MORAL DISGUST IN KLAUS MANN'S *MEPHISTO* AND GOETHE'S *FAUST*

A Thesis submitted in fulfilment of the requirement for the degree of

MASTER OF ARTS

IN GERMAN STUDIES

of

RHODES UNIVERSITY

By

CHRISTOPHER JOHN NEILSON

ORCID ID

0009-0001-9995-2559

June 2024

Prepared for:

German Studies, School of Languages and Literatures

Rhodes University

Grahamstown/ Makhanda

Supervisors: Prof. Undine S. Weber & Dr. Natasha Engelbrecht

28 June 2024

Declaration of academic integrity

I declare that the thesis entitled “Moral Emotions in Klaus Mann’s *Mephisto* and Goethe’s *Faust*”, which I hereby submit for the degree Master of Arts in German Studies at Rhodes University, is my own work. I also declare that the thesis has not previously been submitted by me for a degree at this or any other tertiary institution and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

Christopher John Neilson

28 June 2024

Abstract

This thesis investigates the presence and effects of moral emotions within Klaus Mann's *Mephisto* (1936) and Goethe's *Faust* (1808) with a focus on moral disgust as understood through the theories of P. Rozin and J. Haidt. The thesis also investigates the intertextual links between Goethe's *Faust* and Klaus Mann's *Mephisto*, namely the presence of the *katabasis* and *anabasis* motifs found in classical literature. This is undertaken with the aim to highlight the use of moral emotions as a novel approach to the study of literature. The Faust legend features an important moment when the Faust figure enters into a deal with the devil in hopes of gaining some transitory reward in exchange for his soul, with Goethe's *Faust* being the most popular rendition of the German Faust legend. It is a play that depicts the life of a restless scholar who enters into a pact with a demon named Mephistopheles in the promise that Faust will receive pleasure without satisfaction. Shortly after the National Socialists came into power in Germany in 1933, Klaus Mann would write his own interpretation of the Faust motif in response to the Nazi reign. Klaus Mann's *Mephisto* details the meteoric rise of the stage-actor Hendrik Höfgen who makes a 'deal with the devil' by collaborating with the Nazi elite in order to further his own acting career. *Mephisto* is devoid of any supernatural elements; this thus removes any supernatural influence on the actions of the Nazis and the protagonist Höfgen. The moral emotion of disgust, and thus also self-directed disgust and self-knowledge, eventually saves Faust, but there is no divine force to redeem Höfgen, nor is there an actual devil or demon to blame.

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Acknowledgments

I would like to thank my parents for their support and for making this thesis a possibility. I will never be able to express my gratitude for all the opportunities that they have given me throughout my life. I would like to extend my sincerest thanks to everyone who has made this thesis possible. I am forever indebted to my brilliant supervisors Prof. Undine S. Weber and Dr. Natasha Engelbrecht, without whose tireless feedback, support and coffee this would not be possible. If any praise is to be given to the thesis, make sure that you first thank the supervisors. They have been some of the most wonderful teachers that I have had the privilege to study under. I would like to thank Matthew and Ivan who consistently find themselves in my fondest memories of Grahamstown. I would like to thank Maya whose weekend khichri and lovely discussions were always the perfect end to the week. I must thank Leslie Fish and Julia Ecklar whose music kept me company through many dark and cold nights spent huddled before my laptop writing long past the nightingales have gone to sleep. Dir zum wohl!

Chapter 1: Introduction

The Faust legend originates from the late 16th century *Volksbuch*[1]. *Historia und Geschicht Doctor Johannes Fausti*, also known as the *Faustbuch* or *Volksbuch*. The *Faustbuch*, as I will refer to it, revolves around a brilliant scholar Johannes Faustus whose interest in alchemy and necromancy lead him into a deal to sell his soul to the devil in exchange for pleasure and knowledge. Faustus is then aided by the demon Mephistopheles who gives Faustus magic powers while also taking him on numerous adventures throughout The Holy Roman Empire[2] and the rest of the world. The *Faustbuch* ends when the Devil comes one night to take Faust's soul to hell as the ultimate payment for the pact that he had made with the devil. The ending of the *Faustbuch* is moralistic, acting as a warning to all that magic, the occult or any dealings with devils and demons, despite the brief fruit they result in, will always end terribly. The narrative has led to the term 'Faustian bargain', pact with the devil or *Teufelspakt*. These terms imply a deal or bargain whose benefits are never worth the ultimate price that the one signing the deal has to pay.

The Faust legend has its origins in European and Christian folklore. The Faust legend is often considered to be directly influenced by a Christian legend and borrows elements from many literary sources across Europe from adventure narratives and early Christian beliefs around miracles and magic.

> Der Faust-Stoff verschmolz das Charakterbild eines für die Zeit der Renaissance und des Humanismus bezeichnenden und als Gefahr erkannten skrupellosen und zynischen Abenteurers mit dem christlich-mittelalterlichen Motiv vom verdammten Magus. Die Beherrschung der Naturkräfte bei der Vollführung von Wundertaten war für christliches Denken nur als Ausfluß der Hilfe Gottes oder der Heiligen statthaft; ohne diese war sie das Zeichen für eine Verbindung mit den Mächten des Bösen und trug diabolischen Charakter. Solche Kräfte wurden daher in den frühchristlichen Sagen von Simon Magus und Cyprian heidnischen

[1] *Volksbuch* is the German term for a chapbook, a type of inexpensive literature that was popular amongst the common people, however, the classification of *Volksbücher* is controversial due to the ambiguous nature of the word *Volk*. (Flood 1993: 894) These books were quick and easy to read with brief chapters and were not big books. In this sense, they are somewhat comparable to pulp literature, such as *Conan the Barbarian* or *The Shadow*, that was popular throughout the early to mid-20th century.

[2] The Holy Roman Empire (*Heiliges Römisches Reich Deutscher Nation*) was a historic kingdom that encompassed roughly most of the territory that makes up modern Germany, Austria and The Czech Republic with territory in modern day Poland, Croatia, Slovenia and northern Italy at the time of the *Faustbuch*. By 1808, The Holy Roman Empire had effectively been disbanded after Napoleon's invasion of Germany. See Evans and Wilson (2012) for an introduction to the decline of the Holy Roman Empire and important political developments.

> Menschen zugeschrieben, die mit der Bekehrung diese Künste ablegten. (Frenzel 1992: 219)

The deal with the devil is believed to have originated with the legend of Theophilus of Adana.

> Erst in der mittelalterlichen Theophilus-Legende erscheint das Motiv des Abfalls von Gott und des Paktes mit dem Teufel, denn hier ist der Magier ein christlicher Bischof, der allerdings zuletzt durch seine Reue und die Hilfe der Mutter Gottes gerettet wird. (Frenzel 219:1992)

This theme was continued by legends of Robert the Devil and Pope Sylvester II in which characters who grow frustrated at the lack of assistance from Heaven, make pacts with the devil that come with unforeseen consequences.[3] (Frenzel 219: 1992) The Faust legend is quintessentially German, due to both the location where the legend takes place, but also due to the climate that birthed it. Scholars often stress the idea of the Faust legend being a product of the Reformation in Germany (1517-1648). (Mason 1967; Kiesewetter 1963) This view correlates with the research of scholars who analyse the *Faustbuch* in relation to the morality and political landscape of the Reformation. (see Baron 1989; Strauss[4] 1989) Much of modern research focuses on the works derived from the *Faustbuch*. There was increased anxiety around witchcraft and sorcery that began to sweep through Germany during the time of the Reformation when the *Faustbuch* was published. As the Reformation ideas spread, so did people's fears around witchcraft. (Mason 1967: 2) The panic over witches was something on which Goethe too commented, speaking in 1805 about "die verfluchte Teufelsimagination unseres Reformators, der die ganze sichtbare Welt mit dem Teufel bevölkerte und zum Teufel personifizierte". (Goethe 1805 in Mason 1967: 2) This panic would create the perfect climate for both the historical Faust while also creating a very receptive audience for the *Faustbuch*.

Using the Faust legend for inspiration, Johann Wolfgang von Goethe wrote *Faust, Eine Tragödie* [1808] which would be internationally received to much acclaim. (Henning 1969: 400). Goethe's rendition of the Faust narrative is in poetic verse and rendered with what could

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[3] Robert the Devil is a medieval tale about a Norman duchess who asks the devil for a child. She falls pregnant but the resulting son of Satan, Robert, grows to be a cruel and violent person. Robert is able to find salvation after repenting for his evil actions.(Rosenberg 2018) There are numerous legends that Pope Sylvester II gained knowledge of math, science and magic through occultism amongst others that claim that he had entered into a pact with the devil. (Truitt 2012)

[4] Strauss contextualises the creation, matter and popularity within the cultural attitude of the Reformation.

be considered more literary content than that of the original *Faustbuch* and Goethe's rendition of the Faust legend would redefine how the character of Faust was dealt with and seen.

> Entscheidende Station auf dem Wege des Faust-Stoffes wurde die Veröffentlichung des ersten Teiles von Goethes *Faust* (1808), der die im "Fragment" verheißene Neugestaltung des Stoffes zu einem vorläufigen Abschluß brachte. Angeregt von Puppenspiel und Volksbuch, erwachsen aus verwandtem Wissensdurst und Erlebnishunger und dem Lebensgefühl des Titanismus, zunächst überwuchert vom Liebeserlebnis und vom Schicksal der Kindsmörderin, wodurch Goethes *Urfaust* zur Liebestragödie geworden war, erschien das Faust-Thema nun im vollendeten ersten Teil der Tragödie als ein zwischen die Pole Genuß und Streben gespanntes Seelendrama, vor dessen Durchführung das "Fragment" noch resigniert hatte. (Frenzel 1992: 222)

In Goethe's *Faust*, Faust is an accomplished academic who has mastered both the sciences and religious study. However, he has become frustrated and bored with life as he feels that there is no joy in the world. Faust's interest in alchemy and the occult and his forlorn attitude attracts the interest of the demon Mephistopheles. The demon then makes a bet with Faust that if he is able to make Faust happy for a moment then Faust must forfeit his soul to the demon. Faust does eventually find happiness in his romance with the girl Margarete, however, unlike the *Faustbuch*, the ending of Faust is left ambiguous as the reader/ audience is unaware as to Faust's fate at the end of the play. The Faust legend has today cemented itself in the wider culture of the English-speaking world due to popularising terms such as the 'deal with the devil' and a 'Faustian bargain'. The deal with the devil has remained to this day a core theme within all strata of culture.

> Interest in the Faust legend and especially Goethe's *Faust* has remained strong and productive up until today. There is continued international interest in the Faust legend, for example in Japan (Kimura 1989) and Brazil (Rosenthal 1989). Xi Jinping, the current president of China, has also voiced admiration for Goethe's *Faust* claiming that he had memorised it. (Luttwak 2021 in Robertson 2022: 1)

Klaus Mann's *Mephisto. Roman eine Karriere* [1936] presents one of the more divergent interpretations of Goethe's Faust. Unlike the *Faustbuch* or Goethe's *Faust*, both of which feature many supernatural elements, Klaus Mann's *Mephisto* is completely devoid of any supernatural elements. The demons of hell are instead replaced by the demonic members of the so-called third Reich and instead of the devil sitting on the throne of hell, it is the *Führer* reigning over Germany, a nation that has become Hell on Earth in *Mephisto*. The story of *Mephisto* describes the career of aspiring stage actor Hendrik Höfgen. Höfgen makes a 'deal with the devil' by allying with the Nazis in order to further his acting career despite the harm

that it causes his friends and loved ones, and ultimately himself. Much like Goethe's *Faust*, the narrative ends inconclusively without any consensus on his fate. The ending is fitting as Klaus Mann published *Mephisto* three years after the Nazi party gained power in Germany 1933, thus he would have had no idea how or when their rule would come to an end.

Some members of the Mann family published works based on the Faust legend and Goethe's *Faust*. Klaus Mann's *Mephisto* was written in response to Hitler and the Nazis' seizure of power in Germany, and his father, Thomas Mann wrote *Doktor Faustus* (1947), the work that has thus far received the most academic attention of any German literary work in history.[5] Klaus Mann published his novel *Mephisto* in 1936, at a time when he, his more famous father Thomas Mann and many other intellectuals would fear Nazi barbarism. Much of the research on German literature in regards to Klaus Mann's *Mephisto* (1936) has focused on the novel's depiction of the Nazi regime or on the novel as a work of exile literature or focuses on the sadomasochistic elements of the novel. (von Maltzan 2001; French 2008; Zenobi 2020) Furthermore, research on Klaus Mann's work is often overshadowed by research on his father, Thomas Mann's work. This is in part due to Thomas Mann's own work regarding the Faust legend, his novel *Doktor Faustus* (1947) and essay, *Die Entstehung des Doktor Faustus* (1947). While the play by Goethe and the novel by Thomas Mann have received much literary criticism, Klaus Mann's novel has been to some extent neglected with regard to a closer analysis of how it relates to the Faust myth and Goethe's treatment of the subject matter, especially as it is the art form of drama that is central to the novel *Mephisto*, playing on Goethe's drama *Faust*.

Chapter 2 functions as a contextual framework. The ways in which Goethe reinterpreted the Faust myth is discussed and how his seminal work came to redefine the character of Faust for future generations and authors. Following this, there is a brief focus on Klaus Mann and the background to *Mephisto*.

A crucial theme in the Faust legend is the struggle between humanity's desire to elevate itself beyond baser human nature and to attain the divine. This concept is succinctly stated by Faust: "Zwei Seelen wohnen, ach! in meiner Brust, Die eine will sich von der andern trennen." (Goethe 1979: 1112-1113) What Faust is expressing is the desire for one to do good and the

[5] „‚70 000 Seiten Sekundäres', stöhnte Joachim Kaiser schon vor Jahren. Das war 1987; seither sind es gut und gerne 10 000 Seiten mehr geworden. Ein Jahr später konstatierte Helmut Koopmann, kein anderer Roman dieses Autors sei derart gründlich diskutiert worden; alles sei nun schon gesagt, neue Erkenntnisse seien kaum mehr möglich. Der ganze Roman wirke wie ‚ausinterpretiert'." (Vaget 2001:11)

temptation to do evil. This struggle between Faust's '*zwei Seelen*' reveals itself in the moral emotion of disgust. Disgust is expressed by both Faust and Höfgen, supporting characters and, on a further level, the reader and audience. Disgust shows itself in the Faust narrative at times when Faust commits an act of immorality. Examples would be his relationship with Mephistopheles of which Margarete, Faust's paramour, disapproves. (Goethe 1979: 3470) Disgust is also self-directed such as when Faust begins to realise how he had gone astray when he attempts to hide from Mephistopheles during his monologue in the *Wald und Hölle* scene. (Goethe 1979: 3217-3250) The self-directed disgust acts as a moment of self-reflection and acts as an important turning point in *Faust.* The moment of self-reflection is an important moment in the hero's journey as it represents the moment of 'ego death'[6]. The term 'ego death' applies to Joseph Campbell's work very well. Ego death was first popularly known by the term 'psychic death' and can be described as "a process by which new life possibilities are revealed in a transformational effect." (Hendriks 2023: 49) Ego death was often a catch-all term used to describe various states of psychosis. (Hendriks 2023:50) The term ego death is believed to have evolved from Timothy Leary's usage of the term 'ego loss', which blended the concept of psychic death and ego death together. (Leary & Metzner 1971: 14) Today, psychic death and ego death are interchangeable in many fields. The concept of ego death is introduced in Chapter 4.4. This fits into the concept of the hero's journey. The hero's journey was first theorised by Joseph Campbell in his seminal work *Hero with a Thousand Faces* (1949) in which he mapped out what he deemed the archetypal journey of self-transformation that all heroes embark upon. This journey begins with a call to action in which the hero leaves his familiar surroundings, encountering many challenges and temptations, before finally undergoing apotheosis and transformation upon the completion of their journey. I argue that the call to action represents the *katabasis* motif found in classical literature whereas the apotheosis represents the *anabasis* motif also found in classical literature. I investigate the role in which moral disgust plays in motivating Faust and Höfgen in their respective hero's journey and the role that moral disgust ushers in both the *katabasis* and *anabasis*.

Disgust is an example of a moral emotion. Moral Emotions are emotions that respond to moral violations and thus indirectly enforce moral behaviour. The field of moral emotions is a fairly

[6] In this context ego death is not to be understood by the medical term or the esoteric usage of the term.. In this context, ego death represents a moment of enlightenment wherein the hero has a dramatic change in their outlook and beliefs and abandon their inferior and deficient views. See Chapter 5: Analysis and Comparison for a comparison between how Faust and Höfgen confront their ego death.

new area of study and its biggest proponents are Paul Rozin, Jonathan Haidt and Phil Hutchinson. Jonathan Haidt deals with the universal nature of taboos and morals by showing how these are found in both secular and religious contexts. (Haidt 2003: 852) His work is often associated with the work of Paul Rozin. Hutchinson is the more recent researcher in the field of moral emotions. His focus is on the role that moral shame plays in forming morality. Moral emotions are associated with taboos and antisocial behaviours such as lust or greed. (Haidt 2003: 852) They can also be violations that are specific to certain cultures or times such as the Judeo-Christian ban on magic. (Leviticus 19:31). Moral emotions have become an exciting and fast-growing field of research however they have not been applied to the Faust legend in any great number. Thus, by focusing on moral disgust presents a new way to look at the progression of the plots of Goethe's *Faust* and Klaus Mann's *Mephisto*. The study of moral emotions has become a well-established field within psychology, which can be seen in the numerous ways that researchers are beginning to apply moral emotions to contemporary issues. For example, Blitvich (2022) uses moral emotions to investigate the moral underpinnings of online public shaming, or 'cancel culture' as it is colloquially known on social media platforms. The study of moral emotions has even been applied to the way that Covid misinformation is spread online. (see Pröllochs & Solovev 2022) However, the presence and use of moral emotions within literature is still under-researched. This statement is further elaborated on in Chapter 2.2.

This thesis will investigate the intertextual similarities between Goethe's *Faust* and Klaus Mann's *Mephisto*. The aim of this is to establish whether or not *Mephisto* presents a traditional hero's journey as outlined by Joseph Campbell in his work *Hero with a Thousand Faces* (1949). Furthermore, this thesis will investigate the role of moral emotions in motivating the actions of Hendrik Höfgen in *Mephisto*. . To achieve these two goals, I will compare, in the manner of a close reading, the scene in which the deal with the devil occurs as I wish to investigate the role that moral emotions play in motivating the protagonist into entering their nefarious pact and I wish to analyse how Faust and Hendrik Höfgen react to their deal. I also analyse the concluding scene of each work to see how closely they resemble a traditional *anabasis*. Moral emotions are discussed in full in Chapter 3 while intertextuality, the hero's journey, *katabasis* and *anabasis* are explained in greater detail in Chapter 4.

Chapter 3 investigates how moral emotions are depicted in Goethe's *Faust* and Klaus Mann's *Mephisto* with a focus on moral disgust, what it is, what causes it and why it is important to Goethe's Faust and Mann's *Mephisto*. Chapter 4 begins with a discussion on the theory behind

intertextuality. The aim is to establish the extent to which *Faust* can be considered an intertext for *Mephisto*. Similar scenes, motifs and actions which will be compared in order to find similar codes that connect these works of Goethe and Klaus Mann.

Chapter 2: Contextual Framework

This contextual discussion will focus on the moral emotion aspects of the Faust legend and how the Faust legend matches with the motif of the hero's journey, specifically the notions of *katabasis* (descent) and *anabasis* (ascent) that stems from classical, western literature and how they may serve as an intertext for the Faust legend. This chapter also focuses on academic literature that deals with moral emotions, how to identify them, what they are, their importance to humans and their importance to Goethe's *Faust* and *Mephisto*. Existing research based on comparative analyses between Goethe's *Faust* and *Mephisto* is also highlighted. The aim of this contextual overview is not only to track the development of the Faust legend and moral disgust but also to show their relevance in the grander scheme of the research canon and to highlight their relevance to the central theme of moral disgust in the Faust legend.

2.1. Klaus Mann's *Mephisto*

Klaus Mann's legacy is often under the shadow of his father Thomas Mann, especially because of Th. Mann's widely celebrated *Doktor Faustus* (1947). Mephisto is most remembered for the controversy around the likeness of the German actor Gustav Gründgens likeness to the villain protagonist Hendrik Höfgen in *Mephisto*. (Zenobi 2020: 5) Research has also paid attention to Istvan Szabo's hit film *Mephisto* (1981). (Wires 1986-87)

The *roman-à-clef* controversy surrounding *Mephisto* generated a great deal of research and publicity for the work, and its position as a classic of exile literature is firmly established due to its blatant opposition to the Nazi regime. (Maltzan 1991: 255) The publication of *Mephisto* was wracked with controversy after the Second World War. It is a widely acknowledged fact that the German actor Gustaf Gründgens serves as the model for Hendrik Höfgen both performed in local Hamburg theatre groups during the interwar period before. Gründgens and Klaus Mann were very close friends and it is likely that they were lovers before Gründgens married Erika Mann, Klaus Mann's sister and closest friend. (Wires 1987: 238) Klaus Mann and Gründgens would have a falling out after the Nazi party came into power as Klaus and Erika Mann chose to go into exile rather than stay in Germany whereas Gründgens remained in Germany and benefited greatly from his friendship with the General of the *Luftwaffe* and Prime Minister of Prussia, Hermann Göring. Gründgens would quickly climb the ladder of cultural institutes thanks to his friendship with Göring as Gründgens would become director of the State Theatre in 1934 and then in 1936, a rare title for an actor, Gründgens would be made

a Prussian councillor of state. (Wires 1987: 2387) "Conveniently forgotten were his earlier communist sympathies, his marriage to a part-Jewish and anti-Nazi enemy of the state [Erika Mann], and his reputation for homosexuality and odd behaviour." (Wires 1987: 2387)

The similarities between Hendrik Höfgen and Gustaf Gründgens were so similar that Gründgens' heir successfully sued the publisher and temporarily removed *Mephisto* from publication in West Germany. (Mills 1990: 249) Klaus Mann would defend himself by claiming that "*Mephisto* ist kein 'Schlüsselroman[7].'" (K. Mann 1969: 335) This claim was likely a legal tactic as Klaus Mann explicitly says that Gründgens was the inspiration for Hendrik Höfgen in his autobiography.

> I visualize my ex-brother-brother-in-law as the traitor par excellence, the macabre embodiment of corruption and cynicism. So intense was the fascination of his shameful glory that I decided to portray Mephisto-Gründgens in a satirical novel. I thought it pertinent, indeed, necessary to expose and analyse the abject type of the treacherous intellectual who prostitutes his talent for the sake of some tawdry fame and transitory wealth. (K. Mann 1984: 282)

Regardless of what Klaus Mann maintained, the plot of *Mephisto* and the rise of Höfgen bear undeniable similarities to the life of Gründgens. *Mephisto* was barred from publication and this along with many personal issues that Klaus Mann was struggling with resulted in his suicide. Today Gründgens' reputation has been tarnished due to the controversy surrounding *Mephisto* which, like many controversies, only served to make Klaus Mann's work even more popular, thus making more people aware of Gründgens betrayal. (Wires 1987: 238)

Anna Stepanova's article, *Richard Wagner vs Klaus Mann* (2020), has been influential on this research as her writing investigates the philosophy of using art as a means of transformation as embodied by the Wagnerian concept of the "artist-man" and what she deems the "Faustian Spirit" that is found initially in Goethe's *Faust* and also in Klaus Mann's *Mephisto*. Stepanova (2020) explains how Wagner, and romanticism, conceptualises the artist-man as a master of their art who uses their art in a transcendental manner that is also unifying: "Wagner's aesthetics had the artist-man raised as the embodiment of the synthesis of the arts which stipulated the idea of unifying the world, its transformation and renewal." (Stepanova 2020: 620-621)

[7]A *Schlüsselroman* is the German word for a roman-à-clef.

