

16 THE WESTERN METHOD OF INITIATION

At the word “initiation,” most people think of submitting to a special ceremony, often for payment of a certain fee, in one or another society. That is absolutely not the situation here. Actual initiation, not its imitation, is quite different; it is an inner experience at complete waking consciousness that enables the candidate to enter the spiritual world consciously at any moment he chooses.

Heindel describes initiation as follows, “By this time the candidate [for initiation] has cultivated within himself certain faculties, stored up certain powers for service and help, of which he is usually unconscious or which he does not know how to properly utilize. The task of the initiator will now be plain; he shows the candidate the latent faculties, the dormant powers and initiates him into their use; explains or demonstrates to him *for the first time* how the candidate may awaken the static energy into dynamic power.”²⁵⁰

So initiation is the ultimate result of a shorter or longer spiritual process whereby one is enabled to enter the spiritual worlds on one’s own power and to function there as we now do in the physical world. One also obtains and develops the faculty of positive clairvoyance.

The western method differs greatly from the methods of the other seven schools of the lesser mysteries. It is based on Christianity and teaches the candidate from the very beginning to stand on his own feet and to be independent of others. The candidate’s Teacher is regarded as a friend, an adviser. This method aims to develop the vital body, which is a mold or duplicate of the physical body, penetrates it and extends about 1½ inches outside the dense body. The vital body possesses organs, accounts for memory and consists of four ethers:

the reflecting ether	- memory
the light ether	- sense perception
the life ether	- propagation
the chemical ether	- assimilation and elimination

The Eastern method of initiation, based on Hinduism or Buddhism, provides for the candidate a Master whose commands he must obey without question. For this approach the vital body is seen as rather unimportant since it is supposed that it cannot be developed as a vehicle or body of consciousness. Therefore, emphasis is placed on the desire body. The desire body is ovoid and extends from 12 to 16 inches beyond the physical

²⁵⁰ Heindel, *The Rosicrucian Cosmo-Conception*, pp. 524-525.

body. It has no organs like the vital body and is yet in a rudimentary state.²⁵¹

In his book *Freemasonry and Catholicism*²⁵² Heindel describes the path which the Christian occultist or esotericist²⁵³ walks, impelled by his urge for knowledge, in contrast to the way of the Christian mystic²⁵⁴ who is guided by faith. Both forms are unilateral and eventually must converge. Hence, the Rosicrucian Fellowship points to the importance of faith and advises its members to seek a balance between thinking and feeling, study and devotion.

There are seven schools of the Lesser Mysteries that correspond to the seven rays in which humanity is divided. Every school or order belongs to one of these rays, which can be compared with the seven colors of the color spectrum. It is our “Father Ray”²⁵⁵ which, from within, indicates the specific form of development. Heindel remarks, “Generally speaking, it may be said that all the people of the Western World belong to the Western Wisdom School of the Rosicrucians, and that they make a mistake when they endeavor to enter a school belonging to or teaching the Eastern philosophy.”²⁵⁶ The mystery schools of every religion cater to the need of their advanced members by offering a higher teaching which leads their practitioners to a loftier spiritual sphere provided they live the requisite life.

Each of these seven schools of the Lesser Mysteries is composed of twelve Brothers, called Elder Brothers, and a thirteenth who is the head, while there is an indefinite number of lay sisters and lay brothers. Each of these schools has nine degrees. When the lay brother or lay sister has passed the ninth degree, he or she can be admitted to one of the five schools of the Greater Mysteries. After passing the first of the four greater initiations one is called an adept. After the candidate has passed

²⁵¹ The development and characteristics of the vital body and desire body are brought together in a pair of books by Heindel named *The Vital Body* and *The Desire Body*.

²⁵² Heindel, Max. *Freemasonry and Catholicism*. Oceanside, CA: The Rosicrucian Fellowship, 1919.

²⁵³ The first and second editions of *The Rosicrucian Cosmo-Conception* are subtitled, “*or Occult Christianity*” (1909 and 1910). The 3rd (1911) and later editions contain “*or Mystic Christianity*.” In fact, the latter term is not correct, but it was probably chosen because then, as now, the word ‘occult’ is immediately associated with spiritualism, a negative method of development. Hence the word “esoteric” is used here as a synonym for “occult.”

²⁵⁴ Heindel, *Ancient and Modern Initiation*, part 2, chapters 1 and 7.

²⁵⁵ See Heindel, *Questions and Answers*, part II, Question 156.

²⁵⁶ *Ibid.*, p. 500.

the fourth degree, he meets the central head, also called “The Liberator”. Then the adept becomes an Elder Brother.

The heads of the seven schools of the Lesser Mysteries comprise the White Lodge, while the Hierophants of the five Schools of the Greater Mysteries form the Central Council.²⁵⁷

We will now describe how the Rosicrucian Fellowship, as preparatory school for the Order of the Rose Cross, operates. When Max Heindel speaks about “the Teacher” he is referring to one of the Elder Brothers of the Order of the Rose Cross who pays particular attention to the Rosicrucian Fellowship. The Rosicrucian Fellowship is constituted by all its world members. The Headquarters in Oceanside was founded to spread the Teachings by means of books and lessons. It has no authority over the members.

