ABSTRACT

MOTIFS AND THEMES IN HERMANN BROCH'S DIE SCHLAFWANDLER

by Cornelius van Zwoll

The dissertation describes and interprets major motifs in Hermann Broch's trilogy Die Schlafwandler, deduces from them the themes of the work, and shows the relationships between motifs and themes in order to make possible a fuller understanding of Broch's literary craftsmanship and cultural purposes. Motifs and leitmotifs are identified in certain terms and situations which recur in recognizable patterns. It is possible to classify them under the three concepts of negation, isolation, and affirmation.

Motifs of negation reflect Broch's criticism of urban industrial civilization and explain the difficulty of the tradition-bound individual in adapting to the society emerging from the nineteenth century. Bertrand and Huguenau are examples of men who adjust to the new society but are ethically unproductive. The plight of Joachim v. Pasenow, and to some extent of August Esch, exposes the weakness of the old society in its conservatism. Typical of motifs in this set are those of Mephisto, Sex, the Renegade, the Slough, and the Businessman.

Motifs of isolation also occur throughout the trilogy,

expressing insecurity and psychological stresses experienced by individuals bereft of familiar institutional authoritarianism. The Father-Son conflict, for example, appears in the antagonism between the two Pasenows, between Bertrand and Esch, and between Esch and Huguenau. Another motif is that of the Oedipus-relationship hinted at in Pasenow, further developed in Esch, and fully expressed in Huguenau. Additional important motifs in this set are those of Mignon, the Bed, Trauma, and the Rebel.

The third set of motifs--characterized by a progressive rejection of objective reality and acceptance of subjective hope and conviction, especially on the part of Esch--affirms the reality of the heroic personality and the imminence of a new society. These ideas are clarified by the motifs of Utopia, the Judge, the Redeemer, and the Madonna.

A limited number of leitmotifs are selected to illustrate the use of this device--synchronized with the motifs and themes of the novel--to describe personal physical characteristics, patterns of speech, and psychological reactions.

The motifs thus analyzed are found to contribute to three major themes in the trilogy. The first theme, corresponding to the motifs of negation, treats the disintegration of values in modern society under the influence of urban life, technological advances, specialization, materialism, and mass culture. By its very nature

this development challenged traditional concepts of home, church, state, social relationships, and human personality. The appearance of a new amoral man represents a challenge to that element of society blindly adhering to the cultural heritage.

The second theme, revealed by the motifs of isolation, is that of the loneliness and anxiety of the individual in a period of cultural transition. The old is cast off, but the new is unknown, and the individual stands exposed, compelled either to make independent decisions, to withdraw from an unfamiliar freedom, or to seek new external authority on which to rely.

The third major theme points to a way out of the problems the individual in his anxiety confronts in his disintegrating world; it is the search for an absolute involving acceptance of creative intuition or irrational insights to inspire man's rational growth, including as well the regeneration of society through the ethical commitment of the individual. Broch's title-characters become a composite but incomplete hero representing the troubled past (Pasenow), the vacillating present (Esch), and the unformed future (Huguenau).

This study discloses inductively some twenty-five motifs and deductively three major themes in Broch's trilogy and shows how the motifs evolve systematically and contribute to a consistent development of the themes. The study likewise gives evidence that the three-part

novel is realistic, expressionistic, and surrealistic in its use of a wide range of literary forms. Lastly it indicates that Broch, in subjecting society to a close analysis and pointing out how modern man might live successfully in his culture, dedicates his novelist's art to the service of an ethical humanism which is revealed in the themes of Die Schlafwandler.

MOTIFS AND THEMES IN HERMANN BROCH'S DIE SCHLAFWANDLER

by

Cornelius van Zwoll

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Cornelius van Zwoll

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CHAPTER ONE

1. Broch's Life and Work

Hermann Broch was born November 1, 1886, in Vienna. His father Josef (1852-1933) was a textile manufacturer in Teesdorf; his mother was Johanna Schnabel (1863-1942) of Theresienstadt. After his "Gymnasium" training, Broch entered the Institute of Technology at the University of Vienna. Although interested in pure mathematics and philosophy, Broch relates: "For practical reasons I majored in statistical mathematics and various commercial subjects."[1] He continued this technical training at the Textile Institute of Mulhouse, Alsace, from which he graduated. After some industrial experience in Czechoslovakia and Germany he visited the United States in 1906.

Two years later he entered his father's business as assistant manager, later becoming general manager. In the latter capacity he continued until 1927. In 1929 he abandoned all business activities and became a free-lance writer.

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[1] Hermann Broch, "Autobiographical Notes", Nachlass, Yale Library.

Broch's experience and position led to practical and theoretical concern with labor problems. He became a member of the Board of Directors of the Austrian Industrial Association and permanent justice of the Government Arbitration Court, ". . . a rather complicated task in the revolutionary years of 1922 and 1923."[2] He was also a member of the Labor Board established by the government to solve the unemployment problems in Austria.

Upon leaving the textile business in 1927, Broch devoted four years to study at the University of Vienna under Hans Hahn in mathematics, Moritz Schlich in philosophy and Karl Buehler in psychology.[3] During this time he frequented the Rotundensaal of the Cafe Zentral, rendezvous of the literary Wiener Kreis. Relatively inconspicuous among the avant-garde of Austrian letters, Broch conversed and played chess on the periphery of the writers who had achieved a degree of success which was soon to be rivaled by the unassuming Broch.

Broch found, however, that his studies excluded him from both metaphysics and any immediate influence on people: "Both seemed to me to be imperative in a time of growing barbarism. In order to meet these two demands, I started

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[2] Ibid.

[3] Hans Winter states Broch also studied "bei Hoffmann 'Mengenlehre'". "Hermann Broch", Wissenschaft und Weltbild (Wien 1951), 217-225.

on my creative writing."[4] It was while engaged in this kind of activity that he was seized by Hitler's Gestapo on the first of March, 1938. After two months' imprisonment he was released with the help of friends abroad, including James Joyce. He thereupon left Germany for Scotland and in October, 1938 came to the United States. He applied for American citizenship in 1939.

In America, supported by various grants and stimulated by the mounting evils of Nazism, Broch continued his social, philosophic and psychological interests by engaging in a study of mass psychology. He was awarded a Guggenheim Fellowship for 1941 and 1942.

In 1942 he was elected a member of the American Institute of Arts and Letters. He also received a two-year fellowship from the Rockefeller Foundation to carry on philosophical and psychological research at the Institute for Public Opinion Research at Princeton University. For the next seven years Broch lived in Princeton.

In 1949 Broch moved to New Haven, Connecticut, and served as lecturer in German literature at Yale University, where he continued his writing and studying until his death.

In 1950 Broch was proposed by the Austrian PEN club and

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[4] Broch, Nachlass.

by American admirers for the Nobel Prize. In November of that year Broch expressed his intention of going to Europe for a complete rest.

On the 30th of May, 1951, however, Broch died of a heart attack in his home at New Haven. At the Bollingen Foundation memorial celebration Broch's close friend and admirer Erich Kahler delivered the "Rede über Hermann Broch". Broch's manuscripts were left to Yale University, where they are kept in the Goethe-Room.

So ends the chronology of Broch, the man. Heinz Politzer has set down his impression of him:

> Als ich ihn dann 1948 im Haus Erich Kahlers in Princeton wiedersah, bewegte mich vor allem das Österreichische seines Wesens . . . das Gesicht, weise und alterslos, war wie aus Wurzelholz geschnitten; der Mund skeptisch und sinnlich zugleich . . . Augen, Hände, Bewegungen, Schritt, die eines inspirierten Wiener Hofrats . . . dass dieser Meister des Lebens wie ein Beamter aussehen musste ist österreichisch; so österreichisch wie der Wald, aus dem der mythische Holzfäller (in Die Schuldlosen) hervortritt.[5]

Broch's appearance has also been described by Jean Starr Untermeyer:

> Broch, though having the keenest eye and a mind which overlooked very little, was socially shy. There was nothing shy in his intellectual makeup. His was almost a Paracelsus character, Faustian in that he wanted to encompass the whole world of knowledge in his own Ego. In appearance he was tall, with extremely short overbody and overlong legs. He stooped as do many scholars. His head was arresting; of his face, with its prominent nose, its almost femininely sensitive mouth, but his piercing eyes and noble brow, one could only

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[5] "Zur Feier meines Ablebens", Der Monat, Sept. 1951, pp. 630-632.

> say that it deserved the designation of countenance. His influence over people was remarkable.[6]

The facts of Broch's life provide the temporal and spatial substance from which evolved the critical and literary writings expressing his concern with human personality and social organization. Not only the substance of all his writings, but also his means of communication have attracted attention to him. Indeed his creative art style may rank no lower than his humanistic concern in the history of literature.

In his autobiographical notes Broch states:

> Although dealing with the most urgent social questions of our time, my scientific work was unsatisfactory to me for two reasons; it had lost the metaphysical background which in the beginning had led me to philosophy, and it opened no possibilities for a direct and immediate approach to people.[7]

These words interpret the second major shift in Broch's career, that from theoretical study and writing to creative literary art. He became an artist with a mission rather than an abstract scholar or an aesthete. As he stated:

> The work of art has no longer any validity without a moral goal; the poet is once and for all denied the opportunity blithely to write as the spirit moves him, to be just a 'poet' and nothing more. Wherever and in whatever form the work of art appears . . . it is, in its ultimate derivation, the expression of the will to understand the world.[8]

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[6] Quoted by Stanley J. Kunitz in Twentieth Century Authors, 1st Supplement, New York, 1955, p. 123.

[7] Nachlass.

[8] Quoted by R. Hinton Thomas in Thomas Mann (Oxford 1956), pp. 7-8.

Broch's literary work consists of occasional essays, poetry and novels. By far his most substantial work is in the novel form and appeared at irregular intervals from 1929 to 1951, but chiefly in the thirties. His essays appeared originally in periodicals and books from 1917 to 1950.

Although Broch's international reputation is based chiefly on his novels, he has written substantial critical essays which give insight into his preoccupation with the relationship between literature and life and the ethical concern which underlay all his own literary efforts.

Among his outstanding essays are "James Joyce und die Gegenwart" (1936), first delivered as a lecture and then separately published; "Hofmannsthal und seine Zeit", an introduction to the Bollingen edition of Hofmannsthal's prose works (1950); an introduction to Rachel Bespaloff's Iliad; and "A Study in Mass Hysteria, a Contribution to a Psychology of Politics". In addition to these we have the essays in Die Schlafwandler, notably the series "Der Zerfall der Werte".

Broch's essays and novels both demonstrate a profound intellectual and ethical concern with the known and unknown potential of the human spirit in a highly developed civilization. Consistently he pressed literary forms into the service of humanity. This ethical compulsion is expressed by Erich Kahler in his "Einleitung" to the first volume of the Gesammelte Werke:

> Wenn wir den Urpunkt von Hermann Brochs Wesen erfassen wollen, so finden wir ihn . . . in der Grunderfahrung von der Flüssigkeit, Ambivalenz, Paradoxie der menschlichen Form, ein Ergebnis der neuesten Zeit. Sie war vorausgenommen von Goethe . . . sie war vorgespürt von Laurence Stern, Jean Paul, Kleist, den Romantikern und auch von Kierkegaard. Aber erst in unserem kritischen Zeitalter konnte es dazu kommen, dass sie die bahnbrechenden Geister, die am weitesten vorgedrungene Front unseres Bewusstseins, in wachsendem Mass beherrscht. So ist Hermann Broch wohl nur einer unter anderen, die von dieser tief beunruhigenden Erkenntnis mannigfaches Zeugnis gegeben haben; er teilt sie mit Rilke, Kafka, Joyce, André Gide, Virginia Woolf, Paul Valéry, Thomas Mann. Aber in kaum einem dieser grossen Autoren hat dieselbe Erfahrung einen so radikalen, so allumfassend akuten Ausdruck gefunden, in keinem von ihnen hat sie eine so überwältigende Vordringlichkeit und Eindringlichkeit gewonnen wie in Hermann Broch, dessen ganzes Leben davon erfüllt und bestimmt erscheint. Er war, er lebte die Paradoxie, und wiewohl sie ihn zerriss, zog er Früchte daraus.[9]

Broch's poetry is of a casual nature, ranging in length from a few lines to over a hundred, in subject matter from the personal to the natural and philosophic worlds. Also among Broch's minor works may be counted his two plays, "Denn sie wissen nicht, was sie tun" (1931) and "Die Entsühnung" (1933).

Of all his writing Broch's novels have claimed the most attention both in Europe and America. His absorption with epistemology led him into the realm of psychoanalysis and made him a devotee of both James Joyce and Franz Kafka. He became a seeker after the "absolute"--of truth, of human nature and temporal existence--an absolute he granted his

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[9] Broch's Gesammelte Werke (Zürich 1953-1961) I, 11-12. Further reference in footnotes to Broch's work will be indicated by GW.

Virgil only at the portal of eternity. Kahler has pointed out the close association of psychoanalysis with the titles of Broch's works:

> Schon die Titel der Brochschen Bücher sagen es aus, ja, mit Ausnahme von dem sachlichen "Tod des Vergil" ist es leicht variiert immer derselbe Titel: "Die Schlafwandler", "Die Schuldlosen", "Die Verzauberung",[10] "-denn sie wissen nicht, was sie tun-", "Die unbekannte Grösse". Alle diese Titel besagen das gleiche: den "Dämmerzustand" des Menschen zwischen seiner Schlafgebundenheit und seinem Fünklein Wachheit, das es anzufachen gilt.[11]

Broch's most pretentious work is the trilogy Die Schlafwandler, which appeared between 1929 and 1932.[12] In 1933 Broch's minor novel, Die unbekannte Grösse, appeared.[13] Broch's second most-noted work on both continents is Der Tod des Vergil, begun in his Nazi prison cell in 1938.[14] A monumental work evolved from his own political, psychological and intellectual experience, Der Tod des Vergil produced much interest and exegesis in Europe and America, both because of its form and its content.

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[10] An alternate title for the novel Der Versucher.

[11] GW I (Gedichte), 29.

[12] Translated into English by Willa and Edwin Muir, this work was published in America by Pantheon Books in 1947.

[13] Its English counterpart, The Unknown Quantity, was published in 1935 by the Viking Press.

[14] The book was translated by Jean Starr Untermeyer and published in English in 1946 by Pantheon Books and in German in 1947 by the Rhein Verlag.

In 1950 Die Schuldlosen appeared, a tour de force woven of the fabric of eleven "Novellen" written between 1917 and 1950.

Broch's third major work is Der Versucher, which went by other names during the process of writing and revising. It has variously been known as "Ein Jahr Gebirgseinsamkeit", "Die Verzauberung", "Der Bergroman", and "Demeter". Written in 1934 and 1935, it was revised and enlarged in 1936. These versions were followed by a third incomplete one in 1950 and 1951, the year of Broch's death. The novel was published in completed form in 1953 as the fourth volume of the collected works.

It is clear from a review of Broch's adult life that he was animated by more than the will to survive. He left a career as industrialist and public official to pursue the academic life. However, driven by a mission to influence contemporary society, he abandoned theoretical studies for literary writing marked by philosophical and psychological insight, by social and political concern. These qualities carried him again into the study of mass psychology, which he interrupted to complete Der Tod des Vergil and rewrite Der Versucher.

By heritage and by commitment Broch was a citizen of the world and a citizen of eternity. Student and thinker,

industrialist and artist, heir of the Judaic tradition[15] and imbued with Western European culture, he saw the eclipse of familiar political and cultural worlds. He witnessed their subjection to the destructive forces of two world wars and the economic, political, and social stresses preceding and following them.

A native of Europe, of German nationality, citizen of Austria, Broch yet adopted the United States not only as a geographical haven from a turbulent Europe but also as a cultural and spiritual refuge where he could continue his writing.

Recognition of Broch as a writer of importance has been widespread and consistent from the early 1930's to the present time. With few exceptions, however, the notice taken of Broch's work has been of a cursory or general nature, leaving particular aspects untreated and painstaking investigations largely undone.

The first serious criticism of Broch appeared upon the publication of Die Schlafwandler. Edward Muir, Fritz Lehner and Egon Vietta recognized this work as a noteworthy achievement. Muir[16] described the novel as essentially philosophic, one in which Broch poses the question

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15 By birth a Jew, Broch became a Roman Catholic as a young man; in later life he planned to return to Judaism.

16 Edwin Muir, "Hermann Broch", The Bookman (Nov. 1932) LXXV, No. 7, 664-668.

of human values in the modern industrial world and presents an answer based on recognition of the psychic needs underlying man's conscious thought and behavior.

In 1934 Vietta[17] dealt with both Die Schlafwandler and Die unbekannte Grösse. He identified the former as a novel of intellect rather than of entertainment or propaganda, referring to Novalis' theory and philosophical use of the novel form and to Giambattista Vico's polyhistoric views in the "Scienza Nuova". And even before Broch's essay on James Joyce, Vietta associated Broch's method with Joyce's. With respect to Die unbekannte Grösse Vietta compared the father, the "Nachtmensch", with the fathers in Stifter's Nachsommer and in Kafka's novels: the father cannot be known or attained, he is essentially inaccessible.

On the basis of Die Schlafwandler Lehner[18] characterized Broch as one of the new austere and earnest voices arising in the tradition of Hauptmann, Hofmannsthal, and Ibsen. He related Broch's writings to the cultural scene and stressed the suprarational nature of his work which goes beyond both science and speculation into the fields of epistemology and psychoanalysis. Both the problem of the validity of our sources of knowledge and the role of the

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17 Egon Vietta, "Hermann Broch", Neue Rundschau. (hereafter referred to as NR), 45, (Jan.-June 1934) 575-588.

18 "Hermann Broch", Life and Letters Today (Winter 1936-7) v. 15, No. 6, 64-71.

subconscious appear prominently in the trilogy.

The appearance in English of The Death of Virgil quickly revived interest in Broch. Within the next few years this long prose poem received much critical appraisal in the United States, England, Switzerland, Germany, and Austria. In Argentina an article on Broch appeared in La Nacion.

Attention was by no means limited to obscure or pedantic journals. The New York Times and The Saturday Review of Literature gave space to Broch, as well as The Kenyon Review, The Review of Politics, Neue Rundschau, The Nation, Die Weltwoche, Der Monat, Gate and the Wiener literarisches Echo.

Werner Vortriede in the Neue Rundschau[19] discussed the reason for the surprising impact of the Death of Virgil.[20] Broch deals in this book with a figure in world literature who stood at the temporal divide between pagan antiquity and the Christian era. Broch compared the historic confrontation of Rome and Christianity with the contemporary cultural crisis; by reason of his cultural heritage and personal experience Broch was able to bring into focus the decline of the West, particularly the fate of Germany, and

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19 "Hermann Broch: Der Tod des Vergil", Apr. 1946, pp. 373-375.

20 Cf. Broch's remark on its success, GW VIII (Briefe), 224.

the need for reappraisal of a world depleted of faith in traditional values.

Hannah Arendt in The Nation[21] placed Broch in a literary class with Proust and Kafka. She saw Broch as bridging the gap between past and future by his intense representation of the present dilemma of modern man's frustration in his search for meaning in life.

Both Vortriede and Arendt consider The Death of Virgil a statement of conviction that the artist must go beyond esthetics in his articulation of experience if his work is to be of permanent benefit to mankind.[22]

Hermann Weigand stressed the mystical aspect, relating the book to German medieval and modern mystics as well as to Hauptmann, Hesse, and Rilke.[23] Fritz Störri and Theodor Schulz treated respectively the literary and philosophical forebears of The Death of Virgil. Hannah Arendt increased general interest in Broch as a novelist by dealing with his Sleepwalkers and Virgil as a philosophic progression from disintegration to unity.[24] Victor Lange wrote an appre-

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21 14 Sept. 1946, pp. 300-302.

22 This is a conclusion anticipated by Broch in his characterization of Bertrand. Cf. GW II, 571.

23 "Broch's Death of Virgil", Publications of the Modern Language Assn. of America. LXII (June 1947), 525-554.

24 "The Achievement of Hermann Broch", The Kenyon Review, XI, No. 3 (Summer 1949), 476-483.

ciative study of Broch's work and significance for the Columbia Dictionary of Modern European Literature in 1947.

Broch's sudden death in 1951 naturally produced another round of commentary, much of it consisting of review and eulogy of the man and his writings. Vietta, who had early appreciated Broch, wrote a wide-ranging evaluation,[25] ranking Broch with such leading authors of the century as Eliot, Heidegger, Joyce, Valéry and Ortega y Gasset. Politzer stressed Broch's Judaistic heritage and literary characteristics, offering also some early critical attention to Die Schuldlosen.[26] Kahler characterized Broch as a mystic and logician, driven by an ethical ideal which never abdicated in favor of either art or philosophy.[27] Herd also saw Broch's work as evidence for cognition of a sort beyond philosophy and science.[28]

Broch was acknowledged in France by Michel Habart's article in Critique[29] and Jean Boyer's more extensive

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25 "Hermann Broch", Der Monat, III, No. 36 (Sept. 1951), 616-629.

26 "Die Schuldlosen", NR, LXIII (1952), 152-159.

27 "Rede über Hermann Broch", NR, LXIII (1952), 232-243.

28 "Hermann Broch and the Legitimacy of the Novel", German Life and Letters, XIII (1959-60) 262-277.

29 "Hermann Broch et les rançons de la création poétique," Critique, April 1954, pp. 310-322.

treatise.[30] The former stressed the problems of epistemology and release of the soul from form and time by death. Boyer stressed philosophical points of view dealing chiefly with the existentialist outlook. J.J. Anstett added to French awareness of Broch by his article linking him--as Vietta had done--with the entire 18th century Romantic philosophy in Germany.[31]

By this time criticism of Broch had developed a pattern by which his major works were characterized. New avenues of approach and analysis were not explored. The acceptance and respectability of Broch were sealed by his inclusion in many reference books, both histories of literature and dictionaries of 20th century authors in America and abroad.

The late appearance of Der Versucher stimulated Stössinger[32] and Schoolfield[33] to take a new look at Broch. Schoolfield took exception both to the title and to Stössinger's characterization of the novel, but their conflict concerns sources and background rather than the

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30 Allemagne d'aujourd'hui (Paris 1954), 60 pp.

31 "Le romantisme de Hermann Broch", Etudes germaniques, XI (1956), 224-239.

32 "Nachwort des Herausgebers", GW IV (Der Versucher) 555-595.

33 "Notes on Hermann Broch's Der Versucher", Monatshefte, XLVIII (1956), 1-16.

novel itself.

In the 1960's sporadic interest in the form and content of Broch's work has continued.

It is of particular interest for this dissertation that Gerald Harlass,[34] dealing with motifs in Thomas Mann's work, noted that no thorough work had been done on Broch with respect to motifs. It is hoped that this study will substantially correct that neglect.

2. The Schlafwandler Trilogy

Broch's Die Schlafwandler is a trilogy composed of Der erste Roman: 1888--Pasenow oder die Romantik; Der zweite Roman: 1903--Esch oder die Anarchie; and Der dritte Roman: 1918--Huguenau oder die Sachlichkeit. The second novel is somewhat longer than the first, but the third is double the length of the second. The variance in the size of the novels represents quantitative progression, widening scope and deep probing in Broch's work.

It is apparent from both Broch's titles and from the text that the first novel not only unfolds a historically early social complex, it also provides the raw materials--cultural milieu, characters, and emergent problems, in short, the embryo--for the subsequent novels. Broch adopts an organic, evolutionary, and cyclical view of history.

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[34] "Das Kunstmittel des Leitmotivs", Welt und Wort, XV, 267-269.

The trilogy proceeds from the assumption that communication reflects culture. Hence the first volume, set in the Wilhelmine period of German history, shows the organization and style of the traditional novel of the nineteenth century, e.g., that of Fontane and Stifter, with whose works this first novel almost inevitably lends itself to comparison. The second novel, Esch, deals primarily with the masses, its chief characters moving on the fringe of economic stability and cultural advantage. Both in milieu and structure this novel is comparable to Döblin's Berlin Alexanderplatz and Kafka's Das Schloss. The final novel of the trilogy shows a further development, uniting the various elements of the trilogy in new social and psychic crises; Broch's treatment of this phase is in the manner of Virginia Woolf's Jacob's Room and Proust's Remembrance of Things Past.

A brief résumé of each novel will be presented as a background for the study of motifs and themes in the trilogy. The mechanics of organization throughout the trilogy are not fortuitous nor superfluous. Broch employs everywhere an architectonic scheme, utilizing simultaneous development of characters, overt incident, and reflection on both the conscious and subconscious levels. The major phases of the action are, of course, indicated by the chapter divisions, but their ultimate significance derives from the steady flow of tributary incidents and reflections presented in the

smaller divisions of the novel.

The first chapter of Pasenow introduces and characterizes both explicitly and implicitly industrial and imperial Germany and the Junker caste of East Prussia. The juxtaposition of urban and rural cultures soon develops as a major motif in the novel. The contrasting cultures are etched in the personalities thus developed in this first chapter.

Pasenow, the young officer of Prussian and Protestant background, is dedicated to the preservation of God, home and country as his part of a mutual-reassurance agreement; he conceives of himself as a carrier of tradition. He and his heritage support and protect each other. The elder Pasenows appear as the appropriate ancestral ingredients of the young officer, completely conventional--at least while in the public eye. At home on the family estate in the accepted custom of primogeniture is Helmuth, the elder brother, whose life is soon cut short by a duel. "Er starb für die Ehre", repeats the father, somewhat hollowly but proudly. The duel as an honorable element of existence emphasizes the conservative nature of provincial society.

Completing the picture of the landed gentry is the Baddensen family, neighbors of the Pasenows. Elizabeth Baddensen is considered a suitable match for Joachim von Pasenow, especially after Helmuth's death, when he becomes sole heir to the family estate. Elizabeth appears at first

as a colorless and proper heir of her tradition.

The "patriotic", "Christian", "idyllic", and "decent" people in the first chapter are supported by the clergyman who visits the Pasenows upon the death of Helmuth; he also represents to the elder Pasenow surety for the life beyond.

Earthly infringements on the soul are supplied by the Bohemian café-girl Ruzena, who whets the sensual appetites of both elder and younger Pasenow, and by Bertrand, the entrepreneur, who deliberately left an officer's career to make his way in the world of trade. Ruzena and Bertrand exhibit amoral involvement in this world and its challenges--Ruzena as the eternal female element, maternal, generous and sensuous; Bertrand, intellectually superior and competent as a businessman, has adopted a rationality and cynicism which inures him to the restrictive conventions and judgments of his contemporaries. The challenge of his personality is attested by the irresistible appeal he exercises on Joachim von Pasenow, who by heritage and career is opposed to the ideas and activity of Bertrand, a "renegade" from an honorable military career, from traditional Christianity, and from conventional society.

The second part of Pasenow presents the provincial life of the Pasenows in Stolpin and of the Baddensens in Lestow. Bertrand and Joachim both visit the elder Pasenows and Elizabeth Baddensen. Bertrand has succeeded in "elevating" Ruzena from her cabaret job to that of a chorus

girl on the stage. She has become Joachim's mistress, a relationship offering pleasures tempered by his idealization of Elizabeth, whom he places spiritually and emotionally in a different world from the sensual one of his affair.

During the visit to the Prussian estates, Bertrand "objectively" falls in love with Elizabeth, that is, he rationally describes to her his own and her feelings, as well as his complete lack of intention either to seduce or marry her. This indicates Bertrand's consistent challenge of the conventions of courtship and marriage. In fact, he will forthwith leave her life, and he gives his tacit blessing to the conventional marriage and future she will have with Pasenow.

Clearly Bertrand is an intruder from a new insurgent world of thought and behavior. Both Elizabeth and Joachim experience a reluctant but undeniable attraction to Bertrand's forthright expression unimpeded by any allegiance to tradition. The contrast is the greater because of the serene landscape and quiet routine of life in the province--rural, uneventful, ordered, predictable because dedicated to the past. Any anxieties or concerns are either a superficial element in the daily routine, such as the elder Pasenow's obsession with the mail deliveries, or too profound to find articulation because that would openly challenge the basic assumptions by which the Pasenows exist. Only to Bertrand does the elder Pasenow, almost in his

dotage, intimate that an existential anxiety presses into his life which the certainties of convention could not completely suppress.

The conventional life dominates the second part of Pasenow, overriding even Bertrand's presence and Joachim's haunting memories of Ruzena. And although Elizabeth is shaken to her depths by Bertrand, yet the triumph of convention and the past is assured with the customary sounding of the dinner gong regulating a segment of human life, as other means were employed to channel the rest of life without lasting discomfort.

The last part of Pasenow divides our attention between city and country. Old Pasenow, senile and embittered, nears his end. Young Pasenow has settled a pension on Ruzena and proposed to Elizabeth. Elizabeth visits Bertrand, accidentally shot by Ruzena, who believed he estranged her from Joachim. Elizabeth receives final assurance that Bertrand has no further intention with respect to herself, although they do love each other. She therefore accepts Joachim's proposal, both families rejoicing at this arrangement which so suitably unites names and estates. The marriage takes place, and in spite of Joachim's distant adoration of Elizabeth, the final and shortest (5 lines) section of the novel relates that after 18 months the young couple had a child.

Pasenow began with the elder Pasenow visiting his son

in Berlin, continued with the traditional setting of the Pasenows and Baddensens in the country, contrasting their rural and cohesive life with the unorthodox disruptive urban life represented by Ruzena and Bertrand. The novel ends with the young Pasenow and the young Baddensen begetting a new generation in the unchanged ways of the old. But intrusive and disturbing elements of a new society have already encroached on the quiet life of the religious, patriotic, and rural conservatives of the generation of 1888, the Wilhelmine era. It was in 1888 that Emperor Wilhelm I died.

The second novel of Die Schlafwandler is entitled: 1903--Esch oder die Anarchie. Generally similar to Pasenow in external structure, Esch shows an internal shift from the dominent elements of the old society to the emerging elements of a changed society; the result is a sharper focus on the human problems.

In the first chapter the title character, August Esch, a cashiered bookkeeper, finds employment with a Mannheim shipping firm whose president is Eduard von Bertrand, one of the leading figures in Pasenow.

Esch has left behind in Cologne only Mutter Hentjen, a rather dour widow who owns and manages a restaurant largely frequented by laborers and by Martin Geyring, the crippled labor leader who serves as a kind of embodiment of "anarchy" on the social level, although he exercises sane

and patient leadership in the struggle of labor against the combined forces of government and capital.

In his new home Esch lives with a toll collector, Balthasar Korn, and his unmarried sister, Erna, both of whom have a prounounced desire to bring Esch into their family.

At a variety show Esch becomes acquainted with a dagger-thrower, Teltscher-Teltini, and his stage assistant Ilona, a young Hungarian woman. The theater manager involves the Korns, Esch and the Teltscher-Ilona combination in a plan to form an independent acting group to perform in America. Esch is to raise the funds. For him this commitment is religious, focused on the liberation of Ilona from her dangerous plight in the dagger act. He idealizes Ilona much as Pasenow had idealized Elizabeth.

The final figure in this chapter is Fritz Lohberg, a tobacco shop keeper who abstains from tobacco, liquor and meat and is in turn wooed by Erna Korn when she realizes Esch's "anarchic" sensual desires are quite unrelated to any prospect of marriage with her. The chapter ends with Esch leaving his bookkeeper's job to devote full time to his theatrical project.

The world of 1903 was foreshadowed by Bertrand in 1888. The foremost element of society is business. Organized labor takes the place of state and church. The theater is an element in common with Pasenow, but this time it is seen at the stage-door rather than from the spectator's

table. Esch recognizes the innate wrongness of situations about him and is imbued with a religious zeal to set things right. As a bookkeeper he becomes obsessed with balancing the credit and debit accounts not of business alone but also of society. The chapter ends with a reference to the defiant quotation from Goethe's Götz von Berlichingen with which the chapter began.[35] Esch is on the move to establish righteousness--and it is clear he himself will decide the definition of that term.

The second part of Esch finds him back in Cologne occupied with theatrical matters. He recruits women wrestlers, among them Ruzena Hruska, Pasenow's discarded mistress, now round and fat, using the same bad German but proudly refusing the degrading job of wrestling. Esch's search for female wrestlers and even for "Weiber, die was gleichen" in case the theatrical business does not succeed, leads him also into homosexual establishments. In one of these he verifies the report that Bertrand is a sexual deviate.

For Esch this discovery is a weapon in his fight for justice. He has failed to get into print a letter protesting Martin Geyring's arrest at a meeting of a labor group opposed to the Bertrand shipping firm. Esch reckons

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[35] Cf. GW II (Die Schlafwandler) 173, 234; also GW VIII (Briefe), 50. Subsequent references to Die Schlafwandler will appear as: GW II.

that if Geyring cannot be released in a "righteous" cause, perhaps at least Bertrand at the other end of the scale can be destroyed for his "unrighteous" conduct.

The third section of this novel continues the theatrical venture in Cologne as preparation for the trip to America, which Esch has also promised Mutter Hentjen, who has become Esch's mistress after a grotesque courtship reminiscent of episodes in Kafka. In Mannheim Erna has taken possession of Lohberg--to her regret, only platonically. Balthasar Korn and Ilona have made cohabiting arrangements. Esch continues to supervise the theater manager Gernerth and the dagger artist Teltscher, trying to protect the investments of Erna and Fritz as well as of Mutter Hentjen and himself, and at the same time to secure the "liberation" of Ilona from the knife-throwing act and especially from Balthasar Korn's lustful arms. Esch continues to feel responsible for Martin Geyring's imprisonment and visits him in Mannheim.

In the third chapter Esch after much torment and reflection confronts Bertrand, the "unrighteous" one who is at liberty in his guilt while Geyring in his innocence is imprisoned in a righteous cause. Bertrand divines the psychological state and evangelistic zeal of Esch and treats him as a guest, knowing at the same time that his own life is threatened by Esch's simplistic logic and compulsive behavior. They part civilly, but shortly thereafter Esch,

having written out his charge against Bertrand, reads of Bertrand's death, presumably by suicide. Esch feels he has vindicated Geyring.

The theatrical venture ends in failure and bankruptcy after Mutter Hentjen has mortgaged her restaurant to help out the theater group. The dream of America is dead. Erna will marry Lohberg, Esch will marry Mutter Hentjen. Esch's dreams of salvation, of righting what is wrong and balancing the books, have been dealt a severe blow. His naïveté has been confronted by the complications of secular, urban, and industrial society, whose value judgments have proved a matter more of relative expediency than of absolute justice. Esch gains firm ground in the brief final section when he finds employment once more as a bookkeeper--thus balancing the beginning of the novel when he lost a job as bookkeeper.

In Esch Broch breaks away from the pure epic form of Pasenow. The narrative progression is interspersed with Esch's stream of consciousness. More boldly, fragments of conscious and subconscious experience occur even in conversation between Esch and an acquaintance, the latter unaware of the mental associations spurring Esch's responses. Broch also introduces commentary as a psychological accompaniment to Esch's trip to confront Ber-

trand.[36] These reflections illuminate the struggle Esch experiences to accommodate both his rational and irrational objectives. The first reverie treats of dreams, goals and death; the second of sacrificial death and redemption; the third deals with the anxiety of the man who fears the strength of his dream and his conscious knowledge of it. The reveries are a compact revelation of all that motivates Esch. They rationalize his fanaticism, his serio-comic distortions of reality, his walking with one foot in each of two worlds, his continuous desperate conversations with himself.

In the single titled section ("Der Schlaflose") of the third chapter, Broch records Esch's mental processes as he lies awake struggling to reconcile objective expression with the subjective need for justification.[37] As usual he does this by identification, substitution, and pairing-off. It is his greatest accounting achievement; he goes to sleep with the knowledge that he has counterbalanced the visible and invisible, the past and present, sacrifice and redemption. No auditor could wish a finer set of books.

The third novel, 1918--Huguenau oder die Sachlichkeit, constitutes the bulk of the trilogy, almost half in volume.

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[36] GW II, 314 ff.

[37] GW II, 334 ff.

There are further departures from the preceding novels. Broch includes within this novel the "Geschichte des Heilsarmeemädchens in Berlin", a title which heads 16 chapters in different parts of the novel, each of which is separately numbered to indicate its relation to the preceding but frequently distant section; e.g., chapter 41 of Huguenau contains the 6th section of the Heilsarmeemädchens sequence, which is resumed in its 7th section only in chapter 49 of Huguenau. The last segment of this occurs in chapter 86.

A technical parallel to this device occurs in the case of the "Zerfall der Werte", an interspersed sequence of 10 essays beginning in chapter ten and concluding with chapter 88, the last of the volume and of the trilogy. Three of the series are further entitled "Logischer Exkurs", "Historischer Exkurs", and "Erkenntnistheoretischer Exkurs".[38] Three other chapters bear titles in addition to numbers: chapter 33 bears the heading "Leitartikel des 'Kurtrierischen Boten' vom 1. Juni 1918"; chapter 59 is headed "Das Symposium oder Gespräch über die Erlösung", a dialogue; and chapter 60 "Siegesfeier des Vereins 'Moseldank' in der Bierwirtschaft 'Stadthalle' zur Erinnerung an die Schlacht bei Tannenberg." Finally, chapter 85 is entitled "Keiner sieht den andern im Dunkeln". The external organization of

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[38] Chapters 34, 55, and 73 respectively.

Broch's novels are organically related to the narrative and philosophic structure.

The disintegration of values which was anticipated in Pasenow and evident in Esch comes into full view in Huguenau. Broch's literary form expresses the disappearance of traditional standards. Although clearly a novel and predominantly epic in form, Huguenau's distinctive technical characteristic is its openness. Narrative is interlaced with essay, poetry, drama, editorial material, as well as stream of consciousness. Paralleling the society it observes, the novel is dissolved into disparate but related forms.

The gross content of this third novel continues the lives of the main characters of Esch cast in different roles. Esch appears as owner and editor of the "Kurtrierscher Bote". At the beginning of the novel a free-thinker and radical, Esch becomes at the end a fervent apocalyptic Christian, moved to religious mysticism by the desperate human situation he sees around him.

Major Pasenow appears in this novel as the white-haired commandant of the town, formally religious and patriotic as he was a generation ago. He has already lost one son in the war and thinks his second may have to serve.

The title character, Huguenau, is a deserter and entrepreneur several degrees more predatory and cynical than

Eduard von Bertrand of the preceding novels. Indeed, Huguenau becomes the amoral substitute for Bertrand. Wandering into town, he immediately starts planning the acquisition of vineyards and Esch's newspaper at no cost to himself. Eventually Huguenau manipulates the Major and Esch, acquires the newspaper through misrepresentation, and proceeds to use it to discredit Esch and to embarrass the Major. Envying Esch his conjugal comfort with "Mutti Hentjen", Huguenau on a day of revolt and disorder in town rapes Mrs. Esch and murders Esch himself. Pasenow, wounded in the revolt, apparently suffers brain damage. Thus the field is cleared of all potential obstacles to the resurgence and dominance of Huguenau, the new man, philistine, merchant and opportunist. He soon leaves for his native Alsace to carry on his father's business, marries a Protestant German girl and although a freethinker, a cultural descendant of Bertrand, for convenience he becomes a nominal Protestant. Huguenau begets a family and receives respect and deference as a prosperous and industrious member of the community. But he remains a thwarted personality, less than human in his relationships, still essentially the beast in the jungle.

Against the major developments of the novel are placed the separate tragedies of wartime: the "resurrection" and bizarre after-life of the invalid Gödicke; Hanna Wendling's dissociation from life before and after her husband's

military leave; the disintegration of Lieutenant Jaretzki in the face of guilt and atonement.

Religions and philosophic reflections are concentrated in the "Geschichte des Heilsarmeemädchens" and the "Zerfall der Werte", but their organic relevance in the novel lies in the confrontation of each character with the ultimate questions of life and love, procreation and death, humanity and meaning. "Salvation" becomes more than a religious slogan; it is for each an agonizing need to restore worth to existence and hope to survival. Broch draws these lines together in brief characterizations late in the novel.

The trilogy ends with a disquisition on the balance and imbalance of the rational and irrational in human life, on the need for an absolute and innate faith in the nature of humanity which longs for fulfillment rather than fragmentation.

The trilogy, which began with a well-ordered world, ends in apocalyptic disintegration. The anxious concerns of Pasenow and Esch and the intellectual sophistication of Bertrand are symbolically banished with the death of each. The only title-character remaining is Huguenau, the amoral, calculating non-hero, the acquisitive exploiter of his social environment.

The judgment on Huguenau is mixed; he is "wertfrei", hence a new man or second Adam; but he creates no ethical values, thus betraying his potential. Born a slave to

society and tradition, he voluntarily returned to slavery, as the Israelites would have returned to Egypt but for Moses.

Consonant with the cyclical theory of history, Esch the Catholic and erstwhile freethinker becomes a Protestant, finding eventually only in a private mysticism the possibility of regeneration for mankind. This unites him at the zealot's level with Pasenow at the formalistic level. The two make common cause against the amorality and inhumanity of the new era introduced by the long war. Both the generations of 1888 and 1903, adhering to a "rational" organization of human life, Christian and Socialistic, are finally overtaken by the generation of 1918, the era of social and psychic dissolution spawned by the war. The first novel proceeds in the rational conservative tradition of the latter half of the 19th century; the second novel commingles the rationalism of the 19th with the irrationalism of the 20th century; the third novel shows man's desperation fittingly expressed in a dominant irrationalism, an abandonment of institutional authority and an exploration of life unimpeded by traditional religion or philosophy. The potentiality of the individual liberated from tradition establishes a new point of departure.

The ordered world of society is a slave organization; its persistence on the basis of faith, sentiment, habit, and inertia becomes irrational. The individual seeking to

divest himself of this encrustation of form and convention becomes thereby rational, although the irrational elements of his personality have something to do with his self-assertion, much as the irrational elements have something to do with those who prefer organizational conformity to personal freedom. In this way Broch shows Pasenow and Esch as relics of a passing order, dependent on past or hoped-for patterns by which to live. Huguenau, although he is too gross to recognize the threshold of freedom, for a short time is a kind of prototype of man emerging from the well-ordered confinement of social organization into a self-determined and meaningful existence.

Throughout the trilogy a number of motifs express and support the themes of the work. These in turn throw into clear relief the refinement of meaning and organization which lend significance to Hermann Broch's work. Motifs and complexes of motifs will first be considered. After they have been identified and traced throughout the trilogy and through their own stages of growth, themes deduced from them will be discussed.

3. Statement of the Problem

This dissertation is concerned with the motifs and themes in Broch's trilogy entitled Die Schlafwandler, in which are found social and philosophical interests and literary methods reminiscent of Dostoevsky, Proust, Joyce

and Kafka.

Broch's address on James Joyce and his great admiration of Franz Kafka,[39] as well as his Viennese associations, align him with a generation of writers who in their works expose the problem of meaning in modern life. In an age of technology they call attention to the uniqueness and needs of the human spirit. Peculiarly relevant to the contemporary scene, Broch was deeply concerned with the problems of individual ethics and social values. His work expressing the conflict and relationship between these areas has significance transcending his own time as he speaks of the essential and continuing condition of humanity.

Broch experimented boldly with the novel form. He exploited the novel's historic possibilities, making use of traditional epic narrative, the stream of consciousness, simultaneous development of character and situation in different but related essayistic and poetic interludes. Among his most effective means of communication are the motifs of his novels.

Although Kahler and others[40] have made general reference to themes in the novels, and Michel Habart and

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[39] Cf. GW VIII (Briefe), 282, 286, 312 et al.

[40] Boyer, Fechter, Grenzmann, Politzer, Thomas, Wiegand.

Joseph H. Bunzel have referred to motifs in Der Tod des Vergil, no specific, thorough study has been published on this subject with respect to the trilogy. This vacuum was recognized by Mandelkow:

> Es lassen sich in dem Werk eine ganze Reihe weiterer solcher Motiv- und Symbolreihen aufweisen, die sich überkreuzen und überschneiden und deren genauen Analyse ein kompliziertes Beziehungsgeflecht ergeben würde.[41]

Analysis of the motifs and themes is necessary for the better understanding of the trilogy and for appreciation of Broch's technical achievement. Although Harlass and Mandelkow speak of motifs alone, it seems clear that the motifs possess organic significance only as they are related to the themes of the work. The motifs conversely serve to illuminate and elaborate the themes. This study will therefore embrace both motifs and themes. Because of Broch's wide range of thought and experience, his trilogy contains a challenging abundance of material for such a study.

Broch's major novel has been selected for this study because it represents Broch in a very substantial and comprehensive way. In this work the author treats individual and community relationships and crises on a broad

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[41] Karl Robert Mandelkow, Hermann Brochs Romantrilogie (Hamburg 1958; Heidelberg 1962), p. 112. Mandelkow himself examined the "Park-Schloss" motif, pp. 106-112.

front and in considerable depth, ranging across different milieus of time and space and dealing with an inclusive spectrum of social classes.

Broch's other sustained novel, Der Versucher, concerns more narrowly community relations and mass psychology from an essentially religious point of view. Broch's lyrical monologic novel, Der Tod des Vergil, and the episodic novel, Die Schuldlosen, on the other hand, treat more narrowly the individual in historical crisis, posing the ethical problems involved, respectively, in over-commitment to and disengagement from one's own generation. Of Der Versucher, Ziolkowski makes the following statement: "Like The Sleepwalkers, this novel deals with a critical year in which traditional values are threatened by the intrusion of irrational forces."[42] In some degree this statement is applicable to each of Broch's novels.

Although each of his works is replete with a wide range of cultural implications, Die Schlafwandler deals in both general and specific instances with the psychological and philosophic context of human life. Each of Broch's works has a unique quality, yet in his several works he produced variations on themes of the human

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[42] Theodore Ziolkowski, Hermann Broch (Columbia Essays on Modern Writers, No. 3), (New York 1964), p. 24.

condition.[43] This thematic similarity arises quite naturally from Broch's intellectual convictions, esthetic interest, and ethical concerns. His own immediate experience of the "transvaluation of values" in Europe before and between two world wars inevitably led to his involvement with basic questions of existence, meaning, value, and the nature of personality. This indivisible involvement is reflected in each of his novels.

Die unbekannte Grösse bridges the trilogy and the Tod des Vergil. Conventional in form, it presents, as do Broch's major works, the struggle of personality to harmonize the rational and irrational springs of human fulfillment, but this work does not have the polish and unity of the other novels and is therefore not thoroughly rep-

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[43] In this connection, Karl A. Horst makes a surprising overstatement: ". . . Broch produced the astonishing linguistic creation Der Tod des Vergil, which presents not a single feature which could lead one to suspect that it was written by the same author as Die Schlafwandler." Anatomy and Trends of 20th Century German Literature (München 1964), p. 83. Aside from the general similarities of motif and theme, the outstanding characteristic of Der Tod des Vergil, the interior monologue, is also a marked feature of Die Schlafwandler. The special concern with absolute value, "der Griff nach Totalität", as Horst calls it in another work (Die deutsche Literatur der Gegenwart, München 1957, p. 104), is also a major characteristic of both works. The involvement with relationships, death, vitality, and social concern are unmistakable in both works. In fact, the cultural crisis of the times is patently common to both works, carrying with it the aura of "noch nicht und nicht mehr", a term often used to characterize Broch's novelistic world.

resentative of the mature Broch. Ziolkowski states (p. 23): "The basic pattern is again the 'irruption from below'". This is also a feature of Die Schlafwandler, particularly in the figures of Joachim, Esch, Hanna Wendling, and Huguenau.

Der Tod des Vergil, although certainly a major work, has not been chosen as the subject of this study because it is stylistically unique, does not provide a large diversity of motifs and themes, and has already received considerable analytical attention.[44] Its concern with epistemology and ultimate values, moreover, parallels the elaborate Schlafwandler. Finally, the basic situation of the individual caught within a critical transitional period of history met in Die Schlafwandler is treated again but in more concentrated and less panoramic form in Der Tod des Vergil.

Die Schluldlosen is a recent reorganization and edition of separately conceived and previously published "Novellen", with the addition of some new chapters. It is of great interest in its own right but is more tendentious and less cohesive than Die Schlafwandler. It

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[44] Including a brief reference to motifs in Der Tod des Vergil, by Joseph H. Bunzel, "Hermann Broch as Teacher", Books Abroad (Winter 1952), v. 26, No. 1, pp. 31-32.

duplicates to some extent the form and themes of the latter, has three time divisions and describes the decades leading up to the Nazi regime in Germany. The novel also involves Freudian as well as ethical problems of human existence, categories of concern it has in common with Die Schlafwandler. Finally, it carries the same burden of the individual's human and social responsibilities typical of the trilogy. As the publisher asserts: "Mit den Schuldlosen hat der Dichter des Tod des Vergil die Linie seiner Romantrilogie Die Schlafwandler wieder aufgenommen."[45] Die Schuldlosen indeed has elements in common with both the trilogy[46] and with Der Versucher. The three works have in common social and ethical problems, dominant female figures, mounting personal and cultural crises, and the element of "sleepwalking".

Die Schlafwandler may serve as a portmanteau of Broch's novelistic repertoire; I shall therefore limit my study to the motifs and themes of this trilogy, Broch's most ambitious and inclusive work. My intention is to produce useful insights into Broch's method and his message, as well as to encourage future studies of this

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[45] On the jacket of the 1950 edition of Die Schuldlosen, Rhein Verlag, Zürich.

[46] Ziolkowski, p. 40: "Like The Sleepwalkers it (The Innocents) is architectonically structured, spanning the full gamut of styles from lyricism to essayism."

nature respecting Broch's other works.

My study will be confined to a systematic disclosure from primary evidence of the motifs and themes in their essence and in their relationship to each other. In the process I shall attempt to avoid both the labyrinths of speculation and the dry wells of general interpretation.

It must further be stated that the study cannot, for practical reasons, be an exhaustive one. The wealth of motifs and leitmotifs in the trilogy necessitates concentration on a number of the major motifs and a sampling of leitmotifs. However, the motifs treated will be inductively identified, documented, classified and analyzed as a basis for deduction of the themes of the work. This process will, hopefully, produce a clear appreciation of Broch's adoption and development of the motif as a vehicle for his themes. Specifically, the nature of the motifs themselves will be revealed and their role in supporting the particular themes they convey.

The first concern of this study is to arrive at a useful concept of the terms "motif" and "theme".

The concept "theme" in literature may range from a simple synonym "Begriff"[47] to an elaborate definition.

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47 Wolfgang Kayser, Das sprachliche Kunstwerk (Bern 1962), pp. 62 and 79.

Fortunately basic agreement exists on the meaning and implication of the term "theme": it is "the dominating idea implicit in the whole composition",[48] "the subject of discussion, the underlying action or movement or the general topic of which the particular story is an illustration",[49] or "der Grund- und Leitgedanke eines Werkes".[50] From these and other definitions we may accept the following statement as a guide for the use of the term in this study.

By "theme" is meant an underlying idea substantially represented in the complete novel. This definition allows for a complex of themes within a single novel--not only a possibility, but in the modern contemporary novel to be expected.

"Motif" appears as an "ultimate plot element" with "double reference to structural and narrative composition".[51] It can be described as "eine typische

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[48] Dorothy Brewster and John A. Burrell, Modern World Fiction (Ames, Iowa, 1953), p. 185.

[49] Joseph T. Shipley, Dictionary of World Literature (New York 1953), p. 417.

[50] Gero Wilpert, Sachwörterbuch der Literatur (Stuttgart 1955), p. 600.

[51] René Wellek and Austin Warren, Theory of Literature (New York 1949), p. 225, 335.

Situation, die sich immer wiederholen kann . . . eine typische und das heisst also menschlich bedeutungsvolle Situation".[52] In contrast to a theme, it is concrete and specific, serving as a vehicle to carry forward, reveal, and illuminate a theme. Kayser further refers to "Motif" as "Problemträger" and "Seelischer Antrieb".[53] Harlass makes a useful distinction between "charakterisierende und thematische Motive", the former corresponding to the leitmotif, which indicates a standard condition or circumstance characterizing a person, rather than a situation, i.e., a "thematic" motif.[54] Peacock further identifies the leitmotif as a "Stimmungsmotif" and writes: "Motive sind die äusseren abwechselnden Zeichen für den inneren einfachen Vorgang".[55] Thematic motifs, however, repeatedly present significant pregnant situations which indicate and impel the theme of the work. Peacock has put it succinctly: "Die Struktur des Gebäudes ist schon da; das Motiv beleuchtet sie".[56]

In this study "motif" is considered to be a recurrent characteristic and concrete description or situation which

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52 Kayser, p. 60; cf also pp. 69-71.

53 p. 322.

54 v. footnote 34 above.

55 Das Leitmotiv bei Thomas Mann (Bern 1934), pp. 6, 27.

56 ibid, p. 14.

illustrates an underlying abstract idea of the work and thus helps to develop the theme(s) of the narrative to a conclusion.[57]

The leitmotif is also characteristic of Broch's trilogy. In this dissertation "leitmotif" means a typical recurrent characterization which establishes or maintains an attitude towards a character in the novel. A leitmotif may refer directly to a character or to an object or situation, but its distinguishing feature is its epithetic rather than narrative nature; the leitmotif bears a psychological relationship to a personality. Typical examples of the leitmotif in this sense are found in Thomas Mann's Tonio Kroger, e.g., "der Walnussbaum" and in Tristan: "das kleine, seltsame Ding-derchen".

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[57] In addition to authors referred to, respecting the terms "theme" and "motif", substantial agreement on characterization and distinction of the two terms is to be found in the following sources:

Elisabeth Frenzel, Stoff-, Motiv- und Symbolforschung (Stuttgart 1963), esp. pp. 26-33.

Wilhelm Kosch, Deutsches Literatur-Lexikon (Bern 1955), v. II, 1782.

Paul Merker und Wolfgang Stammler, Real-Lexikon (Berlin 1925-1931), v. II, 412-415.

Melvin M. Rader, A Modern Book of Esthetics (New York 1935), pp. 235 ff.

CHAPTER TWO: MOTIFS AND THEMES

Section 1: Motifs of Negation

Die Schlafwandler is based on social and political history. Within the period indicated by the titles, 1888 to 1918, the realities and problems of life in Germany are prominent. However, the trilogy can also be considered a sample of the cultural crisis that confronts humanity in different eras and locales. In fact, this kind of crucial situation is Broch's "world" in each of his literary works. Hence, as real as the background situation are the philosophical and religious allusions, sometimes Biblical, sometimes mythical. Broch's wrestling with the central problems of human existence gives him literary and spiritual kinship with the psalmists and prophets of the Old Testament and with the epic poets of the modern age, Dante, Milton, Goethe.

The motifs found in Die Schlafwandler are of three sorts, negative, ambivalent, and positive. That is, one series of motifs clusters around criticism of society; another set expresses uncertainty and isolation of the individual; and a third series deals with the redemption of

personality within society. To the first series belong the following motifs: Mephisto, the sex deviate, the renegade, the slough, the machine as a manifestation of evil, the city's pollution, the dishonest merchant, and poison gas. The middle range of motifs embraces the father-son conflict, the Oedipus complex, the protective uniform, the crutch, "Mignon", trauma, the bed, the rebel, and motifs of ailing--sentimental inertia, "sleepwalking", and the Doctor motif. To the third series of motifs belong the Utopia complex, the Judge and Redeemer motifs, and the Madonna motif.

Broch's alternate titles with their dates for the three novels of his trilogy are hardly necessary for the recognition in Pasenow, for example, of the existence of a challenge to a "romanticism" involving traditional concepts of social behavior, civic devotion, and religious commitment summarized in reverence of the past. Broch supplies a number of motifs to develop and carry forward both the narrative and the themes.

A complex of motifs related to the Mephistophelian appears in Die Schlafwandler as a whole and is introduced in the first novel, Pasenow. The Mephisto motif dominates the group and is closely related to all the motifs of negation developed in the trilogy.

The Mephisto Motif

Mephisto as the representative of the dark realm, the tempter and especially the force which seeks to negate all man's accomplishments including his set of moral values provides a motif throughout the trilogy that appears first in the person of Eduard von Bertrand. Bertrand is completely worldly, as the devil is himself "the prince of this world".[1] Bertrand is not settled; he is engaged in an import business and plans to travel abroad. This, too, conforms to the Biblical pattern of the devil, "going to and fro in the earth, and walking up and down in it".[2]

Bertrand persuades, leads and reasons with Pasenow so that this conventional, provincial officer and Christian becomes bewildered and insecure--an Adam after the temptation of Eve. Bertrand guides Joachim in his affair with Ruzena as Faust is guided by Mephisto in his affair with Gretchen. Completely cynical about accepted conventions and what he considers the sophistry underlying them, Bertrand attacks beliefs and behavior, undermining relationships and shaking souls. To Elizabeth von Baddensen, Pasenow's prospective bride, he says his desire

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[1] John 12:31.

[2] Job 1:7.

is "einen Stein in den Brunnen Ihrer Seele fallen zu lassen, damit er unverlierbar dort ruhe".[3]

Naturally, the devil is offensive only in the context of a traditional society which both believes in the devil and is opposed to him. Such a society Pasenow represents. Bertrand represents the age of positivism and capitalism, the supplanting of provincial values by metropolitan standards, the revolt of personality against institutions. Bertrand's Mephistophelian properties can readily be identified by surveying some of his actions, effects and mutations throughout Die Schlafwandler.

The very first reference to Bertrand, before he physically enters the narrative, presents him as a suspicious figure:

> Nun da . . . tauchte plötzlich Eduard v. Bertrands Bild vor ihm auf, und es war ihm angenehm, dass die Zivilkleider keineswegs mit solcher Selbstverständlichkeit an ihm sässe wie an diesem Menschen, den er im stillen manchmal einen Verräter nannte. Leider war es ja vorauszusehen und zu befürchten, dass er Bertrand in den Lokalen der Lebewelt, die er heute mit dem Vater besuchen musste, antreffen werde, und schon während der Vorstellung im Wintergarten hielt er Ausschau nach ihm und war sehr mit der Frage beschäftigt, ob er einen solchen Menschen mit dem Vater bekannt machen dürfe. (p. 14)

It is hard to conceive of Bertrand as Pasenow's most intimate friend when the above passage is considered, and

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[3] GW II (Die Schlafwandler), 102. (Further references to this work will be indicated as page numbers in parentheses in the text itself.)

yet he is that, perhaps as a familiar spirit or a demon possessing Pasenow's soul. The above passage casts a shadow over this as yet unseen figure. He dresses in the "inferior" clothing of the civilian, having abandoned a military career. It is implied that he leads a lurid night life. Pasenow even doubts that he should expose his father to Bertrand, for Joachim sees Bertrand through the eyes of tradition and condemns him.

But Pasenow has ambivalent feelings about Bertrand. Different as the two are in their thinking and way of life, Pasenow values Bertrand's friendship. The elder Pasenow in the night club openly flirts with Ruzena. As this goes on, Joachim mentally reproaches Bertrand for not appearing, "um dies alles mit leichter Hand in Ordnung zu bringen" (p. 17). Joachim's concern was not only embarrassment at his father's conduct but the desire to protect Ruzena from his advances. In this situation Joachim feels the need of a stronger, more sophisticated presence than his own, someone accustomed to the "wantonness" of city and night life; he considers Bertrand a proper agent for this purpose.

