

ART OF AFRICA,  
OCEANIA &  
THE AMERICAS

NEW YORK | 13 MAY 2019



Sotheby's EST.  
1744



FRONT COVER  
LOT 173  
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LOT 220



ART OF AFRICA,  
OCEANIA &  
THE AMERICAS



# ART OF AFRICA, OCEANIA & THE AMERICAS

**AUCTION IN NEW YORK**  
**13 MAY 2019**  
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PROPERTY FROM A PRIVATE COLLECTION, TEXAS

## CEREMONIAL PADDLE, AUSTRAL ISLANDS

Height: 44 5/8 in (113.3 cm)

### PROVENANCE

Private Collection, Florida  
Skinner, Boston, July 8, 1988, lot 110, consigned  
by the estate of the above  
Private Collection, Texas, acquired at the above  
auction

Ceremonial paddles from the Austral Islands are richly-decorated objects inspired by the functional form of a paddle. For these seafaring people a key object of maritime equipment served as the basis for the form of these sacred objects. Likely used as a wands during ceremonial dances, this paddle is particularly distinguished by the elegant abstract design on its pommel, depicting a combination of human and animal characteristics.

\$ 7,000-10,000



PROPERTY FROM A PRIVATE COLLECTION

## SPEAR CLUB, RURUTU, AUSTRAL ISLANDS

Height: 133 ½ in (339 cm)

### PROVENANCE

Private Collection, Connecticut  
 Applebrook Auctions, New Milford, February  
 22, 2018, lot 133, consigned by the estate of the  
 above  
 Private Collection, acquired at the above  
 auction

Impressive spear clubs such as this were seen on Rurutu in 1769, during Cook's First Voyage. The naturalist Joseph Banks noted that "Their arms were long lances, made of the Etoa [*Casuarina equisetifolia*], the wood of which is very hard; they were well polished and sharpened at one end [...] they had also a weapon which was both club and pike, made of the same wood [...] this also was well polished and sharpened at one end into a broad point." (Hawkesworth, *An Account of the Voyages Undertaken [...] for Making Discoveries in the Southern Hemisphere [...] from the papers of Joseph Banks*, London, 1773, vol. 2, p. 227). A slightly later observer, the English missionary William Ellis, wrote that "the spears of the inhabitants of Rurutu [...] are remarkable for their great length, and elegant shape, as well as for the high polish with which they are finished." (Ellis, *Polynesian Researches*, London, 1829, vol. 2, p. 496).

Hooper illustrates a closely related spear club with similarly deeply carved chevrons on the collar (Hooper, *Pacific Encounters*, London, 2006, p. 217, cat. no. 188). Slightly smaller in size, that example was collected in the Pacific between 1818-1822 and entered the collection of the Marischal Museum at the University of Aberdeen in 1823 (inv. no. ABDUA 4158). Hooper notes that a Rurutu provenance for these spear clubs "is confirmed by an example at Saffron Walden which was collected on Rurutu by [the missionary] George Bennet in 1822" (*ibid.*).

\$ 8,000-12,000



103

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PROPERTY FROM AN IMPORTANT EUROPEAN  
COLLECTION

**MAORI HEAD,  
NEW ZEALAND**

Height: 9 in (23 cm)

**PROVENANCE**

Kenneth Athol Webster, London, acquired circa  
1950 (inv. no. 1010)

Wayne Heathcote, London

American Private Collection, acquired from the  
above on June 16, 1993

Sotheby's, Paris, June 21, 2017, lot 14,

consigned by the above

Acquired by the present owner at the above  
auction

**PUBLISHED**

Henri Kamer and Hélène Kamer, *Arts d'Afrique  
et d'Océanie*. Cannes, 1957, pp. 39 and 88, cat  
no. 420

**EXHIBITED**

Palais Miramar, Cannes, *Arts d'Afrique et  
d'Océanie*, July 6 - September 29, 1957

\$ 100,000-150,000



Within the exceedingly rare corpus of Maori sculpted heads, the present example, with its powerful presence and masterly rendered features, represents a particularly high achievement of the Maori sculptors' art. The head depicts an ancestor with an incised curvilinear *moko* tattoo and iridescent *paua* shell inlaid in its eyes and teeth. Tattoos, *moko*, were "visual representation of the *whakapapa* (genealogy) of an individual" (Smith, *Maori. Leurs trésors ont une âme*, Paris, 2012, p. 86). They were meant to visually convey the personal history of the ancestor represented, as well as his hierarchical position within society. It was the sole prerogative of the highest dignitaries and great warriors to wear a full facial *moko*. According to Terence Barrow, who establishes an analogy between these sculpted heads and the preserved heads of great chiefs, these pieces were portraits which could act as a substitute for a preserved head in the event of its loss or deterioration.

(Barrow, *Maori Art of New Zealand*, Wellington, 1978, pp. 34-37). Displayed on wooden palisades during important ceremonies or affixed to sculpted bodies, these sculpted heads embodied the presence and *mana* of the most important ancestral figures.

Kenneth Athol Webster was a pivotal figure in the community of early British collectors of Polynesian art. In 1957, when Hélène and Henri Kamer decided to host an exhibition entitled *Exposition des arts d'Afrique et d'Océanie*, they solicited a loan of the majority of the Maori pieces from Webster. This head was among that group of objects, which were chosen for "their aesthetic characteristics and their importance in the field of artistic creation" (Kamer and Kamer, *Arts d'Afrique et d'Océanie*, Cannes, 1957, p. 11). For a closely related head in the Menil Collection in Houston see de Ménéil et al., *La rime et la raison. Les collections Ménéil (Houston-New York)*, Paris, 1984, cat. no. 316.



PROPERTY FROM A PRIVATE COLLECTION

**GRADE SOCIETY FIGURE,  
VANUATU**

Height: 67 1/8 in (170.5 cm)

**PROVENANCE**

John J. Klejman, New York  
Alvin and Estelle Abrams, Greenwich, Connecticut,  
acquired from the above in the 1970s  
Sotheby's, New York, November 15, 2002, lot 160,  
consigned by the above  
Private Collection, acquired at the above auction

\$ 40,000-60,000



Constantin Brancusi's studio with Eve and Plato, 1922  
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PROPERTY FROM A PRIVATE COLLECTION,  
NEW YORK

**YIMAM HOOK FIGURE,  
KARAWARI RIVER, EAST  
SEPIK PROVINCE, PAPUA  
NEW GUINEA**

with attachment of Pesquet's Parrot (*Psittirichas fulgidus*), Sulphur-crested Cockatoo (*Cacatua galerita*), and Papuan Frogmouth (*Podargus papuensis*) feathers.

Height: 81 ¼ in (206.4 cm)

**PROVENANCE**

Allan Stone, New York, acquired in the 1970s or 1980s

Sotheby's, New York, *The Collection of Allan Stone: African, Oceanic, and Indonesian Art - Volume One*, November 15, 2013, lot 23

Private Collection, New York, acquired at the above auction

**PUBLISHED**

Christie's, New York, *Selections from the Allan Stone Collection*, November 12, 2007, illustrated on the cover

• \$ 100,000-150,000





Several archaic cultures of the Middle and Upper Sepik River Region of New Guinea share a common tradition of carving sacred figures which incorporate a series of opposed hooks, including the garra figures of the Bahinemo peoples, aripa figures of the Inyai-Ewa peoples and the yipwon figures of the Yimam peoples. Regarding those found along the Karawari River, Eric Kjellgren notes: "Admired by Western artists for their radical conception of the human form, the distinctive one-legged hook figures (yipwon) of the Korewori River region caused a sensation when the first examples reached the West in the 1950s. Created by the Yimam people, the figures occur in two distinct sizes. Large-scale images, [like the present figure ...] were owned by clans or subclans and kept in the men's ceremonial house, where they stood leaning against the back wall, the most sacred area of the house's inner sanctum. [...] Depicting primordial ancestral spirits, the figures served as vessels into which the spirits were summoned before a hunt or raid. Each yipwon bore an individual name and often had a close relationship with one of the senior men from the associated

clan." (Kjellgren, *Oceania: Art of the Pacific Islands*, New York, 2007, p. 58).

During the late 1930s, the British sculptor Henry Moore became preoccupied with pointed forms, as evidenced in his preparatory drawings of the period. Wilkinson notes that given Moore's well-documented interest in the formal qualities of Oceanic sculpture, for his famous bronze *Three Points* of 1939-1940, a "plausible source may be found in tribal art. I am referring to the 'hook' figures, or Yipwons, from the Karawari region of New Guinea [...]. They could almost be mistaken for Moore's *Three Points*." (Wilkinson in Rubin, ed., *"Primitivism" in 20th Century Art*, New York, 1984, vol. 2, 607). Moore himself wrote in 1941 about "New Guinea carvings, with drawn out spider-like extensions and bird-beak elongations [...]" (*ibid.*, p. 604). The Chilean surrealist Roberto Matta Echaurren owned several Papuan "hook sculptures", including the famous large-scale standing *yipwon* figure today in the de Young Museum, Fine Arts Museums of San Francisco (inv. no. 2000.172.1).

Above  
Henry Moore, *Three Points*, photo: Henry Moore Archive  
Reproduced by permission of The Henry Moore  
Foundation



PROPERTY FROM A PRIVATE COLLECTION

## MENGEN SHIELD, NEW BRITAIN

Height: 55 ¼ in (140.3 cm)

### PROVENANCE

Albert Hahl, collected *in situ* in 1909  
Possibly Herbert Tischner, Hamburg,  
presumably acquired from the above  
Museums für Völkerkunde, Hamburg (inv. no.  
not recorded)  
Wayne Heathcote, New York  
The Masco Collection, Detroit, acquired from  
the above by the early 1990s  
Sotheby's, New York, May 17, 2002, lot 313,  
consigned by the above  
Private Collection, acquired at the above  
auction

### PUBLISHED

Allen Wardwell, *Island Ancestors: Oceanic Art  
from the Masco Collection*, Detroit, 1994, p. 130,  
cat. no. 50

### EXHIBITED

The Kimbell Museum, Fort Worth, *Island  
Ancestors: Oceanic Art from the Masco  
Collection*, September 24 - December 4, 1994;  
additional venues: Honolulu Academy of Arts,  
February 2 - March 26, 1995; the Detroit  
Institute of Arts, June 11 - August 6, 1995; North  
Carolina Museum of Art, Raleigh, March 9 - May  
5, 1996

\$ 20,000-30,000

The Mengen people live on the south coast of New Britain, in the area of Jaquinot Bay. Their art making tradition includes a large number of ceremonial shields made from wood and woven fiber, which were carved in low relief and painted with red, white and black pigment. Of this particular example, Allen Wardwell describes the opposing stylized heads on the central shield and the smiling face at the top as being: "reminiscent of Papuan Gulf art. The small face that appears on top of this example delineated by a continuous line encompassing the nose, brows, cheeks, and chin is another Papuan convention. Despite these congruencies, however, there is no evidence that the two peoples ever had contact with one another" (Wardwell, *Island Ancestors*, Detroit, 1994, p. 130).



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

## BOWL, HAWAII

Diameter: 15 ¾ in (40 cm)

### PROVENANCE

Kepokai Family, members of the Maui Ali'i  
American Private Collection

\$ 8,000-12,000

Combining functional form with timeless elegance, Hawaiian "calabash" (so called because of their resemblance to a hollowed gourd) bowls are as testimony to skill of classical Hawaiian artisans. These bowls, used for food storage and serving, were carved from a single piece of wood which was selected by the craftsman for both its physical and aesthetic qualities, namely distinguishing colors and the curving lines of its grain patterns. The 19th century native Hawaiian historian, David Malo (1793–1853), discussed the process of creating such bowls during his lifetime:

"Those who were skilled in the art of carved bowls and dishes out of different woods; but the *kou* was the wood generally used for this purpose. After the log had been fashioned on the outside it was either deeply hollowed out as a calabash, *umeke*, or as a shallow dish or platter, *ipukai*, to hold fish or meat. A cover also was hollowed out to put over the *ipukai* and the work was done. The dish was then rubbed smooth within and without a piece of coral, or with rough lava (*oahi*), then with pumice or a stone called *oio*. After this, charcoal was used, then bamboo leaf, and lastly it was polished with bread-fruit leaf and *tapa*; the same was done to the cover, and there was your dish" (Malo, *Hawaiian Antiquities (Moolelo Hawaii)*, 1951, p. 122 cited in Rose, *Hawaii: The Royal Isles*, Honolulu, 1980, p. 178).

While the technology evolved as metal tools became more readily available, the manufacture of calabash bowls persisted through the 19<sup>th</sup> century (*ibid.*). Their traditional facture and style of repairs influenced international woodworkers and modern designers such as George Nakashima.





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PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**BASALT POUNDER,  
HAWAII**

Height: 7 ½ in (19 cm)

**PROVENANCE**

Kepokai Family, members of the Maui Ali'i  
American Private Collection

\$ 6,000-9,000



109

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PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**BOWL, HAWAII**

Diameter: 12 in (30.4 cm)

**PROVENANCE**

Irving Jenkins, Honolulu  
American Private Collection

\$ 6,000-9,000





Jan Mitchell, circa 1960s

## PRE-COLUMBIAN GOLD

### PROPERTY FROM THE ESTATE OF JAN MITCHELL

LOTS 110-117

Jan Mitchell (1913-2009), was an avid art collector, philanthropist, and New York tastemaker. Born in Latvia, he came to New York as a young man, working from the ground up in the restaurant business. One of his greatest achievements was reviving the legendary restaurant Lüchow's, where his passion for fine art and fine dining were realized with Old Master and 19<sup>th</sup> century paintings lining the walls as he played host to New York's artistic and literary community. After selling Lüchows and leaving the restaurant world in the early 1970s, Mitchell turned in earnest to collecting paintings and works of art. His eclectic taste and spirited

buying had full reign, "It isn't necessary for me to spend twenty-four hours wondering whether I like a work of art, I know right away". (Cartier Ratcliff, "Jan Mitchell-The Varied Tastes of a New York Connoisseur", *Architectural Digest*, p. 298, November, 1987). He focused particularly on his collection of Pre-Columbian gold (gold having a special allure after his father gave him a gold coin as a reward for learning to read). Pursuing his collecting since the 1960s, Mitchell participated in the important exhibition at the Museum of Primitive Art in 1969, Pre-Columbian Art in New York, Selections from Private Collections, and went on to create one

of the world's most comprehensive collections of ancient American goldwork. Highlights of his gold collection were exhibited at the Metropolitan Museum of Art in New York in 1985, featured in the scholarly catalogue, *The Art of Precolumbian Gold, The Jan Mitchell Collection*. A generous portion of the collection was given to the museum in 1991, adding to the Nelson Rockefeller and Alice Bache collections, forming one the most important permanent installations, The Jan Mitchell Treasury.

We are pleased to present a selection of the early acquisitions of the Mitchell gold collection in the following lots 110-117.

PROPERTY FROM THE ESTATE OF JAN MITCHELL

**TWO COLOMBIAN GOLD  
FIGURAL ORNAMENTS,  
TOLIMA OR QUIMBAYA  
REGION  
CIRCA AD 500-1000**

Heights: 1  $\frac{3}{4}$  in (4.5 cm), 2  $\frac{3}{8}$  in (6 cm)

**PROVENANCE**

Lempertz, Cologne, December 14, 1966, lots 1821, 1822

Jan Mitchell, New York, acquired at the above auction

Thence by family descent

**PUBLISHED**

Julie Jones, *Precolumbian Art in New York: Selections from Private Collections*, New York, 1969, unpaginated, cat. no. 159 (both figures)

Julie Jones, Heidi King, *The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, 1985, pp. 154-5, cat. no. 36 (both figures)

**EXHIBITED**

The Museum of Primitive Art, New York, *Precolumbian Art in New York: Selections from Private Collections*, September 12-November 9, 1969

The Metropolitan Museum of Art, New York, *The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, May 9-August 11, 1985

The lost-wax casting of gold ornaments was mastered in ancient Colombia by 500 BC. Minute details and important body ornamentation were not overlooked even on small figures such as these pendants. Their outstanding slender noses show bead ornaments, and the slit coffee-bean style eyes impart a trance-like expression. They each wear double belts, necklaces and have elaborate bifurcated spiralled headdresses, one with an extension rising above.

For a similar figure from the John Wise collection, designated from the Quimbaya region, see Sotheby's, New York, May 15, 2015, lot 19.

\$ 5,000-7,000



PROPERTY FROM THE ESTATE OF JAN MITCHELL

**COLOMBIAN GOLD  
FIGURAL PENDANT,  
TOLIMA OR QUIMBAYA  
REGION  
CIRCA AD 500-1000**

Height: 2 ¾ in (7 cm)

**PROVENANCE**

Sotheby's, London, March 29, 1965, lot 51  
Acquired at the above auction by Jan Mitchell,  
New York  
Thence by family descent

**PUBLISHED**

Julie Jones, *Precolumbian Art in New York: Selections from Private Collections*, New York, 1969, unpaginated, cat. no. 159  
Julie Jones, Heidi King, *The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, 1985, pp. 156-7, cat. no. 37

**EXHIBITED**

The Museum of Primitive Art, New York,  
*Precolumbian Art in New York: Selections from Private Collections*, September 12-November 9, 1969  
The Metropolitan Museum of Art, New York,  
*The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, May 9-August 11, 1985

\$ 6,000-8,000



PROPERTY FROM THE ESTATE OF JAN MITCHELL

**TOLIMA GOLD ABSTRACT  
FIGURAL ORNAMENT  
CIRCA AD 500-1000**

Height : 6 1/8 in (15.5 cm)

**PROVENANCE**

Jan Mitchell, New York, acquired prior to 1969  
Thence by family descent

**PUBLISHED**

Julie Jones, *Precolumbian Art in New York:  
Selections from Private Collections*, New York,  
1969, fig. 155, illus.

**EXHIBITED**

The Museum of Primitive Art, New York,  
*Precolumbian Art in New York: Selections from  
Private Collections*, September 12-November  
9, 1969

\$ 12,000-18,000

Tolima figures are renowned for their abstract minimal style dominated by geometric symmetry of both straight and curvilinear form. This cast and hammered ornament combines the splayed figural type with its outstretched limbs, and the avian style by the anchor-shaped tail with a fluid ruffled perimeter resembling a bird. The avian and splayed figure pendants have been considered representations of a shamanic "flight" by Reichel-Dolmatoff (Gerardo Reichel-Dolmatoff, *Goldwork and Shamanism, an Iconographic Study of the Gold Museum*, Bogota, 1988), the

ornaments are iconic examples of the ecstatic transformational rites, referenced in his studies of Colombian indigenous groups of the Amazonian Sierra Nevada regions. Goldworking was viewed as an art imbued with special powers, "goldsmiths transformed a sacred metal .. into objects with cosmological and social meaning." (Ana Mariá Falchetti, "The Gold of Greater Zenú: Metallurgy in the Caribbean Lowlands of Colombia", in McEwan, ed. *Precolumbian Gold, Technology, Style and Iconography*, London, 2000, p. 145).



PROPERTY FROM THE ESTATE OF JAN MITCHELL

**TOLIMA GOLD FIGURAL  
PENDANT  
CIRCA AD 500-1000**

Height: 5 <sup>7</sup>/<sub>8</sub> in (14.8 cm)

**PROVENANCE**

Jan Mitchell, New York, acquired prior to 1969  
Thence by family descent

**PUBLISHED**

Julie Jones, *Precolumbian Art in New York: Selections from Private Collections*, New York, 1969, unpaginated, cat. no. 154  
Julie Jones, Heidi King, *The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, 1985, pp. 158-159, cat. no. 38

**EXHIBITED**

The Museum of Primitive Art, New York,  
*Precolumbian Art in New York: Selections from Private Collections*, September 12- November 9, 1969  
The Metropolitan Museum of Art, New York,  
*The Art of Precolumbian Gold: The Jan Mitchell Collection*, May 9- August 11, 1985

\$ 15,000-25,000

Tolima goldwork was part of a larger regional network known as the 'Southwest Colombian Metallurgical Tradition' which encompassed the Tumaco, Calima, San Agustin and Tolima areas (Bray in McEwan, ed. *Precolumbian Gold: Technology, Style and Iconography*, Chicago, 2000, p. 102). The distinctive styles of this region feature lost-wax cast pendants of stylized animal and human figures charged with symbolic content. "The Tradition is as much an ideological phenomenon as a technological one" (*ibid.*).

The Tolima style includes pendants renowned for their abstract form offset by the striking human expressions. Jones (*The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, 1985, p. 158) notes that Tolima figural pendants occur as either 'winged' figures, or as in this example, with the splayed body of stylized flattened limbs outspread symmetrically above the anchor-shaped 'tail'. It is notable how the hammered limbs are of equal length and width, creating a consistent geometry that is repeated on the face in a curvilinear fashion. The recessed facial area is roughened, with the delicate outline of the face, eyes, and mouth in raised bands. The head is surmounted by a ten-plumed headdress; a suspension loop is behind the slender neck.

For an example of a similar pendant with a spiked headdress, see Pillsbury, Potts and Richter, eds., *Golden Kingdoms: Luxury Arts in the Ancient Americas*, Los Angeles, 2017, cat. no. 90





PROPERTY FROM THE ESTATE OF JAN MITCHELL

**TOLIMA GOLD FIGURAL  
PENDANT  
CIRCA AD 500-1000**

Height: 2 ½ in (6.4 cm)

**PROVENANCE**

Jan Mitchell, New York, acquired prior to 1969  
Thence by family descent

**PUBLISHED**

Julie Jones, *Precolumbian Art in New York:  
Selections from Private Collections*, New York,  
1969, unpaginated, cat. no. 158

The Hermitage Museum of Art, *Zoloto  
dokolumbovoi Ameriki*, katalog vystaki  
(exhibition catalogue, loan from The  
Metropolitan Museum of Art to the Ministry of  
Culture, USSR) Soviet Artist, Leningrad, 1976,  
cat. no. 87, illus.

Julie Jones, Heidi King, *The Art of Precolumbian  
Gold: The Jan Mitchell Collection*, New York,  
1985, pp. 160-1, cat. no. 39

**EXHIBITED**

The Museum of Primitive Art, New York,  
*Precolumbian Art in New York: Selections from  
Private Collections*, September 12-November  
9, 1969

The Hermitage Museum of Art, *Zoloto  
dokolumbovoi Ameriki*, Leningrad, 1976

The Metropolitan Museum of Art, New York,  
*The Art of Precolumbian Gold: The Jan Mitchell  
Collection*, New York, May 9-August 11, 1985

\$ 5,000-7,000



PROPERTY FROM THE ESTATE OF JAN MITCHELL

**QUIMBAYA GOLD  
PECTORAL  
CIRCA AD 500-1000**

Diameter: 5 in (12.7 cm)

**PROVENANCE**

Jan Mitchell, New York, acquired prior to 1969  
Thence by family descent

**PUBLISHED**

Julie Jones, *Precolumbian Art in New York: Selections from Private Collections*, New York, 1969, unpaginated, cat. no. 179  
Julie Jones, Heidi King, *The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, 1985, pp. 176-7, cat. no. 47

**EXHIBITED**

The Museum of Primitive Art, New York,  
*Precolumbian Art in New York: Selections from Private Collections*, September 12-November 9, 1969

The Metropolitan Museum of Art, New York,  
*The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, May 9-August 11, 1985

See catalogue note at [SOTHEBYS.COM](http://SOTHEBYS.COM)

\$ 5,000-7,000



PROPERTY FROM THE ESTATE OF JAN MITCHELL

**COLOMBIAN GOLD  
PENDANT OF A FISH  
CIRCA AD 500-1000**

Length: 2 5/8 in (6.7 cm)

**PROVENANCE**

Jan Mitchell, New York, acquired prior to 1969  
Thence by family descent

\$ 3,000-5,000

**PUBLISHED**

Julie Jones, *Precolumbian Art in New York: Selections from Private Collections*; New York, 1969, unpaginated, cat. no. 172  
Julie Jones, Heidi King, *The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, 1985, pp. 148-9, cat. no. 33

**EXHIBITED**

The Museum of Primitive Art, New York, *Precolumbian Art in New York: Selections from Private Collections*, September 12-November 9, 1969  
The Metropolitan Museum of Art, New York, *The Art of Precolumbian Gold: The Jan Mitchell Collection*, May 9-August 11, 1985

Pendants cast as nearly identical multiples were characteristic of ancient Colombian gold; the ornaments were strung together falling side by side on a necklace. The wide tubular suspension loop on this finely rendered aquatic figure may have made this ornament more appropriate as an individual pendant. (Jones, ed. *The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, 1985, p. 148).



PROPERTY FROM THE ESTATE OF JAN MITCHELL

**DIQUÍS GOLD FIGURAL  
PENDANT  
CIRCA AD 800-1200**

Height: 4 in (10 cm)

**PROVENANCE**

Philip Dade Collection

Andre Emmerich, acquired from the above in  
1964 (CA-534)Jan Mitchell, New York, acquired from the  
above in October, 1964

Thence by family descent

\$ 10,000-15,000

Ceremonial pendants of shaman and warrior figures prominently display their accoutrements of prestige and power. This densely cast male stands on elongated filigree feet and holds large flaring paddle-shaped clubs in each hand. Wooden clubs of this form, called *macanas*, were mentioned in the 16th c. chronicles (Cooke and Bray, in Jones, ed., *The Art of Precolumbian Gold: The Jan Mitchell Collection*, New York, 1985, p. 39). His trance-like face is marked by the tight-lipped mouth, coffee-bean style closed eyes, and the top of his head is surmounted by two frogs with rounded heads and frothy spirals at the back; it has double suspension loops behind the neck.



PROPERTY FROM A COLORADO PRIVATE  
COLLECTION

**DIQUÍS GOLD DOUBLE  
FIGURAL PENDANT  
CIRCA AD 800-1200**

Width: 3 5/8 in (8.5 cm)

**PROVENANCE**

Acquired by the husband of the current owner  
in the early 1970s

\$ 15,000-20,000

Twinned or double-figures were an important genre of Isthmus goldwork prevalent in the neighboring regions of Sitio Conte in Panama and the Diquís area of Costa Rica. Diquís goldwork was 'ornate and almost baroque in the exuberance of its decoration' (Bray in Abel-Vidor et al., *Between Continents/Between Seas*, Detroit, 1981, p. 166), as seen on this pendant by the braidwork, filigree details, and the addition of dangles once suspended on the eight projecting rods. The naked figures grasp the braided staffs decorated along the perimeters with spirals; each figure wears a headdress of spikey plumes and the distinctive hooked nose appendage associated with bats. See Abel-Vidor, *ibid.*, cat. no. 275 for the type.



PROPERTY FROM A PENNSYLVANIA PRIVATE  
COLLECTION

**VERAGUAS GOLD AVIAN  
PENDANT  
CIRCA AD 800-1200**

Width: 4 in (10 cm)

**PROVENANCE**

Andre Emmerich, New York  
Hans Rudolf Koella, Zurich, acquired from the  
above in 1978  
Sotheby's, New York, May 16, 2014, lot 215  
Acquired at the above auction

**PUBLISHED**

Roland Burri, *DU*, "Die Stiftung Altamerikanische  
Kulturen in Zurich", 1985, Fig. 22

**EXHIBITED**

*Die Stiftung Altamerikanische Kulturen*, private  
museum of Hans Koella, Zurich, 1982-2002

\$ 10,000-15,000

The avian pendants of the Isthmus region were cast to highlight the broad wingspan of the magnificent birds of the rainforest. Here the graceful curving wings contrast with the flat tail feathers, and the talons are deeply clenched as if about to land.

Hans Rudolf Koella (1925-2012), was a prominent Swiss collector of modern paintings who became fascinated with Pre-Columbian gold in the 1960's, acquiring many works from the Andre Emmerich Gallery. Mr. Koella created a private museum and research library featuring his collection of ceramics, textiles and gold, which he opened to the public.



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PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**WARI STONE CUP OF  
FOUR FACES  
MIDDLE HORIZON,  
CIRCA AD 700-1000**

Height: 3 <sup>3</sup>/<sub>4</sub> in (9.5 cm)

**PROVENANCE**

Andre Emmerich, New York  
Mr. and Mrs. Robert Spitzer, New York,  
acquired from the above prior to 1969  
Sotheby's, New York, November 18, 1991, lot  
13A, consigned by the above  
Merrin Gallery, New York, acquired at the above  
auction  
American Private Collection, acquired from the  
above in 1991

**PUBLISHED**

Julie Jones, *Pre-Columbian Art in New York:  
Selections from Private Collections*, New York,  
1969, unpaginated, cat. no. 263  
Alan Lapiner, *Pre-Columbian Art of South  
America*, New York, 1976, p. 250, figs. 577-578

**EXHIBITED**

Museum of Primitive Art, New York, *Pre-  
Columbian Art in New York: Selections from  
Private Collections*, September 12-November  
9, 1969

\$ 150,000-250,000





This finely carved stone cup is one of a small group distinguished by the four projecting faces of nearly identical form. The cup was carved in gypsum, known as alabaster, in thin section on a stepped foot. Each face is delicately sculpted with a prominent aquiline nose showing slightly flared nostrils, thin straight mouth and wide almond-shaped eyes with inlaid pupils under arched brows. Each face is framed by an even rectangular band of inlaid shell delineating the coiffure (or headdress) with remains of black resinous pitch shown on the edges. The rim is finely carinated to mirror the stepped foot. It is an example of the small *kero* cup, *keros* being one of the most ubiquitous and important objects of Andean culture from the early Moche through the Inca period. *Keros* were used in the ceremonial toasts during the ritual consumption of *chicha*, a fermented drink made from maize. The large ceramic face-neck jars, showing the bold expressions and highly adorned frontal faces of dignitaries, are of similar style and concept to these rare four-face cups.

The projecting faces of the four-face cups enable the viewer to see both frontal and profile images simultaneously. A four-part design was prevalent in various Wari mediums such as four-cornered hats, and on inlaid ear frontals with four profile animal heads (see The Art Institute of Chicago, acc. no. 1955.254a,b). The four-part placement has directional significance as well as being related to the prevalent Andean concept of dualism and paired figures. Whatever the conceptual design signified to the ancient owner, we are confronted with the calm and mature idealized faces turning the vessel into a finely crafted work of art.

The Wari empire flourished in the Central Peruvian highlands from the 6th-9th century AD. The religious, social and political ideologies were eloquently represented in their art and material culture, particularly in the magnificent 'theatrical arts of regalia' (Bergh in Bergh ed., *Wari*, Cleveland, 2012, p. 217). The refined inlaid objects and fine tapestry-woven textiles of complete *unku* tunics were the most expressive of their luxury arts. Wari craftsmen mastered the art of inlay as seen in such dazzling works as the mirror at Dumbarton Oaks (PC.B.432), as well as ear ornaments, snuff tablets, necklaces, rectangular pendants, thumb-rests of atlatls, spoons, spatulas and stone cups. These objects were made in stone, wood or shell and were meticulously inlaid with a resinous material securing the tesserae that included purple and orange *spondylus* shell, purple mussel, mother-of-pearl, lapis lazuli, turquoise, serpentine, as well as gold and silver. Inlay, either as a flat design or sculpted figure, created a kaleidoscope of dazzling form. Bergh (*ibid.*) notes that inlay objects shared a colorful mosaic aesthetic with tapestry-woven, tie-dyed and feathered textiles.

Current scholarship continues to refine our understanding of the complex interrelationship between the Wari and Tiwanaku cultures, both dominating the Andean landscape from the coastal to Highland regions. "Enough can be said, however, to provide an appreciation of the immensity of Wari's importance in the central Andean past". (Isbell and Young-Sánchez, "Wari's Andean Legacy", in Bergh, *ibid.*, p. 251).

For other stone four-face cups, see the Museum of Fine Arts, Houston, inventory no. 2001.1164, in the Alfred C. Glassell Jr. collection; also see José Antonio Lavalle, *Arte y Tesoros del Peru, Huari*, Lima, 1984, p. 163; and Milosz Giersz and Cecilia Pardo, eds., *Castillo de Huarmey*, Lima, 2014, p. 130, figs. 78a-78b.



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**MAYA SHELL PENDANT  
OF A YOUNG LORD  
LATE CLASSIC,  
CIRCA AD 550 - 950**

Length: 3 7/8 in (9.8 cm)

**PROVENANCE**

Jay C. Leff, Uniontown, Pennsylvania, acquired prior to 1959  
Sotheby's, New York, *Important African, Oceanic and Pre-Columbian Art: Property of Jay C. Leff*, October 10, 1975, lot 492  
Merrin Gallery, New York  
American Private Collection, acquired from the above in 1989

**PUBLISHED**

Walter A. Fairservis, Jr., *Exotic Art from Ancient and Primitive Civilizations: Collection of Jay C. Leff*, Pittsburgh, 1959, p. 73, cat. no. 466  
Elizabeth Kennedy Easby, *Ancient Art of Latin America from the Collection of Jay C. Leff*, New York, 1966, p. 101, cat. no. 450  
Hasso von Winning, *Pre-Columbian Art of Mexico and Central America*, New York, 1968, p. 331, fig. 483  
Katheryn M. Linduff, *Ancient Art of Middle America: Selections from the Jay C. Leff Collection*, Huntington, 1974, cat. no. 136

**EXHIBITED**

Carnegie Institute, Pittsburgh, *Exotic Art from Ancient and Primitive Civilizations: Collection of Jay C. Leff*, October 15, 1959 - January 3, 1960  
The Brooklyn Museum, *Ancient Art of Latin America from the Collection of Jay C. Leff*, November 22, 1966 - March 5, 1967  
The Huntington Galleries, West Virginia, *Ancient Art of Middle America: Selections from the Jay C. Leff Collection*, February 17-June 9, 1974

\$ 10,000-15,000

Shell ornaments were a vital part of the elaborate repertory of Maya luxury goods and jewelry paraphernalia. Shells represented fertility, water and the abundance of life from the underworld. Exotic marine shells such as the *Spondylus princeps* of this pendant were obtained by specialized divers and transported, often from great distances, before reaching the workshops of craftsmen adept at working this relatively delicate medium.

On this pendant, the carved and incised convex section of shell takes the familiar form of the cartouche frame to portray the bust of a young lord within the body of the *xoc* fish monster, a mythical aquatic creature seen on polychrome vases and other shell ornaments. The lord wears a soft turban with facial details carefully incised, his eye and the fish head before him were each once inlaid with tiny jade or shell beads to further highlight their features.

