

LISZT'S PORTRAYAL OF GOETHE'S *FAUST* USING FLAT 6TH SCALE DEGREE AS
HARMONIC ORGANIZING PRINCIPLE IN THE *FAUST* MOVEMENT
FROM HIS *FAUST* SYMPHONY

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Franz Liszt's *Faust* Symphony has suffered neglect since its premiere in 1857. The analysis in this study aims to clarify some of the misunderstandings which have led to this neglect, particularly concerning Liszt's formal structure and character portrayal. In the Faust movement, the flat 6th scale degree (b6) plays a prominent role in harmonic organization. Nineteenth-century composers sometimes used the distinct sonic color of chromatic-third progressions, as Liszt does here between C and E rather than diatonic movement by fifth to evoke a distant dream-world state. Liszt's conspicuous and form-defining use of b6 in the Faust movement suggests fantasy and mysterious elements ripe for programmatic interpretation. In this dissertation, I attempt to clarify how Liszt portrayed the character of Faust by using the flat 6th scale degree as a crucial harmonic organizing principle in the Faust movement.

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感谢我妈妈爸爸给予我的无限的关怀和支持。我姥姥永远活在我的心中。

TABLE OF CONTENTS

	Page
ACKNOWLEDGEMENTS.....	iii
LIST OF TABLES.....	v
LIST OF MUSICAL EXAMPLES.....	vi
CHAPTER 1. INTRODUCTION.....	1
CHAPTER 2. FORMAL STRUCTURE OF THE FAUST MOVEMENT WITH THE FLAT 6 TH SCALE DEGREE AS HARMONIC ORGANIZING PRINCIPLE.....	10
2.1 Formal Structure of the Faust Movement.....	10
2.2 The Use of the Flat 6 th Scale Degree in the Faust Movement.....	15
2.2.1 Introduction: mm. 1-70.....	15
2.2.2 Exposition: mm. 71-318.....	18
2.2.3 Transition: mm. 147-178.....	22
2.2.4 Primary Theme 2: mm. 179-202.....	23
2.2.5 Primary Theme 3 (Closing Theme): mm. 225-297.....	24
2.2.6 Recapitulation: mm. 421-581.....	25
CHAPTER 3. LISZT'S PORTRAYAL OF GOETHE'S FAUST USING FLAT 6 TH SCALE DEGREE AS HARMONIC ORGANIZING PRINCIPLE.....	28
CHAPTER 4. CONCLUSION.....	34
BIBLIOGRAPHY.....	44

LIST OF TABLES

	Page
Table 1.1: Liszt's intersection with the Faust theme	2
Table 2.1: Formal Structure of the Faust movement, Exposition and Recapitulation	11
Table 2.2: Form of the First Movement of the <i>Faust</i> Symphony: Four Interpretations	13
Table 2.3: <i>Faust</i> Symphony: First Movement ("Faust")	13
Table 2.4: Thematic area 1 transitions into thematic area 2 in exposition, mm. 71-179	27
Table 2.5: Thematic area 1 to thematic area 2 in recapitulation, mm. 421-450	27

LIST OF MUSICAL EXAMPLES

	Page
Example 2.1: <i>Faust</i> , Introduction, mm. 1-3.....	16
Example 2.2: <i>Faust</i> , Introduction, mm. 7-14.....	16
Example 2.3: <i>Faust</i> , Introduction, mm. 59-70.....	17
Example 2.4: <i>Faust</i> , Exposition, thematic area 1, mm. 83-87.....	18
Example 2.5: <i>Faust</i> , Exposition, period 1, mm. 88-91 (strings).....	19
Example 2.6: <i>Faust</i> , thematic area 1, mm. 109-112.....	21
Example 2.7: <i>Faust</i> , Exposition, Transition, mm. 175-179.....	23
Example 2.8: <i>Faust</i> , end of primary theme 2 and beginning of the anacrusis to primary theme 3, mm. 201-202.....	24
Example 2.9: <i>Faust</i> , thematic area 3, episode, mm. 250-257 (strings).....	25
Example 2.10: <i>Faust</i> , Coda, mm. 645-654.....	27
Example 3.1: <i>Faust</i> , thematic area 3, episode, mm. 250-257.....	31
Example 3.2: <i>Faust</i> , Coda, mm. 643-654.....	33
Example 4.1: <i>Faust</i> , Introduction, mm. 1-22.....	35
Example 4.2: <i>Faust</i> , Introduction, mm. 23-31.....	37
Example 4.3: <i>Faust</i> , Introduction, mm. 56-63.....	37
Example 4.4: <i>Faust</i> , Exposition, mm. 109-114.....	39
Example 4.5: <i>Faust</i> , Exposition, end of thematic area 1, mm. 140-146.....	40
Example 4.6: <i>Faust</i> , end of exposition and beginning of transition, mm. 140-148.....	41
Example 4.7: <i>Faust</i> , Coda (ending), mm. 645-654.....	42

CHAPTER 1

INTRODUCTION

Music is probably the most exacting of all arts and certainly one of the most difficult to cultivate. Its works are rarely presented to us under conditions which allow their value to be recognized and their character and meaning to be completely discerned. Among creative artists the composer is almost the only one depending upon a host of intermediaries between him and the public.....In my opinion, the conductor is the one whom the composer has most to fear, who may be intelligent or stupid, friendly or hostile, diligent or negligent. It is their power either to carry his work on to brilliant success or to disfigure, debase and even destroy it.

—Hector Berlioz, “On Conducting”¹

The Faust legend can be traced back to the early 16th century. As a Romantic German figure, Faust has inspired endless numbers of literary works. In his first appearance in the books of the 16th century, Faust, also known as Dr. Faustus, was a medieval magician and astrologer who had been given a degree by Heidelberg University.² According to Peter L. Thorslev, “Faust was a rather obscure German-Swiss charlatan named Helmstatter, who used ‘Faustus’ as an alias.... It was Christopher Marlowe’s play ‘*The Tragical History of the Life and Death of Doctor Faustus*’ written between 1588 and 1593, that confirmed Faust’s stature to that of a tragic hero.”³ Thorslev continues to describe Faust’s transformation from Marlowe to Goethe:

Faust in Marlowe’s drama is a struggling Renaissance hero who is under the repression of the medieval orthodoxy; in Goethe’s Drama, Faust is a Romantic figure who is emerging from the dead certainties of the eighteenth-century enlightenment.... In fact, Goethe’s Faust so much overshadows his innumerable lesser brethren that one sometimes comes to think of his play as standing alone. In 1808, when the Faust part I appeared, the central character of this play became the most popular literary figure in Germany.⁴

¹ Hector, Berlioz and Richard Strauss. *Treatise on instrumentation*. (New York: Edwin F Kalmus, 1991), 410.

² Alan, Walker. *Franz Liszt: The Weimar Years, 1848 – 1861* London: Faber and Faber, 1989. pg. 328.

³ Thorslev, Peter L. "Faust." In *The Byronic Hero: Types and Prototypes*, 84-91. University of Minnesota Press, 1962. <http://www.jstor.org/stable/10.5749/j.ctttsh8q.9>. Pg. 84 – 86.

⁴ *Ibid*, 85-86.

Among 19th-century musicians, the Faust legend was well-known. Composers such as Schubert, Spohr, Mendelssohn, Berlioz, Gounod, Wagner and Schuman were all inspired to write music about this literary figure. As a quintessential Romantic, with a passion for literature, Liszt was particularly open to the influence of Faust.⁵

It was Berlioz who first introduced Goethe’s Faust to Liszt in 1830 and encouraged him to write music based on that subject.⁶ From that time, Liszt began to nourish a desire to reflect this literary masterwork in music. However, for many years, his itinerant life style placed one obstacle after another in his path and prevented the realization of his plan. Finally, in 1848, once settled in Weimar, a city which still resonated with Goethe’s presence, the work took possession of him and he put the best of himself into it.⁷ From Table 1 below, which depicts the time line of Liszt’s activities associated with Faust, we can see that he was preoccupied with the subject almost throughout his entire life.

Table 1.1: Liszt’s intersection with the Faust theme⁸

Year	Details
1830	Berlioz introduces him to Goethe’s Faust
1830s	Becomes friend with Gerard de Nerval, French translator of Goethe’s Faust
1840s	Early sketches on a Faust project
1849	Conducts excerpts from Schumann’s <i>Szenen aus Faust</i>
1850	Gerard de Nerval proposes to Liszt a Faust opera
1852	Invites Berlioz to conduct his <i>La Damnation de Faust</i> in Weimar; Conducts Wagner’s <i>Faust Overture</i> and Spohr’s Faust
1854	First version of <i>Faust Symphony</i>
1856- 61	First <i>Mephisto Waltz</i>

⁵ Chrissochoidis, Ilias. Eine Faust-Symphony and Lawrence Kramer’s reading of the “Gretchen” Movement. *Journal of the American Liszt Society*, 2001. Table 1, p. 9.

