"SCHATTENHAFT" IN MAHLER'S SEVENTH AND NINTH SYMPHONIES: AN EXAMINATION OF A PASSAGE IN ADORNO'S *MAHLER: A MUSICAL PHYSIOGNOMY*

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The expressive marking "schattenhaft" appears twice in Gustav Mahler's symphonies: at the beginning of the scherzo in the Seventh and within the first movement of the Ninth. Theodor Adorno's observations regarding Mahler's use of this marking, which connect it to Schopenhauer and Romantic aesthetics, provide the framework for an examination of possible meanings of these two passages in Mahler. Drawing also on references elsewhere in Adorno's book to stylistic and formal features peculiar to Mahler's music, and especially on the comparison he makes between the experiences of reading novels and listening to Mahler's symphonies, this thesis demonstrates that close analysis of the "schattenhaft" passages offers a valuable point of entry into the thinking of both Adorno and Mahler.

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CHAPTER 1

INTRODUCTION

Throughout the book *Mahler: A Musical Physiognomy* Theodor Adorno offers much insight into the composer's music. Adorno's ideas have since been used in many studies of Mahler's music. Terms such as "breakthrough," "collapse," and "suspension" that he used to designate compositional techniques peculiar to Mahler's symphonies appear with increasing frequency in current scholarly writing on the composer. Adorno's book, however, also contains a wealth of ideas that are yet to be explored. In one passing comment, he brings up the expressive marking "schattenhaft" and briefly discusses its place both in Mahler's music and in contexts of Romantic aesthetics and philosophy. I focus on this passage in my thesis.

The passage under examination falls within the chapter entitled "Novel." Adorno observes the following:

> In the same way the concrete act of reading a novel exists in a dimension different from the distinct perception of events. The ear is carried along on the flow of the music as is the eye of the reader from page to page; the mute sound of the words converges with the musical mystery. But the mystery is not solved: to describe the world to which epic music alludes is denied to it: the music is as clear as it is cryptic. It can make the ontological categories of objective reality its own only insofar as it screens itself from objective immediacy; it would remove itself from the world if it tried to symbolize or even depict it. Schopenhauer and Romantic aesthetics discovered this when they reflected on the shadowy and dreamlike quality of music. But music does not so much paint shadowy and dreamlike states of the soul as, in terms of logic and appearance, it is itself related to the soul of dream and shadow. It takes on being as a reality sui generis, through derealization. This shadowy medium, that of all music, becomes thematic to an extent in Mahler. Twice he uses the word *schattenhaft* (shadowy) as an expression mark, in the Scherzo of the Seventh Symphony and in the first movement of the Ninth. The metaphor from the optical realm indicates externality as a complement to music's inner space.[1]

[1] Theodor Adorno, *Mahler: A Musical Physiognomy,* trans. Edmund Jephcott (Chicago: University of Chicago Press, 1992), 70.

In this aside about the *schattenhaft* sections, Adorno notes that twice in his symphonies Mahler uses the word "schattenhaft" as an expressive marking. "Schattenhaft," which is simply translated as "shadow-like" or "shadowy," appears in the scherzo movement of the Seventh Symphony and in the first movement of the Ninth Symphony. The two sections designated this way function very differently from each other; however, "schattenhaft" suits both. When Adorno makes this remark in his discussion of novel-like qualities in Mahler's symphonies, he also comments on connections to Romantic ideas captured in the marking.

In previous scholarly research on the topic of Adorno and Mahler, this particular section of Adorno's book has not been addressed. Most likely because it does not encompass one of the major stylistic or formal features of Mahler's music, such as "collapse," that can be found in a number of Mahler's symphonies, this section's relatively brief reference to "schattenhaft" and philosophy has been overlooked. Furthermore, most of the writing and analyses of the Seventh and Ninth symphonies avoid discussing at length the significance of the expressive marking. In general, the marking is only briefly cited and the music merely described as "shadowy" or "ghost-like" in those sections. Literature on the Seventh Symphony is fairly limited, and in the discussions that do exist, passages about the scherzo are particularly dwarfed by the expansive space devoted to the surrounding *Nachtmusik* movements. In the case of the Ninth Symphony, despite the sizable literature on the first movement, the "schattenhaft" section has been only vaguely described. No one seems to have considered the two sections together through the prism of Adorno's ideas. In examining these musical selections in the context of Adorno's ideas, I hope to add to the knowledge of these rich passages in Mahler's music. It is for this reason that I explore further this excerpt from Adorno's book.

In this thesis, I examine these two different sections of Mahler's music to see how the expression marking functions in each. I also apply some of Adorno's ideas, such as those that connect Mahler's symphonies to the novel, to these sections to show how these ideas fit into his philosophy. I furthermore examine the connection that he makes between the markings and Romantic aesthetics, focusing especially on the philosopher Arthur Schopenhauer and the composer Richard Wagner, and show how these connections deepen our understanding of Mahler's music. In carrying on this analysis, I wish to suggest also how Adorno's remarks about the "schattenhaft" sections point toward a number of different notions within his personal philosophy of music. His interpretation of the music allows for greater insight into philosophical aspects of Mahler's composition, as will become apparent in my examination of the "schattenhaft" markings.

In chapter 1, I examine the ideas to which Adorno refers and their connection to his personal philosophical views, necessarily limiting the scope of my investigation due to the size of my paper. I aim simply to give the reader a foundation for some ideas that I discuss later. The focus is on writings of both Schopenhauer and Wagner, since these are the most pertinent to my discussion. Schopenhauer's use of the word *Schatten* and Wagner's subsequent discussion of Schopenhauer's thoughts in comments about "dream-like" things will form the core of this section. I also examine briefly possible personal meaning of both writers to Mahler. This chapter concludes with a short discussion of these influences on Adorno's own writing.

The remaining chapters apply at length the philosophical ideas discussed earlier to the "schattenhaft" sections that Adorno mentioned. In the scherzo of the Seventh Symphony, which will be the topic of my second chapter, I analyze what makes this scherzo distinctive in Mahler's oeuvre and how "schattenhaft" sums up its special qualities. The scherzo is indeed more than

just a ghostly or shadowy movement, as others have suggested. The dialectical relationship it establishes with scherzo conventions convert it into a shady commentary on the genre, further removing it from direct mimesis, and projecting it as truer to Schopenhauer's and Adorno's conceptions of the nature and aims of music. Here I discuss some of Adorno's ideas about scherzo movements, as well as how these relate to the philosophical ideas that he brings up concerning the shadow. In the third chapter, I examine the Ninth Symphony's section that carries the "schattenhaft" marking by discussing its location and effects over the whole movement. My use of Adorno's ideas regarding both the novel and the shadow as character reveals how the "schattenhaft" section functions as shadow-like material, and becomes a character within the Mahlerian "novel/symphony" that adumbrates other themes/characters in its evolution.

An extended application of Adorno's ideas about the music forms the core of these final chapters. Each chosen musical passage is explored in depth adopting Adorno's comments as conceptual framework. Among the most important Adornian concepts, I use the notions of "breakthrough," "collapse," and "suspension," which have become common currency in writing about Mahler's music. A cursory explanation of their meaning will help the reader understand my use of them later.

"Breakthrough," a term that Adorno borrowed from Paul Bekker, occurs when the structural form of the movement is breached by new musical material.[2] This new music comes from outside of the formal process and changes the course of the movement. In doing so it makes musical art more "real" by disrupting the world of the symphony and revealing its

[2] John J. Scheinbaum, "Adorno's Mahler and the Timbral Outsider," *Journal of the Royal Music Association* 131, no.1 (2006): 47. Scheinbaum discusses both "breakthrough" and "suspension" at length and in doing so provides an effective explanation of Adorno's ideas.

permeability. Adorno gives part of the first movement of the First Symphony as an example.[3] A "suspension" is likewise a disruption of the formal progress of a movement, but instead of coming about through entirely new musical material, it derives its materials from music already established in the movement. Furthermore, the significance of "suspension," in contrast to that of "breakthrough," lies in its ability to stop the motion of the movement. By stopping the motion, the suspension calls attention to the form by functioning as a call for "self-reflection."[4] A good example of suspension can be seen in the posthorn episodes in the scherzo of the Third Symphony.[5] Lastly, "collapse" is Adorno's term for describing musical moments that defy expectations of fulfillment in the form and collapse into themselves.[6] Instead of being a traditional transitional or concluding section, a "collapse" means that the music crumbles, usually from a climactic point in the music, creating a fissure in the form. The collapse is one of the most common techniques used by Mahler; a number of examples are easily found, including the first movement of the Ninth.[7] Although these features of Mahler's compositional technique that Adorno highlights are not the point of this essay, they will nevertheless prove useful for revealing how "schattenhaft" is used in both symphonies.

Through this discussion and examination of the music I show that not only are Adorno's ideas about these sections indeed valid but also they provide useful insight into Mahler as a "philosophical composer." Adorno's own aesthetic is a partial continuation of the Romantic authors that he cites. By using this seemingly random example of the expressive marking

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[3] The example is located at 9 measures after rehearsal 25 in the first movement.
[4] Adorno, *Mahler: A Musical Physiognomy,* 43.
[5] Scheinbaum, "Adorno's Mahler and the Timbral Outsider," 61.
[6] Adorno, *Mahler: A Musical Physiognomy,* 45. Adorno notes that he borrows this term from Erwin Ratz.
[7] Ibid. Measure 198 is just one of the examples of collapse in this movement.

"schattenhaft" in Mahler's symphonies, this musicologist further asserts and develops her own personal conceptions of music.

CHAPTER 2

MAHLER AS "PHILOSOPHICAL COMPOSER"

"One of the clichés with which Mahler was described during his lifetime runs: Mahler writes 'philosophical music,'" according to Hans Redlich.[1] Mahler's proclivity to compose this "philosophical" or "metaphysical" music stems from a wide range of influences. Familiar with an array of philosophical writings and acquainted with a number of intellectually sophisticated individuals, Mahler developed his own musical style while at the same time absorbing their influence. Observing the impact of these influences on Mahler can be fruitful for understanding his music.

