

ISTANBUL TECHNICAL UNIVERSITY ★ INSTITUTE OF SOCIAL SCIENCES

**ROBERT SCHUMANN'S MINIATURE PIANO PIECES
WHICH ARE RELATED TO LITERARY IDEAS**

**Ph.D. Thesis by
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RELATED TO LITERARY IDEAS**

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**ROBERT SCHUMANN'IN EDEBİ FİKİRLERLE İLGİLİ MİNYATÜR
PIYANO PARÇALARI**

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FOREWORD

This doctorate thesis, entitled “Schumann’s Miniature Piano Pieces which are related to Literary Ideas” was prepared at the I.T.Ü. Social Sciences Institute, Dr. Erol Üçer Center for Advanced Studies in Music (MIAM).

Only a few pieces of Schumann are known with their literary connections. In my research I wanted to focus on this relationship between music and literature, especially in his keyboard music. During the analysis, it is found that some specific musical characters rely on the figures of Florestan and Eusebius. The creation of these fictitious characters is directly related to the novels of J. P. Richter. I assert in my research that the thought of prose and poem is revealed as music and the musical idea comes from the literary ideas. For the composer-based interpretation, it is necessary to know this relationship. I have tried to find out hidden literary images and meanings from the selected pieces with and without literary titles. In my conclusion, although the Florestan and Eusebius characters are not valid for Schumann’s general oeuvre, nevertheless these figures are essential in his keyboard music to understand the musical character.

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Hyun Sook J. Tekin
Pianist

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ABBREVIATIONS

| | |
|-------------|---|
| AMZ | : Allgemeine Musikalische Zeitung |
| NZfM | : Neue Zeitschrift für Musik |
| TB | : Tagebücher 1827-1838 of Robert Schumann, edited by G. Eismann, Leipzig: Deutscher Verlag für Musik, 1971 |
| m | : measure |
| <i>pp</i> | : pianissimo |
| <i>ff</i> | : fortissimo |
| Op. | : Opus |
| RSGZ | : Robert Schumann Gesellschaft Zwickau |
| HHB | : Robert Schumann, Haushaltbücher 1837-1856, edited by G. Nauhaus. Leipzig: VEB Deutscher Verlag für Musik, 1982 |
| HE | : Henle Edition |
| BHE | : Breitkopf & Härtel Edition |
| M.M. | : Mälzel's Metronome |
| LP | : longplaying microgroove record |
| m.d. | : main droite or mano destra, right hand |
| m.g. | : main gauche, left hand |
| m.s. | : mano sinistra, left hand |

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ROBERT SCHUMANN'S MINIATURE PIANO PIECES RELATED TO LITERARY IDEAS

SUMMARY

The purpose of this thesis is to research how literary ideas influenced Schumann's miniature piano pieces. The relationship of Schumann's music to the literary world of Jean Paul Richter and E. T. A. Hoffmann has been pointed out by many researchers and scholars. However this kind of approach is rare, for example, how the music is related to the stories, sentences, stanzas, symbolical images and plots of the individual literary ideas. In addition to this, this thesis points out the relationship between the use of short forms (miniatures) and literary ideas, because the author believes that the miniature collections are more related to literary ideas than the long works. Thus the author selected eight piano works of Schumann: four works with literary titles and the other four works without individual titles.

This study also focuses on the influence of the literary and fictional figures of Schumann, Florestan and Eusebius. It discusses the fact that the Florestan and Eusebius characters have an important role in the early period of Schumann, 1834-1848. These characters are not only members of the Davidbündler but also the symbolical musical core of Schumann's miniature piano music.

Before the analysis section, there are discussions of related issues, such as Schumann and his contemporaries in German Romanticism, Biedermeier and the Sturm und Drang period. The Sturm und Drang period in 19th century Germany influenced definitely many contemporary artists including Schumann. The author asserts that Florestan is related to Sturm und Drang and Eusebius is related to the Biedermeier character. The frequent use of short forms by Schumann is discussed together with the relationship to poetry, song form, and one of Schumann's important genres, Lieder. An original method, narratology, is borrowed for the comparison between music and literature's viewpoint. Here the musical narrativity is analyzed together with the narrating method in literature. There is an interesting synopsis of all the selected works according to the writer's point of view.

In the analysis section, all the selected works of Schumann are discussed and analyzed. The factual information and hidden meanings of the individual titles and expression words are studied. *Carnaval, scènes mignonnes sur quatre notes*, is full of symbolical letters and extra musical ideas as depicted in the subtitle. The names of *Fantasiestücke*, *Nachtstücke*, and *Kreisleriana* come from the *Fantasiestücke in Callot's Manier*, *Nachtstücke*, and *Kreisleriana* essays of Hoffmann. Among them the *Kreisleriana* has the most literary influences. For the *Fantasiestücke* and *Nachtstücke*, it is obscure whether they are only influenced by the literature or by other factors, too. However, generally there are similar images and mood descriptions. *Kinderszenen* is also directly related to the novel, *Das fremde Kind* of Hoffmann. *Papillons* is generally acknowledged with its relationship to the *Flegeljahre* of Jean Paul. Although only one piece of *Waldszenen* has a poem by

Christian Friedrich Hebbel, all the pieces of *Waldszenen* are similar to the concept of the song collections by Schumann. *Davidbündlertänze* is a creation of Schumann's pseudonyms, Florestan and Eusebius. For all the individual pieces there are signs of Florestan and Eusebius which are themselves literary figures and symbolical images of Schumann's music.

There is another section about Florestan and Eusebius in music in which the related rhythms, tempi, meters, musical progressions, and images are discussed. In addition to many musical examples, the original literary sources are used to understand the purpose of the thesis.

Finally, the importance of the music's relationship to literary ideas in performance practice and authentic interpretation is stressed once more. There are examples of different performances resulting from variations in the background knowledge of the performer. The importance of literary or extra-musical sources which can bring visual images and imaginary worlds to the performer is also discussed.

ROBERT SCHUMANN'IN EDEBİ FİKİRLERLE İLGİLİ MİNYATÜR PİYANO PARÇALARI

ÖZET

Bu tezin amacı, edebi fikirlerin Schumann'ın minyatür piyano parçalarını nasıl etkilediğini araştırmaktır. Schumann'ın müziğinin Jean Paul Richter'in ve E.T.A. Hoffmann'ın edebi dünyası ile ilişkisine, pek çok araştırmacı ve bilim adamı tarafından dikkat çekilmiştir. Ancak bu yaklaşım tarzına, örneğin, müziğin hikâyelerle, cümlelerle, şiir kıtalarıyla, sembolik görüntülerle/imagjlarla ve bireysel edebi fikirlerin ana temalarıyla nasıl ilişkisi olacağı yaklaşımına nadir rastlanır. Bundan başka, bu tez kısa formların (minyatürlerin) kullanımı ile edebi fikirler arasındaki bağlantıyı da göstermektedir; çünkü yazar, minyatür koleksiyonların, uzun çalışmalara nazaran edebi fikirlerle daha fazla ilişkili olduğuna inanır. Bu yüzden yazar, Schumann'ın sekiz piyano eserini seçmiştir: bunlardan dört çalışmanın edebi başlıkları bulunmaktadır, diğer dört çalışmanın ayrı ayrı başlığı yoktur.

Bu çalışma ayrıca Schumann'ın, Florestan'ın ve Eusebius'un edebi ve kurgusal/düşsel kahramanlarının etkisi üzerine odaklanır. Florestan'ın ve Eusebius'un karakterlerinin Schumann'ın erken döneminde (1834-1848) önemli bir rolü olduğu gerçeğini dile getirir. Bu karakterler sadece Davidbündler'in bireyleri değil, aynı zamanda Schumann'ın minyatür piyano müziğinin sembolik müzik çekirdeğidir.

Analiz bölümünden önce, Schumann ve Alman Romantisizmdeki, Biedermeier ve Sturm und Drang dönemindeki çağdaşları gibi, konuyla ilgili hususlarda bazı tartışmalar mevcuttur. 19.yüzyıl Almanyasındaki Sturm und Drang dönemi, Schumann dahil bir çok çağdaş sanatçıyı kesinlikle etkilemiştir. Yazar, Florestan'ın Sturm und Drang'la ve Eusebius'un Biedermeier karakteriyle ilişkili olduğunu ileri sürmektedir. Schumann tarafından kısa formların sıklıkla kullanımı, bunların şiirle, şarkı formuyla ve Schumann'ın bir diğer önemli tarzı olan Lieder (Alman şarkısı) ile olan ilişkisiyle birlikte ele alınmaktadır. Özgün bir yöntem olarak anlatı bilimi, müzik ile edebiyatın bakış açısı arasındaki kıyaslama için ödünç alınır. Burada müzikal anlatım, edebiyattaki anlatım yöntemiyle analiz edilir. Yazarın bakış açısına göre, seçilen tüm çalışmaların ilginç bir özeti yer almaktadır.

Bu analiz kısmında, Schumann'ın tüm seçilen eserleri tartışılır ve analiz edilir. Her birinin başlıklarının gerçeklere dayalı bilgisi ve saklı anlamları ile ifade edici kelimeleri incelenir. “*Carnaval, scènes mignonnes sur quatre notes*”, alt başlıkta açıklandığı üzere sembolik harflerle ve fevkalade müzikal fikirlerle doludur. *Fantasiestücke*, *Nachtstücke*, and *Kreisleriana* isimleri, Hoffmann'ın denemeleri olan *Fantasiestücke in Callot's Manier'den*, *Nachtstücke'den* ve *Kreisleriana'dan* gelmektedir. *Kreisleriana*, bunların içinde en fazla edebi etkiye sahip olanıdır. *Fantasiestücke* ile *Nachtstücke'ye* gelince; bunların sadece edebiyattan mı yoksa ayrıca başka diğer faktörlerden mi etkilendiği belirsizdir. Ancak genel olarak, tümünde benzer simgeler ve ruh hali tanımları mevcuttur. *Kinderszenen* de doğrudan Hoffmann'ın “*Das fremde Kind*” romanıyla ilgilidir. *Papillons*, genellikle Jean

Paul'un *Flegeljahre'si* ile bağlantısıyla bilinip tanınır. *Waldszenen'in* sadece bir bölümünün Christian Friedrich Hebbel tarafından yazılan bir şiiri ihtiva etmesine rağmen, *Waldszenen'in* tüm bölümleri, Schumann tarafından oluşturulan şarkı koleksiyonlarının tasavvuruna benzer yapıdadır. *Davidbündlertanz*, Schumann'ın müstear isimleri olan Florestan ve Eusebius'un bir eseridir. Tüm bu ayrı ayrı parçalarda, Florestan ve Eusebius'un işaretleri vardır, bunların kendileri Schumann'ın müziğinin edebi figürleri ve sembolik görüntüleridir/imagjlarıdır.

Florestan ve Eusebius hakkında, bunların müzikteki ritmlerinin, tempolarının, ölçülerinin, müzikal dizilerinin ve imajlarının dile getirildiği diğer bir bölüm de vardır. Pek çok müzikal örneklere ilâveten, tezin amacını anlamak için orijinal edebi kaynaklar kullanılır.

Son olarak, müziğin çalınarak icra edilmesinde ve otantik yorumunda, edebi fikirlerle olan ilişkisinin önemine bir kez daha vurgu yapılır. İcra edenin geçmiş bilgilerindeki çeşitlilikten kaynaklanan farklı icra örnekleri vardır. Burada, icra edene görsel imajlar ve hayal dünyaları taşıyabilen edebiyatın veya müzik dışındaki kaynakların önemi de tartışılmaktadır.

1. INTRODUCTION

1.1 Introduction and Statement of the Subject

From the antique period music and rhetoric have been closely related disciplines. Music has been explained or expressed as words. On the contrary, words and human thoughts can be described as tones although in an abstract way. More consciously speaking music and literature are related very elaborately. In the Romantic period the tone poem idea reveals also that music can give voice to their literary ideas. In this period almost every idea and concept of music comes from literary ideas. All the titles, subtitles, musical motifs, and the background of compositions have correlativity with literature. It is the natural result in the Romantic era because the Romantic genre is established mainly with the literature movement especially in 19th century Germany. Poets and novelists like Heinrich Heine, Friedrich Schlegel, and Johann Wolfgang von Goethe are representing the Sturm und Drang period. Many composers and novelists influenced each other. For example there are the same titles for music and literature like *Faust*, *Kreutzer*, *Mephistopheles*, *Gretchen*, and *Kapellmeister Kreisler*. Adding to this, most musical ideas in this era are influenced by extra-musical ideas like pictures and literary ideas. Among them Schumann and E.T. A. Hoffmann have points in common because both of them are interested at the same time in music and literature.

In Schumann's oeuvre there are 55 piano works dating from 1830 to 1854. There are 7 long (20'-30') works such as the four sonatas and the *Fantasie*, *Humoreske*, and *Faschingsschwank aus Wien*, 2 works of medium length: *Allegro* (8' 21'') and *Toccata* (6'), and 6 sets of Theme and Variations. There are also 5 sets of Studien or Etüden. Some lost or unfinished Works have not been counted. With the exception of these 20 works, there are 35 compositions which consist of small miniature pieces. They are mostly small short pieces themselves or collections of small pieces. There are titles for each whole collection and the small pieces become like chapters in the story. It is easier to show the literary ideas or pictorial images of these small pieces than the longer pieces. This is why only short pieces are chosen for literary relation,

although the *Fantasie* is also written under the influence of Schlegel; a poem by Schlegel is written on the first page of the *Fantasie*. Actually all of Schumann's compositions are like his poetry, sketch book and prose. Even Schumann himself argued that while a composer should reach for the truth of a poem, he should present it beautifully dressed. (Rushton 2001: 162)

Schumann's piano collections are similar to his song cycles like those of his favorite Franz Schubert. A song cycle usually consists of individual songs with a common subject (e.g. *Liederkreis* op.24 and op.39, *Myrten* op.25), or merely a collection of individual songs, or separate songs with a coherent theme like a story (e.g. *Dichterliebe* op.48, *Frauenliebe und Leben* op.42). Likewise *Carnaval*, *Kinderszenen*, and *Waldszenen* are collections of descriptive images with a common subject. *Papillons* also consists of small pieces which have no descriptive titles. However it is included in this research because it is directly related with literary ideas. Like song cycles Schumann's piano cycles have generally various three part or two part forms which facilitate the setting of the poetry. Mendelssohn's *Lieder ohne Worte* (Songs without words) would be good example for instrumental song cycles. Perhaps we can consider the 'Song without words' as a genre in this period, including music under various titles like romantic character pieces. We can see more frequently this kind of cycle in the Baroque and Romantic eras than in Classic period.

Donald H. Van Ess says in his *Climax of Romanticism* that there was a particular aesthetic concept which is an extraordinary inclination to expand the boundaries of expression in every aspect of composition. In the Romantic period composers had more freedom in musical form than in the Classical period. Especially in the first half of the nineteenth century this became more closely connected with extra-musical ideas. Especially it was influenced by German Romanticism.

Richard Strauss said that music can describe all natural sounds, even noise. In musical narratology music has its own semiotics to narrate. Julian Rushton says, in *Die schöne Müllerin* of Schubert the millstream becomes a character and eventually a narrative persona (in the final song, when the young miller drowns himself). Schumann wrote to his friend Henriette Voigt, "I may also mention that I set the words to the music and not the music to the words. The opposite seems to me a foolish proceeding." (Gillespie 1972; 213) It seems that Schumann intended to set his

literary thoughts and dreamy world to music and we will see how these are molded into his music.

In order to gain more understanding of Schumann's favorite form - collections of miniatures or piano cycles - we have to think about his interest in literature, especially in poetry, which is the core of his music. The use of dance measures, his archetypal rhythmical metrical revisions and rapid mood-changes must be considered. Schumann's rhythmical metrical revisions were studied by scholars like August Reissmann, Christian Knayer, and Arnfried Edler. This is briefly various use of syncopation. Its type varies in every piece, repeats making typical rhythmic way. Knayer even called Schumann a master of rhythmic delay.¹ In 1982 Edler wrote, "Rhythmic complications are unquestionably characteristic of Schumann's personal style; they are already found in his earliest compositions, and they proliferate in the later works."(Krebs 1997; 35)

The Biedermeier style in nineteenth century German Romanticism has also many things in common with Schumann's musical style and form. Certainly the characters of the miniature pieces and short forms of Schumann are presenting the Biedermeier style. Wilibald Gurlitt says in his Schumann research:²(Gurlitt 1981: 20)

Schumann was born in 1810 and with in terms of spirit and artistic concepts he is closer to Felix Mendelssohn (born in 1809) than to Franz Liszt (born in 1811), who is closer to Richard Wagner (born in 1813). The decline and collapse of the romantic aspect of the German music and the rise of the revolutionary romantic realism fall between these two birth ranges (1809/10 and 1811/13). The typically German, bourgeois, and in most cases small bourgeois partial phenomenon – the musical style Biedermeier, is clearly defined within the revolutionary romantic realism.

Furthermore Gurlitt mentions the idea of rich home art of Ludwig Richter who was Schumann's friend. Richter drew also the cover of the *Album for Youth (Album für die Jugend)*, op. 68. Their artistic concept is very closely related in the style of Biedermeier: its love of domestic art and musical (or artistic) delight in the home family circle.

His general historical perspective of the German Romantic period is generally accepted. Indeed the Biedermeier concept came from the up-graded life quality

¹ Read Christian Knayer "Robert Schumann als Meister der rhythmischen Verschiebungen" *Musikpädagogische Blätter* 37 (1912) I will show some examples in analysis sections.

² Edited by Julius Alf and Joseph A. Kruse, *Universalgeist der Romantik*, W. Gurlitt says in his chapter 'Robert Schumann und die Romantik in der Musik', The block quotation is translated by Hyun Sook Tekin (researcher)

through industrial development. It affected not only music but also the arts overall. The word 'Biedermeier' is often used with the wrong image for the evaluation of dramatic political Romanticism in music history. The view that Biedermeierian art is passive, weak and light art must be avoided.

In this respect Gurlitt mentions the relationship between Schumann and Ludwig Richter. In this period some artists advanced toward a dramatic, grand scale artistic aim. The others on the contrary preferred the pleasures of domestic life. This tendency is also seen in the fine arts. As a painter Carl Spitzweg (1808-1885) is famous in Germany with his paintings which describe the pleasure of domestic life and romantic feelings like anger, hope, nostalgia, despair. Likewise Schumann's music shows us the happiness of the domestic life, the Sturm und Drang character Florestan and the dreamy whisper of his Eusebius character. Here the important thing is that some of Schumann's works consist of small character pieces, which are easy to perform. This kind of piece was generally composed not for a virtuoso pianist but for the aristocratic family's musical enjoyment in Biedermeierian society. Thus his music was criticized because some critics thought that Schumann's music was not dramatic and serious enough, so his music had no depth. Through the last decade it has been reevaluated. On the contrary, Schumann's music contains musical depth although it appears easy and simple. In addition to this Schumann has composed works like *Kinderszenen* whose titles describe directly the feelings of children or reminiscences of childhood.