⁶ Ralph, Hill. Ed. *The Symphony* Baltimore, MD: Penguin Books Inc. 1949.

⁷ Alan, Walker et al. "Liszt, Franz." *Grove Music Online. Oxford Music Online*. Oxford University Press. <http://www.oxfordmusiconline.com/subscriber/article/grove/music/48265> pg.16.

⁸ Chrissochoidis, “Eine Faust-Symphony,” 15.

Year	Details
1857	First performance of the Faust Symphony, adds “Chorus Mysticus”
1861	Second performance of Faust Symphony (final version) under the baton of Hans von Bulow
1878-79	Second <i>Mephisto Waltz</i>
1880	Adds a coda to “Gretchen” movement

Until the 1920s, Franz Liszt’s reputation was kept alive by a relatively small number of pianists devoted to his music, mainly because of his piano music and his stature as a pianist.⁹ As Saint-Saëns declared during Liszt’s life time, “the amplification of his pianist genius placed heavy clouds over his creative achievements.”¹⁰ Chrissochoidis noted, “few composers have suffered longer from scholarly neglect and misunderstanding as Franz Liszt.”¹¹

Born two years after Haydn’s death, and dying 12 years after Arnold Schonberg’s birth,¹² Liszt bridged Romantic and 20th century music. Alan Walker claims, “In his compositions he developed new methods, both in imaginative and technical, which left their mark upon his forward-looking contemporaries and anticipated some 20th-century ideas and procedures.”¹³ However, many of his compositions suffered the unfortunate fate, as many described it, of being neglected.¹⁴ In the case of the *Faust Symphony* particularly, its neglect may be attributable to

⁹ Alan, Walker et al. "Liszt, Franz." *Grove Music Online. Oxford Music Online.* Oxford University Press. <http://www.oxfordmusiconline.com/subscriber/article/grove/music/48265> pg28.

¹⁰ Alan, Walker. *Franz Liszt: The Weimar Years, 1848 – 1861* London: Faber and Faber, 1989 pg. 300

¹¹ Ilias Chrissochoidis. “Eine Faust-Symphony and Lawrence Kramer’s reading of the “Gretchen” movement.” *Journal of the American Liszt Society*, 2001. Available at <http://discovery.ucl.ac.uk/20111/1/20111.pdf>

¹² Eleanor Spencer Stone, Perenyi,. *Liszt: The Artist as Romantic Hero.* Boston-Toronto: Little, Brown and Company, 1974.

¹³ Walker. et al. "Liszt, Franz."

¹⁴ The word “neglect” can be seen in many articles about Liszt’s compositions. In regard to the Faust Symphony see Calvocoressi, M. D. "Liszt's 'Faust' Symphony." *The Musical Times* 66, no. 984 (1925): 117-19. doi:10.2307/913518; Ilias Chrissochoidis. “Eine Faust-Symphony and Lawrence Kramer’s reading of the “Gretchen” movement.” *Journal of the American Liszt Society*, 2001. Available at <http://discovery.ucl.ac.uk/20111/1/20111.pdf> ; Kenneth Birkin, “Hans von Bülow: A Life for Music (New York: Cambridge University Press, 2011), 358

Hans von Bülow, the conductor who conducted the second performance of the *Faust symphony* in 1861, whom later criticized the works as “sheer rubbish, absolute non-music!... No, *Faust* is an aberration: let us drop the subject once and for all.”¹⁵ Thereafter, according to Alan Walker “apart from one or two sporadic performances, the symphony was neglected for roughly 50 years. Lack of interest was so great that the orchestral parts were not published until 1874,”¹⁶ nearly 20 years after its premiere under Liszt’s baton in 1857.

As a conductor, my interest in Liszt’s compositions began when I first heard his song “Lorelei.” I noticed the remarkable resemblances between this piece and Wagner’s *Prelude to Tristan and Isolde*. As I began to study Liszt’s compositions, I have learned that, in fact, Liszt’s compositions are influential, especially for Wagner, who initially begrudged admitting that after getting to know Liszt’s music he had become a completely different harmonist. However, as he became older, Wagner was more relaxed, and reminding Liszt in 1878 that he had “stolen” much from Liszt’s symphonic poems.¹⁷ Furthermore, Liszt’s compositions had a considerable influence on many other composers of the late Romantic period, such as Richard Strauss and Jean Sibelius. Tchaikovsky and Mahler’s symphonic works are also prominent examples of Liszt’s programmatic influences.¹⁸

With my growing admiration and fascination with Liszt’s compositions, and my desire to read and understand Goethe’s *Faust*, I am naturally drawn to the idea of studying one of Liszt’s symphonic works - *A Faust Symphony in Three Character Sketches after Goethe*.

¹⁵ Kenneth Birkin, “Hans von Bülow: A Life for Music (New York: Cambridge University Press, 2011), 358.

¹⁶ Walker, “The Weimar Years,” 336.

¹⁷ Thomas S. Grey, ed., Richard Wagner and His World (New Jersey: Princeton University Press, 2009), 44.

¹⁸ Richard, Kaplan. “Sonata Form in the Orchestral works of Liszt: The Revolutionary Reconsidered,” *Nineteenth-Century Music*, Vol. 8 Pg. 142 – 152 CA: University of California Press 1984.

Although Franz Liszt's innovation in compositions anticipated some 20th-century ideas and procedures,¹⁹ his orchestra works are organized primarily by the functional harmonic principles of the 19th century. In his orchestra works, the occasional ambiguous passages and digressions from tonality are often dictated by extramusical considerations or a "poetic idea."²⁰ Many of Liszt's orchestral works bear titles that reveal the source of their inspiration,²¹ such as *Tasso*, *Orpheus*, *Hamlet*, *Dante*, and *Faust*. However, these symphonic works are character pieces, in which Liszt meant to convey specific affections and portrays characters that reflect his insight and understanding of each subject,²² rather than program music. Due to the length of this composition, a complete study and presentation of this entire symphony would go beyond the scope of this thesis. My study will focus on the first movement of this Symphony—"Faust."

In the Faust movement, C and E are the main tonal centers and the flat 6th scale degree (b6) plays a prominent role in its harmonic organization. Nineteenth-century composers sometimes used chromatic-third progressions over diatonic movement by fifth to evoke a distinct sonic color. I to b6 was in the nineteenth-century and still today associated with a dream-world state.²³ Liszt's conspicuous and form-defining use of b6 in the Faust movement suggests fantasy and mysterious elements ripe for interpretation. In this dissertation, I will attempt to clarify how Liszt portrayed the character of Faust by using the flat 6th scale degree as a crucial harmonic organizing principle in the Faust movement.

¹⁹ Walker, et al. "Liszt, Franz."

²⁰ Kaplan, 1984, P. 142.

²¹ Walker, et al. "Liszt, Franz." 15.

²² Linda Jean Popovic, "Harmonic and Formal Process in the Symphonic Poems of Franz Liszt." Order No. 9331557, Yale University, 1993. In PROQUESTMS ProQuest Dissertations & Theses Global, <https://libproxy.library.unt.edu/login?url=http://search.proquest.com/docview/304086138?accountid=7113>

²³ Matthew Bribitzer-Stull. "The Ab–C–E Complex: The Origin and Function of Chromatic Major Third Collections in Nineteenth-Century Music." *Music Theory Spectrum* 28, no. 2 (2006): 167-90. doi:10.1525/mts.2006.28.2.167.

The purposes of this dissertation are: 1) to contribute to the current Liszt studies by providing a detailed discussion of Liszt's use of $b6$ in the Faust movement, and 2) to analyze and discuss the interrelations between Goethe's character Faust and Liszt's musical portrayal of this character. In the closing chapter, I will discuss how this analytical study has shaped my view and understanding of this music as a conductor.