A brief introduction to Mahler's association with philosophy will be helpful in evaluating the passage on "schattenhaft" from Adorno's book about the composer. It is impossible to capture even the dictionary meaning of the root word, "shadow," in a single definition. The possibilities include the following: the area that light does not shine on when it is blocked by an object, a feeling of gloominess or unhappiness, a ghost, a foreshadowing, a reflection, or a shaded area—to name only a few that are listed in the dictionary. Even in the limited context of a dictionary, the word "shadow" obviously conveys many meanings and contexts.

Not only does the word shadow have several dictionary-type definitions, but it also has multiple meanings in discussions of philosophical thought. The shadow can be the unreality or a picture of something that cannot adequately represent the real thing. For example, a general depiction of an object, person or place is possible in, say, a painting; however, we are not given

[1] Hans Redlich, *Gustav Mahler, eine Erkenntnis* (Nuremburg, 1919), 25, quoted in William McGrath, *Dionysian Art and Populist Politics in Austria* (New Haven: Yale University Press, 1974), 120. I use McGrath's translation.

the whole, "real" view of the object in the artwork, but rather a shaded, mediated representation of the work. This resembles the way a shadow appears when someone stands in the light; the place where the light does not hit the ground or wall gives an idea of what the person looks like, but this can be distorted, depending on the placement of both the person being viewed and other(s) viewing the person. The shadow can not show all of the details, only a less specific projection, and in a concrete medium such as painting, this perspective is usually static, not presented within the continuum of time. These basic nuances of the word "shadow" are important in the philosophical sources for Adorno's discussion.

In the passage in question—cited above, p. 1-2—, Adorno develops his conception of Mahler's symphonies as novel-like by bringing together several key elements: musical aesthetics, other kinds of philosophical references, and examples in Mahler's oeuvre that illustrate his fundamental point. This passage connects the experience of listening to music to the experience of reading a novel. Attempts to describe the effect of music are common to all discourse on musical aesthetics; carefully constructed music can have powerful effects on susceptible listeners. By equating the process of reading and internalizing a novel to listening to a symphony by Mahler, Adorno distinguishes both of these forms of human experience from more mundane, direct kinds of experience. In this passage he draws on ideas stemming from Romantic philosophy to convey his perception of music as shadow-like.

Adorno directly refers to Schopenhauer and "Romantic aesthetics," both of which I discuss at several points in this thesis, and he incorporates selected notions from these two sources into his own philosophy about music. Furthermore, the idea of music "being as a reality sui generis" comes out of Schopenhauer's writings.[2] Adorno also makes direct reference to

[2] Adorno, *Mahler: A Musical Physiognomy,* 70.

Wagner's interpretations of Schopenhauer when he cites the dream-like quality of music. Although he often draws on the ideas of others, Adorno synthesizes them into his own discourse on Mahler's music.

Adorno specifically addresses what we may call the abstraction of a shadow, or that which is shadow-like, by stating, "Music does not so much paint shadowy and dreamlike states of the soul as, in terms of logic and appearance, it is itself related to the soul of dream and shadow."[3] Music, he writes, does not resemble a painting or other types of direct or mimetic representation but rather consists of "essence," inner reality itself. This concept is furthermore related to Schopenhauer through the statement that music is the "essence" of a shadow, rather than a picture of one. Adorno here presents the general shadow-like qualities of music before relating them more specifically through the examples of the "schattenhaft" expression marking.

Adorno then relates music of Mahler to the thematicization of the shadow. "This shadowy medium—he says—that of all music becomes thematic to an extent in Mahler."[4] In this sense, the shadow-like qualities are contained in the music. With regard to Mahler's music, and beyond Adorno's specific remarks, the term "schattenhaft" can be understood in several additional ways. The marking serves as an indication to musicians about the general mood of the passage or section. In another sense, "schattenhaft" encompasses much more than a guideline for interpreting isolated passages; that is, it can be applied to Mahler's music as a whole because of his use of this "shadowy medium" to portray the world.[5] Mahler, who was well versed in Schopenhauer's other aesthetic writings, probably was familiar with this attitude toward music, which surely had an impact on the way that he composed.

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[3] Ibid.
[4] Ibid.
[5] Ibid.

Adorno's reference demonstrates the importance of Schopenhauer as the conceptual framework of the passage. Although Schopenhauer wrote little about music, his ideas had a profound impact throughout the 19th Century and beyond. Goehr, for example, states the following:

> Almost the mere mention of his name has come to stand for an entire worldview about the status meaning, and value of classical music. […] Deservedly or not, he has become to musical aesthetics what Beethoven has become to classical music itself – a central reference point in a range of historically momentous debates. That Schopenhauer was largely responsible for providing the rationale behind the canonization of Beethoven only renders this comparison more fitting.[6]

In other words, Schopenhauer's status in musical history came about because of the reciprocal relationship between his ideas and a deeply ingrained view of what music is and means as an abstract, self-justified or "absolute" human practice.

What could Schopenhauer have said that made him so influential? First of all, Schopenhauer assigned to music alone an important position, separate from that of the other arts. In describing this separateness, he states, "in it [(music)] we do not perceive an imitation or a copy of some idea of the things that exist in the world" as in the other arts; rather, music alone "communicates the essence."[7] In other words, music does not copy something that exists in the world, expressing instead "essence," whereas the other arts all depend on mimetically "representing" the world. Stated yet another way, music differs from other arts in its greater

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[6] Lydia Goehr, "Schopenhauer and the Musicians: An Inquiry into the Sounds of Silence and the Limits of Philosophizing About Music," in *Schopenhauer, Philosophy, and the Arts*, ed. Dale Jacquette (Cambridge: Cambridge University Press, 1996), 200-201. Goehr relates that this canonization of Beethoven was mainly accomplished by Wagner using Schopenhauer's ideas.

[7] Arthur Schopenhauer, "from: The World as Will and Representation," In *German Essays on Music,* ed. Jost Hermand and Michael Gilbert, (New York: Continuum Publishing Co., 1994), 67.

immediacy and its dependence on the passing of time. The human subject experiences it in a manner not mediated by thought and sight but rather directly:

> Music, in other words, is just as *immediate* an objectification and image of the entire will as the world itself is […] Music is in no sense, like the other arts, the image of ideas, but the image of the *will itself*, which also takes objective shape in ideas; and for this very reason the effect of music is far more powerful and penetrates far more deeply than that of the other arts; for they communicate only shadows [*Schatten*], whereas it communicates the essence.[8]

The high status of music in Schopenhauer's aesthetics struck home with Romantic musicians and critics. His ideas were absorbed into the culture with relatively little criticism and became especially important for composers toward the end of the nineteenth century.[9]

Mahler was thus only one of many musicians familiar with Schopenhauer's work. Alma Mahler wrote positively about her late husband's affinity for Schopenhauer, by reporting that only he, together with Wagner, had something meaningful to say about music:

> Mahler often said that apart from Wagner's *Beethoven* the only writer who had said anything of value about the nature of music was Schopenhauer in *The World as Will and Representation* (1819). Berliner recalled him once having said that the relevant passage in Schopenhauer's work was the profoundest thing he had ever read on the nature of music.[10]

As further evidence of the value that Mahler placed on Schopenhauer's ideas, one can single out the fact that he gave a collection of the philosopher's complete works to Bruno

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[8] Schopenhauer, "from: The World as Will and Representation," in *German Essays on Music*, 65-67.

[9] Goehr writes that the silence or absence of criticism towards Schopenhauer's musical ideas signals a universal acceptance of his writing. Lydia Goehr, "Schopenhauer and the Musicians: An Inquiry into the Sounds of Silence and the Limits of Philosophizing About Music," 203, 210-215.

[10] Notes to letter from Mahler to Arnold Berliner, London, undated, 1892 in *Selected Letters of Gustav Mahler,* ed. Knud Martner, trans. Eithne Wilkins, Ernst Kaiser, and Bill Hopkins (New York: Faber and Faber Limited, 1979), 412.

Walter.[11] Mahler's familiarity with the philosopher's work is confirmed by his relatively frequent references to Schopenhauer in his letters.[12] Moreover, critics have often aligned Mahler's Third and Sixth Symphonies with ideas from Schopenhauer's writings.[13]

Indeed, Schopenhauer's philosophy seems to have provided a foundation for Mahler's ideas about music. In a conversation with Nathalie Bauer-Lechner, Mahler once made the famous remark on composing a symphony as "constructing a world with all the technical means at one's disposal."[14] In a similar line of thought, Schopenhauer gave a long analogy concerning the association between music and the phenomenal world. As objectification of the Will, music can be compared to a world, which he describes in many levels from the lowest foundations of the earth in the bass notes, to the inner music of the animals, to the upper melodic voice of humanity. This is one way to read the musical content of Mahler's symphonic worlds. However, as much as symphonies can express the "essence" of the world, they cannot fully show the world itself. Adorno states that music "can make the ontological categories of objective reality its own only insofar as it screens itself from objective immediacy; it would remove itself from the world

[11] Peter Franklin, *The Idea of Music: Schoenberg and Others* (London: The Macmillan Press, Ltd., 1985), 1.

[12] "Schopenhauer somewhere uses the image of two miners digging a shaft from opposite ends and then meeting underground." Mahler to Arthur Seidl, Hamburg, February 17, 1897 in *Selected Letters of Gustav Mahler,* 213.

[13] See Eric Hanson, **"**Gustav Mahler and the Will: Tracing the Motive through the Symphonies" (DMA diss., University of Washington, 1986) and William McGrath, *Dionysian Art and Populist Politics in Austria* (New Haven: Yale University Press, 1974). There have also been connections made to other symphonies, but these are usually less extensive. For an example see Peter Franklin, *The Idea of Music: Schoenberg and Others* (London: The Macmillan Press, Ltd., 1985). He mentions the Third, Sixth, Seventh and Eighth Symphonies.