Stepanova relates the concept of the artist-man to the notion of the Faustian spirit which serves as a darker aspect of the artist.

> The impulse of the artist-man to reach the infinite, in fact, reveals the Faustian intention to the spiritual transgression which is the desire to go beyond one's limits and to go outside the world, to abandon the common norms and rules, traditions and prohibitions. (Stepanova 2020: 623)

This Dionysian act is what may lead the artist to even greater heights of achievements and creativity as it leads the artist and others to greater moments of transformation through a fusion of the profane and sacred. (Mankovskaya 2008: 477 in Stepanova 2020: 623) Stepanova uses *Mephisto* as an example when the Faustian spirit succumbs to the power of the demonic. Instead of being a catalyst for a transcendent and unitive transformation, the artist, Hendrik Höfgen, creates art that is degenerative and corrupt while also becoming degenerate and corrupt.

> The process of falling from the boundless peaks of the Faustian spirit to the prehistoric, primitive-barbaric state in the novel by Klaus Mann is conceived as a process of changing the appearances of the artist, which brings the moment of unmasking the city and the person to the forefront. The image of the theater city, in its absurdly buffoonery modification, is a reflection of the fading image of an artist, in which the spiritual face of history is discerned as a gigantic horrific spectacle showing the end of the Faustian civilization. (Stepanova 2020: 641)

Höfgen thus represents the falsehood and theatrical nature of the Nazi party and the apocalyptic hell that Germany is dragged down into. This means that the artist-man can cause just as much destruction as he can create art and thus there always exists an internal struggle within the artist to tame this darker nature.

2.2. The concept of the Monomyth

My description of the hero's journey is primarily based on Joseph Campbell's seminal work *The Hero with a Thousand Faces* (1949). The work relates to the idea of the monomyth, the universal story structure that underpins all works of legend and myth both from oral and literary traditions. This work by Campbell is the story of the hero's journey, the classic story of an adventurer setting out on a quest in order to slay a beast and bring back some form of reward.

> The standard path of the mythological adventure of the hero is a magnification of the formula represented in the rites of passage: separation – initiation – return: which might be named the nuclear unit of the monomyth. A hero ventures forth from the world of common day into a region of supernatural wonder: fabulous forces are there encountered and a decisive victory is won: the hero comes back

> from this mysterious adventure with the power to bestow boons on his fellow man. (Campbell, 2008: 23)

The hero's journey is discussed in greater detail in Chapter 4. Campbell was by no means the first philosopher to give serious credence to deeper analysis of myths and legends. Some of the earliest analysis of myths and legend can be found within the school of Neoplatonism. Neoplatonic philosophers such as the third century mystic Iamblichus and fifth century philosopher Proclus Lycius interpreted myths as allegories that held esoteric knowledge. (Benitez 2011: 3) Knowledge was hidden within myths in order to be found by those who were wise enough to understand it. Otherwise, the knowledge would be subconsciously transmitted and understood by those listening to it. One of the most influential modern writers to seriously analyse mythology would be James George Frazer and his influential work *The Golden Bough* (1890): "For Frazer, the chief myths of all religions describe the death and rebirth of vegetation, a process symbolized by the myth of the death and rebirth of the god of vegetation." (Segal 1998: 3-4)

Claude Lévi-Strauss was also an advocate for myths being more than mere stories of entertainment and proposed that they are instruments for reflection. (Pàmias 2014: 45) The modern precursor to Campbell's analysis of myths and legends can be found within the psychoanalysis of Jung. Jung would have a similar view to Frazer that myths represent a process of death and rebirth however he interprets the mythic cycle of death and rebirth as a psychological process (Segal 1998: 4): "That process is the return of the ego to the unconscious — a kind of temporary death of the ego — and its reemergence, or rebirth, from the unconscious." (Segal 1998: 4) Furthermore, Jung believed that the process of ego death was a powerful experience that was greatly transformative.

> I need only mention the whole mythological complex of the dying and resurgent god and its primitive precursors all the way down to the re-charging of fetishes and churingas with magical force. It expresses a transformation of attitude by means of which a new potential, a new manifestation of life, a new fruitfulness, is created. (Jung 1971: 193 in Segal 1998: 4)

Jung broke the subconscious into a series of mythic figures known as the archetypes. (Jung 1968: 42) Each represents a different aspect of the mind and each carries with them an esoteric meaning. Campbell uses these archetypes as a way to explain the different stages of the hero's journey and the challenges that the hero will encounter while the goal of the hero's journey is to reconcile and reintegrate the conflicting archetypes. (Campbell 2008: 14) Campbell's

analysis of myths and legends was revolutionary and created a new paradigm as to how all stories are analysed to this day.

Campbell claims that the monomyth is more than just a popular story and that instead has been told globally because it contains subconscious metaphors that lay the path to self-improvement and enlightenment. (Campbell 2008: 5) The hero's journey begins with a descent, or *katabasis*, into the unknown and ends with a heroic ascent, or *anabasis*, where the hero emerges transformed. (Batle & Robledo 2015: 1736) This acts as a metaphor for personal development and actualisation. A great deal has been written on Campbell's writings and especially the concept of the hero's journey which has today become a celebrated and accepted method of analysing literature. Campbell's work is not without criticism. Grebe (1991) has a useful summary of the early history and important criticism of Campbell's work.

Joseph Campbell's Monomyth stirred up a great deal of discussion after *Hero with a Thousand Faces* (1949) was published and his theories took on more public popularity after he was interviewed for a television series, *The Power of Myth* (1988). Important snippets from the television series were published in the book of the same name in 1988. The biggest criticism aimed at Campbell's concept of the Monomyth and concept of the hero's journey ultimately stems from Campbell's main method for performing analysis. Firstly, Campbell frequently chose to ignore the culture and traditions that gave rise to an individual myth/ legend and therefore further made the decision to focus on similarities rather than differences.

> Granting the differences between various cultures in the preface to his seminal book, he described his work as a search for the commonality of themes, for the elementary ideas, in world myth. Leaving the "thick description" about culture toother anthropologists, ethnologists, and historians, he hoped that by concentrating on the similarities, the differences would appear less divisive and insurmountable than popularly and politically assumed. (Cousineau 1992: 4)

This approach to analysis was innovative at a time where "others were noting the very obvious differences between myths, Campbell chose to emphasize the more subtle similarities." (Grebe 1991: 50) Campbell is also guilty of selection bias with the vast majority of his examples being traditional European myths either coming from the Judeo-Christian tradition or that of the Hellenistic Greco-Roman tradition. Hambly (2021) discusses how Campbell's broad generalisations remove cultural significance from traditional beliefs. This can be especially obvious in the analysis of myths outside of western traditions. By focusing on the similarities, he wished to highlight what makes humans alike in order to bring us closer. As well intentioned

as he was, many feel that there are better ways to go about this. Campbell unintentionally ends up ignoring the uniqueness of myths and stories.

Gorman (2014) argues that Campbell's theories are a result of a confused synthesis from earlier writers. This could be a result of Campbell's syncretic approach to his scholarship as "He was difficult to categorize as a standard mythologist, anthropologist, psychologist or literary analyst." (Grebe 1991: 50) Furthermore, Campbell does not show any evidence of consulting experts. It should thus be remembered that his interpretation is just that. (Grebe 1991: 50)

This is not to say that similarities do not exist. Some of Campbell's insights are still valid and informative. It is undeniable that many cultures contain stories that mirror the stories of cultures that they have not come into contact with. There is something to the collective unconsciousness that was championed by Jung in world mythology. A frequent recurring theme in mythology would be the story of a deity that is sacrificed in some manner most often in fertility or agricultural cults. These stories often involve said being descending into a netherworld of sorts where they have to face some kind of trial and return with wisdom or a boon for mankind. The Aztec god Quetzalcoatl dies after being deceived by an enemy and descends into the netherworld however he is able to ascend from the netherworld with the bones of the dead which he uses to create humans with after his ascent. (Aguialar-Moreno 2006: 140) Quetzalcoatl is also credited as being the god who brought corn to mankind after finding it hidden in a mountain. (Aguilar-Moreno 2006: 141) When the Akkadian goddess Ishtar descends into the underworld, the earth becomes infertile but as she rises from the underworld, she brings fertility with her, and because of her *katabasis* (descent), she is able to heal the sick and aid the dead. (Pryke 2022: 1) In Greek mythology, the goddess Demeter halts the growth of all seeds until her daughter, Persephone, is returned to her from the underworld. (Hansen 2005: 145-146) In this instance the *katabasis* and *anabasis* are used as a way to explain the seasons as it is winter when Persephone lives in the underworld and it becomes summer when she joins her mother on Earth. The Norse god Odin hangs himself on a tree for nine nights and when he wakes up, he is gifted with knowledge of magic and runes. (Hávamál 1986: 139-146) It should also be kept in mind that all of the examples that I have given in this particular discussion originate from the Mediterranean, the fertile crescent or come from a broader Indo-European religious tradition with the Aztec myth being the exception. The same can be said for all future references made to mythology throughout the thesis.

It is for this reason that the hero's journey is a useful and interesting tool to analyse the progression and themes of a narrative but it should also not be one that is used uncritically especially in regards to narratives outside of what may be considered the classical or western literary tradition. In the case of the Faust theme, the hero's journey still stands as Goethe's *Faust* appears to be part of what forms Campbell's theories. Campbell's Eurocentric bias is not an issue in this thesis as I am analysing and comparing the works that create the foundations for his theories. That is not to say that his Eurocentric bias is unproblematic as it does not work well when analysing mythologies outside of the standard Western canon, but my sources remain within this tradition and therefore. The hero's journey fits well into a Western paradigm for the sole reason that it was envisioned with a bias towards a western paradigm.

The aspect of interest for this study of the hero's journey is the *katabasis* and *anabasis*. These concepts will be explored in greater detail in Chapter 4.3. The idea of descending into and ascending from an underworld of sorts is one of the oldest themes in the history of human culture and can be found in the storytelling traditions of humans across the world and across cultural boundaries. One of the most studied examples is the descent of Aeneas into Hades. (Clark 1979; Feeney 1986) This is no different for Goethe's *Faust* as writers have already noted how Faust's journey mirrors that of the classical descent and ascension. *Faust. Der Tragödie Zweiter Teil* features a *katabasis* when Faust descends into the land of the mothers in order to rescue the soul of Helen. (Bishop 2023: 9) Faust also experiences a supernatural *anabasis* wherein his soul ascends to Heaven where he is reborn. (Goethe 2003: 11845-12111) It should be mentioned that I mention Faust II only to demonstrate the prevalence of the *katabasis* and *anabasis* motif in European literature. Faust II does not play a role in my analyse and comparison throughout my thesis. Faust leaves the comfort of his study and at one-point ventures into an underworld-like environment filled with spirits and ghosts such as the *Walpurgisnacht* scene. (Goethe 1979: 3835-4222) In *Faust. Der Tragödie, erster Teil*, Faust experiences an *anabasis*. He does not experience a obviously mystical one where he ascends to the heavens but undergoes a metaphorical and deeply personal journey. Campbell uses Goethe's *Faust* in order to illustrate the archetypes that appear within the hero's journey. (Campbell 2008: 59) However, this exhaustive treatment in regards to the *katabasis* and *anabasis* has yet to be administered to the works of Klaus Mann and especially *Mephisto*.

Viëtor (1950) examines the beliefs of Johann Wolfgang von Goethe most pertinent is his analyse of the demonic in Goethe's writing as it links back to *Faust* due to the metaphysical and metaphorical idea of the *Dämon* having a physical representation in the form of the demon Mephistopheles. The clear inspiration from Socratic philosophy and from the Orphic mysteries is apparent in Goethe's work. Socratic inspiration may be inferred because it does not use the term *Dämon* to refer to something more than an evil spirit which goes against the typical usage of the term *Dämon* which denotes a malicious spirit; in Socratic beliefs, the *daimon* was a divine spirit that existed to guide humans to do good and lead us away from performing evil. (Larking 2017: 7) The main source for this belief is the *Apology* by Plato where Socrates makes mention of the divine voice speaking to him.

> But the reason for this, as you have heard me say at many times and places, is that something divine comes to me […]. I have had this from my childhood; it is a sort of voice that comes to me, and when it comes it always holds me back from what I am thinking of doing, but never urges me forward. (Apology, 31 c-d)

Plato's *Apology* was written posthumously after Athenian courts ordered Socrates to die by drinking hemlock. Throughout the *Apology*, Socrates asserts that he is on a divine mission to improve the morality of Athenians and he does not fear the death penalty because his *daimon* has given no indication that he should fear death. (*Apology*, 40a-d) In his speech, he says that he is guided by a divine being that drove him to do good, this is his *daimon*. This spirit is what may have had an influence on Goethe's *Dämon*.

Understanding Goethe's *Dämon* can be challenging due to the contradictory and abstract way that he describes it therefore Wetter asserts that it is easier to describe and explain Goethe's *Dämon* by describing what it is not:

> [I]t is abundantly clear that the demonic is neither a classical "daemon" or "daimon" nor a "demon" or "evil spirit." It also is not a Mephistophelian "spirit that constantly negates"— even if it might be possible to find in Mephisto a further personification of the ungraspable forces that Goethe brings together under the label "demonic." Thus, though it would be an oversimplification to equate Goethe's "demonic" with demons or with the idea of evil, the considerations of the various half-definitions of the demonic (for example, the reference to Providence) make it clear that residual elements of theology and theodicy are an important part of the picture. (Wetters 2014: 5)

Goethe's interpretation thus draws upon that of the 'classic daemon' and the other types of demons. The demon, Mephistopheles, found in Goethe's tragedy is a purely evil being characterised by the emotion of disgust as it is investigated in Chapter 5: The Hero's Journey.

2.3. Emotions in Goethe's *Faust* and Klaus Mann's *Mephisto*

When disgust appears in literature it often involves images that are intended to make the reader feel disgusted. This can range from physical objects, such as food, animals or humans. This can also involve depictions of human behaviour that is intended to make the reader feel uncomfortable or disgusted. What elicits disgust is not universal as is more often than not culturally coded. (Rottman 2014: 424) Today there is no absence of academic literature both for academics and the general public that deals with emotions on their own and as emotions as tools for morality, moral emotions in short. (André et al. 2021; Haidt 2003; Killen & Smetana 2023) However, the study of moral emotions has not yet seen its full potential within the field of literary studies. There is of yet no major research around the Faust legend that explicitly deals with moral emotions, however, that does not mean that scholars have not analysed the emotional content of the Faust legend. Goethe's *Faust* has been the subject of research that has dealt with ideas surrounding disgust and the disgusting even if it has not been named as such. This is largely due to Faust's melancholic attitude that surpasses mere melancholy and descends into depression. (Goethe 1979: 1540-1549) Likewise, Faust's boredom is a weighty and suffocating boredom more akin to *ennui*. Dumiche (2010) analyses the linguistic pessimism (*Sprachpessimismus*) expressed by Faust as a metaphor that represents his disconnectedness from a deeper spiritual understanding of the world that is expressed through his words. Dumiche claims that Faust is left in a state of *ennui* because he is trying to understand the nature of the world through words and language which are ultimately incapable of understanding such a thing. (Dumiche 2010: 43)

The disgusting is also a topic related to the sadomasochistic aspects of *Mephisto*. Sadomasochism, certainly at the time of publication of the novel, was regarded as deviant and thus elicited disgust from some. Sex and disgust has been a constant debate in regards to the history of the Weimar Republic and the rise of Nazism. (Marhoefer 2019: 59) The Weimar Republic was a period of unprecedented sexual freedom for Germany. (Marhoefer 2019: 61) This mass liberalisation was not without its detractors and there exists those who blamed the fall of the Weimar Republic on the people who they deemed to be sexual and political deviants. (Marhoefer 2019: 61) The far-right used what they deemed political and sexual deviancy as

justification for their brutality and zealotry whereas conservatives from outside of Germany blamed the rise of Nazism on the perceived degeneracy of liberals. An early proponent of this was the German conservative Gerhard Ritter who believed that the liberalisation of Germany had created a baser moral climate that would eventually create the morally devoid Nazi party.

> Ritter's idea was that the Weimar Republic's relative toleration of sexual diversity amounted to moral nihilism, a revolt against moral authority that opened the door for even more immorality, namely, fascism. In his view, fascism represented a rejection of Christian moral values, such as the condemnation of murder. Moreover, fascism's rejection of the Christian injunction against taking human life and its rejection of Christian sexual morals were of a piece. (Marhoefer 2019: 60)

Sadomasochism plays an important role in *Mephisto* as Höfgen is in a sadomasochistic relationship with the Afro-German Juliette. (K. Mann 1980: 70) This has formed an important aspect of the research around the novel often as it relates to power in its obvious reversal or usage of power. Von Maltzan (2001) explores how sadomasochism reflects the power structures of the so-called Third Reich and how Höfgen's sadomasochistic relationship, and desire to be sexually dominated, reflects his willingness to be dominated by the Nazis. Zenobi (2020) similarly explores how sadomasochism in *Mephisto*, and Weimar era literature more broadly, reflects power structures and the relation of art to the government. French (2008) examines the relation between power and art, but focuses on theatre and music rather than sexuality while also using a comparative method of analysis. A popular and fruitful area of research on *Mephisto* often foregrounds the novel's portrayal of power and its relation to art. French (2008) uses a comparison between Klaus Mann's *Mephisto* and Thomas Mann's *Doktor Faustus* in order to explore the role that art plays as an allegory for the rise of Nazism. French specifically explores how her two primary sources employ theatre and music in order to uncover how they represent nazi barbarism.
French presents a historical timeline beginning from Classical Greek theatre up to the time of Thomas Mann.

Perhaps due to how it breaks away from the traditional Faust narrative, *Mephisto* finds itself in a liminal space where it might be seen as not quite being a fully-fledged Faustian story. The characterisation of Höfgen does not help this as he can be difficult to pin down and many scholars have debated whether he is a stand-in for Faust or for Mephistopheles. Rynda (2018: 283) states that Höfgen was playing the role of a Mephistopheles when he was in fact a deceived Faust. István Szabó also adopts this view of Höfgen. (Andričíková & Getlík 2021: 22)

Andričíková & Getlík (2021: 22) challenge this view that Höfgen was a Faust as it takes accountability away from Höfgen and from the careerist and *Mitläufer* who willingly sided with the Nazis. Outright calling Höfgen a deceived Faust makes him appear as a good man that was unwittingly led astray, which is untrue of the characterisation of Höfgen. One of the recurring traits that the Faustian protagonist has is that they are not wholly good people. This does not mean that they are as evil as the demon and devil that they align themselves with but they are morally complex characters. Höfgen is something of an exception because he is not tricked into an allegiance with the devil like in Goethe's *Faust* but instead goes out of his way to join the ranks of the nazis.

Morgan's work *On Shame* (2018) explores how post-war holocaust media elicits shame in an audience. Useful in the context of this study, is Morgan's identification of the numerous complex ways that one may feel shame. He identifies that shame is often not felt in the moment that a shameful act is committed, but is often felt afterwards by both victim and perpetrator, and that furthermore shame can be felt by someone when viewing information that is misrepresented. (Morgan 2018: 4) This type of shame is experienced by both Faust and Höfgen, which is dealt with in greater detail in Chapter 3: Moral Emotions.

In *Mephisto*, members of the Nazi party are always described in vivid and grotesque imagery that is supposed to reflect the disgusting nature of their character in *Mephisto*. The *Fliegergeneral*[8] is described as obese and monstrous. He is described like a caricature of king and Klaus Mann's descriptions make the reader think of opulence and over-indulgence which becomes disgusting or shameful when contrasted with the background whispers of workers and rebels being executed. (K. Mann 1980: 9) This is mentioned in greater detail in Chapter 3.2: Disgust as a Moral Emotion. In *Mephisto*, members of the Nazi party are caricatured to grotesque extremes as their worst features are exaggerated (K. Mann 1980: 26) Structured and dedicated writing aimed at exploring and understanding the emotion of disgust is an innovation that began with Charles Darwin Before Charles Darwin there existed no text that was as in-depth or as unbiased as Darwin's work The *Expression of the Emotions in Man and Animals* (1872). To date, there exists no systematic dialogue on disgust originating from the classical world. (Lateiner & Spatharas 2017: 4) This is because emotions were frequently placed on a

[8]The *Fliegergeneral* is the persona for Hermann Göring in *Mephisto*. He was the commander in chief of the Luftwaffe and Prime Minister of Prussia during the Nazi regime. He was, as was mentioned earlier, a close ally of Gustaf Gründgens.

hierarchy where emotions such as disgust being seen as unworthy of inquiry. (Graver 2007: 5) That is not to say that the ancients did not write about disgusting scenarios as many surviving works of literature from the classical world contain numerous depictions of scenarios that elicit disgust. (Lateiner & Spatharas 2017: 5)

Numerous modern writers have written on the many disgust eliciting scenarios in classical literature, see *The Ancient Emotion of Disgust* (2017) for a recent collection of essays dealing with disgust ranging from core to moral disgust. One example of a scene that evokes disgust is the death by exposure that is suffered by Philoctetes in the *Odyssey*.

> "His foot/ diseased and eaten away with running ulcers," Odysseus argues, "we had no peace with him/…/…and those terrible cries of his/ brought ill luck on our celebrations." Secondly, there are indications that the wound has been ordained by the gods and consequently entails a moral-religious hermeneutic. (Menninghaus 2003: 3)

What causes disgust is often culturally based. This phenomenon of how people react to 'disgusting' images is explored in greater detail in Chapter 3: disgust. *The Politics and Aesthetics of Hunger and Disgust* (Delville & Norris: 2019) discusses how authors have used images that cause disgust in order to portray a moral message.

Chapter 3: Moral Emotions: Theoretical background

The following discussion on moral emotions and disgust begins with a history of the academic study of emotions and the way that morality develops as a result of our emotions. The basis of moral emotions as they are understood within the context of this study comes from the writings of psychologist Jonathan Haidt's *The Moral Emotions* (2003). This chapter will serve as an overview of the study of moral emotions with special attention paid to the theory of Jonathan Haidt. I explain what constitutes an emotion and how emotions may be considered to be moral, followed by a closer examination of the emotion of disgust, its historical reception and how it relates to Klaus Mann's *Mephisto* and Goethe's *Faust*. I also discuss the concept of *ennui* as a specific manifestation of disgust within Goethe's *Faust* and *Mephisto*.

