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ALCHEMY THEMES AND Gnostic MYTH IN ALFRED DOBLIN'S NOVEL "WALLENSTEIN"

Rice University

Ph.D.

1980

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ALCHEMICAL THEMES AND GNOSTIC MYTH IN ALFRED DÖBLIN'S NOVEL WALLENSTEIN

By

BARRY A. BROWN

A THESIS SUBMITTED IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE DOCTOR OF PHILOSOPHY

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May, 1980
ABSTRACT

ALCHEMICAL THEMES AND GNOSTIC MYTH IN
ALFRED DÖBLIN'S NOVEL WALLENSTEIN

Barry Alan Brown

This study identifies structural themes for analysis in relation to the mythopoeic contours of Alfred Döblin's "historical" novel Wallenstein. While its extensive historical and quasi-historical material conforms to empirical facticity, its fictional structure (or mythic aspect) reveals a modern gnostic myth of enlightenment and salvation countered by forces of darkness and chaos.

The introductory chapter outlines biographical conditions including Döblin's extensive research and planning before the writing of the novel. Partially on the basis of factual evidence, partly because of the coherent and intricate design of the novel, the "automatic" or spontaneous fallacy is rejected. Recent critical literature pertinent to Wallenstein and mythic elements in Döblin's works are examined. Finally, Döblin's own aesthetic theory of the genre and his reaction to the initial critical reception of Wallenstein are discussed in the context of the alchemical-esoteric images which are present to a limited degree even in Döblin's non-fictional writings.

Chapter II presents a summary of the number symbolism imbedded in the novel's chapter and book divisions and gives a synopsis of the origins and traditions of numerology, astrology, Pythagoreanism, and gnosis as they pertain to the interpretation of the novel. The names of the polar figures of Ferdinand II and Wallenstein have gematric numeric roots
which correspond to the numerical roots of the book divisions (1-5-5-5-5-1). The Valentinian gnostic myth of cosmogony integrates imagery and symbolism of the oriental salvation and mystery religions and offers a syncretistic doctrine both of dualism in the existential world and of the promise of man's mystic reunification with God.

Fictional elements of knowledge, ignorance, love, and the metamorphosis of the main figure Ferdinand become the focus of the analytical third and fourth chapters. Figurative language, mythical and mythological material and religious allusions give the keys to the interpretation of Döblin's epic structure which has its center in the exemplary case of the fictional Emperor Ferdinand. The discussion presents a system of symbols and metaphors which are directly linked to alchemical and gnostic principles and arcana. In modern psychological terminology borrowed from Herbert Silberer and Carl Gustav Jung, Ferdinand's mythical metamorphosis functions as an example of introversion and re-birth of the personality. The newly transformed Emperor possesses freedom, resultant vitality, and understanding of self and world through his gnostic revelation.

Chapter V shows the poetic structure of the chthonic counterpart to Ferdinand, i.e. Wallenstein. On the literal level, Wallenstein is portrayed as a ruthless and genial organizer of force. While this facet conforms to historical reality, Döblin mythifies the figure through frequent metaphors and imaginary-apocalyptic scenes. Commensurate with the Ferdinand-symbolism, Wallenstein's exposition is demonstrably informed with number symbolism.
ACKNOWLEDGEMENTS

This structural analysis represents the culmination of a varied and regretfully discontinuous graduate-study experience -- one encumbered by the effects of our national politics in southeast Asia and by the exigencies of contemporary urban life. That this study could be completed at all is due to the professional and private influence and assistance of many people, to whom I am indebted and now express my gratitude.

I am grateful to the members of the Department of German for their confidence in awarding me a Teaching Fellowship and a National Defense Education Act Fellowship, without which my studies would have been inconceivable. In this I register my high esteem of the late Professor Robert L. Kahn, whose paternal guidance and kindness were so important in my initial encounter with Germanistik. I am similarly indebted to Professor Joseph B. Wilson both for his tutelage in philological scholarship and for his continuing friendship. To Professors Michael Winkler and Klaus Weissenberger I owe thanks for critical suggestions and valuable assistance both during the preparation for and the writing of the dissertation. Professor Susan Clark deserves credit for opening the way to my understanding of the "great work" and numerology in alchemy.

I am deeply appreciative for the opportunity to work with the faculty and administration of St. John's School, Houston, Texas, during the past four years. Their support, both material and moral, has contributed to this cause.

Finally, I owe the greatest debt to my wife, Mary Frances, and to our son, Shannon Corbett, who have accepted for so long the daily
compromises and inconveniences that have been consequences of my academic life. Without their loving concern and forbearance, I could not have attempted this work, which is dedicated to them and to the memory of Heather Miranda Brown.

April 1980

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CHAPTER I

INTRODUCTION

Alfred Döblin and the Production of Wallenstein

Alfred Döblin researched and wrote the novel *Wallenstein* in a period of extensive upheaval in European social, economic and political institutions. Döblin's life was affected at this time in many respects by the turbulent movements of European and German civilization. One may regard this author's life as symptomatic for his age, in that an individual has only limited and, therefore, imperfect understanding of and control over the shape of his life. Döblin, a practicing medical doctor in military service in Saargemünd (Sarreguemine, Lorraine) within 75 miles of Verdun during the First World War, participated in the chaotic events of that war and the ensuing anarchy, revolution, and birth of the Weimar Republic in the years 1914-1920. The turmoil in this period of modern German history has counterparts only in the founding of Bismarck's Second Reich (1864-1871) and Hitler's Third Reich (1933-1945). Döblin's life (1878-1957) extends across the imperial era of Wilhelm II, the Republic, the Nazi years, and into the post-war period of reconstruction and rehabilitation of his homeland. It is doubtful, however, that this notion of "homeland" retained much meaning for the exiled, converted Jewish intellectual whose son Wolfgang fell in French uniform in 1940 and whose own return to Germany was as a French citizen. Döblin's existential, political, and literary isolation at the end of his life testify to his increasing bitterness toward and disappointment in the nation which had caused him so much personal suffering.
When Döblin returned from Alsace-Lorraine at the end of World War I, however, his literary and political positions enjoyed wider acceptance, if not popularity. His first long novel *Die drei Sprünge des Wang-lun* (1915) was a commercial success and its author became a regular contributor to literary magazines and journals, e.g. *Der Sturm*, *Die neue Rundschau* and *Der neue Merkur*. In addition, Döblin wrote sharply critical political commentaries under the pseudonym "Linke Poot" for several newspapers in Berlin and Prague. In 1906, and *Der schwarze Vorhang: Roman von den Worten und Zufällen*, which first appeared in *Sturm* in 1912 and as a separately published work in 1919. After a number of shorter prose works, the Chinese novel marks the author's turn to the genre which occupied him throughout his career, both as practitioner and theorist. His best-selling novel of the contemporary Berlin-East milieu, *Berlin Alexanderplatz*, brought him brief international fame in 1929 and it is generally regarded as his supreme achievement. The technical sophistication and diversity in *Berlin Alexanderplatz* — the exemplum, montage, erlabeled Rede, interior monologue, multilevel and simultaneous narratives, integration of mythic-mystical themes, extreme realism, street dialect and Bible quotations — generally served to distinguish it from the technically less successful efforts preceding it, according to some critical opinions. On the other hand, this novel apparently remains free of the tendentiousness of the later works, particularly after Döblin's conversion to Christianity.
The frequently positive evaluations of Berlin Alexanderplatz place the earlier works, including Wallenstein, in an undeservedly bad light as a result of the comparison with the best seller. This is not the place for a comparison of the relative merits of the various novels; I wish rather to criticize some of the accepted ideas about the broader qualities of the novel Wallenstein. This must be accomplished through an extensive analysis of the structures of the novel within the context of Döblin's theoretical-critical writings, of his contemporary literary and intellectual milieu, and of the critical literature as it pertains to this work. The present study first examines the gross antithetic structural features of the work -- the chapter and book arrangement -- and then investigates the two principles which constitute the functional polarity of the novel. The opposites -- telluric material and ignorance on the one hand, and divinely inspired knowledge and salvation on the other -- are shown to be manifested in the deep structures as well as in the more obvious, but often mistakenly interpreted symbolical, mythic figures of Wallenstein and Ferdinand II. The analysis is based almost entirely upon the structure of the transformation of the main figure Ferdinand; only the text Wallenstein is used to establish the evidence that the novel is constructed around a psychospiritual enlightenment process. In order to place what must be called tentatively, and perhaps surprisingly, a mytho-fictional structure into perspective, a brief synopsis of the philosophical tradition of esoteric or alchemical literature and gnosis is collaterally included, particularly since the text refers explicitly to ideas and images that are essential parts of that tradition.
Preliminarily, however, the quasi-peripheral subject of Döblin's planning and production methods need immediate attention, since there is some confusion about the actual circumstances in Döblin's life and their imputed reflection in the novel's structure. Among the more common negative evaluations of Wallenstein are those which isolate some "irrational" qualities (historical pessimism, nihilism, shapelessness) in the novel and impute vicariously the same qualities to the method of production. Monique Weyememberg-Boussart's criticism is a typical example of recent scholarship:


Such conclusions can only be based on the assumptions that Döblin either had no pre-conceived formal design or failed to realize whatever plan or design he may have had and that the works themselves give no evidence of preparation. Uwe Karl Faulhaber expresses the extreme position of recent Döblin scholarship when he states with regard to Döblin's talent and rational behavior:

Der Erzähler unterdrückt krampfhaft gewollt sein "künstlerisches Ich" so weitgehend, daß er in der "entseelten Realität," im Stoff die Kontrolle verliert, die Fakten ihn vollkommen überwältigen, und er scheinbar willenlos Faktum, Ding an Ding reiht. 10

Such judgments must be modified and, ultimately, replaced by careful, considerate and informed characterization, especially since Döblin's
published letters provide a view of the care and deliberateness of his preparations for the novel. Furthermore, some of his published articles give a more stylized account of this production process, of his narrative techniques and of the elaboration of his central theme. In a letter to Herwarth Walden, Döblin's friend since 1900 and the musically talented Sturm-editor, he announced preliminary studies for a book about the Middle Ages. Approximately a year later, in November, 1916, he changed to the "political-military Wallenstein" topic which had attracted him during his studies for the earlier plan, a book on the fall of the Byzantine Empire. The earliest mention of interest in the Middle Ages appeared in a letter to Martin Buber from November, 1915, while the next explicit reference to a "German political" theme came in November, 1916, along with the frequently registered complaint about the inaccessability of a larger library and the difficulty in using the mail for delivery of books from Strassburg. By January, 1917, he reported gaining "breiteres Fahrwasser" with the new work after many months of labor: "Da schwimme ich nun auf lange Monate. Die Literatur, ja." But for its ending, the novel was finished by the end of the war. Döblin refers to his indecision concerning the ending of the novel in his remarks about the novel Berge Meere und Giganten in 1924 and the manuscript paper confirms that the ending was written after Döblin's return to Berlin in 1919. After various difficulties during the confusion of 1919-20, the novel finally appeared in print in November, 1920, five years after the initial investigation of the historical material.
Döblin himself did give a tangible basis for the idea of an "irrational" production method in the article "Der Bau des epischen Werks," a theoretical discussion of poetics. He sets forth his opposition to the conventional, psychological causality in the novel, but he also proposes specific functional goals for the "reporting" of a higher reality in the epic narrative. Here he writes "[...] die meisten epischen Werke werden so in einem dunklen Drang unternommen, und das Gesicht des Werkes enthüllt sich erst bei der Arbeit." But aside from the actual formation of the language and specific details, the external evidence from the letters and manuscripts refutes the notion that the larger elements were not carefully planned. Additionally, Döblin's published reaction to the professional critics' misunderstanding of the novel indicates that he resented the light treatment of this work:

Man liege Monate, Jahre über einem Werk, konzentriere, seine Zeit miterlebend, über einigen hundert Seiten seine Seele, Phantasie, Denkkraft, Erfahrung, gebe zuletzt sein Werk von sich: man erwarte in Deutschland keinen Widerhall! Wenn es hoch kommt, wird man -- Kritiken empfangen. 22

The analytical discussion of the present study will reveal the extent to which Döblin was justified in his indignation, but for now it must be made clear that Wallenstein was the product also of Döblin's conscious planning and craftsmanship and not merely of licentious imagination and poetic inspiration.

The author's disappointment in the professional reception of his novel would have carried over to the more recent discussion as well. The few examples quoted above demonstrate the continuing misunderstanding
among literary scholars. But the ultimate misjudgment came in 1933 as Wallenstein alone of Düblin's works escaped the Nazi book burning.\textsuperscript{23} Although the novel was not re-published until 1965, it appeared on the list of banned books after the war.\textsuperscript{24} One may assume that Düblin wanted to avoid releasing any text that might be construed as a glorification of war, however perverse this conception of the novel may appear.

\textbf{Secondary Literature since 1948}

After the initial flurry of criticism which drew Düblin's reaction in print in 1921, there was virtual silence until 1948, which marks the beginning of scholarly interest in the novel.\textsuperscript{25} The book disappeared from bookstore shelves after the first three printings and remained unavailable until the second edition was issued in 1965.\textsuperscript{26}

Wolfdietrich Rasch isolates and evaluates one pole of the dynamic structure in Düblin's novel and with this points in the direction which scholarship generally has followed from the historical concern toward the mythical interpretation of this apparently "historical" prose narrative: "Es ist ein Geschichtsroman jenseits des Historismus. Der historische Roman, durch die Romantik aufgeblüht, verlässt mit dem Wallenstein endlich den Bannkreis der Romantik [...]"\textsuperscript{27} Rasch believes the novel in its starkly realistic description to be free of authorial distortions and prejudices: "Aber es gibt keine Deutung, keine Stellungnahme und Parteinahme; keine Tendenz, auch nicht mitterbar, durch
Akzentuierungen."28 A part of the Thirty Year's War appears as reality "[...] nicht belastet durch die Perspektive des aus der Gegenwart Fliehenden, oder dessen, der aus der Geschichte die eigene Zeit und Zukunft deutet."29 Granting the hypothetical possibility of an ahistorical perspective, one must nevertheless hold some reservation for Rasch's judgment, since the empirically historical components of the novel obviously serve the conscious artistic will of the author. Rasch's brief remarks only suggest the reasons for his positive evaluation: "Mit dem Wallenstein [...] gewinnt der deutsche Geschichtsroman europäische Geltung."30

In 1958 an American, Ralph Sidney Fraser, continues to focus on the historical representation and analyzes the novel in comparison with the historiographic representation Geschichte Wallensteins by Leopold von Ranke.31 Fraser finds the picture of Wallenstein as condottiere, Empörkömmling, to be common to both renditions, but he distinguishes Döblin's concern in "detecting the motives" behind the historical evidence.32 Here Fraser differs sharply from Rasch in the observation that Döblin's interest lies in "interpretation" of the "basic situations."33 Unfortunately, Fraser's view remains restricted primarily to the Wallenstein figure in keeping with his thematic topic and he overlooks Döblin's specifically artistic techniques in shaping the material. Therefore, he concludes with an unsupportable characterization: "The superficially complicated style and the emphatically pathological orientation of the work cannot conceal the fact that the traditional Ranke interpretation of Wallenstein is utilized here."34 Fraser's conclusion demonstrates the distorting results of the inadequate method which extracts a particular
thematic aspect from the novel and then makes judgments of the whole from an incidental viewpoint. Even though he identifies the "interpretory" function of the author, he does not pursue the consequences of this observation for the linguistic material and the specifically artistic use of language to create its own fictive "world" in contrast to empirical history.

Another American, Robert Bruce Kimber, identifies and consequently condemns what he sees as the opposite to the historical pole in all of Döblin's writings:

This [godless] strain of mysticism is the one insistent, underlying feature of all his writings, and whatever else appears in them must be seen in that light. Indeed, it is Döblin's foundation in mysticism that opens the way for all the apparent contradictions in his work, for mysticism is an open system that can encompass nearly any philosophical position that chooses to make use of it. 35

Even though mysticism may not constitute a "system," Kimber shows Döblin's mystical thought elements in an analysis of the nature philosophy in Döblin's Das Ich über der Natur (1928), in the early Erzählungen, and partially in the novels Berge Meere und Giganten and Berlin Alexanderplatz. The principle of "resonance" emerges as an important factor for the narrative mode, since according to Kimber "dialogue and character description give way" to what he calls "[..]lyrical reportage, a style that tries to work its way into the emotional significance of reported events with as little interference as possible from the writer or the characters of the story." 36 Literally at the end of the study, Kimber suddenly rejects Döblin's fiction as "second-rate" because:
In the fiction of mysticism, men appear as masses or as types. The mass is the type, and the type is the mass. And on that basis, the novel is lost, because the novel is, if anything, the registering of differences and clashes in human consciousness. 37

This conclusion is formed by imposing external criteria on the artistic structures without considering a more flexible or extensive definition of genre. Kimber appears to have no notion of Döblin's concern for altering the traditional novel form, nor does he appear aware of the philosophical assumptions and limitations inherent in his own standards. As Fraser and Rasch over-emphasize the historical aspect, Kimber neglects history almost entirely in favor of the mystical elements. Neither approach is complete, and, as Kimber's conclusion shows, both fail to account for the stylistic integration of history and mysticism. 38

Another specialized study by Eugene Patrick Finnegan, S.J., excerpts the relation of the individual to the masses and nature within the larger context of biblical themes in Döblin's novels. 39 Finnegan concentrates on the form and implications of the final scenes in Wallenstein. He isolates the themes of suffering and salvation, sacrifice and spiritual life as among Döblin's "favorite themes." 40 According to Finnegan the central figure's end (Chapter 155) "[...] seems to represent Ferdinand's mystical union with nature. The manner in which Ferdinand is drawn to his execution reminds us of a ritualistic sacrifice [...]." 41 However, he contends that the conclusion of the novel is not satisfying because of "the attempt to lose the individual in the masses or nature" in order to avoid the problem of suffering and
death. 42 Echoing Kimber's argument concerning mysticism, Finnegan denies the sacrificial quality of the Emperor's death:

Despite the implicit reference to the idea of sacrifice in the description of Ferdinand's death, there is no real sacrifice because there is not a real distinction between Ferdinand and nature, nor between Ferdinand and the masses. 43

This identification of Ferdinand with the masses or with "nature" openly reduces the novel to a single theme within a single chapter and serves to obscure rather than illuminate the greater part of the work. Certainly the final chapters (155-156) deserve special attention because of their entirely fictional nature and because they contradict historical fact; but they must be considered in relation to the preceding seven hundred pages of text.

I have already drawn attention to Faulhaber's estimation of Wallenstein as among the worst in Döblin's oeuvre. 44 He consistently attributes Döblin's style and structure to an "irrational" state of mind during the genesis of the work, while the biographical data from the letters have shown quite the opposite. He also suggests that it was Döblin's intention to investigate the unexplained "Phänomen des Krieges an sich." 45 This intention results from the use of facts for the sake of facts:

Während im Wang-lun die Übernahme von Stücken aus der Wirklichkeit einer künstlerischen Funktion diente, also einen direkten Bezug zur Handlung leistete, werden im Wallenstein Fakten oft nur um der Fakten willen aufgenommen; und so entsteht die für Döblins zweite Phase so kennzeichnende, barock manierte Überladenheit der Vorgänge mit Realien. 46

Only later does Faulhaber acknowledge that Döblin's "Fabulieren" serves
a purpose in opposition to the facts of reality which are employed in *Berlin Alexanderplatz*: "Das Fabulieren ist also die Negation der Realität und soll den Leser auf eine neue Wahrheit hinweisen, nämlich das Exemplarische und Gesetzmäßige, das hinter den Fakten verborgen ist."47 The ideas in these exemplary elements belong to Döblin's program of the modern epos and will be discussed in separate contexts. Faulhaber admits, however, of no similar possibility of the relation between "facts" and "new truth" in Wallenstein.

One further misconception must be countered here. Faulhaber's thematic treatment of the novels leads him to the following unacceptable generalization:


Döblin's poetics, particularly the article from 1921, "Der Epiker, sein Stoff und die Kritik," identifies the importance of the central figure Ferdinand and the evidence from the novel itself will refute Faulhaber's point.49

The opinions quoted above represent the least help for an understanding of Döblin's work; the following authors still present fragmentary discussions of *Wallenstein*, although their contributions are generally less misleading. The review of these studies is restricted to the most characteristic and relevant information with regard to the thematic, structural, religious, philosophic, or aesthetic composition of the novel.
Christoph Eykman concentrates on the popular theme of pessimism which had been recognized as present in Wallenstein almost since publication. He presents Döblin's works within the context of the historical pessimism which swept Europe at the turn of the century. Arthur Schopenhauer's Die Welt als Wille und Vorstellung (1818) provides the basis of modern philosophic pessimism and insight into the importance of music for art of all kinds during the early years of the present century, but Friedrich Nietzsche's writings concern Eykman, since they are the more immediate influence in this century. At the root of pessimism of whatever type lies the belief that human life is controlled by factors and forces external to the intellect and rational behavior. Schopenhauer's will becomes the will to power in Nietzsche, a principle which leads Nietzsche to recognize the underlying foundations of modern European civilization as generally antivital. So long as these forming principles impede full development of the "natural" man, they are worthy of destruction and must be overcome by the individual, if he is to live a complete life. Nietzsche's often misunderstood criticism of the institutions of civilization, his literary style and supreme individualism give voice to a spirit which emerged in reaction to imperialism and nationalism and continued into the present century:

Die zeitgenössische Geschichtsphilosophie nimmt [...] im wesentlichen Nietzsches skeptisches Denken über die Fragen des Grundes, des Zieles, der Einheit und Wahrheit der Geschichte auf und arbeitet sie weiter aus, auch wenn nicht immer das "Leben" als letzte Instanz postuliert wird oder das Werden dem Sein das Recht bestreitet. 52

Nietzsche's importance for the early twentieth century is a commonplace and reference to Nietzsche's ideas will appear throughout the present
study when they serve to reflect contemporary thinking.

Eykmans contribution to our understanding of the pessimism in Wallenstein lies in his remarks about the figure of Wallenstein and the structure of history fictionalized. The title figure according to Eykmans is "unheimlich und unfassbar," "ins Dämonische stilisiert": "Im Urteil des Erzählers erscheint er als Verkörperung des Krieges an sich -- jenseits jeglicher höheren Sinngebung [...]".53 In Eykmans opinion, Döblin construes the "historical" events in Wallenstein as meaningless and Eykmans perceives the element of irrational, ineluctable fate in all of Döblins works:

Geschichte als Ausdruck einer höheren Macht -- dieser Gedanke taucht in Döblins Erzählwerk immer wieder auf, allerdings in verschiedener Gestalt: zuletzt (im Roman Karl und Rosa) sogar in der Form des satanischen Weltregiments. 54

In advance I must draw attention to the principle of heimarmene, universal Fate or tyrannical world-rule which is derived from the Babylonian pantheon and influenced ancient and medieval thought and still retains a certain vitality in the form of modern astrology. Eykmans identification of this element will be reinforced in the analytical section.

I have already noted Weyembergh-Boussart's emphasis on the imputedly irrational structure and production method utilized in Wallenstein (above, p. 4f.). She treats the novel only as it demonstrates the religious and philosophic evolution of the author and his work, so that her view of the novel itself emerges only as a mosaic of themes, the most prominent of which in her opinion is that of good and evil:

Mit Wallenstein erreichen diese Problemstellung und dieser Themenkreis einen Höhepunkt. Wallensteinsteins Gestalt, die im grossen Ganzen den geschichtlichen Fakten entspricht, wird zum Archetyp des
She explains that this high point occurs in a phase of Döblin's development in which the individual's worth is subordinate to that of the community or society, but the relation is dynamic for the individual who is situated "zwischen Handeln, Auflehnung, Drang nach Macht, Hochmut und Nichtwiderstreben, Resignation und Demut." The author points out the symbolic importance of Christ and Mary for the theme of suffering: "Maria erscheint als die Fürsprecherin, als das Symbol der Sanftmut und des Schutzes. Der Gekreuzigte wird in Wallenstein als Inbegriff des menschlichen Leids dargestellt." Although Weyembergh-Boussart identifies an imitatio Christi motif in Berlin Alexanderplatz, she neglects or refuses to draw similar implications for Ferdinand's development.

Leo Kreutzer's analysis of the novel opposes the historical and political role of Wallenstein to the ahistorical mythical figure of Ferdinand which is

[...] der Entwurf einer Existenz ausserhalb der Geschichte, unberührt von ihrem unerbittlichen Anspruch, Medium der Gottähnlichkeit zu sein, als Heilsgeschichte oder, säkularisiert, als Prozess fortschreitenden menschlichen Mündigwerdens. Döblins Ferdinand ist der Entwurf eines Humanismus ohne Theologie und Teleologie, ein Entwurf also gegen den abendländischen Humanismus. The Regensburg decision scene, in which Ferdinand, in the presence of his father confessor Lamormain, elects to release his victorious general Wallenstein from service in direct contradiction to political or
"worldly" reason, serves for Kreutzer as the key scene. The present study also supports this interpretation but Kreutzer views the main theme here, as in the other novels, as that of basic duality in the pair of opposites or binary "Tun und Lassen." Unfortunately, he does not pursue the ideas of the "countermyth" of the Ferdinand-prin-
ciple which we may designate a ternary or neutral principle in re-
lation to western humanism. Undoubtedly elements of Buddhistic or Schopenhauerian aestheticism may be seen in the novel, but this isola-
tion of one pair of opposites oversimplifies the complexity of Ferdin-
and's activity and development. Taoist mysticism (Tun und Lassen) is present in Wallenstein, but only in combination with other themes and structures.

Klaus Müller-Salget's treatment of Döblin's novel, in contrast to Kreutzer and Weyembergh-Boussart, includes a more complete investigation into the narrative style and techniques, as well as a limited thematic discussion. He too, however, makes a necessarily narrow selec-
tion of the features upon which he bases his conclusion about the pes-
simism concerning the "fragmentation" of the individual into so many conflicting parts:

[...]und in diesem Detail [of fragmentation] bestätigt sich wieder unsere Feststellung, daß diesem Roman der tröstende Hintergrund eines um-
fassenden, und sie es auch unverstandenen, Sinnes fehlt; die Erfahrungen des grossen Krieges haben bewirkt, daß Döblin die Welt und den Menschen tatsächlich eine Zeit lang als Chaos sah, auf andere Weise in die Resignation des Schwarzen Vorhanges zurückzusinken drohte. 61

Central to the present discussion are Müller-Salget's contributions to the analysis of narrative style (to be considered below, pp. 172),
his identification of Döblin's irony in the use of theriomorphism for the main characters, and his view of Ferdinand's development as "Selbstfindungsprozess." Serious doubt must be cast on his explanation of the use of imaginary creatures and magical beings as part of the superstitions and folk milieu of the seventeenth-century Germany:

Der selbstverständliche Ton, in dem von Teufels- erscheinungen berichtet wird (342-344, 344-349, 710) oder auch von der Legende um Hoheneich (14), darf nicht darüber hinwegtäuschen, daß all das eng auf das Verständnis der damaligen Zeit bezogen bleibt, die derartiges zu erleben glaubt bzw. christlichen Legenden zugänglich war.

Ernst Ribbat has since shown the continuity of such magical, mythic creatures in Döblin's early work, and such fictional elements must be considered as an integral part of Döblin's literary theory (based on nature philosophy), rather than as a reflection of a purely historical component. With a similar emphasis on the historicity of the novel, Müller-Salget contradicts Walter Muschg's premise that the Thirty Years' War served "only" as the material for an aesthetic experiment for Döblin. Both positions seem too extreme in view of the balance between "Märchen" (the aesthetic side in general) and "Bericht" (report of fact) toward which Döblin strove in his new epic form.

While Müller-Salget recognizes the rhythmic repetition and variation of themes as well as the cyclical or musical structure in all of Döblin's early works including Wallenstein, Karl Herbert Blessing considers these aspects and other themes, structures and dimensions under the perspective of the genre problem in Döblin's theory and practice of the modern epic form. He is guided by Hegel's famous historico-aesthetic distinctions between the heroic era and the prosaic, bourgeois
era -- each of which contains in its cultural and social relationships the historical infrastructure upon which a particular art form is based. He then expands this methodological premise and builds his study primarily on Lukacs' revision of Hegel's theory of the novel. But even though Blessing's theoretical basis is so promising and well-founded, his application of this method and the results from the analyses of the individual works are very disappointing. This scholar seriously distorts the most objective fact in order to fit the work into the theoretical framework. One important example must suffice to demonstrate the gap between Blessing's premises and his understanding of the literary work itself.

Blessing works from Hegel's concept of "Grundbestimmung" in the epos, an "idea" in the Hegelian sense which gradually emerges into concrete shape in the individual narrative sections and so informs the work as a whole:

Krieg [...] bildet [...] den Untergrund, der die zahllosen Mosaiksteine des Geschehens zusammenhält. Insofern wird Hegels eingangs angeführte Forderung bezüglich des Verhältnisses vom Ganzen und Teilen im Epos voll erfüllt [...].

Compared to the epos the novel has, according to Blessing, the structure of polarity ("functionality" as opposed to epic "substantiality") between individual and society, between subjectivity and objectivity, or between "the poetry of the heart" and the "prose of the mundane." Within this polarity the individual comes to understand the outer world and his own position in it. Therefore, the experience of the main fictional character, as in the poetic realism of the nineteenth century, is that of
self-discovery. In his attempt to show Döblin's relation to Hegel, Blessing refuses to acknowledge the role of Ferdinand as the unifying structural element in the novel:

Am ehesten lässt sich noch Kaiser Ferdinand als Hauptfigur begreifen. Doch auch sein Schicksal bildet nicht eigentlich das Rückgrat des Werkes, auf das hin das gesamte Geschehen funktionalisiert wird. Die Menge der [...] Erzählabschnitte findet ihre Einheit allein in dem einen Thema des Krieges. 71

This leads him to the untenable conclusion that no figure in Wallenstein develops72 and that only Wallenstein draws highly individualized characterization.73 Such mistaken judgments cannot be reconciled with the textual evidence itself, as the analytical part of this study will show.

Finally, W.G. Sebald's interpretation of the imitatio Christi motif in Wallenstein sees influences of Jewish messianism which include the antinomial affinity of salvation and satanism, dualism of the soul's passivity and activity, humility and aggression. He identifies Wallenstein as the "Ausbund des Bösen,"74 but he falters on the recognition of portrayed self-consciousness among the figures due to Döblin's diverse treatment of the major figures:

Wie Wallenstein von sich selber denkt, das muss so gut wie ungeklärt bleiben aufgrund der Eigenart des Döblinschen Stils, der -- mit Ausnahme vielleicht von Berlin Alexanderplatz -- alles stets nur von aussen ergreift, und kaum je sich anschickt, das Innenleben der Protagonisten zu erforschen. 75

This is a superficial treatment of Döblin's narrative presentation and Sebald completely misunderstands the significance and meaning of Wallenstein as a fictional character:
Sebald has substituted the secondary figure Wallenstein for Ferdinand, who more properly should be compared to Franz Biberkopf since the opening scenes of each novel deal with analogous situations for both Ferdinand and Franz. Similarly, the suggested "sabbatianischer Messianismus," in which purification of the soul and enlightenment is to be gained through the intentional augmentation of evil, cannot be the metaphysical principle that motivates Ferdinand. The imitatio Christi and the tendency to apostasy in Ferdinand's path may certainly constitute one of Döblin's goals, i.e. criticism of orthodox Catholicism, but the assertion that Ferdinand as Emperor intentionally creates suffering contradicts the basic plot of the novel. Particularly the ending, when Ferdinand can no longer reconcile his public office with his personal morality, reveals this critical opinion to be untenable.

Among the better studies of Döblin's work today are those by Gerhard Schmidt-Henkel, Ernst Ribbat and Hans Schumacher, none of whom, unfortunately, discusses the novel Wallenstein substantially. They all present to a limited extent a synopsis of the post-realism literary situation in the early twentieth century. In contrast to Blessing's unsuccessful demonstration, each of these authors sketches the historical consequences of the literary movements such as fin de siècle, Neo-Romanticism, Jugendstil and Naturalism for Döblin's time. They also set Döblin's work into perspective with nature philosophy, vitalism and
"irrationalism" and with contemporary thinkers such as Nietzsche, Georg Simmel, Oswald Spengler, Ludwig Klages, and Theodor Lessing. As in the work of Nietzsche (and of many expressionist poets and dramatists) who envisioned, beyond a necessary destruction of European civilization, a "new man" and a new world for him, these scholars find in Döblin's short narratives as well as in Wang-lun, Manas and Berlin Alexanderplatz a chance for the individual's regeneration and transcendence after the apocalypse of the present: "Durch ein Absterben des bisherigen Daseins geht der Weg zu einer Versöhnung mit der Urkraft des universellen Lebens." While this description of transformation may resemble Lukacs' novel process, the possibilities of self-discovery lead, paradoxically, through a destruction of the former self to an extension or expansion of the self in a mystical experience of unity. This experience is mythic in Schumacher's sense:

Mythisch [...] heisst für den Benutzer, der ihm positiven Wert zulegt, ein Erlebnis der Unmittelbarkeit in Tat, Betrachtung und Gefühl, Verschmelzung von Subjekt und Objekt, von Individuum und Gemeinschaft. In diesem Bewusstsein ist das Reale zugleich das Wunder, das Heilige, die Epiphanie des Göttlichen, das ergreift, verwandelt und erhebt. 80

Such transfiguration is realized as much in Wallenstein as in the other fiction, as this analysis will show. This mythic structure results from Döblin's narrative technique as much as from any particular thematic development and the relation between technique and content will form an important part of the analysis in order to provide a more complete "meaning" of isolated events. Schmidt-Henkel has called Döblin's narrative style "demiurgic creation" in contrast to the mythologising
pretentions of his contemporaries:

Mag auch der mythische Aspekt Döblinischem
Dichtens nur einer von mehreren sein, so ist
er doch unübersehbar; er ist besonders signi-
fizant, wenn man ihn gegen die mythologisier-
enden Ansprüche von Zeitgenossen stellt, und
wenn man ihn im Zusammenhang mit dem "demi-
urgischen" Schaffen, dem bauenden Erzählen,
sieht. 81

Contrasting with all the preceding critical literature, two
comprehensive studies of Wallenstein in the last decade offer mutually
very divergent perspectives of the total work. Ulrike Harnisch's
dissertation employs a Freudian analytical method to interpret the novel
according to what she sees as Döblin's psychological type — the rebel-
lious, "negative-authoritarian" character in Erich Fromm's terminology. 82
It is clear that she is aware of the difficulties in this method, 83
but she elects to interpret the novel's structures as rationalizations
of repressed wishes which accompany Döblin's pathological condition.
She considers conclusions from the novel in conjunction with Döblin's
critical political essays and early family life. From the biographical
information, she correlates his work with a (hypothetical) unconscious
sexual ambivalence, supposedly produced by the father's absence (he de-
serted the family when Alfred was ten years old) and the mother's Jewish-
merchant heritage (hence her "masculine" character). 84 While many
isolated observations about the novel are useful, the main thesis of her
study is based on the unacceptable premise that all intellectual and
psychic factors are reducible to a mechanically conceived causal nexus.