[14] Natalie Bauer-Lechner, *Recollections of Gustav Mahler*, ed. Peter Franklin, trans. Dika Newlin (Cambridge: Cambridge University Press, 1980), 40.

if it tried to symbolize or even depict it."[15] As Schopenhauer would say, Mahler's music captures the "essence" of the world.

Another, more specific contact point between Mahler and Schopenhauer also is important for this thesis. The correlation between Schopenhauer's use of the word "Schatten" in his description of artwork and Adorno's discussion of the same word offers another perspective on the latter's notions about Mahler's "schattenhaft" sections.[16] However, Adorno's focus is not the "Schatten" or representation that the other arts are in Schopenhauer's philosophy, but rather the "shadowy and dream-like quality of music."[17] If viewed only within Schopenhauer's philosophy, the word "Schatten" would seem to be the opposite of music—a mimetic representation. The distinction between the "Schatten" to which Schopenhauer refers and the "shadow-like" that Adorno describes is hard to reconcile, but the connection becomes more evident when we take into account Wagner's ideas about music.

Adorno couples "Romantic aesthetics" with Schopenhauer when he describes the shadowy and dream-like aspects of music. His formulation is vague and capacious, capable of standing for any number of ideas and thoughts of the late eighteenth through the early twentieth centuries. Perhaps the category of "Romantic aesthetics" could include the ideas of Wagner that have similar references to dream. Adorno, however, most likely refers to the widespread appreciation and acceptance of Schopenhauer's ideas into Romantic musical thought.[18]

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[15] Ibid.

[16] In the German edition of his book, Adorno uses "schattenhaft" when he speaks of "shadowy" and "shadow-like," and "Schatten" when he uses the word "shadow." Theodor W. Adorno, *Mahler: Eine musikalische Physiognomik,* in *Die musikalischen Monographien,* ed. Rolf Tiedemann (Frankfurt am Main: Suhrkamp, 1971), 219.

[17] Adorno, *Mahler: A Musical Physiognomy,* 70.

[18] Again, Goehr references this acceptance of Schopenhauer's ideas by speaking of its silent reception. See Goehr, "Schopenhauer and the Musicians: An Inquiry into the Sounds of Silence and the Limits of Philosophizing About Music," 210.

Nonetheless, the connection to Wagner seems to be the unmentioned key to understanding the words "shadow" and "dream-like" in the passage from Adorno's book.

Wagner first read Schopenhauer in the early 1850s and remarked that the philosopher had described music in a way well suited to the art and that he was the "greatest philosopher since Kant."[19] This acceptance of Schopenhauer's philosophy is evident in Wagner's own writing. In the "The Artwork of the Future," an essay from 1849, the composer directly cites the philosopher's conception of music "as an idea of the world,"[20] taking it as a starting point. According to Wagner, "it was Schopenhauer who first defined the position of music among the fine arts with philosophic clearness." [21] He describes his own view of Schopenhauer's music aesthetics as he sets out to solve the problems that result from the inability of the philosopher, as a layman, to elaborate his ideas about music.[22] In developing Schopenhauer's aesthetics, Wagner expounds his own philosophy of music, which later—as in the passage on "schattenhaft" from Adorno's book—became absorbed into a worldview that also encompassed ideas of Schopenhauer and other Romantic thinkers.

Wagner discusses Schopenhauer's perspective on dream states, which allow an expression of the Will in the truest sense because we have relinquished conscious control. He compares music to a dream-like state in relation to the visible or waking world, considering both as the truest expression of the outer world to our inner self.[23] The importance of the Will in understanding art and the world around us is thus central to both Wagner and Schopenhauer.

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[19] Ibid, 212.

[20] Richard Wagner, "The Artwork of the Future," in *Wagner on Music and Drama,* ed. Albert Goldman and Evert Sprinchorn, trans. by H. Ashton Ellis (New York: E. P. Dutton & Co., 1964), 179.

[21] Ibid.

[22] Ibid.

[23] Ibid*,* 181-182.

The ability of music and dreams to speak directly to the Will is their most important attribute: both speak directly to the inner self. Even though the word "shadow" does not appear in these discussions, Wagner makes a distinction between the reality of the world of sight and the world of sound, paralleling the latter to a dream. In this sense music can be "shadowy": it exists in a realm that is not a tangible presentation of a moment as in a painting, but rather in a dream-like state that flows and changes through time, appealing directly to one's inner self. This seems to be a source for Adorno's "dream-like" description of music.

Adorno—like Mahler—could not escape the influence that Wagner's music had on subsequent generations. Although Adorno did not always admire Wagner as either a person or a composer, his music was as central for Adorno as for anyone else of his milieu. Adorno's book on the composer also contains many examples that show a relationship to Schopenhauer through Wagner's ideas: he frequently mentions Schopenhauer's influence on Wagner and notes how Wagner incorporates Schopenhauer's thinking into his own music and philosophy.[24]

Through a combination of the words "shadow" and "dream-like," Adorno brings a twentieth-century perspective to bear on Romantic ideas about music. In examining the expression marking "schattenhaft" in Mahler's music, it is important to keep all of these philosophical and musical influences in mind.

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[24] Theodor Adorno, *In Search of Wagner,* trans. Rodney Livingstone (Great Britain: NLB, 1981). See pages 35, 106-107, and the last chapter "Chimera." In the final example, Adorno expresses similarities between Wagner and Schopenhauer and also how he deviates (but not very far) from some of Schopenhauer's ideas by developing them into his own.

CHAPTER 3

"SCHATTENHAFT" IN THE SEVENTH SYMPHONY

In the Seventh Symphony the expressive marking "schattenhaft" appears at the very beginning of the scherzo and because of this location, has a bearing on the expression of the entire movement. The importance of this marking for the whole movement should not be taken lightly; it is therefore imperative to try to understand the implications. "Schattenhaft" can denote what it does at face value: "shadowy," a description of the aural characteristics of the movement, a suggestion that the scherzo sounds "shadow-like." However, if one takes into account the movement's context, the implications of "schattenhaft" take on deeper meaning. In this chapter, I show not only how this expression marking serves as a descriptor for the movement's special qualities but also the role that it plays in the Seventh Symphony as a whole. In doing this, I demonstrate that "schattenhaft" in the scherzo can best be understood when using Adorno's observations as a frame of reference.

Discussions of the Seventh Symphony are relatively few as compared to writing on Mahler's other symphonies.[1] In fact, this symphony is considered the least popular in Mahler's symphonic oeuvre.[2] This does not mean the Seventh Symphony is not an important work, but simply that there is not as much literature on it as on the other symphonies. There are, however,

[1] Henry-Louis de la Grange, *Vienna: Triumph and Disillusion (1904-1907),* vol. 3 of *Gustav Mahler* (New York: Oxford University Press, 1999), 853.

[2] Ibid, 848. This is an idea openly expressed by Deryck Cook that seems to have made an impression on many following reviews of the symphony. Deryck Cook, *Gustav Mahler: An Introduction to His* Music (Cambridge: Cambridge University Press, 1980), 88. Zychowicz and others have advocated for a more positive examination of the Seventh. See James Zychowicz, "Mahler's Seventh Symphony Revisited," *Naturlaut: The Quarterly Newsletter of the Chicago Mahlerites* 3, no. 3 (2004): 2-6.

several examinations and analyses of the symphony, including those by Floros and La Grange, as well as interesting studies of the symphony's genesis.[3]

The examination of the two *Nachtmusik* movements, which indeed are focal points of the symphony, dominates the scholarly writing on the Seventh. Insightful treatments of Mahler's musical style and related, extra-musical elements such as Eichendorff's poetry appear in these studies. Often the scherzo is grouped with the two *Nachtmusik* movements; it is also treated in the surveys and overviews of the entire Seventh Symphony. However, the literature specifically devoted to the scherzo is scarce.[4] Overviews of the symphony usually mention the scherzo as "shadowy" and give brief descriptions of it as ghostly or spectral. Talia Pecker Berio's "Perspectives of a Scherzo" seems to be the only in-depth treatment of this movement.[5]

Adorno and Berio

Before venturing into Berio's discussion, a brief overview of Adorno's idea about scherzos is in order: her article uses ideas that derive from Adorno's writing, even when she does not specifically identify this as the source of her comments. According to Adorno, the scherzo is a movement that is especially inclined to represent the world's course or *"Weltlauf"* within the larger "world" of the symphony. [6] He states that the "aimlessly circling, irresistible movements,

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[3] See La Grange for a detailed list of analyses and for the symphony's genesis see Stephen Hefling, "'Ihm in die Lieder zu blicken': Mahler's Seventh Symphony Sketchbook," in *Mahler Studies*, ed. Stephen Hefling, (Cambridge: Cambridge University Press, 1997), 169-217.

[4] Sources are particularly hard to find on the topic of exactly what the scherzo's role is in the context of the *Nachtmusik* movements. This writer thinks that this is a potentially fruitful topic for future examinations of the scherzo but due to the focus of this paper I can only address it briefly.

[5] Talia Pecker Berio, "Perspectives of a Scherzo," in *The Seventh Symphony of Gustav Mahler: A Symposium,* ed. James L. Zychowicz (Cincinnati: University of Cincinnati Press, 1990), 74-88.

[6] Adorno, *Mahler: A Musical Physiognomy,* 6.

the perpetual motion of his music, are always images of the world's course."[7] Sometimes they also are parodies or commentaries on the condition of the world.[8] For example, the "worldly bustle" so well established by the "vigorous subject" in the scherzo of the Second Symphony is exaggerated there and in other movements as well.[9] Within a single section of his book, Adorno comments on almost all of Mahler's scherzos, noting important characteristics in each one.[10] Berio mentions that Adorno's positioning of the discussion of scherzos in his text—early in the first chapter—suggests the great significance of these movements in Mahler's music.