Even though the *Faust Symphony* is one of the major symphonic works of Liszt, there only has been a limited amount of publications featuring analysis of this symphony. In *The Symphony*, Humphrey Searle's analysis features much of the historical background of the composition.²⁴ His analysis is a narrative of how the themes connect to each other in this movement rather than a formal structure or a harmonic analysis. For example, Searle's analysis includes observations like: "The *allegro impetuoso* which follows has a feeling of passionate striving and leads to a fortissimo statement of theme 1 on the trumpets and trombones, ending with sharp dramatic chord. The second theme, on solo bassoon introduces a new theme, theme 3, of a stormy character." In this analysis, Searle did not go any further than providing descriptions of the sound of each theme in this movement. Unlike Searle's observational description, my thesis will interpret the interrelations between Liszt's musical portrayal of Faust and Goethe's play, and my interpretive claims will be supported by harmonic analysis. Alan Walker spends more pages on the subject of the Faust Symphony as compared to Searle's analysis. However, Walker focuses more on the historical background of the composition, with an introduction of the legend of Faust.²⁵ In his entry in Grove Music Online for the *Faust Symphony*, Walker

²⁴ Humphrey Searle. *The Music of Liszt*. New York: Dover Publications, 1966

²⁵ In Alan Walker's *Franz Liszt: The Weimar Years*, his analysis focuses more on the historical background of the composition, with an introduction of the legend of Faust. As to the music itself, Walker only provides names for some of the motives in the Faust movement, such as "Motive of Doubt", "Motive of Passion", "Motive of Love" and "Motive of Pride."

mentions that “one of the best discussions of the *Faust Symphony* is also one of the first, written by Liszt’s disciple Richard Pohl, and published in 1862.”²⁶ However, this study was primarily literary.²⁷ In the analysis of Liszt’s *Faust Symphony* provided in *The Cambridge Companion to Liszt*, the discussion of the Faust movement is brief and again falls into the category of introduction of historical background and identification of the motives.²⁸

There are two articles that provide some harmonic and formal structural analysis of the “Faust” movement: “Tonal and Harmonic Structures in Liszt’s Faust Symphony” by Rey M. Longyear and Kate R. Covington, and “Sonata Form in the Orchestral Works of Liszt: The Revolutionary Reconsidered” by Richard Kaplan. Each article provides a chart of the formal structure of the “Faust” movement, but the result is that they do not agree with each other.²⁹ Furthermore, the focus of Longyear and Covington’s analysis is on the third movement of the symphony, Mephistopheles, and Kaplan’s goal is to prove that some of Liszt’s symphonic poems and programmatic music is in an innovative sonata form.

Considering the lack of detailed harmonic analysis and discussion in relation to the character portrayal of Faust in the first movement of this symphony, I propose to contribute to the current Liszt studies by providing a detailed harmonic analysis and discussion of how Liszt portrayed the character of Faust in his music using the augmented 6th chord and flat 6th scale degree as an expressive feature in the Faust movement.

²⁶ Walker, et al. p.16.

²⁷ Rey M. Longyear and Kate R. Covington. “Tonal and Harmonic Structures in Liszt's Faust Symphony”. *Studia Musicologica Academiae Scientiarum Hungaricae* 28, no.1/4 (1986). Akadémiai Kiadó: 153–71. doi:10.2307/902417.

²⁸ Kenneth Hamilton. *The Cambridge Companion to Liszt*. Cambridge: Cambridge University Press, 2005.

²⁹ See Kaplan, “Sonata Form,” 147.

This study will develop along the following research methods: First, in order to be able to discuss Liszt's character portrayal of Goethe's Faust in his music, it is necessary to be familiarized with Goethe's play. For this study, my primary source is Carl R. Mueller's 2004 English translation of Goethe's *Faust* part I and II.

For theoretical analysis and discussions of Liszt's use of the augmented 6th chord and the flat 6th scale degree, traditional roman numeral analysis is my analytical method. In Liszt's compositions, chromaticism, enharmonic changes and ambiguity in tonal focus, all present challenges for harmonic analysis.³⁰ And in recent years, researchers have utilized some modern analytical techniques, such as pitch-class set analysis, to interpret Liszt's harmonic innovations.³¹ However, through my study, I have realized that although Liszt's harmony can be ambiguous and innovative, his core harmonic scheme still centers around the traditional functional harmonic principles of the 19th century. In Robert Bailey's analytical study of Wagner's *Tristan and Isolde*, he states that in the second part of the 19th century, regarding harmony and tonality, "older principles remained within the system, even though the accretion of new ones inevitably wrought some variation in them."³² In this case, Liszt's experimentations with harmony would be an important example of this expansion of tradition.

Roman numeral analysis shows patterns within a given key. The tonic is established and understood, and then a b6 can be defined accordingly. Furthermore, roman numeral analysis

³⁰ Howard Cinnamon, "Classical Models, Sonata Theory, and the First Movement of Liszt's Faust Symphony." *Gamut: The Online Journal of the Music Theory Society of the Mid-Atlantic* 4, no. 1 (2011): 53-91.

³¹ Linda Jean Popovic's dissertation in 1993 "Harmonic and Formal Process in the Symphonic Poems of Franz Liszt." adopted pitch-class set analysis method.

³² Robert Bailey and Richard Wagner. *Prelude and Transfiguration: from Tristan and Isolde*. New York: W.W. Norton, 1985.

enables me to investigate the succeeding tonal focus, whether there is one or not, immediately after the point that the $\flat 6$ has been utilized.

In my paper, I provide segments from the full orchestra score and piano reduction score as needed, to illuminate my analysis and discussion. I provide a note of discussion for each time that the $\flat 6$ has been used for expressive and structural effect. A summary of my findings is provided at the end of the analysis.

CHAPTER 2

FORMAL STRUCTURE OF THE FAUST MOVEMENT WITH THE FLAT 6TH SCALE DEGREE AS HARMONIC ORGANIZING PRINCIPLE

2.1 Formal Structure of the Faust Movement

Formal structure in Liszt's compositional works has long been an issue for Liszt scholars. In Richard Kaplan's article "Sonata Form in the Orchestral Works of Liszt: The Revolutionary Reconsidered" he presents four different interpretations of the formal structure of the Faust movement by four Liszt scholars.³³ In Longyear and Covington's analytical study of the *Faust Symphony*, the writers state, "criticisms of formlessness and lack of coherence have repeatedly been made against Liszt's large works."³⁴ Kaplan claims that "to be sure, the view that Liszt repudiated traditional forms and created new, unique structures is due to his emphasis on the programmatic aspect of the symphonic poems both in his writings and in the prefaces to his scores."³⁵ According to Nicholas Cook, "Beethoven is traditionally regarded as the greatest master of sonata form, and yet later composers also felt that he had expanded the traditional forms by subordinating everything to intensity and immediacy of emotional expression."³⁶ I argue Liszt went further in this direction in terms of intensity and emotional expression within the conventional sonata formal schema.

³³ See Table 2.2.

³⁴ Longyear and Covington, "Tonal and Harmonic Structures," 153.

³⁵ Kaplan, "Sonata Form," 143.

³⁶ Nicholas, Cook. *A Guide to Musical Analysis*. New York: George Braziller, 1987

Table 2.1: Formal Structure of the Faust movement, Exposition and Recapitulation

<p>Introduction: mm. 1-70, no key, melodic construction has emphasis on Ab-C-E equal third relations centered around C. (11+11+22+1<rest>+5)</p>	
<p>Exposition: mm. 71 – 318</p>	<p>Recapitulation: mm. 421 – 598</p>
<p>Primary theme 1: 71 – 146, thematic area 1 in C minor appears in both exposition and recapitulation. mm. 71 – 74 and 75-78 theme 1 displayed twice. → mm. 79 – 87 extension of theme 1 → mm. 87 – 90 link → mm. 91 – 94 and 95-98 repeat theme 1 mm. 99 – 105 extension of theme 1 mm. 105 – 111 link mm. 111 – 146 suffix (8+8+8+13) begins in Eb major, ends in C minor. →</p>	<p>not present in recapitulation not present not present mm. 421 – 424 and 425 – 428 return of theme 1 mm. 429 – 435 extension of theme 1 mm. 435 – 445 link not present</p>
<p>Transition mm. 147 – 178 no tonal center established in this section, melodic figure adopted from introduction. mm. 166 – 178 recitative. No key. →</p>	<p>The first part of the transition is not present in the recapitulation. mm. 446 – 449 the recitative section appears briefly in the recapitulation.</p>
<p>Primary theme 2: 179 – 202 theme 2 in E major (8+8+7) mm. 179 – 186 theme 2 mm. 187 – 194 theme 2 mm. 195 – 202 extension (transition) (3rd display of theme 2 is not present in Expo.) →</p>	<p>mm. 450 – 479 theme 2 in E then in C major (8+8+6<transition>+8) mm. 450 – 457 theme 2 in E mm. 458 – 465 theme 2 in E mm. 446 – 471 extension (transition E - C) mm. 472 – 479 theme 2 in C major</p>
<p>Anacrusis: 202 – 225</p>	<p>mm. 480 – 503 anacrusis</p>
<p>Primary theme 3 (closing theme): 225 – 296 mm. 225 – 242 theme 3 in E mm. 242 – 250 link → mm. 250 – 272 episode mm. 272 – 281 theme 3 in E mm. 281 – 296 link</p>	<p>mm. 503 – 518 theme 3 in C not present in recapitulation. mm. 519 – 548 episode mm. 548 – 566 theme 3 in C mm. 566 – 581 link</p>
<p>Codetta: 297 – 318 no key, thematic material adopted from both introduction and theme I.</p>	<p>Codetta: 582 – 598 no key, thematic material adopted from both introduction and theme I.</p>
	<p>Coda: 599 – 654 has 3 thematic areas, all thematic materials adopted from exposition, and ends in C minor. a. mm. 599 – 610 material from theme 3. b. mm. 611 – 635 material from theme 3 & intro. c. mm. 636 – 654 material from theme 2.</p>