Joachim's reflections about the absent Bertrand and the dubious cast he puts on his friend are followed by further negative remarks:

> . . . ohne äusseren Anlass hatte er den Dienst quittiert und war in einem fremdartigen Leben verschwunden, im Dunkel der Grossstadt verschwunden,

> wie man so sagt, in einer Dunkelheit, aus der er bloss hin und wieder auftauchte. Traf man ihn auf der Strasse, so war man immer ein wenig unsicher, ob man ihn grüssen dürfe, denn in dem Gefühl, einem Verräter gegenüberzustehen, der etwas, das ihrer aller gemeinsamer Besitz gewesen war, hinüber auf die andere Seite des Lebens getragen und es dort preisgegeben hatte, fühlte man sich auch irgendwie schamlos und nackt drüben ausgestellt, während Bertrand selber von seinen Motiven und seinem Leben nichts preisgab und von der stets gleichen freundlichen Verschlossenheit blieb. (p. 21)

The mysterious and dark nature of Bertrand is here associated with disappearance, the city, betrayal, and secretiveness. Along with this implicit condemnation of Bertrand, however, appear respect and awe at his independence, his advice, his worldly self-assurance.

Upon Bertrand's first physical appearance in the novel, Joachim quickly concludes after their conversation:

> Also ein Abenteurer! Und Pasenow sah sich in dem Lokale um, betreten, mit dem Abenteurer beim Mahle zu sitzen; indes nun galt es durchzuhalten: "So sind Sie also stets auf Reisen". (p. 27)

The adventurer and the constant traveler appear to Joachim as irresponsible, denying the good life, challenging all that marks the good citizen, the good patriot, the good Christian. Bertrand's freedom seems to Pasenow another negative characteristic identifying him as an unsavory spirit intruding into the life of the respectable citizen.

When Bertrand interprets German imperialism as a cause dear to the Christian Church in search of a new lease on life through conversion of African natives, Pasenow is thrust into a different world of thought:

> Die gekränkte Verwunderung Joachim v. Pasenows wuchs und auch das Misstrauen, dieser Bertrand wolle ihn durch undurchsichtige und pfauenhafte Reden blenden und irgendwohin verführen und hinabziehen . . . (p. 28)

Bertrand's suggestions are put in a Mephistophelian light. Bertrand is too glib, too subtle. His reasoning misleads and degrades; it challenges the institution of the church; in a word, Joachim concludes, Bertrand's remarks come from the pit of hell. Bertrand's role is here put as that of a messenger of Satan. The vehemence of Pasenow's reaction to Bertrand suggests his own fear of exposure to freedom.

It is well known that the devil may appear in any form, even as small as a poodle in a scholar's study. Pasenow, struck by a passerby's appearance, ascribes to him the role of Bertrand's representative--in fact:

> Er hätte sich schliesslich nicht gewundert, wenn Bertrand selber, schauspielerhaft verwandelt, klein und beleibt und vollbärtig entgegengewatschelt wäre; denn wie hätte er sein Äusseres beibehalten sollen, da er in eine andere Welt geglitten war. (p. 49)

It seems clear that Pasenow ascribed demonic powers and character to Bertrand, including the ability to transform himself into other figures, just as he had transformed himself from an officer into a civilian. In this state of mind Pasenow continues to follow the man until he disappears into the stock exchange: ". . . war dies der Ort der Verwandlung? Würde nun Bertrand selber herauskommen?" (p. 52). Bertrand has a sinister and demonic effect on Pasenow, who rapidly becomes obsessed

with the fascination of so unconventional a person.

Bertrand makes his second actual appearance in a visit of condolence to Joachim because of his brother Helmuth's death. His conversation culminates in a broad challenge to the values of Joachim's society, sparked by the contrast between the industrial era and death in a duel. "Er hat kein Ehrgefühl mehr, sagte sich Joachim" (p. 53). Nearly every reference to Bertrand adds a characteristic which is Mephistophelian, outside of and contrary to the conventional concept of what is right and good. Both specific references to the devil or his habitat and the accumulation of negative attributes confirm Bertrand's role as the devil or the devil's advocate, Lucifer or Mephisto as the occasion demands. Thus does Pasenow in his well-ordered world think of Bertrand.

When Ruzena visits Joachim and is introduced to Bertrand, she senses an evil force, as did Gretchen of Faust's Mephisto. Joachim from his knowledge of Bertrand confirms what Ruzena from her intuition asserts--the ominous and destructive influence emanating from Bertrand. Ruzena's intuition becomes more articulate as she responds to Joachim's reference to Bertrand: ". . .mir gefallte nicht dein Freund, ist hässlicher Mensch

. . . soll nicht wieder kommen" (p. 65).[4]

For Joachim there is both revulsion and fascination in his association with Bertrand; in spite of the negative features, Pasenow welcomes his presence. Bertrand's superior mastery of situation and environment is acknowledged: "Ja, wenn Bertrand hier wäre; der könnte mit seiner Weltgewandtheit und praktischen Erfahrung vielleicht helfen" (p. 65). These were exactly the characteristics which drew Faust into a contract with the devil.

Joachim and Bertrand continue inseparable--they are like body and soul to the end of Pasenow, although Joachim is constantly torn between rejection of and attraction to Bertrand:

> Im Grunde war Joachim ernstlich böse auf Bertrand, der zwar drei Abende in seiner und Ruzenas Gesellschaft verbracht und allerlei durcheinander geschwazt hatte, der aber doch nichts von sich hergab als die sattsam bekannte freundliche Verschlossenheit, ein Fremder blieb, der überdies für Ruzena mehr geleistet hatte als er selber in der Trägheit seiner romantischen Phantasie. Das war alles sehr peinlich. Was wollte dieser Bertrand? (p. 66)

This passage emphasizes the independence, arbitrariness, and power of Bertrand. At the same time it indicates his essential estrangement from society; in spite of close association the mystery remains, and the associate remains a stranger. But a growing awareness of Bertrand's effec-

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[4] Cf. GW II, 82: ". . . und Sie sind schlechter Mensch, mir hergekommen, um Freund schlecht machen." This opinion is repeated by Ruzena: v. GW II, 137, 143.

tiveness appears in the ever suspicious Pasenow.

Meeting Elizabeth, Bertrand soon unsettles her conventional concepts of life and love, leaving her with the knowledge that profound frustration will mark her conventional life with the young Pasenow. Bertrand offers fruit from the Tree of Life, and no person he feeds finds the same security in life he had before enjoyed. Elizabeth too feels a difference--a restlessness which she has caught from the stranger who is a wanderer on the earth.

Joachim views Bertrand as a superior being whose command over others is indisputable: ". . . er . . .blickte Bertrand, der doch offenbar auf Elizabeth verzichtet hatte, dankbar an"(p. 109). In spite of such servile gratitude Joachim never ceases to consider Bertrand an agent of evil; he fears for Ruzena's fidelity under Bertrand's influence:

> Und in all dem unsaubern und hässlichen Verdacht, mit dem er Bertrands Reise nach Berlin ansah, sah Joachim bloss die eigene ins Unabsehbare gerückt, und das quälte ihn mehr als die Sorge um den kranken Vater. (p. 111)

Pasenow combines his awareness of city, travel, and the inaccessible with suspicion of Bertrand. This is a combination of "evil" factors within the context of the trilogy, and their focal point is Bertrand.

Thus far in the novel, Bertrand has developed from an off stage name to a dominant genie. Broch does not simply multiply instances of Mephisto-like characteristics. The passages cited show a clearly developing pattern of

specification and intensification of the motif. Because the first novel breathes the air of a passing culture, it also reflects the moral judgments of that culture. Joachim Pasenow, although a young man, is so immersed in the conservatism of his social order that he automatically formulates society's judgment on Bertrand. Bertrand, rather than being exorcised, within a short time insinuates himself and his liberal philosophy into the lives of those who most closely affect Joachim. The odds are increasingly against the latter. First of all, he himself cannot avoid Bertrand; they are of the same generation, social class, and educational background. Then Bertrand becomes his ally in his affair with Ruzena. Elizabeth, before lapsing back into conventionalism, is shaken by Bertrand as Joachim was. Finally, the elder Pasenow, far from being affronted at Bertrand's presence, actually welcomes him as a son.

Joachim's emotional condemnation of Bertrand reveals that in these two persons rival forces are at work. Pasenow is passive, on the defensive; Bertrand is active, dynamic. Pasenow's ancestral voices may demand denunciation of Bertrand as Mephistophelian in the context of a rigidly organized society; but Joachim also seems to sense that Bertrand might really be Prometheus. Young Pasenow has become the battleground between the gods of tradition and the messenger of liberation.

The identification of Bertrand with an evil spirit

is a recurrent thought, increasing in intensity and articulation with the experience of those associated with him. Ruzena detects Joachim's irritation with Bertrand and violently expresses her own distaste for him. Joachim, realizing that her words are malicious and provocative, yet finds emotional satisfaction in her agreement with him. It may have been a redeeming work of Bertrand rather than a Mephistopheliar maneuver which effected the final estrangement and separation of Pasenow and Ruzena. The former's feeling, however, was that of resentment (p. 121). It appears that Bertrand is condemned as an enemy because he is saving Pasenow from the irrationality of his purely sensual affair, as previously he had tried to save him from the irrationality of an obsolete culture.

Her hatred takes active form when Ruzena attempts to assassinate Bertrand. Pasenow considers Bertrand's survival a clear indication that further peril may be expected. Bertrand's influence cannot be eliminated even by an act of violence. Pasenow now fears that as an agent of continuing and infectious evil the outcast and tempter will condemn all who associate with him to contaminate and tempt all others into a "vernichtendes Schicksal . . . und dass es ihm niemals gelingen wird, den Fängen des Verführers die Beute zu entreissen" (p. 130). In this and subsequent passages, however, Pasenow's uncertainty with respect to Bertrand and his own judgment shows a

gradual change from outright emotional rejection to cautious rational evaluation. When Ruzena again castigates Bertrand, Pasenow asks himself:

> Verlockend erschien es, mit Ruzena eine gemeinsame Front gegen Bertrand zu bilden, aber war nicht auch dies noch eine Verlocking des Teufels und eine Intrige Bertrands? (p. 137)

Joachim's distrust of Bertrand has intensified to the extent that he no longer can make a judgment without questioning whether the judgment itself is not tainted with the demonic. Overthrow of the established order seemed to Pasenow very close to fulfillment under the influence of Bertrand.

Having conferred with Bertrand's lawyer about settling with Ruzena, Pasenow feels an unworthy chapter of his life is now expunged: ". . . so hebt sich das Böse . . . selber auf" (p. 140). Distrust, betrayal, temptation, the Mephistophelian, everything negative and evil had been associated directly and unqualifiedly with Bertrand. Relieved now at being disengaged from Ruzena, Pasenow feels God's Providence overruling even the direst evil. Yet even in the settlement Bertrand had played a mediating role.

Joachim's struggle with himself puts him by turns at odds with God and the devil. Pasenow is clearly not his own master. Within moments he rejects and accepts Bertrand who sometimes seems to him angel, at other times a devil (p. 42). In Lucifer, the prototype of Mephisto,

the two spirits were interchanged.[5]

Joachim offers a further revealing reply when Elizabeth, having accepted his proposal of marriage, inquires about his relationship with Bertrand:

> . . . ich habe eigentlich immer das Gefühl, dass er der aktive Teil in unserer Freundschaft ist, aber sehr oft bin ich es, der ihn aufsucht. Ich weiss nicht, ob man dies als An-ihm-Hängen bezeichnen kann. (p. 149)

Although Pasenow here speaks of two people in one friendship, he might almost be speaking of two aspects of one person, the reflective and the active. He does here admit the dynamic nature of Bertrand and his own dependence on the association. Committed to the world of convention, Joachim yet feels the pull of quite a different world represented by the city, night life, a mistress--all of which he at the same time considers the pit of hell and associates with Bertrand, already identified as "an emissary of Satan". Thus Bertrand's objective existence elicits Joachim's subjective response; it is a case of Mephisto's availability, not here to a Faust, but rather to the everyman Joachim represents in his own time.

In possession now of Elizabeth as his bride, Joachim wants to avoid further contact with Bertrand; yet even at so major and positive a stage of his life Joachim "litt darunter, dass er der Sicherheit und der Leichtigkeit des

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[5] Cf. Isaiah 14:12-15.

Freundes und seiner Lebensgewandtheit fortab entraten sollte" (p. 157). Faithful to all his traditional obligations and the expected conventions, Joachim still feels a loss in giving up "the world, the flesh and the devil."

Figuratively, Ruzena and Bertrand follow Joachim into the bridal chamber:

> Elizabeth antwortete weich: ". . . es wird sich alles noch zum Guten wenden." Ja, wollte Joachim antworten, das seien auch Bertrands Worte; . . . er stockte, weil aus ihrem Munde das Wort Bertrands ihm wie ein mephistophelisches Zeichen des Dämons und des Bösen war, statt des Zeichens von Gott, das er erwartet und erhofft und erbeten hatte. (p. 167)

Thus Joachim's abstinence--or impotence--on his wedding night is surrounded by the aura of an evil presence unhesitatingly identified as Bertrand.

Throughout Pasenow the Mephisto motif is borne out by the attributes and behavior of Bertrand as well as by the reactions and references to him. In his own circles he was an entrepreneur, a competent and successful business man, and as such a symbol of not only industrial but secular society impatient with the "romantic" concepts of the passing generation concerning God and society. For Pasenow therefore Bertrand continued to be a stimulating but unsettling personality. This recurrent attraction and repulsion reflects Pasenow's hesitation in the choice between individual freedom and social restraint. Personally confronted, Joachim took refuge in the collective arms of society and tradition.

Broch leaves no doubt that he had Mephisto clearly in mind; besides covert references as shown above, there are several direct references to Mephisto, Faust, Margarete, and Valentin. Pasenow draws a parallel between Margarete-Valentin and the Stranger-Ruzena (p. 35); he also suggests the guilt of Mephisto for Margarete's fate. This reference is revived when Bertrand sends Pasenow on a search of the night clubs for the missing Ruzena. Pasenow reflects: "Wusste der mehr? Mephisto allein wusste, wofür Margarete zu büssen hatte" (p. 132). In both the Old and New Testament the devil's chief role is that of tempter of Eve, of Job, of Jesus. As Joachim contemplates Elizabeth's "escape" from Bertrand's hands, he thinks:

> Doch aus welcher Sphäre stammte jener, dessen Geschöpf und Opfer sie fast geworden wäre? Hatte Gott ihr und ihm den Versucher gesandt, so ist es zu einem Teil der auferlegten Prüfung geworden, Elizabeth von solch irdischer Anfechtung zu erlösen. (p. 150)

This quotation labels Bertrand an immediate agent of the devil; yet Pasenow advances to the point of questioning "aus welcher Sphäre stammte jener". Joachim's personality is striving to accept itself in order to come to an objective understanding of Bertrand's new world. Soon, however, the hand of tradition suppresses these small stirrings within him.

The Mephisto motif in the first novel progresses through three stages. It has been noted how Pasenow, from

his position of traditionalism and conventionalism, fortified by his parochial rearing in a Prussian Protestant provincial family and by his military commitment to the state, reacted vehemently and negatively against Bertrand's habits, attitudes, and expressions. The vehemence clearly derives from a sense of indignation at the challenge to his own values represented by Bertrand, but also from a profound fear that his world is indeed vulnerable to challenge. The rigid and exclusive societies represented by political and religious institutions through their very dogmas become at the same time both aggressive and defensive, closed to free discussion and innovation.

The second stage shows a gradual and reluctant change in Pasenow's evaluation of Bertrand; he begins to admit the latter's freedom and effectiveness. The completely negative comdemnation of Bertrand in the form of dogmatic assertion is now tempered by questioning whether indeed Bertrand is a Lucifer from Hades or a Prometheus from Heaven. Although Pasenow takes comfort in Ruzena's comdemnation of him, it must be noted that again this reflects only his preconditioned aversion. Pasenow's questioning indicates his own shaken conviction that it is the lethargy of his own cultural heritage and not the truth or rationality of Bertrand's position which is being challenged. In this stage of the motif's development Pasenow comes to an actual consideration of the choices;

he has progressed beyond offhand emotional condemnation.

The final stage in the first novel is reached when Pasenow and Elizabeth are committed to each other. Ruzena and Bertrand, the unorthodox elements in both their lives, are thus banned. Pasenow has chosen the past and the institutional morality of organized society. In a sense Bertrand drove Pasenow back into the traditional pattern because this was Pasenow's only alternative to a personal freedom for which he was unprepared and from which he shrank. When Pasenow reappears in the third novel a generation later, it will be clear that in spite of his overt rejection of Bertrand's world he by no means remained unaffected by the possibility of a new society, the suggestion of which had once seemed so Mephistophelian.

In Esch, the second novel of the trilogy, Bertrand is in the background but is still felt as a significant force because Esch in his zeal for balancing the books of social justice ferrets him out and hounds him to death as the source of evil. Thus is the Mephisto-motif carried forward.

When Esch interrogates Alfons, the homosexual musician, about Harry's patron, who is Bertrand, Alfons identifies Bertrand ironically as "der grosse Gott, der weisse Engel" (p. 284). The context of this reference indicates not only the wealth and power of Bertrand, which recalls to mind the boast of Satan tempting Christ and

offering Him the kingdoms of this world; the choice of words would be appropriate to Lucifer, the angel of light, the Prince of this world. Harry's homosexual dovotion to Bertrand is an indication of the power of evil in the world as it appears within the framework of Esch's proletarian thinking. For it is eventually on the basis of this "guilt" that Esch denounces Bertrand.

Esch decided that Martin Geyring's imprisonment for labor activities was unjust and assigns the reason for this injustice to Bertrand: ". . . wenn er so feine wäre, sässest du nicht hier" (p. 311). Thus, although Bertrand has done nothing overtly against Martin, Esch believes he recognizes in Bertrand the principle and agent of evil, a negative, destructive force.

This representation of Bertrand recurs when Esch, visiting him, sees him for the first time:

> Und obwohl Esch wusste, dass es Bertrand war, und es keinen Zweifel mehr gab, weder hier noch sonstwo, da wollte ihn bedünken, es sei dieser bloss das Sinnbild eines andern, Spiegelbild eines eigentlicheren und vielleicht grösseren, der im Verborgenen blieb, so einfach und glatt, so wahrhaft gleitend ging dies alles vonstatten. (p. 321)

Esch intuits a hidden power in Bertrand; he notes the white hair, indicating the passage of time, but the youthful face, indicating the persistent and unchanging nature and presence of a demonic force, the picture of Dorian Grey.

During the visit, as Bertrand leads Esch "mit leichtem Schritt, da er durch sein Besitztum ging", it seemed to

Esch that Bertrand would have to use crutches, ". . . denn eine Sonnenfinsternis stand am Himmel" (p. 325). The motif of cane and crutch will be examined below. This passage indicates, however, the subordination of the realm of evil--of this world or the City of Man--to the divine order of the universe represented by the eclipse. Esch in his simplistic way expects the hobbling or crippling of Bertrand as physical evidence of the subordination of evil to the sovereignty of God represented by the temporary withdrawal of the sun's light.

Bertrand's mysterious movements and elusiveness, already noted in Pasenow, are again referred to in Esch: "Den Bertrand hätte er eigentlich gerne einmal zu Gesicht bekommen. Der versteckt sich auch immer; wie der Nentwig" (p. 233). Esch considers it sinister that a person should be so concealed from public view as Bertrand and Nentwig were. By putting these two in the same context, Esch condemns Bertrand as severely as he could, his opinion of Nentwig being extremely low.

Esch is in no doubt about his course of action; he repeats to Bertrand: "Ich muss Sie anzeigen. Es wird sonst immer ärger" (p. 324). This can mean only that Bertrand represents the principle of evil in society and that society's welfare demands his removal. And although Esch never loses respect for and awe of Bertrand, he never wavers in his "just" condemnation of him.

In Huguenau the Mephisto motif is continued, although Bertrand has died in the second novel (p. 348). But as Pasenow gave place to Esch, so Bertrand gives place to Huguenau; Pasenow represented the dominant but outdated Prussian Protestant provincial culture of his time, and Esch represented bourgeois-proletarian urban society. Bertrand, the sophisticated "demon" tolerated by Pasenow's generation, was hunted out of existence by the less literate generation of Esch. But the principle of disintegration persists, reappearing in the bourgeois form of Huguenau. That he is less a man and more a demon than Bertrand is shown by his exclusively hostile and egocentric behavior, by his destructive tactics with respect to Esch, Major Pasenow and Frau Esch, but also by his physical appearance: "beleibt und untersetzt".[6] These particular terms invite comparison with the passage in Pasenow describing Bertrand's supposed representative, "ein ernster Passant" (p. 48).

The identification of Huguenau as the Mephisto of the third novel is aided by these physical references similar to the more extensive suggestion in Pasenow relating to Bertrand.[7] Bertrand had slipped into another world, thanks to Esch. Huguenau appears in the next novel, and his appearance is essentially that of the "Passant",

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[6] Cf. GW II, 51: Bertrand as "klein"; see also GW II, 543, 566.

[7] See p. 50 above.

further identified as "Bertrands Stellvertreter" in Pasenow. A close investigation of Huguenau will reveal whether in addition to the physical substitution there is also a metaphysical resurrection of Mephisto.

Huguenau participates in the party celebrating the victory of Tannenberg. Seen through Major Pasenow's eyes, the scene is as follows:

> Das war wie ein verrufenes Haus, das war die Hölle. Und dass ein Krieg von solchen Siegesfeiern begleitet sein durfte, das machte den Krieg selber zum blutigen Zerrbild der Verworfenheit. Es war als würde die Welt gesichtslos werden, gesichtslos jedes Antlitz, ein Pfuhl des Ununterscheidbaren, ein Pfuhl, aus dem es keine Rettung mehr gab. (p. 545)

As Huguenau was the chairman and organizer of this dance, he fits well into the role of Mephisto by the Major's reckoning. The same emotional and religious reaction appears which in his youth he had experienced about Bertrand. The demonic character of the proceedings arouses a righteous anger in Pasenow and a desire "das dämonische Gezücht zu vernichten" (p. 546). At this point Pasenow attributes full blame to Huguenau, master of the ceremony as Satan was lord of Walpurgis Night.

Huguenau seems indeed to be a reincarnation of Bertrand as the Mephisto figure--at a different level of refinement, at a grosser level of egocentricity, at a yet more primitive level of behavior. Yet they are the same in essence, the spirit of negation.

When Esch is announced by Pasenow's orderly, the major immediately associates him with Huguenau in this fashion: "War dieser Zeitungsmann ein Abgesandter Huguenaus? ein Sendbote des Pfuhls und des Untergründigen?" (p. 505). Here again is reference to the satanic. Identification of Huguenau as hell's messenger shows strong similarity to Bertrand's identification twenty years earlier in the first novel as "Sendling des Bösen" (p. 130). Huguenau as messenger from the pit of hell and Bertrand as messenger of evil both wear the face of Mephisto in Pasenow's eyes.

As Pasenow was Bertrand's chief victim, or hostage, so Esch becomes the chief target of Huguenau's manipulations, although Huguenau reaches greedy hands into the lives of Major Pasenow and Frau Esch as well. In fact, he pollutes the community for his own preservation, satisfaction, and aggrandizement.

Particularly striking are the contracts Huguenau prepares, one for Esch and later one for his widow. In these transactions the complex of motifs City-Machine-Businessman is interwoven with that of the Mephisto motif. By devious arguments, misrepresentations, and chicanery Huguenau prevails on Esch, the major, and local businessmen to accept an agreement to purchase the "Kurtrierscher Bote". The conditions of the transaction are in legal and itemized form, but their net effect is to deprive Esch of

his property and rights.[8] It is an elaborated form of the Faust-Mephisto contract, which was intended to insure eventual destruction of the person entering the agreement.

Huguenau's clandestine murder of Esch and departure for his native Colmar leave Frau Esch in nominal charge of the printing establishment. However, she receives an ultimatum from Huguenau requiring her to pay for retention of the property, although Huguenau's obligations under the first contract had not been fulfilled.

In these dealings Huguenau's amoral "kaufmännisches Ethos" (p. 369) is the negation of all "Christian" and moral standards. Hence in the eyes of Pasenow and Esch, Huguenau is an agent of hell and of chaos in the world (p. 616).

Huguenau draws a similar judgment on himself when he unexpectedly drops in on the Bible study meeting of Esch, the major, and others:

> Und da geschah es . . . dass im Rahmen des Tores eine Gestalt auftauchte, eine rundliche, untersetzte Gestalt, die sich über den weissen Kies des Hofes hinbewegte, ohne dass die Sonne sich verdunkelte. Huguenau . . . ein Passant, der gemächlich einherschlendert . . . blinzelte herein . . . "Der Leibhaftige", murmelte der Major, "der Mörder . . ." . . . . Esch lächelte und . . . berührte . . . den Arm des Majors: "Immer ist ein Verräter unter uns". (p. 566)

Esch and Pasenow immediately recognize in Huguenau's

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[8] See GW II, 438-441.

appearance the presence of evil, violence and death. The representatives of the "Romantic" and of the "Anarchic" generations, different as they are in age, social class, education and vocation unite under pressure in moral and spiritual concerns; they represent conditioned society as against the uninhibited personality indifferent to social tradition. The passage here quoted ties Huguenau firmly to the "Passant" in Pasenow not only by use of the term but by the physical description. The repeated reference to an eclipse as a sign of the presence of evil and withdrawal of the light of Providence relates Huguenau to Bertrand (p. 325). He is then labeled a murderer and a traitor by Pasenow and Esch, both terms previously applied to Bertrand.

Major Pasenow gains further evidence of Huguenau's character after receiving a list of deserters which includes Huguenau's name. Huguenau ingeniously advises Pasenow how to remove the stigma of desertion by accepting Huguenau's false statements and testifying to his present "legitimate" occupation. In his persuasive talk Huguenau speaks of loyalty to truth. This shocks the major into full awareness of Huguenau's nature: "Der Unmut des Majors hakte bei dem Wort 'wahrheitsgetreu' ein. Welche Sprache wagte dieser Mann zu führen" (p. 618). Pasenow recognizes the lie as evidence of

evil and finds himself involved in a relationship which is more repugnant to him than that with Bertrand had been.

The progressively bolder challenge to the old social order is represented by Huguenau's effect on Esch and on the city fathers. In the first novel Bertrand had had a negative effect on the individual Pasenow, a member of the upper middle class, but in Huguenau the non-hero succeeds in demoralizing the entire community. This was not limited to the objective act of each, although Bertrand resigned his commission and Huguenau deserted from the lines. These acts represented symptoms of total rejection of the social order and its obligations. For them was substituted a program of self-preservation and exploitation of society. Bertrand conducted himself circumspectly and used without abusing the social and commercial establishment. Huguenau, however, boldly and destructively invaded the private lives of others and public life itself. In the eyes of Pasenow and Esch this was evil incarnate because they perceived no suitable alternative to the known order of values; they could not accept the prospect of moral vacuum threatened by Bertrand's theories and by Huguenau's practice.

Huguenau used the ancient satanic lure of the knowledge of good and evil to persuade his associates in Trier that he was a benefactor rather than a destroyer

of human values: ". . . aber ich weiss, was Recht und Unrecht ist . . ." (p. 624). This statement becomes a kind of platform from which he in rapid succession condemns the civil government, the military command, and religion, at the same time commending the Russian revolutionaries.[9] Huguenau thus conforms to the Biblical pattern of evil: it assumes the face of goodness in order to recruit followers. Huguenau revels in the role of Mephisto. Pelzer comes close to unmasking him when he remarks: "Mir scheint, Huguenau, Sie sind ein agent provacateur" (p. 625).

Bertrand and Huguenau were both wanderers and therefore suspect. Their condition arose from their renegade status.[10] Even when residing in a community, Huguenau remains separate and a stranger in it, disrupting the lives of others but retaining for himself inviolability. And Bertrand upon adopting a permanent location withdraws within it as to a separate kingdom. Huguenau does the same at the end of the trilogy. "Ach, der ist ja

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[9] V. GW II, 625. The Russian Revolution of 1917 offers an historical analogy to the psychological "Einbruch von unten", the eruption of the irrational into overt behavior.

[10] I e., the lone man may be an outlaw as was Cain; at any rate he draws society's judgment: "Everything that lives, lives not alone, nor for itself" (Blake), and "All are needed by each one; nothing is fair or good alone" (Emerson).

immer auf Reisen" is said of Bertrand. He was not only elusive to friends in Germany, he traveled also in India and America. Likewise in the third novel Huguenau's distinctive characteristic is the unpredictability of his whereabouts: in the trenches, fleeing across country, appearing in Trier, making contact with various elements of the townsfolk, visiting the Major, appearing at the Bible study group, making his way by pretext out of Trier, and finally settling down in his native Colmar. He is distinguished from the social order in which he moves by his "holiday" release from normal social ties and obligations and by his freedom of movement.

The bourgeois and proletarian suspicion of traveling and the traveler is consistent with the institutional desire for stability, the known, the predictable. Yet for the seeker of something other than the customary, travel is a sign of compulsive restlessness and endless journey to an unattainable goal. Pasenow embarked on a figurative journey into mysticism only when it was too late; Esch had the vision and the restlessness even as a young man, when like Ulysses he pursued various adventures in different locations in Germany and created the dream of a trip to a utopian America. Eventually, however, Esch also retreated from the real possibility of change; he abandoned his travel plans. The defection of Pasenow and Esch in this regard therefore left the

journey to those unequal to the search, for Bertrand retreated to his ivory tower of esthetic non-involvement and Huguenau retreated to the idols of the past and of the market place.

Thus, although the Mephistophelian seemed so only to the tradition-bound, the characteristics of challenge to and freedom from authority are observable in the motif. What is condemned by the conservative may well be praised by the liberal. What the closed society fears and detests may be the gestation period of a society receptive to change. Although Bertrand and Huguenau were more dynamic than Pasenow and Esch, even they failed in their challenge to the old society; they resembled Prometheus without the gift of fire; challenging the old society, they lacked the will to create suitable values as an alternative. To this extent they earned the epithet "Mephistophelian"--negative and destructive, disintegrating and cynical.

The Demon Motif

The "demonic" likewise appears as a property common to both Bertrand and Huguenau. Bertrand makes reference to his own driving spirit: "Man soll bekanntlich immer das tun, wozu einen der Dämon treibt" (p. 27). That this is considered by Pasenow unjustifiable and irresponsible seems clear from his reflections on the implications of Bertrand's suggestions. If Joachim is a bit uncertain at

this point whether Bertrand's "evil" suggestions are serious or facetious, there is no doubt later in the novel. Feeling Bertrand responsible for his affair with Ruzena, which he recognizes as degrading, he again recalls Bertrand's statement: "Hatte er denn nicht von seinem Dämon gesprochen?" (p. 120).[11] The demon is in each case identified not with the peculiar capacity with which the individual is endowed, but with the socially harmful conclusions and behavior to which he commits himself; in brief, an expression of an evil and destructive spirit. Near the end of Pasenow the demon is explicitly related to evil: "ein mephistophelisches Zeichen des Dämons und des Bösen . . ." (p. 167).

In Huguenau Broch uses the term "Dämon" in his essay, "Zerfall der Werte (5) : Logischer Exkurs" (p. 453). In this passage the demon is represented as the driving principle of an isolated entity as in the most primitive society and is thus contrasted with the integration of concepts in a monotheistic society with the single first cause as "God". From this point of view Bertrand and Huguenau are striking out into a third region, the infinity of possibilities presented by experience unbiased by either superstition or religion. Again, for both

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[11] Cf. GW II, 151.

Pasenow and Esch the Demon motif has two opposing facets, the one representing Lucifer who in pride defected and fell, the other Prometheus who by service risked the penalty for starting a new order. Pasenow and Esch equated "Demon" with the Lucifer concept; however, as will be seen in our examination of the Doctor motif, even while they are concerned with the disruption introduced by Bertrand, they are struck by the "physician's" look and manner of Bertrand. This creates the psychological paradox for both Pasenow and Esch that their Mephistopheles is also a Christ, the "Great Physician" bearing the gift of a new way of life.

As a leitmotif accompanying the Mephisto and Demon motifs is the characterization cynical, cynic, and ironic, which is applied first to Bertrand, later also to Esch and Huguenau.[12] Bertrand's shrewd calculations on the occasion of Ruzena's disappearance provoke the first mention of this characteristic. Pasenow reflects that "dieser Bertrand war eben ein widerlicher Zyniker" (p. 132). Again, in connection with the severance of his relationship with Ruzena, Bertrand's shrewdness strikes Joachim: "Seine ironischen Indiskretionen und dieser ironische Zug um den Mund sind hassenswürdig, dachte

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[12] Cf. p. 43 above.

Joachim. . ." (p. 135).

When Bertrand reassures Joachim that Elizabeth will accept his marriage proposal, Joachim is revolted by his attitude: "Welch widerlicher Zynismus; dieser Mensch ist tatsächlich ein schlechter Freund . . ." (p. 142).

This leitmotif suitably accompanies the Mephisto motif. Satan as the greatest cynic of all, challenging the supreme and final verities themselves, is reflected here in Bertrand as he casually disputes and ridicules the "solid" assumptions of a traditional society. His results are significant. His Mephistophelian program leads Pasenow and Ruzena into a sensual affair, Ruzena later into a dubious stage career, Elizabeth into questioning the rightness of her ordered life and her marriage, and Pasenow to desperate adherence to a naïve faith in conventional society, religion, and patriotism.

This characteristic of Bertrand persists in Esch and recurs in the third novel of the trilogy. When Esch visits Bertrand to inform him that he will denounce him to the police, Esch notices " . . .der ironische Zug, der in dem Lächeln um Bertrands Mund nun zu sehen war . . ." (p. 323). Further in the interview Esch remarks to himself: "Das war einleuchtend wie alles, was Bertrand sagte, so einleuchtend und vertraut, dass das Wagnis, seine ironische Miene nachzuahmen, fast zur Ver-

pflichtung, fast zum Einverständnis werden wollte . . ." (p. 324). From this point on eleven references to Esch's ironic or sarcastic expression occur in both Esch and Huguenau. It is a deliberately affected trait for Esch, but serves as an irritant to Huguenau who, himself Bertrand's successor, finds sarcasm in Esch, representative of a point of view different from his own, repugnant. He therefore decides to adopt the same negative weapon: "Nach Beendigung seines Berichtes schaute Huguenau in den Spiegel und prüfte, ob ihm eine ähnlich ironische Grimasse gelänge, wie sie ihn an Esch schon so oft geärgert hatte" (p. 484).

That he has succeeded in adding this expression to other unlovely qualities is shown after his biased news item about the prison rioting: ". . .und zog seine ironische Grimasse" (p. 584). This is a second instance of Huguenau's employing this expression after writing a damaging document against other persons. A third instance occurs as Huguenau contemplates the civil riot ending in pillage and bloodshed: his surreptitious instigation had proved successful (p. 638).

Broch rounds out this leitmotif with an ironic sequel of his own. He comments on Huguenau's postwar career:

> Sein Leben war das, das seine fleischlichen Ahnen seit zweihundert Jahren geführt hatten, und sein Gesicht war ihr Gesicht. Sahen sie doch alle gleich aus, die Huguenaus, feist und satt und ernst zwi-

> schen ihren Wangen, und dass sich da bei einem von ihnen ein sarkastisch-ironischer Zug ausprägen werde, war nicht zu vermuten gewesen. Doch ob dies in der Mischung des Blutes bedingt oder blosses Spiel der Natur war oder etwas, das eine Vollendung des Enkels anzeigt und ihn von allen seinen Ahnen löst, ist schwierig zu entscheiden und ein Detail, auf das niemand, am allerwenigsten Huguenau selber, irgendeinen Wert legt. (p. 669)

The passage marks Huguenau's atavism, his negation of progress; above all it stresses his acquisition of the Mephistophelian "sarkastisch-ironischer Zug". Thus becomes fixed in the Huguenau family a trait which was typical of Bertrand's character and transmitted by deliberate acquisition from Bertrand to Esch and from Esch to Huguenau. Esch was the middleman between the two Mephistos, although Esch's acquisition was motivated by his conviction of Bertrand's superior insight. Huguenau was motivated by resentment of Esch and by his own lack of a distinctive facial expression so clearly appropriate to his "faceless" anonymity in the social order which he sought to exploit without suspicion or exposure.

At this point it is possible to look back on the Mephisto-Demon-Cynic complex of motifs as they have appeared in the progress of the trilogy. It is clear that these designations occur from the point of view of the traditionalists Pasenow and Esch, hence the terms are biased and mean simply that new concepts are chal-

lenging the old in the areas of personal convictions and social behavior. The shock of challenge has produced an extreme condemnation couched in religious terms--a natural appeal of tradition to God's final authority. But upon continued exposure to the challenge an ambivalent attitude developed in both Pasenow and Esch; the initial castigation alternated with cautious attraction and admiration; reflection took the place of emotion.

The final evidence of the motif showed that although Bertrand and Huguenau fell short of leadership into a new and better order, they did act as catalysts for Pasenow and Esch who developed a mystical vision of personal and social fulfillment. The Mephistos of the trilogy also produced recognition of the possibility that in the future a New Man and therefore a Better Society would appear. This ethical ideal lay beyond Bertrand and Huguenau; it was perceived but not attained by the observer off stage, Dr. Bertrand Müller, the narrator of "Die Geschichte des Heilsarmeemädchens" and possibly the ethically motivated reincarnation of Eduard van Bertrand.

The Sex Motif

Further setting Bertrand and Huguenau apart from normal society are their sexual interests, which provide

focal points for the Sex motif in the trilogy.[13] Early indications of Bertrand's homosexuality in Pasenow are fully confirmed in Esch. Huguenau's interests are less deviate but more prurient and violent than Bertrand's.

In Pasenow Joachim repeatedly notes Bertrand's effeminate characteristics ranging from his wavy hair and light skin to his girlish figure. Already distrustful of Bertrand because of his unconventional views on colonialism and the military career, Joachim seeks a reason for the feeling that he is in the presence of an evil force: "Irgendwie hing das mit den so durchaus unmilitärischen, fast gelockten Haaren Bertrands zusammen" (p. 28). As an isolated and initial reference little significance could be attached to this statement beyond the obvious fact that as a civilian Bertrand would not be bound by military regulations requiring cropped hair. In a subsequent section when Bertrand again challenges the accepted code of behavior--dueling in this instance--Joachim's attention is again directed to Bertrand's appearance: "Joachim betrachtete die helle Haut und die allzu gewellten Haare Bertrands . . ." (p. 53). The accumulation of evidence accompanies Pasenow's critical resentment of Bertrand: first merely the "almost

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[13] Very similar to Gustav von Aschenbach's esthetic approach to homosexuality in Thomas Mann's Der Tod in Venedig is that of Eduard von Bertrand.

curly" hair of the civilian, now the "light skin and all-too waved hair".

Intensification of the previous references dwells exclusively on the physical impression Bertrand conveys. A brief comparison with Joachim's brother Helmuth indicates also the contrast in hair; Helmuth's was stiffly trim, producing a masculine effect. Moreover, Bertrand lacked a beard, which Helmuth did not. When Pasenow for a moment thinks he should encourage Elizabeth and Bertrand to make a match of it, so that he himself would not "pollute" Elizabeth's life, he rejects the idea: "Plötzlich war es, als käme Bertrand nicht in Betracht: er war so weiblich mit seinen gewellten Haaren, irgendwie schwesterlich . . ." (p. 98).[14] What was hinted at before is here stated: Bertrand is effeminate and sisterly.

Visiting Bertrand in the hospital, Joachim feels his thoughts of Elizabeth and his mother approach sacrilege because of his association with Bertrand and Ruzena; "So verbirgt Finsternis ihr wahres Wesen, lässt sich ihr Geheimmis nicht entreissen" (p. 135). From the general category "effeminate" Joachim gets the definite impression of a young girl lying in bed. This impression is strengthened in a subsequent visit.[15]

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[14] Cf. also GW II, 142.

[15] See GW II, 154.

Complementing the observations about Bertrand's unmasculine characteristics is Bertrand's observation of Elizabeth just before their frank conversation about the nature of love: "Ihre Hände sind zu gross für eine Frau, mager und schmal. Ein sinnlicher Knabe ist sie. Aber sie ist reizend" (p. 100). Nothing more overt than this remark occurs, but the suggestion of homosexuality is strong. The situation bears the same character of voluptuous observation as that pervading the Tadzio-Aschenbach encounter in which Tadzio was as relatively untouched as Elizabeth, while Aschenbach and Bertrand both fell prey to "the lust of the eyes and the lust of the flesh".[16]

Bertrand's asexuality in Pasenow complements his amorality, his general noncomformance, his aloof attitude in both mind and emotion. Although Elizabeth in effect offered herself in marriage to Bertrand, he had no intention, and so expressed himself, of courting or marrying her. Aside from his rejection of conventional courtship and marriage,[17] a likely reason for refusing Elizabeth was the homosexuality exposed in the second novel.

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16 . . . ein langhaariger Knabe . . . Mit Erstaunen bemerkte Aschenbach, dass der Knabe vollkommen schön war. Thomas Mann, Der Tod in Venedig, in Ausgewählte Erzählungen (Stockholm, 1948), p. 468.

17 Bertrand's philosophical reasoning about love and marriage is similar to Kierkegaard's treatment of the subject in Either/Or (Princeton, N.J., 1949), II, 5-129.

His encouragement of the Pasenow-Ruzena affair and his rejection of Elizabeth, whom he greatly admired, taken in conjunction with the references to his physical appearance, laid the groundwork for Bertrand's unmasking by Esch and his death in the second volume of the trilogy.

In Esch the intimations of Bertrand's perversion become open knowledge. Because Esch is the self-appointed Bookkeeper of Righteousness and Justice, Bertrand is doomed. Before Esch rings down the curtain on Bertrand, he publicly exposes what had been privately known because he considers Bertrand's conduct proof that he is an agent of evil, propagating injustice.

Esch was inadvertently alerted to Bertrand's aberration by the editor who refused to publish Esch's letter or to denounce Bertrand. The letter was meant to secure Martin Geyring's release from prison for Socialist labor activities. The editor, thinking that Esch was demanding Bertrand's arrest for homosexuality, surprises Esch with the statement: ". . Sie meinen, weil er ein warmer Bruder ist . . ." (p. 247). Esch, who had thought only that Bertrand as a capitalist was responsible for Geyring's arrest, became the more incensed that this same Bertrand, a moral degenerate, was at liberty while Martin Geyring suffered a marytr's fate of unjust punishment. So for the first time Esch puts

Bertrand (whom he had considered along with Ilona and Mutter Hentjen as "something better") in a class with his former dishonest employer, Nentwig, whom he considers "Schwein" (p. 179).

Esch, the zealot, cannot rest with the knowledge of injustice. Nor can he forget the black and white accounts which arrange themselves in columns to be balanced in his mind. As his conscience haunts him because of Geyring's detention, it now has the additional burden of Bertrand's double guilt as capitalist and homosexual. As he sees the familiar shipping firm of which Bertrand is head, Esch has a vision:

> . . .so erhob sich hoch über all dem dreckigen Gesindel der kleinen Mörder eine Gestalt, vornehm und überlebensgross, die Gestalt eines hochanständigen Menschen, kaum Mensch mehr zu nennen, so weit und hoch war sie entrückt, und dennoch Gestalt des Übermörders, unvorstellbar und drohend erhob sich das Bild Bertrands, des schweinischen Präsidenten dieser Gesellschaft, des warmen Bruders, der Martin ins Gefängnis gebracht hatte. Und diese vergrösserte und eigentlich unvorstellbare Gestalt schien die der beiden kleineren Schächer in sich aufzunehmen, und manchmal war es, als müsste man bloss diesen Antichrist treffen, um auch alle geringeren Mörder der Welt zu vernichten. (p. 255)

In this passage are Esch's program for actior and the grounds for it: elimination of this agent of evil because of the offenses to humanity represented by his life--an industrialist allowing another man to languish in jail without just cause, a homosexual scandalizing the community with his breach of convention. (Esch's

own casual and frequent patronage of the bordellos is tacitly within the accepted conventional code; Esch certainly feels no less righteous because of his occasional pleasures in those haunts.) Esch is now a man with a mission both consciously and subconsciously pursued.

Having returned to Cologne, Esch is irresistibly drawn to homosexual establishments, ostensibly to prove to Frau Hentjen, whom he is courting, that his legitimate search for female wrestlers for exhibition matches was not a pretext for sexual adventures. But more profoundly he realized he wished to uncover evidence of Bertrand's misbehavior. "Gerade lächerlich, dass man in dieser Gesellschaft etwa auf einen Reedereipräsidenten stossen sollte, wo diese Strichjungen sicherlich keine Ware für so einen Präsidenten sind" (p. 281). Esch is here still struggling with the enormity of Bertrand's fall; it is inconceivable to him that a person so much more eminent than Nentwig should after all be of the same breed. Nevertheless Esch undertakes the investigation:

> . . .er erkundigte sich nach ihrem Wohlergehen und wurden sie zutraulich--auch nach ihren Einnahmequellen und nach den zahlenden Onkeln. Zwar wunderte er sich manchmal, weshalb er sich dieses Geschwätz anhörte, horchte aber auf, wenn der Name des Präsidenten Bertrand fiel . . . (p. 281)

Esch pursues the report of this wealthy godlike patron to its source, Harry Köhler, Bertrand's "friend". Judg-

ing Bertrand by his own aggressive male standards, Esch then decides, to Harry's dismay, "So ein Schwein muss abgeschossen werden" (p. 284).

Esch's next move is to denounce Bertrand to the editor who previously had excused Bertrand by saying: " . . .er macht es in Italien unten ab" (p. 247). Esch now reveals that Bertrand's sex partners are in Cologne. Esch cannot understand that so simple a fact as Martin's innocence and Bertrand's guilt cannot lead immediately to reversal of their situations of imprisonment and freedom.

For Esch, Bertrand becomes a point of concentration for everything evil and for his personal frustrations:

> Und da Esch solcherart mit grossem Hass der Welt umher gedachte und der Schweine, die man abzustechen hätte, wie es Schweinen gebührt, hasste er immer deutlicher den Präsidenten Bertrand, hasste ihn ob seiner Laster und seiner Verbrechen. (p. 287)

As the visible incarnation of evil, perhaps even the objectification of Esch's own guilt, Bertrand will be aggressively sought out by Esch. He is vulnerable, as he was not in Pasenow. Esch's visit to jail to see Geyring drives him to find Bertrand in Badenweiler because the thought and sight of Geyring in jail preys on Esch's conscience.[18]

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[18] See GW II, 311.

When Esch finally confronts Bertrand, particular note is again made of his beardlessness, the youthfulness of his face, the whiteness of his curly hair.

Esch finally does denounce Bertrand to the police. Shortly thereafter Bertrand is found dead under the suspicion of suicide. Harry Köhler also commits suicide. With all this Esch is quite satisfied; he feels accounts have been balanced, and his conscience is relieved about Geyring because the guilty Bertrand has suffered the extreme penalty.

Huguenau was also outside the pale of conventional attitudes about sex. From the moment he sees Marguerite, the little protégée of the Esches, his mental reflections about her are tinged with prurience which at times comes to verbal expression.

At first his remarks seem facetious. Considering the purchase of the printing plant, Huguenau remarks to Esch: "Das kleine Fräulein gehört also auch dazu" (p. 405). In a later talk with the girl, whose childish wish is always for money, Huguenau says: ". . .wenn wir reich sind, können wir ja miteinander wegreisen . . .ich nehme dich mit" (p. 429). The same remark is later repeated with the added note of depriving the Esches of her.

Upon observing a prisoner being led away, Huguenau gratuitously speculates that he is guilty of "Raubmord und Kinderschändung" (p. 455), although he has no factual

basis for this suggestion. He seems obsessed with the thought of sexual deviation. Marguerite becomes Huguenau's pawn, but he does not want only to acquire her as a possession; she is also a female for whom he is competing:

> Marguerite war auf die Papierballen gekrochen und Huguenau sass auf der rohen Bank, die dort stand. Er schaute auf die Maschine, schaute auf das Kind.[19] Die Machine war sein Eigentum, sie gehörte ihm, das Kind gehörte dem Esch . . . Dann nahmen sie einander bei den Armen, warfen den Oberkörper taktmässig vor und zurück und skandierten die Bewegung . . . (p. 470)

A substantial pattern of jealousy, malicious glee, and possessiveness emerges from Huguenau's remarks, hardly veiling his illicit sexual desire. These desires are then accompanied by a furtive sense of guilt and a projection of it to the passing prisoner.

When Huguenau became established in the community his possessive attitude toward Marguerite grows.[20] When Esch at Huguenau's connivance is absent and Huguenau is expecting a visit from Major Pasenow, Huguenau fully appropriates Marguerite, treating her as a child-wife who is expected to be present when visitors arrive.

The most persistent and prominent concepts in Huguenau's mind are those of his own preservation and

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[19] For reference to machinery as symbolic of male sexual organs, see Sigmund Freud, Introduction to Psychoanalysis (New York, 1963) (10th Lecture), p. 164.

[20] See GW II, 457, 469, 471, 521.

his sexual satisfaction. In the "Symposium" Pasenow has stated: "Das Böse ist bloss scheinbar unter uns, verwandelt in vielerlei Gestalt, aber niemals ist es selber da . . .Gleichnis des Nichts--wahrhaft ist bloss die Gnade" (p. 531). Thereupon Huguenau feels a primitive elation: "Na, wenn Diebstahl oder Kinderschändung oder Desertion oder Krida bloss scheinbar ist, dann sieht es ja recht tröstlich aus" (p. 531). In one brief clause Huguenau here brings into public view the particular sins which inhabit his conscience: theft from Esch, planned abuse of Marguerite, desertion from military service, planned embezzlement of funds and breach of contract. His repeated mention of child molestation and his exaggerated attentions to Marguerite along with the sordid fascination the bordellos hold for him show Huguenau's sexual abnormality.

When he feels frustrated in Esch's house, apparently envying Esch a wife, Huguenau thinks of leaving with Marguerite. Depriving the Esches of conjugal bliss and acquiring a girl for himself is a firm idea in Huguenau's mind. Meeting Marguerite in the yard, he gives her a coin and says: "Für die Reise . . .aber du musst dich dazu ordentlich anziehen . . .warme Hosen. . .lass mal sehen . . .mir scheint gar, du bist ganz nackt . . . " (p. 603). As at the beginning of Pasenow, a relationship is established between money and possession of a woman;

in Pasenow it is the elder Pasenow's gift of 50 marks to Ruzena that enrages Joachim by its crudity. The act of a man paying a woman recurs several times in the first novel. In the case of Huguenau, the same association is made between money repeatedly given the girl and Huguenau's lascivious thoughts about her.

Toward the end of Huguenau during the disorder and rioting Huguenau is on guard with a rifle when Marguerite appears:

> Huguenau möchte lieber ins Bordell: "Ich kann dich nicht brauchen . . .du bist noch nicht vierzehn . . . schau, dass du heimkommst." Nichtsdestoweniger nimmt er sie auf den Schoss; es ist wärmer so . . .Sie sassen eng aneinander geschmiegt . . . (p. 636)

This gross reference is the last with respect to Marguerite. Finally Huguenau's sexual appetite leads him as in Walpurgis Night to the macabre rape of his surrogate mother, Frau Esch; shortly thereafter he kills Esch himself.[21]

The motif of abnormal sexual behavior is thus completed with Huguenau's desperate fulfillment with old Frau Esch of the violation so long in his mind with

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[21] The murder of Esch calls to mind similar removal of a husband to restore technical legitimacy: King David arranged the slaughter of Bathsheba's husband Uriah, and Hebbel's Kandaules had to die because Rhodope had been viewed by Gyges.

respect to Marguerite. Broch has maintained a consistent parallelism between Bertrand and Huguenau; at every point of similarity there appears in the case of Huguenau less dignity, less sophistication, more brutality, more destruction of human values. The process of disintegration, once begun, proceeds at an accelerating pace.

In contrast to the "rational" approach of Bertrand and Huguenau to sexual matters, Pasenow maintained a "romantic" view. In his case that meant both gratification of the flesh and guilt feelings about it. Of the many passages in the first novel relating sex to Pasenow, the only ones in which Pasenow found joy were those furtively undertaken with Ruzena. His abandonment to sensuality in those situations is consistent with the irregularity of their relationship. There was logic in an unholy joy of union in an unsanctified relationship. As instinct is irrational and quite the opposite of what is called for in a military career in the Imperial Army, so Pasenow can feel comfort in his affair with Ruzena only in the dark as, when driving back from an outing in a carriage, "(sie sassen) in einer dunklen Höhle . . . beugten sich ihre Antlitze ineinander, mündeten und vergingen ineinander . . ." (p. 39).[22] Pasenow will not

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[22] Cf. GW II, 40: " . . .wie eine selige Höhle . . ."

recognize in his experience of bliss the free and full love Bertrand had championed in his talk with Elizabeth. Faithful to the conventions of his caste, Pasenow continues to idealize Elizabeth, whom he will marry from a sense of duty, and to relegate to a dark cave Ruzena with whom he finds guilty satisfaction.

Pasenow's other experiences of sex are a mixture of prudishness and lasciviousness. Repeatedly he visualizes with repugnance "Frauen, welche das rosa Fleisch und die dunkle Höhle im Barte zum Kusse mochten" (p. 48).[23] Pasenow's externally conditioned life left only the area of imagination relatively free; it was in this area that puritanic and Freudian images combined to produce a distortion of sexual relationships characterized by stealth, guilt, darkness, and primitive seclusion.[24] These elements, of course, did not exclude the temporary sense of womb-like security and the desperate ecstasy of physical union with Ruzena.

The motif of abnormal sexual relations is thus balanced, as if Broch were saying: "A plague on both your houses": the calculated rationality of Bertrand and

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[23] See similar references in GW II, 51 and 124.

[24] Cf. Freud (10th Lecture), p. 163.

Huguenau, and the desperate irrationality of Esch and Pasenow. The absence of wholly desirable and mutually satisfactory sexual relationships in the trilogy in spite of the variety of sexual experiences portrayed indicates a crisis of cultural change in which the expectations of society will no longer suffice to fulfill personal relationships; but the capacities of the individual to determine his own happiness outside the bounds of convention are still inadequate. The Sex motif exhibits a specific instance of a general condition of social and personal frustration. This motif therefore provides one of the negative commentaries on the world Broch portrays.

The Renegade Motif

The Renegade motif identifies both Bertrand and Huguenau. It represents desertion and the negation of loyalty, responsibility, and the established order, whether it be divine or human or both. The essential character of Satan as a renegade from the hosts of heaven need hardly be established here. The motif of the renegade with respect to Bertrand and Huguenau establishes their association with the evil forces in the world and therefore complements the Mephisto motif in the particular aspect of defection, desertion, and disloyalty.

Pasenow early characterizes Bertrand as "ent-

sprungen" (p. 17), a thought elaborated in Joachim's reflections:

> . . .er (hatte) doch ein für alle Male die Uniform abgelegt und sich für das Zivilkleid entschieden . . . als er Secondeleutnant geworden war, geschah das Unbegreifliche: ohne äusseren Anlass hatte er den Dienst quittiert und war in einem fremdartigen Leben verschwunden, im Dunkel der Grosstadt verschwunden . . .(p. 21)

The reprobate character of Bertrand's behavior is indicated by the terms used by both the elder and the younger Pasenow. Their judgment is that of society and their language shows the reproach connected with resignation from the military service. It is compared with an illegal escapade, as something beyond comprehension, and as the tragic exit from an honorable life into a dark and sinister one. The parallel with Lucifer's fall from light to darkness is intimated this early in the first novel. The passage demonstrates the abandoned nature of the renegade, who is regarded as an errant soul who must regret his decision. His adopted life is considered a desolate one, comparable with that of a man without a family.[25] Such a reference suggests the race of devils, sui generis, separated from the source of life itself.

The stigma of the renegade, firmly applied to Bertrand in Pasenow, follows him in Esch. Korn responds to

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[25] Cf. GW II, 93; also p.70 above.

Esch's respect for Bertrand: "Korn brummte verächtlich, dass der Bertrand ein weggelaufener Offizier sei, das wissen alle . . ." (p. 200). The mark of the renegade stamps Bertrand in spite of his social and economic status. Not long after Korn's remark, the disillusioned Esch remarks: ". . .ist es wahr, dass er ein entlaufener Offizier ist?" (p. 214). Geyring's confirmation and justification of this fact leaves Esch bewildered; he, like Korn, assumed a renegade would be worthy only of reproach and scorn. The essential characterization of Bertrand by Esch is "entlaufen" (p. 218). When such a renegade is found in alliance with the state and the police against the innocent Geyring who is imprisoned, Esch feels the books of equity are badly out of balance: "Er wusste bloss, dass er Wein trinken müsse, um Ordnung in die Welt zu bringen" (p. 218).

Eventually the composite picture of evil in Bertrand consists of three elements in Esch's view: his economic status as employer and industrialist as opposed to the struggling worker; his social status as a renegade officer; and his moral status as a homosexual. Esch learns of each facet separately and in the order given above. Each new role intensifies Esch's moral indignation and leads to his decision that Bertrand must be eliminated for the health of society.

The third novel, Huguenau, takes up the renegade motif with the desertion of Huguenau from his military post in the First World War:

> Da kroch er heraus und entfernte sich . . . Umgeben von der klaren Luft, die den Frühling vorbereitet, zieht der Deserteur waffenlos durch die belgische Landschaft . . . er geht sozusagen als nackter Mensch durch die Gewalten hindurch. (p. 372)

The same state of nakedness ascribed to the civilian in Pasenow (p. 26) is here used for the deserter Huguenau. Bertrand and Huguenau are thus drawn into this same category for the same general reason--as renegades. Although Bertrand's defection is never crudely labeled, Huguenau is factually designated a deserter at the very beginning of the third novel. The deference due caste and the refinement of a previous generation do not apply to Huguenau or to his generation.

In his fourth essay on "Zerfall der Werte" Broch makes an interesting distinction between the rebel and the criminal. Discussing Huguenau's case, he writes: "Vom militärischen Standpunkt aus ist ein Deserteur natürlich ein Verbrecher . . ." (p. 444), but desertion is essentially different from both rebellion and crime, each of which brings its own sort of order and system of values into play; he continues:

> Während aber der Rebell das Bestehende unterjochen will, sucht der Verbrecher sich ihm einzufügen. Der Deserteur gehört weder zu dem Bereich des einen, noch zu dem Bereich des andern, oder er gehört beiden an. Dies mochte Huguenau fühlen, da er nun

> vor der Aufgabe stand, seine eigene kleine Welt und Wirklichkeit am Rande der grösseren Ordnung zu errichten und in sie einzupassen, und wenn er es auch bejahte, dass Deserteure zum Tode des Erschiessens verurteilt werden, so lag dies vorderhand abseits, und es war nicht sinnlos, nicht sinnloser als die Sprache seiner Träume, dass der "Kurtriersche Bote" sich ihm wie . . . ein Punkt, . . . darstelle, in dem das Land seines Gesetzes an jenes grenzte, dessen Gesetze er achtete und liebte, in das er eindringen und in dem er wohnen wollte . . . (p. 446)

The renegade Huguenau is here depicted as a swindler who, having renounced the values of the world around him, yet seeks to benefit from them as he erects his own province with the goods extorted from those he has by ruse subjugated. Huguenau is the criminal rebel as opposed to the social rebel such as Martin Luther--or August Esch.