The interest in the world of children has developed further with the research about the importance of child education. Until the Romantic period children-concentrated works were few with the exception of Johann Sebastian Bach's works which were composed for his sons and wife for an educational purpose. Schumann had also many children; his works might have been composed during his daily life with his children. His pieces for children also show his poetic naivety and dreamy world. Later many other works for children were composed by Mendelssohn,³ Claude Debussy, Maurice Ravel, Bela Bartok, and Pyotr Il'yich Tchaikovsky.

³ Mendelssohn's pieces for children, op.72 was composed in 1842. Schumann's *Kinderszenen*, op.15 was composed earlier in 1838. Some pieces from *Albumblätter* are composed even in 1832. *Album für die Jugend* is composed in 1848, *12 vierhandige Klavierstücke für kleine und grosse Kinder* in 1849, and *Kinderball* in 1853.

In this period in Germany almost all of the cultivated families had pianos and making house music was also customary among the well-educated classes. Some of Schumann's works were composed for children's performance or they are easy enough to play at the amateur's standard so that they could be played in house concerts or for their own pleasure. But it does not mean that all of his piano miniature genre is related with the Biedermeier movement. Although they are short and have literary titles, all of them are not intended for children or amateurs. The *Davidsbündler* is two collections of miniatures but they are neither intended for amateur standard performance nor do they have a domestic, peaceful character. The *Carnaval* and *Kreisleriana* are also collections of small pieces, but they are virtuosic. His interest in short forms is actually more related to his character as a poet. His piano pieces are like his vocal works, in that they consist of binary or ternary form or they have recurring parts as in a poem. Probably Schumann is interested in short forms which are suitable to present poetry, but he is definitely not a Biedermeierian composer.

We cannot deny that most of Schumann's works are related to literary images, thoughts and famous German literature. Also, Schumann's contemporaries in the Romantic period were full of fantasy and imagination. Van Ess says that the late 19th century was to be sure, an era of grandeur, immensity and superlative expression unequalled in previous periods of music. In this period composers like Richard Wagner and Anton Bruckner enlarged the possibilities of musical form. Likewise Schumann has also enlarged the collections to form one separate composition although the method was different from the others.

Before the 'Schumann and Literature' chapter it is appropriate to mention his childhood and youth. When Schumann was still young, he seems to have been equally interested in both music and literature. Schumann's father was a book dealer, publisher and writer. According to John Daverio, the young Schumann passed his early years in a milieu conducive to the pursuit of literary studies. (Daverio 1997: 20)

The young Schumann established a 'Litterarischer Verein (literature group)' in his high school years. It was the duty of every cultivated individual member to know the literature of his fatherland, masterworks of German poetry and prose; and even the original works of members. In this group Schumann and his colleagues studied and

discussed Goethe, Friedrich Schiller, Johann Gottfried Herder, Christoph Martin Wieland, Schlegel, Heine and even Jean Paul Richter, who was Schumann's favorite. Although they thoroughly explored Schiller's plays in the group, Schumann was poised for a comparably exhaustive encounter with the writings of Jean Paul. Later he would devote phases of similarly intense study to figures including Shakespeare, Baron George Gordon Byron, Heine, and Friedlich Rückert. But Jean Paul remained the writer to whom Schumann turned again and again. As late as 1853 we find him rereading – often aloud, and in collaboration with Clara – the novels of his youthful idol. (Daverio 1997: 35)

In this context Schumann contributed to a “Musikalisch- Deklamatorischen Abendunterhaltung” (musical-declamatory evening entertainment), which was held at the Zwickau Gymnasium. In 1827 he planned, directed and performed in a concert held at his home in the Amtgasse. This is the program: “Choruses from Weber's *Preciosa*, *Jean de Paris* of Boieldieu, an Aria from Mozart's *Entführung*, a Piano concerto by Lecour and a Symphony by Ernst Eichner.”⁴ (Daverio 1997: 30) From this we can surmise the young Schumann's attraction to both music and literature.

After Schumann moved to Leipzig, it seemed that he had little to do with his formal university studies but very much to do with an expanding literary and musical sensibility. For Schumann, university life in Leipzig amounted to a period of “revelling in Jean Paul and Schubert,” each figure who made the greatest impression throughout Schumann's life as a model for his musical creation.

From his youth time, in 1827, Schumann himself wrote of his favorite author in his diary, “In all his works Jean Paul mirrors himself, but always as two persons: he is Albano and Schoppe [in *Titan*], Siebenkäs and Leibgeber [*Siebenkäs*], Vult and Walt [*Flegeljahre*].”⁵ Schumann as a journalist said of Liszt, “His own life is situated in his music.”⁶ What Schumann declared of one of his most admired predecessors – “Strictly speaking, a sheet of music was for Schubert what for others was a diary”.⁷ (Gurlitt 1981; 13) Daverio asserts that we can find in Schumann's music also the notion of music-as-confession. It is thought that music cannot be understood without

⁴ Ibid ,Daverio quotes from the Quellenwerk of Eismann

⁵ Diary entry of late 1827, Tagesbuch 1. p.82

⁶ “Etüden für das Pianoforte”, Neue Zeitschrift für Musik (hereafter cited as NZfM) 11 (1839), p.121

⁷ Daverio quotes also in his book ‘Robert Schumann’,1997, p.10

the musician's life and circumstance; for Schumann the source of his musical philosophy was literature.

To understand the real 'meaning' of Schumann's works, the forms, motives, rhythms and mainly the music based on literary inspiration have been analyzed. For some pieces like *Papillons* Schumann himself gives many clues as evidence. There were some existing motivic analyses for *Kinderszenen* and *Papillons*, but for the other works there are not many detailed studies. So in this thesis form analyses for all the selected pieces are made. Especially in the third chapter an interesting approach using the narratology method⁸ is used. In this thesis it is asserted that Schumann's music - especially the piano cycles - definitely represents extra-musical ideas. All the music cannot be explained in this way, but there is music like Hector Berlioz's *Symphonie Fantastique* and Peter I. Tchaikovsky's *The Seasons* which cannot be explained without an extra-musical or literary idea. In this study it is asserted that Schumann's piano works are composed to a literary background and the piano cycles show us imaginative visual images like his song cycles.

The first section consists of an introduction to this study. In the second section the synopsis of the whole study is given together with the aim of the study. In this section the major influences in Schumann's pieces are discussed and the interpretation problem is mentioned. In the third section the relationship between music and literature is discussed. The fourth section contains the main analysis of the selected pieces with and without literary titles. Finally the fifth and sixth sections are the results of this study. The aim was to show the importance of the literary background and the Florestan-Eusebius characters in Schumann's works.

⁸ Narratology is the theory and study of narrative and narrative structure in literature and the ways they affect our perception. Here a kind of narrative theory is adapted for musical narratology. This term is new and its study emerged after 1990 in music history. So it is true that this kind of approach can hardly be found. However, it is thought that this attempt is useful in understanding the composer's literary concepts and plots in the music.

2. METHOD

2.1 Hypothesis

The composer Robert Schumann has been chosen and studied by many scholars. Specifically, his biography has been written by famous researchers such as Peter Ostwald, John Daverio, Leon Plantinga, in various concepts. With biographical research his works have been analyzed and played by musicians for over one hundred and fifty years. According to his remaining private diaries, household account books, letters and other writings, the biographical research has had convincing sources, although these sources have been interpreted in different manners.

Among many Romantic composers we can rarely find such a composer who made so many miniature collections as Schumann. His works are generally related to literary ideas. Especially his miniature piano pieces are very appealing. Pianists are interested in his miniature piano pieces with or without programmatic titles. Besides it will be noticed that most of Schumann's piano pieces are like collections of short pieces with the exception of his sonatas and fantasy works.

Generally Schumann's musical character is analyzed by his writings on Florestan and Eusebius (who show his enthusiastic mental temperament). Because the contention is that these figures are the main characters of his compositions, the focus will be on the importance of these characters.

2.2 The Aim of the Study

In music history, especially in the Romantic era, the concept of absolute music and program music was discussed by many scholars. In the whole music history there was a great deal of programmatic music from the early Baroque period. The concept of program music was extraordinarily popular in the Romantic period with the Romantic movement in literature.

The subject literature and music has been discussed continuously throughout music history; especially piano music with literary-programmatic titles was attractive to the author. It is clear that more literary-related pieces were composed in the Romantic period than in the Classic period. More literary thoughts and pictorial images were used to make the composer's view apparent. Among the Romantic composers Schumann has many compositions with literary titles. They are usually collections of small pieces which have literary titles, and generally each collection has a separate title which describes the whole set.

Examples showing the origin of program music are pieces with literary connections in the Classical period such as the *Moonlight, Pastoral* and *Tempest* piano sonatas of Ludwig van Beethoven, as well as his famous *Pastoral* symphony. Haydn has many symphonies which have programmatic titles, such as the *Paukenschlag (Drumroll), Militär (Military), and La Reine (The Queen)*. There are also the *Kaiserquartett (The Ceasar), Lerchenquartett (The Lark), and Jagdquartett (The Hunt)*.

Interestingly we can find more examples in the Baroque period. Naturally we are reminded first of Vivaldi's *Four Seasons Concerto* as program music, but here especially the examples of keyboard music are given. There are the suites of Francois Couperin and Jean Philippe Rameau, and also individual suites by Louis Claude Daquin and pieces by Jean Baptiste Lully. All the separate pieces have literary or descriptive titles, such as:

Les Papillons (Butterflies), Les Lys naissants (Lilies), Le Rossignol-en-Amour (Nightingale of love), Soeur Monique (Sister Monique) by Couperin

Le Rappel des Oiseaux (Bird's Choir), La Poule (The Hen), L'Egyptienne (Egyptian woman), Les Cyclopes (Cyclopes-giant) by Rameau

L' Hindrondelle, Le Coucou (Cuckoo), La Melodieuse (Merry Melody) by Daquin

All the titles suggest an extra musical association. But this does not mean that all the music has detailed stories or musical passages which can be identified with specific images. The musical passages which are related to images can be accepted by the interpreter in individual ways. The same titles can be interpreted differently. Especially in Schumann's works the titles are sometimes enigmatic or they were given very private names by the composer. It is very important for research into Schumann's music to know the origins of the titles and how they are presented in

each piece. Also Schumann's interest in short forms and in the main characters in his music are focused on here.

2.3 The Need for the Study

The Romantic period focuses on the emotions and imaginable aspects of the human being, much more than during the other musical periods. Numerous programmatic and literary related examples can be found in this period, including Felix Mendelssohn, Franz Liszt, Louis Spohr, Karl Loewe and Richard Wagner. Schumann's music is often compared with other his contemporary musicians. For example his music is compared with that of Brahms whom Schumann himself supported (but they are different in musical character) or with his wife Clara Schumann or even with Frederic Chopin, who had not intended to write program music.

As Jim Samson in his book *Ballade Without Words* suggested, most of the short pieces of the Romantic era have similarity with songs without words. But Schumann's concept of literary related music is different from the concept of other contemporary composers. Mendelssohn, Carl Maria von Weber, Chopin or Liszt did not have such a great literature background, although they have all composed characteristic pieces with literary titles. As we know, many composers have a relationship with literature. For instance, the Faust theme has been used numerous times in music history. Literary names were used as titles for explanation in the Romantic era. Some literary works (*Romeo and Juliet*, *Kreutzer*) were used as programs for music. More poetic ideas were used by the Romantic composers than in the Classical period. But there was no one who had such great literary knowledge and poetic ideas as Schumann.

As mentioned in the hypothesis, there are many pieces of biographical research. Through the effort of valuable scholars and musicologists, many studies of Schumann already exist. So today we know that Schumann's compositions are related to literature and that there are two characters – Florestan and Eusebius – which Schumann has used as pseudonyms and which are double-sided characters of Schumann himself. Among his keyboard compositions some pieces like *Kinderszenen* and the *Piano Concerto* in A, Op. 54, were frequently focused on by scholars and doctoral candidates who intended to study them as Ph. D. topics. There

is an excellent research about *Kinderszenen* op.15 by Thomas Koenig⁹ and Rudolph Réti¹⁰. Although Schumann's piano works are studied many times and still issued by scholars, there is a need for systematic studies of his piano works. There is a lack of performance-interpretation and musical character with the literature background study.

The two characters, Florestan and Eusebius, have a very important role for the understanding of Schumann's music. They are generally related to the music's character so directly. The curious thing is that Florestan and Eusebius are better characterized in Schumann's piano pieces than in orchestral compositions or any other genre. Specifically these characters are well revealed in short pieces more than in long compositions. It is also important to know that Schumann was himself a poet at the same time. In this research his interest in poetic and literary ideas also has a very significant role, because it is directly related to the short miniature forms.

Scholars like Walter Gieseler say that concerning the word 'romanticism' among composers Schumann is the only one who can be described as truly 'romantic'. 'Wenn das Wort Romantik in der Musik im Vollsinn treffen sollte, dann koennte wahrscheinlich nur Robert Schumann allein als wirklicher Romantiker unter den Komponisten gelten.'¹¹ (Gieseler 1981: 62) (If the word romanticism should encounter in the music in the full sense, probably we could count only Robert Schumann alone as an actual romantic among the composers.)

In this thesis some of Schumann's miniature piano pieces and the subject of how his miniature collections are related to programmatic ideas are analyzed. This is because it is very important for the pianists and interpreters of Schumann to know how the literary ideas are presented in the pieces.

⁹ Hermeneutische und formanalytische Untersuchungen. Thomas Koenig. Edition text kritik GmbH. 1982

¹⁰ Schuman's Kinderszenen: quasi Thema mit Variationen. Rudolph Réti. Ibid.

¹¹ Edited by J. Alf and J. A. Kruse, *Universalgeist der Romantik*, W. Gieseler says in his chapter Schumann's frühe Klavierwerke im Spiegel der Literarischen Romantik

2.4 Analysis Based on the Literary Sources

To define the relationship between music and literary sources, some methods of analysis were used for the thesis. There are three kinds of approach: one is for music, another is the literature survey, and the last is for the comparison of both. This kind of field research between literature and the other arts belongs to comparative literature in literary criticism. There are various theories for the methodology in this field. A pioneer in this field, Lawrence Kramer, recommended the 'tandem reading of musical and literary works'. (Wolf 2002; 13) Calvin S. Brown suggests the structural analogies between the two arts. (Brown 1970; 97-107) Steven Paul Scher even discussed the possibility that music can be verbal. (Scher 1970; 147-156) Traditionally this musico-literary research begins with the thematization and imitation of different media. The system of analysis is briefly introduced here showing how the author worked on the interrelationship of both genres.

First, for the music, the traditional form and harmonic analysis were used basically. Some beginning passages are compared and corresponded with Caplin's classical form analyzing methods which provide the typical pattern of the composer's presentation of the themes. Specific musical motifs, figures, rhythms, tempi, musical indications, and thematic phrases are studied, too. Besides, it was necessary to collect the background information and sources which are related to the individual music, for the analysis and the interpretation. As mentioned before there were the writings and letters of the composer himself. They were the main clues to correlate the music and literature. For example Schumann points out exactly which sentences are related to which measures of the music. This kind of direct correlation gives the opportunity to make similar cases in other works, too.

Second, in the literature part, it has been necessary to read related novels and make comparisons with musical phrases. Because of the difference in length of sources, it was necessary to make literature reviews of various depths, longer for novels than for poems. Generally authors of literature reviews evaluate a body of literature by identifying relations, contradictions, gaps, and inconsistencies in the literature.¹² Thus it was the first step for the research to organize the chapters and make literature

¹² <http://depts.washington.edu/psywc/handouts/pdf/litrev.pdf>

reviews. After summarizing the contents of the literature, it was easier to make comparisons with the musical ideas. The main concern of the author was to figure out the literary influences on the selected musical works. Subsequently only related factors from the literature are discussed in order to evaluate the relationships.

There are some specific novels which are mentioned by Schumann and other novels which are chosen by the author. The main reason for the selection of the literature was the titles, having the same names. As a result, if the music had individual titles like chapters in a novel and more descriptive indications for the music, it was easier to recognize the relationship. In the other case, the analysis could lead to controversy. After the possibility of the relationship between music and literature is examined, the musical examples and the paragraphs or plots of the literature are shown in the thesis. In addition to this, a new literary approach, musical narratology, is used for the analysis of the musical plots from the viewpoint of the narrator.

Finally, after the separate analysis was done, the possibilities of related issues were considered in many different ways of thinking. Sometimes the result came directly from the written evidence, which is Schumann's original concept for the music. For example, the titles or notes having the same name, specific musical characters, and the plots for each collections are objective sources. However, there were also obscure, subjective results which are difficult to figure out through stylistic comparison. It becomes even more obscure if it concerns the hidden meanings from the literature such as poems. Generally poems are more difficult to interpret correctly in an objective way. To support the relationship between the poem and the music, in addition to the characteristic mood analysis, various attempts about formation has been studied. For example, the length of the form, the strophic use of the musical ideas, and the structure of the stanzas and musical periods are interesting. Although this kind of approach had existed in music related to symbolism, the formal framework or categorization methods have not yet been established in musicology. This means that there are always possibilities for critical points in the interpretation even in the data analysis. For instance, *Fantasiestücke* and *Kinderszenen* are more complicated to analyze than *Carnaval*, which has definitely clear figures. *Waldszenen* has a similar collection of titles, which can be seen in the songs typically. Thus only objective results have been presented by the author, with the musical evidence and examples.

First of all it was necessary to understand the meaning of the titles of Schumann's works. His titles are generally written in German, and also rarely in French. The German titles are normally descriptive words and some specific names of those whom he admired or loved. There are two types of titles: the title of the whole collection and the title of individual pieces. In the category of "Works without Literary Titles" there is a title of the whole collection although the individual pieces have no titles. The interesting point is that in the understanding of titles we must be more cautious in the "Without Literary Titles" section than in the "With Literary Titles" section, because they have more symbolic or hidden meanings although they do not have literary titles for the individual pieces. Here is the huge difference between absolute music and program music for the interpreter. Of course before we learn a piece of a composer, we study when, how, and in which circumstances it was composed. But in this kind of program music, we need to figure out the hidden meanings of the name and character of the work.

Fortunately many Schumann studies exist, so it is not difficult to recognize the meaning of the titles. In addition to this, now scholars can access letters and diaries of Schumann easily. Schumann himself wrote much information in his letters and diaries. There are also many other letters and personal notes of his wife Clara Schumann and of many friends of Schumann, such as Flechsig¹³, who was a close schoolmate of Schumann. Through these original sources the meanings of titles can be understood undoubtedly. But all the images and moods can be understood differently by interpreters unless Schumann makes it clear. There is an episode about the *Appalachian Spring* of Aaron Copland. Copland was amused when a listener said that when she listened to *Appalachian Spring*, she could see the Appalachian and feel the spring. Copland says that the title had been a last minute thought. There is another episode about Chopin's *Variation on the La ci darem la mano* op.2.¹⁴ But Schumann is certainly unlike this. Like Schubert in Lieder composition Schumann intended always to unite the poems to the music. Schumann

¹³ Emil Flechsig was close friend of Schumann in Zwickau, also during Schumann's days as a law student in Leipzig. He became later deacon of the protestant church of St.Mary in Zwickau.