The development section of this movement, mm. 319-420, has four distinctive events. Event 1 is from mm. 319-358, which consists of two parts. In part A, the primary theme 1 is in C# minor. However, the note C \natural in mm. 334-335 interrupts the key of C#. Part B of this event is from mm. 335-358, in which thematic materials from mm. 87-88 of the exposition are elaborated into a 24-measures-long passage, which leads into event 2 of the development. No tonal center is established in part B.

The keyless feature that occurs in the second part of event 1 continues in event 2 and 3. Event 2, mm. 359-381, recall thematic material from the slow introduction, once again emphasizing the notes A \flat -C-E. Event 3 is from mm. 382-399, and draws its sources from both the introduction and primary theme 2.

In the beginning of event 4, which is from mm. 400-421, no key area is established. However, E major appears from mm. 414-420 as the result of the chromatic ascent starting in m. 410. The transition between event 4 of the development and the recapitulation is through a common tone between the keys of E major and C minor, in which G#, the median of E at m. 420 becomes A \flat in m. 421, the $\flat 6$ of C. This transition reflects Liszt's tonal plan, which emphasizes the third relationship between C and E and prominently uses $\flat 6$ as a harmonic organizing principle.

Tables 2.2 and 2.3 are reproduced from Richard Kaplan's article "Sonata Form in the Orchestral Works of Liszt," where Kaplan presents other interpretations of the formal structure of the Faust movement.³⁷ His own detailed analysis is also presented in Table 2.3.

³⁷ Kaplan, "Sonata Form," 147

Table 2.2: Form of the First Movement of the *Faust* Symphony: Four Interpretations

	m. 1		297	359		582
<i>Floros</i>	Exposition (296)		Dev. (62)	Recapitulation (223)		Coda (73)
	1	71	319	359	421	599
<i>Gruber</i>	Ia Expo. (70)	b Development (288)		c	IIa Recap. (240)	b Coda (56)
	1		297		421	611
<i>Searle</i>	Exposition (296)		Dev. (124)	Recapitulation (190)		Coda (44)
	1	71	319	421		599
<i>Kaplan</i>	Intro. (70)	Exposition (248)		Dev. (102)	Recapitulation (178)	
	1	71	319	421		599

Table 2.3: *Faust* Symphony: First Movement (“Faust”)

SECTION	THEME AREA / SUBSECTION		TONAL CENTER*	MOTIVE**
INTRODUCTION (mm. 1–70)	a) Slow	mm. 1–22		A, B
	b) Fast	23–65		A
	c) Recitative	66–70		B
EXPOSITION (71–318)	Theme I	71–110	c	
	Transition 1	111–146		
	Interlude	147–165		A
	Recitative	166–178		B
	Theme II	179–201	E	
	Transition 2	202–224		I, III
	Theme III	225–249	E	
	Episode	250–271		B, III
	Theme III	272–280	E	
Bridge	281–296			
Codetta	297–318		A, I	
DEVELOPMENT (319–420)	a) False Repeat	319–358	c#	
	b) Intro. Reprise	359–381		
	c)	382–399		A, B, Tr. 1
	d) Retransition	400–420		A
RECAPITULATION (421–598)	Theme I	421–445	c	
	Recitative	446–449		B
	Theme II	450–471	E	
	Theme II	472–479	C	
	Transition 2	480–501		III
	Theme III	502–518	C	
	Episode	519–547		B, III
	Theme III	548–565	C	
	Bridge	566–581		
Codetta	582–598		A, I	
CODA (599–654)	a)	599–610		III
	b)	611–635		A, B, III
	c)	636–654		B

*For theme-areas. **For non-theme areas, letters refer to motives (ex. 3), numerals to themes (ex. 4).

The first three interpretations of the formal structure of the Faust movement, from Floros, Gruber and Searle, provides different points of view. Upon taking a closer look, all three have failed to define the meaning and the function of the slow introduction.

The fourth interpretation in Table 2.2, which is from Kaplan, matches my outline. However, when looking at the details of Kaplan's analysis in Table 2.3, we can see that, once again, our points of view diverge in many places. For example, in Kaplan's analysis, theme 1 ends on m. 110, and transition 1 begins at m. 111. Kaplan justifies the method of his analysis:

There is lack of sectional harmonic closure...Perhaps by way of compensation for blurring sectional lines, Liszt uses other means of formal articulation...Two of these are changes in tempo and meter: in "Faust" movement, for example, the first theme is Allegro and the second theme is marked Affettuoso poco Andante.³⁸

Because Kaplan seems to have missed the important function of $b6$ in this movement, he looks for other means to define the formal structures.

The B Mm7th chord at m. 111 directly anticipates primary theme 2, which is in the key of E. However, by using the B Mm7th chord as an enharmonically spelled Ger.+6th chord (see Ex. 2.6), Liszt unexpectedly changes the direction of the harmonic progression, and inserts a rather lengthy suffix of theme 1 from mm.111-146, rather than ending it at m. 110. The sporadic and fragmented appearances of theme 1 during this period (mm. 111-146) provide further evidence for reading close relationships between this section and theme 1. In m. 146, just as if this section is about to drift further into tonal ambiguity, this suffix quietly ends on a C minor 6_4 chord at the very last moment, which in this case, provides much needed tonal clarity and a rather coherent closure for the entire thematic area 1. Thus, theme 1 begins at m. 71 in C minor and concludes at m. 146 in C minor.

³⁸ Kaplan, "Sonata Form," 145.

In my view, reading the $\flat 6$ as the “guiding posts” of Faust movement’s harmonic and formal structure, we can see that Liszt’s tonal and formal plan for this movement is clear and rather traditional. The first theme in C minor and the second in E major can be easily defined in the exposition, and both themes return in the home key of C in the recapitulation. Finally, the movement finishes with a coda in C minor.

2.2 The Use of the Flat 6th Scale Degree in the Faust Movement

Ambiguous tonality and frequent harmonic digressions are common in this Faust movement. However, the augmented 6th chord (many enharmonically spelled) brings clarity to the form of this movement. The $\flat 6$ has a harmonic and melodic organizing function throughout *Faust*.

2.2.1 Introduction: mm. 1-70

The Faust movement is in the key of C minor, and begins with $A\flat$, the flat 6th scale degree. One of the important (audible) characteristics of the $\flat 6$ is its half step movement towards the dominant V. However, Liszt does not use this opportunity to establish C minor in the beginning, instead, he adopts the chromatic half step descending motion from $\flat 6$ to V and keeps it going beyond V. On top of this chromatic descending bass line ($A\flat$ -G-F# - F \natural - E) in the beginning, the augmented triad built upon each note further obscures the tonal center (of C).

Example 2.1: Faust, Introduction, mm. 1-3

First display of C-E-A^b (G#)

Descending bass line originated from A^b (b6 of C) to E.

Example 2.2: Faust, Introduction, mm. 7-14

Descending bass line originated from E to C.

Second display of C-E-A^b

From Examples. 2.1 and 2.2, we can see that the chromatic descending bass line generated from the flat VI (A^b) in the beginning is not without a purpose. Twice in the first 14 measures, a chromatic descent outlines the C-E-A^b augmented triad. And as we can see from both Examples 2.1 and 2.2, the first chromatic descending line moves from A^b to E, then the

³⁹ This piano score of the “Faust” movement is arranged by August Stradal, see, August, Stradal, arr. *Eine Faust Symphonie*. Leipzig: J. Schuberth & Co. (Felix Siegel), 1899.

second time it moves from E to C; in this case, Liszt seems to showcase the importance of the third relations right at the outset of this movement. In fact, these three notes represent the overall tonal plan for this whole movement. C is the key of the movement, E functions as secondary key areas within this movement, and Ab represents the important flat 6th scale degree to C as a prominent organizing pitch.

