge: Cambridge University Press, 1988.
- Pottinger, Mark. "The Breslau Concert Tour of 1846: Provincial German Insights into Berlioz's Music and Aesthetic." *The Musical Voyager: Berlioz in Europe*. Edited by David Charlton and Katharine Ellis, 80-94. Frankfurt am Main; Berlin; Bern: Peter Lang, 2007.
- Primmer, Brian. *The Berlioz Style*. London: Oxford University Press, 1973.
- . "Unity and Ensemble: Contrasting Ideals in Romantic Music." *19th-Century Music*, 6, no. 2 (1982), 97-140.
- Ramaut, Alain. "Les Troyens de Berlioz ou Le Classicisme des Barbares." *Figures De l'Antiquité Dans l'Opéra Français: Des Troyens De Berlioz à Œdipe d'Enesco. Actes Du Colloque Du IXe Festival Massenet, Saint-Étienne, 9 Et 10 Novembre 2007*. Edited by Jean Christophe Branger and Vincent Giroud, 67-97. Saint-Étienne: Publications de l'Université de Saint-Etienne, 2008.
- Ratner, Leonard G. *Classic Music: Expression, Form, and Style*. NY & London: Schirmer Books; Collier Macmillan, 1980.

- Reeve, Katherine. "The Damnation of Faust, or the Perils of Heroism in Music." *Berlioz Studies*. Edited by Peter Bloom, 148-88. Cambridge: Cambridge University Press, 1992.
- Reichardt, Sarah Jane. *Composing the Modern Subject: Four String Quartets by Dmitri Shostakovich*. Aldershot; Burlington, VT: Ashgate, 2008.
- Ritter, Alan, and Bondanella Conway, eds. *Rousseau's Political Writings*. New York and London: W. W. Norton & Company, 1988.
- Robinson, Paul. *Opera and Ideas: From Mozart to Strauss*. Ithaca; New York: Cornell University Press, 1985.
- Rodgers, Stephen. *Form, Program, and Metaphor in the Music of Berlioz*. Cambridge: Cambridge University Press, 2009.
- Rosen, Charles. *The Classical Style: Haydn, Mozart, Beethoven*. New Edition. London: Faber, 2005.
- . *The Romantic Generation*. London: HarperCollins, 1996.
- . *Sonata Forms*. Revised Edition. New York; London: Norton, 1988.
- Rushton, Julian. "Berlioz through the Looking-Glass." *Soundings* 6 (1977), 51-66.
- . "Berlioz, Faust, and the Gothick." *The Oxford Handbook of Faust in Music*. Edited by Lorna Fitzsimmons. New York: Oxford University Press, forthcoming.
- . *Berlioz, Roméo et Juliette*. Cambridge; New York: Cambridge University Press, 1994.
- . "Berlioz's Swan- Song: Towards a Criticism of *Béatrice Et Bénédicte*." *Proceedings of the Royal Musical Association* 109 (1982), 105-18.
- . "The Genesis of Berlioz's *La Damnation de Faust*." *Music & Letters*, 56, no. 2 (1975), 129-46.
- . "Genre in Berlioz." *The Cambridge Companion to Berlioz*. Edited by Peter Bloom, 41-52. Cambridge: Cambridge University Press, 2000.
- . *The Musical Language of Berlioz*. Cambridge: Cambridge University Press, 1983.
- . "The Musical Structure." *Les Troyens*. Edited by Ian Kemp, 119-49. Cambridge: Cambridge University Press, 1988.
- . *The Music of Berlioz*. Oxford: Oxford University Press, 2001.
- . "The Overture to *Les Troyens*." *Music Analysis*, 4, no. 1 (1985), 119-44.
- . "Le Salut De Faust." *Hector Berlioz*. Edited by C. Wasselin and P. Serna, 176-86. Paris: Editions de l'Herne, 2003.