For similar shell ornaments, see Goldstein and Suárez Diez, *Conchas Precolombinas: Mesoamerican Art Created from Seashells*, Long Island, 1997, p. 77, figs. 165 and 167, the latter the pendant of a lord on a fish monster in the Dumbarton Oaks Research Library and Collections, Washington, D.C. (PC. B. 543)



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**MAYA JADE MINIATURE  
FIGURE  
LATE CLASSIC,  
CIRCA AD 550-950**

Height: 1 3/8 in (3.5 cm)

**PROVENANCE**

American Private Collection, acquired prior to  
1984

Sotheby's, New York, November 20, 1989, lot  
106

Merrin Gallery, New York, acquired at the above  
auction

American Private Collection, acquired from the  
above in 1990

**EXHIBITED**

Birmingham Museum of Art, long term loan,  
1984-1986

The Appleton Museum of Art, Ocala, long term  
loan, 1986-1987

\$ 20,000-25,000

The miniature figure was carved sparing  
no detail to portray the aged figure of a  
hunchback in peaceful repose. With the left  
hand to his belly, the right arm is wrapped  
around his bent leg as he bends forward. His  
face shows softly parted lips and the classic  
aquiline nose; he is adorned with a turban,  
bead necklace, earrings, and knotted loincloth.  
Hunchback figures and dwarfs were believed  
to have special powers of communication.  
Dwarves were portrayed on fine Maya  
polychrome ceramics as attendants to lords in  
important audience and dance scenes. A dwarf  
figure was important enough to be the subject  
of this high status, jewel-like ornament.

The brilliant apple green of this pendant  
was the most prized color for Maya jades,  
symbolic of sprouting vegetation and abundant  
water. The Maya valued what they believed was  
the inherent essence of a material, imbuing  
the ornament and its wearer with enhanced  
qualities. As Houston notes "a material is  
never just a material. It cross-references other  
substances and can be seen as the outcome  
of hopeful transformations." (Houston in  
Pillsbury, Potts and Richter, eds., *Golden  
Kingdoms: Luxury Arts in the Ancient Americas*,  
Los Angeles, 2017, p. 83). This pendant may  
have been made in the Southern Highlands,  
near the important jade source in the Rio  
Grande-Motagua River valley.





ANOTHER PROPERTY

**MAYA CARVED VASE,  
CHOCHOLÁ STYLE  
LATE CLASSIC,  
CIRCA AD 550 - 950**

Diameter: 4 ¾ in (12.2 cm)

**PROVENANCE**

Merrin Gallery, New York, acquired by 1978  
Musée Barbier Mueller, Geneva (inv. no. 502-3),  
acquired from the above by 1979  
Sotheby's, Paris, *Collection Barbier-Mueller. Art  
Précolombien*, March 22-23, 2013, lot 38  
Acquired at the above auction

\$ 40,000-60,000

**PUBLISHED**

Werner Muensterberger, *Universalité de l'art  
tribal*, Geneva, 1979, p. 43  
Musée Barbier Mueller, *Art de l'Amérique  
précolombienne*, 1981, p. 27, fig. 12  
Jean-Paul Barbier, *Hier, aujourd'hui, demain:  
regards sur les collections et sur les activités  
du musée Barbier-Mueller, 1977-1987*, Geneva,  
1987, p. 41  
Octavio Paz, *Art millénaire des Amériques: de  
la découverte à l'admiration, 1492-1992*, Paris,  
1992, p. 246, pl. 50  
Jean-Paul Barbier et al., *Arte pré-colombiana da  
coleção Barbier-Mueller*, Lisbon, 1995, pl. 50  
Octavio Paz, *Ritual Arts of the New World: Pre-  
Columbian America*, Milan and New York, 2000,  
p. 284, cat. no. 50  
Musée Rath, ed. *Mexique, terre des dieux:  
trésors de l'art précolombien*, Geneva, 1998, p.  
226, cat. no. 259  
Elizabeth P. Benson, ed., *Trésors de la  
céramique précolombienne du Museo Barbier-  
Mueller de Arte Precolombino de Barcelona*,  
Paris and Barcelona, 2003, p. 185, cat. no. 39  
Jean-Michel Hoppan, "Les Vases Mayas Peint  
et Graves", in *La Collection Barbier-Mueller, Art  
Précolombien, Mésoamérique*, Geneva, 2013,  
Vol. 1, p. 175, fig. 117

**EXHIBITED**

Musée Barbier-Mueller, Geneva, *Art de  
l'Amérique précolombienne*, Fall, 1981  
Musée Barbier-Mueller, Geneva, January  
30-March 24, 1992  
Fondation Maeght, Saint-Paul-de-Vence, April  
11-June 15, 1992  
Fondation la Caixa, Barcelona, *Art millénaire  
des Amériques: de la découverte à l'admiration*,  
1492-1992, November 25, 1992-January 24,  
1993

Museu Calouste Gulbenkian, Lisbon, *Arte pré-  
colombiana da coleção Barbier-Mueller*, March  
23-June 4, 1995  
Musée Rath, Geneva, *Mexique, terre des dieux.  
Trésors de l'art précolombien*, October 8,  
1998-January 24, 1999  
Musée Barbier-Mueller d'Art Précolombi,  
Barcelona, October 30, 2003-April 15, 2004  
Fondation de l'Hermitage, Lausanne, *Trésors de  
la céramique précolombienne du Museo Barbier-  
Mueller de Arte Precolombino de Barcelona*,  
June 25-October 24, 2004

The carved vessels of the Chocholá style  
from the western Yucatan region are renown  
for their deeply sculpted and refined style  
reminiscent of the master carving of important  
stone reliefs. Working in leather-hard clay, the  
artist modeled a sensitive portrait of a young  
woman in the portal of a waterlily cartouche.  
Her diminutive left hand holds the edge of  
the cartouche as if she is leaning outward,  
and her tiny right hand is shown before her  
face grasping the vegetal frond incised in the  
background. The edges of the cartouche taper  
into billowing wisps as if it is floating on the  
surface of the vase. The waterlily cartouche  
is a window into the mythical scenes of the  
watery underworld.

The woman's profile shows her high  
cheekbones, almond-shaped eye and sloping  
forehead with high plaits of her coiffure  
wrapped by textured headbands. She wears a  
finely woven net *quechquemitl*, bead necklace  
and large ear ornament with tubular extension.  
The reverse is deeply carved with a rectangular  
panel of nine glyphs in three columns, referring  
to "his/her cup", followed by a long name  
phrase including reference to a location, and  
"is its holy name".

For similar vessels of the Chocholá style,  
see Coe, *The Maya Scribe*, New York, 1973,  
nos. 53-65, particularly no. 61, for the flat-  
bottomed vase in the Art Institute of Chicago  
(1969.241).



Detail of reverse





PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**MAYA POLYCHROME  
CYLINDER VASE  
LATE CLASSIC,  
CIRCA AD 550-950**

Height: 9 ¼ in (23.5 cm)

**PROVENANCE**

Private Collection Texas, reputedly acquired by  
the late 1960s or early 1970s  
Sotheby's, New York, November 27-28, 1984,  
lot 353, consigned by the above  
Andy and Von Long, Denver, acquired at the  
above auction  
Merrin Gallery, New York, acquired from the  
above  
American Private Collection, acquired from the  
above in 1989

**PUBLISHED**

Justin Kerr, *The Maya Vase Book*, New York,  
1990, vol. 2, p. 234 (K2323)  
Dorie-Reents Budet, *Painting the Maya  
Universe: Royal Ceramics of the Classic Period*,  
Durham, 1994, p. 159, fig. 4.50 (rollout)  
Michael D. Coe and Justin Kerr, *The Art of the  
Maya Scribe*, New York, 1997, p. 212, pl. 212  
mayavase.com, K2323

**EXHIBITED**

The Metropolitan Museum of Art, New York,  
long term loan, June 1, 2008-October 1, 2014

\$ 85,000-125,000





Lot 24 rollout © Justin Kerr K2323

Maya polychrome ceramics were a primary artistic genre of the Late Classic era that recorded important historic and ritual events and complex mythological characters. The elegant cylindrical vessels known as *uk'ib* (cylinder vessels made for drinking chocolate) functioned as ceremonial and funerary ware and served as important portable social currency between the major regional centers of the Maya kingdom. Whether in a trade exchange or as a presentation offering for political or social effect, the finely painted surfaces of glyphic texts and detailed illustrative scenes, were a source of vital information on specific regional events, royal

lineage, or mythological narratives. Bryan Just refers to the *uk'ib* as the “most sophisticated presentation of historical information for the Late Classic Maya.” (Just, *Dancing into Dreams, Maya Vase Painting of the Ik' Kingdom*, Princeton, 2012, p. 59).

Ancient ceramic art was a refined technical process mastered by potters and painters over decades to achieve the consistent clay density and surface appropriate for fine slip painting. Recent studies combining epigraphy and chemical analysis of the clay tempers and slips, revealed the source and distribution of several distinct regional styles (Reents-Budet, *Painting the*

*Maya Universe: Royal Ceramics of the Classic Period*, Durham, 1994). Black background vases, along with red-on-cream and black-on-cream painted cylinders, were the finest vessels from the Naranjo and Altun Ha Central Lowlands area.

This majestic black ground vase is one of less than dozen Maya vessels known with the *fleur-de-lys* motif. It was painted with two bold diagonal glyph bands against a deep reddish brown ground. These bands separate the floating “*fleur-de-lys*” motif. The rim text is a variation of the Primary Standard Sequence (PSS); this dedicatory text identified the vessel, its function and ownership, and



sometimes named the artist who painted it. The PSS was a powerful dedicatory “name-tag” that reinforced and communicated “the ritual empowerment of the vessel through the act of painting (or carving) its surface.” (*ibid.*, p. 158).

PSS texts standardly refer to a vessel as a vehicle for the consumption of ritual cacao. Reents-Budet’s reading of this rim text described the poetic and unusual sequence in the repeated use the word for *tsih* ‘fresh’ or ‘new’. The text states the standard reference to drinking cacao, but with a unique repetition of (*tsih*), *ta tsih* (new substance), *tsih hich* (new surface), *tsih ts’ib* (new writing). (*ibid.*, p. 156).

The diagonal glyph band on one side of the vessel is a double column and on the other side the band expands from a double into a triple column. The current reading of these glyphic texts indicates they are important lineage statements. They describe shifting political alliances between two rival city-states of the Naranja area. The concept of lineage, rulership and authority is metaphorically illustrated by the repeated *fleur-de-lys* motifs. These graceful elements are graphic illustrations of the stamen and pistil of pollinating flowers. The imagery is a vivid and elegant reference from the natural world to reinforce lineage and reproduction. Black ground scenes often

refer to the mysterious and powerful darkened waters of the underworld; referenced here with the flowers floating freely on the surface of the vase.

As Coe and Kerr note “the very act of naming things gave the Maya a degree of control over their universe.” (Coe and Kerr, *The Art of the Maya Scribe*, New York, 1997, p. 59). For the Maya, a vase was never simply a vehicle for holding liquid in one’s lifetime or for the afterlife. It was itself a sacred and animate object, made so by its being written and painted on by the ancient artisans.

For the small corpus of vases with diagonal glyph bands and the *fleur-de-lys* motif, see *mayavase.com*, K635, K5165, K5229 and K6641.

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PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**MAYA FIGURE OF A  
DIGNITARY, JAINA  
LATE CLASSIC,  
CIRCA AD 550 - 950**

Height: 13 in (33 cm)

**PROVENANCE**

American Private Collection, acquired in the  
1940s or 1950s  
Merrin Gallery, New York  
American Private Collection, acquired from the  
above in 1998

**REFERENCES**

**LITERATURE**

Kerr portfolio, *mayavase.com*, K7785

\$ 75,000-125,000





Maya ceramic figures provide the most intimate three-dimensional portraits of noblemen and women of the 6th-9th centuries. Figures occur in a broad geographic range, but the most refined and detailed are referred to as Jaina, named for the concentration of figures from the small island off the Campeche coast. Figures were placed in group assemblages that recorded rites of passage, ritual events and accession ceremonies, such as the 23 figures found in the cache chamber of a ruler in Southern Guatemala (Finamore and Houston, *Fiery Pool: The Maya and the Mythic Sea*, Salem, 2010, pp. 284-287). Most figures were made by a combination of molded elements with hand-modeled details. Current research suggests that some figures are portraits of individuals, not simply representations of a class or a type of noblemen and women. These assemblages of naturalistically rendered figures provide insight into the roles of specific individuals within Maya society and reveal a compelling narrative of the importance of Maya rituals.

This nobleman is one of the class of exceptionally tall Jaina figures which portray the important dignitaries and rulers of a court. He has a strong, well-proportioned body with his raised arm in an animated yet relaxed posture. The moustached face is highlighted by the scarification of three dots on the forehead, and he wears large rectangular jade earrings with ear tubes and a jaguar-tooth necklace. Finely striated hair extends below the tall wrapped turban headdress, which is decorated with rows of small cotton beads. His gesturing arm is wrapped with a wide bracelet of multiple rows of jade or shell plaques. The artist carefully included the knots and ties securing this ornament.

Of particular note is the elaborately layered loincloth. The long front hanging panels consist of an inner textile with cross band edges, and the outer panel with delicate selvedge fringe. The wraparound panel of the loincloth is also bordered with crossed bands, a glyphic compound associated with nobility. The outermost hip cloth is embroidered with enigmatic arrow motifs and tied with a short frontal flap. Such finely woven kilts and loincloths with detailed hems were significant attire for specific court individuals. As with all Maya attire, the details of headdress, jewelry and clothing serve as markers of status and authority.

For large-scale gesturing figures, see Finamore and Houston, *ibid.*, p. 59, figs. 13-14, and for a lord with a similar elaborate loincloth see Sotheby's, New York, May 15, 2017, lot 78.





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PROPERTY FROM A PRIVATE COLLECTION,  
CALIFORNIA

**VERACRUZ STONE HEAD  
HACHA  
LATE CLASSIC,  
CIRCA AD 550 - 950**

Height: 10 in (25.4 cm)

**PROVENANCE**

Acquired by the grandfather of the current  
owner in the 1960s  
Thence by family descent

Stylized skeletal heads were one of the main genres of stone hachas from Veracruz and the Southern Highlands. Skulls were emblems of power and prestige given the intensity and outcome of the ballgame. This extremely slender section was carved with exposed jaw and teeth, with the fleshless nose curving into the thick ribbon-like cheekbone and brow. The deeply recessed ear, eye and back of the jaw has been abraded into a roughened texture.

See Shook and Marquis, *Secrets in Stone*, Philadelphia, 1996, pp. 176-181 for Southern Highland examples.

\$ 10,000-15,000



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PROPERTY FROM A PRIVATE COLLECTION

**MAYA STONE EFFIGY  
HACHA  
LATE CLASSIC,  
CIRCA AD 550 - 950**

Height: 12 in (30.5 cm)

**PROVENANCE**

Sabina Nayberg, Los Angeles, acquired by her family in the 1960s

American Private Collection, acquired from the above

Sotheby's, New York, May 11, 2012, lot 41, consigned by the above

Private Collection, acquired at the above auction

The pelican is elegantly depicted by the sweeping lines of the curving neck and long, slightly open beak, the gullet expanded as if filled with a recent catch. Pelicans are well represented in Maya art, admired for their dramatic high-speed dives when hunting. They deftly navigate the realms of sky and water, giving them enhanced status in mythological spheres. For a highly similar hacha of a pelican, see Sotheby's, New York, May 7, 2016, lot 113. Also see Finamore and Houston, *Fiery Pool: The Maya and the Mythic Sea*, Salem, 2010, p. 96.

\$ 20,000-30,000



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PROPERTY FROM A PRIVATE COLLECTION

**MAYA STUCCO BUST OF A  
DIGNITARY  
LATE CLASSIC,  
CIRCA AD 550 - 950**

Height: 19 in (48.2 cm)

**PROVENANCE**

Private Collection, Connecticut, acquired  
between March 1962 and June 1968  
Sotheby's, New York, May 14, 1996, lot 176,  
consigned by the above  
Sotheby's, New York, May 11, 2012, lot 52  
Private Collection, acquired at the above  
auction

The Maya sculpted figures and painted scenes in plaster and stucco as eloquently as they rendered reliefs and freestanding stele in hard stone. Few examples of the prodigious amount of plaster and stucco sculpture have survived the centuries of exposure and erosion.

Stucco sculpture was made from a mixture of lime, gypsum and fine sand, sometimes applied over a mortar and stone armature. The complete sculpture was then painted in colors relevant to the type of deity or figure; this figure retains remnants of red and blue. This dignitary, with a classic elongated nosebridge, wears the courtly attire of turban, large ear ornament and swaggered collar; the torque of the body and turn of his head suggest his rapt attention at a ceremonial event.

See Stierlin, *Mexique, Terre des Dieux, Trésors de l'art précolombien*, Geneva, 1998, pl. 222, for a stucco figure in a similar posture.

\$ 30,000-50,000



PROPERTY FROM THE FAMILY OF HERBERT BAKER,  
CHICAGO AND LOS ANGELES

**COSTA RICAN STONE  
EFFIGY METATE  
GREATER NICOYA  
REGION,  
CIRCA AD 800 - 1200**

Length: 23 ½ in (59.7 cm)

**PROVENANCE**

Herbert Baker, Chicago and Los Angeles,  
acquired by the late 1960s  
Thence by family descent

\$ 8,000-12,000

This metate is a fine example of the reductive carving so renowned in the elaborate basalt metates of the Greater Nicoya and Atlantic Watershed zones. It is unusual for the openwork "curtain" form suspended laterally between the front and rear legs. Each of the four legs is an upside-down pot-bellied figure with hands raised to the face, and carved on each "curtain" is a long-beaked bird also shown upside down, whose torso is marked by plumage and an openwork cross. The curved platform has two projecting avian heads on one end, and the underside of the platform is finely carved with the 'mat motif' of woven elements flanked on each short end by 'selvedge' elements.

For similar metates see Stone, *Pre-Columbian Man in Costa Rica*, New York, 1977, pp. 197-199, fig. 266; also see similar metates in the Denver Art Museum, Object no. 1995.566, and Object no. 2017.234.



Detail of underside







Reverse

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PROPERTY FROM A PRIVATE COLLECTION, NEW MEXICO

**COSTA RICAN STONE  
FLYING PANEL METATE  
LATE PERIOD IV,  
AD 1 - 500**

Length: 24  $\frac{3}{4}$  in (63 cm)

**PROVENANCE**

Private Collection, Kansas City, acquired in September 1966

\$ 20,000-30,000

The 'unique and most spectacular' type of stone sculpture from Costa Rica are the flying-panel metates of the Central Highland/Atlantic watershed region. They exhibit virtuoso carving which transformed large volcanic blocks into openwork sculptures of dynamic figural and zoomorphic forms. Possibly used as altars or thrones, the slightly curved platforms most likely functioned as tables for the preparation of ceremonial food or hallucinogens, and are supported on a theater of active figures.

The central figure on this stone metate is wearing the "beak-bird" zoomorphic mask with massive scrolled beak and arms bent at right angles on each side; long-beaked birds project in a diving motion from each of the columnar legs. The highly geometric anthropomorphic forms echo the reductionist quality of much later artists work such as Keith Haring's signature graffiti characters. For similar flying-panel metates, see Abel-Vidor et al., *Between Continents, Between Seas: Precolumbian Art from Costa Rica*, New York, 1981, p. 119, cat. nos. 144-147.



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PROPERTY FROM A PRIVATE COLLECTION, NEW MEXICO

**COSTA RICAN STONE  
EFFIGY METATE  
GREATER NICOYA  
REGION,  
CIRCA AD 500 - 800**

Length: 33 ½ in (85.1 cm)

**PROVENANCE**

Private Collection, Kansas City, acquired in 1968

Thence by family descent

This classic tripod metate was carved with an unusual animal head, possibly an iguana or reptile, in a rectangular form with a sunken interior. The rear legs are lightened by the stacked openwork design. For a similar example in the Frederick and Jan Mayer Collection at the Denver Art Museum, see Object No. 1195:412.

\$ 8,000-10,000



PROPERTY FROM A PRIVATE COLLECTION

**VERACRUZ STONE HEAD  
HACHA  
LATE CLASSIC,  
CIRCA AD 550-950**

Height: 8 in (20.3 cm)

**PROVENANCE**

Robert Stolper, London  
German Private Collection, acquired from the  
above on October 14, 1968  
Sotheby's, New York, November 22, 1999, lot  
171, consigned by the above  
Private Collection, acquired at the above  
auction

The rounded crested head form with a distinctive cutaway section on the forehead, and the deeply recessed eyes, portrays a skeletal variety of the hacha type. For a similar example, see Leyenaar and Parsons, *Ulama*, Leiden, 1988, pp. 188 and 191, figs. 103 and 113.

\$ 6,000-9,000



PROPERTY FROM A PRIVATE COLLECTION,  
CALIFORNIA

**SMALL XOCHIPALA  
STONE INCISED BOWL  
EARLY PRECLASSIC,  
CIRCA 1200-900 BC**

Diameter: 5 ¼ in (13.4 cm)

**PROVENANCE**

Acquired by the grandfather of the present  
owner in the late 1960s  
Thence by family descent

Finely incised in deep green serpentine, this vessel shows the highly schematic image of an animated profile of a zoomorphic large-eyed creature with spiked crested head and teeth, it faces the arched back possibly of another creature, decorated with a similar spiked perimeter. For a vessel with a naturalistic creature of spiked physiognomy, see Berrin and Fields, eds., *Olmec: Colossal Masterworks from Ancient Mexico*, San Francisco, 2010, pl. 105; see also [mayavase.com](http://mayavase.com), K7093, K7094, and K7095 for vessels in the collection of the Los Angeles County Museum of Art.

\$ 5,000-7,000



PROPERTY FROM A PRIVATE COLLECTION,  
CALIFORNIA

**LARGE XOCHIPALA  
INCISED BOWL  
EARLY PRECLASSIC,  
CIRCA 1200-900 BC**

Diameter: 10 ¼ in (26 cm)

**PROVENANCE**

Acquired by the grandfather of the present  
owner in the late 1960s  
Thence by family descent

\$ 7,000-10,000

Xochipala greenstone bowls from the north-central region of Guerrero represent a highly localized style of the Early Preclassic Olmec era. The stone bowls feature finely incised zoomorphic and stylized forms against a tightly etched background; the images usually repeat on each side in a symmetrical form, whereby joining the two images illustrates the complete effigy image.

This bowl is carved on each side with a large lunate eye above the tightly undulating "legs", with feet angled upward to the rim. The densely etched ground provides a strong contrast to the smooth and dark zoomorphic imagery.

For a bowl in the Los Angeles County Museum of Art with highly similar iconography, see *mayavase.com* K6554 (inv. no. M.2010.115.715); for other Xochipala incised bowls in the collection see *mayavase.com* K7093 (inv. no. M.2010.115.305), K7094 (inv. no. M.2020.115.438) and K7095 (inv. no. M.2010.115.439); also see Berrin and Fields, eds. *Olmec: Colossal Masterworks of Ancient Mexico*, San Francisco, 2010, pl. 105 (inv. no. M.2000.54.1). Another example is in the Yale University Art Gallery, New Haven (inv. no. 2017.14.12).



PROPERTY FROM A PRIVATE COLLECTION,  
CALIFORNIA

**MEZCALA STONE SEATED  
FIGURE**  
LATE PRECLASSIC,  
CIRCA 300 - 100 BC

Height: 5 3/8 in (13.7 cm)

**PROVENANCE**

Acquired by the grandfather of the current  
owner in the late 1960s  
Thence by family descent

\$ 5,000-8,000

The seated figures of Mezcala and Chontal form a distinct category. They were adapted from river cobbles and never from the axe form seen in the standing figures. They appear in three general postures, including the type exhibited in the present example which displays an upward tilt of the head. As Gay notes "this particular position of the face turned upward cannot be accidental considering the relatively large number of examples. It was instead, probably meaningful within the context of man's relationship with the upper spheres, without necessarily meaning that the figures represented star gazers per se." (Gay and Pratt, *Mezcala: Ancient Stone Sculpture from Guerrero, Mexico*, Geneva, 1992, p. 107).

This figure is of the M-12 variant style; see Gay and Pratt, *ibid.*, p. 114, pl. 103.





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PROPERTY FROM A PRIVATE COLLECTION,  
CALIFORNIA

**MEZCALA STONE SEATED  
FIGURE  
LATE PRECLASSIC,  
CIRCA 300 - 100 BC**

Height: 3 ½ in (8.9 cm)

**PROVENANCE**

Acquired by the grandfather of the current  
owner in the 1960s  
Thence by family descent

\$ 4,000-6,000



PROPERTY FROM A PRIVATE COLLECTION,  
CALIFORNIA

**MEZCALA STONE TEMPLE  
LATE PRECLASSIC,  
CIRCA 300-100 BC**

Height: 5 ¼ in (13.4 cm)

**PROVENANCE**

Acquired by the grandfather of the current  
owner in the 1960s

Thence by family descent

\$ 5,000-8,000

Mezcala temple models were collected as early as the 19th century by William Niven among other explorers in Guerrero. Their appeal blossomed in the 1960s after publications by Miguel Covarrubias and Carlo Gay'sw, "Mezcala Architecture in Miniature" (Jones, *Houses for the Hereafter, Funerary Temples from Guerrero, Mexico, From the Collection of Arthur M. Bullowa*, New York, 1987, pp. 9-10).

This andesite temple is carved with stairs to the upper platform, here supporting two broad columns with a banded, tapering roof comb. See Gay and Pratt, *Mezcala, Ancient Stone Sculpture from Guerrero, Mexico*, Geneva, 1992, p. 179, fig. 114, for the type.



PROPERTY FROM A PRIVATE COLLECTION

**MEZCALA STONE FIGURE  
LATE PRECLASSIC,  
CIRCA 300-100 BC**

Height: 9 ¾ in (24.7 cm)

**PROVENANCE**

Private Collection, New York, acquired by the 1960s

Christie's, New York, May 23, 2007, lot 73, consigned by the above

Private Collection, acquired at the above auction

According to Carlo T. E. Gay, Mezcala sculpture "alters our traditional perception of the human form by its geometric rather than naturalistic interpretation [...] the sculpture is based on a clever play of volumes and planes, usually within a symmetrically composed, contained format. Stripped clean to the basic position of standing, seated or kneeling and devoid of flying appendages, the figures manifest a commanding presence" (Gay and Pratt, *Mezcala: Ancient Stone Sculpture from Guerrero Mexico*, Geneva, 1992, p. 21). Indeed the pared-down modernist aesthetic of Mezcala figures such as the present example imbues the corpus with a timeless appeal. This figure is classified as "M-10" for its formal traits, such as its planar face and its forearms, which are rendered sharply incised.

\$ 20,000-30,000



PROPERTY FROM A PRIVATE COLLECTION,  
CALIFORNIA

**MEZCALA STONE FIGURE,  
TYPE M-12  
LATE PRECLASSIC,  
CIRCA 300-100 BC**

Height: 9  $\frac{3}{8}$  in (23.8 cm)

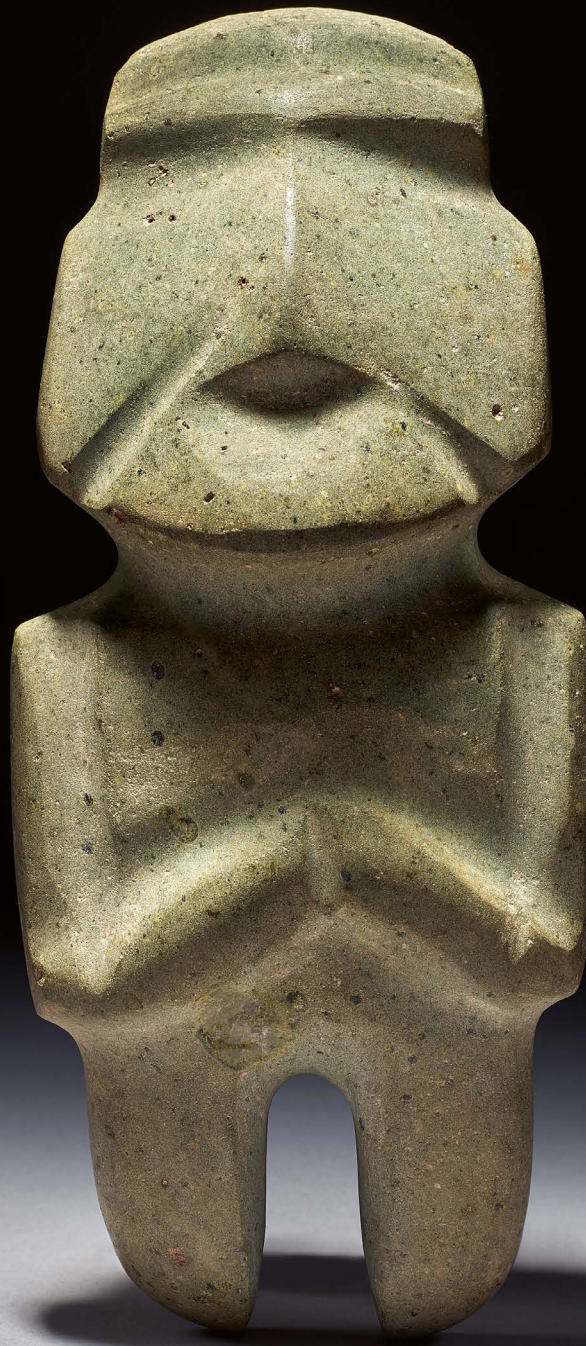
**PROVENANCE**

Acquired by the grandfather of the current  
owner in the 1960s

Thence by family descent

See *catalogue note* at [SOTHEBYS.COM](http://SOTHEBYS.COM)

\$ 7,000-10,000



PROPERTY FROM A CALIFORNIA PRIVATE  
COLLECTION

**LARGE MEZCALA STONE  
FIGURE  
LATE PRECLASSIC,  
CIRCA 300-100 B.C.**

Height: 14 ¼ in (36.2 cm)

**PROVENANCE**

Acquired by the grandfather of the current  
owner in the 1960s  
Thence by family descent

Carlo Gay dedicated forty years of his life to creating a stylistic taxonomy of Mezcala figures. The present example, notable for its large size, exhibits some qualities present in the M-16 figures such as its arms hugging the sides of the body and others more akin to the M-12 type, such as the treatment of the eyebrows in relief (see Gay and Pratt, *Mezcala, Ancient Stone Sculpture from Guerrero, Mexico*, Geneva, 1992, pp. 58-64, 72-76). While Gay was able to create a comprehensive system for discussing the formal qualities of Mezcala figurative sculpture, he was less concrete in assigning precise meaning to their function: "It is unlikely that [the figures] were created quixotically, and safer to assume they had some esoteric significance based in magic or religious principles. Probably, they are all inherently symbolic, conveying complex messages about beliefs of the living, and hopes of the dead." (*ibid.*, p. 21).

\$ 20,000-30,000



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**CHUPÍCUARO EFFIGY  
VESSEL  
LATE PRECLASSIC/  
PROTOCLASSIC,  
CIRCA 300 BC-AD 300**

Length: 14 in (35.5 cm)

**PROVENANCE**

Charles Laughton and Elsa Lancaster, Los Angeles  
Parke-Bernet Galleries, New York, October 15, 1966, lot 33, consigned by the above  
Sotheby's, New York, May 16, 1989, lot 88  
Merrin Gallery, New York  
American Private Collection, acquired from the above in 1989

The Chupícuaro culture was centered in the Acámbaro Valley and Lerma River area of Guanajuato, Mexico, from about 600 BC until about AD 200. Its location in northwest Mexico made it a possible route for the exchange of ideas between West Mexico, Central Mexico and the American Southwest. Chupícuaro artisans created a distinctive ceramic tradition best known for the male and female figures with bulbous legs and geometric step-fret motifs on the chest and face.

This effigy vessel represents a stylized dog whose large ears function as spouts. The tapered and pierced feet are similar to the supports of Chupícuaro mammiform vessels.

\$ 8,000-10,000



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**OLMEC SPOUTED DISH,  
LAS BOCAS  
EARLY PRECLASSIC,  
CIRCA 1200-900 BC**

Length: 13 ¼ in (33.6 cm)

**PROVENANCE**

Edward H. Merrin Gallery, New York  
Jay C. Leff Collection, Uniontown, Pennsylvania,  
acquired prior to 1965  
Sotheby's, New York, October 10 and 11, 1975,  
lot 327, consigned by the above  
Merrin Gallery, New York  
American Private Collection, acquired from the  
above in 1995

**PUBLISHED**

Michael D. Coe, *The Jaguar's Children:  
Preclassic Central Mexico*, New York, 1965, fig.  
49  
Elizabeth Kennedy Easby, *Ancient Art of Latin  
America from the Collection of Jay C. Leff*, New  
York, 1966, cat. no. 70  
Franz Feuchtwanger, *Ceramica Olmeca*, Mexico  
City, 1989, fig. 140

**EXHIBITED**

The Museum of Primitive Art, New York, *The  
Jaguar's Children: Preclassic Central Mexico*,  
February 5-May 17, 1965  
The Brooklyn Museum, *Ancient Art of Latin  
America from the Collection of Jay C. Leff*,  
November 22 1966- March 5, 1967

Elegantly shaped creamware vessels are highlights of the Olmec tradition as found in Las Bocas and Tlatilco ceramics. The spouted vessel type is particular to Central Mexico and is not seen on ceramics from the Gulf Coast. This large shallow bowl, formerly in the Jay C. Leff collection, shows remains of red pigment which underscores its ritual usage. For a close example, see Berrin and Fields, eds., *Olmec, Colossal Masterworks of Ancient Mexico*, San Francisco, 2010, pl. 124.

\$ 15,000-20,000





PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**OLMEC INCISED BOWL OF  
A SUPERNATURAL,  
MORELOS REGION  
EARLY PRECLASSIC,  
CIRCA 1200-900 BC**

Height: 4 ½ in (11.4 cm)

**PROVENANCE**

D. Daniel Michel, Chicago, acquired in 1962  
(inventory no. 62:088)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired in 1991

\$ 15,000-25,000

**PUBLISHED**

Michael D. Coe, *The Jaguar's Children: Pre-Classic Central Mexico*, New York, 1965, fig. 19  
Leo Rosshandler, *Man-Eaters and Pretty Ladies: Early Art in Central Mexico from the Gulf to the Pacific, 1500 BC-500 AD*, Montreal, 1971, p. 52, cat. no. 45

Peter David Joralemon, "A Study of Olmec Iconography", in *Studies in Pre-Columbian Art and Archaeology*, 7, Washington, D. C., 1971, fig. 236

Everett McNear, *High Culture in the Americas Before 1500*, Chicago, 1982, p. 2, cat. no. 4.  
Peter David Joralemon, "Bowl with Incised Were-Jaguar Profiles," in Elizabeth P. Benson and Beatriz de la Fuente, eds., *Olmec Art of Ancient Mexico*, Washington, D.C., 1996, p. 203, fig. 41

Peter David Joralemon, "An Incised Olmec Bowl from Tlapacoya in the Barbier-Mueller Collection," in *Arts and Cultures, Musée Barbier-Mueller*, Geneva, 2001, no. 2, fig. 1b

**EXHIBITED**

The Museum of Primitive Art, New York, *The Jaguar's Children: Pre-Classic Central Mexico*, February 17-May 5, 1965

Montreal Museum of Fine Arts, *Man-Eaters and Pretty Ladies: Early Art in Central Mexico from the Gulf to the Pacific: 1500 B.C. to 500 A.D.*, January 15-March 8, 1971

The Arts Club of Chicago, *High Culture in the Americas Before 1500*, November 15-December 31, 1982

National Gallery of Art, Washington D.C., *Olmec Art of Ancient Mexico*, June 30-October 20, 1996

Ceramic vessels from the Olmec region provide vivid and important representations of supernatural deities. By 1200 BC in the Basin of Mexico and the nearby Puebla and Morelos region, flat-bottom ceramics were boldly engraved with powerful abstract and esoteric symbols reflecting cosmological beliefs.