Example 2.3: *Faust*, Introduction, mm. 59-70

The image shows a musical score for the introduction of Liszt's *Faust*. The top system covers measures 59 to 63, with a red box highlighting the chord progression: F#dim7 (measures 59-60), Eb7 (measures 61-62), and Ab7 (measures 63-64). The bottom system starts at measure 64, marked 'Lento assai.', and features a 'Fag. (solo)' line. A red box highlights the low C bass note in measure 64. The score includes dynamics such as 'fff' and 'dim. e rit.', and a 'Pia.' marking.

Another trait in this introduction worth noting occurs near the end of this section. This *Faust* movement is in C minor. In Example 2.3, the repeated appearance of the F# fully diminished 7th chord from mm. 61-63 suggests a vii^o7/V to V motion in the key of C. However, Liszt did not resolve this fully diminished 7th chord to the tonic C through the dominant. Instead, this “*Allegro impetuoso*” section of the introduction stops abruptly at this chord. The low C at m. 64 does not represent the resolution of this chord, rather it is the sustained ground bass from previous measures. At this point, Liszt seems to try to avoid the conventional way to reach the tonic, or he tries to delay the resolution, thus creating ambiguity and mystery. This tendency to

delay or completely avoid direct resolution is prominent in *Faust*, and Liszt frequently uses the $b6$ to achieve this dramatic effect.

2.2.2 Exposition: mm. 71-318

Primary theme 1 represents 1st thematic area from mm. 71-146 in C minor.

The first theme of the exposition is a four-measure long theme which is stated twice from mm. 71-78, the first time in C minor and second time in F minor. The following measures, mm. 79-87 are extensions of his theme. During this extension, a Ger.+ 6th chord appears in m. 83 that modulates the key to C minor at m. 84. The apparent tonal stability from mm. 84-86 in C minor is interrupted at m. 87, as shown in Example 2.4.

Example 2.4: *Faust*, Exposition, thematic area 1, mm. 83-87

The image displays a page of a musical score for Liszt's *Faust*, focusing on measures 83 through 87. The score is arranged in a system with multiple staves for different instruments: Flute (Fl.), Horn (Hr.), Clarinet (Klar.), Bassoon (Fag.), Trumpet (Tromp.), Trombone (Tromb.), and Piano (P.). Above the staves, the measures are numbered 83, 84, 85, 86, and 87. A red rectangular box highlights a specific chord in measure 83, with an arrow pointing to it from the label 'Ger. +6th' below. Another red rectangular box highlights a chord in measure 87, with an arrow pointing to it from the label 'C as flat 6th of E' below. The score includes various musical notations such as notes, rests, and dynamic markings like 'p' (piano), 'cresc.' (crescendo), and 'rinforz. molto' (rinforzando molto). The key signature is C minor, indicated by three flats.

The appearance of the B-A-F#-Eb chord and the repeated half step descending figure from C to B at m. 87 have abruptly ended the extension on theme I. At first glance, this measure seems to defy logic harmonically, but if we look further from this point, especially at the strings in m. 88 in Example 2.5, we can find a logical explanation.

Example 2.5: *Faust*, Exposition, period 1, mm. 88-91 (strings)

The image shows a musical score for strings in measures 88-91. Measures 88, 89, and 90 are enclosed in a red rectangular box. A red arrow points from the bottom center of this box down to the text "(B dominant 7th chord is repeated here on the strings.)". The score includes multiple staves for different string instruments, with dynamics like *ff* and *f* indicated. The key signature has one flat (B-flat), and the time signature is 3/4. The measure numbers 88, 89, 90, and 91 are printed above the staves.

(B dominant 7th chord is repeated here on the strings.)

The repeated B Mm7th chord from mm. 88-90 strongly anticipates E, and this chord also explains that the previous B-F#-A-Eb chord in m. 87 is in fact enharmonically spelled B dominant 7th chord where D# is written as Eb. Since the key of E is being implied at this moment, the half step descending figure from C to B at m. 87 can now be interpreted as a gesture leaning towards the dominant of E, in which the note C is the b6 resolving down to the dominant. As a result, the repetitions of this half step descending figure in this measure emphasizes the dominant of E through the b6.

However, this anticipation does not result in the expected destination. In m. 91 (Ex. 2.5), primary theme 1 returns in C minor, and this makes the efforts toward E from mm. 87-90 seem to lack a formal function. Looking nearly 90 measures on, however, the key of E eventually appears as thematic area 2, which was foreshadowed by this tonicization. As I have mentioned during my analysis of the introduction section (Ex. 2.3), Liszt's aesthetic treatment of Faust here is to avoid or delay harmonic resolution. Indeed, the section that follows is a reflection and elaboration of this trait.

As the B dominant 7th chord from mm. 87-90 anticipates the key of E, primary theme 1 in C minor unexpectedly returns at m. 91. Once again, this 4-measure long theme is displayed twice, first in C minor and then in F minor. It is followed by an extension then a link passage from mm. 105-111. It is important to notice that in the end of this link passage from mm. 108-111, just like in the previous link passage from mm. 87-90, the B dominant 7th chord appears again, and yet again this dominant 7th chord at m. 111 does not resolve in the conventional way (see Ex. 2.6).

Example 2.6 provides an example of how Liszt uses the $\flat 6$. The B-major-minor-7th chord from mm. 109-111 provides strong evidence of the anticipation of an E major chord. However, on the second beat of m. 111, an E \flat -major- $\flat 4$ chord appears. The outward movement of this B-major-minor-7th chord in m. 111 indicates that it can no longer be interpreted as a dominant 7th chord in the key of E. Rather it functions as an enharmonically spelled Gr+6th chord (C \flat -E \flat -G \flat -A), which resolves to V $\flat 4$ chord in the key of E \flat .

Example 2.6: *Faust*, thematic area 1, mm. 109-112

109 110 111 112 113

E: V7 V7 V7 Eb: V₆₄ -----

↑
Enharmonically spelled Ger.+6th Chord in E^b Major

So far as we have seen from Examples 2.5 and 2.6, Liszt twice anticipates the arrival of E and twice leads us to an unexpected resolution. During these two events, the $\flat 6$ leads to an unexpected and colorful harmony as well as guides the form at a local and large formal scale. In m. 87 (Ex. 2.4), Liszt used the $\flat 6$ to emphasize the dominant of E. In m. 111, Liszt uses an enharmonically spelled Ger.+6th chord to resolve to the key of E \flat . However strongly the B dominant 7th chord anticipates the key of E; the result is completely different.

The section from mm. 111-146 is a suffix to the previous thematic area 1. In this section, the melodic figure of theme 1 appears sporadically and is fragmented, which seems to be reminiscent of the previous section. Since this section begins in the key of E \flat , the frequent appearances of C \flat reminds us of Liszt's usage of the flat 6th degree.

2.2.3 Transition: mm. 147-178.

The thematic material in this transition is based on the slow introduction of mm. 1-22. With the chromatic descending bass line and the chromatic ascending melodic line no tonal center is being established in this period. In the recitative section (mm. 166-178), the half step descending figure resembles the beginning of the introduction. In the very end of this recitative, an enharmonically spelled Ger.+6th chord appears and resolves to E major at m. 179, where primary theme 2 begins (see Ex.2.70).

In Example 2.7, m.179 is the beginning of the primary theme 2 of the exposition, which is in E major. In this case, the C \sharp in measure 178 has become the $\flat 6$ in the key of E. With the B \flat at measure 177, we can see that the C-E-G-B \flat is an enharmonically spelled Ger. +6th chord C-E-G \sharp -A \sharp in the key of E, which resolves to the V \flat_4 chord at m. 179.

Example 2.7: Faust, Exposition, Transition, mm. 175-179.

The musical score for Example 2.7 shows measures 175 to 179. A red box highlights measures 177 and 178, with red circles around specific notes. An arrow points from the text "Enharmonically spelled Ger+6th" to the notes in the red box. The score includes parts for Violini, Hörner, Clar., Fag., and Fagotti. The tempo is "poco rall." and the dynamics are "p".

This arrival of E major seems to have been anticipated since the beginning of this movement. First, the C-E-A \flat augmented triad emphasized in the slow introduction implies the lay out of the tonal plan of this entire movement. Then, immediately after the first display of theme 1 at m. 87 (see Ex. 2.4 and 2.5), the appearance of B dominant 7th chord, and the $\flat 6$ of E provides strong indication towards E. However, the arrival of E major only occurs at m. 179, long after it has been anticipated, and this delay and prolonged anticipation is attributed to the ambiguous use of the $\flat 6$.