Harnisch's dissertation serves as a prime example of what C.G. Jung
has called "reductive causalism" and a disregard for "teleological
directedness" in everything psychic. Conforming to Freud's pathological method, Harnisch does not consider any aspect of Düblin's creativity as a normal or collective psychology and, therefore, regards structures as signs of sickness rather than as symbols of a suprapersonal activity. This relapse into positivism impairs Harnisch's evaluation of the novel and distorts her otherwise perceptive findings. Since she supports my arguments later, one example from her study may illustrate the biased application of insightful interpretation.

Her examination of the dreams and visionary scenes is potentially creditable; the Wallenstein figure demonstrates the problem:

Die Wallenstein-figur ist, genau gesehen, ohne jede Entwicklung; er ist als einziger Machtträger, als Inkarnation der Macht, eher eine mythische als eine historische Figure [...] und zwar ist er dies offenbar gegen die Intention des Erzählers, der dieser Mythisierung durch groteske und triviale Züge entgegenzuwirken versucht.  

The narrator here is not a novel figure; Düblin is intended. The intentional fallacy betrays itself here, since a figure independent of the author's creative will is absurd. Aside from the speculation about intention, her description of Wallenstein as a mythical figure agrees with the tendency toward mythification in the other novels as recognized by Schmidt-Henkel, Schumacher and Ribbat (see above, pp. 20–22). Additionally, Harnisch has accepted Düblin's statement that he came in contact with Freud's work only after the First World War, and she has taken no account of the fact that Düblin was himself a practicing psychiatrist before the war. Harnisch, prejudiced by the pathological hypothesis, underestimates both the rational construction of the novel and Düblin's self-consciousness as an artist.
Of entirely different quality is the extensive investigation by Dieter Mayer, who views the work's historical aspect in relation to Döblin's nature philosophy. Mayer presents a structural analysis of the novel into which he integrates explanations of Döblin's political and poetic theory. He concludes that this second novel, in a similar manner to the early short narratives and the later novels, reveals one of the most important modern German novelists. He shows that Döblin must be included among the modern artists (Thomas Mann, Broch, Musil) who sought to re-create a myth of "totality" in place of the deception of authorial rationalism in the traditional novel. The typical Döblinian basic theme -- "jenes mythisch-rationale Doppelverhältnis" -- appears in the formula for Wallenstein: "Das Grundthema [...] ist Ferdinands Absage an die Wirklichkeit einer kriegserfüllten Welt und der Weg in das neue Leben in der Natur." Mayer recognizes the structural importance of Ferdinand's way into a new life. This development of the main character parallels the development of Franz Biberkopf in Berlin Alexanderplatz as a "residual" feature of the "bürgerlichen Bildungsroman." But, for all of Mayer's understanding of the historical representation within the mythical tendency, he does not elaborate his own recognition of the mythical structure of Wallenstein.

One of Döblin's nature-philosophic concepts, "resonance," takes on central importance for Mayer's ideas about the structure of the novel:

Döblin, das zeigen diese Äusserungen, hält nichts vom Kausalsystem von Zeit und Raum, das gedanklich errichtet, mit Stoff ausgegossen wird; er vertraut irrationalen Kräften bei der Komposition, bekennt sich bei seiner Arbeit zum Prinzip der "Resonanz."
The principle of resonance posits a general interconnection and communication in all creation, including the work of art which "extends" man's natural condition (natura naturans). In consonance with the importance of music for the modern German artistic consciousness, Mayer isolates a "musical principle" in the "Bodenplan" of Wallenstein:

Die umfangreichen Vorarbeiten im Nachlass können dabei allerdings nicht weiterhelfen: bei allem, was Döblin über seine Romanplanung aussagt, ist es einsichtig, daß das Spannungsnetz, in das das Werk eingebettet ist, mehr gefühlt, mehr musikalisches Prinzip ist (Döblin spricht vom Generalbass, der durch das fertige Werk tönt). 95

Even though an outline or skeletal plan is not extant, this does not necessarily mean that the principle must be felt or intuited. Here Mayer's discussion perpetuates the irrational "genial" or "inspired" conception of the production process ("Döblin hält nichts von Detailplanung eines Romans [...]"). 96 This assessment of Döblin's writing methods probably reflects the mythical quality of the prose itself, rather than the actual organization that Döblin may have used. As we have seen before, Mayer has been led to this position both by Döblin's stylization of his work habits and by other research, for example: "Wie immer auch Döblins Konzeption gewesen sein mag, das Resultat macht nie den Eindruck wohlgeordneter architektonischer Gemessenheit." 97

The present investigation contradicts this common misconception on the basis of a detailed correspondence between each narrative unit and the primary and secondary thematic expositions.
Döblin's Musical Structure and Mythical Images

Sometimes Döblin may be taken at his word in the theoretical writings and in his criticism of other art works. He draws attention to the dynamic and proportion of an epic work of art:


The formal will provides the "empty" dynamic which must then be filled with details by the author's imaginative use of material. This formulaic construction corresponds neither to the old "infinite" epic type nor to the "bad" "modernen dramatischen Romantyp." 99 Döblin considers his novels exemplary for the developing type of modern epic art: "Ich habe leicht analysierbare Beispiele in meinen eigenen Büchern gegeben."100

Although the "musical" structure has been mentioned often, a precise determination of it has never been established. There is, however, in Döblin's nature philosophy an unelaborated, but underlying idea which may prove useful in deciphering Döblin's cryptic remarks about the
affinity of epic with musical structure. In the later work, Unser Dasein (1933), Döblin attempts to show continuity in the physical and intellectual universe by following the principle of numerical organization as one of the carriers of this continuity and as a basis for "resonance":


Another task of the present study is to relate the development of the main figure, Ferdinand, to the numerical and, beyond Döblin's statements, to the numerological arrangement of the chapters, books and total novel structure.

A complete recapitulation of Döblin's poetics is unwarranted here, as is a reconstruction of the literary milieu in which Döblin's new epic theory emerged. Ribbat's introduction to Döblin's earliest theoretical tracts traces out the evolution and shows the reciprocal conditioning of both the wider movement and the individual author. Furthermore, Döblin apparently left only vague adumbrations of his ideas in the theoretical writings, much as his fiction frequently confuses and frustrates, if one expects a unified viewpoint from a traditional, identifiable narrator-presence:

Vorweg ist zu bemerken, daß Döblins theoretische Ausführungen zur Dichtung sich zu keiner systematischen Geschlossenheit zusammenfinden, daß von einer Döblinischen "Poetik" des Romans also kaum die Rede sein kann. 102
A few of Döblin's key concepts, however, could be helpful in understanding the "new" musical-numerical structure and the narrative techniques that are both a result and function of the structures.

Döblin was critical of the traditional novel and sought, therefore, reform of the highly abstract, reflective prose and of the narrator's primary role in presenting thought instead of sensual representation in language:

Die "ruhende denkende Sphäre" ist nicht Ziel eines Kunstwerks. Er greift über den Weg des Sinnlichen das gesamte Seelische an; nicht Änderung, Klärung und Erweckung von Gedankengängen, sondern Hin-stellung von sinnlichen Formungen, die Einfluss nehmen auf Gemütszustände einschließlich Willens-antriebe und Geistesbewegungen, ist Aufgabe der Kunst. 103

As with music, the epic work needs no internal comment from the poet; epic art stands independent of an explicit interpretation by the author through a fictional narrator: "Es ist konsequent, wenn aus solcher Kunst alles Subjektive verbannt wird und deshalb auch vor einer vor-schnellen Vermischung der Wirklichkeitsbereiche gewarnt wird [. . .] ." 104

These spheres of reality are the fictional empirical "material" and the fictionally reflected, conceptualized scheme or cognitive structure of the world. The latter level of "comment" was to be deleted from the epic structure of the novel.

Döblin's program for the new epic, however, exceeds this bare demand for a firm foundation in fictional "matter." The ultimate goal is to surpass or to transcend the world of concrete facts and to break into a new, "higher" reality of consciousness above the mundane:

Was macht das epische Werk aus? Das Vermögen seines Herstellers, dicht an die Realität zu
dringen und sie zu durchstossen, um zu gelangen zu den einfachen grossen elementaren Grundsituationen und Figuren des menschlichen Daseins. Hinzu kommt, um das lebende Wortkunstwerk zu machen, die springende Fabulierkunst des Autors. Und drittens ergiesst sich alles im Strom der lebendigen Sprache, der der Autor folgt. 105

The work of art bridges across the border between scientific knowledge and the elemental, human situation which includes more than objective facticity:

Die erkennende Naturwissenschaft schiebt das Dunkel unseres Nichtwissens dauernd vor sich, aber das Dunkel bleibt bestehen und tritt bei der Bewegung des Angriffs noch starker hervor. Mystik ist allemal da; jetzt wird Mystik das, woran die Naturkemtnis stösst. Das Mystische wird Grenzbegriff der Naturwissenschaft. 106

It is evident that Döblin's philosophical view encompasses a wider vista of human experience than the empirically verifiable and historically objective. This perspective includes the "higher" reality of the mystical, mythical and occult-religious realm of wisdom and cosmic faith. This perspective also accounts for Döblin's respect and simultaneous contempt for "mere" facts, particularly historical facts which constitute his fictional "springboard," the jumping-off point for his more complete new reality. Döblin has no sentimental reverence for the "monumental" histories of so-called great men and great events. He belongs to the generation of thinkers, under the influence of Schopenhauer, Nietzsche, Rohde, Bachofen and Burckhardt, who sought to re-integrate the sensual, Dionysian immediacy of life with the reflectively spiritual, sober Apollonian form and so to re-create a vital totality in their art. This ideal concern for totality has its philosophic articulation in Hegel whose own system, built through logic and
rationality (with obvious distortions of fact), nevertheless rested on an emanation myth and pointed toward the myth of human perfection. The "facts" fare no better in Wallenstein than in Hegel's dialectic of the spirit. Both are interested in the contours, not in documentation. For Döblin, the modern epic novel cannot serve as a "sauber dokumentiertes Geschichtsbild," but it "[...]dringt in Realitätsräume ein, die der Geschichtswissenschaft verschlossen sind."108

Under this attitude toward historical fact, the idea of "historical novel" as a special sub-genre can have no meaning, since every novel is "historical" and yet simultaneously "ahistorical" in its dual basis of fact and fantasy. It is the "Fabulierkunst" of the author which separates the work of art from the recorded facts on the one side and from a philosophical text on the other. In Döblin's art the particular and private experience of the individual becomes, in the case of the "hero," the exemplary, archetypal consciousness for a universal mankind, unrestricted in time and place.

Döblin admits no difference between the reportage of historical events and the fictional narrative of the novel. Only chronology is honest, since "[...] mit Geschichte will man etwas."110 Beyond the level of facts (Spitzengeschichte), Döblin views a Scheinrealität, a modern equivalent to the Märchen, in the novel:112

Der Roman steht im Kampf der beiden Tendenzen: Märchengebilde mit einem Maximum an Verarbeitung und einem Minimum an Material -- und Romangebilde mit einem Maximum an Material und einem Minimum an Verarbeitung. 113

This Verarbeitung (shaping the facts or material into a specific configuration) takes place in the medium of the "raw material" itself. The author's
"making" of structure and his stance or judgment of the material is not separate from the narrative itself; his confrontation with the historical, scientific, social, economic, psychological, religious, mythical, and mystical material appears in the composition of the figures and in the plot development. One consequence of the "resonance" principle is the merging of the traditionally separate narrator's consciousness with the action and consciousness of the fictional figures themselves. Again, this artistic attitude ascribes value and human dignity to a superior reality which cannot be reduced to the "sheer facticity" of the sensually existent world (Spitzenge- schichte). In this insistence on spiritual transcendence, Döblin must be seen as a rigorous moralist like Musil and Broch. The metaphysical content directly determines the technical devices or narration. One example from Döblin's last comments on the novel Wallenstein must suffice to demonstrate the relationship of structure and technique to authorial opinion toward "facts":


While Döblin oversimplifies his own novel structure for the sake of brevity, the actual result of his figure's "answer" remains ambiguous, not completely submissive as this passage implies, and Döblin had occasion to extend his remarks about the central theme and character.

In the article for the magazine Der neue Merkur in April 1921, Döblin remarks that contemporary art criticism in Germany lacks depth,
suffers from a narrow "professionalism" (dilettantism) and does justice neither to artists nor to the critics themselves. Superficial treatment of a work of art by a "spekulierenden Kopf," which Döblin brands "dionysische Kritik," is contrasted with works of men "[...] die vielleicht jahrelang ihre besten Instinkte und intensivsten Augenblicke an einige hundert Seiten gewandt haben." Döblin defends his novel Wallenstein from the attacks of critics who recognized no nexus with the political or social turmoil of post-war Germany: "Man fragt: wen kümmert der Dreissigjährige Krieg? Ganz meiner Meinung." The author explains his work as a strictly personal experience of liberating himself from preoccupation with the vision of Gustav Adolf's ships crossing the Baltic Sea. This liberation occurs by "reading" historical books of the period and by creating the novel around the "sun" (die Sonne) which is Ferdinand.

Historical reality, documented events and personalities, was only a means to an end for Döblin, the "wood" for his "fire" as he describes his assimilation of the material metaphorically: "Ich suchte, rang nach der Hebamme, die mich entbinden sollte, nach der Geburtshelferzange. Das waren die Akten, die Bücher. Sie waren nicht mein Stoff." The real "material" in Döblin's terminology was the process of creating fiction itself. This creativity has as its center (Zentrum) the "sun" Ferdinand (above), but this center is also in Döblin: "Ich hatte das Zentrum in mir, hier war die Peripherie [the historical reality], ich hatte nur nötig, die Radien zu ziehen: das Rad war fertig zum Laufen." Döblin's descriptions, even in expository prose, break frequently into metaphor, so the exact meaning of his language in these cases is obscure.
The same kind of concrete representation in place of abstract concepts marks his exposition of nature philosophy. However, Döblin is consistent in his use of images here, as he extends the image of "sun" or center in discussing the novel.

The basic conception of the work, in Döblin's words is:

[...] ein Kaiser, ein latenter Kaiser, von anderen irdischen Gewalten, Maximilian von Bayern, niedergehalten, leidet in dieser irdischen Schicht, wird von einem anderen tellurischen Gesellen, aber der Potenz aller Potenzen, Wallenstein, mit dem Ultramaximum der Kraft gefüllt und über das Tellurische hinausgeschoben. 123

The polarity between Ferdinand, "die Sonne," and Max and Wallenstein as tellurisch or irdisch is explicit. The continuation of Ferdinand's ascent (Döblin says there is no more "Entwicklung," only "ein Ausbreiten, ein Deutlicherwerden, sich Differenzieren"124) takes place through an inner fulfillment which has several stages, until he finally frees himself from his position as the Emperor completely: "Das Gefühl, allen Reichtum in sich und also unter sich zu haben, verlässt ihn nicht mehr. So verstärkt es sich in ihm, daß er zum Schluss ohne Bewegung -- alles von sich abtut."125 Döblin indicates that the dismissal of Wallenstein from service at Regensburg can only be understood as such a development of his "sun." The author will not have his figure Ferdinand understood as fleeing from the real world into a religious world of sainthood or resignation in refuge. He insists on the ideality of Ferdinand's way: "Ferdinands Weg ist eben dieser: rein zu diesem Ziel zu kommen -- immer wieder gestört, aber zuletzt masslos sicher --, keine zwingenden Einflüsse von dieser unterworfenen 'Welt' zu erfahren."126
In Döblin's own opinion, the "world" has been "subjugated" and diminished from some implicit earlier state, while Ferdinand achieves an undefined goal in "purity."

If Ferdinand, by virtue of his association with the sun and transcendence, represents an ideal figure, he is yet among men: "Der Kaiser ist Fleisch vom Fleisch der anderen; wir sind unter Menschen."¹²⁷ Finally Döblin summarizes the relation of his central figure to the rest of the fictional world:

Ich sagte: er ist die Sonne; aber die Pflanzen und Steine und chemischen Elemente sind auch von Sonnenart. Man wird mir nicht vorwerfen, ich hätte mich nicht bestimmt für den "Helden" entschieden. So bestimmt habe ich mich für ihn entschieden, daß das Buch von A bis Z nur das Lied des "Helden" singt. ¹²⁸

Döblin uses the term "Held" in quotation marks to indicate that this figure is actually a hero in the sense that Ferdinand really embodies an ideal combination of moral qualities, and that he is not a shallow weakling or a "passive" anti-hero.

Döblin uses a chain of metaphors in this short essay which create a hierarchy of the figures and the fictional world. The polarity of the sun and earth (Ferdinand on one side, Max and Wallenstein on the other) and the "sunlike" essence of the material world (plants, stones and chemical elements) point toward a unified order of the novel world, the center of which is the author Döblin. Such continuity and interrelation of the art work and the author is consistent with Döblin's nature philosophy, in which the creation of the artist is a continuation of evolution from the "Ur-Ich."¹²⁹ The functional metaphor here is that of wheel and center (Rad und Zentrum). The artistic process is the drawing of the
spokes (Radian) and the turning of the wheel (Laufen). Through this image the "dead" exterior world (historical facts) or periphery is connected with the living center (Döblin) through the process of creating (Laufen) the novel (the exposition of the "sun"). This simple concept is not the object of concern here, but rather the imagery itself and the larger domain of imagery behind it from which these few examples are drawn. Musch has commented on this:

Das aus sich selbst laufende Rad des Geistes ist ein mystisches Bild. Auch die Vollendung Ferdinands hat ihre Vorbilder in der Mystik und der Romanik, beispielsweise in den Paralipomena zum Heinrich von Ofterdingen des Novalis, und für die paradoxe Verbindung von Naturalismus und Irrealismus finden sich bei einem Dichter wie Achim von Arnim frappante Parallelen. 130

In defending his work against unenlightened critics, it is not unreasonable that Döblin may have tried to illuminate his novel and its "meaning" by the intentional use of imagery which reveals a clue to the symbolical nature of his fictional characters and world. In other words, one may ask whether Döblin is not so subtly handing over the keys to his kingdom and asking his critics to take another, more serious look at his creation. He does, in fact, ask for fairness indirectly as he denies the emotional Diltheyan "Einfühlung":

Einfühlung? Ich weiss davon nichts, aber genau das Gegenteil habe ich noch jetzt im Gefühl: Ausführung. Zur Einfühlung gehört ein liebendes Hinknien, Sichbemühen und der Drang, gerecht sein zu wollen [es ist also etwas, was die Kritiker von heute haben -- müssten]. 131

Genuflection borders on hyperbole, but it seems appropriate to pursue Döblin's hints and goals for criticism as he expressed them: "[...] das Fruchtbare und Schöne zu erfassen und an andere weiterzutragen [...]." 132
Summary

The introduction has described the biographical, critical and theoretical backgrounds for the novel Wallenstein. External evidence has been established which indicates painstaking preparation and writing on Düblin's part, and, thus, the thought that Düblin created by irrational methods should be eliminated from the consideration of the novel itself. Historical facticity serves only as a starting point for Düblin's purposes, as both critical literature and theoretical writings have shown. The scholars who have concentrated their attention on historical detail have generally overlooked the mythic and/or musical structure that shapes the total novel.

While the critical picture of Wallenstein remains fragmentary, the themes of mysticism and morality, of good and evil and of salvation and pessimism, figures celestial and mundane and mythic-mystical structures have been identified. Among the figures, Kaiser Ferdinand II emerges as the main figure, while Wallenstein (to a lesser degree, Max) plays a less important part as a mythically stylized antagonist, even though the novel bears his name as title. The function of war, contrary to the suggestion that its depiction is the main purpose of the novel, is secondary to that of human conflict generally. The carrier of this conflict is Ferdinand whose "path" or development determines the archetectonic structure of the novel. "Architectonic" and "musical" as modifiers of "structure" imply more than just a decorative attribute in the case of Wallenstein. Through the analytical section, constant reference to the numerical significance of a fictional event,
idea or experience will justify this initially unproven description. Coordinated with the numerical symbolism, alchemical, magical, and mystical-mythical structures will be shown in order to clarify the plot and the relation of the ending (Chapters 155 and 156) to the main body of the text. The remainder of this study will show similarities between Ferdinand's way to enlightenment and the gnostic myth of salvation.
Notes to Chapter I


2 Döblin was stationed there and in Hagenau, Alsace, from January, 1915, until November, 1918, according to epistolary evidence in Alfred Döblin, Briefe, ed. Walter Muschig (Olten und Freiburg im Breisgau: Walter-Verlag, 1970), pp. 61-103 and Schriften zur Politik und Gesellschaft, ed. Walter Muschig and Heinz Graber (Olten und Freiburg im Breisgau: Walter-Verlag, 1972), pp. 59-71.


4 Briefe, p. 672 and 675.


6 Ibid., p. 664.

7 Weissenberger, pp. 42-43, emphasizes the didactic nature of Döblin's later novel figures, and, p. 44, criticizes the Christian transcendence dogmatism of the November, 1918 trilogy, but has praise for the genius of the Hamlet novel.

8 Uwe Karl Faulhaber, "Stilistische Untersuchungen zum frühen Romanwerk Alfred Döblins im Lichte seiner kritischen Schriften" (Ph.D. dissertation, University of Southern California, 1970), pp. 88-89; and Klaus Müller-Salget builds his treatment of the development to Berlin Alexanderplatz and the following rapid decline similarly in Alfred Döblin: Sein Werk und Entwicklung (Bonn: Bouvier Verlag, 1972).

9 It is assumed that the terms "myth" and "mythic" imply broadly a narrative of generic or recurrent action patterns which give a perceptible form or order to the differentiated totality of human experience. Whether or not Döblin distorts the historical "reality" or the political facticity of the Thirty Years' War, and whether or not he intentionally contributed to or encouraged the actual historical phenomenon of collective irrationality among the Germans cannot be taken up here, since only the poetic structures, not the imputed or perceived impact upon the readership is the object of this study.

11 Faulhaber, p. 115.


13 Briefe, p. 528.

14 Ibid., pp. 77-78.

15 Ibid., p. 92.

16 Ibid., p. 94.

17 Ibid., p. 104.

18 Aufsätze, p. 345.


20 Briefe, p. 115.

21 Aufsätze, pp. 122-123.

22 Ibid., p. 335.


25 Mayer, p. 22.

26 Ibid., pp. 16-27.

28 Ibid., p. 41.

29 Ibid., p.

30 Ibid., p. 38.

31 "The Treatment of Wallenstein in German Literature of the Twentieth Century" (Ph.D. dissertation, University of Illinois, 1958), pp. 47-64.

32 Ibid., p. 50.

33 Ibid., p. 48.

34 Ibid., p. 160.


36 Ibid., p. 97.

37 Ibid., p. 229.

38 While Kimber does not expressly name the novel Wallenstein, his remarks about Döblin's fiction are generalized and contradict some of the evidence in this study.


40 Ibid., pp. 33-34.

41 Ibid., p. 31.

42 Ibid., p. 33.

43 Ibid.
Supra, note 8.

Faulhaber, p. 88.

Ibid., p. 108.

Ibid., p. 174; see also Aufsätze, p. 132.

Faulhaber, p. 241.

See discussion pp. 33-38.


Eykmann, p. 38.

Ibid., p. 44.

Ibid., p. 54. Karl und Rosa of trilogy, November, 1918.

Weyembergh-Boussart, p. 69.

Ibid., pp. 67-68.

Ibid., p. 108.

Ibid., p. 347.


Ibid., p. 65.
Müller-Salget, p. 183. Der schwarze Vorhang is an early narrative in which the individual returns to a less differentiated, elemental condition of collective existence (water, fire, air or earth) as frequently described in Wallenstein's death scenes.

Ibid., p. 174.

Ibid., p. 165.

Ibid., p. 167.


Müller-Salget, p. 163; Muschg's remarks are in the Nachwort to the new edition of Wallenstein, p. 743.


Die Problematik "des modernen Epos" im Frühwerk Alfred Döblins (Meisenheim: Hain Verlag, 1972).


Blessing, p. 59.

Ibid., p. 35.

Ibid., pp. 208-213.

Ibid., p. 221.


Ibid.
Ibid., p. 426.


Ribbat, p. 37.


Schumacher, p. 281.

Schmidt-Henkel, p. 163.


Ibid., pp. 71-73.

Ibid., p. 12.


Harnisch, p. 142.

Ibid., pp. 74-75.

Mayer, pp. 30-85, p. 238.

Ibid., p. 8.

Ibid., p. 257.


Ibid., p. 64.
Ibid., p. 193.

Sokel, pp. 25-26; Ribbat, p. 113; Müller-Salget, p. 130.

Mayer, p. 195.

Ibid., p. 192.

Ibid., p. 191.

Aufsätze, p. 126.

Ibid., p. 127.

Ibid.


Blessing, p. 6. The difficulty level of Döblin's writing is reflected in Martin Buber's experience with Wadzeks Kampf mit der Dampfmaschine (written August-December, 1914); Döblin's letter acknowledges the necessity of a key or "philosopher's stone" for gaining access to the novel:

Und jetzt können Sie nicht in das Buch hinein. Es ist begreiflich, daß Sie zu keinem Urteil über Gliederung etc. gelangen können, da Ihnen, wie Sie selbst äußern, das Grundgefühl des Buches nicht zugänglich wurde; natürlich musste Ihnen nun alles graue Masse werden, ungestaltete; ohne Schlüssel kann man nicht ins Haus. Wie es kommt, daß Ihnen das Grundgefühl des Buches, sein Keimprinzip, seine organisierende Grundgewalt, -- oh sie ist vorhanden, -- nicht zur Seele sprach, ja ganz entging, das vermag ich nicht zu erkennen.

Aber mir erging es bei manchen neuen Sachen so, ich denke noch an die erste Mahlersinfonie, die ich hörte; später fühlte ich mich ein; das Triviale, spielerische Gefasel, Chaotische, wurde Hand und Fuss.

Briefe, pp. 79-80.

Aufsätze, p. 34.

Ribbat, p. 95.

106 Ibid., p. 81.

107 Ibid., p. 170.

108 Ibid., p. 175.

109 Ibid., pp. 174-177; Düblin discusses the "historischer Roman": "Jeder gute Roman ist ein historischer Roman," p. 174.

110 Ibid., p. 173.

111 The term "Scheinrealität" refers to the mode of perceiving the world in its completeness which extends beyond the limits of conventional understanding. It contains elements of magic and dream material which, however, must be founded on a fictional world of scientific causality and historical, political, social and logical probability:

Und sind diese Dinge erfüllt, also mit dem Einverständnis von Autor und Leser, gewissermassen nach ihrer Verabredung, das Reich eines Als ob, einer Scheinrealität, die uns erfreut, entspannt, kräftigt und steigert.

Aufsätze, p. 167.

112 Ibid., pp. 166-180.

113 Ibid., p. 176.

114 Ibid., p. 182.


116 Aufsätze, p. 388.

117 Ibid., p. 337.

118 Ibid., p. 336.
119 Ibid., p. 339.
120 Ibid., p. 341 and p. 343.
121 Ibid., p. 340.
122 Ibid., p. 341.
123 Ibid., p. 343.
124 Ibid.
125 Ibid.
126 Ibid., p. 344.
127 Ibid.
128 Ibid., p. 345.
130 Wallenstein, p. 749.
131 Aufsätze, p. 340.
132 Ibid., p. 344.
CHAPTER II

NUMERICAL STRUCTURE AND NUMBER SYMBOLISM

The planned design of the novel Wallenstein is complex and, until now, either totally misunderstood or only vaguely apprehended as "musical." As all compositions, the novel may be reduced to a simple scheme for the purpose of analysis and comparison. The underlying primary structure is a function of the main figure, Ferdinand, and the secondary structure constitutes the remaining figures, including Wallenstein, the chief counterpart to Ferdinand. This binary system serves a higher mystical unity, both artistic and philosophic or metaphysical as the introduction has indicated. Through the dualism which the binary system supports, a universal totality is achieved for the fictional hero, Ferdinand, at the end of the novel. This universality or mystical union toward which the novel tends must be understood within the mood of the time after the war, and, perhaps more importantly, after Nietzsche. This philosopher-poet gave articulation to the problems of civilization as no other man of the age. While Hegel's doctrine of dialectic also deals with the problem of the absolute or monism, Nietzsche's writing is more immediate and influential for Döblin's generation. Rilke, George, Kafka, Thomas Mann, Hesse, Ernst Jünger, Musil, Benn, Heidegger, Jaspers, Richard Dehmel, Wedekind, Hofmannsthal -- all these early twentieth-century writers and philosophers are indebted to Nietzsche for the multiplicity of the "life-versus-intellect" opposition that emerges at nearly the same time as Wallenstein.¹
Paul Böckmann points out the universal importance of Friedrich Nietzsche for modern German literature when he describes the philosopher's work in its totality as an attempt to bring balance to the polarity of the individual versus outer reality. According to Böckmann, after Nietzsche the disunity of life and spirit, once united in classical symbolism, can only be overcome through the use of a perspective from the "Lebensphilosophie." Very similar to Döblin's nature philosophy, the life-philosophy provides a contact between the individual and a totality (das Allgemeine) by means of the "unconscious," or the primitive constituents which are still extant but submerged under various structures of civilization. In literature Nietzsche's philosophy makes possible artistic freedom from objectification and mythification of the subject by providing a balance between the two tendencies. Ribbat identifies a similar effect for Döblin:


Corresponding to the two levels of empiricism and myth or metaphysics in Nietzsche, Döblin employs the Bericht against the Märchen in his fictional forms.

But the opposition of reportage and fairy-tale structure must be modified somewhat, since the fairy tale has a kind of balance, too.
In fact, the organization of *Wallenstein* has a very rationally balanced quality that does not result from the historical facticity, but from the "Verarbeitung," or the artistic form. This form is a numerical and mathematical relation among the parts of the whole novel, much as a musical composition is balanced by numerical relationships, as well as by tonal qualities. This fundamental design is established without a conditional correlation to the content of the fictional world, although the design is meaningless without a reference to this world. Döblin, however, has created his story by imposing semantic elements over a mathematical mold. A comparison of this situation with skeletal anatomy would be as pedestrian as it is revealing.

Upon a strictly external tabulation of the larger structures, the books (six) and chapters (156 in total), the distribution appears as follows:

<table>
<thead>
<tr>
<th>Book</th>
<th>Chapters</th>
<th>Number/Book</th>
<th>Cumulative</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>1-37</td>
<td>37</td>
<td>37</td>
</tr>
<tr>
<td>II</td>
<td>38-53</td>
<td>16</td>
<td>53</td>
</tr>
<tr>
<td>III</td>
<td>54-70</td>
<td>17</td>
<td>70</td>
</tr>
<tr>
<td>IV</td>
<td>71-106</td>
<td>36</td>
<td>106</td>
</tr>
<tr>
<td>V</td>
<td>107-129</td>
<td>23</td>
<td>129</td>
</tr>
<tr>
<td>VI</td>
<td>130-156</td>
<td>27</td>
<td>156</td>
</tr>
</tbody>
</table>

The chart reveals no readily apparent pattern or noteworthy fact, except that the cumulative chapter total for the first three books is 70. However, by excluding the last two chapters (155 and 156) for reasons already suggested and yet to be amplified, there is an arithmetic relation between the new number, 154, and 70, namely 7 (7 x 22 = 154). The number seven is represented twice in the multiples of 70 and 154, and both factors correspond to a sequence of three books each. This coincidence justifies
no immediate conclusion about a possible pattern unless one considers the numerological importance of all the numbers just mentioned: 1 (novel with) 2 (divisions of) 3 (books containing) $7 \times 10$ and $7 \times 12$ (chapters each). These numbers in themselves constitute enough basis for pursuing the idea of numerical relations a bit further, without considering their combined symbolical significance at the present time.

In numerology the value of a number over ten, unless it has intrinsic symbolical value, may be reduced to a "digital root" in order to find the "meaning" contained in the larger number. For example, 20 is reduced to 2 by adding $2 + 0 = 2$; $101 = 1 + 0 + 1 = 2$, etc. If this reduction is applied to the number of chapters in each book, the following digital roots are obtained:

<table>
<thead>
<tr>
<th>Book</th>
<th>Digital Root</th>
</tr>
</thead>
<tbody>
<tr>
<td>I:</td>
<td>$37 = 3 + 7 = 10 = 1$</td>
</tr>
<tr>
<td>II:</td>
<td>$16 = 1 + 6 = 7$</td>
</tr>
<tr>
<td>III:</td>
<td>$17 = 1 + 7 = 8$</td>
</tr>
<tr>
<td>IV:</td>
<td>$36 = 3 + 6 = 9$</td>
</tr>
<tr>
<td>V:</td>
<td>$23 = 2 + 3 = 5$</td>
</tr>
<tr>
<td>VI:</td>
<td>$25 = 2 + 5 = 7$</td>
</tr>
</tbody>
</table>

Book I has an equivalent root of 1 in the digital reduction, as Book V has an equivalent 5. A pattern in the values 7, 8 and 9 appears promising, but Book VI (7) lies outside a coherent scheme. However, if the absolute difference between the book number and the digital root value of the chapters is computed, the following table shows a repetition of fives and ones in a symmetrical arrangement:

<table>
<thead>
<tr>
<th>Book</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>1 (identity)</td>
</tr>
<tr>
<td>II</td>
<td>$7 - 2 = 5$</td>
</tr>
<tr>
<td>III</td>
<td>$8 - 3 = 5$</td>
</tr>
<tr>
<td>IV</td>
<td>$9 - 4 = 5$</td>
</tr>
</tbody>
</table>
Book

<table>
<thead>
<tr>
<th></th>
<th>Ch</th>
<th>Root</th>
<th>Identity or Absolute Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>I</td>
<td>37</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>II</td>
<td>16</td>
<td>7</td>
<td>5</td>
</tr>
<tr>
<td>III</td>
<td>17</td>
<td>8</td>
<td>5</td>
</tr>
<tr>
<td>IV</td>
<td>36</td>
<td>9</td>
<td>5</td>
</tr>
<tr>
<td>V</td>
<td>23</td>
<td>5</td>
<td>5</td>
</tr>
<tr>
<td>VI</td>
<td>25</td>
<td>7</td>
<td>1</td>
</tr>
</tbody>
</table>

For the sake of simplicity, Books I and V are added to the chart to give a complete scheme:

From this chart may be seen that a relation of statement (1), four digressions (5's) and a re-statement (1) exists in a numerical structure which remains entirely abstract.