Adorno's ideas of perpetual motion and embodiment of the world in Mahler's scherzos are also basic to Berio's discussion. In her article, Berio first addresses Mahler as a Jew and connection with the composer's inclination towards converting the scherzos of his symphonies into dialectic commentaries of other music. [11] She then examines the different formal sections of the scherzo of the Seventh Symphony. Berio describes the "schattenhaft" marking of the piece in a few different ways throughout the article. In a discussion of the scherzos of Mahler's first six symphonies, she notes that the status of this movement as one that seems to be a shadow, as well as mentioning that "the variety of articulations and the mobile fragmentary instrumentation contribute to the kaleidoscopic effect of the piece justifying metaphors such as 'deforming mirrors' or 'hallucination,' suggested by many commentators."[12] These latter descriptions are evocative of musical attributes that convey the quality "schattenhaft." She elaborates on the first comment by stating that the scherzo may indeed be the "shadow of a scherzo" because it is a

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[7] Ibid.

[8] For example, the scherzo in Symphony No. 2 or the contrast between humanity and nature in the scherzo of the Third Symphony.

[9] Ibid.

[10] Ibid, 6-10.

[11] Berio, "Perspectives of a Scherzo," 75.

[12] Ibid, 76.

"commentary on the idea of a scherzo."[13] This observation acutely brings up one of the functions of the expressive marking, and also parallels Adorno's thoughts about the function of a symphonic scherzo. I shall elaborate on Berio's and Adorno's ideas later in this chapter; before further proceeding, however, a look at "schattenhaft" in the music is at hand.

"Schattenhaft" and the Seventh Symphony

As mentioned earlier, the "schattenhaft" marking in the Seventh Symphony appears at the very beginning of the movement. The positioning of this marking accords it two interpretations: it may refer to the first section of the piece—the introduction, m. 1-12—or it may apply to the whole movement, turning the whole into a "shadowy" scherzo. Indeed, the latter interpretation underlies most previous writing on the piece. In many publications and recordings, this movement is distinguished as the "schattenhaft" movement, just as *Nachtmusik* serves as a description for the second and fourth movements of the same symphony.

Although the second interpretation is the more popular of the two, both are relevant to the scherzo. While the first twelve measures are distinctly "shadowy," the structure of the movement—which roughly follows a traditional ABABA pattern— allows this shadowy beginning to be recapitulated several times in its course. Since this musical idea is repeated, it greatly contributes in according the movement its characteristic expression. The overall effect is consequently "shadowy," suggesting why people use words such as ghostly and spectral to describe it.

Many musical characteristics of this scherzo contribute to the shadow-like nature of its world, including Mahler's choices of orchestration, rhythm, and nontraditional techniques of various types. Resulting qualities such as unclearness and instability suggest a shadow that

[13] Ibid.

comes and goes, appears and disappears, its boundaries unclear. Alternatively, they may convey the distortion produced by shadows at the time of day when the sun makes them longer. These odd features function within this scherzo's world as characteristics that make it unreal: a "shadow" of itself, as if it were.

The shadowy effects in this scherzo parody the normalcy of a regular scherzo and make it into a darker world that is full of surprises. Some musical elements, such as the exaggerated features that Mahler has peppered throughout, particularly help to create this shadowy feeling. These exaggerations seem to parallel the disproportion of a shadow. As if the beginning were not unsettling enough, the startling effect of the clarinets in measure 26 surely disturbs almost any listener. The clarinets have a D-sharp to E motion but instead of moving stepwise upward, the performers have a written-out glissando/bend that instructs them to take a continuous dive to three octaves below their starting pitch. A similar effect is heard later in the violin parts in measures 68-71. The first violins have upward octave glissandos while the second violins play even longer notes (half notes instead of eighth notes) in a downward glissando of over an octave. Then the first and second violins join together at measure 71 to make a downward leap of over two octaves.

Other effects that support reading this as a slightly dysfunctional or shadowy world include the use of the contrabassoon to reach to extreme lower registers while staying within the woodwind timbral palette (m. 158), deliberate quickening and slackening of pace (as between rehearsal numbers 137 and 140); and the use of startling effects such as the snap pizzicato (m. 401, note also the dynamic marking of *fffff*), and obscuring of the beat as in the beginning but using more melodic figures (m. 257 between the bass clarinet and bassoon). All of these traits create a bizarre movement that does not bring up the bustle of a happy, seemingly perfect world,

but rather produce a shadow of it, a world in which things are not completely normal. They convey the "essence" of the world that both Adorno and Schopenhauer write about: through the shadowy and dreamlike qualities of music, this scherzo brings to life the world rather than providing a simulacrum of the world.

The Scherzos in the Seventh and the Second Symphonies

As I mentioned earlier, Berio writes that this scherzo might in fact be a "shadow of a scherzo." In describing this possibility, she notes that the scherzo's triple meter is like a "thin, swinging, wire-skeleton, acting as an unmistakable frame of reference, without which the whole construction would collapse."[14] The movement, or motion, of the meter is something that binds the scherzo together, even though it seems at times that it is too erratic to do so. This perpetual motion is important to the scherzo's portrayal of the world's course. Her description of the scherzo as a shadow provides a key to how the scherzo functions as a whole.

In order to understand the scherzo of the Seventh Symphony as a "shadow of a scherzo," it is helpful to offer another scherzo for comparison. Of all Mahler's scherzo movements, only one seems to parallel the movement of the Seventh, that of the Second Symphony, which is similar in structure and other respects. I do not intend to imply that the Second Symphony's scherzo is the origin of the shadow in the Seventh, or even that it is a perfect example of a scherzo. Rather, the scherzo of the Second provides a useful point of departure for understanding the scherzo of the Seventh as a shadow because with its characteristic flowing accompaniment it is a good example of the "worldly bustle" that Adorno describes. Examining the first parts, in particular, of both scherzos is a revealing exercise. While the scherzos are in some ways similar, they are distinctly different in that the Seventh's scherzo is more unstable,

[14] Ibid.

more "shadowy" than that of the Second Symphony. The scherzo of the Seventh may in this regard be understood as a "shadow of a scherzo." Special musical elements in the movement support Adorno's observations about the shadow being thematicized in the Seventh Symphony.

The beginnings of the two scherzos are remarkably similar. Both start with timpani, then progress into a more stable accompaniment, and after about twelve or so bars move into sections containing quickly moving strands of thematic material. Yet in the Seventh, the beginning is far from assertive or stable. The timpani are the first instruments heard, playing on the third beat anacrusis that leads to the downbeat of measure one, a pizzicato quarter note played by the cellos and basses. The pitches are A to B-flat or V-VI in D minor, not a traditional V-I motion. Direct confirmation of D minor is therefore skirted for a while until the low strings make a chromatic ascent towards D in measures 9-12. However, the line does not land on the D; instead, the timpani supply the tonic at measure 13 in the first V-I motion: this is where the movement gains its initial stability.

The stability of pulse is can also be described as shadowy in the first part of the movement. The timpani have directions written into the score to pay attention to alteration of the accented and unaccented notes. From the beginning the timpani have accented quarter notes on beat 3, thus oddly placed on the upbeat instead of the downbeat. In measures 6 and 8, the timpani have no accents. When the accompaniment figure starts to stabilize, the figure is soon thrown off again at measure 13, where the downbeats instead of the upbeats are accented. The unstable beginning sounds almost as if the music attempts to get the perpetual motion of the world going yet is not able to do so.

In Mahler's Second Symphony the scherzo starts similarly. However, in this case the timpani have two entrances at the very beginning that sound slightly off, which is emphasized by

the fermatas between the two. Unlike the Seventh, the music stabilizes soon. Beginning in measure 6, the timpani articulate a steadier rhythm, eventually settling into a V-I motion on the first and third beats. The timpani's subsequent participation in the musical process is also different in the Second and in the Seventh. In the Second Symphony, their introductory figure is repeated only once (m. 482) and reappears in combination with earlier motives (m. 212). Instead of functioning in a traditional recapitulatory fashion, the timpani seem to draw the attention back to the music of the scherzo, since they appear after an intervening collapse (m. 465- 481). They play a much more subordinate role than in the beginning: instead of participating as a solo introduction, they are now an integral part of the scherzo's bustle. They remind the listener that the world of the scherzo continues even though the musical material had reached the point of exhaustion and collapsed into itself. In contrast, Mahler brings back the introductory "Schattenhaft" material of the Seventh Symphony's scherzo in substantially similar versions in several subsequent passages (a small example can be seen in mm. 72-77). This reiteration of the same motives emphasizes their thematic importance and, as previously mentioned, contributes to the movement's shadowy character.

The dynamic level in the timpani is another important difference between the two scherzos. In the Second, the timpani play fortissimo and draw the listener's attention, while the timpani of the Seventh are barely audible at a piano dynamic level. The soft dynamic makes the beginning of the scherzo much "sneakier." The tempo marking likewise suggests the hesitant quality that Mahler imagined for this opening. He marks it "Fließend, aber nicht schnell; in den Anfangstakten noch etwas zögernd," which translates as "Flowing, but not fast; in the opening measures still a little hesitant." This is comparable to the "In ruhig fliessender Bewegung" of the scherzo of the Second Symphony, yet it lacks all of the hesitancy of the other piece. The two

scherzos are similar in their resort to the continuous motion characteristic of the genre. Yet the Seventh disrupts this continuity, by frequently returning to the hesitant and shadowy introductory material, while the Second keeps moving in a more stable, flowing and uninterrupted way. This difference in the way motion is handled in the two scherzos further exemplifies the "schattenhaft" marking.