Although master of his environment Huguenau remains acutely conscious of his essential condition as deserter. Like Raskolnikov in Crime and Punishment he makes constant reference to his condition and his fate, including his criminal intentions of murder and child molestation.[26] Seeing a prisoner led away, he feels compelled to remark: "Wenn's ein Deserteur ist, wird er erschossen" (p. 455). In the postscript of his letter informing Major Pasenow of Esch's supposed subversive activities, Huguenau adds:

> . . .Herr Esch (machte) Erwähnung davon, dass im hiesigen Gefangenhaus ein oder mehrere Deserteure untergebracht sind, welche erschossen werden sollten. Es wurde darauf die auch von ihm vertretene

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[26] See p.86 above.

> allgemeine Meinung geäussert, dass es keinen Sinn hat, jetzt vor Kriegsende, mit welchem diese Leute also sicher rechnen, noch Deserteure zu erschiessen, weil ohnehin genug Blut geflossen ist. (p. 484)

Huguenau here produces a classic example of making full use of a code he despises to gain personal benefit. He is not beyond using Esch, whom he is denouncing, at the same time as a reference for mercy to deserters. Huguenau's abhorrence here of bloodletting is expressed only a short time before he himself instigates a bloody riot during which he personally kills Esch. The renegade Huguenau feels himself abandoned; to regain legal rather than moral acceptance of his existence he uses the moral code of his collective enemy to justify his own situation.

In the mystical conversation between Esch and Pasenow Huguenau intervenes: "Niemand hört einen Deserteur, niemand kennt ihn, auch wenn er mit allem, was er spricht, recht behält" (p. 524). Despising society, the renegade yet desires its respect and benefits.

In the "Symposium oder Gespräch über die Erlösung", (p. 525) the Major's abstract discussion of the nature of evil and grace is met by Huguenau's concrete response in which he continues to circle about his essential condition of estrangement from society; addicted to his situation, he recognizes society's rejection of it and

seeks to ameliorate his own possible fate.[27]

In the aphoristic description of his characters, Broch places Huguenau and Bertrand side by side as deserters: "Der eine nimmt Abschied, der andere desertiert,--alle desertieren sie aus dem Chaos, doch bloss einer, der niemals gebunden war, wird nicht erschossen" (p. 571). Bertrand committed himself to officer's training and then rejected his obligations; Huguenau simply abandoned his military obligation. They call their own doom upon themselves as renegades. They are distinguished from those who, not under obligation and not predatory, strive to save society from its own chaos.

The motif reaches its culmination with the arrival of a list of deserters; the major slowly realizes that the man he has taken into his confidence is a renegade and that he has in effect patronized a traitor (p. 614).

Huguenau continues to be involved in profiteering and in an inconclusive relationship with Esch and Pasenow. The situation is similar to Bertrand's confrontation by Esch. Although denounced Bertrand had remained master of the situation. In Huguenau, however, a further stage develops. Far from taking his own life as Bertrand had done, Huguenau achieves the elimination of both Esch and Pasenow. The former he first symbol-

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[27] See GW II, 583.

ically eliminates by appropriating his wife through rape; thereafter he literally eliminates him by murder by stabbing him in the back with a bayonet.[28] The renegade Huguenau's criminal act with a military weapon is a fine point of irony but at the same time exposes his ruthless amoral character; in rejecting society's claims on him, he does not reject products of society when they can further his egocentric ends, which for the extreme individualist may without scruple involve the destruction of those considered a threat to his existence or security.

Pasenow is eliminated more subtly by Huguenau. He tends the wounded major rescued by the now defunct Esch. Huguenau uses his new position as nurse to plead his case with Pasenow: ". . .für einen Menschen wie ich, wo ich doch ein gewöhnlicher Deserteur bin . . ." (p. 654). But when the major, apparently suffering brain damage and in any case being no threat to Huguenau's security, must receive more adequate care elsewhere, Huguenau achieves his final coup by securing legitimate identification as escort. In Cologne he procures another legal pass to Colmar where he takes up his prewar activities in the family business. The one time renegade finds his place

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[28] Cf. GW II, 633: "Ja, Herr Esch . . . ich stösse keinen von rückwärts nieder wie andere Leute." This statement was made by Huguenau shortly before he murdered Esch.

in a society whose standards can now accommodate without stress those of his kind, whereas Bertrand, the renegade of a previous generation, could not in his time be so assimilated.

The deserter, in Broch's words, both defied and accommodated himself to society (p. 446). This had been imperfectly done by Bertrand; he was overtaken by society in his day. The years following 1903 brought about an acceleration of disintegration, represented finally by the disorganization and chaos of the First World War. By reason of this degeneration Huguenau succeeded in adapting to the society he had so grossly violated. The impending disorder of the outgoing romantic period found fulfillment in the moral chaos of the realistic period for which the anarchistic period had been a breeding-ground. In effect, the final legitimacy of the renegade Huguenau becomes a celebration of the decline of the social order.

Like the Mephisto motif, the Renegade motif is negative and disruptive in essence. Both motifs involve rejection of an established order and renunciation of responsibility within that order. Additional motifs related to these develop the concept of a world into which the renegade flees and where he is master. These are the motifs of The Brand, The Slough, The Unethical Businessman, The Big City and the Crutch.

The Brand Motif

A minor motif having a religious background common to both the Mephisto and the Slough motifs is that of the brand. It occurs twice in the first novel and twice in the third. All references to it are reflections by Joachim Pasenow on his own condition. The first occurs during the visit of the specialist to examine the ailing elder Pasenow. Musing on the absence of physical signs of past experience, Pasenow thinks:

> . . .wäre es nicht Gnade, wenn (Gott) den Menschen für alles brandmarken würde? aber Gott senkt das Brandmal bloss in das Gewissen und selbst der Nervenspezialist vermag es nicht zu erkennen. Helmuth hat sein Brandmal erhalten; darum durfte man ihn im Sarge nicht sehen. Aber auch der Vater ist ein Gebrandmarkter; einer, der so einhergeht wie der Vater, der müsste eigentlich schielen. (p. 124)

As in the Old Testament story, "The Lord set a mark upon Cain" (Gen. 4:15), so the marked man in the passage above is the person with guilt in his past. Joachim thought that Ruzena's kisses ought to leave a trace on his face since lack of such trace amounted to deception of his intended bride Elizabeth. Accepting his own guilt, Joachim considers his immediate family (p. 124). Helmuth, killed in a duel, was "marked", but this too was hidden by the coffin. His father's "mark" Joachim considers plainly related to his gait and his glance.

The importance of this initial mention of the mark of disgrace is its reflection of the guilty conscience at

work; the objective social guilt of Bertrand and Huguenau are matched by Pasenow's sense of moral pollution, a sense of guilt which relates him to Kafka's characters. This sense is indeed induced by objective data:

> Es war Joachim unvorstellbar, dass . . . in des (Nervenspezialisten) Bart eine Frau den Kuss gesucht haben mochte; irgend etwas müsste doch noch davon bemerkbar sein, in dem Bart hängengeblieben sein wie eine Feder oder ein Halm. (p. 124)

He relates this speculation to his own illicit kisses with Ruzena, to Helmuth's disfigurement in the duel, and to his father's eroticism which had revolted him at the beginning of the novel.

In his derangement and senility, the elder Pasenow, finding his physician and his family gathered without his knowledge, makes Joachim the target of his accusation and denunciation. The paternal denunciation strongly affects Joachim:

> Joachim hatte das Gesicht zwischen den Händen begraben. Ja, der Vater hatte ihn gebrandmarkt; nun war es eingetroffen . . . Der Pastor . . . musste . . . wissen, dass der Fluch des Vaters unauslöschbar auf den Kindern lastet . . . dass es Gottes Stimme selber ist, die durch den Mund des Vaters spricht und die Prüfung verkündet; oh, deshalb war der Vater nun umnachtet, denn niemand ist ungestraft Gottes Sprachrohr. (p. 127)

Joachim feels himself under as heavy a judgment as any son of patriarchal or Judaic antiquity could. His father's human frailty does not lessen the impact of the authority with which he rules the family. Pasenow feels that he is doubly branded: by his own conscience within

him and by his father's deranged denunciation in public.

Toward the end of the trilogy, when Joachim is thirty years older, he stands where his father had stood at that first mention of the brand. Already somewhat wandering in his thoughts, evangelical and apocalyptic in his talk, mystic in his anticipations, Pasenow sees a vision of Esch in the doorway just after he has realized Huguenau is a deserter:

> . . . als er endlich merkt, dass wirklich niemand dort steht . . . es nützt nichts, das Bild Eschs steht nach wie vor bei der Türe und blickt ihn an, Esch blickt ihn an, als hätte er ein Brandmal an ihm entdeckt. Es ist ein strafender vorwurfsvoller Blick, der auf ihm ruht . . . (p. 615)

Esch as the Recording Angel is an appropriate vision for the major at this point when he feels his guilt brands him as a traitor along with Huguenau whom he has patronized. Esch represents the judgment of God, just as in Pasenow Joachim's father had. Again in contrast to Bertrand and Huguenau, who had sought only to avoid the consequences of their rejection of society, Pasenow privately embraces the guilt of which at this point he alone is aware. The parallel with Dostoevsky's Raskolnikov and with Langgässer's Belfontaine is unavoidable. Judgment and grace compete for man's soul.

Pasenow cannot escape his sense of pollution through his knowledge of Huguenau's true character. When he is later threatened with exposure by Huguenau because of his

meetings with Esch, Pasenow is nauseated with Huguenau's presence:

> "Packen Sie sich . . . er soll sich packen . . . der Verräter . . ." es war das Ende, das unritterliche Ende! gebrandmarkt, für immer gebrandmarkt! (p. 419)

At this point Pasenow's age and religious fervor have overtaken his reason, but the sense of being branded brings him close to suicide. He considers that his father's branding of him in his youth is now consummated by his guilty association with a deserter and traitor. Objective reality now confirms his subjective state of guilt.

At this point Broch departs from both Dostoevsky and Langgässer, whose heroes end up with grace or mercy. Broch aligns himself with Kafka; Pasenow's last conscious expression in the trilogy is of judgment, guilt, and condemnation arising from his Protestant conscience and habitual military rigidity, accusing rather than excusing himself. The Brand motif is a morbid one adhering as it does throughout Pasenow's life to the Old Testament concept of guilt without the mitigation of the New Testament concept of grace.

Pasenow's consciousness of guilt derives almost completely from his awareness of social disapproval, in the first case by Elizabeth, the second by his

father, the third by Esch, and the fourth by his superiors. Clearly each of these figures is associated with his religious concepts of right and wrong, but in his adoption of these concepts Pasenow attributes more value to the social order in which he participates than to a balanced sense of his own strength and weakness. In this respect he is the antithesis of Huguenau, who dealt pragmatically only in obvious realities and not at all in moral judgments on himself.

The Brand motif applied exclusively to Pasenow because he distinguished between right and wrong and suffered under the consciousness of guilt. This would clearly be inappropriate for Huguenau, who had no sense of guilt and felt comfortable while violating cardinal standards of social behavior. Although minor, the Brand motif nevertheless throws into clear relief the opposition of socially determined morality as in Joachim Pasenow's case and self-determined adjustment to the environment as in the cases of Bertrand and Huguenau. The reader is led to look for a way out of the dilemma, a third choice which will promote both freedom and ethics.

The Slough Motif

That Pasenow feels himself in the presence of an evil force, just as did Gretchen in Faust, is indicated by his repeated desperate allusions to "Pfuhl" and

"Höllenpfuhl", slough and pit of hell. The slough is closely associated with the Mephisto complex of the demonic, the decadent, the renegade, and the brand. It occurs explicitly four times in Pasenow and six times in Huguenau. "Slough" is used as "a state of moral degradation or spiritual dejection into which one sinks or from which one cannot free oneself." [29]

Hearing Bertrand express himself cynically about the state and church, Joachim feels the downward pull of the slough: "Joachim fiel das Wort Pfuhl ein und Höllenpfuhl; warum redete jener immer vom Glauben und von der Kirche?" (p. 28). This reinforced reference to the slough indicates Joachim's strong patriotic and evangelical feelings which demand rejection of any challenge to a pattern of thought bearing the seal of tradition and society. The emotional and religious element in the reaction also reveals that Joachim feels the foundations of his life and soul are in jeopardy in the presence of Bertrand's heresy. Joachim, apart from his faith in church, state, and society, could feel only the horror of the unknown, the absence of support, the mire of a slough.

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[29] Definition in Webster's Third Revised International Dictionary Unabridged (Springfield, Mass., 1961).

An elaboration of the Slough motif occurs upon Joachim's decision to dissolve his relationship with Ruzena. The affair has run its course, Ruzena has tried to kill Bertrand, Joachim has found her days later in disreputable circumstances and in dissolute company. In view of Helmuth's death, intended marriage to Elizabeth, and the fact that he will no doubt come to take charge of the Pasenow estate, Joachim considers this the time to end the affair. As he speaks with Bertrand about arranging for Ruzena's welfare, he reflects on the situation:

> In welchen Pfuhl war er doch geraten . . . Er roch den Rauch, den der Regen von den geschwärzten Enden der langen, roten Schornsteine herunterdrückte: es roch faulig, übernächtig, schweflig. Das war der Pfuhl; dort gehörten der dicke Mann und Ruzena und Bertrand hin; das war alles das nämliche wie die Nachtlokale mit ihren Gasflammen und ihren Toiletteräumen. Der Tag war zur Nacht geworden, wie die Nacht zum Tage. Ihm fiel das Wort Nachtalben ein, allerdings konnte er sich wenig darunter vorstellen . . . Und nun sah er wieder Elisabeth, die anders war als alle anderen, hoch oben auf silbriger Wolke über allem Pfuhle schwebend. (p. 135)

The first reference to the slough represented a rejection of Bertrand's kind of thinking; it preceded Joachim's affair with Ruzena. This reference, however, again involving Bertrand, finds Joachim implicated in social relationships which seem to him the product of evil associations. The slough here is equipped with many of the concomitants of evil: pollution, suffocation, the substratum of humanity, darkness. And Joachim's reflec-

tions both before and after the above passage center on Bertrand as the moving spirit in this murky environment.

The next appearance of this motif is on Joachim's wedding-day as he rides to the ceremony with his mother.[30] Elizabeth, the genteel country girl on the silvery cloud, is the antithesis of Ruzena in the slough of the city and of Bertrand's paganism. Joachim's marriage to Elizabeth is his deliberate answer to the threat of engulfment, it is his ascent from the slough.

That he cannot readily disengage himself from the slough Joachim experiences on his wedding night: "Und er merkte, wie tief er dem Pfuhl noch verhaftet war" (p. 167). In spite of this lingering memory of Ruzena, Pasenow has dissociated himself at the end of the first novel from Bertrand, the city, and the night life which had complicated his existence and compromised his convictions. That he could not permanently retreat from his age and his society was intimated by the errant thought of Ruzena and confirmed by his experiences in the third novel.

That the Slough motif does not occur in Esch is appropriate to the proletarian and activistic emphasis in this novel. Esch deals as a matter of course with the city and the problems of capital and labor in a

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[30] GW II, 162.

transitional period. The city and industry are accepted as a natural habitat and a necessary form of survival. Moreover, it is in the city that Esch finds his numerous sexual relationships. Hence Joachim's association of the city with a slough would not be consistent with the character and mode of life of Esch, Geyring, Ilona, and the Korns. Nor would the ethical considerations which characterize the slough in Huguenau be consistent with the simplistic and pragmatic motivations and conclusions to which Esch comes in the second novel of the trilogy. Esch assumes there is an unrighteousness in the social fabric which he does not identify essentially with a particular locality. Esch does not believe in getting out of a slough, but in assailing each identifiable social injustice with a concrete solution. He is the Don Quixote, not the St. Anthony of the trilogy.

Further, Esch occupies a middle position between the onset of decay in Pasenow and the collapse in Huguenau. It is a novel of social hesitation, like Doblin's Berlin Alexanderplatz; as such it takes place on a different level, both in its active and reflective aspects, than do either Pasenow or Huguenau.

In the third novel the Slough motif reappears after Major Pasenow has had some experience with Huguenau. The latter's secret report to Pasenow about Esch he

hopefully numbers "1". Rather than meeting Pasenow's approval, the letter has the following effect:

> Es war ein trüber gewitteriger Morgen. . . Die Luft roch schweflig oder nach Russ. Etwas Hässliches und Gewalttätiges steckte hinter dem Brief, etwas Untergründiges, und wusste der Major auch nicht, und war es auch nicht seines Amtes, es zu wissen, dass es immer Gewalt and Vergewaltigung ist, wenn einer den Versuch unternimmt, die eigene Wirklichkeit mit der Wirklichkeit der anderen zu verbinden und in sie einzudringen, so fiel ihm doch das Wort "Nachtalben" ein, und es war, als müsste er sich, als müsste er seine Frau und seine Kinder vor etwas schützen, das nicht seine Welt, sondern ein Pfuhl war. (p. 484)

This passage is similar to the passage previously quoted[31] from Pasenow; the terms "Pfuhl, Nachtalben, roch", and "schweflig" are common to both. The sources of irritation in both passages are the "defectors" from society, Bertrand and Huguenau; the situation in each case concerns individuals closely associated with Pasenow--Elizabeth and Esch. In each case a concrete situation conjures up for Pasenow graphic symbols of evil: a slough and "night-birds." Both instances relate bad weather to moral depression--the penetration of the objective and subjective worlds by the spirit of evil.

Confirmation that Pasenow identifies the slough with Huguenau, as he had previously identified it with Bertrand, comes when Esch is announced by the major's orderly: "War dieser Zeitungsmann ein Abgesandter

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31 Cf. p.107 above.

Huguenaus? ein Sendbote des Pfuhls und des Untergründigen?" (p. 505). Pasenow's Lutheran zeal remains alert to any threat to his way of life and code of honor. Even when Esch explains his mission--to have the Major assume leadership of a Bible study group--Pasenow remains wary: "War es wirklich ein Netz aus seinen eigenen Worten, das sich über ihm zusammenzog? mit dem ihn jener hinabzerren wollte in den Pfuhl und in die Dunkelheit?" (p. 508). The spectre of his experience in youth with Bertrand and in Trier with Huguenau leads Pasenow to imagine the threat of the presence and power of evil always beckoning from the edge of the slough.

At a victory celebration Pasenow is scandalized by the dancing and its degradation of the war effort. Although Huguenau was the organizer and master of ceremonies at this party, Pasenow's indignation and judgment go beyond the man Huguenau. He stigmatizes all society on this occasion, for the celebration was attended by a complete cross section of townsfolk, the military, and the disabled, as well as the hospital staff. The fact that Huguenau is in charge strengthens the designation "Slough", for his presence has already been associated with evil; here the entire locality is under his jurisdiction.

The Slough motif in Huguenau has expanded to include

a degenerate society from which there was no salvation. In Pasenow the young officer had been able to withdraw from the evil about him, but as the trilogy draws to a close so do the possibilities of withdrawal. The slough now engulfs all of society in a widening circle of evil. Huguenau has succeeded Bertrand as the focal point of many evils, reflecting in his person both military and civil degeneration. Already besmirched by the unsportsmanlike weapons of the war, Pasenow feels further befouled by association with the deserter Huguenau. The slough seems inescapable, a conclusion Pasenow faces in his conversation with the military doctors. Trying to take an optimistic view of developments, he concludes his reflection with the blunt statement, "Es war ein Pfuhl" (p. 604). He feels that earlier intimations of a general decline are fast becoming ignoble reality, and the "righteous" majority of his youth has now dwindled to the sparse minority who share his mystic vision and prophetic forebodings.

As the first reference in the third novel was to Huguenau, so the last one is elicited by him. Reflecting on the general chaos arising from the military situation, Pasenow recalls the desertion of Huguenau of which he has just received notice:

. . . oh, die Dunkelheit stieg, es stieg das Chaos,

> aber aus dem Chaos im Pfuhle giftiger Gase grinste die Fratze Huguenaus, die Fratze des Verräters, Werkzeug der göttlichen Strafe, Urheber des wachsenden Unglücks. (p. 616)

Huguenau as promoter of the chaos of the slough symbolizes the power of darkness, treachery, and the scourge of God.

The Slough motif is significant for its close relationship with the Mephisto motif which it complements; it also shows Broch's technique of introducing and elaborating a motif. Both in Pasenow and Huguenau the Slough motif began in Pasenow's consciousness as a specific impression related to a personal situation. Succeeding references broadened the association to include objective reality and a wide range of social implications. The final reference was once more a personal, narrow reflection in Pasenow's own consciousness of the evil represented by the mere memory of an offensive individual.

The Machine Motif

Early in Pasenow the contrasting motifs of the evil city and the virtuous countryside make their appearance. The City motif is flanked by the motifs of the machine and the businessman, more particularly the evil machine and the vicious businessman.

In the symposium in Huguenau, Esch remarks:

> Manchmal ist es, als sei die Welt nur eine einzige furchtbare Maschine, die nie still wird . . . der Krieg und alles . . . es geht nach Gesetzen, die

> man nicht begreift . . . fresche selbstsichere Gesetzte, Ingenieurgesetze . . . jeder muss handeln, wie es ihm vorgeschrieben ist, jeder mit dem Gesicht nach vorn . . . jeder ist eine Maschine, die man nur von aussen sieht und die feindlich ist . . . oh, die Maschine ist das Böse und das Böse ist die Maschine. Ihre Ordnung ist das Nichts, das kommen muss . . . (p. 532)

Expressing a sentiment as old as the Industrial Revolution itself, this statement has the force of history behind it. Pasenow has experienced the city as the tempter challenging what is right and good and destroying virtue; the industrial plant with its machines has become for him a symbol of the evil of the city. Esch has been intimately involved with the city and its business; Martin Geyring has been trying to assure recognition of human values within factories; in the third novel a war has used the machine unabashedly to destroy life. When Esch therefore concludes that the machine is evil personified, he is expressing his concern for the human spirit. The passage quoted above is the culmination of a series of references to the machine, most of them in the first novel, one in the second, and the one in the third quoted above.

In Pasenow several references to Borsig's mechanized factory concentrate the evil of the city in its essentially industrial character. Broch introduces the first reference to machines as part of an excerpt from Joachim von Pasenow's reflections concerning military and civilian careers:

> . . . aber die Gefahren des zivilistischen Lebens waren von fremder und dunkler, unfassbarer Art. Da war alles in Unordnung, ohne Hierarchie, ohne Disziplin und wohl auch ohne Pünktlichkeit. Wenn er auf seinem Weg zwischen Wohnung und Kaserne an Borsigs Maschinenfabrik zu Arbeitsbeginn oder -schluss vorüberkam und die Arbeiter vor dem Fabriktor standen wie ein exotisches rostiges Volk, nicht viel anders als das Volk der Böhmen, so fühlte er ihre unheimlichen Blicke . . . (pp. 61-62)

Here Pasenow equates the factory with the bohemian, the unknown, the perilous and unregimented civilian world. The factory-workers are like so many demons from another world which he does not know and fears to know. The factory spells the antithesis of order and the military life. His revulsion from the workers arises from his profession, his caste, and his heritage. As a military man, an educated man, and of landed stock, he feels antipathy toward the civilian, the illiterate, the city dweller. The city as the place of night clubs is here branded a second time as the locus of the factories and machines. This motif provides a second rejection of the city, based on its contrast with both military and provincial life.

Upon his return to Berlin from his native Stolpin, Joachim on his way home from the garrison passes the factory[32] and now associates Bertrand with it. Although the first reference had been impersonal, in the interim

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[32] See GW II, 118-119.

Bertrand as a guest at Stolpin and Lestow had made an impression on the elder Pasenow and particularly on Elisabeth. Probably because at this point Bertrand and Elisabeth have become well acquainted, Joachim moves to an easy identification of Bertrand with the disorder of the factory. He fears Bertrand's sophistication and unorthodoxy will negatively affect his plans for a conventional marriage with Elisabeth. The second distinguishing feature in this passage involves a reversal of the first reference. Pasenow pairs off his association of Bertrand with the factory by dissociating his military uniform from it. Now therefore the factory stands out starkly as a dominant feature of the evil represented by the modern industrial city. It is evil independent of contrast with the military; it is evil in its association with merchants or capitalists such as Bertrand; it is evil in its dehumanization represented by the "exotic" Czech workers; and negatively it is evil by reason of its remoteness from the rural and pastoral. Pasenow concludes his unfavorable reflection on Borsig's by deciding to return to his paternal estate.

Despite Pasenow's rationalized disposition of Bertrand and Ruzena as urban and therefore evil, he maintains relationships with them; however, he also carefully maintains the orthodox faith and practices of his early youth, and at church service, struck by the lack of in-

terest in the faces of the churchgoers, assumes they are factory workers in civilian life.[33] This contrast is made not on the basis of class but on the basis of origin, for Pasenow mentally compares their impassive faces with those of the farmhands he knew in Stolpin. The motif of the factory has here been enlarged from a vague sense of disorder to include the ingredients of insensitiveness and lack of religious feeling.

The clarity and intensity of Pasenow's concept of the factory is shown when Bertrand suggests to him how to dispose of Ruzena in view of his coming marriage with Elisabeth. Revolted by the irony and calculation in Bertrand's suggestions, Pasenow is transported mentally to Borsig's factories--a slough of despond, with soot, blackness and a sulphurous odor coming through rain--as clear a picture of hell as Doré's or Dante's. In lieu of the factory workers Pasenow assigns Bertrand, Ruzena, and Ruzena's companion of the night to this urban horror.

A passing reference to Borsig's occurs while Pasenow is considering divine Providence in delivering Elisabeth from Bertrand:

> Gott thront in absoluter Kälte und seine Gebote sind erbarmungslos, sie greifen ineinander wie die Zahnräder an den Maschinen bei Borsig . . . (p. 150)

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[33] See GW II, 121.

Here the machine is presented as a model of impersonality and relentlessness, a theme appropriated by Bertrand in Esch when confronted by Esch's intention of denouncing him: "Mord und Gegenmord ist diese Ordnung, Esch--die Ordnung der Maschine" (p. 324). Thus in similar passages there is a curious comparison of the machine in its utterly inexorable demands with both the absolute justice of God and the inescapable law of the jungle. That Bertrand, the industrialist by choice, should utter this statement indicates his own ennui. Bertrand in his last days also becomes a prophetic voice, harmonizing with Esch and with the later Joachim Pasenow.

In Huguenau Broch continues value-judgments on the factory and the machine from a philosophical and religious viewpoint. At this stage Pasenow and Esch are both involved with the analysis of the evil of their time. They have each experienced and observed the city over a long period of time, but unlike Huguenau they are not dedicated to it. Hence they can make their independent judgments. What Pasenow experienced psychologically and poetically they both now articulate as the force of evil, a source of hostility and annihilation, a mutual prophecy of final judgment.

The preoccupation of Huguenau with the printing press

was alluded to in another connection.[34] His love of the machine was elaborately expressed in the passage quoted and is in marked contrast to the rejection of the machine by Esch and Pasenow. Huguenau's worship of the machine, "jenes liebvolle Verhältnis zur Maschine," derives from his fascination with its mechanical functions. But into the maw of this machine he soon begins to feed the lives of Esch and Pasenow. Consistent with his amorality and anxiety, Huguenau's alliance with the machine strengthens the concept of a civilization simultaneously overtaken by its mechanical ingenuity and its philosophical disorientation.

The final passage dealing with the Machine motif reintroduces the idea of the faceless worker, the victim of the machine who mechanically obeys it--a reminder of the exotic sooty people who in Pasenow first appear as examples of the brutalization and slavery of the victims of the machine. This characteristic Esch now finds all about him; the impersonal laws of the "engineers'" civilization eliminate vital human relationships and produce a dehumanized race of hostile entities lacking significant communication.

The Machine motif is now complete. It developed stature from the beginning to the end of Pasenow, re-

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[34] Cf. p. 87 above.

ceived confirmation from Bertrand in Esch and final recognition and characterization in Huguenau. The machine was related progressively to the following characteristics: location in the city, "inhuman" workers, industrial organization, impiety and lack of religion, infernal wretchedness, impersonality, ruthlessness, power, inhumanity, hostility, evil, and annihilation.

The City Motif

Negative aspects of the city other than the factory appear in Pasenow as early as the first chapter. Referring to Bertrand's desertion of the military career, Pasenow reflects on the darkness to which Bertrand has consigned himself.[35] Although cities are both light and lighted in a visual sense, Pasenow dismisses the visual and brands the city as a place of darkness. Taken either by itself or in conjunction with other characterizations in Die Schlafwandler, the darkness clearly refers to a moral and spiritual state associated with the slough. The use of "auftauchte" (rose to the surface) (p. 21) further confirms the figure of a slough.

Pasenow confronts Bertrand with the difference between the metropolitan and the provincial points of view: "'Ich meine, dass Sie als Grossstädter doch nicht den richtigen

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[35] See p.48 above.

Einblick besitzen . . . Auch unser Volk draussen ist dem Christlichen viel enger verbunden, als Sie anzunehmen scheinen!" (p. 29). Pasenow here identifies "wrong" views with big-city life. This is consistent with the characteristic of darkness previously ascribed to the city, particularly as the reference is to religious faith.

When Bertrand expresses to Pasenow his disapproval of dueling in an age of industrial progress, Joachim disagrees: "Er hätte gerne gesagt, dass man nicht bloss vom Standpunkt des Grossstädters sprechen dürfe; auf dem Lande draussen seien die Gefühle unverfälschter und sie bedeuten mehr" (p. 53). In this instance Pasenow identifies a third major area of disagreement with Bertrand--the concept of personal integrity. In effect he asserts the disappearance of a sense of honor in the city dweller and in contrast the integrity of the rural person.

In these ways Pasenow has condemned the city for its darkness, figuratively expressed, for its distorted view of religion, and for its lack of integrity. Each reference involved a condemnation of Bertrand with respect to his career, his neo-paganism, and his pragmatism.

Broch makes his point by indirection as well. On two occasions he mentions the gaslights. The elder Pasenow during his annual visits to Berlin apparently frequents establishments which make him feel furtive:

hence: ". . .es erregte auch sein Missfallen, dass eine Reihe greller Gasflammen die Aufmerksamkeit der Passanten auf den Eingang des Jägerkasinos lenkte, vor dem sie nun hielten" (p. 15). No doubt the elder Pasenow does not want his patronage to be publicized; he has feelings of guilt about publicly appearing there. On the other hand, as he is engaging in the social underworld, in the world of darkness from a bourgeois and religious point of view, perhaps he feels, too, the inconsistency of lights illuminating the customers entering here. It would be more appropriate to enter such "dark" places in actual darkness.

A similar association is made with respect to Ruzena: "sie . . . lief davon, verschwand in der Türe, über welcher die Gasflammen brannten . . ." (p. 37). Not only does Joachim here see Ruzena in the garish light; he has a painful vision of his father in the same light pursuing the girl. These lights, though merely a public utility in the city, by transformation become a token of both the technical modernity of the big city and of its moral and spiritual darkness.

Later, while pursuing the stranger he imagines as Bertrand's agent, Joachim again expresses his concept of the big city:

> " . . . im Dunkel der Grossstadt verschwunden", fiel Joachim ein und die Dunkelheit hatte den Klang eines

> höllischen Sterbens . . .Würde er fliehen . . .er selber wäre einer von denen, die sich im Dunkel der Grossstadt verstecken . . . (p. 51).

Thus the City motif expands; the city is not only a place of darkness, but of hell and death, of crime and concealment.

As in the case of the Machine motif, Broch develops from a brief and limited reference an articulate and elaborate concept of the evil inherent in the big city. As Pasenow sees Elisabeth off at the station, he uses the time to compare Elisabeth and Ruzena, Berlin and Lestow.[36] The same sun is viewed as dark in the city and bright in the fields. Ruzena as a child of nature living in the city is associated with "falsche Helligkeit" (p. 64), but Elisabeth with the true brightness of unspoiled nature. The complexity of the city becomes for Pasenow a net casting an ominous shadow and entangling Ruzena who must be released from this urban trap so that Joachim could go to Elisabeth with clean hands.

Similar language occurs when Joachim senses his own confusion after his talk with the lawyer about Ruzena's future. Again he speaks of "das Netz des Unsichtbaren, das über diese Stadt geworfen schien" (p. 140). Although Ruzena is associated with the city, Joachim fears that

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[36] Cf. GW II, 64, 140.

the pure Elisabeth will also be caught in the evil web of the city. The concept of the net of urban life is developed into a pattern of false brightness, anxiety, confusion, the incomprehensible and devilish. This concept recurs in Huguenau in intensified form.[37]

The final reference to the city in Pasenow is relatively mild and objective, implying only the revulsion previously expressed: ". . .und von ferne hörte man die Geräusche der Riesenstadt, deren gigantischer Verkehr auch des Nachts nicht völlig erschweigt" (p. 169). The occasion is Joachim's wedding night; Ruzena has passed from his life; Elisabeth is with him as his wife; the threats and evils of the city seem at this point not directed to him personally, although he is still aware of the monstrous nature of the city. Yet the noise, the size, and the incessant movement of the city remain even in the distance a reminder of the metropolitan inferno.

In Esch the city as such does not receive condemnation. Esch himself is a pragmatic individual who comes to specific conclusions but does not until later years abstract general conclusions from his experience and observation.

The evil in a city leads Esch not to condemn The City but rather each city where in his eyes a particular injus-

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[37] Cf. p.141 below.

tice has appeared. Esch refers to the "accursed" Mannheim because he associates Balthasar Korn's affair with Ilona, whom Esch idealizes, with that city. But Esch does consider it an improvement with respect to Cologne, for he remembers Cologne as the home of his dishonest employer. Esch is oppressed by his particular experiences and finally concludes: "Köln oder Mannheim, es war überhaupt kein Tausch--wo sollte man eigentlich leben, um von dem ganzen Dreck erlöst zu sein!" (p. 214). By a short interior monologue a casual reference aroused by Geyring's greeting was expanded into a telling indictment. Esch came close in the passage quoted to articulating for himself the general pollution of metropolitan life which Pasenow so vividly recognized. But without the alternative knowledge of life in the country, Esch despairs of finding a city which is not befouled by its own particular evils, as he has experienced for himself in Mannheim and Cologne, "diese Saustadt" (p. 231).

Esch's virulence against Mannheim appears again when he is about to return to Cologne for his theatrical venture.[38] He condemns Bertrand along with Nentwig. Esch justified his return to Cologne by mentally reviewing and exaggerating the evil he has experienced in Mannheim--

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[38] See GW II, 233.

his disgust with Erna and Balthasar Korn, the victimization of Ilona, his scorn of Lohberg, and his identification of Bertrand with Nentwig, both of them elusive and guilt-laden. And although he is returning to Nentwig's city Cologne, it is only for the purpose of "liberating" Ilona from Korn.

That which Pasenow as a young officer identified as the evil of the City and Esch identified as evils in cities, Major Pasenow in Huguenau views as a net of evil hanging over the world itself: "Unentwirrbar war das Leben, das Netz des Bösen lag uber der Welt, und der . . . Lärm hatte wieder angehoben" (p. 607). The figure of the net occurred in Pasenow with respect to Elisabeth and the city. But since 1888 the urbanization and industrialization of Europe had proceeded rapidly so that at the end of Huguenau, as the Major considers this advanced world in the throes of a war which holds no promise of paradise for the future, he ascribes to all society--the modern urban community he had always feared and therefore hated--the evil which as a young man he had reserved to the city.

The Businessman Motif

Esch and Pasenow are both involved with the middle class, the merchants or businessmen. Esch has the perspective of the employee and Pasenow that of the

landed gentry and the military. For them the merchant class held none of the attraction which had lured Bertrand into it:

> Im Grunde wusste (Bertrand) dass seine gute Laune doch bloss von den Erfolgen herrührte, die er schon seit Jahren bei allen seinen Aktionen hatte und dass er andererseits diese gute Laune brauchte, um Erfolg zu haben. (pp. 25-26)

The values and the evaluation of the businessman in society provide another motif in Die Schlafwandler. It is closely related to the confusion and frustration of Pasenow and Esch and to the success and dominance of Bertrand and Huguenau.

What Esch and Pasenow had in common--a sense of objective right and wrong, a sense of moral order--is lacking in Bertrand. As the realist he sees the world about him in relationship to himself and his satisfactions. The world of material things, of commercial activity and of financial results, excites and animates him. Questions of tradition, morality, convention play no part in such a world except as they must be taken into account as possible retarding factors on the path of material success and pleasure. This is Broch's picture of the businessman. The Businessman motif in the trilogy is inseparable from the motifs of the machine, the industrial metropolis, and the demonic spirit.

Pasenow's first reaction to the entrepreneur's career occurs in connection with Bertrand's talk about traveling

to America and to India: "so weit es eben die Geschäfte verlangen . . ." The young Pasenow thinks:

> Damit war es also heraus; nun wusste er es: Bertrand hatte den Dienst quittiert, um Geschäfte zu machen, aus Profitgier, aus Habsucht. Doch Bertrand, dickhäutig wie diese Profitjager schon sind, fühlte nicht die Verachtung . . . (p. 27)

Pasenow's scorn is doubled because Bertrand was not only in commercial life; he had given up a military career to pursue it. Profit-making represents a low order of value for Pasenow who associates it with lack of sensitivity. There can be no doubt of an antithesis here, not only of careers but of philosophies.

Pasenow's further reflections on the businessman's ethics associate them with deception, night life, and commercialized sex.[39]

The business class thus fits well into the city atmosphere with its darkness, concealment, and evil. Joachim even imagines a businessman giving an exorbitant tip to Ruzena. No doubt Joachim's shame for his father and attraction to Ruzena required this projection of a suggestive act to the businessman in whom alone Joachim wished to see evil rather than in the military or the landed gentry.

Upon Bertrand's visiting Pasenow at the family

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[39] See GW II, 49.

estate, Bertrand indicates only a very qualified approval of rural life. Pasenow's basic concern with security is portrayed in contrast to Bertrand's "unsichere Handelsexistenz"(p. 55). Uncertainty seems to Pasenow a characteristic of the business career, hence Bertrand has adopted uncertainty as a present way of life economically, religiously, and patriotically, the latter two by rejection of the Christian faith and of military service.

Bertrand is identified by his vocation even when Pasenow thinks of him in social terms, as on the occasion following an evening shared by Bertrand, Ruzena, and Pasenow.[40] The latter expects some surprising consequence of this evening, some warm token of friendliness from Bertrand; however, he interrupts this line of thought by reminding himself that: "Kaufleute sind gewissenslos" (p. 65). This not only expresses Pasenow's general conviction but in the context specifically refers to Bertrand's potential unfaithfulness both to Pasenow, a friend, and to Ruzena, Pasenow's mistress.

The same accusation of unreliability and betrayal is conveyed upon news of Bertrand's sudden departure from Stolpin; the younger Pasenow is relieved that

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[40] Cf. p. 52 above.

Elisabeth is safe from Bertrand's designs.[41] The elder Pasenow, who has banked on Bertrand's companionship as surrogate for the dead Helmuth, mutters: "Der Hund . . . er bricht sein Wort" (p. 109). The merchant has no social status with the generation of 1888.

Pasenow feels city industrial life has estranged and engulfed Bertrand;[42] he so expresses himself to Elisabeth: ". . .er lebt für Geschäfte und er muss kalt und gefühllos sein . . . ihm fehlt die wahre Innigkeit und Christlichkeit" (p. 150). With each new mention of Bertrand, Broch builds up through Pasenow the Businessman motif into a substantial corollary of the Mephisto motif.

The motif is renewed in Esch, which opens with Esch's exposure of the dishonest merchant whose books deliberately reflect a false picture of his business. Esch's experience with Nentwig in Cologne produces resentment within him when Gernerth and Teltscher speak of businessmen as a well organized class: ". . .der Nentwig und der Präsident v. Bertrand, das sind beides Kaufleute, und der eine ist ein Schwein und der andere . . . der ist eben was anderes, was Besseres" (p. 200). But Esch's predilection for finding evil in a situation is stronger than his

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[41] Cf. GW II, 109.

[42] Cf. GW II, 119.

tentative protection of Bertrand, for after Korn describes Bertrand as a deserting officer, Esch reflects that the difference between Nentwig and Bertrand is small; both offenders are in the business world. Esch, proceeding by specific instances, comes to the same position as Pasenow had by proceeding from general assumptions to specific applications.

When Geyring anticipates trouble and provocateurs at his strike meeting, Esch again sees the evil hand of the businessman, projecting to Nentwig in Cologne what must be the act of Bertrand in Mannheim. Esch still wants to preserve faith in Bertrand, if for nothing more than to find Nentwig the more base because of Esch's belief that there are honest and honorable businessmen.[43]

Upon Geyring's imprisonment Esch's picture of Bertrand suffers some deterioration. He now denounces the liaison between business and the police and is dismayed by the socialist editor's calm acceptance of the situation. Esch wants Bertrand jailed. Fortuitously he learns that Bertrand is a homosexual; this fact robs Esch of his veneration of Bertrand. The merchant class is now marked as "swinish", and this now includes the Nentwigs and the Bertrands without exception. Bertrand still dwarfs other

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[43] Cf. GW II, 215.

businessmen, but he dwarfs them not only by his wealth and power, elegance and talent, but by the evil he inflicts on society through his economic eminence as the "schweinischer Präsident dieser Gesellschaft" (p. 255).[44] From this time forward Esch is committed to the destruction of Bertrand, by which liberation will come for a corrupted police, victimized labor, and a venal press.

Esch's zeal in hunting down Bertrand is in part the product of his moral bookkeeping activity and in part the product of the guilt he feels at Geyring's imprisonment. Esch's own business venture with Gernerth, Teltscher, and Oppenheiner offered no opportunity to raise his opinion of businessmen. Eventually he and his friends lost money invested in the theatrical venture. Oppenheimer, Gernerth, and Telscher by irresponsibility, devious means, and ineptitude appear to have dissipated without conscience the money Esch had collected and had sought so scrupulously to account for. This is Broch's ironic footnote respecting Esch's involvement with the business class. He had clearly seen the injustice wrought by a commercial society on Geyring. He himself naïvely entered a financial venture apparently perfectly designed to cheat him and his friends of whatever honest

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[44] See this phrase in context of larger quotation on p. 83 above.

savings they entrusted to the scheme.

The merchant's role in Huguenau is established as a respectable and dominant one; the first page of the novel carries this reference to Huguenau: "Sein Ruf in Branchekreisen war der eines strebsamen, umsichtigen und soliden Kaufmanns" (p. 369). This concludes a paragraph and is immediately followed by the author's observation: "Sicherlich hätte ihn sein kaufmännisches Ethos eher dem zeitgerechteren Schleichhandel als dem Kriegshandwerk verpflichtet." Thus is based the ideological conflict between Huguenau and Major Pasenow, representing respectively the new order of economics and the old order of society. Huguenau's businessman's ethic is very like Bertrand's in its intensity and amorality, although pursued with less finesse and more brutality. The roots of Huguenau's bourgeois drive are revealed in a passage near the opening of the third novel:

> Er hatte es auch nicht leiden mögen, wenn die Leute in den Kantinen und Wirtschaften auf den Krieg und auf die Zeitungen schimpften oder behaupteten, dass die Zeitungen von Krupp gekauft seien, um den Krieg zu verlängern. Denn Wilhelm Huguenau war nicht nur Deserteur, sondern auch Kaufmann, und er bewunderte alle Fabrikanten, weil sie die Waren erzeugen, mit denen die übrigen Menschen handeln. Wenn also Krupp und die Kohlenbarone Zeitungen kauften, so wussten sie, was sie taten, und dies war ihr gutes Recht, so gut es sein eigenes war, Uniform zu tragen, solange es ihm beliebte. (p. 374)

This expresses the predatory philosophy of the "robber barons" and presents a clear challenge to both Christian

and Socialist doctrine. Broch in an aphorism places Huguenau and his kind in the animal world where behavior is conditioned only by opportunity:

> Huguenau war ein Mensch, der sich den Wind um die Nase hatte wehen lassen; selbst wenn er im luftleeren Raum daherkam, pfiff ihm der Wind um die Nase. (p. 571)

This characteristic is exemplified by Huguenau's attention to the neglected vineyards in Trier upon his arrival there as a deserter and fugitive. He speculates:

> Der Mann ist gefallen oder in Gefangenschaft. Die Frau kann's allein nicht schaffen . . . Eigentlich müsste so eine Kriegerwitwe so einen Weinberg billig verkaufen . . . Huguenau überlegte, welche Käufer für Moselweinlagen in Betracht kamen . . . sprang aus dem Bett. Sein Plan war gefasst. (p. 379)

After reflection on the profits possible, Huguenau approaches Esch to insert an advertisement in Esch's newspaper. Esch characteristically perceives the base intent: "Sie wollen also die Leute hier auspowern? spricht sich wohl schon herum, das Elend unter unseren Weinbauern . . . he?" (p. 383).

The opportunist Huguenau soon forgets about the vineyards because he senses in Esch's newspaper and Esch's status in the community that here are greener pastures. As in his younger days when he fought for Geyring but fell victim to Oppenheimer, so now Esch recognizes Huguenau for what he was, yet falls victim to his scheme

to cheat Esch out of his property.[45] Esch's extremely low opinion of businessmen and of Huguenau is confirmed by the way in which Huguenau unscrupulously gets control not only of the newspaper but of public opinion.

In his sixth essay on "Zerfall der Werte", Broch writes:

> Zur Logik des Wirtschaftsführers gehört es, die wirtschaftlichen Mittel mit äusserster Konsequenz und Absolutheit auszunützen und, unter Vernichtung aller Konkurrenz, dem eigenen Wirtschaftsobjekt, sei es nun ein Geschäft, eine Fabrik, ein Konzern oder sonst irgendein ökonomischer Körper, zur alleinigen Domination zu verhelfen. (p. 474)

After characterizing the logic of the soldier, the painter, the revolutionary, Broch condemns this fragmentation of society as an undermining of essential humanity:

> . . . gleich Fremden stehen sie nebeneinander, das ökonomische Wertgebiet eines "Geschäftemachens an sich" neben einem künstlerischen des l'art pour l'art, . . . jedes autonom, jedes "an sich" . . . Und wehe, wenn in diesem Widerstreit von Wertgebieten, die sich eben noch die Balance halten, eines das Übergewicht erhält, emporwachsend über allen anderen Werten, emporgewachsen wie das Militärische jetzt im Kriege oder wie das ökonomische Weltbild, dem sogar der Krieg untertan ist,--wehe! denn es umfasst die Welt, es umfasst alle andere Werte und rottet sie aus wie ein Heuschreckenschwarm, der über ein Feld zieht . . . und nichts bleibt (dem Menschen) übrig als die Unterwerfung unter den Einzelwert . . . ein Berufsmensch, aufgefressen von der radikalen Logizität des Wertes, in dessen

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45 "Jetzt kommen schon dis Aasgeier über die armen Leute". GW II, 384.

Fänge er geraten ist. (p. 477)

This passage is significant because it puts the fictional derogation of the businessman in a philosophical setting. The businessman represents the new tyrant; all bow before economics. In former days the tyrants were the kings, the church, the priests. Broch inveighs against the imbalance that comes about when one aspect of society dominates all, thus robbing human personality of its integrity. Huguenau in the third novel represents this threat to his generation.

The business ethic is again mentioned after Major Pasenow realizes Huguenau is a deserter:

> Das Leben war in gewohnter Weise weitergegangen . . . (Huguenau) war einfach dageblieben. Nicht nur . . . weil es einem kaufmännischen Gewissen schwer erträglich ist, ein Unternehmen im Stiche zu lassen, in dem ein schönes Stück Geld, fremdes oder eigenes, investiert ist . . . (p. 622)

The conscience here mentioned has to do with the inner guide to right conduct only in the sense that the entrepreneur subjectively justifies any arrangement that will satisfy his acquisitive drive to exploit all opportunities before abandoning a situation. Broch made the point positively in Pasenow and Esch; in Huguenau he makes it negatively, showing the jungle beast lying in wait, whereas in the first two novels Bertrand was shown within a ruthless but legal economic framework.

Huguenau's history is rounded off by a description

of his return to his native environment and business:

> Huguenau, ein wertfreier Mensch, gehörte allerdings auch dem kommerziellen System an; er war ein Mann, der in Branchekreisen einen guten Ruf genoss, er war ein gewissenhafter und umsichtiger Kaufmann und er hatte seiner kaufmännischen Pflicht stets voll und ganz, ja, mit aller Radikalität Folge geleistet. Dass er Esch umgebracht hatte, fiel zwar nicht in den kaufmännischen Pflichtenkreis, widersprach aber auch nicht dessen Usancen. (p. 665)

Broch brings his characterization of Huguenau full circle, using some of the same terminology as in the first page of the novel. He makes ironic reference also to the consistency of Huguenau's application to his career; in the light of the sixth essay on "Zerfall der Werte" this is a monstrous and destructive consistency. Its ultimate consequences are graphically shown by the suppression in Huguenau's memory of Esch's murder because "es bleiben bloss jene Taten die in das jeweilige System passen, Huguenau aber hatte ins kaufmännische System zurückgefunden" (p. 674).

The bestial level of existence of the single-minded businessman is portrayed after Broch relates Huguenau's pragmatic and unprincipled accommodation of his personal life to his business interest: ". . .zwischen Kaffeesäcken und Textilgeweben, Schlafen und Essen, Geschäften und Kartenspiel lebte Huguenau in Frieden dahin" (p. 668). His life, directed to accumulation of material goods and enjoyment of brute pleasures, is

dehumanized by this very concentration; grasping economic welfare, Huguenau sinks back into primordial ignorance of natural, social and cultural benefits: "Sein Leben war das, das seine fleischlichen Ahnen seit zweihundert Jahren geführt hatten, und sein Gesicht war ihr Gesicht . . .feist und satt und ernst zwischen ihren Wangen . . ." (p. 669).

The Businessman motif has now run its full course. Its development stems from the ex-officer Bertrand still in communication with Pasenow and the old order, to the deserter Huguenau, predator and opportunist whose communication with his environment is strictly egoistic, acquisitive and self preservative--not creative, not charitable, not social. Appropriate as an epitome for this motif is Joachim Pasenow's judgment in the first novel: "Man merkte doch, wie das Geschäftsleben das Gemüt eines Menschen verrohte" (p. 119).

In Pasenow the evils represented by the industrial city--its size, complexity, factories, business class--are the personal experience and judgment of Joachim Pasenow as a representative of the tradition-bound provincial society and military caste. In Esch judgments on society's condition are expanded. Not only Esch in his zeal, but also Lohberg, Geyring, the Salvation Army and Bertrand himself stigmatize society. All of these

judgments are then brought into philosophical and religious focus in Huguenau. A similar process characterizes the appearance of the Poison-Gas motif developed in Esch and maintained in Huguenau.

The Poison-Gas Motif

In the first novel gaslights are mentioned in connection with the darkness of the city, the night clubs, the elder Pasenow's furtiveness, and the suggestive sight of Ruzena entering her apartment building. The light of the city emphasizes its moral darkness, licence, depravity, and prostitution. As even the dark horrors of the slough need light to reveal them, so the gaslights are used in Pasenow as a lurid rather than beneficent light.

The puritan Lohberg in Esch introduces the concept of poison:

> Die Welt ist vergiftet . . . nicht nur mit Nikotin und mit Alkohol und mit tierischer Nahrung, sondern mit einem noch übleren Gift, das wir kaum kennen . . . es ist nicht anders, als ob Geschwüre aufbrächen. (p. 222)

Lohberg forms the bridge between the literal and figurative uses of the word poison. Speaking from his own abstemious convictions, he condemns the spiritual and moral poison which prophet-like he sees in the world. He brings his moral reference back to the physical realm with the simile of ulcers, thus anticipating the poison-gas infections which so disturbed Major Pasenow in the

third novel.

Esch adopts Lohberg's theory, applying it specifically:

> . . .denn soll die Welt erlöst werden, so muss man, wie Lohberg sagt, den Sitz des Giftes packen; der Sitz des Giftes jedoch war Nentwig, vielleicht sogar irgend etwas, das sich hinter Nentwig versteckt hielt, etwas Grösseres--vielleicht so gross und so versteckt wie ein Präsident in seiner Unzulänglichkeit--etwas, das man nicht kannte. (p. 225)

Esch attaches the idea of poison to the individuals in the business world but leaves room for the possibility of a pervasive and incomprehensible evil which is beyond both Nentwig and Bertrand, thus echoing Lohberg's phrase.

Geyring's plight occasions further development of the motif by its author Lohberg:

> Herr Geyring ist ein Opfer des Giftes, das die Welt zerfrisst. Erst, wenn die Menschen zur Natur zurückgefunden haben werden, werden sie sich nichts Böses mehr antun. (p. 228)

Lohberg here proposes an antidote to the destructive force poisoning society--a return to nature. The wholesale rejection of civilization parallels that of Pasenow in the first novel and complements the motifs of the modern city with its evils. The remedy is also that of Pasenow: life in the country.

The use of gas in the war is first mentioned in connection with Jaretzki's disabled arm. Dr. Flurschütz identifies the cause: ". . .beim nächsten Krieg werden wir diese verfluchten Gasvergiftungen schon glänzend

behandeln . . .Sauerei mit dem Gas" (p. 382). This is an oblique introduction to a subject on which the major has strong feelings; at the same time it elaborates the picture of evil in the modern world: gaslights visibly illuminate the evil city, poison invisibly weakens society.

When Major Pasenow visits the hospital and engages Jaretzki in talk, he enters a judgment against modern warfare, breaking with the new age just as his brother Helmuth had by duelling in an age of technology. Pasenow and his generation have now been overtaken by "eine unritterliche Waffe" (p. 417). As apology for his own association with such a war, Pasenow notes that at first gas was not used in the war. Clearly he considers the use of gas a sign of lower standards. Among religious and historical references in his editorial he writes of unsportsmanlike weapons, ascribing them to the Negro troops. The war he now considers a forerunner of the final judgment. Poison gas in this context is more than the chemical compound. The gas becomes for Pasenow what Lohberg and Esch had already detected as the moral pollution of modern society. This is clear from his use of the term poison in his editorial:

> Das Gift der Gottesleugner und Abenteurer, das nicht nur die stolzen Metropolen der Feinde durchseucht, hat auch unser Vaterland nicht verschont. Wie ein unentwirrbares Netz liegt es unsichtbar über unseren Städten . . . (p. 449)

In a later conversation with the physicians Kessel and Kuhlenbeck, Pasenow still speaks of an honorable peace, but as if in justification of his adjective he adds: "Ehre ist keine blosse Konvention . . .früher wäre Giftgas als Waffe verpönt gewesen" (p. 464). The moral considerations of the past even in warfare are still dear to the heart of Pasenow. His juxtaposition of honor and poison gas shows his concern for the parallel paths of an unprincipled society and dishonorable means of fighting.

When Esch suggests to the major that he conduct a class in religion, he describes the need in evangelistic terms: ". . .alle suchen die Rettung, alle fürchten sie das Gift, alle warten, dass die Erlösung komme und die Ungerechtigkeit vernichtet werde" (p. 507). Poison appears here as an immediate general threat to all society. Esch does not use the word with reference to military means, he uses it as the emanation of evil in the civil body. This is clear from his elaboration a few lines later: "'Es handelt sich um die Freiheit und um die Gerechtigkeit in der Welt . . .'" Again as in the case of Lohberg a literal and a figurative meaning have joined to illustrate the gravity of the threat. For Lohberg it was dietary poisons and the moral poison of urban life; for Pasenow and Esch the poison gas on the battlefield is a symptom of the moral and spiritual

degeneration around them.

Associating his condemnation of the victory celebration with the use of poison gas, Pasenow finds the betrayal of respectable warfare and the victory dance demonic demonstrations of the general deterioration of human relationships. The major specifies the poisoned relationships as broken alliances which bear out his general assumption that doomsday is imminent.

A specific example of Pasenow's general disillusionment appears in the person of Lt. Jaretzki; exposed to a gas attack he suffers an ulcerated arm, horribly fulfilling Lohberg's earlier vision. The arm has to be amputated and Jaretzki is transformed from a casual and indifferent soldier to a reflective human being; weighed by his guilt as a killer and by his atonement as an amputee, he suffers a nervous breakdown. Pasenow's brief acquaintance with Jaretzki provided an effective linkage of moral deterioration with disastrous consequences.

The Poison-Gas motif receives further confirmation when Kuhlenbeck proposes a toast to Germany and Pasenow reflects bitterly on the well-ordered Germany that was and the Germany he now observes:

> Er sah Deutschland nicht mehr. Irgendwie machte er Huguenau für das Unglück des Vaterlands verantwortlich, für die Truppendurchmärsche, für die widersprechenden Befehle der Heeresleitung, für

> die unritterlichen Waffen des Gaskriegs, für die wachsende allgemeine Unordnung. (p. 607)

Huguenau's status as a deserter and a businessman already identified him with the corruption of the industrial metropolis. Pasenow here extends his evil genius to responsibility for both civil and military disruption. This charge is not an empty one, for Huguenau had expressed approval of the alliance of industry and war. He is thus morally responsible for the evils arising from both industrial society and modern warfare, for the poison of moral decay and for the poison gas of the battlefield.

Upon learning of Huguenau's desertion, Pasenow feels chaos and darkness closing in but sees still "im Pfuhle giftiger Gase . . .die Fratze Huguenaus".[46] Here is the type of modern man, the businessman and opportunist described as the center and source of the poisonous gases of the slough.

Poison and gas, first mentioned separately in different contexts by Lohberg and Pasenow, are recombined in the person of Huguenau as the personification of evil in society. This completes the Poison-Gas motif in Die Schlafwandler. Broch has developed and interwoven it into the fabric of decadent urban industrial civilization and

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[46] Cf. full quotation above, p.113.

its components. he has combined the specific with the general in cultural historical fashion and used the motif as a vehicle for a major theme--the disintegration of values in modern society.

Section 2: Motifs of Isolation

The motifs of isolation in Die Schlafwandler present characters in unstable relationships expressing or resulting in insecurity. These motifs concern a wide range, extending from natural human relationships to those diverse relationships arising unpredictably from the accidents of history and environment.

Motif of the Father-Son Conflict

Pasenow's antagonism to his father is matched by his confidence in his mother. The first novel of the trilogy presents the motifs of the Father-Son conflict and of the Oedipus complex. The former motif is carried through in Pasenow with great thoroughness and recurs in condensed form in Esch and Huguenau. The Oedipus motif on the other hand is weakly indicated in the first novel, strongly presented in the second and fully expressed in the third novel.

The Father-Son conflict or the motif of generations appears early in descriptions of the Pasenow family through Joachim's eyes: "Die Mutter war grösser als der Vater . . . (Onkel Bernhard) war sogar grösser als die Mutter . . . er (Joachim) würde also auch grösser als der Vater werden . . . " (p. 10 f.). These reflections of Joachim as a boy show the relative value he assigns his father. From the objective observation of his father's smaller size he

becomes personally involved by his ambition to exceed his father's height.