Although it is only a peripheral consideration, an analogy from musical structure suggests itself here. A tonic tone or chord is unity (or degree 1) in a diatonic musical scale, and in an octave scale the tonic note occurs first and last in a harmonic relationship (the frequencies are arithmetic doubles). The most important secondary tone or chord in a scale is the dominant tone (degree 5). The simplest melodic form alternates a statement, phrase, or theme between the tonic tone as the center (it "rules" the melody) and the fifth degree as the digression. The most common musical principle of repetition — symbolically a-b-a in which a is tonic, b is dominant — corresponds very closely in the broad contours with the numerical value just established for the chapter arrangement in Wallenstein. Whether Döblin consciously selected the numerical values according to musical analogy can only be left to speculation. As I demonstrate the symbolical significance of the 1 and 5, a more plausible reason for the selection will appear.
The sum of the symbolic number values for all six books yields 22 and with it another numerical relationship between the chapter total (154 = 7 x 22) is fixed. If the remaining factor 7 is multiplied by each of the chapter values 1, 5, 5, 5, 5, and 1, another progression is discovered as follows:

<table>
<thead>
<tr>
<th>Root value x 7</th>
<th>Chapters</th>
<th>Cumulative Chapters</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>7</td>
<td>7</td>
</tr>
<tr>
<td>5</td>
<td>35</td>
<td>42</td>
</tr>
<tr>
<td>5</td>
<td>35</td>
<td>77</td>
</tr>
<tr>
<td>5</td>
<td>35</td>
<td>112</td>
</tr>
<tr>
<td>5</td>
<td>35</td>
<td>147</td>
</tr>
<tr>
<td>1</td>
<td>7</td>
<td>154</td>
</tr>
</tbody>
</table>

Preliminarily a direct connection with some information from the context of the fiction is needed to justify what appears to be an unnecessary complication of an already complex structure. Each of these chapters in the last column except Chapter 112 coincides with a major decision or event in Ferdinand's development. In Chapter 7 Ferdinand returns from his flight to court on account of Dighby's promise of help. In Chapter 42 Ferdinand, Maximilian, Wallenstein, and Wilhelm Slawata, the four primary figures, are presented separately under the view of the narrator, who uses extensively alchemical-mythic metaphorical language to delineate the figures. In Chapter 77 Ferdinand receives the gift of mantis or illumination after a period of suffering in the darkness of his terrestrial soul, and in Chapter 147 he finally leaves the court and his position as Emperor entirely. The last chapter in the sequence, 154, concludes the long line of development after the departure of both major figures from the fictional world; the final scene is of chaotic masses of wandering refugees and military operations taken to contain them. While there are
many other important decisions and events throughout the novel, these correspondences constitute the major transitional scenes and may be regarded as the numerical basis for the development of Ferdinand and as the "backbone" of the novel.

Gematric Symbolism

The Wallenstein-Ferdinand duality is enshrined in another numerological relationship that corresponds to the 5-1 chapter arrangement. The gematric value of the names "Wallenstein" and "Ferdinand II" (most frequent reference is "Ferdinand der andere") offered Döblin an already existing basis for the 5-1 structure. Gematria is a "science," used consecutively by the Babylonians and Pythagoreans and then greatly developed by the Jewish Cabbalists, who convert a word into its numerical value or into a cipher produced by the permutation of letters. By this means the "true meaning" or the magical significance of the person may be discovered. The most usual method for determining the value of a name is to use the Hebrew system that assigned number values to the letters of the Hebrew alphabet as normal numerical symbols in the language. The following values are important for the analysis of the two names:

<table>
<thead>
<tr>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>B</td>
<td>C</td>
<td>D</td>
<td>E</td>
<td>U</td>
<td>O</td>
<td>F</td>
</tr>
<tr>
<td>I</td>
<td>K</td>
<td>G</td>
<td>M</td>
<td>H</td>
<td>V</td>
<td>Z</td>
<td>P</td>
</tr>
<tr>
<td>Q</td>
<td>R</td>
<td>L</td>
<td>T</td>
<td>N</td>
<td>W</td>
<td></td>
<td></td>
</tr>
<tr>
<td>J</td>
<td>S</td>
<td>X</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Y</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
After the values of the letters are determined, the individual values are summed, and the figures added until a digital root is obtained:

\[
\begin{align*}
\text{W A L L E N S T E I N} & \quad 6 + 1 + 3 + 3 + 5 + 5 + 3 + 4 + 5 + 1 + 5 = 41 = 5 \\
\text{F E R D I N A N D II} & \quad 8 + 5 + 2 + 4 + 1 + 5 + 1 + 5 + 4 + 2 = 37 = 10 = 1
\end{align*}
\]

Wallenstein's and Ferdinand's digital roots correspond exactly to the digital roots that are imbedded in the chapter divisions for each of the six books. Further correspondences between the number of chapters in Book I (37) and Chapter 42 (41 + 1), when Ferdinand's alliance with Wallenstein is initiated, may indicate that Döblin had conceived an extensive and intricate numerical model which had its basis in number symbolism.

**Number Symbolism, Astrology, Gnosticism, and Alchemy**

Number symbolism expresses both man's foundation in the physical world and his desire to control it through abstraction. Natural number symbols provide a means for associating numbers and actual, living experience for primitives. Examples of such associations would include the tribe as unit (1), male and female, night and day (2), family, universality, deity (3), the four directions, seasons, elements, etc. Number symbolism became quickly absorbed into religion and, since agricultural civilizations depended on weather, seasonal changes, and other celestial observations, it was combined with astrology through priestly caretakers who were concerned to predict and to prepare for natural events. The
Babylonians, Egyptians and, later, the Greeks and Jews were responsible for incorporating numbers into both practical and occult meanings under the care of religious leaders:

Numbers played a most important part in Babylonia. This was primarily due to two factors. In the first place, the Babylonians made very considerable use of various musical instruments in their religious services, as may be seen from the constant references to these in Babylonian texts (Frank, Studien zur Bab. Religion, pp. 229 ff.); whilst secondly, building and constructing, especially for religious purposes, led to a knowledge of solid geometry. As a result, they soon learned that the laws of space and sound bear a definite relationship to each other. Furthermore, the formation of various kinds of crystals which Ea, the god of art, placed at the bed of the earth, the harmony in the structure of man and animal, and above all the spacial or temporal appearances in the heavens, led to the idea that numbers are the most pregnant forms for the expression of the nature and power of the deity. 10

For example, the calendar among the Babylonians was constructed about lunations and consequently, seventh days became evil due to the influence of the moon's phases. Along with the evil sevens, the "good" sevens of Babylonian origin were adapted to the Old Testament from the time of the creation legends to the first-century Book of Ester. 11 Later generations added to the Babylonian cosmogonic and religious basis and the medieval idea of seven is exemplified in the conception of seven steps to perfection, by means of the seven arts, seven virtues or the seven steps or stages of contemplation. 12

Pythagoreanism in Greece developed the decad and the geometric and musical conception of mathematics. In the decad the Pythagorean philosophers believed to see the "archetypal pattern of the universe and in the members of the decad the expression of divine ideas." 13 By the Middle
Ages the Neo-Pythagoreans held arithmetic to be the key to cosmic
secrets according to the same principle as the early numerologists who
sought to resolve multiplicity into unity. Hence, the monad is regarded
as a principle, rather than the first number, since it reflects an im-
portance unequaled by any other. It symbolizes all that is good, deser-
able and essential, that which is indivisible and uncreated. 14 Similarly,
because it is not spacial or concrete (two points determine a line only),
the duad is a principle and represents matter or existence, diversity,
mutability, excess, and defect; and, because man is so seldom unified,
it is associated with manifoldness and mankind, the qualities of which
are both animal and reasonable. 15 From the duad arise the even or femi-
nine numbers, from the monad the masculine numbers and these two first
numbers represent eternal opposition, such as "the intelligible and the
sensible, the immortal and the mortal, day and night, right and left,
eaest and west, sun and moon, equality and inequality." 16

The triad symbolizes harmony as the first real number, since it com-
bines unity and diversity (1 + 2) as mediator. The mystical attraction of
this relationship may be seen in the elaborate attempts of Hegel to re-
duce history to the triad of the dialectic for the sake of an (artificial)
ordering in experience. The Trinity in Christian theology and the mer-
curry-sulfur-salt combination in alchemy may also comprise examples of
the three-in-one mystery.

In Pythagorean thought the number four has positive value primarily
because it completes the decad in the sum of 1 + 2 + 3 + 4; otherwise the
four is traditionally the number of poverty, misery and defeat. 17 The
five and six are the marriage numbers, since they are obtained through
addition and multiplication of the masculine three and the feminine two. Hopper describes the five as the type of nature, embracing all living things (five essences, five parts of musical harmonies, five zones and inhabitants of the world and five senses).\textsuperscript{18} The five takes on the more generalized meaning of world in Gnosticism, and it is of special interest as it manifests itself around the figure of Wallenstein.

The remaining seven, eight and nine will be taken up as needed, since the purpose of the present discussion is to show continuity of number logic and nature in the Pythagorean symbolism. However, the decad should be mentioned here since it marks the mystical return of multiplicity to unity (10 = 1 + 0 = 1) and establishes the decimal model for the rest of the number system. It is the most perfect of all "perfect" numbers and is sometimes called "comprehension."\textsuperscript{19}

The next contributing influence on number symbolism arrives with the theogony and cosmogony of the Gnostics (first century B.C. to fifth century A.D.).\textsuperscript{20} The doctrine of emanations or splitting of the godhead appears to incorporate the basic decimal system of the Pythagorean monadology into astrological information. A complete résumé of Gnosticism here would exceed space limitations, but it is important to mention a few characteristics, since the occultism of the oriental religions which give rise to Gnosticism also constitute the origin of the earliest Hermetic writings that are attributed to Hermes Trismegistus ( thrice-greatest), or to Thoth, the Egyptian god of wisdom. These writings combined astrology, science and Pythagoreanism and they account for the earliest interest in alchemy which, in the broadest of definitions, is the art of transforming some base material into a more noble or more valuable material.
Gnosticism designates a broad variety of religious ideas which purport to offer knowledge of the otherwise occult truth of total reality as the means to man's salvation. In Gnostic theory dualism between God and world shapes the doctrinal, ethical and mythical or poetic expression of man's alienation from physical reality. Man's godlike essence, his higher soul or "life-spark," derives from the original "alien" God who is complete in himself as the primal ground of the universe (Döblin's "Ur-eins" bears an unmistakable similarity to this idea). Through a series of diverse emanations the super-cosmic Pleroma (divine realm) is formed according to mathematical structure. Each emanation produces male-female pairs of abstractions (Mind-Thought, Idea-Word, etc.) in a downward movement from the pre-existent limitless power of the Silence or Abyss.

The physical universe from the sidereal sphere to the earth results from ignorance or passion as insufficient knowledge from Sophia (Wisdom), the last female Aeon or supercelestial deity. Her passion for the Father or Abyss produces grief, fear, anguish and terror, and physical substance forms like a fog from the emotions of Sophia. This is the Lower Sophia or Achamoth which is separated from the first Sophia who is purified, relieved of her passion and re-unified with her masculine partner by the Limit, another Aeon. The Lower Sophia repeats the scale of emotions which her mother in the Pleroma underwent, but these passions become the substance of the world and from these issue the four elements and the World Soul and Demiurge -- the creator of the seven spheres and earth.

The five affections or passions in Gnosticism preserve the number symbolism of the five in its association with the earth: grief, fear,
bewilderment, ignorance and the turning (conversion) toward the Giver of Life constitute the Sophia's movements. Turning back or "supplication" or prayer is the origin of everything psychical in the world, while the four blind passions constitute the traditional four elements of matter. The Demiurge, created after the purification of Achamoth by Jesus and the angels of light from the Pleroma, is the creator and king of all things psychic and material: "father" of right-handed things (psychic) and "artificer" of all left-handed things (material). The seven spheres or governors of the planets emanate from him, the Archon (lord) of the nether powers, who is a caricature of the Old Testament Jehovah. The seven spheres produce together heimarmene, or fate, tyrannical world rule. Pride, ignorance and malevolence of the Creator and the seven governors are recurring themes in Gnostic tales which leave little doubt about the Jewish model for the creator figure.

Terrestrial man comes into existence according to this mythology as a result of the combined effort of the seven Archons who supply the body and soul, and of the Aeons, who attempt to subvert the work of the Archons by injecting a divine seed or pneuma secretly into the new creations. "The pneuma sojourns in the world in order to be preformed there for the final 'information' through the gnosis." Through knowledge which descends from the Pleroma in the form of Jesus combined with Christos, terrestrial man can gain slavation from his earthly existence. Through gnosis he re-unites with the divine spirit. Such spiritual re-unification is possible only for the pneumatics among corporeal men. The pneuma remains captive in the lower world until saving knowledge is revealed to
individual, selected men who then set out to remove the demonic forces (heimarmene) which separate man from the distant God. The object of salvation is ultimately the godhead itself, not men, since the original cause of the fall of light was a divine, transmundane tragedy and not the post-creation "sin" of knowledge of good and evil, as in Judaic theology.

In fact, the anti-Judaic element in Gnosis is very deep and the Hebrew Scripture is rejected wholly in many gnostic texts. Jehovah is identified with the Demiurge and consequently, gnostics invert the Jewish law structure. The tyrannical world rule of the Archons, physically the law of nature, morally the law of justice (Mosaic law), is linked to the Old Testament God of retribution and pride. The effect of the Archons is the creation of physical and psychic man whose appetites and passions stem from and correspond to the seven cosmic spheres. Together these latter elements constitute the astral soul which surrounds the pneuma in the center of the mind. But only the inner-most part, the spirit, is the true man since its essence is extracosmic. The resulting human constitution is like that of an onion whose outer layers must be peeled off to free the real being. Jewish law and traditions were thought to increase or to help maintain the spirit's captivity in this evil world, while gnostic striving is the way to ultimate release of the inner man and to his reunion with his native realm of light.

The "call" or revelation of the transcendent God is already a part of salvation in Gnosis, since the call comes from without the cosmos in the agent of a messenger who brings knowledge of the "way" -- of the soul's way out of the world. The sacramental and magical preparations
for the soul's ascent through the seven spheres are contained in the revelation and at each level the spirit sheds the psychic burden of each Archon.

This synopsis of gnostic systems does not pretend to represent a complete description of any one variety of the several sects; in fact the notion of dogma in Gnosis is contradictory, since hierarchy and organization do not belong to the myth of the free spirit's return to its homeground. The present description provides a general background to both the mythic structure of the novel Wallenstein and the "royal art" of alchemy, which shares at least one common source with Gnosis in the Poimandres of Hermes Trismegistis, the Greek counterpart to the Egyptian sun-god Thoth. The common prominence of the sun or light in both Gnosis and alchemy, as well as in the nature religions of Egypt, in which the sun, the Nile, and the vegetation depending on them provide a naturalistic, sensual basis for the conception of divinities in quasi-human form, needs no further comment; however, the first principle from the Tabula Smaragdina expresses not only an astrological axiom, but a spagyric one, too:

quod superius est sicut quod inferius et quod inferius est sicut quod superius ad perpetranda miracula rei unius (that which is above is like that which is below and that which is below is like that which is above, to achieve the wonders of the one thing). 26

This is known simply as the doctrine of "as above, so below."

The mysticism and magic of Gnosis and alchemy supply not only a mythic structure of fall, enlightenment and salvation or reunification, but they provide imagery and symbolism with which Döblin shapes his own mythical fantasy and merges excerpts from historical reality. While it
would be impossible to describe fully the alchemical arcana and tenets within the limits of the present study, relevant principles and symbols from various sources will be discussed as the need for them emerges from the analysis of Wallenstein. At this juncture, however, a brief explanation of the nexus between Döblin and alchemy must be made, and for this purpose a résumé of the goal of alchemy is necessary.

Carl Gustav Jung's alchemical studies have convincingly shown that the religious, moral, and psychological aspects of alchemical texts were far more important for the initiates than the physical by-products of any conversion of the prima materia.\textsuperscript{27} His work presents evidence of an occult philosophy in what has popularly been regarded as a foolishly vain search for the philosopher's stone to be used in converting base metal into gold. This alchemical process has the primary purpose of self-examination and self-transformation. The "great work" (magnum opus) of the alchemists provides a method by which the soul may be raised from base emotions (the figurative prima materia, usually symbolized by Saturn or terrestrially by lead) to spiritual perfection (the sun or gold, celestial and terrestrial images of God). This perfection constitutes moral purity and emotional freedom from earthly cares. The prescriptive texts for the rituals (not experiments in the modern sense) are diverse and esoteric to the point of incomprehensibility, partly to avoid prosecution from the Church, partly to exclude the uninitiated. However, alchemy, according to researchers in the fields psychology, religion and philosophy, in addition to Jung, is a means to liberate psychic principles which have been imprisoned in matter.\textsuperscript{28} The gnostic background in this fundamental goal is
unmistakable. Gnosticism and alchemy share common aetiological details concerning human nature, the composition of the spirit, soul and body, and the astrological effects on the microcosm, man.

Among the better-known alchemists is the Swiss Paracelsus (Aureolus Philippus Theophrastus Bombast of Hohenheim, 1493-1541), whose Neo-Platonic and gnostic backgrounds have been established by Walter Pagel. 29 Paracelsus' writings include works on medicine, natural history, magic and philosophy, as well as alchemical treatises. But his cosmology, which proposed interrelationships between microcosm and macrocosm in the gnostic spirit, also offered an occult anatomy and explained sympathetic relations between planets and certain medicinally useful herbs. Alchemy was hardly an isolated aspect within the total view of life for Paracelsus and alchemical philosophy accounted for observable phenomena in a fashion commensurate with the then existing notions of causality.

Of primary interest for Wallenstein is the alchemist's ideal of continuity between nature and man -- essential monism in face of apparent diversity.

While Döblin studied the medieval world in his preparations for Wallenstein, Paracelsus must have commanded his attention since references to Paracelsus appear in the text itself (94) and an undated typed-written text of a speech about Paracelsus remains in the archive in Marbach. 30 Döblin records his admiration for Paracelsus' idea of astral, vegetative, and animal components in man and the connections between man and matter:

Das Fruchtbarste an ihm aber ist sein umfassendes Gefühl von einer grossen lebenden und wachsenden Natur, von einer einzigen lebenden Sternen-Pflanzen- und Menschenwelt und von der Wiederkehr der gleichen Kräfte oben in den Gestirnen
For Düblin himself, number was an elemental power of organization for the inorganic world and he speculated about the importance of number for art (above, p. 28). Fire provides continuity through the physical universe for Düblin, too:

Denn, obwohl aus Körpern entstehend, wendet sie [die Hitze] sich gegen die Körper, lockert ihren inneren Bestand, macht das Festes flüssig, das Flüssige gas-förmig und zeigt in der Gestalt der Flamme ihr eigentliches Gesicht, die Zerstörung.  

Heat is of the same essence as destruction; only quantity separates the two abstract poles for Düblin. Careful maintenance of heat or fire is essential for all organisms, as well as for successful alchemical operations.

Among the alchemical agents, controlled fire is perhaps the most important technique and, as already noted, the technique refers to both earthly, actual oxidation as well as to the inner fire or emotions in the artificer. Fire has a dual nature in alchemy and in life, too. As a forming element (earth, fire, water, and air), it has symbolic similarity with the spirit and sun imagery on the super-cosmic and cosmic levels. The Phoenix represents a traditional symbol for the death and re-birth potency in fire. While the various stages of the alchemical operations have their own esoteric symbolism (Jung and Silberer devote extensive space to the sometimes contradictory profusion of symbols), fire and sun pertain closely to the two main figures Wallenstein and Ferdinand, respectively. Sun imagery has already been associated with Ferdinand, but fire imagery has yet to be connected to Wallenstein.
The chapter which analyzes Wallenstein will firmly establish Döblin's concept of fire and magic, but for the present purpose a single reference from the novel text will reveal an amazing similarity to Döblin's definition of heat or fire:

Friedland kannte von je nur das Spiel, dessen Drang wuchs mit der Grösse der Einsätze; er kannte nur umsetzen, umwälzen, kannte keinen Besitz. Er war nur die Gewalt, die das Feste flüssig macht. Er schauderte und zerbiß sich, wie sich ihm etwas Festes entgegenstellte. (374 Emphasis mine.)

There can be little doubt that Döblin considered Wallenstein to be the incarnation of power, particularly chthonic power, as opposed to the celestial essence of Ferdinand. At the same time that he identifies Wallenstein as the mythic force of fire, he alludes to another symbol which has a long history in alchemy; the ouroboros, the snake that bites its own tail.

**Summary**

This chapter has set forth the evidence and background of number symbolism as Döblin has built it into the underlying structure of the novel Wallenstein. While Döblin employs a polar system of symbols to form the main figures, the traditions of number symbolism, Pythagoreanism, Gnosticism and alchemy indicate that the opposition of the two figures is vertically arranged from earth-bound material (Wallenstein) to the supercelestial sphere (Ferdinand), rather than the strictly life-versus-intellect opposition which was mentioned in relation to Nietzsche (p. 40 above).
The digital roots of the chapter distribution within the six books of the novel have revealed a complicated and consistent application of the numbers one and five for Ferdinand and Wallenstein, respectively. Gematric symbolism corroborates the evidence from the digital roots, and the two separate correlations of the names with the same numbers prove that Döblin's arrangement of the chapters was not done at random. Furthermore, the numbers one and five along with the multiples of seven provide a solid basis for heretofore approximate descriptions of the structure as musical (vid. Mayer, p. 25 supra).

The discussion has shown the direct relation and influence of Pythagoreanism, astrology, Gnosticism, and alchemy on the mythic structure of terrestrial and cosmic (even supercosmic) emanation and man's way to re-unification with the divine light or silence. From Döblin's familiarity with alchemical texts by Paracelsus, we may assume that he knew of the traditions behind the mythic structure and that he knew of the symbolism that informed the eastern religions of salvation and mystery. With the information from the gnostic cosmology, a new perspective is gained for viewing Döblin's pessimism (vid. Eykman, p. 13 supra) about earthly fate (heimarmene) for figures like Wallenstein and for viewing the novel's somewhat disjointed conclusion in which Ferdinand dies a martyr's death.

Lastly, this chapter gives insight for observing Döblin's theoretical position from precise example and demonstration. One may infer from the numerical structure and from the symbolism which endows it and connects the novel with an ancient spiritual tradition that the formal principle
really has generated the content ("Das Formgesetz [...] hat eigentlich
den Inhalt, wie er konkret dasteht, erzeugt."\textsuperscript{33}). The number, an
inorganic principle of organization, returns in the realm of art to
give shape to the world of history.\textsuperscript{34}
Notes to Chapter II


2 "Die Bedeutung Nietzsches für die Situation der modernen Literatur," *Deutsche Vierteljahresschrift* 27 (1953), p. 90.

3 Ibid., p. 86.

4 Ibid.

5 Ribbat, p. 89.


8 Cavendish, p. 47.

9 Hopper, pp. 3-11.


11 Ibid., pp. 13-19.

12 Ibid., p. 18.

13 Ibid., p. 37.

14 Ibid., p. 39.

15 Ibid., pp. 39-40.
16 Ibid.

17 Hopper, p. 42; Cavendish, p. 51.

18 Hopper, p. 43.

19 Ibid., p. 45.

20 Ibid., p. 50.


22 Ibid., pp. 188-189.

23 Ibid., p. 190.

24 Ibid., p. 203. The Valentinian myth, one among several conflicting varieties, is reported.

25 Ibid., p. 195.


27 Ibid., fig. B6. The most frequent product is spirit or/soul which rise up from the material when it is heated. *Prima materia* is the real arcanum of the art.


29 Pagel, pp. 49-119.

30 Weyembergh-Boussart, p. 154.

Unser Dasein, p. 144.

Außsätze, p. 126.

Berlin Alexanderplatz contains exactly 169 or 13 x 13 separate prose units, a numerical structure which underlies the explicit book and chapter contents that precede the main text. Franz Biberkopf is also a figure that fears fire. ("Er ist von Natur gut, was man so nennt, und oberdrein ist er ein gebranntes Kind und fürchtet das Feuer.") The possibility of an application of the principles of numerology and alchemy appears equally good for Döblin's most popular work. (Quotation from "Mein Buch Berlin Alexanderplatz," in Berlin Alexanderplatz (München: DTV, 1965), pp. 412-13.) Wang-lun's father in Die drei Sprünge des Wang-lun uses magical, mystical number charms. See Schmidt-Henkel, p. 174.
CHAPTER III

MYTHO-MYSTICAL METAMORPHOSIS AS
FICTIONAL STRUCTURE

PART ONE

"Poesie ist zu entziffern aus der Analyse ihrer
sinnlichen Bilder."

Symbols and Mystic Tradition

The Introduction has outlined the range of ethical, religious and
philosophical themes and topics in Wallenstein and Chapter II has provided a brief explanation of the nexus between the author Döblin and a composite tradition of numerology, Pythagoreanism, astrology, Gnosticism and alchemy. The purpose of the present chapter is to analyze selected portions of the text -- primarily parts that have already been identified by the number symbols -- with regard not only to the mystical tradition, to those recognized religious and mythical themes, but also the the relation between the fictional presentation of historical "events" and their symbolic meaning. The concrete fictional basis for the structure of the novel is the metamorphosis of the main figure, the Hapsburg Emperor Ferdinand II.

In preface to this analysis, however, Döblin's use of symbolism must be discussed, since without a clear understanding of the concept itself and its particular employment in Wallenstein, the novel's larger meanings must remain closed to interpretation.¹ Knowledge of esoteric symbolism
aids and, in some cases, only it can furnish real insight into the greatest works of western literature -- those of Dante, Shakespeare, Goethe and Melville.\(^2\) The exemplary quality of Döblin's fictional central figures, foremost Franz Biberkopf in *Berlin Alexanderplatz*, constitutes a part of the author's "theatrical epic" or modern epic, an intention of which is the didactic-dialectical representation of an exemplary case.\(^3\) Döblin himself admits that the title figure Wallenstein designates the time and the conditions of the historical period, but "Das Buch müsste eigentlich heissen 'Ferdinand der Andere.'"\(^4\) The figure Ferdinand, his fictional fate and his path to it comprise a "Selbstfindungsprozess,"\(^5\) but the self which Ferdinand finds at the end is no longer the same as it was in the beginning; therefore, the cognomen "der Andere" serves doubly well to distinguish the hero. He finds through suffering and sacrifice his way to salvation\(^6\) in analogous manner to Biberkopf, in *imitatio Christi*.\(^7\) Ribbat identifies in a specific context a generally valid formula for all of Döblin's fiction: "Durch ein Absterben des bisherigen Daseins geht der Weg zu einer Versöhnung mit der Urkraft des universalen Lebens."\(^8\)

In a literal sense, then, Döblin's figure and his development, both concretely fictional, point toward an undefined higher unity, to a mystic transfiguration for him and analogously for mankind. Döblin's creation, contrary to Emrich's exclusive praise for Goethe, may be positively compared to the symbolism in Faust:

\[
\text{Damit ist das Zentralproblem aller Kunst, in einer konkreten Gestalt zugleich ihre absolute Wesenheit aufleuchten zu lassen, ohne doch in einen gestalt-}
\text{losen Begriff überzugehen, unvergleichlich eindruck-
\text{lich gestaltet. Die konkrete Erscheinung wird gleich-
\text{sam gespalten in eine dahinschwindinge vordergründigere}
\]
Ferdinand presents -- as the analysis will show -- a modern model of esoteric symbolism for which historical systems of esoteric symbols provide raw material. But the symbolic quality of Ferdinand is possible only within the context of historical, quasi-empirical "facts." The predominance of historical accuracy in description of local color, personality and chronology prevents the figure from diffusing into a shapeless concept. In fact, Döblin's "new" novel theory -- "dicht an die Realität zu dringen und sie zu durchstossen"\textsuperscript{10} -- is revealed as a rejuvenation and re-application of mystic symbolism in literary theory. Through the myriad of details in Ferdinand's individual experience, through subjectivity, Döblin conveys the "perennial philosophy" of mysticism.\textsuperscript{11} The details and facts, like so many brush strokes and shades of color, remain fragments without an overview or a contour of continuity. This shaping is provided through the symbols themselves, which, like catalysts in chemical reactions, precipitate or order the fragments into meaningful, recognizable patterns. The symbols themselves must be, therefore, highly visible; symbolism in mysticism requires a commonality in the knowledge of the images and religious signs that express human attitudes toward supernatural powers. This is particularly true of Wallenstein:

Die Welt soll nicht durch den Intellekt eines überlegenen Autors vermittelt erscheinen, sondern im Augenblick des Sprechens entstehen. Döblins Hyperbeln, oft an optische und akustische Empfindungen geknüpft, dienen dieser Autonomie der Sprache, die Bilder werden daher ohne Vergleichsebene eingesetzt [...]. \textsuperscript{12}
This autonomy of language must be qualified, however, since there are at least two levels of comparison for the images in the novel, one which is immanent to the work's fictional images and one which includes the entire corpus of occult symbolism. Döblin exchanges in Wallenstein to a greater degree than any other novel the personal narrator-figure for this system of symbols, which, like language as a whole, has existence independent of this particular novel and author.

The effacement of the narrator has important consequences for the narrative style, in addition to the individual instances of esoteric symbolism. The larger structures require a tighter cohesiveness and the fictional world must generate for itself a coherent order. Ribbat has described this aspect of the narrative style with regard to Döblin's earliest novel Der Schwarze Vorhang and an early short narrative with the paradigmatic title "Die Verwandlung" (1911):

Kein Detail der Geschichte ist um seiner selbst willen, aus blossem Interesse an seiner besonderen Daseinsform gegeben, ein jedes ist sinnbezogen, auf eine Bedeutung hin angelegt, die über den jeweiligen Kontext des Geschehenberichtes hinaus führt. 13

Such a relation between individual event or experience and the comprehensive structure of the composition harkens back to Goethe's classical conclusion to Faust that everything ephemeral is only a symbol of the universal ("Alles Vergängliche ist nur ein Gleichnis"), the transsubjective or the ultimate unity of the created cosmos with the uncreated One.

In summary, Ferdinand's exemplary experience is mediated through the symbolic metamorphosis of the alienated individual, who, having been re-created, recognizes, accepts, and lives his role as a conscious, but harmonious part of the whole. Ferdinand's struggle, first against himself
and later against the inevitable conflicts in the Empire; his temporary political supremacy; and his continuous ascent to the symbolic tree of life constitute a parabolic case of the esoteric transfiguration.

Introversion and Purification

The structure of transformation in Ferdinand approximates the process of introversion and rebirth which Herbert Silberer has described with the aid of Jung's terminology. The entire process is known as the "great work" (magnum opus) of alchemy which identifies the first phase of the process variously in symbolical language. Introversion indicates an inward orientation of the conscious mind toward the unconscious, the soul, psyche or anima. Among the cultic and mythical symbols for this step are dying, descent (katabasis) into subterranean caves, Gewölbe, dark temples, into the underworld, hell, the ocean; ingestion by a monster or a fish (as for Jonas); sojourn in the desert and others. Silberer and Jung furnish a psychological-archetypal view of the subject's conscious reintegration with his unconscious, the return to the "mothers," and of the struggle to free the blocked energy of the unconscious self in order to release it actively and constructively into the outer world. The individual's ascent and return to reality lead consequently to a spiritual elevation of the individual. The first half of the novel, Books I-III, develop the introversion and purification of Ferdinand, while his rebirth occurs in Chapter 77 (the numerical mid-point) and the subsequent text discloses the effect of the re-birth.
Some alchemists maintained that there were seven steps in the work, some said twelve, and there were sometimes four, sometimes three major stages in the transformation.\textsuperscript{16} Each step and stage have psychological counterparts, although differentiation among all these demands a certain exertion of imagination. However, the first major stage, \textit{nigredo}, is readily distinguishable as the result of calcification, solution, separation and conjunction, the initial operations. Calcination requires fire for burning away the excessive habits of the body. The subject is burning in discontent with himself; complete self-disgust and a yearning to free oneself from the burdens of worldly concerns -- usually caused by the artifex himself -- mark the state of emotional involvement.\textsuperscript{17} The first step is the disintegration of the natural self which has been recognized as inadequate or culpable.