This vessel depicts two images of the dramatic profile head known as the banded-eye deity, distinctive for the open mouth with flared upper lip, toothless gum accented by crosshatching, large almond-shaped eye, and the narrow band extending from the back of the cleft head to the eye, down the cheek and curving to the back. Two wavy cross motifs separate each head.

The deity is consistently shown without a body, and is found on numerous ceramics of the Early Preclassic era in the Central Mexico. It was a prime character in the formative years of Olmec religion. This deity profile is carved on the shoulder of the famous Las Limas stone figure, a 'dictionary' of the important earth and water deities. The banded-eye profile is associated with the fish monster and the realm of the underworld sea.

For a closely related vessels, see Benson and de la Fuente, eds., *Olmec Art of Ancient Mexico*, New York, 1996, cat. no. 40; and Stierlin, *Mexique, Terre des Dieux*, Geneva, 1998, cat. nos. 34 and 36; and Berrin and Fields, eds., *Olmec, Colossal Masterworks from Ancient Mexico*, San Francisco, 2010, p. 206, pl. 112, for the vessel in the Raymond and Laura Wielgus Collection in the Indiana University Art Museum (IUAM 81.32.3).







## EARLY PRECLASSIC FIGURINES FROM MEXICO

LOTS 144-149

The small figurines from the Tlatilco and Gulf Coast region may charm the viewer with their delicate features, evoking as one scholar described ‘a profound tenderness and great sensitivity’ (Rosshandler, *Man-Eaters and Pretty Ladies, Early Art in Central Mexico from the Gulf to the Pacific, 1500 BC-500 AD*, Montreal and New York, 1971, p. 19). But they also impart an important cultural significance. The large corpus of figurines from the farming communities of the Preclassic (1200-900 BC) centers of Tlatilco, Tlapacoya and Morelos, were one of the earliest records of an artistic expression of complex sacred and political ideologies, laying a foundation of iconography that continued throughout later Mesoamerican cultures.

Tlapacoya and Tlatilco were the key cultural centers in Central Mexico of an

important interregional trade network of Olmec material goods from the Gulf Coast. As Niederberger emphasized “... both sites were the center of a formalized configuration of political and sacred authority, and public ceremonies, ... and a focal point in the elaboration, reception and redistribution of sacred and secular information” (Niederberger in Benson and de la Fuente, eds., *Olmec Art of Ancient Mexico*, Washington D. C., 1996, p. 92).

The discovery of numerous figurines in the early 1930’s in Tlatilco brickyards near Mexico City, led to the excavations and research by George Vaillant for the American Museum of Natural History. He refined a letter and number classification of the various figure types, still referenced today. The artist and scholar Miguel Covarrubias studied and wrote extensively

on the Tlatilco and Preclassic cultures, popularly known through *Indian Art of Mexico and Central America*, New York, 1957.

D. Daniel Michel (1912-2004) was a prolific collector of ancient American art in Chicago beginning in the 1950’s. His Pre-Columbian collection of Preclassic figures spanned all the classified types. His fine miniature figures from the Huastec region convey an authority and sculptural dynamic in contrast to their delicate scale. Michel generously lent to important early exhibitions including those organized at The Art Institute of Chicago (1960), Field Museum (1966) and at the Montreal Museum of Fine Arts (1971). The following lots (44-49) from the Michel collection are fine examples of the evocative, compelling figures of one of Mesoamerica’s earliest traditions.

PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**TLATILCO DOUBLE-FACE  
FEMALE FIGURE, TYPE D1  
EARLY PRECLASSIC,  
CIRCA 1200-900 BC**

Height: 3  $\frac{3}{8}$  in (8.6 cm)

**PROVENANCE**

D. Daniel Michel, Chicago, acquired in 1962  
(inventory no. 62:083)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired in 1991

\$ 5,000-8,000

**PUBLISHED**

Leo Rosshandler, *Man-Eaters and Pretty Ladies: Early Art in Central Mexico from the Gulf to the Pacific, 1500 BC-500 AD*, New York and Montreal, 1971, cat. no. 70  
Richard F. Townsend, *The Art of Tribes and Early Kingdoms, Selections from Chicago Collections*, Chicago, 1984, Fig. 51

**EXHIBITED**

Montreal Museum of Fine Arts, *Man-Eaters and Pretty Ladies: Early Art in Central Mexico from the Gulf to the Pacific, 1500 BC-500 AD*, January 15- March 8, 1971  
The Art Institute of Chicago, *The Art of Tribes and Early Kingdoms, Selections from Chicago Collections*, January 12- March 4, 1984

The double-face figures are one of the most intriguing and unusual types of the Preclassic corpus. These figures and the double-headed type are believed to relate to the basic Mesoamerican concept of dualism, the complementary forces of male/female, day/night, life and death. Double-face figures consistently show three eyes, and two noses and two mouths. The delicate facial features of this figure include the wisp of her coiffure falling in front of one face as if her head was suddenly in motion. For other double-face figures, see Coe, *The Jaguar's Children*, New York, 1965, cat. nos. 103, 104. A rare later Classic Veracruz double-face head shows the same configuration of shared faces, see Parsons, Carlson, Joralemon, eds., *The Face of Ancient America, The Wally and Brenda Zollman Collection*, Indianapolis, 1988, cover, cat. no. 95.



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**TLATILCO TWO-HEADED  
FEMALE FIGURE, TYPE D1  
EARLY PRECLASSIC,  
CIRCA 1200-900 BC**

Height: 4 in (10.2 cm)

**PROVENANCE**

Judith Nash, New York  
Julian Goldsmith, Chicago, acquired from the  
above  
D. Daniel Michel, Chicago, acquired in 1966  
(inventory no. 66:131)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired from the  
above in 1991

\$ 7,000-10,000

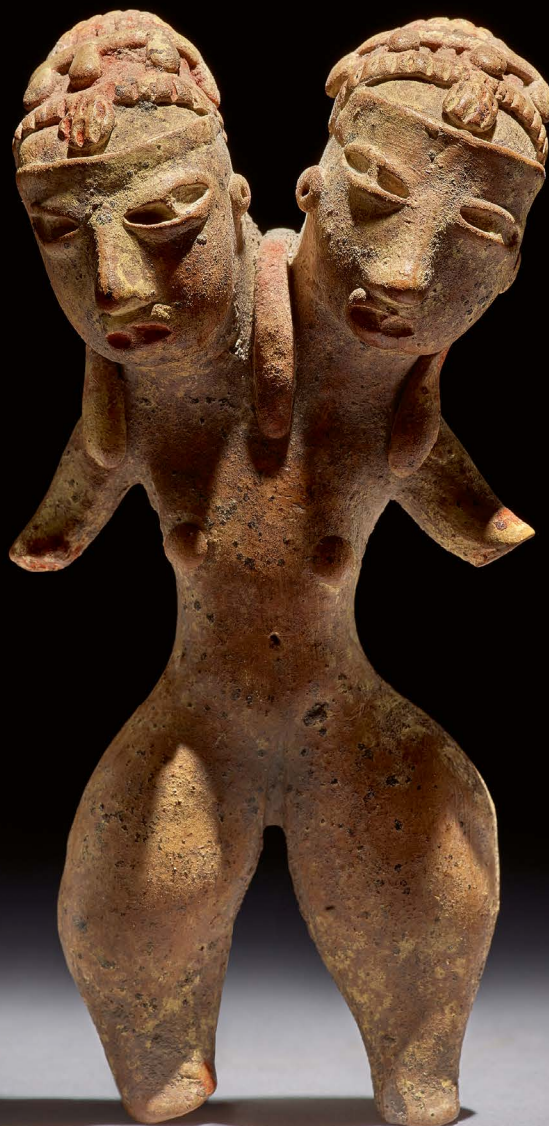
**PUBLISHED**

Leo Rosshandler, *Man-Eaters and Pretty Ladies: Early Art in Central Mexico from the Gulf to the Pacific, 1500 BC-500 AD*, New York and Montreal, 1971, cat. no. 69  
Richard F. Townsend, *The Art of Tribes and Early Kingdoms, Selections from Chicago Collections*, Chicago, 1984, cat. no. 52

**EXHIBITED**

Montreal Museum of Fine Arts, *Man-Eaters and Pretty Ladies: Early Art in Central Mexico from the Gulf to the Pacific, 1500 BC-500 AD*, January 15-March 8, 1971  
The Art Institute of Chicago, *The Art of Tribes and Early Kingdoms, Selections from Chicago Collections*, January 12-March 4, 1984

Coe referred to the Type D1 corpus as 'the ultimate refinement of the art of figurine-making in central Mexico... which are among the most beautiful objects of their size in all of the New World' (Coe, *The Jaguar's Children*, New York, 1965, p. 26). As shown on this figure, the double-head is comfortably positioned on a typical Tlatilco body with tiny waist ("wasp waist"), short arms and the well rounded bulbous thighs of youthful females. Often accented by red pigment of cinnabar or hematite, the elaborate coiffure and finely modeled eyes, nose and mouth are the focus of these delicate yet powerful female figures.



PROPERTY FROM AN AMERICAN PRIVATE COLLECTION

**OLMEC FIGURE OF A  
BALLPLAYER, TLATILCO  
REGION  
EARLY PRECLASSIC, CIRCA  
1200-900 BC**

Height: 5 3/8 in (13.6 cm)

**PROVENANCE**D. Daniel Michel, Chicago, acquired in 1963  
(inventory no. 63:101)Ancient Art of the New World, New York, acquired  
from the above

American Private Collection, acquired in 1991

**PUBLISHED**Michael D. Coe, *The Jaguar's Children: Pre-Classic  
Central Mexico*, 1965, New York, cat. no. 100Michael D. Coe, *America's First Civilization:  
Discovering the Olmec*, New York, 1968, p. 6Leo Rosshandler, *Man-Eaters and Pretty Ladies:  
Early Art in Central Mexico from the Gulf to the  
Pacific, 1500 BC-500 AD*, New York and Montreal,  
1971, cat. no. 124**EXHIBITED**The Museum of Primitive Art, New York, *The  
Jaguar's Children: Pre-Classic Central Mexico*,  
February 17- May 5 1965Montreal Museum of Fine Arts, *Man-Eaters and  
Pretty Ladies: Early Art in Central Mexico from the  
Gulf to the Pacific, 1500 BC-500 AD*, January 15-  
March 8, 1971The Snite Museum of Art, University of Notre  
Dame, 1981-1983, temporary loan from D. Daniel  
MichelThe Snite Museum of Art, University of Notre  
Dame, Spring 1989-Summer 1990, temporary loan  
from D. Daniel Michel

This elaborately costumed figure is designated as one of the *Pilli* type known from Tlatilco and Tlapacoya. These specially attired ceremonial figures represent high status dignitaries or religious leaders as ballplayers. This figure is heavily laden with protective cord belts wrapped around the waist, knees and ankles, necessary defensive gear against the dense rubber balls that could only be hit with the head, arms, hips and knees. He wears a protective face mask revealing only his eyes, a special feature not commonly depicted on other ballplayer figurines. Around his neck hangs an oval mirror of iron ore or obsidian, one of the ultimate symbols of authority.

The figure represents the importance of the ceremonial ballgame as early as 1200 BC.

The ballgame is one of defining elements of Mesoamerican culture; the victorious outcome of a ballplayer reflected humans dominance over the lords of the Underworld, ensuring the return of day after night, the continuation of seasonal cycles and replenished authority.

\$ 10,000-15,000





PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**TLATILCO FIGURE OF A  
DANCER, TYPE DK  
EARLY PRECLASSIC,  
CIRCA 1200-900 BC**

Height: 8 in (20.3 cm)

**PROVENANCE**

D. Daniel Michel, Chicago, acquired in 1964  
(inventory no. 64:112)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired from the  
above in 1991

**PUBLISHED**

Michael D. Coe, *The Jaguar's Children: Pre-  
Classic Central Mexico*, New York, 1965, fig. 150  
Leo Rosshandler, *Montreal Museum of Fine  
Arts, Man-Eaters and Pretty Ladies: Early Art in  
Central Mexico from the Gulf to the Pacific, 1500  
BC-500 AD*, New York and Montreal, 1971, cat  
no. 102

**EXHIBITED**

The Museum of Primitive Art, New York, *The  
Jaguar's Children: Pre-Classic Central Mexico*,  
February 17-May 5, 1965  
Montreal Museum of Fine Arts, *Man-Eaters and  
Pretty Ladies: Early Art in Central Mexico from  
the Gulf to the Pacific, 1500 BC-500 AD*, January  
15-March 8, 1971

The tall figure of a masked dancer is adorned  
with the ceremonial attire befitting a large  
village festival. Wearing a naturalistic mask  
made for dancing, it shows wide oval eye  
areas, pierced nostrils and parted lips. The  
figure dances with both palms straight  
forward; the wide set legs adorned with large  
shell or seed pod rattles attached to low-slung  
leggings. Ear flares hang at each cheek and  
long tresses fall to the shoulders. See Coe,  
*The Jaguar's Children*, New York, 1965, fig. 147,  
for a companion figure from the Jay C. Leff  
collection.

\$ 8,000-12,000



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**HUASTEC SEATED  
FIGURE, PANUCO REGION  
LATE PRECLASSIC-  
PROTOCLASSIC,  
CIRCA 300 BC - AD 300**

Height: 2 3/8 in (6 cm)

**PROVENANCE**

D. Daniel Michel, Chicago, acquired in 1965  
(inventory no. 65:115)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired from the  
above in 1991

**PUBLISHED**

Everett McNear, *High Culture in the Americas  
before 1500*, Chicago, 1982, p. 6, cat. no. 12

**EXHIBITED**

The Arts Club of Chicago, *High Culture in  
the Americas before 1500*, November 15 -  
December 31, 1982

\$ 25,000-35,000

This exquisite miniature figure from Panuco is one of a group of six which Gillett Griffin notes "appear to be depictions of the same person [...] modeled by the same master hand". (Griffin in Goldstein, ed., *Ceremonial Sculpture of Veracruz*, Brookville, 1987, p. 20). Other examples from this tiny corpus are in the Nelson-Atkins Museum of Art, Kansas City (inv. no. 65-3/3), and the Cleveland Museum of Art (inv. no. 1966.17).

With the deftest of touches, the master sculptor has imbued this delicate sculpture with life. The pose is at once serene and attentive. The head, slightly tilted, looks out with an expression which is languid yet intent. The long, lithe arms are outstretched, with the fingers resting gently on the legs.

The purpose of this figure is elusive. We may wonder if it was perhaps intended to "help or reassure the deceased in his long journey into the strange world of the dead" (*ibid.*, p. 21), but this question remains unanswered. What we may appreciate and understand on looking at this object is the beauty and tenderness with which a great artist has exalted the dignity of the human figure.



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**HUASTEC SEATED  
FIGURE, PANUCO REGION  
LATE PRECLASSIC-  
PROTOCLASSIC,  
CIRCA 300 BC - AD 300**

Height: 2 ¾ in (7 cm)

**PROVENANCE**

D. Daniel Michel, Chicago, acquired in 1965  
(inventory no. 65:116)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired from the  
above in 1991

**PUBLISHED**

Everett McNear, *High Culture in the Americas  
before 1500*, Chicago, 1982, p. 6, cat. no. 11

**EXHIBITED**

The Arts Club of Chicago, *High Culture in  
the Americas before 1500*, November 15 -  
December 31, 1982

Like the preceding lot, this subtle and sensitively modeled figure is a rare example of the exquisite miniature sculpture of Panuco. It appears to be one of the two known "seated personages [...] wearing carefully-worked Jacobean-style hats" (Griffin in Goldstein, ed., *Ceremonial Sculpture of Veracruz*, Brookville, 1987, p. 21).

This figure, which retains the relaxed and dignified bearing of the preceding lot, wears a necklace, ear-spools, and a large hat. Discussing the other figure with a hat, Griffin expresses his belief that the hat "was modeled to the head in clay to leave no doubt as to the identity or rank of the wearer." (*ibid.*).

See Goldstein, ed., *ibid.*, p. 44, cat. no. 7 for the other figure, once on loan to the Princeton University Art Museum.

\$ 25,000-35,000



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**LARGE TLATILCO  
STANDING FEMALE  
FIGURE, MORELOS  
REGION**

**EARLY PRECLASSIC,  
CIRCA 1200-900 BC**

Height: 16 7/8 in (42.6 cm)

**PROVENANCE**

D. Daniel Michel, Chicago, acquired in 1957  
(inventory no. 58:051)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired in 1991

\$ 40,000-60,000

**PUBLISHED**

Allan Wardwell, *Primitive Art from Chicago  
Collections*, Chicago, 1960, fig. 3.  
Leo Rosshandler, *Man-Eaters and Pretty Ladies:  
Early Art in Central Mexico from the Gulf to the  
Pacific, 1500 B.C. - 500 A.D.*, Montreal and New  
York, 1971, cat no. 134 (not illustrated)

**EXHIBITED**

The Art Institute of Chicago, temporary loan  
from D. Daniel Michel, 1959  
The Art Institute of Chicago, *Primitive Art  
from Chicago Collections*, November 16,  
1960-January 2, 1961  
Montreal Museum of Fine Arts, *Man-eaters and  
Pretty Ladies: Early Art in Central Mexico from  
the Gulf to the Pacific, 1500 BC-500 AD*, January  
15-March 8, 1971

The large red-slipped female figures from the Early Preclassic era are a specialized, rare category classified as Type DK. These hollow figures represent a more sophisticated firing technology used for figures of complex iconographic imagery. This refined and imposing figure belongs to the "Displayed Deity complex" (Bradley and Joralemon, *The Lords of Life*, Notre Dame, 1993), whereby a set of abstract images are incised and/or painted on the heads and torsos, serving as emblems of fertility and power of a supernatural. Images include a splayed quadruped, corn symbols and attributes of female genitalia in schematized and stylized form.

This figure is of taut and well modeled physiognomy with small prominent breasts, sculpted clavicles and ribcage, muscular legs bound by constricting kneebands, and flexed fingers. Her face shows a fully attained trance accentuated by the narrowed slit eyes and parted lips. Her tall rectangular turban is deeply incised with a concentric zigzag motif front and back, a variant of the splayed figure motif seen on another large hollow figure in the Snite Museum collection (*ibid.*, cat. no. 17). Her torso shows a distinct color patterning in reddish brown and black along the torso and under the breasts. This decoration identifies her with the Displayed Deity supernatural iconography.





PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**NAYARIT AGED MALE  
FIGURE, LAGUNILLAS  
TYPE E  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Height: 8 in (20.3 cm)

**PROVENANCE**

D. Daniel Michel, Chicago, acquired in 1971  
(inventory no. 71:163)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired in 1991

\$ 25,000-35,000

This cream-slipped figure of the Lagunillas style evokes the intense pain and suffering of mourning rites. He sits hunched over and cross-legged, the cheeks swollen with scarification, and his hands resting on his knees as he holds a vessel in his right hand. This receptacle probably represents a cup of pulque, the drink that was consumed during mourning. The rectangular ears are pierced for removable or perishable earrings and the shorts typically worn by Nayarit men are partly delineated on this figure.

Lagunillas is a sub-style from the Nayarit region and figures of this style are notable for their smooth burnished surfaces, painted ornament, and emotive expressions. Nayarit figures commonly represent musicians, ancestral couples, family members, or ballplayers. This emotive aged figure sits in a static pose yet his expression attests to the great skill of Nayarit artists. See Butterwick, *Heritage of Power: Ancient Sculpture from West Mexico*, New York, 2004, pp. 34-45; also see Townsend, ed., *Ancient West Mexico, Art and Archaeology of the Unknown Past*, Chicago, p. 289, cat. no. 216, for the mourning figure type.





PROPERTY FROM A PRIVATE COLLECTION, NEW MEXICO

**NAYARIT SEATED  
FEMALE FIGURE,  
LAGUNILLAS TYPE D  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Height: 12 ¾ in (32.4 cm)

**PROVENANCE**

Private Collection, Kansas City, acquired in December, 1969  
Thence by family descent

\$ 8,000-12,000

This figure sits in a meditative pose, hands placed at her waist, her legs are outstretched and spread wide apart. This position may suggest a stage in the birthing process or may indicate fertility. Adorned with a row of pendant earrings and three necklaces, the figure bears a squared head with finely combed coiffure and a delicately pointed chin. The reddish slip covering most of the body is a typical and iconic characteristic of Lagunillas Type D. Her strong presence demonstrates the mastery with which ancient West Mexican artists handled this ceramic medium.

See Butterwick, *Heritage of Power: Ancient Sculpture from West Mexico*, New York, 2004, cat. no. 41, for the type.





PROPERTY FROM A NEW YORK PRIVATE  
COLLECTION

**COLIMA SEATED FIGURE  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Height: 18 ¼ in (46.4 cm)

**PROVENANCE**

Paul Aleppa, Tucson, Arizona, private collector of Southwestern and Pre-Columbian art, in the 1960's-1970's Primitive Arts Gallery, acquired from the above Sotheby's, New York, November 25, 1996, lot 105

Acquired by the present owner from the above auction

The slender, tall shaman figure is well detailed, particularly in the treatment of his loincloth, incised waistband, and elaborate wraparound headband encircling the projecting shell horn. Much debate has surrounded the "horned" projections on Colima figures, which are considered diagnostic of shaman since Peter Furst's studies in the 1960's. Shamanic activity or ritualized ecstatic behavior was relevant to the rise of political authority. Graham convincingly showed it is the conch shell that has been a symbol of authority and rulership from early Olmec times continuing through the Teotihuacan, Maya and Aztec eras (Graham in Townsend, ed., *Ancient West Mexico, Art and Archaeology of the Unknown Past*, Chicago, 1998, pp. 168-198). Rather than representing a "horn," the projection can be seen as a modified shell obtained from outside the region.

\$ 12,000-18,000







154

PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**JALISCO STANDING  
WARRIOR, AMECA STYLE  
PROTOCLASSIC, CIRCA 100  
BC-AD 250**

Height: 17 in. (43.1 cm)

**PROVENANCE**

Alan Long, New York  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired from the  
above

\$ 30,000-40,000

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The Ameca-Etztatlán warrior figures are notably consistent in their defensive posture, which is in marked contrast to their calm and often bemused facial expression. The protective body and head gear provide graphic clues to the clothing of this ancient guardian class. The smooth casing on the upper torso might indicate animal hide, which is attached to a wide padded belt by tabs around the hips. The bell-shaped head gear was painted with a design possibly indicating tightly woven basketry. For similar examples in the Andraill E. Pearson family collection see Butterwick, *Heritage of Power, Ancient Sculpture from West Mexico*, New York, 2004, cat. nos. 6 and 7.



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**LARGE VERACRUZ  
FIGURE OF THE FIRE  
GOD, REMOJADAS  
LATE CLASSIC,  
CIRCA AD 550-950**

Height: 21 5/8 in (54.8 cm)

**PROVENANCE**

Robert and Marianne Huber, Dixon, Illinois  
Wally and Brenda Zollman, Indianapolis,  
acquired prior to 1988  
Ancient Art of the New World, New York  
American Private Collection, acquired in 1997

**PUBLISHED**

Lee A. Parsons, John B. Carlson and Peter  
David Joralemon, *The Face of Ancient America,  
The Wally and Brenda Zollman Collection  
of Precolumbian Art*, Indianapolis, 1988,  
frontispiece and cat. no. 92  
"Ancient Artwork", *The Indianapolis Star, Arts  
and Leisure*, December 4, 1988, illustrated

**EXHIBITED**

The Indianapolis Museum of Art, *The Face of  
Ancient America: The Wally and Brenda Zollman  
Collection of Precolumbian Art*, December 3,  
1988-February 26, 1989  
The University of Indiana Art Museum,  
Bloomington, June 13-September 10, 1989

\$ 150,000-200,000







The Old Fire God is one of the earliest deities who remains omnipotent from the Formative era till the early Postclassic. His Nahuatl name *Huehueheotl* literally translates to "old old God." Indeed, *Huehueheotl's* mythology associates him as being a primordial creator deity along with *Ometecuhtli* and *Omecihuatl*, the "mother and father" of the gods (Matthew H. Robb, *Teotihuacan: City of Water, City of Fire*, San Francisco, 2017, p. 144). "Branded" during the Classic period at Teotihuacan, the aged fire god is consistently depicted as a seated hunched figural brazier, with a flattened head that supports a large incensario bowl. His face is wrinkled and wizened, alluding back to his own etymology. Matthew H. Robb notes that "these sculptures suggest a centuries-old conceptual link between the hunched figure of the old man and the smoldering volcanoes surrounding the Valley of Mexico" (*ibid.*).

The connection between *Huehueheotl* and volcanic activity is further illustrated by volcanic stone being the most frequent medium for sculptural representations. Robb notes this depiction "focused the fiery power of the smoking mountains into a compact package, simultaneously reducing its fearsome potential to the frailty of old age and channeling its energy into the domestic hearth" (*ibid.*, p. 145). While found in both public and domestic spaces of Teotihuacan, the function of the braziers was likely ceremonial and associated with ritual incense burning. Their ubiquity also perhaps served as a unifying symbol that was recognizable to inhabitants of the heterogeneous city.

The present example presents a rare example of a large-scale depiction of *Huehueheotl* in ceramic, created by an artist working in Veracruz on the Gulf Coast in the Remojadas style. Large ceramic sculpture is a hallmark of Remojadas artistic production, which is a marked departure from the stone sculptures of the god that proliferate at Teotihuacan. The cultural exchange between the two geographical regions occurred due to Teotihuacan establishing control over small polities in Veracruz towards the end of the Early Classic Period (circa AD 400), which resulted in active trade routes. In addition to scale and medium, the formal treatment of this Old Fire God is also distinctly Remojadas. It has the buff clay paste color of Veracruz, rather than the orangeware of Teotihuacan. Also typical of the style is the gaunt, sensitively modeled sagging face as well as the depiction of intricate knots on the forehead and the detailing on the sandals, fingers and toes. The result is a figure imbued with a pathos and vitality that is lacking in the static renderings of *Huehueheotl* in Teotihuacan examples.

This sculpture was a central feature of the Wally and Brenda Zollman collection of Indianapolis. As noted in the catalogue to the exhibition entitled *The Face of Ancient America*, "the most celebrated counterpart" to this *Huehueheotl* was excavated by Matthew Stirling at the central Veracruz site of Cerro de las Mesas, now in the Mexican National Museum of Anthropology and Archaeology. While larger than this sculpture, it lacks its exquisite expressiveness so expertly rendered in his wizened face (Lee A. Parsons, John B. Carlson, Peter David Joralemon, *The Face of Ancient America, The Wally and Brenda Zollman Collection of Precolumbian Art*, Indianapolis, 1988, p. 140).



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**JALISCO SEATED FEMALE  
WITH INFANT, AMECA-  
ETZATLÁN STYLE  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Height: 17 in (43.2 cm)

**PROVENANCE**

The Lands Beyond, New York  
Richard Liroff, New York, acquired from the  
above on December 17, 1986  
The Lands Beyond, New York  
Herbert L. Lucas, Los Angeles  
American Private Collection, acquired from the  
above in 2003

**EXHIBITED**

Davis Art Museum and Cultural Center,  
Wellesley College, May 14, 1999-February 12,  
2003, long term loan from Herbert L. Lucas

\$ 35,000-45,000

The proud and stylized maternity figures of the Ameca style were important ancient societal figures in West Mexican art. As Townsend notes, ceramic effigies formally displayed status to other spirits of the afterlife, the figures "achieved the appropriate rank and status to hold important ritual functions in life, and that they were therefore entitled to exercise these functions in the afterlife" (Townsend, in Townsend, ed. *Ancient West Mexico, The Art and Archaeology of the Unknown Past*, Chicago, 1998, p. 135). Ancestral pairs or marital couples are a well known type, but this particular Ameca-Etzatlán maternity style includes individual women representing lineage and kinship status.

Here the youthful woman holds her young child to her breast, where even the child is depicted at a mature age, wearing a similar headdress to the mother. Sitting erectly with high rounded shoulders she wears beaded armbands, a close-fitting skirt and tall turban secured with a beaded headband. Her face is of classic elongated form with a sharply defined jawline, slender nose, sculpted cheeks and parted and darkened lips showing carefully modeled teeth. Facial paint provides additional ornamentation but was a recognized status marker, here her eyes are framed within the tapered blacked eye masks.

The strong similarity amongst a small group of Ameca female figures suggests they may be from a single workshop; see Berjonneau, Sonnerly and Deletaille, eds., *Rediscovered Masterpieces of Mesoamerica*, Boulogne, 1985 Fig. 252.





PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**COLIMA SEATED DOG  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Length: 15 ½ in (39.4 cm); Height: 12 ¾ in  
(32.3 cm)

**PROVENANCE**

D. Daniel Michel, Chicago acquired in 1957  
(inventory no. 57:029)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired in 1991

\$ 50,000-60,000

**PUBLISHED**

The Arts Club of Chicago, *Catalogue to the  
Exhibition*, Chicago, 1957, cat. no. 16  
Alan R. Sawyer, *Animal Sculpture in Pre-  
Columbian Art*, Chicago, 1957, p. 9  
Richard F. Townsend, *The Art of Tribes and  
Early Kingdoms, Selections from Chicago  
Collections*, Chicago, 1984, Fig. 39

**EXHIBITED**

The Arts Club of Chicago, Chicago, 1957  
The Art Institute of Chicago, *Animal Sculpture in  
Pre-Columbian Art*, October 12, 1957–February  
2, 1958  
The Art Institute of Chicago, *The Art of Tribes  
and Early Kingdoms, Selections from Chicago  
Collections*, January 12–March 4, 1984



Dogs are the most frequently depicted animal in the corpus of Colima effigy vessels, yet the wrinkled dog such as this figure, is a much rarer depiction of the type. The typical reddish brown burnished surface aptly conveys the hairless Mexican dog called the *xoloitzcuintle* (xolo for short). The name *xoloitzcuintle* comes from the Aztec language and combines the canine-deity "Xolotl" with the word for dog, "itzcuintle." *Xolotl* is depicted with canine traits, and was meant to accompany the dead in their journey through the dangers of the underworld up into the night sky to dwell with one's ancestors. Here, the deep wrinkles on the flank and face of the present example give this dog a fierce, taut and animated appearance, a fitting image for an animal being

a guide of the underworld.

The modern Huichol people of Northwest Mexico have a slightly modified association between dogs and funerary rituals. They believe that a small dog impedes the soul from finding its way to its ancestors. In order to pacify this canine, the deceased must provide sustenance, hence explaining the practice of burying the dead with food (Kristi Butterwick, *Heritage of Power*, New York, 2004 p. 66). Butterwick relays one account of the journey to the land of the Huichol ancestors: "Fire one comes to where there is a dog...It stands there, that dog, as if it is tied up. It is barking there. It is as if wants to bite that soul as it tries to pass...That is why, when one of us dies, we make little tortillas for him to take along, little

thick tortillas. They are put in a bag...so that he can feed that dog. The dog says to that soul, 'Give me something to eat now so I may let you pass'...[That little dog] is from ancient times. It died and then it remained there, to stand watch on that road....[The soul] takes the tortillas out of the bag [and when] the dog is busy eating...that soul can pass and it keeps walking." (Ramon Medilla Silva, in Stacy B. Schaefer and Peter T. Furst, eds., *People of the Peyote*, Albuquerque, 1996, pp. 392-4).

For similar examples see accession no. 1983.93.1 in the Fine Arts Museum of San Francisco see. and accession no. 2007.345.4 in The Metropolitan Museum of Art.



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**COLIMA FIGURE OF A  
DWARF  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Height: 12 ¼ in (31 cm)

**PROVENANCE**

D. Daniel Michel, acquired in 1958 (inventory  
no. 58:051)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired from the  
above in 1991

\$ 25,000-35,000

**PUBLISHED**

Alan Wardwell, *Primitive Art from Chicago  
Collections*, Chicago, 1960, p. 3, no. 23  
Eva Ungar Grudin, *Ancient American Art: An  
Aesthetic View*, Waltham, Massachusetts, 1981,  
Figs. 26, 27

**EXHIBITED**

The Art Institute of Chicago, 1957, temporary  
loan from D. Daniel Michel  
The Art Institute of Chicago, *Primitive Art from  
Chicago Collections*, November-December,  
1960  
The Rose Art Museum, Brandeis University,  
Waltham, Massachusetts, *Ancient American  
Art: An Aesthetic View*, November 7-December  
20, 1981

In ancient Mesoamerica, visionary and shamanistic abilities were believed to be possessed by people with physical deformities. As such, effigy vessels depicting dwarfs and hunchbacks are a special category. The present example exhibits both dwarfism and a hunchback, along with a horn atop his forehead, also associated with shamanistic ability (Mirelle Holbeske, Karel Arnaut, eds., *Offering for a New Life, Funerary images from pre-Columbian West Mexico*, Antwerp, 1998, unpaginated, no. 8). This iconography defines this dwarf as a sacred individual who was involved in ritual ceremonies. For a similar example in the Art Institute of Chicago see p. 83, fig. 14 in Richard F. Townsend, ed., *Ancient West Mexico, Art and Archaeology of the Unknown Past*, Chicago, 1998.







PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**JALISCO SEATED MALE  
FIGURE, AMECA/  
ETZATLÁN STYLE  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Height: 20 5/8 in (52.3 cm)

**PROVENANCE**

John A. Williams III, Dallas (1937-2019)  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired from the  
above in 1991

**PUBLISHED**

Hasso von Winning, *The Shaft Tomb Figures of  
West Mexico*, Southwest Museum Papers, no.  
24, Los Angeles, 1974, fig. 116

\$ 35,000-45,000

The ceramic figures of ancient West Mexico commemorate important persons of the community. The sculptures represent warriors, chiefs, marriage couples, ballplayers and other individuals, providing a link to the 'heritage of power' and social diversity of the ancient societies.

This large seated male shows the forthright and confident demeanor of a mature chief or important ancestor. His well delineated and slightly clenched hands, characteristic of the Ameca style, rest firmly on his slender bent legs in a manner of authority. His softly contoured torso belies the body of an elder statesman and his face has well modeled cheeks and a firm gaze, suggesting portraiture.

Ceramic figures from the Jalisco region are some of the largest of the ancient West Mexican tradition. The Ameca-Etzatlán style is defined by the naturalistic depiction of male and female figures, with body color ranging from creamy gray to reddish brown reflecting regional variations. The Jalisco region was one of the earliest areas to be explored in the late 19th century by Adela Breton. She visited sites in the Tequila Valley which have been recently extensively studied for their ceremonial spaces and architectural remains. The *guachimontón* formations of tiered circular platforms, are considered dedicated spaces for performative rituals, lineage ceremonies and feasting events organized by the ranking chief or shaman.