From the founding of the Order, at the end of the thirteenth century, potential initiates were inspired by the Elder Brothers themselves. The initiates in turn, instructed others, who read their writings, how to walk the path. Because the Roman-Catholic church, and later, the other Christian denominations, tolerated no other view than their own teaching, as has been shown in Chapter One, it was extremely dangerous in the earlier centuries to be open about one’s beliefs. Since ideas were expressed in guarded terms by men who used symbols taken from alchemy, does that mean that there were and are no woman initiates? No. While an initiate may be born in a female or male body, he is inclined to choose the latter, since it gives a positive physical body as well as a positive vital body.

In the early 1600’s the time appeared to be ripe to give greater publicity to the Order and its teaching and at the beginning of the 1900’s, it became necessary to publish the teachings openly and in clear terms. Max Heindel was chosen for this task. Now, any individual who is interested can request instruction in the Rosicrucian teaching and can acquire the requisite knowledge by home study.

When Headquarters receives a request for study, the applicant receives twelve lessons based on the contents of *The Rosicrucian Cosmo-Conception*. These lessons enable the student to become familiar with the aim and goal of the Fellowship, after which he may elect to take further steps.

After completion of the twelve lessons, the candidate can request to be enrolled as a “regular student.” During this period, which lasts at least two years, he gains more in-depth knowledge. If the student is so in-

²⁵⁷ See: Heindel, *The Rosicrucian Cosmo-Conception*, chapter 18 and 19.

clined, he may request to become a “probationer” at the end of the two years.

This is the first occasion where the candidate comes in contact with one of the Elder Brothers, though he may be unaware, for one of them is, as mentioned, “Teacher” such as taught Max Heindel. The candidate for probationership provides his natal birth data and may then choose from among one or more astrologically determined dates to take his Obligation.

When the exact time has been selected, the prospective probationer makes, in the etheric presence of the Elder Brother, a vow to himself, NOT to the Order of the Rose Cross. This vow includes eating a vegetarian diet, abstaining from the wearing of fur and feathers, avoiding alcohol, tobacco, and drugs, and trying to live in accordance with the principles given by the Christian religion. At the moment the candidate reads his vow aloud in the seclusion of his or her own room, the Elder Brother is present, although invisible to the candidate. Not only is he a witness, for during the reading of the obligation the right hand of the Teacher encloses that of the candidate causing their ethers to intermingle and enabling the candidate, to a certain extent, to vibrate with him simultaneously. If one faithfully performs the exercises every day, the probationer keeps his connection with the Teacher. Moreover, the report sheet for the recording of the exercises, done in fluid ink, helps to maintain this tie.²⁵⁸

Max Heindel says also that those who are not members of the Fellowship, but who consciously endeavor to live a good life, be they scholars, business persons, or trades persons are unconsciously on the path of spiritual development and will find the road to the Temple; for although the Rosicrucian Fellowship is one particular instrument of the Elder Brothers for scientific spiritual progress and has the attention of one Teacher, the Fellowship does not claim a monopoly on spiritual development.²⁵⁹

There follows a period of at least five years in which one must develop spiritually and also be tested. Trials are necessary to give the individual a chance to strengthen his or her weak points. Michael Maier spoke of these five years of probation in 1617.²⁶⁰

²⁵⁸ Heindel, *Letters to Probationers*, letter 56, (March 1916).

²⁵⁹ *ibid.*, letter 26 (April 1913).

²⁶⁰ Maier, Michael. *Silentium post clamores, etc.* Frankfurt: 1617, cited by J.B. Craven in *Count Michael Maier*. Kirkwall: Lucas Jennis, 1910, p. 67. “Like the Pythagoreans, the Rosicrucians exact vows of silence and secrecy. Ignorant men have treated the whole as a fic-

The candidate's vibratory level must be raised further by himself and this is effected by purification of the vital body. As a help the probationer is advised to do two exercises, described in *The Rosicrucian Cosmo-Conception* as the morning exercise and the evening exercise.²⁶¹

The evening exercise, which the Pythagoreans²⁶² already knew, is retrospection, in reverse order, of the events of the day and is performed before going to sleep. On the basis of this review, the student judges himself, and with feeling of regret or joy about the event, he experiences purgatory and heaven while still on earth, thereby allowing himself more time after death to function in the spiritual worlds.

The morning exercise is performed immediately upon waking by concentrating on a certain subject that can result in pictorial images from the desire world, which can illuminate the subject considered (in a kind of clairvoyant flash).

The next step is to separate the two higher ethers of the vital body from the two lower ethers.²⁶³ The two lower ethers maintain the physical body and so must always remain with the physical body, otherwise death will result. These two higher ethers—called “the soul body”²⁶⁴ by Paul and “the wedding garment” in Matt. 22:11—serve as a vehicle for the spirit in the spiritual worlds. After a minimum of five years one may ask the Elder Brother for the exercises that loosen the connection between the soul body and the two lower ethers. When Heindel was still alive he received these requests, and in return, asked the Elder Brother for advice as to whether it was appropriate to disclose the information. Mr and Mrs Barkhurst became members of the Fellowship in 1922 and collected all the information concerning discipleship that they had acquired during their long lives. In 1984 they entrusted this information to the writer. The writer has added to this unveiling of the disciple exercises a letter from Juanita M. Owen of Los Angeles addressed to Mr F. H. C. Kreiken, of The Hague, dated August 28, 1960. This letter includes the following quotation, “A person who took her discipleship from Max Heindel in Seattle told me exactly how he did it. He had two rooms in a hotel and took one

tion; but this has arisen from the five years' probation to which they subject even well-qualified novices before they are admitted to the higher mysteries...”