On another occasion in his boyhood Joachim is blamed for the laming of a pony. The time to enroll in the military academy was at hand. Joachim hears his father prounounce judgment: "'Es ist die höchste Zeit, dass du aus dem Hause kommst.'" (p. 13).[47] This statement proves traumatic for Joachim; he feels everything has conspired to force him out of the paternal home. Joachim suffers a breakdown and is confined to bed. The rift apparently is never bridged. Settled in Culm at the academy, Joachim reflects on his recent convalescence: ". . . da schien es fast, als hätte er jene Abgerücktheit mit herübergenommen, und dies machte ihm den Aufenthalt fürs erste erträglich" (p. 13).

During the elder Pasenow's visit to his son at the military academy it was Joachim's duty to escort him about town. The father, depicted as an aging Pan and provincial roué who amuses himself with the Polish women working on his estate, uses the visit to town to pursue his amorous inclinations. Addressing the cabaret girl Ruzena in this fashion, the father is overheard by Joachim, who reacts with disgust. When the father continues his

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[47] Cf. Freud's remark on the father's desire to rid himself of the son and thus regain his own freedom. Op. cit. (13th Lec.), p. 212.

clumsy and suggestive talk, the son's feeling is intensified. Joachim is further revolted when on the way home the father mentions the exorbitant tip he gave Ruzena as a guarantee of future favors. Every reference to the father-son relationship on this occasion is derogatory to the father.[48]

Joachim finds his father gross in referring to Elisabeth's future inheritance as an inducement to marry her:

> Gestern hätte er ihm beinahe um fünfzig Mark ein Mädchen gekauft und heute versucht er es mit einer legitimen Verbindung. Oder hatte der alte Mann vielleicht auch noch Gelüste auf Elisabeth wie auf das Mädchen . . . (p. 24)

Joachim has here progressed from a sense of shame at his father's conduct to an accusation of lust and incest; he suspects his father of desiring for himself the woman ostensibly selected for his son.[49] Joachim is troubled by this thought again as he delivered Ruzena to her apartment: "Pasenow sah seinen Vater raschen und zielstrebigen Schrittes die Treppe hinaufsteigen und sein Herz zog sich deutlich und sehr schmerzlich zusammen" (p. 37).

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[48] See GW II, 18-19. Cf. also Freud's remarks on alienation of father and son. Op. cit. (13th Lec.), p. 216.

[49] An interesting parallel exists between the Fyodor-Dmitri relationship in The Brothers Karamazov with respect to the promiscuous Gruzhenka and the two Pasenows with respect to Ruzena (note similarity of names!); in each case the conflict of generations is intensified by the erotic drive.

Helmuth's death reactivated Joachim's animosity toward his father:

> Er sah wieder den Kindersarg vor sich und Erbitterung gegen den Vater stieg auf. So war es also dem alten Manne gelungen, auch diesen Sohn aus dem Hause zu vertreiben. Es war ein erbittertes Gefühl der Befreiung, dass er den Vater für den Tod verantwortlich machen durfte. (p. 41)

To ribaldry and lust Joachim has added calculation and murder as his father's offenses. Although the occasion for Helmuth's duel is not given, it appears to have been related to a basic conflict arising from the elder Pasenow's excessive authoritarianism, for it is widely believed ". . . dass der Alte . . . eine Heirat und das Glück seines Sohnes zerstört habe" (p. 67).

The psychic estrangement between father and son is accentuated by the elder Pasenow's figurative adoption of Bertrand as a replacement for Helmuth. Eager for companionship and conversation, the father in this way also rejects Joachim: "In der Folge wiederholten sich die Morgenspaziergänge und manchmal schloss sich Joachim ihnen an. Dann war der Alte mürrisch und war schweigsam" (p. 90). No strand of communication seems possible between father and son.

The father's resentment of Joachim shows again when he speaks to Bertrand of Helmuth: "'Er ist für die Ehre des Namens gefallen . . . ja, und Joachim macht indessen Visiten'" (p. 95). A few lines later, referring to Joachim's approaching marriage, the father confides to

Bertrand: "'Joachim wird sich schon durch die Heirat sicherstellen; man könnte ihn enterben'; er lachte wieder" (p. 96). The thought of getting rid of Joachim has been present in the Father-Son motif from the first mention. A compelling sequence has developed: first sending him off to school; next "purchasing" a wife for him; then "adopting" Bertrand; and here planning disinheritance.

At the mid-point of Pasenow, the sight of Joachim arouses the elder senile Pasenow to fury. Joachim and his mother found him on one occasion motionless at his desk. The old man, having just learned that Bertrand was unexpectedly leaving Stolpin, was furious with Bertrand and accused Joachim of conspiring against his father. When his wife approaches the desk, the father in fury cries out: "'Hinaus mit dem dort'" (p. 110). This imperative dismissal of his son and the use of the prounoun in the third person brings the elder Pasenow to a rupture not only with his son but also with reality; he becomes a bedridden invalid. Joachim, back in Culm, receives word from his mother: "(Der Vater) erkundigte sich auch öfter, ob Joachim auf dem Gute sei, aber er wollte ihn nicht sehen. Und als er hörte, dass Joachim auf einige Zeit nach Berlin müsse, sagte er: 'Bestelle ihm dass ich es verbiete'" (p. 115). Here is shown the father's reluctance to let authority pass from his hands; recognizing Joachim's adulthood, he looks upon him as a rival, at

the same time trying to neutralize the "danger" by authoritarian treatment as of a juvenile.

Indulging childhood memories, Joachim remembers stories of the Holy Family and how he had imagined himself in it but had excluded his father from the picture. Reaching far back into his childhood, Joachim feels the depth and intensity of the conflict with his father.

The rift between himself and his father troubles Joachim because of its defiance of natural and Christian standards; his guilt feeling comes to expression when the neurologist asks about his father.

> . . . diese Fragen schienen Joachim eine zwar sanfte, aber deshalb nicht weniger eindringliche und scharfe Inquisition und er erwartete, dass plötzlich der Inquisitor mit strengem Blick durch die Augengläser und ausgestrecktem Finger auf ihn deuten werde, hörte bereits anklagend und verdammend das fürchterliche Wort: Mörder. (p. 124)

Yet it remains impossible for Joachim to repress his antagonism toward his father; thinking himself branded in his conscience, as Helmuth was on his body by the duel, Joachim imputes guilt to his father as "ein Gebrandmarkter" (p. 33).[50] The father's behavior, on which Broch dwells at some length in the opening pages of the novel, makes a mockery of the elder Pasenow. But Joachim's conscience cannot remain immune to the state of hostility; he fears

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[50] Cf. full quotation involving the term in another connection on p. 101 above.

his father's curse as "Gottes Stimme selber" (p. 127).[51]

If the father had wished for the death of the son, Joachim does no less when he hears that his father is no longer sane, no longer taking an interest in the mail, his lifelong hobby. For Joachim this was ". . . eine Art Erleichterung und eine vage Hoffnung für die Zukunft" (p. 136).

Following the separation of Ruzena and Joachim, the latter still feels desire for her and envy of her current companions:

> War der dicke Mensch jetzt bei ihr? Er musste der Scherze gedenken, mit denen der Vater Ruzena belästigt hatte und sah nun auch hier den Fluch des Vaters, der, selber krank und hilflos, nun doch seinen Stellvertreter gesandt hatte. Ja, Gott führte den Fluch des Vaters aus; und as galt sich zu beugen. (p. 138)

Joachim ascribes patriarchal power and divine right to his father even in this reflection on his father's ribald behavior. The passage quoted illustrates the dual nature of this Father-Son conflict: patriarchal authority and sex rivalry.

A final reference to the father-son conflict in Pasenow occurs when Joachim is on his way back to Berlin:

> Aus dem apathischen Halbschlaf, in den seine Müdigkeit unter dem Gerassel der Droschkenräder auf der Heimfahrt verfiel, formte sich deutlicher der Gedanke, dass sein Vater und Bertrand heute gestorben seien, und fast wunderte er sich, keinerlei Trauernachricht in seinem Zimmer vorzufinden . . .

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[51] Cf. also GW II, 140, concerning the father's "divine right" to familial authority.

> Der Gedanke verliess ihn nicht und am nächsten Morgen steigerte er sich sogar zu einer Art Gewissheit, und wenn schon nicht zu einer Gewissheit des Todes,so doch der Nicht-Existenz: der Vater und Bertrand waren aus diesem Leben geschieden, und wenn er auch selber an solchem Tode mitschuldtragend war, so blieb doch alles in geruhsamer Gleichgültigkeit . . . (p. 153)

Joachim's vision equates the existence and death of Helmuth with Bertrand's appearance in the family as a son. Helmuth had preëmpted his place at home and would perhaps have married Elisabeth if he had lived. Helmuth's death therefore could coincide with Joachim's subconscious relief at the removal of a twofold rival. The father is also cancelled by death in the vision. He represents the threat not only to Joachim's sexual life but to his very maturity, his adulthood, his independence, and his integrity as a human being. The father therefore must be removed as the rival in the areas of sexual potency and family authority. In the second part of the vision Bertrand is again substituted for Helmuth and for good reason. Bertrand had promoted Joachim's affair with Ruzena but was suspected of lustful intentions towards her; he had also visited Elisabeth and thus represented a new rival for her love. Joachim's half-dreams are closely related to reality and reflect his intuitive distrust of those who have any potentialities or inclinations threatening his future.

The sequel to this first conflict of generations in

Pasenow comes in the ironic return of Joachim v. Pasenow in the third novel to the leitmotif "ist ja egal" which characterized his father throughout the first novel. Joachim thus leaves the trilogy as an old man who had been approaching senility when he was so wounded in the riot that he suffered brain damage. Presumably his life ended in the same kind of vegetative twilight as his father's before him.

As the three novels of the trilogy present the succession of generations, each novel also shows the conflict of generations, or the Father-Son motif. Most clearly shown in Pasenow, it also occurs in an abbreviated way and by substitution in Esch and Huguenau. The father figure in Esch is Bertrand, in Huguenau it is Esch.

In the second novel Bertrand is the man of age and Esch the man of vigor--the Father-Son distinction. Esch's view of Bertrand contains elements of filial respect as well as rebellion, challenge, and threat. Bertrand as inaccessible, as something greater and more sublime than Esch's usual associations, appears as a father-figure to Esch who in his presence feels like an orphan. Moreover, when Esch makes his way to Bertrand's home in Badenweiler, he does so unerringly although he has never been there before. With Bertrand he feels order, peace, and clarity,

characteristics of paternal rule in a household.[52] Esch would like to stay because he feels at home with Bertrand; when he does leave he is inclined to kiss his hand in deference and respect.

In spite of Esch's awe and respect he pursues the conflict with Bertrand, insisting on judgment and expiation. The new generation demands the subjugation of the old and guilty generation: ". . . ich muss Sie anzeigen" (p. 323), concludes Esch. And he does so, sealing Bertrand's destruction. The new generation survives in Esch, acceding to power through annihilation of the old typified by Bertrand. The son has confronted and supplanted the father.

In Huguenau Esch provides the father-image. He is the older man in this novel, and Huguenau lives in his house as a son. Although, as will be seen, an Oedipus situation develops in Huguenau, a conflict of generations arose from the first association of Esch and Huguenau. Ideologically they are poles apart, as are Kirsanov and Bazarov in Turgenev's Fathers and Sons. Huguenau opposes Esch both directly and indirectly in connection with the printing establishment, his political and religious views, and his adopted daughter Marguerite. These conflicts developed well before Huguenau conceived any sexual

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[52] Cf. GW II, 225, 325.

interest in Frau Esch. Hostility arose before that time from a genuine conflict of generations, the lodger-son Huguenau undermining and supplanting the owner-father Esch.

The conflict between the older man and the younger was clear, bitter, and sustained, mutual scorn and exasperation marking a progression comparable to the Pasenows' hostility. The conflict is tacitly as well as openly acknowledged by Esch and Huguenau, as shown in the following passages:

> Esch sah ihn (Huguenau) verzweiflungsvoll an; mit so einem Stück Fleisch war offenbar nicht weiterzukommen; der Kerl verstand nicht oder wollte nicht verstehen. Esch hätte ihn gern verdroschen. (p.456)

Esch's attitude is matched by Huguenau's:

> . . . (es) fiel ihm (Huguenau) ein, dass dieser Esch mit seinem Pferdegebiss, dass dieser hagere unleidliche Lehrer ihm keine Ruhe liess und unter Berufung auf den Vertrag immer wieder versuchte, ihm Redaktionsarbeiten anzuhängen . . . Auf seinen Schein bestehen, das kann so einer, aber Ideen nicht um einen Dreier! (p. 472)

This mutual revulsion of feeling climaxes the Father-Son motif in the trilogy. In review, the motif has shown the young disciplined Pasenow opposing the old licentious Pasenow, the younger moral Esch opposing the older amoral Bertrand, and the younger opportunist Huguenau opposing the older visionary Esch. The transition from authority to freedom finds negative expression through the challenge to the older generation.

The Father-Son motif as a sign of isolation throughout the trilogy indicates consistently the estranged relationships between the old and the new generations. The outcome of the struggle in each generation reflects significant cultural change. In the first novel a passive truce and mutual withdrawal occurs, Joachim and the elder Pasenow each pursuing his own course independently. In the second novel ideological differences sharpen the conflict to the point of confrontation and elimination of Bertrand but survival of Esch; Bertrand's private espousal of new views is unequal to Esch's fanatic identification with public morality. In the third novel the amoral Huguenau brings about the destruction of the two father-images, Esch and Pasenow. This final result confirms the ascendancy of the new generation and the defeat of traditional ideology. In this way the motif strongly supports and develops the theme of cultural disintegration; at the same time it characterizes the tension, isolation, and anxiety accompanying individual development.

The Oedipus Motif

The Oedipus motif, introduced in mild form in Pasenow, is more pronounced in Esch, and in Huguenau is fully developed.

It has already been noted that Joachim's childhood impression of his mother emphasized her size. That this

signified more than physical size seems clear from the consistent references in Pasenow to the mother-son relationship; it is one of confidence and mutual respect, contrasting in this way with the father-son relationship.

In his account of childish misdeeds reported by his mother to his father for punishment, Joachim relates:

> . . . der Vater warf ihnen dann bloss einen bösen Blick zu und ging mit steifen geradlinigen Schritten seines Weges. Es war wie eine gerechte Strafe für die Mutter, weil sie mit einem gemeinsamen Feind Partei zu machen versuchte. (p. 10)

The passage gains significance from the identification of the father as a "common" enemy of the mother and the sons. This is a cardinal feature of the Oedipus complex, which consists essentially in the son's wish to kill the father and marry the mother.[53]

The former wish has already been present and demonstrated in the discussion of the Father-Son motif. Its connection with the Oedipus complex is nebulous at best in the first novel; however, many passages indicate Joachim's revulsion at the sexual life and interests of his father, and in the case of Ruzena and Elisabeth there was an actual mental projection by Joachim of his father's desire to possess these two, Joachim's mistress and his intended bride. This suggests a modified Oedipus complex--a situation of rivalry between father and son for

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[53] Cf. Freud (13th Lec.), p. 212.

the same women.

A number of references to the Polish women on the Pasenow estate stress the father's lascivious nature and the son's resentment of his father's supposed behavior. To his father's first conversation with Ruzena Joachim reacts unfavorably:

> Joachim ärgerte sich, weil der Alte die Erinnerung an die Polinnen heraufbeschwor . . . mochte das Gerede über den Vater und die Mägde wahr sein oder nicht. Joachim hatte damit nichts zu schaffen, aber mit dem zarten Mädchen hier sollte der Alte nicht wagen, ebenso zu verfahren, wie er es vielleicht gewohnt war. (p. 16)

Joachim places himself here in position both as judge of his father's conduct and as protector of the girl whose virtue he sees threatened by his father. Although on second thought he realizes Ruzena is a woman of experience, Joachim's mental attitude and resolution indicate suspicion and jealousy.

A similar reaction accompanies Joachim's departing from Elisabeth:

> Elisabeth stieg auf das Trittbrett und wusste durch Fortsetzung des Gespräches bei halbgewendetem Körper den hässlichen Anblick einer gebückt ins Coupé kletternden Dame geschickt zu kaschieren; erst auf der obersten Stufe liess es sich nicht weiter vermeiden und sie kroch resolut durch die niedere Türe. Nun stand Joachim emporgedrehten Kopfes vor dem Waggon, und der Gedanke an den Vater, zu dem er vor nicht allzu langer Zeit hier an der gleichen Stelle in die Coupétüre hinaufgesprochen hatte, vermischte sich so merkwürdig mit dem Gedanken an die Jackenschösse Elisabeths und mit der Projekt der Heirat, welches der Vater damals in hässlicher Weise angedeutet hatte, dass der Name dieses Mädchens . . . obwohl er es doch leibhaftig dort oben in der Coupétüre

> vor sich sah, plötzlich gleichgültig und vergessen war, merkwürdig und hässlich untergetaucht in der verwunderten Empörung, dass es Menschen gab wie seinen Vater, die in ihrer Verworfenheit sich erfrechten, ein jungfräuliches Wesen, gleichsam zur Erniedrigung und Besudelung irgendeinem Manne für ein ganzes langes Leben zu bestimmen. (p. 63)

Broch has here presented an elaborate picture of resentment of the father in connection with a common sex-object. The situation is underscored in a later passage when Joachim has returned from a visit to Lestow; his father remarks to Bertrand: "'. . . dies ist mein Sohn . . . kommt von der Brautschau' . . . Der Geruch des Kuhstalles strich herüber und Herr v. Pasenow fühlte sich wohl" (p. 96). Riding with Elisabeth and Bertrand later that day, Joachim observes her ahead of him and the two previous reactions recur in composite form "doppelt verächtlich" (p. 97).

A specific reference to Joachim's resentment of his father's infidelity to his mother occurs when Joachim feels both relieved and disturbed at his separation from Ruzena:

> . . . so drohte noch immer die Vermischung des Hellen mit der Dunkelheit, wenn auch unsichtbar und aus weiter Ferne . . . so doch unsauber wie das, was der Vater im Hause der Mutter mit den Mägden getrieben hatte. (p. 140)

Although the mother-son relationship in Pasenow is intensified in its mutual confidence by the arbitrary nature of the father, no references to sexual overtones occur respecting Joachim and his mother. The mother

serves as intermediary between Joachim and his father. She leads the way into her husband's study when he is emotionally disturbed. She keeps Joachim informed of the father's condition and advises a letter of reconciliation. All this constitutes only a mild conspiracy to reduce the tension between father and son, to include rather than exclude the father from the family relationship.

The sexual element of the Oedipus complex is found in the more primitive area of non-family relationships, first of all in the liaison with Ruzena and later in the courting of Elisabeth. The characteristics of rivalry and sexual relationships with respect to the same women by father and son contribute to the Oedipus motif. This is further strengthened by Joachim's implication of impurity in his mother's home because of his father's dalliance with the Polish maids and the reference to pollution with respect to Elisabeth. Joachim's veneration of Elisabeth and his reference to her as Madonna-like show that she is for him an ideal rather than a bride and mate. Thus the similarity of terms respecting his mother's status and Elisabeth allows some identification of the two women as further evidence of the Oedipus complex in the first novel.

In Esch the Oedipus motif emerges in bolder and clearer form, thus reflecting the proletarian milieu in which the characters of this novel move. The motif in-

volves August Esch and Frau Hentjen, known to all as Mother Hentjen. Although Frau Hentjen is a widow in this novel, her deceased husband evolves as Esch's antagonist in his courtship and relationship with her. An added factor producing and promoting the motif in this second novel is Esch's status as an orphan.

Emphasis on the fact that Esch is an orphan establishes his role as that of a child. Esch informs us of this fact first as Gernerth tells of his thriving family; Esch remarks: "'Ich bin Waise, ich habe meine Mutter kaum gekannt'" (p. 198). That this is not only a biographical fact but a psychological state appears when Esch is strangely touched by the testimony of the Salvation Army group: ". . . es war auch das fremdartige Gefühl verwaister Einsamkeit wieder da, und plötzlich war es ihm erschreckend klar geworden, dass er mutterseelenallein werde sterben müssen" (p. 206). As Frau Hentjen's lover, he still wishes to be considered a child: ". . . (die Begierde) wacht umbesiegbar, die Frau zu zwingen, dass sie . . . zu ihm . . . du sage wie zu ihrem Kinde" (p. 280). In unsavory parts of the city Esch is assailed by his sense of abandonment. The same sense characterizes his fluctuating relationship with Mother Hentjen before he marries her.[54] Final reference to his orphaned con-

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[54] See also GW II, pp. 281, 317, 342, 360, 362.

dition occurs only shortly before he marries Frau Hentjen.

The preceding passages indicate Esch's psychological condition of abandonment and his own conscious need of a mother. This substitute he finds in Frau Hentjen. That Frau Hentjen represents the Mother for Esch is not difficult to conclude from the references to her in Esch. Known to all as "Mother Hentjen", through this general appellation she acquires special meaning for the orphan Esch. A further extension of the concept Mother is implied by Frau Hentjen's business: she conducts an eating and drinking establishment, dispenses bodily nourishment to all who come, and governs her inn as a mother governs a household.

The earliest personal references reflecting Esch's attraction to Frau Hentjen have to do with her breasts: "Sie war noch in morgendlicher Arbeitskleidung . . . so dass ihre Brüste wie zwei Säcke in der breitkarierten Barchentbluse lagen" (p. 175). After further description the reader is given some background on Frau Hentjen's widowhood and her aversion to courtship. This fairly objective introduction is closely followed by Geyring's departure, leaving Esch and Frau Hentjen alone. "Esch betrachtete sie, wie sie am Herde hantierte, und hätte ihr gerne unter die Brüste gegriffen . . . " (p. 176). This fixation becomes central in Esch's memory of Frau

Hentjen.[55]

The breast is the universal symbol of motherhood, the first and comforting home of the infant receiving from it both refuge and nourishment.[56] It is obvious from the text that Frau Hentjen's breasts were not sexually exciting, yet they captured and recaptured the attention of the "orphan" Esch. Well before Esch ventured to think consciously of sexual relations with Frau Hentjen, her breasts represented a home and a refuge specifically recalled by his homesickness in Mannheim. Esch's sexual promiscuity made him quite independent of mere sexual dependence on Frau Hentjen. The dependence was filial. At the conclusion of this novel Esch's reflections on the frustrations of his dreams include the following clarification of the significance of the breasts in this novel:

> Denn immer versagt die Erfüllung im Realen, aber der Weg der Sehnsucht und der Freiheit ist unendlich und niemals ausschreitbar, ist schmal und abseitig wie der des Schlafwandlers, wenn es auch der Weg ist, der in die geöffneten Arme der Heimat führt und an ihre atmende Brust. (p. 364)

In addition to this symbolic recognition by Esch of the mother in Frau Hentjen we find further evidence of his concept of her and behavior towards her. When Lohberg

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[55] See also GW II, 177, 207.

[56] Cf. Freud (10th Lec.), p. 167: Breasts as symbols of motherhood and nourishment.

decides to go to the strike meeting which may become violent and a police matter, Esch feels ashamed: ". . . nein, es ging nicht an, einen Freund schutzlos in der Gefahr zu lassen und täte man es, man dürfte Mutter Hentjen nicht mehr unter die Augen treten" (p. 215). This reflects the child's dread of the mother's disapproval. During the shipyard strike Esch is restless: ". . . er . . . rieb seinen Rücken an den Türpfosten und setzte schliesslich einen Brief an Mutter Hentjen auf" (p. 221). In the letter he relates all the news of his associations and experiences--exactly the kind of letter one would expect a son to write to his mother. On the other hand, Esch at the same time sends picture postcards to the girls with whom he has slept over a number of years.

Filial respect and obedience is also evident when Esch compares Frau Hentjen with other women in his life:

> Sie war eben anders als andere Frauen; sie war nicht so eine, die . . . sich nicht einmal stören lässt, wenn er vor der Waschschüssel steht . . . Und sie war auch keine, die sich mit einem Korn eingelassen hatte . . . Gewiss war auch Mutter Hentjen etwas Besseres . . . Und wenn sie sich vor seinem Briefe ekeln würde, so wäre es bloss recht und billig, fast wünschte er, böse Worte von ihr zu hören . . . (p. 235).

Esch has placed Mutter Hentjen in an entirely different and higher class than the girls of whom he thinks in sexual terms. The tone of respect and the wish for recognition even in the form of a maternal reprimand show Esch's determination to find in Frau Hentjen a surrogate mother.

That she accepted this role unconsciously and rather gracelessly is shown when Esch returns to Cologne to promote his theatrical venture:

> Frau Hentjen hatte die Änderung seiner Tätigkeit mit einem Blick betrachtet, in dem trotz aller Gleichgültigkeit so etwas von wie Verachtung, Unzufriedenheit, vielleicht gar ein wenig Besorgnis lag, und obwohl Esch ihrer Besorgnis recht geben musste oder eben deshalb, bemühte er sich, ihr die Vorzüge und Aussichten des neuen Berufes in ein helles Licht zu rücken. (p. 242)

This passage shows the juncture of maternal concern and filial dependence. As in the case of his letter to Frau Hentjen, Esch feels a compulsion to explain and justify to her who bears no familial or legal claim on him his change of occupation. Both the motherless Esch and the childless Frau Hentjen here accept the natural demands of a woman for a child and the child for a mother.

When finally Esch makes sexual demands on Frau Hentjen, he achieves an experience different from his usual ones:

> . . . da empfand er Seligkeit, wie er sie noch nie bei einem Weibe erfahren hatte, verströmte grenzenlos in ihr, sehnend sie zu besitzen, die nicht mehr sie war, sondern ein wiedergeschenktes, dem unbekannten abgerungenes mütterliches Leben, auslöschend das Ich . . . (p. 274)

This appears not only as a physical union with his "mother", but a reunion, a reassimilation in which the waif Esch receives meaning as a part of the eternal stream of life. The sense of having a mother had superseded the sexual experience.

Reference has previously been made to the passage in which Esch wants to wring from Frau Hentjen acknowledgment of their mother-son relationship. One aspect of the Oedipus motif is apparent in Esch's sexual relationship with Frau Hentjen, first as lover and then as husband. The mother-son relationship having been established, it remains to consider the father-son relationship within the Oedipus complex in Esch.

Just as Esch has taken Frau Hentjen as his mother and his wife, in his fanatical consistency he considers the deceased Herr Hentjen as his father and rival. Since Herr Hentjen is dead, Esch's task is to remove his portrait from sight, indeed to destroy it and by his sexual dominance to remove from Frau Hentjen's mind all memories of Herr Hentjen. The role of Esch as Oedipus in this sense unfolds with the total development of the novel.

Our introduction to this defunct rival of Esch takes place early in the novel:

> Aber alle wussten, dass Frau Gertrud Hentjen . . . seit langer, langer Zeit . . . Witwe nach dem Herrn Hentjen war, dessen gelbverblasste Photographie . . . oberhalb des Eiffelturmes prangte. Und obwohl Herr Hentjen mit seinem Ziegenbärtchen wie ein dürftiger Schneidergeselle aussah, hielt ihm seine Witwe die Treue . . . (p. 175)

This description is apparently the reflection of Esch or the direct observation of the author. In either case it reveals the matrimonial state of Frau Hentjen, the visual representation of her deceased husband in a place of

honor in public view, and his appearance described in derogatory terms. In those few lines are the seeds of Oedipus-Esch's envy, hatred, and symbolic "murder" of his "father", Herr Hentjen.

It is only after his affair with Frau Hentjen has developed that Esch consciously begins to pursue Herr Hentjen. Impressed by Harry Köhler's concept of love, Esch thinks of Ilona and a sublime love:

> Aber während er noch darüber nachdachte, durchzuckte ihn wütender Schmerz,--niemals würde er ergründen, ob es solch hohe Form der Liebe gewesen war oder eine andere, mit der Herr und Frau Hentjen einander geliebt und sich gefunden hatten. (p. 283)

Envy of the former love, the pain of uncertainty, and the rage of frustration center about the dead man. Esch absolves Frau Hentjen inasmuch as he needs her as mother: "Frau Hentjen konnte ihren Mann nicht geliebt haben; sie war zu der Ehe mit diesen Schwein gezwungen worden" (p. 287). Brooding about Hentjen now becomes an obsession with Esch; the thought of his priority with Frau Hentjen arouses fury and scorn; even when he thinks of the live enemy Bertrand, he cannot rid his mind of Hentjen:

> . . . und wenn das vornehme Bild schliesslich wie aus Tabaknebel hervortauchte, so glich es dem eines geckenhaften Schneidermeisters, sehr ähnlich dem Porträt des Herrn Hentjen, das über dem Bord in der Wirtschaft hing. (p. 287)

Esch's first reflections about Hentjen have now been transformed into living emotion.

The identification of the dead Hentjen with the live

quarry Bertrand emerges in Esch's discussion with Frau Hentjen and his reflection thereafter:

> . . . und schärfer als je erkannte er, dass er Bertrand nur im Bilde Hentjens sich vorzustellen vermochte. Er erwiderte barsch: "Das Bild muss weg" . . . er scheute sich den Namen zu nennen, "das über dem Eiffelturm." . . . es (wurde) ihm völlig klar, dass es auch seine Affäre mit Hentjen war, die er mit Bertrand abrechnen musste . . . (p. 292)

Vague annoyance with Hentjen's picture now sharpens into a demand for its removal, a symbolic parallel for the actual death of Bertrand, whom he thinks of as the substitute for Hentjen, his rival for Frau Hentjen's love. In Bertrand's actual presence Esch has a moment of doubt:

> Und Esch dachte, es müsste Bertrand eigentlich nicht sterben, wo Hentjen ohnehin schon tot war. Aber dann ergab es sich wie eine klare und sanfte Erleuchtung, dass ein Mensch zweimal sterben könne . . . (p. 322)

Confused as Esch sometimes is in his obsessions and fanaticisms, he holds to the Oedipus requirement that the son destroy the father; Bertrand as a reincarnation of Hentjen must be destroyed at Esch's hands to secure for Esch the full possession of Frau Hentjen.

Hentjen's picture remains to goad Esch into a denunciation of Bertrand.[57] Esch, considering Bertrand's destruction a matter of social conscience, can also thereby satisfy his private compulsion to destroy Frau Hentjen's husband once more in Bertrand.

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[57] See GW II, 342.

After writing his denunciation, he presses the matter of the picture, insisting on its removal and destruction.[58] Frau Esch cannot grasp the profound significance he attaches to this visual evidence of the other man. "'Warum hast du ihn geheiratet?'", Esch asks: ". . . mit der Frage wühlte sich so viel Wildes und Hoffnugsloses in ihn auf, dass er mit seinen Gedanken zu Erna flüchtete" (p. 343). Even after the walls have been freshly painted and Hentjen's picture is gone, Esch is suspicious:

> Der helle Fleck an der Wand, wo des Schenkwirts Bild gehangen hatte, war jetzt übermalt, so dass man meinen konnte, das Bild sei lediglich der Ausmalung wegen entfernt worden. Aus keinem andern Grunde. (p. 359)

Like Lady Macbeth's bloodstain, the spot remains in Esch's mind.

When finally Esch marries Frau Hentjen, his expectations of a new generation from the union are not realized. He has accomplished the death of his "father" and the marriage with his "mother", but the result of it all is sterility. Esch at the end of the novel begins to sense the futility of his goals and hopes; he even discounts the significance of fathering a child who would in any case grow up to be a stranger who might have sprung from any loins. Esch remains an empty Oedipus with no realm to rule.

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[58] Cf. GW II, 342, 343.

The Oedipus motif is revived in the third novel wherein Wilhelm Huguenau is the son and the two Esches are father and mother. Huguenau's first impression of Frau Esch was that of ". . . eine breithüftige, reiz- und geschlechtslose Person unbestimmten Alters" (p. 437). The identical terms are used later after Huguenau has established himself as pensioner in the Esch home.[59] As in the case of Esch's first observations of "Mutter Hentjen" in the second novel, there is no indication of sexual attraction in Huguenau's view of Frau Esch; but after he has paid particular attention to this matronly figure, filial and sexual associations follow in fairly rapid succession, as well as hostility to Esch.

> Im Vorübergehen aber berührte sie unvermittelt und überflüssigerweise ihres Mannes harten Rücken, und Huguenau hatte plötzlich die Empfindung, dass sie sich ihrer Ehelichkeit allnächtlich recht wohl zu bedienen wisse. Der Gedanke war ihm nicht angenehm, und so fragte er: "Na, Esch, bereiten Sie sich aufs Kloster vor?" (p. 478)

For the first time Huguenau associates sex with Frau Esch; to her he attributes avid sexual capacity and endurance. To the matronly impression is now added the impression of a sex partner. But inasmuch as her sexuality is associated with Esch, Huguenau finds the thought unpleasant, as if Esch were usurping his prerogative. This thought produces the facetious question about the monastery. Here

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[59] Cf. GW II, 478.

Huguenau is already proposing ways of disposing of Esch so that he may enjoy Frau Esch without competition.

So far the matronly figure of uncertain age, the sexual association, and the removal of the sexual rival have come to light. The filial association necessary to complete the Oedipus pattern comes soon thereafter as Huguenau reflects on the family situation in which he finds himself:

> Frau Esch brachte die Suppe herein, und Huguenau wurde von seinem unangenehmen Gedanken nicht losgelassen. Die beiden leben wie ein Liebespaar ohne Kinder . . . Eigentlich sass er auf dem Platz, auf den ein Sohn hingehörte. Also nahm er, einfachen Gemütes, den Scherz wieder auf und erzählte Frau Esch, dass ihr Mann ins Kloster gehen werde. (p.478)

Huguenau's observations and reflections have quickly developed into conscious reconstruction of this family: Esch removed as husband, himself installed as son but assuming the role of his absent "father", husband to Frau Esch. The thought of murder is at this point only symbolic, but his disposition of Esch in a monastery (suggested by Esch's Bible reading) would insure the absence of any normal sexual life for Esch--his manhood would be neutralized if not destroyed.

After suggestive talk about life in monasteries, Frau Esch continued serving Huguenau: "Sie nickte zufrieden, als Huguenau sich den Teller nochmals füllen liess" (p. 479). Frau Esch performs this motherly act of providing in conjunction with the discussion of abnormal

sexual relations which she herself had introduced with the question: ". . . ob es wahr sei, dass in allen Klöstern unzüchtige Beziehungen zwischen den Herren Mönchen herrschen" (p. 478). The commercial arrangement by which Huguenau received lodging and food at the Esches has suddenly become an Oedipus situation, with the "son" Huguenau planning the removal of his "father" Esch and the sexual appropriation of his "mother", Frau Esch.[60]

The mother-son relationship of Pasenow is now repeated: in the blunt and bitter conversations between Esch and Huguenau, Frau Esch serves as a mediator trying to reduce her husband's anger at Huguenau's provocative remarks. Huguenau takes particular pleasure in dwelling on the theme of the "Sohn, (der) das Haus bauen wird" (p. 480), Esch's favorite Biblical promise of a better future for humanity; Huguenau suggests that he, Huguenau, is a "son" in the flesh, ready to assume that role in the Esch family. At the conclusion of their conversation Frau Esch maintains neutrality. This disappoints Huguenau who had hoped for her active support against her husband. He is further irritated as Frau Esch clears the table, for in doing so she placed her hand on Esch's shoulder. Huguenau immediately resents and envies this physical con-

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60 Huguenau's "Untersetztheit" contributes to the concept of a son as being physically smaller than his father. Cf. GW II, 566; also p.64 above.

tact between husband and wife.[61] The "son" aspect appears in the same paragraph as Huguenau hears the clatter of dishes in the kitchen: ". . . und der fade Spülichtgeruch der Küche begleitete ihn über die Holzstiege und erinnerte ihn sonderbar deutlich an sein Elternhaus und an die Mutter in der Küche" (p. 482). Shortly thereafter Huguenau wrote his secret report denouncing Esch to Major Pasenow.

Following the "Symposium" Huguenau and Major Pasenow leave the Esch home; Huguenau remarks to Pasenow: "'Jetzt legen die sich ins Bett. Esch hätte wohl auch noch mit uns bleiben können . . . aber sie weiss schon, was sie will'" (p. 536). Huguenau's next thought as they pass along the street is of a dead man. Further, Huguenau "missbilligt es, dass Esch jetzt bei der Frau liegt . . ." (p. 536). Huguenau begins to plan the downfall and the degradation of both Esch and Pasenow inasmuch as the latter was befriending rather than persecuting Esch. Inviting Pasenow to "inspect" the bordello with him, Huguenau must again refer to Esch: "'Der Herr Esch schläft jetzt bieder im Ehebett . . .'" (p. 537). Thus again and again Huguenau expresses a sharpening hostility toward the "father" and desire for the "mother".

Huguenau's second attempt to destroy Esch takes the form of a news item which he hopes will alienate Pasenow's

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[61] See GW II, 481.

good will toward Esch.[62] Guilt feelings respecting Esch make Huguenau self-conscious about eating with him. He then assumes the role of the sick child who does not want to eat: ". . . Man weiss doch nichts Besseres, als sich Krank zu melden . . . er . . . steigt zu Mutter Esch hinauf (denn so pflegte er sie seit neuerer Zeit zu nennen)" (p. 584). He asks her to feel how feverish he is--the touch of the mother, but also of the mate.

He hears Frau Esch tenderizing meat in the kitchen; his hatred of Esch flares up: ". . . also hat sie ihn doch betakelt, die dicke Eschin, damit der Kerl das ganze Fleisch kriegt" (p. 585). The mother aspect appears when he hears Frau Esch cutting vegetables: ". . . ja, er hat seiner Mutter immer angstvoll zugeschaut . . . besser war's doch, sich ins Bett zu legen, die Eschin sollte daneben sitzen und stricken oder ihm Kompressen machen" (p. 585).

Trying to forget his fever, Huguenau imagines naked women. When he hears the stairs creak, he thinks: ". . . der Vater pflegte sonst nicht so zeitig dran zu sein . . . Mutter Esch spricht mit (dem Postboten)" (p. 586). Later Esch does arrive home: "Huguenau schrickt zusammen, es ist des Vaters Schritt. Ach Gott, es ist bloss der Esch, der Herr Pastor . . . Schwein, der Esch" (p. 586).

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[62] See GW II, 583.

Huguenau has adopted the terms "mother" and "father" for the Esches. The cutting of vegetables conjures up the picture of sharp knives, sharp points; of these he thinks again when he reflects on Esch: "Küchenmesser sind scharf; und spitzig sind sie auch" (p. 586). The harmless tools of the mother he mentally converts into weapons against the father.

Huguenau wants to be treated as a member of the family. When Frau Esch brings him his food he is irritated because she does not stroke his forehead. Requesting brandy, he is told even Esch now drinks tea for his health. Huguenau quickly changes his request to tea, ready to assume the role of family member in detail.

Spurred on by the conversation respecting adoption of Marguerite, Huguenau articulates the wish he has already been acting out:

> "Mir schmeckt es ebenfalls bei Ihnen, Mutter Esch . . . möchten Sie mich vielleicht auch adoptieren?" Er hätte gerne hinzugefügt, dass Esch dann den Sohn hätte, von dem er immer faselte . . . aber . . . die ganze Sache kam ihm nicht mehr scherzhaft vor . . . Auch Frau Esch schien über das Ansinnen, das Huguenau ihr gestellt hatte, erschrocken zu sein . . . erst als er bei der Tür war, stotterte sie: "Warum nicht, Herr Huguenau . . ." (p. 602)

The family picture is now clearly drawn. In the presence of all three the father-mother-son relationship has been put audibly into words. Facetiousness has disappeared: Huguenau is suddenly serious, Esch is angrily indignant, Frau Esch is startled but, in her female role, finally

acquiescent.

Huguenau continues his efforts to destroy Esch by denouncing him and his practises to tavern companions. He also warns Frau Esch that the refreshments for her husband's Bible study group will become a hardship. Yet Huguenau feels as a son may of his father that Esch has knowledge beyond his own: "Er war irgendwo misstrauisch geworden. Was hatte der Esch schon wieder, was er nicht sagen wollte? was konnte der wissen?" (p. 633).[63] Huguenau's criminal desertion from the army as well as his planned deceptions and crimes plague his peace of mind.

During the rioting in the city Huguenau guards the printing establishment. While he does so he curses Esch, who has a wife to comfort him and feed him and who at the same time is so pious: "Die Knochen sollte man dem zerschlagen" (p. 644). Esch is meanwhile with the wounded Major Pasenow. Huguenau finds his room in disorder; about to tell Frau Esch about it, he sees her running into the room to ask about her husband.

> Eine weite wonnige und erregende Beruhigung überkam Huguenau, als er ein vertrautes Gesicht erblickte. Er lächelte ihr förmlich entgegen . . . jetzt wird alles gut, sie soll mich zu Bett bringen . . . (p. 645)

Her repeated query about Esch irritates him: "Die dumme Frage störte ihn,--was wollte die Frau jetzt von dem Esch?

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63 This bears great similarity to Pasenow's and Esch's awe of Bertrand. Cf. GW II, 132, 324.

wenn der nicht da ist, so ist's doch nur gut . . . " (p. 645). In her frenzy Frau Esch takes him by the shoulders; she fears for Esch's life. Huguenau hopes Esch has been killed. To Frau Esch he says:

> "Was jammern Sie denn nach Esch? haben Sie nicht auch schon genug von dem Patron? . . . ich bin doch hier bei Ihnen" . . . und während er so sprach, merkte er selber erst, dass er Gröberes von ihr verlangte . . . wie zum Ersatz für das, was sie ihm schuldig blieb. (p. 645)

The sexual union of Huguenau and his adoptive mother then takes place.

Promising Frau Hentjen to look after her husband, Huguenau recognizes the urge to kill Esch: "Würde er Esch jetzt begegnen, überlegte er beim Hinausgehen, er würde ihn die Treppe hinunterschmeissen" (p. 646). As he has "married" the mother, the logical conclusion is that the "father" must be dead or must be killed. By this time having witnessed the bloodthirsty killing in and around the city and having grossly indulged his own senses, Huguenau openly entertains the plan to kill Esch. His opportunity arrives when, following Esch back into town, he notes the wanton rioting, looting, and bloodshed; rather than continuing to follow Esch, Huguenau considers:

> . . . sollte er ihn mit dem Kolben erschlagen? nein, das wäre sinnlos, es musste vielmehr ein Schlusspunkt gesetzt werden. Und da übermächtigt es ihn wie eine Erleuchtung,--er senkt das Gewehr, ist mit ein paar tangoartigen katzigen Sprüngen bei Esch und rennt ihm das Bajonett in den knochigen Rücken. (p. 650)

Huguenau has to assure himself that Esch was in fact dead:

> . . . kein Zweifel, der ist tot. Huguenau war ihm dankbar--es war alles gut! . . . Als er den gefürchteten höhnischen Zug nicht darin fand, war er zufrieden und klopfte der Leiche wohlwollend, fast zärtlich auf die Schulter.[64] Es war alles gut. (p. 650)

Here is the fulfillment of the Oedipus motif foreshadowed in Pasenow and Esch. The overt acts parallel the grossness of the times. The son has married the mother and killed the father.

Simultaneously history has overtaken Esch. Symbolically he had killed Hentjen both through destruction of the picture and of Bertrand; now in fact he is destroyed through Huguenau who coveted Frau Hentjen in the same way, as "orphan" and son as well as sexual partner. The realization of the natural course of human relations untouched by spiritual grace was already expressed by Bertrand to Esch: "Mord und Gegenmord . . ." (p. 324); this is repeated by Esch to Pasenow in the "Symposium" and is once more verified by Esch's death.

The Oedipus motif throughout the trilogy reflects the progression from traditional moral values and behavior to utterly pragmatic opportunism. Whereas in Pasenow neither mother-love nor father-hate comes to overt expression, and in Esch no illegal violence is done, in Huguenau the full product of moral disintegration is exhibited in the rape of Frau Esch and the murder of Esch

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64 Compare Esch's similar macabre gesture with respect to Alfons, Harry Köhler's friend: GW II, 349.

by the renegade Huguenau. The extent of the breach with tradition can be measured not only by the overt violence of Huguenau but by the premeditation of his acts and the absence of remorse, in contrast to the care with which Sophocles' Oedipus tried to escape his fate and his remorse and desperation upon discovering the guilt which had entered his life. The Oedipus motif also expresses the insecurity of the individual in his estrangement from permanent values, from a sense of personal worth, and from constructive social relationships.

The Uniform and Nakedness Motif

The uniform provides a conspicuous motif in the trilogy. In the first book the young Pasenow as a military officer appears in uniform; Bertrand the ex-officer has deliberately removed his uniform. In the second book Balthasar Korn is a uniformed customs inspector, and the police who play a part in Esch are also uniformed. Moreover, the Salvation Army in its uniform plays a supporting role in the second book. In the third book Major Pasenow reappears still in uniform. That the uniform is not a casual item in Die Schlafwandler the elaborate and recurrent references to it show from the beginning.

A substantial beginning of the motif occurs early in Pasenow. Joachim reflects on Bertrand's interpretation of the uniform in modern society and expresses his own

thoughts colored by Bertrand's opinion. For Bertrand the uniform was the secular equivalent of the priest's robe; both stood for absolute authority, but as the state is not absolute, its assumption of the symbol of absolutism is pure romanticism. The man wearing the uniform surrenders his identity but feels that in thus identifying himself with the institutions of society he also provides for his own security. Joachim sees in the uniform the well-ordered society because it is maintained according to established judgments of right and wrong without the intrusion of new and disturbing claims and personal viewpoints.

Joachim also associates the uniform with chastity because the uniform conceals all those clothes and parts of the body which may be associated with being born, sleeping, loving, and dying.[65] The uniform represented subjugation of human emotions, security, and isolation from evil associations, such as the anarchy of personal emotions, human relationships, and individual choices. For these reasons young Pasenow resents Bertrand's civilian pursuits and his own father's visit to Berlin during which Joachim must escort him in civilian clothing.

Joachim feels guilty standing on the street in uniform with Ruzena; he recalls his own criticism of Bertrand

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[65] Cf. Freud (10 Lec.), p. 160: "Clothes and uniforms stand for nakedness."

for such associations. On the other hand, his father's suggestion that he leave the service to take over management of the estate Joachim feels would be a betrayal of Elisabeth. This passage links the Uniform motif with the Madonna motif which will be discussed later. Joachim has already identified the uniform with chastity; it offends him to think of a military person in uniform as husband or father; although he is thinking of Elisabeth as his wife, he has idealized her as the opposite of Ruzena and not to be thought of in terms of sex. To his mind the uniform serves as a guarantee of a pure relationship.

Elisabeth, stemming from the same segment of society as Joachim and having the same concepts, is also conditioned to the uniform. On Joachim's visit home he meets Elisabeth:

> Dann kam Joachim and Elisabeth war wieder enttäuscht, denn sie hatte sein Bild in Uniform im Gedächtnis gehabt und er war jetzt mit dem ländlichen Jagdanzug bekleidet. Sie waren fremd und befangen . . . (p.81)

Elisabeth fits well into Joachim's picture of traditional creeds, provincial concepts, secure conventionality. Upon Joachim's return to Berlin he feels relief in returning to his military routine and uniform.

At times dependent on and revolted by Bertrand, Joachim in the latter case finds strength, resolution, and defiance in the uniform. One such occasion was the separation from Ruzena and the courting of Elisabeth; Joachim considers the civilian Bertrand as the evil force which

had entangled him in the city and in his affair. In defiance of this influence and no doubt strengthened by the expectations of the Baddensens, he dons his dress uniform to greet the provincial family. Joachim's uniform gives him limited courage to act within the pattern of conventional behavior and expectations.

Even on his wedding night Joachim is grateful for his uniform: "Er sah an sich herab und empfand den langen Uniformrock als Schutz; es war schamlos, dass die Leute im Frack zur Hochzeit erschienen" (p. 164). Joachim here considers his uniform a kind of monk's habit to preserve his chastity and Elisabeth's. Any undress at this point would be a sacrilegious reminder of his sensual experiences with Ruzena. This attitude occurs later on the wedding night just before Joachim falls asleep--in uniform:

> Sein Uniformrock war durch die Lage ein wenig in Unordnung geraten, die auseinandergefallenen Schösse liessen das schwarze Beinkleid sehen, und als Joachim das bemerkte, brachte er es eilig wieder in Ordnung und deckte die Stelle. Er hatte nun auch die Beine heraufgezogen und um mit seinen Lackschuhen das Linnen nicht zu berühren, hielt er die Füsse ein wenig angestrengt auf dem Stuhl, der neben dem Bette stand. (pp. 168-169)

In this security and chastity the newlyweds spend their first night.

The Uniform motif as developed in Pasenow both characterizes the Wilhelmine age and makes credible the short ironic closing chapter of the first novel. It con-

sists of five lines:

> Nichtsdestoweniger hatten sie nach etwa achtzehn Monaten ihr erstes Kind. Es geschah eben. Wie sich dies zugetragen hat, muss nicht mehr erzahlt werden. Nach den gelieferten Materialien zum Charakteraufbau kann sich der Leser dies auch allein ausdenken. (p. 170)

The second novel carries forward the Uniform motif. Esch, impressed by the regulations and organization characterizing Bertrand's shipping firm and the harbor, feels the same pride of "correctness" and sense of security as Pasenow:

> Es war ein gebundenes und zugleich freies Leben . . . Und wenn er auch noch keine Uniform trug und sozusagen nur ein Privatangestellter war, so war man in diesem Zusammenleben mit den Zollorganen und Bahnangestellten dennoch selber fast zur Amtsperson geworden. (p. 186)

Esch becomes the industrial counterpart of the military Pasenow; each feels personal satisfaction within a closely-organized society.

Balthasar Korn, customs inspector and former soldier, is also a wearer of the uniform. It not only gives him status, it wins for him a mistress to whom also the uniform has meant some security in a past affair as it now does with Korn:

> Über Ilona war eine ehrliche Leidenschaft zu dem beleibten Manne gekommen, vielleicht weil Balthasar Korn sie an irgendeine dem Unteroffiziersstande angehörige Jugendliebe erinnerte . . . Ilona warf sich ihm unter östlichen Koseworten an die Uniformbrust. (p. 220)

The uniform of the Salvation Army exerts its influence on Lohberg and on Esch--again the spiritual ab-

solute makes its appearance as in the monk's habit of medieval times. Esch associates the uniform as did Pasenow with purity and chastity and visualizes Ilona in such a uniform looking up to him as her redeemer.[66] Lohberg himself, the link between Esch and the Salvation Army, is soon characterized by Esch and Korn as a "chaste Joseph". Pasenow had viewed the military uniform as a kind of second skin isolating him from all manner of social evils.[67]

Although the Salvation Army uniform makes a favorable impression on Esch, he is not indiscriminately in favor of those wearing any uniform. Esch identifies Korn by his uniform but recognizes and despises his grossness; he recognizes the authority of the uniformed jailer but is irritated by the injustice of Geyring's imprisonment; this irritation he projects to the streetcar conductor because he too is uniformed.

In the monologue during his trip to Mülheim, Esch conceives of the uniformed conductor as the inaccessible source of certain knowledge,[68] much like Kafka's father-figures, such as the judge in Der Prozess: ". . . die meisten . . . suchen mit hastiger Angst nach der Fahrkarte wenn der Ruf des Gewissens ertönt und der uniformierte

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66 See GW II, 206.

67 See GW II, 20.

68 See also GW II, 65, 132 for similar attitudes.

Beamte erscheint. Wer an Mord denkt, ist bald ertappt . . . " (p. 317).

In Esch the Uniform motif was developed in three directions. First there was the veneration of the uniform as symbol of order, regulations, security, and privileged association. This is the concept Esch associated with the shipyards and harbor; he is proud to belong to so special and separate an organization and to observe with all correctness the rules imposed by it. And as an orphan Esch is grateful for and inspired by this symbol of identity.

Secondly, the Salvation Army uniform brings into focus another sort of order, a divine organization with the promise of better things, a higher order of security, and chastity--protection for Ilona against the sensual advances of Korn. The Salvation Army uniform appeals to Esch because he is now keenly aware of injustice in the social order; the state itself is corrupt, the police protect the injustice of capitalists and imprison the innocent, and the uniform of secular organizations is not immune to pollution. But the Salvation Army uniform represents a rejection of secular authority, an appeal to a new life and absolute justice, a balancing of accounts.

The third sense in which Esch views the uniform complements the foregoing. The uniform of Korn, of the streetcar conductor, the jail guard, or the policeman is

a means of identification but not a token of virtue or value. The secular uniform for Esch is stained with sensuality, injustice, corruption. Esch has learned in Mannheim to distrust the uniform he admired in the beginning and to look to a new order to replace the existing one; the new order will be not primarily social, industrial, and political, but spiritual, religious, absolute, as represented by the Salvation Army uniform.

Joachim v. Pasenow had faith in the secular absolute symbolized by the uniform of the state. Esch lost this faith when he observed and experienced urban industrial life; he therefore is attracted to the uniform of the spiritual absolute and indeed makes himself the agent of this absolute although without the uniform. Thus both Joachim and Esch provide substance for Bertrand's theory of the uniform; the naïveté of Pasenow is followed by the naïveté of Esch; both sought the security afforded by a final authority outside themselves.[69] The sign of this final authority was the uniform.

In the third novel two attitudes toward the uniform appear. The one is represented by Huguenau, by the war-wounded, and by Major Pasenow, the other by the Salvation Army.

Huguenau's wearing of the uniform is fortuitous; he

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[69] Cf. GW II, 19, 374, 424.

was conscripted, found army life and warfare miserable and disgusting, and wore the uniform only until he could desert and don civilian clothing. He had no compunctions about abandoning the uniform and its obligations.

Huguenau provides the extreme example of the civilian dressed in military uniform in wartime. The uniform ill befits him; he seems to dishonor it, while it brings him misfortune. In this same category are Lt. Jaretzki, Samwald, and Gödicke. The doctors too look awkward and ill-fitted in uniform: "Ein verkleideter Zivilist, musste der Major denken,--es war nicht des Königs Rock" (p. 607).

Even Major Pasenow finds the long-revered uniform deceptive:

> Der Krieg . . . für den er eine Jugend lang die Uniform getragen und für den er sie vor vier Jahren wieder angelegt hatte, der Krieg war plötzlich keine Angelegenheit der Uniformen mehr . . . (p. 450)

In his youth Pasenow had openly associated with Ruzena in public in his uniform, self-conscious and ashamed of compromising his uniform.[70] In Huguenau he stands uniformed on the street with the civilian Esch:

> . . . da stand er, der Stadtkommandant in Uniform, den Degen an der Seite, mit einem Zeitungsmenschen in Zivil, er stand in Uniform auf offener Strasse und hatte diesem Mann die Hand gereicht, und anstatt es dabei bewenden zu lassen, war er . . . beinahe glücklich, dass dieser Mann Anstalten machte, ihn zu begleiten. (p. 578)

In both instances the uniform is subordinate to liberating

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[70] See p. 181 above.

human relationships which carry Pasenow outside the narrow circle of his military identity. But Pasenow has grown from servile acceptance of the uniform in the first novel to critical evaluation of it in the third.

The Salvation Army presents the other type of uniform; from a material point of view it cannot compare with the good quality and smart appearance of Major Pasenow's:

> (Sie) versuchte, den Staub von ihrem dunklen Uniformrock zuzuklopfen. Es war der rauhe Stoff, aus dem die Uniformen der Schaffnerinnen angefertigt wurden, Ersatzstoff mit Papiergarn durchschossen. (p. 400)

But this is the uniform nevertheless that promises a better future because it speaks of peace, restoration of the human spirit, and hope. Although Esch and Pasenow were not immediately concerned with the "Geschichte des Heilsarmeemädchens in Berlin" they were involved in the gradual acceptance of the need for other than material and social resources. Both had come to a "Salvation Army" stage of thought and conversation, and it is this uniform that supersedes the military one even for Pasenow, the career officer. The luster of the military uniform had not served to conceal the poverty of inner resources, while the poverty of the religious uniform had not served to conceal the luster of inner resources.

The uniform in Die Schlafwandler as a whole provides a motif with both constants and variables. Throughout it is a symbol of order, organization, authority, and the

security attendant upon those elements. The variables are the points of view of different generations, the different organizations using the uniform, and the changing point of view of Pasenow with respect to the uniform. In Pasenow the military uniform is accorded all honor as the symbol of the state; in Esch the uniform of state officials is deprecated as the symbol of a degenerate state; but the Salvation Army uniform takes on a positive meaning of spiritual absolutism and security. In Huguenau the uniform is a despised compulsory attire, the symbol of horror and destruction, except for Pasenow who is saddened by war's cruel tarnishing of his uniform. So the absolutism of the state, challenged by the absolutism of religion, is at the end of Die Schlafwandler superseded by the latter. The Salvation Army uniform becomes the symbol of challenge to the regimented social order.

The element of chastity in the Uniform motif has already been noted. "Naked" and "nakedness" occupy a prominent enough place throughout Die Schlafwandler to warrant their consideration in close connection with the Uniform motif.

Pasenow first mentions the term in connection with Bertrand, whom he meets in civilian clothes in the city. Joachim feels the individual is shamefully exposed in his physical shape by reason of the open coat, cut of the vest, the sight of the shirt and cuffs. This exposure

Joachim associates with eroticism and human passions from which the uniform protects him. Pasenow's reaction is expressed on one occasion upon meeting Bertrand: ". . . wieder schämte er sich, dass er, schön gekleidet in seiner Uniform, mit einem sprach, der sozusagen nackt in Zivil vor ihm stehen musste . . . " (p. 26).

The introverted bachelor Pasenow with his ascetic views and regulated life cannot accept objectively even a friendly tour of the Baddensen house; upon seeing the bedroom of Elisabeth's parents he is shocked by the thought of their naked use of the beds.

What Bertrand when an officer had taught Joachim about the indecency of exposed cuffs occurs to Joachim as he sits in the carriage with his father:[71] "Zwischen dem Rand des schwarzen Handschuhs und der Manschette mit dem grossen schwarzen Knopf war ein Stück Haut mit rötlichen Haaren sichtbar" (p. 45). His father's suggestion that he return to civilian life and take charge of the estate annoys Joachim because he feels he would be "nackt hinausgestossen . . . damit jeder . . . sich an ihm reiben könne" (p. 61). Exposure to civilian realities is clearly repugnant to him.

In Esch the two references to nakedness reflect Pasenow's concept of the reality concealed by clothing. Esch's futile attempt to persuade an editor to be more

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[71] Cf. GW II, 120 and 563.

militant in Geyring's behalf ends with their silent confrontation: ". . . und so sassen die beiden Männer eine Zeitlang einander gegenüber, verstanden einander nicht und sahen ein jeder bloss die Nacktheit und die Hässlichkeit des andern" (p. 286). From this sort of nakedness, a breakdown of communication, the protection symbolically offered by clothing is an understandable resort.