- Said, Edward. *Music on the Limits*. London: Bloomsbury, 2009.
- Saloman, Ora Frishberg. *Listening Well: On Beethoven, Berlioz, and Other Music Criticism in Paris, Boston, and New York, 1764-1890*. New York: Peter Lang, 2009.
- Schacher, Thomas. *Idee Und Erscheinungsform Des Dramatischen Bei Hector Berlioz*. Hamburg: Verlag der Musikaleinhandlung Karl Dieter Wagner, 1987.
- Heinrich Schenker. *Free Composition: Volume III of New Musical Theories and Fantasies*. Edited by Ernst Oster and Oswald Jonas. New York: Schirmer Books; Maxwell Macmillan International, 1990.
- Schmalfeldt, Janet. *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music*. NY & Oxford: Oxford University Press, 2011.
- Smith, Charles. "Musical Form and Fundamental Structure: An Investigation of Schenker's *Formenlehre*." *Music Analysis* 15, no. 2/3 (1996), 191-297.
- Smith, Peter. "Brahms and Schenker: A Mutual Response to Sonata Form." *Music Theory Spectrum* 16, no. 1, (1994), 77-103.
- Solomon, Maynard. *Beethoven Essays*. Cambridge, MA: Harvard University Press, 1988.
- Spitzer, Michael. *Music as Philosophy: Adorno and Beethoven's Late Style*. Bloomington, IN: Indiana University Press, 2006.
- Stark, Eric. "Research Report: The Use of the Chorus to Provide Time and Place Cues in Hector Berlioz's *La Damnation de Faust*." *The Choral Journal*, 43, no. 4 (2002), 85-89.
- Starobinski, Jean. "The Political Thought of J.-J. Rousseau." *Rousseau's Political Writings*. Edited by Alan Ritter and Julia Conaway Bondanella. Translated by Julia Conaway Bondanella, 221-32. New York; London: W. W. Norton & Company.
- Steblin, Rita. *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries*. Rochester, NY: University of Rochester Press, 1996.
- Stricker, Rémy. *Berlioz Dramaturge*. Paris: Éditions Gallimard, 2003.
- Tarasti, Eero. *A Theory of Musical Semiotics*. Bloomington: Indiana University Press, 1994.
- . ed. *Musical Semiotics in Growth*. Bloomington: Indiana University Press. 1996
- Tombs, Robert. *France, 1814-1914*. London: Longman, 1996.
- Tovey, Donald Francis. *A Companion to Beethoven's Pianoforte Sonatas*. London: Associated Board of the Royal Schools of Music, 1931.

---. *Essays in Musical Analysis: Vol. 4, Illustrative Music*. London: Oxford University Press, 1937.

Turner, W. J. *Berlioz: The Man and His Work*. New York: Vienna House, 1974.

Van Rij, Inge. "'There is no Anachronism': Indian Dancing Girls in Ancient Carthage in Berlioz's *Les Troyens*." *19th-Century Music*, 33, no. 1 (2009), 3-24.

---. *The Other Worlds of Hector Berlioz: Travels with the Orchestra*. Cambridge: Cambridge University Press, 2015.

Vande Moortele, Steven. *The Romantic Overture from Rossini to Wagner*. Cambridge: Cambridge University Press, 2017.

---. "In Search of Romantic Form." *Music Analysis* 32, no. 3, (2013), 404-431.

Weaver, Robert L., ed. *Essays on J. S. Bach and Other Divers Subjects: A Tribute to Gerhard Herz*. Louisville: University of Louisville, 1981.

Weber, Max. *The Protestant Ethic and the Spirit of Capitalism*. London: Routledge, 1992.

---. 'Science as a Vocation', in *From Max Weber*. Edited by H. H. Gerth and C. Wright Mills, 129-56. London: Routledge, 2009.

Werth, Kent W. "'Invocation à la nature,' a Sketch from Berlioz's *La Damnation de Faust*: A New View of the Composer at Work." *The Musical Quarterly*, 74, no. 1 (1990), 57-82.

Witkin, Robert W. *Adorno on Music*. London: Routledge, 1998.

Wright, Lesley. "Berlioz in the *Fin-De-Siècle* Press." *Berlioz: Past, Present, Future*. Edited by Peter Bloom, 158-72. Rochester, NY: University of Rochester, 2003.

---. "Berlioz's Impact in France." *The Cambridge Companion to Berlioz*. Edited by Peter Bloom, 253-68. Cambridge: Cambridge University Press, 2000.

Žižek, Slavoj. "Foreword: Why is Wagner Worth Saving?." Theodor W. Adorno. *In Search of Wagner*. Translated by Rodney Livingstone. London; New York: Verso, 2005.

---. *The Fragile Absolute, or, Why is the Christian Legacy Worth Fighting for?*. London; New York: Verso, 2000.