¹⁴ After F.Chopin's debut with *Là ci darem la mano, varié pour le Pianoforte, Op.2* in Germany, one article from the *Allgemeine Musikalische Zeitung* was issued sensationally. (From Selected Correspondence of Fryderyk Chopin, translated and edited by Arther Hedley, Heinemann, London, 1962, McGraw Hill, New York.)

himself said: “Lieder is like poet and composer in one person.” “Song unites the highest, word and tone.” (Daverio 1997: 203)

Most of his pieces with titles present pictorial images like landscapes or domestic life scenes or certain emotions. In his *Kinderszenen* or *Waldszenen* we can imagine how it is like a picture with a certain mood. In order to understand *Kreisleriana*, the best way seems to read E. T. A. Hoffmann. Titles like *Arlequin* and *Replique-Sphinxes* are epigrammatic. *Vogel als Prophet* seems enigmatic. *A.S.C.H.-S.C.H.A.* is perfect word playing.¹⁵ Everyone can imagine the intended subject of the music in their own way, and interpret it differently. But respecting the idea of authentic interpretation which is based on the composer’s, thus knowing the literary ideas, is basic in Schumann research. Although music is a tone language, if we must introduce it in written words, it must be presented in verbal language. On this point, Schumann himself gives abundant verbal information for his work, because he was at the same time a music critic and a talented devotee of literature. Ironically, it will not be proper to understand his music without literary connections.

In this study certain images and motifs which reflect certain moods or literary ideas are studied, so not harmonic analysis but motif and form analysis were used more frequently. In order to concentrate on miniature pieces, long works like the sonatas and the *Fantasie* were excluded. *Konzertetüden*, *Symphonische Etüden*, *Studien*, and *Fughes* were also excluded because they are more intended for the aim of practice or study and they are less connected with literary ideas. *Arabeske*, *Blumenstück*, *Humoreske*, *Nobelleten*, and *5 Gesänge der Frühe* are not included although they are certainly related to literary ideas because of the inability for the capacity to take account of all the important factors in this study. Excluding these, eight miniature piano cycles have been chosen: *Carnaval*, *Phantasiestücke*, *Kinderszenen*, *Waldszenen*, *Papillons*, *Davidsbündlertanze*, *Kreisleriana*, and *Nachtstücke* which all have literary titles. They have been divided into two sections for the comparison. The first four are *Carnaval*, *Phantasiestücke*, *Kinderszenen*, and *Waldszenen* which

¹⁵ Schumann symbolized the name of his fiancée’s hometown, Asch, as musical tones. This kind of practice existed since the sixteenth century, especially by Josquin Des Prez. The technique *soggetto cavato dalle vocali*, ‘subject theme drawn from the vowels’ is named by G. Zarlino. After him we can see the examples of this technique in the works of J. S. Bach and Schumann. For example the themes of Bach’s fugues are established on the letters in his name, B (in German B flat), A, C, and H (in German B).

have more descriptive titles for each of the separate pieces in the cycle. The other four cycles have literary titles but there are not descriptive titles or explanations for individual pieces in the cycle. In this research it has been studied how literary ideas are presented in the individual selected pieces.

2.5 Major influences in Schumann's pieces

2.5.1 Jean Paul Richter's influences

“Jean Paul, I stood by your grave and wept as you looked on and smiled at my tears.” Schumann (April 1829. On a trip to Munich with his friend Gisbert Rosen, he passed through Bayreuth, Jean Paul's home.) Among all the past or contemporary writers Jean Paul Richter (1763-1825) was his favorite. Schumann was very strongly influenced by Jean Paul's novels in his writings. During his high school years (Gymnasiaten) he read *Die unsichtbare Loge*, *Hesperus*, *Titan*, *Flegeljahre*, and *Siebenkäs*. Already in his youth Schumann was able to state unequivocally in a letter to Flechsig. “Jean Paul still takes first place with me, and I rank him above all, even Schiller.” (Daverio 1997: 36)

Schumann wrote ‘*The Editor's ball*’¹⁶ for the *Neue Zeitschrift für Musik* (NZfM) resembling the style of chapter 63 ‘*Masked ball*’ from the *Flegeljahre* of Jean Paul. Here we can realize very directly how Schumann has used the scene from the *Flegeljahre* in his critical article. The title he used for his article is similar to the title of the novel, and even he narrates in a Jean Paulian manner. The characters Vult, Walt and Wina are changed into Schumann himself, his friend De Knapp (actually Karl Banck), and Beda (Clara Wieck). Schumann also used the *Masked Ball* from this novel in composing *Papillons* and *Carnaval*.

To return to the central figure of Jean Paul Richter, Schumann spoke so often about him. For example, “When I listen to music resembling Beethoven, truly it is as if someone is reading Jean Paul out loud; Schubert is more like Novalis.”¹⁷ (Gieseler 1981: 63) Schumann reports that he even learned the counterpoint from Jean Paul,

¹⁶ Translated and edited by H.Pleasants(p.128), Schumann on Music, Schumann wrote this article in 1837 with the title ‘A Report to Jeanquirit in Augsburg’. According to Pleasants De Knapp is a fractured anagram of the name of Karl Banck (1809-1889). Banck was Schumann's rival for Clara's affections.

¹⁷ Walter Gieseler says that the 18 years old young Schumann wrote in 1828 from his chapter ‘Schumanns frühe Klavierwerke im Spiegel der Literarischen Romantik’. Translated by H.S. Tekin

saying this, “Don’t you know Jean Paul? Our great writer? From him I have learned more counterpoint than from my music teacher.”¹⁸ (Gieseler 1981: 63)

These letters show us how important Jean Paul was in Schumann’s life:

If the whole world read Jean Paul, it would certainly be a better, but unhappier place – he has often brought me close to madness, but the rainbow of peace and human spirit always hovers delicately over all the tears, while the heart is wondrously elevated and tenderly transfigured.¹⁹ (Daverio 1997: 36)

Jean Paul has seldom appeased but always enchanted me and although an element of dissatisfaction, like an eternal melancholy, resides in this enchantment, I feel afterward a sense of inner well-being comparable to that of a rainbow arching over the heavens in the wake of a storm. (Daverio 1997: 38)

Daverio insists even that Jean Paulian manner may likewise be detected in Schumann’s frequent recourse of wordplay, unusual turns of phrase, neologisms, and even to “Polymeter” or *Streckvers*, Jean Paul’s term for freely metered but non-stanzaic prose-poetry.

Ostwald concludes that Jean Paul has an ability to combine the rebellious mood of Sturm und Drang with more traditional, conventional attitudes. (Ostwald 1985; 25) This dualism is well revealed in his main characters which are presented generally as two contrasting people. As explained in the Introduction (p.6) they became also the models for the creation of Florestan and Eusebius of Schumann. Jean Paul himself said about the ‘alter ego’ that it comes from people who can see themselves. In other words Schumann’s creatures, Florestan and Eusebius, were also his double personalities. Ostwald says, “His audacious, more manly self he called ‘Florestan’ and his shy, passive self he called ‘Eusebius’.” (Ostwald 1985; 26) Indeed, Schumann described himself always as two persons. He even proposed to Clara as two persons²⁰, and he dedicated *Davidsbündlertänze* to Walter v. Goethe as two persons. Furthermore I conclude that Florestan is related to Sturm und Drang, and Eusebius to the Biedermeier. Ostwald’s reference to the ‘traditional and conventional attitude’ is exactly a feature of the bourgeois class. German Romanticism itself deals centrally with bourgeois literature.

¹⁸ Schumann wrote to S.de Sire on 15.03.1839.

¹⁹ Ibid. From Briefe, Neue Folge, p.5.

²⁰ See the poem of Schumann, Appendix A

With the influence of Jean Paul, Schumann wrote novels such as *Juniusabende und Junitage* (June Nights and July Days) which is unfinished. This novel deals also with the loneliness and melancholic mood in a life which is similar to Jean Paul's.

Jean Paul and Hoffmann had something in common with Schumann: they all lost their fathers early in their lives. Jean Paul had also a close friendship with E. T. A. Hoffmann who influenced Schumann as well as Jean Paul so much. Jean Paul even wrote the preface of *Fantasiestücke in Callot's Manier* of Hoffmann. Both of them were interested in music: Jean Paul's father was an organist and Hoffmann worked as music director, critic, and composer. In their novels they sometimes wrote about musicians, too. Although their literary concepts are different, the similar thing is that both writers were concerned with loneliness and melancholic sadness in life. In addition to this the love of nature can be seen in all three persons although this can be understood as a general factor of Romanticism.

Among Schumann's works, *Papillons'* idea comes from the *Flegeljahre* of Jean Paul and the *Blumenstücke* has the same title as the *Siebenkäs'* subtitle²¹ of Jean Paul. Jean Paul's influences are not only on the keyboard music but also on his life style and oeuvre. The HHB (Marriage diaries) and his TB describe many times how Jean Paul's idea inspired Schumann. After marriage Schumann urged Clara and his family to read Jean Paul. (Ostwald 1985; 167) Sometimes Schumann even complained also that Jean Paul drove him mad. But this means that Schumann was so strongly attached to the Jean Paulian world. This endless love or obsession with Jean Paul continued throughout his life. While Schumann was preparing for his 'Poet's garden'²² anthology, he reread all the books by Jean Paul. (Ostwald 1985; 258) Finally in his Endenich period (1854-1856) he asks Clara about his autograph collections of Goethe, Jean Paul, Mozart, Beethoven, Weber, and his own correspondence and publication. Jean Paul is the only *littérateur* among the other musicians in whom he was interested.

Now it is very clear that Jean Paul has influenced Schumann very strongly throughout his life. We can guess that Schumann even lived in Jean Paul's world in

²¹ The novel *Siebenkäs* has a subtitle *Blumen-, Frucht-, und Dornenstücke oder Ehestand, Tod, und Hochzeit des Armenadvokaten F. St. Siebenkäs*.

²² The *Dichter's Garten* (poet's garden) is an anthology of quotations about music, which was never published. We know about it from letters and diaries.

his mind. He used also the writing style, which is also Hoffmann's, of Jean Paul: all his diaries of show the same style of notification. The problem is to find the connection between the literary style and the musical style. These ideas are examined and evaluated in this analysis.

2.5.2 E. T. A Hoffmann's influences

In contrast to Jean Paul's influences, the influences of E. T. A. Hoffmann (1776-1822) are not adequately revealed to the public. To understand *Kreisleriana*, Op. 16, we must know the fictional character Johannes Kreisler of Hoffmann. It is now well known that Schumann's *Kreisleriana* is influenced by Hoffmann's *Kreisleriana* essays and the novel *das Lebensansichten des Katers Murr* (Life and Opinions of Tomcat Murr). Although Schumann, through the letter from the year 1838, emphasized more Clara's influence on *Kreisleriana*, the influence of Hoffmann must also have been exerted. In the *Kreisleriana* analysis the close similarity and relationship between the fictional figure and Schumann are well revealed. It is also noticeable how the music shows the characters and feelings of Kapellmeister Kreisler.

In addition to this, both Hoffmann and Schumann are representative characters especially in German Romanticism. The word 'romantic' comes originally from the German word 'Romantik'. The German 'Roman' means 'novel', therefore 'romantic' means 'novel-like' or 'from a novel'. Naturally in the novel you have limitless freedom to describe. Similarly in this period it is believed that music can describe all human feelings, nature, landscapes, and all possible sounds. Hoffmann and Schumann were interested in music and literature. In fact Hoffmann's main genre was novels although he was a music critic and composer, too. Schumann was mainly a composer and music critic although he wrote poems. Thus they become together integral to the Romantic movement, both in literature and in music.

Schumann mentioned in his diary²³ of 5 June 1831, "Read that accursed E. T. A. Hoffmann in the evening...One hardly dares to breathe while reading Hoffmann...Continual reading of Hoffmann. New worlds." (Daverio 1997; 71) Daverio asserts that Schumann is devoted to Hoffmann as much as he was to Jean

²³ Ostwald quotes the same diary entry in his book. But Daverio's translation seems better.

Paul. Actually Schumann even tried to write a novel *Wunderkinder* (Child Prodigies) which strongly is influenced by Hoffmann. Schumann selected the novel *Doge und Dogaressa* of Hoffmann for his opera project, too.

As mentioned in the Kreisleriana analysis, Schumann and Kapellmeister Kreisleriana have many things in common. Again Schumann and Hoffmann are also very similar in many points such as character and interest. There is a very interesting common theme of Jean Paul and Hoffmann. It is a troubling character with a shadow or twin image. Daverio comments very intelligently and precisely about the narrative style of both authors. He points out the differences definitely, thus:

The terrors of the divided self or Doppelgänger, a favored theme for both authors, are ameliorated in Jean Paul's world by a generous dose of humor, ...Hoffmann allows for few such concessions to the reader's sense of well-being. His is a shockingly contingent and mutable universe in which quotidian reality can turn, at any moment, into a terrifying fantasy world. Moreover, he links this contingency directly to the person of the artist, whose access to the darker side of being is more a curse than a blessing, for it can lead, in the most extreme cases, to madness. (Daverio 1997; 72)

It is true that stories from the *Nachtstücke* lead to an eerie and horrible mood. Actually the novel *Sandmann* deals with the fact of 'madness'. Clara once commented on the *Kreisleriana* that there are extremely violent passages. It is thought that from such passages we can see Hoffmann's influences. The sudden mood swings are also typical of Hoffmann's literary style which we can see often in the *Fantasiestücke* and *Kreisleriana*. The truth is that Hoffmann is more negatively related to the divided self, and Jean Paul is more related to the Doppelgänger in respect to their active and passive images. Thus Florestan and Eusebius, consequently, are the result of Schumann's self recognition and the influences of these authors.

2.5.3 Schubert's influences

Schumann was thrown into such an agitated state by the news of Schubert's death on 19th November 1828 that his roommate "heard him sobbing the whole night long". (Daverio 1997: 34) Among Schumann's favorite composers, Schubert plays a very important role, even more than Beethoven. Perhaps for Schumann's symphonies Beethoven might be a musical model, but in keyboard composition and literary connection Schubert's influence must be evaluated justly.

Generally Schumann's keyboard music has dance rhythm and is in ternary form; it is a mixture of songs and the Viennese waltz style. Enormous evidence shows that Schumann's waltz rhythmic style comes from Schubert's. Even the use of the short forms and miniatures by Schumann resembles the music of Schubert although their intrinsic musical nature is different. Both composers were very poetic, thus both are representative with Brahms in German songs genre. Although they have also delightful works, there are many painful, gloomy, and sad pieces. This may be because they lived mostly in sadness and inner struggle. Their emotions are symbolized in their music. Schubert's music reflects his sadness ironically and presents more in a passive way. Relatively, Schumann's represents it more naturally and in an active way. For example Schumann's inner struggle comes out as a storm; Schubert's trouble comes out as a wintry wind. Even though Schubert's has a deep hidden sorrow and grief nevertheless the music is often in major mode and has delightful rhythms. However both present a musical style which is influenced by poetic imagination.

It was very important for Schumann that he made a friendship with Schubert's older brother, Ferdinand Schubert in Vienna. According to his TB Schumann visited Schubert's modest flat and there discovered many unknown compositions including the great C major symphony. (Ostwald 1985; 145) Schumann wrote about the symphony: "It is like a thick novel in four volumes by Jean Paul". In addition to this Schumann compared Schubert with various famous novelists, "Schubert ist Jean Paul, Hoffmann und Novalis in Tönen ausgedrückt."²⁴ (Gieseler 1981; 63) (Schubert expresses Jean Paul, Novalis and Hoffmann in tones.) Furthermore he often related Schubert's music with Goethe: "Schubert's Variations are thus the composed novel that Goethe has yet to write...Schubert's variations are the most perfect romantic portrait, a perfect novel in tones." (Daverio 1997; 43) Schumann even said, "Schubert is still my 'one and only' Schubert, especially as he has everything in common with my 'one and only' Jean Paul; when I play Schubert, I feel as if I am reading a romance of Jean Paul's set to music".²⁵ (Daverio 1997; 47-8)

If we examine Schubert's variations, collections of waltzes and Ländler, they are generally in dance style like Schumann's. With the exception of the sonatas, the

²⁴ Daverio quotes also the same sentence in p.47 of his book.

²⁵ Daverio writes that this is from the letter of 6th November 1829, in Jugendbriefe, p.83.

collections in particular contain mainly small pieces such as *Fünf Klavierstücke*, D.459, *Moment musical*, D.780. By accident both the passionate Fantasies, which are related to poetic ideas, are in C major. Most of all, the sequential musical style and simplicity in musical flow are very similar in both composers.

Here is again some notes of Schumann on Schubert.

Apart from Schubert's, no music exists that is so psychologically unusual in the course and connection of its ideas, and in the ostensible logic of its discontinuities... What for others was a diary in which to set down momentary feelings was for Schubert a sheet of music paper to which he entrusted his every mood, so that his throughly musical soul wrote notes when others wrote words. (Daverio 1997; 48)

The unusual musical flow of Schubert's music can be understood as an unexpected mood swing of Schumann. He describes about Schubert that Schubert's musical soul wrote notes. Just as Schubert, Schumann has also similar musical style which shows the emotion and the most inner feelings through the music.

2.5.4 Florestan and Eusebius

Schumann writes in *Hottentotiana*, the diary he began keeping just after settling in Leipzig: "I have often asked myself, where I might be had I not gotten to know Jean Paul; yet he seems on the one hand to be interwoven with my inner being, as if I had an earlier premonition of him."(Daverio, p.38)²⁶ We can see that in Jean Paul's novels he presents always two different characters like Albano and Schoppe [*Titan*], Siebenkäs and Leibgeber [*Siebenkäs*], Vult and Walt [*Flegeljahre*], Gustav and Fenk [*Die unsichtbare Loge*], Flamin and Victor [*Hesperus*]. Florestan and Eusebius are also creations of Schumann himself imitating the characters of Jean Paul's novels. Schumann says: "Florestan und Eusebius ist meine Doppelnatur, die ich wie Raro gern zum Mann verschmelzen moechte"²⁷ (Stock 1907; 58) ("Florestan and Eusebius is my double nature which I would like to melt like Raro giving pleasure to people.")

Florestan and Eusebius and Raro are pseudonyms that Schumann used for his journal and each depicts the contrasting personality of Schumann. They appeared for the

²⁶ *Hottentotiana*, the diary Schumann began on 2 May 1828 and maintained faithfully until 1 April 1830 (with only one major interruption between August and November 1829 during his travels in Switzerland and Italy), evinces an even more markedly literary quality than the earlier *Tage des jüingling-lebens*. Hottentots is named by Schumann for his diary.