Emotions can be readily observed in humans as a result of their elicitors and the behaviour that they often encourage. For every emotion there exists the elicitor, a facial expression, physiological change and an action tendency. (Haidt 2003: 853) Emotions arise in humans as a result of elicitors that are unique; "In other words, all emotions are responses to perceived changes, threats or opportunities in the world, but in most cases, it is the *self* whose interests are directly affected by these events." (Haidt: 2003 853) One may feel love when seeing a dog or family member, whereas one may feel shame after seeing a failed test or as a result of an embarrassing encounter. On seeing a family member, one may feel lighter and smile and this mental and physical reaction will encourage the person experiencing love to seek it out and encourage them to protect their family member. Conversely, someone who watches a documentary on the Holocaust may feel shame and therefore may be motivated to participate in activism in response to feeling shame. (Morgan 2008: 3)

Hence, human emotions can act as powerful motivators in order to encourage us to carry out actions that benefit our own survival, such as protecting close kin and securing wealth in order to provide for oneself and family. Similarly, moral emotions are emotions that either respond to moral behaviour or encourage moral behaviour. (Haidt 2003: 853). Moral emotions can also be described as emotions that are pro-social because they promote cooperation by encouraging members of society to act in a moral manner through the threat of feelings such as shame or guilt. (Blitvich 2022: 62) Moral emotions may also be described as emotions that are linked with morality. (Stets & Turner 2006: 544) According to Haidt (2003: 852) the field of moral emotions has been historically neglected. This was attributed in part to Europe's reliance on Ancient Greek philosophy which often looked down on emotions as an indulgence as they were

believed to contribute to a less rational worldview that was ultimately useless. This is highlighted by Aristotle's' description of anger being like the impatience of dogs: "Anger seems to listen to reason, but to hear wrong, like hasty servants, who run off before they have heard everything their master tell them, and fail to what they were ordered, or like dogs, which bark as soon as there is a knock without waiting to see if the visitor is a friend." (Aristotle 1962: 1149a) Allowing oneself to be overcome by emotion was thus allowing oneself to become subservient to lesser feelings and energies.

Plato similarly saw emotions as lesser sensations due to the belief that reason dwelt in the head whereas passions and emotions dwelt in the stomach thus making them too lower senses to reason. (Timaeus 1949: 69) This view would create the idea that emotions were antithetic to reasoning and were not useful in producing a useful model of morality and reasoning. The philosophy of emotions would further be influenced by the Greek school of cynicism and the later philosophy of stoicism as Stoics were some of the earliest philosophers who studied emotions but they frequently placed emotions on a hierarchy. (Graver 2007: 5) The different stoic thinkers were united in their belief that reason and virtue were the highest goals for humans to strive toward. Reason was believed to be the primordial creative and life-giving power of the universe. Humans were thus unique as we were gifted this reason by the universe, and by following reason and virtue we would be able to reunite with these divine forces after death. Practitioners were encouraged to control their emotions in order to follow a virtuous life. This philosophy of emotions and virtue was in many ways a syncretic religious belief as well. The stoic school and stoicism did not completely disappear as a major school of philosophy and religion; instead, it lived on in the way that it would influence our views on emotions to the present day.

Early research undertaken into morality often put emotions as the antithesis of morality, and thus virtue; This is seen in the precursor to the modern study of moral emotions in the field of moral reasoning. (Haidt 2003: 852) Jean Piaget (1896–1980) was an early pioneer in the field of moral reasoning who focused on childhood development. He would be followed by Lawrence Kohlberg (1927–1987) and Elliot Turiel. Moral reasoning can be defined as "a type of reasoning directed towards deciding what to do and, when successful, issuing in an intention." (Richardson 2008: 1.1) The study of moral reasoning also concerns itself with questions such as what one ought to do (Richardson 2008: 1.1), and thus what one ought not to do. This is enforced by the idea that humans are primarily rational beings and that we come by

our moral judgments through reasoning first. (Kohlberg: 1969; Piaget: 1965; Turiel: 1983). This is known as the rationalist model. Thus, moral reasoning focused on the idea of rationally using our emotions in order to find solutions to situations and problems that arise in our lives. The field of moral reasoning would begin to decline as the 20th century came to its end as researchers became more interested in the burgeoning field of moral emotions. Researchers found that reason and rationality do not always lead to the best emotional solution due to the complexity of situations and the unreasonable nature of our emotions which thus required a more in-depth study of emotions on their own and how they apply to morality. (Richardson 2008: 1.2) Furthermore, we as humans often find it difficult to rationalise our actions and emotions in the moment that they are felt and thus we find reasons to rationalise our actions and emotions once the instigating event has passed. Our emotions are more often than not knee-jerk reactions to events that we witness or hear about, and we must then rationalise our feelings once they have been felt. (Haidt et al 2000)

The study of moral reasoning eventually gave rise to the study of moral emotions in the 21st century as researchers began to take note of the importance that emotions play in formulating our sense of morality. (Haidt 2003: 852) At first the emotions of empathy and guilt attracted significant attention in the 1970s although today, a larger stock of moral emotions is focused on, including anger, shame and disgust. (Haidt 2003: 853) Phil Hutchinson recounts how the study of the moral emotions had at one point been referred to as an "odd backwater" in the 1990's. (Hutchinson 2008: vi) There has also been a significant rise in more public interest in moral emotions as evidenced in the growing research corpus of moral emotions and the popularity of writers such as Jonathan Haidt who has found success both in academia and with more general audiences. Jonathan Haidt is a popular social psychologist whose work is dedicated to investigating the link between emotions and morality. He frequently focuses on that the role of emotions in religion and politics, and how this creates division. (Haidt, 2012 *The Righteous Mind*) Furthermore, Haidt is interested in the role that emotions play in regards to the development and raising of children. He has authored two books on the topic of adolescents and emotions, *The Coddling of the American Mind* (2018) and *The Anxious Generation* (2024). Haidt has become an important spokesperson for the study of moral emotions and the study of morality.

Phil Hutchinson is another researcher who has seeks to expand the understanding of moral emotions with a focus on the intersection between shame and ethics. He is known for his work

Shame and Philosophy (2008). His particularly investigates the role that shame plays in sexuality. He has written articles investigating the placebo effect. He has described the purpose of his work as being therapeutic in its aim. (Hutchinson 2008: 2) Comprehensively listing moral emotions can be difficult as different researchers will have different ideas on what constitutes a moral emotion, however the generally accepted list features anger, fear, disgust, shame, empathy and sympathy. (Rozin et al. 1999; Tangney & Dearing 2002; Haidt 2003) Tangney & Dearing state:

> [B]ut a moment of review reveals that this view is far too narrow. The palate of human emotions is much larger and diverse than this short list of moral emotions; and since human capacities for emotion evolved to increase moral commitments to others, social structures and culture, many more emotions have moral effects. For example, righteousness, awe, veneration, joy, happiness, remorse, vengeance, and even sadness can mark emotional arousal over moral issues. (Stets & Turner 2006: 544)

Thus, as the study of moral emotions expands, so does our understanding of what makes an emotion a moral one. This moral nature of moral emotions also makes it necessary to briefly evaluate what is moral and what is considered moral in the western sense. This evaluation will also serve in explaining why, as Haidt put it, the study of moral emotions has been ignored to some extent until recently. (Haidt 2003: 852)

3.1. Morality

Sociologists Turner and Stets define morality as something that "ultimately revolves around evaluative cultural codes that specify what is right or wrong, good or bad, acceptable or unacceptable." (2006: 545) Morality and taboos are concepts that have existed in all human societies regardless of government, religion or culture. Moral emotions usually carry negative connotations with them as they often imply that one party, be it the experiencer of the emotion or someone else, has committed some form of transgression. Thus, moral emotions can be seen as emotions of judgement. The moral emotions, as Haidt categorises them, are hate, disgust and shame. (Haidt 2003: 854)

This is perhaps due to the very nature of many emotions being moral, as I have argued that emotions are not created as a by-product of a rational morality but instead, it is morality that is the byproduct of complex emotions that need to be rationalised at a later stage. The moral emotions that will be investigated in this thesis are disgust and shame. These moral emotions

can be placed into what Haidt describes as “the other-condemning family” of moral emotions. (Haidt 2003: 855) Contempt, anger and disgust form a core part of this family and give this emotion-family its name due to the condemning nature that they elicit as their occurrence implies that someone, including the self, has done something wrong. These emotions act as social and moral moderators and thus police the behaviour of the community as “[they] respond to moral violations” or “motivate moral behaviour.” (Haidt 2003: 853)

Haidt mentions two possible ways to define morality. The first approach he describes is linguistically based; a statement is moral, based on its prescriptive nature or if it can be universalizable as described by Hare. (Hare 1981, in Haidt 2003) The second approach is preferred by Haidt as it focuses on actions and ‘material issues’ around moral judgements. (Haidt 2003: 853)

> This second approach is more promising for psychological work, for it does not stir morality to language, thereby allowing the discussions of the origins of the moral emotions in prelinguistic animals and children. The secondary approach suggests a preliminary definition of the moral emotions as those emotions that are linked to the interests or the welfare either of society as a whole or at least of persons other than the judge or agent. (Haidt 2003: 853)

In other words, the second approach allows for a more nuanced way to investigate moral emotions. By forgoing a linguistic origin for morality or emotions, it allows us to study how morality and emotions developed in other animals. This helps us understand the development of human emotions by seeing how they evolved from the instincts of other mammals. The second method also allows researchers to investigate the impact of moral emotions on an individual as well as a societal scale. Haidt further defines moral emotions as emotions “that respond to moral violations or that motivate moral behaviour.” (Haidt 2003: 853)

3.2. Disgust as a Moral Emotion

Disgust, like all moral emotions, is a complex phenomenon, which is reflected in the complicated relationship that humans have with the emotion of disgust. Understanding the concept of disgust seems to be an historically new academic endeavour:

> As a rule, it has not seemed worthwhile to record such data [on the emotion of disgust]; what is more, their recording would have been rejected as unworthy, indecent and abominable. Even today, the few researchers in this area habitually make excuses for their interest in the subject. (Menninghaus 2003: 3)

However, since the mid- 20th century, there has been a sharp increase in the interest that researchers have shown toward the study of disgust. (Haidt 2003: 853) This coincides with the horror genre's rise in popularity across numerous entertainment mediums. (Church 2021; Jones 2018; Martin 2019) This section will thus briefly explore the use of disgust in literature; more specifically, how disgust is displayed by characters and how authors portray disgust in literature.

Disgust can be broken down into two forms of disgust, core disgust and generalised disgust. (Haidt 2003: 857) The first is labelled core disgust and may be regarded as the simpler form of disgust due to the fact that it occurs as a reaction to easily identifiable and universally disgusting occurrences such as bodily excretions. (Haidt 2003: 857) Generalised disgust is more complex as it is often elicited by bodily actions that are not directly harmful to individuals and society, such as substance use or homosexuality. (Haidt 2003:857) Thus, the feeling of generalised disgust is often justified through morality (moral disgust).

Core disgust is the simplest and most easily identifiable form of disgust; it represents the immediate reaction that a human feels when confronted with something disgusting such as rotten food, human waste or bodily excretions. (Haidt 2003:857) Core disgust is generally considered to be an evolutionary adaptation in order to keep humans safe from disease and bacterial harm. Clinical researcher Paul Rozin claims that this reaction evolved as a way to keep humans safe from harmful foods due to the frequency of core disgust elicitors being food- and mouth- orientated, what should be consumed and what should not be. (Rozin & Norris in Delville & Norris 2017: 88) Darwin, writing in 1872, was the first to note the emphasis that disgust is most frequently elicited by physical objects detected by our senses while also being elicited by ideas and concepts; he described two forms of disgust in his writings on emotions stating that disgust "refers to something revolting, primarily in relation to the sense of taste, as actually perceived or vividly imagined; and secondary to anything which causes a similar feeling through the sense of smell, touch and even of eyesight". (Darwin 1965: 234) Richard Lazurus more clearly describes the two forms of disgust by describing disgust as "taking in or standing too close to - metaphorically speaking - an indigestible object or idea". (Lazarus 1991: 826) The boundary between core disgust and the more generalised social disgust can often be difficult to distinguish. Furthermore, disgust does not only have to be elicited by the current state of the object but is often elicited by its contact history, for example, a morsel of food can

elicit disgust not because the meat is poisoned or spoiled but because it has at some point been handled by a person by whom the receiver feels disgusted. (Haidt 2003: 857)

Kristeva would add to the burgeoning topic of disgust in her 1980 essay, *Powers of Disgust*. In her essay she discusses the idea of the *abject* which she describes:

> What is *abject*, on the contrary, the jettisoned object, is radically excluded and draws toward the place where meaning collapses. […] The corpse, the most sickening of wastes, is a border that has encroached upon everything. It is no longer I who expel, "I" is expelled. The border has become an object. How can I be without border? (Kristeva 1982: 2-4)

Kristeva's writing leads to the border between core disgust and moral disgust where the physically disgusting and revolting may lead to a crisis in identity and being. This process was crucial for forming self-identity. (Arya 2014: 4) This leads to the more complex expression of disgust, to which I have referred as generalised disgust. This form of disgust shows itself much in the same manner as core disgust, such as physical signs of revulsion such as the possible tightening of the body, retching or the desire to be away from the person, object or idea that is triggering the person's disgust response. (Haidt 2003: 857) We show these symptoms because we feel that the disgusting object threatens our boundaries and our sense of self by extension. (Kristeva 1982: 18) For Kristeva this powerful disgust reaction is elicited by the abject and is best represented in the form of a corpse. The powerful response that one gets from witnessing a corpse gives the experiencer an existential crisis as it forces the experiencer to reflect on their mortality. The encounter with the *abject* is powerful because it represents the 'other' that is also part of ourselves. This horrifying experience with the *abject*, however painful, is beneficial as it enables to construct our sense of self. (Arya 2014: 4) The idea of crossing boundaries will be more pertinent in chapter 4.3: *Katabasis* and the Hero's Journey. In summary, the hero's journey proports a model where one may undergo substantial personal transformation and growth through the process of crossing boundaries.

This form of disgust is crucial to the Faust narrative as it is the most common occurring variant of disgust in *Faust* and *Mephisto*. Faust and Höfgen rarely perform acts that are directly physically disgusting; however, both characters frequently disturb the boundaries between acceptability and deviancy as judged by the social context in which they are found. Faust has intercourse with Gretchen, who is a minor, and enters into a pact with the devil. Höfgen himself feels a sense of disgust during his meeting with the *Fliegergeneral* where he describes himself with disgust and contempt as he has corrupted himself.

> Jetzt habe ich mich beschmutzt, war Hendriks bestürztes Gefühl. Jetzt habe ich einen Flecken auf meiner Hand, den bekomme ich nie mehr weg… Jetzt habe ich mich verkauft… Jetzt bin ich gezeichnet! (K. Mann 1980: 232)

This is an example of the pollutant nature of disgust. Höfgen experiences the polluting or staining nature of disgust. Höfgen's handshake with the *Fliegergeneral* disgusts him and he feels stained by his action. These scenarios with Faust and Höfgen share something that links core disgust with generalised disgust, in that they are often both focused around the body and the notion of purity.

Generalised disgust is unique and important as it plays an important role in shaping our collective morality and how we choose to judge not only the actions of others but our own. The other side to disgust is sociological and psychological and deals with abstract feelings of disgust; "This expanded disgust can most succinctly be described as a 'guardian of the temple of the body'" (Haidt, Rozin, McCauley & Imada 1997: 114). Moral disgust is triggered by people who violate local cultural roles for how to use their bodies, particularly in domains of sex, drugs. and body modification. (Haidt 2003: 857)

Haidt uses the example of ethically based vegetarianism in order to make this distinction between moral disgust and core disgust. (Haidt 2003: 857). Core disgust towards meat is the evolutionary instilled disgust that prevents humans from eating food that may be harmful; (Rozin et al. 1993. 2000) "Disgust rejects food not principally for its sensory properties but for their ideational properties (e.g., the source of the food or its contact history)." (Haidt 2003: 857). Thus, disgust towards eating animal meat would be a manifestation of moral disgust as the cut of meat could contain healthy nutrients while still generating discomfort in a vegetarian due to their personal beliefs. This speaks to the physical aspect of disgust; the discomfort that is aroused when being in the presence of something that is seen as unclean or corrupted. Disgust in general is often associated with a sense of regression; people acting like animals. "Disgust is a one-way border guard, however; it is triggered by people moving down, not by animals moving up (e.g., by a chimpanzee using sign language or by a dog wearing human clothing)." (Haidt 2003: 857) When someone has done something that elicits disgust within the self it may instead be felt as shame as both emotions stem from the violation of social norms.

The differences between shame, disgust and remorse are subtle and may appear to overlap. This can make distinguishing them confusing. Shame and remorse can be understood as self-conscious emotions (Haidt 2003: 855) Shame is theorised to have developed as a way for

individuals and groups to self-regulate their behaviours in order to avoid eliciting anger, disgust or contempt from others. (Haidt 3002: 859. This distinguishes shame from disgust based on their intended target. Disgust is felt towards others whereas shame is self-reflected. Both regulate communal moral norms. Shame can be communally felt, or in other words, one can bring shame on their family, friends or community as Haidt explains that "the failure to be vigilant about one's presentation brings shame and dishonor to the self and to one's (interdependent) kin and marks one both as a poor partner for future interactions and as an appropriate target for contempt, disgust and ostracism." (2003: 860) Haidt states that guilt and shame, although related, are two separate emotions. (2003: 860-861) This is true for Hendrik Höfgen and how he reacts to his actions throughout *Mephisto*. The best example of shame is the concluding scene of *Mephisto* where Höfgen breaks down in his mother's lap as the levity of his actions finally sinks into him. (K. Mann 1980: 344) Shame is believed to have evolved in mammals as a way to show submissiveness when in the presence of superiors due to shame and embarrassment frequently being felt when in the presence of superiors. (Haidt 2003: 859-860)

Furthermore, Haidt mentions that "shame is more typically elicited by one's own perceived violation of a moral norm". (2003: 860) In the context of *Mephisto*, this would imply that Höfgen is the worst kind of traitor as he is aware that he is betraying his values and that he knows, and believes, what he is doing is wrong yet he chooses to go through with his deal with the devil despite the feeling of shame that it stirs in him. In the context of *Mephisto*, embarrassment can be an indication of a lack of commitment within the Nazi elite. At one point, a Nazi intellectual proposes that everyone sing the *Horst-Wessel-Lied* much to the embarrassment of everyone attending:

> Baldur von Totenbach […] hatte den Vorschlag, man solle stehend das Horst-Wessel-Lied singen und dem Führer zum hundertsten Mal die Treue geloben. Es wurde allgemein als ein wenig peinlich empfunden, mußte aber natürlich geschehen. (K. Mann 1980: 318)

Embarrassment in this instance implies a lack of conviction on part of the Nazi elite and adds to the theatrical nature of the Nazi regime as a whole and results in a collective *Fremdschämen*.

After meeting with Margarete, Faust hides himself away in a cave wherein he enters a deeply contemplative state. (Goethe 1979: 3217) Faust feels ashamed of his actions and that is why he is in the forest cave. He is hiding away from the temptation and negative influences of

Mephistopheles. Furthermore, by attempting to reject his desires, Faust comes closer to finding a higher sense of joy in his monologue addressed to the *Erhabner Geist*.

> Erhabner Geist, du gabst mir, gabst mir alles,
> Warum ich bat. Du hast mir nicht umsonst
> Dein Angesicht im Feuer zugewendet.
> Gabst mir die herrliche Natur zum Königreich,
> Kraft, sie zu fühlen, zu genießen. Nicht
>
> Kalt staunenden Besuch erlaubst du nur,
> Vergönnest mir, in ihre tiefe Brust
> Wie in den Busen eines Freund zu schauen.
> (Goethe 1979: 3217 – 3224)

This is foreshadowing at the greater conclusion of the hero's journey as it features within Goethe's *Faust*. Likely due to the Christian influences on Faust, his salvation is only possible once he begins to feel regret or shame as these emotions show that one is able to have sympathy and love for others.

Disgust can be described as a condemning emotion as it elicited by objects, people or actions that result in one feeling disgusted. Furthermore, when one feels disgusted, one wishes to leave the presence of what is electing the feeling of disgust. Shame is regarded as a self-conscious emotion as it is frequently felt reflexively. Shame is felt when one feels that they have breached a social code if they are in the presence of superiors or those that they perceive as superior. Feelings of shame highlight that the self is personally flawed and feelings of shame encourage the self to improve their fault. Shame is often emphasised for its communal nature as immoral actions may be retroactively regarded as a violation on part of a community and may foster in a sense of collective shame which hopefully fosters a sense of collective remorse. (Haidt 2003: 859-869, Morgan 4: 2008)

3.3. *Ennui*

In literary texts, disgust can manifest itself in a unique form of disgust known by the French term *ennui* which can be defined in numerous ways in English: "*Ennui* can mean 'nausea', 'noxia' and 'non gioia'". (Kuhn 2017: 5) It has also historically been used to express hate, annoyance and even boredom. (Kuhn 2017: 5-6) *Ennui* has always carried with it numerous meanings as shown by the flexibility to which the word is used by the same author.

> La Rochefoucauld could use *ennui* both to designate his deep spiritual distress and to complain of the trivial nuisances of court life, just as in the twentieth century Sartre can write of ennui as the emotion that caused Roquentin's nausea and use the same expression when he talks of the bother of having to locate a book in the library. (Kuhn 2017: 6)

Throughout this thesis, *ennui* is understood as a form of boredom that exists in close proximity to disgust. However, *ennui* is not to be confused with boredom in the casual sense that is experienced everyday such as a pupil waiting for a class to end or waiting for the next train to arrive at the station. *Ennui* refers to a deeper form of boredom that sinks deeper into a person's soul than that of casual boredom. Kuhn gives an example of the type of experience that may induce a feeling of *ennui* in a victim:

> A somewhat different case is illustrated by the typical portrait of the suburbanite. She is tired of the magazine that she is reading or the television show that she is watching and mixes another cocktail for herself. Or perhaps she telephones an equally bored friend and they talk for hours about nothing, or perhaps she drifts into an affair that means as little to her as the television show or the magazine article. [...] Although basically similar in that it is also caused by forced inactivity of the mind, the results—depression, neuroses, even suicide—are so much more disturbing for the apparent reason that this is a condition that has no foreseeable or inevitable end but death. (Kuhn 2017: 7)

This depressive element is evident in the beginning of Goethe's *Faust* where Faust attempts suicide as he sees it as the only escape from his mundane existence available to him. (Goethe 1979: 732-736) This raises the question as to what it is exactly that leads the mind to become so neurotic and poisoned by *ennui*.

Ennui can be described in the same sense that Schopenhauer describes the type of boredom that robs one of satisfaction:

> Boredom sets in, Schopenhauer observes, when all our desires for determinate objects (fame, fortune, a new car, finishing this paper, and so on) are satisfied and no new desire comes to agitate us. And yet when we are bored, we feel as if something is lacking or felt to be desired. (Reginster 2004: 54)

This is not to be understood as the type of childhood boredom one has when with a playmate or the boredom that one is afflicted with when standing in a long queue. *Ennui* can be borne out of the subconscious feeling that one does not feel that they are being challenged enough.