Esch becomes aware of ugliness emanating from himself in the presence of Bertrand: ". . . er fürchtete, dass Bertrand ihn neuerdings auslachen werde, denn er fühlte sich nackt vor ihm stehen . . . " (p. 324). This is progress for Esch; from accusation and condemnation of Bertrand he has come to introspection and condemnation of himself in contrast to Bertrand. This nakedness approaches the Christian virtue of self-examination, humility, and recognition of the need for grace.

In Huguenau "nakedness" is referred to in both literal and figurative senses. The literal instances have to do with exposure of the human body for illicit reasons, especially in reference to the realist Huguenau, gross in his values and appetites. He revels in what the ascetic young Pasenow avoided. In thought, suggestion, and deed he is libidinous, as the references to the girl Marguerite, the bordellos in Trier, the naked women of his desire, and the rape of Frau Esch indicate. As a realist Huguenau is

incapable of comprehending that his literal addiction to nakedness exposes his own soul in its spiritual nakedness. In moral judgment only Pasenow and Esch were capable of assessing themselves within their environment; Huguenau assessed only the opportunities for exploitation presented by his environment.

The figurative or quasi-figurative references to nakedness almost exclusively suggest danger and lack of protection. When Huguenau deserts his post we read: " . . . er geht sozusagen als nackter Mensch durch die Gewalten hindurch . . . " (p. 372). In Huguenau's position the uniform exposes him to both hostile and friendly fire as well as to civilian suspicion and denunciation. This is the risk he assumes in his amorality.

Lt. Wendling also wears the uniform, but this does not carry with it the seal of civilization nor the sanctity of convention in the eyes of his wife. Rather, it estranges her:

> . . . sie (sah), zu ihrem eigenen Schrecken, diesen Mann nackt vor sich, nackt und isoliert in seiner Nacktheit. Es war die gleiche Isoliertheit, in der die Möbel wie nackt, unverbunden ihrer Umgebung, beziehungslos untereinander, fremd und befremdend um sie herumstanden. (p. 498)

The "nakedness" of Huguenau and Wendling is the opposite of Pasenow's concept of "nakedness", i.e., the shedding of the uniform and with it the virtuous restraints of civilization. For Huguenau and Wendling the uniform itself separates them from civilization and marks

them as alien elements in society.

Several times Major Pasenow refers to nakedness: when Huguenau intrudes on the Bible study group, when Esch asks for Pasenow's religious leadership, and when Pasenow is reminded of Bertrand during Dr. Kessel's cello solo.[72]

In each of these incidents Pasenow is haunted by the fear of betrayal, the breach of trust he felt Bertrand had displayed in entangling himself and Pasenow in the "dark" world of the city and human passions. Pasenow has put Huguenau in the same category, for Huguenau has used Esch's confidence to denounce him to the major. Pasenow feels still the need for a protective shell, "eine zweite und dickere Haut" (p. 20), to save him from the dangerous exposure and betrayal he had experienced and observed in Bertrand and Huguenau. With Esch Pasenow feels reassured; in his presence he can express himself candidly, expose himself without fear of betrayal. Nakedness signifies "die nackte Angst der Kreatur" (p. 627) physically embodied in Ilona's naked exposure to Teltscher's knives.

That "nackt" can also have a positive meaning is shown by its use in the evangelical and mystical "Symposium":

> Major: Maske um Maske lass fallen, bis nackt dein
> Herz und dein Antlitz.
> Preisgegeben dem Atem des Ewigen . . .

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72 For these and other references to nakedness cf. GW II, 21, 26, 33, 193, 509, 566, 606.

Esch: werd ich zum leeren Gefäss,
Abgeschieden von allem, entblösst jeder Begierde
Nehm' ich die Strafe auf mich, um im Nichts zu vergehn. (p. 533)

The term now no longer applies to the physical as with Huguenau, or to the social as with the young Pasenow; it now applies to the relationship between man and God, which must necessarily be one of absolute honesty and devoid of "cloaks" and "masks"; the heart must be "bared" and deprived of all covering to receive the breath of eternal grace.

Nakedness has paralleled the uniform as a motif. Each began as a literal description with figurative overtones. The Uniform motif progressed from the secular emblem of authority and security to the symbol of spiritual refuge and assurance. Nakedness was first represented as shameful, dangerous exposure in society; it ends as a symbol of ultimate honesty before the Creator, as a prerequisite for spiritual grace and regeneration. As personal and social values were threatened and challenged, the temporal yielded to the eternal to furnish some support and some hope for the future.

The Uniform and Nakedness motif seems to present an analogy of human development from infantile dependence on external forces to a mature independence of convention and to freedom from restraints on self-realization. Both aspects reveal the individual in isolation and estrangement from society.

The Crutch and Cane Motif

A motif found throughout the trilogy is that of the crutch and cane. It occurs seven times in Pasenow, nine in Esch, and twelve in Huguenau. In the first novel the cane is prominent as an article of dress for both military officers and civilians. The elder Pasenow is mentioned unfavorably in this connection, being early identified with a three-legged appearance.

> . . . vielleicht schämt man sich (solcher Beschimpfungen), bis man den Spazierstock neben den Beinen entdeckt. Der Stock geht taktmässig . . . und die Füsse gehen daneben . . . so gehen Beine und Stock nebeneinander . . . der Mann, wäre er als Pferd zur Welt gekommen, (wäre) ein Passgänger geworden; aber das Schrecklichste und Abscheulichste daran ist, dass es ein dreibeiniger Passgang ist, ein Dreifuss, der sich in Bewegung gesetzt hat . . . (p. 8)

A further passage likens Pasenow's gait to that of the devil and of a limping dog. This characteristic is repeated when the elder Pasenow takes leave of the visiting pastor.[73] The three-legged effect is reinforced by the Pasenows' drive to the cabaret, as they sat rigid in the vehicle, "ihre Stöcke zwischen den Knien . . ." (p. 14). Joachim is quite conscious of the eccentric appearance of his father whose three-legged gait seems reflected even in the handwriting of his letters to Joachim.

Associated with the cane at this point are an un-

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[73] For this and other references to the cane and its effect, see GW II, 9, 43, 61, 70, 88.

pleasant appearance, deception, an evil presence, and lasciviousness.[74] The elder Pasenow's erotic interests justify the implications. He has repeatedly intimated a promiscuous past, lustfully undertakes his annual visits to Berlin, and alludes suggestively to Ruzena and Elisabeth.

The description of the two Pasenows in the carriage indicates the maleness of both; but the elder Pasenow's three-leggedness in motion distinguishes him as a diabolic indulger, while the younger Pasenow, cloaked with both Lutheran and military discipline, can never escape a sense of guilt in connection with indulgence of the senses; hence he is immobilized.

Remaining passages in the first novel refer to the cane or crutch as a support, one involving Joachim and one Bertrand. Joachim reflects that his marriage proposal to Elisabeth was only lukewarm; he imagined himself "gestützt auf einen Stock mit weisser Elfenbeinkrücke, aber . . . so stellte sich das Bild Bertrands dazu ein" (p. 141). Joachim's feeling of inadequacy and uncertainty in the face of marriage is represented by his leaning on the cane and his sense of Bertrand's presence at the private thought of his proposal.

When Bertrand later offers him extensive advice on

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[74] Cf. Freud (10th Lec.), pp. 171-172 on the symbolism of "three", also pp. 161-162 for symbolism of "stick".

the future, Pasenow is annoyed at this interference in his military and marital matters:

> Nachdenklich nahm er Bertrands Stock vom Tische, besah die Krücke, fuhr mit dem Finger über den federnden Wulst der schwarzen Gummikapsel am Ende; ein Rekonvaleszentenstock. Dass jener so zur Heirat drängte, erfüllte ihn mit neuem Misstrauen. (pp. 155-156)

In each case the cane has sexual implications. Those referring to the elder Pasenow are lascivious; those referring to Joachim and Bertrand deal with the former's approaching marriage. But Joachim's puritan attitude toward marriage complements his uncertainty about fulfilling the male role with respect to Elisabeth whom he has idealized. As he stands there with his cane he has maleness to offer Elisabeth but hesitates to commit himself completely to their sexual relationship, for he is bound by his concept of the uniform and its preservation of chastity.

Bertrand's cane in the sickroom Joachim finds suspicious. Examining it in detail and--in view of the foregoing--thinking in phallic terms, Joachim wonders why Bertrand, a convalescent with his cane lying on the table awaiting his recovery, can have such interest in marriage which requires the full strength and abilities of manhood.[75] Joachim's train of thought reflects his own close

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[75] Joachim may here anticipate the later revelation that Bertrand is a homosexual and thus not normally potent sexually. Joachim's intense interest in the cane brings to mind the "pencil" in Thomas Mann's Magic Mountain.

psychological association with Bertrand and his unconscious identification of Bertrand as a rival for Elisabeth's hand.

In the second novel Frau Hentjen's disapproval of Geyring's socialist activities arouses Esch's response referring to Geyring's crippled condition: "Rennt . . . wie ein Hund auf drei Beinen . . . " (p. 253). This remark must be put down as an uneasy dismissal of a man whose altruistic activity stirs Esch's conscience, for Esch in his robust health is less effective socially than Geyring with his physical handicap. It has been noted that Esch assumed a moral responsibility for Geyring's imprisonment.

Further references to the cane or crutch in the second and third novels deal exclusively with the supportive function. In Esch they involve primarily Geyring who, in spite of his constant dependence on crutches, gains the respect and admiration of all who know and observe him. Even Esch had to remark: "Es war merkwürdig, wie dieser Verfemte . . . auf seinen Krücken sich . . . dahinschwang . . . " (p. 213). The injustice of the cripple suffering in society arouses Esch's interest in America's police methods; examining a book about America, he concludes " . . . dass man dort keine Krüppel auf Geheiss lasterhafter Reeder einzukerkern pflegte; Martin sollte also mitkommen" (p. 275). To

Esch the injustice in society is again graphically symbolized by Geyring's dependence on crutches and his victimization by industrial and political forces; Esch senses the disjuncture between private virtue and public recognition.

That Broch intended a universal meaning and not an individual disability with Geyring's crutches seems indicated by the allusions to crutches in the third novel. Here the most conspicuous person on crutches is Gödicke, the wounded soldier who was literally snatched from the grave and thereafter boasted of his resurrection. Conscious of the difference between him and other mortals, Gödicke realizes this goes far beyond the physical damage done his body by the war:

> So ging er, auf zwei Stöcke gestützt . . . Der Maurer Ludwig Gödicke hatte sozusagen ein Gerüst für das Haus seiner Seele errichtet, und wenn er auf seine zwei Stöcke gestützt umherging, empfand er sich durchaus als ein Gerüst mit mancherlei Stützen und Streben . . . (p. 410)

The mute invalid finally discovers meaning at Samwald's funeral when he accepts resurrection as the ultimate reconciliation of life and death and as new hope for his own condition:

> . . . da stand, . . . gestützt auf seine zwei Stöcke . . . dieser Mann Gödicke . . . am Rande des Grabes . . . sprach mit grosser Anstrengung, trotzdem für alle vernehmlich, seine ersten Worte; er sagte: "Auferstanden von den Toten". Und hierauf legte er seine Stöcke beiseite . . . es geschah etwas völlig . . . Unerwartetes,--er schickte sich an, selber in die Grube zu steigen . . . und ein Bein hatte er

auch glücklich schon über den Rand hinausgebracht . . . (p. 502)

Ten times altogether Gödicke on his crutches appears in Huguenau,[76] each time obsessed with resurrection from the dead, his own accomplishment of this feat, and the eternal destruction of all who had not succeeded in it.

In the case of both Geyring and Gödicke the crutch was a distinctive mark of the man. It indicated not a handicap but a superiority. With his crutches Geyring was more effective than strong and whole men; with his crutches the deranged Gödicke nevertheless senses spiritual possibilities which endowed him with superior insight. We must, however, consider further references to crutches and especially to their figurative use to draw a final conclusion about them.

These concern Major Pasenow and Esch.[77] The former is, in the third novel, of advanced age and uses a cane for support when he walks, even duplicating his father's eccentricities of speech and gait--external signs of his youth serve as a mirror of his inner ancestral commitments. Esch requires the support of a chair as Pasenow enters the Bible study meeting; yet he is a robust man. This suggests that the motif conveys a sense of non-ful-

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[76] Cf. GW II, 500, 501, 502, 563, 564, 565, 643.

[77] Cf. GW II, 559 and 582.

fillment and inadequacy, a failure of personality to realize itself.

At the conclusion of the second novel Esch reminds himself that in life there can only be an illusion of apprehending the absolute truth: ". . . er wusste . . . dass wir hier auf Erden alle auf Krücken unsern Pfad zu gehen haben" (p. 365). This remark follows at some distance Esch's reflection when the "evil" Bertrand led him rapidly through his garden:[78] " . . . doch war es Esch oft, als müsste der Leichte auf Krücken gehen" (p. 325). The statement associates crutches with separation from the source of life. It is consistent with Esch's sense of his finiteness and of the persistent handicap of baffling human existence. Esch's wisdom at the end of the second novel consists in recognizing this limitation as a universal human characteristic; his judgment of Bertrand had been premature and too specific.

Symbolic use of crutches appears in the "Symposium" when Esch deduces from all his experience at different stages in life and from his recognition of the present local and world situation: "Die Wahrheit im Traum kommt auf Krücken . . . die ganze Welt geht auf Krücken . . . eine hinkende Missgeburt . . . " (p. 529).[79] Esch

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[78] Cf. p. 62 above.

[79] Cf. also a previous reference in Esch, GW II, 365.

Esch despairs of knowing truth in perfect form or of inhabiting a perfect world. As dreams distort and interchange elements and relationships of real life, so truth comes in imperfect patterns and the world struggles on handicapped by its inability to recognize and accept what is ultimate and absolute in the universe.

From these last few instances the crutch of the second and third novels appears to be a symbol of the human condition, of man's finite nature. His vision is limited, his fate is not to know final things until, as in Der Tod des Vergil, he stands at the portal of another world, powerless to apply his ultimate wisdom to the temporal world he has known. But in Geyring and Gödicke Broch presents the picture of man committed to striving in spite of his crippled situation. The former is dedicated to his personal role in realistic social action; the latter desperately reaches for a future which constantly recedes before his grasp.

As counterpoint to the pervasive Crutch motif, Gödicke appears in the midst of the conflagration and "streckte seine beiden Stöcke gegen den Himmel . . . man hätte meinen können, er jauchze" (p. 643). It seems he has found his new life as a reintegrated personality in

the holocaust which he assumes is an evidence of the final judgment and therefore the introduction to a transcendent immortality. Again Broch deals in the realities of the physical and spiritual worlds: the crutch still claims the species which, neither god nor beast, yet stumbles about in and between both their realms. Gödicke's desperate existence appears as a representative of tortured man inhabiting neither of two possible worlds.

Graphic examples of isolation have appeared throughout Die Schlafwandler in connection with the motifs already discussed. Pasenow's isolation in spite of his uniform was demonstrated by his fluctuating attitude toward Bertrand, his interior monologues, his filial and sexual relationships, his recourse to evangelical mysticism. Bertrand stepped away from his social guarantees to assert his individuality, although he comes almost inevitably to his own particular frustrated isolation before his violent death. Even the elder Pasenow tries to involve Bertrand in a discussion of anxiety; in spite of a "respectable" if lecherous life, the old man feels the torture of unfulfilled meaning in his life. The fact that Esch was an orphan provides only an external feature of his isolation complemented by his desperate search for social identity. Despite his virility and animal health he finally rejected the sensuous life as an inadequate support for human

existence.[80] For the thoughtful man isolation is inescapable; whether it signify anguish or fulfillment, it is the essential characteristic of the human creature, neither pure spirit nor mere body, yet possessing a measure of both.

This pervasive human characteristic essential of isolation appears sharply focused likewise in the motifs of Mignon, Trauma, The Bed, The Rebel (or Don Quixote), and in motifs of Ailing.

The Mignon Motif

The Mignon motif appears in its clearest form in the final novel, where we meet the waif Marguerite. She possesses the true Mignon characteristics of anonymity, homelessness, and yearning. Even in Pasenow the Mignon characteristics come into view in the person of Ruzena. Ruzena appears as a "böhmisches Mädchen", "Raubtier . . . in dessen Kehle der dunkle Schrei steckt . . .", "ein Wesen aus einer fremden Welt".[81] In Die Schlafwandler she remains homeless, parent-less, from an exotic eastern country. Her affair with Joachim gives her temperary security as an individual, but this soon vanishes as Mignon's

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[80] Huguenau on the other hand experienced no isolation because he embraced the material world and exploited it, immersing himself in finiteness rather than striving for the infinite.

[81] See GW II, 16, 17, 51.

security vanished with Wilhelm Meister's rejection of her love. Like a passing stranger Ruzena disappears only to reappear years later still vainly seeking an identity but affronted by Esch's attempt to recruit her for the "ladies' wrestling matches". Ruzena is once more swallowed up by the metropolis, alone in the crowd. Her sordid and violent experiences only confirm her desperate isolation.

Elisabeth is hardly a Mignon character and yet, stimulated by Bertrand's ideas, she glimpses a wider horizon with appealing places beyond her German environment. To Joachim she says: "'Warum lebt man hier? Im Süden gäbe es das ganze Jahr solche Tage . . . Ihr Freund hat recht; man muss reisen'" (p. 113). Elisabeth does marry Joachim and becomes mother of his children; her Mignon role was either banished or suppressed, but the yearning for a different fulfillment has been expressed. Elisabeth to some extent remained a soul lost in her isolation even while accommodating herself to her social environment, as in her lesser and more primitive way Ruzena had done.

In Esch a Mignon role is played by Ilona. She too is far from home, is inarticulate in the German language, and comes from an exotic country, at least in Esch's German proletarian eyes. She plays a perilous role opposite a knife-thrower. To Esch she seems to cry for emancipation. Ilona herself feels she has missed a better destiny as she views her life in retrospect under

the picture of Mary. And Ilona too like Ruzena fades from the story, her destiny unknown. Engulfed in the commercial and sensual life, Ilona yet conveys a sense of isolation and frustration typical of the Mignon role.

It might be said that in Huguenau the Salvation Army girl Marie also assumes a Mignon role, qualified by her complete dedication to religious service. Marie appears as an individual alone, her past and her family are unknown, she remains remote from the environment in which she moves, and finally she disappears from view, involved in her particular pursuit of destiny. Dr. Müller in the final chapter of the "Geschichte des Heilsarmeemädchens in Berlin" records:

> Dass ich bei diesen Streifzügen . . . niemals Marie getroffen habe, dass unter den Gesichtern niemals das ihre auftauchte, dass sie mir so völlig entschwunden ist, das enttäuscht mich kaum, denn sie war immer darauf gefasst gewesen, auf auswärtige Mission geschickt zu werden . . . (p. 660)

The most striking example of the Mignon character is Marguerite, the foster child of the Esches. Characterizations of her strongly suggest her literary descent from Goethe's Mignon:

> Marguerite war ein Kind, ein in einem Geschlechtsakt gezeugtes Kind, behaftet mit der Erbsünde und allein gelassen in der Sünde: es mag vorkommen, dass jemand ihm zunickt und es fragt, wie es heisse--aber solche flüchtige Anteilnahme wird es nicht mehr retten. (p. 571)

References to the sexual act, sin, guilt, and abandonment give Marguerite that air of desperate isolation which characterized the Mignon of Wilhelm Meister.

Marguerite's role in Huguenau is bound up with that of the renegade; when Huguenau first visits Esch he notices in a glance the child Marguerite and the sign on the printing shop: "Fremden ist der Eintritt verboten" (p. 387). Both at that time and later this seems to have a significance beyond the obvious warning against trespassing. Marguerite remains an outsider. Her mother has died, her father has been interned, she is eight years old but has not seen her father for four years. She has difficulties with the French language, as did Ruzena and Ilona with German--a typical Mignon characteristic. Marguerite too wants to leave the Esches, perhaps feeling her homelessness, and Esch says: ". . . sie ist ja fast wie ein Waisenkind" (p. 430). Huguenau encourages her to express dissatisfaction with her present home and suggests Belgium, another country, as a destination for both of them, homeless as they were.

In the mystical dialogue with Esch, the Major says:

> "Wir haben (Gott) verlassen und er hat uns allein gelassen . . . so allein, dass wir uns nicht mehr finden können." Esch sagte: "In der Einsamkeit eingekerkert". Das Kind sagte: "Man wird mich nicht finden können." (p. 525)

The child's naïve responses convey the poignancy of her isolation. At the conclusion of the conversation the child runs off and the men also leave: "Jeder nach einer andern Richtung" (p. 525). Marguerite had left by herself and her own words are a prediction of her fate in

Die Schlafwandler. The last mention of her occurs when Huguenau is returning to the printing establishment after his assassination of Esch. As he approached, he wondered: "Wo mag Marguerite stecken?" (p. 652). The girl makes no further appearance in the novel; she has vanished, as did Mignon, Ruzena, Elisabeth, Marie, and Ilona before her, each in her own way, in her own isolation and in her own search for a better life than the present situation offered.

The Trauma Motif

Isolation is further the nucleus of the "Zerspaltung" or Trauma motif which throws into relief the levels of man's experience. The human being lives in the City of Man, secularly, playing a social role; but he intuitively seeks the City of God, bound for a destiny far superior to his material and temporal circumstances. He lives simultaneously on three planes, the instinctual, the disciplined, and the sublimated; Freud calls them Id, Ego, and Super-Ego. The dominance of one plane at some point will create a conflict with the others; there will be a more or less serious convulsion of personality. When such a conflict assumes major proportions, sufficient to disturb the whole personality or cause a drastic change in behavior or thought, "Zerspaltung", a splitting, will take place. To avoid the technical implications of the term "split personality", we shall

use the broader term "Trauma" for this motif in the sense of the following definition:

> A psychological or emotional stress or blow that may produce disordered feelings or behavior; the state or condition of mental or emotional shock produced by such a stress or by a physical injury.[82]

Several of Broch's characters undergo traumatic experiences decisively affecting their personalities.

Before the beginning of the novel Bertrand made the break from social conformity to self-assertion. His conversation and behavior show no regret at his course. He does have a disorienting effect on Pasenow, although the latter considered himself invulnerable to attack from positions hostile to his conservative tradition and commitment. But Joachim is surprised to find himself planning a future for the Czech girl in connection with his own: "Eine Böhmin blieb sie ja trotzdem, ein Wesen aus einer fremden Welt. Wohin aber gehörte er selber? Wohin war er schon geglitten?" (p. 51). He seeks the cause of his unsettled behavior.

Suddenly Pasenow ponders the possibility that he has broken with his ingrained sense of decency, morality, and Christianity:

> Manches war in den letzten Tagen unsicher geworden und dies hing auf eine unerklärliche Weise mit Bertrand zusammen; es war irgendein Pfeiler des Lebens

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82 Webster's New International Dictionary, (Springfield, Mass. 1961).

> brüchig geworden, und wenn noch alles an seinem alten Platze stand, weil die Teile sich gegenseitig stützten, so war mit dem vagen Wunsche, dass auch das Gewölbe dieses Gleichgewichts noch bersten und die Stürzenden und Gleitenden unter sich begraben möge, zugleich die Furcht aufgekeimt, dass solches sich erfüllen werde, und es wuchs die Sehnsucht nach Festigkeit, Sicherheit und Ruhe. (p. 31)

Having become problematic to himself, Joachim projects guilt for his unorthodox behavior to Bertrand. Compulsively seeking Bertrand's company and advice, Joachim is torn between conformity and freedom within his own life: ". . . es bedurfte manchmal geradezu einer gewissen Anstrengung, an den Dingen ihr gewohntes Aussehen festzuhalten . . ." (p. 120). The extent of the dislocation of his usual perspective struck him when he began to view the people around him as narrow, blinded, and almost foolish. Bertrand's views have taken subtle but telling effect on him respecting the military life and its trappings, "das Zirkusmässige des Dienstes" (p. 120). He surprises himself with the implied challenge of his entire ordered life: ". . . eines Morgens vor dem Spiegel fragte er sich, warum er den Säbel eigentlich links tragen müsse" (p. 120). For all of this he blames Bertrand, who must be viewed as an alter ego vying for Joachim's soul.

The affair with Ruzena proved to be the objective experience which confronted Pasenow substantially with the personal implications of Bertrand's arguments against tradition. Between these two worldly voices, Bertrand's

and Ruzena's, Joachim feels crushed and insecure, aware that he has in part abandoned his own way of life.

> . . . er (wurde) erschrocken gewahr, dass er der verschwimmenden und verfliessenden Masse des Lebens nicht mehr habhaft zu werden vermochte und dass er immer rascher und immer tiefer in irre Hirngespinste glitt, und alles war unsicher geworden. (p. 121)

Joachim finally ends his associations with Ruzena and with Bertrand, returning to both military and provincial concepts of the ordered life. But his later life in Huguenau reveals that his problems were not finally resolved with his recommitment to his background and his career. In the final novel the familiar "sentimental inertia", a term distinctively Bertrand's, recurs and indicates Joachim's continuing dissatisfaction with the dual possibilities of conformity and freedom in life. His introductory editorial in the Trier newspaper also contains a disquieting quotation from Clausewitz:

> . . . im Dämmerlicht aller Erscheinung ist eine tiefe, klare Einsicht so schwer, dass ihr Wechsel begreiflicher und verzeihlicher wird. Es ist immer nur ein Ahnen und Herausfühlen der Wahrheit, nach dem gehandelt wird. (p. 449)

The advantages of age and experience now produce in Pasenow a troubled confirmation of the puzzlement he experienced as a young man about Bertrand's theories and way of life and his own deviation from a pre-established code.

Pasenow's defection from the pattern of his youth is completed with his lack of pride in his uniform during the World War: ". . . der Krieg . . . hatte unbemerkt

und doch immer fühlbarer dieses Lebens Grundlagen erschüttert . . ." (p. 450). Pasenow therefore makes his way back to the Augustinian concept of the City of God and commits himself to moral regeneration and evangelical pursuits on an individual rather then institutional basis. For Pasenow this is the third avenue, chosen in preference to an easy secularism or no-longer-valid traditionalism. The "Symposium" contains his findings: "Und die Gnade kommt über ihn und nimmt ihm die Angst, die Angst, sinnlos auf Erden gewandelt zu sein, unbelehrt und sinnlos und hilflos ins Nichts gehen zu müssen . . ." (p. 533).

Elisabeth's conversations with Bertrand also cause a disturbing conflict within her. Of the same tradition and class as Pasenow, she too is shaken by the contact with Bertrand; in him she feels a fresh personality independent of the demands and expectations of society:

> Sicherlich war es nicht ganz deutlich, aber es war eine Grenzscheide gezogen, und was einstens einheitlich gewesen, diese Welt des Geschlossenen, zerfiel, und die Eltern standen jenseits der Grenze. (p. 108)

She is ready to commit herself to Bertrand, but upon his unequivocal rejection of her Elisabeth returns without apparent personal disturbance to the course of life which leads her into marriage and family life with Pasenow. Her role in the trilogy ends with the first novel, and nothing can be said about her introspection or struggles with herself and her environment in later life. Ber-

trand's influence on her was disproportionate to his brief contact with her; her longer association with Joachim produced a settling effect, drawing her back into a familiar patriarchal social pattern.

In August Esch the traumatic experience begins with his discharge from the Nentwig firm. At this point Esch ceases to be a mere employee earning a livelihood and becomes a man with a cause, for he has discovered injustice in his own dismissal and in Nentwig's corrupt practices. This knowledge transforms him from a commercial bookkeeper to an adjudicator of social morality, a task he assumes with both dedication and confusion. Simultaneously he pursues his sensuous and sensual pleasures. The one restriction Esch placed upon himself he accounts for as follows: "Und Esch erschien es unanständig, heute, an Mutter Hentjens Geburtstag, Hurenlokale zu betreten . . ." (p. 289).

Esch is first presented as a man oriented to the senses; the way he compensated himself for the loss of his job speaks for the organization of his life: "Hinterher hatte er sich besoffen und mit einem Mädchen geschlafen . . ." (p. 173). When Broch introduces Lohberg into the story, the contrast between the two men is as striking as that between Ruzena and Elisabeth, Pasenow and Bertrand. Lohberg is effeminate, ascetic, abstemious, evangelical, Calvinistic, and a vegetarian. Esch is masculine, vigorous, repeatedly described as having the

face and teeth of a horse; besides his lust for sexual relations, he smokes, devours large portions of meat, and drinks wine.

Yet Esch is struck by the ideal of something more elevated which he seems to see in Mutter Hentjen, Lohberg, and Bertrand, but particularly in the exotic Ilona. So the Gospel which Esch hears through Lohberg's association with the Salvation Army becomes a theoretical base for Esch's mission to establish justice single-handedly, destroy the forces of evil, and secure the redemption of the spirit symbolized by Ilona and thus of humanity as well, symbolized by "der Sohn, der das Haus neu bauen darf."

Esch's two levels of personality are represented by his repeated sensual advances to the withered and prurient Erna Korn, whose characteristic "gelbe Zähne und die Zahnlücke links oben" (p. 199)[83] intimate the futility, sordidness, and frustration of Esch's association at this level; and by the sublimation of his sensual relationship with Mutter Hentjen. He considers this relationship a sacrifice by which Ilona will be redeemed and purified so that a new generation may be conceived (overcoming Ilona's sterility and justifying Frau Hentjen's survival of her husband). He has advanced from the Id to the Ego,

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[83] Cf. Freud (10th Lec.), pp. 164 and 172, on extraction of teeth as a symbol of "castration as a punishment for onanism".

to the point at which "nichts ist eindeutig . . ." (p. 215).[84]

In Huguenau we find Esch at yet a further stage in his change of personality. In the second novel he had moved from the sensuous to the social level; he now makes a further progression to the spiritual level, seeking as does Pasenow the meaning of his life in spiritual symbols.

Esch's progression from sensous self-satisfaction to realization of a moral purpose in life is characterized as follows:

> Wer gleich Esch noch im täglich-irdischen Leben steht, oder nur um ein sehr Geringes sich darüber hinausgehoben hat, vergisst leicht, dass es ein Reich der Erlösung gibt, dessen Bestand allerlei Irdisches ins Unsichere zieht, ja, dass es mit einem Male fragwürdig werden kann, ob man mit den Füssen geht, geschweige also, ob zwei Menschen miteinander schlafen. (p. 299)

Esch's sexual adventures are a thing of the past. His confused concepts of Ilona's redemption and Frau Hentjen's adoptive motherhood have given place to the routine life of the sober elderly husband. Instead of the eccentric behavior and aims of his earlier maturity Esch has committed himself to social and moral regeneration and the preaching of doomsday and the new creation. His life cycle draws to a fitting close: he had kicked

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[84] Cf. GW II, 54, where Bertrand tells Joachim: "Sie stellen zu eindeutige Fragen."

his way into the second novel with a rebellious quotation from Goethe's Götz von Berlichingen; his lusty era ran its course in the second novel; in the third novel his acute social-moral conscience is transformed into a social-religious conscience. With each step Esch renounces a segment of the world and time until at last he is committed to spirituality and timelessness; his personality has progressively advanced from creature self-satisfaction through social accommodation to sublimation and self-renunciation.[85]

Like Pasenow and Elisabeth he owed his traumatic changes in some measure to Bertrand, whom he had engaged in mystical and philosophical conversation during the visit at Badenweiler. And like Pasenow he was driven to an independent search for the truth, for meaning and hope in human life. To the major he expressed it so: "'Auf den Sozialismus kommt's nicht an, Herr Major . . . auf das neue Leben kommt es an . . . auf das gemeinsame Suchen nach dem Glauben'" (p. 407).

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[85] In contrast to the changing Esch, Balthasar Korn continues at the same primitive level: "Der Lärm, den der Mann Korn hiebei verursachte, war ausserordentlich gross, sein Leib und seine Stimme erfüllten den Raum immer mehr und mehr, erfüllten ihn bis zum Rande, ja all das Irdische und Fleischliche von Korns heisshungrigem Gehaben, es quoll über das Zimmer hinaus, drohte die ganze Welt übermächtig zu erfüllen, aufquoll das Vergangene und Unabänderliche, alles andere verdrängend, die Hoffnung erstickend". GW II, 332-333.

Consistent with the pace of the trilogy, fragmented rather than transformed personalities appear in Huguenau, and their rate of fragmentation increases in proportion to the speed of the disintegration of values, greatly accelerated by war. That the social-moral dilemma is magnified in the individual personality Broch expresses at some length in his first essay on "Zerfall der Werte" where the specific term "Zerspaltung" first occurs in connection with the mass inhumanity of war and the individual's acquiescent involvement in it:

> . . . es ist eine Zerspaltung des Gesamtlebens und Erlebens, die viel tiefer reicht als eine Scheidung nach Einzelindividuen, eine Zerspaltung, die in das Einzelindividuum und in seine einheitliche Wirklichkeit selber hinablangt. Ach, wir wissen von unserer eigenen Zerspaltung und wir vermögen doch nicht, sie zu deuten . . . Wir selbst, wir halten uns für normal, weil ungeachtet der Zerspaltung unserer Seele, alles in uns nach logischen Motiven abläuft. (p. 403)

In the case of Ludwig Gödicke a personality was shattered, almost extinguished by the war, and then reconstituted. He serves as a clear-cut example of the radical break from superficiality necessary for the individual to establish his existence as a human being rather than simply an organic entity. The traumatic nature of his "resurrection" is expressed as follows:

> . . . es war jetzt . . . als würde Ludwig Gödicke die Stücke seiner Seele bloss einzeln zurückerhalten . . . Und es mochte . . . gewesen sein, dass der Schmerz einer in Atome zerrissenen und zerstäubten Seele, die wieder in die Einheit gezwungen wird, grösser ist als jeder andere Schmerz . . . ärger als alle körperlichen Qualen, die den Prozess begleiten. (p. 378)

Gödicke here stands as a parable of modern man confronted within his life span by the death of meaning and the necessity for its renewal.[86] "So lag der Landwehrmann Gödicke . . . und . . . versammelte sich seine Seele . . . qualvoll um sein Ich" (p. 378). He is a Lazarus returned to life, sifted through the sands of mortality and reincarnated to face the world with the spirit of immortality. In all his eventual grossness, aggressiveness, and self-esteem Gödicke yet remains an example of a man who sloughed off a lesser self in favor of a newly motivated personality. The spiritual and psychological difficulties involved in such a change are expressed as follows by Broch:

> Denn es mag schon sein, dass es mit der Seele nicht anders ist als mit einem Protoplasma, in dem man durch Zerschneiden die Häufung von Zellkernen und damit Regionen von selbständig intakten Eigenleben zu erzeugen vermag. Wie immer dem auch sei, und wie immer es entstanden sein möge; es lebten in der Seele Gödickes vielerlei selbständige und intakte Spaltungsleben, von denen man eigentlich jedes einzelne als Gödicke bezeichnen durfte, und es war eine mühselige und kaum zu bewältigende Arbeit, sie alle unter einen Hut zu bringen. Diese Arbeit musste der Maurer Gödicke ganz allein vollbringen . . . (p. 436) [87]

Lt. Jaretzki and Hanna Wendling in the third novel also undergo traumatic change. Jaretzki at the battle front was exposed to gas and had an arm amputated as a result. For Jaretzki this is a bitter joke, since

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[86] See also GW II, 409, on Gödicke's reorientation to life.

[87] See also GW II, 465, on Gödicke's struggle for identity.

he feels the justice of his loss, for he has thrown a grenade between an enemy soldier's legs. In a reversion to the Old Testament code, he considers the judgment on him a just one. In his convalescence he is much taken up with the thought of how his loss will affect his sexual relations; he makes a crude Freudian joke of his lost arm: "Er (zog) den leeren Ärmel aus der Tasche, liess ihn vor Schwester Mathildes langer Nase hin- und herbaumeln: 'Keusch und leer!'" (p. 551).

Although Jaretzki is by no means a mystic he does on occasion lay aside his cynical mask and show an understanding of the split between the old and the new for the individual:

> ". . . und Sie glauben, dass Sie so einfach wieder nach Hause fahren werden . . . als ob nichts gewesen wäre? . . . Wissen Sie, Schwester . . . ich bin ganz nüchtern . . . aber es ist meine innerste Überzeugung: so richtig nach Hause kommt keiner mehr". (p. 577)

Jaretzki as a convalescent and an amputee knows that life will be different for him; not only is he physically different, he is isolated from society in a special sense as well as from his own past. His isolation is the theme of all his conversation. Jaretzki is finally committed to an institution for the mentally disturbed.

Hanna Wendling is as withdrawn from reality in a passive sense as Gödicke was in an active sense, and her life was transformed in a negative way by the war

much as Jaretzki's was. Jaretzki's loss of an arm and the accompanying sense of guilt and atonement were no less traumatic than Hanna's long separation from her husband and her retreat from both past and present reality into a world of trance. The introductory section of her story presents Hanna as a woman only slightly related to normal human life; aside from egoistic inclinations she has only tentative plans and thoughts of others including her own family:

> Für einen Menschen, der nur durch sehr schwache und für ihn kaum vorhandene Fäden mit dem verbunden ist, was man oder er selber das Leben nennt, ist das morgendliche Aufstehen stets eine schwere Aufgabe . . . Und Hanna Wendling, die das Unausweichliche des Tages wieder herannahen fühlte, bekam Kopfweh. (p. 389)

When Broch reintroduces the Hanna Wendling story he stresses her isolation from the world around her and the progressive falling away of the dimensions of reality:

> Das Leben in seiner Vielfalt von Dimensionen, es verlor in diesem besonderen Fall eine Dimension nach der andern, ja, es füllte kaum mehr die drei Dimensionen des Raumes aus: man konnte mit Fug sagen, dass die Träume Hanna Wendlings plasticher und bluterfüllter waren als ihre Wachheit. (p. 403)

Broch writes then of the difference between the apparent relaxation of her life and the tension which may arise within the segments of the apparently relaxed life:

> . . . so lag die eigentümliche Spannung ihres Wesens . . . wohl aber in der Diskrepanz zwischen dieser so vielfach schattierten Oberfläche und dem unerschütterlichen und unbewegten Meeresgrund ihrer Seele . . . es war jene Diskrepanz, in deren Unendlichkeit das gespannteste Spiel der Seele abspielt . . . eine fluktuierende Spannung, da auf der einen Seite das Leben steht, auf der andern aber die Ewigkeit, die

> der Meeresgrund der Seele und des Lebens ist. (p. 404)

Hanna Wendling's personality experiences an ultimate division of reality and ideality which in her case meant the rejection of the reality she saw about her, the war and its consequences, even the social origins of the world she lived in as evidenced by her aversion to her own native surroundings: "Es war ein Leben, weitgehend aller Substanz entleert . . ." (p. 404).

Hanna Wendling felt estranged from the objective world around her, avoided social contacts, had difficulty identifying herself as an entity or as the mother of her son, and thought of her husband by his formal title and in the third person. Awaiting his return on furlough, she thinks for a moment that order may again come into her life: ". . . so ahnte sie mit gleicher Intensität, dass solche Ordnung nie mehr zu finden sein werde" (p. 462). This is the same kind of conviction Jaretzki and Gödicke express: a division had arisen between what had been and what would be, a division affecting not only society in general but each individual in his particular isolation and estrangement. Hanna Wendling embraces her isolated existence and fears the intrusion of her husband into the charmed realm: ". . . warum konnten sie sich nicht ewig so sitzenbleiben, beruhigt eingeordnet in eine reinliche und kühle Welt!" (p. 463). This is a picture of a mother with her child, withdrawn in unworldly isolation

in mute challenge to the origin and issue of life itself.

Hanna's disoriented personality becomes very evident in her evaluation of the time spent with her husband:

> Das physische Ereignis als welches sie diese sechswöchige Urlaubszeit sohin mit Fug bezeichnen durfte, stellte sich jetzt in ihrem Geiste wie eine Verengung ihres Lebensstromes dar, wie eine Verengung ihres Ichs; es war wie ein Eindämmern ihres Ichs in die Grenzen der Körperlichkeit gewesen, wie ein schäumendes Hindurchpressen eines Flusses durch eine Klamm. (p. 588)

Hanna's last appearance in the novel shows a macabre scene at night as she wards off pillagers frightened by the apparition of Hanna advancing at the head of her servants. From this stark scene Broch produces a symbolic picture of isolation as the rioters retreat:

> Hanna indes ging auf ihrem Wege weiter, und als sie beim Zaun war, da streckte sie die Hände zwischen den Stäben hindurch wie durch das Gitter eines Fensters und als wollte sie einem Scheidenden winken. (p. 652)

Hanna Wendling dies the next day of pneumonia, severed finally from the few remaining earthly ties and events. For Hanna this was the confirmation of an earlier choice whose fulfillment had been delayed by her existence in time and space.

The Trauma motif focuses on the psychic transformations experienced by individuals suddenly confronted by the challenge of the unaccustomed and the futility of externally imposed solutions. For some the challenge leads to reintegration, for others to disintegration, for all it involves a recognition of existential isolation

and a decision either to act, to relapse into withdrawal, or to suppress the crisis by external conformity. The Trauma motif in Die Schlafwandler converted the problem of institutional decay into one of individual survival.

The Bed Motif

The bed provides an additional motif illustrating the isolation of the individual. The bed is variously presented as the focus of sudden passion, of sensuality, of mating; it also functions as the womb where those in need of rest, healing, and protection find refuge; in some cases the bed seems to represent all of existence, where past and future find realization in the present, where anxiety, comfort, birth, love, and death are at home. The bed is also seen in a negative light as the site of the unwholesome in contrast to the vigorous and healthy.[88]

The bed as the place of passion appears in the case of each of the principals in the trilogy, Pasenow, Esch, and Huguenau. After their ride during which Joachim and Ruzena experienced "ein Kuss, der eine Stunde und vierzehn Minuten währte" (p. 39), the two repair to Ruzena's quarters where in passion they possess each

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[88] Cf. Goncharov's Oblomov, whose listless title-character resists getting out of bed in the first 150 pages of the novel.

other.

Broch describes in some detail the disrobing in the three scenes--one in each novel--where passion seems to predominate rather than instinctive sensuality or mating. The woman takes the initiative in disrobing. In each case the scene is that of the first sexual union of the parties involved, indicating that psychologically and physically there was more involved than either simple sensuality or the mating instinct. The anxiety and desperation, the uncertainty and the need of the individual were predominant; although the sexual act involved a second party, it was paradoxically evidence of the isolation of the principal and his search for fulfillment: ". . . oh, Erlösung ihr Lächeln, mit dem sie das Bett aufschlug, in das sie stürzten" (p. 40).

Esch's experience on the proletarian level is much the same as Pasenow's. After the return from their Rhein trip, Esch overcomes Frau Hentjen and "sie erschlaffte unter seinem keuchenden Drängen" (p. 273). Then follows her disrobing: ". . . (sie) half, wo es ihm nicht gelang, selber nach wie ein Delinquent, der selber dem Henker behilflich ist . . ." (p. 273).[89] As with Pasenow, Esch feels in his union with her release from the confinement of his own ego. In the consummation of

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[89] Cf. Ruzena's similar urging of Pasenow, GW II, 39.

the act Esch supplements the passionately instinctive with the passionately reflective. Subordinating in his thoughts the sensual to the spiritual, he seeks in union the answer to his isolation.

Huguenau's habitual prurience and the opportunity afforded by Esch's absence during the rioting in town led to a sudden passion which surprised both Huguenau and Frau Esch and led to the rape of the latter. Then occurs a repetition of Frau Esch's experience with Esch: ". . . unter seinem keuchenden Drängen setzte sie ihm kaum mehr Widerstand entgegen. Wie ein Delinquent, der dem Henker selber behilflich ist, öffnete sie ihm die Hose . . ." (p. 645). Both individuals remained isolated even in their act of union, Frau Esch impatient to know of her husband's welfare and Huguenau asserting himself in opposition to Esch.

In these three situations the individual in his isolation receives prominence, each one desperate within himself and seeking a solution from the passionate embrace of another.

The bed as a place of pleasure for the senses receives much attention especially when Joachim and Ruzena explore and enjoy each other; Joachim's initial passion then gives way to sensual enjoyment and contentment. The experience is portrayed as Joachim's; in his isolation he discovers a satisfying environment: "Oh, Bangigkeit des Lebens, die aus dem lebendigen Fleisch strömt,

mit dem die Knochen überlagert sind, Weichheit der Haut . . . Oh, süsser Geruch der Haut . . . Rundung der Wange . . . " (p. 188). Pure sensuality speaks to Joachim's isolation as no intellectual or spiritual discourse had yet done.

Esch was assumed to be sharing Erna Korn's bed because her brother publicly refers to him as his brother-in-law. If Esch needed any external incentives Balthasar Korn's innuendoes, Erna Korn's "Eidechsenblick" and her sexual-marital interest amply stimulated his bed-thoughts about Erna, who slyly enticed him without submitting to him. Her object was matrimony. When her marriage to Lohberg is assured, her submission to Esch likewise becomes natural; for Esch it is a purely sensual satisfaction which he carefully distinguishes from his relationship with Frau Hentjen: ". . . es (war) eigentlich nicht einmal eine richtige Untreue; einer solchen Frau kann man eben nicht so leicht untreu werden. Trotzdem blieb's eine Schweinerei" (p. 305). Esch rationalizes only up to a point; his forthright recognition of reality maintains his credibility as bookkeeper of righteousness; his isolation is neither destroyed nor assuaged by his experience in Erna Korn's bed.

The sensual use of the bed is also mentioned in the first of the essays entitled "Zerfall der Werte". Broch here asks how the individual can reconcile his ideology with the concept and reality of death in wartime; part

of his suggested reply follows: ". . . man mag antworten, dass der Durchschnittsmensch, dessen Leben zwischen Futtertrog und Bett dahinläuft, überhaupt keine Ideologie besitze . . ." (p. 402). Broch here expresses the theory of hunger for food and sex as the common denominator of all men; they are sensuous interests which exclude concern for ethical values. The stress is upon man in his isolation, his individual existence, and his need for whatever meaning he can find. This view of life is reflected in Kuhlenbeck's quip to Tielden, who has said her husband will soon come home on furlough; Kuhlenbeck replies: "' . . . da werden die Betten wackeln'. Frau Tielden errötete unter dem braunen Leder ihres Gesichtes. Die andern lachten los. Und Frau Tielden lachte mit" (p. 459).

The same sort of salacious thought occurs to Huguenau as he observes Frau Esch in her husband's presence and ascribes avid sexuality to Frau Esch.[90] This was the seed for Huguenau's eventual rape of Frau Esch; isolated from the Esch family, he was also isolated from conventional sexual life; his more profound isolation from humanity was demonstrated by his predatory disposition of both Esch and Esch's wife.

In the major's company Huguenau makes gross comments

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[90] Cf. p. 171 above and GW II, 478.

openly about Esch and his wife in bed, revealing his continuing obsession with sensual and murderous thoughts.[91]

The bed as a place of mating in contrast to sheer passion or mere sensuality is brought into close focus by Joachim as he views the Baddensens' bedroom. In his straitlaced way he is overcome with the sight of the two beds adjoining each other:

> Bett an Bett, bereit zur Sexualfunktion der Baronin, die er nun zwar nicht nackt, aber undamenhaft und wie aufgerissen vor sich sah, stand dieses Schlafzimmer, und dies Zimmer erschien ihm nun urplötzlich als der Mittelpunkt des Hauses, als sein versteckter und doch öffentlich sichtbarer Altar, um den alles andere herumgebaut war. (p. 33)

To Joachim this seems a denial of chastity and Christianity, although obviously the Baddensens are a married couple and parents of the girl he plans to marry. Joachim's private sensual affair in secrecy follows his puritan condemnation of the legal cohabitation of the Baddensens. He is consistent in his views to the extent that upon his own marriage to Elisabeth he feels he should stand guard at her door on their wedding night so that nothing would disturb her sleep and dreams. He cannot bring himself on his wedding night to mate with his wife; having made a guilt-ridden physical adjustment to Ruzena, he remained spiritually isolated from Elisabeth.

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[91] Cf. p. 174 above in connection with Oedipus complex.

The bed as a place for healing serves the elder Pasenow in his senility, Bertrand in his convalescence from a bullet wound, Gödicke in his recovery from the grave, and Hanna Wendling in her fever and death. Each of these finds himself in isolation not only physically in bed, but spiritually, experiencing uniquely some disposition of fate or Providence. The concept of rest in bed occurs frequently, first in connection with Esch's reverie in Mannheim following his visit to Bertrand in Badenweiler. Disturbed in his rest, the sleepless one moves unprepared in his thoughts out of the past into the future, without the intermediate pause that would renew rather than simply continue life.

Balthasar Korn rests in his bed and at the opposite end of the moral scale lies Marie of the Salvation Army; over both beds hang religious symbols, the Madonna and the Cross. The rest of an old and busy man is Dr. Kessel's: "' . . . woran soll ich noch denken . . . ich bin froh, wenn ich abends in mein Bett komme'" (p. 433). The bed is a no-man's-land of neutrality and withdrawal.

Closely associated with healing and rest as functions of the bed, yet more closely associated with the concept of motherhood and the womb is the function of protection ascribed to the bed in this trilogy. For Erna the bed was a retreat from unpleasant reality; it concealed her and yet offered hope for the future when she would share it with someone willing to marry her.

For Hanna Wendling, too, the bed was protection from a world she had ceased to desire; it protected her isolation. Especially with news of her husband's pending return, Hanna "blieb noch länger als sonst des Morgens im Bette liegen, wartend, fürchtend, dass der Heimkehrende, schmutzig und unrasiert, sofort von ihr Besitz ergreifen werde" (p. 461). This sentiment is repeated weeks later while she is still awaiting her husband's arrival.

For Gödicke the bed is not only a place of healing but a place of protection from his past; rejecting what he had been, he was roused to fury at news from home, thinking of his family as "dieser Eindringling . . . samt drei Kindern" (p. 466). Gödicke refuses to have his isolation violated, the bed is his castle.

Huguenau thinks of Frau Esch as his mother and bed as protection amid the rioting and danger in the town; when he finds she is in the house, he thinks she will put him to bed as a child. Huguenau's jest about being adopted by the Esches was not entirely facetious; he was a lone stranger and renegade who had developed filial feelings toward Frau Esch. At this troubled time Huguenau indicated relief at the absence of Esch and his sense of being "home" with Frau Esch--an obvious retreat to childhood where the father has no share in the joint life of mother and child. Huguenau's psychological sense of isolation is reinforced by the physical disorder and danger about him in the town; hence he seeks relief from

both in the mother-figure of Frau Esch tending him in bed.

This was not a new concept of the bed for Huguenau. Early in the third novel, having found a room in Trier, Huguenau was gay and content in spite of his uncertain situation:

> Jedenfalls fühlte sich Huguenau nicht als sorgenbedruckter Geschäftsreisender, sondern als ein fröhlicher und leichtbeschwingter Tourist, da er mit etwas dumpfem Kopf sein Bett aufsuchte. (p. 377)

Huguenau uses the bed for commercial scheming; the bed becomes the spawning ground of his malicious plans. After the first enthusiasm of controlling the newspaper Huguenau loses interest and becomes fonder of his bed as a protection and comfort against the world outside.[92]

The bed as the general focus of all life is pictured in a number of instances, the first being Joachim's impression of the Baddensens' bed as the orgiastic center of a chaste and pious community; he generalizes:

> So werden abends überall die Betten für die Herrschaft gerichtet mit den Laken, die so heuchlerisch glatt in der Wäschekammer gefaltet werden, und das Gesinde und die Kinder wissen, wofür dies geschieht; überall schlafen Dienerschaft und Kinder keusch und ungepaart um den gepaarten Mittelpunkt des Hauses herum, sie keusch und fromm, dennoch im Dienst und Befehl der Unkeuschen und Schamlosen. (p. 34)

For Erna Korn the bed was of great importance as the scene of a hoped-for love which would erase her anxiety

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92 See GW II, 421, 469.

about old age and approaching death. She hoped the partner she would have in bed would save her from the isolated dying she daily experienced; in this respect Erna was the reverse of Hanna Wendling, who looked upon her bed as either a retreat from life or experience of death. Erna looked upon it as a love-nest to which she might entice a mate and break the spell of dreary isolation.

Esch, too, with his sensual and mystic use of Frau Hentjen sought release, renewal, and redemptive sacrifice in bed with her. He dreamed of a new race springing from his loins; he dreamed of the purification of Ilona through his own renunciation of her and physical commitment to Frau Hentjen; the bed was to be all-important, even for renewing the aging Frau Hentjen by casting out from her memory and her soul the image of her deceased husband. For Esch the bed was the focal point of existence where a fruitless past and restless present might eventuate in a future affording purity.

Dr. Müller in his associations with the Salvation Army girl views the bed as an instrument of joy: ". . . tanzt ihr beide, tanzt nach Jerusalem, tanzt in mein Bett . . ." (p. 526). This statement assumes a spiritualization of physical union, a joyful participation in creation, a Hebrew view of earthly life.

Quite the opposite was Hanna Wendling's experience upon the return of her husband; the bed became central in their reunion but in a divisive way:

> Nacht für Nacht war sie die Geliebte dieses Mannes. Und ihr Tagewerk, auch bisher nur ein verwischtes Hinhuschen des Bewusstseins, das dem Abend und dem Bett entgegendämmerte, es war jetzt noch viel eindeutiger solchem Ziele zugewandt, in einer erschreckenden Eindeutigkeit, die kaum mehr Verliebtheit genannt werden durfte, so hart, so glücklos war alles in dem Wissen um das Frau-Sein und Mann-Sein eingetaucht: eine Seligkeit ohne Lächeln, eine geradezu anatomische Seligkeit, die für ein Rechtsanwaltsehepaar teils zu göttlich, teils zu unwürdig war. (p. 568)

Central as the bed was in their temporary relationship, it served to emphasize their separateness and individual frustration.

Aside from Joachim's puritanic judgment of the Baddensens and all married couples, a few condemnations of the bed appear in the trilogy. Esch feels superior to Lohberg, Erna, and Ilona, who share beds but lack character: "Er fühlte sich stark, fest und wohlbestellt . . . " (p. 309).

The other rejection of the bed and its pleasures occurred at Ilona's leave-taking of Balthasar Korn. She rued the lust which drove her into bed with one man after another; she recognized the futility of sensuality as a means to personal fulfillment:

> Sie betrachtete Korn und fand in seinem Gesicht nichts von dem, was sie suchte; seine behaarten Fäuste lagen auf der Decke und waren niemals zart und jung gewesen. Es graute ihr vor seinem rotbeleuchteten fleischigen Antlitz . . . (p. 352)

Esch and Ilona as renunciants both reach a level of spirituality which temporarily glorifies their isolation. For both at a certain moment the bed spelled

death rather than life and pollution rather than redemption.

Throughout the trilogy the bed was represented in various recognizable roles: as cradle of infancy, as the scene of passion, of sensuality, of mating, as the center of life, as the symbol of birth, life, and death; and finally as the unwholesome negation of vigor, health, and purity. In each case the individuals involved found no ease for their souls, no lessening of their individual torments or of their detachment from the rest of mankind. Rather, the bed symbolized their isolation; in bed the person was ensconced in his coffin, as in the case of Hanna Wendling; or in the cradle of infancy as in the case of Huguenau. When sharing the bed with another, the individual felt perhaps more keenly than ever the doom of existence, the futility of seeking loss of identity and release from pain; the bedmates remained two suffering individuals inaccessible to each other, aware only of the shadows thwarting clarity of vision between birth and death.

The Rebel Motif

It will be seen that Esch in his role of moral bookkeeper detached himself from society and exercised judgment on his fellows: approbation for Geyring, Frau Hentjen, and Ilona; condemnation for Nentwig, Bertrand, and Balthasar Korn. The record of Esch's judicial role

in the novel began with his discovery of Nentwig's corruptness; at that point he began his mission to achieve social justice by applying penalties on the guilty to balance the wrong suffered by the innocent. This task occupies Esch throughout the second novel and is not far removed from the role of the rebel.

Esch is so identified in the third novel. Broch elaborates in Esch's honor the meaning of the term "rebel" and further links Esch's name and role to that of Martin Luther and Don Quixote. This means a measure of vindication for the man who had applied the painstaking principles and methods of the bookkeeper to the social relationships he experienced and observed. His isolation from the community was inevitable, for the ledger was always out of balance:

> . . . er wird zum asketischen und leidenschaftlichen Eiferer, ja, er wird zum Rebellen. Der Schatten des Todes hat sich auf ihn herabgesenkt . . . so wird sein Leben zum aufreibenden Kampfe gegen eine Wirklichkeit, die für ihn Unwirklichkeit ist. (p. 396)

As editor Esch cannot accept the government's propaganda about the war; he feels compelled to engage in a prolonged crusade against the authorities who disseminate propaganda as if it represented reality. This comes about in a natural way when Esch stops his subscription to news services and assumes more direct control of news gathering and printing; he then discovers the difference between reality and propaganda, and the die is cast:

Esch enters the battle as a crusading rebel. Weaving Esch the bookkeeper into the image of Don Quixote, Broch writes:

> . . . unnachgiebig und zornig wird er auf seinem Platze stehen, ein hagerer Ritter, der mit seiner eingelegten Lanze Angriff um Angriff reiten muss zu Ehren der Rechnung, die in der Welt glatt aufgehen soll. (p. 397)

Not only Esch's code of honor as a bookkeeper but also the suspicion and abuse he drew upon himself by printing factual if unfavorable news isolated him. Even in the second novel he had stood with the oppressed class of Martin Geyring and Ilona, and in his flights of imagination did isolate himself from the prosaic world about him. In the third novel, however, realizing as an editor the victimized condition of the masses, Esch assumes almost heroic stature as he remains loyal to his concept of justice in spite of his vulnerable position in town. Esch becomes a rebel from necessity; he had no wish to be flamboyant or martyred; he simply found his accountant's integrity in irreconcilable conflict with the social and political world of his time. Therefore he followed the Luther-Quixote role: "Kein Wunder also, dass Herr Esch . . . ein Oppositioneller und ein Rebell wurde" (p. 398).

The indictment of gregarious society in the opinion of the detached individual comes to succinct expression when Huguenau meets the businessmen of the community as a first step in dispossessing Esch of the newspaper:

> Die Herren standen unter dem Eindruck, an einem geheimen Konventikel teilzunehmen, und es war gleichzeitig eine Art Fehmgericht, das über den Rebellen Esch abgehalten wurde. Und wenn Huguenau ein so überaus wohlgefälliges Ohr bei seinen Zuhörern fand, so lag dies nicht nur an seinem starken Willen, es zu gewinnen, . . . sondern es lag . . . daran, dass er kein Rebell war, vielmehr einer, der für sich und seine Tasche sorgte, und dass er damit die Sprache redete, die die anderen verstanden. (p. 420)

This passage provides a picture of the rebel and the conformist drawn by society's materialistic and institutional criteria.