The first seven chapters reveal Ferdinand in the initial discovery of his alienation from religion, politics and sport, the three spheres of the supernatural, the human and the natural. The incident, however, which supplies the immediate cause for Ferdinand's malaise is not explained in direct connection with this first exposition of Ferdinand's problems. This causally earlier incident emerges from the reflections of the Emperor's advisor Graf von Trautmannsdorf somewhat later in Chapter 10 (39-40), and even then the actual confrontation between Ferdinand and Maximilian of Bavaria remains shrouded in conjecture and surmise. It is clear that the focus of the narrative is the emotional, psychic element -- Ferdinand's frustration, ineptness and despair -- not the political or historical details.
Contrary to historical reality, Döblin's Emperor promises Maximilian the Electorate of the Palatinate in exchange for military and economic assistance in putting down the Bohemian uprising. Ferdinand's promise is not made rationally and of his free will, but spontaneously under personal duress from Max in Munich:


While the actual conversation, the specific exchange of words or direct quotation is entirely missing, the time and mood are explicitly and emphatically recorded. It is the second Monday (the second day of the week), two days before departure for Vienna. Ferdinand started his festive visit to bring thanks to his brother-in-law after the coronation in Frankfurt in a state of jubilation. Ferdinand is "glückstrunken" (407, "im Rausch" (70), "wie ein Betrunken" (226), "ein Kind" (338). It is the Emperor himself who gives the following account of the fateful hour:

Er musste ihm [Dighby] zu verstehen geben, [...]
daß er einmal gefesselt worden war, in einem verwirrten betäubten Augenblick, in dem er nicht rechnen konnte oder wie es sonst gewesen war. Daß er damals sonderbar eingeschüchtert worden war von Bayern, nachgab, seine junge Kaiserwürde schon verloren glaubte, sich aus Scham nicht hatte offenbaren können. (77)
This confrontation destroys Ferdinand's brief feeling of unity and plunges him into conflict with his advisors, the Protestant powers and with himself. The divisiveness and discord between the two leaders is symbolized in the number two which appears several times literally and figuratively. That evil is here, even in Max's face — "Höllisch verzog sich [...] das marmorfeine Gesicht Maximilians" (40, 420) — can be little doubted.

With this background the events of the first seven chapters gain in clarity. Ferdinand's incomprehensible behavior begins to appear more logical, if not rational. In fact, Ferdinand loses control both externally to Max and, on account of pride, internally over his emotions, or in gnostic terms over his rational soul. His psychic imbalance shows forth in alternating moods of drunken frivolity and sober depression. The excesses of eating, drinking and hunting provide distraction from his still secret political problems, but his guilt feelings "burn" him and make him suffer for his irrational politics.

Chapter 1 begins and ends with Ferdinand's drunken sentence: happiness and laughter in a "victory" celebration: "Nachdem die Böhmen besiegt waren, war niemand darüber so froh wie der Kaiser" (9). "Wie schlug er sich den Schenkel, warf sich tiefer in das Gestühl, vergrub sein im Gelächter entlarvtes Gesicht im Schoss" (11). The epithet "entlarvtes" points toward an implicit judgment which inheres in the description of the drunken behavior of the Emperor with his alter ego, the court fool:

Die feuerspeiende Büchse, treffliches Symbol für ein Weingefäß: da lässt sich leicht der Malefizier finden, der hier ersterben will. Und soll es der Erwählte Römische Kaiser sein, es muss geschossen sein [...] der Kaiser richtet zielt
und schiesst, jach in den Schlund des tobbenden
Narren, des hingewälzten lachenden Kobolds in
der braunen Schellenkapuze [...]. (10)

Fire, wine and killing all identify the Emperor himself as the evil-doer
in a game that is innocuous in itself. Ferdinand, however, shows an
entirely different mood at the sound of vespers in Chapter 2. Gaiety
changes immediately to solemnity at the reminder of a divine, omniscient
justice.

Chapter 2 is devoted exclusively to the Emperor's formal leave-taking
and exit from the banquet hall. Several of the more important fictional
figures are introduced, but once again the narrative immediately crystal-
izes the scene into a typical image with mention of a statue of Hercules
and a worm or dragon metaphor:

Vor der kleinen Bronzesäule des drachentötenden
Herkules stemmte der Spanier, das böse hitzedurch-
wühlte Wisent, sich auf, hob die Schultern. Und
als wäre die Reihe der Herren am Tisch ein Wurm,
dessen Kopf sich zur Wand bog, so rollten sie
nacheinander weg vom Tische an die blitzenende
Brokattapete, und der Wurm schwankte, schlug
vorwärts rückwärts. (12)

In the next paragraph the Emperor is connected with the dragon-slayer
Hercules through the metaphoric use of "Säulen": "Untersetzt, dickleibig,
auf den kurzen Säulen der steif gewordenen Beine trug sich vom obersten
Platz unter dem Baldachin her Kaiser Ferdinand der Andere" (12). It is
altogether consistent with this image of the Greek hero, son of Zeus,
that Ferdinand fall into temporary insanity and then atone for this deed
through various labors and tests. Whether a dragon image of the state or
of several individual animal natures is intended as the object here is
unimportant for the allusion and comparison to Hercules, however loose
the comparison may be at this point.
The correlation between the hero and Ferdinand becomes clearer in the third chapter, which contains one of Döblin's more important narrative devices, the parable. In general the parable is intended to produce by analogy a comparison of one object with one from another situation or sphere of relation. The image-half of the parable does not coincide in all details with the central topic or object, but rather "The typical parable, whether it be a simple metaphor, or a more elaborate similitude, or a full-length story, presents one single point of comparison. The details are not intended to have independent significance."¹⁸ The parable does rely on at least one common element to convey the "meaning"-half of the image back into the main story: "Das Strukturmerkmal der 'Parabel' oder des Gleichnisses ist die genaue Trennung zwischen 'Bildhälfte' und 'Sinnhälfte,' die miteinander verbunden sind durch ein 'tertium comparisonis' in Gestalt eines einzigen 'springenden Punktes,' einer Points."¹⁹ In Döblin's prose, as Ribbat has explained for the Erzählungen, the author does not provide a "meaning"-half which would rationalize the relevance of the parable. In place of the missing explicit logical nexus, the image-half itself indicates the intended linking point: "[…] in der 'Bildhälfte' wird so erzählt, daß alles auf eine Pointierung am Schluss zulaufert, die zu einer Transponierung der exemplarischen Vorgänge an die allgemeine Ebene einer gültigen Wahrheit nötigt."²⁰

To reduce the parable in this instance to a formula, we may say that it gives a propaedeutic meaning that interprets Ferdinand's irresponsible actions within itself and, in a sense, sub rosa. Like the implicit comparison with Hercules who killed his own children, this parable places a judgment upon or renders an interpretation of Ferdinand's character. This
device has been recognized for its similar function in the novel "Wang-lun." 21

Immediately after the banquet scene, Ferdinand with only his closest courtiers abruptly leaves the city for Wolkersdorf where the imperial hunting lodge is located in a forest. Ferdinand is hiding from further political responsibility and seeks relief from the office in nature. As the group leaves Vienna, the crossing of the Danube is commemorated in a mock ritual "dusting of the doublet" when the court fool Jonas strikes Ferdinand's cape with his rattle:

Unter Verbeugungen gegen das breite Gewässer,
gegen den Stephansdom und die starken Basteien
schüttelte der Wicht das bestickte Tuch, klopfte
es zärtlich mit seiner Klapper, übergab es dem
nachdenklichen Herrn. (15)

With the first obeisance toward the water (realm of nature), it is evident that the dwarf is acknowledging the crossing from civilization to nature, and that the cares of human conflict are being left behind like the "dust" of the High Council. The party passes through the high grasses toward Hoheneich, a place of pilgrimage where there is a "Hundegalgen" that is a part of the legend or parable of this locality. Ferdinand approaches this gallows with a sudden relaxation of mood. The description which precedes Ferdinand's journey is given in full to demonstrate the absence of auctorial direction:

In Hoheneich stand ein niedriges Kirchlein; innen
zwischen zwei Pfeilern in seine Mauer eingelassen,
gleich an der Pforte, eine Eichentür, mitten zer-
klüftet, von Eisenklammern zusammengehalten, alters-
grau unscheinbar. Ein frecher Landadliger hatte
einmal diese alte Kirchentür verrammelt, als eine
Prozession von Schrems heraufkam; im Gebüsch sass
er mit seinen Spießgesellen, um sich an dem Spektakel zu ergötzen. Die Chorknaben schwangen die
The Emperor falls asleep on the gallows (15). His face becomes friendly and childlike in sleep while his companions feast. He escapes from the conflicts related to his office in his sleep when he returns to a carefree and unconscious state of childhood, which like animals has not yet fully developed a conscience. The juxtaposition of the two noblemen (the leader in the parable and Ferdinand) can be formulated so: both acted irresponsibly, selfishly toward their own community (the procession of children in the parable, the subjects of the Empire in the fictional world), both have become "dogs," signifying the material, natural, non-human or sub-human element in both acts, and the "community" must execute them both for their irresponsibility. The parable binds together all the essential elements in Ferdinand's "unique" situation: avoidance of the High Council (the men who killed the dogs), aversion to the thought of the supernatural, and psychic turmoil due to unexpiated guilt. The release from his tension at the gallows is only temporary, since sleep is only a substitute for death as his conscious mind is no longer in conflict with the self. Ferdinand regresses psychically to the innocence of childhood and natural unity
before awakening to renewed terror in Chapter 4: "Freundlich lächelte am Galgen lehnend der Herr mit dem gelben kindlichen Gesicht im Schlaf; die Pietsche war ihm aus der Hand gesunken" (17). The fallen whip indicates a loss of control as well as cessation of torment.

Recalling the sudden change in mood from the banquet frivolity to solemnity at vespers, Ferdinand displays fear and defensiveness instead of peace and trust in the church at Hoheneich:

Als wenn er aus der Wand etwas auf sich zukommen sähe, zielte er den Hals steif. Er wartete wie auf einen feindlichen Angriff, vor einer fürchterlichen unsichtbaren Front. [...] Er kniete, aber er sass auf einem gepanzerten Ross im Harnisch, eine schwere Lanze unter dem Arm, rührte sich nicht. (17-18)

His relations with the divine order are broken and Ferdinand is just as isolated in the church as in the High Council. The remaining order of nature, in which he still tries to find solace, will soon convince him that this final *temenos* is no longer available, either. His estrangement extends to nature, too, particularly in the dark German forest.

The fall from nature takes place in the fifth chapter. In the first and third chapters, Ferdinand escapes through drunkenness and sleep while here he falls literally from unity during the favorite sport of the nobility, the hunt. The court, "versunken, verloren auf den stossenden Rücken, wutertrunken, berauscht" (20-21), lose their human individuality in close contact with horses and dogs in the heated chase of a wild boar. But Ferdinand, in one fateful, thoughtless and spontaneous deed, recapitulates in the realm of nature a mistake analogous to the one in the political sphere:

Da zappelten die Hunde unter dem Schimmel Ferdinands, der die Pietsche besinnungslos hob, die Krücke auf
die Nase des stöhndenden Tieres schmetterte. Auf den Hinterbeinen stand es auf, drehte sich, zwei Schritt zurück,warf drehend umstürzend seinen Herrn zwischen die flüchtenden Hunde [...]. (20)

Once again the author associates Ferdinand indirectly with the dogs and, like a dog, stunned and in mortal fear for his "unclean" (befleckt) soul, he allows himself to be led away toward a rendezvous with an armed escort. The men lie ready to assist the Emperor in abdicating, should he desire to leave public life. Graf Paar, Ferdinand's intimate friend, believing the Emperor wants to escape, had arranged the escort and anticipated such an opportunity to "save" his friend and lead him to "freedom": "Der Kaiser solle kommen, der Kaiser solle sich nicht fürchten, es sei geschehen, er sei gerettet [...]; die Freiheit, wohin er befehle, die Leute sind zuverlässig, Gewänder liegen bereit" (23). But the Emperor returns to consciousness at the approach of the strange men and realizes that he has risked danger again through a suspension of reason. In place of reason his emotions guide him and now they guide him back to the hunt in fear, horror, embarrassment, and anger with the knowledge that his inner turmoil is now visible to the court: "Und in Ferdinand, während er vor Wut berstend das Pferd herumwarf, den Mann [Paar] beiseite schleuderte, die Spuren einsetzte, schwebte schon, die Flammen zu heulendem Entsetzen anlassend, der Gedanke: So steht es um mich, so weit bin ich; entlarvt" (23).

For the second time the adjective "entlarvt" is used to characterize Ferdinand's paradoxical situation: in Chapter 1 was laughter at an empty victory feast, here there is despair over the real political predicament. Ferdinand is swept by events over which he has no control and his emotional
confusion is only one manifestation of the chaotic situation in the Empire. This chaos is circumscribed in the author's use of recurrent images that create eidetic links between the present flight-scene, the legend of Hoheneich, the dragon-dream (Chapter 50), the auto-da-fé of the Jews (Chapter 100) and Ferdinand's own symbolic death scene (Chapter 155). Common to all of these scenes, besides the very evident prevalence of the number five in the chapter sequences, are the presence of men in shape of executioners or dragons, grasses or trees, fire and water in various relationships with Ferdinand. Sword and fire contrasted with water and the moor landscape indicate that Ferdinand is in the realm of water; the ritual crossing of the Danube takes on meaning through the realization that the Emperor is seeking assistance from some unknown source in nature. Such mythic flight may be identified with heroic descents into the underworld, where not death but help is sought by Orpheus and Hercules and other mythic heroes. The return ride from the rendezvous near burning grassfields on the other side of a river, another water boundary, illustrates the protective quality inherent in the moorscape and the water imagery:


The double meaning of "Schonungen" confirms the underlying affinity of the grasses and trees for Ferdinand. The sudden appearance of the rain storm along with the scenery suggests that Ferdinand's close escape from disaster is a pure "gift" from fate.
Chapter 6 closes this escape attempt and initiates the Emperor's own fruitless efforts to circumvent the painful consequences of Maximilian's political supremacy. Ferdinand calls his friend Paar a traitor (24), returns from confession at Hoheneich with a "graugrün" face and immediately sets his hope on the efforts of a mediator from England, Lord Dighby.

Structurally, the sequence of alternating positive and negative emotions within Ferdinand has followed a traditional set of values assigned to the numbers: odds are generally positive, powerful and masculine, while evens are negative, weak and feminine. Chapters 2, 4, and 6 contain depressing or disturbing experiences and Chapters 1, 3 and, 5 correspond to feast, freedom and sport, all of which reveal latent flaws or weaknesses in the hero. Chapter 7 continues the pattern in which the superficial appearance holds a promise of resolution, but in which the deciding, essential factor -- real change in Ferdinand's character -- is still missing.

Chapter 7 also connects Ferdinand for the first time with the specifically alchemical motifs that accompany the broader esoteric symbolism. This connection issues from not only concrete images such as fire and gold, but from situational and numerological symbols, too. The name "Dighby" has magical influence on Ferdinand as he reacts with newly kindled hope:

Döblin constructs a series of hyperbolic similes that climax in an ironic twist which again employs the opposition of appearance versus substance for Ferdinand's action. The author repeatedly "comments" upon and interprets the fictional world through such rhetorical devices and through the symbolism already mentioned. The Dighby-episode is prefigured here in the fire-imagery that becomes manifest in the red flames of the invading Bavarian army when Max enforces the imperial ban against Friedrich and the Upper Palatinate (XXII; 85-90). Once again, the author's judgment coalesces with the fictional world, but the metaphorical presentation, the linguistic medium itself reveals the author's viewpoint. As it is introduced, so the connection with Dighby ends with fire-imagery: "Und während des Kampfes [...] erleuchtete sich der Himmel mit einem auffallenden, immer stärker und breiter flammenden Rot [...] Der Feuerschein stand über München" (87-88). With "fire" the symbolical viewpoint of the author has become decidedly alchemical.

The return journey to Vienna is no less symbolic than the magical effect of the curious name:

Erst fieberte der Kaiser; in ihm schwang es stürmisch auf und ab, durchschwoll ihn mit gewaltsamer Bewegung vom Hals bis in dem Leib, liess ihn lachen, sich freuen, sich vorwenden zurückwenden, Hände schütteln, nicht zur Ruhe kommen. (25)

Two companions on the royal wagon flash and gleam ("Der blitzende Mollert," "Der Oberstjagdmeister strahlte") and the silver partisans vibrate ("zuck-ten") like "schnellende Vögel." The general verbal tone is one of high energy, while the animate objects have metallic characteristics and vice versa. The journey, however, leaves the travelers senseless, transformed
by the enthusiasm and heat of travel: "Sie sahen und hörten nichts. Und als die Herren in Wien einfuhren, dachte weder der seidige Møller, noch Nostitz, noch Mansfeld, noch Ferdinand der Andere an Dighby, den Träger einer englischen Botschaft" (26). The initial fire has burned out, although Ferdinand later seeks to influence Dighby by bribing him with gold (26).

The primary images in this chapter deal with fire and metal -- Dighby and Ferdinand by analogy. The alchemical process of calcination, heating of the prima materia (usually "our" mercury, common mercury) should be recalled in this instance. For all the biographical accuracy that Döblin brings into the fictional world, Lord Bristol in Wallenstein is a unique artistic amalgam of at least two historical personalities and the author's own mythic shaping of the figure into a so-called "puffer" or impostor alchemist. The name "Dighby" itself is an orthographic variation of "Digby," the historical English family. John Digby, first Earl of Bristol (1580-1653) became ambassador for James I and advocated the cause of Friedrich, the king's son-in-law. However, at the time of his mission (1622), he was no longer a "young" lord as represented in the novel. Furthermore, the fictional figure's pugnacity and concupiscence indicate that "Dighby" is something different from John Digby, Earl of Bristol.

When "Dighby" enters Munich to negotiate with Max, he wears a "crab-red" robe and brings a "tail" ("Schwanz"(86)) of ten similarly clad guards. These details point to the genital preoccupation of the fictional figure, since "red," "crab" and "tail" are associated with the astrological sign Cancer, under which Sir Kenelm Digby (1603-1665), author, doctor,
philosopher and alchemist was born. At this point the significance of the name "Dighby" must be explained, since Döblin has constructed it in apparent agreement with numerological symbolism, namely the digital root symbols of gematria (above, 47).

The root of "Dighby" \((4 + 1 + 3 + 2 + 1 = 11\) or \(2\)) does not fit the sequence of chapters, but "Dighby" \((4 + 1 + 3 + 5 + 2 + 1 = 16 = 7\) does resolve to a significantly appropriate number since Ferdinand is magically drawn to him in Chapter 7 and the number itself carries various occult and religious meanings. The idea of the sabbath, of rest and reflection after toil and involvement, appears to fit into the scheme of Ferdinand's activities through the first seven chapters -- chapters which end on the following sentence:

Dazwischen ging der Kaiser herum, sann und sann, ohne Rat, wen er sprechen sollte, wen er schicken sollte zu Gurland, seinem Schatzmeister, nach Gold und vielen Geschenken, um Dighby sich willig zu machen. (26)

But Dighby's energies are devoted to carnal pleasures rather than to serious diplomacy. "'Es ist eine Farce [...] nichts als Theater, Sand in die Augen für ihr Volk, das uns wohl will. Oh wenn wir das Parlament aufklären könnten, wie sie mit uns Schindluder treiben" (42).

The Dighby-episode results in failure for the House of Hapsburg just as Ferdinand's efforts fail to conceal from the High Council his clandestine agreement with Max. The High Council, at first conciliatory, then forceful with the Emperor, takes measures to isolate him from any further opportunity to practice his "unpredictable personal politics" (105). Ferdinand himself is aware of the disorder in his emotional life which further leads him away from effective action in the state. Anger, rage,
fear, and shame rule over him: "In den Kaiser aber war der Zorn gedrungen, nicht über die Herren [Hohen Rat], sondern über die Knechtung, die diese Sache über seine Seele ausübte." (75). Held virtual captive psychically by his passions and concretely by his advisors, Ferdinand loses all but the name "imperator." Material, worldly concerns have imprisoned his soul or spirit in the gnostic-alchemical terminology. Ferdinand exemplifies precisely the burning discontent with the world and the self as prescribed in the alchemical process of calcification (above, 69), and he is ready to proceed to solution, the second step in the purification process.

Solution

In complete agreement with numerological symbolism, solution occurs in Chapter 20. This chapter further confirms and develops the alchemical motif that has surrounded the Emperor-figure so far. It is this scene that shares explicitly occult, religious, astrological and alchemical imagery with Döblin's article of 1921 "Der Epiker, sein Stoff und die Kritik" (above, 34-38). Here, more than in any other scene except Chapters 50 (Dream), 102 (Regensburg) and 155 (Death), the symbols' sign-values become subordinated to their importance as a structure of interconnected motifs.24 The structure of the verbal system becomes largely autonomous and simultaneously manifold in meaning as Ferdinand passes from his low level of heroic bondage to that of absurdity. This is the katabasis, the descent from the royal chambers to the courtyard and then to the ironic scene in the cellar.
The situation for Ferdinand is set and localized in an allusion to classical mythology -- the Impregnation of Io (80). Io, in expiation for copulation with Zeus, is transformed into a cow, imprisoned and punished by Hera before she returns to human form and bears Zeus's son. The eide-\textit{cally} prefiguring transformation and birth correspond to the introversion and re-birth structure of the novel and their \textit{positional} relevance becomes clear only if one holds in constant awareness that such a detail, such a selection of exactly this image transmits prefiguring meaning for the scene. In other words, the detail presents \textit{in nuce} the principle that is about to be manifested in the fictional events themselves. In the course of the exposition, the alchemical imagery augments the scant initial mythological allusion and the simultaneous actional level recapitu-\textit{lates} concretely the meaning of the two superior, anagogical antecedents and at the same time modifies them by widening their content.

The Emperor descends from his aimless wanderings to a small court-\textit{yard} after catching sight of his fool at work there with paper and ink in his miner's cowl (80). The effect of the hot courtyard allows Ferdinand to fall asleep and temporarily escape his inner torment, but the fool, Jonas, wakens him to show his "great work":

\begin{quote}
Der Narr hatte auf einem Kistenbrett im Sand grosse leere Folianten liegen; aus einem Krügchen goss er Tinte vorsichtig über sie, tuschte die Tinte sorg-\textit{fällig} in breiten Pinselstrichen aus in die Ecken, an die Ränder. "Ich dichte." "Was ist mit der Tinte?" "Ich schreibe ein grosses Werk über die Sterne, den Himmel, die Hexen und die Teufel. Bald ist's geschehen." (80)
\end{quote}
There is an implied comparison of the fool's work with Ferdinand's impetuous writings to Dighby in the previous chapter writings which were intercepted by the High Council itself: "Er konnte nicht fassen, daß die Worte, die er mit Liebe gemalt hatte, vor nichtwürdige berechnende Gesichter gezogen waren, auf der Strasse lagen" (79). But Ferdinand takes the dwarf's word at face value, perhaps because of the sleep, perhaps because he is seeking advice from any source: "Wie sonderbar, daß der Kaiser nicht lächelte, starr und streng auf die Bogen sah, das Gesicht nicht verzog; er schlief wohl noch" (81). He has become receptive to the fool's meaning, just as he became temporarily free in regression through sleep at Hoheneich (Chapter 3).

The fool continues explaining that the work "[...] kommt nur auf die Sonne an, Ferdel, im Dunkel geht es nicht voran" (81). One recalls that Döblin had referred to Ferdinand as his "sun" in the article "Der Epiker, sein Stoff und die Kritik" (above, 31-35); the "sun" is also Döblin's "center" around which the radii are drawn. The alchemical sign-symbol for the sun or gold is ☀, a circle with a point at the origin. The dwarf clearly means that the work is to be achieved through reason, through the sun-spark in man or through the part of Ferdinand which has not yet emerged from psychic domination. At yet another figurative level, Döblin associates the fool's writing with his own literary production, his own novel. Both fool and Döblin merely "paint" the ink out to the edges, corners of the material upon which they work. Nietzsche's identification of fools and poets seems consciously reflected here.  

The poet-fool addresses Ferdinand as the "green lion" in the next exchange of conversation: "Wenn du mich nicht verraten willst, grüner
Löwe, will ich dir's [das Werk] sagen. Und wenn du mir etwas geben willst" (81). There are at least three aspects of the fool's conditional offer that need clarification: Ferdinand's unique cognomen, the reference to possible betrayal and the token of payment for the knowledge about to be revealed. The name "green lion" discloses the relationship between the two men. The fool plays the hierophant and Ferdinand the initiate in the ceremony about to take place. The green lion is an alchemical symbol, a truly occult symbol despite the conventional connotations of the color green, meaning immaturity, inexperience, hope and growth; it represents the prima materia in one of the first stages of the operation as a potential (green) power (lion).

In alchemy a combination of symbols from empirical reality and primitive imagination depicts the green lion "eating" the sun, meaning that the natural gold or instinctive nature must be transformed by heat and that the green coat will be replaced by the gold or red one. This loss of hair through burning is fictionally reflected by the sacrifice and skinning of the cat in the immediately following cellar-scene. It is significant for the interpretation of Ferdinand's process of self-discovery that the green lion internalizes ("swallows") on a literal level the fire of the sun and on the psychological level, the fire of human emotion, anger.

Through his use of the symbolical name, the dwarf implies that his understanding of Ferdinand's personal crisis is superior to the Emperor's own. Conversely, Ferdinand appears to have no consciousness of the occult meaning of "green lion." Once again on the basis of the alchemical imagery, the dwarf figure and the author's persona become parallel
partners in the evolution of the hero. Both fool and author perform sacerdotal functions for Ferdinand and the reader, respectively.

However, another analogous feature common to Jonas and Ferdinand arises in the suppression of his writing by the dwarf's "enemies," the clerks and officials of the Imperial Chancellory. Jonas has stolen the inkpots to paint his own "little books":

Ich hol' die Krügelein aus deiner Kanzlei, sie schimpfen, daß sie weg sind; morgen setz' ich ihnen mein erstes Büchlein hin, die Krügelein daneben; werden sie Augen reissen. Ist von Gespenstern, Hexen und allen sieben Gestirnen, hab' mir weidlich alle ausgedacht und hurtig drauflosgeschrieben. Oh, was sie alles drin lesen werden; auch von dir, Ferdel, und meinen Feinden! Finden sich alle drin. (82)

Jonas' great work is apparently a personal, unorthodox "record," just as Ferdinand's "decision" to award Maximilian the electroshrip is a spontaneous act of politics. Given the secrecy and psychic burden that accompany both situations, the two figures begin to share a common treatment, also, namely that of the typical victim or pharmakos. They both suffer punishment more for what they are than for what they have done to produce their isolation: "Weinend schleppte der Zwerg sich hinter ihn [Ferdinand], deckte mit einem Sack alles sorgfältig zu: 'Nicht schlafen kann ich vor Kummer. Aber doch bin ich ihnen allen über'" (81). Jonas and Ferdinand's pride prevents them from abandoning their work; both are "superior" to their enemies in their own opinion and they need only to convert their spirit into the objective reality of "work." The reference to the "spirits" ("Geister") is not just gibberish, but an allusion to the the secrets of the art and, therefore, to the fool's knowledge of both
earthly and celestial wisdom in the gnostic tradition:

Ich schreibe ein grosses Werk über die Geister. 
Die Weisheit muss verbreitet werden unter die 
Menschen. Aber es dauert alles so lange, hab' 
ich gesehen, ein Buch jahrelang, jahrelang. 
Viele Weise sterben, grüner Löwe, ehe sie 
 ihr Buch fertig haben. (81, emphasis mine)

Döblin may comment here through the fool on his own biographical situation (above, 4-6): "Man liege Monate, Jahre über einem Werk, konzentriere, seine Zeit miterlebend, über einigen hundert Seiten seine Seele, Phantasie, Denkkraft, Erfahrung, gebe zuletzt sein Werk von sich: man erwarte in Deutschland keinen Widerhall!" At the very least, the dwarf's words become multivalent with both intrinsic and extrinsic levels of meaning, referring to his own opus as well as to Ferdinand's.

A further clue to the alchemical symbolism is revealed in Jonas' answer to the original question, "Was ist mit der Tinte?" (80): "Das ist der ganze Witz. Flink, hurtig, im Nu!" (81). The trick or magic ("Witz") is in the ink. Ink or philosopher's tincture are synonyms for the philosopher's stone, the end-product in the opus. The real identity of the stone or ink becomes visible through the allusion to St. Peter: "'Mein Buch ist, wenn unser Herr Petrus am Himmel will, bald fertig'" (81). Petrus ("stone") refers to the Apostle Simon Barjona (son of Jonas); this strengthens the already established connection to the biblical symbolism. Jesus, at Caesarea Philippi with his disciples, blesses Simon Peter for his confession of Christ's messianic role: "[...] for flesh and blood hath not revealed it unto thee, but my Father which is in heaven" (Matt. 16:17). Shortly afterwards Jesus rebukes Peter as "Satan," "[...] for thou savourest not the things that be of God, but
those that be of men" (Matt. 16:23). This allusion's relevance to
Ferdinand's position becomes clearer in the moral of the Gospel chapter:
"For what is a man profited, if he shall gain the whole world, and lose
his own soul?" (Matt. 16:26). Ferdinand has become Emperor of the Holy
Roman Empire in name, but he is in danger of losing his soul over the
conflict that he has caused with Maximilian of Bavaria.

This danger is made even more evident in the second half of this
twentieth chapter, the katabasis in the wine cellar where Döblin exposes
the "worldly" or "flesh and blood" component in sharp contrast to the
courtyard where the strong light of the sun shines on Jonas' great work.
Now, however, both master and fool descend to their sub-human behavior
and here Döblin uses the ironic "return to the mothers" to show the state
of chaos and dissolution which follows the departure from wisdom or light.
The entire scene becomes an analogue to Ferdinand's fateful hour with
Maximilian in Munich upon the celebration of Ferdinand's rise to office.
Fool and Emperor "celebrate" their futility and remoteness from the
human and divine order in a drunken rite of sacrifice, sparagmos, in which
the sacrificial cat (a substitute victim for the green lion) must give
up its body to the demonic, stupid egos of the two men. The sinister as-
pect of the situation is amply marked by the author's repeated references
to the left side.

The name "Jonas" links the dwarf not only to Peter, but to Jonas, the
Old Testament figure who hid from Yahweh in the belly of a whale. The
underground motif is further reinforced by the fact that Jonas is a dwarf,
therefore "sub-human," and that he wears the miner's cowl. Jonas is a
triple reminder of the mythic quality of descent by another association
with Hermes in his role as psychopomp, i.e. guide of the dead to the underworld. Jonas not only introduces Ferdinand to his hermetic book, but he steals Ferdinand's ring as Hermes stole from Apollo, god of light, music and wisdom. Jonas is an unmistakable hermetic figure. With the wine both fool and sovereign change from their upper-world roles to reveal their demonic, selfish natures.

Ferdinand orders the dwarf to bring his dog, but the fool returns with a cat and calls it a little dog ("das Hündelein"). The animal is to give up its coat which serves as a red "robe" for Jonas' celebration. The cat, analogous here to rebellious Bohemia, unlike a servile dog, seeks its freedom and Ferdinand must rely on the dwarf (counterpart to Maximilian) to hold, kill and skin the animal. The Emperor attempts to conceal his revelry from his captors, just as he has concealed the truth of his agreement with Maximilian from the High Council. He sends Jonas upstairs as his messenger with his ring as symbol of royal authority in order to give a false report of his whereabouts. The fool returns to the cellar with a basket of food which he does not share and with the ring which he will nor relinquish. Again, the present scene is equivalent to the political predicament on an intimate or domestic scale. Maximilian usurped the Imperial authority and is about to invade and plunder the Lower Palatinate as a consequence of Ferdinand's unreasoned promise of the electorship. The celebration with Jonas changes to open conflict of insatiable will over the basket of radishes, analogous to the Palatinate. Ferdinand experiences both dwarf and Maximilian as duplicitous power figures — helpful and generous on one hand, denying and punishing on the other.
Jonas demonstrates in his behavior the meaning of his request for payment in revealing his "great work," the third relation of his conditional offer (above, 93). Ferdinand has attempted to control the Empire with his brother-in-law's resources. But in so acting, Ferdinand has denied himself the chance to work his own will and he must, therefore, submit to compulsion. This scene marks the completion of the spirit's descent into matter in the alchemical process: "He who works through the spirit of another and by hired hand will behold results that are far from the truth [...]". This is the consequence of the emotional and spiritual confusion symbolized by the green lion: body enveloping spirit. This stage has its counterpart in the Sophia of Gnosticism before she is purified and turned back to the Source (above, 58).

Döblin's imagery and symbolism have already identified this scene as a turning point, a stage in his hero's development. But there are additional features of this imagery which must be made explicit, since they form part of a constellation or chain of images that connect the primary stages of development. Solution for Ferdinand takes place in a womb not of water, but of wine.

Ferdinand cannot find the entrance to the cellar himself, but relies on the guidance of the dwarf. The entrance to both cellar, underworld and womb is small, hidden and odorous. The dwarf shows a "motherly" quality in protecting his great work: "Mütterlich deckte er seinen Platz ab. Dicht am Schuppen in die Mauer war eine niedrige kistenverstellte Tür eingelassen, an sie schob er sich heran; eine Stiege senkte sich herab; schwerer kühler Geruch schwoll herauf" (82). Consistent
with entry into the womb, Ferdinand at first drinks from a cup his liquid nourishment, but with increasing drunkenness he sits under a running spigot: "Ferdinand sass unter einem laufenden Fass, flemnte: 'Nichts gibt er mir. Seht den Kerl an, den Jonas. Den ganzen Korb hat er voll. Das wird kein Doktor'" (84). While the suggestion of drinking from the tap is declined when the fool asks "'Ferdel, kannst du am Hahn trinken?'" (82), the man finally regresses to the symbolic posture of a nursing child. But this regression inevitably leads to a confrontation with reality from which the self must either develop to new life or remain lost in a "water-" world. The inherent danger of this stage is marked with at least two traditional symbols, the idea of the left side and the Eucharist.

The realm of the mothers where the sacrifice of the cat takes place is sinister in quality; it is the threshold to a form of self-annihilation. The idea of left-handedness emerges in the cat's coat itself: "Das Katzenfell, das rutschte, legte sich Ferdinand immer wieder auf die linke Schulter" (84). When Ferdinand threatens the dwarf with punish-
ment, Jonas attacks him and mocks his monarch with his left shoe:

Oben stiegen Leute schelmend heran, warfen Licht in den Raum.
Der Zwerg geiferte frohlockend .... Kroch weg, schleuderte seinen leeren Korb zurück, meckerte vergnügt, mit dem linken Schuh des Herrn klappernd [...]. (84)
The divisiveness of the episode reflects on the symbolical use of wine and bread in the scene. Given the sacrifice of the cat and the figurative, at times mysterious behavior of the dwarf along with the traditional symbols already discussed here, it is certain that Döblin is playing on the meaning of a sacramental rite of the Christian Church, the Eucharist. During the mass the sacrificial, propitiatory, and communal character of the death of Christ is observed by the faithful in accepting the substantial (spiritual) meal of the body and blood in the form of bread and wine. Significantly, there is no consciousness of the symbolic res sacramenti on the part of the fictional figures and it is consistent with the use of allusion to Io, the green lion and the magnum opus that the Eucharist or its mimetic version should be used to typify and categorize the fictional action according to traditional models of meaning. Jonas, in refusing to share the Rettich, analogous to the bread of communion, emphasizes Ferdinand's estrangement from human society. Thus, the scene in the cellar contains one unifying homily: the consequences of unreasoned love of material things are spiritual disintegration and chaos for the individual and society. Ferdinand, having been covered with blood and wine as if in lustration, has been identified as the sacrificial object, the guilty member. Until Ferdinand admits his guilt and pays his penance to wash away the stain of sin (in Baptism, Chapter 70), he will not be restored to the rightful power and authority of his office by the supernatural grace that answers his prayers. Gradually, the mythically heroic structure of Ferdinand's exemplary path begins to conform to traditionally Christian ethical categories within the imagery of alchemy and classical mythology. Far from an
anti-religious or atheistic perspective, Düblin fuses elements of mysticism, myth and religion with historical content to create a syncretistic "modern" epos.