²⁶¹ pp. 701-706 in the 1996 edition. See also by Heindel, *The Rosicrucian Christianity Lectures*, lecture 11.

²⁶² Firth, Florence M. (Dion Fortune). *The Golden Verses of Pythagoras, and other Pythagorean Fragments*, selected by London: Theosophical Publishing Society, 1905, p. 4. verses 40-47, reproduced in addendum 8.

²⁶³ Heindel, *Gleanings of a Mystic*, chapter 1.

²⁶⁴ 1 Corinthians 15:44-46.

person at a time into the inner room. There he laid down the horoscope blank in front of him and, in drawing the star, would turn and talk out loud to the Teacher, who showed him how to draw a five pointed star, starting out from one point and never returning to it until the star was completed. She, of course, could not see the Teacher as he was in his Invisible body, but Max Heindel turned to him for directions speaking out loud to him.”

After 1911 the Fellowship had permanent Headquarters and the disciples were no longer personally invited by Mr. Heindel, however they received their exercises at their home address. An example of this is a letter that Max Heindel wrote to Mr J. H. M. Laurenze, 812 South Figueroa Street, Los Angeles. They had corresponded over a long period of time and, from his horoscope, Heindel had predicted a railroad accident from which Mr Laurenze would emerge unharmed. For more information see: *The Rosicrucian Cosmo-Conception*, p. 162, *The Rosicrucian Christianity Lectures*, pp. 162-164; *The Rosicrucian Philosophy in Questions and Answers*, Vol. I, pp. 306-307; *The Rosicrucian Philosophy in Questions and Answers*, Vol. II, pp. 374-375.

The Rosicrucian Fellowship
esoteric section
Oceanside, California

December 8th, 1911.

My dear Mr Laurenze;

I have received your request for individual instruction and find that you have sent twelve²⁶⁵ consecutive reports as required. I shall therefore be glad to forward your application to our Elder Brother when you have made it as He requires.

During the past year you have been taught to judge yourself in the evening exercise and it is hoped that you have gradually found more to praise than to blame in your conduct, but in order to test your judgment the Teacher wants you to write Him a letter in which you tell Him honestly what you think of your work. You are to commend yourself for any meritorious service and for the soul growth you have achieved during the past year, also to blame yourself where you have been remiss.

²⁶⁵ The Brothers initially had much consideration and was returning of 12 monthly reports enough, this later became 60 ones [see Probationers' letter no. 65, of December 20, 1916.

Do not have any scruples about telling your good deeds, but throw modesty to the winds; neither must you blame yourself more severely than your faults merit. Write as if you were writing about another, with perfect impartiality, for the object is not to give the Teacher information, He knows already, but wants to test your ability to escape personal bias, and He will find just as much fault if you underrate your merits as if you overrate your faults.

There are two reasons for this judgment of yourself, before the Teacher, one is that the Desire World is extremely illusive, therefore it is necessary to cultivate an absolutely accurate perception of truth and if we can learn to judge ourselves and our relations with others HERE, we shall be less liable to deception THERE.

When the Elder Brothers initiate us into the invisible Worlds, their object is to give us greater scope for service than we have when confined to present conditions, but it is patent that unless we have used our opportunities HERE, we are not likely to be of use THERE, and unless we have been helpful and thoughtful of others HERE, we will probably forget to help THERE also, and the letter we write to the Teacher will show us where we may improve.

When speak of "helping others," I mean particularly by service. A rich man may carelessly write a substantial check for charity, and still be an undesirable citizen, a poor man may help a needy neighbor with a dime and lay up great treasure in heaven. The size of the gift is immaterial; but it makes all the difference whether we give from an overflowing purse or an overflowing heart, for with the same measure that we mete, will it be meted to us.

Another question we must answer, is whether we have overcome our faults in any measure, are we less impatient with our family, are we better fathers and mothers than we used to be, are we less exacting in home, shop or office, are we more faithful to our employers, etc.

In our spiritual life, are we truly in love with the higher things, are we forsaking the lower appetites? Some cease to eat meat for the selfish reason that it makes for health; that should be only a minor consideration with the disciple. He should cease the practice out of compassion for the poor dumb creatures that are tortured and later killed to appease our appetite for flesh-food. Stimulants have a deteriorating effect on the nervous system. Are you endeavoring to overcome?

In Regard to your work in the Rosicrucian Fellowship: Have you contributed your share to the cause? We do not mean in money alone, anyone who loves the work will not forget to assist in that way, but we mean also in personal services. What have you done to disseminate the Rosi-

crucian teachings? Are you still a free agent, not obligated to another occult Order?

As a ship is made ready to sail the ocean by unfastening the ropes which bind it to the wharf, so the disciple is prepared to leave the physical fetters by an exercise given him by the Teacher; but unless an experienced pilot steers the ship it will founder upon the rocks, unless the applicant is qualified to steer his own bark, he is liable to founder also and become enmeshed in the delusions of the Desire World. The pilot is examined to make sure that he is a safe person to have charge of a ship and not likely to become a menace to other ships. The applicant is also required to show that he is a safe person before the Elder Brother will trust him to steer about untrammelled by the dense body.