²⁷ Edited by Karl Stock, *The letters of R.Schumann*, translated by Hannah Bryant
Letter to Heinlich Dorn on 14.Sep.1836

first time officially in a criticism to the work, *La ci darem la mano* of Chopin in 1831. They were presented as main figures in the criticism which was written in a novel-like form, and signed with the pseudonym *Julius* in the *Allgemeinen musikalischen Zeitung*. Likewise E. T. A. Hoffmann used the literary figure *Kapellmeister Kreisler* as a pseudonym.

Here is the interesting birth story of Florestan and Eusebius. According to Ostwald, the name, Florestan comes from the hero, the husband of Leonora, the character from the opera *Fidelio*. (Ostwald 1985; 77-79) In the opera Florestan is a just person who fights against the illegitimate governor. Schumann's creature Florestan is also a leader of the *Davidsbündler* who fights against Philistine art. In this respect Beethoven's Florestan and Schumann's Florestan are similar. If we think about Schumann's admiration for Beethoven, it must be true. The origin of the name, Eusebius, is generally known as coming from the Christian saint from the fourth century.

Generally Florestan is Schumann's active, impatient and passionate character. Eusebius is the passive side of Schumann's double-sided character. Generally *accelerando*, quick tempi, strong *f-ff* dynamics, and thicker texture are related to Florestan, and *adagio*-like slow tempi, *espressivo*, soft *p* dynamics, and thinner texture present Eusebius. Schumann represents these double-sided characters in his music, making short character pieces. For example in *Carnaval* there are titles directly named as Florestan and Eusebius. It seems like *Davidsbündler* contains character suites of Florestan and Eusebius themselves.

In a certain period the main characters are still Florestan and Eusebius if the pieces have a literary title or not. And they are related to the tempi so directly, that even the tempo of the particular piece depends on the character of Florestan and Eusebius themselves. This kind of characterization of the tempi, rhythms, metrical ways, texture and expression indications can be observed over the whole works of Schumann.

2.6 Limitations of the Data Collection and Interpretations

Karl Laux said, “It is easy to write a Schumann biography [because Schumann wrote it himself]. It is difficult to write a Schumann biography [because the modern biographer must chart the composer’s relationships to his complicated and contradictory social surroundings].” (Daverio 1997: 4) There are rich information sources, such as diaries, marriage diaries (the *Ehetagebücher* jointly kept with Clara beginning from September 1840), travel notes, and household account books (*Haushaltbücher*). It was very helpful to know German, because the access to some major sources was only in the German language especially. By a fortunate accident it was possible to buy very old and original letter collections of Schumann’s from an antique bookstore in Berlin. Generally the collection of sources was not difficult for the author. The main access to source books and articles was from the Staatsbibliothek in Berlin, Hochschulbibliothek in Berlin, and the Amerika Gedenkbibliothek. *Robert Schumann Gesellschaft Zwickau* has many original sources and supports researchers. The German national libraries hold series and collections of research books on Schumann.

However, there are dangers of misunderstanding and incorrect interpretations, not only in the musical analyses but also in the interpretations of the sources. Even the translation from German to English was something which could cause wrong interpretations. Indeed there were slightly different translations not only in the doctoral theses but also in books published by famous presses. Some sources are translated by the author, but the confusing texts are translated by professional translators. It must be admitted that translations of literature or poetry were very difficult even though by professionals.

Additionally there can be conflicts among scholars. For example, Daverio argues with Peter Ostwald who is also a prominent author of a very important Schumann biography, because Daverio thinks that Ostwald’s interpretation of Schumann’s diary notes is mistaken. It seems that Ostwald has somehow a preconception about Schumann. For example some of the diary notes of Schumann can be confusing because of their metaphoric meanings.

In this thesis the metaphoric meanings are focused on the particular musical styles related to Florestan and Eusebius. It is mainly studied in the selected pieces,

sometimes including other piano music, as much as possible. But it was impossible to analyze the complete oeuvre of Schumann. The musical styles of Florestan and Eusebius can be related to other genres, too. This could be another topic for a thesis. Substantially Florestan and Eusebius's birth place is the *Davidsbündlertänze* and their main presence is in the keyboard music genre. So this will be meaningful although it has limitations.

At the end of the thesis some unknown poems of Schumann are collected and translated. Among the appendices a compact disc which contains the soundtracks of the musical examples used for the thesis is provided. This CD is intended to help the understanding of the compared examples easily, because it is not practical to find their place in the middle of a regular CD. Thus it is played and recorded by the author although there is a list of available CDs. Generally, to understand the subject of this thesis, it is necessary to know all the related music. However, this CD will help at least to understand the main themes and motifs even for non-musicians, too.

This subject - Schumann and literature – is chosen by the author, because this kind of literature-music connection is very important to understand Schumann's music. Curiously there are no such approaches similar to that with which will be compared Schumann's music and literary aspects using the narratology method, although many kinds of Schumann research exist. So this research may be subjective and even tentative. But this kind of method of study will be helpful to examine the piano works of Schumann.

3. RESEARCH ON THE RELATED ISSUES

3.1 Music and Literature

Schumann ended his speech about ‘Über die innige Verwandschaft der Poesie und Tonkunst’ (The intimate kinship between the poetry and tone-art) with a poem²⁸ when he was seventeen years old and still in high school. The young Schumann praised the poet gloriously as a noble being. He stresses how beautifully the poet’s song and tone can unite in harmony. His poem shows how strongly Schumann was interested in literature. In addition to this, the poem has carefully organized meters which come from the ending words such as Camönen, Schönen, krönen, belohnen, and Kronen in every other line from the first verse. In the second verse in the uneven lines there are words such as Saite, Gebäude, and Streite. Generally almost in every even number line we find Wort, fort, ort, erhebt, überschwebt, and lebt which end always with ‘t’.

From earlier times Schumann had been strongly interested in literature and music. The young Schumann used to compose Lieder and even tried to publish them. Plentiful evidence suggests that he gave much importance to the relationship between music and literature. It is a natural result that Schumann’s Lieder have an outstanding place in his oeuvre. However, not only Lieder but also piano music has a close relationship to literature.

The influence of extramusical sources on the works of Schumann is very important and essential in the study of his work. From many sources such as diary notes, we know definitely the background thoughts of Schumann when he was composing *Papillons*, op.2. The *Carnaval* op.9, *Fantasiestücke*, op.12, *Kinderszenen*, op.15, and *Waldszenen*, op.82 which I have selected for analysis and which have their own particular literary stories. In a similar way his *Fantasie*, op.17 has no specific titles but is based on a poem by Schlegel. The *Sonata*, op.11 has no description but it is

²⁸ The German and English translated poem is added as Appendix B.

marked that it is dedicated to Clara from Florestan and Eusebius. The fact that Schumann used his pseudonyms as the dedicators is alone very interesting, because the pseudonyms are literary figures themselves. The *Novelletten*, op.21 means small novels although it has no official direct relationship to the literature. The *Davidsbündler*, op.6 can be regarded as a musical dialogue between Florestan and Eusebius. I do not assert that all of Schumann's music is literary related. For example there are also works such as *Toccata*, op.7, *Allegro*, op.8, and *Sinfonische Etüden*, op.13, which are not directly related to extramusical ideas.

However, the main spirit of Schumann's music cannot be considered without its extramusical, especially literary sources. The purpose of this research has been even to concentrate on not only the conscious but also the unconscious influences to the music. The unconscious influence of Jean Paul and Hoffmann must be studied regarding its significant stylistic connection. The *Kreisleriana*, op.16 is a musical portrait of the same-named novel by Hoffmann. The title of the *Fantasiestücke* and *Nachtstücke*, op.23 also come directly from the novels of Hoffmann. Furthermore as asserted in the *Kinderszenen*, it is also influenced by the novel *Das fremde Kind* of Hoffmann, although there is no clear obvious information between them. Only through reading the novel, we can understand somehow better the meanings of individual titles of music, and we are aware of how similar the concepts of both the story and the music are.

Schumann himself discussed the relationship between music and literature many times. He emphasized his personal interest in the 'genre song' which is a collaboration of music and literature. Schumann said, "Song unites the highest things, word and tone, the latter an inarticulate letter in the alphabet of humanity; it is the purely extracted quintessence of the spiritual life." (Schumann 1971; 105) He set his songs to the poems of his favorite poets such as Chamisso, Eichendorff, Heine, Goethe, Rückert, Schiller and Schlegel. It is a natural result that Schumann said, "My songs were intended as an actual reproduction of my inner self; but no human being can present something exactly as the genius creates it..." (Schumann 1971; 112) He also used to assert that "tones are higher words" regarding his belief that music has a superior place to that of literature. He especially emphasized the importance of poetry rather than novels for collaboration with music. Schumann has some operas and theatrical plays, but most of his text-related oeuvre is Lieder (song).

Many romantic composers used literature and poetry as the literal text of their works. Generally program music employs a clear, explanatory storyline, musical themes associated with particular characters. So if the characters change, the musical texture changes, too. With this viewpoint Schumann's music has been discussed by scholars concerning whether it must be regarded as a program music or not.

Although Schumann has not always set 'the program' for the works, his piano pieces cannot be considered without extramusical sources. He drew his inspiration from poetry and drama; the short pieces are especially related to poetry. Again Schumann said, "Music is poetry raised to a higher power; spirits speak the language of poetry, but the angels communicate in tones." (Schumann 1971; 96) In the Romantic period it became popular for music to be compared to a literary genre. For example Liszt created a wholly new genre: the 'tone poem'. Schumann made a similar evaluation: "Schubert's variations are the most perfect romantic portrait, a perfect novel in tones." (Daverio 1997; 43) Schumann generally equated Schubert with Goethe, but sometimes with a chemical compound of Novalis, Jean Paul, and Hoffmann from a diary entry of 15th August in 1828. (Schumann 1971; 111)

Schumann said an interesting thing emphasizing the importance of the possibility of purely musical drama: "Why should not there be such a thing as an opera without text? Now that would be most certainly dramatic. There's much for you in Shakespeare." (Schumann 1971; 96) His idea is based on rhetoric, it is a radical thought. This idea is close to the concept of the operas by Phillip Glass in the contemporary period. It is an opinion in which the purpose of my thesis is revealed well:

As regards the difficult question, how far instrumental music may go in the representation of thoughts and occurrences, many are far too timid. People are certainly mistaken if they believe that composers prepare pen and paper with the miserable intention of expressing, describing, and painting this and that. But chance influences and impressions from without should not be under-estimated. (Niecks 1907 ; 185)

The Romantic period in Germany began with a literary movement at the end of the eighteenth century. There is a general opinion, "Romanticism in literature is perhaps best exemplified by E.T.A. Hoffmann, whose best-known tales, such as *Der goldne Topf* (1814; *The Golden Pot*) and *Der Sandmann* (1816; *The Sandman*), turn upon a

tension between an everyday or philistine world and the seemingly crazed mental projections of creative genius.”²⁹ That is to say, Hoffmann’s novels deal generally with the suffering of characters in between the real world and a fantasy world. The poetry of Heinrich Heine, with its simultaneous expression and critique of Romantic sentiment, is also characteristic of this later phase of the movement.

Music in the Romantic period cannot be thought of without considering Romantic art, especially literature. The proper domain of Romantic art enables music to evoke the flood of impressions, thoughts, and feelings.³⁰ In musical Romanticism we generally expect more intense and personal expression than in earlier music genres. Many Romantic Lieder composers, such as Schubert, Schumann, Brahms, and Wolf had intimate union between music and literature.³¹ Not only songs but also instrumental music were influenced by the lyrical spirit in this period. From Schumann’s songs we know that he has had extravagant literature knowledge and himself had poetic talent. Furthermore his music was full of the spirit of the Romantic movement ‘Sturm und Drang’ and his life was turbulent as well as his poetical mind, too.

The Sturm und Drang (Storm and Stress) movement became popular through works such as *Die Leiden des jungen Werther* (The Sufferings of Young Werther, 1774) by Goethe and *Die Räuber* (The Bandits, 1781) by Schiller. There is a justification about this period.

The Sturm und Drang movement, with its emphasis on feelings and individualism, has often been described as having developed in opposition to the Enlightenment, but it also adapts and extends such basic ideas of early 18th-century rationalism as natural law, constitutional government, and the rights of the middle class, especially those of middle-class women.³²

The Sturm und Drang dramatists were concerned with bourgeois tragedy mainly, and the Biedermeier period in music is related to bourgeois society. In this point both movements are also related together in Romanticism in music. It is no wonder that

²⁹ www.britannica.com The encyclopedia explains broadly the works of the individual authors. Among them Hoffmann was famous with his fantasy literature.

³⁰ *A history of western music, (1996, fifth edition) D.J. Grout and C. V. Palisca. W. W. Norton company, p.564*

³¹ *Ibid.*

³² www.britannica.com The general human rights was raised with the life and right of the bourgeois. It was inner struggle between intellect and emotional intensity of the aristocratic class.

we can see both characters in Schumann's works, for example the domestic pleasure and sentimental voice in the *Albumblätter*, *Album für die Jugend*, and *Kinderszenen*. This mild character of Biedermeierian art is also the character of Eusebius. Contrastingly the passionate, emotional, and sometimes even self-destructive characters such as Florestan's are typical in the Sturm und Drang period.

Next to Goethe, and Friedrich Schiller with *Die Räuber* (*The Robbers*), who were favorite writers of Schumann, the major dramatists were Jakob Michael Reinhold Lenz, Friedrich Maximilian Klingler, Johann Anton Leisewitz, Heinrich Leopold Wagner, and Friedrich Müller. The other scholars say, "Their favourite male protagonists are titanic, revolutionary characters with self-destructive passions, fighting against the evils of the world and ending in defeat."³³ This explanation of the Romantic period describes exactly the personal character of Schumann. Especially the word 'self-destructive' suits only Schumann, not most of other contemporary composers or musicians. For example no one will agree that Mendelssohn is like that.

With the exception of this, in Jena (Germany), a group of writers started to form around Johann Gottlieb Fichte (1762-1814) who taught philosophy at the university of Jena. The group became known as the *Jenaer Kreis* (1796-1801), a leading force in early German Romanticism, and included Friedrich Schlegel, August Wilhelm Schlegel, Friedrich von Hardenberg (Novalis), and Johann Ludwig Tieck. (Cranston 1994; 28) The young Schumann spent his youth reading the works of *Jenaer Kreis* mostly in addition to Jean Paul and Hoffmann. He often mentioned them and compared Schubert with the works of Novalis. He added a poem by Schlegel at the head of *Fantasie*.

There is much evidence of how Schumann's interest in literature was revealed in music. For instance there is a novel *Blumenstücke*³⁴ by Jean Paul, which has the same title as Schumann's *Blumenstücke*, op.19. Both are similar in length and mood. They both have very calm and dreamy moods. Interestingly, the novel has a fade-out mood for its epilogue. The music even has a similar sound effect to the bell sound from the novel. Furthermore the explanatory method Jean Paul used for the chapters

³³ www.britannica.com

³⁴ The novel *Sibenkäs* has the two *Blumenstücke* like Intermezzo between musics.

in his novel, can be found so often in Schumann's diary notes. For example in Jean Paul's novel *Siebenkäs* he begins every chapter like this: "Flitterwochen lenettens – Bücherbrauerei – der Schulrat Stiefel – Mr. Everard – Vor-Kirmes – die rote kuh – Michaelis-Messe – the Beggars' Opera – Versuchung des teufels in der Wüste oder das Mannchen von Ton – Herbst-freuden – neuer Irrgarten". Schumann's way to note his daily life was in the same form: writing down simply the main things or mentioning the individual names – keywords. Schumann even titled his *Fantasie*, Op.17 as "Ruins-Trophies-Palms. Grand Sonata for the Piano for Beethoven's Memorial", before he titled it just as 'Fantasie'. (Ostwald 1997; 126) Probably Schumann's frequent marking of expression words came from this kind of notation.

3.2 Schumann and His Contemporaries

Liszt justified his elevation of Schumann from musical craftsman to *tondichter* (tone poet). Although it is unjustifiable, Carl Dahlhaus described Schumann's oeuvre as 'Hausmusik for cognoscenti'. Nietzsche spoke of "a dangerous propensity... for quiet lyricism and sottishness of feeling" about Schumann in his book *Jenseits von Gut und Böse* (Beyond Good and Evil). (Nietzsche 1966; 181) In Nietzsche's case, he generally viewed Schumann as a sentimental lyricist after he studied Schumann and Wagner's music from the early time steadily. According to Peter Rummenhüller, Schumann's critical activities serve as the focal point for a new, 'modern-bourgeois' artistic type: the musician-as-intellectual. (Daverio 1997; 19) Simply said, there are many differing opinions about Schumann as a poet, lyricist, musician, composer, and critic. This means also that Schumann was active in various occupations including as music director and intellectual aristocrat. Only a few composers among his contemporaries, such as Hoffmann, Berlioz, and Wagner, were famous in both areas although the Romantic music arose from and is generally related with German Romanticism.

It seems clear that Schumann had a particular attitude which combined music and the extramusical imagination. Although this kind of program music was mainstream in this period, Schumann seems more concerned with the literary expression of music than any other composer. Especially, Schumann often grouped short piano character

pieces³⁵ and made literary or poetic titles for them. Among his contemporaries, Mendelssohn, Chopin, and Brahms followed a more general way in giving titles to their 'new' character pieces. But arabesque, capriccio, scherzo, barcarolle, berceuse, and prelude already existed from the early period. In the Romantic period they were established as individual genres. However the intermezzo, nocturne, song without words, ballade, and impromptu were new categorizations which were created by Romantic composers.

In this respect Schumann created also new, original genres for character pieces such as *Novelletten*, op.21 and *Humoreske*, op.20. The *Humoreske* was composed by Schumann and established as a new genre by Dvorak. These titles shape the general character of the pieces and somehow maintain literary characteristics, but they are not descriptive. The titles Schumann and Liszt gave to their collections are different from the aforementioned title group. These are more descriptive and it seems that the composers wanted listeners to associate them with extramusical poetic thoughts. (Grout & Palisca 1996; 598) Both of them used poems or literature as titles to reveal the character of the pieces. For example Liszt used the *Sonetto del Petrarca* and *Après une lecture du Dante* for his *Années de Pèlerinage*; Schumann set the poems of Hebbel, Schlegel and the novels of Hoffmann: *Kreisleriana*, *Fantasiestücke*, and *Nachtstücke*. In particular, Schumann's words for the titles are more sentimental, lyrical, narrative and poetic than Liszt's. For instance Schumann used more descriptive and realistic narrations for the *Carnaval* and *Kinderszenen*. Schumann was more keen on choosing words for his picturesque pieces. We can observe this kind of word painting in the *Lytic pieces* of Grieg, who was eminently influenced by Schumann in his later period.

Apart from this, many titles of Schumann impressed many other composers in the late Romantic period. All these character pieces have originally the same concept as *Songs without words* by Mendelssohn. Schumann made many similar approaches between his songs and short piano pieces. The *Carnaval* of Saint Saens, *Papillons* of Grieg, *Woodland sketch* of MacDowell, *Children's Corner* and *Estampes* of Debussy and many other pictorial groups are very similar to those of Schumann.

³⁵ Most of Schumann's compositions(op.1-23) up to 1840 are for the piano and they are groups of short compositions.