See Christopher S. Beekman and Robert B. Pickering, eds. *Shaft Tombs and Figures in West Mexican Society: A Reassessment*, Tulsa, 2016; and Christopher S. Beekman, "Conflicting Political Strategies in Late Formative to Early Classic Central Jalisco", in Sarah Kurnick and Joanne Baron, eds., *Political Strategies in Pre-Columbian Mesoamerica*, Louisville, 2016, pp. 95-117.



PROPERTY FROM A PRIVATE COLLECTION

**COLIMA SEATED FIGURE  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Height: 14 ½ in (36.8 cm)

**PROVENANCE**

American Private Collection, likely acquired in  
the late 1960s

\$ 5,000-7,000



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**NAYARIT SEATED MALE  
FIGURE, IXTLÁN DEL RIO  
STYLE  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Height: 13 ½ in (34.4 cm)

**PROVENANCE**

D. Daniel Michel, acquired in 1957 (inventory no. 57:024)

Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired in 1991

**PUBLISHED**

Alan Wardwell, *Primitive Art in Chicago  
Collections*, Chicago, 1960, cat. no. 27

**EXHIBITED**

The Art Institute of Chicago, 1959, temporary  
loan from D. Daniel Michel

The Art Institute of Chicago, *Primitive  
Art in Chicago Collections*, November 16,  
1960-January 2, 1961

The highly decorated and evocative figure is in mourning, shown by the scarified cheeks from the ritual of cheek-piercing and his slender taut body from fasting, showing his ribcage and spine. Townsend identified the vertical incisions of cheek-piercing as one of the expressions of mourning associated with funerary ceremonies. Townsend notes "During mourning the living and the deceased constitute a special group temporarily suspended between the worlds of the living and the dead. In some cases, this phase invokes the ritual cutting of hair, inflicting wounds, and the use of some professional mourners." (Townsend, "Before Gods, Before Kings", in Townsend, ed. *Ancient West Mexico, Art and Archaeology of the Unknown Past*, Chicago, 1998, p. 133).

\$ 15,000-25,000



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

**COLIMA FLUTED BOWL  
WITH FIGURAL SUPPORTS  
PROTOCLASSIC,  
CIRCA 100 BC-AD 250**

Height: 9 ¼ in (23.5 cm)

**PROVENANCE**

D. Daniel Michel, Chicago, active in the  
1950s-1970s  
Ancient Art of the New World, New York,  
acquired from the above  
American Private Collection, acquired in 1991

Colima fluted gourd vessels are typically supported on tripod parrot legs. A far more unusual form are the dwarf figures supports of the current example. Each figure is dramatically leaning forward from the weight of the gourd, and displays their particular status by the crested and horned headdresses.

\$ 10,000-15,000





163

PROPERTY FROM A PRIVATE COLLECTION

**SONGYE FIGURE,  
DEMOCRATIC REPUBLIC  
OF THE CONGO**

Height: 9 ¼ in (23.6 cm)

**PROVENANCE**

American Private Collection, probably acquired  
in the 1960s

\$ 4,000-6,000





PROPERTY FROM THE COLLECTION OF CHARLES EDWARDS, CINCINNATI

## LULUWA FIGURE, DEMOCRATIC REPUBLIC OF THE CONGO

Height: 6 in (15.2 cm)

### PROVENANCE

Father Gambier, apostolic prefect of the Upper Kasai, collected *in situ* circa 1910

Jean-Willy Mestach, Brussels

Irwin Hersey, New York, acquired from the above in the late 1960s

Charles Edwards, Cincinnati, acquired from the above on March 1, 1977

This distinctive pose, characteristic of Luluwa statuary signifies "a hunter exhaling cannabis smoke on the statue to promote the success of the hunt" (Binkley and Darish, *Kuba*, Milan, 2009, p. 126). The origin of hemp usage by the Luluwa people harkens back to the great chief Kalamba Mukenge (circa 1835-1899), who in an effort to curb the over-consumption of palm wine by his people, ordered the existing palm trees razed. As a preferable alternative, he encouraged the smoking of hemp. A ritual culture grew out of this hemp usage, which became particularly associated with hunting. Statuettes such as the present example were fastened to the girdles of hunters and were meant to provide good fortune towards a successful kill (Kerchache, Paudrat and Stephan, *African Art*, New York, 1988, p. 580).

\$ 7,000-10,000





165

PROPERTY FROM A PRIVATE COLLECTION, NEW YORK

**KUBA CUP, DEMOCRATIC  
REPUBLIC OF THE CONGO**

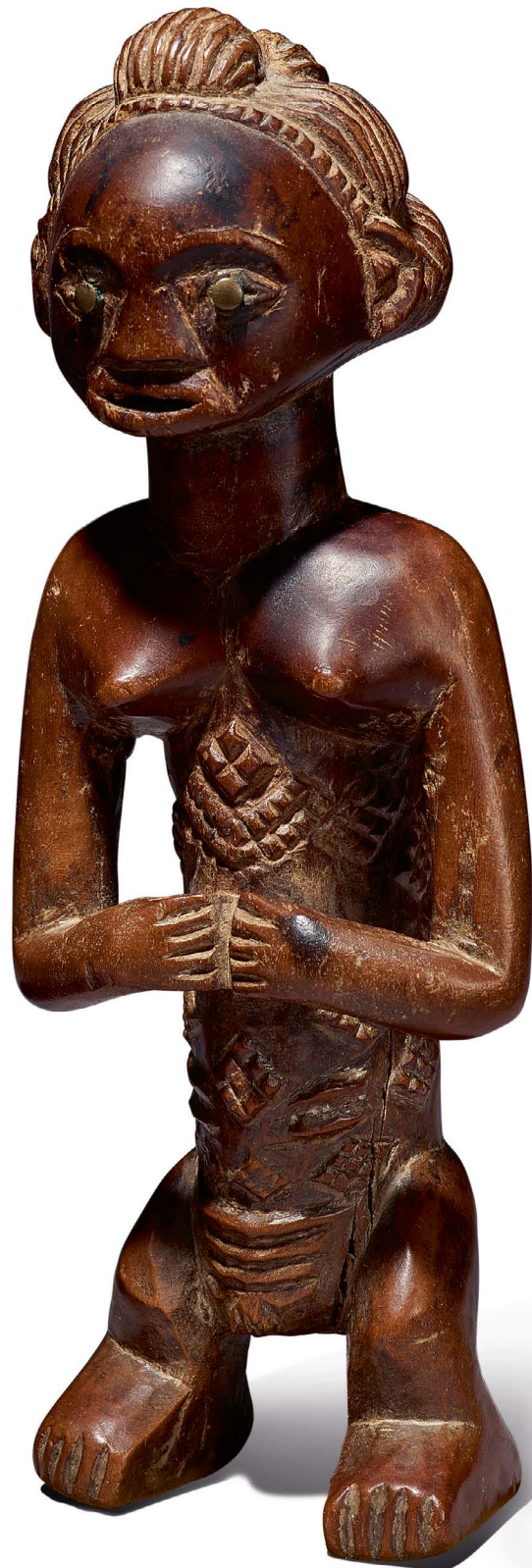
Height: 6 in (15.2 cm)

**PROVENANCE**

Private Collection, New York

The fine features of this sensitively modeled Kuba cup bear close comparison with an example from the collection of John and Nicole Dintenfass, published in Geoffroy-Schneiter, ed., *Intimate Conversations: African Miniatures/Conversations intimes. Miniatures Africaines*, Milan, 2017, pp. 204-205.

\$ 7,000-10,000



166

PROPERTY FROM A PRIVATE COLLECTION

**LUBA-SHANKADI FEMALE  
FIGURE, DEMOCRATIC  
REPUBLIC OF THE CONGO**

Height: 7 ¼ in (18.5 cm)

**PROVENANCE**

Belgian Private Collection, reportedly collected  
*in situ* before 1910

Aaron Furman, New York

American Private Collection, acquired from the  
above on April 24, 1969

\$ 7,000-10,000

PROPERTY FROM THE ESTATE OF SHELDON M. TUCKER, HOUSTON

## TEKE-TSAYE MASK, DEMOCRATIC REPUBLIC OF THE CONGO

Width: 11 1/2 in (29.2 cm)

### PROVENANCE

Henri Lecler, Geneva  
Parke Bernet Galleries, New York, *African & Oceanic Art, Property of Henri Lecler*, December 7, 1968, lot 81  
Sheldon M. Tucker, Houston, acquired at the above auction

\$ 8,000-12,000

Created by the Teke-Tsaye people, who live in the eastern region of the Republic of Congo, the discoid shape and polychromatic design covering the surface of this mask combine to create an abstract aesthetic. According to Marie-Claire Dupré, these complex patterns are all esoteric designs and decoding them could help uncover "important information on the history of the Teke tsaye" (Dupré, "Masque de danse ou cartes géopolitiques [...]". *Cahiers des sciences humaines*, No. 26, 1990, pp. 447-471).

The iconography of the masks, born from dreams and the use of hallucinogenic roots, are arranged symmetrically and are associated with secret knowledge that "commemorates the sky, the stars, the migration of the tsaayi, and the relationship between the stars, nature spirits, and veiled presence of ancestors" (Neyt, *Fleuve Congo*, Paris, 2010, p. 69).



PROPERTY FROM A PRIVATE COLLECTION

**SHI PANEL MASK,  
DEMOCRATIC REPUBLIC  
OF THE CONGO**

Height: 17 ¾ in (45 cm)

**PROVENANCE**

Aaron Furman, New York  
American Private Collection, acquired from the  
above on June 14, 1966

A related panel mask from the collection of  
Jean Willy Mestach, the famous Belgian  
collector and artist, is illustrated in  
Maurer, *The Intelligence of Forms: an  
Artist Collects African Art*, Minneapolis,  
1991, p. 84, cat. no. 63.

\$ 4,000-6,000



PROPERTY FROM A PRIVATE COLLECTION

**SONGYE SHIELD,  
DEMOCRATIC REPUBLIC  
OF THE CONGO**

Height: 15 ½ in (39.4 cm)

**PROVENANCE**

Merton D. Simpson, New York  
American Private Collection, acquired from the  
above  
Sotheby's, New York, November 15, 2002, lot  
77, consigned by the above  
Private Collection, acquired at the above  
auction

Songye shields carved with a representation  
of a *kifwebe* mask on the central boss are  
relatively rare. Combining sculptural quality  
with an impressive pictorial dimension, these  
shields suggest a striking sense of modernity  
to Western eyes. Playing on the repetition of  
lines and the alternation of different pigments  
and motifs, the rhythm and graphic dynamism  
of this shield is accentuated by the tight curves  
of the projecting *kifwebe* masks.

\$ 15,000-25,000



PROPERTY FROM THE COLLECTION OF CHARLES EDWARDS, CINCINNATI

**SONGYE MASK,  
DEMOCRATIC REPUBLIC  
OF THE CONGO**

Height: 16 ¼ in (41.3 cm)

**PROVENANCE**

Albert Nielsen, Aalborg, collected *in situ* during the first quarter of the 20th century

Laurits Sunde, Galleri Etnografica, Copenhagen, acquired from the above in the 1950s

Arne Olsen, Copenhagen, acquired from the above in the early 1960s

Charles Edwards, Cincinnati, acquired from the estate of the above on May 14, 1979

\$ 15,000-25,000



PROPERTY FROM A PRIVATE COLLECTION, NEW YORK

**KOTA-OBAMBA  
RELIQUARY FIGURE,  
GABON**

Height: 16 1/8 in (41 cm)

**PROVENANCE**

Lucien Brun and Louis Ballet, collected *in situ* between 1912 - 1948

Jozon, Rabourdin, Choppin de Janvry, Hôtel Drouot, Paris, March 30, 1984, lot 25

Daniel Hourdé, Paris, acquired at the above auction

Private Collection, New York, acquired from the above

\$ 70,000-100,000

Reliquary sculpture of central Africa has been rightfully "considered to occupy the very summit of African creativity" (LaGamma, *Eternal Ancestors*, New York, 2007, p. 3). Kota reliquary figures, in particular, have become icons of world art, and are today instantly familiar to Western viewers. The basic elements of this tradition are distinctive and do not exist elsewhere in Africa; carved in wood, the human head is rendered with graphic geometrical shapes in a flattened, mostly two-dimensional shape, rising vertically on an integrally carved cylindrical neck above an open lozenge. The front of the sculpture (and sometimes also the back) is covered with an arrangement of flattened metal attachments, often in varying colours and with chased geometric motifs.

This example belongs to a small corpus of "Southern Kota" reliquary figures called "Obamba and Wumbu" by Louis Perrois (*Kota*, Milan, 2012, p. 150) or "Obamba or Mindumu" by LaGamma (*ibid.*, pp. 234-239). The sculpture's downturned eyes lend its face a somewhat plaintive and meditative air. Reliquary figures in this style have long been prized for their Cubistic architecture; see Sotheby's, New York, November 13, 2017, lot 50, and Sotheby's, New York, May 15, 2017, lot 110 for an example once in the collection of André Lefèvre, an avid collector of the work of Picasso, Braque, and Gris. Félix Fénéon's fine collection of Kota sculpture included at least one of this type (see Sotheby's, Paris, December 12, 2017, lot 37), and others were published and exhibited in the 1920s and 1930s, including two from the collection of Paul Guillaume: the reliquary figure now in the Malcolm Collection, first published in *Cahiers d'art* in 1927, and another, published in *Cunard, Negro Anthology Made by Nancy Cunard*, London, 1934, p. 708.





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PROPERTY FROM A PRIVATE COLLECTION

**TSOGHO RELIQUARY  
FIGURE, GABON**

Height: 12 ¾ in (32.5 cm)

**PROVENANCE**

Aaron Furman, New York  
American Private Collection, acquired from the  
above in the late 1960s

\$ 70,000-100,000



Like other Gabonese cultures - such as the celebrated Fang and Kota - the Tsogho people sculpted guardian figures representing ancestors which were incorporated into reliquary boxes or bundles. According to LaGamma, half figures of the present type were "attributed with great powers of protection and were integrated into the most profound dimension of religious experience, bwete ancestral rites. As among those neighboring cultures, the initiation society governed much of religious, social, and political life. According to Perrois [Perrois, "Art of the Kwele of Equatorial Africa: Ancestor Masks, Bush Spirit Masks", *The World of Tribal Arts*, vol. 6, no. 4, Spring 2001, p. 80]: 'The material of the [bwete] cult - the elements adorning sanctuaries, sculpted staffs, statues, masks, musical instruments - is rather diversified but has a very distinctly recognizable and homogeneous design, both in form as well as in color. Each color has a precise symbolic signification. Red, for example, is the symbol of the sacred and of life and is analogous to blood.'" (LaGamma, *Eternal Ancestors*, New York, 2008, p. 278)

The corpus of Tsogho half-figures share a set of typical characteristics: in the overall form of a small torso, terminating at the waist with or without a small cylindrical band, arms held to the body with elbows bent, and topped with a fleshy, naturalistic head of intense gaze. Covered in vivid red color and crusty accumulation of ritually applied pigment, and metal attachments including a linear plate vertically dividing the forehead, metal eyes occasionally inlaid with pupils of varying color - here glass of brilliant blue.

Tsogho half-figures are rare, but were present in early 20th century collections of avant-garde artists and collectors. For two closely related figures previously in the collections of the French surrealist and film producer Roland Tual, and the British sculptor Sir Jacob Epstein, respectively, see LaGamma, *ibid.*, pp. 278-280, cat. nos. 96 and 97. Henri Matisse owned two Tsogho half figures, which can be seen in a photo of objects from his collection taken at the time of his death (Rubin, ed., *"Primitivism" in 20th Century Art*, New York, 1984, p. 142). Paudrat surmised that Matisse had likely acquired these before World War I (*ibid.*, p. 143).



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PROPERTY FROM A PRIVATE COLLECTION

**FANG-BETSI MALE  
ANCESTOR STATUE FROM  
A RELIQUARY ENSEMBLE,  
GABON**

on a base by the Japanese wood artist Kichizô  
Inagaki (1876-1951), Paris.  
Height: 18 ¼ in (46.5 cm)

**PROVENANCE**

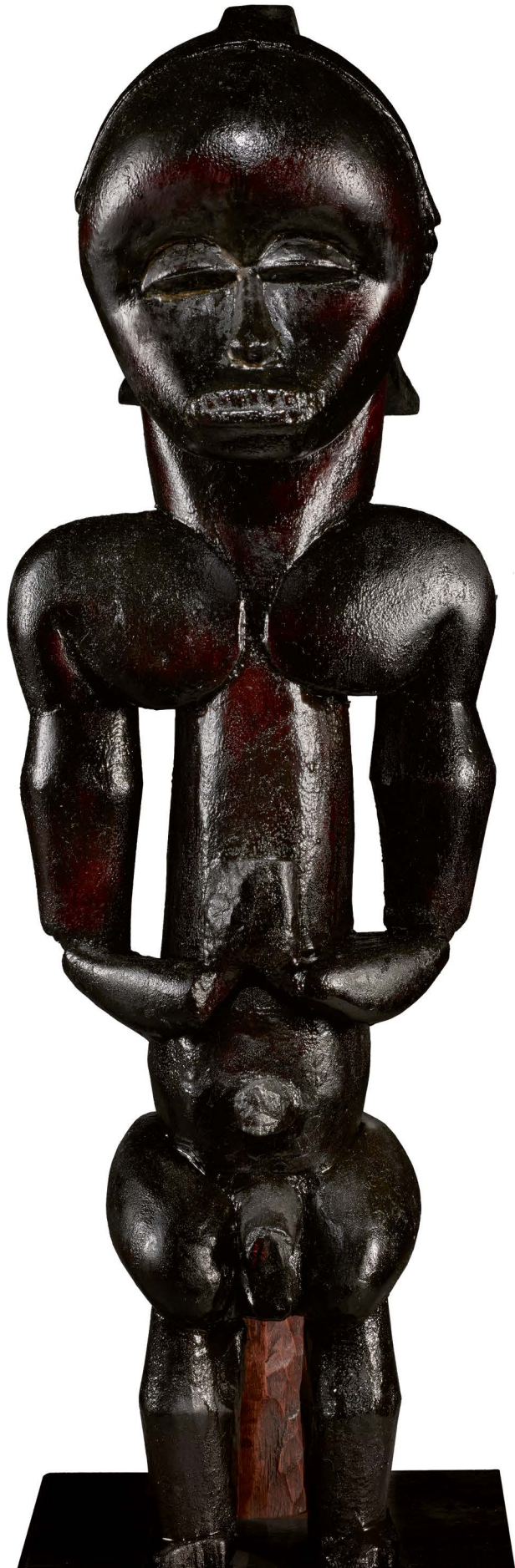
Sir Jacob Epstein (1880-1959), London,  
presumably acquired in Paris in the 1920s or  
1930s

Harold Kaye, Great Neck, New York, acquired  
from the above, probably in the 1950s

Alphonse Jax, New York, acquired from the  
above on March 15, 1972

American Private Collection, acquired from the  
above by the late 1970s

\$ 1,200,000-2,000,000





Jacob Epstein, sculptor, circa 1912, photo by E.O. Hoppé  
© Curatorial Assistance Inc. / E.O. Hoppé Estate Collection





Of magisterial expression, powerful physiognomy, and rigorous geometry, this image of an ancestor exudes the quiet strength and introspective stillness for which Fang art is so beloved. Liquid oil applied in its original ritual context glistens on the surface, and a droplet lingers on the chin. Delicately opened eyes lend softness while the broad powerful shoulders prove the strength of the dynastic leader.

The emergence of this previously unpublished statue is a rare and exciting event. From the collection of the American-born British sculptor Sir Jacob Epstein, it came to the United States in the 1950s when it was acquired from Epstein by the American collector Harold Kaye. Therefore unlike the famed group of Fang masterpieces in Epstein's collection which were dispersed after the artist's death in 1959, it has been virtually unseen until now. It was acquired from Kaye by Alphonse Jax in 1972, and by the family of the present American owners in the late 1970s.

Jacob Epstein considered that "the most remarkable exemplars of African art [are] pieces created by highly individual artists, whose vision and technique were their own" (Haskell, *The Sculptor Speaks*, London, 1931, p. 90). Like his contemporaries in France, Epstein had received the invigorating shock of discovery in his encounter with classical African art. As a sculptor, the implications were especially important for Epstein, and it is fitting that he would become the obsessive guardian of Fang art. In his autobiography, Epstein stated: "There is a profound and genuine reason for a sculptor's interest in African art, for new methods and problems are presented in it different from those of European Art. African work opens up to us a world hitherto unknown, and exhibits characteristics that are far removed from

our traditional European rendering of form in Greek, in Gothic, or in Renaissance traditions." (*Epstein: An Autobiography*, London, 1955, p. 188)

Such was the fame of Epstein's Fang collection that some of its jewels became known by honorific colloquial titles: "The Great Bieri", today the centerpiece of the Metropolitan Museum of Art's collection of African Art, and "The Black Venus", one of the jewels from the collection of the Fondation Dapper in Paris.

Since Epstein's lifetime, Fang sculpture has risen in the corpus of world art, thanks to the work of scholars such as Louis Perrois and canon-defining museum exhibitions such as *Eternal Ancestors: the Art of the Central African Reliquary*, held at the Metropolitan Museum of Art in 2008, and *Les forêts natales: Arts d'Afrique équatoriale atlantique*, held at the musée du quai Branly – Jacques Chirac in 2017-2018. Today Fang ancestor statuary rightfully occupies a special place of honor in the field of African Art and indeed of all of world sculpture. For a virtually unknown Fang sculpture of this scale and quality, glistening with oil, to appear on the market today is extraordinary.

The superb sculptural quality of the present figure makes this discovery especially exhilarating. The massive scale of the head is defined in alternating convex and concave forms, exquisitely-carved, and a matrix of geometric masses defines the arms and torso, the biceps separated from the torso in virtuoso openwork. This vigilant muscle-bound male ancestor exudes physical strength, introspective gravity, and great beauty.

In the following essay, Louis Perrois discusses the attribution, function, and characteristics of this important newly-unveiled sculpture.



# A PREVIOUSLY UNPUBLISHED FANG ANCESTOR STATUE

BY LOUIS PERROIS

This Fang statue was once part of a *byeri* ritual ensemble which included also a reliquary vessel made of bark, containing the skulls of dynastic ancestors. Previously in the collection of the British-American sculptor Sir Jacob Epstein, who likely acquired it in the 1920s, the figure is a remarkable specimen showcasing the robust volumes of the ancestral statuary of the Betsi or Mekè Fang of Northern Gabon, and is probably from the region of Monts de Cristal, near Rio Muni (now Equatorial Guinea), or the Komo Valley. By virtue of its extremely refined sculptural quality and deep accumulated patina and wear from ritual use, this fine and previously unpublished work certainly dates from the 19th century.

A solidly-proportioned body supports a head of remarkable volume, representing one-third of the total height of the sculpture, equivalent to the size of the lower limbs. Projecting symmetrically from the central axis of the body are the profiles of rigorously defined and highly stylized muscular arms, which emerge from massive shoulders.

The slightly rounded abdomen is punctuated by a cylindrical navel and legs in seated pose, with the thighs described in tapering volumes and calves made of vertically stacked cones. The sculpture is stylistically characteristic of classical sculptural corpus of the Southern peoples of the Fang group, usually grouped under the name “Southern Fang” (including Betsi, Meke, Okak, and Mvai).

The statue is of a type called an *eyema byeri* (“image of the ancestor”), intended to

symbolically evoke the ancestors for use in important clan rites and initiations. In this case the figure represents a male ancestor, likely the head of his lineage. The function of the sculpture was to magically protect the relics of important deceased clan leaders, and to honor them in order to improve the daily life of the devoted, especially with regard to wealth, and to female fertility (see Perrois, *Fang*, Milan, 2006, p. 25). It was regularly anointed with a sacred ointment, red in color, called *ba*, which consisted of powdered Padauk wood (*mbel*) and palm oil. The long period of repeated applications of this material has resulted in a fine dark resinous patina. Occasionally, such statues were used as marionettes during liturgical ceremonies, enacting a symbolic resurrection of the ancestor.

The head is carved in a deeply expressive form of grand classicism. Beneath the perfectly shaped and highly polished quarter-spherical forehead is a concave heart-shaped face of large arching eyebrows centered upon a short straight nose. The large mouth projects forward into lips which just part to reveal pointed teeth. The ears are positioned far behind the cheeks and temples and are in a stylized comma-shape. The eyes, made up of broad, full almond-shaped lids, exude an enigmatic expression.

A raised axial crest surmounts the top of the head above the ears, bordered by a band from ear-to ear. Enveloping the cranium, this crest falls into a broad “duck-tail” form above the neck. The form of the coiffure exactly mirrors the actual



wig-like headdresses (*nlo-ô-ngo*) worn by the traditional Fang of the nineteenth century. A transverse hole in the crest was used to fix a large tuft of feathers from an eagle or turaco, now lost.

This work is part of a corpus of objects which were brought to the West in the late nineteenth century and before the First World War, some of which were dispersed in artistic and intellectual circles, in Paris in particular. These were thanks to the interest of gallerists such as Joseph Brummer, who came from Hungary in 1909, and the young Paul Guillaume, who publicized them at exhibitions in his Parisian gallery and at early exhibitions in New York (see Biro, *Fabriquer le regard. Marchands, réseaux et objets d'art africains à l'aube du XXème siècle*, Paris, 2018, p. 195 et. seq.)

Several related sculptures of early date were in the collection of Paul Guillaume, including the beautiful statue reported in the collection of Roland Tual, published in 1929 (Guillaume, *La Sculpture nègre primitive*, Paris, 1929, fig. 28). One finds the same type of head, with a large forehead and almond-shaped eyes, squinted eyelids, and powerful muscular shoulders.

Other examples kept in Paul Guillaume's collection until his death in 1934 provide close comparison in style and quality. In the auction catalogue of the sale in which Guillaume's collection was dispersed at Hotel Drouot, Paris, November 9, 1965, the Fang byeri listed as lot 152 shows a similarly voluminous head, "duck-tail" coiffure, and curving shoulders. As was often the case, the artist has taken

the time to carve the back of the figure with a long vertebral groove from neck to buttocks.

This statue, previously in the collection of Sir Jacob Epstein, where it rubbed elbows in the 1930s on the fireplace mantle or in an etagere with many of the most famous Fang sculptures in the world, is itself an exceptional work. Distinguished by the majesty of its subject, its massive head with delicately resolved coiffure on the reverse, the heavily lidded face with its ferocious projecting mouth and pointed teeth, muscular shoulders and stylized arms.

It was in 1847, near the current location of the small town of Kango in the Estuaire Province of Gabon, that the lieutenant of vessel *Méquet* travelling up the Komo river came upon the Fang-Betsi people. He noted enthusiastically in his report at these people were of "imposing appearance and athletic size; no clothing conceals their beautiful forms." (Merlet, *Le pays des trois estuaires*, Libreville, 1990, p. 94) Some years later, in 1856, the Franco-American traveler Paul Du Chaillu remarked on the beautiful appearance of Fang of Mondah (now Rio Muni): "They seem to be the most remarkable people I have ever seen in this remote part of Africa." (*ibid.*). One can perhaps draw a correspondence between these eulogistic remarks on the appearance of the grand Fang warriors of the nineteenth century and the sculptural beauty of their statuary, which has become iconic in the corpus of African art.



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PROPERTY FROM THE ESTATE OF SHELDON M.  
TUCKER, HOUSTON

**KONGO POWER FIGURE,  
DEMOCRATIC REPUBLIC  
OF THE CONGO**

Height: 13 <sup>3</sup>/<sub>4</sub> in (34.8 cm)

**PROVENANCE**

William Downing Webster, Bicester  
General Augustus Henry Lane Fox Pitt-Rivers,  
Rushmore, Dorset, acquired from the above on  
March 10, 1897  
George Pitt-Rivers, Rushmore, Dorset, by  
descent from the above  
Parke-Bernet Galleries, New York, April 22,  
1965, lot 73, consigned by the above  
Sheldon M. Tucker, Houston, acquired at the  
above auction

**PUBLISHED**

General Fox-Pitt-Rivers, *Catalogues of his  
Collections*, 1882-1898, Vol. 4, p. 1446

**EXHIBITED**

Pitt-Rivers Museum, Farnham, Dorset, January  
1, 1898 - circa 1965

\$ 20,000-30,000







DATE.	DRAWING AND DESCRIPTION OF OBJECT.	PRICE.	DEPOSITED AT.	REMOVED TO.
1897. Mar. 10.	Bought of W. D. Webster, Bicester, Oxon.  Carved wooden figure, Africa.	£1.15.	Museum Jan. 1, 1898.	Remov. y case 60
		$\frac{1}{3}$ indexed		
"		£2	Museum Jan. 1, 1898.	Remov. y 58
	Carved wooden figure. Cameroon, W. Africa.	$\frac{1}{4}$ indexed		

Watercolor from the manuscript catalogue of General Augustus Pitt-Rivers, 1897. Reproduced by the kind permission of the Syndics of Cambridge University Library.

The Kongo people are renowned for the creation of religious sculptures called power figures, or *minkisi* (sing. *nkisi*). The guiding idea behind the creation of *minkisi* was that powerful malevolent or benevolent forces could be manipulated into aiding humans with the solution of problems ranging from ill health, infertility, and other physical issues to misfortune and danger as well as more abstract difficulties such as asocial behavior, legal dispute and crime.

The procedure for composing a *nkisi* could be very complex and extend over days or weeks. A diviner (the *nganga*) and the other participants had to obey to a prescribed set of rules which could include dietary restrictions, the performance of chants and rhythms, as

well as prayers during the creation period. The *nkisi* was intended as a container for specific supernatural powers and had to be inviting both on an aesthetic and mystical level. Figurative sculptures were created by professional carvers, some of whom were well known for the quality of their work. The *nganga* gave iconographic instructions and, upon completion, activated the *nkisi* through the insertion of animal, vegetable and mineral materials known as "medicines" (*milongo* or *bilongo*) that invoked through their substances, names, forms or provenance the powers the *nkisi* was intended to control.

The necessary animating ingredients were inserted into cavities inside the figures, often behind the eyes, inside the head or

abdomen, or they were attached or suspended in pouches, neckbands, belts etc. Abdominal resin or mud packages were often "sealed" with mirror-glass imported from Europe. Once animated, the *nkisi* was an "alive" powerful being, analogous to a human.

The *nkisi* presented here no longer possesses the aforementioned *milongo* or *bilongo*. Additionally, its eyes are lost and its crossed legs are weathered with the feet missing. The result is a haunting image of tranquil beauty, fitting for an *nkisi* that is no longer animated. Formerly in the collection of the visionary anthropologist Lieutenant General Augustus Pitt Rivers, this sculpture is a fine example of a Kongoese carver's ability to endow an *nkisi* with human pathos.

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PROPERTY FROM THE COLLECTION OF ALLAN  
STONE, NEW YORK

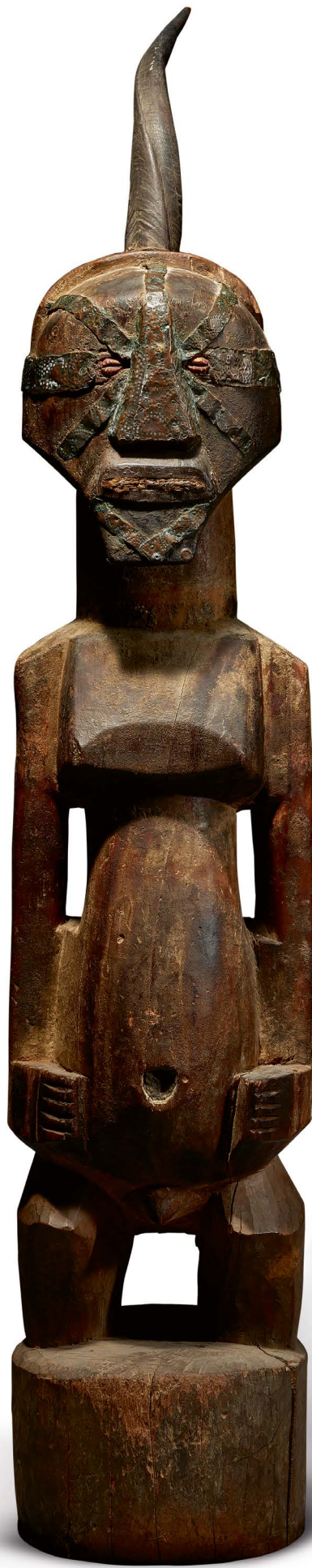
**SONGYE COMMUNITY  
POWER STATUE,  
DEMOCRATIC REPUBLIC  
OF THE CONGO**

Height: 52 in (132.2 cm)

**PROVENANCE**

Jean-Pierre Jernander, Brussels  
Merton D. Simpson, New York  
Allan Stone, New York, acquired from the above

\$ 200,000-300,000



Like the Kongo and other fellow Bantu cultures of central Africa, the Songye called upon supernatural forces which they believed could be contacted and manipulated in their favor through power sculpture, *minkisi*. While the Kongo adhered to certain prescribed types according to the nature of the problem requiring the assistance of the *nkisi*, maintaining certain sculptural formulae, the Songye sculptor-diviner (*nganga*) was unrestrained by such prescriptions.

This monumental power statue ranks among the very finest sculptures in the Songye corpus. The sculptor has succeeded in expressing a complex set of traits and emotions which connected to the Songye community using both naturalistic iconography and pure sculptural form. Today, far from its original context, the expression of negative and positive forces invoked by the sculptor, the diviner and their community still resonate powerfully from this masterpiece of African art.

The monumental scale and great artistic quality of the present figure suggest that it once served as an important community guardian. Of overall columnar form, it emerges from a solid integral cylinder. Rising from this cylinder are with deeply bent, softly defined legs, a swollen abdomen and hands held to either side of a recessed charge typical Songye form.

The magical materials, or *bishimba*, which activated this figure are emblematic of the corpus. Drawn from the natural world, they make reference to the attributes of the earth and animals and call upon their powers. At the top of the head is an antelope horn, filled with *bishimba*, and surrounded by deep, aged encrustation at the crown of the head. The figure probably once wore a headdress of fibers and feathers. The face is plated

with copper, a reference to the power of the blacksmith and to lightning.

The art historian and anthropologist Hans Himmelheber stated: "the *nganga buka*, great sorcerers, of which there were only a few among the Songye, have such figures carved by professional sculptors called *sende* [or *nsendwe*, a smith]. The *nganga* then charges them with power to protect the local community, especially to safeguard the birth of children in their territory. All children possibly conceived by invoking the power figure or born while a particular power-figure reigns receive its name. In 1939, a great number of Kalebwe children were called 'Kima' after the power figure *yankima*, or 'the Father of Kima'. Once in the world, such a power figure will multiply [...] to such an extent that I found throughout the entire region small *yankima* statues. But this continues only as long as this *yankima*'s power is intact. After a while he will be replaced by another power figure (with another name and another personality)." (Himmelheber, *Negerkunst und Negerkünstler*, Braunschweig, 1960, p. 406).