Please read this letter carefully every day until December 22nd and on that day write your letter of application to the Teacher telling what you have done to warrant individual instruction. Do not be discouraged, you are not expected to be a perfect saint, but only to show that you have tried hard.

Write your answer in duplicate, keep one copy and paste it together with this letter so that you see often what you wrote, mail the other copy to me in the sealed envelope enclosed. I will then forward it to the Teacher. The answer may be pending for months awaiting favorable planetary conditions, so be patient, keep on with your exercises as heretofore and as soon as I get instructions, I shall communicate them to you.

Sincerely yours,

(signed) *Max Heindel*

After the passing of Max Heindel, Mrs Heindel took over this task. She, however, was not an initiate, and by following the advices of others, introduced alterations in the exercises with ensuing effects. About the disciple exercises Max Heindel says, "The solar ray is absorbed by the human spirit which has its seat in the center of the forehead, the stellar ray is absorbed by the brain and spinal cord, and the lunar ray enters our system through the spleen. The solar, stellar and lunar rays are three-colored, and in the lunar ray which supplies our vital force, the blue beam is the life of the Father, which causes germination, the yellow beam is the life of the Son, which is the active principle in nutrition and growth, and the red beam is the life of the *Holy Spirit*, which stimulates to

action, dissipating the energy stored by the yellow force. This principle is particularly active in generation.”

“The various kingdoms absorb this life-force differently, according to their constitution. The animals have only 28 pairs of spinal nerves.²⁶⁶ They are keyed to the lunar month of 28 days and therefore dependent upon a Group Spirit for an infusion of stellar rays necessary to produce consciousness. They [the animals] are altogether incapable of absorbing the direct ray of the sun.

“Man is in a transition stage, he has 31 pairs of spinal nerves which keys him to the solar month, but the nerves in the so-called cauda-equina (literally horse-tail) at the end of our spinal cord, are still too undeveloped to act as avenues for the spiritual ray of the sun. In proportion as we draw our creative force upward by spiritual thought we develop these nerves and awaken dormant faculties of the Spirit. But it is dangerous to attempt that development except under guidance of a qualified teacher, and the reader is earnestly warned not to use any method published in books, or sold, for their practice usually leads to insanity.”²⁶⁷

Max Heindel says that we never need to be afraid that the Teacher overlooks someone, and that was confirmed in the writer’s case on the morning of July 10, 1987, just before seven o’clock when the Teacher in his spiritual body demonstrated the exercise in his body.

On the last two pages of *Ancient and Modern Initiation*, Heindel summarizes the disciple exercises as follows, “This stage ... therefore involves a reversal of the creative force from its ordinary downward course ... to an upward course through the tripartite spinal cord, whose three segments are ruled by the moon, Mars, and Mercury respectively, and where the ray of Neptune then lights the regenerative spinal Spirit Fire. This mounting upward sets the pituitary body and the pineal gland into vibra-

²⁶⁶ “The number of spinal nerves in mammals is very variable” Prof. Dr. Wensing of the research group morphology at Utrecht wrote to me in June 1983. “All mammals have seven cervical vertebrae and eight cervical nerves, the number of thoracic vertebrae and thus the number of breast nerves diverge widely. For example, the horse has 18 breast nerves while many other animals have only 13, and the human only twelve. Also, the number of lumbar and sacrum nerves varies. Thus, carnivores have seven, the horse and bovine six, and man five lumbar nerves. The number of sacral bone nerves is five in human, four in the bovine and horse, and three in carnivores. The number of tail bones and so the number of tail-bone nerves is considerable in many mammals. “Conclusion: in the mammal man, the number of spinal nerves is not strikingly large. Several other mammals have more than 31-33 (dependent on their number of coccygeal vertebra) spinal nerves which are found in the human. The horse, for example, has more than forty spinal nerves”

²⁶⁷ Heindel, *The Rosicrucian Mysteries*, pp. 124 - 125.

tion, opening up the spiritual sight and striking the frontal sinus it starts the *crown of thorns* throbbing with pain as the bond with the physical body is burned by the sacred Spirit Fire, which wakes this center... sweeping onward to the other centers in the five-pointed star [viz. head, hands, and feet]. They are also vitalized and the whole vehicle [the two higher ethers of the vital body, the soul body] becomes aglow with a golden glory. Then with a final wrench the great vortex of the desire body located in the liver is liberated, and the martial energy contained in that vehicle propels upward the sidereal vehicle, which ascends through the skull ... and soars into the subtler spheres.”²⁶⁸

After passing a test, [in the writer’s experience, unwittingly] the Elder Brother demonstrates the exercises to the candidate for discipleship in the morning, just after awakening, in his own body. These exercises have to be performed one or more times after awakening, depending on the time at one’s disposal. For just as an athlete exercises and gives the requisite care and food to the body, so the candidate for initiation practices spiritual exercises and takes care that both his spiritual bodies as well as the physical body receive the care and food which they require.