Adorno, Schopenhauer, and the Shadow

In his book, Adorno addresses Mahler's scherzos in general, and that of the Seventh in particular, in passages other than the one commented above. His statements help in understanding the movement as the shadow of a scherzo. In the already mentioned discussion from the first chapter, Adorno singles out the Second Symphony as offering an especially good example of a "world's course" scherzo, for its seemingly incessant flow of sixteenth notes properly captures worldly bustle. As discussed earlier, the motion of the Seventh Symphony's scherzo resembles that of the Second yet remains nonetheless "shadowy" or hesitant on account of its unpredictable accents and accompaniment figures.

From the perspective of the scherzo's unpredictable movement, the marking "schattenhaft" indicates that the piece is not a direct image of the course of the world, but rather its shadow. In forsaking the "normal" world's course, the piece paradoxically becomes more "real." The shadowy world that it creates bears connotations of ghostliness, with darker, sinister, and more exaggerated features. The composition does not convey nor evoke what we would see clearly, in daylight; it transmits the rickety and shaded feeling of a world that is unable to flow easily. The Scherzo of the Seventh no longer portrays the world's course as it appears to be, but instead captures its shade, as if producing a "shadow of the scherzo." By so doing, it comments on the idea of a scherzo, a point to which Berio briefly alludes in her article.

In Schopenhauer's aesthetics, "Schatten" or shadows are related to graphic representation or mimesis, and not to the world of the Will. Art is put forth as a representation or shadow trying to portray the world, as opposed to capturing an "essence," something that an imitation cannot achieve. This idea of representation is similar to Adorno's description of the scherzo's function in Mahler's symphonies, as unencumbered depictions of the world's course through their movement created, however, through music. Still, Schopenhauer's idea that music expresses an innermost "essence" on account of its direct appeal to the Will cannot be completely factored out of the scherzos. Since music itself is "shadowy," as Adorno states, and it cannot mimic the world, it can only portray the "essence."

I do not think that the scherzos attempt to make a world in themselves. They instead comment on the world by creating a musical universe of their own. In this sense, the "schattenhaft" scherzo is a commentary on this process that lies one step further away: it creates a shadow of a scherzo, which projects the "essence" of the genre through music as a sort of commentary on its status and nature.

In their commentary on the world, Mahlerian scherzos usually have moments that break the world's course, if only fleetingly, a procedure that allows them to avoid becoming pure representation: they make the music more real by calling attention to their unreality. Adorno states that they "plead anew against the world's course" because "they imitate it in order to accuse; the moments when they breach it are also moments of protest."[15] It is for this reason that Adorno mentions the scherzos of Mahler so soon after his discussion of "breakthrough." The perpetual motion of the world's course is only effective as commentary if the movement is somehow broken or interrupted, typically by means of a "breakthrough". By inserting such

[15] Adorno, *Mahler: A Musical Physiognomy,* 7.

disruptions, the scherzo moves away from mimetic representation, to become a commentary on the world, and by doing so, it still retains Schopenhauer's "essence".

The paradox of being art and yet at the same time negating it allows music to become commentary on the world and on society. In the scherzo of the Second Symphony this commentary emerges in the moment of "collapse", which Adorno describes as the "instrumental outcry of one in despair."[16] In the Seventh, the scherzo does not depend on such momentary effects in order to be distinguished from a representation of the world. Rather than seeming to try to depict the world, it instead becomes a shadow from the outset. The musical elements that make the scherzo shadowy and break up its motion are present at the very beginning of the piece. Adorno notes this characteristic in his comment about the first theme of the Seventh's scherzo, which, as he says "no longer has any pretense of innocence," and which through its lamenting features "combines, as only music can, the barrel-organ grinding of the world's course with that which expressively mourns it."[17] The two distinct possibilities of mimetic shadowing of the world and musical distilling of an "essence" that appeals directly to the Will are combined in this scherzo. At the same time, its shadowy elements make the commentary on the world's course evident by calling attention to its form without either musical intrusions from the outside or "collapses" and "suspensions" from within. Mahler uses this paradox of music to create in this movement a commentary on the nature of the genre. It is no longer a "real" scherzo, but rather a "shadow of a scherzo." This scherzo captures the "essence" of the world by putting forth a shadowy world.

[16] Ibid, 7.
[17] Ibid, 10.

The Scherzo within the Symphony

The "schattenhaft" scherzo not only is significant in its own right, but also plays an important role in the symphony as a whole. Mahler gave it a special position of importance within the entire symphony. The movement is the exact middle of the five-movement plan of the Seventh Symphony. It is surrounded immediately by the two movements marked *Nachtmusik,* and more distantly by the first movement and the finale. While five-movement structures appear elsewhere in Mahler's symphonic output—in the Second and Fifth symphonies and the unfinished Tenth—this symphony displays unique arch-like formal symmetry. The scherzo takes its position at the core. The other movements form symmetric pairs: movement 2 and 4 are both marked *Nachtmusik*, and movements 1 and 5 share important thematic material. Thus, the form of the symphony seems to lean towards the center, rather progress linearly and teleologically through all the movements.

When viewed as a teleological structure, moreover, the symphony seems to lack traditional direction. This symphonic does not fulfill the expectation that a symphonic structure will culminate in an at least tonally satisfying finale. Adorno notes this characteristic in a discussion of tonality:

> In the Seventh the first movement … is in E minor. The three middle movements – all including the Scherzo, night pieces – then descend to the subdominant region. The first *Nachtmusik* is at home in C major, the subdominant tonality of the relative major of E minor; the scherzo falls further into D minor, the relative minor of the subdominant of C; the second *Nachtmusik*, finally remains on the same harmonic level, but brightens it by replacing the D minor by its relative major, F. The finale restores the balance between the first and the middle movements. These however, exert a weight that the Finale cannot quite compensate. It must remain a dominant within the relative tonality of the first movement, and so be in the C major of the first *Nachtmusik.*[18]

[18] Ibid, 27-28.

The tonal outcome of the symphony amplifies the significance of the middle movements. The first movement begins in B minor and ends in E minor, while the finale is in the key of C major: the three movements that separate it from the first fail to prepare it as a large-scale goal for the whole piece, but rather throw it off course, as if it were. These three middle movements do not allow the symphony to proceed on a teleological path toward an expected tonic.

Adorno mentioned earlier in the same chapter that "Mahler … uses harmony to create light and shadow in the whole, effects of foreground and depth, perspective."[19] This is certainly true in the Seventh. By abandoning the traditional tonal course of a symphony and displacing the middle movements into subdominant regions, Mahler creates a rift between the outer movements and the inner ones.[20] The depth given to the tonal structure by the "night pieces," which changes the structure of the symphony as a whole, provides one possible interpretation for this feature. This tonal scheme shades the structure by pulling the middle movements below the linear axis of the symphony and creating a tonal fissure that cannot be mended in the finale. Here this structure becomes another possible meaning for the shadow and again draws attention to its form by showing its contour. Even Schopenhauer would agree that the nature of the world is not always harmonious, and that in order to be true to "essence," music must not try to represent a false nature but rather embrace the imperfections.

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[19] Ibid, 27.

[20] The use of a seemingly unrelated key for the finale is a frequently noted feature of Mahler's music. The Second Symphony starts in C minor and ends in E-flat major, the Fourth begins in G major and ends in E major, the Fifth Symphony starts in C-sharp minor and ends in D major, and the Ninth Symphony begins in D major and finishes in D flat major. Still, the quantity of writing about this finale's dissatisfying qualities is substantial. La Grange devotes a large amount of discussion to the topic of the finale's reception. La Grange, *Vienna: Triumph and Disillusion (1904-1907),* 880-888.

In commentaries on the Seventh Symphony, the scherzo has often been grouped with the two *Nachtmusik* movements with regard to the shape or form of the symphony.[21] These three movements have been referred to as the night pieces, intermezzi, or even as a "symphony within a symphony." [22] The relationship of these three to each other is not so much purely musical as thematic in a general sense. The topic of night/darkness/shadow applies to all three movements. The three inner movements are bound by a common theme of night, as opposed to the outer movements (with actual shared thematic material), which have sometimes been described as light or day (the finale in particular). Thus the scherzo's inclusion in the "night" pieces as well as its position at the middle of the symphony seem especially significant.

The "schattenhaft" movement's position at the lowest tonal area (since it precedes the second *Nachtmusik*) and at the center of the symphonic structure shows its overall importance. Placed between the two *Nachtmusik* movements, the scherzo provides a shadow, something that requires both light and darkness. In this role, it reflects not only on the characteristics of night, but also on those of day, bringing both of them together.

The phenomenal world of the Night was associated in Romantic aesthetics with the "essence" and embodied the ideal of unification with nature. The world of representation associated with Day was seen as the opposite: a less real, mediated world. The contrast between Romantic ideas of Night and Day—for example, in a work such as Wagner's *Tristan und Isolde*—are combined in the scherzo to convert it into a commentary on the world by embodying the Schopenhauerian "essence" of a "shadow."[23] Through combining the "essence" of the music

[21] Again, even though this connection to the *Nachtmusik* movements has been made, little has been written on why or how exactly the scherzo is best grouped with these.

[22] La Grange, *Vienna: Triumph and Disillusion (1904-1907),* 845.

[23] This is a very brief reference to Wagner, a point I will explore in the future.

related to the night and the representation of the world related to the day, both day and night come together to produce a shadow that is related to Adorno's understanding of the "schattenhaft" scherzo as a commentary on the world. Thus, the world's course and "that which expressively mourns it" are indeed combined into a shadow using the elements of day and night.[24]

Finally, Adorno underlines special features of Mahler's tonal language. In a discussion of major-minor dualism in Mahler's symphonies, Adorno notes that this is a key form of expression. Adorno goes on to state that "in his major-minor manner the world's course is distilled: aloofness from what violently rejects the subject, longing for it, after the final reconciliation of outward and inward."[25] These ideas about major and minor tonalities can be related back to the world's course of the scherzo. In the "schattenhaft" scherzo the dualism between D minor and its parallel major are markedly present: in fact, these two keys are the only tonal regions explored for the first 260 measures of the piece.[26] The transitions between the two, subtle at times, are important in Mahler's conception of the movement's structure. The minor key, Adorno observes, "only becomes a symbol of mourning when modally awakened by the contrasting major."[27] So, the "schattenhaft" scherzo's tonal language allows for contrast between the expression of the world's course and "that which expressively mourns it." Major-minor dualism becomes a language that expresses night, day, and shadow.