Nigredo and Conjunction

The sequence of the alchemical process continues with Ferdinand's enforced isolation which corresponds to the step of separation. His advisors carry on the acts of government without his participation and the court plots either to reform the Emperor or to enthrone his brother Leopold in his place (Chapters 26, 27 and 29). The next step, conjunction, in which the spirit is rejoined to the material in preparation of nigredo, is suggested to Ferdinand by Prince Eggenberg, his closest advisor. The conjunction that he has in mind is matrimony. The plan for marriage, however, is not completed until after the ritual death or after the stage of mortification, nigredo, over which the father confessor, Lamormain, officiates. In some accounts of the process, separation is followed immediately by the stage of "death." 30

Lamormain carries the outer features of a saturnine figure and functions accordingly in his relation to Ferdinand: "Lamormain war ein Bauer, in dem Ardennendorf Dochan bei dem zerstörten La Moire Mannie aufgewachsen, sein rechter Fuss hinkte, weil er sich mit der Sense beim Mähen in den Knochen geschlagen hatte [...]" (105, emphasis mine). Saturn or Cronus is frequently represented with scythe as a leaden or black color reflecting the color of the base metal in the process. To him falls the
responsibility to force Ferdinand to yield to the pressure of politicians and soldiers, thereby avoiding the Emperor's arrest:


Chapter 30 brings the mock death of Ferdinand and the beginning of his purification which culminates again with the dwarf in the wine cellar in Chapter 70. The two caretakers, Jonas and Lamormain, represent spiritual guides for the Emperor. After the cellar scene with Jonas, Ferdinand seeks the help of the father confessor in assuring the succession of his son to the throne. It is clear that Jonas can not provide the power that Ferdinand needs to resolve his conflict with the advisors, so he falls into the hands of Lamormain. This politically influenced figure uses his authority to break Ferdinand's unreasonable compulsion and resistance to the High Council. If Jonas stands for the magical sphere of the water-underworld, Lamormain replaces him as an orthodox connection with a divine order and, by necessity, with the political system. The opening lines of the chapter disclose this shift from the fool to the priest:


However, Ferdinand mistakenly expects solace and help from the Luxemburger as the latter calls him to account for his "sinful" behavior toward Maximilian:
"Ich konnte die letzten Tage nicht zu Euch kommen. Ich bin Priester, Majestät, mit einem grossen Amt gegen Euch vertraut. Ich lass' Euch nicht aus, was Ihr auch unternehmt. Ihr wisst, daß Himmel und Erde versperrt sind und daß es keine Rettung und Flucht gibt, es sei denn in die Hölle."
"Dies alles versteh' ich nicht, lieber Pater Lamormain, mein lieber Freund."
"Ja, das bin ich. Es ist gut, daß Ihr es fühlt. Ich muss mehr Mut haben, als Ihr gegen Euern Schwager Max in Bayern. Ich muss, wie Ihr Euch auch spannt, mich einzig vor Gott verdient machen um Euch."
"Mein Heiland, wer seid Ihr? Was wollt Ihr?"
"Ich bin der gottes fürchtigen Gesellschaft Jesu Pater; Euer Führer an den Thron Gottes."
"Ihr seid nicht der Satan. Ich schauert's."
"Weicht mir nicht aus. Wisst Ihr, was Ihr seid? Allergnädigster Herr: Ihr seid feige, sündhaft hochmütig, grausam." (115-116)

As the Emperor acquiesces to Lamormain and prepares to confess in the chapel of Magdalene the sinner, Lamormain prepares his charge for the ritual death and, because of his ulterior, political motives, transforms himself into executioner for the purpose of subduing Ferdinand emotionally:


In the myths of Osiris, Orpheus, Dionysus, Hercules and Theseus, death in one form or another is a precondition to a generation of new life. The destruction of the old king or god brings forth new power, psychologically the release of libido or pure energy from the unconscious into conscious activity. Death represents the completion of the spirit's
descent into matter in alchemy,32 where emblems of the mortification are variously portrayed as a father eating the son (as Saturn), a king slaughtered by warriors or a dead king eaten by a wolf.33 All of these images are combined in the Christian opposition of the dead Adam, the "old" outer man under the law, to Christ, the "new" inner man under grace. It is under this figure that Ferdinand's artificial death must be understood in order to exonerate Lamormain's role from the suspicion of purely secular interest. Lamormain portrays rather the religious realist or political priest in performing these duties. He frees Ferdinand from his hateful stubbornness and rids the government of an internal danger. Lamormain must face later a far greater threat to his own conscience when the psychic roles of priest and sovereign reverse themselves in another "sacrificial" situation in Chapter 102.

The same political interests in the House of Hapsburg dictate a marriage for Ferdinand with Princess Eleonore of Mantua, a Universal Mother-figure who is identified with the Virgin Mary as wife, mother, mistress and confidante later: "Entschlossen hatten Räte und Lamormain darauf gedrungen; der Kaiser, erst ausser sich, dann in der Furcht, ganz verdrängt zu werden, widerstrebte nicht." (119). Instead of deposing Ferdinand, the cabinet hopes to disengage the Emperor from politics with the sexual attraction and psychological comfort offered by a woman of the south, rather than of the harsher, northern barbarity ("in der nordischen Barbarei," 119). It is clear that Eleonore plays the role of a second mother to Ferdinand in nurturing him back to psychic health from his spiritual death. At the altar for the first meeting, "Die Prinzessin blickte weg, erschüttert von dem gramzerrissenen, halb hilfeslehnend,
halb stumpfen Gesicht [...] ; das verquollene ältere graubärtige Wesen, versteckt in der Schale, misstrauisch und leidend" (119). The "shell" refers to Ferdinand's physically present golden clothes, but the image is of a newly hatched bird. Before them stands the monstrance with the Tree of Life" [...] in dessen Laub wunderbar verborgen Maria sass und singenden Engeln zuhörte [...]" (119). The "Queen of the South," who leads Ferdinand to new life is juxtaposed ot the Mother of Christ, Sapientia Die. 34 Once again in the nigredo and conjunctio, Döblin combines pagan (Saturn) and Christian (Mary) images to typify the individual experiences of the hero. The advisors have correctly anticipated the effect on Ferdinand. Steeped in hate and fear of his new mistress at the wedding, Ferdinand finds his interest first aroused, then inflamed: "In Schönbrunn schlug die Neugier des Kaisers in heftiges besinnungsloses Entzückchen um, das Eleonore mit Verwunderung und Unruhe entgegennahm" (120).

Amid the political and diplomatic furor in the Empire, Ferdinand retreats with Eleonore from state concerns and from the court to the Wolkersdorf estate. Wolkersdorf becomes synonomous with sanctuary, asylum or temenos for the Emperor as he gradually recovers independence from his advisors and wife. Döblin explicitly associates the contemplative life with the rural retreat by comparing Ferdinand's situation with his predecessor, the Emperor Rudolf:

Wie der Kaiser Rudolf mit seinen Astrologen Malern Alchimisten sich von der Welt absonderte, so sein Nachkomme mit seiner jungen frommen Gemahlin. Lebte mit ihr in Laxenburg-Wolkersdorf im tiefsten Frieden; Diplomaten und Räte sassen oft an seiner Tafel, sahen [...] wie er schmauste. (135, emphasis mine)
But, aside from the incidental, formally social events, the Emperor remains in limbo while political preparations for transfer of the electorship to Maximilian proceed to their ineluctable conclusion (Chapter 36). Indirectly Döblin links his hero's temporary passivity and isolation with the liberating, theurgic processes of alchemy. This stage corresponds to the lengthy, but essential putrefaction, the rotting of the First Matter. Such a concept derives from ancient and medieval belief that a seed must rot in the soil before releasing the life-principle of new growth. The original self or First Matter must lie in black lifelessness while the philosophical mercury, the vapor or, psychologically, the spirit driven out by the fire hovers over it until the time of rebirth.

From this juncture near the end of Book I, the alchemical symbolism merges into somewhat more familiar religious, gnostic and mythic symbols. The alchemical allusions, so obvious up to this level, become less overt, although they do not entirely disappear. Ferdinand, the center of the narrative up to now, also becomes less and less the exclusive object of the plot as Wallenstein and other figures emerge as a reflex of Ferdinand's original political blundering. These two tendencies -- decreasing alchemical symbolism and Ferdinand's receding role -- are functions of the narrative exposition of the material consequences of Ferdinand's loss of control. In fact, Döblin draws attention to the external reflection of the events in the first book, "Maximilian von Bayern," in the last chapter of the book when he presents a theriomorphic portrait of Max, the only such direct characterization by the author:
The thirty-six preceding chapters have concentrated attention on the consequences of Max's political hold over Ferdinand; only in conclusion does Döblin express a judgment or provide a different perspective of the title-figure of this book. This technique illustrates Döblin's literary model in which radii are drawn from the center to the periphery. In this case Max is the center and the thirty-six chapters (radii) converge at the origin of their narrative circle in Max's hylic character.

Conjunction with Wallenstein

Book II, "Böhmen," represents the concretely material consequences of the Ferdinand-Maximilian conflict. For the first time the broken, plundered land and its ingenious economic opportunist, Wallenstein, appear. After five introductory chapters, Chapter 42 (7 x 6), one of the six numerologically important chapters (above, 52), brings together briefly the three main figures, Max, Ferdinand and Wallenstein, and establishes a mythic connection among them. It also originates the fateful Wallenstein-Slawata relationship, and so develops the fourth pair of love-hate relations (Max-Ferdinand, Ferdinand-Wallenstein, Ferdinand-Eleonore, and Wallenstein-Slawata). Döblin merely adumbrates the relations in this chapter, but he attaches such vivid, metaphorical
evaluations of each, that the chapter deserves its numerological distinctiveness for this account alone. The eidetic contrasts among the three men clearly reflect Düblin's categories of telluric and sun-like natures of Maximilian and Wallenstein together and Ferdinand, respectively (above, 31-35).

Düblin creates immediate contact between Chapter 42 and Chapter 37 through the metaphor of the predatory animal in the second sentence:
"Maximilian warnte den Kaiser. Er riss und zottelte mit den Zähnen an seiner Beute" (185). The recurrence of this metaphor becomes motif-like in typifying rapacious figures like Max and the pope: "In Rom residierte im goldenen Vatikan ein Panther, Maffeo Barberini, der achte Urban" (358). Immediately after the present tropical usage follows a detailed recitation of the systematic impoverishment of Bohemia and, consequently, the Imperial Treasury. On inspection of the kingdom, the Counselor Graf von Meggau asks "'Gibt es Zauberer hier? 'Ich möchte einen Zauberer oder eine Wünschelrute finden, um Geld zu haben in Böhmen!'" (187). The allusion to magicians and a divining rod refer to the still obscure figure Wallenstein, whose past betrayals of family and homeland are introduced immediately after Meggau's comment. This introduction is positioned in metaphoric continuity and proximity with Max and Ferdinand. The following complete excerpt demonstrates Düblin's outwardly paratactic-parallel style:

Die unbeugsame Ruhe Ferdinands, der wie ein unverbrennbares Tier seinen schleimigen bunten Leib durch die schwellenden Kohlen zog. Seine grausige Sanftmut; sie wussten, er wollte Rache nehmen an Maximilian, den er den Feinden als ersten opfern wollte, selbst um den Preis, daß Habsburg verloren ging. Nachdem er sich einige Zeit umgeblickt hatte, trat ein erschreckendes Wesen, der Fürst von Friedland, aus seinem Bau. Er hatte sich aus Abneigung über die Ohnmacht und Haltlosigkeit seiner böhmischen Sippengenosse, dieser phrasenreichen Haufen, gegen sie gestellt. (188)

The proximity of Max, Ferdinand and Wallenstein in these three paragraphs exposes the implicit causative relationship among them. Furthermore, Döblin stylizes them in esoteric-traditional images. The predatory features for Max have been mentioned; the images of Ferdinand and Wallenstein are somewhat more obscure. Ferdinand is still isolated and impotent; his absorption with Eleonore, the feminine principle, reflects his continued psychic dependency. He remains politically disengaged through the entire second book while the affairs of state are managed by his caretakers. Even the alignment with Wallenstein is arranged by intermediaries. The image of Ferdinand in the above passage is an idolon from alchemy, the salamander or the mercurial spirit of the prima materia. 36 Ferdinand is still "roasting" in the "fire" that Max ignited, because he still wants revenge. But the Emperor's spirit is to benefit from this ordeal of fire.

Wallenstein's characterization here is only a hint, but, nevertheless, a consistent hint at his role as the dragon-man or serpent (below, Chapter V). "Erschreckendes Wesen" and "Bau" merely suggest the increasingly frequent, explicit mythification of the fictional figure.
The conflict with Max provides the necessary motivation for accepting Wallenstein's proposals of assistance in raising an army for the Empire. Just as Ferdinand has been conjoined to Eleonore, he enters into a bond with Wallenstein at the insistence of advisors and through the influence of rich bribery by Wallenstein. This resolution to accept Wallenstein's offer of an entire army and its support is reached in Chapter 49 (7 x 7), when Ferdinand is shown in nighttime elation over the ability to send Max and the League assistance in the form of an "Armada" to combat the Protestant Danes and Saxons (217). The Emperor awakens Eleonore in order to share his mirth in the irony of the reversal of roles since the Bohemian rebellion. These feelings are shared with the Empress, not with the male advisors, since he still has not returned to active politics. At her arrival Ferdinand asks Eleonore if she remembers the stag which she shot near Begelhof:

"Wieviel Enden hatte das Tier? Zwanzig nicht wahr?"

The number 20 (2) alludes to the first feminine number; the stag and the huntress indicate an association with Artemis or Diana, Luna, the astrological equivalent of 2. As a reward for the fatal shot, Ferdinand promised her a gold and alabaster prayer stand: "'Und ich versprach dir noch die doppelte Summe, daß du es bekommst'" (217, emphasis mine). Clearly Döblin has devised the symbolism in this scene in order to emphasize Ferdinand's introversion. The astrological-mystical value of the moon is sensation, reflection of the active energy principle, or passivity. The
feminine principle here is further expressed through the immediately following conversation between the Empress and her friend, Gräfin Kollonitsch, who complains that women are cheated and robbed by their husbands, but remain powerless to alter a male-dominated world (218-219). Passivity and reflection are strongly associated with the feminine in Döblin's novel as they are in the neo-platonist, gnostic and alchemical tradition.37

The symbolical value of the 2 in Chapter 49 serves primarily to contrast with the symbolism of the 5 in Chapter 50. This next chapter brings the official entry of Wallenstein to the Hofburg and Ferdinand's resultant vision. The association of the name Wallenstein with its numerological root (5) has already been established (above, 53-54). The combination of the feminine 2 with the masculine 5, Eleonore and Wallenstein, produces the 7 or the 10, both of which are associated with the numeric chapter structure or with Ferdinand himself. This hermaphroditic conjunction is recognized by Maximilian when he regretfully analyzes Ferdinand's new alliance with Wallenstein and his own equality with the latter:

"Jetzt, seht, ist er soweit; jetzt hat sich das edle Haus Habsburg den fatalen Lumpen verschrieben, den Wallenstein. Den setzt er neben mich. Das ist mein Lohn für die Prager Schlacht. (224)
Er regiert im deutschen Reich und weiss es kaum.
Er hat neu gefreit, Eleonore von Mantua, ein junges Kätzchen, das ist seine Lust. Sie und der Friedländer, das gehört zusammen. Pfui, pfui," (226)

The sexual implications of this combination should be viewed only through the alchemical imagery of the hermaphrodit, the final product of the opus. The "Rebis" (res bina), a two-headed figure, part masculine and part feminine, is frequently featured in alchemical books as standing on a dragon; this figure is another symbol for Mercurius, ☪, commonly called
"our hermaphrodite." According to the later alchemists, primarily Paracelsus, the alchemical procedure amalgamated the three natures into one: sulphur (masculine, fire, energy, and passion), salt (feminine, earth, material, contemplative, and passive) and mercury (androgyne, air and water, spirit, and reason). This tripartite composition of the human being is analogous to and probably the model for Düblin's "Ich" in his nature philosophy. The three levels of the human hierarchy are the "Natur-Ich, das Passions-Ich und das Privat-Ich." These levels correspond to the physical, emotional and intellectual or spiritual qualities in complex composition within an individual person. Within the trinity of the salt-sulphur-mercury is the quaternity of the elements fire, air, earth, and water. All three or four entities form the quintessentia: the elixir or lapis philosophorum. With this chemical-alchemical symbolism Ferdinand's behavior toward Dighby's fire becomes more readily understandable, since as partial opposites (fire and water) they should attract one another. Maximilian's comment about Wallenstein and Eleonore belonging together supports the view that this conjunction is a hieros gamos, a "chymical wedding" for Ferdinand with both Wallenstein and his feminine counterpart.

Ferdinand's Mythic Vision

The reception of Wallenstein at the Hofburg is, like the earlier meeting of Maximilian and Ferdinand in Munich, not directly described, but only reported by the narrative. What is presented is the psychic reflex of the meeting as Ferdinand experiences a day-dream afterwards.
The association with Wallenstein induces a mantic vision for Ferdinand; the vision itself contains so many immanent and extrinsic symbols that only a few of the major relations can be analyzed here. In general the dream or "Traumgesicht" is an archetypally disguised description of the process of individuation and transformation that has been the topic of the present chapter. Jung has provided evidence from the contents of mythology and fairy tales as well as from dreams that the universal elements of this dream point toward the experience of regression and death that accompany psychic change and release of new energy.42

The dream has its immediate origin in Ferdinand's consciousness of Wallenstein's visit. Before the dream he has the feeling of something burning and heavy ("etwas Brennendes, Schweres" (220)). The dream itself expands and elaborates the effects of the masculine principle, the dragon and fire within it. The four elements provide structural continuity through this nightmare in which Ferdinand sees himself separated from his water or feminine existence by the stinging of the dragon's tail. Ferdinand's unconsciousness communicates its understanding of this regressive behavior: "Er könne doch nicht immer reiten" (220). As Eleonore on the "Prunkschiff" floats without leaving a wake toward Vienna and the rose-colored sky, so Ferdinand helplessly glides and "rows" over a moor on a horse over which he has no control: "Und immer das Heben und Senken, Gleiten, Rudern. Das Spritzen des Moors" (220). The horse-motif recalls the Emperor's fall and subsequent abortive and unwilled flight with Graf Paar. Symbolically, the horse is the uncontrolled emotional life that leads him from one crisis to another. This image is in contrast to Eleonore's ship-symbol that is harmonious and in unity with her element,
water: "[...] der Weg, der Fluss lief mit ihr mit" (220). The rose-colored sky, which includes the image of passive purity, alludes to a symbol of vegetative perfection for Eleonore, who has already been identified as Mary or a Sapientia figure.

But, for Ferdinand both masculine elements descend from the sky; air which blows away his prayers and fire from the Typhon-like creature, part human, part beast. The "thousand-foot" smothers him under its belly:

Menschliche behaarte Brust, die sich über ihn schob, Haare, die wie Wolken, Spinnweben über ihn flockten, menschliche Arem, denen er entgegenritt. Aber ein Wulst, fleischige glatte schlüpfige Säulen und kalt wie die Haut eines Salamanders. (221)

The human, masculine features as well as the reptilian are unmistakable. Like a scorpion which begins to sting him, the monster's tail first bores into his stomach and then "[...] mit elektrischem Zucken ans Herz drang und stach, dann mit feinen Stacheln gegen die Nasenlöcher, tief ins Gehirn herauf tödend" (221). The last image is accompanied by heavy organ music which breaks from the depths along with a high whistling tone, "[...] knirschend an- und aussetzend, wie ein Hund, den man an einen Pflock mit den Pfoten angebunden hat, der sich krampft, streckt, krampft, streckt, beisst, beisst. -- Er war mit heiserem Gekreisch aufgewacht" (221). The image of the bound dog connects the dream sequence to the legend of Hoheneich in which the metamorphosed nobles were killed by the men in the procession. The whole dream is unified through the repeated animal images, particularly through the dragon or serpent image with its poisonous tail, and the effect of the punishment or pain is the awakening of consciousness in Ferdinand during the dream.
The initial awareness of sound coincides with the approach of the monster: "Er bemerkte, daß er ein Giessen, Rinnen überhört hatte bis eben" (220). While riding under the smothering belly of the creature, he strives for air and sound: "[...] seine Ohren rangen nach Klang" (221), and the sensation continues through the torture of the tail: "Und jetzt dröhnte es auf einmal, ein volles Orgelwerk, sinnlos ungeheuer von der Tiefe in die Höhe tosend [...]" (221) to his own waking shriek. The active principle brings an end to the formlessness of the "eternal riding." Separation from the wife-mother and a return to reality are the functions of the "heavenly" dragon. A prototype for this forming principle may be seen in the Genesis myth of creation in which the spirit descended to the face of the waters in order to give form and order out of the unshapen chaos. Similarly, Ferdinand's riding has its end in the ouroboros ("tail-biter") figure of the dream.

This dream-vision presents an intuitive or unconscious understanding of a part of existence, but the "Lindwurm" symbol is not identical with Wallenstein, however often this figure induces the image of the dragon for Ferdinand. The archetypal images here incorporate or manifest in visual immediacy the physical and psychic pain of conflict and self-overcoming. The dream contents recur through Ferdinand's psychic life until the very end when he has transcended reality -- and departed from the fictional society (Chapter 155). Seen from the perspective of the symbols of transformation already established, the dragon-image constitutes a transition to action as seen from the heretofore regressive pattern.

Wallenstein provides the necessary ingredient for Ferdinand's rehabilitation from regression, just as the dream symbolism suggested:
"[...] der Kaiser hatte auf einmal den Eindruck absoluten Entschlusses und der Macht, jeden Entschluss durchzuführen. In Ferdinand wogte es nicht mehr. Er freute sich. Er entschied sich für Wallenstein" (223).

While such an effect is characteristic for Wallenstein, the organic, magical change in Ferdinand is sudden, although not complete as later passages show. But Wallenstein’s energy resonates in Ferdinand as the long-sought medicine:

[...] ein heftiges Erstaunen hatte ihn bei der zweiten Begegnung mit dem Böhmen befallen und verliess ihm nicht. Bisweilen dachte er nicht mehr an Maximilian, dem er die geballte Faust hinstrecken wollte; er hatte urplötzlich den Eindruck, den Faden seines Handelns zu verlieren; fühlte mit einer unklaren Freude, daß er dem Böhmen in einer Weise und mit rätselhaftem Drang vertraue, wie bisher keinem Menschen, wie vielleicht eine Frau ihrem Mann vertraue. (223)

By now, this comparison of Ferdinand to a woman should fit well into the assumption that Döblin used alchemical motifs for his images, since Mercurius is androgyne. Any overtly homosexual tones here, as Harnisch contends, must contradict the weight of the alchemical evidence:

Die Traumvision bringt die homoerotischen und masochistischen Bedürfnisse des Kaisers am deutlichsten zum Ausdruck; sie ist als Schlüsselszene zu betrachten, weil die rätselhafte Psychologie des Kaisers von der in ihr sich manifestierenden Triebstruktur her zu erschliessen ist. 43

Significantly for both the outer numerical structure and for Ferdinand’s psychological reorientation, Chapter 56 (7 x 8) deals with the Emperor’s return to the imperial council of advisors for the first time in many months. The meeting occurs after Wallenstein’s first successful campaign: "In seiner Antikamera versammelte der Kaiser die Herren um sich,
seit Monaten zum erstenmal einer Besprechung beiwohnend" (262). But the paradoxical functions of his office, as both "protector, augmenter of the Empire" and as the controller, imperator, proves too heavy a task for his new-born spirit and he retreats again to the protected realm of Eleonore, water, and womb. His effective control is not yet attained and he can not impose his will on the order of events which result from his own army's atrocities:

"Ich habe unter den Worten, der Stände gezittert, als wenn meine Kinder es wären, die geplagt würden; ich konnte nicht an Gott denken wie die frommen Männer [Jesuits], mein Leib ist nicht so stark, Jesus wird sich meiner erbarmen, ich bin nicht geweiht. Ich muss meiner niedrigeren Natur Opfer bringen." (263)

Here, as in the auto-da-fé scene, Ferdinand's capacity for strife and destruction of life is low; he takes his shame and sorrow to Eleonore, who receives his suffering as a vessel recieves water, both of which emerge in the imagery of the Pieta:

Sie wollte, die Siberschale auf das Wandbord stellend, wissen ob es schlimm sei [...] aufstehend ging er herum über den blauen weichen Teppich zu dem silbernen Delphin [...] der Wasser in ein Kupferbecken sprudelte: "Es ist nicht schlimm. Es ist schwer für mich [...]. Zu viel, Eleonore!" (270)

Und jetzt drang es durch die Kehle, er schluchzte tonvoll, weinte gegen den Delphin gedreht [...]. Seine Brust schnürte sich im Krämpfen zusammen, leidend, mit einer verschwimmenden Lust folgte er den schlagenden Bewegungen seines Körpers [...]. (271, emphasis mine)

The dolphin symbolizes the soul in formlessness, as Jonas in the whale or womb. Silver and copper are the metals that correspond to the moon and Venus, both feminine characteristics of reflection and love, the original passion which led the soul away from the light in the Valentinian gnostic myth (above, 58-59).
After Wallenstein's military victories against Mansfeld and Christian of Denmark, the Emperor suddenly decides to have himself and his son crowned in Bohemia in order to show his supremacy over the generals: "Er wollte sich gekrönt seinem grossen Widerpart über alle Länder weg gegenüberstellen, während der noch in Hostein Mecklenburg war" (296). Even though Wallenstein has brought external order to the Empire by military force, Ferdinand resents this necessary political instrument as Wallenstein wields it against his subjects: "Ich muss mich doch behaupten gegen ihn" (298). But the Emperor now believes that the real reason for the victories is an act of grace in answer to his prayers and piety. He regards himself elevated over Wallenstein by the grace of God. The ceremonial display of his majesty over the chthonic Wallenstein takes place in Chapter 64 (8 x 8), not Chapter 63 (9 x 7) as the normal sequence would place it. In this case the number symbolism is woven into a slightly different cyclical meaning. The eight emblemizes a return to original unity or felicity here. This is consistent with the previous fall, disintegration, death, rehabilitation, etc., that have been traced in this chapter. Early Christian writers considered eight the number of Immortality: "It is the number of resurrection and circumcision and the number of those who did not perish in the flood." It is also the number of Mercury in the correspondences of the Sephiroth of the Kabbalah, designated "Hod, Majesty of God." Consequently, the double 8's as factors of the chapter indicate the numerical significance of the restoration of Ferdinand's majesty vis-à-vis Wallenstein:
Ferdinand, der heitere Banketteur, Wildschweinjäger, demütiger Christ, aufgerissen zu blendender betäubender mystischer Grösse unter einem Purpurbaldachin, die Krönungsinsignien, Mantel mit furchtbar springenden schwanzpietschenden Löwen, goldene Krone, Szepterstab, kreuztragen den Reichsapfel wie eigene Organe bewegend, drohend, lodernd, gar nicht versunken.
(298, emphasis mine)

But behind the imperial power symbolized in the golden emblems of office, behind this apotheosis, Ferdinand and his advisors know that Wallenstein is the immediate cause of the still uncertain order in the Empire. The tension between Ferdinand as the spiritual and nominal leader of the Empire and Wallenstein as the physical power manifests itself in their relationship of mutual need and antagonism. Wallenstein senses his vulnerability to the Emperor's pride and desire for revenge but leaves the audience without fear or worry:

Er verstand ihn nicht; wollte man ihn morden nach den Siegen; hatte er zuviel gesiegt; er hatte seine unwiderstehlichen stählernen Wallonen nicht zum Schutz. Man liess ihn fort [...]. Er schützte sich draussen, trug nichts davon. (298)

Wallenstein characteristically shuns psychic affects which serve no purpose for him.

Ferdinand, on the other hand, after the meeting, collapses with "Sumpffieber" (304), frustration and anger into the arms of Eleonore again:

[...] mit Leiden und Gebeten für ihn fing es an, mit Gram um ihre Kühle; manchmal tobte in ihr das Gefühl, von einer Wut verschlungen zu werden, aber diese Wut war keine fremde, war die des Kaisers, und es verlangte sie, leise zähnebei- send an den Orkan heranzugehen. (304)

The excesses of his passions are to be balanced out in her placidity and receptivity for pain; she still serves him as Wallenstein still serves him.
The two figures function as the internal and external principles, respectively, and each is needed to neutralize the effect of the other on Ferdinand.

With the final Chapter of Book III, the last stage of purification is achieved. Ferdinand, suffering from the swamp fever and from guilt over Wallenstein, at last becomes restored. Chapter 70 resumes the regularity of the number symbolism and concludes with the baptism of Ferdinand. As Wallenstein's conquests mount in the north, Ferdinand verges toward new psychic burdens as calamity from the oppression and atrocities in the Empire return to plague him. His sickness has made him physically weak and he still can not accept what for him is an unnatural and inhumane waste of life for the sake of a political order. His physical fever is his psychic fever manifest. Ferdinand and Eleonore suffer simultaneously, but for different reasons. Her pain stems directly from her uprootedness, her displacement in the northern "barbarity": "Hochgerissen neben ihm die Kaiserin, die junge verwirrte sich entfremdete Mantuanerin. Sie litt das Glück wie er, grässlich heimgesucht, in ihrer Entwürzelung schwankend, hilflos" (327). As the incarnation of the feminine principle, it is altogether in keeping with her function that Eleonore herself should have no substance, but only serve as matrix for substance as a cup is defined by its contents. For this reason, Eleonore can not accept Germany as her home; she remains defined as the woman of Mantua. Similarly, Ferdinand can not accept the physical force and destruction of life in the name of the state; for him it is not "natural" ("'Mir wurde das nicht in die Wiege gegeben'" (263)). In order to reconcile his natural inclination with political reality, he is forced
Summary of Regression and Purification

The Emperor must now be considered initiated into the understanding of his office and of the sacrifices that are necessary to sustain such an institution of domination and order. He can, to a certain extent, accept political reality and all that is implied in the idea of dynasty. He must recognize that he is no longer so naive as before when he said "[...] ich bin nicht geweiht. Ich muss meiner niedrigeren Natur Opfer bringen" (263). The "niedrigere Natur" is overcome when the "Heide" is "baptised" by the chthonic figure, Jonas. The baptism serves not as an intentional parody of the Christian ritual, but rather signals a critical difference in the spiritual transformation that Ferdinand has suffered through the various trials in his private-political life. As the heathen soul is separated from the Christian through the sacrament of baptism, the baptism here signifies the rebirth of the "inner" man. Ferdinand is cleansed from the stain of political sin by the wine (water and spirit) of salvation. As Döblin employs surrogates for both water and priest, the wine and dwarf point toward an un-orthodox or quasi-ecclesiastic status in Ferdinand's transformation. But the initiate's path has been
filled with both traditionally Christian and decidedly pagan motifs and symbols of mythic heroes. It is important for Ferdinand's further progress toward independent and actual political control that the mode of his confidence in himself and his faith in the supernatural be examined.

The first half of the novel may be viewed under a reverse ordering of the Christian sacraments. The primary sacraments are baptism, confirmation, penance, matrimony, extreme unction and the Eucharist. All of these function either as symbolic of the union of man with God or as an analogue to the divine union of the soul with God (matrimony). The Church itself and its priests as the representatives of Christ are the living union of the divine and human spheres through the celebration of the mass. All of the sacraments cleanse the soul of sin, so that salvation may be shared even though men suffer moral deficiencies. Ferdinand has participated in or received nearly all of these sacraments in his preparations for rebirth. Chapter 20 simulates the Eucharist; Chapter 30 brings confession before the ritual death; Ferdinand weds in Chapter 31; and he confirms himself in coronation over Wallenstein in Chapter 51.

The father confessor "[...] suchte nach der Sünde, deren Strafe der Kaiser erfuhr [...]" (304) during the swamp fever illness; the physical sickness is a penance for his original sin. Finally, the baptism marks Ferdinand's return to favor and new life as indicated even during the penalty of penance: "Er klammerte sich im Fieber, wie ein Jüngling blühend, an ihren [Eleonorens] strengen demütigen Leib an" (304).

This process of expiation is portrayed in an un-orthodox course of self-redemption outside the sanctions of the church, even in spite of the
Church and its slightly politicized clergy. Ferdinand, having suffered at Lamormain's hand, recognizes in the Jesuit a strong element of secular interest in his words: "Die heilige Kirche und das Haus Habsburg hätten gemeinsame Interessen -- Erwischt den Herrn Lamormain, jauchzte es einen Augenblick in ihn [Ferdinand]; pfui, pfui der Menschen" (271).

The analogous alchemical process of self-redemption identifies Ferdinand's role as the First Matter and the spirit Mercurius. While for the medieval alchemist there was not always psychological clarity about the effect of the work on the adept himself, there was little doubt that both redeemer and the redeemed were transformed through the grace of God; such is the case for Ferdinand:

Thus the Christian projection of the contents of the unconscious upon outer reality acts upon the unknown in man, or upon the unknown man, who becomes the bearer of the "terrible and unheard-of secret." The pagan projection, on the other hand, goes beyond man and acts upon the unknown in the material world, the unknown substance which, like the chosen man, is somehow filled with God. And just as, in Christianity, the Godhead conceals itself in the man of low degree, so in the "philosophy" it hides in the uncomely stone. In the Christian projection the descensus Spiritus sancti stops at the living body of the chosen One, who is at once very man and very God, whereas in alchemy the descent goes right down into the darkness of inanimate matter whose nether regions, according to the Neopythagoreans, are ruled by evil. 49

That the purification and illumination of Ferdinand are considered "gifts" by him, is registered many times over in the text (304, 326, 354, 362, 366, 367, 368, 384, and 408).