> The desire whose frustration is a source of boredom is therefore more specifically a desire not just to have but also to *pursue* desires. We want desires, in other words,

> because they give us something to do. We can also be bored, however, even when we are engaged in the pursuit of desires, namely when this pursuit consists only of unchallenging activities. And so the desire on which the susceptibility to boredom depends is a desire to confront challenges, or resistance, in the pursuit of a determinate desire. [....] Most commonly we want not only to confront resistance, but also to *overcome* it. (Reginster 2004: 55-56)

Instead, *ennui* hints at a deeper boredom felt about life in general and a sense of dissatisfaction. Further it is often described with a feeling of disgust. In Goethe's *Faust*, Faust feels that he has all the world's knowledge that puts him above others:

> Zwar bin ich gescheiter als alle die Laffen
> Doktoren, Magister, Schreiber und Pfaffen;
> Mich plagen keine Skrupel noch Zweifel,
> Fürchte mich weder vor Hölle noch Teufel -
> Dafür ist mir auch alle Freud entrissen. (Goethe 1979: 366-370)

Faust's *ennui* is all pervasive and corrosive to the soul. Faust is not satisfied with worldly or esoteric knowledge and is left feeling defeated after speaking to the *Erdgeist*. (481-521)

His hand is however stayed by a chorus of singing angels that make him put the poison away. "Welch tiefes Summen, welch ein heller Ton/ Zieht mit Gewalt das Glas von meinem Munde?" (Goethe 1979: 743-744) Faust then walks through the celebrating streets with his companion, Wagner, while Faust rejoices at the merriment around him for what seems like the first time in years. However, it is only a temporary respite from these feelings as he later describes his attitude to Mephistopheles.

> In jedem Kleide werd ich wohl die Pein
> Des Engen Erdelebens fühlen.
> Ich bin zu alt, um nur zu spielen,
> Zu jung, um ohne Wunsch zu sein.
> Was kann die Welt mir wohl gewähren?
> Entbehren sollst du! sollst entbehren!
> (Goethe 1979: 1544 – 1549)

Ennui is the defining characteristic of Faust and it is what ultimately drives him into entering his bargain with Mephistopheles. It is not out of fear of the supernatural but due to his misplaced certainty that even a powerful spirit like Mephistopheles cannot do anything to change Faust's mind. *Ennui* is treated somewhat differently in *Mephisto*. Whereas Faust is aware of his cynical worldview and is well aware of the disgust that he feels, Höfgen is almost

incapable of noticing it. At the very least, Höfgen does feel disgust and shame strongly, but he chooses to ignore these feelings.

Moral disgust presents a new way to look at the Faust legend and how characters understand their own actions. *Mephisto* and *Faust* are not only bound by their shared theme of disgust but also by a shared heritage. That is the heritage that consists of a complex interconnected web of heritage that is the German literary tradition that is based both in the traditions of Rome and Christianity, but also in that of German culture. Intertextuality is the theoretical tool employed in this study to untangle this web in order to show the shared heritage of these texts and how history and society has shaped their unique use of imagery and emotions.

Chapter 4: Intertextuality: Theoretical Background

The interpretation of literature texts and their influence(s) is an ancient human practice dating back to antiquity. (Zengin 2016: 300) Today the interpretation of texts has expanded and been improved through the theory of intertextuality that was spearheaded by Julia Kristeva. Intertextuality has its roots in the structuralist and poststructuralist movements while not quite fitting into either movement. (Still & Worton 1990: 1) Instead of merely interpreting texts for hidden meanings, intertextuality seeks to investigate the interplay between texts. (Still & Worton 1990: 17-18) Kristeva was especially influenced by the ideas of Bakhtin, and his dialogism in particular, and would go on to expand upon many of his ideas in her groundbreaking work *Word, Dialogue and Novel* (1966). (Moi 1986: 34) "Structuralism indicates that [...] meaning is based on relationships within a system, and is thus, social; we are defined by language, signs, structures." (Marshall 1992: 19-20) Under structuralist theory, a system is thus made up of structures that are unconsciously adhered to by participants of the system. (Sturrock 2003: 57) Sturrock explains the concepts of structuralism through the example of a language and kinship group. (Sturrock 2003: 57) Intertextuality, instead focuses on the intertextual relationship between two or more texts. (Long & Yu 2020: 1106)

This chapter serves as a brief introduction to Kristeva's theory of intertextuality. I demonstrate instances of intertextuality through using the example of the *katabasis*, or descent into the underworld, and *anabasis*, or ascension, as it is frequently found in European texts. Broadly, a *katabasis* can refer to any narrative that deals with a journey into the underworld. (Ganschinietz 1919 in Bernabé 2015: 15) However, the *katabasis* theme is attributed more generously to a diverse range of works due to a conflict in definition. (Bernabé 2015: 15) Odysseus' descent into the underworld in Book 11 may be seen as a traditional *katabasis*. (Dova 2012: 1) Following the introduction of intertext, there is an analysis of the themes of *katabasis* and *anabasis*, and how they may be applied to Goethe's *Faust* and Klaus Mann's *Mephisto*. Traditionally an epic hero must undergo a harrowing descent that ultimately changes the character for the best which is then followed by their reward, ascension. In this thesis, a *katabasis* means a metaphorical descent into danger and adventure. Höfgen does not venture forth into a literal hell with devils and malicious spirits but Nazi Germany does serve as an apt metaphor for a hellish place on Earth. The term *anabasis* represents the final stage of a narrative wherein the protagonist has undergone a profound and meaningful personal transformation.

4.1. Intertextuality: Theory and literary practice

The term 'intertextuality' was coined by Julia Kristeva in her work *Word, Dialogue and Novel* [1967]. (Still & Worton 1990:1) Intertextuality is considered to be a development of Bakhtin's theory of dialogism. (Moi 1986: 34) Bakhtin's theory of dialogism referred to the 'dialogues' that exist within novels and emphasised that the meaning of a dialogue is created by both past and future dialogues held within the novel and within the broader social context. (Maine & Wegerif 2021: 1) Maine and Wegerif further elaborate on 'meaning' in dialogism as something that "is not contained by words or utterances but is found only in the dialogue between them and their context: The meaning of what has been said in a dialogue is a response to things that have been said before and an anticipation of things that will be said in response." (2021:1) Kristeva expanded upon Bakhtin's theory by focusing on the text upon which each text builds and informs the meaning that is found within the dialogues that occur between texts that informs present and future works.

> Die Bezüge von Texten auf Texte und die Übernahmen von Texten in Texte sind in der jüngeren Forschung unter dem Begriff der Intertextualität verhandelt worden. Geprägt hat den Begriff Julia Kristeva in Auseinandersetzung mit Michail Bachtins Konzept der Dialogizität. Bachtin bezeichnete damit die Polyphonie des Romans, in dessen Figurenreden immer "Fremde Wörter" eingingen. Darunter verstand Bachtin alles das, was zu einem Gegenstand schon einmal gesagt oder in der Wirklichkeit auffindbar war. (Münkler 2011: 16)

One of the core phrases that describes intertextuality is from Kristeva's *Word, Dialogue and Model*, "Any text is constructed as a mosaic of quotations; any text is the absorption and transformation of another. The notion of intertextuality replaces that of intersubjectivity, and poetic language is read as at least double." (Kristeva 1986: 37) This quote has been interpreted in a manner of ways and can be rendered as "all texts are intertext because they refer to, recycle and draw from the pre-existing texts. Any work of art, for Kristeva, is an intertext which interacts with the other texts, rewrites, transforms or parodies them." (Zengin 2016: 300) Therefore, the theory of intertextuality states that a text is in part inspired by one or more texts. All texts and media carry influence over from previous works or that all authors are part of a long line of influence and inspiration, each informing the work of later authors. This concept is captured in the quote from Mcluhan: "The 'content' of any medium is always another medium." (1994: 8) It can also be said that all media is influenced by earlier and present media: "No medium today, and certainly no single media event, seems to do its cultural work in

isolation from other media." (Bolter 2000: 15) Furthermore, Still and Worton explain Kristeva's statement as "a text cannot function as a hermetic or self-sufficient whole, and so does not function as a closed system." (Still & Worton 1990: 1)

This argument implies that all media is influenced by one another and all works whether consciously or unconsciously draw upon the influence of present and past works within their cultural sphere of influence. This can be best illustrated by imagining each author as belonging to a chain or family tree wherein each subsequent author takes the work of the previous and re-interprets to better suit the era and the issues found in the era of the new author. This is evident in the numerous re-iterations of the Faust legend that, although they all share a core story, a misguided character enters into a foolish bet/ pact that ends up destroying the protagonist. Each successive Faust work explores contemporary issues and morals through the trappings of the Faust legend. Goethe's *Faust* deals with moral ambiguity and moral disgust in a world still inhabited by divine beings while Klaus Mann's *Mephisto* deals with the corrosive nature of Nazism and the nature of *Mitläufer* during the so-called Third Reich. A less overt influence on Goethe and Klaus Mann would be found in epic literature, specifically that of the *katabasis* motif.

Intertext can be found through "citations, allusions, parody, pastiche, baroque, avant-garde and acmeism." (Juvan 2008: 4) Dante places his *Divine Comedy* in the same line of influence through intertextuality through classical allusion, primarily through the use of the Roman poet Virgil as Dante's guide and the heroic descent into the underworld. One of the references is to the descent of Orpheus into the underworld as both stories feature a man descending into the underworld and both feature a scene where hell is moved by the poetry or music of the hero. (West 2014: 74) Both Dante's *Inferno* and the descent of Orpheus feature a famous 'double denial'.

> Intriguing also is the phrasing that Orpheus uses for coming to Hell: I have not come here out of curiosity, nor have I come here as a conquering hero but to seek my wife. […] Dante's famous 'double denial' in canto 2: "I am not Aeneas, nor am I Paul." (West 2014: 74)

Through intertext, Dante fuses both classical and Christian traditions into one. (West 2014: 74) Dante's choice of Virgil as his guide through Hell and Purgatory was a calculated choice that links the two great Latins together.

> Virgil, the poet who leads Dante through the many levels of Hell and Purgatory, was hardly a random choice as guide. Dante selected Virgil because, in part, he represents what Dante wanted to be—the greatest Roman poet of all time. [...] Dante was also strongly influenced by the *Aeneid* and borrowed from it for *The Divine Comedy*. He uses the construct of traversing the underworld (as Virgil does) to frame his journey through Hell and Purgatory. (Corey 2008: xiv-xv)

Thus, intertext may appear in a variety of ways that ranges from the use or re-use of text or to the references of events and the re-use of motifs from earlier works. This practice can be seen in Goethe's *Faust* which mixes elements of European folk legends, The Faust legend, with the classic hero's journey. When discussing the *katabasis* and Faust, research has focused on *Faust II* due to its more obvious similarities to the classical *katabasis* as seen in Schueler's (1982) analysis of the descent of the Mother's scene. I argue that Goethe's *Faust* also features an important *katabasis* as the narrative follows the pattern of the hero's journey as depicted by Joseph Campbell. This is further elaborated in Chapter 4: *Katabasis* and The Hero's Journey.

Still & Worton (1990) argue that the act of being influenced is a powerful action for both the author and the reader.

> Both axes of intertextuality, texts entering via authors (who are, first, readers) and texts entering via readers (co-producers), are, we would argue, emotionally and politically charged; the object of an act of *influence*, whether by a powerful figure (say, a father) or by a social structure (say, the church), does not receive or perceive that pressure as neutral. The passionate and the power-relations aspects have, however, been neutralised by certain theoreticians who present the acts of writing or reading as formal structures, without attending to the love-hate which motivates the transfer of texts. (Still & Worton 1990: 2)

Intertextuality investigates the dialogue between texts. (Plett 1991: 5) A broader example of intertext would be the 'appeal to the muses' and the *katabasis* found in epic literature. The appeal to the muses was originally a trope of Classical Greek poetry wherein the poet appeals to muses, i.e. goddesses who aid and inspire poets, in order to inspire him to write something that is glorious. This generally happens at the beginning of the poem or early before the main narrative has begun. In-depth examples of the appeal and the heroes' *katabasis* will be given in Chapter 5: *Katabasis* and *Anabasis*. The *katabasis* was a theme found in Greek mythology wherein the hero descends into the underworld in order to complete a great task. In Homer's *Odyssey*, Odysseus speaks with the ghosts of slain Greek heroes in order to hear their wisdom. Aeneas, in Virgil's *Aeneid*, must similarly descend into the underworld. In the *Divine Comedy*, Dante, in *Inferno*, must traverse Hell with Virgil as his guide in order to reach Heaven. In

Mephisto, it may be argued that Höfgen undergoes his own *katabasis* as Germany is dragged into Hell (and chooses to return to Nazi Germany from France), or perhaps represents Hell under the Nazi reign.

Furthermore, the outline of the narrative in texts referring to or using Faust as a character may also be considered as intertext. Andričíková & Getlík (2021) lay down a useful template for a traditional Faust narrative: "[T]he core of Faustian stories is usually recognisable by a contract with the devil or a bet between God and the devil for a human soul but the stories themselves vary a lot. [….] The structure usually works as a template to manufacture moralistic stories [...]". (Andričíková & Getlík, 2021: 17) They claim that the Faust narrative usually contains two motifs, a leitmotif that involves an unfair contract or a supporting motif that involves a bet between the forces of good and evil. (Andričíková & Getlík 2021: 17) Goethe's *Faust* contains both motifs. Faust makes his deal with Mephistopheles believing that nothing can stop him from his pursuit of excitement and pleasure. (Goethe 1979: 1692
-1698) Faust's actions however end up causing a great deal of suffering and pain, no less for Gretchen. Similarly, Höfgen makes a figurative deal with the *Fliegergeneral* in hopes that it will secure his acting career. (K. Mann 1981: 232) His career begins to accelerate but his acting prowess is compromised and so are his reputation and his relationships.

Both the narratives of Goethe's *Faust* and of the *Faustbuch* are centred around the desires of an unsatisfied scholar who makes a deal with a demon in order to fulfil their human desires. In both narratives, Faust and Mephistopheles go on adventures and both protagonists end up facing severe repercussions for living out their fantasies and for their metaphorical deal with the devil. The original moral of the *Faustbuch* was to not chase after worldly knowledge and pleasure as those lead to hell. This is revealed in the author's preface to the reader of the *Faustbuch*, warning the reader against sorcery:

> Wer sich der Zauberey befleyst.
> Christ der Gewiß kein glaubñ leyst. (Spiess 1963: 1)

The preface also warns about using the devil and sorcery for shortcuts in life by briefly recounting a legend surrounding Pope Alexander VI, detailing how Pope Alexander VI made a pact with the devil in order to become Pope and was thus ultimately condemned to hell for this deed. (Spiess 1963: 1) The pope is offered a similar deal to that of Faust where he is given all that he wants within a set time frame after which the devil will come and collect his soul.

However, Goethe makes many changes to the narrative in his play that substantially changes the way that the reader approaches the narrative and the outcome of the plot. In Goethe's play, Faust believes himself to know everything and this is the cause of his *ennui*. (Goethe 1979: 354-363, 366-370)

4.2. Intertext in Goethe's *Faust* and *K.* Mann's *Mephisto*

A reader does not require prior knowledge of Goethe's *Faust*, Gustav Gründgens or the Nazis in order to understand and enjoy Klaus Mann's *Mephisto*. *Mephisto*, as shown in this thesis, uses Goethe's *Faust* as an intertext, yet the intertext, while overt, is not impenetrable because the reader does not require prior knowledge in order to understand that Höfgen is dishonest or that the *Fliegergeneral* and the Nazis are destructive forces. This also applies to Goethe's *Faust*. Goethe's *Faust* was in-part inspired by Goethe's morbid fascination with the infamous and tragic infanticide carried out by Johanna Catharina Höhn. The reader does not need to have read the *Faustbuch* nor have knowledge of the tragic infanticide carried out by Johanna Catharina Höhn despite the fact that both the *Faustbuch* and Höhn had an important influence on Goethe's interpretation of the Faust legend. (Frenzel 1992: 222) Goethe's rendition of the Faust legend bears little similarity to the *Faustbuch* apart from some narrative aspects as Goethe's rendition has more in common with a Greek tragedy than the *Faustbuch*. This is due to the influence of primarily the book of Job and the Greco-Roman *katabasis* motif. The deal with the devil motif is the best tool in order to establish intertextual links between Goethe's *Faust* and Klaus Mann's *Mephisto* as the deal with the devil motif is a central theme to the Faust legend. The most immediate intertextual links between *Mephisto* and Goethe's *Faust* is the title *Mephisto*, a reference to the demon in the Faust legend.

Another form of intertext that informs Faust is the biblical story of Job. Job is a righteous man and wealthy man who worships and fears God in every aspect of his life. (Job 1: 1-3) One day Satan goes before God in Heaven and makes a bet with God that he can turn Job away from God.

> And the Lord said unto Satan, Hast thou considered my servant Job, that there is none like him in the earth, a perfect and an upright man, one that feareth God, and escheweth evil? Then Satan answered the Lord, and said, Doth Job fear God for nought? Hast not thou made an hedge about him, and about his house, and about all that he hath on every side? thou hast blessed the work of his hands, and his

> substance is increased in the land. But put forth thine hand now, and touch all that he hath, and he will curse thee to thy face. (Job 1: 8-11)

God humours Satan as he believes that Satan cannot shake Job's faith and thus allows Satan to do whatever he wills to Job as long as he does not physically harm or kill Job. "And the Lord said unto Satan, Behold, he is in thine hand; but save his life." (Job 2:6) Job loses everything he valued in his life, his children die, so does his livestock, he is struck by painful boils yet he never yields to Satan and he is thus rewarded for his faith by receiving more blessings from God that he previously had. (Job 42:10-17)

Faust begins with a prologue that mirrors the beginning of the *Book of Job*; Mephistopheles comes to heaven and enters into a bet with God stating that he can turn Faust away from God.

God allows Mephistopheles to tempt Faust as he believes that Faust will be able to overcome the evil demon.

> Der Herr.
> Wenn er mir Jetzt auch nur verworren dient,
> So werd ich ihn bald in die Klarheit führen.
> Weiß doch der Gärtner, wenn das Bäumchen grünt,
> Daß Blüt und Frucht die künft'gen Jahre zieren.
> Mephistopheles.
> Was wettet Ihr? Den sollt Ihr noch verlieren,
> Wenn Ihr mir die Erlaubnis gebt, Ihn meine
> Straße sacht zu führen!
> Der Herr.
> Solang er auf der Erde lebt, So
> lange sei dir's nicht verboten.
> Es irrt der Mensch, solang er strebt.
> (Goethe 1979: 308- 317)

God allows Mephistopheles to tempt Faust as he has faith that Faust, although misguided, will still find his way back to the truth. Furthermore, God believes that it is because man stumbles that he will ultimately find the truth. The story of Faust, much like Job, can be read as a guideline for the reader as it reminds us that through our failings and difficulties, we find joy and purpose.

There are three ways that Klaus Mann most directly links *Mephisto* to Goethe's *Faust*. The deal with the devil motif is thus carried over to Klaus Mann's *Mephisto* in the scene where Höfgen first meets with the *Fliegergeneral*.

> Ahnte irgend jemand von den Neugierigen, was wirklich vorging in Hendriks Brust, während er sich tief über die fleischige und behaarte Hand des Mächtigen neigte? (K. Mann 1981: 232)

Here too a deal with the devil is made between Höfgen and the *Fliegergeneral*. Höfgen feels no disgust at this action, just something short of disgust, "Es war beinah Ekel…" (K. Mann 1981: 232) Unlike Faust, Höfgen recognises that his deal with the devil is evil and that he cannot return from what he has done, yet he is unable to have any significant emotional reaction to his action.

One of the more subtle forms of intertext between *Faust* and *Mephisto* would be the narrative framing of the events of each work in the form of a play. This is most obvious in Goethe's *Faust* due to the story being written as a play and due to the prologue featuring a director and his crew introducing the work as a play before the *Prolog im Himmel* before the actual narrative begins. Likewise, *Mephisto* also contains this element of a stage production although in order to achieve a different effect. The theatrical framing of the events of *Mephisto* are given away in a prologue much like any other theatre play because *Mephisto* begins in an auditorium of the *Opernhaus* that has been magnificently decorated in order to celebrate the birthday of the *Ministerpräsident*. (K. Mann 1980: 9-10) This framing sets up the theatrical nature of Höfgen and the Nazi party by setting the prologue in a theatre where every man must 'act' in order to be accepted into the "Elite der neuen deutschen Gesellschaft". (K. Mann 1980: 12) The prologue highlights the brutality of the Nazi regime while contrasting it with its opulence and hypocrisy at the very onset of the prologue through a discussion being held between two foreign dignitaries.

> In einem westdeutschen Industriezentrum sollen neulich über achthundert Arbeiter verurteilt worden sein, alle zu hohen Zuchthausstrafen, und das im Laufe eines einzigen Prozesses.
>
> Nach meinen Informationen sind es nur fünfhundert gewesen; über hundert anderer hat man erst gar nicht abgeurteilt, sondern heimlich umbringen lassen, ihrer Gesinnung wegen. (K. Mann 1980: 9)

The opulence of the Nazi party is contrasted with their brutal imprisonments and killings. Furthermore, the prologue highlights the theatrical nature of the Nazi leadership. The scene is set in an extravagant theatre hall where the influential members of the Nazi party can present themselves in a manner that is little different to a theatre production highlighting the theatrical and hollow nature of the regime. Höfgen is a reflection of the Nazis. He too is constantly putting

on an act; better yet, he is putting on many acts to many different people. Höfgen's theatrics do not end on the stage but follow him in every aspect of life much like the *Fliegergeneral* and *Propagandaminister*.

4.3. *Katabasis* and The Hero's Journey

The *katabasis* is one of the oldest literary motifs found across the world. (Gardner & Dawon 2023: vii) One of the most popular subjects of intertext has been Homer's *Odyssey* and *Iliad*. Homer's epic poems have for centuries been used by western authors, such as Virgil and Dante, to inform and inspire their own works. Virgil and Dante create intertextual links by manner of direct references to Homer's works and by re-phrasing and mirroring events. Virgil uses the appeal to the muses to reference Homer's works whereas Dante directly references mythological figures by including them in *Inferno* and *Purgatorio*. Homer's *Iliad* and *Odyssey* had for the Greeks been a formative and defining work of art that remained popular for centuries. Much of this was because it had been used as an identity marker for the Greeks. It had served as a piece of literature that had a unifying effect on the Greeks. Today these works are still popular across the world not because of their appeal to Greek culture but also to their appeal to the human condition and human issues. For instance, Madeline Miller's bestselling novels *Song of Achilles* and *Circe* uses Greek myth as a way to promote feminist and LGBTQ issues through Homer's epics. (Hovind 2022, Benhmeida 2021) Some of the most popular heroes who underwent a *katabasis* are Odysseus, Hercules, Orpheus and Virgil to name a few. (Graf 1981: 545)

In Greco-Roman literature, the hero protagonist must often descend into the underworld in order to achieve some goal after which they receive a great boon. In Greek literature we find examples in the twelve labours of Hercules. (Gardner & Dawson 2023: vii) One of the most famous examples is Aeneas' descent into the underworld:

> The most frequently cited example of the descent motif in classical literature is not Greek but Roman. It appears in Virgel's *Aeneid*. [29-19 BC], in which the protagonist descends into the underworld (his *descensus ad inferos*). He passes personifications of human ailments and vices, then monsters, then the unburied dead clamouring for burial, then those who died for love (including Dido), then heroes, and then those guilty of monstrous crimes before he finally meets his father's shade, who foretells both his fate and that of Rome. (Gardner & Dawson 2023: vii)

Likewise, Odysseus travels to the underworld in order to converse with the ghosts of Achilles and Agamemnon in order to better know how to approach the suitors when he finally returns to his home. The theme of the *katabasis* is ultimately one of transformation through adversity; a hero travels to the underworld where they have to overcome an incredible adversity and once achieved, they are granted a great boon. This motif is remarkably similar to what Joseph Campbell termed the hero-journey or the hero's journey.