3.3 Meanings of the Literary Titles

There are numerous and various programmatic titles in the Romantic period. There is no limit for a title. Titles could be not only literary but also realistic or idealistic. Liszt gave the name of the places like travel notes for his *Années de Pèlerinage*. Tchaikovsky and Bartok gave specific dates such as *Overture 1812* and *Suite 1922*, Op.26 for their music. Richard Strauss has many literary names for his symphonic poems such as *Don Quixote*, Op.35; *Macbeth*, Op.23; *Also sprach Zarathustra*, Op.30; *Tod und Verklärung*, Op.24; and *Kampf und Sieg*. Among them the *Tod und Verklärung* (Death and Transfiguration) and *Kampf und Sieg* (Battle and Victory) are more abstractly metaphoric. Mendelssohn titled his fifth symphony *Reformation* Op.107 as a historical event. There are also pictorial titles such as sketch book or scenery.

In Schumann's oeuvre there are no very complicated, abstract or surrealistic titles, such as *Pierrot de Lune* of Schönberg. But how about the *Papillons*? There are 12 miniatures in the group. Are they 12 butterflies? Without knowing the background information of its genesis, it could result in a wrong interpretation even in the program music. *Papillons* is the title of the 12 dance-music pieces, influenced by Jean Paul's *Flegeljahre*, as the composer himself asserted. In particular the last chapter, 'masked ball', was the main source for the composition. Plantinga asserts that the title *Papillons* plays a role of subtle reference and illusion. (Plantinga 1984; 226) The reason is that Schumann's word for 'masked ball' is Larventanz. Larve means 'mask', but also 'larva', a premature form of moths and butterflies in which the insect assumes an appearance very unlike its usual one. His opinion is very interesting, but we do not have any evidence for the assumption. The main characters of the novel, Walt and Vult, the twin brothers become the twin images of the butterfly. The image of butterfly was also focused on Walt in the *Flegeljahre*. Furthermore Schumann himself was often concerned with the image of a butterfly as a poetic object.

The Davidsbündler means the 'League of David' who are against philistine art. The Davidsbündler appears in the *Carnaval*, too. Schumann included the imaginary characters, Florestan and Eusebius, Meister Raro and many other friends. Schumann mentioned this League in his *NZfM*, even he made many critical editions with the names of the other members of the Davidsbündler. If all the other members agreed

in the membership of this imaginary group, is unclear. But this *Davidsbündlertänze* is only by Florestan and Eusebius.

The *Carnaval* is a colorful festival, which is famous in Rhineland and North Rhine Westphalia in Germany. Notably Köln, Düsseldorf, and Mainz are famous for their costumed parades and ball. *Carnaval* was composed in 1838, before Schumann accepted the municipal music directorship in Düsseldorf in 1849. Although the typical characters of carnival appear in the *Carnaval*, there are many other unusual figures such as *Chiarina*, *Chopin*, *Estrella*, and *Paganini*. Most of them are short dance-music like pieces with the promenade and march.

Fantasiestücke and *Kreisleriana* came from the novel of the same-name by Hoffmann, *Fantasiestücke in Callot's Manier*, which has *Kreisleriana* essay sections. Interestingly *Fantasiestücke* has no obvious direct relationship to the novel; but *Kreisleriana* is like a musical portrait of the Kapellmeister Kreisler. The title *Fantasiestücke* is used by Schumann four times: twice for piano solos (Op.12 and Op.111), once for a piano trio (Op.88), and once for a clarinet/cello and piano piece (Op.73). The other three *Fantasiestücke* have no individual titles. The eight pieces of *Fantasiestücke* (Op.12) have lyrical titles for each. Among them *Aufschwung* and *Traumewirren* are more abstract and can be applied to the pieces metaphysically. *Des Abends*, *In der Nacht*, and *Ende vom Lied* are in a lyrical mood. *Warum*, *Grillen*, and *Fabel* evoke symbolic riddles. If we match music and titles, they even become ironical. Grout and Palisca wrote about *Fantasiestücke*: “Schumann gave each of the *Fantasiestücke* a whimsical title and what binds them together is that they are all free flights of the imagination.” (Grout & Palisca 1996; 598)

Kinderszenen consists of 13 pieces, which have poetically descriptive titles. They are discussed most frequently in music history because of their relationship to literature. The titles chosen show that Schumann was talented linguistically. The literary titles are related to the novel, *Das fremde Kind* of Hoffmann. The titles generally describe the mood, particularly motions, and the related objects of children from the adult's view.

Nachtstücke comes from Hoffmann's novel of the same name, too. Schumann originally set another general title and individual titles for four pieces after his

brother's death. Following Clara's suggestion the titles were omitted, because they could cause misunderstanding. It was supposed that they were too difficult for listeners to understand. But in this research these omitted titles are added in the analysis to achieve better interpretation. The omitted titles describe the funeral scene and afterwards.

Waldszenen invites listeners actively to the forest with the *Eintritt* (entrance) and says *Abschied* (Farewell). The titles describe the scenes and sounds in the forest. Thus the listeners associate with the narrator and experience the forest scenes vividly. For the *Verrufene Stelle* Schumann explains about the place with a poem of Hebbel. He even lets us hear the bird sound in a realistic way. All the pieces are united like a sketchbook with a story about a forest. The titles of *Waldszenen* and *Kinderszenen* make such an effect that it is as if someone narrates about the music. We are invited by the narrator to associate in *Kinderszenen* in a more passive way; in *Waldszenen* in a more active way.

3.4 Narratology and Musical Narrativity

The study of narrativity has existed for a long time. The general awareness of narrativity has been discussed in social science, especially in linguistics. The theory of narrativity has been studied and established in literature, which makes this theory more familiar to the public. However, discussions of narrativity in music seem to have begun in the late 20th century. This theory, which is related to rhetoric, begins from the point at which music can be understood as narrative. But still it seems that music lovers and even musicologists are unfamiliar with this approach of musical narratology, the study of narrative in music. Therefore it is introduced briefly through the *New Grove Dictionary*:

The tradition of narratology orientated to social science is, of course not the only interpretative approach to narrative literature or other forms of narrative, but it has had a strong influence on certain musicologists. Some ... have identified narrative conceptions that shape histories of music; heightened consciousness of these narrative devices has led them to challenge familiar accounts of music history. Others have studied relations between types of narrative genre and related compositions...³⁶
(<http://www.oxfordmusiconline.com/subscriber/article/grove/music/40607>)

³⁶ Fred Everett Maus, 'Narratology, narrativity' In *Grove Music Online. Oxford Music Online*.

Opera was the main narrative music genre related to this theory. But there are discussions and assertions that instrumental music can be narrative, too. Although the research into instrumental music as narrative remains confusing and problematic, perhaps narratology could be interesting as a new type of analysis in music. As examples of story-telling in instrumental music, there are *Peter and the Wolf* by Prokofieff and some orchestral works of Berlioz, such as *Symphony Fantastique* and *Harold in Italy*. They all have specific story lines like an extra ‘program’. Matthew McDonald suggests that the central narrative aspects include compositional techniques particular to the twentieth century, such as recorded chronologies and the layering of seemingly independent material.³⁷ In the research, Schumann is different from the aforementioned composers. Although he gave descriptive titles, he did not plan his music with a particular detailed story. With the music of Schumann, music can be related to narrative metaphorically.

Newcomb asserts that Mahler’s Symphony No.9 may be translated into a detailed, almost novelistic story. (Newcomb 1992; 118-36) Short stories in particular are usually published in anthologies or collections. Schumann’s miniature pieces are like poems rather than novels, although he is influenced by literary novels. This is also the reason for deciding to adapt this narratology theory to Schumann’s music. It is not the purpose of the author that the music must be viewed or analyzed according to this theory. Musical narratology is criticised often because it is limited to music with literary or linguistic connections such as the discussion between absolute and program music. With the exception of opera, all the individual tones and sounds cannot be translated as words exactly. The way in which we try to understand is an approximate consideration through musical symbolization. However this viewpoint can be helpful as a model for musical criticism, aesthetically, and in interpretive practice. In addition to this, it is also useful to understand the concept of organization by the composer, if the music’s concept is similar to the plot in literature.

According to Manfred Jahn, “In verbally told stories, such as we are dealing with here, we also have a ‘story-teller’, a narrator.” (Jahn 2005; N1. 2.) A narrative book will mainly focus on narrators and characters. My concern is the narrator’s

³⁷ ‘Silent Narration? Elements of Narratives in Ives’s “The Unanswered Question”, by M. McDonald, 2004, University of California Pres.

relationship to the story, furthermore, the question of whether the narrator is present or absent in it. In the works of Schumann he is the narrator himself. There are two common terms³⁸ in literature: first-person narrative (homodiegetic narrative) and third-person narrative (heterodiegetic narrative). In a homodiegetic narrative, the story is told by a narrator who is also one of story's characters. In a heterodiegetic narrative, the story is told by a narrator who is not present as a character in the story. (Jahn 2005; N1.10) Taking this into consideration, Schumann's selected pieces are analyzed.

First the selected pieces have been divided into two types according to whether Schumann, the narrator, was present as a character or not. If the presence of the narrator is obscure, it is marked as 'covert'. If the piece tells private things about the author (=composer), it is marked as 'authorial'. Whether the narrator is in the piece or not, if the narrative method is objective, it is marked as 'neutral'. For the character of the narrative voice, some descriptive adjectives such as enthusiastic, nostalgic, thoughtful, and passionate are used.

Finally, *Carnaval*, *Fantasiestücke*, *Waldszenen*, and *Davidsbündlertänze* are identified as homodiegetic; and *Kinderszenen*, *Papillons*, *Kreisleriana*, and *Nachtstücke* as heterodiegetic. In *Carnaval* and *Davidsbündlertänze* Schumann's fictional characters, at the same time his pseudonyms, Florestan and Eusebius appear in the pieces. Thus these pieces are overt. Although they can be interpreted as fictional characters, they are indeed Schumann himself. Thus Schumann expresses his affection directly in *Davidsbündlertänze* and participates in his carnival. For this reason they are included in the homodiegetic type.

In *Fantasiestücke* and *Waldszenen* it seems that Schumann explains them as the narrator himself. In this respect *Papillons* and *Nachtstücke* are obscure. They are categorized in the heterodiegetic type due to the information about their origin. Schumann stated that *Papillons* is from the novel *Flegeljahre*. Consequently the characters of *Flegeljahre* are Walt and Vult. Even though Schumann sympathized with the characters very deeply, they are not the narrator. For the *Nachtstücke*

³⁸ Manfred Jahn mentioned that the term 'third-person narrative' has generally been recognized to be misleading. There are two other terms: homodiegetic narrative and heterodiegetic narrative, which mean the same as these common terms. So I will use these new terms although they seem more complicated.

Schumann originally set a description of a funeral. Even though he foresaw the funeral of his ill brother, it is not clear if Schumann himself is in the funeral as a character participant. So this is also ‘covert’.

Kinderszenen describes the world of children. So the main characters are children. It seems clear that Schumann is narrating from the outside. It is included in the heterodiegetic type. Only the last piece, *Der Dichter spricht*, is questionable as to whether the narrator is in the piece or out. So it is marked as also ‘covert’. In *Kreisleriana* he is undoubtedly not the narrator, although Schumann must have seen himself in *Kapellmeister Kreisleriana*. According to the original book’s concept, it is explained jokingly as ‘autobiographical’, because the novel is also an autobiographical description of the *Kapellmeister*. Here a synopsis³⁹ about Schumann’s relationship to his selected pieces is made. (Table 3.4.1)

³⁹ M. Jahn mentioned that he surveyed the features in literature with the terms of Genette (for the category of type) and Stanzel (for the category of Narrative Situation). Gérard Genette is a French literary theorist, and Franz K. Stanzel is a theorist in English studies and literature, who developed Genette’s theory. Here also the terms of Genette and Stanzel were used partially.

| Work | Overtness | Type | Narrative Situation |
|-------------------------|------------------|----------------|--|
| Carnaval Op.9 | Neutrally overt | Homodiegetic | Third-person Neutral |
| Fantasiestücke Op.12 | Neutrally overt | Homodiegetic | Authorial Enthusiastic |
| Kinderszenen Op.15 | Covert | Heterodiegetic | Neutral Nostalgic |
| Waldszenen Op.82 | Highly overt | Homodiegetic | Authorial Thoughtful |
| Papillons Op.2 | Covert | Heterodiegetic | Half neutral - Half enthusiastic Event description |
| Dauidsbündlertänze Op.6 | Highly overt | Homodiegetic | Authorial Enthusiastic |
| Kreisleriana Op.16 | Highly overt | Heterodiegetic | Autobiographical Passionate |
| Nachtstücke Op.23 | Covert | Heterodiegetic | Neutral Event description |

Table 3.1 : Synopsis of Schumann’s relationship as narrator to the selected pieces.

3.5 Miniature Piano Music

3.5.1 Schumann’s Interest in Short Forms

Romanticism was a direct reaction against the formalism of the classical movement. Romantics emphasized feeling and emotion, while romantic composers experimented freely with the possibility of musical form. Romantic composers experimented with the limit of formal possibility and established the extreme contrasting short forms, too. Schumann was exploring these contrasting lengths, too. His operatic, chamber, and orchestral music are longer works. However it is true that Schumann’s keyboard music consists generally of collections of short forms as discussed above in the Chapter I. 1.Introduction and Statement of the Subject. However even though in the piano music the *Humoreske*, Op.20 belongs to a longer form as a separate piece, it is

often divided into many passages according to the expression words, rests, structure, and tempi. As a result, most of his keyboard music consists of short pieces. So it seems that Schumann had a special connection with short forms in the keyboard music genre, in addition to vocal music.

Schumann's concentration on short forms has often been criticized in terms of his neglect of longer forms inaccurately. It cannot be asserted that Schumann is excellent only as a miniature composer. But this is not the concern now. Regardless of such opinions, the short pieces in piano music have also been criticized for their Biedermeierian tendencies in a negative way. Because the Biedermeierian culture is generally accepted as nostalgic, reflecting the domestic tranquility of bourgeois society, some scholars have criticized the music as if it is philistine and light. Hence according to their opinion, Schumann's music is not really noble, because it does not maintain the struggle of the 'real' artist and because of its simplicity.

Indeed some of Schumann's works such as *Album für die Jugend*, *Bunte Blätter*, and *Albumblätter*, are easy because they are written with educational purposes for children and amateurs. However it will be wrong if we estimate that all the short forms are the result of this purpose. Here it is evident that Schumann was specially interested in short forms.

Why was he interested in short piano music? This preference for short forms has some reasons. The first is probably the influence of the Biedermeierian sensibility. The Biedermeierian sensibility is Schumann's own choice and reflects his nature. Schumann respected the dramatic, brilliant, virtuoso-technical, and musical world of Liszt⁴⁰, but he would not exchange his own musical world with Liszt's. Schumann wrote to Clara that he was happy with the simple, comfortable, lyric, and less-virtuoso musical world of his own. Here is the letter:

Liszt's world is no longer my world. Art, the way you practice it and the way I often do it while composing at the piano, such beautiful comfort [Gemütlichkeit] I wouldn't exchange for all of his glamour - and there's also something of the showoff in him, too much. (Ostwald 1985;162)

⁴⁰ Schumann reported in the NZfM that "No artist, with the exception of Paganini, has Liszt's power to enslave an audience..." (Ostwald 1985;161)

The second is Schumann's love of poetry. He specialized in this later in the decade of the song after piano music. To reveal poetic ideas, short forms such as binary and ternary forms, and many small enclosed forms, in other words the song form are most appropriate. Generally a poem having a regular rhythm is said to follow a particular meter although it is not required for all poems. The phrases are particularly regular and metric in Schumann's miniatures. They always contain certain rhythmic motifs like the rhymes in a poem. We can observe these kinds of structure in the analysis.

The third is because of the practical and financial reasons associated with selling his scores. Many letters show clearly that Schumann's music was interesting but difficult to understand on the part of audiences.⁴¹ Daverio said, "Schumann knew also that there was more of a market for attractive miniatures than for imposing sonatas and fantasies." (Daverio 1997;135)

These three reasons have been proposed by scholars at least. But no mention has been found of the fourth reason till now. First of all, the short forms are appropriate to reveal Schumann's dualism. In longer works, the dualism is revealed by changing the characters in prolonged sections within the piece, too. But objectively speaking, the short forms are more appropriate to show the dual characters, Florestan and Eusebius, of Schumann. Generally his lyric themes in the short pieces describe not various complex characters but a particular mood. For instance if he gives a title to a certain piece, the piece concerns only this character of the title.

Thus, to describe the particular characters or moods of Florestan and Eusebius the short forms are used mostly. Furthermore Schumann generally used a solitary motif or theme (monothematic) which continues throughout the piece. To clarify these factors in Schumann's short forms is helpful. This is in contrast to Wagner's use of themes in never ending forms. On the one hand Schumann used themes to establish a structure, on the other hand Wagner has not set the structure to use more themes.

⁴¹ Liszt was reluctant to perform the *Fantasia* of Schumann, because it was too difficult for the public to digest. Even Clara advised him to write easily understandable, not too long and not too short pieces. (Daverio 1997; 135-7) (Ostwald 1985;147)

3.5.2 Songs without Words - Poetic Music

The *Lieder ohne Worte* of Mendelssohn are significant for the understanding of this trend seen in the 19th century instrumental music, especially keyboard character pieces. As character pieces in the Romantic period, there are countless new genres and creations. For instance all the new titled works of Schubert, Schumann, Mendelssohn, Chopin, Liszt, and Brahms are in a new genre, and at the same time, character pieces. But there are completely new genres such as the nocturne which was created by John Field and developed by Chopin. Contrastingly there are existing but characteristically changed genres such as the prelude, scherzo, etude, etc. But *Lieder ohne Worte* are closer and more similar to the concept of the miniature character pieces of Schumann. Some of them have titles such as *Venetianisches Gondellied*, *Duetto*, and *Volklied*. Although the others have no titles they describe certain moods or affections.

Regardless of their separate titles, the genre means that these are related to extra-musical ideas. Not only in music but also in art the function of language has always been an arguable point. We must agree that music can be described in words, although in a limited way. The reverse relationship was more popular in Romantic instrumental music. Lied is a blend of music and words.

So Songs Without Words are similar to Lied in their nature. These songs can be found more in the Baroque period than the Classic. Moreover their real origin comes from the instrumental songs of troubadours and Minnesinger from the Middle Ages, including the estampie, the Medieval instrumental dance piece. If we regard songs without words as a new creative instrumental music genre in the Romantic period, we must say that all the short pieces of Schumann belong to this genre. Furthermore Schumann's miniatures are mostly related to literary ideas, especially poetry. The miniatures have refrains like those in poems.

In the pieces such as *Kinderszenen* and *Fantasiestücke*, they have regular patterns like rhymes in stanzas. The musical forms are similar to strophic songs or songs in free form. Generally Schumann's miniatures have dance music meters. However even though they are in dance music style, they have poetic titles and are related to literary ideas. Hence if the miniatures of Schumann may be categorized, the short

pieces are poems, while the longer pieces are epics. Therefore the longest pieces could be compared to novels.