2.2.4 Primary Theme 2: mm. 179-202

This is a relatively stable period in terms of tonality, remaining in E major throughout. However, the appearance of E minor conveys a darker mood. Following a Ger.+6th chord at m. 201 (see Ex. 2.8), this thematic area transitions into the next section, mm. 202-225, which serves as the anacrusis for primary theme 3 (see section 2.2.5), the closing theme of this exposition.

Example 2.8: *Faust*, end of primary theme 2 and beginning of the anacrusis to primary theme 3, mm. 201-202

201

Allegro con fuoco.

Viol.

f ardito
TUTTI.

C-E-G-A#

2.2.5 Primary Theme 3 (Closing Theme): mm. 225-297

After a prolonged cadence chord throughout the entire section from mm. 202-224, primary theme 3 (the closing theme) arrives in E major at m. 225 with a triumphant sound. So far, this is the only time a conventional V-I cadence has occurred, and yet this V-I motion has originated from a $\flat 6$ -V motion at mm. 201-202. See Example 2.8.

Within this closing theme, there is an episodic section from mm. 252-272. In contrast to the triumphant sound of this period, this episode presents a darker tone, which seems to predict tragedy. The $\flat 6$ once again plays a key role in this episode. See Example 2.9.

The note $C\sharp$ is the $\flat 6$ of E major, and the falling motion in m. 251 from B to $C\sharp$ is the reversed motion of $\flat 6$ -V in E (compare to m.87, see Ex. 2.4.) By using this V- $\flat 6$ motion, the melodic structure takes a dramatic fall. Thus the $\flat 6$ not only has important harmonic functions in this *Faust* movement, this excerpt also demonstrates its important melodic organizing functions.

Example 2.9: *Faust*, thematic area 3, episode, mm. 250-257 (strings)

250

ff sempre

ff sempre

ff sempre

ff sempre

P ff sempre

Un poco accelerando il tempo.

2.2.6 Recapitulation: mm. 421-581

The recapitulation section begins at m. 421 with primary theme 1 returned to its original key—C minor. Nearly identical to its corresponding section in the exposition (mm. 91-111), theme 1 first displayed in C minor and then again in F minor, and it is followed by a 6-measure long extension with a link passage (mm. 435-441) following immediately after, in which once again, the B dominant 7th chord appears, suggesting the anticipation of E. What is different now at mm. 441-442 as compared to its corresponding section in the exposition (mm. 111-112), is that this time the C minor theme does not makes a return after the B dominant 7th chord. Instead, a recitative figure similar to the one from the transition section appears between mm. 446-449.⁴⁰ This recitative figure quickly descends onto C^b in the bass line. The C^b at m. 459 continues to descend to B in the next measure (m. 460), where primary theme 2 returns in E major. As indicated in m. 87 in the exposition, the C^b functions as the b6 of E, therefore, in this

⁴⁰ The recitative section in the transition is from mm. 166-178.

recapitulation, thematic area 1 transitions into theme 2 through the $b6$ of E.

When comparing this first thematic section in the recapitulation with its corresponding part in the exposition, we can see that the $b6$ provides Liszt much dramatic flexibility. Tables 2.4 and 2.5 illustrate how thematic area 1 transitions into thematic area 2 in both the exposition and recapitulation. Comparing these two tables, it is easy to see that there are lots of extra-musical materials inserted between theme 1 and 2 in the exposition. It is also clear that the $b6$ degree is used to change the harmonic direction every time. Furthermore, theme 2 recurs in the recapitulation three times, once more than in the exposition. The first two times are in the theme's original key of E major, and the third time it is in C major. The transition between E major and C major occurs yet again through a $b6$ at m. 471.

Liszt has already given us his tonal plan in the introduction of this movement. In summary, the emphasis on the C-E- Ab triad has far reaching structural meanings in this movement. C is the overall key of the movement, E is the secondary key, and Ab represents the $b6$, which not only transitions from C to E, but also transitions from E back to C. Even at the last moment of the coda, $b6$ is used. See Example 2.10.

Comparing this excerpt with the opening introduction (Ex. 2.1), we can see that in Example 2.10, following the motion of Ab -G-C, the key of C is established through the motion of bVI -V-I, and this is the end of this movement. In a similar case, the opening passage of this movement (Ex. 2.1) also starts on the note Ab , but as we follow the descending Ab -G-F# - F \natural - E motion, it becomes apparent that Liszt avoided establishing any tonal center at this time. In other words, it is the $b6$ that gives Liszt the freedom to depict the character of Faust and elevate the drama in the Faust movement.

Table 2.4: Thematic area 1 transitions into thematic area 2 in exposition, mm. 71-179

Exposition: Thematic Area 1 in C Minor					Transition		Thematic Area 2 in E Major
mm. 71-87	87 – 90	90 – 107	108 – 111	102 - 146	147 - 178		179 – 202
Theme 1 begins in C minor.	bVI – V/E anticipates the key of E.	Theme 1 returns in C minor.	V/E as Ger. 6th of Eb	Suffix begins in Eb, ends in C minor.	147 - 176 No key	177 – 178 bVI/E	Theme 2 in E major.

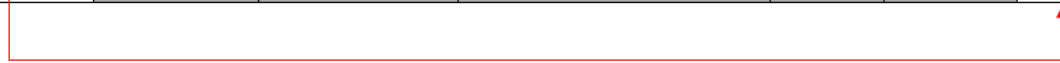
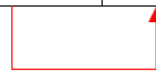


Table 2.5: Thematic area 1 to thematic area 2 in recapitulation, mm. 421-450

Recapitulation: Thematic Area 1 in C Minor		Thematic Area 2 returns in E Major, then C Major.		
mm. 421 - 445	446 – 449	450 - 470	471	472 - 479
Theme 1 returns in C minor.	Recitative (similar to transition mm. 166 178) ends on bVI/E.	Theme 2 in E major.	Ger6th of C.	Theme 2 returns the third time in C major.



Example 2.10: Faust, Coda, mm. 645-654

645

CHAPTER 3

LISZT'S PORTRAYAL OF GOETHE'S FAUST USING FLAT 6TH SCALE DEGREE AS HARMONIC ORGANIZING PRINCIPLE IN THE FAUST MOVEMENT

The *Faust Symphony* presents portrayals of the three main characters in part one of Goethe's play. It consists of three movements: Faust, Gretchen and Mephistopheles. Faust, the central figure of this play, has stimulated countless scholarly debate and publications. In Peter L. Thorslev's book *The Byronic Hero*, Thorslev describes Faust as "always isolated, set off from the rest of mankind; he is essentially passive, uncommitted; he is even morbidly aware of his own identity in a world of ever shifting and ever amorphous values."⁴¹ As Van Der Laan describes it, "in this play, Goethe created the character of Faust who neither ascends nor descends, neither progresses nor regresses, but instead he changes without changing, develops without developing."⁴² Moreover, in Goethe's play, he does not describe where Faust is from and whether he lives in his home or not. He seems not to belong to a community either.⁴³ He seeks absolute knowledge, and yet he does not know what he really wants. He has no past. He is rootless. He makes a notorious deal with the devil, and he is open to the devil's manipulation. From the beginning of Liszt's slow introduction of the Faust movement, all these characteristics can be detected within the opening chromatic figure (Ex. 2.1 and 2.2).

In the slow introduction, the continuous chromatic half descending motion generated from Ab does not commit to any tonal center. With its slow-moving speed and the augmented triad building upon each of those half step descending bass notes, the image of Faust as a thinker

⁴¹ Thorslev, "Faust," 90.

⁴² Van Der Laan, "Faust's Divided Self," 452.

⁴³ Van der Laan, "Faust's Divided Self," 456.

who is searching for his destiny is reflected in this musical figure. Furthermore, this tonally uncommitted opening passage deftly depicts Faust's passive and uncommitted characteristic, as he "neither progresses nor regresses, changes without changing."⁴⁴ With the music's plodding speed and deep sound, Faust as an old man vividly comes to life. The continuous half step descending bass line with augmented triads builds upon each bass note reinforces that there is no tonal center in this passage, underlining the fact that Faust has no root. Although he has a thirst for knowledge and lust, he is wandering without a purpose.