The unorthodox spiritual regeneration of the figure Ferdinand, the numerical symbols of the following stages and the final confrontation with Jeremiah's gnostic myth all suggest that Döblin applied the tenets of Gnosis in the symbolic and philosophic structure of the novel.
Notes to Chapter III

1 Neglect of such vital symbolical structures leads to such deviant interpretations as this: "Eine teleologische Entwicklung der Handlung auf einen Zeitpunkt hin ist nicht zu erkennen. Die absolute Realität des Krieges waltet zu Beginn wie am Schluss." Blessing, p. 35.


4 Aufsätze, p. 387. Use of the optional cognomen "der Andere" for "der zweite" indicates of itself the emphasis of change.

5 Müller-Salget, p. 165.


7 Weyembergh-Boussart, p. 161: "Obwohl zahlreiche Kritiker zu Veröffentlichungszeit des Buchs es als Schilderung der Berliner Arbeiter- und Unterwelt der zwanziger Jahre interpretierten, ist es eigentlich ein heilsgeschichtlicher Roman [...]."

8 Ribbat, p. 37.


10 See notes to Introduction, No. 104.


13 Ribbat, p. 37.


15 Ibid., p. 156.

16 Cavendish, p. 159–163.

17 Ibid., p. 160.


19 Ribbat, p. 31.

20 Ibid.

21 Schmidt-Henkel, p. 173.


23 Cavendish, p. 72.


27 "Rettich" may be associated with "Rettung" or salvation for the Emperor; it may also be a play on the Silesian "rettiche"; "schläge, prügel" (Grimm, Deutsches Wörterbuch vol. 8 (Leipzig: S. Hirzel, 1893),
p. 828) which he finally does get from the fool.

28 Psychology and Alchemy, p. 313.


30 Cavendish, p. 162.

31 Psychology and Alchemy, pp. 309, 334.

32 Ibid., pp. 331-335.

33 Cavendish, pp. 163-164.

34 Psychology and Alchemy, p. 386.

35 Cavendish, p. 164.

36 Psychology and Alchemy, p. 276, fig. 138.


38 Silberer, pp. 85, 118, 126.

39 Pagel, pp. 17 and 67.


41 Psychology and Alchemy, p. 37.

42 Symbols of Transformation, pp. 207-273, "Symbols of the Mother and of Rebirth."

43 Harnisch, p. 80.

44 The references to "Gebete" and "Fürsprachen" occur on pp. 304, 326, 354, 362, 366, 367, 368, 384, 408.

45 Hopper, pp. 198-199.
46  Ibid., p. 85.


48  1 Peter 3: 20-21.

49  Psychology and Alchemy, p. 304.
CHAPTER IV

MYTHO-MYSTICAL METAMORPHOSIS AS

FICTIONAL STRUCTURE

PART II

Palingenesis

This chapter continues the discussion of the symbolic structure of the hero's transformation in Wallenstein. As Book III concludes with Ferdinand's return to society as an "initiated" member, Book IV develops a structural pattern in which the hero functions as an agent of change within this society. Although Ferdinand's political "decision" to reward Maximilian in Book I alters the balance of power within the Empire and escalates the European struggle unintentionally, even irresponsibly, the "new" Ferdinand ("der Andere")\(^1\) returns to political action with deeper wisdom of himself and of the world within the context of his own experience. His new knowledge is not absolute, however, and the boon of his self-sacrifice at Regensburg, as Ferdinand comprehends, is only a temporary resolution to the problems of empire.

The hero's mythic path unfolds through the last three books ("Kollegialtag zu Regensburg," "Schweden," and "Ferdinand") toward a metaphysical mystery of reabsorption into the unity of the universe. Döblin's special shaping of the hero's path allows the fictionalized historical events to substantiate and reinforce the credibility of the Emperor's mythic and ineffable conversion. Both worlds fulfill Döblin's formula
for the new epo: "Märchengebilde mit einem Maximum an Verarbeitung und einem Minimum an Material — und Romangebilde mit einem Maximum an Material und einem Minimum an Verarbeitung" (above, 30). As before, the focus of the analysis remains the hero and his development to become the "champion of the creative life," not the "champion of the prodigious fact" which is the ogre-tyrant Wallenstein-figure.\footnote{While Ferdinand becomes an exemplary figure through Wallenstein, through the "sword" ("das heisse Schwert," 353), his spirit escapes the entrapment of physis, the material part of reality, where Wallenstein's interest remains. The final two chapters (155 and 156) recapitulate the polar principle of self-discovery and world-conquest, \textit{unio mystica} and bedlam, beatitude and Armageddon or the oppositions between Ferdinand and Wallenstein.}

The beginning of Ferdinand's spiritual effectiveness coincides with the number symbolism in Chapter 77 (11 x 7). 11 is the number of the faithful disciples of Jesus and it is the beginning of a higher series of numbers in the Pythagorean system. The created world is contained symbolically in numbers 1 through 10, while 11 initiates the "supernatural plane of knowledge and achievement."\footnote{Consequently, 11 is the number of revelation and the beginning of the knowledge of God. This chapter has already been identified as one of the pivotal chapters that are "hidden" in the arrangement of chapters in each book ((1 + 5 + 5) x 7), (above, 52). Its contents correspond to and further confirm the hypothesis that Döblin employed number symbolism in the design of \textit{Wallenstein}.}

Up to now the transmutation of Ferdinand has been a function of the outer world, primarily the chthonic force incorporated in Wallenstein and Maximilian. The events in the Empire have led Ferdinand through his
crisis with Max, with Wallenstein's appointment and with the paradox between lawful order and oppressive tyranny. Ferdinand's psychic life has been a reflection of these antinomies upon the mirror of his desires, his terrestrial soul. Again and again, Ferdinand seeks release from conflict and controversy through immersion in psychic water (with Eleonore) or in wine (with Jonas). With this chapter, however, Ferdinand's soul becomes informed with a knowledge that reconciles the paradox between the inner and outer world. Revelation illuminates the world for Ferdinand in a miraculous psychic gift:

Der Zermalmung der Feinde in Schlesien schaute er mit einer schmerzlichen Gespanntheit zu, dann war plötzlich ein Faden in ihm gerissen. Er war plötzlich hellsehend geworden. Die ungeheuren Märse kamen, die Siege, er wusste sie vorher; ihm kam vor, er wusste noch viel mehr [...]. Und so wälzte sich geheimmisvoll leise der Krieg ab vor seinen Füßen [...]. Ferdinand erfüllte sich mit wachsender Ruhe und Scheu. Er wurde behutsam, stille; sein Schicksal sah er draussen sich abspielen. Eine ungeheure Hand wurde sichtbar in diesen [...] Ereignissen [...]. Eine Hand schrieb für den Sehenden in den [...] Boden, Zug um Zug wurde die Schrift deutlicher. (353, emphasis mine)

For the seeing, for Ferdinand, the "flesh" is changed back into the "word," and the secret message is revealed in a mantic vision of earthly events as the hegemony of the heavens. From the tradition of the Stoics, Gnostics and Neoplatonists comes the belief that the individually enlightened spirit can influence the fate of the World: "Er liest die Schrift der Natur, ohne das Warum der Phänomene zu verstehen." "So wirkt Gebet auf die himmlischen Mächte -- wie eine Saite die gleichgestimmte zum Schwingen bringt." The principle of resonance takes form here in prayer which brings forth the divine gift: "Beist der natürlichen
Weissagung im Traum oder der Ekstase durchschaut der vom Körpere freigewordene göttliche Geist im Menschen die Verknüpfung von Ursache und Wirkung, das Schicksal und sein Walten in jedem Einzelfall.\textsuperscript{5}

The events -- phenomena -- in the Empire remain for Ferdinand no longer reminders of his personal guilt; they are no longer psychic burdens, but they are transformed into an understanding which has its spiritual foundation in a divine power. Wisdom transcends the notion of "sin" for Ferdinand and for the gnostics.\textsuperscript{6} This allows Ferdinand to extricate himself from emotional vulnerability caused by the "things" in the world, from the psychic imprisonment of materia. Whatever the origin of the spirit ("[...] dann plötzlich war ein Faden in ihm gerissen") that altered his psychological condition, it is clear that his rational mind did not accomplish it. The impetus came from without. Here, again, appears an analogue between Christian gnostic redemption and Ferdinand's rebirth: Christ was the Word made incarnate, but for Ferdinand the world's phenomena become the word ("die Schrift"). Döblin's consciously employed religious symbolism continues here in a real imitatio Christi reversed, in mirror image, when Döblin demonstrates Ferdinand's transcendence of the opposites in dealing with the Edict of Restitution episode. This test also takes place in Chapter 77.

Just as Christ was tempted by the devil after baptism by John (Matt. 3:5), so Ferdinand is tempted by the pope after his baptism by Jonas:

Eleonore, with whom he discusses the problem of restitution, has no political view of the pope and the Chruch, but only a spiritual, ideal, and naive conception of these institutions. By virtue of his new light, Ferdinand can reflect on the temporal side of the man who is pope along with the narrator: "In Rom residierte im goldenen Vatikan ein Panther, Maffeo Barberini, der achte Urban" (358).

Eleonore repeats in her obedience to the pope in Rome the same childish faith and naiveté that her friend, Gräfin Kollonitsch, had once bitterly indicated from the woman's view: "Warum dem Glauben alles und den Frauen nichts? Man heiratet uns, der Priester weihet uns zusammen zu einem Paar; und was bin ich dann?" (219). But Eleonore accuses the Emperor of subjection to Wallenstein and she questions Ferdinand's freedom of choice: "Du kannst dich nicht entziehen. Du hast so wenig eine Wahl wie ich!" (363). With this evaluation Eleonore reveals her ignorance of the transformation of Ferdinand who marshals his energies to meet the challenge of his office by controlling his emotions and his intellect in turn:


Now Ferdinand is able not only to vitiate the new attack on his imperium, but also to convert it into a triumph over the personalities of the pope and his own "sword" Wallenstein. He has raised the paradox of the demand by the pope and the refusal of the plan by Wallenstein into a higher level of consciousness for himself by simultaneously negating the conflict: "Es
dünkte ihm ein Glück, Vogt und Schwert der Kirche zu sein. Und einen Triumph empfand er über Wallenstein: er hatte sich über ihn erhoben, hatte ihn besiegt." "Er war Meister über ihn" (369). What Ferdinand feels and knows in this chapter about Wallenstein becomes manifest in the next scene, which demonstrates Ferdinand's continuing ascent toward the ultimate test of his informed spirit. Döblin supplies eidetic continuity with the symbol of the origin of a circle in contrast to his use of "left-sidedness."

In Chapter 98 (14 x 7), Ferdinand receives "Ein unscheinbares Brieflein" from Wallenstein in which the General reminds the Emperor of the troop strength between Memmingen (temporary imperial headquarters) and Regensburg (site of the Diet of Electors). Upon receipt of the letter Ferdinand realizes suddenly his ability to resolve the dispute between the Electors and the Emperor's supremacy which lies over them in the form of Wallenstein: "Und plötzlich sah Ferdinand, daß die Entscheidung ganz bei ihm lag [...] die Wirklichkeit war nicht wegzuschlafen." (438). The freedom to decide political issues comes as a result of the physical power that has accrued to him through his servant, Wallenstein; the spiritual ability to choose derives from his purification and new understanding of himself and the world. Both from within and from without, Ferdinand has become the center of the Empire and the master of Europe, temporarily. The center of a circle is the only geometric point which does not have a contradiction or a counterpart; this relationship pertains to Ferdinand's consciousness of personal completion and to the actual situation in political reality:

Er fühlte, in der Nacht sich aufrichtend, daß er satt war, daß er Sieger war, Kaiser durch
Wallenstein, und daß er sich wenden könne, nach welcher Seite auch immer, es war die rechte Seite. Es stand in seiner Gewalt, zu wählen, es konnte auf keine Weise fehlgehen. (438)

Ferdinand no longer needs Eleonore's nurturing water, Wallenstein's active principle, or the council of the advisors. He controls the German Elector-Princes and his decision in Regensburg affects the balance of fortunes of Spain and France in Italy (439). As a sign of his transcendence and power (including his personal power over his "natural" emotions), he orders that two Jews be burned at the stake (439). It is clear that the fire in this scene is symbolical of his supreme power. The various instruments and executioners in this chapter are extensions or exponents of Ferdinand's right to exercise control over the fire as the ultimate symbol of intelligence. 7

Behind the barbarism of ritual torture lies an aesthetic logic which negates the physical destruction of the body as a release from pain; the soul is released from its prison so that it may be re-united with light. Here is a physical pre-enactment of Ferdinand's own figurative death and condemnation to obscurity. The significance of the fire is not lost on Ferdinand as he recalls Dighby, the beginning of his own burning to purity: "Zerstreut hörte der Kaiser auf die Belehrung des alten Mannes [Lamormain]. Wie kam es: Dighby fiel ihm ein, die Saujagd bei Begelhof, der Graf Paar. Wo war Dighby?" (443). Through the disappointment of his own mistake and subsequent false hope for reconciliation with Maximilian through Dighby, Ferdinand had to suffer his own execution (Chapter 30). Through the conflict of his will with reality and the resultant necessity of Wallenstein, he has achieved an understanding of life while
he is still able to use the knowledge. The contrasting torture of the Jew and his wife brings the same insight to them only at the time of death: the world does not exist in harmony with individual wishes and desires, but is a process of becoming, of purification or sublimation. Alchemy stands as a model for sublimation of conscious desire; execution is the external punishment for expression of such desires contrary to the laws of the community. Döblin differentiates the effect of the execution on the ecclesiastics and the secular groups as a function of controlled will.

The common people and the inexperienced novice are at the mercy of their will and instinctual emotional responses, contrary to the religious orders who exercise during the spectacle a Schopenhauerian negation of the will: "[...] der blasse junge Theologe senkte beschäm't sein Gesicht. Nach einer Pause sagte der andre [Pater]: 'Du musst an Gott, Jesus und Maria denken. Du hast an die Menschen gedacht, nicht wahr?" (442).

The Emperor demonstrates his ability to accept the destruction of the physical life in exchange for the spiritual salvation that the fire brings. This grisly, and intentionally exaggerated account of suffering serves to emphasize Ferdinand's reconciliation to physical suffering as a necessary component of existence. This knowledge of life's suffering has come through acceptance of the excesses of Wallenstein (above, 117).
The transformation of the Emperor reaches its most visible manifestation in the decision to remove Wallenstein from his command. Döblin frames the scene for the decision in alchemical symbols which inform the event with the occult meaning of the alchemical work. The scene takes place in the music room of the bishop's palace, a visually curious place:


The fiery wheels in yellow and red are emblems of alchemy in which the final product is the filius philosophorum, the "golden child" of the process. "The form of the birth is as a turning wheel, which Mercurius causes in the sulphur." The room itself resembles the vas bene clausum in which the work is to be produced and protected from intrusion or contamination from without: "Weit war aller Verkehr von dem Bischofspalast abgedrängt [...]." "Gedämpft klangen die Stimmen in dem gewölbten steinversenkten Zimmer" (emphasis mine). The image of the alchemical alembic approaches identity with this room.
The square (Viereck) is another symbol of the opus.

[...] since it breaks down the original chaotic unity into the four elements and then combines them again in a higher unity. Unity is represented by a circle and the four elements by a square. The production of one from four is the result of a process of distillation and sublimation which takes the so-called 'circular' form: the distillate is subjected to sundry distillations so that the 'soul' or 'spirit' shall be extracted in its purest state. The product is generally called the 'quintessence,' though this is by no means the only name for the ever-hoped-for and never-to-be discovered 'One.'

The quaternity of the square corresponds to the unity incorporated in Ferdinand who is positioned immediately below the square and the black cross. The cross is the alchemical symbol for 'combination.' Among the flaming wheels and the black rectangle sits the product of the transformation, the culmination of the multiplicity implied through the wheels. The wall decorations, which are described here in detail, indicate that there is a climax in the coincidence of the opposites in Ferdinand.

The visual milieu informs and reflects the intelligible efforts of Ferdinand to combine the experience of his past with the ideal of Christian morality:

"Es ist nicht möglich [...] in Dingen solcher Wichtigkeit nur mit weltlicher Vernunft auszukommen. Wo so Ungheures und Ernstes auf dem Spiel steht, muss ich den Heiland und die Jungfrau bitten, dass sie mir Hilfe bei den Entschlüssen leihen." (456)

Commensurate with the squaring of the circle as an intellectual-spiritual process in alchemy, Rosicrucianism, and Freemasonry is the idea of the original tetrad in gnosis which emanates from the uncreated Creator. The Tetrad is made up of the original Abyss along with Silence,
Mind, and its Truth. 11 Ferdinand and his decision-making process incorporate these elements of isolation, silence, mind, and thought.

As the hero realizes, however, this reason is not alone of an earthly, physical basis, but rather includes the favor of grace.

The similarity of the music room, "found near the garden," to the alchemical vessel with the operational symbols is corroborated by the way in which the decision is made and by the circumstances which condition this decision. The music room encounter is nothing less than a formal analogue to Christ's meditations in the Garden of Gethsemane. The eleven or thirteen advisors 12 remain away from Ferdinand completely. Eggenberg, the chief advisor and close personal friend, knows that he must sacrifice and betray the Emperor to the Electors and he retires from the court to Duino in Istria. As the political pressure from the Electors mounts to near-rebellion on account of Wallenstein, Eggenberg foresees his own weakness:

Als die Kurfürsten und Stände so bereitwillig der Tagung in Regensburg zustimmten, begriff er, daß er klar gesehen hatte. Und er wick nicht; er führte den Kaiser auf die Schlachtbank. Wie Eggenberg dies geleistet hatte, den Kaiser auf das Schiff nach Regensburg zu bringen, brach er zusammen. Auf der Fahrt schon befiehlt ihn körperliche schwere Beklemmungen und Ohnmachten. Die Tat war größer als er. Er verabschiedete sich unterwegs von Ferdinand. In einem Grauen reiste er nach Wien. (428)

Eggenberg perceives his role in the arrangement to have Ferdinand's son elected Holy Roman King as that of betrayer, a Judas whose act was also greater than he (Matt. 27:5). Ferdinand's father confessor, Lamormain, advises him in "Christian" spiritual matters as they relate to the politics in Ferdinand's dilemma. Ferdinand's words, not Lamormain's, express
the goal of this scene as well as Döblin's entire development of the
hero: "'Die Masse des Lebens, auch des politischen, mit dem Geiste
der christlichen Kirche durchdringen: eine grösse Aufgabe kann ich
mir nicht denken" (458). To assist him in his deliberations Ferdinand
invokes his "higher" reason through the help of the divine pair Jesus
and Maria. Döblin allows Ferdinand to refer to the divine reason, not
rational intellect, but reason informed by the Holy Ghost. The soul
which lies between spirit and body stands between good and evil and it
has the "free will" to chose. In order to effect the union of spirit
and soul, the mind must be separated from the influence of the body.
In alchemy the same union or conjunction is to take place when the spirit
and soul (often represented as king and queen) combine in the mysterium
conjunctionis when the stone or elixir is produced. This higher, re-
finned spirit is called by some alchemists the "spiracle [spiraculum]
of eternal life."¹³ In the description above, only one large window
opens out onto the garden from the room across from the wall with the
large golden square. Such a perspective from the base of the cross out
into the garden symbolizes in these circumstances a "window into eternity"
in which only substance, not accidents, come under consideration with the
spirit of Christianity. Such background must be considered an absolutely
essential component in Ferdinand's decision to drop Wallenstein.

The background of the alchemical-agnostic-Christian reunio mystica
in the plastic and temporal symbolism has been established. Now the mo-
tives for the conversations and their results will be examined in rela-
tion to the symbolism. The confessor has not been called by Ferdinand for
the usual purpose, since Ferdinand is certain of his power and his moral
rectitude:

Lamormain is, however, sworn to obey the Pope who wants Wallenstein deposed. The confessor sees his role vis-à-vis Ferdinand inverted here. In his previous successful efforts to induce Ferdinand to give up his childish emotional behavior (the ritual death, Chapter 30), Lamormain used his religious authority to achieve a political goal, convinced that the Church and the Hapsburgs held common interests (above, 123). In Regensburg, however, as with the Edict of Restitution, Hapsburg and Church hold entirely opposing secular interests and Lamormain must compromise integrity and Christian conscience in order to carry out his political mission. The confessor sins against the Holy Ghost for worldly purpose and suffers accordingly: '"Du wahnsinniger Mensch,' schrie der Pater sich innerlich an, 'du schlimmer Mensch. Du kannst dich nicht so schänden. Bruder Lamormain, der Heilige Vater denkt schlecht von uns'' (459). The priest realizes that in order to persuade the Emperor to release Wallenstein, he, Lamormain, must place the Pope's desires before his role as priest in the strict sense. As a Jesuit, Lamormain has taken the fourth vow of obedience to the Pope and his personal conscience must be subordinated to this vow, even if it contradicts other principles of faith. In his struggle to influence Ferdinand, Lamormain tries to honor his relation of trust, but finally he must voice the will of the Pope and compromise his spiritual office. In so denying Ferdinand
by representing the Pope, he fulfills the prophecy that Ferdinand has
already foreseen, but can not pronounce himself.

Ferdinand has understood his psychic situation since the beginning
of Chapter 77 when he became clairvoyant, but he must convince Lamormain
that the only way through this dilemma must come from the father him-
self. Ferdinand forces Lamormain to enunciate the will of the Pope by
threatening to leave the decision to blind fortune: "'Seht, Pater, so
unumschränkt verfüge ich in dieser Sache, daß ich mich versucht fühle,
die Entscheidung von einer Kinderei abhängen zu lassen [...].'' (463).
The Emperor, who displays spiritual honesty and emotional control in con-
trast to the inwardly tormented Lamormain, sympathizes with the father
who must, in his own eyes, sin in the utterance that brings him despair:

Von rückwärts berührte ihn der sehr stille
Ferdinand: "Ich weiss: Eure Aufgabe ist
schwer. Eure Qual ist gross. Ich will
Euch gehorchen. Was habe ich zu tun?"
Da brachte der Pater in der Bitterkeit
der Verzweiflung hervor, fast brüllend
stiefs er es aus sich heraus: "Ihr
müsst den Herzog verabschieden, nicht
behalten." (464-465)

Lamormain plays the role of the deus terrestris, analogous to God the
Father in Gethsemane, whose will was done in contradiction to normal
logic. For similar reasons, namely for reasons of sacrifice, Ferdinand
must hear the words from his spiritual leader who has forsaken him:

Und als sich Lamormain entsetzt herumwarf, murmelte
Ferdinand die Arme verschränkend, so hätte der Pater
selbst gesagt, was ihm, dem Kaiser, nicht gestattet
war. [...] "Seht Ihr," lächelte Ferdinand völlig
ruhig und freudig stolz wie ein beschenktes kleines
Mädchen. "Und warum durfte ich es nicht sagen?"
(465)
This last question is not answered directly by Lamormain, because it is not directed specifically at him by Ferdinand, but by Döblin at the reader. The answer does not lie in an appeal to the historical circumstances or the factual decision, either; such reference to the extra-fictional world would constitute an immediate suspension of the fictional construction and destroy the meaning of the entire scene. In negating this scene, Ferdinand's rise from the wine cellar would be robbed of its effective representation. The resolution of the question must be internal and autonomous within the fictional world. Consequently, the parallel between Ferdinand and the alchemical Mercurius or the imitatio Christi emerges more distinctly from his conversation with Lamormain. Döblin draws attention to Ferdinand's mantic ability: "'Ich weiss alles, was kommen wird'" (464). Lamormain, in the moment after Ferdinand has accepted the Pope's will, whether in exclamation or in direct address, identifies the Emperor as savior: "'Mein Heiland, Ihr! Ihr! -- Wie wird Euch der Heilige Vater loben, wie werden Euch die Fürsten loben'" (465). Both Emperor and Christ eschew use of physical force in order to bring a reconciliation within the grasp of their subjects or followers and both achieve a balance in the conflict by paradoxical self-sacrifice. It is precisely the same kind of absurdity that Christ displayed that Ferdinand, at the acme of power and with divine grace, can not determine the fate of the Empire by his own free will, but rather accedes to his "father" on the issue. This is an example of the conjunction of opposites that was the essence of Christ's self-sacrifice to the power of the world and of men. There is no doubt that Döblin has constructed this fictional
resolution as such a paradox; the last paragraph of the chapter serves as another contradiction of this type as Ferdinand and Lamormain stroll in the garden: "Sie gingen zwischen den Beeten. Der Fürst blinzelte die Reseden und Hühner an. Er freute sich seiner Blindheit" (466).

The motif of imitatio Christi continues into subsequent chapters, but only a few examples of the numerous allusions need augment the basic structure of the Ferdinand-evolution. Number symbolism appears less remarkable here, but it is nevertheless consistent with the principle of unio oppositorum. The scene in the music room transpires in Chapter 102. From the earliest number symbolism the ideas of one and two are the most important (above, 54–56). But the number 100 represents perfection, a return to unity, and the number two still forms the opposite pole to unity: it is world and man as the corruptible and transitory. Taken together as the 3, the numbers resolve to synthesis and indissoluble wholeness, the Trinity or the trinity in alchemy: sulphur, salt and mercury. The analogues in concreto for the abstractions are equally well identifiable by now. Ferdinand stands for the divine in man, but it is the divine that has been separated from the corrupt and, therefore, he must be seen as the re-unified man. Diversity and corruption on the part of Wallenstein and the Electors or, more closely, on the part of the Pope and Lamormain may be associated conveniently with the Two. But even Ferdinand's two-dimensional perspective -- temporal and sub specie aeternitatis -- can not bring indefinite resolution, which Ferdinand himself realizes and for which reason he asks Lamormain to hold his decision in secret for a short while:
"Es wird bald ruchbar sein, ich möchte es
eine Zeit bei mir behalten. Wisst Ihr,
warum? Um mich daran zu weiden. Denn
sobald ich es herausgesetzt habe, wird
man es umgehen und erklären und wird seine
Torheiten und Roheiten über meinen Ent-
schluss häufen." (463)

This means that his decision will be examined or attempts will be made
to explain logically what can not be so understood "mit nur weltlicher
Vernunft." Lamormain, however, comprehends the consequences of his own
compromise with his penitent. The reversal of roles is immediately ap-
parent:

Stöhndend fast wie ein Tier brachte Lamormain
eines Abends hervor, daß er das gütige nach-
giebige und machtbewusste Gesicht des Kaisers
nicht vergessen könne; er hätte ihn verführen
wohnen. Der Kaiser hätte ihn beschämt, ver-
ächtlich beiseite gelassen. Er schäme sich.
Wie ein Begründer hätte er ihn, den Sünder,
angeblickt. (469, emphasis mine)

Later, as Ferdinand freely and with honest concern redelegates leadership
of the imperial forces to Maximilian, who can not understand the trium-
phant spirit of his arch-enemy as anything but weakness, the symbol of
Ferdinand's beatitude is preserved in a stigma of the cross itself:

"Seine Augen waren wie die eines Schielenden; man wusste nicht, ob man
ihn ansah " (485). The image of crossed eyes is the incorporation of the
double perspective, which is in no way new, not even in Döblin's work.

In the essay "Erster Rückblick" of 1928, the double perspective is attached
to his errant father with less complimentary meaning: "Mit dem rechten
Auge blickte er immer auf seine Familie. Das linke aber war bei ihm
weitgehend selbständig. Während das rechte Auge stets von Sorgen ge-
trübt war, schwer bewölkt und zu Regengüssen geneigt, freute sich und
lachte das linke, und das Hochdrucksgebiet war weit entfernt." The motif of the crossed-eyes closes the fourth book and marks the passing of the Emperor into another phase of development. But Ferdinand's involvement with political concerns has already reached its climax as the General is separated from the battle ground -- temporarily. Graf von Trautmannsdorf, the most critical and logical advisor to the High Council, appraises Ferdinand's self-sacrifice under its ephemeral effect:

"Denkt Euch, es sah aus wie ein drohender Kampf zwischen Kaiser und Fürsten, Bayern und Friedland bis aufs Messer, und jetzt -- hat der Kaiser den Sieg an sich genommen, ohne auch nur den Degen berührt zu haben. Er hat den Wittelsbach nicht einmal an sich herankommen lassen, und er war schon besiegt. Ohne Friedland!" (480)

Ferdinand's way leads beyond his duty of office. The temporal perspective gradually diminishes, while the inner vision consumes and suspends normal consciousness for Ferdinand. As the hero blessed by the father, he has left his mark for mankind and passes beyond:

Since he is now centered in the source, he makes visible the repose and harmony of the central place. He is a reflection of the World Axis from which the concentric circles spread -- the World Mountain, the World Tree -- he is the perfect microcosmic mirror of the macro-cosm. 16

Revelations

Other scholars have identified the motifs of the Abbot's chair and the "Gebt Raum"-scenes as recurring symbols of Ferdinand's post-Regensburg transition toward his eventual flight from reality or history. 17
poetic mechanics of this process are undoubtedly designed to prepare for Ferdinand's disappearance in Chapter 155; these later segments, however, are not isolated, but rather a continuation of the re-birth of personality which has been the unifying structural device of the novel. The internalization of the world or the emphasis on Ferdinand's withdrawal inside his fantasy-world continues with less and less relation to the outer, physical activity and with greater emphasis on his conscious spiritual reaction to contents produced by his unconscious mind. Ferdinand does not suddenly become immune to all exterior forces, nor totally in control of his emotional reactions to the misfortunes in the Empire. His figure becomes correspondingly less the subject of the narrative and his participation in the affairs of state becomes more and more paradoxical as inner and outer consciousness merge. It should be stressed that Ferdinand's lack of contact with political reality is not a negative characteristic within his personality, but a transcendence over the state by Ferdinand's de-socialized individualism. The world becomes simultaneously more private and unified under Ferdinand's perspective: "Wir sind nur Werkzeuge, wer weiss in wessen Händen. Ich hoffe, in Gottes, Marias und der Heiligen" (561). Perspicacity appears under the guise of foolishness: "Der Kaiser, träumerisch herumwandelnd, an den Puscheln seines Schlafrocks spielend: 'Es nimmt alles so guten Verlauf. Wenn ich nur wüsste, wovon ihr redet!'" (562). Ferdinand's course diverges from the narrowly human mainstream toward a more complete re-identification with the cosmos. The Abbot's chair and "Gebt Raum" motifs condense the human sphere and the universal sphere of Ferdinand's consciousness into tangible "Dingsymbole."
The "Gebt Raum" -motif begins in Chapter 126 (7 x18). It marks Ferdinand's opening to the supernatural and his estrangement from normal reality in the form of Empire and human society. Devils and spirits make appearances as nocturnal or unconsciously perceived beings which have become real and sentient for Ferdinand who is "immersed" in the moon: "Wie es Abend wurde und der Mond aus dem Birkengehölz trat, stand der Kaiser mit nackten Füssen auf seinem Teppich, schnaufend, arbeitend: 'Gebt Raum, gebt Raum!' Inbrünstig lachend, stampfend; ein lakenweisses mondgetauchtes kleines Menschenwesen" (586). The moon, the feminine principle, has always held significance as a symbol of the underworld of the mind, the unconscious and the unknown. "Through this inner night the creatures of imagination and nightmare move -- illusions and deceptions, dreams and fantasies."¹⁸ Döblin creates visions of an amicable otherworldliness:


The demand for "space" is directed toward the ordinary modes of consciousness and reality which must make room for Ferdinand's images and "devils" that emerge from the unconscious. These constitute a personal counterpart to nature in the outer world. Bare feet on the carpet and fur shoes betoken a separation from his usual footwear and from conventional activity. The fur shoes and receptivity of the imaginary creatures contrast with Ferdinand's loss of the left shoe and divisiveness with Jonas in Chapter 20.
As a subcategory of the time and space symbolism that becomes more and more evident with Ferdinand's dissolution, the clothing motif need only be mentioned here. The normal categories of perception melt as well as personal identity for Ferdinand:

Plötzlich war es dem Kaiser geworden, als ob er die Balance verlor, schwindlig wurde und in einer kichernden bewusstlosen Freude nicht wusste, was heute war, was morgen sein wird, in welchen Zimmern er ging, in wessen Zimmern er ging. Ja, das grosse Geheimnis, das ihn tief beglückte, wollte er dem Fürsten Egenberg nicht verraten, vielleicht aber der Mantuanerin, die bald kommen musste: daß er manchmal nicht wusste, in wessen Kleidern er hier herumging [...]. (565)

The carved wooden Abbot's chair is another manifestation of Ferdinand's extension into ever wider diffusion of personality. Ferdinand sits as the protector of the community of carved figures at his hands and neck:


Yet, his ability to compel his thoughts toward the welfare of his community, the Empire, has already peaked. The latency of command emerged in Regensburg, but Ferdinand's capacity for leadership burned out in the same moment. Internal reality consumes his attention as the "secret" of his existence.

But the polarity of his existence is not yet resolved; the fear of material being still inhabits his consciousness when conflict and
diversity seize his attention. Wallenstein, war and the "Lindwurm" image remain reminders of his physical individuation; this consciousness can only be negated by meditations before the crucifix:


(588, emphasis mine)

The "two" here are Wallenstein, as always, and Gustaf Adolf, the invader from Sweden; both appear mythically configured as monsters of massive physical power. These monsters drive Ferdinand to seek his "way" out of civilization and to find new unity without the fear of "dragons": "Ich muss wissen, wie es bei Gott ist" (587).