In his fourth essay on "Zerfall der Werte", Broch distinguishes between the rebel and the criminal. Linking Esch with Martin Luther, Broch writes:

> Der Rebell steht allein: treuester Sohn der Gemeinschaft, die ihm Ziel der Opposition und Auflehnung ist, ist dem Rebellen die bekämpfte Welt eine Fülle lebendiger Beziehungen, deren Fäden bloss durch teuflische Bosheit in Verwirrung gebracht worden sind, und die zu entwirren und nach eigenem besserem Plane zu ordnen seine Aufgabe wird. So protestierte Luther gegen den Papst, und Esch war mit Fug als Rebell zu bezeichnen. (p. 444)

Those lines further confirm Esch's isolation from his community, an isolation experienced in different ways and for different reasons by other characters in the trilogy who subscribed to an ideal which lay beyond the realities of their situation.[93] Esch's distinctiveness

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[93] Even Pasenow, adherent of church, society, and government, experienced the isolation of bewilderment when the war, to which his career had been devoted, defied Clausewitz' principle: "dass zu den Waffen des Krieges der Geist der Gerechtigkeit gehört . . . " The use of poison gas in the war transformed Pasenow from militarist to evangelist. (Cf. GW. II, 447.)

lay in his active assumption of a role which increased his distance from the conventional standard-bearers of society; yet he aggressively sought to annihilate his own isolation by involving the entire community in the struggle for justice and truth.

The references to Martin Luther were not an idle analogy. Esch's general affinity for Luther's independent judgment and bold action led him also to speculate about the appropriateness of the Protestant faith as a path to the justice he was seeking. To this end he sought the major's instruction in Protestantism, stepping away in this manner from the institutionalism and hierarchical distances of Roman Catholicism. Protestantism, Esch's intuition suggested, offered a return to immediate involvement in ultimate truth and the exercise of independent judgment in faith and morals. Pasenow's doctrine suits Esch's soul:

> So begann der Major erst zögernd . . .von der Führerschaft Luthers zu erzählen, in dessen Nachfolge keiner verzweifeln müsse . . . denn ein jeder trage das Fünklein im Seelengrunde, und . . . keiner ist von der Gnade ausgeschlossen, dürfe doch jeder, der in der Gnade ist, hinausgehen, das Heil zu predigen. Und jeder, der in das eigene Herz sich versenkt, wird die Wahrheit erkennen und den Weg; und er wird wohl auch diesen Weg zur Klarheit finden und . . . beschreiten. (p. 509)

Esch's isolation is not that of retreat or withdrawal from society; it is an approach to permanent and reliable standards which may incidentally create distance between him and institutional society. Since society

will not join him in his search for meaning and value in life, Esch will commit himself to isolation rather than abandoning his own urge for the transfiguration of finite life in the light of infinity. A rebel against society, like Don Quixote and Martin Luther he is a crusader for neglected values of the past, the reavowal of which he considers essential for the redemption of society and its guarantee for the future.

Esch's revolutionary destiny was clearly intimated from the first page of the second novel when he mentally adopted the role of Götz von Berlichingen (p. 173). This specific rebellion against his individual fate was broadened by the end of the first chapter to a general rebellion against the injustice of society as he had observed it in the imprisonment of Martin Geyring and the victimization of Ilona. Thus at the end of the first chapter he is disillusioned with Mannheim as he had been with Cologne. From this social perspective Esch then gradually achieved a spiritual and metaphysical perspective which strengthened his rebel's spirit, forcing him by degrees into an isolation which was only to be released by death itself. His final virtue lay in exposing rather than solving the problems of the sleep-walking generation.

The Ailment Complex

A final aspect of man's detachment from society and

the world about him involves motifs indicating the individual's ailing condition. These can be subsumed under three headings: sentimental inertia, the omniscient physician, and sleepwalking.[94]

Sentimental Inertia

Sentimental Inertia becomes a minor but persistent motif characterized as a dangerous inertia of emotion preventing appropriate action. It is first used to describe Joachim's own attitude in the first novel; as a servant of the state and a member of the church and of a rigid social caste Pasenow was unaware of his fellow-creatures, unconcerned with life about him, and largely incapable of the positive action required by situations he confronted. The phrase is again mentioned in connection with Joachim's mother whom he admires at the funeral of his brother because she appears to withstand the tragic event so well; however, as he reflects, Joachim finds an explanation: "Aber vielleicht lag das bloss an der Trägheit des Gefühls, die ihr eigentümlich war" (p. 44). It appears therefore that Pasenow is convention-bound by two historic forces, the patriarchal, represented by the state and the army; and the matri-

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94 "Trägheit des Gefühls" is rendered as "sentimental inertia" and signifies within the trilogy an immobilizing adherence to tradition and convention with a corresponding reluctance to acknowledge new possibilities and vital human relationships. "Trägheit des Herzens" also occurred in Caspar Hauser and suggests a tie between Jakob Wassermann and Broch.

archal, represented by custom, tradition, and by birth and nurture itself.

While the term was not at first specifically used in a pejorative sense, it is so used by Bertrand in lamenting a dueler's death:

> "Das Gefühl ist träge und daher so unverständlich grausam. Die Welt ist von der Trägheit des Gefühls beherrscht." Trägheit des Gefühls. Joachim war davon getroffen; war er nicht selber voller Trägheit des Gefühls: war es nicht strafbare Trägheit. . . Er sagte bestürzt: "Wollen Sie wirklich Ehre als Trägheit des Gefühls bezeichnen?" (p. 54)

From this point on Joachim is beset by a sense of guilt and inadequacy, reproaching himself for this inertia and passivity with respect to modern society and his benevolent but unfulfilled relationship with Ruzena: "Bertrand hatte einmal von einer vegetativen Indolenz gesprochen, in der die meisten Menschen lebten; das war wohl etwas Ähnliches wie jene Trägheit des Gefühls" (p. 65). Joachim accuses himself again, realizing that Bertrand unhampered by romantic inertia has done more for Ruzena. In these expressions Pasenow, himself the epitome of romanticism in a realistic and industrial age, comes to an unfavorable judgment on the ailment of a society of which he himself is a part; he senses by comparison with Bertrand a vital lack in his own personality, the inability to deal with basic human relations outside those very institutional patterns which have been exposed as inflexible and ineffective for his brother and his mistress.

Sentimental inertia is closely identified with Pasenow in both the first and third novels. When Major Pasenow publishes his editorial to celebrate the transfer of the newspaper, he includes a warning to the readers about the danger of such inertia, viewing it as a major threat to the supremacy of the white race and the survival of Western culture.

In his conversation with the doctors Major Pasenow tries to answer the question he had asked Bertrand decades before. Speaking out of context about the death of his son in the war, he asserts: "'Ehre ist nicht Trägheit des Gefühls'" (p. 464). The subsequent lines reveal that Pasenow means just the opposite; he cannot feel any longer that honor in the form of death in service of the emperor or the country is justifiable; his perspective is now, like Esch's, spiritual and evangelical: Render unto God what is God's before rendering unto Caesar what is his. So the elder Pasenow finds himself a victim of the code by which he had lived in spite of his youthful misgivings about its adequacy. His complete condemnation of this fatal inertia appears in the "Symposium" where he characterizes it as rejection of grace: ". . . doch wer das Gute nicht will, hat die Gnade verspielt . . . es ist die Sünde der Beharrung, die Trägheit des Gefühls" (p. 531). It has taken Pasenow about thirty years to assimilate the insight first gained from Bertrand.

Pasenow has defined this inertia as indolence, passivity, a threat to survival, and finally as sin. It was an isolating force in his own life; it separated individuals from the stream of culture and progress and prevented their involvement in vital social and political questions. These were the ailing people, detached from the lifestream of their time and therefore overtaken by the general deterioration and destruction they might have prevented by taking active responsibility in human affairs. Pasenow the romantic, the arch-conservative, comes in the final stages of his life to complete disillusionment with the static past and the voracious amorality of institutionalism with its enervating effect on individuals. Sentimental inertia assumes the proportions of a major diagnosis of an ailing society.

The Sleepwalking Motif

Another such diagnosis is represented by the title-motif "Schlafwandeln". The term occurs early when Joachim escorts Ruzena to her home: "Wie im Traume schon beide, schlafwandelnd sie hinaufstiegen" (p. 39). They were two individuals detached and detaching themselves from the world in their isolation and anxiety. Sex as an escape is also the implication of Frau Hentjen's momentary reflection as she ostensibly wards off Esch's aggressive approach: ". . . (es) gab für sie einen Augenblick schlafwandlerischer Besinnung: war sie es nicht

selber gewesen, die ihn hierher gelockt hatte?" (p. 272).

The mental retreat into the past and the yearning for the home of childhood imply detachment from the objective world in Broch's interposed essay in the third chapter of Esch:

> Wenn Wünsche und Ziele sich verdichten, wenn der Traum vorstösst zu den grossen Wendungen und Erschütterungen des Lebens, dann verengt sich der Weg zu dunkleren Schächten und der Vortraum des Todes senkt sich auf den, der bisher im Traume gewandelt hat . . .Der Mann, der in weiter Ferne nach seiner Frau sich sehnt oder auch nur nach der Heimat seiner Kindheit, steht am Beginn des Schlafwandelns. (p. 314)

This particular essay is much concerned with the concept of the child at home in the arms of the mother. Broch sketches in figurative but unmistakable terms the retreat of the individual from self-consciousness to prenatal unconsciousness:

> . . . sobald er sein Gesicht mit dem Mantel bedeckt hat . . . Er steht am Beginn des Schlafwandelns . . . schon steht er auf einer kleinen erstmaligen Staffel der Sehnsucht, denn er weiss es nicht mehr, wie er heisst. (p. 319)

Sleepwalking in each context represents a withdrawal from contemporary reality and schizoid retreat to infancy and to non-existence. This represents a more severe diagnosis of ailing society than the inertia which was at least passive in its non-involvement, whereas sleep-walking is the backward march into negation.

Huguenau's sleepwalking has an additional quality; he too is detached from society but in a predatory sense. Dwelling on the periphery of society, both as deserter

and opportunist, Huguenau skirts discovery and disaster like a wolf at the edge of civilization, proceeding with the sleepwalker's unconcern. Huguenau's sleepwalking is essentially a denial of the realities and values of his own life. But he thrives by evading and manipulating social values, whereas Esch is tortured by lack of respect for these values. Huguenau acts from the logic of the situation, instinctively but rationally. He adapts perfectly to the chaotic conditions around him. As Blanchot puts it: "Il tue par hasard et en saisissant l'occasion que lui offre le désordre des journées d'émeute." [95] He becomes a microcosm of the new chaos as Esch was of the old order. The two stand in juxtaposition to each other as did Pasenow and Bertrand, but there has been an intensification of the difference. The static positions of Pasenow and Bertrand have been supplanted by the active struggle for dominance between Esch and Huguenau. Afflicted with sleepwalking, both find it an obstacle to attaining their human freedom.

Another aspect of this ailment is revealed in Hanna Wendling whose degree of sleepwalking ranks between the endless journey of Esch and the limited goal of Huguenau. Hanna desires the blissful obliteration of all problems. For Hanna sleepwalking is the complete neutralization of

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[95] Maurice Blanchot, Le livre à venir (Gallimard, 1959), p. 141.

painful mortal existence. She rejects the entire spectrum of time, her past, the present, and the future; retreat from direct confrontation is her instinctive answer to events. She remains on the periphery of reality by mechanically fulfilling the minimum needs of survival and her maternal functions. She feels an affinity for Jaretzki who is likewise a dispossessed person, a soul in search of a personality.

The Mignon-figure Marguerite provides the ultimate example of sleepwalking into an unknown destiny. Near the end of the trilogy we read of her: ". . . das Schlafwandeln der Unendlichkeit ist über sie gekommen und wird sie nie mehr freigeben" (p. 630). No more is known of her fate. She remains the type of the completely abandoned, restless, and lost individual detached from the realities about her because she was never wholly involved in or claimed by them.

For Dr. Müller in the "Geschichte des Heilsarmeemädchens in Berlin", sleepwalking is a trance-like state which affords intimations of immortality and of infinite wisdom.[96] But his physical and mental condition is frail; he is tended to as if he were a patient. In the Jewish refugee hostel he remains "in einem glückhaften, fast euphorischen Schwebezustand, in dem alles Zukunft ist" (p. 610). He finds thought and life acceptable only in

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[96] "Bertrand personified thought itself, and demonstrates the Hegelian movement of the spirit toward self-consciousness." Dorrit C. Cohn, Die Schlafwandler: Elucidations of Hermann Broch's Trilogy (Stanford U., 1964), Abstract.

minute details. Only by escape from reality can he find any relief from the anomaly of free personality hobbled by external circumstances. His life is provisional, a middle state of suspense between a past and a future reality. In Bertrand Müller we may have a repentant Eduard von Bertrand. The aloof critic of the first two novels makes way for the "activist" involved, if vainly, in his immediate social milieu. Not unlike Hans Castorp, Bertrand emerges into society but must again retreat; both he and society are in a sleepwalking state. Both are ailing, and he must await a time when creative human relationships can overcome frustration for both the individual and society.

In other passages sleeping, dreaming, and sleepwalking are presented as the customary deluded state of the conventional citizen. This state is fraught with danger and chaos. Esch harkens back to his conversation with Bertrand years before: ". . . noch ist Mord und Gegenmord, und es wird erst Ordnung, wenn wir aufwachen . . ." (p. 530). Esch speaks here of a metaphysical or spiritual awakening and thereby characterizes the observed life of society as a delusion and a trance based on unreality, the substitution of slogans for ideals, euphemisms for truth. The major adds his statement a bit later: "Der Wahnsinnige ist wie der Träumer; er hat die falsche Wahrheit . . ." (p. 532). Both Esch and Pasenow

have abandoned their own dreamer's world as a step to self-realization. For Pasenow the ideal of civil justice and for Esch the ideal of social justice were unattainable without a renewal of personality expressed as ethical commitment. They exchanged society's authoritarianism for mystical and theological anthoritarianism. The projection of a new society into the future is an additional sign that neither Esch nor Pasenow was prepared for the assertion and exercise of personal freedom and responsibility as an immediate basis for a new ethical structure.

In the company of those likewise concerned Esch finally feels the surge of a new life and the elation of imminent release and redemption. In the gathering "Er fühlte sich . . . ein Kerl, den umzubringen sich schon verlohnte. Er streckte die Arme aus wie einer, der vom Schlafe aufwacht oder wie ein Gekreuzigter . . ." (p. 565). Esch has the saint's and martyr's complex. His spiritual condition surmounts and minimizes physical realities. He is filled with the personal mission to receive light and the prophet's mission to disseminate it. He refers to Isaiah 42:7 : "Dass du sollst öffnen die Augen . . ." To this Esch can devote himself. It can create meaning in his own life. Esch is caught up in a new stage of sleepwalking by reverting to an authoritarianism which absolves him from personal decision and

responsibility.

Sleepwalking has been used throughout the trilogy as a metaphor applied to particular evasions, distortions, or denials of reality; for the loss of rationality and order; for recourse to the institutional and the instinctual. Applied to various situations of passion, indifference, and greed, it portrays the general condition of mankind bereft of free personality. Sleepwalking represents also the futility of sex as a refuge, the futility of social reform without basic inner change, the futility of reliance on the institutions of society apart from integrity of conscience. As a diagnosis of society's ills, sleepwalking supplements the sentimental inertia which also represented a reluctance to confront the realities of change. The basic problem becomes the reconciliation of reason with intuition, reality with personality, correlation of the relative with the absolute. In his Anatomy of 20th Century Literature (p. 36), Horst has described the dilemma in Die Schlafwandler as follows:

> . . . the every-day man is no more than a mechanically adapted particle in relation to his environment, and the irrational forces which could have developed his mind no longer succeed in rising to the surface of his consciousness. Thus he is sleep-walking in a double sense; on the one hand as representative of the specialized, purposeful, sober activity of the professional man, and on the other as the plaything of irrational forces.

The sleepwalkers are not conscious of the potentiality of personality. Yet some are troubled by a sense of

frustration and longing. Seeking ways out of their ailment, they deal with the symptoms rather than the causes. But at least there is consciousness of ailing and glimmerings of possible recovery.

The Doctor Motif

That diagnosis takes place in the trilogy becomes apparent with the repeated references to doctors. The first occurrence of this term and situation is found with respect to the Joachim-Ruzena affair. Bertrand had taken a benevolent interest in the couple. From the context the reason is clear: Ruzena was "bohemian" in both her geographical origin and her human relationships; she would appeal for these reasons to Bertrand, for whom the conventional represented atavism. Joachim on the other hand attracted Bertrand's educative inclination; he was eager to see Joachim break through the bonds of tradition and convention. At one point Joachim, feeling the annoyance of envy when Bertrand arranges to find a different occupation for Ruzena, notices a "beinahe . . .ärztliche Haltung Bertrands" (p. 66). Joachim remains puzzled by Bertrand's cool friendliness, does not understand why Bertrand should want to see him again. It seems that Bertrand stands in the physician's relationship to Joachim; he will observe, diagnose, and prescribe for him, but with detachment and without responsibility.

Bertrand is again cast in the physician's role at

Stolpin when he, Elisabeth, and Joachim go riding together. Joachim considers that Bertrand would be a more appropriate companion for Elisabeth than he himself, for Bertrand was not carrying on a secret affair with Ruzena. Silently Joachim "begriff . . . auch, warum Bertrand ihn und Ruzena eigentlich stets etwas von oben herab, irgendwie onkelhaft oder wie ein Arzt behandelt hatte . . ." (p. 98). Here Joachim recognizes and accepts the superior wisdom and professional competence of Bertrand, the "doctor" who had become a father figure for him. Joachim no longer envies Bertrand his worldly wisdom but relies on it as a recourse for his own needs.

On another occasion Bertrand speaks frankly of Ruzena's economic future and Joachim chides him for his talk. "Bertrand antwortete: 'Man muss doch vorsorgen und man kann nur im Gesunden operieren. Jetzt ist noch Zeit dazu.' Wie ein Arzt sprach er" (p. 119). Bertrand is the only person in Pasenow who is not sleepwalking; his eyes are wide open, at least to mundane realities; not afflicted with either sentimental inertia or sleepwalking, he is in a good position to observe these and their effects in others and indeed to treat others for these ills. But he, too, eventually was overcome by the superficiality of his own social and spiritual health; a time came in Esch when the taunting phrase "Physician, heal thyself" might have been addressed to Bertrand. Nevertheless in the first novel Bertrand is relatively

competent to pass judgment on the social health of his peers.

Joachim both in his social constraint and his aberrant affair becomes aware of and receptive to the ministrations of the physician, be it Bertrand or his representative;[97] this is consistent with Joachim's role as a subordinate in family, church, and army. He is conditioned to obedience and needs a paternalistic authority at this point, being estranged from his natural father. He feels the benefit of his visit to the lawyer in a psychological way: "Er verliess das Büro des Rechtsanwalts diesmal mit einem besonders guten Gefühl, man könnte fast sagen, erhoben und gestärkt" (p. 140). This is the expression previously used to characterize his soul's condition upon leaving church (p. 47). The psychoanalyst replaces the clergyman.

Joachim's self-consciousness about his dependence only prepares the way for more revelations about himself to Bertrand as his father confessor, who in psychoanalytic fashion encourages him to speak openly: "Bertrand lächelte, und es war etwas von ärztlicher oder weiblicher Fürsorge in diesem Lächeln" (p. 142). The statement is significant for its combination of father-wisdom and mother-care [98] and for its sharp contrast of the two men.

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[97] Cf. GW II, 130, 139, 322 for additional instances of this motif.

[98] Cf. similar expression: GW II, 74.

Joachim is here shown as a child in need of both elemental nurture and intellectual independence, the maternal and paternal heritage. One might suggest that in Bertrand there existed the essential combination of doctor and nurse, again representing paternal and maternal endowments.

In Esch Bertrand maintains his role, heightened by his beardlessness, "wie ein Schauspieler". Visited by Esch, who intends to avenge Geyring's imprisonment with a denunciation of Bertrand, the latter receives Esch gravely and graciously; he too senses an analytical spirit and is reminded of a doctor. A break with reality was experienced by Joachim, and Bertrand became his mentor; Esch also dwells in two worlds, and Bertrand appears as a ministrant to him. As an orphan Esch too feels respect and even love for Bertrand as a superior being. Both Pasenow and Esch disapproved of Bertrand, but both recognized in him an analytical mind which threw light into the confusion and darkness of their struggle with reality. As a diagnostician Bertrand qualified because he was untrammeled by religion or tradition, thus did not suffer from the prejudices and biases afflicting Pasenow and Esch. He was a relatively free man intellectually; as such he appealed to the artificially restrained personalities of Pasenow and Esch. He spoke to their situation as a doctor to patients.

Pasenow in the third novel has vague recollections in the presence of the military doctors of past associations with a doctor. It is clear he is thinking of Bertrand as he asks himself:

> Warum war er (Pasenow) hergekommen? warum war er zu den Ärzten gekommen? fühlte er sich krank? er mochte Ärzte doch nicht leiden, sie sind alle Freigeister und unzuverlässig. Wissen nicht, was Ehre ist. (p. 605)

Pasenow has again sought the presence of doctors. Now in his old age he faced a crisis more profound than that of his youth but of the same quality: he was disillusioned with his career. Faced with new choices, he accepted the fanatical Esch in preference to the hypocritical Huguenau. In his bewildered state he again sought out doctors for clarification without quite understanding why.

As the evening progressed and music offered Pasenow time for reflection, his memory struggled with the person of Bertrand, whose name, however, does not come to mind:

> In seiner Jugend hatte er einen Freund gehabt, war es ein Freund gewesen? der hatte Geige gespielt, aber es war kein Arzt, obwohl er . . . mag sein, dass er Arzt gewesen war oder hatte werden wollen. (p. 606) [99]

So concludes the doctor motif. It represented throughout the trilogy an objective viewpoint and diagnosis of the ills of society. These ills continued throughout the periods represented, but the ills and the

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[99] Cf. GW II, 97.

periods lend themselves to generalization; the dates attached to the novels are incidental to the message of the trilogy. The persistence of the ills is represented by Pasenow's reappearance in the same role at the end of the trilogy that he occupied at the beginning as a frustrated individual caught in the net of tradition and society. And at every turn the individual was the reflection of society; sickness of the one resulted in sickness of the other. Finally Esch experienced the hope of spiritual and personal freedom; Pasenow remained on the edge of this freedom and at the end of the trilogy was helpless. Esch had been sent into another world by the hand of the predator. Both were beyond doctors' care.

Section 3: Motifs of Affirmation

The Utopia Complex of Motifs

Contrasting with motifs of isolation and social criticism is a series of motifs which can be identified as motifs of affirmation. Among these is a complex of Utopia motifs. The components of this complex are an idealized America, the countryside or unspoiled nature, the castle-park complex, and finally the fetish-like tokens cherished by Esch.

The America Motif

America is presented throughout the second and third novels as a place of escape, refuge, and new beginnings, in brief, Utopia. The idealization of America does not occur in the first novel since Pasenow's fervent patriotism and general conservatism do not admit of a better land elsewhere. Bertrand's intention of going to America produces the following reflection in Pasenow's mind: "Ja, Amerika,--Amerika war für Joachim stets das Land der ungeratenen, verstossenen und verkommenen Söhne gewesen . . ." (p. 27). For the caste-conscious Joachim America holds no promise or glamor, but in his reflection about America he already intimates that for the bourgeois and the proletarian America may have a greater appeal, as it does for Esch.

In the second novel the knife-thrower Teltscher introduces the thought of America as a better land: ". . .ich sitz' hier, wo ich lauter Prima-Engagements in Amerika haben könnt' . . ." (p. 200). Although his interest is commercial, Esch hears him talk of America in the presence of Ilona, to whose better future Esch is dedicated. As with all objective experience Esch appropriates those aspects which appeal to his temperament and intentions; Teltscher's talk sends him into a reverie:

> Teltscher indessen fuhr fort, von Amerika zu reden: drüben, fein, da könnte man hochkommen, da brauche man sich nicht wie hier umsonst zu schinden. Und er zitierte: "Amerika, du hast es besser." . . .Esch aber, von dem Gehörten überwältigt und nachdenklich gestimmt, . . . sah bloss von ferne . . . Korns gelbe Hand . . . auf der Achsel Ilonas . . . (p. 201)

That the idea of America has made a deep impression on Esch is evident from his later conversation with Lohberg, the proponent of the Poison motif, hence also a dissident in urban society.[100] Esch tells him of his dissatisfaction with his job and with the theatrical group and, upon Lohberg's query as to his hopes, Esch replies:

> "Weg nach Amerika". In einer illustrierten Zeitung hatte er Bilder aus New York gesehen; die stiegen jetzt auf . . . "Wenn ich mir das Fahrgeld rasch

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[100] Cf. p.139 ff. above.

> verdienen könnte, ziehe ich los." Er war selber erstaunt, dass er es ernst meinte und ernstlich zu rechnen begann. . . (p. 223)

These lines indicate both the conscious interest with which Esch had read about America and the subconscious intensity of his desire for a new and better environment after disillusionment with Cologne and Mannheim.

As Esch becomes increasingly embittered with his situation in Mannheim, he becomes more involved with the theatrical plan. This results in pity for the bookkeepers in his office whom he would like to advise to abandon their columns of figures and seek freedom, "gleich ihm und mit ihm nach Amerika auswandern . . ." (p. 233). Esch seems now mentally committed and conditioned to a complete break with the past and a new beginning in America.

The pursuit of his theatrical venture takes him back to Cologne. Asking himself why he should have gone back to that city, Esch suggests to himself, "weil Köln näher zum Meere lag?" (p. 239). In the reverie that follows Broch presents Esch's idea of a trip to America as an endless venture into the unknown devoid of actual physical destiny; America furnishes only a hypothetical distant goal towards which the ship will continuously sail, meanwhile sparing the traveler the disappointment of the anxieties and restrictions he had known elsewhere.

"America" thus stands for an idealized state of expectation not limited by the realities of either past or present experience.

So taken is Esch by his plan to go to America that he tries to have Frau Hentjen learn English while his business zeal is directed to accumulating the fare for the voyage. Concerned about his own release from sordid circumstances, Esch always rationalizes this desire by associating it with the "redemption" of Ilona from the commercial hands of Teltscher and the sensual ones of Korn. As he imagines himself leaving Germany's shores, it is not only his own new freedom but his rescue of Ilona that comes to mind: ". . .dann wird am Ufer vielleicht Ilona spazieren gehen und winken, sie selber blond, dennoch aller Gefahr entrückt, und die Wasserfläche wird immer breiter werden" (p. 278).

Esch's interest in America becomes an obsession as he meets frustration in his effort to have Geyring released. Procuring evidence of Bertrand's sex deviation, he also feels his relationship with Frau Hentjen is polluted with her experience and memory of the past with the deceased Herr Hentjen. His depressing experiences lead one night to his abrupt declaration to Frau Hentjen:

> "Wir fahren nach Amerika . . .Liebe ist nur in der Fremde möglich. Wenn man lieben will, muss man ein neues Leben beginnen und alles Alte vernichten. Erst in einem neuen, ganz fremden Leben, in dem alles Vergangene so tot ist, dass man es nicht einmal mehr zu vergessen braucht, können zwei Menschen so eins werden, dass es keine vergangene und überhaupt keine Zeit mehr für sie gibt." (p. 292)

This passage demonstrates how Esch, who needs concrete solutions even to abstract problems, creates Utopia out of a nebulous concept of America. A rebirth is possible only in America. Contributing to this Utopia had been whatever reports or legends of America Esch had heard, Teltscher's comments, the very distance which lent enchantment, and the Statue of Liberty which occupied a place in the Hentjen establishment and in Esch's mind. Thus America became Utopia because, knowing so little about it, Esch had no reason to limit his speculation about the transformation it could make in his life.

Esch also generalizes this concept of America. When Geyring casually suggests that Bertrand may be in America, Esch reacts mentally: ". . .also der Bertrand war in Amerika! war ihn zuvorgekommen, war früher drüben in der leuchtenden Freiheit . . ." (p. 312). Still venerating the man he plans to denounce, Esch suggests to Bertrand, when he finds him at Badenweiler, that he can yet escape to America.

Esch's interest in America returns when he finds that Bertrand has neither preceded him nor intends to flee

there. When Esch visits Martin after the Badenweiler trip, he tells him of his plan to emigrate. Esch is thinking literally as well as figuratively of his future in terms of distance from his present environment.

In the essay "Der Schlaflose" Broch clarifies Esch's constant return to the thought of America:

> In grösster Eile hetzt der Schlaflose seine Gedanken, um den Sinn der Frage zu finden, die von irgendwo, von fernher, vielleicht aus Amerika kommend, sich ihm aufgedrängt hat. Er spürt, dass es in seinem Kopfe eine Gegend gibt, die Amerika ist, eine Gegend, die nichts anderes ist, als der Platz der Zukunft in seinem Kopf, und die doch nicht existieren kann, solange die Vergangenheit so hemmungslos sich in die Zukunft stürzt, das Vernichtete in das Neue. (p. 338)

But for Esch America remains a concrete answer to his abstract problems of frustration and hope. Despairing of Frau Hentjen's understanding his goals, he thinks of America as a land of righteousness. Justice is Esch's passion, and since he sees so little of it about him and is so little able to effect it himself, he projects it to this far country and his own renewal there. Frau Hentjen had also entered his plans; by taking her to America he thought to destroy her memory of her deceased husband. And by a characteristic rationalization Esch felt his commitment to Frau Hentjen and their joint removal to America would "redeem" Ilona both from the contract with Telscher and from the sordid associations which had made her sterile. Therefore the approaching

bankruptcy of the whole theatrical venture depresses and dismays Esch:

> . . .sein Leben war dennoch auf das amerikanische Projekt gerichtet gewesen und er war nun aufs tiefste erschüttert, schien es ihm doch, als ob seiner Beziehung zu Mutter Hentjen der Boden abgegraben worden sei. Wohin sollte er mit ihr? . . .(p. 354)

When the fact of bankruptcy confronts Esch irrevocably, he draws the bitter conclusion which he had already anticipated: "Mit Amerika war's also Essig. Endgültig. Jetzt hiess es in Köln bleiben. Die Käfigtür war zugefallen. Man war eingesperrt. Die Fackel der Freiheit war erloschen . . ." (p. 356). Esch sees the shores of his Utopia receding into the background.

At the end of the second novel Esch makes peace with his fate. He consciously transforms the America ideal into a mental and spiritual one:

> . . . denn wird er Amerika auch kaum mehr zu Gesicht bekommen, er wird den Weg dorthin nicht mehr verlassen . . . und ein Wissen, schwebend zwischen Wunsch und Ahnung, sagt ihm, dass der Weg nur mehr Symbol und Andeutung eines höheren Weges ist, den man in Wirklichkeit zu gehen hat und für den jener bloss das irdische Spiegelbild ist . . . (p. 364)

Esch's accommodation to the failure of the America project became fully evident in the third novel in which he sublimates his personal frustration by transforming it into zeal for social justice.

But Esch is again beset by problems--official criticism and local suspicion of the way he manages and edits his newspaper. Thus in a conversation with Huguenau Esch

again despairs of his particular situation and desperately revives the thought of America. The dream of the old Utopia still flickers in Esch's brain.

In later years Esch can reflect with serenity on the idea of emigration to a Utopia. In his casual conversation with Liebel and Fendrich, Esch remarks: "'Früher meinte ich, dass man bloss fortmüsste . . . nach Amerika . . .damit man ein neues Leben beginnen kann . . . aber jetzt . . . man müsste sich zusammensetzen und die Bibel lesen . . .'" (p. 488). This is the last significant mention of America in the trilogy.[101]

The America motif has been revealed as both a concrete utopian concept and a symbol for any utopian region--simply a better place where the injustice and complexity of modern life could be forgotten in the enjoyment of order, justice, and a new start. For Esch America was a dream of heaven; its distance rather than attainability gave it charm and appeal. Esch spent his

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[101] In an argument with Gödicke, Esch taunts him about his ability to build "Wolkenkratzer in Amerika" (p. 565), a sudden revival of the kind of remarks Frau Hentjen made about America in her limited way (cf. p. 364).

Another casual reference occurs in the 13th section of the "Geschichte des Heilsarmeemädchens in Berlin"; in a reverie somewhat reminiscent of Hesse's Steppenwolf or the "Lebensgeschichten" at the conclusion of Glasperlenspiel, Broch writes: "Trugen Schiffe mich dorthin zu den Gestaden des fernen Ostens und des fernen Westens? war ich ein Baumwollpflücker in den Plantagen Amerikas . . . alles ist möglich, nichts ist unwahrscheinlich . . ." (p. 591). Cf. GW II, 158 f.

adult life looking for that perfect balance between good and bad, reward and punishment, which would correspond to his own bookkeeping ledgers. Finding equity neither in Cologne or Mannheim, he longed for America; and since that was out of the question, he turned to spiritualization and sought it in religion. In every case he was a man seeking a distant land far removed from the injustice and pollution of the world he knew.

The Nature and Park-Castle Motifs

Nature Motif

The Utopia motif is complemented by the Back-to-Nature motif in the first two novels. In Pasenow it is most prominent because the supposedly virtuous and conservative life in the country is in constant contrast with the corruptness and complexity of the city. To Bertrand's attack on religion Pasenow answers:

> "Wenn man, wie ich, auf dem Lande aufgewachsen ist, so steht man zu diesen Dingen doch anders. Auch unser Volk draussen ist dem Christlichen viel enger verbunden, als Sie anzunehmen scheinen". (p. 29)

Said with obvious pride, these lines intimate the superiority of life close to nature and the reliability of people living there.

In speaking of Pasenow's visit to the Baddensens' suburban cottage Broch writes of this retreat:

> . . .für jene Bevorzugten, die den räumlichen

> Nachteil solcherart sich mildern durften, war der Aufenthalt ein kleines ländliches Paradies, und Pasenow, die gepflegten Strassen zwischen den Villen durchschreitend, war von der Vorzüglichkeit dieser Wohngegend angenehm und herzlich durchdrungen. Manches war in den letzten Tagen unsicher geworden und dies hing auf eine unerklärliche Weise mit Bertrand zusammen . . . (p. 31)

The general reference to Paradise is reinforced by the psychological relief Pasenow feels in this remote setting --surcease from the turmoil of the urban world of which Bertrand has become the symbol and agent.

The conversation between Bertrand and Joachim concerning agriculture again reveals Pasenow's pride in the countryside and pity for such as Bertrand who lack the solid assurance of a landed estate. In Esch this thought was partially justified by Bertrand's withdrawal to a country estate after he had achieved wealth and business success. It is clear that Joachim considers country life utopian in comparison with urban living. This preference extends to Elisabeth, who reflects the virtues of the country life in contrast to Ruzena the city girl.[102]

Elisabeth herself reflects on the ordered world her father has provided on the country estate:

> . . . so schien es Elisabeth, als wünschte er mit fast weiblicher Fürsorge ihrer aller Leben zu einem immer grösseren eingefriedeten Park voll anmutiger

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[102] Cf. GW II, 33, 55, 64 for specific passages on the rural society.

> Raststationen zu machen und als wäre er erst am Ziele und von jeglicher Angst befreit, wenn sich der Park über die ganze Erde ausgebreitet haben würde, Ziel seiner selbst, Park zu sein, auf dass Elisabeth sich für immer in ihm ergehen möge. Zwar widersetzte sich manchmal etwas in ihr solch sanfter unentrinnbarer Verpflichtung, aber da die Auflehnung fast niemals sehr deutlich wurde, verfloss sie mit den sonnigen Konturen der Hügel, die draussen hinter der Einfriedung des Parkes lagen. (p. 74)

Her stirrings of self-assertion and the urge for personal freedom are only a faint intimation of the "irruption from below" both in society and in individuals. The ordered world of the father (earthly progenitor but also representative of God the Father) exercises on her life the grip of the benevolent despot. The inertia and social enslavement are no fault of Elisabeth, for custom lies heavy on her claims to personal freedom.

The same psychological commitment to the countryside as a reassuring world of reliable order is shown upon Joachim's return to Stolpin:

> Schon auf dem Weg vom Bahnhof . . . gleich nachdem sie . . . die ersten Gutsfelder erreicht hatten, war ein neues Gefühl überraschend in ihm aufgekeimt; er suchte nach einem Wort dafür und fand es: mein Besitz . . . er (war) mit einem neuen Heimatsgefühl ausgestattet. (p. 77)

The reflection accompanying Joachim's return to the countryside indicates more than "home" in a prosaic sense; it indicates Utopia, the ultimate and ideal place to be.

The immediate personal relationships existing in the rural area are emphasized by the elder Pasenow in

speaking of the pastor: "Hier auf dem Lande ist man ja aufeinander angewiesen . . ." (p. 89). This implies a happy contrast to the impersonality and industrial nature of the city, where even Joachim's love affair had its origins in the commercial night life of the city. It is also on the country estate of the Baddensens that Joachim and Bertrand hear the only music in the first novel; Joachim experiences its sublimity. The music, the people, and the place conspired to produce utopian contentment for Joachim.

In the second novel Lohberg expresses the idea that unsullied nature offers a Utopia to which man must flee to escape the poison of modern life: "'Erst, wenn die Menschen zur Natur zurückgefunden haben werden, werden sie sich nichts Böses mehr antun'" (p. 228). A few lines later Lohberg states that man's noble feelings can flourish only in the countryside: "'In Gott und in der göttlichen Natur ist alle Hoffnung'" (p. 229). No qualification of this utopian situation is expressed. Lohberg too is certain that the cure of civilization lies in its opposite, the state of nature and the immediate presence of the divine.

Lohberg's observations leave a deep impression on Esch even if he is superficially cynical about them: ". . . Lohbergs idiotisches Kauderwelsch von der Naturfreude kam ihm in den Sinn. . ." (p. 254). Taking

Frau Hentjen with him on a Rhine journey, Esch makes his first sexual approaches to Frau Hentjen--the beginning of his critical commitment to her. Given the routine circumstances in which Frau Hentjen conducted her business, this development could hardly have taken place in the city; it required the relative freedom of the natural environment. And to the extent that Esch was seeking a spiritual, psychological, and material home, this encounter in nature with Frau Hentjen provided him with a utopian experience.

The effect of Lohberg's words on Esch may also have contributed to the feeling of repose and security which Esch felt upon visiting Bertrand in his country retreat; here too he felt a utopian atmosphere: "...hell würden die Tage in Ruhe und Klarheit dahinfliessen . . ." (p. 325). This passage combines within it the motifs of the open countryside and the Park-Castle, for Esch is impressed also with the esthetics of the garden and the security of the house.

Park-Castle Motif

These are essentially the characteristics of the Park-Castle motif: the freedom and peace of nature and its denizens, and the protection and security of the castle within the natural setting. Although the Park-Castle motif is almost exclusive to the second novel, it

does appear early in the first novel when the elder Pasenow facetiously asks Ruzena: ". . .was soll ich dir als Morgengabe mitbringen . . . aber du musst mir sagen, wo dein Schloss steht . . ." (p. 18). The passage has overtones of lasciviousness which do not escape Joachim; nevertheless it does introduce the idea of Utopia in a limited way by its allusion to a remote place and the security of the castle.[103] The motif thus conceived in the elder Pasenow's licentious mind yet emerges as a utopian element rather than an erotic one.

Joachim finds his ideal, Elisabeth, in a Park setting: "Und in dem nebelstummen Park, der schon nach feuchtem Grase riecht, findet er Elisabeth . . ." (p. 25). As this is a reflection only and not a visual experience at the time of utterance, this statement establishes a connection between ideal womanhood and an ideal environment. This concept is further strengthened by reference to the Baddensens' suburban garden:

> Nun umfing ihn Geborgenheit des Gartens, dessen Zäune durch Hecken verdeckt waren . . . der Pluschfauteuil (im Garten). . . lobte die Freundlichkeit des Klimas und der zivilisierten Natur, die ihm solchen Verbleib gestattete . . . (p. 32)

In the Park-Castle motif, unlike the open countryside

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[103] The figure is completed in the second novel when Esch on his way to Müllheim laments: ". . .ach, nie wird das Schiff bei dem Schlosse anlegen, auf dem die Geliebte wohnt" (GW II, 316).

motif, there is no rejection of human involvement provided it be esthetic or harmonious with natural elements.

The idea of the castle within the park occurs to Joachim again as he thinks of Elisabeth returning to Lestow; he imagines her in a setting of manor house, park, and sheer order.[104] Here Joachim feels the manor house represents security, the park represents an esthetic ideal, and the harmonious concert of divine and human arrangements represents order.

This atmosphere reminiscent of Stifter is renewed as the Baddensens arrive at Lestow and see "mit grünen Wipfeln des Parkes umfriedete Natur . . ." (p. 73). While the women were absent, the baron had improved the house which was indeed their castle affording seclusion and security. The combined emphasis on improving nature outdoors and decorating the house within suggests both Stifter's Nachsommer and Goethe's Wahlverwandtschaften, in which similar ingenuity and devotion are applied to nature and home in utopian situations.

In the second novel Esch's first knowledge of Bertrand's retreat came from a description evoking scenes of Paradise--or Utopia: ". . .sein Schloss steht in einem grossen Park bei Badenweiler; Rehe äsen auf den

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[104] Cf. GW II, 64, 74, 76.

Wiesen und die seltensten Blumen senden ihre Düfte aus . . . dort wohnt er . . . niemand hat Zutritt . . ." (p. 282). The motif consistently presents the ideal of beauty, freedom, peace, and security. The same picture is elaborated with the presence of Ilona and a glorified castle:

> Rehe äsen unter mächtigen Bäumen und ein Mädchen, dessen Kleid von Pailletten flimmert, pflückt Blumen . . . Ganz ferne erblickt man die Lichter und die Verzierungen des prächtigen Schlosses, von dessen Zinnen die Fahne schwarz-weiss-rot weht. (p. 298)

For Esch this is the Utopia he is seeking. Similar language is used when Esch in a semiconscious state considers his relationship with Frau Hentjen and Ilona, committed to the one in order to redeem the other: "Er sah die Zinnen eines Schlosses vor sich, auf denen still die schwarze Fahne wehte . . . In dem Park ist ein Grab, ein Mädchengrab, Grab eines erdolchten Mädchens . . ." (p. 305). By these pictures Esch is describing a new world liberated from the mortality of the present world. He sees himself condemned to death and Ilona already dead; both are liberated from the unfavorable circumstances of this life. Their new environment is the Castle-Park area, contrasting with the urban, mercantile, corrupt environment of everyday life. This concept is reinforced by Esch's reflections at the little celebration he, Lohberg, and the Korns prepare in Mannheim.

When Teltscher later discloses his plan to take Ilona along on the trip to America, Esch mentally rejects the idea: ". . .im Bilde wird sie auf einem fernen, unerreichbaren Schloss wohnen, in dessen Park die Rehe äsen" (p. 346). Esch dreams of Ilona in Utopia, remote, secure, and redeemed from the sordidness of society. That his Utopia is a castle in the air is further illustrated by a passage near the end of the second novel:[105]

> . . .und so durfte er das Irdische immerhin wie von einer höheren Stufe aus betrachten, wie von einem lichteren Schloss, das über der Ebene sich erhebt, abgeschlossen gegen die Welt und doch spiegelnd ihr geöffnet . . . (p. 364)

Esch's Utopia involves the fulfillment of his deepest desires, justice for all, and freedom for Ilona through his own sacrifice as a dual demonstration of a new humanity creating a new world.

In the third novel there is no sustained continuation of the Park-Castle motif; however, Hanna Wendling's withdrawn mode of existence recalls the motif, particularly because she herself was alone, protected, and free, as Esch had imagined Ilona would be. Again the Stifter atmosphere is present in both the unique setting of the house and garden and in the affectionate description of the furnishings: "Beruhigt lag die grüne

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[105] Cf. GW II, 320.

Landschaft vor dem Haus, die weitausholende Senkung des Tales fing den Blick und lenkte ihn bis zum Waldesrand . . ." (p. 462). Hanna is already in a middle state between temporal and eternal existence, her ties with this world largely cut; experiencing a Utopia which she realizes will be violated by her husband, she longs to congeal it into permanence.[106]

Utopia as a secure retreat from the world is reflected in the sixth essay of "Zerfall der Werte" where we find, after a description of the inhuman logic of every activity, the remoteness and security of the Castle:

> Man kann sich dieser brutalen und aggressiven Logik, die aus allen Werten und Unwerten dieser Zeit hervorbricht, nicht entziehen, auch wenn man sich in die Einsamkeit eines Schlosses oder einer jüdischen Wohnung verkrochen hat . . . (p. 475)

A final evidence of this motif occurs in the thirteenth section of the "Geschichte des Heilsarmeemädchens in Berlin". Dr. Müller discusses his increasing passivity and his acceptance of rabbinical law as the final reality; he doubts his own past experience:

> . . . ich weiss nicht, ob ich gelebt habe oder ob es mir erzählt worden ist . . . alles ist möglich, nichts ist unwahrscheinlich, nicht einmal ein Schloss im Park wäre unwahrscheinlich . . . unerfüllbar die Sehnsucht, unerreichbar das gelobte Land, unsichtbar die immer grössere niemals erreichbare Helligkeit, und die Gemeinschaft, welche wir suchen, ist eine Gemeinschaft ohne Kraft,

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[106] Cf. p. 222 above.

> doch voll des bösen Willens . . . es blieb die Welt ein fremder Feind . . . (p. 591)

The concept of Utopia as a park and castle persists to this late point in the trilogy. It remains an unfulfilled dream but continues linked to the yearning for finality, insight, and serenity.

Tokens of Liberty as a Motif

Completing the Utopia complex of motifs are the tokens found in Frau Hentjen's inn: a small statue of Schiller and reproductions of the Eiffel Tower and the Statue of Liberty. The Eiffel Tower was part of Frau Hentjen's decor; the other ornaments were gifts from Esch.

The Eiffel Tower is casually introduced with mention of the sideboard: ". . . und auch ein Eiffelturm aus Bronze war dort zu sehen. Der Eiffelturm war mit einer schwarz-weiss-roten Fahne geschmückt . . ." (p. 174). This equipment comes often to attention and has a subconscious influence on Esch, for when he thinks later in the novel of the utopian castle, we find the "schwarz-weiss-rote Fahne" (p. 298) also attached to it. The banner seems to be a free-fluttering emblem rather than a nationalistic sign for Esch, as he never evinces patriotic feelings; the banner is colorful, it waves freely and as such is a decoration consistent with

other symbols of freedom; the French tower in the land of the French Revolution and the castle, the isolated retreat and fortress of the individual's freedom.

This identification of the tower with the castle comes clearly into view when Esch en route to Badenweiler stops over in Mannheim to visit the Korns. In the morning, still half asleep, Esch experiences visions of death and telescoping time:

> Er sah die Zinnen eines Schlosses vor sich, auf denen still die schwarze Fahne wehte, doch es mochte auch der Eiffelturm sein, denn wer vermag die Zukunft von der Vergangenheit zu unterscheiden! (p. 305)

Inasmuch as Frau Hentjen's inn was more a home for Esch than was any other place, it was not inappropriate that he have ambiguous feelings about the familiar place where the tower was and about the utopian castle for which he longed. It is clear that the Eiffel tower has significance for Esch and is associated with the castle and with the banner which is now a colorful emblem, now a black flag of mourning, but always free-flying in the heights.

In the first chapter of the second novel Esch called upon Goethe's "Götz von Berlichingen" (pp. 173 and 234). In the second chapter he embraced another freedom-fighter by presenting to Frau Hentjen upon his return from Mannheim a bronze miniature of the Mannheim

Schiller monument. This is no casual gift; Esch has thought of it as a suitable complement to the Eiffel tower statue: ". . .Esch deutete auf das Bord, von dem der Eiffelturm mit der schwarz-weiss-roten Fahne herunterschaute: es würde sich dort oben vielleicht ganz gut ausnehmen" (p. 236).

The small Statue of Liberty Esch later presented to Frau Hentjen was likewise not chosen planlessly. Much taken with the thought of America and the new life and freedom he associated with it, Esch becomes absorbed in the book Amerika heute und morgen, on the cover of which is stamped in gold a picture of this statue (p. 274). Frau Hentjen did not respond to this book as he had hoped, but later as a birthday gift Esch presented her with a small bronze Statue of Liberty: ". . .und das Geschenk dünkte ihm sinnig, nicht nur als Hinweis auf die amerikanische Zukunft, sondern auch als ein glückliches Pendant zu der Schillerstatue . . ." (p. 287).

This symbol of freedom and Utopia is the only one aside from a Badenweiler post card which survives the second novel and reappears in the third one. Huguenau's first survey of Esch's quarters reveals the bronze replica of the Statue of Liberty (p. 384). Its significance to Esch as a constant symbol of an unfulfilled

dream is indicated by its exclusion in the contract from the other property which passes into Huguenau's hands: "Die Freiheitsstatue und die Ansicht von Badenweiler wurden von Herrn Esch als Privateigentum reklamiert und aus dem Firmenvermögen ausgeschieden" (p. 438). Esch during his visit to Badenweiler had discovered there in the presence of Bertrand a Utopia where he would gladly have stayed--as he would gladly have gone to the America of the Statue of Liberty.

All three tokens occupy a common place in Frau Hentjen's inn when she brings the Schiller statuette from her room,

> . . .um es mitsamt der neuen Freiheitsstatue auf das Bord neben den Eiffelturm zu stellen. Da standen nun der Freiheitssänger, die amerikanische Statue und der französische Turm als Symbole einer Gesinnung, die Frau Hentjen nicht zu eigen war . . . (p. 288)

All three symbols had become profoundly meaningful for Esch: they were a present token of a liberated future; they represented a hope for a new life in a new environment.[107]

A final reference to the three tokens occurs when Esch, having returned to Mannheim from Badeweiler, found himself before the actual Schiller monument: "Von

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[107] See also GW II, 289, where Esch associates the door key Frau Hentjen has given him with the possibility of opening up a new life abroad.

fernher meldete sich Einsamkeit, und schliesslich stand er vor dem Schillerdenkmal und wäre zufrieden gewesen, wenn er daneben den Eiffelturm und die Freiheitsstatue gefunden hätte" (p. 329). The three tokens together have a common meaning for Esch: the freedom represented by revolutionary France, by revolutionary and young America, and by Schiller, apostle of freedom. They symbolize also removal from Germany. Frau Hentjen's ménage where these tokens resided would be hopefully a microcosm of a new and perfect world and life for Esch.

The "Ordnung" Complex of Motifs

The Judge and Redeemer Motifs

In the person of August Esch appear the contrasting and balancing motifs of The Judge and The Savior. These are the chief motifs contributing to the complex expressing concern with ideal order in the social and moral spheres. Minor motifs in this complex are the Doomsday motif and the Anarchy motif.

Esch assumes the role of judge as a corollary of his vocation as a bookkeeper. While his economic employment recedes more and more into the background, the ethical implications of book balancing become more prominent and finally absorb Esch's full attention and energy. He regards it as his task both to evaluate ethical imbalances

in society and to apply corrective measure. The Savior role Esch develops into a general or universal mission after he tried his hand at "saving" Ilona.

Both motifs involve the ethical and moral values of religion and the spiritual condition of man. As the trilogy draws to a close, the religious issue becomes predominant. From the point of view of Esch and Pasenow religious awakening is prerequisite to the survival and renewal of humanity. Esch is the central figure in both motifs.

Esch's first moral conflict concerns himself and his dismissal from Nentwig's employ. He considers it immoral to allow Nentwig to escape punishment for embezzlement; however, having already used his knowledge of Nentwig's guilt to obtain a laudatory letter of recommendation for himself, he feels constrained not to denounce Nentwig. Still bothered by the unpunished crime, he considers an anonymous letter to the police about it, but concludes: ". . .man konnte nicht eine Unanständigkeit durch eine andere auslöschen" (p. 183). Esch then proceeds to Mannheim to begin his new employment. It is typical that from the beginning of his moral predicament he succeeds by earnest rationalizing in reaching a conclusion convenient for his own purposes; the realities of the situation require of his limited perspective a compromise with his rigid principle of righteousness. But the

compromise is only reluctantly and indignantly achieved; a sense of frustration is evident in Esch's reaction to his own conclusion: ". . .er scherte sich einen Dreck um die Pfaffen und die Moral . . . So sind die Menschen; nun, Esch konnte es auch egal sein. Zu guter Letzt tat er das Vernünftigste. . ." (p. 183). But Esch was incapable of remaining indifferent to injustice; his temperament conditioned by his bookkeeper's vocation continued to thrust the problem of justice in human relations into a central position of concern.

Esch soon enough belies his own defiant statement. After he embarks on his new job, we find:

> Ja, Esch hatte einen guten Tausch gemacht, wenn auch die Gerechtigkeit dabei draufzahlte. Oft musste er denken--und es war das Einzige, was zu seiner Zufriedenheit fehlte--ob sich nicht doch ein Weg finden liesse, um die pflichtgebotene Anzeige zu erstatten; dann erst wäre alles in Ordnung. (p. 187)

Order was emphasized in an authoritarian way by the elder Pasenow, in a juridical sense by Esch.[108]

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[108] Three aspects of order are revealed in the following passages, the patriarchal, the social, and the moral:

When the senile elder Pasenow feels things are getting beyond his control, he orders family and guest: "'Dageblieben. . .Hier muss wieder Ordnung hereinkommen'" (p. 125).

In his conversation with Frau Hentjen about Geyring, Esch remarks: "'Ordnung muss sein . . .' . . . Frau Hentjen konnte nicht umhin beizupflichten: 'Ja. . . Ordnung muss sein. . .'" (p. 176).

(Continued on following page)

The bookkeeper-judge places himself under the rules he advocates. In Mannheim under the physical influence of Erna Korn and the emotional influence of Frau Hentjen his conscience is tried: ". . .er fühlte ein Schicksal über sich, das die Lanze zu drohender Strafe erhob, bereit zuzustossen, wenn er sich weiterhin wie ein Schwein benahm. . ." (p. 194). The conflict of the ideal and the real pursued Esch unceasingly.

Passing time in Lohberg's tobacco shop, Esch finds relief from dreary reality:

> Mann lobte dann die Ordnung, schimpfte auf den Dreck, in dem man selber zu schuften hatte; doch das war nicht ganz ernst gemeint, denn Esch wusste recht gut, dass man die schöne Ordnung, die er in seinen Büchern und Magazinslisten hielt, nicht auf die Stapelung von Kisten und Ballen und Fässern übertragen konnte, und mochte der Lagermeister noch so sehr dahinter sein. Hier im Laden dagegen herrschte eine seltsam beruhigende Geradlinigkeit . . . (p. 202)

But even in Lohberg's store Esch becomes aware of dissonance. The very person who lauds the simple life in the bosom of nature makes his living by selling goods he does not believe in to people whose habits he disapproves of, just as Frau Hentjen earns a living by serving disreputable customers. All of this inconsist-

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(Continued from preceding page.)

(108) Considering Nentwig's guilt, Esch reproaches himself: "Es war nicht in Ordnung, dass er das Zeugnis abgeschickt hatte, er hätte es dem Nentwig zurückstellen müssen. . ." (p. 178).

ency Esch considers "einen fürchterlichen Buchungsfehler" (p. 204).

The central injustice for Esch is the imprisonment of Martin Geyring. The alignment of police, industry, and particularly Bertrand's shipping firm against an innocent labor leader Esch can hardly believe, but then in his curious way he assumes guilt for the situation himself, both because he had not intervened at Geyring's arrest and because he had not delivered Nentwig to the police. Geyring, Esch reasons, was therefore a scapegoat to satisfy the agents of justice. Outraged at this turn of events, Esch combines the ideas of justice and salvation (the judge and savior roles) in his reaction: "Er wusste bloss, dass er Wein trinken müsse, um Ordnung in die Welt zu bringen . . ." (p. 218).[109]

When Erna complains about Ilona's accepting expensive gifts from Korn, Esch speaks of order, injustice, judg - ment, and redemption by vicarious atonement. Confronted by Ilona's devotion to Korn, Esch "renounces" her; thereafter Erna considers Lohberg a possible candidate for

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[109] That this is not a haphazard reference to wine but rather an intimation of Holy Communion or the Lord's Supper is suggested by two deliberate allusions in Huguenau (pp. 528 and 529). It is typical of Broch's significant motifs that they are casually introduced and then dramatically developed into complex, profound concepts. Cf. also p. 94 above.

marriage. This would leave Esch with no woman in Mannheim. Esch applies his accounting principles to the situation: "Das war gegen alle buchhalterische Regel, die bekanntlich zu jeder Post ihre Gegenpost verlangt" (p. 230). Pursuing the matter, however, Esch finds himself again guilty since by dallying with Erna he had been avoiding the greater "sacrifice" of marriage. Finding himself as guilty as Nentwig, he concludes: "Eine Unordnung, in der sich der Teufel auskennen mochte! Und ohne Ordnung in den Büchern gab es auch keine Ordnung in der Welt. . ." (p. 231).

Disillusioned with Mannheim and returning to Cologne, Esch is caught in a reverie concerning sea travel and escape from all the complexities of life: ". . .er glaubt nicht mehr an die Richtigkkeit der Addition von Kolonnen. . ." (p. 241). The Utopia motif begins to appear as an alternative to the continuing struggle for justice against heavy odds.

Esch's sense of order is also outraged by Oppenheimer's chaotic bookkeeping. From his vocational viewpoint Esch developed his critical judgments, his passion for justice, his mission to balance the accounts of society. Thus in the second novel Esch is still concerned with particulars. Oppenheimer's bad account books are a clear symbol of the deception Oppenheimer plans

with his acrobatic act: "(Esch) nahm es als neuerliches Zeichen für den anarchischen Zustand der Welt, in der keiner weiss, . . .ob er hüben oder drüben steht. . ." (p. 248).

Devoting his time to recruiting female wrestlers for the ultimate objective of freeing Ilona, Esch feels it is a matter of justice that Frau Hentjen also benefit from his efforts: "Doch die rechtschaffene Buchhaltung seiner Seele verlangte, dass auch Frau Hentjen ein Konto eingerichtet bekäme. . ." (p. 254).

So Esch continues to anticipate the perfect accounts which will eliminate all the injustice he sees about him. He will see that Telscher does not again engage Ilona: "Na, (Teltscher) wird schon anders reden, wenn einmal Ordnung gemacht sein wird" (p. 256). Esch is annoyed that Teltscher frequents Frau Hentjen's inn as Geyring used to do; yet this balances off in a sense, because the guilty Teltscher sits in Geyring's place, while the innocent Geyring sits in the guilty Nentwig's place: ". . .man kannte sich nicht aus, und trotzdem war es irgendwo in Ordnung" (p. 257). The newspapers also need "straightening out" when it came to employment notices: "Auch hier sollte man eigentlich Ordnung machen" (p. 260).

Esch's moral bookkeeping even permits him an

advantage over the law. He realizes that procuring female wrestlers also suitable for prostitution may not be quite legal; for Esch this is not entirely unproblematic, although he does not equate legality with morality. His bookkeeping gets him out of this dilemma:

> . . .und wenn es sich vielleicht etwas anrüchig anliess, was verschlug's: das Konto einer Polizei, die Unschuldige einkerkert, wurde damit ein wenig ausgeglichen. Eine Polizei, die im Dienste der Freiheit wirkt und die von den Reedern kein Geld nimmt, wird solche Richtigstellungen nicht zu gewärtigen haben. (p. 277)

Esch never neglects the problem and his solutions always consider the balance. Moreover in consonance with his admiration of Schiller he carefully and deliberately distinguishes between the law as an expression of the state and justice as an expression of morality: "Ja, so war wohl das Gesetz, wenn auch nicht die Gerechtigkeit" (p. 356).