4. ANALYSIS

4.1 Works with Literary Titles

4.1.1 Op.9 *Carnaval*

Op.9 *Carnaval: Scenes Mignonnes sur Quartre* (1834-5)⁴² (Henle) [*original title Fasching: Schwaenke auf vier Noten für Pianoforte von Florestan*, op.12]

1. Préambule
2. Pierrot
3. Arlequin
4. Valse noble
5. Eusebius
6. Florestan
7. Coquette
8. Replique,
Sphinxes
9. Papillons
10. A.S.C.H.-S.C.H.A.(Lettres dansantes)
11. Chiarina
12. Chopin
13. Estrella
14. Reconnaissance
15. Pantalon et Colombine
16. Valse Allemande

⁴² The Grove Dictionary says that it was composed in 1833-5. The Henle Verlag and Kalmus editions say 1834-1835.

17. Paganini: Intermezzo
18. Aveu
19. Promenade
20. Pause
21. Marsche des Davidsbündler contres les Philistins

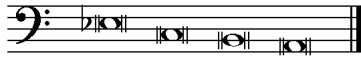
The concept of the *Carnaval* seems very clear. Schumann subtitled *Carnaval* ‘little scenes on four notes’. These pieces depict characteristic figures or moods of carnival scenes. Some characters like *Pierrot* and *Arlequin* are typical figures of the carnival. *Eusebius*, *Florestan* and *Davidsbündler* show us some inner pictures of Schumann himself. *Valse*, *Coquette*, *Replique*, and *Papillons* show the descriptive mood of the carnival. *Chiarina*, *Chopin*, *Estrella*, and *Paganini* are those people whom Schumann admired and loved. Curiously *Chopin* and *Paganini* are not typical figures of the carnival but these symbolical images are invited by Schumann himself for his *Carnaval*. As a whole it becomes Schumann’s own story about a carnival. The music and idea of *Carnaval* and *Papillons* are very closely related to the novel *Flegeljahre* of Jean Paul as mentioned in the section about *Papillons*.

According to Schumann’s letter to Töpken in 1833 his *Intermezzi* Op.4 is even titled *Papillons* – as ‘longer *Papillons*’.⁴³ Together with *Intermezzi*, *Papillons* and *Carnaval* all have 2/4 or 3/4 dance music meter, and also some common motifs. *Papillons*’ motifs come several times in *Florestan* and *Marche des Davidsbündler* of *Carnaval*. Even another piece, named *Papillons* appears in *Carnaval* too. Although *Carnaval* is not established throughout in classical tonality, the first piece begins in A flat major and the last piece ends in A flat major. In *Chopin*, *Reconnaissance*, *Valse allemande*, *Paganini*, and *Aveu* A flat major also occurs although they do not stay on the tonic. *Estrella* and *Pantolon et Colombine* have the relative minor – f minor of A flat major. From the whole cycle *Eusebius* is the only slow and calm movement. All the other pieces have *maestoso*, *passionato*, *presto*, *vivace*, and *agitato*-like tempo/expression indications. Schumann himself asserts also that the *Carnaval* is Florestan’s idea.

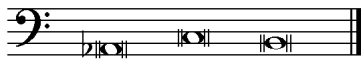
⁴³ Boetticher quotes from Briefe, Neue Folge, p.43. In *Intermezzi* there is the same motif as in no.12 in *Papillons*. Compare mm.29-30 from no.5 *Intermezzi* to the beginning motif, mm.1-2 from *Papillons*

Schumann himself provides motif examples in *Sphinxes*. These are three separate one bar examples which consist of four notes A, (e)S, C, and H in German. In English they are A, E flat, C, and B.

No.1



No.2



No.3

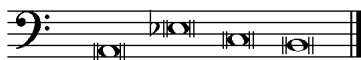


Figure 4.1 : The three examples from *Sphinxes*.

In the middle of the cycle there is a piece *A.S.C.H.-S.C.H.A.*. ASCH is actually the German name of the town in the Czech Republic which was the home town of Schumann's fiancée Ernestine von Fricken, before he married Clara Wieck. In *Sphinxes* the letters of the name of the town are used as tones for word playing. This kind of word play was not used for the first time by Schumann. The *Theme and Variation on the Name Abegg*, Op.1 has a theme which is based on the letters A, B (in German B flat), E, G, and G.

In *Sphinxes* the first motif⁴⁴ is S C H A; the second is As C H; the third is A S C H. Interestingly, these three examples are used as motifs for every piece. For example, *Papillons* begins with the third motif. Only in the first piece, *Preambule, Réplique* and the twentieth piece, *Pause*, which is derived from the first piece, the motif is almost hidden. *Chopin* and *Paganini* which come from the famous musicians' names, have no connection to the *Sphinxes* motif. However all the other pieces are presented at the beginning showing the motifs very clearly. The *Sphinxes* is often omitted in performances or recordings. Only performers such as Sergei

⁴⁴ In German S means Es which is E flat; H means B; As means A flat.

Rachmaninoff, Alfred Cortot and Andrei Gavrilov⁴⁵ have included this section in their recordings. This three bar section has no key or rhythm or tempo indication. So probably it could be understood differently. But these three motifs are recurring through all of the cycle; therefore it is very important for interpreters to know this coherent musical plan of Schumann.

Before every analysis begins, it will be shown which *Sphinxes* motif is used for each piece. With the exception of the opening piece, the third Sphinx is used through 9. *Papillons*. After *Papillons*, but including 1. *Préambule*, the second Sphinx is used, with the exception of 12. *Chopin* and 17. *Paganini*, in which Sphinx motifs are not used. Here are the arrangements between all pieces and *Sphinxes* motifs.

The first Sphinx Motive:

no connection

The second Sphinx Motive:

1 - Préambule

10 - A.S.C.H. – S.C.H.A.

11 - Chiarina

13 - Estrella

14 – Reconnaissance

15 – Pantalon et Colombine

16 – Valse allemande

18 – Aveu

19 – Promenade

20 – Pause

21 – Marche des “Davidsbündler” contre les Philistins

⁴⁵ He plays them in bass octave tremolos with nuances.

The third Sphinx Motive:

2 – Pierrot

3 – Arlequin

4 – Valse noble

5 – Eusebius

6 – Florestan

7 – Coquett

8 – Réplique

9 – Papillons

1. Préambule

Préambule begins with its representing motif in *ff*. It is like a march, although in 3/4 meter, rather than a dance, so the mood is similar to the last *Marche des Davidsbündler*. *Préambule* is known to have been originally influenced by Schubert's *Trauerwalzer* of the 36 *Originaltänze für Klavier*, op.9/D.365 and three *Deutschetänze* D.972.⁴⁶ The piece can be divided into five parts including a coda. The form is:

⁴⁶ With the *Préambule*, the *Variations on the Sehnsuchtwalzer* is also influenced by Schubert's waltz. Boetticher discusses in his book that Schumann was rethinking the variation in the direction of the character piece. Furthermore he insists that some lost variation sketches of Schumann bear such a title as *Scenes musicales sur un thème connu*. (Boetticher 1976: 87-90)

| | | | |
|------|------------|-------------|----------|
| A | A | mm. 1-6 | |
| | C | mm. 7-14 | |
| | a' | mm. 15-24 | |
| B | C | mm. 25-36 | Più moto |
| | D | mm. 37-46 | |
| C | E | mm. 47-54 | |
| | F | mm. 55-66 | |
| | E | mm. 67-70 | |
| D | G | mm. 71-78 | Animato |
| | e' | mm. 79-86 | |
| | Transition | mm. 87-113 | Vivo |
| Coda | | mm. 114-139 | Presto |

Table 4.1 : The form analysis of the *Préambule, Carnaval*.

The whole transition section becomes used later as a twentieth piece, *Pause*. In the middle of this piece, the second *Sphinx* is used. This is an exceptional use of the motif, because all the other motifs are presented at the beginning of the pieces. In the measures 91-94, we can find almost hidden motifs as dotted notes in the right hand. The example is shown here:

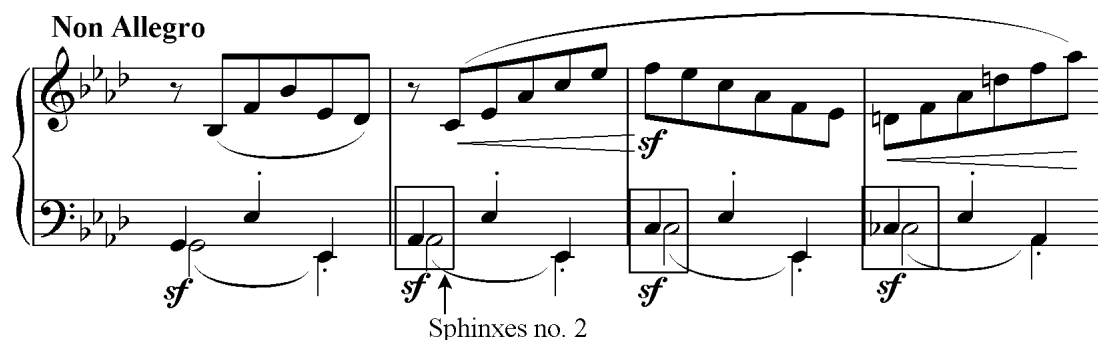


Figure 4.2 : The *Sphinxes* motif. mm.91-94 in *Preambule*.

One interesting point is that between sections there is generally a tempo change. From the B section, it seems that the march is changed to a dance. Some periods, such as c, have a rhythmic delay, which is Schumann's typical rhythmic style. This

piece, unlike the other pieces in *Carnaval*, has melodic and rhythmic variety. In general it has very vivid moods and sudden tempo changes in fast tempi. The character is the typical, exciting Florestan.

2. Pierrot

3. Arlequin

Pierrot and *Arlequin* are comic traditional characters from the commedia dell'arte. In *Pierrot* sudden *fs* and in *Arlequin* unusual syncopation rhythms depict their wistful and shrewd characters. In *Pierrot* the third *Sphinx* is used. (Fig.4.3)

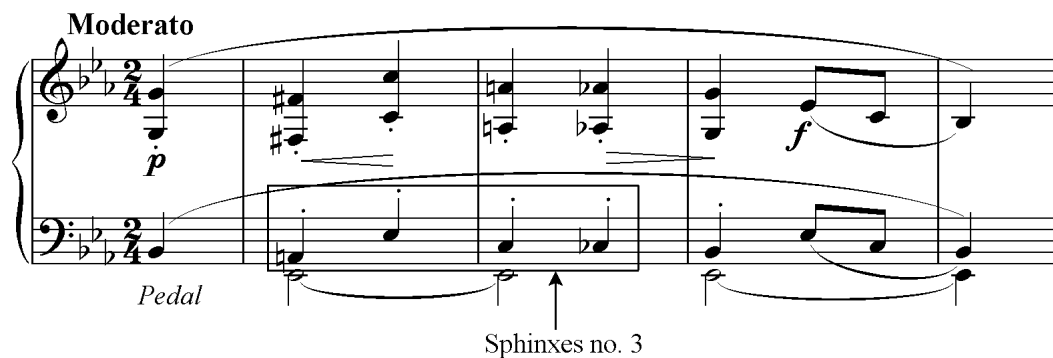


Figure 4.3 : The *Sphinxes* motif. mm.1-4 of *Pierrot*.

The *Pierrot* has ternary form with codetta. The form is:

| | | | |
|------|------|-----------|---------------------------|
| A | a+a | mm. 1-8 | including the repeat sign |
| B | b+b' | mm. 9-24 | |
| A | a+a | mm. 25-40 | |
| Coda | | mm. 41-49 | |

Table 4.2 : The form analysis of the *Pierrot, Carnaval*.

In this second piece, there is a contrasting 'tail' in every third measure, which could describe a certain comic movement of a pierrot.

The *Arlequin* has ternary form, which use a particular rhythmic motif. The second A comes in *forte*. The form is:

| | | |
|---|--------------------------|-----------|
| A | a+a | mm. 1-16 |
| B | a'+4 measures transition | mm. 17-28 |
| A | a+a | mm. 29-44 |

Table 4.3 : The form analysis of the *Arlequin, Carnaval*.

Here also the third *Sphinx* is used. (Fig.4.4)

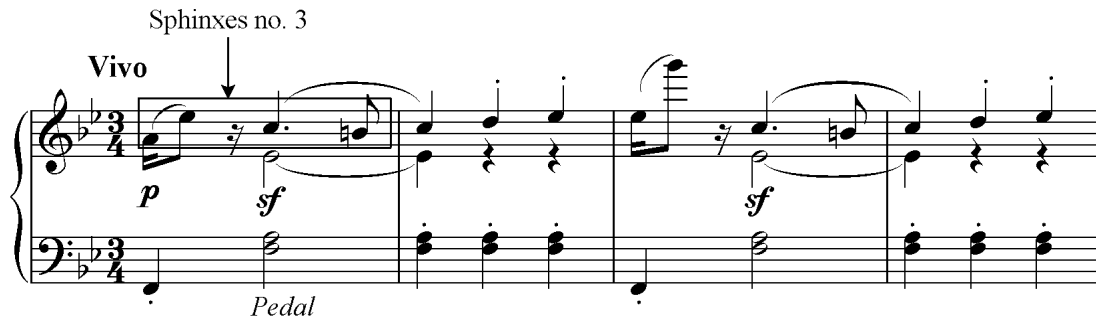


Figure 4.4 : The *Sphinxes* motif. mm.1-4 of *Arlequin*.

4. Valse noble

Valse noble has a dynamically contrasting middle section. The form is:

| | | | |
|----|------|-----------|---------------------------|
| A | a+a | mm. 1-8 | Including the repeat sign |
| B | b+b | mm. 9-24 | |
| A' | a'+a | mm. 25-40 | |

Table 4.4 : The form analysis of the *Valse noble, Carnaval*.

Here also No.3 of the *Sphinxes* is used. (Fig.4.5)

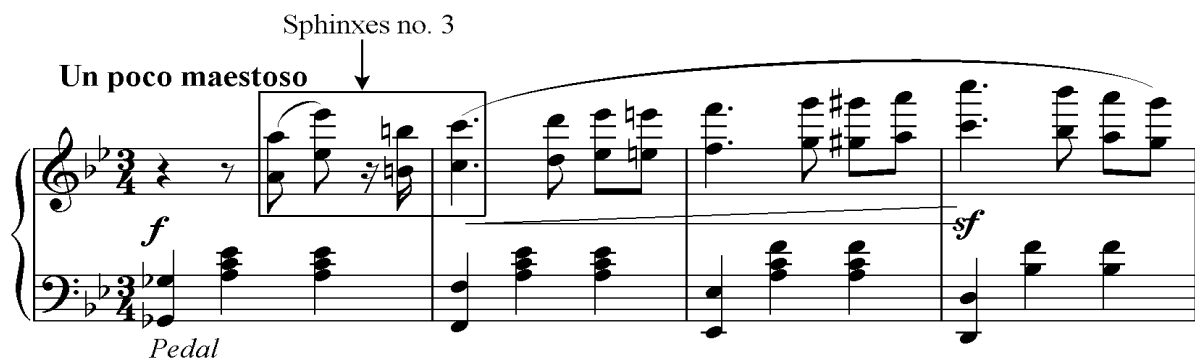


Figure 4.5 : The *Sphinxes* motif. mm.1-4 of *Valse noble*.

5. Eusebius

Eusebius shows his poetic, introvert side with its slow adagio motion and repeating septuplet and quintuplet rhythm. The music shows the dreaming character of Eusebius well, using tempo rubato. The form is: A (mm.1-8) B (mm.9-16) B' (mm.17-24) B (mm.25-32) Actually the B theme is also derived from the A theme. Thus this piece has a monothematic texture.

It is difficult to find a *Sphinxes* theme, but the following is a possible hidden example. It is the same as *Florestan*, no.3 of *Sphinxes*:



Figure 4.6 : The *Sphinxes* motif. mm.1 of *Eusebius*.

6. Florestan

Florestan shows a forceful and extrovert character with hurrying tempi, accelerando, stretto, and more complicated textures. Here we can guess the inner struggle of Florestan because the music changes frequently from an enthusiastic passage to the serene *Papillons*' theme. I have set Florestan's motif as an a, and the *Papillons*' theme as an X. The small alphabets contain only two measures, but I wanted to show how often the a motif is used. My form analysis is:

| | | | |
|------------|-----------------|-----------|-------------------------------|
| A | a+a+b+a | mm. 1-8 | |
| X | Adagio | mm. 9-10 | Op.2 <i>Papillons</i> ' theme |
| A | a+a+b+a | mm. 11-18 | |
| X | Adagio | mm. 19-22 | |
| A | a+a+b+a | mm. 23-30 | |
| Transition | c+a+c+c+c+c'+c' | mm. 31-44 | |
| A' | a+a+a'a'' | mm. 45-56 | Codetta |

Table 4.5 : The form analysis of the *Florestan*, *Carnaval*.

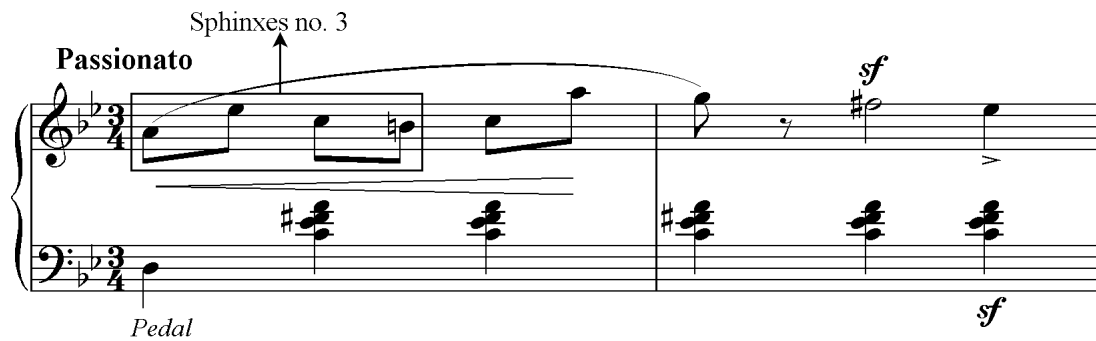


Figure 4.7 : The main motif a and the third of the *Sphinxes*. mm.1-2 in *Florestan*.

The main motif a (Fig. 4.7) repeats in Figure 4.8 both with a sudden *sf*. In m.9 suddenly the motif of *Papillons* appears briefly. Again in mm.19-22 the *Papillons* melody appears with *adagio* marking. It seems that the idea or reminiscence of *Papillons* is mixed up in Florestan's mind. This is explained in the analysis of *Papillons*, Op.2 more exactly.