The hero's journey was first codified by Joseph Campbell in his work *The Hero with a Thousand Faces* (2008 [1949]). The hero's journey refers to the broad narrative outline that Campbell claimed, shapes most human myths and legends that surround heroic figures. Campbell's analysis of myths and legends is deeply Jungian as the archetypes play a vital role within the monomyth. Campbell's analysis and interest in world myth was revolutionary and took folktales which were often regarded as mere wild stories told by 'primitive' people around campfires and showed people that these stories contain a deep and hidden essence that binds them together across cultures on every continent. Also of note is Campbell's usage of the term myth because he uses the term loosely to refer to myths, legends and fairy tales. This is intentional on his part as he is well aware that a distinction exists. The psychology of the hero's journey can be summarised in a dream that Jung once had.

> [Jung] dreamed that he was in the upper story of a two-story house which was unfamiliar to him but which he knew was his own. Looking at the fine old piece of furniture and the valuable painting on the wall, he thought, "Not Bad!" He decided to explore further and went downstairs. On the ground floor the furnishings were medieval, the rooms were dark, and the floors were of red brick. He opened a heavy door and found a stone stairway leading to a cellar, an ancient, beautifully vaulted room which he decided, after a close look at the walls and floor, must date from Roman times. The floor was of stone slabs, and in the middle of one of these was an iron ring. He lifted the slab and discovered another stone stairway which led him down into a low cave cut into the rock. The floor of the cave was covered with thick dust in which old bones and bits of broken pottery were scattered. Among these relics from prehistory, he found two human skulls. Then he woke up. (Holroyd 1976: 25-26)

The presented imagery is mystical and at face value almost meaningless in its abstract presentation. Jung immediately saw a deeper meaning to his dream:

> The house, Jung believed, was an image of his state of consciousness at the time. The upper story, with its cozy inhabited atmosphere, represented the consciousness; the ground floor was the first level of the unconscious; and the deeper and darker recesses represented levels of his own personality which had

> affinities with primitive ancestors and culture that could never be illuminated by consciousness. (Holroyd 1976: 26)

This vision and analysis of Jung's dreams also serves as an outline for the hero's journey; As the hero leaves his home and its comfortable norms and behaviours and patterns, he begins to embark into the liminal space such as the outskirt of the dark forest or the mouth of the dragon's cave. The hero then enters the darker and more dangerous parts of the wild until they find the centre of the woods or the end of the cave where they encounter a fierce beast or monster.

This simple story structure can apply to a multitude of myths and legends and folktales. It is also similar in structure to Jung's dream. He leaves the comfort of his home and journeys into the dark and potentially dangerous depths of the subconscious. The reason that such a dream and myths may have such striking similarities is because myths and stories are unconscious reflections of our own minds. (Campbell 2008: 5) This is the core principle behind the hero's journey. The hero's journey also acts as a form of personal, internal alchemy.

> The alchemical opus deals in the main not just with chemical experiments as such, but with something resembling psychic processes expressed in pseudochemical language. The ancients knew more or less what chemical processes were; therefore they must have known that the thing they practised was, to say the least of it, no ordinary chemistry. That they realized the difference is shown even in the title of a treatise by (Pseudo-)Democritus, ascribed to the first century, *τά φυσικίά και τά μυστικά*.[9] (Jung 1980: 256)

In the same manner that the alchemist uses magical formulas to transmute materials so does the hero through the fulfilment of their journey. The idea of alchemy as a process of spiritual and mental cleansing and enlightenment was a hypothesis that he often wrote about. Jung was personally fascinated by alchemy and wrote extensively on it. Jung believed that alchemy was in many aspects not purely a pursuit of physical rewards but was in many more ways a journey to spiritual and mental completion and enlightenment. The hero's journey is thus another manifestation of this process of internal alchemy with its own set of rituals that are no less psychologically inclined than the medieval process of alchemy.

In Jungian philosophy, the archetypes are primordial projections of the unconscious mind. This unconscious mind is shared by all humans.

[9] Natural and Secret Questions

> The collective unconscious is a part of the psyche which can be negatively distinguished from a personal unconscious by the fact that it does not, like the latter, owe its existence to personal experience and consequently is not a personal acquisition. While the personal unconscious is made up essentially of contents which have at one time been conscious but which have disappeared from consciousness through having been forgotten or repressed, the contents of the collective unconscious have never been in consciousness, and therefore have never been individually acquired, but owe their existence exclusively to heredity. Whereas the personal unconscious consists for the most part of complexes, the content of the collective unconscious is made up essentially of archetypes. (Jung 1969: 42)

The archetypes represent deeply buried human tendencies that work in a similar way to instincts. Just as instincts are inherited through nature and untold years of evolution, so is the collective unconscious a kind of inherited instinctual and uncontrollable instinct. (Jung 1969: 44) Jung further hypothesized that within our collective unconsciousness exists primordial forms that are also shared by all humans.

> From the unconsciousness there emanate determining influences which, independently of tradition, guarantee in every single individual a similarity and even a sameness of experience, and also of the way it is represented
> imaginatively. One of the main proofs of this is the almost universal parallelism between mythological motifs, which on their account as primordial images, I have called *archetypes*. (Jung 1968: 58)

All human minds harbour the archetypes not as a result of inherited cultural traditions but instead as a result of inherited evolution. The archetypes existed in all humans because we are just that, humans, and we all share an inherited psyche that transcends culture. (Jung 1968: 57) The archetypes exhibit an influence over our individual lives however they were not believed to be responsible for our individual mental illnesses. Jung proposed that the archetypes make their presence most known in times of group psychoses. The archetypes unleash their destructive powers not when an individual is sick but only when the group is sick, when a society is sick.

> So far as a neurosis is really only a private affair, having its roots exclusively in personal causes, archetypes play no role at all. But if it is a question of a general incompatibility or an otherwise injurious condition productive of neuroses in relatively large numbers of individuals, then we must assume the presence of constellated archetypes. Since neuroses are in most cases not just private concerns, but social phenomena, we must assume that archetypes are constellated in these cases too. The archetype corresponding to the situation is activated, and as a result those explosive and dangerous forces hidden in the archetype come into action,

> frequently with unpredictable consequences. There is no lunacy people under the domination of an archetype will not fall prey to. If thirty years ago anyone had dared to predict that our psychological development was tending towards a revival of the medieval persecutions of the Jews, that Europe would again tremble before the Roman fasces and the tramp of legions, that people would once more give the Roman salute, as two thousand years ago, and that instead of the Christian Cross an archaic swastika would lure onward millions of warriors ready for death—why, that man would have been hooted at as a mystical fool. (Jung 1969: 47-48)

In this example, Jung sees the tragedy of the so-called Third Reich as a result of a society drawn into madness by the Nazis; that the Nazis' cruelty and destruction was a result of deeply buried primordial forces locked within the psyche. This relates to the plot of *Mephisto* as the novel does not only need to be read as a story about a single careerist but also serves as a warning to a society where numerous people fall under the sway of this kind of mental corruption. Höfgen is one of many such people that helped bring out the death of Germany. Campbell would use the concept of the archetypes and make them a central aspect to his theory of the monomyth, which is more popularly known as the hero's journey. Campbell proposed that the different characters that were found within the traditional mythic tale were representations of the archetypes.

Key to the hero's journey is the concept of ego death. This is the ultimate moment of transformation for the hero where after undergoing their harrowing journey and moments of trial, they arise spiritually reborn and pure. It is not easy to clearly trace the origin of the concept of ego death to a single author or source as the concept has been a prominent belief in numerous cultures, religious and philosophical traditions throughout history. The term ego death and its older form psychic death both have their origins in Jungian psychology even though he had never used the term itself. The term ego death itself was popularised by Timothy Leary, Ralph Metzner and Richard Alpert (1971: 14) in order to describe the effects of hallucinogenic drugs like LSD and psilocybin mushrooms. Philosophically and spiritually, ego death represents a moment of personal transformation and is seen as the ultimate boon granted to the hero at the conclusion of the hero's journey. Ego death is characterised by a destruction of the boundaries previously held by one's ego and the new found feeling of greater interconnectedness with the universe. Albert Hoffman describes the experience of ego death as a result of his experiments with LSD and mysticism:

> In an auspicious case, the new ego feels blissfully united with the objects of the outer world and consequently also with its fellow beings. This experience of deep

> oneness with the exterior world can even intensify to a feeling of the self being one with the universe. This condition of cosmic consciousness, [...] is analogous to spontaneous religious enlightenment, with the *unio mystica*.[10] [...] A reality is experienced that exposes a gleam of the transcendental reality, in which the universe and self, sender and receiver, are one. (Hoffman 1980: 93)

Furthermore, ego death was famously described by Anglo-American author Aldous Huxley as something that is characterised by *Istigkeit*. (Zaehner 1957: 199) When absorbed in the experience of ego death, the experiencer is overtaken by the *isness* of everything because they are observing the world in a manner that they have never observed before. Regardless of how the experience is brought about it always fills the observer with an overwhelming sense of awe that leaves a lifelong impression that may fundamentally change the observer's world view.

> Though it is easy to dismiss the experience of the nature mystic as mere hallucination, this is really begging the question; for in all cases of this experience, the impression of *reality* that they leave behind is quite overwhelming. In every case,—whether the experience comes unheralded or whether it is produced by drugs or Yoga techniques,—the result is the same;—the person who has had the experience feels that he has gone through something of a tremendous significance beside which the ordinary world of sense perception and discursive thought is almost the shadow of a shade. (Zaehner 1957: 199)

Jung based his ideas on ego death on the experiences observed by mystics and occult practitioners wherein they would receive wisdom and information from supernatural forces. Jung would demystify mysticism and use it as the foundation of his psychological theories. Jung discussed ideas of the ego death based on ritual practices in Buddhism, especially *The Tibetan Book of the Dead* to which he was greatly enamoured with.

> For years, ever since it was first published, the [*Book of the Dead*] has been my constant companion, and to it I own not only many stimulating ideas and discoveries, but also many fundamental insights. (Jung 1960: xxxvi)

Jung's commentary on *The Tibetan Book of the Dead*, found in most English and German copies today, was incredibly influential in psychology, philosophy and was also, perhaps somewhat unintentionally, a driving force within the counterculture of the 60s and 70s as Timothy Leary's interpretation in *The Psychedelic Experience* (1969), somewhat based off of Jung's, was hugely influential in the counterculture movements.

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[10] Mystical Union of the mystic's soul with God.

The Tibetan Book of the Dead presents itself as a step-by-step instruction manual for helping the dying transition from their current life to the next with the ultimate goal to facilitate liberation from the material world. However, the analysis is that it is more than just a manual for the dying but just as much a manual for the living. Jung describes it as an initiation process whose purpose is to restore to the soul the divinity it lost at birth and facilitate what Christians would call 'redemption'. (Jung 1960: xl) Thus, through the adversities of death, or a ritualistic 'death', one is able to gain greater understanding and insight, or simply put, enlightenment. This is what is now called ego death and it comes about as a result of severe tribulations which ultimately result in a 'death' of the ego and a rebirth wherein the observer is reborn with a fuller developed sense of self and purpose. This experience may also bring out wisdom in the experiencer.

Campbell would then expand upon this idea and apply it storytelling in his seminal work, *Hero with a Thousand Faces*. His theory stated that at the core of every world myth and religion is this step-by-step journey of self-transformation.

> The standard path of the mythological adventure of the hero is a magnification of the formula represented in the rites of passage: separation – initiation – return: which might be named the nuclear unit of the monomyth. A hero ventures forth from the world of common day into a region of supernatural wonder: fabulous forces are there encountered and a decisive victory is won: the hero comes back from this mysterious adventure with the power to bestow boons on his fellow man. (Campbell, 2008: 23)

This is the standard outline of the hero's journey. At the conclusion of the hero's journey the hero leaves the liminal world and returns home back to the world of the ordinary and the mundane. But the hero returns personally and spiritually changed as a result of his adventure. The hero then blesses his people with the wisdom that he has obtained or blesses them with the magical artifact that he has obtained through his journey. The elements typical of a hero's journey are : The call to action → supernatural aid → passing the threshold → challenges and temptations → katabasis: death and rebirth → *anabasis*: transformation and atonement.

The hero's journey in *Faust* is a form of intertext. The journey that Faust must go on with his two guides, Gretchen and Mephistopheles, is similar to the two guides that accompany Dante on his journey. In *The Divine Comedy*, Dante is guided through hell and purgatory by his guide Virgil. (Dante 2008a: 112-114) Dante is later guided through Heaven by the pure Beatrice because Virgil is a pagan and is thus not permitted entrance into Heaven. (Dante 2008b: 121-

126) Klaus Mann also includes this motif in *Mephisto* with Höfgen's 'guter Engel', Barbara, who plays the role of the female and virginal guide. The hero's journey as outlined by Campbell can be broken up into a number of sequences. The hero is first called to adventure through some means; Campbell calls it 'the call to action'. This is the initiating action of the myth that forces the hero to leave the comfort and security of their home and the familiar in order to enter a liminal space of uncertainty, chaos and danger. (Campbell 2008: 48) The Divine Comedy takes place as a dream vision, thus Dante's call to action is when he wakes up in an unfamiliar dark forest. (Dante 2008a: 1.1-12) The dark forest also serves as the liminal space as Dante has left the comfort of the familiar and been forced into the unknown and dangerous. In Goethe's Faust, Faust receives his call to action while trying to take his life. (Goethe 1979: 732-736) His life is saved at the last moment when the singing of a choir of angels stays his hand. (Goethe 1979: 737-807) Höfgen has his own call to adventure when he hears the news of the burning of the Reichstag. Höfgen is faced with the decision to remain in Paris and choose the life of an emigré and fight the Nazis or to return to Germany and seek the support of the newly enthroned Nazi party. (K. Mann 1980: 200-201)

After the call to action, the hero must then embark on their adventure where they must face challenges and temptations. Throughout the journey, the hero often receives aid from people, animals or supernatural aid from the gods. These are the hero's supernatural guides that are divided into traditional masculine and feminine manifestations:

> The helpful crone and fairy godmother is a familiar feature in European fairy lore; in Christian saints' legends the role is commonly played by the virgin. The virgin by her intercession can win the mercy of the father. […] The hero who has come under the protection of the cosmic mother cannot be harmed. The thread of Ariadne brought Theseus safety through the adventure of the labyrinth. This is the guiding power that runs through Dante in the female figures of Beatrice and the Virgin, and appears in Goethe's *Faust* successively as Gretchen, Helen of Troy, and the virgin. (Campbell 2008: 59)

The female guide often comes in the form of the Goddess or in the form of a virgin. "For those who have not refused the call, the first encounter of the hero-journey is with a protective figure (often a little old crone or old man) who provides the adventurer with amulets against the dragon forces he is about to pass." (Campbell 2008: 57) This is often represented by the Virgin Mary in Christian tales. The dragon forces is a reference to the fact that many times the hero, much like a mediaeval knight, must slay some form of terrifying serpentine creature like a dragon. Cerberus, who guides the gate to Hade, can also fall under the metaphorical role of the dragon. This is a recurring theme in mythology; Hercules slaying the hydra, St. George slaying

a dragon, Jesus Christ overcoming Satan who is frequently depicted as a serpent. The gender of the hero's guide through his journey often grants the hero different protection or represents different values.

The female guide often carries motherly connotations and often symbolises purity and protection. Campbell connects to the traditional nurturing nature of motherhood, and through channelling Freudian, claims that all people are searching for in life.

> What such a figure represents is the benign, protecting power of destiny. The fantasy is reassurance – a promise that the peace of Paradise, which was known first within the mother womb, is not to be lost; (Campbell 2008: 59)

Campbell notices the similarities that Goethe's *Faust* has to the hero's journey as he uses Gretchen as an example of the pure, virgin guide for the hero on his journey. Gretchen begins as a pure person, so pure that Mephistopheles' magic is not able to work on her. Later in the play, Gretchen is able to find redemption and purity after giving herself to God's judgement in her prison. It may also be inferred that like the archetypal virgin, she is able to intercede on Faust's behalf at the conclusion of the play.

Gretchen is able to win over a good judgement from God not due to her purity because by this point in the play Gretchen has suitably stained her soul through her relationship with Faust, matricide and the infanticide of her own child. Yet she is still able to be saved due to her willingness to surrender herself to the judgement of God which represents her willingness to surrender herself to something greater. The audience is not sure if Faust would have won a similar judgement as he is whisked away by Mephistopheles before he is able to be judged. However, Faust is able to find redemption in *Faust, Der Tragödie Zweiter Teil*.

The second type of guide is the male guide that often takes the form of a trickster figure.

> Not infrequently, the supernatural helper is masculine in form. In fairy lore it may be some little fellow of the wood, some wizard, hermit, shepherd or smith, who appears, to supply the amulets and advice that the hero will require. (Campbell 2008: 60)

Unlike the female guide, Campbell identifies that the masculine guide is more unpredictable and wilder which Campbell represents through the example of Mephistopheles.

> Goethe presents the masculine guide in *Faust* as Mephistopheles – and not infrequently the dangerous aspect of the 'mercurial' figure is stressed; for he is the lurer of the innocent soul into realms of trial. (Campbell 2008: 60)

It is perhaps not a coincidence that Mephistopheles is most often depicted in art as a sinister jester. Furthermore, Mephistopheles is portrayed with clown make-up in German theatre. All of this solidifies his nature as a malevolent trickster figure. Once more, Campbell mentions Goethe's *Faust* and uses Mephistopheles as an example for the trickster figure. For the most part, the analogy works. Mephistopheles, both in writing and art, is often presented as a trickster and jester in his portrayal which matches with his 'mercurial' nature. Although Faust is by no means a purely innocent soul, Mephistopheles represents the nihilistic and hedonistic impulses that seek to lead Faust to his death that he must overcome.

Theseus and the minotaur are examples of the hero's journey and psychological undertones; the labyrinth is seen as a representation of the psyche with its unconscious and dangerous elements represented by the terrifying minotaur. (Campbell 2008: 8) Theseus is able to manoeuvre through the labyrinth thanks to the string that is given to him by the princess Ariadne. After conquering the labyrinth and returning home, Theseus is made king of Athens. (Cavendish 1995: 2600) Perseus receives divine aid from both Athena and Hermes on his journey to defeat the gorgon Medusa.

> Hermes gave the hero a magic sickle and Athena gave him a mirror or a shining shield. With the sandals he flew to the place where the Gorgons live. There he had to be careful not to look at Medusa since looking at her turned the looker into stone. He used the mirror-shield to view his victim as he cut off her head with the sickle and quickly put it into the leather bag. Then he used the cap of invisibility to evade the pursuing gorgons. (Leeming 2005: 312)

Following this, the hero must then make his descent. This is usually represented by a journey into some dark or sinister place; a cave, forest, ocean or even the underworld. This is represented by the Ancient Greek term *katabasis*, descent. Odysseus must travel the dangerous sea and the many dangerous lands that he arrives on in order to survive his wanderings. Finally, he descends into the underworld in order to gain knowledge from Achilles and Agamemnon in order to survive his fight with the suitors. Orpheus descends into Hades in order to retrieve the soul of his wife, Eurydice but he is ultimately unsuccessful in his attempt; however, he is eventually granted the power of divination. One of Hercules' tasks is to likewise descend into the underworld and over Cerberus, the three headed dog that guards the gate to the underworld. The hero then arises from the darkness not only a conquering hero but also reborn often in both

body and mind because as they conquer the underworld, the world of the supernatural and chaos, they also conquer themselves. The hero then returns home with gifts that they can use for the benefit of their community and home. In a Christian context, which is one of the contexts in which Goethe's *Faust* exists, the *anabasis* of the hero can often be used to represent atonement for sins and redemption. This is biblically represented in Jesus' *katabasis* when he scours hell and performs an *anabasis* to his disciples as proof that he is indeed the son of God. In *The Pilgrim's Progress*, Christian must leave his home, he then passes through the Valley of the Shadow of Death, he must then cross a treacherous river before reaching the gates of the celestial city. (Bunyan 1965) In Greek mythology, Orpheus is granted the power of oracles and prediction, and in some traditions a form of immortality, after travelling through hades. Odysseus is granted wisdom after traversing the underworld and speaking with Achilles and Agamemnon. Achilles reminds Odysseus that there is more to life than glory and Agamemnon reminds Odysseus not to trust his wife and the suitors and to use trickery. Odysseus then uses this wisdom in order to defeat the suitors and regain control over his home again.

The *katabasis* and *anabasis* are often two integral parts of the hero's journey as they represent the challenges that the hero must overcome and also the reward that they receive at the end of their journey. According to Campbell, once the hero has undertaken their arduous adventure they return home with knowledge or some rare gift for the rest of their people furthermore the hero himself is returns home a changed and better person as the hero's journey is not a physical task but a mental and spiritual journey that brings about a rebirth and transformation by those undertaking it. Campbell also claims that these myths were also didactic as they are meant to inspire listeners and readers to undertake their own inner journey. The hero's journey also inherently gives credence to the idea that there is something more to life, that there is something meaningful and spiritual to existence and the journey that one goes on. Faust's journey is the hero's journey. Furthermore, the prologue with the Regisseur hints at a didactic element to Goethe's Faust while foreshadowing events to come when the play begins. The *Lustige Person* gives the *Dichter* and *Regisseur* advice on what makes a good life and play.

> So braucht sie denn, die schönen Kräfte,
> Und treibt die dichtrischen Geschäfte,
> Wie man ein Liebesabenteur treibt.
> Zufällig naht man sich, man fühlt, man bleibt,
> Und nach und nach wird man verflochten;
> Er wächst Glück, dann wird es angefochten,

Man ist entzückt, nun kommt der Schmerz heran, Und
eh man sich's versieht, ist's eben ein Roman.
(Goethe 1979: 158-165)

These words also hint at future events; Faust and Gretchen are both at first delighted by their romantic relationship while Faust is entertained by the adventure that Mephistopheles has taken him on. However, as Mephistopheles predicts, and the *Lustige Person*, Faust's and Gretchen's love is soon challenged by tragedy and what was once beautiful is soon soured and Faust is left with despair. After a long discussion in order to revive the spirits of the *Dichter*, the *Regisseur* finally sends him off to perform with some final words of encouragement.