This language also embodies the ideals of philosophy by the dialectics that it employs. The contrast between the two modes creates a tension, yet at the same time they reinforce each

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[24] Adorno, *Mahler: A Musical Physiognomy,* 10.
[25] Ibid, 25-26.
[26] Berio, "Perspectives of a Scherzo," 88. I am using her chart of the movement as reference.
[27] Adorno, *Mahler: A Musical Physiognomy,* 26.

other. In the same way Schopenhauer's "essence," or the "inward," and his representation, or the "outward" are "reconciled" through the presence of both in the music. Schopenhauer's expresses his ideas about tonality, writing:

> But how wonderful is the effect of the *minor* and *major*! How astounding that the change of half a tone, the entrance of a minor third instead of a major at once and inevitably forces upon us an anxious painful feeling, from which again we are just as instantaneously delivered by the major.[28]

He indicates that the two tonalities embody the same "essence;" therefore, the "essence" is then strengthened through the contrast that the two modes provide. This "shadow-like" quality of music relies on its ability to show both what the music is and what it is not in the context of Schopenhauer's conception of it as "essence." Resembling Adorno's Hegel-derived theory of identity in difference, the music uses dialectics to convey the state of the world.

In conclusion, the shadow in the "schattenhaft" scherzo can be seen in many ways. The concept encompasses the overtly shadow-like characteristics, the shadowy opening, the role as a shadow of a scherzo, its connecting link of the ideas of night and day, and the movement's tonal language. Illuminated by Adorno's observations, all of these elements can be seen to make this scherzo a multi-faceted shadow.

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[28] Arthur Schopenhauer, *The World as Will and Idea,* trans. R.B. Haldane and J. Kemp (Garden City, NY: Dolphin Books, 1961), 272. The emphasis on "minor" and "major" appears in the translation, not added by this author.

CHAPTER 4

"SCHATTENHAFT" IN THE NINTH SYMPHONY

The expressive marking "schattenhaft" appears in Gustav Mahler's symphonies for the second and last time in the first movement of the Ninth Symphony. As discussed in the previous chapter, the placement of this marking at the very beginning of the movement in the Seventh means that it applies to the entire scherzo. However, in the Ninth the "schattenhaft" marking is employed in the development of the first movement, to describe one short passage (m. 254-266).[1] Since this marking refers to such a fleeting section of music, it begs a different approach from that used for the Seventh Symphony. In order to understand the significance of "schattenhaft" here, I discuss what recent scholars have pointed out about this section of music, how this stands in the context of Adorno's writing, and the "schattenhaft" marking's musical significance. Once again, "schattenhaft" may best be understood within a framework based on Adorno's ideas.

Most analyses and studies of the Ninth Symphony have overlooked the significance of "schattenhaft." This is not to say that scholars have neglected it altogether in their analysis of the movement, but rather that inquiries into why Mahler used this term are very limited. The "schattenhaft" section is often left described as "shadowy" without further questions as to why Mahler marked it this way. However, a few writers, most notably Thomas Clifton and Stephen Hefling, have made an attempt at understanding and interpreting the marking.

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[1] I have referred to the development section even though Mahler's use of sonata form—here and elsewhere—is untraditional. See the "Analysis" section below. Also see Stephen Hefling, "The Ninth Symphony," in *The Mahler Companion,* ed. Donald Mitchell and Andrew Nicholson (New York: Oxford University Press, 1999), 471.

In his article on different descriptions of music, Thomas Clifton briefly addresses the "schattenhaft" section of the Ninth Symphony in a general discussion of signification in music.[2] The author raises the question of whether the music of the "schattenhaft" section would sound shadowy if the listener has not seen the score. He concludes that the marking is only a guide and that it would not negate other possibilities for describing the aural experience. He also explains that to experience "shadow" in music would be to experience the "essence" of music, that is, the music itself, not a symbol or metaphor. In explaining this idea, he writes at length about the musical characteristics of the "schattenhaft" section.

For Clifton, "schattenhaft" suggests several different possibilities of meaningfulness, including both an "inner" and "outer" significance.[3] He describes the "inner-directed significance" as the shadow-like "manner of performance" and "a mode of listening and understanding what we are listening to."[4] In contrast, the "outer-directed significance" concerns the musical elements that sound shadowlike: the shadow that "adumbrates the main theme," which is a shadow of a previous section of music (m.136).[5] This discussion of "outer" significance provides an intriguing and valid way to understand the "schattenhaft" section. Clifton is certainly correct in noting that the section at measure 136 and the "schattenhaft" section are related. The music that begins at measure 136 is similar in texture, orchestration, and effect to the later passage and it does appear to be changed in harmony and rhythm at its second appearance in measure 254. Clifton, however, did not explain that many elements of these two

[2] Thomas Clifton, "Some Comparisons between Intuitive and Scientific Descriptions of Music," *Journal of Music Theory* 19, no.1 (1975): 66-110; see pages 87-88.
[3] Ibid, 87.
[4] Ibid.
[5] Ibid.

sections had previously been heard within a number of other sections of the movement, a point I discuss further below.

In his essay on the Ninth Symphony in *The Mahler Companion*, Stephen Hefling likewise pays more attention to the "schattenhaft" marking than most other writers.[6] He draws upon Adorno's concept of "breakthrough," which allows him to offer a divergent view from that of Clifton on the significance of the "schattenhaft" section. According to Hefling, this section works together with a breakthrough-to-be, prepared but never completed, at m. 234. The "schattenhaft" section would then function as a shadow or an indication of the illusion. According to Scheinbaum, the breakthrough has certain characteristics that distinguish it in the overall form, such as "massed brass instruments playing fanfare figures and chorale-like melodies."[7] It does seem as if a breakthrough was possible: brasses are heard at this moment in the music (m. 234, with the trumpets proceeding at m. 232), and there is a tonal shift to D major (m. 236) prepared by its dominant (m. 234) from B-flat minor (m. 211) with a tempo change. Scheinbaum also notes that the tonal shift occurring during a breakthrough is a major factor in its effectiveness as a rupture of form. The presence of the key of D in this movement before this possible breakthrough makes it less likely to have been effective, if it were one at all. Also, the tonal center of D major has traces of the parallel minor already at measure 237. A tonal shift to a key that is already established in the symphony does not qualify this area as a breakthrough, but again this is a breakthrough that did not happen.[8] Why, however, would the "schattenhaft"

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[6] Stephen Hefling, "The Ninth Symphony," in *The Mahler Companion,* ed. Donald Mitchell & Andrew Nicholson (New York: Oxford University Press, 1999), 467-490.

[7] John J. Scheinbaum, "Adorno's Mahler and the Timbral Outsider," *Journal of the Royal Music Association* 131, no.1 (2006): 49.

[8] Scheinbaum observes that the key of D is used often in breakthrough passages, as in the First and Fifth symphonies. Ibid, 52.

section be necessary if the breakthrough did not occur? Perhaps Hefling means that the section is a shadow of the breakthrough that did not transpire: it fills its place.

These interpretations of the "schattenhaft" marking both work, but they are not the only ways to approach this section. Since these discussions are fairly fleeting in their larger contexts, a longer look at the "schattenhaft" section is likely to show more about this expression marking is shadowy.

Analysis

I shall now offer a brief overview of the first movement. The movement's structure recalls sonata form and has three thematic groups. The first appears at m. 7, the second at m. 26, and the third later at m. 80. These groups share similar motivic material, and the first two are in the parallel keys of D major and D minor, while the third is in B-flat. The thematic connections between these groups are so significant and the melodic lines themselves so continuous that Adorno refers to the movement as "through-melodized" or "*durchmelodisiert.*"[9] Elements of sonata form remain identifiable—the development starts at m.108, and the recapitulation appears at m. 347—yet they are not handled in a traditional way. This movement in particular has rondo-like features because of the frequent reassertion of the tonic key and the multiple presentations of the first thematic material. By this point in the history of sonata form, however, modifications or deviances from the model are entirely to be expected.

Within this framework, Mahler placed the expressive marking "schattenhaft" at measure 254. The passage thus marked is positioned before one of a number of entrances of the first thematic group, appearing here in one of its "waltz variants", and in strictly formal terms might

[9] Adorno, *Mahler: A Musical Physiognomy,* 155.

best be called an introduction or small transition to that group.[10] Moreover, the "schattenhaft" section is similar to the sections at m. 136-148 and m. 337-347, with which it shares not only motivic, timbral and rhythmic components, but also a common transitional role. All of these sections derive a good amount of their material from both the first few measures of the movement and the first theme group that evolves from these introductory measures. Material similar to that in these passages appears already within the first 18 measures of the movement as cells and motives to be used throughout all three thematic groups and then, much later, at measure 337. Characteristic features of the passages include the sound of the harp, tremolos in the strings, two-note sequences in the horns and motives in the violins that grow into a melodic figure. For ease of reference, in the following analysis I refer to measures 7-18 as the "first thematic group", measures 136-148 as the "model" section, measures 254-266 as the "schattenhaft" section, and the section at measures 337-347 as the "post-schattenhaft" section. As I have stressed, the section explicitly marked "schattenhaft" is distinguished from the others, for as Adorno puts it, this is where Mahler thematicizes the shadow.[11] A closer look at these sections reveals that the "schattenhaft" section is indeed shadow-like.