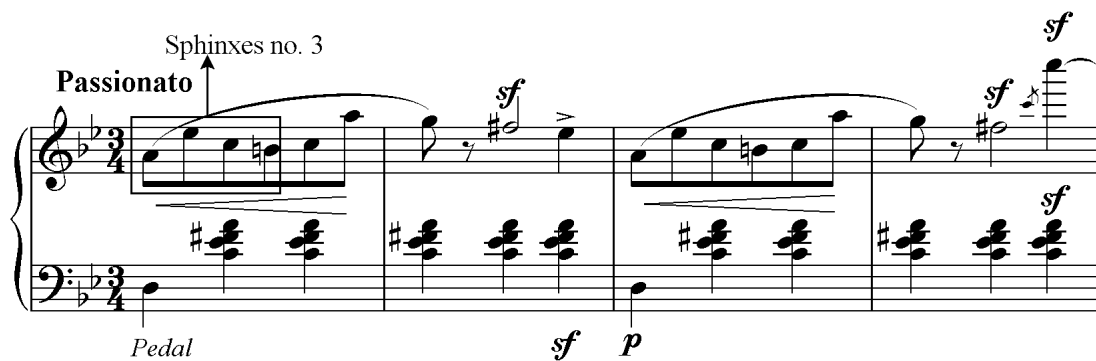


Figure 4.8 : The repeating theme, mm.1 - 4 in *Florestan*.

The theme of Florestan finally transforms at the end in various rhythmical ways and ends in a very agitated mood. (Figure 4.9) In the end this piece does not finish in authentic cadence, so it seems that the piece is truncated suddenly with *f* in contrast to the next piece, which begins with *pp*.



Figure 4.9 : The rhythmical transformation of Florestan. mm.45 - 56 in *Florestan*.

7. Coquette

8. Réplique

Coquette begins with dotted rhythms. The Asch motif is used as a syncopational rhythm in *Coquette*, the (Figure 4.1.2.0) and in *Réplique*. (Figure 4.1.2.1) They are musically also similar, like questions and answers. Both pieces are shown together, because both pieces have the same theme. In *Coquette* the theme is presented in the left hand, in *Réplique* in the right hand. The form of *Coquette* is:

| | |
|------------------|-----------|
| Introduction x/y | mm. 1-3 |
| AB | mm. 4-19 |
| AB | mm. 20-35 |
| Transition | mm. 36-43 |
| AB | mm. 44-59 |

Table 4.6 : The form analysis of the *Coquette, Carnaval*.

The form of *Réplique* is:

| | |
|------------------|-----------|
| Introduction x+y | mm. 1-4 |
| A | mm. 5-8 |
| B | mm. 9-12 |
| C | mm. 13-16 |

Table 4.7 : The form analysis of the *Réplique, Carnaval*.

The x is the dotted notes motif in the right hand and y is the singing phrase in the left hand. The first three or four measures are shown as an introduction which show these common motifs for both. (see Figure 4.10 and 4.12)

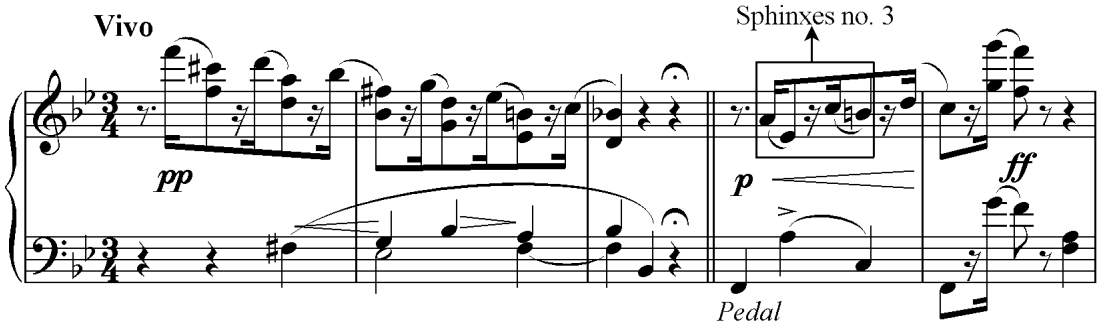


Figure 4.10 : x and y motifs, the no.3 of the *Sphinxes* in the *Coquette*.

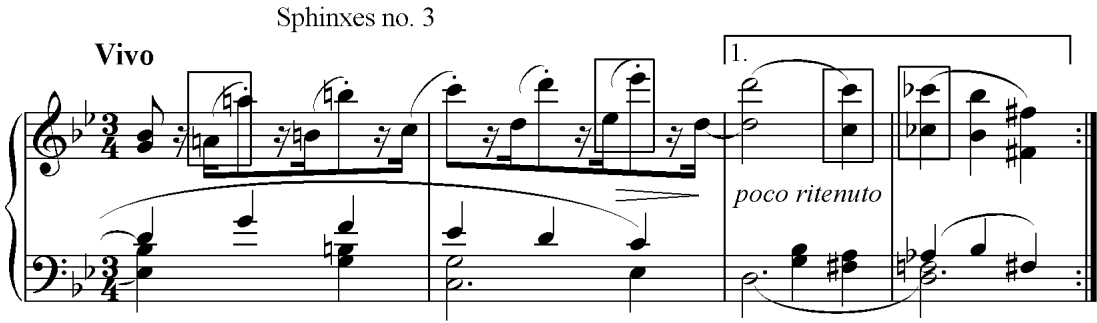


Figure 4.11 : The almost hidden *Sphinxes* no.3. mm.13 - 16, *Réplique*.



Figure 4.12 : The beginning, mm.1 - 4, *Réplique*.

Sphinxes

After *Réplique* Schumann wrote three motifs named *Sphinxes*. (Fig.4.11) As mentioned in the beginning, they are just three motifs which cannot be accepted as a

piece. Schumann must have symbolized the riddles of sphinxes⁴⁷ here for the *Carnaval*, because most of the pieces present the motifs from *Sphinxes* with the exception of *Chopin*, the twelfth, and *Paganini*, the seventeenth. Although there are pieces, such as *Eusebius*, the fifth and *Pause*, the twentieth, for which it is complicated to find the motifs, generally the motifs are presented in the very beginning.

9. Papillons

Papillons begins again with an Asch motif, and goes further with a Florestanian prestissimo tempo. The form is:

| | | |
|---------|-------|-----------|
| A | a+a | mm. 1-8 |
| B | b+b | mm. 9-16 |
| C | c+c+d | mm. 17-24 |
| Codetta | | mm. 25-32 |

Table 4.8 : The form analysis of the *Papillons*, *Carnaval*.

The third of the *Sphinxes* is presented as a first four notes melody. They are shown here:

Figure 4.13 : The *Sphinxes* no.3 motif. mm.1-2, the third motif in *Papillons*.

⁴⁷ Sphinxes are known with its riddles from the Greek mythology. The riddle which was solved by Oedipus is famous. Schumann must have been known this story. I guess even that Schumann provided three motifs as a riddle here jokingly. Schumann once mentioned about Spinxes in his critic about Chopin, “Thus the sonata ends as it began, enigmatically, a spinx, smiling, mocking-.”

10. A.S.C.H.-S.C.H.A. (Lettres dansantes)

A.S.C.H.-S.C.H.A., the dancing letters, is decorated with many ornaments. The form is:

| | | |
|------------|-----------|--------------|
| A+A´ | mm. 1-8 | |
| B+B´ | mm. 9-16 | |
| A+A´ | mm. 17-24 | |
| Transition | mm. 25-32 | Da capo form |

Table 4.9 : The form analysis of the A.S.C.H.-S.C.H.A , *Carnaval*.

The piece returns to the beginning and is played until the *Fine*, this time without the repeat. This piece is in E flat major although it has many decorating dissonances. Also at the end this piece does not end in authentic tonic but as a second inversion of the tonic. Thus it has an incomplete ending. The *Sphinxes* motif is used here with ornaments:

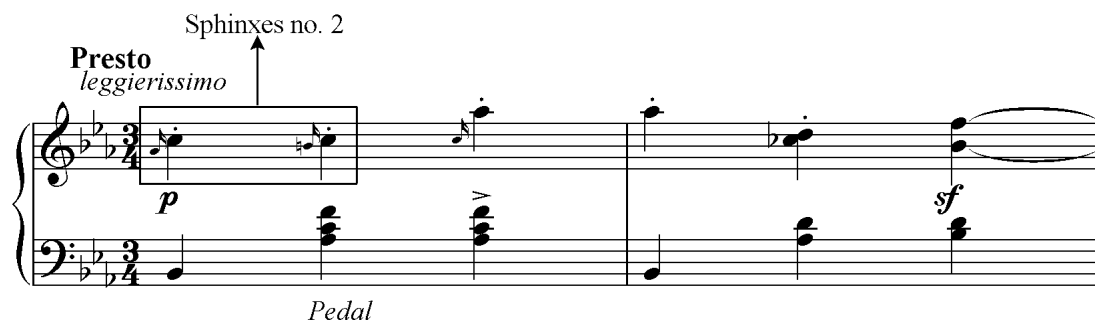


Figure 4.14 : The *Sphinxes* no.2 motif. mm.1-2 of A.S.C.H.-S.C.H.A.

11. Chiarina

Chiarina is Clara Wieck, at that time 15 years old, whom Schumann from the beginning admired and loved. This piece is full of passionate affection, showing us Schumann's obsession with Clara although he was engaged at that time to Ernestine. The form is:

| | |
|-----|-----------|
| A | mm. 1-8 |
| A' | mm. 9-16 |
| A'' | mm. 17-24 |
| A | mm. 25-32 |
| A' | mm. 33-40 |

Table 4.10 : The form analysis of the *Chiarina, Carnaval*.

The *Sphinxes* no.2 is used here:

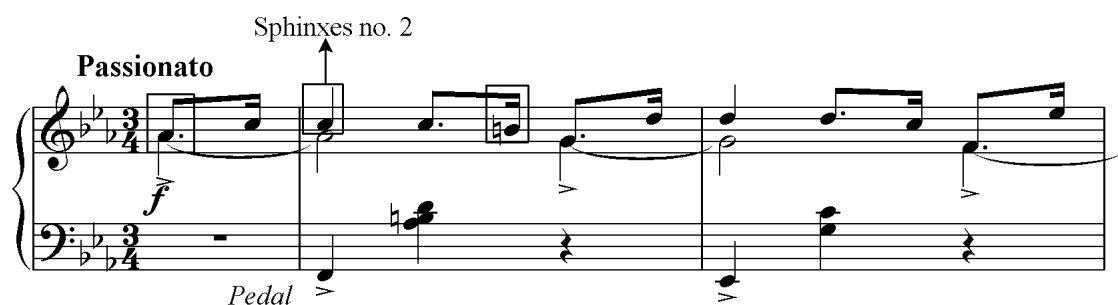


Figure 4.15 : The *Sphinxes* no.2 motif. mm.1-3 *Chiarina*.

12. Chopin

Chopin, depicted in the twelfth piece, is as we know the Polish pianist and composer whom Schumann respected very much through his writings in *NZfM*. Schumann was much impressed by earlier pieces like op.2 *Variation on the theme La ci darem la mano* as well as the concertos of Chopin. Here Schumann includes Chopin as a member of the *Dauidsbüundler*. This piece contains only 15 measures, it seems like a short reminiscence of Chopin to me.

The form is: a (mm.1-4) a' (mm.5-7) b (mm. 8-11) Codetta (mm.12-14) Interestingly a *Sphinxes* motif is not used for *Chopin* and *Paganini*.

13. Estrella

Estrella is Ernestine von Fricken, aged 17, to whom Schumann had become secretly engaged. Schumann wrote to his mother, “She has a delightfully pure, childlike mind, is delicate and thoughtful, deeply attached to me and everything artistic, and

uncommonly musical.”⁴⁸ This piece has typical dance rhythm and character. The form is:

| | | |
|----|----------|-----------|
| A | a+a'+a'' | mm. 1-12 |
| B | b+b' | mm. 13-28 |
| A' | a+a'' | mm. 29-36 |

Table 4.11 : The form analysis of the *Estrella, Carnaval*.

The *Sphinxes* no.2 is used for *Estrella*, only the first A flat tone is used as a higher octave.

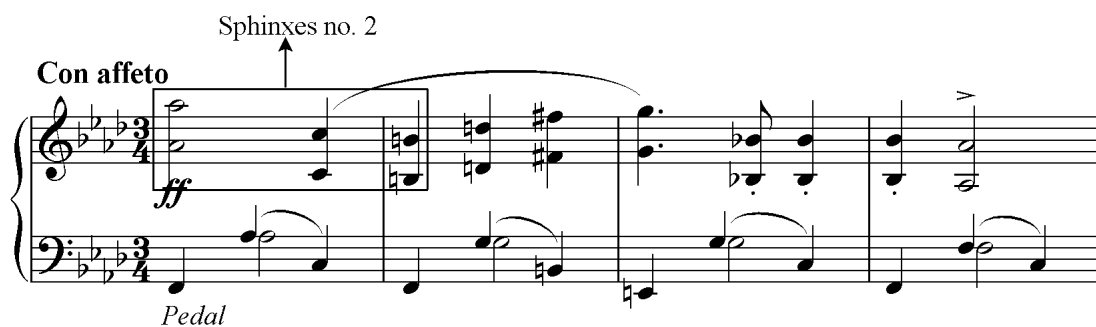


Figure 4.16 : The *Sphinxes* motif. mm.1-4 of *Estrella*.

14. Reconnaissance

Reconnaissance, the title of the fourteenth, means acknowledgment, but we do not know whose acknowledgment it is. It is assumed that it is either from Schumann to Ernestine or from Ernestine to Schumann. This piece has a pleasant march character and is in Da capo form. Each part has a particular rhythmic motif which is presented throughout the piece. The form is:

⁴⁸ www.piano-net.com

| | |
|------------|-----------|
| A | mm. 1-8 |
| A' | mm. 9-16 |
| B | mm. 17-24 |
| B' | mm. 25-32 |
| B'' | mm. 33-40 |
| Transition | mm. 41-44 |
| A | mm. 45-52 |
| A' | mm. 53-60 |

Table 4.12 : The form analysis of the *Reconnaissance, Carnaval*.

The *Sphinxes* no.2 motif is used for the merry melody theme adding the C note again. This *Sphinxes* motif-contained melody is recurring throughout the piece.

Figure 4.17 : The *Sphinxes* no.2 motif. mm.1-2 of *Reconnaissance*.

15. Pantalon et Colombine

Pantalon et Colombine are traditional characters of commedia dell'arte. Pantalon (Pantaloon) is a gullible merchant, attempting to disguise his age in order to attract women by wearing tight-fitting Turkish clothes. Colombine is a servant or a wife of one of the old men, demonstrating wit and charm in a world of stupidity, greed, and constant misunderstanding. The piece has binary form with codetta. Each part is very contrasting in its articulation. It can be thought that the first part is Pantalon and the second-middle part is Colombine. The form is:

| | | |
|------------|-------|-----------|
| A | a+b+a | mm. 1-12 |
| B | b+b´ | mm. 13-20 |
| A | a+b+a | mm. 21-32 |
| Transition | | mm. 33-34 |
| Codetta | | mm. 35-38 |

Table 4.13 : The form analysis of the *Pantolon et Colombine, Carnaval*.

The A flat of Sphinxes no.2 begins again as a higher tone and the motif appears with the repeating C.

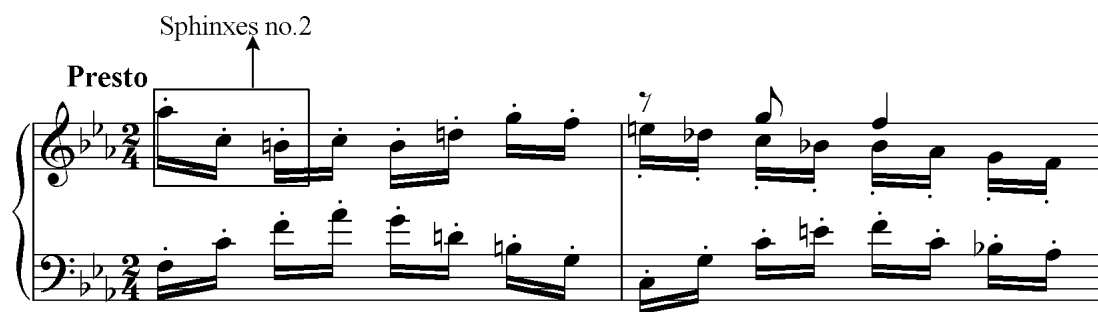


Figure 4.18 : The main theme of Pantolon and the Sphinxes no.2. mm.1-2 of *Pantolon et. Colombine*.

In the music Pantolon is depicted by a constant staccato figure in both hands. With the left hand staccato the right hand has a sudden *sf* block accord. In contrast to Pantolon, Colombine comes in a legato passage very gently. Colombine has also *p* and *meno presto* tempo before her voice makes a crescendo to *ff*. There are also canon-like dialogue passages. (Figure 4.1.1.19)



Figure 4.19 : The canon-like passages. mm.13-17 in *Pantalon et Colombine*.

At the end the music becomes harmonious and peaceful in *dolce*. The last four bars may show Colombine's character. However, Pantalon and Colombine meet an amicable settlement because the music has not the same mood of forementioned Colombine.

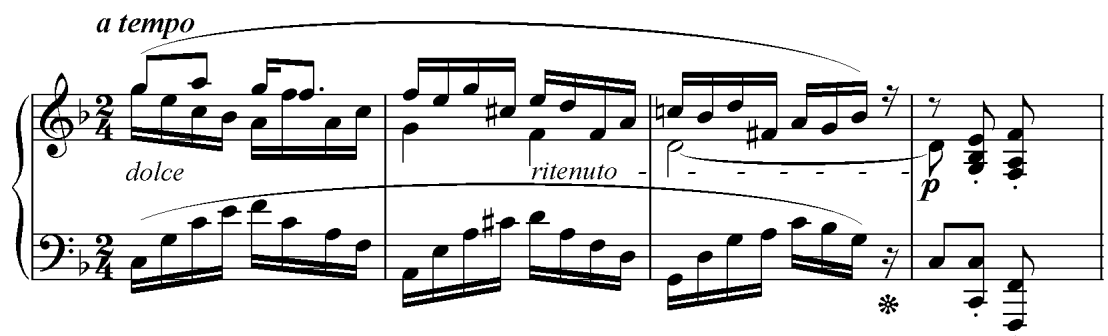


Figure 4.20 : mm.35-38 in *Pantalon et Colombine*.

16. Valse Allemande

Valse Allemande has ternary form:

| | |
|----|-----------|
| A | mm. 1-8 |
| B | mm. 9-16 |
| A' | mm. 17-24 |

Table 4.14 : The form analysis of the *Valse Allemande, Carnaval*.