So schreitet in dem engen Bretterhaus
Den ganzen Kreis der Schöpfung aus
Und wandelt mit bedächt'ger Schnelle
Vom Himmel durch die Welt zur Hölle.
(Goethe 1979: 239-242)

This quote touches upon Faust's journey throughout the play; he descends from a place of safety into the dark world and pain that Mephistopheles brings him. The quote also shares elements of the hero's journey and the *katabasis* and *anabasis*: "Vom Himmel durch die Welt zur Hölle". (Goethe 1979: 242)

The presence of a *katabasis* does not immediately constitute intertextuality especially due to the universal nature of the *katabasis* motif. However, in the case of Goethe's *Faust* there indeed exist intertextual links between Goethe and the Greco-Roman classics as demonstrated by the presence of the *katabasis*. The dramatic end to Goethe's *Faust* is more akin to a Greek tragedy than the *Faustbuch*.[11] Faust's hubris brings about a tragic end to the romance that he shared with Margarete. It represents a cruel reversal of fortune. Goethe himself was a scholar and well acquainted with the ancient classics. Much of his work, such as the *Urworte*. *Orphisch* (1820) are references to the classic world. Further evidence for these intertextual links is the fact that characters from Greek myth make brief appearances in *Faust* I such Baubo (Goethe 1979: 3966) and Musagete (Goethe 1979: 4311)

[11]This is because the conclusion of the *Faustbuch* is akin to a morality play. Faustus suffers because he has chosen magic over God. (Spiess 1963: 54) There is no tragic romance. Faustus is fated to go to hell because he has sold his soul for worldly gain.

Chapter 5: The Hero's Journey and Moral Disgust

The purpose of this chapter is to investigate and compare the way in which disgust is expressed by Faust in Goethe's *Faust* and Höfgen in K. Mann's *Mephisto*. The analysis will be framed by the structure of the hero's journey as is that was described in the previous chapter, starting with an introduction to the motives of Faust and Höfgen in order to establish how disgust has led them into entering a nefarious pact. This will be followed by the departure/ *katabasis* which deals with how each work represents the pact with the devil. For Faust this is a supernatural world filled with God, spirits and demons, and for Höfgen it is the apocalyptic landscape of Nazi Germany. *Faust* is presented as a successful hero's journey, containing the eventual element of *anabasis*, whereas *Mephisto* represents a failed hero's journey. The *katabasis* represents the first steps of the hero's journey. These are the initial stages of the hero's journey as they leave the comfort of the known and venture forth into the liminal and unknown. This is signified in the Faust legend as the deal with the devil. This is entered literally in *Faust* and more metaphorically in *Mephisto*. In Chapter 5.1: *Katabasis*, I compare and analyse the motivations that led to each characters' pact and the role that moral disgust plays in it. Chapter 5.2: Journey comprises the substance of the hero's journey; the trials and tribulations that the hero encounters during their journey and the supernatural aid that they receive. In Chapter 5.3, the possible conclusion of the hero's journey is discussed.

In Goethe's *Faust*, Faust departs from his study and embarks on a journey with Mephistopheles into a bizarre and dangerous supernatural world. Höfgen embarks on his journey to the less supernatural but nonetheless dangerous Nazi Germany where he is aided by the malevolent *Fliegergeneral*. Furthermore, the appearance of disgust and *ennui* (Chapter 3.3) play an important role in the Faust narrative as it serves as a major motivation for the Faust figure. The experience of disgust is also what serves to liberate Faust from his pain at the end of the play (Part II). This is because disgust serves as a moral compass for Faust throughout his adventure. The exception would be Höfgen. Although Höfgen does indeed feel more moral surprise than disgust, he rarely acts on it and instead suppresses it. Disgust plays the role as both an agent of the protagonists' falls but also is Faust's redemption.

The two different ways that the heroes' journeys unfold and conclude are reflective of the different environment and intention of the given works. Goethe's *Faust* was written in the early 19th century and takes place in a world filled with miracles that is governed by a God who is

capable of forgiveness. *Mephisto* takes place in a godless world bereft of forgiveness. The lack of forgiveness, and of closure, is a result of the time in which Klaus Mann wrote *Mephisto* and as a result of him not seeing an escape from the situation. The Nazi party had consolidated power in Germany,

Both Faust and Höfgen begin with flawed perceptions of the world both stemming from egocentrism and a nihilistic worldview. Faust is an accomplished academic and professor who has spent many years gaining knowledge and qualifications.

> Habe nun, ach! Philosophie,
> Juristerei und Medizin,
> Und leider auch Theologie!
> Durchaus studiert, mit heißem Bemühn.
> Da steh' ich nun, ich armer Tor!
> Und bin so klug als wie zuvor;
> Heiße Magister, heiße Doktor gar,
> Und ziehe schon an die zehen Jahr,
> Herauf, herab und quer und krumm,
> Meine Schüler an der Nase herum –
> [...]
> Zwar bin ich gescheiter als alle die Laffen
> Doktoren, Magister, Schreiber und Pfaffen;
> Mich plagen keine Skrupel noch Zweifel,
> Fürchte mich weder vor Hölle noch Teufel
> Dafür ist mir auch alle Freud entrissen.
> (Goethe 1979: 354-363, 366-370)

Faust further feels like he holds all the world's knowledge and that he stands above all other learned men, so much so that he feels no respect for God nor does he fear punishment for his hubris. However, his years of studying and the belief that he knows everything only reminds Faust that he knows nothing. This leaves the accomplished scholar feeling empty and joyless despite his knowledge. At the core of Goethe's *Faust* is the question of happiness. The pursuit of happiness has always been a source of unintentional pain due to its fleeting nature. Faust's attitude is later described by Schopenhauer: "Everything in life proclaims that earthly happiness is destined to be frustrated or recognised as an illusion. The grounds for this lie deep in the nature of things." (Schopenhauer 1958: 573 in Reginster 2004: 53) This view of happiness is intrinsically hedonist as it will always lead to dissatisfaction due to the temporary nature of the satisfaction of temporary desires. (Reginster 2004: 53) This type of desiring, Schopenhauer recognises, but not Faust initially, ultimately leads to *ennui*.

> The basis of all willing, however, is need, lack, and hence pain, and by its very nature and origin, it is therefore destined to pain. If, on the other hand, it lacks objects of willing, because it is at once deprived of them again by too easy a satisfaction, a fearful emptiness and boredom come over it; in other words, its being and its existence itself become an intolerable burden for it. Hence its life swings like a pendulum to and fro between pain and boredom, and those two are in fact its ultimate constituents. (Schopenhauer 1958: 312 in Reginster 2004: 54)

Faust suffers from an all-encompassing sense of *ennui*. Life to Faust feels meaningless and worthless, it is disgusting to him. The feeling that there is nothing more left to discover becomes a source of grief for the accomplished scholar:

> Drum hab ich mich der Magie ergeben,
> Ob mir durch Geistes Kraft and Mund
> Nicht manch Geheimnis würde kund;
> (Goethe 1979: 377-379)

Faust is not able to find comfort in his vain attempt to seek wisdom from supernatural sources. Even Faust's venture into magic is not enough to bring him any substantial joy, instead it fills him with a fleeting glimpse of peace that leaves as soon as it arrives.

> Welch Schauspiel! Aber ach! ein Schauspiel nur!
> Wo faß ich dich, unendliche Natur?
> Euch Brüste, wo? Ihr Quellen alles Lebens,
> An denen Himmel und Erde hängt,
> Dahin die welke Brust sich drängt –
> Ihr quellt, ihr tränkt, und schmacht' ich so vergebens?
> (Goethe 1979: 454-459)

This leads to Faust soon summoning a spirit using a book on magic. (Goethe 482-517) Yet, Faust is unable to find comfort in his encounter with the *Erdgeist* as he is left feeling confused by the encounter. Faust feels the poisonous and suffocating boredom of existence.

> Den Göttern gleich' ich nicht! zu tief ist es gefühlt;
> Dem Wurme gleich' ich, der den Staub durchwühlt,
> Den, wie er sich im Staube nährend lebt,
> Des Wandrers Tritt vernichtet und begräbt.
>
> Ist es nicht Staub, was diese hohe Wand
> Aus hundert Fächern mir verenget? Der
> Trödel, der mit tausendfachem Tand In
> dieser Mottenwelt mich dränget?
> (Goethe 1979: 652-659)

Faust, like previous Fausti, is then led astray and taken on an adventure by the evil Mephistopheles. Goethe has simply made Faust's motivation for entering into a pact with Mephistopheles far more complex than those of Faustus. Faustus entered into the pact because of his impiety and his hunger for forbidden knowledge. Faust already believes himself to hold all worldly knowledge and is thus burdened by it.

> Des Denkens Faden ist zerrissen,
> Mir ekelt lange vor allem Wissen.
> (Goethe 1979: 1748-1749)

Thus, Faust's motivation is the pursuit of endless pleasure. He wishes to experience all the things in the world that have been denied to him.

At the opening of Klaus Mann's novel *Mephisto. Roman einer Karriere*, Höfgen is a talented actor for a local theatre group in Germany. Höfgen is a talented and brilliant artist, but the first impressions of Höfgen paint him as a hypocrite and an unpleasant man. The first mention of Höfgen is by one of his colleagues, the theatre director Kroge.

> "Das sind Albernheiten!" Kroge schüttelte das sorgenvolle Haupt. Überhaupt ist Höfgen ein grundalberner Mensch. Alles an ihm ist falsch, von seinem literarischen Geschmack bis zu seinem sogenannten Kommunismus. Er ist kein Künstler, sondern ein Komödiant. (K. Mann 1980: 31)

Kroge later adds: "Höfgen wird immer im letzen Augenblick verhindert sein, wenn es sich um Angelegenheiten handelt, die bedenklich für seine Karriere werden könnten." (K. Mann 1980: 38) Kroge is ultimately proven correct later in the novel when Höfgen chooses to throw away his earlier communist leanings and side with the Nazis.

Throughout Chapter 1: H.K. of *Mephisto*, the narrator mentions that Höfgen enjoys toying with his underlings in a sadistic manner, best illustrated in Chapter 2: Die *Tanzstunde* wherein Höfgen torments his entire cast of actors for his own gratification.

> Übrigens schien Höfgen, mit provokantem Hochmut, den Kollegen andeuten zu wollen, daß er seinerseits es keineswegs nötig habe, irgend etwas zu probieren oder vorzubereiten: er war der Regisseur, stand über den Ganzen; seine Routine war so groß wie sein Genie, die eigene Rolle erledigte er nebenbei. (K. Mann 1980: 55)

Frau von Herzfeld directly challenges Höfgen on the nature of his true character during a late-night meeting with him in the cafeteria of the H.K. Theatre.

> Da er stumm blieb, dachte sie: 'Ja – dieses ist wohl das einzige, was ihn wirklich beschäftigt. Das mit dem politischen Theater vorhin und sein Enthusiasmus für die Revolution – das war also auch nur Komödie.' […] "Merken Sie denn nicht, wie Sie die kleine Angelika quälen?" fragte die Frau neben ihm. "Spüren Sie denn nicht, daß Sie – andere leiden machen? Irgendwo müssen Sie doch für all das bezahlen." Sie ließ den klagenden und suchenden Blick nicht von ihm.
> "Irgendwo müssen Sie doch büßen – und lieben." (K. Mann 1980: 52-53)

Something touched upon by both the statements of Kroge and Herzfeld is the aspect of *Komödie*. *Komödiant* in this context does not refer to an entertainer or a comedian, but instead is used in the sense of a hypocrite. The same idea is found in Thomas Mann's appraisal of Klaus Mann's *Mephisto*:

> Die besten und bedeutendsten Momente in Deinem Roman sind vielleicht die, wo die Idee des Bösen vermittelt und gezeigt wird, wie der komödiantische Held seine Sympathie dafür entdeckt und sich ihm dann verschreibt. Es ist eine richtige Teufelsverschreibung. (Th. Mann in Töteberg: 405)

Thomas Mann's use of *Komödiant* implies that Höfgen is a fraud and that his art is corrupted post-pact with the *Fliegergeneral*. There is the implication that he lacks conviction in any activity that does not directly benefit him. However, Sebastian in *Mephisto* voices the opinion that an artist, any form of creative, has a duty to make his art unambiguous. Sebastian is a close friend of Barbara's; he may also be an alter ego for Klaus Mann in his novel. (Hoffer 1989: 246) Sebastian joins Barbara in exile and he expresses his reason for going into exile:

> Das Gesetz des Kampfes fordert von uns, daß wir auf tausend Nuancen verzichten und uns ganz auf eine Sache konzentrieren. Meine Aufgabe ist es jetzt nicht, zu erkennen oder Schönes zu formen, sondern zu wirken — soweit das in meinen Kräften steht. Es ist ein Opfer, welches ich bringe — das schwerste. (Mann, K. 1980: 207)

Sebastian frames his work as an artist and as an exile as war against Nazism and because of that sacrifices must be made. This means that there is a purpose to art

> This posture [of Sebastian's] invites comparison with that of Höfgen. While Höfgen exploits his talents in order to advance his shortsighted career goals, at the same time blinding himself to the moral consequences of his actions, Sebastian sacrifices the pursuit of his personal ambition to the fulfilment of a higher aim: victory over injustice. (Hoffer 1989: 246)

Klaus Mann' personal writings on Gustav Gründgens reveal his views on the corruption of art and talent.

> I visualize my ex-brother-brother-in-law as the traitor par excellence, the macabre embodiment of corruption and cynicism. So intense was the fascination of his shameful glory that I decided to portray Mephisto-Gründgens in a satirical novel. I thought it pertinent, indeed, necessary to expose and analyse the abject type of the treacherous intellectual who prostitutes his talent for the sake of some tawdry fame and transitory wealth. (K. Mann: 282 in Wires 1987: 239)

In this light, Höfgen's failed hero-journey to Paris could have re-orientated his goals and aspirations away from "Tawdry fame and transitory wealth" instead to focus his abilities on combating injustice. (K. Mann 282 in Wires 1987: 239) Höfgen's acting talent is first revealed during a theatre rehearsal that he directs. Höfgen cruelly toys with his actors but then surprises them all with his own brilliant acting.

> Hendrik sprang, mit einer überraschenden Behendigkeit, auf die Bühne, und wirklich: er verwandelte sich in das zarte Mädchen, das in den morgendlichen Garten tritt und die ganze Welt umarmen möchte, da sie an den Geliebten denkt; in den lebenshungrigen und stolzen Knaben; in die kluge, sorgenvolle Mutter. Seine Stimme konnte zärtlich, übermütig oder gedankenvoll klingen. Es gelang ihm, in diesem Augenblick kindlich jung anzusehen, in nächsten aber uralt. Er war ein glänzender Schauspieler. (K. Mann 1980: 55)

Hendrik may be an unpleasant man, but he is a genius actor who is able to effortlessly shed off his skin only to immediately adopt a new character that would be completely at odds with his previous character. The zenith of his acting career is undoubtedly his performance as Mephistopheles in a theatre production of Goethe's *Faust*. Höfgen's artistic brilliance, much like the intellectual brilliance of Faust, is something that has the power to be transformative or destructive. Goethe presents this in terms of spirituality and metaphysics. Klaus Mann represents the transformative and destructive power through theatre and art through the example of Höfgen's career.

5.1. Departure/ *Katabasis*:

The call to adventure is the inciting incident of the hero's journey. It is the mystical, supernatural and undeniable force that uproots the hero from their regular environment and safety, and thrusts him into the liminal space, the chaotic place of magic and danger. It is the roar of the trumpets that sound the hero's new life and puts them on the path of their destiny. The hero sets on his transformative journey. Both Faust and Höfgen lower themselves when they embark on their respective journeys, but both have different results.

Höfgen is not satisfied by the attention he gets at the local theatre and desires the fame of the big stage, the national stage, and the adoration of all. Both Faust and Höfgen begin their narratives with false ideas of what will complete them and it is soon that their journey into the unknown begins.

Faust is summoned to adventure in his study by a choir of angels that save his life when he is planning on taking his life.

> Hier ist ein Saft, der eilig trunken macht.
> Mit brauner Flut, erfüllt er deine Höhle.
> Den ich bereitet, den ich wähle,
> Der letzte Trunk sei nun, mit ganzer Seele,
> Als festlich hoher Gruß, dem Morgen zugebracht!
> (Goethe 1979: 732-736)

Just as Faust is about to drink the poison, he hears a heavenly choir of angels singing the traditional Easter tide greeting, *Christ ist erstanden*. (Goethe 1979: 737-807) The setting of Easter and the image of the resurrected Christ serves as a metaphor for Faust and his journey. The Easter story of death and transcendence reflects the traditional format of the hero's journey. The Easter hymn and Faust's suicide attempt signal the beginning of Faust's transformation. He must metaphorically die in order to be reborn again for the tribulations of his journey. Soon Faust meets with his guide, Mephistopheles who helps Faust truly embark upon his journey through the dark.

Höfgen's calling is not nearly as grand as that of Faust's owing to the lack of supernatural elements in *Mephisto*. Nevertheless, Höfgen too is called to adventure. While in Spain for a film shoot, Höfgen hears the distressing news that the Nazis have gained power in Germany, but he only begins to give this turn of events serious thought while in temporary exile in Paris. He fears what the Nazis and their supporters would do to him if he returned because of his former communist leanings.

> Dem armen Hendrik wurde es heiß und kalt, wenn er bedachte, was ihm nun bevorstehen mochte. Zahlreiche Personen, denen er immer nur Böses angetan, würden jetzt vielleicht die Möglichkeit haben, sich an ihm zu rächen. Cäser von Muck zum Beispiel: ach, hätte er sich doch nur ein wenig besser mit dem Blut- und Boden-Dichter gestellt, anstatt alle seine Stücke abzulehnen! Was für unverzeihliche Fehler hatte man gemacht — nun begriff man es, und es war zu spät. Es war zu spät, man hatte bei den Nazis lauter unversöhnliche Feinde. (K. Mann 1981: 200-201)

Höfgen's fear of the Nazis brings out Höfgen's deepest character flaw, his cowardice and tendency to inactiveness as he spends many days in seclusion in Paris trying to come to the conclusion as to whether he should stay in Paris or return to Germany. (K. Mann 1980: 200-201)

Höfgen then realises that despite this unfortunate turn of events for himself that he may still be able to make things work out for himself in Germany if he were to gain favour with the Nazi commander, the *Fliegergeneral*. However, at the same time he realises that he can still make things work for him in Paris doing something noble and heroic by defying the Nazis and by spreading information. Yet, Höfgen realises that he does not long to be a hero or do good; in fact, he realises that he does not care about much and that he does not feel bad about because after hearing of the burning of the *Reichstag*, Höfgen is not filled with a sense of disgust, strong or weak, instead he is barely concerned that he feels sympathy for the Nazis.

> Dies war für den Augenblick das Kühnste, was er zu denken wagte. Aber ahnungsweise und ohne es sich noch eingestehen zu wollen, empfand er zum erste Male einen geheimnisvollen Zusammenhang zwischen dem eigenen Wesen und jener anrüchigen, verbotenen Sphäre, in der vulgäre Schurkenstreiche, wie diese Brandstiftung, ersonnen und ausgeführt wurden. (K. Mann 1980: 205)

Höfgen, instead of feeling shame or disgust at the news of the criminal acts that Nazis have performed, feels a sense of companionship and understanding with the Nazis. For reasons unknown to Höfgen, he appears unable to process emotions such as disgust nor does he have the ability to condemn the actions of evil people despite recognising that their actions are evil and wrong.

Höfgen's descent into the underworld is not supernatural or as fated as Faust's, for the hell into which Höfgen descends is the all too real hell of Nazi Germany. He undergoes his own descent into hell when he returns to Germany after the Nazi seizure of power, despite the fact that he is well aware of the moral evil in which he is about to become complicit. In this light Germany can be seen as an allegory for the underworld or hell, (French 2008) whereas the Nazi officials such as the *Fliegergenral*, *Ministerpräsident* are the infernal spirits of hell. The Nazi officials act like Mephistopheles as they are the evil tempters that lead people on the path of evil. This is especially poignant in reference to artists and *Mitläufer* who willingly sided with the Nazis. There should always be emphasis on the fact that characters, such as Höfgen who willingly collaborates with the Nazis. He feels that he needs the help of the nazi *Fliegergeneral* in order

to protect him from the vindictive *Propagandaminister*. Höfgen sides with one evil in order to protect himself from another evil.
Faust is hardly coerced into his deal with Mephistopheles; likewise, Höfgen willingly assists Nazi art production, and his action makes him the more irrevocably evil. Like Faust, Höfgen's *katabasis* is not without purpose and without benefits. Höfgen undertakes his journey in order to secure fame and fortune in the theatres of Berlin in a mock replication of a hero's journey in order to find their deserved fame and fortune for heroic deeds. As Faust and Höfgen embark on their journey throughout the underworld, they both feel varying, yet noticeable, levels of shame and disgust for their actions as both characters ultimately cause pain and misery for their friends and their lovers, their 'good angels'.

Faust's existential boredom comes from his misguided belief that he has seen everything that the world has to offer him. Höfgen, however, does not exhibit this feeling of *ennui*; yet he has the same sense of entitlement and ambition with which Faust struggles. Höfgen frequently displays a lack of personal and emotional conviction to any idea or person beyond himself and instead is only able to act for himself out of his own selfish preservation and haughty ambition. (K. Mann 1980: 38)

In the case of Faust, his *katabasis* is a far more literal descent into hell as he follows Mephistopheles through the world along to supernatural and occult events such as the meeting with the witch and *Walpurgisnacht*. (Goethe 1979: 3835-4398) It is a clear descent from the enlightened world of rationality and science in which Faust thus far existed to the world of darkness and excitement into which Mephistopheles brings him. This descent into hell is foreshadowed in the prologue with the *Direktor*. (Goethe 1979: 239-242)

The *Direktor's* speech both references what makes for a fulfilling life and night while also referencing the journey that Faust must make during his journey and the play to come. In Höfgen's case there is a metaphorical representation of hell; the entire German Empire is the stand-in for hell. France stands in as a representation of heaven or at least normalcy for Höfgen. After hearing the news that Germany has fallen to the Nazi government, Höfgen has a moment of self-awareness and is deeply conflicted as to what he is required to do next. Faust enters an ominous world filled with dark magic and evil spirits whereas Höfgen enters a land corrupted by evil but one that is not magically enforced but purely human and all too tangible.Höfgen's descent into Nazi Germany is not just the descent and shame of a careerist but also the descent of the German soul into disgust and shame. It is not merely an allegory for Gründgens, but the

nation and people that supported him. Klaus Mann directly calls out Gründgens numerous times in his personal writing. Klaus Mann elaborates in a letter that *Mephisto* is not solely aimed at a single person:

> Dem Dichter lag nicht daran, die Geschichte eines bestimmten Menschen zu erzählen, ihm lag daran, einen Typus darzustellen und mit ihm die verschiedenen Milieus, die soziologischen und geistigen Voraussetzungen, die seinen Aufstieg erst möglich machten. (Spangenberg 1982: 91)

> Gustaf was just one amongst others – in reality as well as in the composition of my narrative. He served me as a focus around which I could make gyrate the pathetic and nauseous crowd of petty climbers and crooks. (K. Mann 1984: 282)

Höfgen secures a chance to meet the *Fliegergeneral* during intermission of the premiere of *Faust*, in which he plays Mephistopheles, after arriving in Germany. This sets the scene for his 'pact with the devil'. Unlike Faust's pact, there is less detail over what is exactly said and done, and the pact is less supernatural while also being less formal, however, no less emotionally binding. Höfgen delivers what is universally considered his greatest performance as he has the audience completely under his charm through his brilliant performance owed to his graceful movement and his sinister yet comedic performance. There are at times sinister insinuations made that Höfgen owes his successful portrayal of Mephistopheles to something more than his acting skills. Dora Martin, a fellow actress, comments on Höfgen's initial portrayal of Mephistopheles.