The search for truth and the affinity for completeness, two names for the same principle, display themselves in the recurrent notion of vibration or resonance between Ferdinand and his environment. This unconscious, inter-individual life force connects all creation and eventually draws Ferdinand out of society: "Ein sonderbares Vibrieren hatte noch in Wolkersdorf in ihm begonnen. Es trieb ihn, seine Umgebung zu beschnäufeln" (627). After a long discussion with Eleonore and Lamormain concerning original sin and Wallenstein, whose name induces the image of the reptile in Ferdinand's apprehension, the Emperor dons a "dirty working man's costume" and searches for his way: "Aber es war ersichtlich, daß der Kaiser einen Weg suchte" (634). The way leads him into the
forest where he listens to a Dominican monk attempting to convert two "Neuäubige" by arguing the material advantages of the Catholic religion, e.g.: "Und die Raufereien und dem Nachbarn die Zähne zeigen. Wir werden Euch nicht stören dabei. Wir hüten schon Euren himmlischen Besitz" (636). The corruption of the Christian religion in this passage is evident and Ferdinand's way leads past the bartering for goods toward Jeremia, the last spiritual guide. A singing beggar tells Ferdinand about Jeremia, but not his location which is revealed by a small girl. Ferdinand's way is a "gift," an undirected and miraculous discovery of truth. The two innocents -- beggar and child -- are indicative of the purity and faith that are necessary requirements for entry into a higher spiritual knowledge. The knowledge of the quest is not specified on the first meeting; Ferdinand wants only the hermit's "word" (637).

The spatial imagery of the meeting place renews the theme of occult knowledge with symbols from gnosticism and alchemy. The meeting takes place after Ferdinand and his helper leave the Dominican: "Sie kamen in eine öde Gegend" (636). The hermit's cave lies beyond a pile of stones, where the child runs: "Sie lief über einen Steinhaufen" (636). Consistent with the emblems of Hermes, messenger of the gods, the pile of stones appears along the way where Ferdinand receives a gnostic message about God, man, the devil, and Christ's inherence in material. Hermes as the guide of the dead also served as boundary marker on roads in the form of roughly-hewn stones and later as statues, Hermae. Hermes was thought to inhabit the piles and was believed to help men find their way. The association with Ferdinand becomes clearer
when Ferdinand emerges from the cave. After the meeting, before the cave where Ferdinand sits for two hours with the rosary in his hand, when the servant approaches, the hermit ends the confrontation and crosses himself behind Ferdinand, then kneels and prays at the place where the Emperor sat. On the forest path the mysterious-magical beating of eagles' wings signals another stage of ascent for the Emperor, whose face has become stone:

Noch einmal gab es ein Wehen, Flügelschlagen von riesigen niedersausenden, sich steil aufstellenden Adlern hinter ihm. Ihm stand das Herz still./ Wie er zehn Schritt weitergegangen war, sah sich sein völlig versteintes Gesicht nach dem Diener um. (638, emphasis mine)

To analyze this scene in any but a symbolic context would distort its meaning, since the supernatural aspect can not be explained except through the symbols. The lapis-theme that has been implicit in the alchemical process since the outset (Chapter 7) comes to definite expression in the "petrified" face of Ferdinand. The final product of the process is the lapis philosophorum, or Hermes, Mercury, etc. The analogy of the stone to Christ is a popular, almost universally alchemical idea:

The artifex himself bears no correspondence to Christ; rather he sees this correspondence to the Redeemer in his wonderful stone. From this point of view, alchemy seems like a continuation of Christian mysticism carried on in the subterranean darkness of the unconscious [...].

The final motif in Ferdinand's search corresponds to one of the central and ancient principles in the alchemical tradition: "Visitabis interiora terrae, rectificando invenies occultum lapidem, veram medicinam." A double sense of "interior of the earth" refers to both macrocosm and
microcosm, hence we may assume that the external search for the truth of the stone leads mutatis mutandis to the interior, psychological discovery of the self; this is manifested in the petrified face of the Emperor.

The second visit to the rocky cave reveals the hermit's secret about Christ's imprisonment in the darkness of matter, and the two eagles return with the band of thieves. What Ferdinand learns from the hermit is worth a detailed examination, since the two scenes in the cave contain symbolism that culminates in the Emperor’s mythic rise to enlightenment or revelation.

The revelation delivered by Jeremias is gnostic. For him there is no god in the world, because the world is too horrible to be the product of a god: "'Es ist alles Teufelwerk. Du brauchst keine Angst vor dir zu haben. Es gibt nur einen Teufel. Gott gibt es nicht'" (672). The devil and his work are the visible world: "'Er ist so sichtbar, für alle Augen erkenntlich wie etwas'" (672). Jeremias himself exhibits the suffering quality of all matter as the right side of his face is covered with festering sores (637, 671) which are the result of his vision of Jesus in his cave: "'Wie meine Wange hier einsank, war es eine Angst, die ich hatte, plötzlich, eine Stunde, einen halben Tag. Ich -- habe -- sein -- Gesicht gesehen, Jesus, des Gesalbten Gesicht --'" (672). Jeremias accepts the stigma as a sign of the Antichrist and he scourges himself in imitation of Jesus’ suffering: "[...] er fing an, sich zu schlagen, die Arme vor der Brust verschränkend, rechts herüber, links herüber peitschend, sass bald in der völligen Finsternis der Höhle,
schob sich stürmisch gegen sich arbeitend immer weiter zurück" (673).

He laments that the sensual world is merely evil and that this evil enticed Christ to come into this earth to help men bear its burden (672). Christ, according to Jeremias, is himself imprisoned in matter as he appeared one day in the cave in a root: "'Hier ist eine Wurzel; fass sie an hier.' "'Da war er da.' Er fasste wild ächzend die Wurzel an, um sie hingen Stricke und Kettchen [...]" (672-673).

Döblin approaches here the Manichaean creed or doctrine of the Jesus patibilis, another strand of gnostic creation myth. 21 The Luminous Jesus was sent to reveal the true source of knowledge and justice to Adam and to liberate him from the devils of matter. The relevance of this principle to Jeremias' revelation and Ferdinand's subsequent departure is readily apparent from Jesus' mission and its circumstances:

Of the content of his revelation, the doctrine concerning "his own self cast into all things" requires comment. It expresses the other aspect of this divine figure; in addition to being the source of all revelatory activity in the history of mankind, he is the personification of all the Light mixed into matter; that is, he is the suffering form of Primal Man. This original and profound interpretation of the figure of Christ was an important article of the Manichaean creed and is known as the doctrine of the Jesus patibilis, the "passible Jesus" who "hangs from every tree," "is served up bound in every dish," "every day is born, suffers and dies." He is dispersed in all creation, but his most genuine realm and embodiment seems to be the vegetable world, that is, the most passive and the only innocent form of life. 22

Jesus has already been associated with the root in the cave; his luminous quality, contrasted to darkness and blindness of the world and of men in it, and his imprisonment in forms are taken into the fictional world:

The spider image also has a precedent in the Maya, eternal weaver of the illusory world of the senses. The spider which runs over the luminous, but obscured face of Jesus is the same principle of the Maya that creates the web of the world that hides the divine light. The darkness of matter -- the spider -- prevents Christ from opening his mouth, from releasing the words (pneuma) which could offer salvation from worldly illusion. But evil, in the form of Satan, was victorious according to Jeremias and the Church has consumed the Christ: "'Der Satan wiegt schwerer. Nicht einmal sein Andenken ist aufbewahrt, man wiess nichts mehr von ihm. Die K che hat ihm verschlungen'" (674). The dualism between matter and spirit overshadow Ferdinand's experiences. Despite his personal sacrifices and quest for truth of the center, matter -- Wallenstein and Maximilian as chthonic powers -- "weigh more."

The spiritual element lies imbedded and obscured by evil, physis. The Church, represented by the Dominican monk, expressly forbade this conception of the role of Christ and this heresy accounts for Jeremias' concern
that his revelatory experience be kept secret: "'Du wirst mich nicht verraten'" (674). He even pleads that the revelation is nothing new: "'Du brauchst nicht glauben, was ich sage. Ich hab' dir doch nichts Neues gesagt'" (674).

Mythical eagles again symbolize the ascent of Ferdinand's spirit as after the first visit to the "interior of the earth." But evil, in the form of thieves, cut short Ferdinand's contemplation of the "truth." And yet, the transformed Emperor remains in touch with his inner self and unconcerned about possible harm: "Da fühlte Ferdinand plötzlich die tiefe Ruhe, die sich seiner während des Überfalls bemächtigt hatte. Die Höhle des Einsiedlers. Die Spinne. Was war das. Es kam ihm meilenweit vor, jahrelang fern" (675). Here the alteration of normal consciousness, the negation of the principal coordinates of experience -- time and space -- indicate that the unconscious or the "truth" has enriched and re-organized Ferdinand's rational thinking, or even replaced it with another mode -- feeling. This is supported by the narrative: "Als Ferdinand allein in der Höhle der Kohlenbrenner ei war -- wusste er nicht, was er vorhatte. Dachte kaum. Fühlte nur, daß ihm ein Glück zuteil geworden war. Ein sonderbares Glück" (675, emphasis mine). The distinctly religious motif of transcendence -- developed here sharply contrasting to theological tradition -- indicates that Döblin was concerned about metaphysical objects outside or, better, coincidental with "life" in its normal, mundane appearance. 24

It is possible that Döblin consciously constructed the cave-scene with Nietzsche's Antichrist in mind in addition to the gnostic symbolism.
Nietzsche's theme of *decadence* includes Jews and Christians as weaklings and this extends to the reduction of the divine nature of the "democrat" among gods:

[...] er blieb Jude, er blieb der Gott der Winkel, der Gott aller dunklen Ecken und Stellen, aller ungesunden Quartiere der ganzen Welt! [...] Sein Weltreich ist nach wie vor ein Unterwelts-Reich, ein Hospital, ein souterrain-Reich, ein Ghetto-Reich [...] Und er selbst, so blass, so schwach, so decadent [...] Selbst die blassesten der Blassen wurden noch über ihn Herr, die Herrn Metaphysiker, die Begriffs-Albinos. Diese spannen so lange um ihn herum, bis er, hypnotisiert durch ihre Bewegungen, selbst Spinne, selbst Metaphysicus wurde. 25

In Nietzsche's critical view, the spider-image over the face of Christ in the cave appears to mean that the Church has imprisoned him in matter, rather than that he passed voluntarily into suffering as in the gnostic myth. In both the fictional Christ of Jeremias and the Nietzschean Christ, the divine nature is obscured or hidden from knowledge by institutions.

Sebald's interpretation of Ferdinand's *imitatio Christi* and apostasy should be recalled here. 26 From the detailed analysis of alchemy, it is apparent that notions of "sabbatianischen Messianismus" and purification through evil are incompatible with the evidence of the text. Sebald, echoing Nietzsche's complaint about "paleness," distorts Ferdinand's figure in an effort to make his case for witchcraft: "Wenn man die besessene Blässe Ferdinands nicht fehlinterpretieren will, so fällt es schwer, ihm gegenüber Wallenstein als die hellere Figur zu bezeichnen." 27

With his new "happiness," Ferdinand has shifted from the primary modes of immediate sensation and directed thinking toward the modes of
intuition (evident since Chapter 77) and feeling as a more diffuse and unspecific mode of judgment about existence. This shift constitutes Ferdinand's re-birth and re-integration with the cosmos and with himself. It is for this feeling of fullness or "Glück" that Ferdinand began his quest in the disguise of a common working man. This happiness must be considered the end-point in Ferdinand's way; he has achieved the goal of mysticism, the union with the One. Düblin emphasizes the end of one stage of existence and the beginning of the new through the thief Böckel's name. The beginning of the zodiacal year is the sign Widder or ram, Aries or Mars. The ram enters and ushers Ferdinand into a new life and the Emperor already views himself as a separate entity when he entices Böckel to release the peasants whom the "gewalttätiger Herr," Böckel, is punishing: "Bei Wolkersdorf wüsste er einen Grafen, der morgen oder übermorgen zu einer grossen Reise die Ausfahrt machte, er nannte einen beliebigen Namen, war glücklich, als der andere anbiss" (675).

The treasure that Ferdinand has discovered, however, can not be taken from him. The man who was Emperor has become a new personality and his final departure from civilization and the state follows in Chapter 147 (21 x 7), the end of the process of transformation and release from the Lindwurm-vision. After recalling Paar's abortive abduction (Chapter 5), Ferdinand finds in his dreams freedom from the dragon: "Er sah auf, kein Tausandfuss, kein ekler Bauch war über ihm" (699). The final departure from society coincides with his beatitude. He has conquered his dragon and found inner peace, the goal of mysticism and alchemy through the introversion and rebirth of the hero:
Mythologisch gesprochen geht der Introversionsprozess gut aus, wenn der Held den Drachen erlegt. Geschient dies nicht, so tritt der ungünstige Fall ein; der Mensch verliert sich. Meines Erachtens ist dieses Sich-Verlieren in zwei Formen möglich, in einer aktiven und einer passiven. Im ganzen gäbe es also drei Ausgänge der Introversion. Die gute Lösung ist der Eintritt in das wahre mystische Werk, kurz gesagt, die Mystik; die schlechten Lösungen sind der aktive Weg der Zauberei und der passive der Schizophrenie (Introversionspsychose). In dem ersten Fall vollzieht sich eine innere Sammlung, in den anderen beiden Fällen ein Sich-Verlieren; im Falle der Zauberei verliert man sich an die Leidenschaften, denen man magisch Befriedigung schaffen will, von den Gesetzen der Natur sich losagend; im Falle der Geisteskrankheit tritt das Versinken in der "Trägheit" ein, ein seelischer Tod. Die drei Wege des Introversierenden entsprechen ungefähr diesen drei Möglichkeiten des sonstigen Lebens: Arbeit (Sittlichkeit), Verbrechen, Selbstmord. 28

It is a tautology to say that Ferdinand has achieved the first of these cases; examples of the second category are Wallenstein and Maximilian. Wallenstein's character will be examined extensively in the next chapter; Maximilian, however, marries Ferdinand's daughter after the latter's disappearance and Döblin unveils his figure's character as never before:

Maximilian hatte das Gefühl des Verbrecherischen; er hatte das zitternde Gelüst, in ein schwarzes offenes Fenster einzusteigen oben am Dach, die Hand auszustrecken und zu rauben. Er hätte nie geglaubt, daß ein Verlangen so stark sein könnte wie dies: die junge Tochter des flüchtigen Ferdinand, Maria Anna, aus Wien zu holen. Es zügelte in ihm; es war unendlich labsam, hin und her werfend und dann wieder einschläfernd, gar keine Folter. (724–725)

The final case, that of suicide, is illustrated in Eleonore and Friedrich von der Pfalz, Ferdinand's counterpart on the Protestant side, "der Stein" (538), who has immersed himself in wine and achieves a certain kind of
relief from his ordeal in death: "'Ich habe so heftig und herzlich
ihören allerlei zu sagen,' dachte Friedrich; er wusste nicht was; alles
nahm solchen guten Verlauf, er kam zum Reich zurück, er hatte ein gros-
ses Ungestüm in sich" (599). Ferdinand's words proclaim the same satis-
faction, but with the accompanying knowledge of the "unknowable" mystic
way: "'Es nimmt alles so guten Verlauf'' (562).

Chapter 155

This chapter and Ferdinand's fate outside his normal societal and
political function belong outside the numerical structure of the pre-
ceding chapters. Along with the final chapter (156) this one forms
another in a long series of dualistic juxtapositions. Ferdinand has a
new name, "Grimmer" (728), to match his new existence. His new life
briefly recapitulates his earlier selection, transformation and mystical
integration into a world harmony. From the wandering hoard's rebellious-
ness, Ferdinand changes suddenly back to his liberated and independent
identity at the sight of Wallenstein's corpse:

Ferdinand hatte sich, als er unter die flutenden
Menschenmassen geriet, überwältigen lassen. War
dem Jammer, der ihm begegnete, unterlegen. In
Gram und Reue hatte er geschrien: "Beile genommen!
Beile! Nicht nachgeben." Das schlief schmerzlich
vor Wallsteins kläglichem Holzarg ein. (730)

Ferdinand is not integrated exclusively into the masses; he is an entirely
separate, special figure even now. This figure, who temporarily succumbs
to the common attitude toward suffering, prevails against it and over-
comes again his passions. He falls under the physical domination of a
roving band of "Fechtbrüder" who hold him prisoner as the High Council
did before, because "[...] sie waren der Meinung, daß Gritter an Flucht
oder Verrat dachte" (732). Ferdinand becomes "ein vollkommener Narr"
again in confinement and under torture:

Er sei in einem hohen Amt gewesen, hätte es
aufgegeben. Denn das Regieren hätte wenig
Zweck. Es läuft alles von selbst. Es ist
auch alles gut, hätte er erkannt; man müsse
nur wissen wie. Man könne mit ihm tun, was
man wolle, man täte ihm nicht weh. (732)

This philosophic position reflects Ferdinand's enlightenment through
divination or mantis (Chapter 77) and his verbal instruction from Jeremias (Chapter 138). Döblin alludes to the notion of *heimarmene* in the
statement "'Es läuft alles von selbst.'"

The final episode in which Ferdinand meets, loves and, is slain by
the "Waldmensch" constitutes yet another stage of "ascent" into universal integration. Ferdinand's sympathy with the trees as well as his love
for the Waldmensch draw him closer to a primal unity with the created
world. As an initiate he can accept physical violence both to himself
and to others as the order of the world within the wisdom that the real
world is intelligible and indestructable. Ferdinand's death through
stABBing and his final repose in the tree branches form the image of the
*Jesus impassibilis*: "Rittlings schwang er sich vor den Mann auf die
Bank, drückte sich fest an den erschauernden freidvoll Blickenden und
senkte blitzschnell das Messer von hinten in seinen Rücken. Mehrmals"
(738). "Ferdinand lag auf zwei sehr hohen Ästen. Das dünne kühle Wasser
floss über die hellen Augen. Der Kobold hatte kleine Zweige zu sich
heruntergezogen, er sass vom Laub gedeckt" (738).
This physical sacrifice follows the "political" sacrifice (Regensburg) after Ferdinand has abdicated from the throne. The "Schlachtbank" (above, 138), to which Eggenberg sent Ferdinand, is echoed in the "Bank" in the forest hut. The walk in the garden with Lamormain has its counterpart when the wild man plays with and drags Ferdinand's body through the bushes and trees of the forest. Ferdinand's "Blindheit" (above, 143) finds reminiscence in his bright eyes of death. This thematic parallelism links two situational periods together in which the common element is personal sacrifice on Ferdinand's part. The last chapter merely provides a panoramic view of world conflict in contrast to the very intimate perspective of the previous chapter. The double perspective — Märchen and Romangebilde — is preserved even in the double ending.

Mayer has already identified this double ending as a basic formula for all of Döblin's work: "Immer wieder stösst man auf jenes "mythisch-rationale Doppelverhältnis, das die Grundformel für Döblin's Wallenstein wie für sein Gesamtwerk ist." Mayer, however, sees social criticism in Ferdinand's departure as the criticism of a specific societal form:

Bei der Ablehnung dieser menschlichen Gesellschaft hält Döblins Wallenstein ein, der Aufbau der neuen Gesellschaft bleibt Postulat, die Beschreibung des seltsamen Wegs dorthin, beschreitet, beschränkt sich auf die Darstellung der rein geistigen Emancipation eines Menschen von seiner gewalttätigen Umwelt. 30

The analysis of the mystic way admits of no such rejection of a specific society. Ferdinand's course has been shown to be an individual's personal search for salvation from chaotic conventions and ever-present conflicts that accompany the formation and destruction of social institutions. This
contention is supported in the mythic contours of the hero and his paradigmatic initiation and rebirth. Mayer, again, provides new evidence for this interpretation within his discussion of the first "Steinschin-der"-ending in the manuscript.\footnote{31} In this version, a stone cutter among the "Fechtbrüder" gives Ferdinand the fatal stab: "Grimmer lag auf einer Bank neben dem Tisch [...]. Grimmer richtete sich auf. Der Steinschneider trat leise hinter ihn, zog blitzschnell seinen Dolch und gab ihm mehrere Stösse in den Rücken."\footnote{32} Taking together the analysis of evidence of the alchemical imagery and the "philosopher's stone" motif, this "stone cutter" version seems to be a plausible alternative to the wild-man ending. Mayer's explanation for the preferred "nature-philosophical" tone of the later version can not be considered here. Any criticism of the ending, however, must take into account not only the nature philosophy, but also the esoteric tradition in general and the gnostic-alchemical symbolism in particular.

Unfortunately, scholarly literature has focused attention exclusively on pessimism (above, 13-14). Weyemberg-Boussart's emphasis on Ferdinand's resignation from "everything" human seems somewhat overstated to describe adequately the dual nature of this figure's transformation:

Ferdinand fand in der Tat seine letzte Zuflucht in der Natur. Es ist sogar, als ob er die Erde neu entdeckte; er kam schliesslich zu einer Absage an alles Humane, näherte sich dem Tierischen und Teuflischen und verlor sich daran. \footnote{33}

To the contrary, Ferdinand finds himself paradoxically when he loses himself in sacrifice, since this point is specifically the issue of the introversion and rebirth process; Silberer's contention that the healthy outcome of the process results in a new order and a new inner fulfillment contradicts the idea of self loss.
A similar vein of dissatisfaction with the conclusion runs through critical literature. Finnegans, Goldberg, Schramke, Müller-Salget and Harnisch speak about an unacceptable hiatus in the style of the last two chapters. This criticism in its various forms is no longer valid in face of the present analysis. Since Ferdinand/Grimmer exists in a completely different societal environment, attains yet further confirmation of his election, and passes out of the phenomenal world, a different fictional milieu around the hero/fool in this late stage is logical and consistent with the formula of introversion and eventual transmundane consciousness in the figure.

Among the few exceptions in Döblins scholarship, Schumachers distinction between the "myth of the state" as imbedded in the clan-religions and the "aesthetic-contemplative mythical forms" as part of the salvation religions and mysteries becomes appropriate in assessing Döblins construction of mythic forms in Wallenstein. Both mythic categories apply to Döblins mythopoeic novel:

Beide Konstruktionen aber sind auf Totalität angelegt: die eine geht von der ästhetisch-kontemplativen Weltüberlegenheit und -unabhängigkeit des Einzelnen aus, der alle Polaritäten überschaut und für sich harmonisch gelöst glaubt, da alles als Spiel erscheint; die andere begreift die Welt manisch-gnostisch als Kampf zwischen Licht und Finsternis, wobei der Gegner unfähig ist, das Licht mit seinem endlichen (und daher korrupten) Verstand zu begreifen, während der "Lichtmensch" sozusagen a priori für die Wahrheit erwählt und entschieden ist. 35
Notes to Chapter IV

1 Mayer, p. 151: "Ferdinand 'der Andere' ist nicht nur die Bezeichnung für den zweiten Kaiser dieses Namens, sondern die formel-artige Charakterisierung dieses Mannes, dessen fundamentale Andersartigkeit ihn in unaufhebaren Isolation von allen Menschen bringt."

2 Campbell, p. 337.

3 Cavendish, p. 79.

4 Pagel, p. 44.

5 Ibid., p. 43.

6 Jonas, p. 127.


8 Psychology and Alchemy, p. 166.

9 Ibid., p. 124.

10 Silberer, pp. 114, 118-119.


12 "Elf Herren bildeten den Geheime Rat des Kaisers; zu besonderen Aufgaben wurden noch zugezogen: Zdenko Fürst Lobkowitz, Otto von Nostitz" (298). The similarity to Christ's disciples -- whether eleven faithful, or whether thirteen total -- is obvious.

13 Mysterium Conjunctionis, p. 471.

14 Hopper, p. 101.

16 Campbell, p. 347.


18 Cavendish, p. 106.

19 *Psychology and Alchemy*, p. 355.


21 Jonas, pp. 228-229.

22 Ibid.


24 Ribbat, p. 79, fails to acknowledge this tendency in Döblin's early work, specifically here with regard to the narrative "Von der himmlischen Gnade":


27 Sebald, p. 424.
28 Silberer, pp. 177-178.

29 Mayer, p. 257.

30 Ibid., p. 255.

31 Ibid., pp. 173-175.

32 Ibid., p. 174, cited from the manuscript Wallenstein.

33 Weyembergh-Boussart, p. 75.

34 Finnegans, p. 33; Goldberg, p. 82; Schramke, p. 49; Müller-Salget, p. 183; Harnisch, pp. 109-110.

35 Schumacher, p. 282.
CHAPTER V

MYTHIFICATION OF A HISTORICAL FIGURE:
WALLENSTEIN AS MAGICIAN, DRAGON, FIRE AND DEVIL

Ich gebrauchte das Wort "Staat"; es versteht sich von selbst, wer damit gemeint ist -- irgendein Rudel blonder Raubtiere, eine Eroberer- und Herren-Rasse, welche, kriegerisch organisiert und mit der Kraft, zu organisieren, unbedenklich ihre furchtbaren Tatzen auf eine der Zahl nach vielleicht ungeheuer überlegene, aber noch gestaltlose, noch schweifende Bevölkerung legt.

Friedrich Nietzsche, Genealogie der Moral, Werke vol. 2, pp. 826-827.


Alfred Döblin, Wallenstein, Chapter 156, pp. 738-739.

The title figure has been considered within the context of the metamorphosis of Ferdinand, whose recurring vision of the "Lindwurm" (above, 112-116 and 157-158) included a mythical connection with the fictional figure of the notorious general. Now, however, Wallenstein as a fictional structure is given primary attention; he embodies to a greater degree than any other figure or group of figures a functional opposition to the Ferdinand figure, despite their superficial politico-military alliance as general and emperor. As I have documented in the preceding
chapters, the mystic-gnostic initiation of Ferdinand still determines the fundamental development of the fictional world; at the same time there is a consistent application of numerical symbolism in the organization of the Wallenstein figure's material. If Ferdinand's psychological transformation serves as the dynamic structure of the novel, then Wallenstein's primal energy builds a material, terrestrial and bestial counterpart. If Ferdinand falls from, rejoins, and transcends his society and state, Wallenstein remains statically isolated from any community of men. Ferdinand suffers psychologically and eventually seeks his answers in metaphysics, while Wallenstein has no higher psychic dimension and resides until the end in physis as hylic or psychic man.

This constancy in his principle, however, does not cause Wallenstein's portrayal to be artistically simple or one-dimensional. To the contrary, Döblin constructs a multifaceted figure whose various configurations form a hierarchy. While an ordering of the various forms may be only an arbitrary arrangement, a construction of the interpretation, there is a gradual interlocking progression from the "blond beast" type, which Nietzsche so aptly describes, to the mythical "yellow dragon" and to primitive "fire" images. As incarnate principle of matter and energy, Wallenstein is vanquished figuratively, transcendentally by the hero Ferdinand. Many other figures also demonstrate the Wallenstein-principle -- Maximilian, Tilly, the Prague Jews, Gustavus Adolphus and the "Waldmensch" -- and the same mythification techniques; but the present study must restrict itself to the major fictional figure Wallenstein. The gnostic-alchemical metaphor, symbolism, and mythic speculation accompany this figure, but to a lesser degree than was found for the Ferdinand figure.
Historical Personality and Narrative Technique

The fictionalization of the Wallenstein figure is a prime example of Döblin's epic formula for the reform of the novel: "[...] dicht an die Realität zu dringen und sie zu durchstossen, um zu gelangen zu den einfachen grossen elementaren Grundsituationen und Figures des menschlichen Daseins" (above, 28). Part of the perennial attraction of the historical personality for artistic representation is precisely its indeterminate position in historical evaluation. Among the lacunae in the historical picture of Wallenstein are questions of political motivation and their private, psychological origins. Since much remains only conjecture about his personality, and yet the chronology of the man during the Thirty Years' War is well known, a fictional structure would enjoy much latitude for auctorial imagination and perspec- tivization at the level of the "Tiefengeschichte" (above, 30). The empirical facts and chronicles apparently supplied Döblin with copious "novelistic" material for his "upper stage" — a technique of the histori- cal novel since Scott:

While comparison of the historical and another fictional representation of Wallenstein lies beyond the scope of this study, two exceptions should be mentioned here, since both may be assumed to impinge on the fictional formation to some degree. First, Schiller's figure, according to Müller-Salget who draws from the *Geschichte des Dreissigjährigen Krieges*, bears very few differences to Döblin's fictional figure and agrees particularly in details of the Regensburg period. 4

Döblin's own opinion about the man is registered in comments about his novel and its origins for a Czech literary newspaper; and here relation is drawn to Schiller's figure from the trilogy:


With this rendition of the historical figure, Döblin approaches at once Hegel's definition of the "world-historical individual" and the mythical presentation of Wallenstein in the novel. Hegel's system tends toward the mystical in its *a priori* use of "Weltgeist" within the ideal type:

> Dies sind die grossen Menschen in der Geschichte, deren eigene partikuläre Zwecke das Substantielle enthalten, welches Wille des Weltgeistes ist. Sie sind insofern *Höre* zu nennen, als sie ihre Zwecke und ihren Beruf nicht bloss aus dem ruhigen, geordneten, durch das bestehende System geheiligten Lauf der Dinge geschöpft haben, sondern aus einer Quelle, deren Inhalt verborgen und nicht zu einem gegenwärtigen Dasein gediehen ist, aus dem inneren Geiste, der noch unterirdisch ist, der an die Aussenwelt wie
This moment of irrationality, along with the military and organizational genius of Napoleon, finds fictional stylizing in Wallenstein's self-portrayal:

Man erzählte, daß er sich als Sommengott oder römischer Imperator malen liess (191). Er redete mit kränklichem Gesicht, weiten Augen über den blanken Tisch in dem tödenden Hauptsaal seines Palastes; die Bilder von Cäsar, Alexander dem Grossen, Hannibal waren überlebensgross an den Wänden auf Holzplatten aufgestellt; an einer Querwand sah man in sanften Farben die Geschichte Josephs in Ägypten (201).

Wallenstein's self-concept as a world-historical figure clashes sharply with that formulation of him which stems from another fictional rival, Wilhelm Slawata, a distant relative who eventually organizes the plot to assassinate the aged and weakened general: "Er verglich den Charakter Wallensteins, mit dessen Zeichen er sich viel beschäftigte, mit dem Attilas, Theoderichs, Berengars, Desiderius', welche von Haus aus Herzöge waren, durch Verleihung auch König reiche erworben und Kaiserreiche erstrebten" (392). Aside from the astrological allusion, Slawata typifies Wallenstein as ambitious and ruthless and successful to the extent that a fateful immanent limitation allows. This artistic perspective: of the fictional character reflects not only the ambiguity that surrounds the actual person, but it also enriches and relativizes the various facets and functions of the figure within the fictional world. Döblin's singular artistry in this "epic" novel lies not for the least part in
this ability to render fact upon fact, event after event in starkly de-
tailed and accurately vivid description and then to condense and to
typify or stylize these collections within a single, often mythical
image. For Wallenstein the dominant mythical image is the yellow dra-
gon, although Döblin uses multiple images for this complex character,
e.g. magician, alchemist, fire and devil.

For the historical novel, then, the second or lower level of the
stage should be divided between the fictional events or objects and
the mythical schematization of these fictional objects. Müller-Salget
expresses a similar concept for the narrator in Wallenstein as compared
to the somewhat more conventional narrator in Wang-lun:

Ausgerzert ist er der Theorie zum Trotz nicht,
aber die konventionellen Reste sind beseitigt,
die Kommentare und Vorbehandlungen sowie die
psychologisierenden Erklärungen. Dafür tritt
dieser Erzähler an den Stoff mit einem leiden-
den Sarkasmus heran, der vor allem in der
Personengestaltung deutlich wird [...]. So
ist der Erzähler des Wallenstein objektiver
und subjektiver zugleich als der des Wang-lun,
übt im einzelnen Zurückhaltung, hat aber
schon zu Beginn eine dunkle Linse in die
Kamera gesetzt und gibt uns so betont sein
Bild dieser Zeit [...]. 8

The dark-lens metaphor, perhaps oversimplified here, pertains to Wallen-
stein certainly; the precise perspective leads through the myth or the
magical world of the Märchen from the initial, naturalistic presentation
of fictional reality.

While the narrative technique itself is not the focus of this study,
but rather the figure which is developed as its product, a further ob-
servation must be ventured concerning the narrator's function in this
novel. Blessing selects the following passage as exemplary for the
"effaced narrator": 9
Wie ein Schiff, das den Anker lichten kann nach langer beschwerlicher Hafenruhe, nahm der Böhme sein Heer zusammen und fing an, es über das Reich zu werfen. (386)

Blessing's analysis disguises (mutatis mutandis reveals) a critical bias which leads, particularly when dealing with Döblin, to almost certain misunderstanding of the artistic device in this fictional passage:

Kein persönlicher Erzähler tritt ihm [dem Leser] ordnend oder kommentierend zu Seite; die Fiktion des Erzählers ist auf das Referieren von Tatsachen beschränkt. Der dargebotene Sektor von Welt wird als persönliche Erfahrung eines Erzählers nicht mehr fassbar. 10

The mere "reporting" of the "facts" requires, nevertheless, a certain linguistic shaping and ordering which is not diminished by the missing narrator figure or mentality. The concluding remark indicates an author's meaning and deny the linguistic foundations which lie at the basis of Döblin's art:

Auch die eingestreuten Vergleiche geben keine Hinweise auf persönliche Ansichten eines Erzählenden. Der einleitende Vergleich Wallenstein's mit dem Schiff umfasst kein distanzierendes Urteil des Erzählers, sondern ist der Situation lediglich zur Verdeutlichung beigegeben. 1

Such judgments overlook the complexity and subtlety -- I use this word with emphasis on its literal constituent morphemic meanings -- of Döblin's comparison. This extended metaphor includes not only Wallenstein, but also his army and the Empire. The image is a frequent one, too, usually associated with the "Armada" (287, 298, 387, 390, and elsewhere), while the inhabitants of cities, animals, peasants, fields, forests and real seas serve as the metaphorical "seas" in the comparisons. The
chaotic formlessness of the continent is controlled by the man who "throws" his ship across it. Wallenstein imposes his tyrannic order over a human sea; the order represented is that of the "state" of Ferdinand II of the House of Hapsburg. As this study has shown, Ferdinand differentiates the legitimate use of power, as opposed to Wallenstein's use of brute force for the sake of conquest. Nietzsche's motto for this chapter bears close resemblance to the formulaic description of the figure from the period of his greatest influence before Regensburg:

Friedland kannte von je nur das Spiel, dessen Drang wuchs mit der Grössen der Einsätze; er kannte nur umsetzen, umwälzen, kannte keinen Besitz. Er war nur die Gewalt, die das Feste flüssig macht. (374, see above, 64-65)

Blessing's "entpersönlichte Sehweise" is a misnomer, since the narrator still stylizes and comments on the material, but the narrator Döblin employs very indirect and diffuse methods, of which perspectivization and mythification are only two. They will be dealt with here.