After an indefinite period, again after passing a test, which is different for any two candidates,²⁶⁹ the candidate reaches the point where he can be initiated in the first degree of the Lesser Mysteries. But before initiation can take place, the candidate meets on the threshold to the spiritual worlds, a demon made by himself, called “the Dweller on the Threshold.” This creature is built from all of the wrong deeds which he has committed in foregoing lives and which have not yet been redeemed. The candidate must first recognize that this loathsome creature is a part of him or herself and promise to transmute and pay it as soon as possible. This being has for a man the shape of a woman, and for a woman that of a man. Bulwer Lytton gives a good description of the appearance of this Dweller on the Threshold in his novel *Zanoni*.²⁷⁰ Max Heindel gave a full description of the Dweller on the Threshold in Chapter Three of *The Web of Destiny*, from which the following is cited, “The real Dweller on the Threshold is the composite elemental entity created on the invisible planes by all our un-transmuted evil thoughts and acts during all the past periods of our evolution. This Dweller stands guard at the entrance to the invisible worlds and challenges our right to enter therein.

²⁶⁸ The same text can be found in *Questions and Answers*, Vol. 2, pp. 258-259.

²⁶⁹ Heindel, *Questions and Answers*, Vol. 2, p. 220.

²⁷⁰ Lytton, Sir Edward Bulwer. *Zanoni*. Blauvelt, NY: Steinerbooks, 1981, Book V, chapter 1, p. 271.

This entity must be redeemed or transmuted eventually. We must generate poise and will power sufficient to face and command it before we can consciously enter the super-physical worlds.”²⁷¹

The candidate has only one opportunity in a lifetime to see this creature and master it. If, for whatever reason, that does not happen, if one fails, one must wait until a next life before the possibility presents itself again. An example of this law was given in chapter eight, when Rollo Smith met this Dweller and was not able to oppose it. Here again the text of this event follows, which is contained in the student’s lesson of May 1938, “He, Smith, was an advanced probationer who had been with the work from the very beginning. When the building was nearly completed he was assigned an unfinished room on the upper floor.”

“One morning during breakfast he was greatly depressed and when asked if he was ill he replied that he had had a dreadful time all night with a demon which would not let him sleep. He feared it and fought it with all his might; he thought that it was an elemental. Max Heindel spoke up at once and told him that it was his Dweller, and stated that he, Max Heindel, tried to get his attention and to tell him not to fear it but that Smith’s fear blinded him to all help. The question was then asked by Smith as to what would be the result of his fear and his fighting and refusing to recognize the Dweller? Mr Heindel replied that he had lost the opportunity to vanquish it and the Dweller would not trouble him again in this incarnation.”²⁷²

Thus far we have outlined a preparatory process that requires years, perhaps a whole life or longer, before one can take the first initiation, which is dependent on the candidate’s desire and the destiny allotted him in this life. The Bible says: “For many are called, but few are chosen.” (Matt. 22:14)

We all will eventually attain perfection.²⁷³ Everyone, aware or not, follows the spiral path upward. Those who want to arrive sooner try to shorten the way by taking a more direct route. This is a steep upward path that is difficult to tread. Christ Jesus demonstrated that the two most important qualities required for this journey are unselfishness and helpfulness. But if one helps another person with the thought of getting something in return at a later time, this is not unselfishness. Likewise, he who feels offended when one to whom he has rendered a service shows no gratitude, lacks helpfulness. It is inevitable that as a candidate, one

²⁷¹ Heindel, *The Web of Destiny*, pp. 30-31.

²⁷² Named, *Angel or Satan?*

²⁷³ Heindel, *The Rosicrucian Christianity Lectures*, p. 142.

will regularly fall, but each time the candidate must find the courage and perseverance to pick himself up and go forward. In his works Heindel describes many dilemmas the candidate will meet and the farther along the path he travels, the subtler are the pitfalls. It appears that one is challenged unconsciously in life's circumstances for the moment of trial that can be entered into and surpassed. Every individual has free will and ought to use it. Heindel emphasized that the Elder Brothers insist that even from the beginning the candidate must stand on his own feet. Therefore, all exercises are done individually and never in a group. Results obtained in this way are, therefore self-acquired qualities which can be used at any time desired.

When the candidate reaches a certain level, he must know how not to fall back, for that possibility ever exists; of which a sad example follows later.

Heindel expounds about initiation in his books, especially in chapters 16 and 17 of *The Rosicrucian Cosmo-Conception*. Although it is impossible to give all the facets in a biography, information will be brought to light here that, as time elapses, would be more difficult to retrieve, and could even be lost.

Heindel tried, when possible, to identify astrological rules that govern various affairs. Sometimes he was successful. At other times he was not.²⁷⁴ Mention has already been made of finding auspicious times for taking the probationer vow, based on the nativity. Upon application the candidate is given two to four dates and times when he or she can take the vow, in the presence of the Teacher, who is not seen but may be felt. In this method one looks for a position of the moon, in degrees and minutes, to correspond with the sun in the natal horoscope. Often the moon is in the same sign as the sun, its elemental triplicity, or a sign for which it has affinity. A fiery sign has affinity with other fiery signs, airy signs, also with earth signs, but never with water signs. The time is rounded to the nearest quarter of an hour and, for Europe, between 06:00 and 22:30 hours, MET. Whether the moon is increasing or decreasing is not important. Two persons known to me selected time options that were incorrectly calculated. One of them erred during the process and was corrected by the Teacher. One may ask if calculating the time is worthwhile. To me the answer seems affirmative. For what occurred in the above instances, the person for whom the progressed positions were calculated, had the primary MC harmonious to the sun, to the ruler of the eighth house, and to the co-ruler of the eighth house. The primary

²⁷⁴ Heindel, *Questions and Answers* volume 2, p. 503.