Aside from Geyring's imprisonment Esch's main concern is Ilona's "redemption" from Telscher and Korn. This he plans to effect by another feat of bookkeeping, in this case his own "sacrifice" to Frau Hentjen:

> Und das Opfer musste sein, musste mit der Hingabe an die Alternde immer grösser wachsen, damit Ordnung in die Welt komme und Ilona vor den Messern geschützt werde, damit keine Seele mehr im Kerker zu schmachten hätte. (p. 293)

In Esch's mind his individual relationships merge into a composite problem of justice to which he holds the key

as bookkeeper-judge.

Again standing under his own judgment after Erna's capitulation, Esch brands his conduct as "Schweinerei". "Und warum? Weil man seine Rechnungen ohne Verzug ins Reine zu bringen hat . . ." (p. 305).

In similar fashion Esch translates all unpleasant situations into matters of moral accounting: observing Ilona with Korn, Esch foresees the solution: "Und so schade es war, dass der Tugendbold die Erna bekommen sollte, und sowenig Ilona je ahnen würde, dass nun eines Kontos Abschlussstrich gezogen wurde, es war Abschluss und Wendung . . ." (p. 333). Esch is consumed with the thought of distinguishing sacrifice and murder.[110] "Sehr scharf . . .will es durchdacht werden, denn nur zu bald schleicht sich wieder so ein Buchungsfehler ein" (p. 339). Concluding his reverie, Esch finds he must commit himself to Mutter Hentjen in order to "redeem" Ilona: ". . .und es ist wie eine verzwickte Buchungsaufgabe, die er endlich zur Lösung gebracht hat, und es ist sogar mehr als eine Buchungsaufgabe: die wahre Aufgabe der Liebe . . ." (p. 340).

After having denounced Bertrand to the police, Esch finds that Harry's death restores a proper balance of

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[110] An actual situation rather than a philosophic problem in Broch's Der Versucher.

action and reaction. Bertrand is dead, Herr Hentjen's picture has been removed from the sideboard, and Martin Geyring's martyrdom has been avenged: Esch considers himself the just judge at the center of all these favorable outcomes which at the same time relieve his conscience.

Esch's accounting has dealt with murder and reprisal ever since his visit to Bertrand. It flashes into his mind at the news of Harry's death and pursues him even into advanced years, when his remarks to Major Pasenow in the third novel represent a transition from a goal of literal and immediate justice to one of eventual justice in another world.[111] This transition becomes evident toward the close of the second novel when Esch faces the hard realities of his life and relationships; "America" has by that time become a verbal symbol for a higher plateau free of the discrepancies he finds in every experience.

In Huguenau Esch's modified mission in life is carefully delineated. The constancy of his basic aim and perspective but also the compromise with reality which age and experience thrust upon him appear in the following passage:

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[111] Cf. GW II, 530; also p.249 above.

> Denn ein Buchhalter, und gar ein Oberbuchhalter, ist ein Mensch, der innerhalb eigener und ausserordentlich präziser Ordnungen lebt, Ordnungen, die so präzis sind, dass sie ihm von keiner andern Betätigung je wieder geboten werden können. Gestützt und gefestigt durch solche Ordnungen ist er gewohnt, in einer machtvollen und dennoch demütigen Welt zu leben, in der jedes Ding seinen Platz hat . . .Er wendet die Seiten des Hauptbuchs und vergleicht sie mit denen des Journals und das Saldokontos; lückenlose Brücken führen hinüber und herüber, sichern das Leben und das Tagewerk. . . . . .
> Immer wird der Buchhalter für das Gerechte streiten, er wird um einen Pfennig durch alle Instanzen Prozess führen, wenn solche Forderung in seinen Büchern steht, und ohne eigentlich ein guter Mensch zu sein, wird er sich zum Anwalt des gebeugten Rechtes aufschwingen, sobald er das Unrecht und die Gesetzwidrigkeit erkannt und registriert hat . . . (p. 394 f.)

This view of Esch characterizes his role in the third novel as the challenger of the state and its propaganda through the medium of his newspaper. His role as bookkeeper and judge continues, his naïveté continues, but his horizon is wider. Because his goals are not now personally related to a Martin Geyring or an Ilona, Esch is committed to a long-range fight for social justice and for righteousness.

Major Pasenow's editorial makes a dramatic impression on Esch. It becomes the new focus for Esch's spiritual zeal. To Huguenau he says: "'Sie sollten nicht so reden . . . an der Bibel ist doch was dran. Lesen Sie nur mal den Artikel des Majors'" (p. 456). In the article Esch finds new hope for a just social order and a way

out of confusing complexity:

> . . .(es) schien, als dürfte jetzt Ordnung werden. Die Welt war geteilt in Gut und Böse, in Soll und Haben, in Schwarz und Weiss, und wenn es auch vorkommen möchte, dass ein Buchungsfehler unterlief, so war er auszumerzen, und man wird ihn ausmerzen. (p. 458) [112]

At a time when Esch felt depressed and desperate, Pasenow's article confirmed him in his judge's role. When Esch requested that the major conduct a Bible study group, Pasenow himself feels the logic of Esch's accounting: "Es war klar: Esch präsentierte eine Rechnung, wenn auch nur eine seelische . . ." (p. 507). This is the role Esch plays to the end of the third novel. He reveres Pasenow who in turn finds in Esch the strength and simplicity he had sought in Bertrand:

> . . .eher war es ihm, als würde Esch mit leichter Hand alles in Ordnung bringen können, als würden Eschs Züge, unkenntlich fast in dem Dämmerlicht, zu seltsam dämmeriger Landschaft mit dem ganzen Raum verschmolzen sein, und durch das dröhnende Lachen schimmerte ihm eine Seele . . . Seele des Bruders, dennoch keine Einzelseele, dennoch nicht in der Nachbarschaft, sondern wie eine unendlich ferne Heimat. (p. 564)

The Savior Motif

Closely allied to his role as a judge establishing order is Esch's role as Savior (Erlösermotif). In Biblical terms Esch therefore assumes both the Old

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[112] Cf. GW II, 455: "die Welt schied sich ihm in Schwarz und Weiss . . ."

Testament role of Jehovah the righteous judge, and the New Testament role of Christ the Son of God, by his sacrifice redeeming man from the judgment of the Father.

Early in the second novel Esch is struck by Ilona's posture in the knife-throwing act; her outstretched and upreaching arms give her in Esch's eyes "das Aussehen einer Gekreuzigten" (p. 192). Observing the act and now thinking of Ilona as the crucified one, Esch as a martyr-savior advances mentally to her rescue: "Fast hätte Esch die Arme selber gegen den Himmel erhoben, selber gekreuzigt, hätte er gewünscht, vor der Zarten zu stehen, mit eigenem Körper die drohenden Messer aufzufangen . . ." (p. 192).

Accompanying Lohberg to a Salvation Army meeting, Esch again has a vision of himself as the savior of Ilona: ". . .er sah Ilona vor sich, . . .zu ihm emporschauend und seines erlösenden Zeichens harrend . . . Halleluja zu rufen" (p. 206).

Esch is convinced that order in the moral universe can be brought about only by sacrifice, and with an accountant's rectitude he is eager to pay the full price with his own person, as he has no money to offer the theatrical undertaking.

In his sacrificial attitude[113] Esch has the example of Martin whose imprisonment seems to Esch "um des blossen Opfers willen. Vielleicht musste man sich erst opfern, damit man die Gnade der Erlösung erfahren könne" (p. 253). Irritated by the newspapers and by the injustice done Geyring, Esch is stimulated and strengthened in his redemptive role.

Also conscious of his mission to save Ilona from her fate by his own sacrifice[114] Esch in effect symbolically saves her and her virginity (the Madonna-figure) from male associations by himself renouncing her and committing himself to Mutter Hentjen.

> Und wie er jetzt mit Frau Hentjen im Staub der Landstrasse watete, statt mit einem der schönen Mädchen im Grase zu liegen, da war es ihm sogar auch recht, dass diese Frau ihn für das Opfer keinen Dank wissen würde. . . ein feiner Mensch leidet schweigend. (p. 266)

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[113] Esch's obsession with guilt, punishment, sacrifice, and death is no doubt related to the persistent yearning for rebirth and innocence. Broch has stated: "Jede Strafe ist . . . Symbol der Todesstrafe, jedes Gefängnis ist Symbol des Grabes." GW IX (Massenpsychologie), 209. Esch identifies himself with the imprisoned Geyring, the "crucified" Ilona, the "guilty" Bertrand. Redemption is his theme in each case. Cf. also GW II, 260.

[114] Esch envisions himself as Savior but also realizes that this role may provide his own salvation. Later this hope is transferred to "der Sohn" who is to come. Cf. GW II, 214, 253, 273.

Esch's intended salvation is both specific in the figures of Martin and Ilona and general for all victims of injustice. Esch considers himself the central sacrificial figure in this great purge, ". . .damit der Stand der Unschuld allem Lebendigen wieder geschenkt werde, . . ." (p. 293).

To Martin in jail Esch expresses his bewilderment and his determination:

> Mann weiss ohnehin nicht mehr, was schwarz und was weiss ist . . . Für die Zukunft opferst du dich auf; das hast du selber gesagt. . .das ist das Einzige, was bleibt: für die Zukunft sich aufopfern und Sühne für das, was geschehen ist; ein anständiger Mensch opfert sich, sonst gibt es keine Ordnung. (p. 313)

This sentiment is echoed by Bertrand in Badenweiler. His mystic and prophetic words appeal to Esch, he accepts them as his own convictions and feels he has found a home with Bertrand, whose downfall he must nevertheless insure. Bertrand implanted the thought of a future "Erlöser":[115]

> Viele müssen sterben, viele müssen geopfert werden, damit Platz für den erkennenden liebenden Erlöser geschaffen werde. Und erst sein Opfertod erlöst die Welt zum Stand der neuen Unschuld. (p. 324)

As a sleepwalker interrupted by sleeplessness Esch resumes the monumental task of salvation:

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[115] Cf. also GW II, 479, 565, 602.

> . . .bloss einer trägt das Opfer für das neue Leben und für die Ordnung einer Welt, in der nicht mehr mit Messern geschmissen werden darf. . . Er. . . war nicht tot und ihm oblag es, Ilona zu retten. (p. 339)

But after some reflection Esch adopts Bertrand's view of a future savior and projects himself as the progenitor through the rejuvenated Mutter Hentjen: ". . .lebend wieder ihr Schoss, jenen zu gebären, der die Welt aufrichten wird" (p. 339).

The second novel ends with Esch's hopes for justice unfulfilled. In spite of his new life with Frau Hentjen he feels his sacrifice has not been radical enough. Much remains undone for the redemption of Ilona. Esch finally comes back to the origin of his dream of salvation, grace, and sacrifice:

> Auf einer Bank zu stehen . . .und zu singen, ja, das war vielleicht das Richtige, von der gefangenen Seele zu singen, die durch die Kraft der erlösenden Liebe befreit wird. Sie mochten schon recht haben, die Heilsarmeeidioten, dass man vor allem den Weg zur wahren vollkommenen Liebe finden muss. Selbst die Fackel der Freiheit vermag wohl, nicht zur Erlösung zu leuchten . . . (p. 362)

The Savior motif is resumed in the third novel. The first sign of it is negative, consisting of a remark by Huguenau about a picture of a crucifixion he had seen as a child, "und Kreuzigungen liebte er nicht" (p. 371). This intimates early in the novel a character antagonistic to Esch, who reveled in the thought of sacrifice symbolized by a cross. Huguenau was a criminal deserter

fearing punishment, Esch was the voluntary redeemer welcoming sacrifice: "Sinnlos jede Flucht, freiwillig müssen wir die Haft auf uns nehmen . . ." (p. 562).

A second indirect intimation of this motif occurs in the second section of the "Heilsarmeemädchens Geschichte":

> Und überm Bett das braune Kruzifix,/Hier kniete sie und dankte für die Plage/ Und sah nach oben, harrte des Geschicks, / Das ihr der Kreuzesmann vom Himmel würde bringen. (p. 412)

This passage affords the extreme opposite of Huguenau's view and calls to mind Esch's original inspiration at the Salvation Army meeting with Lohberg. Esch takes a middle position between Huguenau and the Salvation Army girl in his attempts to adopt the role of savior and martyr within society itself.

Major Pasenow's pietistic and evangelistic editorial contains the next reference to the need for redemption. The article reads in part: "Umklammerung der Feindvölker zu befreien, sondern auch das Vaterland und mit ihm die ganze Welt von dem schändlichen Geiste zu erlösen . . ." (p. 447). Pasenow in his article prepared common ground for Esch and himself to join forces in a struggle for righteousness surpassing the political and military realities of their situation. Both sought redemption from the general evil fostered by modern society and the modern state. ". . .alle suchen die

Rettung . . .Alle warten, dass die Erlösung komme und die Ungerechtigkeit vernichtet werde" (p. 507).

Esch's willingness to prepare the way for a savior to come, in the manner of John the Baptist, is indicated by his conversation with Pasenow in the "Symposium" when he says: "' . . .und erst muss der kommen, der den Fehler ausmerzt und Ordnung macht. . .der den Opfertod auf sich nimmt, die Welt zu neuer Unschuld zu erlösen. . .'" (p. 530).

A note of final judgment and new creation is evident in Esch's remark: "Je ärger das Übel, je tiefer die Finsternis, je schärfer das sausende Messer, desto näher das Reich der Erlösung" (p. 531). Esch's role of judge is here combined with his simultaneous urge to save. The latter also appears in his discussion of Isaiah 42:7: "Dass du sollst . . . die Gefangenen aus dem Gefängnis führen, und die da sitzen in der Finsternis, aus dem Kerker" (p. 567). The passage appeals to Esch as an allegory of salvation because he associates it with his own insights and his past relationships with Geyring and with fellow accountants.

In the face of Huguenau's ridicule of him and his group Esch has the self-assurance of the conscious martyr:

> . . .er stand robust und fest auf seinen Beinen und dann streckte er die Arme aus wie einer, der vom Schlafe aufwacht oder wie ein Gekreuzigter. Er fühlte sich stark, fest und wohlbestellt, und als wäre das eine Rechnung, in der die Welt glatt auf-

> geht, wiederholte er: "Wer sich opfert, ist anständig" [116] . . . (p. 634)

This passage, near the end of the trilogy, shows Esch in approximately the same mental and emotional condition as at the beginning of the second novel when a juncture of circumstances pressed him into the role of the vicariously crucified savior bringing about both justice and mercy by a willing sacrifice.[117] The posture of Ilona before the knives, the imprisonment of Geyring, the unpunished guilt of Nentwig, and the atonement of Bertrand continued to the end to shape Esch's picture of himself.

Our last glimpse of Esch's mind occurs when he leaves the wounded Pasenow in his cellar and casts a last look at the oil lamp; "Wenn das Licht erlischt, ist der Erlöser nahe. Es muss das Licht erlöschen, damit die Zeit gezählt werde" (p. 648). As at the end of the second novel the hope of redemption remains unfulfilled at the end of the third. Esch's mission is completed. Huguenau takes the life of the man whose mission was to redeem the society Huguenau wished to exploit. With the passing of Esch and Pasenow the stage was left to the philistine Huguenau. Divine retribution had come: "Nach der Bibel müssen jetzt alle Heimsuchungen der Apokalypse kommen" (p. 632). The final scenes of depredation,

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[116] Cf. GW II, 313.

[117] Cf. identical characterization as a martyr: GW II, 266.

rioting, fire, murder, and disease provide a picture of utter desolation. Gödicke's warning seems fulfilled: "Das Jüngste Gericht . . . auferstanden von den Toten . . . wer nicht auferstanden ist, kommt in die Hölle . . ." (p. 643).

Esch had persisted in the Savior role to the very end of his life and of the trilogy. Esch first had a strong sense of personal redeemership comparable to a Jesus complex. In the third novel he began to think of himself as a precursor and progenitor of a redeemer. Esch then referred to a redeeming son. This recalls the Old Testament Solomon who was chosen to build the Temple in preference to his errant father David. This hope of proud fatherhood proves futile, however, and Esch then depersonalizes the redeemer figure. Lest this be misinterpreted as a strictly Christian and literal anachronism, the Savior motif appears once again on the last page of the trilogy with reference to a new kind of human being:

> . . . der Heilsbringer wandelt im unscheinbarsten Gewande und vielleicht ist es der Passant, der jetzt über die Strasse geht,--denn wo immer er wandle. . . .sein Weg ist der Zionsweg, dennoch unser aller Weg, ist ein Sucher der Furt zwischen dem Bösen des Irrationalen und dem Bösen des Überrationalen und auch seine Freiheit ist die schmerzliche Freiheit der Pflicht . . . (p. 686)

The Savior motif marks advance from futile utopianism through social reform to religious idealism.

Doomsday and Anarchy

Subtending the Judge and Savior motifs are the minor motifs of Doomsday and Anarchy. Both terms occur throughout the trilogy sufficiently often to warrant brief mention as supporting elements for the general constellation of motifs centering about the concept of order.

Joachim first speaks of the "Apokalypse Johannis" (p. 28) in his reaction to Bertrand's prediction about the rise of the African peoples as the dominant Christian population in the world of the future. It must be remembered that the rigidity of Joachim's world would resist even moderate changes in the social and political structure. As Major Pasenow in the third novel he returns to this fear of the submergence of the white race in his editorial: "Ihm folgt der schwarze Heerbann, folgt der Apokalypse Johanni Schrecken" (p. 448).

Esch dwells on the last judgment as he observes Ilona's hazardous role on stage: "Es war die Fanfaren des Gerichtes. Der Schuldige wird wie ein Wurm zertreten . . ." (p. 193). Later Bertrand is identified by Esch as the Antichrist in comparison with the lesser criminals Teltscher and Nentwig: ". . .und manchmal war es, als müsste man bloss diesen Antichrist treffen, um auch alle geringeren Mörder der Welt zu vernichten" (p. 255). This condemnation is reinforced in the third

novel by the major's reflections on the current situation; Huguenau as Bertrand's alter ego recalls to Pasenow's mind the chaos and the slough associated in his youth with Eduard Von Bertrand.[118]

Also in Erna Korn Esch sees the essence of the Antichrist, the earth-bound force: "Er sah Fräulein Erna prüfend ins Antlitz, es war das eines welken Antichrist . . ." (p. 332).

Of course Esch's Bible study group is concerned with the approaching end of the world. Fendrich reminded his companions of the visitations of the apocalypse (p. 632). At the end of the third novel the Doomsday motif reaches its climax in the horsemen of the apocalypse: riot, chaos, slaughter, disease, hunger, and death (pp. 634-652). Gödicke identifies the disorder he witnessed as the final judgment.

The term "Anarchist" is used in reference to several aspects of the social situation. Joachim considers even human emotions anarchical; they betray passions at odds with the imperial uniform. In the same vein Joachim considers civilian life as dangerous and chaotic.[119]

Pasenow's fear of anarchy is Esch's challenge:

> Er . . . hatte die Zuversicht, dass es ihm gelingen werde, das Chaos, in dem alles leidend verstrickt

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[118] Cf. p. 112 above and GW II, 616.

[119] See GW II, 22, 61.

> war, in dem Freund und Feind verbissen und doch kampflos ineinanderlagen, zu durchdringen und zu erlösen. (p. 260)

The term is also applied to Geyring's socialism in the second novel, for both Esch and Frau Hentjen speak of his politics as "anarchistic". When Martin is jailed Frau Hentjen remarks: "Das kommt von den Anarchisten-zeitungen" (p. 252).[120]

Huguenau as an opportunist approves literally of anarchy. Speaking of the Russian Revolution of 1917 he said: "Die Russen sind ganz gescheite Kerle" (p. 625). By similar means he hoped to provoke an uprising in Trier to his own advantage. The riot was an external sign of the process of disintegration; Hanna Wendling recognized this: "Fast befriedigt konstatierte sie: 'Der Einbruch von unten'" (p. 639). As a comment on the Russian Revolution and the local riot Broch adds a psychological explanation in the "Epilog":

> . . .nie weiss der Mensch etwas von der Irrationalität, die das Wesen seines schweigenden Tuns ausmacht, nichts weiss er von dem "Einbruch von unten", dem er ausgesetzt ist, er kann davon nichts wissen, da er in jedem Augenblick seines Lebens sich innerhalb eines Wertsystems befindet, dieses Wertsystem aber keinem andern Zwecke dient, als all das Irrationale zu verdecken und zu bändigen, von dem das erdgebundene empirische Leben getragen wird: nicht nur das Bewusstsein, auch das Irrationale ist, kantisch gesprochen, ein Vehikel, das alle Kategorien begleitet . . . (p. 661)

The anarchic in both social and psychological senses

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120 Cf. GW II, 176, 183, 196, 243.

becomes an ally of approaching doom and in this way an element in the new order; it forms the medium within which the old and the new struggle for dominance.

The Order complex of motifs has involved those of Bookkeeper-Judge, Savior, Doomsday and Anarchy. These motifs have gone beyond the eccentric, the personal, the particular; they have moved by the end of the trilogy to the analytical, the objective, the general, and the metaphysical. As such they have substantial bearing on the themes of the trilogy.

The Madonna Motif

A Madonna motif appears early in Pasenow and persists throughout the trilogy. The Madonna figure in Pasenow is Elisabeth Baddensen; in Esch it is Ilona; and in Huguenau it is Marie, the Salvation Army girl.

The most elaborate development of the motif occurs in the first novel. Joachim, bound by his uniform, his Protestant religion, and his social conformity, makes a clear distinction between the ideal world of his childhood, of his home, and of his prospective bride, contrasted with the real world of his maturity, of Bertrand, and of Ruzena, his mistress. Besmirched as he eventually feels himself to be through association with Ruzena, he tries desperately to maintain elevated and pure thoughts about Elisabeth. Occasionally he fails.

The first intimation of this motif is found when the elder Pasenow suggests the desirability of Joachim's marrying Elisabeth. This occurs during the father's visit to Berlin, when Joachim was revolted by his gift of 50 marks to Ruzena. The young Pasenow is therefore suspicious when his father mentions the Baddensen property as an inheritance for Elisabeth. Joachim even suspects his father of lustful designs on her as he had had concerning Ruzena:

> Aber unvorstellbar war es, dass einer überhaupt wagen könnte, Elisabeth zu begehren, und noch weniger vorstellbar, dass jemand eine Heilige durch den eigenen Sohn vergewaltigen lassen wolle, weil er es selber nicht besorgen kann. (p. 24)

Although the strong father-son conflict is most in evidence,[121] Elisabeth is here first mentioned in the novel as "the sacred one" in marked contrast to the generic reference to Ruzena as "the girl". This elevated concept recurs when Joachim rejects his father's suggestion about resigning from the service, for Joachim feels his loss of uniform would demean Elisabeth, as it served as a guarantee of at least an external elevation above the crowd.[122]

Joachim repeatedly places Elisabeth in a pure and isolated setting consistent with his idealization of her. He refuses to consider her in mundane or physical terms,

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[121] Cf. p. 146 above.

[122] See GW II, 62.

relating her rather to a sacred world of the spirit. On one occasion, "als Elisabeth in das Coupé stieg, wandte er sich ab, um nicht wieder Beute unreiner Gedanken zu werden" (p. 162).[123]

He clings desperately to the dichotomy he has created although it leaves him with a sense of uneasiness:

> . . .Warum er dieses Mädchen so schön fand, so schön, dass die Süsse Ruzenas dagegen aus seinem Gedächtnis schwinden wollte. Und doch sehnte er sich nach Ruzena und nicht nach der Reinheit Elisabeths . . . (p. 94)

Joachim's recollection of his childhood concept of the Holy Family leads him to reconstruct his mental picture, changing it as he does so from a Catholic to a Protestant one, dark figures for light ones; the Madonna now in his mind no longer represents the Polish cook who had given him the picture:[124]

> . . .noch war sie Ruzena, sondern heller und vergoldeter wurden die Locken, und ebensowohl hätte es das jungfräuliche Blond Elisabeths sein können. Das war alles ein wenig merkwürdig und doch befreiend, Lichtstrahl und Ahnung kommender Gnade inmitten der Wirrnis . . . (p. 122)

Joachim during his visit with Bertrand in the hospital is reminded of Elisabeth: "Zart und nonnenhaft war Elisabeth, weiss in ihrer Silberwolke, und er entsann sich eines Madonnenbildes, einer Assunta, die

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[123] See GW II, 63 and 97 for similar situations.

[124] See GW II, 148; also p. 151 above.

er in Dresden gesehen zu haben glaubte" (p. 147). The elements of chastity, unapproachability, and sanctity stand out. Similar references to Elisabeth occur upon her acceptance of his proposal, again when she and Pasenow talk about Bertrand, and at the wedding itself.[125]

These passages combine the ideas of the immaculate Madonna of the miraculous Assumption and purity of the bride; they likewise combine Pasenow's idealized concept of Elisabeth with his sense of guilt respecting himself. Perhaps, too, he wishes subconsciously that the wedding not be completed; he is not ready to assume the role of husband to Elisabeth. Her elevation corresponds to his denigration.

Along with the Elisabeth-Madonna motif goes the leitmotif of the "silver cloud". It first appears in connection with the recital attended by Joachim and Bertrand at Elisabeth's home. Pasenow reflects:

> Er liebte die Musik . . . sie war etwas, das rein und klar über allem andern schwebte wie auf einer Silberwolke und kalte, reine Tropfen aus der gottlichen Höhe ins Irdische fallen liess. Und vielleicht ist sie bloss für Elisabeth vorhanden . . . (p. 97)

On another occasion he visualizes the Holy Family on a silvery cloud. Pursuing this fantasy he finds: ". . . er selber ein Jesusknabe, aber das Bild war reifer geworden . . . und dass Elisabeth daran teil hatte, war

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[125] See GW II, 148, 151, 162.

wie ein letzter Tropfen aus dem Nebelschleier" (p. 123). Later, wishing to extricate himself from the affair with Ruzena and from Bertrand's influence, Pasenow has a vision of a cleansed future symbolized by the sublime Elisabeth on a silvery cloud floating above the slough of this world.

The silver cloud at first associated with music primarily and Elisabeth secondarily is next mentioned with the Holy Family primarily and Elisabeth in close association with it. Subsequent references, however, not only associate the silver cloud with Elisabeth but show her elevated upon it; she has progressed from a secondary to a primary association with sublimity.

The silver cloud makes its final appearance in the first novel on the wedding night after Elisabeth had bade Pasenow a good night: "Sollte er sich zu Bett begeben? . . . Er hatte sich doch geschworen, vor ihrer Türe zu wachen, himmlischen Traum zu bewachen, auf dass in ihrer Silberwolke ewig sie träume . . ." (p. 164).

The leitmotif of the silver cloud recurs in the third novel with the reappearance of Major Pasenow. Feeling himself glorified by Esch's confidence and obvious integrity, Pasenow "fühlte . . . die Süssigkeit des Hinströmens, des Fortgetragenwerdens, als wollte eine Silberwolke ihn aufnehmen, schwebend über den Frühlingsflüssen" (p. 509). The silver cloud appears as a divine seal of approval on the Esch-Pasenow rela-

tionship, signifying at the same time orthodox Protestant Christianity. Pasenow herein feels a late vindication of both his cultural heritage and his own conservatism.

Upon Esch's explanation of the Biblical passage respecting Paul's reassurance that no prisoners had escaped, Pasenow visualizes the New Testament gatherings of disciples, "dunkle fremde Sprache redend, dennoch verständlich wie die Sprache der Kindheit, überglänzt von himmlischer Silberwolke,--und voll entschlossener Inbrunst . . ." (p. 562). The heavenly silver cloud transforms the mysterious into the sacred, the unintelligible into the most significant. For Pasenow objective phenomena do not satisfy the human spirit unless transformed into divine revelation. The old ethereal image of Elisabeth as Madonna still exercised an influence by bringing Pasenow into an evangelistic and prophetic mood along with Esch and his company.

In the 14th section of the "Geschichte des Heilsarmeemädchens in Berlin", Bertrand Müller, Dr. Phil. (p. 431) uses the basic language of this leitmotif. Referring to the provisional life of the Jewish refugee community and of the fluctuating war situations, he reflects:

> Das Provisorische ist zum Definitiven geworden, unausgesetzt hebt es sich selber auf und bleibt weiter bestehen. Es ist hinter uns her und wir richten uns mit ihm ein, in einer Judenwohnung, in einem Hospiz. Aber es hebt uns über das Gewesene, es hält uns in einem glückhaften, fast euphorischen Schwebeszustand, in dem alles Zukunft ist. (p. 610)

This is the same kind of allegorical reference Pasenow constantly made in a more abstract way. Müller characterizes a chronological segment of life as provisional and temporary, but at the same time his reference is broad enough and suggestive enough to comprehend all of life and time within it. Reality then and permanence--the absolute--are to be found only in the future which we see in a dream floating above us. The silver cloud and the ideal which promises eventual realization again appear in this passage. Although the cloud is not mentioned, a floating movement is common to it and four other references to the silver cloud. For this reason and because of its context, this final quotation belongs with the Madonna and Silver Cloud motifs. Indeed, Dr. Müller's experience in terms of euphoria, fluctuation, and the future parallel Pasenow's persistent idealization of life.

A review of the Madonna and Silver Cloud motifs to this point indicates that Pasenow identified with them the qualities of sacredness, purity, order, dignity, spirituality, brightness, chastity, and remoteness--concepts he cherished to help him tolerate the world around him with its treachery, sordidness, and sensuality. The Madonna motif reinforced Pasenow's concept of the uniform, that which isolated him from pollution. The Madonna motif also projected his interest in a person with ideals similar to his own. For Pasenow it was

better to maintain in fantasy an ideal world than to accept the real world of experience. He sought in the ways indicated above to bridge the gap between man's temporal existence and man's spiritual potential.

Reinforcing the Madonna motif and particularly the Silver Cloud leitmotif is Pasenow's obsession with the white lace fichus. He first buys three fichus intended as a gift for Ruzena. In touring the Baddensen house he sees Elisabeth's room as "dieses Gewölbe weisser Spitzen . . ." (p. 33). After his return to Berlin he still has the gift in his possession. He continues his affair with Ruzena but does not give her the finery: "Wie sonderbar, dass er die Spitzentüchlein hatte vergessen können, die er für Ruzena an jenem Abend in unbestimmter Sehnsucht gekauft hatte" (p. 57). He repeats the omission on a later occasion. Then upon seeing Elisabeth and her mother off to Lestow, Pasenow observes:

> . . . die Damen (liessen) ihre Spitzentücher flattern . . . bis schliesslich nur mehr zwei weisse Punkte sichtbar waren und eine Linie sanfter Sehnsucht aus dem Herzen Joachims sich herauswagte, sich dehnte und zu dem weissen Pünktchen sich hinüberspann . . . (p. 64)

It appears that the gift Joachim casually bought has taken on a symbolic meaning which prevents him from offering it to Ruzena. The association of whiteness,

points, and delicacy with Elisabeth presents a psychological obstacle to Joachim's giving his mistress this type of gift. He does not wish to profane his pure concept of love with the sensual relationship. The association is confirmed when Pasenow hesitates to visit Elisabeth, "mochten auch ihre Gestalt und ihr wehendes Spitzentüchlein ihn bisher treulich begleitet haben . . ." (p. 79). Finally after his return from the visit he finds reunion with Ruzena so satisfying that he places the gift for her; however, ". . .ehe sie sich dessen versahen, waren sie schlafen gegangen" (p. 117). Ruzena is the creature of another world, earthy and sensuous rather than white and delicate: this gift is not destined for her.

When Pasenow finally makes the break with Ruzena, he has no difficulty in distinguishing his new world:

> Er hörte das Wort "jungfräuliche Lichtgestalt" . . . und nun sah er wieder Elisabeth, die anders war als alle anderen, hoch ober auf silbriger Wolke über allem Pfuhle schwebend. Vielleicht hatte er dies schon geahnt, als er die weissen Spitzenwolken in Elisabeths Zimmer gesehen und ihren Schlaf hatte bewachen wollten. (p. 135)

The white lace had become a matter of conscience for Joachim. His purchase had mocked him and his relationship with Ruzena. The purity and chastity of Elisabeth, her room, and the little gift he had bought were at variance with his life and his affair. It was the white lace that recalled him from sensuality to spirituality.

The Madonna motif in the second novel has as its subject Ilona, Teltscher's partner in the knife-throwing act who submits her body with arms outstretched to the aim and skill of Teltscher. Esch, moved both by the beauty of Ilona and the sacrificial symbolism he sees in her role, immediately puts Ilona in the category of "something better" along with Bertrand and Mutter Hentjen. When Korn expresses a trite appreciation of the act, Esch thinks: ". . .es klang wie Blasphemie" (p. 193).

Esch has attributed a religious significance to the act and a sublime character to Ilona. At the same time he recognizes the female in Ilona but immediately diverts this thought by turning his attention to the sensuous Erna Korn and Mutter Hentjen. His first encounter with Ilona, impersonal as it was, contained drama and profound significance for Esch in his concern for justice.

The element of remoteness previously noted in the Silver Cloud motif already affects Esch, as in Ilona's presence he considers the Korn family sordid and unworthy. He has experienced a vision which meets a need: "Er hatte ein Gefühl mit hierher gebracht, das schier Sehnsucht genannt werden durfte" (p. 193). Now adopting a positive object for his service and adoration, Esch feels a call to selflessness and nobility:

> . . .er fühlte ein Schicksal über sich, das die Lanze zu drohender Strafe erhob, bereit zuzustossen, wenn er sich weiterhin wie ein Schwein benahm, und er fühlte, dass er jemandem treu zu bleiben habe, wusste er auch nicht wem. (p. 194)

The idealization of Ilona continues when Esch with Korn and Lohberg attends the Salvation Army meeting. Here he experiences the need for identification with the cause of salvation as well as of himself in relation to other people. In both instances he imagines himself as the comrade of Ilona, both of them in the Salvation Army uniform. Ilona was not present at this meeting, but her image was strong enough in Esch's consciousness to evoke this longing for redemption and identification.

That this idealization was a deliberate act on Esch's part is evident from the fact that Ilona was an "outsider", a Hungarian, and therefore different from Erna, Mutter Hentjen, and all of Esch's other female acquaintances. The compulsive or subconscious nature of this choice is most clearly revealed by the fact that the gross and sensual Balthasar Korn was already taking physical possession of Ilona and would soon make her his willing mistress, but Esch's awareness of Korn's advances does not destroy his commitment. Disgusted with Korn, he still thinks of Ilona as a Madonna figure who commands his devotion and service. In effect Esch had to believe in "something better" which could elevate and strengthen him, yet something he would not presume to sully on his own level. This sort of veneration could not be directed toward people so closely associated with him that their failings were conspicuous--people

such as the Korns, Lohberg, and Gernerth. Remote or inaccessible people Esch could idealize: Bertrand, the shipping magnate, Mutter Hentjen, the forbidding proprietress, and now Ilona, the foreigner, exotic in her occupation and in her language.[126] For Esch she becomes a perfect Madonna; thus he cannot entertain sensual thoughts about her:

> Oftmals dachte er, dass es mit Ilona anders und besser sein müsste, aber sonderbar genug, wollten sich seine Gedanken nicht an sie heranwagen. Ilona war etwas Besseres, ungefähr so wie der Präsident Bertrand etwas Besseres war. Und Esch nahm es nicht einmal ungern hin, dass es zu den Scherzen Ernas gehörte, ihm jedes Beisammensein mit Ilona zu vereiteln, ja, es war ihm ganz recht, so sehr ihn auch das neckische Getue und diese kichernde Scherzhaftigkeit erbitterten. (p. 211)

When Esch realized that Ilona was having an affair with Korn, he reacts as Pasenow did when he saw Elisabeth stooping to enter the carriage: "Ekelhaft war es. Er wollte gar nicht daran denken; Ilona war doch etwas Besseres . . . am schönsten wäre es . . . sie verschwände auf Nimmerwiedersehen" (p. 219). Yet, as in the case of Pasenow, this annoyance passes and the idealization remains.

Esch subjugates the actual person Ilona to the lady he serves as a medieval knight--that sublime and virtuous lady whose service demands total commitment. The commitment for Esch supersedes the particular woman:

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126 "Ilona hatte kein deutsches Wort zugelernt" (GW II, 212).

> . . . natürlich sollte das Geld bloss dazu dienen, Ilona auszukaufen . . . darüber hinaus wollte er ja auch von Ilona selber nichts mehr haben--beileibe nicht, wo doch die anderen das Geld hergaben--, und es war ihm sogar recht, verzichten zu müssen, er pfiff auf Ilona! für ihn stand Höheres auf dem Spiele . . . (p. 224)

A later passage indicates Esch's continued admiration of Ilona both in a spiritual and physical sense; he compares Frau Hentjen with her:

> . . . obwohl sie viel irdischer war als Ilona. Gewiss war auch Mutter Hentjen etwas Besseres, allein es dünkte ihn, als müsste sie im Irdischen künstlich das verteidigen, was Ilona von vornherein gegeben war. (p. 235)

Esch can easily consider Frau Hentjen as mother and mistress and eventually as wife, but Ilona he considers the lady he serves, the embodiment of the Madonna.[127]

After Esch's return to Cologne he is not spared bitter and envious thoughts: "Auch dass Ilona . . . bei Korn geblieben war, fügte sich in den Kreis . . . (er) scheute sich nicht, Ilona . . . sogar eine dreckige Hure zu nennen, und Teltscher einen Hurentreiber . . ." (p. 255). As for the medieval knight, the harder the service, the greater the satisfaction. So for Esch like St. Anthony in temptation the thought of Ilona's body at Korn's disposition and the knowledge of Ilona's willingness become jewels in the crown of Esch's sacrifice.

He is still devoted to the redemption and protection

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[127] GW II, 333: ". . .warum musste Ilona herabsteigen in die Berührung des Irdischen und Toten?" Esch's question presumes the elevation and purity of Ilona as well as her immortality.

of Ilona, for in the very next scene Esch determines that Teltscher will not again control Ilona (p. 256). Esch ascribes an evil force to Teltscher, whereas Ilona's shortcomings he views as peripheral to her existence as a Madonna. In a moment of illumination Esch comes to the kind of generalization which is typical of him in the third novel. As he sees Teltscher taking Martin's place in the Hentjen inn, knowing Martin in jail is taking the place of the embezzler Nentwig, Esch realizes the stakes are greater than the individuals in their separate roles:

> Irgendwo kam es eben nicht mehr auf die Menschen an, die waren alle gleich und es verschlug nichts, wenn einer im andern verfloss und der eine auf dem Platz des andern sass,--nein, nicht mehr nach guten und bösen Menschen, sondern nach irgendwelchen guten und bösen Kräften war die Welt zu ordnen . . . . . losgelöst vom Täter besteht das Unrecht und das Unrecht allein ist es, das gesühnt werden muss. (p. 257)

Although Esch has decided to carry out his mission in life in practical ways, he intensifies his determination to liberate Ilona from the knives of Teltscher, from Teltscher's Jewishness, and from Korn's desecration of her body. His liberation of her body Esch undertakes by his own renunciation of sensual desire for her and his substitution of Frau Hentjen for her. Liberation from the knives of the enemy Esch undertakes by recruiting female wrestlers whose performances are to produce travel funds for the troupe to go to America and dispense

with the Ilona-Teltscher act. In effect Esch combines medieval service to his lady with early Christian religious fervor. To Frau Hentjen he justifies his theatrical wrestling venture with a reference to the martyrdom of early Christians:

> Wer die Wahrheit besitzt, vermag die anderen zu erlösen; so haben es auch die Christenmärtyrer geübt. Und weil er auf seine Bildung stolz war, sagte er: "Zur Römerzeit hat es ebenfalls Ringkämpfe gegeben, aber mit Löwen. Da ist Blut geflossen." (p. 252 f.)

Esch had decided to be Ilona's knight, arranging her ransom by offering wrestlers as martyrs to her cause.

On his recruiting trips in the city Esch visualizes the consummation of his task at the departure of the ship with its cargo of female wrestlers destined by Teltscher's plan to become prostitutes in America if the act failed. As the ship symbolically bears aways its cargo of sordidness, Esch's thoughts of America and Teltscher are subordinate to the relief he projects for Ilona in an idyllic park-castle situation (p. 278). This picture of isolation, redemption, and remoteness recurs when Esch learns of Bertrand's secluded estate and Harry's concept of pure love. Esch's vision of Ilona in the distant castle is that of the elevated and sublime Queen of Heaven who is to be loved only spiritually.

This concept is strengthened by Esch's vision of Ilona buried in a castle park after having been stabbed

to death.[128] The scene is reminiscent of Pasenow's guilt feelings about his idealized Elisabeth; he imagined her as the bride who fell down dead at her wedding "weil sie plötzlich erkannt hatte, dass in des Bräutigams Gestalt der Leibhaftige sich versteckt hielt" (p. 162). Esch likewise feels his sexual liberty with Erna Korn has been a spiritual offense against his Madonna figure, particularly because he was also unfaithful to Frau Hentjen, through whom he was to obtain Ilona's salvation. His dalliance with Erna produces the same sense of guilt toward Ilona as Pasenow's dalliance with Ruzena had toward Elisabeth.

Later Esch visualizes Ilona at a distant and secure castle, just as Elisabeth was secure in her country estate and figuratively a Madonna on a silver cloud. Thus, looking in vain for Korn in Mannheim, Esch "musste lachen, denn er nahm ihm Ilona ja nicht mehr übel, Ilona wird ja entrückt sein, verschwunden auf unzugänglichem Schloss" (p. 307).

The Madonna as the celestial prototype of all womanhood, the ideal of the lovely and beloved woman, remains sublime and inaccessible in this life, an inspiration but not a consort, a vision but not a possession. For example, both despair and yearning are reflected in

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[128] GW II, 278, 283. Cf. Freud for sexual symbolism of daggers (10th Lecture), p. 162.

Esch's introspective and mystical musings on the way to Mülheim, Bertrand's estate; among his thoughts about traveling to America is his recognition of the futility of seeking the final refuge of freedom without violence: ". . .ach, nie wird das Schiff bei dem Schlosse anlegen, auf dem die Geliebte wohnt" (p. 316).

Depressed as he had become with his mission to redeem Ilona, Esch yet retains the vision of its accomplishment; as he walks toward Bertrand's home, he remembers his dream-castle containing Ilona in shining dress: ". . .schon am Ziele . . . unberührt blieb das Traumschloss . . . Traum im Traume" (p. 320). Esch's commitment to his ideal is more substantial than objective reality itself. Pasenow had reserved for his Madonna a religious faith: ". . . nicht sie war es, die er hatte schützen und retten wollen, seine eigene Seele wollte er durch ihr Opfer retten lassen" (p. 165).

Esch's constant reference to Ilona as the target of knives along with his condemnation of her affair with Korn and his wish to isolate her in security presents a combination of secular, Freudian, and Christian concepts. The concept of the Madonna involves the immaculate conception of the child Jesus. Because of Ilona's promiscuousness she had contracted a venereal disease which rendered her sterile (p. 351), impervious to conception. Yet because of her fair skin and sensuous attractions

she easily gained sex partners, thus becoming a Mary Magdalene, in direct contrast to the mother of Jesus. But the principle of opposites in psychoanalysis often relates antithetical elements;[129] to transform Magdalene by a process of renunciation, substitution, and redemption into a Mary sublime and holy in her uniqueness is neither contrary to psychoanalytic theory nor to the Christian doctrine of grace.[130] The repeated mention of the daggers coincides with Freud's identification of penetrating objects as symbolic of the male organ.[131]

Esch wishes to remove Ilona as "something better" from her situation characterized by gross male associations.[132] Because Ilona is so female a creature, Esch consigns her mentally to a castle-park situation, where her environment will be a guarantee of her chastity. It is then no far step from the remote castle and the unattainable mistress to the Queen of Heaven remote from all pollution. Pasenow's Madonna and her silver cloud appropriately preceded in their refinement and romanticism the confused and earth-stained Madonna

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[129] Cf. Freud (14th Lec.), p. 230; also GW II, 80, 152, 186.

[130] Cf. Dostoevsky's saintly prostitute Sonia in Crime and Punishment.

[131] Cf. Freud (10th Lec.), p. 161.

[132] See GW II, 346.

of Esch's imagination. In both cases, however, a woman provided a basis for visions of transcendence and inspiration for service.

The life of the nun in the convent, removed from male associations, was suggested by Pasenow's reference to Elisabeth. Esch's desired seclusion of Ilona implies a similar life of virginity. Esch specifically refers to the restoration of virginity in Ilona when he considers the sacrifice he has made by marrying Frau Hentjen:

> . . . dass er durch diese aussergewöhnliche Massnahme nicht nur die Erlösung Ilonas vollendet, nicht nur auf ewig sie den Messern entrückt, nicht nur ihre Schönheit ihr wiedergewinnt und alles Sterben rückgängig macht, rückgängig bis zu neuer Jungfrauschaft . . . (p. 339)

The Madonna as the Virgin Mary again appears in this anticipation of a rehabilitated Ilona, mistress of her castle.[133]

Two pictures of Ilona, one Esch's vision and the other Ilona's departure, reveal her not as a victim of external aggression but as a creature consciously suffering from frustration and in this state welcoming rather than dreading annihilation. Considering the two women, Ilona and Frau Hentjen, Esch applies the same adjective, "swollen" (aufgedunsen) to describe their

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[133] Cf. Freud (10th Lec.), p. 163, for symbolism of enclosures.

faces already bearing the unwholesome marks of decay and death. But Esch determines to maintain his sensual relations with Frau Hentjen in order to maintain his spiritualization of Ilona and thus assure her transfiguration. A moment of insight has given Esch that view of Ilona's desperation in life which she revealed only later upon deserting Korn. ". . .oh, da erblickt er plötzlich auch schon die Lösung der Aufgabe: Selbstmord ist es . . . der sie hinabzieht in die Berührung des Irdischen" (p. 335).

The second and final picture of the life-weary Ilona shows her taking leave of the sleeping Korn. Upon return to Teltscher in Cologne she will not only resume her role on the stage but also her relations with Teltscher. Contemplating this change, Ilona reviews her life and interests. Esch's objective estimate of her is confirmed by her reminiscences and the projection of her future. She acknowledges to herself her instinctual behavior intent on satisfying her hunger for food and sexual satisfaction. She hardly seems a candidate for beatification.

Yet Ilona accommodates Esch's ideal to some degree when, aware of the picture of the Madonna on the wall, she tries to think of Korn as a boy rather than an adult male. She thinks of forgiveness, rues her disease

and sterility and has a vision of fulfillment as a mother:[134]

> . . . nur wenn Kinder zur Welt kamen, schien sich das Schattenhafte zu verdichten und körperlich zu werden und dann war es, als ob eine süsse Musik die Welt der Schatten ewiglich erfülle. Deshalb trägt Maria wohl auch den Jesusknaben dort droben über dem roten Lichte. (p. 352)

Here is the spiritual cleansing of Ilona, the approach of the real and sensuous woman to the ideal and spiritual Madonna; she feels her kinship, even in her frustrated destiny as a woman, with Mary, mother of Jesus. For the first time in the novel we have an Ilona worthy of Esch's idealization.

Not only her turning to Mary but her turning away from Korn satisfies Esch's concept of her as Madonna:

> Sie betrachtete Korn und fand in seinem Gesicht nichts von dem, was sie suchte; seine behaarten Fäuste . . . waren niemals zart und jung gewesen. Es graute ihr vor seinem rotbeleuchteten fleischigen Antlitz . . . und sie ging mit ihren nackten Füssen leise zu Erna hinüber . . . (p. 352)

By this act Ilona removes herself from the world of sensuality and temporarily at least also becomes free from Teltscher's knives. By taking refuge with Korn's sister, Ilona parallels the commitment of the nun who renounces the world for the seclusion of the convent.

The Madonna motif is represented in Huguenau by the Salvation Army girl Marie. Her name immediately suggests

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[134] Cf. Hugo von Hofmannsthal's Die Frau ohne Schatten.

the mother of Jesus. Her religious vocation confirms the thought, and her chastity and devotion associate her with the Madonna.

Marie remains at all times within the world but not of it, remote, charitable, possessed of God. From the various chapters of her story interspersed throughout Huguenau we gain a picture of a selfless, unquestioning, and patient devotee to religion, spurning both sensuous and sensual desires.[135] The Madonna image is not as strongly represented as in Pasenow, but familiar elements appear: chastity, love, patience, purity, impartial service to all humanity, and immunity from the ordinary interests of mortals.

The Madonna motif has undergone a progression from Pasenow through Huguenau. In the first novel it involved the girl Pasenow married, the mother of his children; in the second novel it involved a woman who could bear no children but stood as a symbol of virtue in Esch's mind, in spite of her sordid career. In the third novel the motif concerns an individual wearing a religious uniform. The Salvation Army girl was neither wife nor mistress to any man; her function was to create a bridge between the lone individual and eternity.

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[135] Cf. GW II, 432, 526.

Esch had sensed her difference from Frau Hentjen.[136] Though both women were concerned with the irrational, one dealt with sensual comfort, the other with spiritual solace. A further characterization of the Madonna figure lies in the designation "Mädchen" for the Salvation Army girl. She is not a mature and refined woman like Elisabeth, nor does she have the worldly experience of Ilona; in her is the unspoiled serenity, faith, and commitment of a child impervious to doubt.

In retrospect the Madonna motif concerned women progressively less identified with the social order: a fertile Elisabeth with her family; a sterile Ilona with her consorts; and a pure Marie with her integrity and vision of the new Jerusalem. In this progression the motif supports a theme of self-realization and reintegration of values.

4. Leitmotifs

In his trilogy Broch has developed a large number of leitmotifs, i.e., expressions frequently characterizing the figures in the novels in an epithetical way so as to reinforce the general presentation of them without significantly affecting the progress of the novel; thus they differ in this way from the motifs

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[136] Cf. GW II, 207, 296.

proper.[137]

Analysis of all the leitmotifs found in Die Schlafwandler would be a monumental task. For the sake of illustration, however, a few will be presented here to indicate how they supplement the motifs of the trilogy.[138]

The elder Pasenow is consistently associated with the term "unswerving", Esch with the term "awkward", Elisabeth with "landscape".

In the first novel we find many references to "unswerving",[139] six of them applied to the elder Pasenow, one to the elder Leindorff, one to Joachim, one to the furniture of the period, and one to Hanna Wendling.

This leitmotif serves Broch in two ways: to characterize the elder Pasenow and to describe an outdated rural civilization. First the term is related to the rigidity of the elder Pasenow's character. He is of the provincial, landed gentry--conservative, authoritarian, self-conscious and caste-conscious, heir to land and tradition which are revered as the source and guarantee of order, security, and prosperity. "Unswerving" also indicates the inflexibility and simplicity of life and

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137 See discussion of this term, p.43 above.

138 See previous mention of leitmotifs in text above: cynical (p.74 f.); "it's all the same"(p.154); Erna's dental deficiencies (p.215); the silver cloud (p.305 f.).

139 Cf. GW II, 8, 13, 15, 42, 48, 84, 375, 582, 651.

its problems in the rural economy. This simplification was possible in the kind of rural, religious, economic, and political atmosphere in which Pasenow (and Leindorff) existed.

Perhaps this leitmotif is most expressively used in reference to Hanna Wendling in the third novel: "In diesem geradlinigen Gehen, das fast ein Schreiten zu nennen ist, wissen bloss die Sohlen den Weg, denn die Augen wissen bloss das Ziel . . ." (p. 651). In this expression the irrational, the instinctive, and the atavistic come into focus. "Geradlinig" indicates a narrow and tense perspective, a desperate avoidance of impingement or deflection from immediate and known goals. In this sense the leitmotif reinforces the characterization of the Wilhelmine romantic period in German history and by extension any period of time in any civilization nurturing a flattering but illusory image of itself. "Unswerving" made a caricature of the elder Pasenow and characterized his entire generation as ossified in its bias and unseeing in its sleepwalking.

The same correlation of leitmotif with motifs and themes is found in the use of the term "ungelenk" (awkward) applied to Esch a dozen times in the second and third novels.[140] Clearly this motif is related to Esch's

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[140] See GW II, 176, 234, 261, 290, 297, 310, 315, 331, 384, 508, 510, 638.

lack of sophistication, his conspicuous and deliberate maladjustment to the world he both inhabited and judged, his Don Quixotic eccentricity and naïveté. The leitmotif provides a contrast to the sophisticated Bertrand and the ingratiating Huguenau. This leitmotif serves to reinforce Esch's role as a person set apart from the rest of society.

As the neutral word "unswerving" assumed a pejorative meaning in the leitmotif, so the pejorative "ungelenk", receives positive meaning and accompanies Esch like a halo throughout the second and third novels.

A leitmotif with Freudian overtones is that of "Landscape" in reference to Elisabeth in the first novel, elaborated when Joachim observes her at Lestow. Metaphors of landscape remain with him, they plague him again in Berlin; and even on his wedding-night they come into conflict with the idealizing Madonna motif in Joachim's mind.

It becomes clear that the key to this leitmotif is sexual. Landscape in Joachim's mind is associated with the physical, the earthy, the sensual, the sexual. As he has idealized Elisabeth, he resents the intrusion of sensual thoughts about her but is nevertheless increasingly aware of them as he contemplates his marriage with her and inevitably remembers his sexual experience with Ruzena, whose "Ufergebüsche der Locken" (p. 40) provided the first female-landscape identification in the

novel. Joachim strives in vain to erase the sensual associations he has entertained respecting Elisabeth--her bending to get into a railway coach, the physical rhythm of riding her horse, and the comparison between Ruzena and Elisabeth. Joachim is confronted with the two pictures he has created by maintaining within his mind Elisabeth as an ideal woman, a Madonna, pure and remote, and Ruzena as a sex-partner, earthy and warm. He is revolted by his sensual view of Elisabeth, represented by extensive attributes of landscape:[141] ". . .dass ihr Gesicht kaum mehr jenem Ähnelte, das er im Leben gekannt hatte, bevor es erschreckend und unlösbar in die Landschaft verwoben wurde" (p. 151). In another place it is recorded: ". . . und Joachim war glücklich, dass jene beklemmende und gefürchtete Vision ausblieb, in der ihr Gesicht zur Landschaft wurde"(p. 155).

This leitmotif reflects Joachim's divided world of sensuous realism and sentimental romanticism from which arose an inability to comprehend or contribute to his contemporary society. His medieval view of Elisabeth as his lady is related to his religious and provincial heritage, as is his chronic discomfort in his affair

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[141] See Freud, pp. 163-4: "The pubic hair in both sexes is indicated in dreams by woods and thickets. The complicated topography of the female sexual organs accounts for their often being represented by a landscape with rocks, woods and water . . ." Cf. further GW II, 40, 112, 114, 149, 151, 163, 166, 168.

with Ruzena. The leitmotif confirms the disjuncture of Joachim and Bertrand, the conflict between pious, affected society and sophisticated, aggressive society.

It must suffice at this point merely to mention other leitmotifs which emerge like a chrysalis from its case into well-defined and graphic imagery throughout the trilogy. Indeed, the butterfly ("Schmetterling") itself assumes the distinction of a leitmotif through its use in each of the three novels. Associated with the incorporeal environment of a word, thought, or situation, "butterfly" identifies an uneasy frame of mind.[142] It is applied to Joachim Pasenow and Esch and assumes various hues from bright to mixed and dark colors, and auditory effects from noiselessness to rustling.

Other leitmotifs are exclusively associated with individuals. Erna Korn is almost invariably mentioned as having "yellowish teeth and a gap between her teeth". Lohberg's "white eyeballs" receive eight notices. Both Pasenows are associated in their old age with the phrase "it's all the same".[143] Numerous instances occur of Frau Hentjen's "blonde Frisur, die wie ein kleiner steifer Zuckerhut auf dem . . . Schädel sass" (p. 174). Frau Hentjen is constantly fingering her hair. Esch is distin-

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[142] Cf. GW II, 151, 322, 325, 338, 347, 565.

[143] See p.154 above.

guished by the leitmotif of "short" (also "stiff, clipped, bristling") hair. His vigor and aggressiveness is also indicated by the leitmotif "set of horse teeth"; a predictable and repeated impression of the man results. A dozen or more references to "something better", "higher", or "greater" develop the leitmotif associated with Esch's need to find reliable human associations worthy of respect. Finally mention may be made of the general leitmotif of color. Already alluded to above in connection with the butterfly, colors in the trilogy serve to convey moods and attitudes, "bright" for both physical and spiritual clarity, "black" and "dark" for the sinister and vague, "brown" for the quality of dignity and elegance with which it always seems to impress Esch.

Perhaps enough has been said above to indicate Broch's deliberate use of leitmotifs as tributaries to motifs in the service of the themes of the work. They serve to intensify the particular impression the characters are intended to make on the reader.

B. Themes

The foregoing study of motifs in Die Schlafwandler leads to recognition and separation of the themes of the work, elements of the novels often mentioned by critics but seldom given meaningful definition.[144] Our approach has been inductive to achieve recognition and appreciation of the themes by considering motifs as they contribute to thematic development. In this way it is intended that the themes will be substantiated and their inner implications and relationships to individuals, society, culture, and civilization will be revealed in order to illuminate both the thought and the art of Broch's work.

1. Disintegration of Values

The disintegration of values is one major theme running through all three novels of the trilogy. It is first suggested by the subtitles of the novels, Die Romantik, Der Anarchist, Der Realist, and is elaborated in the experiences of Pasenow, Esch, and Huguenau. It is made specific in the ten essays entitled "Zerfall der Werte" interpolated in the third novel. Pertinent to this study is the fact that the theme of disintegration

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[144] E.g., Boyer, Kahler, Muir, Thomas, Vietta.

of values[145] is conveyed by a number of motifs--those particularly of agent and environment discussed in the first part of this paper.[146]

The representation of Bertrand as a Mephisto identifies him as the chaotic, disintegrating element in the society of his time. He appears as the stranger and the traveler, the unstable and demonic element in a settled society. Unlike Esch, the aggressive reformer, Bertrand insinuated unsettling ideas into the minds of Pasenow and Elisabeth, challenging the intellectual and spiritual structure of their worlds. The rural serenity of the Pasenows and Baddensens is disrupted by this serpent in their Eden--the modern man, the iconoclast who to the religious conservative seems an agent of hell and of Satan.

But it was not only the unorthodox ideas expressed by Bertrand that had a disorganizing effect on Pasenow, the representative of the old society; there was the unforgettable fact of his renegade status, his deliberate separation from a role and status regarded as the function and responsibility of his caste. Along with his in-

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145 This theme is described by Broch in a letter to Dr. D. Brody: ". . . das Wesentliche der drei Bücher liegt ja im Durchbruch des Irrationalen, liegt in der ethischen Problematik, liegt in der Auflösung der alten Werthaltungen . . ." GW VIII (Briefe), 45.

146 See pp. 44-145 above.

tellectual and social separation went his physical separation; he became a city-dweller and joined the commercial class. From the point of view of the Pasenows all of these factors were shattering forces suddenly putting the old order on the defensive.