The sculptor that conceived a figure would endow it with desired characteristics, in hopes that once activated, the spirit who took up dwelling in the figure would employ those traits in the oversight and protection of the community. The present figure portrays an unusually powerful set of characteristics. The head is massive, with relatively naturalistic proportions. The face is richly adorned with metal plates, and bears a confrontational expression with chin forward and teeth bared. Its eyes, delineated by shells, command direct eye contact. Thus, the viewer is confronted with a highly powerful, prevailing figure that would inevitably inspire both aggressive power and confidence in its magical abilities.



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PROPERTY FROM AN IMPORTANT EUROPEAN  
COLLECTION

**HEMBA-NIEMBO  
ANCESTOR FIGURE,  
DEMOCRATIC REPUBLIC  
OF THE CONGO**

Height: 28  $\frac{3}{4}$  in (73 cm)

**PROVENANCE**

Joseph Christiaens, Brussels, acquired *in situ*  
circa 1969

Sotheby's, Paris, June 21, 2017, lot 30,  
consigned by the above

Acquired by the present owner at the above  
auction

\$ 200,000-300,000





In the plains of the eastern Congo, the Hemba people live in the land which extends to the north and south of the Luika River, bounded to the west by the Lualaba, the greatest head-stream of the Congo River. Their villages were "named for titular heads, well-remembered ancestors, or particular lineages", and were "autonomous entities [within] which individuals identified themselves primarily in relation to their extended families and clans." (Blakely, cited in LaGamma, *Heroic Africans*, New York, 2012, p. 225).

Among the Hemba, the family relationship transcended death in an eternal bond. Ancestors continued to exist in a realm distinct from that of the living, but accessible nevertheless, and their spirits watched over the lives of living. The sculptures, known as *lusingiti* (sing. *singiti*), which the Hemba made to honor these ancestral bonds, are among

the greatest forms of African sculpture. Only within the last forty years, however, primarily through the work of François Neyt and Louis de Strycker, has Hemba sculpture been identified as an original style distinct from that of the neighboring Luba people, with whose iconic sculpture it shares many qualities, not least a deeply meditative appearance. However, while Luba sculpture represents the beauty of the female form, Hemba statuary almost invariably celebrates the power of the male founders of great lineages, with each *singiti* a posthumous commemorative portrait of the sovereign of a particular Hemba chiefdom. François Neyt calls these sculptures "irrefutable genealogical markers." (Neyt, *La grande statue Hamba du Zaïre*, 1977, p. 479).

In his monograph *La grande statue Hamba du Zaïre*, Neyt provides a morphological analysis of Hemba sculpture

and distinguishes eleven "stylistic centers." This statue belongs to the first group in his classification – the Niembo style of the southern Hemba country – which has been described as "the most accomplished and classical" of all Hemba styles. (de Grunne, ed., *Mains des maîtres/Masterhands*, 2001, p. 182). Like all *lusingiti*, this sculpture was not conceived as a portrait in a literal sense. LaGamma notes that although these sculptures were intended to represent "specific former leaders in a relatively naturalistic idiom, the representations themselves do not literally reproduce those individuals' specific physiognomies." (LaGamma, *ibid.*, p. 266). Instead the ancestor was represented through an idealized rendition of the qualities which the Hemba valued in their leaders, with the ancestor's "likeness" revealed by his deeds.

Although the Hemba artist would follow certain accepted canons of representation, each sculpture is highly individualized, with the head, and particularly the face, the source of distinction, rather than the posture or body. The imperious, orb-like head is a magnificent illustration of the care which Hemba artists devoted to the head as the site of intellect; Louis de Strycker has also suggested that the large heads of Hemba statues serve to emphasize the importance of the skull of the ancestor, which would have been conserved in a special enclosure. (de Strycker, "La Statue Hamba du culte des ancêtres. Éléments de différenciation des Hamba par rapport aux Luba et Luba-Hemba", Thesis, Brussels, 1974-1975, p. 123).

In this statue, the head is particularly commanding due its size and elaborate coiffure, which expands into four open lobes held back with an ornamented diadem. Two finely decorated horizontal braids overlap with two vertical braids atop a delicately upward slanting plane. The braids have a functional purpose in protecting a receptacle where the clan chief stored seeds to be planted for the next harvest. The limit of the facial plane is defined by the arched brows, below which the rounded eyesockets delicately indicate the line of the cheekbones and underline the quiet yet intense gaze of the eyes, half closed under languid eyelids. The limpid gaze conveys an air of deep contemplation which we can associate with the Hemba concept of *ubatizha*, the visual acquisition of knowledge. The Hemba privileged the gaze above all other senses and held that through long and unhurried scrutiny one could acquire the most profound knowledge of a person, object, or event. The slight bowing of the head, created by the parallel lines of the forehead and the jaw, furthers the impression of a state of tranquil contemplation and recalls certain representations of bodhisattvas which, like this honored Hemba ancestor, help and guide those in the phenomenal world.





PROPERTY FROM A EUROPEAN PRIVATE  
COLLECTION

**KOTA-OBAMBA  
RELIQUARY FIGURE,  
GABON**

The reverse inscribed in white ink: "5657"  
Height: 17 ½ in (44.5 cm)

**PROVENANCE**

Frank Crowninshield, New York, acquired by  
1937, probably via John Graham  
Harry Bober, New York, probably acquired in  
the late 1940s  
Sotheby's, New York, May 8, 1989, lot 62,  
consigned by the estate of the above  
Daniel Hourdé, Paris, acquired at the above  
auction  
Armand Arman, New York and Venice,  
presumably acquired from the above  
Samir Borro, Brussels, acquired by 1995,  
presumably from the above  
Private Collection, Austria, acquired from the  
above in the late 1990s  
European Private Collection, acquired from the  
above in 2003

**PUBLISHED**

Herbert J. Spinden, *African Negro Art from the  
Collection of Frank Crowninshield*, New York,  
1937, probably between cat. nos. 69-81 (listed)  
Daniel Hourdé, advertisement, *Arts d'Afrique  
Noire*, No. 76, Winter 1990, p. 60  
Neue Galerie der Stadt Linz, ed., *Kunst aus  
Afrika Indonesien Ozeanien und Latein-amerika*,  
Linz, 1999  
Jacques Germain, "De la figure de reliquaire  
concave-convexe dite à front bombé des kota",  
*Arts d'Afrique Noire*, No. 117, 2001, p. 21

**EXHIBITED**

Brooklyn Museum, New York, *African Negro  
Art from the Collection of Frank Crowninshield*,  
March 20 - April 25, 1937  
Neue Galerie der Stadt Linz, *Kunst aus Afrika  
Indonesien Ozeanien und Latein-amerika*,  
October 28 - December 5, 1999

\$ 250,000-350,000





This exceptional image of an ancestor for a reliquary ensemble is the work of a highly individual 19<sup>th</sup> century Kota artist. Two closely related works share distinctive attributes with the present figure which allow us to attribute the three to the same atelier or master sculptor. A janiform figure previously in the Tishman Collection is today in the National Museum of African Art, Smithsonian Institution, Washington D.C. (see Vogel, *For Spirits and Kings*, New York, 1981, p. 199, cat. no. 118; inv. no. 2005-6-104), and another janiform figure was published by Charles-Wesley Hourdé (*Realm of the Ancestors*, Paris, 2018, pp. 24-27). Attributes of this style include a smoothly rounded convex half-oval forehead above a straight horizontal brow; embossed eyes of concentric ovals rendered in deep repoussé, on either side of a cubistic pyramidal nose.

The present work departs from the other two with a decidedly original flourish on the reverse: a large triangle rendered in high relief, enclosing a set of straight vertical grooves. This abstract geometric arrangement may refer to the clan of the ancestor represented as a kind of heraldic sign.

The sculptural quality of the present work is matched with a distinguished early history, which is especially notable for the very early date that it was first exhibited in the United States: in 1937 it was exhibited at the Brooklyn Museum in New York, as part of the pioneering exhibition of the collection of Frank Crowninshield (*African Negro Art from the Collection of Frank Crowninshield*, March 20 - April 25, 1937).

The African art collection of Frank Crowninshield was in effect the work of the extraordinary John Graham, artist and

avant-garde savant, who was almost entirely responsible for the selection of objects. An emigré from Tsarist Russia, Graham was an aesthetic patrician who introduced the American avant-garde to developments in Paris and served as influential guide in the careers of Adolph Gottlieb, David Smith, Jackson Pollock – who sought Graham out after reading his 1937 article *Primitive Art and Picasso* – and Willem De Kooning, who thought him one of “the smartest men on the scene” when they met in the 1930s (Stevens and Swan, *De Kooning: an American Master*, New York, 2004, p. 93). Graham’s “eye” and incisive aesthetic judgments were equally sought by collectors; the Cone sisters of Baltimore and Duncan Phillips, founder of the Phillips Collection in Washington, D.C., gave him stipends to spend the summer in Paris. It was there that he bought African sculpture



# AFRICAN NEGRO ART

*From the collection of*

**FRANK CROWNINSHIELD**

**March 20 through April 25, 1937**

**BROOKLYN MUSEUM**

Cover of the 1937 exhibition catalogue

for Crowninshield's collection, probably beginning in 1925. (Clarke, "John Graham and the Frank Crowninshield Collection of African Art", *Winterthur Portfolio*, Vol. 30, No. 1, Spring 1995, p. 28). Graham exhibited his own paintings in Paris and was familiar with artists, critics, and the preeminent dealers of the period - Louis Carré, Paul Guillaume, Galerie Percier, and Charles Rattou - as well as with vanguard collectors, including the critic and anarchist Félix Fénéon.

While Graham was at the heart of the avant-garde, Crowninshield had his own impeccable credentials as a promulgator of Modernism. Crowninshield helped organize the New York Armory Show of 1913, was a founding trustee of the Museum of Modern Art, and in 1926 appeared as a witness for the defense in the legal case to prove that Brancusi's *Bird in Space* was a work of art and not a utilitarian object subjective to a

prohibitive rate of tax. As the editor of the original incarnation of *Vanity Fair* from March 1914 to its end in February 1936 Crowninshield presented a high modernist aesthetic to a refined audience. The New York "slick" reproduced works by Braque, Modigliani, and Picasso, and published the photographs of Sheeler, Steichen, and Stieglitz, considered as works of art accompanied by critical texts. Crowninshield printed Gertrude Stein's "*If I Told Him: A Completed Portrait of Picasso*"; John Quinn, the pioneering collector of Modern and African art defended the work of his friend James Joyce; Carl Van Vechten wrote monthly on the Harlem Renaissance. Crowninshield was one of the earliest enthusiasts to form a large and serious collection; by his own account he owned around "a hundred and fifty African masks and sculptures." (Hellman, "Last of the Species - I", *The New Yorker*, September 19, 1942, p. 23). Objects from his

collection were included in *African Negro Art* in 1935, and with Helena Rubinstein and Tristan Tzara, he was one of three collectors to lend African sculptures to *Cubism and Abstract Art* at the Museum of Modern Art in 1936.

The spread of modernist ideas is perhaps Crowninshield's greatest achievement, both as editor at *Vanity Fair* and as a collector of African art, which this impresario of pre-war café society introduced to an audience who were intrigued by - if not necessarily themselves part of - the avant-garde. As the critic Helen Appleton Read wrote in 1930, Crowninshield's "ability to sense the psychological moment when new ideas and new forms in art are emerging from unpopular radicalism [...] to recognizable and acceptable expressions of the spirit of the age is a species of clairvoyance." (cited in Clarke, *ibid.*).



Frank Crowninshield photographed with  
Constantin Brancusi (1876-1957), *Bird in Space*,  
1928, during the *Design for Use* exhibition at  
the Museum of Modern Art, New York, 1944.  
Photograph by George Karger © The LIFE  
Images Collection/Getty Images  
Artwork: © 2019 Artists Rights Society (ARS),  
New York / ADAGP, Paris



PROPERTY FROM THE COLLECTION OF GEORGE  
AND ROSEMARY LOIS, NEW YORK

## KONGO NAIL POWER FIGURE, DEMOCRATIC REPUBLIC OF THE CONGO

Height: 19 ½ in (49.5 cm)

### PROVENANCE

Alain de Monbrison, Paris  
George and Rosemary Lois, New York, acquired  
from the above in 1972

\$ 60,000-90,000

Kongo sacred sculptures called *minkisi* (sing. *nkisi*) are among the most powerful and refined of all Sub-Saharan art forms, and rank among the iconic genres of African art. The most imposing category of *minkisi* are those which bear an accumulation of inserted nails and metal objects, remnants of their ritual use. In the West, these have been called *fétiches à clous* or nail power figures, and were featured prominently in the 2015 exhibition *Kongo: Power and Majesty*, held at the Metropolitan Museum of Art, New York. The result of a collaborative procedure between a sculptor, a ritual specialist, and the people they served, these sculptures have a special resonance not only as sensitively-modeled representations of the human form, but also as physical testaments to the religious experience of Kongo communities.

Alisa LaGamma notes that “the most influential class of Kongo *minkisi* often took the form of formidable wood figures bristling with added hardware.[...] Along the coast, from northern Angola to southern Gabon, they were known as *mbau*, or ‘ready to fight’, while in the interior as far as Kinshasa they were called *n’kondi* (pl. *minkondi*), or ‘hunter’. Unlike more specialized *minkisi*, *minkondi* were credited with assisting regional chiefs in maintaining public order. Rare pre-eighteenth-century descriptions of the invocation of an

*n’kondi* refer to the *nganga* [ritual specialist] striking two anvils together and inserting wood pegs into the sculpture. In more recent times, this call to action has taken the form of hammering in a nail, *koma nloko*. Each inserted element, which might take the form of blades, nails, or screws, subsequently served as a memorandum of sorts relating to a specific case - the signing of particular vows, or the sealing of covenants. Disputing individuals, whether divorcing spouses or warring factions of neighboring communities, finalized a binding agreement by coming together before an *nganga* and inserting hardware into an *n’kondi*. A fee was paid for the addition of each element” (LaGamma, *Kongo: Power and Majesty*, New York, 2015, p. 37).

“An *n’kondi*’s imposing stature, aggressive stance, and omniscient gaze as well as its associations with deadly afflictions and natural forces such as thunderstorms, fire, and birds of prey deterred antisocial behavior. If its ability to prevent transgressions failed, an *n’kondi* was carried to a crime site and deployed in pursuit of the culprit. These regulatory instruments were credited with controlling life-threatening bodily ailments, violence, and even death. Accordingly, *minkondi* could punish violators with the full force of those same afflictions” (*ibid.*, pp. 37-39).



PROPERTY OF SOTHEBY'S

**AKAN TERRACOTTA  
HEAD, TWIFO-HEMAN,  
GHANA**

Height: 10 ¼ in (26 cm)

**PROVENANCE**

Jacques Viault, Paris, acquired circa 1972  
Sotheby's, Paris, June 21, 2017, lot 61,  
consigned by the above

**PUBLISHED**

Jacques Blazy, *L'idéal féminin dans l'art africain*,  
Paris, 2001, p. 38

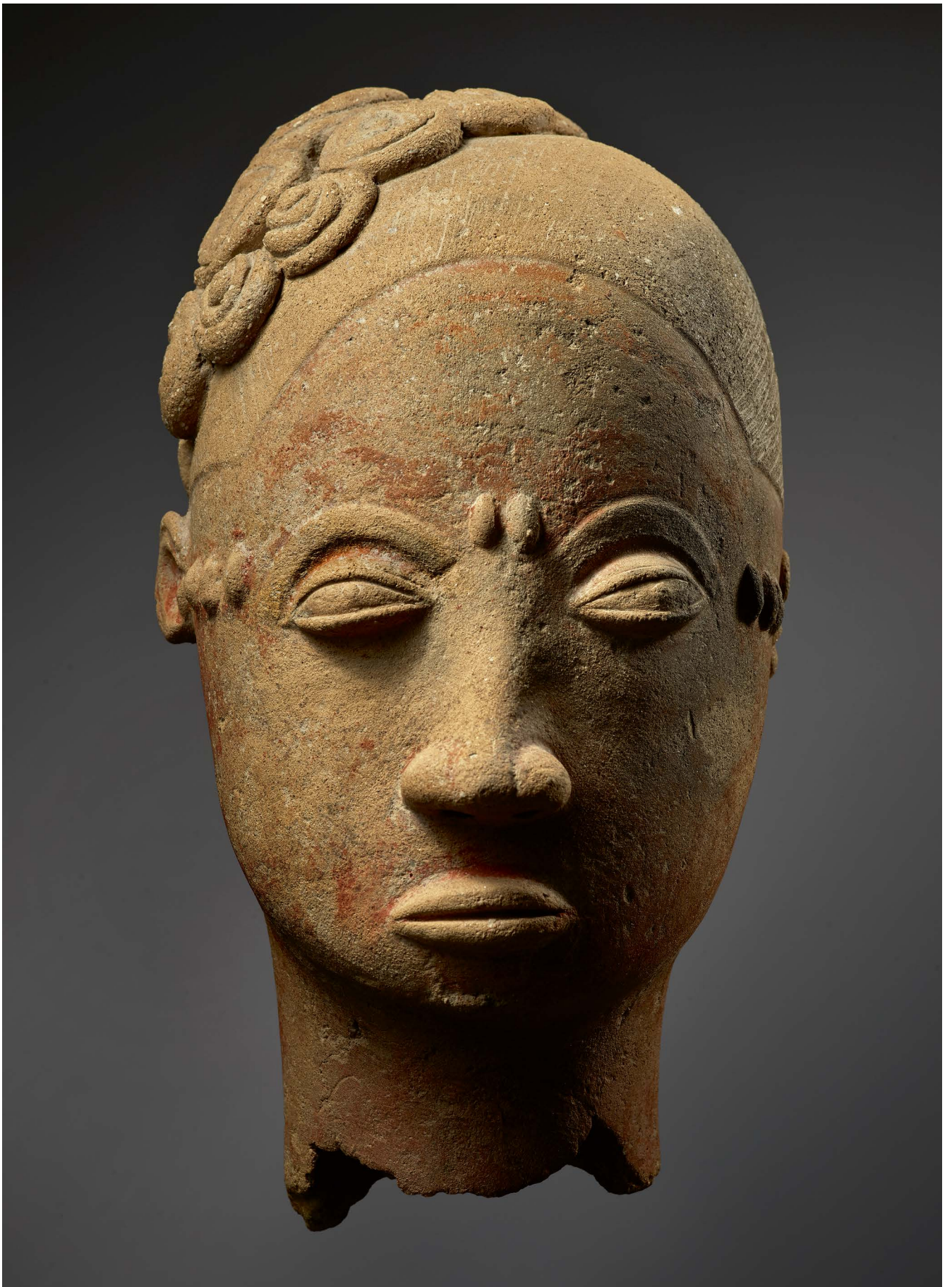
**EXHIBITED**

Galleries Lafayette, Paris, *L'idéal féminin dans  
l'art africain*, February 22 - March 24, 2001

\$ 40,000-60,000

As early as 1602, Pieter de Marees published detailed observations of his travels on the west coast of Africa. One such observation noted the funerary rituals of Akan "Kings": "All his possessions, such as his weapons and clothes, are buried with him and all his Nobles who used to serve him are modelled from life in earth, painted and put in a row all around the Grave, side by side." (De Marees, *Description and Historical Account of the Gold Kingdom of Guinea (1602) (Fontes Historiae Africanae)*, Oxford, 1987, pp. 184-185). This terracotta portrait head likely relates to this tradition. A graceful and subtle sculpture which combines an idealized vision of beauty with individuated traits, it is fitting that this head honored a deceased individual of high status.

A closely related head is in the collection of the musée Barbier-Mueller, Geneva (inv. no. 1009-06). Alain Person provides a description of that head which is equally applicable to the present example: "The formal equilibrium of the idealised face, which seems to be contemplating inner visions, conveys a serenity definitively acquired in death." (Person in Mattet, ed., *Arts of African and Oceania: Highlights from the Musée Barbier-Mueller*, Geneva, 2007, p. 152). While both heads display similar adornments in the treatment of the asymmetrical coiffure and keloids, each work showcases the individuality of an artist whose work is in the naturalistic and sensitive vein of the Twifo-Heman region.



PROPERTY FROM THE ESTATE OF THOMAS G. B.  
WHELOCK

**TUSYAN OR SENUFO  
FOUR FIGURE PENDANT,  
BURKINA FASO**

Height: 2  $\frac{3}{4}$  in (7.1 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and  
Nashville

**PUBLISHED**

Christopher D. Roy and Thomas G. B. Wheelock,  
*Land of the Flying Masks: Art and Culture in  
Burkina Faso, the Thomas G. B. Wheelock  
Collection*, Munich, 2007, p. 441, cat. no. 385

\$ 4,000-6,000



181

PROPERTY FROM THE COLLECTION OF GEORGE  
AND ROSEMARY LOIS, NEW YORK

**DOGON BRONZE FIGURAL  
PENDANT, MALI**

Height: 2 1/8 (5.5 cm)

**PROVENANCE**

Lester Wunderman, New York  
George and Rosemary Lois, New York, acquired  
from the above in 1977

\$ 6,000-9,000



182

PROPERTY FROM THE ESTATE OF THOMAS G. B. WHEELOCK (LOTS 82-87)

**TWO TUSYAN ZOOMORPHIC PENDANTS, BURKINA FASO**

Length: 2 3/4 in (7.1 cm) and 2 5/8 in (6.6 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and Nashville

**PUBLISHED**

Christopher D. Roy and Thomas G. B. Wheelock, *Land of the Flying Masks: Art and Culture in Burkina Faso, the Thomas G. B. Wheelock Collection*, Munich, 2007, p. 435, cat. nos. 327 and 328.

One depicting a gecko, the other a monitor lizard.

\$ 2,000-3,000



183

**TUSYAN OR SENUFO THREE FIGURE PENDANT, BURKINA FASO**

Length: 2 in (5.1 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and Nashville

\$ 2,000-3,000



184

**MOSSI HAIRPIN, BURKINA FASO**

Height: 3 5/8 in (9.3 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and Nashville

**PUBLISHED**

Christopher D. Roy and Thomas G. B. Wheelock, *Land of the Flying Masks: Art and Culture in Burkina Faso, the Thomas G. B. Wheelock Collection*, Munich, 2007, p. 432, cat. no. 290

\$ 600-900





185

**LOBI CRESCENT  
PENDANT, BURKINA FASO**

Length: 3 1/8 in (7.9 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and  
Nashville

**PUBLISHED**

Christopher D. Roy and Thomas G. B. Wheelock,  
*Land of the Flying Masks: Art and Culture in  
Burkina Faso, the Thomas G. B. Wheelock  
Collection*, Munich, 2007, p. 439, cat. no. 364

\$ 600-900

186

**NUNA PENDANT,  
BURKINA FASO**

Length: 3 1/4 in (8.4 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and  
Nashville

\$ 1,500-2,500

187

**PENDANT, PROBABLY  
BURKINA FASO**

Length: 4 in (10 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and  
Nashville

\$ 1,500-2,500



86



85



87

PROPERTY FROM THE COLLECTION OF BILL  
SIMMONS, NEW YORK

**ZULU BEER VESSEL,  
NONGOMA, KWAZULU-  
NATAL, SOUTH AFRICA**

Height: 12 in (30.5 cm); Diameter: 15 ½ in  
(39.4 cm)

**PROVENANCE**

Peter Pickford, collected *in situ* in KwaZulu-  
Natal in 1993

Steven de Combes, Cape Town, acquired from  
the above

Bill Simmons, New York, acquired from the  
above on May 10, 2006

**PUBLISHED**

Constantine Petridis, *The Art of Daily Life:  
Portable Objects from Southeast Africa*, Milan,  
2011, p. 62, cat. no. 40

**EXHIBITED**

The Cleveland Museum of Art, *The Art of Daily  
Life: Portable Objects from Southeast Africa*,  
April 17, 2011 - February 26, 2012

\$ 12,000-18,000



PROPERTY FROM THE COLLECTION OF BILL  
SIMMONS, NEW YORK

**ZULU BEER VESSEL,  
QUDENI OR NKANDLA,  
KWAZULU-NATAL, SOUTH  
AFRICA**

Height: 13 in (33 cm); Diameter: 14 1/2 in  
(36.8 cm)

**PROVENANCE**

Steven de Combes, Cape Town, acquired from  
the above

Bill Simmons, New York, acquired from the  
above on May 10, 2006

**EXHIBITED**

National Museum of African Art, Smithsonian  
Institution, Washington, D.C., *Grass Roots:  
African Origins of an American Art*, June 23 -  
November 28, 2010

\$ 10,000-15,000



190

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PROPERTY FROM THE ESTATE OF THOMAS G. B.  
WHEELOCK

**LOBI STORAGE VESSEL,  
BURKINA FASO**

Height: 18 1/2 in (47 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and  
Nashville

\$ 10,000-15,000



PROPERTY FROM THE ESTATE OF THOMAS G. B.  
WHEELOCK

**NUNA STORAGE VESSEL,  
BURKINA FASO**

Height: 17 ¼ in (43.5 cm)

**PROVENANCE**

William Wright, New York  
Thomas G. B. Wheelock, New York and  
Nashville, acquired from the above

**PUBLISHED**

Christopher D. Roy and Thomas G. B. Wheelock,  
*Land of the Flying Masks: Art and Culture in  
Burkina Faso, the Thomas G. B. Wheelock  
Collection*, Munich, 2007, p. 456, cat. no. 547

\$ 2,500-3,500



PROPERTY FROM THE ESTATE OF THOMAS G. B. WHEELOCK

**KURUMBA STORAGE  
VESSEL, BURKINA FASO**

Height: 26  $\frac{7}{8}$  in (68.3 cm)

**PROVENANCE**

William Wright, New York  
Thomas G. B. Wheelock, New York and  
Nashville, acquired from the above

**PUBLISHED**

Christopher D. Roy and Thomas G. B. Wheelock,  
*Land of the Flying Masks: Art and Culture in  
Burkina Faso, the Thomas G. B. Wheelock  
Collection*, Munich, 2007, p. 456, cat. no. 548

\$ 1,500-2,500



PROPERTY FROM AN AMERICAN PRIVATE  
COLLECTION

## MUMUYE HELMET MASK, NIGERIA

Length: 14 1/8 in (36 cm)

### PROVENANCE

Hélène and Philippe Leloup, Paris; with Hélène Leloup (then Hélène Kamer) by 1970  
American Private Collection, acquired from the above in 1993

### PUBLISHED

Elsy Leuzinger, *Die Kunst von Schwarz-Afrika*, Zurich, 1970, cat. no. N. 38 (listed)  
Ernst Winiski, *Gesichter Afrikas/Visages d'Afrique/Faces of Africa*, Lucerne, 1972, pp. 86-87

### EXHIBITED

Kunsthaus Zürich, *Die Kunst von Schwarz-Afrika*, October 31, 1970 - January 17, 1971

Masks of the Benue river area are typically abstract and schematic (see Warrens and Nooter, *African Art in American Collections*, Washington, 1989, p. 296). The present example is a "female" mask, also referred to colloquially as the "grandmother" or "old woman" type. Its large, orblike round eyes, grooved hairstyle in relief and open projecting mouth are typical of Mumuye female masks. These masks are used during the *Vabong* ceremony, which constitutes the fifth phase of one of the Mumuye initiation rituals. During the *Vabong*, masks representing both male and female spirits were brought out as a signal for the initiates to perform ceremonial whipping (Neyt, *Mumuye*, Paris, 2006, p. 42). For a similar example see Neyt, *ibid.*, cat. no. 765.

\$ 30,000-50,000





PROPERTY FROM A PRIVATE COLLECTION,  
NEW YORK

## DOGON DOOR, MALI

Height: 26 7/8 in (68.2 cm)

### PROVENANCE

Private Collection, New York  
Sotheby's, New York, May 19, 2001, lot 92,  
consigned by the above  
Private Collection, New York, acquired at the  
above auction

\$ 10,000-15,000

This finely-carved shutter or door once adorned a Dogon granary, serving both to protect and sanctify the life-giving stores of food contained inside. According to Hélène Leloup (*Dogon Statuary*, Strasbourg, 1994, p. 487), rows of figures seen on Dogon granary doors represent patrilineal ancestors. The presence of male and female figures in the present example suggest the male-female duality which is central to Dogon origin myths; these primordial couples are the progenitors of humanity, the ideal compliments to one another, and the source of life.

LaGamma (*Genesis: Ideas of Origin in African Sculpture*, New York, 2002, p. 28) notes: "In 1931 a team of French researchers led by Marcel Griaule arrived in the village of Sanga, in present-day Mali, to undertake a study of Dogon culture. Griaule's investigations sought to expose the inner workings of Dogon thought and religious belief about the world and its origins. In the process he became aware of a vast corpus of myths that described 'a complex cosmogony, an epic struggle between order and disorder, and the place of humanity within the universe' [Ezra, *Art of the Dogon*, New York, 1988, pp. 15-16]. According to the Dogon mythological system described by Griaule and other members of his team, the divine power of Amma created the first living being, called Nommo, who multiplied to become four pairs of twins. One of these Nommo twins rebelled against the order set in place by Amma. In response, Amma, seeking to purify the universe and restore order, sacrificed one of the other Nommos. Thus Nommo's body was cut up and scattered throughout the universe, and from these parts Amma created eight ancestors of humanity: four males - Amma Serou, Lebou Serou, Binou Serou, Dyongou Serou - and their four female twins. In the final phase of genesis, these eight ancestors, together with another Nommo and everything needed for human life, were placed in an ark and sent to Earth [*ibid.*, p. 20]. Griaule and his colleagues based their investigations on the premise that 'the everyday object may reveal in its form or decoration a conscious reflection of this complex cosmogony' [Griaule, *Dieu d'eau*, Paris, 1965, p. xiv]."



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PROPERTY FROM A PRIVATE COLLECTION

## DOGON MASK, MALI

Height: 12 ¾ in (32.5 cm)

### PROVENANCE

Pierre Harter, Paris

Private Collection, Paris, acquired from the  
above in the 1980s

Sotheby's, New York, November 15, 2002, lot  
31, consigned by the above

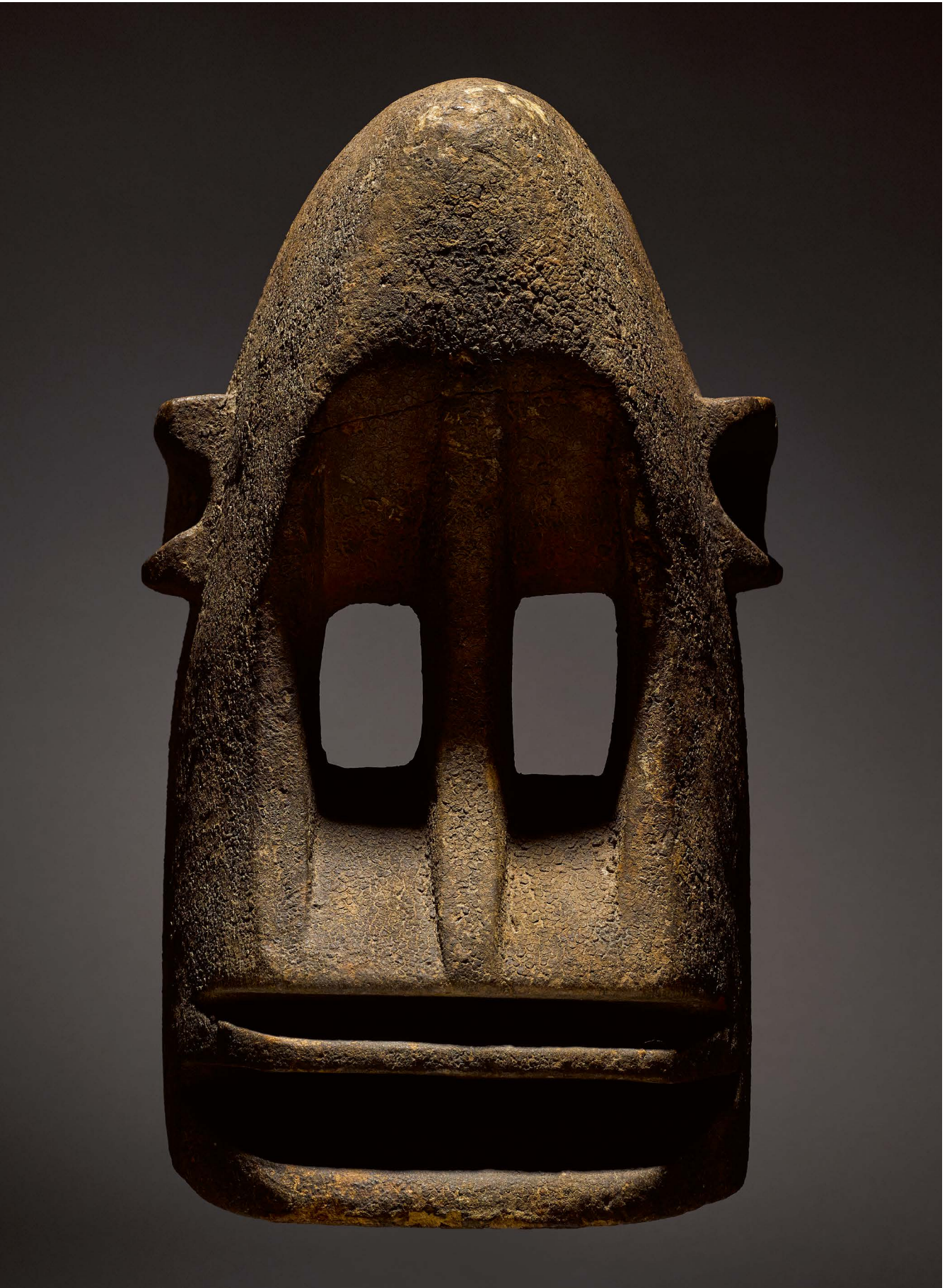
Private Collection, acquired at the above  
auction

This Dogon mask is notable for its remarkably rigorous and architectural form, with the horizontal lines of the mouth contrasting with the concave, arching vertical forms which delineate the nose and the sides of the head.

This style of mask is known as *dege*, the name for a black monkey, a creature noted for its unpredictability, gluttony, and general villainy. The *dege* mask appears in an "obscene or comic performance" which illustrates these character traits (Richards, "What's in a Dogon Mask", *Res: Anthropology and Aesthetics*, Nos. 49 & 50, 2006, p. 108).

For other masks of this type see the example collected by the Mission Paulme-Lifchitz in 1935, now in the musée du quai Branly - Jacques Chirac, Paris (inv. no. 71.1935.105.34), photographed in 1936 by Man Ray, and another in the Metropolitan Museum of Art, New York (inv. no. 1977.394.35).