Ascendant made no aspect sometimes, or disharmoniously conjoined the sun or moon at other times. The progressed sun sometimes harmoniously aspected Saturn or the ruler of the eighth house. The progressed planet which was in the eighth house, was harmonious to the Ascendant, or to the ruler of the Ascendant or to the moon. The progressed ruler of the eighth house sometimes aspected a planet in the twelfth house, aspected the sun or made no aspect at all.

Probationers in Max Heindel's time always applied for discipleship around Christmas, but the time at which the exercises commenced could be on any day of the year, according to the received data.²⁷⁵ Because Mrs Heindel later made changes in the procedure, and because I used only the data of Mrs A. van Warendorp and my own date, I cannot give universally valid rules. It was found that the primary Ascendant made a harmonious aspect with the sun, the progressive sun stood harmoniously on the cusp of the eighth house, the progressive planet which occupied the eighth house made a harmonious aspect to the Ascendant, and that the ruler of the eighth house was sometimes harmoniously positioned on the cusp of the twelfth house.

To find out the data of Rollo (officially Ralph) Smith was not an easy task. Rollo was not a rare American first name and Smith is one of the most common surnames. I happily received help from Norman Schwenk. It appeared at first that there were two Rollo Smith's living in Los Angeles at that time. On his marriage certificate²⁷⁶ of June 17, 1903, our Rollo Smith declares that he is 35 years old and that he was born in Ohio. His wife, Pearl Blythe, was 21 years old and born in Texas. Consequently, he would have been born about 1867/68. The census taken in 1910²⁷⁷ certified that Rollo was 41 years old, Pearl was 28 and that they were married and had no children. Again, according to this data Rollo would have been born about 1867/1868. In "The Hemet News" of January 10, 1930, the following announcement appeared:

RALPH SMITH FUNERAL SERVICE IS ANNOUNCED
Rosicrucian services will be conducted Sunday morning at 11:45
from the chapel of the Kingham Funeral Company for Ralph
Smith, 68, who died Thursday morning at 10:30 at his home on
North Franklin Street. Mr Smith had suffered from tuberculoses

²⁷⁵ The discipleship veil of Mr and Mrs. Barkhurst.

²⁷⁶ Marriage License of the County of Los Angeles, dated June 23, 1903.

²⁷⁷ Thirteenth Census of the United States: 1910 – Population for the township or other divisions of county: "San Antonio Township," district 336, Location 522, number of family 528 (May 2, 1910).

for over 20 years. He had been a faithful member of the Rosicrucian Fellowship for 19 years. Services will be conducted by J. H. Exon.

At his death on January 9, 1930, according to the newspaper he was 68 years of age. So, he would have been born about 1862, making him five years older than formerly calculated. His death certificate, however, gives a decisive answer.²⁷⁸

A good acquaintance, whose name and address on the death certificate cannot be deciphered, declared that Rollo Smith was born on November 9, 1862, in Clarksville, in the county of Clinton in Ohio; that he was divorced, and his father was named Sidney and his mother Saun; that his profession was that of a businessman and he died of tuberculosis of the lung.

Now it remained to find the birth time. Norman Schwenk requested information from the State Health Department in Columbus, Ohio, who replied that it had no records before July 1867.

His horoscope is not contained in *The Message of the Stars or Astro-Diagnosis*. Repeated requests to Headquarters in Oceanside over the course of years, where his horoscope is considered to be on file, produced no results.

In a group photo Smith is portrayed as a tall, lean man, which might suggest that his Ascendant is Aquarius or Gemini. The horoscope given in addendum 12 is the result of the progressions made on the basis of his date of marriage and death.

On pages 9 and 10 of the May 1916 *Rays from the Rose Cross* there is a question which was re-printed in *Questions and Answers*, Volume 2, as question 138²⁷⁹ and the story can also be found in *Occult Principles of Health and Healing*, Chapter 7. In the named *Rays* of May 1916 somewhat further on, on pages 16 and 17 there is the description of two horoscopes of a husband and wife. After research, it appears that the man named there, Mr X, must be the same person as Dr W. His horoscope can be found in addendum 12. We summarize what Heindel writes below.

“Once a pupil, a lay brother of a mystery school, always a pupil and a lay brother. ...I will cite ... a case that is very much to the point. Many years ago I saw at the convention of an occult [Theosophical] society a man whom I will call Mr X. He was evidently wealthy and

²⁷⁸ Certification of Vital Record; State of California; Department of Health Service; County of Riverside, City Hemet certificate 80-001120, local registered no. 4 Full Name: Rollo Smith.

²⁷⁹ Question 25 deals with it too.

prominent while I was poor and obscure, so we moved in different spheres and did not make each other's acquaintance. Years later, when I was taken into the Temple in Germany, I met, after my initiation, a number of the lay brothers, among them Mr X. In the Temple, however, he greeted me warmly and it appeared that he at that moment belonged to a higher degree than I. We talked together of many things of common interest. He told me where he lived and that he hoped to meet me once as his guest, which was heartily echoed by me. I looked forward on my return to America to meeting him in the body, as he would explain many things and teach me, a young neophyte. I was not at that time proficient in carrying through all my experiences from the invisible world to the physical consciousness.