The section at m. 136 serves as a model for a point of departure to make apparent the shadowy characteristics of the "schattenhaft" section. The "schattenhaft" section does not directly copy the first transitional section that begins at m. 136. While an exact copy would not necessarily be expected, the similarities between the two sections link them: the purposeful

[10] The waltz variant is one embodiment of the original first theme group material: it is part of the character of the first theme. The material in this section however, is distinctively waltz-like; for this reason, Hefling refers to this section and a related family of variants as the "waltz variant." See Hefling, "The Ninth Symphony," 476. This also is one of the many appearances of the material of the first theme group in the "development" section. This reappearance of material early in the form is part of the reasoning in some analyses that consider this movement rondo-like.

changes in the "schattenhaft" section's character thus constitute a reflection upon the "model" section. A number of elements—including a fermata, different tremolo positioning in the strings, and a more distant tonal center—change the "schattenhaft" section into something distinct from the earlier transition that it recalls. This transformation of earlier material through various techniques is in line with Adorno's Hegelian way of thinking: identity is preserved in difference.[12] The different sections at the same time encompass both the identity and the non-identity of the material as dialectical poles of a single, larger idea. In this way, the music portrays the "essence" of the shadow by preserving the intrinsic motives of each section and using their differences to comment on their model-shadow relationship to one another.

As mentioned earlier, the "schattenhaft" section constitutes a shadow in that while it is related to the previous sections, it is a shadow rather than a replica of the earlier music.[13] Moreover, this section functions as a veiling shadow of what is to come. Many musical elements such as stability and blurring of the themes entrance distinguish the "schattenhaft" section and its role in the music. I show the thematicizations of the shadow in the following examination of the music.

Both the first thematic group and the model sections are more stable than the "schattenhaft" section. One sonic marker of the increased instability in the "schattenhaft" section can be seen in the tremolos of the strings. In the first thematic group and the model section**,** the tremolos in the strings are played on a single type of instrument, namely violas in the first group and divisi cellos in the model section. Yet in the "schattenhaft" section the tremolos progress through several different string instruments in succession. For example, in measure 253

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[11] Ibid, 70
[12] See above, on page 31.
[13] See on page 33, for a discussion of Clifton's article.

the tremolos start in the cellos and ascend to the second violin part. The tremolo is consistently divided between the cellos and violas, which allows for a slight timbral difference between the two instruments and this timbral difference is even more distinguishable when the second violins also play a tremolo. The "schattenhaft" section later stabilizes, and then the tremolos consolidate for the most part in one instrument, the viola (m. 263), with only a few appearances of cello tremolos, which seem to function as missing notes of a triad.

The intervallic content of the tremolos also affects the clarity of perception, and the relatively "shadowy" character of the passages. The first thematic group contains tremolos that mostly move between intervals of m3 and M2 (m. 7-17, etc.), and the model section adds the intervals of a m2 (in order to create ascending chromatic motion, m. 138) and P5 (m.140), while the "schattenhaft" section uses all of these intervals but also incorporates more dissonant non-chord tones and has hints of diminished triads (m. 258 cellos and violas the A could function as a B double-flat). The effect of the tremolo moving through different instruments instead of staying on one instrument (as in the model section) and using more dissonant intervals accentuates the blurring of the "schattenhaft" section's tonality and turns the accompaniment tremolo figures of the first thematic group and the model section into an effect that, rather than providing stability, further blurs the perception of the section.

The unstable pulse of the "schattenhaft" section projects an idea of shadow that is absent from the analogous sections. The stable pulse of the model section makes it more concrete than the "schattenhaft" section.[14] The harp in the model section provides a steady, ascending pattern that propels the section forward. At the beginning of the first thematic group the harp is less

[14] Clifton, "Some Comparisons between Intuitive and Scientific Descriptions of Music," 88.

prevalent, but becomes stronger through its downward motion towards the dominant (m. 9-18), where it then lands on the root position statement of the tonic D (m.18). In the "schattenhaft" section the harp only plays an open fifth, and plays no rhythmic role other than providing downbeats for measures 257, 259, and 261.

The fermatas at measures 253- 254 also help in destabilizing the pulse of the "schattenhaft" section. Although the metric pulse is already unclear immediately before the "schattenhaft" section (m. 243-252), the insertion of the fermatas breaks any sense of continuous flow of time. These pauses, not present in the earlier first thematic group and model sections, add silence as a factor into the "schattenhaft" section, and since this time of silence is not measured by rests, it reinforces the ambiguity of the perception of time. These musical elements, such as tremolos and pulse, all show how the music of the "schattenhaft" section functions as a shadow of what has come before: the music retains the same shapes as the previous sections, but these elements are more ambiguous in the choices of scoring and tempo.

This section also functions as a shadow in a different sense, in that it serves to veil the entrance of the first theme at measure 267 in its "waltz variant" form, providing a contrast to the increasingly stable thematic exposition that follows. The section becomes clearer as it progresses, trading diminished sonorities (m. 258) for major triads (m. 263), with the intervals contracting and now functioning as accompaniment figures. And even though the figures go over the bar-lines, the horns and violins begin to align (end of m. 263), and the harp reappears to provide in measure 267 the stable pulse that it had in the model section. It is as if light has now shown through the shadows to illuminate the music. In the "schattenhaft" section, all of these musical elements that distinguish it from similar passages in the music – insertion of fermatas, dissonant intervals, and instrumentation – convey an idea of shadow. The use of different effects

creates pulse and tonal ambiguity that give the section a feeling distinctive from the earlier model section.

Mahler as Musical Novel

The previous examination shows basically how the "schattenhaft" section works musically as "shadow-like." However, Adorno's thoughts about the passage and about music in general also provide a way to understand the "schattenhaft" expressive marking. Building on the ideas of Hefling and Clifton, a discussion based on Adorno's writing reveals further, broader implications of "schattenhaft."

As made clear in my first chapter, Adorno recognized the term "schattenhaft" as significant especially in its relation to the shadowy qualities of music and Romantic aesthetics, and he noted that Mahler thematicized the shadow in passages from both the Seventh and Ninth Symphonies. From Adorno's point of view, Mahler's symphonies are related in many ways to novels, particularly in regards to the temporal unfolding of musical ideas. Musical characters—usually to be understood as themes—enter and interact with each other, always appearing to be different from how they were before, for they exist in time and are constantly changing. Through their change, these "characters" create events that make the "plotline" of the symphony progress. In this movement, the "schattenhaft" section and other related sections all serve to introduce one of the main characters or themes. Along with the character/theme that changes, these sections also change: in this sense they themselves are a character. These sections, however, do not remain the same, but also change together with the characters/themes they occupy. I discuss the idea of the "schattenhaft" section as a character later in this chapter.

The "schattenhaft" section is similar to several other sections and especially to the one that I call the model section. The blurring of musical material from the model section is a

distinct role of the "schattenhaft" section. The element of repetition is present, even though not directly or literally, and this characteristic of the "schattenhaft" section may be explained by Schopenhauer's ideas of mimetic art as a shadow. As mentioned earlier, Schopenhauer refers to mimetic art that tries to depict the world as merely *Schatten* or shadows of the world as it is.[15] This art is not "the world" or "a world," but rather a depreciated version of it, a "shadow" of the world. This is a connection that Adorno notes. Similarly, drawing on this "metaphor from the optical realm," as Adorno puts it, Mahler takes a section of music from the world of the symphony and makes it a shadow.[16] The shadow of the "schattenhaft" section is similar to mimetic art that Schopenhauer describes as representation. However, the "schattenhaft" section represents part of the world but cannot do so exactly because that would violate its musical qualities. The closeness to the model makes this section unique for Mahler, and "schattenhaft" is, in one way, an effective expression marking reflecting the qualities of the music.

Later in Adorno's discussion of "schattenhaft" much emphasis is placed on the "shadowy and dreamlike quality of music."[17] This Wagnerian idea derived from Schopenhauer's philosophy is also applicable to this section in Mahler's music. The shadow-like qualities of music are preserved through maintaining the basic procedure and not violating the novel-like form through exact repetition. This section avoids directly replicating the model section; in so doing, it keeps the "shadowy and dream-like qualities" of art, restoring Schopenhauer's requirements for music not to be imitative. Since the medium of the symphony is music and not

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[15] "… deshalb eben ist die Wirkung der Musik so sehr viel mächtiger und eindringlicher, als die der anderen Künste: denn diese reden nur vom Schatten, als aber vom Wesen." Arthur Schopenhauer, *Die Welt als Wille und Vorstellung,* vol. 2 of *Arthur Schopenhauer's Sämmtliche Werke*, ed. Julius Frauenstädt (Leipzig: F.A. Brockhaus, 1923), 304.

[16] Adorno, *Mahler: A Musical Physiognomy,* 70.

[17] Ibid. See above, page 13.

a mimetic art, it encapsulates the "essence" of the model section in the shadowy qualities of music. In this sense, the shadow functions as two shadows in one: it represents the earlier section by taking on a mimetic role, but at the same time it preserves its "essence," maintaining its "shadowy qualities" intact.

The near identity of the "schattenhaft" and model sections—as opposed to their being merely similar material presented in different ways—is unmistakable. An exact quotation of the previous material, however, would not be expected in this "novel." In the temporal framework of a novel/symphony, things are constantly changing. For a character to appear exactly as it had appeared before would be false. Its identifying characteristics would still be the same, but it would not be truthful to the world of the symphony if it imitated exactly. If the "schattenhaft" section were to copy the model section directly, it would remove itself from the world.

For that very reason, the close similarity of the "schattenhaft" section to the model section seems extraordinary. The two sections are so similar that they are on the threshold of violating the underlying principles of the idea of symphony as novel. But instead of being an exact quotation, the model section becomes a purposeful shadow within the symphony in the "schattenhaft" section. This is emphasized through the unnaturalness of the "schattenhaft" section, which is a picture of the reality (that is, the reality of the symphonic world) that has come before it: it exaggerates characteristics of the model section. It comes close to being the same, but it cannot be the same. To try to replicate something that happened before would be false, so this imitation, though not quite exact, is intentionally identified as a shadow: it is a shadow of the "essence" of the corresponding section, similar, yet somehow otherworldly, suggesting something that cannot exist in the symphony's world. .