Example 2.6 again reflects the uncommitted, ever shifting and amorphous traits of Faust. The repeated B dominant 7th chord from mm. 109-111 strongly anticipates E, but the appearance of the E \flat V \flat ₄ chord at m.111 completely changes the course of what was anticipated. In this case, the B-D#-F#-A dominant 7th chord has become an enharmonically spelled Ger.+6th chord (C \flat -E \flat -G \flat -A) of E \flat . By using this augmented 6th chord, Liszt not only portrays the unpredictable nature of Faust, he also inserts mysteries into the music and therefore intensifies its dramatic effect.

Example 2.7 shows how the transition section resolves into thematic area 2 between mm. 178 -179. The augmented 6th chord seems to have made a "deceitful" appearance from the previous keyless transition section, which quietly resolves into primary theme 2 in E major. Since the new theme (primary theme 2) in E shares the same motive with the central theme in the Gretchen movement, it is easy to understand this second theme of the Faust movement as a reflection of the relationship between Faust and Gretchen. Here, I would like to call this 2nd theme in the Faust movement the "Gretchen theme."

⁴⁴ Van Der Laan, "Faust's Divided Self," 452

Like the “deceitful” appearance of the augmented 6th chord in the end of the transition section, Faust’s attitude toward Gretchen can also be described as deceitful. In Goethe’s play, Mephistopheles had Faust drink the elixir of youth so that he would attract women as beautiful as Helen. Thus, comes the transition to Gretchen, whom Faust looks at lustfully.⁴⁵ The appearance of Gretchen in Goethe’s play is by chance, and in Liszt’s music, the appearance of the Gretchen theme can also be interpreted as ‘by chance’. As the preceding interlude section does not have a tonal center, the melodic figure in this period seems to roam free without a clear direction. The appearance of the enharmonically spelled augmented 6th chord (Ex. 2.7) in the end of this period, therefore, cannot be traced back tonally. The use of b6 has made the appearance of the Gretchen theme seem to be a sudden apparition.

The Gretchen theme continues stably in E major throughout the period, but the appearances of the B dominant 7th chord within a mode mixture - where E major becomes E minor for a while - amplifies the overall melancholic mood of this theme, thus reminding the listener of the unfortunate fate of Gretchen in Goethe’s play. After a prolonged cadence section, a new theme (primary theme 3) arrives in a triumphant and celebratory mood. However, since the love story between Faust and Gretchen ends in tragedy, and Faust himself is ultimately a tragic figure, Liszt inserts a distressed and dark tone in the middle of these triumphant sounds; again, the flat 6th scale degree functions as an important part of this melodic structure. See Example 3.1.

⁴⁵ Karl, Rosenkranz and Anna C. Brackett. "Faust and Margaret." *The Journal of Speculative Philosophy* 10, no. 1 (1876): 41. <http://www.jstor.org/stable/25665962>.

Example 3.1: *Faust*, thematic area 3, episode, mm. 250-257

In Example 3.1, C \sharp is the b6 of E. In m. 251, by using the motion from V-b6 (falling from B to C \sharp in m. 251 and m. 255, which is reversed b6 -V) in the key of E, Liszt creates a melodic figure that sounds depressed and tragic. The occurrence of this melodic figure in the middle of this triumphant period yet again implies the tragic fate of Faust. In this example, we can see that the b6 not only has harmonic organizing functions in this movement, it also has an important role in melodic organization.

The recapitulation section of this symphony is concise as compared with the exposition, and the b6 is instrumental in this section too. In the recapitulation, Liszt brings back the Gretchen theme for a third time in C major through an augmented 6th chord. As is often described, since the early part of the Romantic period, the use of an equally divided third as the outline of the harmonic structure of music compositions can depict fantasy realms. On this note, the fact that Liszt writes the Gretchen theme in E major informs us that he is depicting a fantasy figure. Rosenkranz and Brackett describes Gretchen in this way:

Gretchen is the crown jewel of all the womanly creation of Goethe. Iphigenia, Leonora, Dorothea, must all yield to her, however perfect they are in themselves, for they fail in

her depth and simplicity. Margret, this lovely child, this soul so full of faith, this shy maiden, longing for love, this sweet, enthusiastic, laughing rose-bud, whose peace is fled, whose heart is heavy after she has seen him, who has after that but one thought-to catch a glimpse of whom she gazes out of the window, who only to be near him goes out of the house, this Margareta is the genuine German maiden in all her peculiarities.⁴⁶

The fact that Liszt brings back this Gretchen theme for a third time in the recapitulation in the key of C major reflects his own lingering sentiments about this fantasy. As C is the overall key of this entire movement, the transition of the Gretchen theme from the fantasy realm of E to the home key C conveys a sense that Liszt is hoping to bring Gretchen, the ideal feminine figure, to reality. Or, this gesture might reflect the yearning or expectation that Gretchen and Faust might be united. Rosenkranz and Brackett continue to describe the relations between Faust and Gretchen:

If Faust is to represent man in general, woman must come to him that he may be complete.... No man is fully man except in his relation to woman, for whatever is beautiful in him so first becomes revealed.⁴⁷

I certainly agree that besides his association with Mephistopheles, Faust's character will also be judged by his relationship with Gretchen.

To complete his character portrayal of Faust, Liszt indeed brings back the Gretchen theme in the very end of this movement (Ex. 3.2), but this time the theme has transformed into its darkest form. The final representation this theme must imply the tragic fate of Gretchen; unlike Goethe's play, the reappearance of Gretchen in the end of this movement does not bring redemption to Faust. The b6-V-I motion from mm. 649-651 on the low strings ends this movement in C minor. By finally concluding this movement with a dark and depressed timbre, Liszt completes his character portrayal of Goethe's tragic figure-Faust.

⁴⁶ Rosenkranz and Brackett. "Faust and Margaret." 42.

⁴⁷ Ibid, 41.

Example 3.2: *Faust*, Coda, mm. 643-654

643

p

mf pesante

p *pp* *pizz.*

(Gretchen Theme) (b6 – V – I)

In contrast with the beginning (Ex.3.1), in the end of this Faust movement (mm 649-653), the note A \flat has a clear purpose. As the overall key of the movement is C minor, the motion of A \flat - G - C on the low strings expresses the b6-V-I progression.

CHAPTER 4

CONCLUSION

Concerning his music might be misunderstood by audiences, Berlioz wrote the following note on the orchestral score of *Romeo and Juliet*, before the second movement of the third part:

The public lacks imagination. Thus, pieces which appeal only to the imagination have no public. The following instrumental scene finds itself in this position and I urge that it always be omitted except when this symphony is performed before a selected audience to whom the fifth act of Shakespeare's tragedy in Garrick's version is fully familiar and whose poetic feeling is on a very high level. This will be the case once in a hundred times. Furthermore, it presents enormous difficulties to the conductor who wishes to perform it. (Breitkopf & Härtel score of *Romeo and Juliet*, page 165).⁴⁸

It is clear that when Berlioz composed this music, he had specific programmatic ideas in mind.

In the case of Liszt, his programmatic music was the servant of the poetic idea, thus large-scale harmonic and motivic planning were used to effect poetic ideas.

As Felix Weingartner notes, the conductor is “not only the external factor that holds together an orchestral, choral and operatic performance, but above all the spiritualizing internal factor that gives the music its very soul.”⁴⁹ Weingartner describes the conductor as someone who, “possesses a great degree of suggestive power over the performers.”⁵⁰ However, as Weingartner continues, “a bad interpretation can not only completely deceive the uninstructed audience and but also prevent the instructed from listening with full sympathy.”⁵¹ Although music is an art of sound, if we merely rely on our instincts and intuition to interpret a piece, especially programmatic music like Liszt's, we can only go so far. In order to fully understand and appreciate music of this kind and to convey the meaning reflected by the notes on the page, I

⁴⁸ Felix, Weingartner, Ernest Newman, Jessie Crosland, and Howard Schott. *Weingartner on Music & Conducting: Three Essays*. (New York: Dover Publications, 1969), p. 290.

⁴⁹ Felix, Weingartner, and Ernest Newman. *On Conducting*. (New York: Kalmus, 1900), p.1.

⁵⁰ *Ibid*, 56.

⁵¹ *Ibid*, 8.

feel I must put in effort to analyze the music and also study the historical and cultural context in which a particular piece was conceived. In this closing chapter, I will discuss how this study has influenced my view and understanding of this composition.