\$ 20,000-30,000



PROPERTY FROM THE ESTATE OF THOMAS G. B.  
WHEELOCK

**MOSSI DOLL,  
BURKINA FASO**

Height: 9 5/8 in (24.3 cm)

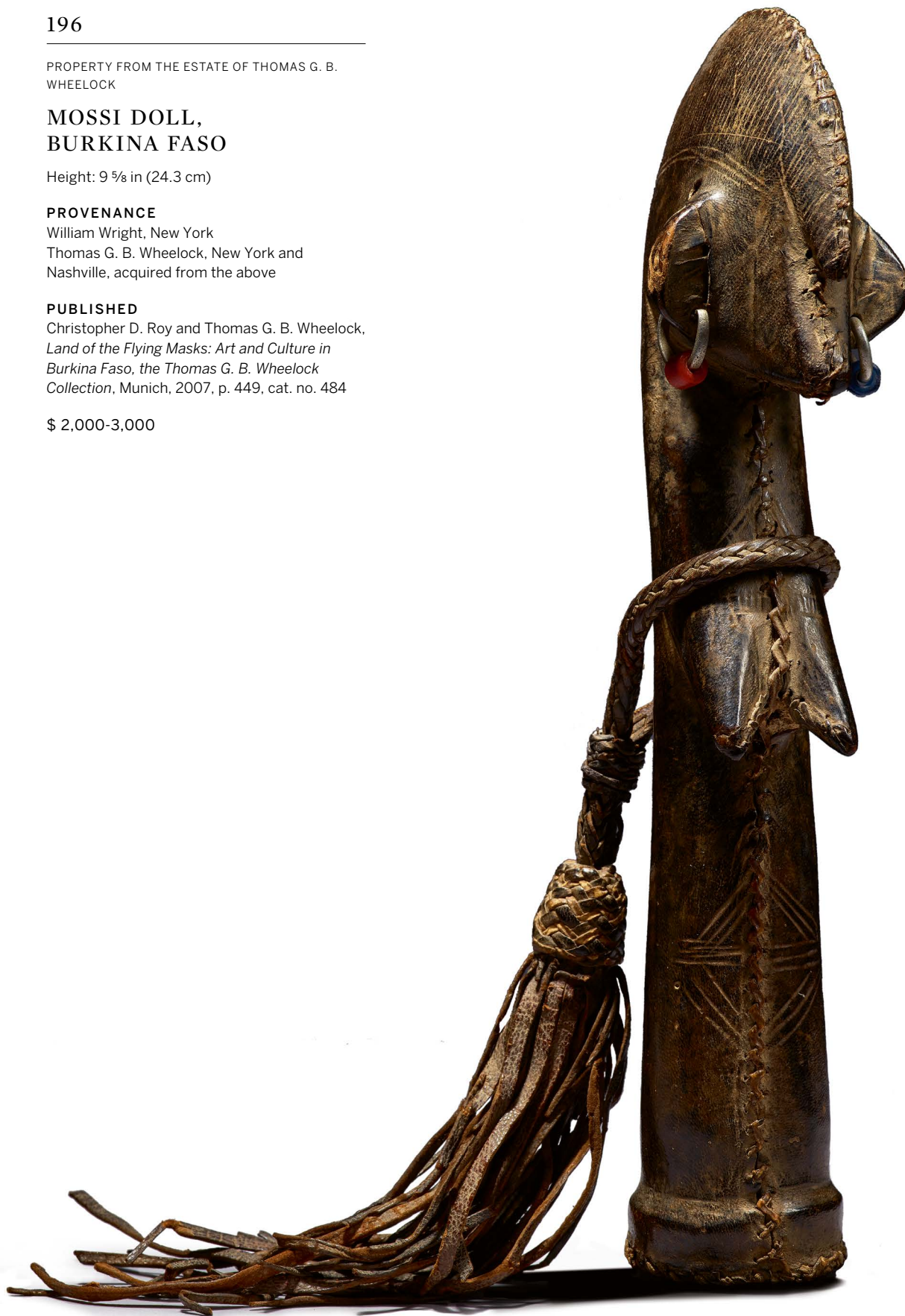
**PROVENANCE**

William Wright, New York  
Thomas G. B. Wheelock, New York and  
Nashville, acquired from the above

**PUBLISHED**

Christopher D. Roy and Thomas G. B. Wheelock,  
*Land of the Flying Masks: Art and Culture in  
Burkina Faso, the Thomas G. B. Wheelock  
Collection*, Munich, 2007, p. 449, cat. no. 484

\$ 2,000-3,000



PROPERTY FROM THE FAMILY OF HERBERT BAKER,  
CHICAGO AND LOS ANGELES

## MOSSI MASK, BURKINA FASO

Height: 19 ¼ in (48.9 cm)

### PROVENANCE

Herbert Baker, Chicago and Los Angeles,  
acquired prior to 1966  
Thence by descent

### PUBLISHED

Ralph T. Coe, *Ethnic Art from the Collection  
of Mr. and Mrs. Herbert Baker: Africa,  
Mediterranean, Oceania*, Kansas City, 1966, p.  
21, cat. no. 55

### EXHIBITED

Nelson Gallery-Atkins Museum, Kansas City,  
*Ethnic Art from the Collection of Mr. and Mrs.  
Herbert Baker: Africa, Mediterranean, Oceania*,  
December 17, 1966 - January 29, 1967

\$ 5,000-7,000





198

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PROPERTY FROM A PRIVATE COLLECTION, NEW YORK

**MAMA MASK, NIGERIA**

Height: 23 in (58.4 cm)

**PROVENANCE**

Loed van Bussel, the Hague  
Ludwig Bretschneider, Munich, presumably  
acquired from the above  
Private Collection, New York, acquired from the  
above in the 1970s

\$ 10,000-15,000





199

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PROPERTY FROM THE COLLECTION OF GEORGE  
AND ROSEMARY LOIS, NEW YORK

**MOSSI MASK,  
BURKINA FASO**

Height: 60 <sup>3</sup>/<sub>4</sub> in (153 cm)

**PROVENANCE**

Julius Carlebach, New York  
George and Rosemary Lois, New York, acquired  
from the above in 1962

\$ 12,000-18,000



200

PROPERTY FROM THE COLLECTION OF CHARLES EDWARDS, CINCINNATI

**IBO MASK, NIGERIA**

Height: 28 <sup>7</sup>/<sub>8</sub> in (73.3 cm)

**PROVENANCE**

Charles Edwards, Cincinnati

\$ 5,000-7,000

201

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PROPERTY FROM THE COLLECTION OF GEORGE  
AND ROSEMARY LOIS, NEW YORK

## BAMANA MASK, MALI

Height: 17 ¾ in (45.1 cm)

### PROVENANCE

John J. Klejman, New York  
George and Rosemary Lois, New York, acquired  
from the above in 1964

\$ 10,000-15,000



PROPERTY FROM A PRIVATE COLLECTION, NEW YORK

## SENUFO HEDDLE PULLEY, CÔTE D'IVOIRE

Height: 7 <sup>5</sup>/<sub>8</sub> in (19.5 cm)

### PROVENANCE

Harold Rome, New York

Ben Heller, New York, acquired from the above Private Collection, New York, acquired from the above in the late 1970s

Like many heddle pulleys made by Senufo carvers, this functional object was embellished with delicate ornamentation in order to delight the weaver using it. The hornbill bird, or *dynug*, is one of the five primordial animals in Senufo cosmology and is iconographically widespread in Senufo material culture (Barbier, ed., *Art of Côte d'Ivoire from the Collections of the Barbier-Mueller Museum*, Geneva, 1993, Vol. 1, p. 61). In this example, the rounded body of the bird, highlighted by its curved beak, connotes fertility. Instead of exhibiting outstretched wings, as is common for heddle pulleys of this type, this bird's finely carved wings rest serenely next to its body. The stylized form and beautifully carved details on the wings of this piece highlight the highly public nature of weaving. When being used one can imagine it incited people to *nian dan*, or "take a good, thorough look" (Vogel, *Baule: African Art, Western Eyes*, New Haven, 1997, p. 272).

\$ 10,000-15,000



PROPERTY FROM A PRIVATE COLLECTION

**BAULE OR YAURE MASK,  
CÔTE D'IVOIRE**

Height: 11 5/8 in (29.5 cm)

**PROVENANCE**

Private Collection, New York  
 Christie's East, New York, April 25-26, 1984, lot  
 678, consigned by the above  
 Private Collection, acquired at the above  
 auction  
 Thence by descent

The idealized faces of portrait masks, called *Mblo*, are the most emblematic form of Baule sculptural tradition. As discussed by Susan Vogel in her landmark *Baule: African Art, Western Eyes*, New Haven, 1997, 141, "The idealized faces are introspective, with the high foreheads of intellectual enlightenment and the large downcast eyes of respectful presence in the world." This example bears smooth carving surfaces juxtaposed with fine, geometric patterns, both typical characteristics of Baule sculpture. Usually a portrait of a particular known individual, *Mblo* masks are used in a highly structured form of entertainment dance and are ornamented with motifs chosen for their beauty rather than for their iconographic significance. Details such as fine scarifications between the eyebrows and a triangulated decoration along the cheeks "[denote] personal beauty, refinement, and a desire to give pleasure to others. [...] The *Mblo* portrait mask was the summit of Baule sculpture, the most beautiful art form" (Vogel, *Baule: African Art, Western Eyes*, 141).

\$ 7,000-10,000



PROPERTY FROM A PRIVATE COLLECTION

## BETE-GURO MASK BY THE MASTER OF GONATE, CÔTE D'IVOIRE

Height: 17 ¾ in (45.1 cm)

### PROVENANCE

Frank Crowninshield, New York, probably acquired via John Graham  
H. F. Sachs Gallery, New York, presumably acquired from the above  
Annie Laurie Warmack Crawford Aitken, New York, acquired from the above in 1940  
Russell B. Aitken, New York, by descent from the above  
Christie's, New York, *The Russell B. Aitken Collection of African, American Indian and Oceanic Art*, April 3, 2003, lot 45  
Private Collection, acquired at the above auction

\$ 70,000-100,000

In the study of the history of African Art, the notion of the individual artist was not introduced until 1935 when Hans Himmelheber identified nineteen artists from Côte d'Ivoire in his groundbreaking *Negerkünstler*. Two years later, the Belgian art historian Frans Olbrechts identified a body of work created by "The Master of the Long Face of Buli", referring to the now famous Luba carver active in the 19th century. Subsequently, the identification of authorship and workshops has become an increasingly important focus of African art history. Following the methodologies established in ancient Greek and Medieval art history, the identification of an artist's body of work is based on stylistic and contextual evidence, and often names of convenience are used, when the artist's actual name remains unknown.

In 1985, Eberhard Fischer and Hans Himmelheber suggested in the context of their important exhibition at the Rietberg Museum, Zurich, *Die Kunst der Guro, Elfenbeinküste*, that a small group of masks were works by the same artist whom they called the "Master of Gonate" (Fischer and Himmelheber, *Die Kunst der Guro, Elfenbeinküste, Zurich*, 1985, p. 44 and pls. 11-13; for an amended English version see Fischer, *Guro: Masks, Performances, and Master Carvers in Ivory Coast*, Zurich, 2008, pp. 343-345 and pls. 343-346). The group they identified consisted of two masks in the collection of the Rietberg Museum (inv. nos. RAF 500 and RAF 507, collected before 1928 and 1932 respectively, both previously in the collection of Baron Eduard von der Heydt), a mask in the Völkerkundemuseum at the University of Zurich (inv. no. 10038, previously in the collection of Han Coray), and a mask from a private collection in New York.

Discussing one of the masks from the Rietberg Museum (inv. no. RAF 507) – which, like the present mask, features two curved horns – Fischer notes: "Gonate is a village with

a mixed population of Guro and Bete people in the region between Buafle and Daloa. [...] This master's masks – worn at an angle in front of the face and hence neither true face masks nor helmet masks – are carved out of lightweight wood and seem to be almost rectangular. Perhaps the most subtle mask by the Master of Gonate is in the von der Heydt collection, now in the Museum Rietberg Zurich and published in 1932. [...] The hairstyle is indicated only by three parallel ridges separated by grooves, which form the M-shaped hairline. Below this, a high forehead is marked down the middle by a vertical scar. Slightly raised semicircles surround the elliptical eye-slits, half closed by the heavy upper lids. The relatively short but high, and in cross-section triangular, nose ends abruptly without nose-wings but has two nostrils burned in. [...] The ears are highly geometrical, each carved as a flat, raised, three-quarter circle. [...] All masks by the master of Gonate are clearly shaped with softly modeled planes, decorative details in slightly raised relief work, and usually a particularly expressive mouth." (*ibid.*, pp. 343-344).

A close comparison of the present mask with the known corpus of works by the Master of Gonate allows us to clearly identify it as the work of this great Bete-Guro artist. Its close resemblance to the horned mask discussed by Fischer is particularly striking. The curved forms below the ears, which seem to suggest a beard, are seemingly unique to this mask, just as the cruciform scarification marks are unique to the horned mask in the Rietberg Museum. As with most of the other masks by the Master of Gonate, the present mask has a provenance dating to the 1930s. Its first known owner is Frank Crowninshield, who probably acquired the mask through his friend John Graham, the painter, collector, and theorist, who acquired many African sculptures for Crowninshield in Paris during the first half of the 1930s.



PROPERTY FROM THE COLLECTION OF JOHN  
GRAHAM, MELBOURNE

## BAULE FIGURE, CÔTE D'IVOIRE

*The proper left hand restored*  
Height: 15 1/8 in (38.2 cm)

### PROVENANCE

Paul Guillaume, Paris  
The Valentine Gallery, F. Valentine Dudensing,  
New York, on consignment from the above  
Burrill Bernard Crohn, New York, acquired from  
the above in 1931  
Ruth Crohn Dickler, New York, by descent from  
the above  
Thos. Cornell Galleries, Bellport, New York, sold  
at auction by the estate of the above in 2016  
Private Collection, acquired at the above  
auction  
John Graham, Melbourne, acquired from the  
above

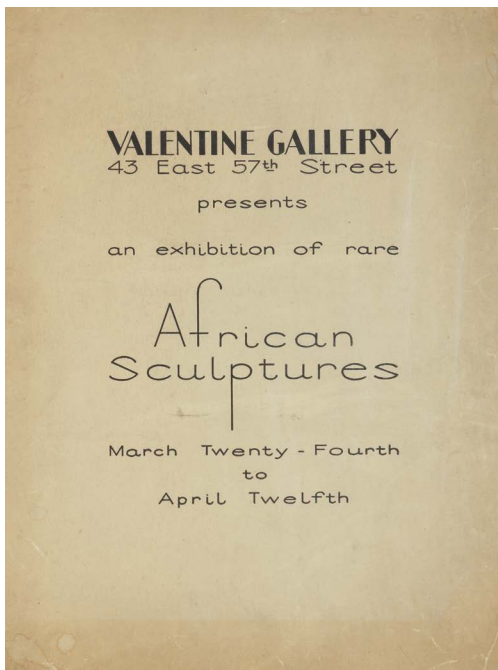
### PUBLISHED

The Valentine Gallery, ed., *An Exhibition of Rare  
African Sculptures*, 1930, unpaginated, cat. no. 1

### EXHIBITED

The Valentine Gallery, New York, *An Exhibition  
of Rare African Sculptures*, March 24 - April 12,  
1930

\$ 10,000-15,000



Cover of the 1930 Valentine Gallery catalogue  
Courtesy of a Private Collection



The present lot illustrated in the 1930 Valentine gallery catalogue  
Courtesy of a Private Collection





PROPERTY FROM THE COLLECTION OF JOHN GRAHAM, MELBOURNE

## BAULE FIGURE, CÔTE D'IVOIRE

on a base by the Japanese wood artist Kichizō Inagaki (1876-1951), Paris  
Height: 13 ½ in (34.4 cm)

### PROVENANCE

Paul Guillaume, Paris  
The Valentine Gallery, F. Valentine Dudensing, New York, on consignment from the above  
Burrill Bernard Crohn, New York, acquired from the above in 1931  
Ruth Crohn Dickler, New York, by descent from the above  
Thos. Cornell Galleries, Bellport, New York, sold at auction by the estate of the above in 2016  
Private Collection, acquired at the above auction  
John Graham, Melbourne, acquired from the above

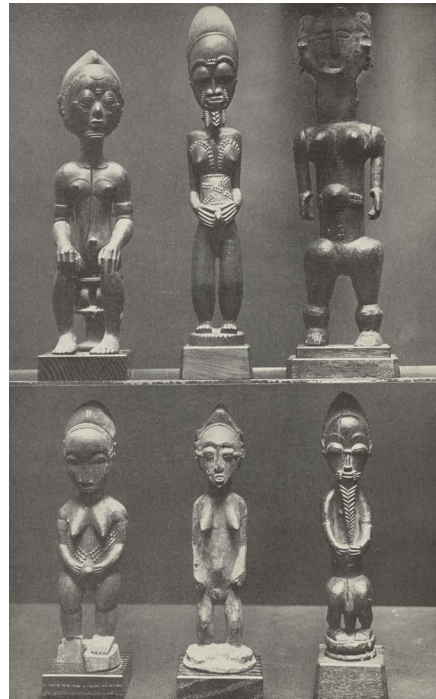
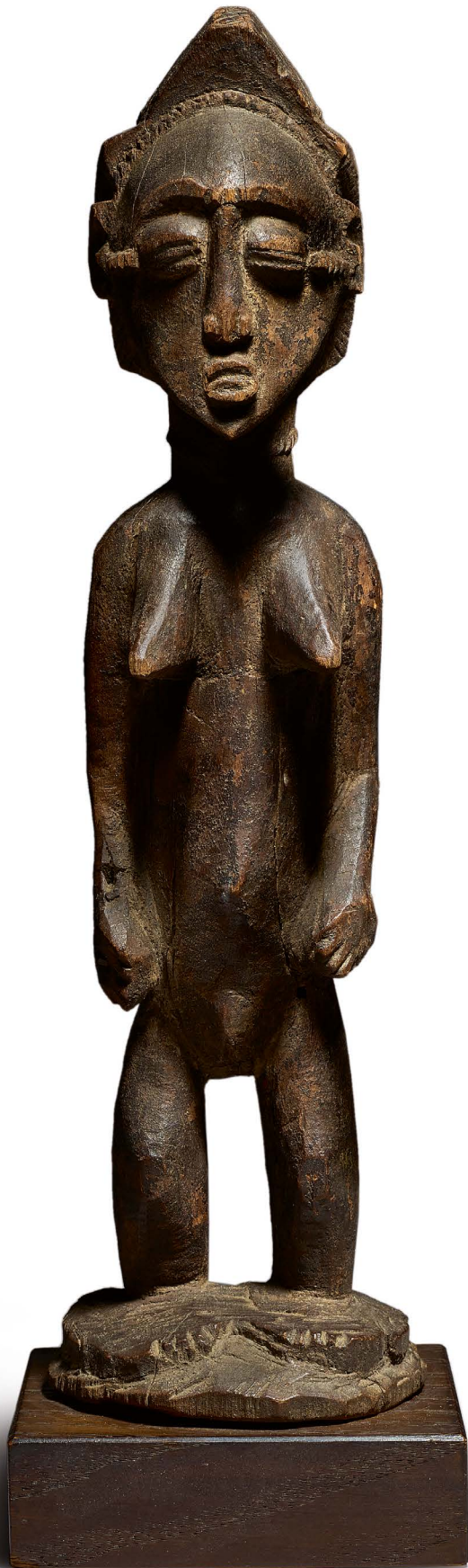
### PUBLISHED

The Valentine Gallery, ed., *An Exhibition of Rare African Sculptures*, 1930, unpaginated, cat. no. 73

### EXHIBITED

The Valentine Gallery, New York, *An Exhibition of Rare African Sculptures*, March 24 - April 12, 1930

\$ 6,000-9,000



The present lot illustrated in the 1930 Valentine gallery catalogue  
Courtesy of a Private Collection

PROPERTY FROM A PRIVATE COLLECTION, LOS ANGELES

**GURO ZOOMORPHIC  
MASK, CÔTE D'IVOIRE**

Height: 10 1/8 in (25.8 cm)

**PROVENANCE**

Possibly Loed van Bussel, The Hague  
Cornelis Pieter Meulendijk, Rotterdam, acquired  
from the above  
Christie's, London, *The Meulendijk Collection of  
Tribal Art*, October 21, 1980, lot 30  
Private Collection, Los Angeles

**PUBLISHED**

Cornelis op 't Land, *Afrikaanse sculpturen uit de  
collectie van C. P. Meulendijk*, Rotterdam, 1967,  
cat. no. 6/05 (listed)

**EXHIBITED**

Museum voor Land en Volkenkunde, Rotterdam,  
*Afrikaanse sculpturen uit de collectie van C. P.  
Meulendijk*, December 23, 1967 - 1968

\$ 7,000-10,000



PROPERTY FROM THE COLLECTION OF CHARLES EDWARDS, CINCINNATI

## DAN MASK, CÔTE D'IVOIRE

Height: 13 in (33 cm)

### PROVENANCE

Walter Randel, New York

Charles Edwards, Cincinnati, acquired from the above on March 10, 1976

Some of the most common forms of Dan masks include racing masks (*Gunye ge*), actor masks (*Tinan* and *Bagle*) and female faced masks, representing *Nyomu nea*, a female character involved in initiation rites (Barbier, *Art of Côte d'Ivoire*, Geneva, 1993, pp. 60-63). *Gunye ge* were worn in weekly races that took place during the dry seasons in the northern savanna. Only the fastest runner would have the honor of wearing the *Gunye ge* (Neyt, *Trésors de Côte d'Ivoire*, Brussels, 2014, p. 40).

This *Gunye ge* mask is oval-faced and displays a high, convex forehead and scarification down the center and sides of the forehead. The eyeholes and mouth are significantly larger than those found in other types of Dan masks, allowing the racer to see clearly and breathe freely. The back of the mask has a smooth finish and a concave area at the height of the nose to allow for comfortable wear. Two holes on either side of the mask were used to fasten the mask to the racer's head, while the holes along the jawline may have been used to fasten a false beard (Barbier, *ibid.*, p. 60).

\$ 7,000-10,000



PROPERTY FROM THE ESTATE OF THOMAS G. B. WHELLOCK

## WINIAMA HYENA MASK, BURKINA FASO

Length: 11 3/8 in (29 cm)

### PROVENANCE

Thomas G. B. Wheelock, New York and Nashville

### PUBLISHED

Christopher D. Roy and Thomas G. B. Wheelock, *Land of the Flying Masks: Art and Culture in Burkina Faso, the Thomas G. B. Wheelock Collection*, Munich, 2007, p. 399, cat. no. 83

In explaining the aged patina of this hyena mask, Thomas Wheelock notes: "As old as this aggressive mask undoubtedly is, it appears, to have been worn up to this time that it left its village. Even broken surfaces are patinated smooth from years of handling. [...] The surface has a patina developed on layers of carbon soot deposited from the smoking environment in which it was stored. Such an environment protects the mask directly by acting as an insecticide, and indirectly by speeding the drying process, thus depriving the would-be invaders of moisture and further impeding their destructive process." (Roy and Wheelock, *Land of the Flying Masks*, Munich, 2007, p. 399).

\$ 8,000-12,000



PROPERTY FROM THE ESTATE OF THOMAS G. B.  
WHEELOCK

**BWA HORNBILL MASK,  
BURKINA FASO**

Length: 16 in (40.8 cm)

**PROVENANCE**

Robert Duperrier, Paris  
Thomas G. B. Wheelock, New York and  
Nashville, acquired from the above in 1978 or  
1979

**PUBLISHED**

Christopher D. Roy and Thomas G. B. Wheelock,  
*Land of the Flying Masks: Art and Culture in  
Burkina Faso, the Thomas G. B. Wheelock  
Collection*, Munich, 2007, p. 412, cat. no. 152

\$ 4,000-6,000



211

PROPERTY FROM THE ESTATE OF THOMAS G. B. WHELOCK

**FIVE FLUTES,  
BURKINA FASO**

Height of largest: 5 5/8 in (14.2 cm); Height of smallest: 3 3/8 in (8.5 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and Nashville

**PUBLISHED**

Two illustrated in: Christopher D. Roy and Thomas G. B. Wheelock, *Land of the Flying Masks: Art and Culture in Burkina Faso, the Thomas G. B. Wheelock Collection*, Munich, 2007, p. 447, cat. no. 457 and p. 448, cat. no. 462

\$ 3,000-5,000

212

PROPERTY FROM THE ESTATE OF THOMAS G. B. WHELOCK

**BWA OR NUNA FLUTE,  
BURKINA FASO**

Height: 18 1/4 in (46.5 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and Nashville

\$ 4,000-6,000



111





112

213

PROPERTY FROM THE ESTATE OF THOMAS G. B.  
WHELOCK

**TWO BWA CHAIRS,  
BURKINA FASO**

Length: 26 ½ in (67.3 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and  
Nashville

**PUBLISHED**

One illustrated in: Christopher D. Roy and  
Thomas G. B. Wheelock, *Land of the Flying  
Masks: Art and Culture in Burkina Faso, the  
Thomas G. B. Wheelock Collection*, Munich,  
2007, p. 454, cat. no. 531

\$ 2,000-3,000



214

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PROPERTY FROM THE ESTATE OF THOMAS G. B.  
WHEELOCK

**CHAIR, BURKINA FASO**

Length: 22 ½ in (57.2 cm)

**PROVENANCE**

Thomas G. B. Wheelock, New York and  
Nashville

\$ 1,500-2,500



215

PROPERTY FROM THE COLLECTION OF GEORGE  
AND ROSEMARY LOIS, NEW YORK

**NGUNI SNUFF  
CONTAINER,  
SOUTH AFRICA**

Height: 2 3/8 in (6 cm)

**PROVENANCE**

George and Rosemary Lois, New York

\$ 2,500-3,500



216

PROPERTY FROM A PRIVATE COLLECTION

## LUENA COMB, ANGOLA

Height: 5 ¾ in (14.5 cm)

### PROVENANCE

Samuel Dubiner, Tel Aviv, acquired prior to 1960, possibly from Charles Ratton, Paris Sotheby's, London, July 2, 1990, lot 146, consigned by the above American Private Collection, acquired at the above auction

### PUBLISHED

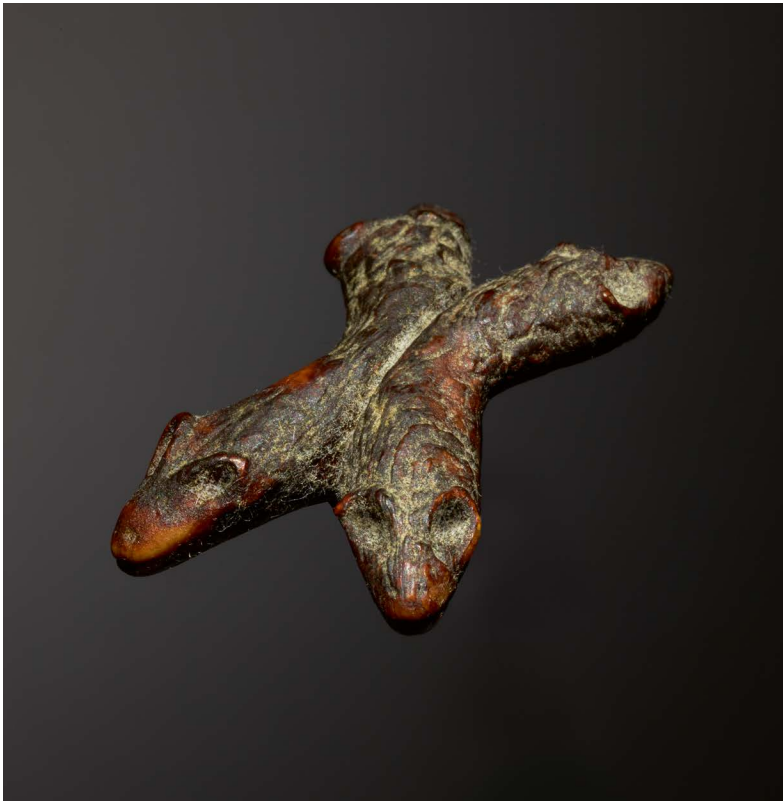
Muze on Tel Aviv, ed., *African Art: Collection Samuel Dubiner*, Tel Aviv, 1960, fig. 150

### EXHIBITED

Muze on Tel Aviv, *African Art: Collection Samuel Dubiner*, January, 1960; additional venue: Bezalel National Museum, Jerusalem, August 7 - October, 1960

\$ 2,000-3,000





117

217

PROPERTY FROM THE COLLECTION OF HOWARD  
AND SARETTA BARNET

### FOUR HEADED TOGGLE

Okvik or Old Bering Sea I, circa AD 100-400  
Walrus bone (*Odobenus rosmarus*)  
Length: 1  $\frac{3}{4}$  in (4.4 cm)

#### PROVENANCE

Reportedly excavated at the old village site at  
Gambell, St Lawrence Island  
Jeffrey R. Myers, New York  
Howard and Saretta Barnet, New York, acquired  
from the above on February 12, 1987

• \$ 1,000-1,500



118

218

PROPERTY FROM THE COLLECTION OF HOWARD  
AND SARETTA BARNET

### HARPOON HEAD

Old Bering Sea II or Old Bering Sea III, circa AD  
400-800  
Walrus tusk (*Odobenus rosmarus*)  
Length: 2  $\frac{7}{8}$  in (7.3 cm)

#### PROVENANCE

Howard and Saretta Barnet, New York, acquired  
by the 1980s

• \$ 2,000-3,000

PROPERTY FROM A PRIVATE COLLECTION, NEW MEXICO

## HARPOON COUNTERWEIGHT

Punuk, Circa AD 800 - 1200  
Walrus bone (*Odobenus rosmarus*)  
Height: 2  $\frac{3}{8}$  in (6 cm)

### PROVENANCE

Private Collection, New Mexico, acquired by 1976

### PUBLISHED

Ralph T. Coe, *Sacred Circles: Two Thousand Years of North American Indian Art*, London, 1976, p. 116, cat. no. 207

### EXHIBITED

Hayward Gallery, London, *Sacred Circles: Two Thousand Years of North American Indian Art*, October 7, 1976 - January 16, 1977; additional venue: Nelson Gallery of Art-Atkins Museum of Fine Arts, Kansas City, April 4 - June 19, 1977

• \$ 3,000-5,000



PROPERTY FROM A PRIVATE COLLECTION,  
NEW MEXICO

**UTILITY BOX,  
SOUTHEAST ALASKA**

*The base of the box missing*  
Height: 11 ½ in (29.2 cm)

**PROVENANCE**

Bill Pearson, San Francisco  
Private Collection, New Mexico, acquired from  
the above on July 7, 1967

\$ 6,000-9,000





221

PROPERTY FROM A PRIVATE COLLECTION,  
NEW MEXICO

## MODEL TOTEM POLE, NORTHWEST COAST

Whalebone

Height: 24 ¾ in (65.5 cm)

### PROVENANCE

Miguel Covarrubias, Mexico City

Rosa Covarrubias, Mexico City, by descent from  
the above

Bill Pearson, San Francisco, acquired from the  
above in 1969

Private Collection, New Mexico, acquired from  
the above on January 19, 1970

• \$ 7,000-10,000



222

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PROPERTY FROM A PRIVATE COLLECTION, LONDON

**HAIDA MODEL TOTEM  
POLE, NORTHWEST COAST**

Height: 28  $\frac{3}{4}$  in (73 cm)

**PROVENANCE**

George T. Emmons, collected *in situ* in 1880  
Museum of the American Indian-Heys Foundation,  
New York (inv. no. 5/4217), acquired from  
the above in 1916 with funds from Harmon W.

Hendricks

Julius Carlebach, New York, acquired from the  
above by exchange in 1944

Maria Martins, New York and Paris, acquired from  
the above by the late 1940s

Private Collection, by descent from the above  
Sotheby's, New York, June 24, 2004, lot 23,  
consigned by the above

Private Collection, London, acquired at the above  
auction

\$ 50,000-70,000



Totem poles are monumental sculptures carved from great trees, usually cedar, by several Indigenous cultures along the Pacific Northwest Coast of North America. Symbols of a family's clan origins, wealth and prestige, as well as the reputation of the carver, they most likely developed from other monumental carving traditions - including house posts, funerary containers and memorial markers. Standing in front of the lineage house, the totem pole was usually the tallest and most complex of the crest poles. Believed to have been developed by the Haida, totem carving most likely spread first to the Tsimshian and Tlingit and then later through British Columbia and Northern Washington.

Access to iron and steel – which may have first arrived as nails found in driftwood and slightly later with European explorers and traders – allowed a people with an existing carving tradition to create larger and much more detailed poles and other carved items with relative ease. In addition, the fur trade gave rise to a tremendous accumulation of wealth. Wealthy leaders commissioned sculptors to represent their social status and the importance of their families and clans, and much wealth was spent and distributed in lavish potlatches which were frequently associated with the construction and erection of totem poles.

In addition to their heraldic function related to clan lineage, these poles were also created to illustrate stories, to commemorate historic persons, to represent shamanic powers, as well as to provide objects of public ridicule. The most widely known tales, like those of the exploits of Raven or of Quats who married the bear woman, are familiar to almost every native of the area. Carvings which symbolize these tales (images of a bird with a long, massive and sharply tapered beak,

or of a man whose head is being devoured by a bear) appear both on lineage poles as well as on story poles, the figures sufficiently conventionalized to be readily recognizable even by persons whose lineage did not include them in their own legendary history.

Following the tragic depopulation of the region in the second half of the 19th century, Haida sculptors directed their skills towards the production of miniaturized versions of the traditional forms, as tour-de-force objects in portable format which carried the classical forms to a new audience.

The present post was collected by George Thorton Emmons (June 6, 1852-June 11, 1945) in 1880. Emmons was a U.S. Navy lieutenant, pioneering ethnographer, and collector of art and artifacts from southeastern Alaska. His naval duties brought him to Alaska during the 1880s and 1890s, where he found himself in close contact with the Tlingit and Haida people. There, he gained a thorough respect and understanding for the native cultures. In addition to befriending local leaders, Emmons was able to record specialized Tlingit traditions including including Chilkat weaving, bear hunting and the *potlach* (or communal feast) ritual. The immense amount of knowledge he gained resulted in an invitation to accompany the Alaskan exhibit at the World's Columbian Exhibition from 1891-1893. In addition to his ethnographic pursuits, Emmons began purchasing Alaskan art and artifacts. Part of his collection was sold to the American Museum of Natural History, the Heye Foundation and the Field Museum in Chicago. In New York, with another going to the These acquisitions constitute the cornerstone of each institution's holdings from this part of the world. His writings were posthumously published by Frederica de Laguna in the 1991 publication, *The Tlingit Indians*.