Within the larger idea of Adorno's Mahlerian music novel, the "schattenhaft" section does more than just blur the model or provide a commentary on the world of the symphony. In the chapter that precedes "Novel," Adorno introduces the idea of characters, which can also apply to the role of the "schattenhaft" section. In one passage, Adorno discusses the relevance of this concept to the Ninth Symphony.[18] He has already brought up this symphony in the chapter but now offers a more detailed look at what he calls "collapse" in the piece. The "collapse" in measure 309 also becomes a character in the music.[19] It does not function solely as either a mediation between two different sections or as a conclusion but rather, as in all "collapse" passages in Mahler's music, it "speaks for itself."[20] Parts of the form, such as the "collapse," are themselves characters as opposed to "being filled with characters."[21] This allows for the characters to change or affect the music in a linear sense, perhaps in most cases unexpectedly.

Applying this line of reasoning to the "schattenhaft" section, I posit that it also functions as a character. As Adorno later states, passages that are characters "are also determined by their relation to what has preceded them."[22] This is true not only of the example that Adorno gives from the Second Symphony but also of the Ninth.[23] Most of Adorno's discussions about characters emphasize the presence of similar musical material in several parts of the symphony. The character always retains its "essence," namely a set of key musical features that single it out among peers, which remain recognizable in all of its reappearances. The material that makes up

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[18] Ibid, 45.

[19] Adorno cites Erwin Ratz as the source for his use of the term "collapse": Erwin Ratz, "Zum Formproblem bei Gustav Mahler: Eine Analyse des ersten Satzes der Neunten Symphonie," *Die Musikforschung* 8 (1955): 176.

[20] Adorno, *Mahler: A Musical Physiognomy*, 45.

[21] Ibid.

[22] Ibid, 48.

[23] Ibid, 49. This example is referring to the first movement of Symphony No. 2 at rehearsal 6 (for the first time this appears).

the "schattenhaft" and corresponding musical sections constitute the essential elements that root them all as a character. The "schattenhaft" section, in turn, distinguishes itself through both the unusual expressive marking, and the "shadowy" features that substantiate it in music, as if representing an important event in the life of the character.

To further illustrate this point, Schopenhauer provides an effective metaphor for the role of characters in his discussion about literary genres, in this case the romance, epic and drama. He makes a comparison using water, stating:

> For example, in order to comprehend fully the Ideas of water it is not sufficient to see it in the quiet pond or in the evenly-flowing stream; but these Ideas disclose themselves fully only when the water appears under all circumstances and obstacles give it the opportunity of fully exhibiting all its qualities. This is why we find it beautiful when it tumbles, rushes, and foams, or leaps into the air… Thus showing itself under different circumstances, it yet always faithfully asserts its character… The life of man, as it shows itself for the most part in the real world, is like the water, as it is generally seen in the pond and the river; but in the epic, the romance, the tragedy, selected characters are placed in those circumstances in which all their special qualities unfold themselves, the depths of the human heart are revealed, and become visible in extraordinary and very significant actions.[24]

In other words, even though a character remains essentially the same, its unique qualities are revealed when it is seen in different circumstances or settings. This also applies to musical characters.

In the course of the "novel" symphony, some characters—the main themes or subjects—are more prominent, and behave like protagonist, while some other ones have only a supporting or secondary role that helps in revealing the main characters' way of being. In either case, characters are constantly changing in conjunction with the diverse situations through which they go, or by means of an always renewed interaction with each other. In the case of the "schattenhaft" section, the character represented by all of the appearances of the same material is

[24] Schopenhauer, "The World as Will and Idea," 263-264.

brought into a different light through its musical situation. The quasi repetition of the "model" that it brings up not only constitutes a change in its character, but also modifies the following character that follows – the first thematic group – that is now brought out with a waltz-like feel. The change in the "schattenhaft" character impacts the first group's character and allows it to be viewed in a different light through. The "schattenhaft" section could be fruitfully conceptualized as an Adornian "suspension." As I noted earlier, Hefling connected this section to a breakthrough that was prepared but did not happen. Perhaps since the breakthrough did not occur, the "schattenhaft" section could be considered as a type of "negative fulfillment" similar to the type of "collapse."[25] Yet, a collapse has already occurred slightly earlier in the movement (mm. 198-203), which then moves to a section of the second thematic group (m. 211) and to the unfulfilled breakthrough (m. 234).

The "schattenhaft" section instead corresponds to the formal category that Adorno calls "suspension" more closely than to a thwarted breakthrough. Arguments in favor of this reading abound. For example, the cessation of motion characteristic of a "suspension" happens strikingly at this point in the music.[26] The music slows down and eventually is stopped by two fermatas in measures 253 and 254, an event further accentuated by the dynamic drop to *pianissimo*. Also, unlike a breakthrough, a suspension uses material from the movement itself.[27] This is certainly true of the "schattenhaft" section, which uses motivic material from other parts of the symphony. While the "schattenhaft" section is much shorter than other examples of

[25] Ibid, 45.

[26] Scheinbaum notes that in contrast to the "forward-pressing, narrative quality" characteristic of Mahler's music, the suspension is a place in the music where the "motion seems to stop entirely." Scheinbaum, "Adorno's Mahler and the Timbral Outsider," 60.

[27] "Thus the suspensions themselves exhibit the dialectic for they function as destabilizing moments from the outside, questioning the 'immanence' of form, even as they largely consist of aspects derived from within the movement itself." Ibid.

"suspension" that Adorno gives, this term better describes the effect of this section of music than does the concept of a failed breakthrough.[28] The suspension becomes the shadow or 'other' in the movement by drawing attention to itself and commenting on the rest of the movement. As in the tendency of the scherzo of the Seventh to have moments of stopping the "world's course," the "schattenhaft" section here also has the effect of stopping the motion of the world of the movement. It alludes to the reality of the symphonic world by suspending its motion.

In its role as a suspension, the "schattenhaft section" becomes an important character in the symphony as a "novel." Although it has been a character all along, the situation of the "schattenhaft" section allows its role in the symphony to become one that impacts the entire movement. The commentary and relief it provides enhances and exposes the other characters, such as the first theme group, and the plot of the "novel" itself. Adorno's ideas about Mahler's music provide an effective basis for describing how the "schattenhaft" section works musically, how the shadow is thematicized, and how the passage embodies Romantic ideals. When approaching the Ninth within a framework derived from Adorno's ideas, one can see how this section serves not only as an important part of the movement but also as an example more basically of Mahler's approach to composing symphonies.

[28] Adorno lists several examples of suspension, including passages from the Second, Third, Sixth, Seventh, Ninth and *Das Lied von der Erde.* Adorno, *Mahler: A Musical Physiognomy,* 41.

Conclusion

The expressive marking "schattenhaft" in Mahler's music can assume many different meanings. By using Adorno's writing as a springboard for examining the use of this marking, I have shown the "schattenhaft" section's musical significance and, in turn, some of its philosophical implications. In doing so, I have highlighted aspects of Mahler's compositional style and technique, using special terminology from Adorno's own observations. The way that "schattenhaft" functions in each of the symphonies is different, yet both are especially rich passages that have not been examined in this way prior to this thesis.

In the Seventh Symphony, I showed how the "schattenhaft" marking affects the entire movement. The music's shadowy qualities become especially evident when viewed in comparison with the scherzo model provided by the Second Symphony. In light of Adorno's ideas about Mahlerian scherzos, an interpretation based on the movement's unique function in the symphony further distinguishes it from other instances of the same musical genre.

I also elaborated upon the "schattenhaft" section's role in the Ninth Symphony. The "schattenhaft" section is related to other sections of the same movement, but it is the sole one to convey a distinct, "shadowy" feeling, which is made clear in comparison to the earlier "model" section of music. Schopenhauer's ideas about art and music also provide an interesting interpretive tool, as well as Adorno's ideas about "novel" and character. The "schattenhaft" section functions as a distinct character within the "novel" symphony of the first movement of the Ninth, through features that convert it in an Adornian "suspension."

These sections of music hold great potential for future investigations into Mahler's compositional techniques, and also as an entry doorway to address connections between music and philosophy.

Although the limits of my paper did not permit examination of all possible aspects of the "schattenhaft" expressive marking or Adorno's ideas about Mahler's symphonies, it provides a starting place for many additional insights into these musical passages. Further exploration of Mahler's use of dialectics in these sections might prove gratifying. A more in depth musical look at the scherzo of the Seventh Symphony would also most likely be fruitful, especially when taking into account Adorno's ideas. Additional examinations into the "schattenhaft" section of the Ninth Symphony could also be carried on, including the significance of its relationship to the "waltz variant." Another possible application of the ideas developed in this paper is the brief reference that Adorno makes later in his book about the presence of shadow in scherzo of the Fifth Symphony.[29] There is no "schattenhaft" marking in this movement; however, Adorno ventures his own brief description of the shadowy musical elements in this section (m. 308 of the third movement.)

Topics such as the possible connection between Wagner's ideas in *Tristan und Isolde* and the nocturnal qualities of the Seventh Symphony, and even further associations between Romantic literature and the scherzo movement invite close investigation. Previously these associations have been applied in depth only to the *Nachtmusik* movements. My examination of its shadowy qualities suggests that they could fruitfully be examined also in relation to the scherzo.

Furthermore, from a broader perspective, there is still much to be explored about Adorno's writing about Mahler. Further research into his ideas and influences, such as his reinterpretation of Schopenhauerian ideas could be valuable to the interpretation of his writing and the subsequent application of both writers' ideas in music analysis.

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[29] Ibid, 103.

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