Bertrand succeeded in challenging either by his words or his behavior the most basic values of the culture of his time. Politically he challenged the state by renouncing its claims on his life and by treating casually its imperialistic claims; he even cast a shadow on the sacred idea of patriotism. Religiously he viewed the Church as an only-too-human institution more interested in its own preservation than in human values. In the field of morality Bertrand questioned the current concepts of marriage and family, promoted Joachim's liaison with Ruzena, and looked with cynicism on the traditional courtship, marriage, and family life to which he readily consigned not only Joachim but Elisabeth, whom he no doubt loved; in the second novel his sexually deviate life is exposed and seized upon by Esch as an indication of personal guilt for the general deterioration of society.

Underlying Bertrand's behavior was the spirit which drove him. Whether for good or evil it was necessarily defiant of society, concerned only with the individual, and hence in opposition to the institutional forces of church, state, and society which would place restrictions

upon the individual spirit. Whereas in Bertrand's case we find a high order of clarity and intelligence, in the case of his later alter ego, Huguenau, the demonic has been subverted into cunning, hostility, acquisitiveness, and opportunism.

Huguenau's view of society is matched by his own anti-social activities, beginning with his desertion from the army and ending with his murder of Esch. In each of his actions Huguenau's deed is the brutal consummation of Bertrand's intellectualized gesture. Bertrand withdrew from military service as an officer, Huguenau deserted from active service as an enlisted man; Bertrand tolerated Esch's point of view, Huguenau despised and battled it. Bertrand conceded his own life to Esch; Huguenau without provocation took Esch's life. Bertrand renounced Elisabeth, Joachim's fiancée, but Huguenau raped the wife of Esch. Bertrand's sexual deviation is told of indirectly; Huguenau's prurience with respect to Marguerite is overt. Bertrand's commercial enterprise is impersonal, Huguenau's is aimed at Esch's destruction. Bertrand's philosophy is abstract and complex, Huguenau's concrete and simple; Bertrand's cynicism is philosophical, Huguenau's is pragmatic and predatory.

These comparisons of the "agent" throughout the trilogy indicate by way of the motifs the deterioration of conventional values. A world of established patterns of thought and behavior is coming apart. Pasenow is

still able to live in Bertrand's world without either approving or destroying it, but he is not able to survive in Huguenau's world. Pasenow comes to his end because his heritage was obsolete in the new generation; tradition was successfully challenged by personality. Whereas in his youth Pasenow had used Bertrand as a consultant, in his old age he was overtaken by the ruthless and cunning moral descendant of Bertrand, the entrepreneur and renegade Huguenau. The sense of strength and promise of freedom Pasenow had found in Bertrand turned to revulsion and frustration when he was forced to observe and deal with Huguenau. Pasenow witnessed in Bertrand and Huguenau in turn the appropriation of a new freedom from tradition and from the tyranny of obsolescent institutions. Bertrand failed the test of freedom, first in Pasenow when his independence became the equivalent of irresponsibility symbolized by his constant travel, then in Esch when indifference to social wrongs demanded atonement in the form of demise in his "ivory tower" at Badenweiler. His socially and personally unproductive life was paralleled by his homosexual sterility, as Ziolkowski has remarked (p.89). Finally, in Huguenau Bertrand appears both as Bertrand Müller and as Huguenau. In the former figure he seems to be striving by social involvement to atone for his previous aloofness, but as Huguenau he plies individual freedom to its consistent end to achieve his goals unhindered by memory,

remorse, or ideals. Yet Huguenau, too, eventually betrays his "freedom": he resumes his slavery to contemporary institutions for his own creature comforts.[147] Blanchot states:

> Nous avons en Huguenau le premier de ces hommes ordinaires qui, à l'abri d'un système et sous la justification, vont devenir, sans même le savoir, des bureaucrates du crime et des comptables de la violence.[148]

The disintegration of values in the social framework was depicted in the trilogy by agent motifs and also by the motifs of environment. Pasenow experienced that historical change which brought science, industry, and a reconstituted society into confrontation with traditional morality, religion, and philosophy. The contrast between them was most strikingly apparent where the new urban industrial society produced social patterns and behavior which nullified in practice if not in theory the accepted norms of the evangelical and provincial agricultural community. Joachim von Pasenow, originating in a provincial community and imbued with its values, found himself exposed to a bewildering new world during his military training in the vicinity of Berlin. He

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147 This destiny of a "free" man may be compared with the truly free Virgil who, at Augustus' plea--not command--agreed as an act of social love and renunciation to the preservation of his Aeneid. In this respect Broch's Der Tod des Vergil is an extension of Die Schlafwandler, for it justifies individual freedom from institutional conformity--a justification which is intimated but not realized in the trilogy.

148 Le livre à venir, p. 142.

soon learned that the antagonists of his social and religious heritage were not only his liberal acquaintances; they were also the entire complex of modern urban industrial society as represented by the city, the machine, the commercial system, and the moral changes identified with this complex.

As in the case of the agent, the motifs here also indicate a deterioration of social values from the first novel through the third. Pasenow's Protestant conscience soon characterizes his urban environment as a slough; his sexual life takes place in a "cave". His association with Bertrand and Ruzena in the city disturbed Joachim's ingrained sense of right and wrong; the clear distinction between them has been blurred because he himself was involved at his own initiative in relationships at variance with his conscience. As he contemplates his involvement with these associates he anticipates his similar revulsion years later when he is involved with Huguenau amidst a military action of which he disapproved. The environment represented by a slough has deteriorated from the first novel through the third; he could escape it in the first novel simply by removing himself to the country and by marrying Elisabeth, thus reaffirming his cultural heritage and commitment, but he could no longer effect an escape in the third novel. There he was too firmly involved in the deterioration of his time and of society to flee the destruction which

first gnawed at his soul and then claimed his mind and body.

Pasenow in the first novel finds the machine an alien and sinister element in civilization, depersonalizing, foul, a producer of impiety. He prizes the distinction between military service and factory work. In Esch Bertrand's earlier commitment to industrial and commercial life seems to have given way to regret at involvement in the machine age, which he in this second novel explains to Esch is a system of violence. Esch, too, on his trip to Müllheim condemns the sterility of mechanical wonders. In the third novel it is the military machine fed by the industrial machine which finally turns Pasenow's pride in his career to ashes. Esch echoes what years before he had heard Bertrand say: ". . .oh, die Maschine ist das Böse und das Böse ist die Maschine" (p. 532). It is finally the chaos and violence of modern warfare which claims the lives of both Esch and Pasenow. The theoretical defection from traditional values in the first novel had progressed to actual negation of these values. The theme of deterioration culminated in Joachim's final reference to the machine.

The same is true of the city, merchant, and pollution motifs. Condemned and abandoned by Pasenow, the city is condemned but not abandoned by Esch. The latter is confined to the city by habit and vocation, but for him cities are detestable. Finally it is by the environment

of the city that Esch is defeated and Pasenow's intentions circumvented. The commercial life represented by the merchant also becomes more and more sinister and fateful throughout the trilogy. In the first novel it is the cultivated Bertrand who enters this suspect area; in the second novel Nentwig, Bertrand, Teltscher, and Oppenheimer all bear the general stigma of commercial and venal corruption; in the third novel Huguenau is the logical product of this deterioration: a person full of cupidity and the cunning of the predatory and hunted animal, self-centered and antisocial. The deterioration has developed from an experimental stage in Bertrand to technical and inhuman perfection in Huguenau.

The final environmental motif, pollution, represented by poison and gas in the second and third novels, is also developed from a low-keyed remark of Lohberg about the relative purity of city and country life to the outspoken moral indictment of polluting civilization by both Esch and Lohberg. The motif is taken up and developed to its ultimate form by Pasenow in the third novel where moral pollution is linked with the poison gas introduced into the military conflict. Thus this final aspect of the environmental motifs reflects in its intensification throughout the trilogy the actual accompanying deterioration of values from the first novel through the third.

The deterioration of values is further demonstrated

by the motifs dealing with the behavior of individuals representing the old order, primarily Pasenow and Esch, but secondarily such figures as Lohberg, Hanna Wendling, Jaretzki, Gödicke, Elisabeth, and the Salvation Army girl. Their experiences were bound to have more than a transitory shock effect on the individuals concerned, since the values undergoing deterioration were of a basic and profound nature, affecting the point of view and the behavior of those intensly exposed to the difference between the old and the new. In fact, this first significant theme of deterioration of values is inevitably supplemented by the theme of personal loneliness and anxiety.

2. Loneliness and Anxiety

A series of motifs conveys the dual theme of causal loneliness and resultant anxiety throughout the trilogy. They are the motifs of relationships, the conflict of generations, and the Oedipus complex; the motifs of insecurity, the uniform, nakedness, and the crutch; and the motifs of isolation, Mignon, trauma, the bed, the rebel, and the ailment complex. They all support the theme of individual bewilderment and abandonment within a society whose values have disintegrated.

There is much talk of "Einsamkeit" in Die Schlafwandler. To be "less lonely" is the most optimistic hope both Helmuth and the elder Pasenow can express

(42, 69). Loneliness is looked upon as a condition of human existence. The elder Pasenow even seems to welcome the region of the dead as an answer to this loneliness (78). He desperately attaches hope to Bertrand's writing him after leaving Stolpin (88), for he has been able to speak with Bertrand of "Angst" (90) and feels the loneliness and anxiety of the two of them may be less than that of himself alone. The old man fearing the pastor is withholding letters from the dead Helmuth (126) also feels drawn to the region beyond. In desperation he begs his attorney to write him; he cannot endure his loneliness. His compulsion to obtain mail reflects his deep need of vital communication from a distant and authoritative source, like Kafka's heroes waiting in vain for entry into their destined home.

Joachim is alone in his confusion and is anxious in his relationship with Elisabeth and Ruzena (140). The same kind of anxiety affects Elisabeth in her knowledge of the inevitability of change (103, 108). Bertrand is also lonely, but in a different way, as both Joachim and Elisabeth recognize. Joachim uses the comparative "more lonely than the others", but Elisabeth more perceptively identifies it as the loneliness not of desperation but of expectation and fulfillment (151). The first novel ends with the question of direction: ". . . wo ist der Wegweiser zu jenem Erkennen in der Einsamkeit? Wo ist die Hilfe?" (168).

Esch, of course, provides the prime example of loneliness in the second novel, for in his "orphaned loneliness", as he puts it (206), he combines his loneliness as an orphan with a social and spiritual loneliness intensified by awareness of his unfulfilled life and his obsession with moral justice (different from Geyring's efforts for social justice). Everything Esch does is in a way touched by the loneliness of his existence (209-211), his physical isolation (363), his spiritual isolation (242, 301, 329, 566), his social isolation (326, 331).

In the third novel Huguenau's elemental loneliness in society turns him against humanity (370). Müller considers loneliness as the inevitable fate of man (527). This loneliness is intensified by the specialization of modern man, already anxious in his all-too-human loneliness and now dehumanized by his functional role in society (475). The generic loneliness of women is seen in the case of Hanna Wendling (499, 590). Further aspects of human loneliness are shown in the loneliness of conviction (516), the loneliness of a search for God (525), the loneliness of despair (532), the loneliness of personal existence (549, 552, 569, 571, 572, 627, 685), and the loneliness of the child (628).

A review of the actual use of the terms "Einsamkeit" and "Angst", apart from the indication of these states by the motifs, reveals a wide range of application. The terms are applied not only to the main characters in the

trilogy but to nearly all characters in the third novel, demonstrating as in the case of "Zerfall der Werte" the progressive intensification and pervasiveness of the deeply problematic in modern life. The characters in Die Schlafwandler are distinguished by their external isolation, existing as they do in circumstances which set them apart in some way from society. They also represent spiritual aloneness in their search for or despair of meaning in their lives.

This realization of loneliness results from the disintegration of values in society. Devoid of traditional props and reassurances, the individual is plunged into a round of experiences and decisions for which he is not prepared. Now confronting his own situation, his life condition, his finiteness but also his freedom and responsibility, the individual feels unprotected and anxiety-ridden--naked, as young Pasenow says.

The elder Pasenow, clinging to the old social institutions, is nevertheless past believing in their validity. He maintains only a wry faith in the clergy (" . . . das Grab steht unter seiner Obhut" p. 89.) and finds his family and the visible signs of his patriarchal authority vanishing with the death of Helmuth and the estrangement of Joachim. In Bertrand he sees a "free" man who may

release him from his anxiety,[149] but eventually the elder Pasenow's only consolation remains the stable: "Der Geruch des Kuhstalls strich herein und Herr v. Pasenow fühlte sich wohl" (p. 96). His stark loneliness expressed itself during early life in sensuality which served as an escape from human freedom and responsibility. In his maturity he exercised paternal autocracy, an evasion of his finiteness by arrogation of godlike authority. But finally in his old age he is empty not only by reason of senility but by reason of desperation at his exhaustion of the alternatives to the confrontation with himself demanded by his existence. His final and repeated solace in the barnyard, analogous to his youthful sensuality, is Broch's sardonic reflection on man's surrender of his humanity for unproblematic, ignominious survival.

Cast in the same terms are Joachim's loneliness and anxiety. Confronted with the possibilities of the kind of free human existence embraced by Bertrand, Joachim identifies himself desperately with the authoritarian security of the state; in his uncertainty, traceable to Bertrand's liberalism, he abandons himself during a troubled interlude to sexual passion for Ruzena, thus

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149 "Angst" associated with "Einsamkeit" is related to the previous references to "Einsamkeit": 210, 326, 359, 462, 516, 517, 533, 537, 556, 558, 566, 614, 627, 631-2, 674, 685.

again denying human freedom and responsibility by this servitude to the elemental. Only in the third novel does he face, as his father had, the stripping away of all external and institutional evasions of the existential problem. At this point he is ready for "grace", the ethical freedom which he could not find either within the military system or when giving rein to his instincts. As in the case of Bertrand and Esch, Pasenow's death becomes an indication of the last stage of his futility. All three were preoccupied with temporal readjustment, all three fell short of their goals, all evaded the primary responsibility of the exercise of freedom and ethics in social relationships. Their world no longer accepted shibboleths or permitted uncertainty: it did, however, accommodate Huguenau as an absolute force.

In the second novel Esch is the person most concerned with the problem of justice. He assumes successively the roles of judge and redeemer. But his loneliness and the social organization drive him to instinctive sexual behavior, where human freedom is denied and the problem of existence is suppressed. Otherwise he escapes the problem in a changing and hence unreliable society by asserting authoritarian (indeed divine) prerogatives of judgment over his fellowmen. As a rebel he feels he stands above the society he judges (inspired by "something better and higher"), but he is not yet receptive to

his own state of guilt and need of grace. Lonely in his rebellion, he is also lonely because his rebellion evades the problem of his own existence.

Esch in the third novel rejects both the institutional and the instinctual evasions of human dignity and responsibility when he forms a community devoted to the spiritual renewal of society. In trying to bring this about, he gives expression to mystical utterances and hopes for a new "savior". Previously he hated the enemies of justice, now he is devoted to a fellowship of love and the preparation of a reconstructed society. But Esch, too, failed to find the key to meaningful existence. He hoped to find release from his loneliness and anxiety from an external source; he failed to do so and thereby failed to achieve freedom before his sudden death at Huguenau's hands. By ending Esch's life with violence, Huguenau proclaims both the death of the old society and the betrayal of the new, for in his moral license he failed to create the ethical values which alone would justify personal liberty.

Bertrand's loneliness is different from that of Pasenow and Esch, first because he broke with the tradition of his contemporary society, and secondly because he denies responsibility for his newly-asserted human freedom. In the rejection of institutional society he abandoned personal social involvement and ended in symbolic isolation in his Badenweiler "park-castle". From

Broch's own epigrammatic characterization we also gather the condemnation of Bertrand as the "esthete" who stands apart from and even above his contemporaries but will not deign to communicate with them:

> Auch der Ästhet unterscheidet nicht Gut von Böse, deswegen fasziniert er. Doch er weiss sehr wohl, was gut und was böse ist, er will es bloss nicht unterscheiden. Und das macht ihn verworfen. (p. 573)

Bertrand's withdrawal from society ends in an existential loneliness in which he could find no answer to the problem of his own or human life. His melancholy ennui provides a fitting mood for his voluntary exit from life.[150]

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150 Mandelkow sees in the Dr. Bertrand Müller of the "Geschichte des Heilsarmeemädchens" a reincarnated Eduard von Bertrand (cf. Mandelkow, pp. 154-155), appearing now as a penitent within society to assume social responsibility and thus regain his own humanity. I find this a useful suggestion but believe it necessary to elaborate and extend it somewhat as follows. The "Geschichte" is an off-stage spiritual by-play which permits the parallel existence of a penitent Bertrand to fulfill his shadow role at the same time that the corporeal and carnal "Bertrand" in the form of Huguenau develops the asocial and amoral programs initiated by Eduard von Bertrand. The name "Bertrand Müller" suggests the descent from superior remoteness to common associations, i.e., in the absence of "von" and the adoption of so ordinary a name as "Müller". Although Müller is frustrated in his attempt to achieve social reconciliations, acceptance of Mandelkow's idea permits the further analogy with the Parsifal theme of penalized unconcern remedied by later concern rewarded with the Grail. Finally, it may be noted that Broch himself serves as a key figure in the persons of Bertrand and Müller. Like Bertrand, Broch was engaged in business, which he abandoned to become a student. This proved unproductive and led Broch to writing novels as the means to influence society. Later in America he concluded this too was relatively ineffective and turned to his study of mass psychology, hoping in this way to help prevent a recurrence of authoritarianism and militarism. One can hardly doubt, at least, that Broch is speaking for him-

Bertrand in effect finds the zero-point of existence unsatisfactory. Both the authoritarian and the instinctual alternatives to expression of his individuality could not satisfy him, nor did he find grace in the form of the reciprocal love of either God or man. In their own ways Pasenow, Esch, and Bertrand typify the evasions of man's condition. Each is guilty of avoiding man's finiteness by resorting to authoritarianism: Bertrand as the superior sage, Pasenow as the committed representative of the autocratic state, and Esch as the self-appointed judge and savior. Pasenow briefly and Esch over a prolonged period indulge in sensual evasion of man's freedom and responsibility, an evasion paralleled by Bertrand's withdrawn contemplation of society and his indifference to its problems.

In the figure of Huguenau we find both intensification and brutalization of the earlier Bertrand and the earlier Esch. In his loneliness Huguenau adopts both Bertrand's amorality and Esch's sensuality while using social conventions to further his own ends. Thus Huguenau ends up completely divorced from normal human

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(Footnote continued from previous page.)

(150) self in the persons of Bertrand and Müller. Broch has stated: ". . . denn das Kunstwerk, die Dichtung, gelingt nur, wenn es dem Dichter gelingt, im Werk seine Person wieder zu sammeln und zur Einheit zu bringen, wofür wieder Goethe als Beispiel anzuführen ist" (GW VIII, 134).

existence, whereas Bertrand had advanced to humility, the necessary state prior to grace, and Esch had advanced to grace itself, if with a touch of spiritual pride.

The Mignon motif embraced Ruzena, Ilona, Marguerite, and Marie. The loneliness of all but Marie stems from their existential situation: all were isolated without family; all were transient and unstable, uncommitted to society; all were dependent on abnormal relations with society. Their behavior and goals were related to their social anonymity. In existential terms they were largely committed to the evasion of their human condition and therefore remained in their lonely anxiety, the quest for meaning unfulfilled.

As for Marie, she also appeared without genealogy and vanished without posterity--as a religious figure her commitment was to life beyond. She shared with Bertrand Müller and Nuchem Sussin the pantomime existence of unworldliness within the world. She remained without involvement in society except as she sought to wean it from time and space, the very elements of its identification. Marie becomes the polar opposite of Eduard von Bertrand--he being involved only with reflections on and enjoyments of temporal existence, she involved only with the irrational and with Christian mysticism, the reflection and enjoyment of the "new Jerusalem". Unlike Bertrand, she gladly wore the uniform of an organization.

The four Mignons of the trilogy are all far from "home"; the fate of each is unknown in the trilogy. Like Goethe's Mignon they are doomed to lonely, anonymous, and anxious existence. Ruzena is last seen much as she is first seen, employed in a café; Ilona returns to Teltscher; Marguerite disappears in the chaos of the war's end; and Marie fades from the picture as does Bertrand Müller. All remained uncomfortable and restless in their sensuality or spirituality because each denied the physical and spiritual duality of the individual as well as her social role in society. Cut off from communication, each remained existentially lonely and pressed by the anxiety of uncertainty.

The traumas of Pasenow, Elisabeth, Esch, Gödicke, Jaretzki, and Hanna Wendling carry forward the theme of loneliness in the form of internal conflict of personality. Values having been challenged, the naked soul confronts its own existence and questions its own value. Seeking an answer, it is cast into confusion by the conflicting claims of body, mind, spirit, and society.

So Pasenow and Elisabeth are absorbed but not solaced by society. Esch doggedly pursues social reform until, his efforts completely frustrated, he attains a vision of a world renewed by grace rather than by violence. Yet this is a vision of the future, not a program for the present. Gödicke, shattered by his "death" and especially by his "resurrection", is torn between the

special grace and particular arrogance of his survival. He becomes a symbol of both disintegration and the struggle for reintegration of personality--a microcosm of the entire trilogy.

Jaretzki, in spite of his initial appearance as an unproblematic extrovert, perceives during his forced idleness in the hospital the horror of his fate and his victim's--a horror reflecting the chaos of all society. Like Pasenow, Jaretzki became a desperate and bewildered man when he had to confront reality outside the world of unthinking response to military orders. His irrational conformity created ghosts which his rational personality could not lay. Dispatching him to a rest home for the emotionally disturbed, Dr. Flurschütz said, ". . . eine tote Seele ist der Jaretzki" (p. 620).

Deprived of the normal acceptance of reality, "nackt und bloss ausgestellt", the characters never find the psychic health necessary to restore their élan. The social order having disintegrated, their orientation must come from elsewhere. They have not the independence or imagination to find it either within themselves or in religion or philosophy.

Even the bed contributes to the loneliness theme, serving as a symbol of desperate loneliness even in frenetic copulation (Pasenow, Esch, the Wendlings), physical frailty or infantile regression (the elder Pasenow, Bertrand, Gödicke, Hanna Wendling), refuge (Erna Korn,

Hanna Wendling, Huguenau). All these testify to the existential loneliness of the human being for whom his bed is the first and last earthly home and between birth and death the place where he seeks his raison d'être.

Esch and Ilona escape their loneliness when they temporarily renounce the attractions of the bed--the former in his scorn of the Lohberg-Erna, Ilona-Balthasar unions; and the latter in her disgust with Balthasar as she contemplates the Virgin Mary and what she might have been. Thus the loneliness of Esch and Ilona is interrupted by their recognition of a better world. Each has a glimpse of the dignity of human life, its finiteness, to be sure, but also its offer of freedom and responsibility.

Sentimental inertia forms the nostalgic element in loneliness when the individual has been left behind as the world of reality moves away from historic positions. Reliance upon tradition and institutions and the inability to face present reality with respect to oneself are problems basic to man's existence. The need for decision, uncluttered recognition of reality, and bold acceptance of responsibility is in direct conflict with desperate allegiance to conventions which shield and "clothe" the loneliness of the sleepwalkers. Only an awakening, a grasping of identity and reality will ban futile reliance on external props. Sleepwalking

itself is a support, a more or less conscious refusal to be involved, a retreat to the womb, a reluctance to know who one is or recognize that one must find a meaning for his life before he is borne away by the stream of time.

This was exemplified by Pasenow in the first, by Esch in the second, and finally by Huguenau in the third novel. But Esch and Pasenow in the third novel, as well as the elusive Dr. Müller, struggle with the sleepwalking state and become apostles of spiritual vitality and affirmation, although only in a prophetic rather than a fulfilled sense. Huguenau continues atavistic, acquisitive, and philistine, never quite attaining full humanity. He is temporarily liberated from a system of values but, unequal to the task of creating ethical values in his devalued life, he voluntarily returns to the bondage of convention and tradition.[151] Broch comments on Huguenau: ". . .für den Typus Huguenau, wenn auch nicht für Huguenau selber, (ist) der Weg zur neuen Mystik angedeutet . . . Der eigentliche Sieg liegt in der neuen Ethik, die rationell im Werden ist . . ." [152]

The theme of loneliness is conveyed also by the

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[151] Ziolkowski remarks in his discussion of Broch's philosophy: "However, man must create his ethical values as though there were nothing outside this world. Here Broch reaches a solution that is close to Camus's concept of human dignity and solidarity" (p.8).

[152] GW VIII (Briefe), 28.

motif of the rebel. Esch follows Bertrand on this bold path. Bertrand struck out for his personal independence and chose a separate path of existence, involving himself only casually with others and deliberately remaining on the periphery of society even while maintaining the "physician's" analytical attitude; Bertrand remained the lonely philosopher, the sick physician who could treat symptoms but not diseases.[153] He claimed freedom for himself but rejected responsibility. His finiteness he hid behind his intellectual superiority, but this "physician" could not heal himself. His rejection of society and his rebellion gained him independence but also loneliness, for as he asserted his individuality he rejected the social nature of the human personality. The vacuity of his existence was apparent in his confrontation with Esch and his acceptance of guilt for the social injustices attributed to him. Bertrand's spiritual isolation found culmination in his physical demise. As in all cases of unresolved existential loneliness, meaninglessness calls for non-existence, for extinction.

Esch was the social rebel, the Don Quixote and Martin Luther, who not only had his private vision but set out to change the world in accordance with it. This made of him, too, a lonely rebel, a man with an obsession, whose relations were rather with an unseen world than

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153 See GW II, 606, esp. passage quoted on p. 255 above.

with the objective world of reality. Essentially Esch's life was one long attempt to create for himself an objective world corresponding to the dream of all that which had been denied him; for this reason he must reject his finiteness in order to maintain a sense of mastery and creativity, a sense of judging and redeeming society. He establishes a family, his wife somehow always remaining "Mutter Hentjen", and his surrogate daughter Marguerite never being quite his. Battling private and social windmills, Esch ends up with a religious dream still largely unrelated to the reality of his own existence or the society in which he moved. His was the loneliness of the rebel who will embrace even this solitude for the peculiar satisfaction of asserting if not fulfilling his personality.

Motifs of ailing complete the theme of loneliness. The crutch, the hospital, the sick-bed, doctors, nerve specialists--all point to the brokenness and fragility, the need and loneliness of the individuals affected. Even Bertrand Müller feels himself weakened and depressed by the futility of his social efforts with Marie and Nuchem. The ailment specified and multiplied in Die Schlafwandler is quite clearly psychic even in the presence of physical hurt. The infrequent mention of sickness and doctors in the first novel makes way in the third novel to so prevalent a state of non-health that only the protagonists, Pasenow, Huguenau, and Esch, are

physically healthy. All around them is frailty and decay, and this condition is not lost on the three main characters. Pasenow and Esch recognize it and attempt to change the course of society.[154] Huguenau recognizes the condition and flourishes in his exploitation of it.

It is characteristic of the trilogy that the themes develop with increasing rapidity as the events move closer to the present. The theme of loneliness begins slowly and proceeds deliberately in the first novel; it increases in speed in Esch; and in the third novel it accelerates noticeably, accompanying in this way the development of the theme of disintegration of values. At the same time the novel becomes more fragmentary; the cohesive elements of traditional fictional narrative dwindle with the fragmentation of the traditional social values. Thus the trilogy concludes with a sympathetic note to those who are exposed in their personal desperation: "Tu dir kein leid, denn wir sind alle noch hier" (p. 687), suggesting a respite from stark loneliness by a new and purified social concern.[155] But the themes of disintegration and loneliness lead inevitably to the basic questions of existence, meaning, and purpose.

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[154] Broch wrote in a letter to D. Brody: "Dieses sterile Zurückgreifen ins Mystische . . . gehört zum notwendigen, erkenntnistheoretisch bedingten Ablauf der Geistesgeschichte, und dafür sind auch Pasenow und Esch die Repräsentanten." GW VIII (Briefe), 28.

[155] See also earlier references to this Biblical text, GW II, 561 and 562.

Without these life must be existentially absurd. Broch is not content to come to this conclusion. Therefore one finds in the trilogy a third major theme, that of the search for the Absolute. Our concluding section will concern itself with the development of this theme by means of those motifs which convey it.

3. Search for the Absolute

Erich Kahler remarks of Broch:

> Der Ausgangspunkt seiner Arbeit also war die Erkenntnis vom Schwund des Absoluten; zugleich aber auch die Erkenntnis, dass allein ein Absolutes einen gültigen, lebensgebietenden Wert schaffen kann. Um diesen zwingenden, die Menschenwelt und das Menschenleben zusammenhaltenden Wert geht es, von der Rettung dieses Wertes, die eins ist mit der Rettung des Absoluten, hängt das Schicksal des Humanen ab.[156]

As one considers the last group of motifs not yet identifiable with a theme, it becomes clear that exactly this search for an absolute is Broch's concern in his Utopia motifs. Broch was not content to leave humanity in a state of disintegration with its resultant anxiety and loneliness. The trilogy stays, rather, with the fundamental problem of humanity and refuses to conclude with despair. Passages referring to the unity of the medieval Christian society do not hope nostalgically for a restoration of that period, but ask rather what

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[156] Die Philosophie von Hermann Broch (Tübingen, 1962), p. 7.

new and more basic, what ultimate and lasting unity can be found in which society may place its trust. Although Broch poses the question and encourages the search, the trilogy ends with an expression of hope for this ultimate goal--he does not explain how it is to be achieved.[157]

Broch's optimism rests on the polyhistoric view of history derived from Giambattista Vico. Die Schlafwandler itself is polyhistoric, particularly in its second and third volumes, where a cross-section of national life is presented. Vico's philosophy of history and society posits a three-stage spiral of development from gods to heroes to men--developments brought about by imagination and logic, proceeding from integration to disintegration.[158] But the disintegration, the recurrent barbarism, is always endowed with some of the remnants of the previous civilization, hence the spiral is upward in Hegelian fashion.

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[157] This emphasis on the search rather than the achievement of a new absolute reminds us of Goethe's concept of "immer strebend". Another similarity with Goethe is noted by Horst: ". . . Hermann Broch erblickte in der 'überbürgerlichen Haltung' Goethes den Ansatz zu einer neuen Gesamtanschauung . . . Das polyhistorische Wissen der Gegenwart, die Bekanntschaft mit den Mythen aller Zeiten und Epochen, die Entdeckung unwandelbaren Archetypen in der menschlichen Seele: all das schien ihm die Gewähr für ein Gesamtsymbol der Menschheit zu bieten. das zu schaffen der Kunst vorbehalten sein sollte." K.A. Horst, Die deutsche Literatur der Gegenwart (München, 1957), p. 83.

[158] Jacob Burckhardt's The Civilization of the Renaissance in Italy, treating the early 16th century in Italy, concludes with the chapter entitled "General Disintegration of Belief".

In the second and third novels, in which disintegration rapidly becomes more perceptible, bases are established for new beginnings which are to avoid the pitfalls of the dying era. The Utopia motifs carry out this thought in a desperately hopeful and, sometimes, pathetic manner. That America is a symbol of the unattainable is evident from reference to the voyage as a great adventure into the unlimited; reaching the shore would destroy the search. Likewise the fetish-like mementos--the Statue of Liberty, the Eiffel tower, the Schiller-Denkmal, the Badenweiler postcard--come to represent a splendid hope for something better, a simple absolute which will keep everything and everybody in perfect relationship, thus satisfying both the rational and irrational promptings of the human soul.

For Esch the Absolute represents perfect freedom, perfect justice, serenity, and simplicity. Not only America and his mementos, but the Park-Castle motif convey the same dream of release and certitude, freedom and seclusion within the magic circle of the Absolute. The return to nature indicates the end of one spiral and the beginning of a new one; civilization is condemned, the primitive is extolled.

America serves as an absolute in various ways consistent with the person involved. For Teltscher it is a commercial paradise of economic opportunity. For Esch it seems a place of refuge for Bertrand, a place of new

beginnings for himself, an immaculate future purged of the desecration of Ilona and the memories of Herr Hentjen. When we read ". . . sein Leben war dennoch auf das amerikanische Projekt gerichtet gewesen. . .", we realize that this is more than a whim, more than a hobby; it is a man staking his life on the existence and attainability of absolute value in a relative world with which he is surfeited. Not only his impassioned words, his somewhat nebulous plans, his periodic determination, but the very essence of his spirit demands that there be a final truth to justify his life.

It is this search, necessary to the rational continuation of existence, which Esch yet clings to at the end of the second novel when he knows that the physical journey to America will remain an unfulfilled dream. The search for the absolute has now become for him a "Way", a faith in which Esch resides. Never able to balance the books, ever frustrated by the discovery of new injustices, Esch needed an Absolute in the universe, whether it be temporal and future or spiritual and infinite.

The back-to-nature motif again symbolizes the search for purity, absolute virtue, uncontaminated isolation. The term "security", occurring with reference to Joachim in Elisabeth's garden, is appropriate also to Esch's sense of serenity in Bertrand's estate where a paradisiacal picture of all created life--man, flora, and fauna--is lyrically offered.

As a person of graphic concepts Esch maintains his mementos throughout the second and third novels as tangible symbols of his persistent longing for the absolute. Each memento represents significant moments in the history of Western man. America's achievement of freedom against an entrenched political and commercial system, France's revolution against a similar authoritarianism, and Schiller's passionate championing of liberty: these were historical feats appealing by their magnitude and boldness to the roused but frustrated Esch. In them he saw evidence of an "earthly absolute" which at critical points in human history displays itself, if only momentarily, to renew the hope and the mission of humanity to find its destiny in that which is ultimate and absolute in human life rather than in the proximate and relative.

Esch's search for the absolute presses him into the mold of the Old Testament God of wrath and judgment, and likewise into the mold of the New Testament God of love, sacrifice, and redemption. But finally in the third novel he acknowledges that the absolute is beyond his reach. He relegates it to an unknown future containing the seed of a new society. Esch becomes the mystic seeker of an authoritarian absolute to replace the values of the old society. Geyring had settled for modification and exploitation of the old social system; Bertrand had settled for disengagement and reflective observation, profiting

from society but not seeking to regenerate it; Gödicke clung passionately to the euphoria of his resurrection as he struggled to reconstitute his personality. Pasenow moved from one state of confusion to another; his life was a series of half-way marks in search of security without insight, repose without final commitment. And Huguenau stood at the portal of personal freedom, but the portal was at the foot of a mountain; Huguenau turned away from responsible freedom and self-realization. As Broch himself pointed out, Frau Hentjen, Esch's wife, is the other "wertfreier Mensch"--hence the ironic justice in the eventual physical union of Huguenau and Frau Esch and their commercial negotiations over Esch's estate.[159]

That Esch's search is truly for the absolute is indicated during his visit to Bertrand when he suddenly feels that this is Utopia and that he need no longer fight for justice in the world: here he has found perfect order. Thus his interim goals for Geyring and Ilona were but reminders of the absolute unequivocal justice and order Esch thinks he detects in Badenweiler. This search for the absolute, on the other hand, having begun with the wrath of Jehovah, ends with the love of the Savior. Both Esch and Pasenow are caught up, in the third novel, with the need for love and grace as the hope of the world. This is conceived in Biblical terms and actually con-

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[159] See GW VIII (Briefe), 26.

stitutes a compromise between the authority of society and the demands of personality. Philosophically Esch is dualistic, torn between the empirical and the normative. He escapes into mysticism, finding there a suprarational authority to which he can commit his own personality. Yet throughout Esch is motivated by passionate social concern; he wants to be involved with his fellow men. Esch is the forerunner, a John the Baptist to an "Erlöser" whose coming he prophesies because of his own need of liberation as much as society's.[160]

Because of his experience of the limitations and distortion of life about him, Esch awaits the day of destruction as a necessary preliminary to the purification and renewal of the world. The religious tone which dominates the third novel evolved from the secular, "free-thinking" fanaticism of the bookkeeper Esch whose horizon was limited by his vocation. Nevertheless the nucleus of his search for the absolute is evident in his longing, first for another environment, then successively for another country, a pure society, a sacred person. He

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160 Broch comments on Esch: "Was ich mit dem Esch gewollt habe--die sozusagen erkenntnistheoretischen Gründe aufzeigen, die aus dem Boden des Irrationalen (in zweiter Linie erst Unbewussten) herauswachsend, zu den Ur-Ideen alles Religiösen, der Opferung, der Selbstopferung zur Wiedererlangung des Standes der Unschuld in der Welt führen . . . die irrationalen Kräfte, die zur Religionsbildung führen und durch die Kirchlichkeit gebunden werden, werden am Ende der Bewegung wieder frei und entfesselt und nehmen mit gewissen Modificationen die Formen des Beginns wieder an." GW VIII (Briefe), 47-48.

saw ideals in Bertrand, Mutter Hentjen, Ilona. Their feet of clay and his own marriage to Frau Hentjen do not divert him long from his consuming need to find an absolute. As human associations disintegrate and disappoint him, Esch finds hope of fulfillment for himself by fanatical immersion in Bible study and discussion, much of it apocalyptic. Sadly, Esch's search for an idol to which he can impute final authority and responsibility became an accelerating flight from personal responsibility.

The search for the absolute is consistently represented in the trilogy by an idealized woman, be it Elisabeth, Ilona, Frau Hentjen, or the Salvation Army girl. This is the Christian "Holy Virgin chosen of God" as well as the Lady of medieval knighthood, human embodiment of the divine absolute, desired not as a possession but as an inspiration, a goal, and a reassurance of existential meaning transcending daily survival. Pasenow makes his compromise with reality by his marriage with Elisabeth and eventual parenthood. Esch is frustrated both in his sublimation of Ilona and in his mating with Frau Hentjen.[161] Finally Esch finds his search for the

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[161] Note the interesting reversal of roles. Pasenow, the "romantic", tradition-bound man, deserts the sensual Ruzena and marries Elisabeth whom he has idealized. But Esch the "anarchist", a man of instincts, idolizes Ilona and marries the sensual Mutter Hentjen. These relationships illustrate the dilemma of the individual in cultural

(Continued on next page.)

absolute lies in the realm not of irrational sensuality but of irrational (suprarational) religious ecstasy. His orphaned state is symbolic of his need for the security of belonging. But his surrogate parents, Bertrand and Frau Hentjen in turn, disappoint his hope of creating a family unit to which he can commit himself spiritually. The realization of the absolute in a close family relationship which would establish him in the chain of generations is thus denied him.

Esch's attempt to create a family of which he himself is the father and godhead is related in the second and third novels. The "savior" is to be the child of his loins and of Frau Hentjen's rejuvenated womb. This fantasy is dispelled with the actuality of his wedded life and his numb realization that this hope cannot be fulfilled. In the third novel Esch creates a nostalgic role for himself as the adoptive father of the waif Marguerite. His fondness for her seems to stem both from his own lack of progeny (with the consequent sense of incompleteness) and from a recognition in Marguerite of his own lostness throughout the years. If Esch cannot find escape from loneliness in an absolute, he can at

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(Footnote continued from preceding page.)

(161) crisis. Deprived of institutional supports, the individual fluctuates between the Super-Ego and the Ego. Huguenau supplied the Id-factor. Personality faces disintegration with the removal of social values; the alternative is personal freedom and responsibility.

least play absolute to Marguerite's loneliness. He can think of Marguerite as the fulfillment of his marriage to Frau Hentjen, to whom the girl clearly means little. That this is a closed family picture with the glow if not the reality of meaningful existence is clearly recognized by Huguenau who makes the bizarre and profane suggestion that he, Huguenau, be taken in as the anticipated Son of prophecy. But Marguerite is only a tentative and peripheral figure in Esch's life, as her unpredictable movements indicate; the need for an absolute continues.

The redeemer-son of prophecy is Esch's final hope and final retreat in his search for the absolute. As he has not succeeded in producing righteousness by his own efforts, and as his hope for a redeeming progeny has crumbled, Esch is compelled either to abandon hope for a new and just world in which the absolute is expressed or attribute its fulfillment to an event external to his own existence. This latter course Esch adopts, sublimating all his redemptive and judicial urges in Biblical and apocalyptic preparation for a new agent injected into history to cleanse and reconstruct society.

Hence in the third novel all social relationships gradually recede, and spiritual aspirations advance into prominence. Inadequate rational and empirical knowledge is supplemented with the suprarational and intuitive. Esch emerges as the new religious man in an old society.

He is concerned with his own certainty of truth but also with the enlightenment and redemption of his fellows. In this state Esch has challenged the absolutism of Pasenow, the organization man, and the sterile independence of the disengaged Bertrand. Esch's absolute embraces both rational and suprarational truth. Continuing to assert his independence of society whose injustice he has experienced and observed, Esch relates all his striving to an ethical ideal.

It remains for the non-hero, Huguenau, to approach the earthly absolute in his "holiday" from the army and his home. Acting from his own immediate interests, making decisions by the opportunity of the moment, Huguenau becomes the existentialist free of mossy traditions or the bite of conscience. He reacts to his environment strictly according to his ability to wrest a measure of satisfaction from it. As Broch himself has put it: "Bloss Huguenau ist der wahrhaft 'wertfreie' und damit das adäquate Kind seiner Zeit."[162] The earthly absolute of personality and its potential unfettered by the irrational elements of outworn traditions and morality is shown embryonically in Huguenau, but Huguenau is too limited to survive in the rarefied atmosphere of personal freedom. After the war he embraces all the bourgeois modes of life which guarantee creature comfort and enslavement of the

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[162] See GW VIII (Briefe), 26.

personality. Thus, while for Esch and Pasenow the search for the absolute ends with a hope for improvement, for Huguenau his "sleepwalking" search ends in conventionality. As the first man in the new creation, he succumbed to the temptation of his genetic forebears and forfeited a birthright of freedom. Huguenau fits well into the perspective of Broch's Der Versucher at the point where Mutter Gisson says to the "Landarzt": ". . . vielleicht schickt der richtige Erlöser immer erst einmal den falschen voraus, als Kehrbesen . . . vielleicht muss immer erst der Hass kommen und die Angst, um reinen Tisch zu machen . . ." [163]

We are left waiting at the end of the trilogy for the "Passant, der jetzt über die Strasse geht" (p. 686), who may be the true savior.[164] The assurance of the conflicts of absolutes--systems against individuals--and of the emergence of new values culminates in the confident assertion of humanity and goodness: "Tu dir kein Leid! denn wir sind alle noch hier." [165] The earthly absolute

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[163] See GW IV (Der Versucher), 346.

[164] Cf. previous references to "Passant" (GW II, p. 48 and p. 566), in which disillusionment replaced hope. The last mention of a "Passant" expresses anew the hope that an authentic redeemer will appear among men. See also pp. 64 and 67 above.

[165] In Der Versucher as in Vergil, a new race is awaited with the confidence of improvement. Vergil anticipates Christ. Mutter Gisson anticipates her grandson. Ratti's organizational threat to the natural community is thus disposed of by the Landarzt: "Mutter Gisson ist gestorben,

is the individual himself, bearing prescience and prophecy within his own being. Human dignity resides in the assumption of ethical responsibility for the self through the reconciliation of the rational and irrational elements of one's being, the total harmony of thought, feeling, and will. The optimistic vision Broch leaves at the end of the trilogy is that of society collectively elevated through the exercise of individual freedom coupled with ethical responsibility.

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(165) und die Agathe hat ihr Kind. Und es will mir scheinen, als ob mit dem Kind der Agathe eher die neue Zeit kommen wird als mit den Reden des Marius, es will mir schienen, als ob sich in Agathens Geist die neue Frömmigkeit vorbereitet, die die Welt braucht und die sie will, und dass Agathens Kind das einst wird verwirklichen können. Und vielleicht bin ich bei dieser Geburt dabeigewesen." GW IV (Der Versucher), 554.

CHAPTER THREE

1. Summary

We have explored closely Broch's trilogy Die Schlafwandler. Our purpose was to discover and identify motifs in the trilogy and to relate them to the themes of the work. The motifs we considered as basic structural elements organically related to the structural principles, i.e., the themes. Rather than proceeding from extant Broch criticism, which has been largely of a general nature, we proceeded inductively with the accumulation of evidence from the work itself. This established the basis for deducing the themes of the trilogy. Thus we attempted to elucidate two main facets of Broch's writing: his literary artistry reflected in his use of motifs, and his philosophic commitments as reflected by the themes of the work. The aim of the study was to provide an analytical basis for a better understanding of Broch's novels and of his place in the literary world.

The study has exposed a great number of motifs. Indeed it soon appeared that it was neither possible nor necessary to consider exhaustively all the motifs in this one study. To the casual reader some of the motifs

in Die Schlafwandler might escape notice or appear as episodic narrative with repetitious elements. In each case, however, the accumulation of instances, the analysis and the comparison of contexts have shown that Broch systematically developed his motifs, sustaining them by intensification and acceleration.[1] As the motifs appeared in relief, generic similarities became evident among groups of them. This led therefore to a division of the motifs into three major groups.

These have been broadly designated as motifs of negation, of isolation, and of affirmation. The motifs of negation included those of agent and environment which were hostile to the traditional order of state, church, and society. These forces likewise threatened and challenged the individual in his basic or supposed security in ancestral molds. They attacked the individual in his fundamental beliefs in the authority of social institutions. They unsettled his satisfaction with his own role in society. They exposed the individual to himself, un-

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[1] Broch remarks: "Diese Anpassung der Darstellung und des Stiles an den Inhalt beschränkt sich selbstverständlich nicht auf die drei Teile als solche, sondern trachtet, in jede Einzelsituation einzudringen, wobei die Einheit des Ganzen durch die einheitliche psychologische Methode, durch die konsequente Durchführung der Assoziations- und Symbolreihen, durch ein peinliches Auswiegen des Gesamtaufbaus, durch die regelmässige Wiederkehr der Hauptstrukturen und Grundmotive in den einzelnen Teilen, durch eine gewisse Dichtheit des Rhythmus und des Tempos, zu erreichen versucht worden ist." GW VIII (Briefe), 19.

protected by the past. The effect was that of a building crumbling and in its unexpected collapse crushing the trusting inhabitant within.

This first group of motifs did indeed reflect, illuminate, and elaborate the theme generally designated "disintegration of values." In the trilogy this disintegration is associated with changes in European culture preceding the First World War. Within the time period specified by the novels, 1888-1918, the erosion of religious faith and political stability had accelerated by reason of rapid technological development, replacement of a rural by an industrial economy, depersonalization of human relations, and the realignment of social forces, particularly the rise of the proletariat and the decline of the aristocracy.

Within this historical-cultural framework Broch details the emergence of the amoral man who is a renegade from institutional demands; he similarly depicts the impersonal complexity and "chaos" of the city, the insensitiveness of the machine age and the suffocation of the human spirit by industrial specialization and commercialism.

Exponents of the new forces are Bertrand, Geyring, Teltscher, and Huguenau. Their beleaguered opponents are Joachim Pasenow, Lohberg, and Esch. Beside them are the female figures symbolizing various avenues of escape from the dilemma: Elisabeth, Ilona, Ruzena, Mutter Hent-

jen. Elisabeth and Ilona represent yearning for reliable ideals and a credible absolute appealing to the mind and spirit; Ruzena, Erna Korn, and Mutter Hentjen represent the eternal female appealing to the body and instinct.

In his creation of the theme of disintegration, particularly in the essays of the third novel, Broch states the thesis that his trilogy is not bound by the historical period it represents; rather, the trilogy presents a cultural crisis which is cyclical in the history of mankind. In his presentation Broch shows himself a disciple of Vico and Hegel.

The second group of motifs centers around the isolation and estrangement of the individual as a result of his collapsing ideological and institutional world. Abandoned by the traditional props to his own ego and bereft of his sense of significance, the individual finds all his relationships in discord. He is consequently profoundly insecure in his changing environment. These motifs involve the conflict of generations, the Oedipus complex, obligations to the state, agonized homelessness (Mignon), fundamental insecurity, dissociation from objective reality, and conflict with society.

The theme developed by these motifs is that of man's essential--or existential--loneliness and anxiety. Confronted by the dissolution of all the externally asserted values previously relied on, the individual now feels desperate. Survival means personal decision, choice, and

action--but the basis of these must now be found within. In his insecurity and desperation the individual reverts by instinct to withdrawal, aggression, or authoritarian symbols. Only thus can he avoid the painful necessity of personal responsibility. Instinctual behavior is represented by the Oedipus complex, actively indicated by Esch and Huguenau and latently intimated in Pasenow. It is also shown by the sexual adventures of Pasenow and Esch. Huguenau's libido falls into a different category, for he like Bertrand was a representative of amoral man. Evasions of personal responsibility by accepting authority were adopted by Pasenow in his allegiance to the state and by Esch in his religious fanaticism.

Man's essential isolation and anxiety regarding his responsibility for decisions, his risk of guilt, and his obligation to be free show the individual to be inadequate in his uncertainty between what has been and what will be. His whole personality, strained in revolt against the crisis, unconsciously resists its own potential because, enslaved by society, it lacks the courage and strength for freedom.

The third group of motifs looks toward affirmation of personality, of life itself, and of society. For this theme Broch develops the motifs of utopia, untrammelled nature, liberty, judgment, redemption, and the Madonna complex.

A discernible progression has become evident with

respect to motifs and themes. Correlated with motifs of negation and isolation have been the themes of disintegration and anxiety. The search for an absolute appears as a third major theme--one which offers hope and confidence for the desperate individual. It reasserts the freedom of the individual and with it responsibility for creating ethical values in social relationships (personal ethics sharply distinguished from conventional and traditional morality). Cast in mystical and religious as well as social-historical terms, this theme redeems society from bestiality and the individual from loneliness by his acceptance of ethical involvement and creative freedom. Distress at the passing of the old has gone. Evasions of the problem of freedom and responsibility by recourse to instinct or appeal to authority are rejected. The dignity of freedom and responsibility are asserted. The trilogy culminates with the expectation of a new, free, ethical individual regenerating a new and responsible society.

2. Conclusion

Broch's motifs and themes in Die Schlafwandler show a thorough understanding and use of theories in the fields of psychology, religion, philosophy, and the philosophy of history. The trilogy consistently uses motifs and themes to drive home the essential point that human personality demands its own free and full develop-

ment. This in turn calls for the integration of personality, the assertion of personal responsibility, and the regeneration of society on an ethical, not a moral, basis following the cyclical growth and decay of institutional patterns. That is to say, human freedom demands personal responsibility, not social determination. Broch has dealt with the levels of personality in a variety of social classes and in changing cultural eras. In this polyhistoric set of novels he maintains unity by developing numerous motifs supporting each of the major themes.

The motifs and themes identify Broch's trilogy as a classic example of expressionistic literature with a humanistic point of view. The rejection of subjectivism is implicit in the objective narrative of social and historical phenomena; the rejection of naturalism is reflected in the social criticism and psychological analysis pervading the trilogy. The state, the church, the bourgeoisie, and industrial organization are all denounced; pacifism and social improvement are advocated. The suffering of man in modern society is held up for sympathy and action. The estheticism of impressionism is supplanted by the principle of activism, "I" has given place to "We". New values are to be established: religious, moral, social, personal, on the basis of individual ethics. The chaos of the twentieth century produced anxiety and loneliness which in turn demanded absolute values to replace the discredited and outmoded tenets of

the nineteenth century.

Broch's world is a material and sensory one, but one also filled with an irrationality which automatically challenges the purely intellectual world. Faith and mysticism, vision and dream have as much to do with existence as fact and experience, logic and knowledge. The cyclical nature of culture is stressed along with the hope of a spiral of progress; Vico and Hegel are thus reflected in Broch's concept of history, as are Freud and Jung in his view of the nature of man. The interior monologue is fully as decisive in the trilogy as empirical data.

But in Broch's work there also appears a combination of expressionism and surrealism (or "magic realism"). This he has in common with James Joyce and Franz Kafka, both of whom he greatly admired. Broch sought not to entertain or to mystify; he was truly engagé, writing with ethical purpose, hence not immune to contemporary religious and philosophic forces. His world includes the objective world of common experience, but also religious insights, philosophic views, and psychological theories. Out of it all arises a comprehensive concern for society embracing the nature and potentiality of individual man and the human relationships affecting his existence.

Broch is both existentialist and social realist. A servere critic of society, he is revealed in the trilogy

as an optimist looking for a better culture to rise from the ruins of the old. Broch recognizes but does not enthrone the subconscious; he moves his characters in a much more substantial world than Kafka's, but his objectives are similar: the reconciliation of the world of sense and thought, the limited world of sequences with the infinite world of thought, memory, and yearning. Broch succeeds in depicting despair and loneliness without admitting utter frustration. The hope of an integrated personality and of a better society springs from a religious conviction of the need of grace. This lends more power to Esch in his death than the bourgeois machinations of Huguenau in his life. Broch has wedded in one trilogy Paradise Lost, the Apocalypse, and Paradise Regained. A Hasidic mysticism also emerges in the third novel with its fanatical faith in a messianic appearance and personal communion with God through religious ecstasy.[2]

3. Perspective

Broch has been repeatedly placed in the category of Joyce and Kafka. Stylistic elements in his trilogy are

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[2] See p. 10 above on Broch's religious commitments.

reminiscent of them, and Broch admired both.[3] It is clear, however, that he avoided imitating them because of his innate integrity, his peculiar sense of mission through literature, and his awareness of the particular eminence of both Joyce and Kafka. Broch was also conversant with other leading writers of his time, such as Gide, Musil, Dos Passos, all of whom he viewed with esteem.[4]

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[3] Broch wrote: "Oberflächliche Beobachter glauben, dass ich Joyce nachstrebe, weil ich mich theoretisch mit ihm befasst habe. Nach dem Gesagten brauche ich nicht eigens zu beteuern, dass mir derlei fern liegt. Ich müsste, soferne ich seinen Wegen folgte, meine eigene Methode, meine eigene Technik zu einer Intensität bringen, die sich an der seinen messen liesse, doch abgesehen davon, dass meine Kräfte wahrscheinlich hiefür nicht ausreichen, es ist auch nicht mein Ehrgeiz; ich will in der mir noch verbleibenden Lebensspanne meine Erkenntnistheorie und meine sonstigen wissenschaftlichen Arbeiten fertigbringen, einfach weil ich sie für wichtiger als Literatur halte. Gewiss, wäre meine dichterische Stärke so gross wie die Kafkasche, so würde ich vielleicht in diese sehr unjoycesche Richtung getrieben sein, aber derlei arrogiere ich nicht; in einer einzigen Generation gibt es keine zwei Kafkas." From "Brief an einen Kritiker", Merkur, H. 41 (1951), p. 701.

[4] Broch would probably not concede Pike's casual verdicht: "(The Man Without Qualities) . . . dwarfs other attempts to deal with similar themes, attempts as ambitious as Hermann Broch's trilogy The Sleepwalkers." Burton Pike, Robert Musil (Ithaca, N.Y. 1961), p. 132. Indeed Broch's appreciation of Musil did not preclude high appraisal of his own work. Of Musil's work he wrote: ". . . es steht turmhoch über all den Geschwind-Romanen." GW VIII (Briefe), 41. Two months later he wrote of his own Esch: " . . . und wenn es auch kein Ulysses ist . . . so steht er doch um eine gute Spanne höher als alles, was so in Deutschland in den letzten Jahren erschienen ist." GW VIII, 43. And on 18 June 1931, five months later, of his Huguenau Broch wrote: "Das Buch ist . . . in sehr vieler Beziehung ein Novum geworden, nicht nur gegenüber dem alten Huguenau . . . sondern für den Roman überhaupt." GW VIII, 55.

Broch's literary line of descent from the expressionists is indicated by his adoption of the terms "Trägheit des Gefühls" related to "Trägheit des Herzens", alluding to the withering effect of tradition on the stimulation and purification of personality.[5] Broch shares with Franz Werfel and Georg Kaiser a deep concern with ethical values and social organization.[6] Döblin and Musil also offer useful comparison with Broch both for style and theme. Broch's philosophical point of view and ethical concern make comparison with Mann's Zauberberg and Hesse's Glasperlenspiel also inescapable. All of these have in common the perception of spiritual chaos in modern life and the search of the individual for unity and meaning which they finally achieve by ethical involvement.

For all his narrative ability, Broch remains primarily an intellectual novelist. Taking stock of all the cultural forces determining society, he carefully chose his genre. He selected the novel, not for its demonstrated characteristics, but for its potential. The complexity of the cultural crisis and the complexity of human personality required a complex literary instrument which Broch used to express a wide range of thought, feeling, and desire, as well as experience. The result was his particular kind of "polyhistoric" novel contain-

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[5] Jakob Wassermann's novel Caspar Hauser (1908) bore the alternate title Trägheit des Herzens.

[6] E.g., Werfel's Spiegelmensch and Kaiser's Gas.

ing narrative, to be sure, but also essays, interior monolog, dramatic dialog, and poetry. This was not attempted as a tour de force, but out of the passionate desire to communicate significantly. Because he was a philosophical and intellectual novelist, he consciously faced the problem of conveying his full ethical message without jeopardizing it by popularization, yet without removing it beyond intelligibility by density and abstraction. His own view of his task is represented as follows:

> Die Zeit des polyhistorischen Romans ist angebrochen. Es geht aber nicht an, dass man diesen Polyhistorismus in Gestalt "gebildeter" Reden im Buche unterbringt oder zu dieser Unterbringung Wissenschaftler als Romanhelden präferiert. Der Roman ist Dichtung, hat also mit den Ur-Moventien der Seele zu tun, und eine "gebildete" Gesellschaftsschicht zum Romanträger zu erheben, ist eine absolute Verkitschung. So sehr Gide, Musil, die Zauberberg, in letzter Derivation Huxley als Symptome des kommenden polyhistorischen Romans auch zu werten sind, so sehr finden Sie bei allen diesen die fürchterliche Einrichtung der "gebildeten" Rede, um den Polyhistorismus unterbringen zu können. Bei den meisten dieser Autoren steht die Wissenschaft, steht die Bildung wie ein kristallener Block neben ihrem eigentlichen Geschäft, und sie brechen einmal dieses Stückchen, ein andermal jenes Stückchen davon ab, um ihre Erzählung damit aufzuputzen.

In the same passage he characterizes his own trilogy:[7]

> . . . das "Wissenschaftliche" (steht) als kristallener Block neben dem Roman; es entsteht vielmehr fortlaufend aus dem Roman selber - und dass es überdies auch im quasi-wissenschaftlichen Sinne eine völlig neue Geschichtsphilosophie enthält, zeugt im besonderen (abgesehen davon, dass es womöglich vom Leser nicht bemerkt werden soll) von der Autochthonie des neuen Verfahrens . . .

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[7] GW VIII (Briefe), 60, 61.

Broch's concept of the "polyhistoric" novel offers a realistic, complex, and coherent picture of the individual and society in cultural crisis. His work is different from that of Joyce and Kafka, yet it may be said that he has succeeded in combining their virtues to some extent without compromising his art or his message. Broch's trilogy creates and sustains the distinction and the relationship between the objective and subjective worlds of both society and the individual, leading both through their cyclical development to an ethical ideal. His place in the history of German letters seems assured; his bold experimentation with the novel form arose organically from the nature of his subject matter and from his creative handling of old and new means of communication. Like Dostoevsky, Mann, and Hesse, Broch has succeeded in enlisting esthetics in the service of an ethical concept of human life and human relationships.

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