Liszt composed this Faust movement in 1854, and the symphony premiered in 1857. Compared with other compositions of its time, such as Schumann’s Third Symphony in 1856, or Brahms’ Serenade no.1 op.11 in 1857, Liszt’s opening melody in this movement may not be the most appealing, to the degree that when Felix Weingartner conducted this symphony, he cut the entire repetition of this slow introduction from the development section. Weingartner goes further to declare this melody deserves condensing.⁵² The example of Weingartner shows how much the poetic idea matters when interpreting Liszt’s music. As I come to the end of this study, I now believe the beauty of this music is deeply intertwined with the poetic idea, and the opening slow introduction is in fact extremely important to this movement. Example 4.1 is the full display of the opening slow introduction from mm.1-22, in which Liszt not only portrays the characteristics of Faust, he also presents his overall tonal plan for the entire Faust movement.

Example 4.1: *Faust*, Introduction, mm. 1-22

The image shows a musical score for the introduction of Liszt's Faust, measures 1-22. The score is in 3/4 time and features piano (p) and con sord. markings. A red box highlights the first display of the chord C-E-A \flat (G#). Below the score, there are two annotations: "Descending from A \flat - E" with a red arrow pointing to the first measure, and "First display of C - E - A \flat (G#)" with a red arrow pointing to the first measure of the red box.

⁵² “the repetition of the whole introduction in middle of the piece appear to justify the desire for sensible cuts and condensations.” See Weingartner, 1969, p, 294.

Chromatic descending with emphasis on C - A^b - E

Descending from E - C

Second display
of C - E - A^b

Chromatic descending with emphasis on E - C - A^b

The complete disregard of this slow introduction by a conductor with a stature such as Felix Weingartner reflects a long-held misunderstanding.⁵³ In fact, this entire passage is the very

⁵³ See footnote no. 51.

essence of Liszt's character portrayal of Faust. Not only does it depict both the mental and physical state of Faust figuratively, it also displays the tonal plan of this entire movement, as the relationship between C-E-A \flat is repeatedly emphasized throughout this slow introduction.

In the second part of this introduction, Faust's wandering and searching continues, only this time it is with much urgency. See Example 4.2.

Example 4.2: *Faust*, Introduction, mm. 23-31

23

Allegro impetuoso.

27

Hb. Clar. *ff* Hr. gestopft. Str.

Fag.

Example 4.3: *Faust*, Introduction, mm. 56-63

59

ff

ff

Harmonically, the entire second part of the introduction from mm. 23-63 hints at the key of C or A. As we can see from mm. 23-28 in Example 4.2, the chord progression ends on a G \sharp fully diminished 7th chord at m. 28, suggesting the key of A minor. However, this chord does not

make a resolution to A at m. 28; in this case, harmonically, no commitment is made. The strongest suggestion towards the key of C is at the end of this introduction section from mm. 61-63 (Ex. 4.3) when the repeated F# fully diminished 7th chord anticipates the dominant of C. Still, this fully diminished 7th chord does not make any resolution beyond this point. By punctuating the end of his introduction with these unresolved chords, constantly suggesting a harmonic direction and yet not making any real resolution, Liszt again reflects Faust's uncommitted nature.

Music as an art form has often been called the universal language, and as a language the beauty of music often lies within the fact that there are no words; in this sense, anyone from anywhere can interpret and be influenced by the sound of music. Nonetheless, music as a musical language cannot exist without syntax, which is essential to make any language organized and well-articulated thus better reflecting the meaning of the written notes. Harmonic structure is an important way to define a musical phrase and larger form, and cadences represent musical punctuation. However, one of the distinctive traits of this Faust movement is its lack of traditional cadences. Thus, accusations of "formlessness" and "lack of coherence" have often been made against this work.⁵⁴ When I discovered that b6 takes on an expressive function equal to the traditional tonal function of motion by fifth, I realized the formal structure of this movement is rather clear.

Equipped with the literary and analytical knowledge of this piece that I gained from this study, I would like to suggest two places in the score that I found to be deserving of extra attention m. 111 and mm. 143-146. Regarding performance, in m.111 (Ex. 4.4), the eighth rest may be sustained slightly longer, in my opinion, to achieve the following two musical effects:

⁵⁴ Longyear, Covington, 1986, p.153.

- 1) As this sudden harmonic maneuver is quite unexpected, holding the tempo back in this measure emphasizes the dramatic transition from the Ger.+6th chord to the I⁶₄ chord in Eb.
- 2) The melodic figure marked “*espress. ed appassion. Molto*,” which begins on the oboe and clarinet at m. 111, presents a significant contrast to previous musical passages, and this elongated melody tends to fall into to a slow pace naturally, even without being consciously controlled. Therefore, holding the tempo back slightly in m. 111 also achieves a natural transition from the previous fast-moving section to the succeeding calmer and slower section.

Example 4.4: Faust, Exposition, mm. 109-114

109

The image shows a page of a musical score for the opera Faust, specifically the Exposition section, measures 109 to 114. The page number 109 is in the top left corner. A vertical red line is drawn through measure 111. Above the line, a 'G' indicates the key signature. Below the line, a 'G' indicates the time signature. The score includes staves for strings, woodwinds, and piano. Performance markings include 'espress. ed appassion. molto', 'ten.', 'dim.', and 'p'.

As discussed in Chapter 2, even though m. 111 seems to reflect a significant transition between two sections, both in melodic structure and in harmonic structure, thematic area 1 actually ends at m. 146. During mm. 111-146, primary theme 1 still can be heard. Although it is fragmented, this figure nonetheless connects this section with theme 1, making it a suffix for the entire thematic area 1. More importantly, the appearance of a C minor I^6_4 chord at m. 146 makes a convincing case for the conclusion of this thematic area. Since theme 1 begins in C minor at m. 71, this appearance of the C minor chord at m. 146, at the last moment, gives this section a rather satisfying and coherent ending. In this case, no matter how much the theme 1 section has drifted harmonically or melodically, the key of C minor both in the beginning and the end makes this entire thematic area a unified whole. See Example 4.5.

Example 4.5: *Faust*, Exposition, end of thematic area 1, mm. 140-146

In the above excerpt, the “*poco a poco rallent.*” marked on m. 143 should be followed carefully, as from this point, the music should not be slowed down too much too soon. Not only is “C” the last note on both the oboe and clarinet, the final note completing the C minor chord in

this measure, this is also the last note that completes the entire thematic area 1. Therefore, it should be held longer to signify the end of this entire section. If the music slows down too much from an earlier point, such as from m. 143, the dramatic effect will be exhausted when the note C in m. 146 finally appears.

There is another reason that may also provide justification for this interpretation. See the bass line at the very end of thematic area 1 in Example 4.6.

Example 4.6: *Faust*, end of exposition and beginning of transition, mm. 140-148

140

Hob.
Klar.
Fag.
poco a poco rallent.
p
dim.
poco a poco rallent.
F. L. 14.

147

I Meno mosso, misterioso e molto tranquillo.

Hob. a 2
Klar. a 2
Fag.
1. Viol. divisi
2. Viol. divisi
Bratschen divisi
Velle. u. Kb.
p dolciss.
p dolce
con sord.
un poco marc.
pizz.
mf marc.
pizz.
mf marc.
pizz.
mf marc.
pizz.
mf marc.

In Example 4.6, m. 147 is the beginning of the transition section. From mm. 144-147 the bass line descends chromatically from A \sharp - G \sharp - G \flat - F \sharp . According to this bass line, the new section arrives without any significant changes harmonically. Therefore, if we do not carefully treat the “*poco a poco rallent*” in the last few measures of the previous section (mm. 143-146), it is very likely that the formal structure will be undermined at this point. Thus, accusations of “lack of coherence” and “formlessness” may arise.

The ending of this movement may be the most dramatic and striking overall. The return of the Gretchen theme in a completely devastating and distressed form puts a finishing touch on Faust’s tragic fate (Ex. 4.7). Although Liszt’s creative achievements have yet to be fully appreciated until today, as a central figure in the Romantic era, his influences on other late Romantic composers cannot be dismissed. It has often been said that music should be heard and understood as itself, but I feel that when listening to Liszt’s programmatic music, such as the *Faust Symphony*, an understanding of the poetic idea is essential.

Example 4.7: *Faust*, Coda (ending), mm. 645-654

645

mf pesante

dim. p pp

Cello, Contrabass.

Cello u. Contrab. pizz. Pouke.

Gretchen theme

As a result of this study, I have begun to feel that the neglectful treatment of Liszt’s *Faust Symphony* is unjustified. If conductors and audiences do not study Goethe’s tragic character in depth, it will be difficult for them to understand Liszt’s musical portrayal of this character and

his experiences. I believe once Faust as the subject of Liszt's poetic idea is understood, his masterful musical portrayal of this character will be thoroughly admired.

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