PROPERTY OF A CANADIAN PRIVATE COLLECTION

## HAT FINIAL, SOUTHEAST ALASKA

The forehead of the figure inscribed in black ink:  
"95 Whale"

Height: 5 ¼ in (13.4 cm)

### PROVENANCE

Olive Berthussen (1881-1937), Lynden, Washington, acquired *in situ* in the early 1900s  
Lynden Library, Lynden, Washington, bequeathed by the above in 1937  
Lynden Pioneer Museum, Lynden, Washington, donated by the above in 1976  
Bonhams & Butterfields, San Francisco, December 14, 2009, lot 4189, consigned by the above  
Canadian Private Collection, acquired at the above auction

\$ 40,000-60,000

Among the Tlingit, crest hats are the most highly esteemed and valued type of ceremonial objects. Crest hats symbolize the mythological origins and ancient history of the clan, the most important and central division within Tlingit social structure. Clan hats bear important roles in such lifecycle events such as potlaches, representing the spirits of clan ancestors who also wore and used these objects back through the generations. Clan crest emblems are painted and carved in various forms to decorate a hat and identify its clan affiliation. The hats are either woven of spruce-roots or made from wood. The images embody the strength and power of the accumulated spirits of all previous clan members, and the respect and status associated with these hats is based on this ancient timeline of history and memory.

This particular finial, in the form of a killer whale's dorsal fin, is beautifully composed and carved, and is highly embellished with abalone shell inlays and numerous locks of hair along the back edge. The small human figure at the base of the dorsal fin possibly represents the mythological personage known as Natsilane, who is credited with the creation of killer whales. The human image is carved in a distinctly Tlingit style, and is comparable in sculptural form to masks and maskettes from Tlingit carvers of the first half of the nineteenth century. The large round eyes with short, wide-open eyelids are typical of early Tlingit style, as is the extensive use of blue-green natural pigment in design patterns on the face of the image and the inner surface of the dorsal fin itself. This pigment is known as celadonite, vivianite and/or glauconite, which is a soft iron ore that was found in rare, isolated locations on the northern coast and widely traded between northern peoples. All the carving of this dorsal finial is precise and well-done, and the various lines of the composition are pleasing and harmonious, blending perfectly with the lines of the human figure's head and body. Even without knowing the specific hat it was made to adorn, the characteristics of the finial suggest that the hat was also similarly refined and beautifully composed. The finial, its sculpture and pigmentation, all indicate that the carving was most likely created between about 1830 and 1860.

Steven C. Brown  
April 2019



PROPERTY FROM A PRIVATE COLLECTION

**CEREMONIAL ROBE,  
SOUTHEAST ALASKA**

Length: 64 ¼ in (163.3 cm)

**PROVENANCE**Private Collection  
Thence by descent

\$ 30,000-40,000

The weaving of "Chilkat" blankets originated with the Tsimshian people, specifically, with the women of the Nass River region known as the Nishga. Over time, this weaving tradition spread to the Tsimshian's neighbors on the Northwest Coast - the Haida and the Tlingit - who would become the most prolific weavers in the region. The name "Chilkat" derives from the prolific production of blankets by the Chilkat subgroup of the Tlingit (Jilkáat Kwáan). In the Tlingit language, Chilkat blankets were called *naaxiin*, which roughly translates to "fringe about the body."

Prior to the introduction of commercial yarn to Northwest Coast communities by white settlers in the latter half of the 19th century, Chilkat blankets were woven from two-ply mountain goat wool and yellow cedar bark. Due to the size, artistic intricacy, and volume of raw materials required, the production of each blanket was an extremely laborious and time-intensive process. This process began with a male artist creating a painted pattern board of the blanket's design, which a female weaver transposed into textile form. The present lot contains characteristics of the classic Chilkat blanket type: its pentagonal outline resembles the façade of a house turned upside down; its thick black and yellow borders frame three clearly defined panels, with a primary design filling the central panel, flanked by two mirrored and symmetrical side panels. The forms present within each panel are highly geometric and symbolic, depicting animals and animal parts ubiquitous in Northwest Coast art and mythology, though a detailed interpretation of the meaning of each can be challenging, if not impossible.

Their exquisite beauty and the effort involved in the production process made Chilkat blankets the preserve of the Northwest Coast nobility, who possessed the wealth to make or to own a blanket. Blankets endowed their possessor with great prestige and were worn as ceremonial robes by both men and women. Often, the blankets were featured in dances, during which the rich colors, dynamic lines, and complex patterns came alive with a dancer's movements. At the conclusion of potlatches - elaborate ceremonies consisting of speeches, singing, feasting, and dancing to observe an important occasion or affirm social status - the host presented "the rights or privileges he claimed - such as the right to display a certain crest, to own a name, or to raise a totem pole. His ownership of these privileges required validation by the invited guests, who witnessed his presentation and who received payment from him in the form of gifts" (Samuel, *The Chilkat Dancing Blanket*, Norman, 1990, p. 34). To give a blanket away at a potlatch was an act of great largesse since none but the richest chiefs could afford to give away such valuable articles. Emmons notes, "during a potlatch, whole blankets may be presented to the most honored guest, but generally they were cut in strips and distributed; and such pieces are esteemed far beyond their intrinsic value (Emmons, *The Chilkat Blanket*, New York 1907, p. 345).





PROPERTY FROM A PRIVATE COLLECTION

**PAIR OF SHOSHONE  
BEADED ARMBANDS,  
NORTHERN PLAINS**

Length: 8 ¼ in (21 cm) and 8 ⅛ in (20.5 cm)

**PROVENANCE**

Private Collection, acquired by the 1980s  
Thence by descent

\$ 800-1,200



PROPERTY FROM A PRIVATE COLLECTION

**LAKOTA BEADED VEST,  
NORTHERN PLAINS**

Height: 18 1/2 in (47 cm)

**PROVENANCE**

Private Collection, acquired by the 1980s  
Thence by descent

\$ 3,000-5,000



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PROPERTY FROM A PRIVATE COLLECTION

**BALL HEADED CLUB,  
WESTERN GREAT LAKES,  
POSSIBLY OJIBWE**

Length: 23 ¾ in (60.3 cm)

**PROVENANCE**

William Ockleford Oldman, London  
Museum of the American Indian-Heys  
Foundation, New York (inv. no. 4/866),  
acquired from the above in 1900  
William Wildschut, Billings, acquired from the  
above in November 1922  
Stella Foote, Billings, acquired from the above  
in 1931  
John Molloy, Santa Fe  
John W. Painter, Cincinnati, acquired from the  
above in 1988  
Sotheby's, New York, May 8, 2006, lot 96,  
consigned by the above  
Brant Mackley, Hummelstown, Pennsylvania,  
acquired at the above auction  
William A. Jamieson, Toronto  
Private Collection, acquired from the above

**PUBLISHED**

John W. Painter, *American Indian Artifacts: The  
John Painter Collection*, 1991, p. 152, cat. no. 195  
John W. Painter, *A Window on the Past, Volume  
Two*, Cincinnati, 2003, p. 86, cat. no. 192

**EXHIBITED**

The Cincinnati Art Museum, *A Window on the  
Past*, October 18, 2002 - March 30, 2003

\$ 25,000-35,000





Ball headed clubs, along with gunstock clubs, are the most widely distributed style of clubs in Native North America. Ball headed clubs were carved from a single piece of hard wood, such as maple, with a long, relatively flat handle, bent at a right angle on one end. A burl, or carved ball-shape was at the end of the short arm. The clubs were extremely well balanced and designed to inflict a devastating blow to one's adversary. In some instances, a metal spike was mounted into the ball to create additional damage. While most ball headed clubs were undecorated, some were adorned with incised designs on the handle and occasionally brass tacks were also occasionally added. In some instances, the clubs are carved to represent or imply that a bird or other animal is holding the ball in its open mouth. Additionally, there are rare examples with effigy figures, thought to represent otters, carved along the top of the arm.

Undoubtedly, ball headed clubs pre-date European contact and their use as a weapon continued well into the nineteenth century until such time that their efficacy was reduced because of the widespread use of firearms. These clubs were collected as early as the 17<sup>th</sup> century and there are numerous examples in European museums.

Ball headed clubs were made and used from the mid-Atlantic region through the Great Lakes and westward to the edge of the Plains. There are few, if any, characteristics that indicate individual tribal styles and most ball headed clubs in museums and private collections are simply identified as Northeast or Great Lakes. In the mid-Atlantic region ball headed clubs have been attributed to the Delaware and the Susquehanna. In the eastern Great Lakes area many are identified as Iroquois or Huron. In the central Great Lakes area some are attributed to the Odawa while in the western Great Lakes the most frequent tribal attribution is either Ojibwe (Chippewa) or Eastern Sioux. Other tribal attributions for ball headed clubs include Menominee, Winnebago, Ojibwe, Osage, and Lakota. The dates range from approximately the mid-17<sup>th</sup> century through the mid-19<sup>th</sup> century.

While this outstanding ball headed club exudes a powerful and menacing presence because of its intended use, it is also a sublime work of art. The graceful form is matched by the smooth surface and natural color of the maple. The base of the handle ends diagonally, which not only emphasizes the handle's length and gracefulness but also creates an impression of a horse's hoof. Nearly two thirds of the way up on the inside of the gradually expanding handle there is small point. Although there is no known symbolism for this feature it is present on many ball headed clubs. The curve of the right angle on this club is elegant and proportionate to the overall form. The short arm is carved with ridges at the top and bottom that seem to embrace the ball as if being held in a mouth. The ball itself has a single brass tack on each side that may represent eyes with the long metal spike possibly meant to symbolize the long beak of a bird. At one time, there was a leather thong, wrapped with porcupine quills, attached to the top of the ridge above the ball. There is also a series of incised lines at the base of the handle that may represent tally marks.

This club has a long and well-documented provenance that begins more than 100 years ago, first coming to light in the possession of the English dealer, W. O. Oldman. This may indicate that the club could have been collected prior to 1800 since the English were the dominant power in both the United States and Canada at that time.

Since the majority of ball headed clubs with metal spikes are identified as being from the western Great Lakes area this club is probably either from the Eastern Sioux or Ojibwe. The Ojibwe tribal identification is more likely because of the early date and because the Ojibwe live in both the United States and Canada which corresponds to the club being discovered in England.

This tribal attribution and date corresponds with the opinion of Dr Ted Brasser who states: "This is a really nice club, most probably from the Wisconsin region, 18<sup>th</sup> century." (personal communication).

Bill Mercer  
April 2019

# THE HISTORY OF NOW

THE COLLECTION OF DAVID TEIGER

SOLD TO BENEFIT TEIGER FOUNDATION  
FOR THE SUPPORT OF CONTEMPORARY ART

## PROPERTY FROM THE COLLECTION OF DAVID TEIGER

LOTS 228–240

Distinguished by his remarkable generosity, unflinching politeness, and meticulous eye, David Teiger was one of the twenty-first century's greatest patrons and collectors. Defining excellence in a wide variety of collecting categories, Teiger insistently pursued the very best. He surrounded himself with artists and dealers, but most importantly, museum curators, and would take advice from all quarters, relentlessly searching for the best works available, but ultimately with confidence in his own judgement.

The criteria by which Teiger collected were remarkably consistent, and were summed up in a quote he gave to *The New York Times* in 1998, when he first began acquiring Contemporary artworks. He said: "I'm looking to be inspired, motivated, titillated by art. I want to be surrounded by objects that give me positive energy...Of course I want first rate pieces. I look for authenticity, integrity, original natural surface and a strong sense of color and texture. But the most important thing is that I react in my gut" (David Teiger, quoted in: *The New York Times*, October 30, 1998). Years later the terminology changed but the requirements remained the same; for all his meticulous research and careful consideration of every purchase, Teiger still required that an item "have heat," an intrinsic quality that would combine with

other criteria such as "best of type," "great craft," and "powerful presence" to qualify a work for admission to Teiger's collection.

Another definitive aspect of Teiger's life was the enormous generosity towards institutions. Museums were privileged to know that they could always ask to borrow pieces from the collection, and donations were consistently made to acquisition funds and curatorial initiatives, most notably to the Museum of Modern Art in New York, where Teiger was an honorary trustee, but also the Solomon R. Guggenheim Museum in New York, the Hammer Museum in Los Angeles, the Museum of Contemporary Art Los Angeles, and the Whitney Museum of American Art in New York, among others. Duly, a principle objective of Teiger Foundation, which will be the recipient of all funds generated by the sale of the collection, is to continue Teiger's initiatives in this direction.

This selection of *kachina* figures presented here certainly meet Teiger's collecting criteria and complement his striking collection of contemporary and American folk art, which is being offered in a series of sales at Sotheby's through December 2019. Like the rest of his collection, these *kachina* figures constitute the best of their type, and speak to Teiger's refined sense of connoisseurship.





## PEACEFUL LITTLE ONES: HOPI KACHINA FIGURES OF THE AMERICAN SOUTHWEST

The Hopi people of the mesas of northeastern Arizona are so called as an abbreviation of the name in their own language Hopituh Shi-nu-mu, meaning “The Peaceful People” or “Peaceful Little Ones”.

Carved out of dried cottonwood roots by initiated Hopi men, kachina figures – called *tithu* in the Hopi language – represent the different spirits that lie at the foundation of Hopi theology. These spirits, also called kachinas, act as intermediaries between the supernatural and material worlds and possess the power to bring rain to the parched desert landscape and to protect the overall well-being of Hopi villages. From December to July of each year, the Hopi believed that kachina spirits mingled among the living and held dance ceremonies during which men wearing colorful costumes embodied kachinas. The figures were presented to girls and young women as instruments of protection as well as guides for proper behavior. Far from being treated as ‘dolls’ in the Western sense, kachina figures were displayed in Hopi homes out of reverence for the spirits and as mnemonic tools.

Drawn to the wildly emotive expressions and their connection to the spiritual realm, surrealist artists André Breton and Max Ernst were renowned collectors of kachina figures. Breton displayed his collection on a wall in his Paris apartment while Ernst took up residence in Sedona, Arizona and drew

both formal and narrative inspiration from the kachina pantheon and his own collection of the figures.

The pioneer Frederick William Volz was born Friedrich Wilhelm Volz in Prussia in 1856 and emigrated to the United States in 1876. He was soon joined by two of his brothers, Walter and William, and set up a series of trading posts and freight businesses before settling in Canyon Diablo, Arizona in 1893. The Volz brothers were among the first white men to see Meteor Crater, an enormous impact site nearby (east of present-day Flagstaff), and worked on the excavation of the site, collecting fragments of meteorite and selling them to museums. After his brothers had each left Arizona to start families elsewhere, Fred Volz continued his trading enterprise at the Canyon Diablo Trading Post. Among his activities was the buying and selling of Kachina figures made by the local Hopi peoples. Volz’s trading post at Canyon Diablo was near First Mesa, which received many influences from Zuni pueblo, and “Volz” kachina figures therefore show Zuni influence, particularly evident in their generally tall and slender form, and the articles of clothing which they wear. Kachina figures collected by Volz make up a significant group of those today in the Heard Museum in Phoenix, as well as the historic group from the collection of David Teiger, which is being offered here as lots 228-240.

Max Ernst in the Townhouse of Peggy Guggenheim,  
New York City, Fall of 1942.  
bpk Bildagentur / Art Resource, NY  
Photograph by Hermann (1905-1986) © Copyright bpk



THE HISTORY OF NOW: THE COLLECTION OF DAVID  
TEIGER | SOLD TO BENEFIT TEIGER FOUNDATION  
FOR THE SUPPORT OF CONTEMPORARY ART

## HOPI KACHINA FIGURE, ARIZONA

depicting Kuwantotim  
Height: 13 1/8 in (33.3 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 6,000-9,000







○ 229

THE HISTORY OF NOW: THE COLLECTION OF DAVID  
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## HOPI KACHINA FIGURE, ARIZONA

depicting Ewizro  
Height: 13 ½ in (34.5 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 10,000-15,000



THE HISTORY OF NOW: THE COLLECTION OF DAVID  
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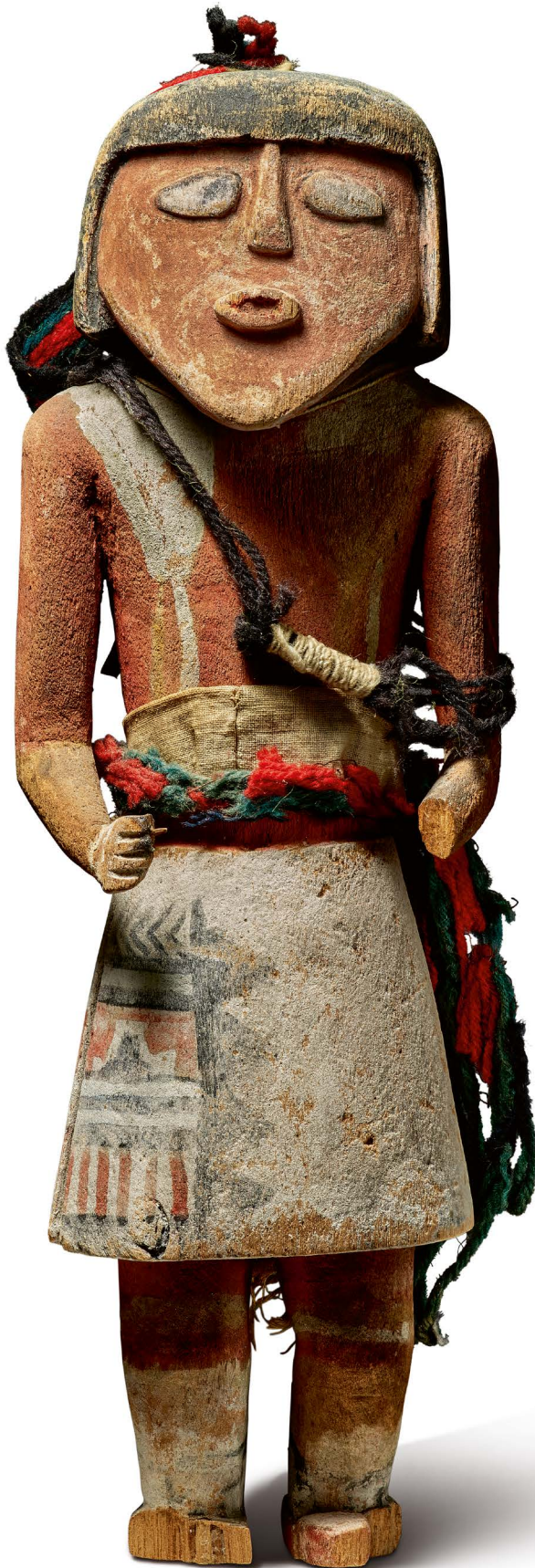
## HOPI KACHINA FIGURE, ARIZONA

depicting Hapota  
Height: 14 ½ in (36.7 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 8,000-12,000







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## HOPI KACHINA FIGURE, ARIZONA

depicting Pawik  
Height: 14 in (35.6 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 7,000-10,000







○ 232

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## HOPI KACHINA FIGURE, ARIZONA

depicting Heyheya-Amutaqa  
Height: 13 ½ in (34.5 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 10,000-15,000



○ 233

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## HOPI KACHINA FIGURE, ARIZONA

depicting Qaletaqa  
Height: 12 ½ in (31.7 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 6,000-9,000





○ 234

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## HOPI KACHINA FIGURE, ARIZONA

depicting Kuwantotim  
Height: 13 in (33 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 6,000-9,000





○ 235

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## HOPI KACHINA FIGURE, ARIZONA

depicting Muziribi  
Height: 12 <sup>3</sup>/<sub>4</sub> in (32.4 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 5,000-7,000





○ 236

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## HOPI KACHINA FIGURE, ARIZONA

depicting Tasaf Yebichai  
Height: 14 in (35.6 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 5,000-7,000



○ 237

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## HOPI KACHINA FIGURE, ARIZONA

depicting Yei-Bechi  
Height: 10 <sup>7</sup>/<sub>8</sub> in (27.6 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 5,000-7,000



○ 238

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## HOPI KACHINA FIGURE, ARIZONA

depicting Konin  
Height: 10 ¼ in (26.6 cm)

### PROVENANCE

Frederick William Volz, Canyon Diablo  
Trading Post  
Probably The Fred Harvey Company  
Robert Stevens, Fresno, acquired in the 1940s  
Thence by family descent  
Christie's, New York, June 5, 1996, lot 52,  
consigned by the above  
Donald Ellis, Dundas, Ontario, acquired at the  
above auction  
David Teiger, acquired from the above on  
January 16, 1997

\$ 3,000-5,000





○ 239

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## ZUNI KACHINA FIGURE, ARIZONA

Depicting Salimopi  
Height: 13 7/8 in (35.2 cm)

### PROVENANCE

Fred Giampietro, New Haven  
David Teiger, acquired from the above on April  
14, 1997

\$ 6,000-9,000







○ 240

THE HISTORY OF NOW: THE COLLECTION OF DAVID  
TEIGER | SOLD TO BENEFIT TEIGER FOUNDATION  
FOR THE SUPPORT OF CONTEMPORARY ART

## ZUNI KACHINA FIGURE, ARIZONA

depicting an unidentified God  
Height: 12 ½ in (31.7 cm)

### PROVENANCE

Fred Giampietro, New Haven  
David Teiger, acquired from the above on April  
14, 1997

\$ 6,000-9,000





241

PROPERTY FROM A PRIVATE COLLECTION, UNITED KINGDOM

## HOPI KACHINA FIGURE, ARIZONA

Height: 10 ¼ in (26 cm)

### PROVENANCE

Reportedly Lillie Langtry, "Regal Lodge", Newmarket, presumably acquired during one of her visits to the western United States in the early 1900s

Probably Messrs Giddy and Giddy, London, "Regal Lodge", Kentford, Newmarket: *The Valuable Contents of the Residence*, July 23, 1919, lot number unknown

Private Collection, United Kingdom, acquired in 1919, probably at the above auction  
Thence by descent to the present owner

\$ 5,000-7,000

242

PROPERTY FROM A PRIVATE COLLECTION, UNITED KINGDOM

## HOPI KACHINA FIGURE, ARIZONA

Height: 11 3/8 in (29 cm)

### PROVENANCE

Reportedly Lillie Langtry, "Regal Lodge",  
Newmarket, presumably acquired during one  
of her visits to the western United States in the  
early 1900s

Probably Messrs Giddy and Giddy, London,  
"Regal Lodge", Kentford, Newmarket: *The  
Valuable Contents of the Residence*, July 23,  
1919, lot number unknown

Private Collection, United Kingdom, acquired in  
1919, probably at the above auction  
Thence by descent to the present owner

\$ 7,000-10,000

End of Sale



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Collection  
Marceau

# Rivière

AUCTION PARIS 18 & 19 JUNE

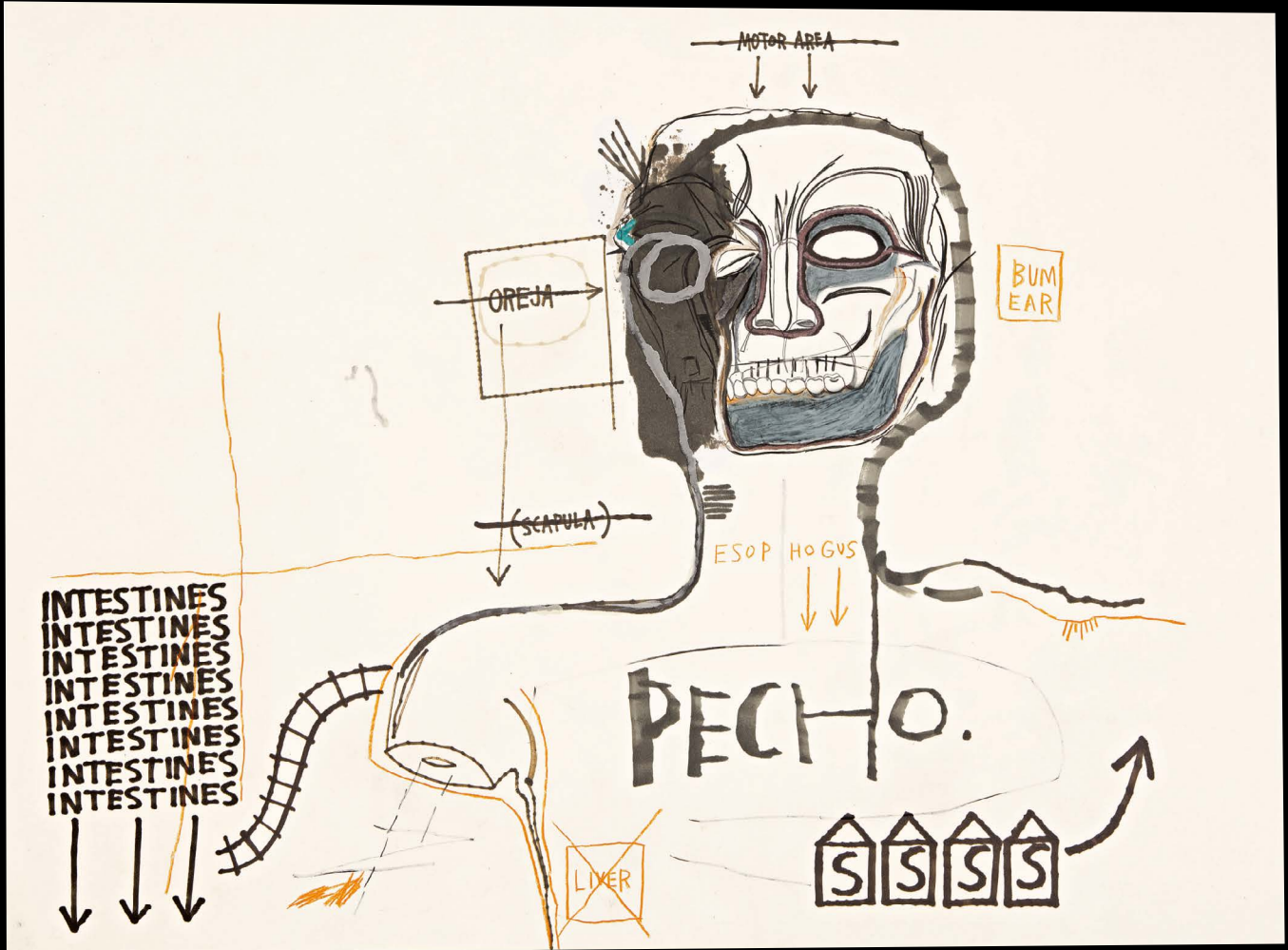
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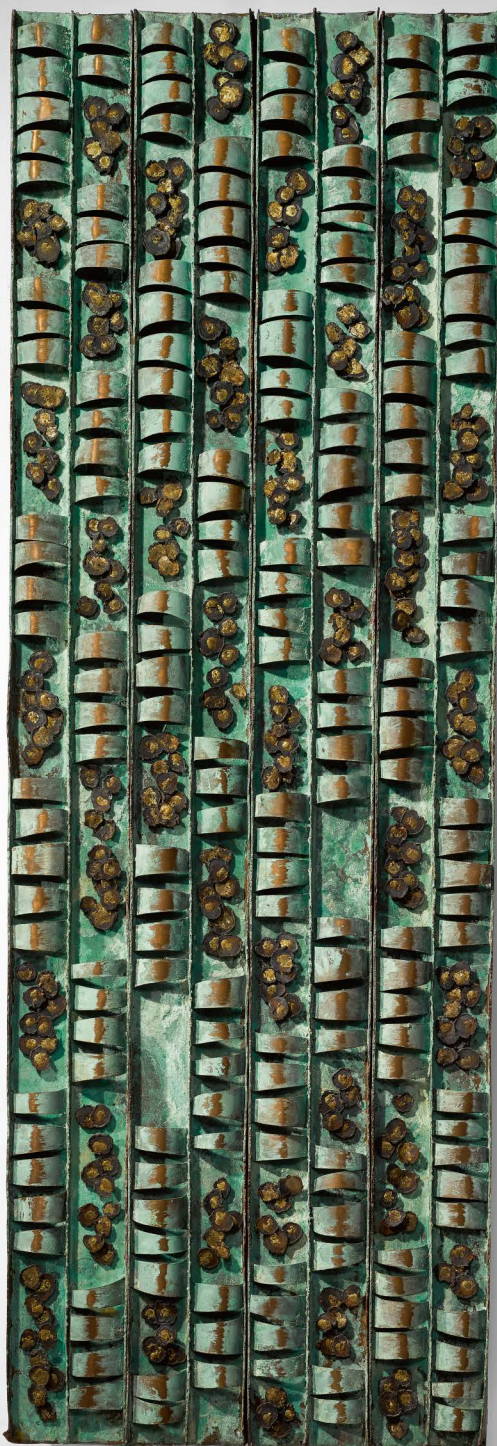
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Property of a Florida Trust  
Paul Evans  
"Vedigris Copper Loop" Cabinet, 1968  
Estimate \$80,000-\$120,000

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EMILY KAME KNGWARREYE  
*Summer Celebration, 1991*  
Estimate \$300,000–500,000

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**9. Purchaser's Responsibility** Subject to fulfillment of all of the conditions set forth herein, on the fall of the auctioneer's hammer, the contract between the consignor and the purchaser is concluded, and the winning bidder thereupon will immediately pay the full purchase price or such part as we may require. Title in a purchased lot will not pass until Sotheby's has received the full purchase price in cleared funds. The purchaser's obligation to immediately pay the full purchase price or such part as we may require is absolute and unconditional and is not subject to any defenses, setoffs or counterclaims of any kind whatsoever. Sotheby's is not obligated to release a lot to the purchaser until title to the lot has passed and any earlier release does not affect the passing of title or the purchaser's unconditional obligation to pay the full purchase price. In addition to other remedies available to us by law, we reserve the right to impose from the date of sale a late charge of the annual percentage rate of Prime + 6% of the total purchase price if payment is not made in accordance with the conditions set forth herein. Please note Sotheby's reserves the right to refuse to accept payment from a source other than the buyer of record.

Unless otherwise agreed by Sotheby's, all property must be removed from our premises by the purchaser at his expense not later than 30 calendar days following its sale. Purchasers are reminded that Sotheby's liability for loss of or damage to sold property shall cease upon the earlier of (a) 30 calendar days after the date of the auction and (b) our release of the property to the purchaser or the purchaser's designated agent. Upon the expiration of such 30 calendar day period or upon such earlier release, as applicable: (i) the purchaser bears full liability for any and all loss of or damage to the property; (ii) the purchaser releases Sotheby's, its affiliates, agents and warehouses from any and all liability and claims for loss of or damage to the property; and (iii) the purchaser agrees to indemnify and hold Sotheby's, its affiliates, agents and warehouses harmless from and against any and all liability for loss of or damage to property and any all claims related to loss of or damage to the property as of and from and after the time Sotheby's liability for loss or damage to the property ceases in accordance with this paragraph. If any applicable conditions herein are not complied with by the purchaser, the purchaser will be in default and in addition to any and all other remedies available to us and the Consignor by law, including, without limitation, the right to hold the purchaser liable for the total purchase price, including all fees,

charges and expenses more fully set forth herein, we, at our option, may (x) cancel the sale of that, or any other lot or lots sold to the defaulting purchaser at the same or any other auction, retaining as liquidated damages all payments made by the purchaser, or (y) resell the purchased property, whether at public auction or by private sale, or (z) effect any combination thereof. In any case, the purchaser will be liable for any deficiency, any and all costs, handling charges, late charges, expenses of both sales, our commissions on both sales at our regular rates, legal fees and expenses, collection fees and incidental damages. We may, in our sole discretion, apply any proceeds of sale then due or thereafter becoming due to the purchaser from us or any affiliated company, or any payment made by the purchaser to us or any affiliated company, whether or not intended to reduce the purchaser's obligations with respect to the unpaid lot or lots, to the deficiency and any other amounts due to us or any affiliated companies. In addition, a defaulting purchaser will be deemed to have granted and assigned to us and our affiliated companies, a continuing security interest of first priority in any property or money of or owing to such purchaser in our possession, custody or control or in the possession, custody or control of any of our affiliated companies, in each case whether at the time of the auction, the default or if acquired at any time thereafter, and we may retain and apply such property or money as collateral security for the obligations due to us or to any affiliated company of ours. We shall have all of the rights accorded a secured party under the New York Uniform Commercial Code. You hereby agree that Sotheby's may file financing statements under the New York Uniform Commercial Code without your signature. Payment will not be deemed to have been made in full until we have collected good funds. Any claims relating to any purchase, including any claims under the Conditions of Sale or Terms of Guarantee, must be presented directly to Sotheby's. In the event the purchaser fails to pay any or all of the total purchase price for any lot and Sotheby's nonetheless elects to pay the Consignor any portion of the sale proceeds, the purchaser acknowledges that Sotheby's shall have all of the rights of the Consignor to pursue the purchaser for any amounts paid to the Consignor, whether at law, in equity, or under these Conditions of Sale.

**10. Reserve** All lots in this catalogue are offered subject to a reserve, which is the confidential minimum hammer price at which a lot will be sold. No reserve will exceed the low presale estimate stated in the catalogue, or as amended by oral or posted notices. We may implement such reserve by opening the bidding on behalf of the Consignor and may bid up to the amount of the reserve, by placing successive or consecutive bids for a lot, or bids in response to other bidders. In instances where we have an interest in the lot other than our commission, we may bid up to the reserve to protect such interest. In certain instances, the Consignor may pay us less than the standard commission rate where a lot is "bought-in" to protect its reserve.

11. **Tax** Unless exempted by law, the purchaser will be required to pay the combined New York State and local sales tax, any applicable compensating use tax of another state, and if applicable, any federal luxury or other tax, on the total purchase price. The rate of such combined tax is 8.875% in New York City and ranges from 7% to 8.625% elsewhere in New York.

12. **Export and Permits** It is the purchaser's sole responsibility to identify and obtain any necessary export, import, firearm, endangered species or other permit for the lot. Any symbols or notices in the sale catalogue reflect Sotheby's reasonable opinion at the time of cataloguing and are for bidders' general guidance only; Sotheby's and the Consignor make no representations or warranties as to whether any lot is or is not subject to export or import restrictions or any embargoes.

13. **Governing Law and Jurisdiction** These Conditions of Sale and Terms of Guarantee, as well as bidders', the purchaser's and our respective rights and obligations hereunder, shall be governed by and construed and enforced in accordance with the laws of the State of New York. By bidding at an auction, whether present in person or by agent, telephone, online or other means, all bidders including the purchaser, shall be deemed to have consented to the exclusive jurisdiction of the state courts of, and the federal courts sitting in, the State of New York. All parties agree, however, that Sotheby's shall retain the right to bring proceedings in a court other than the state and federal courts sitting in the State of New York.

14. **Packing and Shipping** We are not responsible for the acts or omissions in our packing or shipping of purchased lots or of other carriers or packers of purchased lots, whether or not recommended by us. Packing and handling of purchased lots is at the entire risk of the purchaser.

15. **Limitation of Liability** In no event will the aggregate liability of Sotheby's and the consignor to a purchaser exceed the purchase price actually paid.

16. **Data Protection** Sotheby's will hold and process your personal information and may share it with its subsidiaries and affiliates for use as described in, and in line with, Sotheby's Privacy Policy published on Sotheby's website at [www.sothebys.com](http://www.sothebys.com) or available on request by email to [enquiries@sothebys.com](mailto:enquiries@sothebys.com).