> "Es war gut, Hendrik. Ich wußte, daß Sie das können. Der Mephisto ist Ihre große Rolle." Höfgen, der am Schminktisch sitzend ihr den Rücken wendet, lächelt ihr durch den Spiegel zu. "Sie sagen das nicht ohne Bosheit, Dora Martin." Sie erwidert, immer noch mit dem ruhigen, sachlichen Ton:
> "Sie irren sich, Hendrik. Ich nehme es niemandem übel, daß er ist, wie er ist."
> (K. Mann 1980: 197)

Dora Martin implies that Höfgen's understanding of the role comes from an element of evil found within the actor himself. After arriving in Germany, Höfgen recruits Lotte Lindenthal, a fellow actress, but more importantly the mistress of the *Fliegergeneral*, to help secure the favour of the *Fliegergeneral*. (K. Mann 1980: 221) Höfgen soon hears that the *Fliegergeneral* will be attending Höfgen's performance as Mephistopheles. Much like a sorcerer or the evil Mephistopheles, Höfgen has his audience spellbound by his performance, but more importantly, he has the attention of the *Fliegergeneral*.

> Hingegen wurde der Gewaltige animiert, sowie Höfgen-Mephistopheles die Szene betrat….und von nun ab verfolgte er mit amüsierter Aufmerksamkeit die Handlung - genauer gesagt: das tänzerisch gewandte, durchtrieben anmutige, ruchlos charmante Spiel Hendrik Höfgens. (K. Mann 1980: 230)

During the intermission, Höfgen is invited to join the *Fliegergeneral* in his box and there a deal is struck between the actor and general.

> Ahnte irgend jemand von den Neugierigen, was wirklich vorging in Hendriks Brust, während er sich tief über die fleischige und behaarte Hand des Mächtigen neigte? Waren es Glück und Stolz allein, die ihn erschauern ließen? Oder spürte er auch noch etwas anderes – zur eigenen Überraschung? Und was war dieses andere? War es Angst? Es war beinah Ekel… Jetzt habe ich beschmutzt, war Hendriks bestürztes Gefühl. Jetzt habe ich einen Flecken auf meiner Hand, den bekomme ich nie mehr weg… Jetzt habe ich mich verkauft… Jetzt bin ich gezeichnet! (K. Mann 1981: 232)

The language is clear as to the depths into which Höfgen has sunk through his disgusting pact with the *Fliegergeneral*. It is interesting that Höfgen does not quite feel disgust from his handshake but instead something else deep within him. Perhaps he should be feeling shame, seeing he has touched something that makes him feel sullied, in a manner that is barely separable from disgust. Disgust does have to be elicited by obviously disgusting actions as "the vices of hypocrisy, betrayal, cruelty and fawning [are] principal elicitors of disgust." (Haidt 2003: 857) The element of disgust is evident in many aspects of this brief scene. Disgust is often viewed as one lowering themselves or degrading themselves:

> People who "de-grade" themselves, or who in extreme cases blur the boundary between humanity and animality, elicit disgust in others. Disgust is a one way border guard, however; it is triggered by people moving down, not by animals moving up. (Haidt 2003: 857)

Höfgen bows before the *Fliegergeneral*, and this ritualistic lowering of himself reflects the debasement that happens internally as Höfgen feels tainted by the handshake that he has made with the *Fliegergeneral*. Höfgen has dirtied himself through his pact with the devil. Disgust is frequently about contamination: "The fundamental schema of disgust is a nearness that is not wanted. An intrusive presence, a smell or taste is spontaneously assessed as a contamination and forcibly distanced." (Menninghaus 2003: 1)

This contamination, *der Flecken*, has a further implication on Höfgen's art, the Nazi regime and Germany. By selling his soul and tainting himself, Höfgen has also sold away his art and tainted it. Thus, Höfgen has embraced the theatrical nature of the so-called Third Reich and the

Nazi elite, he is a *Mephisto* in name only as he lacks any identity of his own except for the masks that he wears. (Neilson 2021: 12) This is evident in Höfgen's performance as Hamlet near the conclusion of *Mephisto*. As is evident up to this point, Höfgen is, or was, a brilliant actor who had an affinity for all manner of roles. Yet the performance of Hamlet is by all accounts a disaster and a failure.

Höfgen is well aware of the fact that what he is about to do is evil and his decision to leave France and embark on his *katabasis* for Germany sets the trend for how Höfgen will deal with his feelings of disgust and shame for the rest of the novel, that is, he has to continually justify his actions to himself and to those around him. Faust appears more relatable and traditionally heroic because of his ability to acknowledge the wrong that he has done and to try make amends for the harm that he has done to himself and to others whereas Höfgen is utterly incapable of acknowledging that any of his actions are wrong and are further ultimately justifiable.

Moral disgust appears in the caricature-like nature of the Nazi elite as they are portrayed in *Mephisto*. Throughout *Mephisto*, Höfgen encounters three of the most prominent members of the Nazi party, the *Fliegergeneral*, the *Propagandaminister* and the *Führer*. All three are obvious analogues to Göring, Goebbels and Hitler. Klaus Mann may have used this naming scheme throughout his novel in order to protect himself and his novel from legal issues. However, the epithets add to the theatrical nature of the Nazi elite and it adds to the disgusting and grotesque nature that Klaus Mann has chosen to portray the Nazi elite.

> Vom ästhetischen Gesichtspunkt aus war die Situation für Höfgen vorteilhaft: neben dem gar zu ausladenden Ehepaar wirkte er schlank, und neben dem agilen, aber krüppelhaften Reklamezwerg hochgewachsen und stattlich. Übrigens bildete auch sein Gesicht, so fahl und fatal es sein mochte, einen immerhin erfreulichen Gegensatz zu den drei Gesichtern, die es umgaben: mit den empfindlichen Schläfen und dem kräftig geprägten Kinn erschien es doch als das Antlitz eines Menschen, der gelebt und gelitten hat; das Gesicht seines fleischigen Protektors aber war eine verquollene Maske; das der Sentimentalen eine törichte Larve und das des Propagandisten eine verzerrte Fratze. (K. Mann 1980: 26)

Klaus Mann frequently uses the defining features of their real-life counterparts and stretches them to grotesque extremes. Göring was known for being fat and this trait is constantly emphasized whenever the *Fliegergeneral* appears in *Mephisto*. Lotte Lindenthal, the *Fliegergeneral's* mistress refers to him as "mein[...] Dicke[er] ". (K. Mann 1980: 228-229) One of the most unflattering of these caricatures is given to *Die Macht*, the leader of the Nazis, when he calls Höfgen to his "palace" in order to be disciplined for inappropriate behaviour.

> Die Macht hatte unter einer unbedeutenden, fliehenden Stirne, in welche die legendäre speckige Haarsträhne fiel, den toten, starren, wie erblindeten Blick. Das Antlitz der Macht war grau-weiß, aufgeschwemmt, von einer lockeren, porösen Substanz. Die Macht hatte eine sehr ordinäre Nase — eine gemeine Nase, wagte Hendrik, in dessen Bewunderung sich Auflehnung und sogar Hohn mischten, zu denken. Der Schauspieler bemerkte, daß die Macht gar keinen Hinterkopf hatte. Unter dem braunen Hemd trat ein weicher Bauch hervor. Sie sprach leise, um ihre ausgeschriene, heisere Stimme zu schonen. Sie gebrauchte schwierige Worte, um dem Schauspieler ihre "Bildung" zu beweisen. "Die Belange unserer nordischen Kultur erfordern den unbedingten Einsatz eines enegievollen, rassisch selbstbewußten und zielklaren Individuums", dozierte die Macht, indem sie ihre süddeutsche Mundart nach Möglichkeit zu unterdrücken und ein feines Hochdeutsch zu sprechen versuchte, das aus ihrem Munde klang, wie aus dem eines eifrigen Volksschülers, der auswendig Gelerntes herleiert." (K. Mann 1980: 315)

Die Macht/ *Der Führer* is depicted in an almost corpse-like manner; he is physically unintimidating and weak and decaying. Once more there is the theme of the theatrical and falsehood as even the accent of *Die Macht* is an act designed to present a false image of himself. The disgusting and putrid image of the Nazi elite is a reflection of their beliefs in the eye of the narrator. The caricatures presented paint the Nazi elite as grizzly and almost inhuman. In the narrator's eye, the *Fliegergeneral* becomes an ogre, like an obese giant that seemingly represents the gross excesses and contradictions of the Nazis. The *Propagandaminister* is portrayed as a crippled dwarf with the face of a predatory bird, and der *Führer* is an unimpressive but corpse-like sham. Disgust is evoked. Through their disgusting actions, the Nazi elite have transformed themselves into monsters. Germany itself is not spared from this as it itself has undergone a monstrous transformation under Nazi rule.

> Wehe, der Himmel über diesem Lande ist finster geworden. Gott hat sein Antlitz weggewendet von diesem Lande, ein Strom von Blut und Tränen ergießt sich durch die Straßen aller seiner Städte.
>
> Wehe, dieses Land ist beschmutzt, und niemand weiß, wann es wieder rein werden darf - durch welche Buße und durch welch gewaltigen Beitrag zum Glück der Menschheit wird es sich entsühnen können von so riesiger Schande? Mit dem Blut und den Tränen spritzt der Dreck von allen Straßen aller seiner Städte. Was schön gewesen ist, wurde besudelt, was wahr gewesen ist, wurde niedergeschrien von der Lüge. (K. Mann 1980: 199)

This is the description of Germany given by the narrator as Höfgen arrives in Germany after giving up on his brief exile in Paris. Once more there appears language that deals with the disgusting and shameful. The apocalyptic language used by the narrator uses overt religious

tones and describes Germany as if it were debased and degraded by the Nazis as is evident through the descriptions of the new Germany, *beschmutzt* and *besudelt*. The disgusting state of the land has lowered Germany into a hellish state. “Was schön gewesen ist, wurde besudelt, was wahr gewesen ist, wurde niedergeschrien von der Lüge.” (K. Mann 1980: 199). Shame is another aspect of the narrator’s description of Germany. Shame and disgust can be difficult to distinguish, however, shame has been considered as a self-directed manifestation of being part of or witnessing an action that may elicit disgust.

The act of feeling shame or feeling ashamed implies that the experiencer feels a sense of responsibility for what they have witnessed or taken part in. (Haidt 2003: 860) The narrator describes a sense of shame when describing the new Germany. “[D]urch welche Buße und durch welch gewaltigen Beitrag zum Glück der Menschheit wird es sich entsühnen können von so riesiger Schande?” (K. Mann 1980: 199) The feeling of shame which the narrator implies also implies a sense of responsibility and compliance in the actions of the Nazi government, by Höfgen and all like him. Höfgen, at the very end of the novel, likewise feels shame for the gross actions that he has committed but the difference between and the narrator is the ability to acknowledge that sense of shame which is ultimately an acknowledgement of complacency in a tyrannical regime. (K. Mann 1980: 344) As discussed in Chapter 3: Moral Emotions, shame is believed to have evolved in mammals as a way to show submission and respect to superiors and authority figures. (Haidt 2003: 859-860) One of the traits that distinguish Höfgen from Faust is his willingness to submit to others.

This submissiveness is one of the traits that the *Führer* likes most in the actor. (K. Mann 1980: 315-316) Later in Höfgen’s career, he finds himself in the middle of a controversy centred around his old associations with communists and exiles, and his black mistress Juliette. This results in a disciplinary meeting with the *Führer* wherein Höfgen cowers throughout the entire meeting. It is then revealed that the Führer is fond of Höfgen’s submissiveness. (K. Mann 1980: 315-316) Submissiveness and especially Höfgen’s willingness to allow himself to be subjugated is a theme that begins with Höfgen’s relationship with Juliette. Zenobi makes the observation that *Mephisto* is the only work of Klaus Mann’s that does not include homosexuality but instead features the sadomasochistic relationship between Höfgen and Juliette. (Zenobi 2020: 6) “In Klaus Mann’s aesthetic and ideological perspective, dance as a bodily expression of the erotic dimension of power works alongside acting.” (Zenobi 2020: 16) A true artist must be willing to subjugate themselves to their art, and thus something greater as

shown in the example of the exile Sebastian who is able to give up his aspirations in order to combat national socialism. Surrendering oneself to their art, artists create something that is transcendental and in its own way a hero's journey. In this light, Höfgen's sadomasochistic relationship with Juliette is a reflection of his tainted art.

> Höfgen can be seen as a masochist who uses his relationship with the black dancer Juliette as a springboard to success in his career. To him she is "the dark source of my power." To be whipped by the socially inferior Juliette causes pleasure and fear, but paradoxically provides him with the strength that he needs to pursue his career. The reason for this is that even though he seems to be the slave in this relationship, he really is the master, in that he decides how the masochistic scene should be enacted. Beyond that Juliette's presence evokes in him the powerful image of an almighty god of a jungle who is feared as well as loved by his subjects. For Höfgen this image becomes essential as he really sees himself in the same position, namely as a *vis-à-vis* his audience, who cheer and admire him. (von Maltzan 1991: 256-257)

Within the narrative of *Mephisto*, Höfgen's sadomasochistic relationship foreshadows and reflects the way in which he taints himself, already reflected in the idea that there is little difference between the artist and his art, and thus taints his very own art. He has lowered and degraded himself in the same way that moral disgust lowers and degrades someone. Guilt is perhaps the only emotion that may set Höfgen free, but he is unable to acknowledge any feeling of guilt and is thus trapped in his degraded state.

After years of quickly rising the political ladder in Nazi Germany, Höfgen has an encounter with his old comrade, the socialist and old theatre director, Otto Ulrichs. Ulrichs, remembering Höfgen's old commitment to socialism, attempts to convince him into the resistance against the National Socialists. (K. Mann 1980: 311) Höfgen instead turns down Ulrich's offer by giving a non-committal answer about the burden that he bears as a result of being so high-up in the Nazi inner circle.

> Nachdem er sich davon überzeugt hatte, daß er unbelauscht war, versicherte er dem Freund noch mit gepreßter Stimme, wie schwierig und peinvoll es für ihn sei, sich so andauernd und konsequent verstellen zu müssen. "Aber ich habe mich nun einmal zu dieser Taktik entschlossen, weil ich sie für die richtige und wirkungsvollste halte", raunte Hendrik und versuchte es noch einmal mit den Verschwörerblicken, die jedoch von Ulrichs nicht mehr erwidert wurden. "Es ist keine bequeme Taktik, aber ich muß sie durchhalten. Ich befinde mich mitten im Lager des Feindes. Von innen heraus unterhöhle ich seine Macht…"

> Otto Ulrichs hörte kaum noch hin. Vielleicht geschah es in diesem Augenblick, daß die Illusion von ihm wich und daß er Hendrik Höfgen erkannte. (K. Mann 1980: 311)

Höfgen frequently hides behind a mask and the character that he is playing. However, this does not mean that Höfgen is completely unaware of what he is doing. Höfgen's breakdown in his mother's lap, now being the old, original working-class Heinz, may be a sign that he may have at last felt some guilt for his actions and the damage that he has done.

> However, Heinz continues to work below the surface, though rarely pronounced throughout the novel, [...] At the very last scene of the novel, as he collapses and grieves his lost innocence, his mother comforts him, calling him Heinz. Thus, the author illustrates how his authentic personality prevails to some degree, in an implicit manner, perhaps only in order to contrast it with the new, changed Hendrik. (Rubinstein 2015: 32-33)

Höfgen's breakdown may also be viewed as an encounter with the *abject*. He is finally forced to face the disgusting nature of his actions. His encounter with the abject has torn down the barriers of his psyche and resulted in his disastrous breakdown. Höfgen/ Heinz is experiencing the destructive ego death that failed heroes encounter at the end of an incomplete hero's journey as described by Campbell:

> Walled in boredom, hard work, or "culture," the subject loses the power of affirmative action and becomes a victim to be saved. His flowering world becomes a wasteland of dry stones and his life feels meaningless—even though, like King Minos, he may through titanic effort succeed in building an empire of renown. Whatever house he builds, it will be a house of death: a labyrinth of cyclopean walls to hide from his Minotaur. All he can do is create new problems for himself and await the gradual approach of his disintegration. (Campbell 2008: 49)

The failed hero breaks down and what potential he once had flutters and fails. The hero then succumbs to their own painful insecurities and breaks down. Instead of having a positive ego death, his ego turns on himself and attacks and destroys him.

5.2. Journey

The essence of the hero's journey can be summarised in the quote from Goethe's *Faust*. Faust describes the conflicting nature of humanity through his description to his assistant, Wagner:

> Zwei Seelen wohnen, ach! in meiner Brust,
> Die eine will sich von der andern trennen;
> Die eine hält in derber Liebeslust
> Sich an die Welt mit klammernden Organen;
> Die andre hebt gewaltsam sich vom Dust Zu
> den Gefilden hoher Ahnen.
> (Goethe 1979: 1112-1117)

The journey is the core of the adventure. The hero has left comfort behind them and exited the world of normalcy and come to a land of danger and mystery. This is where the hero encounters numerous dangers and obstacles that test not only their physical fortitude, but also tests their very beliefs and assumptions about themselves and the world.

> Welche Erleichterung, ja welche Erlösung würde es bedeuten: stolz und freiwillig mich zurückzuziehen von einem Lande, wo die Luft verpestet ist; mit lauter Stimme die Solidarität zu erklären mit jenen, die kämpfen wollen gegen das blutbefleckte Regime.
>
> [...] Der Mephisto ist meine große Rolle. Darf ich ihn nicht spielen, dann ist es erwiesen, daß ich in Ungnade bin…. Mir bliebe dann nichts mehr übrig, als meine Koffer zu packen und nach Paris zurück zu reisen – wo ich vielleicht überhaupt hätte bleiben sollen; denn hier ist es eigentlich scheußlich. (K. Mann 1980: 206-221)

As the hero makes his way along the path to self-actualisation they are often accompanied by a guide or a series of guides. These guides are often coded through the archetypes based on their gender such as the wise old man or the female guide. Faust has two guides that journey with him through the underworld, Mephistopheles and Margarete. Höfgen has two women who act as his guides on his journey to whom he refers to as his angels, his good angel Barbara and his bad angel Juliette. (K. Mann 1980: 94; 341)

The 'good angel' bears similarity to the pure feminine guide that leads the hero through the underworld much in the same way that Beatrice leads Dante through Heaven in *Paradiso*. (Dante 2008b: *Paradiso*) Throughout the initial stages of Höfgen's relationship with Barbara, he refers to her as his good angel as he believes that Barbara is a grounding force in his life that will keep him on the path of good, thus she is needed in his life and he uses this to justify his

unhappy marriage with her and he uses this to justify why she can at no point leave him. This is similar to the role that Gretchen plays in *Faust*. Throughout the play, Gretchen acts as a positive counter influence to Mephistopheles' evil influence that he has over Faust. Gretchen is constantly concerned in the presence of Mephistopheles and warns Faust about him.

> Der Mensch, den du da bei dir hast,
> Ist mir in tiefer innrer Seele verhaßt;
> Es hat mir in meinem Leben
> So nichts einen Stich ins Herz gegeben
> Als des Menschen widrig Gesicht.
> [...]
> Daß er nicht mag eine Seele lieben.
> (Goethe 1979: 3471-3476, 3490)

Margarete's warning also has the connotations of disgust as she does not desire to be in the presence of Mephistopheles and fears that Faust may be tainted through his continuous exposure to Mephistopheles. Gretchen thus serves a similar purpose to Beatrice in Dante's *Paradiso* as she guides Dante through Heaven and acts as a good moral source and guiding light throughout Dante's harrowing journey.

The guides whom the hero encounters serve different purposes within the narrative. Traditionally, Christian narratives may feature the Virgin Mary or a close analogue, a saintly and pure woman, who helps lead the hero to salvation, of which Faust's Margarete is symbolic. (Campbell 2008: 59) Guides may also be sinister and are epitomised in the form of a capricious trickster like Mephistopheles. Trickster figures are frequently not entirely evil nor are they explicitly good, instead they frequently exist outside such moral paradigms. (Hyde 1998: 7) This is not the case for Mephistopheles as he is an outright evil and demonic figure that seeks to lead wayward souls astray. Mephistopheles is the demonic embodiment of evil. When Faust asks Mephistopheles who he is, he introduces himself as the embodiment of evil,

> Ein Teil von jener Kraft,
> Die stets das Böse will und stets das Gute schafft. [...]
> Ich bin der Geist, der stets verneint!
> Und das mit Recht, denn alles, was entsteht,
> Ist wert, daß es zugrunde geht;
> Drum besser wär's, daß nichts entstünde.
> So ist denn alles, was ihr Sünde,
> Zerstörung, kurz, das Böse nennt,
> Mein eigentliches Element.
> (Goethe 1979: 1335-1344)

Mephistopheles is the physical manifestation of the belief that life is meaningless and disgusting. Mephistopheles is the representation of ennui. It is also his job to corrupt others and convince them of this view on life as seen in the *Prolog im Himmel* that is discussed in Chapter 4: Intertext. Mephistopheles can be understood then as the manifestation of Faust's very own disgust as Mephistopheles' identity is identical to the way that Faust identifies and describes his own unpleasant state of being.

Faust has a second guide to lead him on his journey, Margarete. She is in all ways the very opposite of Mephistopheles. Where he is the embodiment of corruption and causes disgust in Margarete, Margarete is the embodiment of purity and love. She is the virginal guide in Christian literature of whom Campbell speaks. When Faust first lays his eyes on Margarete, he asks Mephistopheles to bewitch her for him and the demon responds by saying:

> Mephisto
> Da die? Sie kam von ihrem Pfaffen,
> Der sprach sie aller Sünden frei;
> Ich schlich mich hart am Stuhl vorbei,
> Es ist ein gar unschuldig Ding,
> Das eben für nichts zur Beichte ging; Über
> die hab ich keine Gewalt!
> (Goethe 1979: 2621-2627)

This implies that Faust is already a sinful man whereas Margarete is whole and pure. This makes her perfect to serve as his saintly guide on his journey. Whereas Mephistopheles aims to corrupt and lead Faust astray, Margarete serves as his moral compass in order to point him towards the path of good instead of the dark one onto which Mephistopheles is leading him. However, despite her innocence Margarete enters into a morally questionable relationship with Faust. As the story progresses, so does Faust's corruption. One night he plans to spend the evening with Margarete, but she is worried about her mother. Therefore, Faust with the aid of Mephistopheles gives Margarete a potion for her mother and unwittingly kills her mother. (Goethe 1979: 3510-3520, 3788-3794) Margarete later becomes pregnant with the child of her and Faust's relationship. She is at this point in the narrative so distraught that she ends up drowning her own child in the ultimate act of disgust. (Goethe 1979: 4508-4510)

God represents, in Goethe's *Faust*, not only the deity but also the deeper spiritual yearning of humankind, the desire to find beauty, love, justice and peace, in the same way that Mephistopheles represents the devil, *ennui* and disgust and hatred.