"Blonde Rudel"

In contrast to the psychic transformation of the Ferdinand figure, Wallenstein's character unfolds onto the outer fictional world and in this builds also the polar opposite for the narrative technique. Wallenstein's conversations contain only material plans for conquest of money or men, but Wallenstein's passionate nature emerges through external correlates instead of through direct discussion. This predominance of external facticity is the contrasting pole to Ferdinand's spirituality, and the artistic form coincides here also with the philosophical dualism
that gives essential structure to both narrative technique and fictional world. Both Mayer and Harnisch agree that the tyrant figure does not develop psychically and that this character remains constantly himself.\textsuperscript{13} Harnisch goes so far as to deny any psychic dimension for Wallenstein, while Mayer sees the historical personality projected by the narrator into the metaphysical realm:

Hier gewinnt der Bühne unter Döblins Verwandlung historischen Materials in innere Anschauung übermenschliche Dimensionen, wird zum Urbösen, der Bestie, die keine im Irdischen lokalisierbare Heimat hat [...]. \textsuperscript{14}

However, the process of this transformation is the object of the present study and Döblin's formation of this figure requires an extended viewpoint to disclose the principle behind it.

In the essay "Geist des naturalistischen Zeitalters" (1924), Döblin relates cultural change to "special strong men":

Massgebend für die Entwicklung, für den Wechsel der Kulturen, für den Antrieb zu neuer Variation sind besondere kraftvolle Menschen. Das sind die, in denen sich zuerst und am deutlichsten eine Variation vollzieht. \textsuperscript{15}

The organized fictional type of such "blond beasts" is demonstrated in Wallenstein. Blessing correctly identifies Döblin's general as no intimate comrade of the troops:

So erscheint Wallenstein recht eigentlich auch nicht als Anführer seiner Truppen, mit denen er in engem Kontakt steht, sondern als durch starke Leibwachen abgeschirmter Organisator, als persönlich isolierter Unternehmer größten Stils. Während also sein Repräsentant-Sein nicht herausgearbeitet wird, fällt starkes Licht auf seine individuelle Ausprägung. \textsuperscript{16}

Recalling the "Schuppen" under the belly of the "Lindwurm" in Ferdinand's vision, Ribbat isolates a leitmotif in Döblin's work in the context of the short narrative "Das Krokodil":
Es ist offensichtlich, daß diese Metamorphosen-
geschichte als Gleichniserzählung gemeint ist.
Wer "Schuppen" trägt, also nicht ganz angepasst
ist an die gesellschaftlichen Formen, ein be-
sonderes Natur-Erbe mitbringt, der fällt aus
der menschlich-gesellschaftlichen Ordnung her-
aus, aber der hat auch eine Chance, ein wahr-
haftes Leben zu beginnen. 17

Whether Wallenstein has a chance to lead a "true" life outside human so-
ciety must be left aside as long as we do not know what "truth" is. Con-
trasted with the extensive integration and adaptation in the Ferdinand
episodes, Wallenstein leads an existence empty of social relations.
Wallenstein is decisively amoral or asocial from the outset and Nietzsche's
description again provides a philosophic context for understanding this
figure as a naturally autonomous being:

Sie wissen nicht, was Schuld, was Verantwortlichkeit,
was Rücksicht ist, diese geborenen Organisatoren; in
ihnen waltet jener furchtbare Künstler-Egoismus, der
wie Erz blickt und sich im "Werke," wie die Mutter in
ihrem Kinde, in alle Ewigkeit voraus gerechtfertigt
weiss. 18

This certainty in action recalls Döblin's nature philosophy in which he
calls movement, change, and activity the "ideas of the world, of the
world being" or Ur-Ich. 19 As Döblin's "Potenz aller Potenzen," Wallen-
stein can be seen as a mixture of Nietzsche's blond beast and Hegel's
world-historic individual, an unconscious agent of the "world spirit."
Both Hegel and Nietzsche recognize the motivating force of freedom be-
hind the individual re-former; however, Döblin's figure can have nothing
in common with Hegel's idea of consciousness in freedom. Wallenstein
coincides partly with the entirely primitive essence of "Ich" that con-
stitutes the center of nature: "Ich als Zentrum: das heisst, Ich bildet
Form, und das heisst Handeln. Bewußtsein, das nehmen wir vorweg, gehört
Wallenstein possesses an "artistic egoism," a primitive natural power to organize and produce form or to destroy existing form to suit his own purposes. The alchemical imagery has already identified his function in relation to Ferdinand: Wallenstein is absolutely masculine sulphur, while the Emperor is hermaphroditic mercury as this comparison indicates:

[...] er hatte urplötzlich den Eindruck, den Faden seines Handelns zu verlieren; fühlte mit einer unklaren Freude, daß er dem Böhmen in einer Weise und mit rätselhaftem Drang vertraue, wie bisher keinem Menschen, wie vielleicht eine Frau ihrem Mann vertraue. (223, emphasis mine)

Enigmatic compulsion leads to mysterious light ("geheimnisvolles Licht" (223)) for Ferdinand, and for others the effect that emanates from Wallenstein is again certainty, as in the case of Paul Michna, one of Wallenstein's "business" partners. Michna had been used by the general in the mint scandal (see below, 180) but returns for yet another chance to exploit economic opportunities: "Kam er zu Wallenstein, verschwand jedes Bedenken. Hier herrschte Bestimmtheit wie im Lauf der Sonne. Wie zwischen den blitzenden Stangen eines Räderwerks ging man" (227-228).

But Wallenstein's power remains exclusively anchored in the mechanical, spontaneous, material, and irrational elements that have no conceptual, no social purpose to organize them. A few examples of Wallenstein's "politics" from the textual evidence should be brought to attention. Politics for Wallenstein is another synonym for the will to power.
This power issues quite literally from organization of natural energy or instinct into tangible shape in concrete reality; this organization takes place without regard for tradition or status quo, for human rights, or for familial relationships. Wallenstein's freedom is an expression of an energy that is blind to outer authority or value. The divisiveness and duality of this figure are introduced appropriately in the second chapter of the second book. The number two distinguishes Wallenstein from his social environment by its frequent appearance with his person as the leader: "Zwanzig Karossen" (211); "Zwanzig Jäger" (200); "zwei Ärzte" (211); "Es hiess, er habe zweihunderttausend Reichstaler mitgebracht" (214); "zwanzigtausend Mann stark" (251); "zweihundert ausgewählt starke und geschickte Knechte" (288); "Zweihundert bis auf die Zähne bewaffnete Leibwächter eskortierten ihn" (453-454). As the opposite to unity, two has the stigma of evil and of the flesh in contrast to the spirit. Christian and gnostic symbolism assoicate the devil with the number two and the Wallenstein figure conveys the notion of satanic world power in all his relationships.

Wallenstein betrays his family (169), his countrymen (188), his business partner Michna (170-171) and his Emperor (691-695). These examples of treachery to kindred, country, hospitality and lords and benefactors assign their perpetrator according to medieval morality to the lowest level of hell, next to Lucifer himself. Trust and respect exist for him only as a means to power. Wallenstein's last military scheme includes a combined European army for crusades to the Holy Land:

Wallenstein aber fing von seiner Kreuzzugs Ideen an, als hörte er nichts; er wolle alle Truppen der ganzen Christenheit einmal zusammenfassen und sie gegen die
Türen werfen [...] die Welt wolle erobert sein, ein Hundsfott, wer jetzt die Fahre verlasse und die Wiedervereinigung der Christenheit störe (693).

Conquest for conquest's sake can be the only formula for Wallenstein's "politics."

Mayer, however, interprets this figure in part as a "modern politician" as well as a financial genius and mythical monster.22 This critic, in contrast to his usually perceptive insight, emphasizes the fictional figure's political aspirations within the larger effort of establishing a national state "modernen Typs,"23 while simultaneously coupling his personal ambition to the transformation of imperial structure. This interpretation is too generous for the fictional figure who is anything but conscientious in the tendency toward a military aristocracy. Wallenstein's political negotiations in the last two books are patently formless as "politics." His purposes include nothing beyond the acquisition and support of armed forces. With no extrinsic objectives, Wallenstein's "politics" are equivalent to the personal politics of Ferdinand who precipitated one such crisis in the beginning of the novel.

Both Mayer and Harnisch offer a more plausible argument for Wallenstein as "Finanzgenie" or "Mashine und Techniker der Macht."24 The genial quality of the Wallenstein figure, however, his ability to accumulate and deploy power, and his means of controlling men are all part of a larger, mythical concept — that of the amoral magician or alchemist.
Tyrant Alchemist

Wallenstein's supernatural talents have their origins in concrete reality, but Döblin transforms the fictional reality into a fantastic or mythical scheme which is a more emotionally perceptible conceptual image. The author resorts to rhetoric in order to convince his reader; the amplificatio colors the misdeeds of the figure and projects them beyond the mere intellectual comprehension of criminal action into a fictional exemplum. The Bohemian mint episode, the first extensive demonstration of Wallenstein's character, illustrates this technique.

Chapter 39 (Book II, Chapter 2) begins with the unpretentious, but portentous words "In Böhmen hiess es Gelder beschaffen [...]" (166). The systematic exploitation of the Bohemian silver currency leads to catastrophic suffering and confusion among the Bohemian populace and to equally enormous profits by the consortium that organized the debasement of the gulden. This economic ruin of Bohemia results in a concentration of wealth in the hands of the unscrupulous few while the civil population starves. Contrary to the Emperor's intention to "raise" money to support the occupying army in Bohemia, the crown itself becomes the victim of the consortium's scheme. After the closing of the mint (174-175), the imperial treasurer Gurland and the counsellor Graf von Meggau travel to Bohemia in order to inspect the country's condition: "Wir müssen Geld auftreiben" (187). Upon inspection the pair question Liechtenstein, "die Götzensbildsäule":

vor sich, "einen Zauberer oder eine Wünschel-
rute finden, um Geld zu heben in Böhmen."
(187, emphasis mine)

Meggau's wish becomes reality when Wallenstein, after further pro-
fitng in Bohemia, is able to offer Ferdinand an entire army with
 equipage in exchange for command of the army. This command is tran-
slated into an enormous right of confiscation in conquered lands. On
his way to Vienna, Wallenstein laughs at a "Spukhaus" from his coach:

Unter den Scharen der Herumstehenden lief das
Wort, da komme einer von den neuen Alchimisten,
die machen Gold aus bühmischen Blut. (211, emphasis mine)

The "magical" transformation of blood into money gains in meaning as the
army becomes an instrument for finding wealth in Wallenstein's hand.
Once again the alchemical motif provides a guide for the study of the
character:

[...] wie ein Magier an seinem Feuer hing er an
Mansfeld [...]. (255) Die Armee wurde von ihm
gereinigt, sie sollte biegsam wie eine Rute in
seiner Hand sein. (308) Von den eroberten und
besetzten Gebieten pulsierter Gold nach Österreich
in wilden Takten; Wallenstein, der General, hatte
das Heer als Stab in der Hand, mit dem er Quellen
entdeckte. Man brauchte nicht, wie Hispanien,
das neue Indien unter Gefahren aufsuchen; es war,
als der Böhme prophezeite hatte, Ubergenug im
Reich vorhanden. (322, emphasis mine)

The last passage directly connects the organic with the mineral ("pul-
sierte Gold") and the magical ("Stab in der Hand") under Wallenstein's
presence. The imagery continues in this chapter (211-215) as the enter-
preneur plans the promotion of his offer to the imperial cabinet. In the
Jew Bassewi's house, he ponders "business, not astrological calculations"
in a semi-trance:
Es war seine Art breitspurig zu gehen, wenn er nachdachte [...] dabei die Lippen auf-einander zu pressen, manchmal rüsselartig zu wölben, um die Möbel herumzuwandern. Er machte lebhafte Grimassen, stieß heftige Worte aus, zischte, lachte, blieb stehen, rüttelte an einen Shcrank, schlug wiedehend auf die Tischplatte, liess sich die Fransen des Vorhangs üben den Kopf hangen [...]. (213)

Equally consistent with the figure itself and with the narrative principles, Döblin portrays only the external description of Wallenstein's mysterious concentration, while the objects of his consciousness are only later reported as fact or action. Along with the other allusions to alchemy, this sketch of the planner and organizer approximates the kind of inner dialogue that the alchemist must experience in the stage of imaginatio or projectio.25 Döblin perhaps anticipates this theme in the same chapter when he summarizes the High Council's collective position to the wild Bohemian:

Während Meggau und andere noch zögerten, waren Eggenbert, Trautmannsdorf, auch Questenberg, nach der spanisch-bayrischen Attacke entschlossen, es ginge wie es wolle, sich des tollen Böhmen zu bedienen, ihn auszuschütten, bis kein Dukaten an ihm hinge; nur auf das Geld käme es an; man lasse ihn projektieren, störe ihn beileibe nicht [...]. (211, emphasis mine)

Number as Magical Power

Blood and money have already been associated as the organic and inanimate sources of Wallenstein's power. Blood is the organic counterpart to the magical, resonant and inorganic power immanent in the crystal structures of jewels and precious metals:
The essence of inorganic matter is number and repetition or symmetry:

"[...] die an Kristallen derselben Stoffart auftretenden oder möglichen Flächen stehen in einer durch rationale Zahlen ausdrückbaren geometrischen Abhängigkeit voneinander." 26 Inorganic matter, however, combines with heat and light to produce organic life, and the "plasma"-types have the same principle of number and resonance in structure, but only a more complicated arrangement and combination of carbon, water, and light. 27 In resonance exists a universal energy connection; every individual being or structure is bound to every other individual and each can influence the other:


As the preceding chapter on number symbolism demonstrated, the unseen, intelligible reality behind appearance was expressed through number in ancient and medieval philosophy or religion. Through a similar manipulation and organization of number, Wallenstein extends his power over men and nature.

Two further examples indicate the atavistic, primordial basis of his genius. The first is the seasonal, cyclical, or astrological
fluctuations of his power. As another function of number, Wallenstein repeatedly returns to winter quarters in Bohemia to replenish his army and then to break out in attack at the vernal new year. The cyclic alternation of his tactical sorties agrees with the historical facticity, but the beginning of the novel and Wallenstein's murder as well as the cyclic movements are also connected to the pattern of the novel which begins shortly before Easter, 1621, and ends at the end of winter, 1634 (9, 27, 709, 728). Wallenstein rests in Bohemia (260, 297, 595, 617, 641) then returns to the field (284, 310, 387, 710), the last time to Eger where he finally gives up his life which had weakened severely since his release from the first generalcy.

The passage which brings his death is the second example of the nexus between Wallenstein and the elemental chthonic powers in all matter. These powers dwell in Wallenstein's blood, the seat of mythic energy stored in animals:

Der tote Friedland war in den roten bluttriefenden Fussteppich seines Zimmers eingeschlagen. [...] Ein gurgelnder Blustrom war aus dem klaffenden Loch an seiner Brust hervorgestossen, wie von Dampf brodelnd. Mit ihm war er davon. [...] Wieder eingeschlürft von den dunklen Gewalten. War schon aufgerichtet, getrocknet, gereinigt, gewärmt. Sie hielten ihn murmelnd, die starblinden Augen zuckend, an sich. (720)

According to alchemists and other primitives including gnostics, blood and the heart were the seat of the soul in man, an image of the sun in man, anima corporalis. But the soul in man is only a small portion of the soul in greater nature, the power which reabsorbs his life energy as an aqua permanens. This semi-psychic quality of blood, intensified
by the simile "wie von Dampf brodelnd," contrasts with the watery decomposition of the body when Ferdinand meets it in the funeral procession (729). The "dunkle Gewalten" bear close resemblance to the "dark waters" of the crystalization process from which the multiplicity of creatures is formed ("Cagastrum") out of the chaos of gross matter. From the Cabbala come ideas of inferior beings which do not descend from Adam, but are composed of "Auskünstungen" of the earth. In contrast to the ancestors of Adam, these beings -- in heaven the angels, in the underworld the devils, in fire the salamander, in water the nymphs, in earth the dwarfs, in air the Sylphs -- have through their close connection to their mother-element, the "chaos," a direct knowledge of things and wisdom, while man only has a mediated, outer ("verstandesmässig") knowledge. Wallenstein's genial abilities, "Der Schlüssel zu allen Schranken" (545), and his bestial qualities place him among these extra-human exceptions. The image of Wallenstein as the yellow dragon is the culmination of all the qualities in the empirical substructure that support the notion of a sub-human nature.

Wallenstein as Yellow Dragon

The yellow dragon in alchemy is the single most common emblem for the process of transformation and it has its potential origin in the ouroboros or tail-eater as a symbol of unity. But the image of the dragon contains a multiplicity of meanings. As symbol it signifies many objects and substances in the process from the prima materia to Mercurius, Sulphur or Salt. Jung concludes that:
[...] sulphur is one of the innumerable synonyms for the prima materia in its dual aspect, i.e., as both the initial material and the end-product, and same may be said for the dragon, the "secret sulphur" in the form of aqua divina. 34

Among the traditional symbols of power, the dragon is perhaps the most frequent after the sun itself. Düblin extends the mythical exaggeration of the Wallenstein figure from his physical appearance to his supernatural ability to organize. The color most frequently associated with his face, eyes and legs is yellow (179, 286, 298, 563). The leather collar around his neck appears in description as often as the "long" body: "Der grösste Spekulant des Landes [...] lang hohlbrüstig" (173); "das lange ledergehüllte gelbäugige Geschöpf, misstrauisch, fremdartig" (298); "Wallenstein [...] auf dünnen gelben Beinen, stumpfe Lederweste auf roter Schärpe" (179). These traits form an empirical basis for the use of the yellow dragon ("gelber Drache" 243, 473, 563), as the strange, but still human physiognomy suddenly becomes theriomorphic:

Der Friedländer ihm [Mansfeld] gegenüber, ein gelber Drache aus dem böhmischen blasenwerfenden Morast aufgestiegen, bis an die Hüften mit schwarzen Schlamm bekleidet, sich zurückziehend auf den kleinen knolligen Hinterpfoten, den Schweif geringelt auf den Boden gepresst, mit dem prallen, breiten Rumpf in der Luft sich wiegend, die langen Kinnliden aufgesperrt und womöglich schlangenähnlich den heissen Atem stossweise entlassend, mit Schnauben und Grünzen, das zum Erzittern brachte. (243-244, emphasis mine)

Combined with the central image of the dragon are the yellow, fiery elements of sulphur and the snake-like, coiled tail of the masculine, phallic or active principle, all of which emerge from the elements of earth and water. All of the elements or essences of the world, earth, fire, water,
and air are represented in the image of the dragon above, but the fifth
essence, spirit, is noticeably absent. This incarnation of the will it-
self supports the fictional representation of Wallenstein as the true
ogre-tyrant of mythical dimensions; he is the antipode to the spiritual
realm of Ferdinand's salvation. The esoteric literature and the vision
of the "Lindwurm" combine with this archetypal description in identi-
fying Döblin's perspective for the "modern" epos.

Wallenstein as Fire and Devil

The alchemical imagery is once again the key to the gradations of the
Wallenstein figure. From ruthless barbarian to alchemist, from chthonic
dragon to primal fire and devil, the fictional figure owes its magical,
enigmatic substance to the tradition of esoteric literature. The imagery
of this fantastic figure reaches its climax in Chapters 71-76 in which
wholly apochryphal events are buttressed by the numerological symbolism.

At the height of his career, before the dismissal at Regensburg, the
figure's dominance in the Empire is amplified and hypostatized by having
it portrayed as supernatural and as the result of superior, "direct"
knowledge of things and men. Döblin extends Wallenstein's real abilities
into the mythical, against a background of gnostic theology. The begin-
nning of the fourth book ("Kollegialtag zu Regensburg") is a single sermon
by a Jesuit priest in Maximilian's Residence in Munich. The words of the
priest can hardly be reconciled with Christian dogma as the first lines
suffice to distinguish the direct allusion to gnosticism:
Es ist eher erlaubt, Gott zu haben als zu lieben.
Denn Gott steht uns zu fern, zu hoch; es ist eine
Sünde, sich ihm zu nahen, selbst in Gedanken. [...] 
Wehe denen, die Glauben, Gott sei unser Vater; es
ist fast kein weiterer Schritt nötig, um Ketzerei
zu üben. (331)

The dualism between man and God is very plain in this passage which
recalls the "alien" God, unknowable to man, and the Archon Demiurge,
the creator and king of the psychic and material world (above, 58-60).
The first admonition, to hate God, contradicts the first principle of
Christianity, founded on Jesus’ two commandments:

"Teacher, which is the great commandment in the
law?" And he said to him, "You shall love the
Lord your God with all your heart, and with all
your soul and with all your mind. This is the
great and first commandment. And a second is
like it, You shall love your neighbor as your-
self. On these two commandments depend all the
law and the prophets." (Matt. 22: 36-40)

The next chapter concerns the same priest and two soldiers who come
to him for spiritual help, one of whom is his former friend. The priest's
words again evoke at once an implied superficial criticism of the insti-
tution of the Church and voice a deeper doubt about the spiritual corrup-
tion of the age:

"Lieber, nun werde ich wirklich bald lachen. Ich
bin Priester der Kirche; was gehen mich Menschen an."
"So geht doch hin, Pater, und sagt Eure Weisheit dem
Papst, den Bischöfen und Mönchen. Sie sind für uns
Menschen da."
"Es ist nicht nötig, sie wissen es schon."
"Und was sagen sie?"
"Ja, sie kümmern sich nicht um Gott. Denn sie sind
fromm. Sie helfen den Menschen, indem sie be-
schäftigen mit Andachten, Gebetübungen. Für das
Christentum sind erst die wenigsten reif." (338)

Besides the blasphemy, the priest draws attention to prayer and devotion
which contribute to the eventual salvation of the soul-spirit and are
the single luminous psychic element in Valentinian gnosis:

In numerical terms, which are about the only constant in this part of the speculation, we have five affections in all, four negative or thoroughly dark ones ("passions" in the narrower sense), one positive or semibright. The latter, here called a "turning-back," elsewhere (in Hyppolytus) also "supplication" and "prayer," is the origin of everything psychical in the world, which stands in rank between matter and spirit. 35

The priest is undeniably a heretical figure, seen from the perspective of the Church; however, he fits into the confusion and perversity of a world dominated by the archenemy, Wallenstein. The next chapter (73) sets him in conversation with the Venetian Pietro Vico and both enjoy a perverse recounting of Ferdinand's suffering from his fateful visit in Munich with Maximilian: "Masslos lachte der Herzog: 'Sie werden ihm weidlich zum Purgieren gebracht haben. Gebusst hat er es, daß er sich hat beglückwünschen lassen von seinem Schwager Max!'" (339). This transitional chapter sets the emotional tone for the following disorder and disruption.

These first three chapters introduce the more complicated symbolical events in the last three of this series. Similar to the legend of Hohen-eich, the chapters form a parable for the demonic force invested in Wallenstein. Metamorphosis serves as the structural organization of this unit and as the model for analogous transformations in the fictional reality.

In Book IV, Chapter 4 (analogue to Wallenstein's initial introduction in Book II, Chapter 2), the duke transmogrifies a gentile audience in his palace-theater into their instinctual, monstrously bestial counterparts. The gallery becomes a hotbed — "Im Saal herrschte eine ungeheure Hitze" (340) — where the dissolution of civilization and the release of
latent animality takes place. The participants have no rational autonomy, and under the hypnotic effect of the heat or radiant energy, they each exhibit an individually peculiar entelechy that is spontaneous and unconscious to the participants: "Die aber unten gingen, merkten von Hitze nichts, auch hatten sie keine Beklemmung der Brust" (340).

The metamorphoses reveal the grotesque potentialities that lie dormant inside mankind as a constant source of natura naturans: "Untertauchten immer neue Wesen auf; es war nicht zu erkennen, woher sie kamen" (340).

Beneath the veneer of cultural form which is suspended or destroyed in the heat, like the cross and the Bible that only provide fuel for the fire, lies an explosive chaos, "wie auf dem babylonischen Turm" and "Man lief wie im Traum gegeneinander, prallte voneinander ab, lief wieder gegeneinander, konnte sich drin nicht sättigen" (342).

For the several individuals who return from the stage to the audience and to rational consciousness, the experience causes deep revulsion and shame:

Sie fragten, hatten ein Zittern an sich, brachen in Gelächter aus, als man ihnen erzählte, was unten vorging, drängte stürmisch fort. Manche waren, kaum bei sich, von einer Traurigkeit befallen, sassen fassungslos da, bedeckten das Gesicht. (343)

The frequent use of the word "unten" is not only deictically relative to the spectators; it also figuratively reveals something about man's biological-cultural composition. The ultimate cause of this collective transformation is Wallenstein, here identical to fire at the end of the chapter:

Eine Stimme rief, während grausig Massen von Tieren durch den Saal worten, Pferde, Kühe, Eber, während
blitzartig manche Erscheinungen wechselten, sich überkugelten, rief: "Der Herzog, der Herzog."
Immer durchdringender rief sie. Eine Feuersäule ging durch den Saal, sie sauste wie ein Wasserstrahl, streckte sich langsам gegen die Decke auf; im Wandern äscherte sie Menschen und Tiere ein, die nicht auswichen. (344)

Not all associations of Wallenstein with the element fire are so obvious, nor are they mythically constructed, but the suggestion of satanic power remains firmly rooted in Wallenstein, "wie vom Satanas geschickt, [...] das widrige fæuergeglühte Geschöpf" (290). The Anti-Christ or devil imagery along with the dragon-motif forms the religious and alchemical polarity to the Ferdinand-salvation theme: "Es sickerte durch das Land, die Zeit des Satanas sei wieder gekommen, er habe das Szepter der Erde an sich gerissen. [...] Er hat den Römisichen Kaiser gestützt, seine Maske genommen, will das Heilige Reich von Grund aus verderben und versenken" (314-315). The devil as the "prince of this world" has scriptural basis (John 12:31) and a central role in alchemy:

He is the metaphysical figure who is excluded from the Trinity, but who, as the counterpart of Christ, is the sine qua non of the drama of redemption. His equivalent in alchemy is the dark side of Mercurius duplex and, as we saw, the active sulphur. He also conceals himself in the poisonous dragon, the preliminary, chthonic form of the lapis aetherius. 36

I have already discussed the similar effect of the "Lindwurm" on the Emperor as he is purified and transformed into the "stone."

Immediately after Wallenstein's appearance as the fiery column, Döblin, in one of the few instances of parataxis, explicitly connects one chapter (Chapter 74) with another: "Nach diesem alarmierenden Vorfall erlebte die Bevölkerung um Prag und in anderen Teilen Böhmens eine
ganze Reihe Teufeleien" (344). This introduces another "visionary" scene in which mythical or metaphysical powers become hypostatized: "Zwei Teufel hatten sich in der Hölle von ihren Ketten losgemacht und schweiften über den böhmischen Boden" (344). These allegorical figures are different only in degree from the metaphoric representation of Wallenstein as the yellow dragon. Although Wallenstein is not explicitly related by name as the cause, the link to him is established in the transitional sentence and through parallel appearances of the devil incarnate in numerically similar chapters. Chapter 75, in which two devils ravage the countryside, has its equivalent in Chapter 150 (Book VI, Chapter 21), just before Wallenstein's assassination, when seven devils break out over the Bohemian countryside from the southern swamps (710). The positional arrangement of the two instances shows mirror symmetry and numerical parallelism that plays on factors of Wallenstein's gematric root value, five: $75 = 5^2 \times 3$, $150 = 5^2 \times 6$. Such symbolism should no longer cause surprise, since five is the number of the senses, the world, male sexuality, etc., and since he is the "Potenz aller Potenzen."

The number symbolism for the Wallenstein figure, already established in other contexts, is manifested in the figure itself as well as in his immediate environment. This is true for the formal structure, the chapter sequences, and for his personal extension; the number two was one index of his personality (above, 178). In his roles as natura naturans, artist, organizer, tyrant, and alchemist, Wallenstein's primitive energy principle -- fire -- is directed and limited by the inorganic principle, number. One final example illustrates these powers in decline as
Wallenstein can no longer control himself or his world. The two metaphorical aspects are combined in this passage:

Etwas Rasendes, Zerbrechendes war jetzt in der Art des Bühmen, sich über die Dinge zu werfen. Er hatte in dem Augenblick, wo er sich den Arbeiten näherte, etwas von einer Flämme an sich, die an einem langen Schornstein gequalmt hat und nun heulend den Schornstein am Boden umbricht, wütend in die entsetzte Luft hineintaubt. [...] Wallenstein hatte erklärt, das Heer auf eine begrenzte Zahl bringen zu wollen; er schien aber keine Grenzen zu finden. (576)

Wallenstein's gradual loss of form or limit as a function of the aging process is a constant theme after his return to command in Books V and VI. It culminates in his loss of the army and, ultimately, in his death. As Wallenstein's corpse is returned from its initial grave, another order is imposed upon it in death, much as Wallenstein had imposed his tyrannic order in life:

[...] auf zwei Stangen trugen alte Bauern den Sarg, mit einer grauen Decke war er überhängt, damit man nicht sähe, daß dem zu langen Toten die Unterschenkel zerschlagen und umgebrochen waren. (730)

At this point, Ferdinand, representative of the spirit in man, meets the corpse, the effect of which has already been analyzed (above, 160). Wallenstein is vanquished, while Ferdinand transcends his physical death in the branches of the tree. But still other men perpetuate the cycle of struggle for form as Chapter 156, the second motto (above, 167), returns to the panoramic view of the European war and a new ascendent power: "Im Westen hatten sich die Welschen gesammelt. Sie warteten in frischer Kraft auf ihr Signal, um sich hineinzuwerfen" (739).
Notes to Chapter V

1 Harnisch, p. 141; Mayer, p. 142.


4 Müller-Salget, pp. 187-188.

5 Mayer, p. 11.

6 Werke, vol. 4, p. 45.


8 Müller-Salget, p. 176.


10 Blessing, p. 70.

11 Ibid., p. 71.

12 Ibid., pp. 76-77.

13 Mayer, p. 142; Harnisch, p. 141.

14 Mayer, p. 143.

15 Aufsätze, p. 65.

16 Blessing, p. 221.

17 Ribbat, p. 76.
19 Unser Dasein, pp. 183-210, "Was Handeln ist."
20 Ibid., p. 85.
21 Dante's Inferno, Cantos XXXII-XXXIV.
22 Mayer, pp. 132-145.
23 Ibid., p. 139.
24 Ibid., pp. 132-145; Harnisch, pp. 141-152.
26 Unser Dasein, p. 114.
27 Ibid., pp. 112-125.
28 Ibid., p. 172.
29 Alchemical Studies, p. 143.
30 Pagel, pp. 95-99.
31 Ibid., p. 99.
32 Psychology and Alchemy, p. 293.
33 Mysterium Conjunctionis, p. 251; Psychology and Alchemy, p. 293; Cavendish, p. 163.
34 Mysterium Conjunctionis, pp. 111-112.
35 Jonas, p. 188.
36 Mysterium Conjunctionis, p. 187.
CONCLUSION

This study has been undertaken to answer only one fundamental, but multifaceted question: What is the structure of Döblin’s novel Wallenstein? This question arose from the inadequate and sometimes inaccurate discussion of the novel in the critical literature. Distortion was particularly evident in the studies which treated Döblin’s entire oeuvre as a development from the lesser novels through the more successful Berlin Alexanderplatz. But until Döblin’s individual works receive benefit of deeper critical scrutiny, more comprehensive or perspicacious statements about this author’s literary role will remain speculative, unsystematic, and ultimately meaningless. To avoid the limitations of accidental perspectives, which exclusively historical, political, philosophical, or religious analyses would carry, I have consciously studied the artistic images, symbols, and symbolic constellations for recurrent patterns. This method has led to a discovery of the underlying, essential structures that inform all levels of meaning in the novel. These patterns utilize images, symbols, and myth elements that have been transmitted through the esoteric-alchemical tradition.

To establish Döblin’s likely familiarity with this literary tradition, I have compared some of Döblin’s more important concepts from his nature-philosophic writings and from his literary-theoretical articles with ideas from numerology, Neo-Platonism, gnosticism, and alchemy. Then I applied these findings to the psycho-intellectual development of the main fictional figure, Ferdinand II. This character development, the primary organizational principle, has the form of a mythic death and re-birth
cycle. The background to the archetypal hero's ascent to gnostic salvation is dominated by preternatural, chthonic powers of physis, which are incorporated in the mythic figure of Wallenstein as tyrant, alchemist, dragon, fire, and Anti-Christ.

These myths of salvation and material evil indicate that Döblin has employed polarity as narrative structure. Numerological chapter arrangement, primary alchemical themes, and many recondite allusions to gnosticism coordinate with and echo the binary structure. Döblin's mythic pattern envisages an extended complementary participation of men, nature, and the numinous in shaping "reality." This reality -- emotionally modified perception of human life -- includes both positive or sympathetic and negative, alien, or hostile forces operating in nature and through the cosmos. The rhythmic character of fictional events, particularly realized in the figure of Wallenstein, also confirms the mythic quality of the form imposed on represented historical events. The metaphysical nexus in these literary considerations may be attributed to Döblin's belief in the principle of resonance, which is made possible, according to this author, through the numerical organization of all creation, including the work of art.

But within the dialectical movements of human forces in Wallenstein, there is a momentary coincidence of opposites, a suspension of tensions, a brief triumph of spirit over the "facts" of physical and psychic existence. This "crossing" of the world with spirit is rendered possible through the sacrificial renunciation of world in Ferdinand's imitatio Christi. Far from pervasive pessimism, this metaphysical solution of
material conflict offers ethical and religious transcendence for the individual who seeks it. Ferdinand's transcendence occurs simultaneously in the apprehension of the real as the wondrous or as the divine gift, epiphany. And this moment of conscious sacrifice helps generate a mystic unification of the individual consciousness with the center or totality of the universe. The novel, critical of the static, conventionally accepted cultural institutions -- the political state, religion, and ethics -- affirms through the use of the esoteric symbolism that the individual spirit is the necessary renewer of culture and, paradoxically, its sacrificial victim.
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