Under European data protection laws, a client may object, by request and free of charge, to the processing of their information for certain purposes, including direct marketing, and may access and rectify personal data relating to them and may obtain more information about Sotheby's data protection policies by writing to Sotheby's, 34-35 New Bond Street, London W1A 2AA, or 1334 York Avenue, New York, NY 10021. Attn: Compliance, or emailing [enquiries@sothebys.com](mailto:enquiries@sothebys.com).

Please be aware that Sotheby's may film auctions or other activities on Sotheby's premises and that such recordings may be transmitted over the Internet via Sotheby's

website and other online platforms. Telephone bids may be recorded.

## TERMS OF GUARANTEE

As set forth below and in the Conditions of Sale, for all lots Sotheby's guarantees that the authorship, period, culture or origin (collectively, "Authorship") of each lot in this catalogue is as set out in the BOLD or CAPITALIZED type heading in the catalogue description of the lot, as amended by oral or written salesroom notes or announcements. Purchasers should refer to the Glossary of Terms, if any, for an explanation of the terminology used in the Bold or Capitalized type heading and the extent of the Guarantee. Sotheby's makes no warranties whatsoever, whether express or implied, with respect to any material in the catalogue other than that appearing in the Bold or Capitalized heading and subject to the exclusions below.

In the event Sotheby's in its reasonable opinion deems that the conditions of the Guarantee have been satisfied, it shall refund to the original purchaser of record the hammer price and applicable Buyer's Premium paid for the lot by the original purchaser of record.

This Guarantee is provided for a period of five (5) years from the date of the relevant auction, is solely for the benefit of the original purchaser of record at the auction and may not be transferred to any third party. To be able to claim under this Guarantee of Authorship, the original purchaser of record must: (i) notify Sotheby's in writing within three (3) months of receiving any information that causes the original purchaser of record to question the accuracy of the Bold or Capitalized type heading, specifying the lot number, date of the auction at which it was purchased and the reasons for such question; and (ii) return the Lot to Sotheby's at the original selling location in the same condition as at the date of sale to the original purchaser of record and be able to transfer good title to the Lot, free from any third party claims arising after the date of such sale.

Sotheby's has discretion to waive any of the above requirements. Sotheby's may require the original purchaser of record to obtain at the original purchaser of record's cost the reports of two independent and recognized experts in the field, mutually acceptable to Sotheby's and the original purchaser of record. Sotheby's shall not be bound by any reports produced by the original purchaser of record, and reserves the right to seek additional expert advice at its own expense. It is specifically understood and agreed that the rescission of a sale and the refund of the original purchase price paid (the successful hammer price, plus the buyer's premium) is exclusive and in lieu of any other remedy which might otherwise be available as a matter of law, or in equity. Sotheby's and the Consignor shall not be liable for any incidental or consequential damages incurred or claimed, including without limitation, loss of profits or interest.

## ADDITIONAL TERMS AND CONDITIONS FOR ONLINE BIDDING

The following terms and conditions (the "Online Terms") provide important information related to online bidding on [sothebys.com](http://sothebys.com) or through the Sotheby's App, or on any other online platform through which bidding may be made available ("Online Platforms").

These Conditions are in addition to and subject to the same law and our standard terms and conditions of sale, including the authenticity guarantee and any other terms and are not intended in any way to replace them. By participating in this sale via any Online Platform, you acknowledge that you are bound by the Conditions of Sale applicable in the relevant sale and by these additional Conditions.

1. Bidders are welcome to submit bids in advance of the live auction ("Advance Bids") through the Online Platforms. In order to do so, you must register an account with Sotheby's and provide requested information. You may bid at or above the starting bid displayed on the Online Platforms. Please note that we reserve the right to lower the starting bid prior to the start of the live auction.

You may also input a maximum bid which, upon confirmation, will be executed automatically up to this predefined maximum value in response to other bids, including bids placed by Sotheby's on behalf of the seller, up to the amount of the reserve (if applicable). Please note that reserves may be set at any time before the start of the live auction and your maximum bid may be executed against the reserve once such reserve is set. Bids placed by Sotheby's on behalf of the seller, up to the amount of the reserve, will be counted toward the total bid count displayed on the Online Platform.

The current leading bid will be visible to all bidders; the value and status of your maximum bid will be visible only to you, unless it is the leading bid. If the status of your bid changes, you will receive notifications via email and push (if you have the Sotheby's App installed) leading up to the live auction. You may raise your maximum bid at any time in advance of the live auction. Once the live auction begins, the auctioneer will open bidding at the current leading bid. The system will continue to bid on your behalf up to your predetermined maximum bid, or you may continue to bid via the Online Platforms during the live auction at the next increment. Upon the closing of each lot, you will receive another email and push notification indicating whether you have won or lost each lot on which you have placed a bid. Please note that traditional absentee bids submitted in writing through our Bids Department will not be accepted for this sale.

By placing Advance Bids on the Online Platforms, you accept and agree that any such bids are final, that you will not be permitted to retract your bid, and that, should your bid be successful, you irrevocably agree to pay the full purchase

price, including buyer's premium and all applicable taxes and other applicable charges. You may nevertheless lower your maximum bid leading up to the live auction by contacting the Bids Department at +1 212 606 7414, except that you may not lower it to a level lower than the current leading bid.

2. Once it commences, a live auction is by its nature fast-moving and bidding may progress very quickly. The procedure for placing bids during the live auction is therefore a one-step process; as soon as the "Place Bid" button is clicked, a bid is submitted. By bidding online, you accept and agree that bids submitted in this way are final and that you will not under any circumstances be permitted to amend or retract your bid. If a successful bid is sent to Sotheby's from your computer, electronic or mobile device, you irrevocably agree to pay the full purchase price, including buyer's premium and all applicable taxes and other applicable charges.

3. The next bidding increment is shown for your convenience. The auctioneer has discretion to vary Increments for bidders in the auction room and on the telephone, but bidders using Online Platforms may not be able to place a bid in an amount other than a whole bidding increment. All bidding for this sale will be in U.S. Dollars, in respect of New York sales, in Pounds Sterling, in respect of London sales, or in Hong Kong Dollars, in respect of Hong Kong sales, and online bidders will not be able to see the currency conversion board that may be displayed in the auction room.

4. The record of sale kept by Sotheby's will be taken as absolute and final in all disputes. In the event of a discrepancy between any online records or messages provided to you and the record of sale kept by Sotheby's, the record of sale will govern.

5. Online bidders are responsible for making themselves aware of all salesroom notices and announcements, which will be accessible on the Online Platforms.

6. Sotheby's reserves the right to refuse or revoke permission to bid via Online Platforms and to remove bidding privileges during a sale.

7. The purchase information shown in the "My Bids" section of the Sotheby's App and in the "Account Activity" section of "My Account" on [Sothebys.com](http://Sothebys.com) is provided for your convenience only. Successful bidders will be notified and invoiced after the sale. In the event of any discrepancy between the online purchase information and the invoice sent to you by Sotheby's following the sale, the invoice prevails. Terms and conditions for payment and collection of property remain the same regardless of how the winning bid was submitted.

8. Sotheby's offers online bidding as a convenience to our clients. Sotheby's is not responsible for any errors or failures to execute bids placed online, including, without limitation, errors or failures caused by (i) a loss of connection to the internet or to the online bidding software by either Sotheby's or the client; (ii) a breakdown or problems with the online bidding software; or (iii) a breakdown or problems with a

client's internet connection, computer or electronic device. Sotheby's is not responsible for any failure to execute an online bid or for any errors or omissions in connection therewith.

9. Online bidding will be recorded.

10. In the event of any conflict between these Online Terms and Sotheby's Conditions of Sale and Terms of Guarantee, Sotheby's Conditions of Sale and Terms of Guarantee will control.

## BUYING AT AUCTION

The following will help in understanding the auction buying process as well as some of the terms and symbols commonly used in an auction catalogue. All bidders should read the Conditions of Sale and Terms of Guarantee in this catalogue, as well as the Glossary or any other notices. By bidding at auction, bidders are bound by the Conditions of Sale and Terms of Guarantee, as amended by any oral announcement or posted notices, which together form the sale contract among Sotheby's, the seller (consignor) of the lot and any bidders, including the successful bidder (purchaser).

### 1. SYMBOL KEY

#### □ Reserves

Unless indicated by a box (□), all lots in this catalogue are offered subject to a reserve. A reserve is the confidential minimum hammer price at which a lot will be sold. The reserve is generally set at a percentage of the low estimate and will not exceed the low estimate of the lot. If any lots in the catalogue are offered without reserve, such lots will be designated by a box (□). If every lot in a catalogue is offered without a reserve, the Conditions of Sale will so state and this symbol will not be used for each lot.

#### ○ Guaranteed Property

The seller of lots with this symbol has been guaranteed a minimum price from one auction or a series of auctions. This guarantee may be provided by Sotheby's or jointly by Sotheby's and a third party. Sotheby's and any third parties providing a guarantee jointly with Sotheby's benefit financially if a guaranteed lot is sold successfully and may incur a loss if the sale is not successful. If the Guaranteed Property symbol for a lot is not included in the printing of the auction catalogue, a pre-sale or pre-lot announcement will be made indicating that there is a guarantee on the lot.

#### △ Property in which Sotheby's has an Ownership Interest

Lots with this symbol indicate that Sotheby's owns the lot in whole or in part or has an economic interest in the lot equivalent to an ownership interest.

#### ⇒ Irrevocable Bids

Lots with this symbol indicate that a party has provided Sotheby's with an irrevocable bid on the lot that will be executed during the sale at a value that ensures that the lot

will sell. The irrevocable bidder, who may bid in excess of the irrevocable bid, may be compensated for providing the irrevocable bid by receiving a contingent fee, a fixed fee or both. If the irrevocable bidder is the successful bidder, any contingent fee, fixed fee or both (as applicable) for providing the irrevocable bid may be netted against the irrevocable bidder's obligation to pay the full purchase price for the lot and the purchase price reported for the lot shall be net of any such fees. From time to time, Sotheby's may enter into irrevocable bid agreements that cover multiple lots. In such instances, the compensation Sotheby's will pay the irrevocable bidder is allocated to the lots for which the irrevocable bidder is not the successful purchaser. Under such circumstances, the total compensation to the irrevocable bidder will not exceed the total buyer's premium and other amounts paid to Sotheby's in respect of any lots for which the irrevocable bidder is not the successful bidder. If the irrevocable bid is not secured until after the printing of the auction catalogue, Sotheby's will notify bidders that there is an irrevocable bid on the lot by one or more of the following means: a pre-sale or pre-lot announcement, by written notice at the auction or by including an irrevocable bid symbol in the e-catalogue for the sale prior to the auction. From time to time, Sotheby's or any affiliated company may provide the irrevocable bidder with financing related to the irrevocable bid. If the irrevocable bidder is advising anyone with respect to the lot, Sotheby's requires the irrevocable bidder to disclose his or her financial interest in the lot. If an agent is advising you or bidding on your behalf with respect to a lot identified as being subject to an irrevocable bid, you should request that the agent disclose whether or not he or she has a financial interest in the lot.

#### ∨ Interested Parties

Lots with this symbol indicate that parties with a direct or indirect interest in the lot may be bidding on the lot, including (i) the beneficiary of an estate selling the lot, or (ii) the joint owner of a lot. If the interested party is the successful bidder, they will be required to pay the full Buyer's Premium. In certain instances, interested parties may have knowledge of the reserve. In the event the interested party's possible participation in the sale is not known until after the printing of the auction catalogue, a pre-sale or pre-lot announcement will be made indicating that interested parties may be bidding on the lot.

#### ⊙ Restricted Materials

Lots with this symbol have been identified at the time of cataloguing as containing organic material which may be subject to restrictions regarding import or export. The information is made available for the convenience of bidders and the absence of the symbol is not a warranty that there are no restrictions regarding import or export of the Lot; bidders should refer to Condition 12 of the Conditions of Sale. Please also refer to the section on Endangered Species in the information on Buying at Auction.

## II Monumental

Lots with this symbol may, in our opinion, require special handling or shipping services due to size or other physical considerations. Bidders are advised to inspect the lot and to contact Sotheby's prior to the sale to discuss any specific shipping requirements.

#### 🏠 Premium Lot

In order to bid on "Premium Lots" (in print catalogue or ✨ in eCatalogue) you must complete the required Premium Lot pre-registration application. You must arrange for Sotheby's to receive your pre-registration application at least three working days before the sale. Please bear in mind that we are unable to obtain financial references over weekends or public holidays. Sotheby's decision whether to accept any pre-registration application shall be final. If your application is accepted, you will be provided with a special paddle number. If all lots in the catalogue are "Premium Lots", a Special Notice will be included to this effect and this symbol will not be used.

## 2. BEFORE THE AUCTION

Bidding in advance of the live auction. If you are unable to attend an auction in person, and wish to place bids, or simply wish to bid in advance of the live auction, you may do so on Sothebys.com or the Sotheby's App. In order to do so, you must register an account with Sotheby's and provide requested information. Once you have done so, navigate to your desired lot, and click the "Place Bid" button. You may bid at or above the starting bid displayed on the Online Platforms. Please note that we reserve the right to lower the starting bid prior to the start of the live auction. You may also input your maximum bid which, upon confirmation, will be executed automatically up to this predefined maximum value, in response to other bids, including bids placed by Sotheby's on behalf of the seller, up to the amount of the reserve (if applicable). The current leading bid will be visible to all bidders; the value and status of your maximum bid will be visible only to you. If the status of your bid changes, you will receive notifications via email and push (if you have the Sotheby's App installed) leading up to the live auction. You may raise your maximum bid at any time in advance of the live auction. Once the live auction begins, the auctioneer will open bidding at the current leading bid. The system will continue to bid on your behalf up to your predetermined maximum bid, or you may continue to bid via the Online Platforms during the live auction at the next increment. Upon the closing of each lot in the live auction, you will receive another email and push notification indicating whether you have won or lost each lot on which you have placed a bid. Please note that traditional absentee bids submitted in writing through our Bids Department will not be accepted for this sale.

**The Catalogue** A catalogue prepared by Sotheby's is published for every scheduled live auction and is available prior to the sale

date. The catalogue will help familiarize you with property being offered at the designated auction. Catalogues may be purchased at Sotheby's or by subscription in any categories. For information, please call +1 212 606 7000 or visit sothebys.com. Prospective bidders should also consult sothebys.com for the most up to date cataloguing of the property in this catalogue.

**Estimates** Each lot in the catalogue is given a low and high estimate, indicating to a prospective buyer a range in which the lot might sell at auction. When possible, the estimate is based on previous auction records of comparable pieces. The estimates are determined several months before a sale and are therefore subject to change upon further research of the property, or to reflect market conditions or currency fluctuations. Estimates should not be relied upon as a representation or prediction of actual selling prices.

**Provenance** In certain circumstances, Sotheby's may print in the catalogue the history of ownership of a work of art if such information contributes to scholarship or is otherwise well known and assists in distinguishing the work of art. However, the identity of the seller or previous owners may not be disclosed for a variety of reasons. For example, such information may be excluded to accommodate a seller's request for confidentiality or because the identity of prior owners is unknown given the age of the work of art.

**Specialist Advice** Prospective bidders may be interested in specific information not included in the catalogue description of a lot. For additional information, please contact either a Sotheby's specialist in charge of the sale (all of whom are listed in the front of the catalogue), or Sotheby's Client Services Department. You may also request a condition report from the specialist in charge.

**The Exhibition** An exhibition of the auction property will be held the week prior to the auction on the days listed in the front of the catalogue. There you will have the opportunity to view, inspect and evaluate the property yourself, or with the help of a Sotheby's specialist.

**Salesroom Notices** Salesroom notices amend the catalogue description of a lot after our catalogue has gone to press. They are posted in the viewing galleries and salesroom or are announced by the auctioneer. Salesroom notices are also posted on the Online Platform for those bidding online. Please take note of them.

**Registration** Sotheby's may require such necessary financial references, guarantees, deposits and/or such other security, in its absolute discretion, as security for your bid. If you are not successful on any lot, Sotheby's will arrange for a refund (subject to any right of set off) of the deposit amount paid by you without interest within 14 working days of the date of the sale. Any exchange losses or fees associated with the refund shall be borne by you. Registration

to bid on Premium Lots must be done at least 3 business days prior to the sale.

### 3. DURING THE AUCTION

**The Auction** Auctions are open to the public without any admission fee or obligation to bid. The auctioneer introduces the objects for sale — known as “lots” — in numerical order as listed in the catalogue. Unless otherwise noted in the catalogue or by an announcement at the auction, Sotheby’s acts as agent on behalf of the seller and does not permit the seller to bid on his or her own property. It is important for all bidders to know that the auctioneer may open the bidding on any lot by placing a bid on behalf of the seller. The auctioneer may further bid on behalf of the seller, up to the amount of the reserve, by placing responsive or consecutive bids for a lot. The auctioneer will not place consecutive bids on behalf of the seller above the reserve.

**Bidding in Person** If you would like to bid in person, you may register for a paddle prior to the live auction through the Online Platform or by contacting the Bids Department. Alternatively, you may register for a paddle upon entering the salesroom. The paddle is numbered so as to identify you to the auctioneer. To register, you will need a form of identification such as a driver’s license, a passport or some other type of government issued identification. If you are a first-time bidder, you will also be asked for your address, phone number and signature in order to create your account. If you are bidding for someone else, you will need to provide a letter from that person authorizing you to bid on that person’s behalf. Issuance of a bid paddle is in Sotheby’s sole discretion.

Once the first bid has been placed, the auctioneer asks for higher bids, in increments determined by the auctioneer. To place your bid, simply raise your paddle until the auctioneer acknowledges you. You will know when your bid has been acknowledged; the auctioneer will not mistake a random gesture for a bid.

If you wish to register to bid on a Premium Lot, please see the paragraph above.

All lots sold will be invoiced to the name and address in which the paddle has been registered and cannot be transferred to other names and addresses. Sotheby’s reserves the right to refuse to accept payment from a source other than the buyer of record.

**Advance Bidding** Please note that traditional absentee bids submitted in writing through our Bids Department will not be accepted for this sale. If you submit an “Advance Bid” (as described above in “BEFORE THE AUCTION”), and your bid is not executed up to its maximum value before the auction begins, your bid will continue to be executed automatically on your behalf during the live auction up to your predetermined maximum bid. You may also continue to bid via the Online Platforms at the next increment above your maximum bid.

**Telephone Bidding** In some circumstances, we offer the ability to place bids by telephone live to a Sotheby’s representative on the auction floor. Please contact the Bid Department prior to the sale to make arrangements or to answer any questions you may have. Telephone bids are accepted only at Sotheby’s discretion and at the caller’s risk. Calls may also be recorded at Sotheby’s discretion. By bidding on the telephone, prospective buyers consent thereto.

**Live Online Bidding** If you cannot attend the live auction, it may be possible to bid live online via the Online Platforms for selected sales. For information about registering to bid on sothebys.com or through the Sotheby’s App, please see [www.sothebys.com](http://www.sothebys.com). Bidders utilizing any online platform are subject to the Online Terms as well as the relevant Conditions of Sale. Online bidding may not be available for Premium Lots.

**Employee Bidding** Sotheby’s employees may bid in a Sotheby’s auction only if the employee does not know the reserve and if the employee fully complies with Sotheby’s internal rules governing employee bidding.

**US Economic Sanctions** The United States maintains economic and trade sanctions against targeted foreign countries, groups and organizations. There may be restrictions on the import into the United States of certain items originating in sanctioned countries, including Cuba, Iran, North Korea and Sudan. The purchaser’s inability to import any item into the US or any other country as a result of these or other restrictions shall not justify cancellation or rescission of the sale or any delay in payment. Please check with the specialist department if you are uncertain as to whether a lot is subject to these import restrictions, or any other restrictions on importation or exportation.

**Hammer Price and the Buyer’s Premium** For lots which are sold, the last price for a lot as announced by the auctioneer is the hammer price. A buyer’s premium will be added to the hammer price and is payable by the purchaser as part of the total purchase price. The buyer’s premium will be the amount stated in the Conditions of Sale.

**Currency Board** As a courtesy to bidders, a currency board is operated in many salesrooms. It displays the lot number and current bid in both U.S. dollars and foreign currencies. Exchange rates are approximations based on recent exchange rate information and should not be relied upon as a precise invoice amount. Sotheby’s assumes no responsibility for any error or omission in foreign or United States currency amounts shown.

**Results** Sale results are available on [Sothebys.com](http://Sothebys.com) and on the Sotheby’s App.

**International Auctions** If you need assistance placing bids, obtaining condition reports or receiving auction results for a Sotheby’s sale outside the United States, please contact our International Client Services Department.

### 4. AFTER THE AUCTION

**Payment** If your bid is successful, you can go directly to Post Sale Services to make payment arrangements. Otherwise, your invoice will be mailed to you. The final price is determined by adding the buyer’s premium to the hammer price on a per-lot basis. Sales tax, where applicable, will be charged on the entire amount. Payment is due in full immediately after the sale. However, under certain circumstances, Sotheby’s may, in its sole discretion, offer bidders an extended payment plan. Such a payment plan may provide an economic benefit to the bidder. Credit terms should be requested at least one business day before the sale. However, there is no assurance that an extended payment plan will be offered. Please contact Post Sale Services or the specialist in charge of the sale for information on credit arrangements for a particular lot. Please note that Sotheby’s will not accept payments for purchased lots from any party other than the purchaser, unless otherwise agreed between the purchaser and Sotheby’s prior to the sale.

**Payment by Cash** It is against Sotheby’s general policy to accept payments in the form of cash or cash equivalents.

**Payment by Credit Cards** Sotheby’s accepts payment by credit card for Visa, MasterCard, and American Express only. Credit card payments may not exceed \$50,000 per sale. Payment by credit card may be made (a) online at <https://www.sothebys.com/en/invoice-payment.html>, (b) through the Sotheby’s App, (c) by calling in to Post Sale Services at +1 212 606 7444, or (d) in person at Sotheby’s premises at the address noted in the catalogue.

**Payment by Check** Sotheby’s accepts personal, certified, banker’s draft and cashier’s checks drawn in US Dollars (made payable to Sotheby’s). While personal and company checks are accepted, property will not be released until such checks have cleared, unless you have a pre-arranged check acceptance agreement. Application for check clearance can be made through the Post Sale Services.

Certified checks, banker’s drafts and cashier’s checks are accepted at Sotheby’s discretion and provided they are issued by a reputable financial institution governed by anti-money laundering laws. Instruments not meeting these requirements will be treated as “cash equivalents” and subject to the constraints noted in the prior paragraph titled “Payment By Cash”.

**Payment by Wire Transfer** To pay for a purchase by wire transfer, please refer to the payment instructions on the invoice provided by Sotheby’s or contact Post Sale Services to request instructions.

**Sales and Use Tax** New York sales tax is charged on the hammer price, buyer’s premium and any other applicable charges

on any property picked up or delivered in New York State, regardless of the state or country in which the purchaser resides or does business. Purchasers who wish to use their own shipper who is not a considered a “common carrier” by the New York Department of Taxation and Finance will be charged New York sales tax on the entire charge regardless of the destination of the property. Please refer to “Information on Sales and Use Tax Related to Purchases at Auction” in the back of the catalogue.

#### Collection and Delivery

Post Sale Services  
+ 1 212 606 7444  
FAX: + 1 212 606 7043  
[uspostsaleservices@sothebys.com](mailto:uspostsaleservices@sothebys.com)

Once your payment has been received and cleared, property may be released. Unless otherwise agreed by Sotheby’s, all purchases must be removed by the 30th calendar day following a sale.

**Shipping Services** Sotheby’s offers a comprehensive shipping service to meet all of your requirements. If you received a shipping quotation or have any questions about the services we offer please contact us.

**Collecting your Property** As a courtesy to purchasers who come to Sotheby’s to collect property, Sotheby’s will assist in the packing of lots, although Sotheby’s may, in the case of fragile articles, choose not to pack or otherwise handle a purchase.

If you are using your own shipper to collect property from Sotheby’s, please provide a letter of authorization and kindly instruct your shipper that they must provide a Bill of Lading prior to collection. Both documents must be sent to Post Sale Services prior to collection.

The Bill of Lading must include: the purchaser’s full name, the full delivery address including the street name and number, city and state or city and country, the sale and lot number.

Sotheby’s will contact your shipper within 24 hours of receipt of the Bill of Lading to confirm the date and time that your property can be collected. Property will not be released without this confirmation and your shipper must bring the same Bill of Lading that was faxed to Sotheby’s when collecting. All property releases are subject to the receipt of cleared funds.

Please see the Conditions of Sale for further details.

**Endangered Species** Certain property sold at auction, for example, items made of or incorporating plant or animal materials such as coral, crocodile, ivory, whalebone, tortoiseshell, rhinoceros horn, rosewood, etc., irrespective of age or value, may require a license or certificate prior to exportation and additional licenses or certificates upon importation to another country. Sotheby’s suggests that buyers check on their government wildlife import requirements prior to placing a bid. Please note that the ability to obtain an export license or certificate does not ensure



the ability to obtain an import license or certificate in another country, and vice versa. It is the purchaser's responsibility to obtain any export or import licenses and/or certificates as well as any other required documentation. In the case of denial of any export or import license or of delay in the obtaining of such licenses, the purchaser is still responsible for making on-time payment of the total purchase price for the lot.

Although licenses can be obtained to export some types of endangered species, other types may not be exported at all, and other types may not be resold in the United States. Upon request, Sotheby's is willing to assist the purchaser in attempting to obtain the appropriate licenses and/or certificates. However, there is no assurance that an export license or certificate can be obtained. Please check with the specialist department or the Shipping Department if you are uncertain as to whether a lot is subject to these export/import license and certificate requirements, or any other restrictions on exportation.

**The Art Loss Register** As part of Sotheby's efforts to support only the legitimate art market and to combat the illegitimate market in stolen property, Sotheby's has retained the Art Loss Register to check all uniquely identifiable items offered for sale in this catalogue that are estimated at more than the equivalent of US\$1,500 against the Art Loss Register's computerized database of objects reported as stolen or lost. The Art Loss Register is pleased to provide purchasers with a certificate confirming that a search has been made. All inquiries regarding search certificates should be directed to The Art Loss Register, First Floor, 63-66 Hatten Garden, London EC1N 8LE or by email at [artloss@artloss.com](mailto:artloss@artloss.com). The Art Loss Register does not guarantee the provenance or title of any catalogued item against which they search, and will not be liable for any direct or consequential losses of any nature whatsoever arising. This statement and the ALR's service do not affect your rights and obligations under the Conditions of Sale applicable to the sale.

## SELLING AT AUCTION

If you have property you wish to sell, Sotheby's team of specialists and client services representatives will assist you through the entire process. Simply contact the appropriate specialist (specialist departments are listed in the back of this catalogue), General Inquiries Department or a Sotheby's regional office representative for suggestions on how best to arrange for evaluation of your property.

**Property Evaluation** There are three general ways evaluation of property can be conducted:

### (1) In our galleries

You may bring your property directly to our galleries where our specialists will give you auction estimates and advice. There is no charge for this service, but we request that you telephone ahead for an appointment. Inspection hours are 9:30 am to 5 pm, Monday through Friday.

### (2) By photograph

If your property is not portable, or if you are not able to visit our galleries, you may bring in or send a clear photograph of each item. If you have a large collection, a representative selection of photographs will do. Please be sure to include the dimensions, artist's signature or maker's mark, medium, physical condition and any other relevant information. Our specialists will provide a free preliminary auction estimate subject to a final estimate upon first-hand inspection.

### (3) In your home

Evaluations of property can also be made in your home. The fees for such visits are based on the scope and diversity of property, with travel expenses additional. These fees may be rebated if you consign your property for sale at Sotheby's. If there is considerable property in question, we can arrange for an informal "walkthrough."

Once your property has been evaluated, Sotheby's representatives can then help you determine how to proceed should you wish to continue with the auction process. They will provide information regarding sellers' commission rates and other charges, auction venue, shipping and any further services you may require.

## SOTHEBY'S SERVICES

Sotheby's also offers a range of other services to our clients beyond buying and selling at auction. These services are summarized below. Further information on any of the services described below can be found at [sothebys.com](http://sothebys.com).

**Valuations and Appraisals** Sotheby's Valuations and Appraisals Services offers advice regarding personal property assets to trusts, estates, and private clients in order to help fiduciaries, executors, advisors, and collectors meet their goals. We provide efficient and confidential advice and assistance for all appraisal and auction services. Sotheby's can prepare appraisals to suit a variety of needs, including estate tax and planning, insurance, charitable contribution and collateral loan. Our appraisals are widely accepted by the Internal Revenue Service, tax and estate planning professionals, and insurance firms. In the event that a sale is considered, we are pleased to provide auction estimates, sales proposals and marketing plans. When sales are underway, the group works closely with the appropriate specialist departments to ensure that clients' needs are met promptly and efficiently.

**Financial Services** Sotheby's offers a wide range of financial services including advances on consignments, as well as loans secured by art collections not intended for sale.

**Museum Services** Tailored to meet the unique needs of museums and non-profits in the marketplace, Museum Services offers personal, professional assistance and advice in areas including appraisals, deaccessions, acquisitions and special events.

**Corporate Art Services** Devoted to servicing corporations, Sotheby's Corporate Art Services Department can prepare appraisal reports, advise on acquisitions and deaccessions, manage all aspects of consignment, assist in developing arts-management strategies and create events catering to a corporation's needs.

## INFORMATION ON SALES AND USE TAX RELATED TO PURCHASES AT AUCTION

To better assist our clients, we have prepared the following information on Sales and Use Tax related to property purchased at auction.

### Why Sotheby's Collects Sales Tax

Virtually all State Sales Tax Laws require a corporation to register with the State's Tax Authorities and collect and remit sales tax if the corporation either establishes or maintains physical or economic presence within the state. In the states that impose sales tax, Tax Laws require an auction house, with such presence in the state, to register as a sales tax collector, and remit sales tax collected to the state. New York sales tax is charged on the hammer price, buyer's premium and any other applicable charges on any property picked up or delivered in New York, regardless of the state or country in which the purchaser resides or does business.

### Where Sotheby's Collects Sales Tax

Sotheby's is currently registered to collect sales tax in the following states: Alabama, California, Colorado, Connecticut, District of Columbia, Florida, Georgia, Hawaii, Illinois, Indiana, Iowa, Kentucky, Maine, Maryland, Massachusetts, Michigan, Minnesota, Missouri, Nebraska, Nevada, New Jersey, New York, North Carolina, Ohio, Oklahoma, Pennsylvania, Rhode Island, South Carolina, Texas, Utah, Vermont, Washington, Wisconsin and Wyoming. For any property collected or received by the purchaser in New York City, such property is subject to sales tax at the existing New York State and City rate of 8.875%.

**Sotheby's Arranged Shipping** If the property is delivered into any state in which Sotheby's is registered, Sotheby's is required by law to collect and remit the appropriate sales tax in effect in the state where the property is delivered.

**Client Arranged Shipping** Property collected from Sotheby's New York premises by a common carrier hired by the purchaser for delivery at an address outside of New York is not subject to New York Sales Tax, but if the property is delivered into any state in which Sotheby's is registered, Sotheby's is required by law to collect and remit the appropriate sales tax in effect in the state where the property is delivered. New York State recognizes shippers such as the United States Postal Service, United Parcel Service, FedEx, or the like as "common carriers". If a purchaser hires a shipper other than a common carrier to pick up property,

Sotheby's will collect New York sales tax at a rate of 8.875% regardless of the ultimate destination of the goods. If a purchaser utilizes a freight-forwarder who is registered with the Transportation Security Administration ("TSA") to deliver property outside of the United States, no sales tax would be due on this transaction.

### Where Sotheby's is Not Required to Collect Sales Tax

Sotheby's is not required to collect sales tax on property delivered to states other than those listed above. If the property is delivered to a state where Sotheby's is not required to collect sales tax, it is the responsibility of the purchaser to self-assess any sales or use tax and remit it to taxing authorities in that state.

Sotheby's is not required to collect sales tax for property delivered to the purchaser outside of the United States.

**Restoration and Other Services** Regardless of where the property is subsequently transported, if any framing or restoration services are performed on the property in New York, it is considered to be a delivery of the property to the purchaser in New York, and Sotheby's will be required to collect the 8.875% New York sales tax.

**Certain Exemptions** Most states that impose sales taxes allow for specified exemptions to the tax. For example, a registered re-seller such as a registered art dealer may purchase without incurring a tax liability, and Sotheby's is not required to collect sales tax from such re-seller. The art dealer, when re-selling the property, may be required to charge sales tax to its client, or the client may be required to self-assess sales or use tax upon acquiring the property.

**Local Tax Advisors** As sales tax laws vary from state to state, Sotheby's recommends that clients with questions regarding the application of sales or use taxes to property purchased at auction seek tax advice from their local tax advisors.

## IMPORTANT NOTICES

**Property Collection** As of March 19, 2018, property that is sold, has bought in, or is to be returned to the consignor will be moved to our temporary offsite location at Crozier Fine Arts at One Star Ledger Plaza, 69 Court Street, Newark, NJ (SLP Warehouse). Certain items of property, including jewelry, watches, silver, works on panel and items valued \$10 million or more will remain at 1334 York Avenue. All other property will be moved to our temporary offsite location on the day the applicable sale concludes and is available for pickup after two business days. Invoices and statements will indicate your property's location.

**Property Payment** All property must be paid in full before collection or release from any Sotheby's location. Payment must be made through Sotheby's New York Post Sale Services by way of our acceptable forms of payment methods mentioned

on your invoice. To arrange for payment, please contact Post Sale Services at +1 212 606 7444 or USPostSaleServices@sothebys.com. Payment will not be accepted at the offsite facility. Dealers and resale clients should fill out the appropriate forms where applicable or contact Post Sale Services with any questions.

**Loss and Liability** Unless otherwise agreed by Sotheby's, all sold property must be removed from any of our premises (including the SLP Warehouse) by the buyer at their expense no later than 30 calendar days following its sale. Buyers are reminded that Sotheby's liability for loss or damage to sold property shall cease no later than 30 calendar days after the date of the auction.

**Collection & Shipping** The SLP Warehouse requires 24 hours advanced notice for collection of property. Please arrange this through our Post Sale Services team at +1 212 606 7444 or USPostSaleServices@sothebys.com.

For in-person collections at our offsite location, please alert Post Sale Services of your proposed collection date, ensure that all outstanding invoices have been paid for, and that you or your agent have the appropriate photo identification upon arrival.

If you are using your own shipper to collect property, please provide a letter of authorization and instruct your shipper to email their bill of lading to billsoflading@sothebys.com and ensure the correct collection location is specified.

Sotheby's can arrange for delivery of your property through one of our contracted vendors or can coordinate pick up at our offsite location with you or your shipper directly. Please contact Post Sale Services at +1 212 606 7444 or USPostSaleServices@sothebys.com to start your collection process.

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Jon Lam  
Elliot Perez  
David Schlegel

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