5.3 Return/ *Anabasis*

In the classical schema, the hero returns from his trials and tribulations to reap his rewards. The hero has undergone a permanent, life changing transformation and returns home from the liminal space, reborn with a new understanding of himself and the world around him. By the conclusion of Goethe's *Faust* and K. Mann's *Mephisto*, a transformation has taken place; in *Faust*, Faust has become elevated through his actions and is on the path to salvation that he ultimately finds in *Faust*. *Der Tragödie Zweiter Teil* (1832). *Mephisto* presents a transformation for the worst; instead of an elevation, there is a degradation of Germany represented through the disgusting way that Höfgen subordinates himself to the tyrannical regime of the so-called Third Reich.

Both Faust and Höfgen were not necessarily good men, nor were they always ever pleasant. Both performed terrible actions in order to satisfy their inappropriate desires and satisfy their misguided goals. Both had corrupted values and suffered from inflated egos. Both suffered from disgust and were disgusting. Yet, one of them is saved. Why is it that Faust is redeemed and finds peace whereas Höfgen fails. What went wrong in Höfgen's journey and what was right in Faust's? Neither Goethe's *Faust. Der Tragödie Erster Teil* nor *Mephisto* ends in a truly conclusive fashion. It was ultimately Faust's ability to feel shame and his love for Margarete is what is redeems him at the conclusion of *Faust*.

The *Wald und Höhle* scene serves as a point of no return for Faust but also a moment of redemption and clarity. Faust ultimately makes himself a more sympathetic character despite his villainous actions because he is able to reflect on his experiences, finding both good and bad in himself.

> **Faust** (allein)
> Erhabner Geist, du gabst mir, gabst mir alles,
> Warum ich bat. Du hast mir nicht umsonst
> Dein Angesicht im Feuer zugewendet.
> Gabst mir die herrliche Natur zum Königreich,
> Kraft, sie zu fühlen, zu genießen. Nicht
> Kalt staunenden Besuch erlaubst du nur,
> Vergönnt mir, in ihre tiefe Brust
> Wie in den Busen eines Freunds zu schauen.
> (Goethe 1979: 3217-3224)

Faust uses his feelings of disgust and moment of peace as a moment of reflection, although a moment of reflection that ultimately fulfils the pact that he had entered with Mephistopheles because the pact that Faust made with Mephistopheles stipulated that Faust would lose his bet at the moment that he feels love toward anyone. It is at this moment in the cave that he finally realises that he can find joy in the world which thus forfeits the bet while at the same time making this feeling of joy painful as it will only be temporary. Höfgen, despite knowing that what he is doing is wrong, is never able to escape the underworld that he has put himself into nor does he ever attempt to leave thus he is never able to find the salvation that Faust is eventually granted.

One of the most striking differences between the conclusions to Goethe's *Faust* and Klaus Mann's *Mephisto* is the potential salvation that awaits the protagonists at the end of their respective journeys. Faust is given the possibility for salvation and forgiveness whereas for Höfgen there is no chance for him to find any redemption or forgiveness at the conclusion of the novel. Both Faust and Höfgen are offered opportunities to seek forgiveness and escape the hell that they have placed themselves into. This is partly due to how each protagonist reacts to their pivotal moment of self-disgust and how their future actions follow. Faust eventually comes to regret his actions and in the dramatic finale of the play when his actions lead to the death of his beloved Gretchen, Faust utters the cry: "O wär ich nie geboren!". (Goethe 1979: 4594) There is also the question of what makes a character redeemable as it is too simple and too much of an inadequate explanation to merely assume that Faust is forgiven due to the short show of regret. Instead, an important aspect of redemption is self-disgust and the desire to make amends. It is this remorse that opens up a pathway for Faust's redemption, remorse that is never seen in Höfgen.

During the final scene, Gretchen is clearly saved and goes to paradise whereas Faust's fate is not entirely clear as he is spirited away by Mephistopheles as a nameless voice calls his name.

> Margarete.
> Dein bin ich, Vater! Rette mich! Ihr
> Engel! Ihr heiligen Scharen, Lagert
> euch umher, mich zu bewahren!
> Heinrich! Mir graut's vor dir.
> Mephistopheles.
> Sie ist gerichtet!
> Stimme (von oben). Ist gerettet!
> Mephistopheles (zu Faust) Her zu mir!

(Verschwindet mit Faust.)
Stimme (von innen, verhallend).
Heinrich! Heinrich!
(Goethe 1979: 365)

The lack of salvation for Höfgen is due to many factors, both obvious and covert. Unlike the world of Faust, the world that Höfgen lives in is devoid of the supernatural and metaphysical, there are no spirits or demons and there is certainly no God capable of granting salvation. Höfgen could be denied his *anabasis* purely because there is no being capable of forgiving him and granting him absolution from his actions and sins. The lack of the supernatural further places the entire blame of Höfgen's actions on himself as there are no evil spirits whom he can accuse of leading him astray. Nor can Höfgen blame the Nazi leaders for corrupting him as he made the decision to return to Germany and it was his idea to try and court the attention and patronage of the *Fliegergeneral*.

Instances of shame far outweigh any direct and obvious instances of disgust in Klaus Mann's *Mephisto*. If any emotional quality was to be given to *Mephisto* it would be that it is a novel written about shame and hate. Höfgen seems to recognise that he is acting wrongly, yet he never appears to show or feel guilt for his actions until the very end of the novel, when he cries in his mother's lap. Shame and guilt are two emotions that are closely bound together as they both originate from submissive behaviours in mammals. Furthermore, both shame and guilt arise when the self feels that it has done something wrong or violated a personal or social moral code. The important distinction between shame and guilt is the motivation for transformation.

Guilt is distinguished from shame as the painful feeling of guilt frequently motivates one to better themselves and transform themselves. (Haidt 2003: 860-861) In the context of the hero's journey, guilt could be a powerful emotion that would encourage the hero to overcome their personal drawbacks and limitations, and thus improve themselves and become the hero that the society requires. Transformation induced by shame is seen in the actions of the exile community in *Mephisto* and in the personal writing of Klaus Mann due to the collective feeling of *Fremdschämen*. Many German exiles fled Germany due to the fact that many of their lives were endangered by the Nazi government, yet when Klaus Mann speaks on his reason for fleeing Germany, he speaks little of the physical danger of staying in Germany in fact he believed that he and his family stood a good chance at receiving a pardon and protection from the Nazi government instead Klaus Mann justifies his own desire to flee Germany primarily through a moral lense.

> The essential reason for, in our case, was irrefutably simple. It had nothing to do with the fact that my mother is of partly Jewish extraction…. Nor was it on account of our political record that we had to leave the country. The Nazis might have been only too pleased to forgive us for trespasses as they had done in many another instance. The truth is that we left voluntarily, or rather, that we were forced away by our own disgust, our horror, our forebodings. (K. Mann 1942: 267)

Klaus Mann implies that he, and presumably other intellectuals and artists, needed to flee Germany due to the disgusting nature that the land had sunken into and likens remaining in Germany to "poisoning" and "polluting" oneself. (K. Mann 1942: 267)

The hero's journey appears in an almost archetypal fashion within Goethe's *Faust*: the hero encounters a supernatural being that leads him on an adventure that takes him through the underworld, opening up the possibility for the hero to undergo a personal transformation. However, this is not present in *Mephisto* - the story and history of the Nazis was not finished at the time of publication in 1936. It is not satisfactory for the reader to assume that the date of publication when the outcome of the so-called Third Reich was uncertain would have any bearing on the inconclusive end of Klaus Mann's novel. It is also possible that Klaus Mann saw nothing inconclusive in regards to the ending of his novel. This was the ending that he chose.

Chapter 6: Conclusion

My research has selectively looked at the motif of the pact with the devil and the conclusion of each work; however, there is undeniably more research that can be undertaken through an analysis of different scenes or research that focuses on different moral emotions.

The aim of this thesis was to investigate the extent to which Klaus Mann's *Mephisto* presented a traditional hero's journey as outlined by Joseph Campbell in *Hero With a Thousand Faces*. (1949) This was first achieved by demonstrating the historic and literary connections that Goethe's *Faust* shared with classical literature via the example of the *katabasis* and *anabasis* motif via the theory of intertextuality. (Still & Worton 1990; Moi 1986) The second aim of the thesis was to investigate the extent that moral emotions, especially disgust, played in motivating the actions of Hendrik Höfgen. This was done through a close reading while utilising the theory of moral emotions as laid out by Jonathan Haidt. A further aim was to expand upon the research literature surrounding Klaus Mann's *Mephisto*.

In the context chapter I explored the research surrounding the three major themes of my thesis: Klaus Mann's *Mephisto*, moral emotions and the hero's journey. *Mephisto* is not forgotten, but the attention it has received is not equivalent to that which Goethe or Thomas Mann's work has received. In the past, research focused on *Mephisto* often viewed it in the perspective of exile literature or within the context of the *Schlüsselroman* controversy. (Hoffer 1989; Maltzan 1991) For these reasons, *Mephisto* is rarely researched within the context of the *Faust* legend and I feel that this is an area of research that has been sorely lacking. The *Fauststoff* is plentiful and the motif of the deal with the devil is as popular as ever. Likewise, moral emotions open up a great deal of potential for the analysis of literature. Moral emotions can be a novel way of analysing conflict, motivation and themes within literature Chapter 4 introduced the theory of intertextuality and the analysis of intertext, with regard to motifs in Goethe's *Faust* and Klaus Mann's *Mephisto*. This led to a discussion in Chapter 5 where both texts were analysed under the aspect of whether or not Hendrick Höfgen's career may be considered the journey of a fake hero. It was far easier to establish the hero's journey in Goethe's *Faust* as it follows many of the traditional elements of the hero's journey when considering that in *Faust. Der Tragödie Zweiter Teil*, Faust is able to be reborn in Heaven after dying.

The elements typical of a hero's journey are: The call to action → supernatural aid → passing the threshold → challenges and temptations → *katabasis*: death and rebirth → *anabasis*: transformation and atonement.

Dante's *Inferno* (2008) mirrors this perfectly as the narrative is an extended *katabasis*:

> Dante wakes in the dark wood. (call to action)
> Dante is guided by Virgil on his journey through hell. (supernatural aid)
> Dante enters into Hell (passing the threshold)
> Dante encounters supernatural figures including people from legend and history (challenges and temptations)
> Dante finally descends into the final circle of Hell that is reserved for traitors, the worst of all sinners, and there he meets infamous traitors from history and legendary figures such as Judas and Satan. (*katabasis*: death and rebirth)
> Dante and Virgil climb out of hell and begin to ascend the mountain of Purgatory now that Dante is ready for the journey. (*anabasis*: transformation and atonement)

Faust's journey bears the same broad narrative outline of the hero's journey as found in Dante's *Inferno*.

> Faust hears the choir of angels (call to action)
> Faust makes a pact with Mephistopheles (supernatural aid)
> Faust goes on adventure with Mephistopheles and seduces Margarete (passing the threshold and, challenges and temptations)
> Faust attempts to rescue Margarete from her prison cell (*katabasis*: death and rebirth)

This chain of events is not as clear in *Mephisto*:

> Höfgen hears of the burning of the *Reichstag* (call to action)
> Höfgen deliberates (refusal of the call)
> Höfgen returns to Germany and enters into a pact with the *Fliegergeneral*.
> (supernatural aid and passing the threshold)
> Höfgen has a rapid rise in his career (challenges and temptations)
> Höfgen breaks down in his mother's lap (possible, but not clear *katabasis*: death and rebirth)

The broad outline shows the clearer similarities held by Goethe's *Faust* and Dante's *Inferno* as they both feature a clear descent into a dangerous world. The dark world brings about a moment of ego death that acts as a way to spiritually purify the hero and allows them to undergo an *ascent*. After traversing Hell, Dante is permitted to enter Purgatory before he is allowed to enter Heaven. *Faust I* features the ascent of Margarete as she is directly forgiven by God and thus allowed entrance to Heaven. Faust undergoes his own personal *anabasis* which is less outward but more representative of an inner journey. This is demonstrated by his love for Margarete.

Mephisto is the exception where, past the pact with the devil, Höfgen's journey begins to resemble more of an inverse of the hero's journey. Höfgen does not experience a typical hero's journey although he does face challenges and temptation in the way that a hero would. However, Höfgen immediately falls into temptation when the idea of collaborating with the Nazis crosses his mind. He forfeits his heroic journey before it truly begins. Many of the stages of the hero's journey can be applied to Höfgen's journey. Höfgen leaving his wife and comrades behind in Paris represents his *katabasis*. He faces many trials and temptations while in Germany and subsequently falls for all temptations.By collaborating with the Nazis, Höfgen gives in to his evil temptation and never renounces his actions, and thus cannot be considered a true hero's journey; instead it is a fake hero's journey. Höfgen represents a failed hero or a *omödiantischer Held*. The only stage of the hero's journey that is not truly represented within *Mephisto* is the *anabasis*. This is not due to the complete lack of an *anabasis,* but is due to the inconclusiveness of the final scene. The final scene of the novel has Höfgen break down in shame, or at least regret. However, as the narrative concludes there is no indication that this has resulted in any permanent change in Höfgen. The *anabasis* involves self-reflection, growth and transformation, but it is not clear as to how impactful this moment is on Höfgen as a result of the sudden conclusion of the novel and because he does not voice any regret over his actions. This is similar to the form of horror and disgust that is generated when one comes into contact with the *abject*, as demonstrated above . In a similar sense, Höfgen has come into contact with the abject in final scene of the wherein he breaks down in his mother's lap. "Was wollen die Menschen von mir? Warum verfolgen sie mich? Weshalb sind sie so hart? Ich bin doch nur ein ganz gewöhnlicher Schauspieler!" (Mann 1981: 344) Höfgen's inability to acknowledge his faults and to make amends for what he has done bars him from completing his journey.

> [The hero] has succumbed to the suffocating and slow spiritual death that befalls someone who is unable to complete their hero's journey: Walled in boredom, hard work, or "culture," the subject loses the power of affirmative action and becomes a victim to be saved. His flowering world becomes a wasteland of dry

> stones and his life feels meaningless—even though, like King Minos, he may through titanic effort succeed in building an empire of renown. Whatever house he builds, it will be a house of death: a labyrinth of cyclopean walls to hide from his Minotaur. All he can do is create new problems for himself and await the gradual approach of his disintegration. (Campbell 2008: 49)

In contrast, Faust's love for Margarete and his regret, thus acknowledgment of the wrong that he has done, is what allows him to complete his hero-journey in *Faust* . Thus, while Goethe's *Faust-Tragödie* features a complete and traditional hero's journey, with both a *katabasis* and an *anabasis*, Klaus Mann's Mephisto features an incomplete and corrupted journey that features only a *katabasis*. I have demonstrated that the reason Faust is able to eventually undergo ascension lies in the self-knowledge and empathy the protagonist develops, delineated by the application of moral emotions, and especially in the resulting remorse.

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The other goal of the thesis was to investigate the degree to which moral emotions are relevant to character motivations in Klaus Mann's *Mephisto* and Goethe's *Faust*. Emotions are inherently moral sensations as is shown in Chapter 3: Moral Emotions. In order to investigate the presence of moral emotions in *Faust* and *Mephisto* it was necessary to establish defining characteristics of each emotion; for instance, it was deemed that disgust often has the connotations of defilement or contamination and frequently expresses the idea that someone has lowered themselves or committed an act that is unworthy of a socialised human. (Haidt 2003: 857) With this method it is easier to more definitively find and examine the scenes and occurrences of moral emotions. Disgust was chosen as a moral emotion of choice as I wished to investigate the extent that disgust (with the world) played a pivotal role in the desire for Faust to enter into his bargain with Mephistopheles and the extent that this also applied to Höfgen. I feel that my original assumption still stands in the case of Faust, but not so much in the case of Höfgen. Faust begins the narrative of his story in misery and expresses a great distaste for life. I have argued that Faust's state of mind is best described by the term *ennui* as denoting a form of suffocating lack of purpose that fills the victim with a disgust for life. I have also argued that the demon Mephistopheles is a reflection of this *ennui*. Faust's miserable state of mind is what encourages him to enter into his pact with Mephistopheles. Furthermore, Faust also shows a great deal of remorse in the final scene of the play after seeing the madness that Margarete now suffers from as a result of his actions. (Goethe 1979: 4594) Höfgen is different as he does not feel emotions other than ambition and envy strongly.

That is not to say that he does not feel them but he frequently ignores his feelings or unlike Faust who learns from his emotions and attempts to make amends, Höfgen consistently ignores his emotions and carries on with his immoral actions. This fact introduces a subtle but important difference between Höfgen and Faust in regards to the one of the aims of the thesis. One of the aims was to investigate the extent to which moral disgust played a role in motivating the protagonists. The analysis shows that Faust is highly motivated by the emotions that he feels. He attempts to take his life because of *ennui*, he enters into his pact with Mephistopheles in order to prove that pleasure is fleeting, and it ultimately his shame and feelings of love that encourage him to save Margarete. This is all emphasised through Faust during his monologues and during his discussions with Mephistopheles. The structure of Mephisto creates a slight issue because the narrator is the sole focaliser for all of the events throughout *Mephisto*. The narrator does give the reader insight into Höfgen's emotions and mental state but the narrator does not give the impression that Höfgen is ever moved by his emotions. Höfgen does feel emotions but there is little indication that they act as motivation for him. The fact that Höfgen is not motivated by his emotions plays into his lack of redemption at the conclusion of *Mephisto*. Höfgen's lack of emotional motivation also portrays him as a far more submissive character as he takes a far less active role in events. This passivity is what links Höfgen to characters like Hamlet. Before a performance of *Hamlet*, Höfgen is chastised by the ghost of Hamlet for his passivity. (Mann 1981: 332) There is also the question as to whether or not Höfgen is better identified with Faust or with Mephistopheles. Höfgen's own characterisation begins to become confused through his own actions. In the typical Faust story, there is a clear Faust and Mephisto, the tempted and the tempter. Faust plays the role of the adventurer whereas Mephistopheles plays the role of the guide and sinister trickster. This paradigm is clear in Goethe's *Faust*. Höfgen is neither a true

Faust nor is he a true Mephistopheles. He is not a true Faust as he is not led astray or corrupted by the Nazis because Höfgen goes out of his way to secure an alliance with the *Fliegergeneral*. Instead, I have demonstrated that it would be more accurate to see him as something of both Faust and Mephistopheles. Höfgen has blurred the two personas into one in his reality and instead of succeeding at either he fails at both.

There has to this day been no major study on moral emotions within Goethe's *Faust* or Klaus Mann's *Mephisto*, and to my knowledge the theory of moral emotions has been underutilised in literature analyses in general. This is not unsurprising as the study of moral emotions, including such a term as 'moral emotions', is a relatively new field of study that has only in

recent years become more widespread in its interest. This opens the door to an exciting new area of study with new possibilities for literary research. It creates new possibilities for research into both old and new works of literature.

The hero's journey will always be enjoyed because it speaks to the human experience, not just to our enjoyment of excitement and adventure, but on a deeper level to our desire for purpose and completion. This desire transcends tradition, belief and culture as it arises from our evolution and mind and thus will always be relatable no matter where the story arises and in no matter how foreign a land that it is enjoyed read in.

Mephisto is a failed hero's journey largely due to Höfgen's lack of identity, constantly blurring the lines between archetypes as if possessed. (Jung 1969: 47-48) Just as the German people were possessed by the pagan symbol of the swastika, so is Höfgen possessed by the spirit of the evil trickster and by that of Hamlet. He is constantly wrestling for a sense of identity as he is constantly striving to create a false identity of himself that he sells to the Nazis, his audience and, worst of all, to himself. He is neither Faust nor Mephistopheles and fails at being both. He is a Heinz pretending to be a Hendrik.

My focus was especially on *Mephisto* and after analysing the novel I feel that further research should involve a deeper analysis of the moral emotion of shame. The presence of shame within Mann's work implies a feeling of shame on behalf of the Germans complicit in Nazi ideology despite the fact that Klaus Mann and his audience would not have had any involvement within the Nazi regime yet they feel shameful as if they were responsible or that the presence of the Nazis represents a failure on the people's part. The topic of shame and Nazi Germany is still a prominent theme within popular discussion over the holocaust and the nature of the Nazi regime. There is scope to analyse more moral emotions within Klaus Mann's *Mephisto* and his other works. Previously it was shown that Höfgen is passive in character as is indicated by his lack of emotional motivation in comparison to Faust. Further research into *Mephisto* and moral emotions could focus on the emotions of the narrator. This thesis primarily dealt with disgust but there is a whole set of moral emotions each that can greatly expand on the existing knowledge of literature while furthering our understanding of literature.

Mephistopheles is *der Geist der stets verneint* and the Nazi party are the destructive force that they were. If it were to be accepted that the Nazis were instead just a slightly morally corrupt political group then there is no real moral dilemma in *Mephisto*. Both Faust and Höfgen partner

with evil and their subsequent actions result in subsequent, terrible harm on those that they should love and care for. Faust's affair with Margarete results in matricide and infanticide, whereas Höfgen adds legitimacy to the Nazi regime while having Juliette deported and Otto being executed after detention in a concentration camp for his communist beliefs. Despite all of his actions, Faust is possibly redeemed after the conclusion of *Faust*, whereas Höfgen receives no redemption and no mercy at the conclusion of *Mephisto*.

The answer to Faust's redemption and Höfgen's damnation lies within the realm of moral emotions. Love is what separates Faust from Höfgen. The love that Faust feels towards Gretchen is what sets him free. Faust feels guilty for the harm that he has caused Margarete as he cries out to her: "O wär ich nie geboren!" (Goethe 1979: 4596) Faust, unlike Höfgen, is able to care for others and is able to realise that he has done wrong. Höfgen is unable to find redemption or sympathy because he repeatedly proves that he is incapable of showing love towards others. Höfgen receives a great deal of affection and love from many characters throughout *Mephisto*, yet he is always unable to share this love with people and instead uses their affections to better himself. Within the framework of Goethe's *Faust*, and later works derived from it, love and especially the ability to feel remorse is a prerequisite for salvation. (Mann, T. 1981)

Faust and Höfgen represent in their own way different negative and destructive tendencies in humans. Faust represents someone who has become (emotionally/ spiritually) dead and unable to see the life and joy found within the world. He is someone who possesses ability and talent, but he lacks the conviction and honesty required to be transformative in a good sense. Mephistopheles is the extreme representation of the destructive forces of nihilism and *ennui* that consume Faust. The Nazis act as the mirror to Höfgen in *Mephisto*. The Nazis represent the conclusion of Höfgen's deceitfulness and his drive for fame and material success.

The transformative power of love and compassion speaks to the deeper appeal of the hero's journey across space and time. The reason for the universal appeal of these legends lies in their prosocial value. The hero's journey promotes virtues and values that aim at cohesion and unity. The focus on love in *Faust* may very be a result of the Christian heritage that the Faust legend was born from. For Christians claim that Jesus, and thus God, chose to suffer and die not for his own gratification but out of love for mankind. Yet this rendition of the hero's journey is not an especially Christian notion. In Hinduism, the princess Savitri gives away supernatural boons out of love and devotion to her husband. (Ujjwala 2014: 40) The hero is frequently moved out

of devotion to his people to embark on his perilous quest. As always with the hero's journey, examples are non-exhaustive because of the universal nature of the hero's journey. It shows us that through trials, we can raise ourselves up to something better and that by raising ourselves up we can become heroes ourselves by aiding those around us.

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