"About a year later, when I arrived in the city mentioned by Mr X, I was told by mutual friends that he had been expecting me and was anxiously looking forward to meeting me. Now remember that I knew Mr X physically, but Mr X. had never met me in the body. When we did meet we walked to each other and shook hands just like old friends. He also seemed to recognize me and called me by name. It seemed that there was every indication that he knew all that had happened while we were both out of the body because he had told me in the Temple that he remembered everything that happened to him when out of the body. This, of course, I believed, for he was of a much higher degree than the first, into which I had just been admitted. After a few moments conversation I said something which caused him to stare at me blankly. I had referred to some incident of our meeting in the Temple. He showed plainly that he knew nothing whatever about it. I had, however, said so much that I was forced to say more, or appear very foolish. So I told him he had professed to remember everything, which he denied.

"At the end of our interview he begged me very earnestly to endeavor to find out why it was that he was a lay brother of the Rosicrucian Order, yet could not remember that which took place during his absence from the body.

"He was, as I knew, at various Temple services; he took part, and yet in his physical brain he was absolutely ignorant of what took place.

"A little later inquiry and investigation brought out the fact that admission to the Temple had been gained in a previous life. But smoking cigarettes and the use of drugs in this life had dulled the brain centers to such an extent that it was impossible for him to

carry experiences through from the invisible worlds into physical consciousness.

“When I told him that in the body, he made a valiant effort to rid himself of these habits which he acknowledged. However, after some time of abstinence, he found he could not do without the drugs, drink, and cigarettes.

“Out of the body he can still rove about the world where he chooses and take his place in his Order among the other Initiates. But in his body he is hampered by his poor, sick, abused brain. It is my belief that it will probably take lives of right living before he is able to build another sensitive brain which is capable of spiritual transmission.”

The same copy of *Rays*²⁸⁰ describes the horoscope of Mr X (here named Dr. W.) and also that of his wife. Above the article are depicted two horoscopes appear with the title “The Tie that Binds.” That it here deals with the same person is vastly clear from the description Heindel gives with the aid of the horoscope. He says the following,

“The appearance of the man partakes of both Libra and Scorpio characteristics. Mars and Mercury make him taller than a pure Scorpio would be, and Mercury darkens the complexion. The opposition of Mars to Neptune makes his flesh flabby. The whole of the sign Sagittarius is in the 2nd house, so Jupiter is the ruler, which is trine to the sun. Venus is also in the 2nd house and that constitutes one of the most fortunate financial aspects in the whole gamut. We may therefore judge that whatever troubles occur in this home, the underlying cause is not the lack of money as so often is the case. The profession of the man is indicated by Scorpio, the rising sign, with sun and Mars there. Mars is also ruler of the 6th house which indicates the form of employment and the sun rules Leo, the sign of the 10th house, which signifies his social standing. He is a medical man; a surgeon, but it seems strange that a man could take up such a learned profession with both signifiers of the mind—that is to say, the moon and Mercury unaspected [D 144 ♃ +; D 12 ♃ +; D 150 asc. -; ♃ 24 ♂ +; ♃ 150 ♁ -; ♃ 156 ♃ +; ♃ 144 ♀ +]. There must be something wrong mentally, and there is ... This shows that the mind runs in that direction [of sickness]. Besides the square of Uranus to Venus shows that he is of a super-nervous nature, and Neptune in Taurus, the sign of the throat shows that he is liable to

²⁸⁰ *Rays from the Rose Cross*, May 1916, pp. 16-17. “The Tie that Binds.”

take his own medicine ... something which all medical men know is superlatively dangerous. As a matter of fact he has become a morphine fiend. He has been confined in hospitals a number of times, he is insane on that account.”

This man was born in 1882. When Heindel met him at the Theosophists in 1904, he was about 22 years of age; in 19010, 28 years old.

Finally some conclusions can be drawn about initiation from the horoscopes concerned, which are portrayed in addendum 12. The moment of the decisive test, or the moment on which initiation follows or does not follow, can be traced in the natal charts of several persons. Steiner failed when he preferred theosophy above the teachings of the Rose Cross, and that was on October 20, 1902.²⁸¹ Heindel says that he himself was tested in April and May 1908.²⁸² He also mentions and describes the time and events when he received his other initiations. The date of Rollo Smith’s trial was about November 25, 1911.

From the progressions of the horoscope made in connection with initiation we may summarize as follows:

Rudolf Steiner: tested about October 20, 1902, when he became General Secretary of the Theosophical Society in Germany. His progressed Mercury 149.58 from the MC (midheaven or tenth house), Venus progressed 149.40 from the Ascendant, Mars progressed 105.09 from Venus, Uranus progressed 72.24 from the MC (goes to 72) and 72.26 from the Mercury/Neptune midpoint, and Saturn progressed 156.29 from the Mercury/Neptune midpoint.

On that day there were many progressed aspects working, but most notably, the progressed Saturn aspect (Virgo 3.14.33 R) at 156.29 from the Mercury/Neptune midpoint. Saturn is the Dweller on the Threshold, the tester, Mercury belongs to the 8th house of initiation, and Neptune is the planet of the spiritual worlds and initiation.

Rollo Smith: faced his Dweller on the Threshold, which blocks the entrance to the spiritual worlds, on one of the last days of helping Heindel with the first building. That must have been around November 24, 1911. There were then the following progressions: The primary Ascendant, Taurus 12.04.16, then was 40.16 from the Moon and 139.5 from Saturn. The

²⁸¹ See addendum 9, the letter to Mrs. Bauer dated October 14-16, 1911. ‘Dr Steiner has no connection with the Rosicrucians since he became General Secretary for the Theosophical Society.’

²⁸² Re-dedication *Cosmo* 2nd edition 1910.

progressed Saturn at Libra 5.16.00, stood 132.34 from the Ascendant, which must be taken as rather wide, but the progressed sun in Capricorn 6.53.21 was 84.29 from Neptune and 90.06, from Mars, so nearly exactly square.

Max Heindel:

1st Initiation, about May 20, 1908; primary arc 2.41.40; Sidereal Time progression 3.17.24. Primary Ascendant 3.11.45 semi-sextile the Ascendant/Sun midpoint is 3.27. Cusp 8, Aries 4.02.35 was 40.09 from Pluto. The progressed planets: Sun in Virgo 11.25.18 was 35.51 from the Moon. The Moon 18.55.10 stood 167.13 to the Moon/Ascendant midpoint. Mercury progressed in Virgo 18.05.27 R, was 44.38 from the Sun/Ascendant midpoint and 12.15 from Mars. Venus progressed in Leo 1.05.26 stood 19.53 from Mercury. Progressed Mars 2.56.27 stood exactly sextile the Sun/Moon midpoint.

2nd Initiation on April 9, 1910; primary arc 2.48.18; Primary Sidereal Time 3.24.02. The primary MC Taurus 23.23.58 was 71.57 from the Moon. The Virgo Ascendant 4.16.59, was 143.43 from Neptune. Cusp 8, Aries 5.17.25 was 119.43 from the Moon and 105.15 from Jupiter. The progressed planets: Sun in Virgo 13.15.05, nothing. Moon in Pisces 17.20.36, nothing. Mercury in Virgo 16.16.15, was 74.46 from Uranus and 155.42 from Neptune. Venus progressed in Leo 3.15.42 was conjunct to the Sun/Ascendant midpoint (at 3.27) and 17.42 from Mercury. The progressed Mars in Libra 4.09.50 was 20.01 from Saturn.

3rd Initiation, about Nov. 22, 1910 (so only 7 months after the 2nd initiation); primary arc 2.50.33; Sidereal Time 3.26.17. The primary Ascendant Virgo 4.39.11, was at that moment 79.55 from Venus and 144.05 from Neptune. The cusp of the 8th house, Aries 5.42.52, was trine to the Moon (5.34. 23 Leo). The progressed Sun (13.51.17 Virgo) was 20.40 from Saturn and 96.11 from Jupiter. The progressed Moon (26.18.56 Pisces) was 159.31 from Mars and 96.17 from Jupiter. Progressed Venus (3.58.43 Leo) then was 80.12 from Saturn and 79.50 from Pluto. The progressed Mars, at last, was 4.34.03 Libra, so 140.26 from Pluto.

With reference to the trials that precede the first initiations, only those progressions which apply to them are described here.

STEINER: Ruler of the eighth house, Mercury, is disharmoniously positioned to the tenth house. Venus, the ruler of the twelfth house, is disharmoniously positioned to the Ascendant. Mars, the ruler of the Ascendant, is in disharmonious aspect to Venus, which is ruler of the twelfth house. Uranus, which is the ruler of the fourth house, is harmonious to the tenth house and stands harmoniously at the midpoint between Mercury and

Neptune. Saturn, the tester, stands harmoniously on the midpoint between Mercury and Neptune also.

SMITH: The primary Ascendant was harmoniously conjunct Saturn, the tester. The Sun in the eighth house harmoniously aspects Neptune, and disharmoniously aspects Mars, which is the ruler of the eighth house.

HEINDEL: His primary Ascendant is harmoniously positioned on the Ascendant/Sun midpoint. The cusp or horn of the eighth house harmoniously aspects Pluto, the ruler of the tenth house. The Sun harmoniously rests on the Moon/Ascendant midpoint. Mercury is disharmonious to the Sun and the Sun/Ascendant midpoint. Mercury, from the Ascendant, harmoniously aspects Mars. Venus, which is ruler of the fourth house, harmoniously aspects Mercury. Finally, Mars is harmoniously at the midpoint between the Sun and the Moon.

RULE: The eighth house symbolizes the spiritual worlds and the twelfth house pertains to initiation, as does Neptune. The Ascendant represents the physical body. The tenth house often involves spiritual development, possibly because, as with Steiner and Heindel, factors come to the fore that bring recognition from the public. The following astrological factors always play a role in initiation: the ruler of the eighth house or planet therein or a planet on the eighth house cusp forms aspects with the tenth house or with Neptune; the twelfth house dynamic or any planet in the twelfth house aspecting the Ascendant; the Ascendant, the ruler of the Ascendant or a planet in the Ascendant forming aspects with Saturn.

In conclusion, at the time of initiation, there is always a relationship between the Ascendant, the eighth house, and the twelfth house, perhaps also with the tenth house and with Saturn, the tester. These relationships are evident also at the second and third initiations of Max Heindel.