The soft and quiet *pp* theme, A, and strong and staccato *f* theme, B, are contrasting. It begins with the second motif of the *Sphinxes* although they appear shortly in fast tempo:

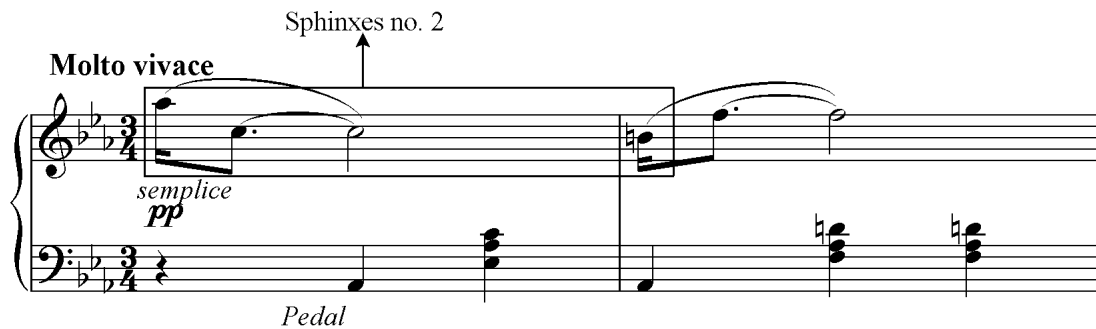


Figure 4.21 : The Sphinxes no.2. mm.1-2 of *Valse Allemande*.

17. Paganini: Intermezzo

The subject of *Paganini* is Nicolo Paganini (1782-1840), Italian composer and virtuoso violinist. Like Chopin, Paganini was also one of such figures who impressed Schumann very much. After Schumann attended a concert of Paganini in Frankfurt on 11 April 1830, he even composed *Etudes pour le pianoforte d'après les Caprices de Paganini*, op.3. In the music Paganini appears with constantly striking up-beat and down-beat rhythm. It is like a hopping gallop. This piece could be divided into three parts and separate *Valse Allemande*.

| | | |
|---|------------------|-----------|
| A | a+a' | mm. 1-8 |
| B | b+b+c | mm. 9-20 |
| A | a+a''+ extension | mm. 21-37 |

Table 4.15 : The form analysis of the *Paganini, Carnaval*.

An interesting thing is that the previous *Valse allemande* comes again at the end of *Paganini* like a coda. Its form is the same:

| | |
|----|-----------|
| A | mm. 38-45 |
| B | mm. 46-53 |
| A' | mm. 54-61 |

Table 4.16 : The form analysis of the *Valse Allemande/ Paganini, Carnaval*.

As previously mentioned, there is no Sphinx motif used. It seems that they are musically planned together, because Schumann marked here as a tempo I. *Paganini* is technically the most difficult piece in the whole collection.

18. Aveu

Aveu means admission or confession. It is the shortest piece in the *Carnaval* which has small ternary form: A (mm.1-4) B (mm.5-8) A (mm.9-12). The whole section has repetition marks and the middle section has a descending A flat scale. Here again the Sphinxes no.2 is used, stressing the C note.

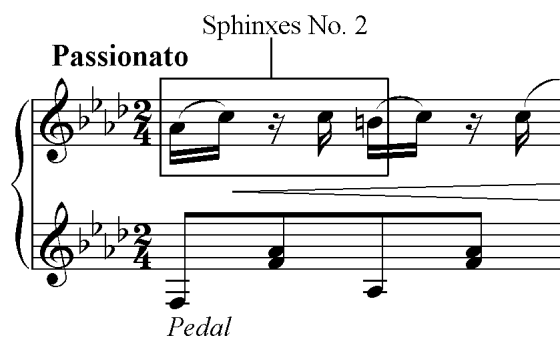


Figure 4.22 : The *Sphinxes* motif. m.1 of *Aveu*.

19. Promenade

Promenade means a walk but the music seems like a waltz. As in the aforementioned works, this piece is monothematic and has rhythmic motifs. It can be pointed out that Schumann's music is generally sequential. The second Sphinx motif is appearing in the first two bars. This piece has also a question (a)-answer (b) motif which is presented throughout the piece varying its tone a little. It has ternary form which is:

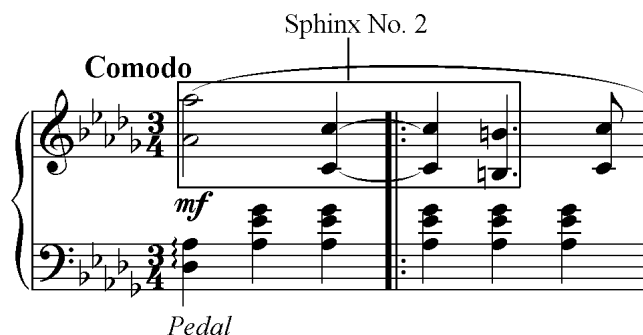


Figure 4.23 : The *Sphinxes* motif. mm.1-2 of *Promenade*.

| | | |
|------------|----------|-----------|
| A | a+b | mm. 1-8 |
| | a'+b | mm. 9-16 |
| | a''+c | mm. 17-24 |
| | a''' +c' | mm. 25-32 |
| B | b+b' | mm. 33-40 |
| | b+b'' | mm. 41-48 |
| A' | a+b | mm. 49-56 |
| | a'+a''' | mm. 57-64 |
| | a'+a''' | mm. 65-70 |
| Transition | | mm. 71-86 |
| Codetta | | mm. 87-93 |

Table 4.17 : The form analysis of the *Promenade, Carnaval*.

20. Pause

Pause means taking a break both in English and German. Ironically it goes ahead to the *Marche des Davidsbündler* like *attaca*. The music depicts the vivid motion of the *Davidsbündler* members, preparing the next march hurriedly. Its tempo is *vivo*, 27 bars of music progressing with *stretto* excitedly, with only 2 quarter rests and 4 eighth rests, generally without a break. The whole piece is actually derived from the first piece, *Préambule* in which the *Pause* is used as a transitional section before the *coda*. Thus the *Sphinx* motif is shown in the Figure 4.2. The main theme *x* is also used in the final piece, *Marche des Davidsbündler*. For *Pause* the *Sphinxes* no.2 is used as in *Préambule* and *Marche des Davidsbündler*. The form is:

| | | |
|--------------|-----|-----------|
| Introduction | x | mm. 1-4 |
| A | a+a | mm. 5-12 |
| Transition | | mm. 13-15 |
| B | b+b | mm. 16-23 |
| Transition | | mm. 24-27 |

Table 4.18 : The form analysis of the *Pause, Carnaval*.

21. Marche des Davidsbündler contres les Philistins

A certain misunderstanding derives from the name *Marche des “Davidsbündler” contre les Philistins*, the title of the twenty-first and final piece of this cycle. Originally the “League of David” was named after the biblical King David, who played and composed music, wrote poetry and slew the Philistines⁴⁹. In declaring the purpose of his journal *NZfM*, Schumann wrote, “Our purpose...is to remind our readers emphatically of the distant past and its work. ...Then, to attack as inartistic the immediate past, which is concerned merely with encouraging superficial virtuosity. Lastly, to help prepare and hasten the coming of a new poetic era.” Schumann included all the figures from the Davidsbündler in *Carnaval*. People known as Davidsbündler members include Meister Raro, Serpentin,⁵⁰ Jonathan, and Jeanquirit.⁵¹

The *Marche des Davidsbündler* begins with powerful *maestoso* character in *ff*, its structure also seems dense, and the *stretto* always builds up. The second *Sphinxes* motif is shown here:

The image shows a musical score for the 'Sphinxes no. 2' motif. It is written for piano in 3/4 time, key of B-flat major. The tempo is marked 'Non Allegro'. The score consists of two staves, treble and bass. The first section is marked 'ff' and the second section is marked 'sf'. The piece is played with a large pedal ('Pedale grande'). An arrow points to the second section with the label 'Sphinxes no. 2'.

Figure 4.24 : The *Sphinxes* motif. mm.1-2 of *Marche des Davidsbündler*.

⁴⁹ There is a discussion from the letters and diary entry about whether or not Schumann was anti-Semitic. (For further information read Ostwald. But it is difficult and may be misleading to determine such an uncertain thing.)

⁵⁰ Serpentin was the Davidbund name of Karl Banck (1809-1889), Schumann’s associate and his successor as editor of the *NZfMM*. Schumann frequently used the names of other Davidsbündler for his own criticism.

⁵¹ Jeanquirit is Stephen Heller (1814-1888)’s Davidsbündler name. He was a Hungarian-born pianist and composer following initial successes as a virtuoso. He contributed correspondence to the *NZfM* over his Davidsbündler name of Jeanquirit (derived from the closing sentence of his first letter in 1836, in which he said of himself that he was no Jean Paul but rather ‘a Jean qui rit or a Paul qui pleure’).

The whole piece seems like a mosaic composition, its main components being the Davidsbündler march, *Papillons'* dance, the theme of *Préambule*, and *Pause*. Interestingly some scholars suggest that the tonal setup of this piece is related to the sonata form. For example in the first B section it goes from c minor to E flat major. (iii → V) In the second B section it goes from c minor to the tonic A flat major. (iii → I)

This piece has the most interesting compositional compound out of all the selected pieces researched, because Schumann mixed various themes from other pieces here. This is really unusual for Schumann. We can see here themes from Op.2 *Papillons*, *Préambule*, and *Pause*. The first main melody is marked as a. The theme, which is derived from Op.2, *Papillons'* march is marked as x. The *Préambule* themes are e, f, and g. The g is also the theme of *Pause* at the same time. The form is:

| | | | |
|------|---------------|-------------|--|
| A | a | mm. 1-8 | Introduction, Non Allegro |
| | b | mm. 9-16 | |
| | a | mm. 17-24 | |
| B | c | mm. 25-32 | Molto più vivo |
| | d | mm. 33-40 | |
| | c'+c'' | mm. 41-58 | The Thème du XVII ^{ème} siècle |
| | x | mm. 59-66 | The theme of Op.2, <i>Papillons</i> , Finale |
| | c | mm. 67-74 | |
| | d | mm. 75-82 | |
| C | e+f | mm. 83-98 | The theme of <i>Préambule</i> , Animato |
| | g | mm. 99-106 | The theme of <i>Préambule</i> and <i>Pause</i> , Vivo |
| | Transition | mm. 107-120 | |
| B | c''' | mm. 121-128 | |
| | d' | mm. 129-136 | |
| | c''''+c'''''' | mm. 137-154 | |
| | x | mm. 155-162 | The theme of Op.2, <i>Papillons</i> , Finale |
| | c | mm. 163-170 | |
| | d | mm. 171-178 | |
| C | e'+f' | mm. 179-194 | Animato molto, The theme of <i>Préambule</i> |
| | g' | mm. 195-204 | Vivo, The theme of <i>Préambule</i> and <i>Pause</i> |
| | Transition | mm. 205-224 | |
| Coda | | mm. 225-283 | Beginning with the coda of <i>Préambule</i> (mm.225-242) |
| | | | + The final coda |

Table 4.19 : The form analysis of the *Marche des Davidsbündler, Carnaval*.



Figure 4.25 : The second theme of *Prélambule*. mm. 83-86 in *Marche des Davidsbündler*.

At the end of the *Marche des Davidsbündler* comes the coda from *Preambule*. (Figure 4.25)

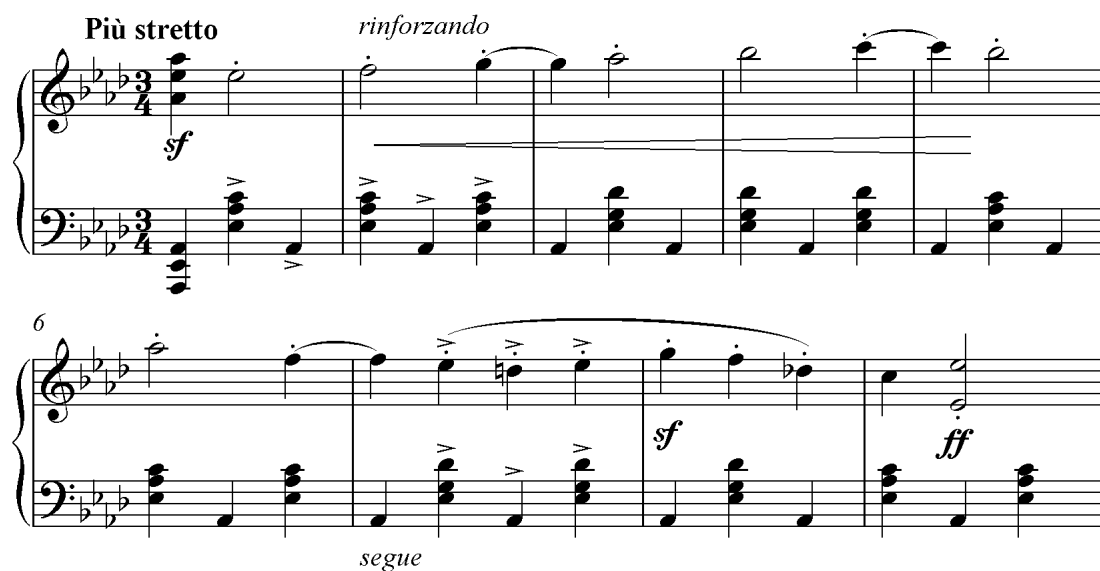


Figure 4.26 : The coda. mm.225 - 233 in *Marche des Davidsbündler*.

We see that the last scene of *Prélambule* and the last scene of *Marche des Davidsbündler* end with the almost same music. They have actually similar codas. Their enterprising musical characters are similar, too. It means that the beginning of *Prélambule* can also be considered as a march of *Davidsbündler*.

All of the pieces begin with one of the motives of the letter-note ASCH with the exception of *Chopin* and *Paganini*. As a whole the *Carnaval* seems to me like kaleidoscopic scenery of Schumann's carnival concept which is related to the letter-note ASCH.

Ostwald insists that these titles in *Carnaval* should not be taken too literally, but this must be examined. They are definitely describing the favorite objects or emotions of

Schumann. Through the musical indications such as staccato, legato, tempi, *sf*, and dynamics, Schumann seems willingly to present the characteristics of the chosen titles. The portraits of Chopin and Paganini are very successful in description using symbolic elements. For example everybody can notice that the singing legato melody is used for *Chopin* and the diagonal progression of staccato and accents are describing the virtuoso technique of *Paganini*. Even the middle part of *Paganini* is depicting the violin bowing motion. The other portraits such as *Chiarina* and *Estrella* are relatively difficult to symbolize because their musical characteristics are not known. Furthermore they are both in dance music mood and have ‘passionate’ expression words; both are very similar. It can be interpreted that Schumann had affection towards both women at that time.

As a consequence all the pieces are like portraits or portrayal poems. The pieces in *Carnaval* are musical imageries of his own imaginative carnival, like the other titled pieces.

4.1.2 Op.12 *Fantasiestücke* (1837) [original title Phantasien]

1. *Des Abends* (The Evenings) - Sehr innig zu spielen (Play very intimately)
2. *Aufschwung* (Soaring) - Sehr rasch (Very rapidly)
3. *Warum?* (Why?) - Langsam und zart (Slowly and tenderly)
4. *Grillen* (Whims) - Mit Humor (With humor)
5. *In der Nacht* (In the night) - Mit Leidenschaft (With passion)
6. *Fabel* (Fable) - Langsam-Schnell (Slowly)
7. *Traumes Wirren* (Dreams confusion or Tangled Dream) - Äusserst lebhaft (Extremely vividly)
8. *Ende vom Lied* (End of the Song) – Mit gutem Humor (With good humor)

While researching this Schumann project, the dedicatees of both *Fantasiestücke* and *Davidbündlertanze* were surprising because they were unknown people for the author, although both cycles were composed in parallel to the formalization of Schumann’s engagement to Clara. In the beginning of the *Davidbündlertanze* Schumann used the motto of Clara Wieck although he was reluctant to accord the biographical subject to the cycle. The dedicatee of *Davidbündlertanze*, Walter von Goethe, was the last grandson of the famous Goethe and a composer, who took

music lessons from Mendelssohn. The dedicatee of *Fantasiestücke* was Anna Robena Laidlaw, a gifted, young, and attractive British pianist who came for concerts in Leipzig. (Daverio 1997; 156) We can guess only that she inspired Schumann to compose. However there is another opinion. According to Ostwald, this piece is musically addressed to Clara although it is dedicated to Laidlaw. He mentions, “...this composition demonstrates...his desire to influence Clara through his music...” (Ostwald 1985; 136)

Periodically *Fantasiestücke* is written at the same time with *Davidsbüchlertanze*. Although Schumann has not marked the initials of Florestan and Eusebius on the score as in *Davidsbüchlertanze*, the music shows its contrasting character definitely like Jean Paulian dualism. For *Fantasiestücke* Schumann used German titles and indications as well as for his earlier and later compositions. Among the indication words, two of his most used adjectives are related to the characterization of Florestan and Eusebius. The ‘innig’(intimate) means Eusebius and ‘rasch’(impetuous)⁵² shows the typical character of Florestan. Generally this composition shows more the Florestanian side of Schumann. The analysis of *Fantasiestücke* is this:

| | | | |
|----|-----------------------|--------------|----------------|
| 1. | <i>Des Abends</i> | D flat major | E. (Eusebius) |
| 2. | <i>Aufschwung</i> | F minor | F. (Florestan) |
| 3. | <i>Warum?</i> | D flat major | E. |
| 4. | <i>Grillen</i> | D flat major | F. |
| 5. | <i>In der Nacht</i> | F minor | F. |
| 6. | <i>Fabel</i> | C major | F. and E. |
| 7. | <i>Traumes Wirren</i> | F major | F. |
| 8. | <i>Ende vom Lied</i> | F major | E. |

Table 4.20 : *Fantasiestücke* as Florestan and Eusebius.

Schumann wrote to Clara on 24 January 1839, “In *Carnaval*, one piece interrupts the other, which some people find difficult to endure, but in the *Fantasiestücke* the listener can spread out more comfortably.” (Daverio 1997; 156) From this we can

⁵² The normal translation of ‘rasch’ is actually ‘hurried’ or ‘rapid’. But here the literary translation of Daverio seems better.

guess that Schumann was more satisfied with the formal and tonal organization in *Fantasiestücke* as a whole. Actually from their literary titles, we can see a coherence between the pieces. We can name the *Fantasiestücke* even a *Nachtgesang* (Night song), because it begins at twilight and ends after a dream. It describes Schumann's suffering mind not only in Florestanian movements but also in Eusebian movements. In *Davidsbündlertänze* the pieces which belong to Eusebius have a more calm and peaceful character in comparison to those in *Fantasiestücke*. The first, third, and the eighth pieces in *Fantasiestücke* have the soft, lyric, and slow characteristics of Eusebius, but they also have passages which show inner struggle. In *Fantasiestücke* each movement can be presented as an individual piece, but as a whole they become more meaningful.

The first piece, *Des Abends* can be divided into two parts and coda. Each part has a compound two part form with a four measure prolongation and two measure transition. These prolongations make the transitions. The second part is an exact repetition of the first. The top melody line has a slurred triplets accompaniment in both right and left hand. Ostwald asserts that this opus is dedicated to Clara. He describes the descending melody, "The first piece, *In the Evening*, opens with her keynote theme, the familiar scale heard throughout his piano sonatas, here embedded in a restless triplet rhythm." (Ostwald 1985; 136)

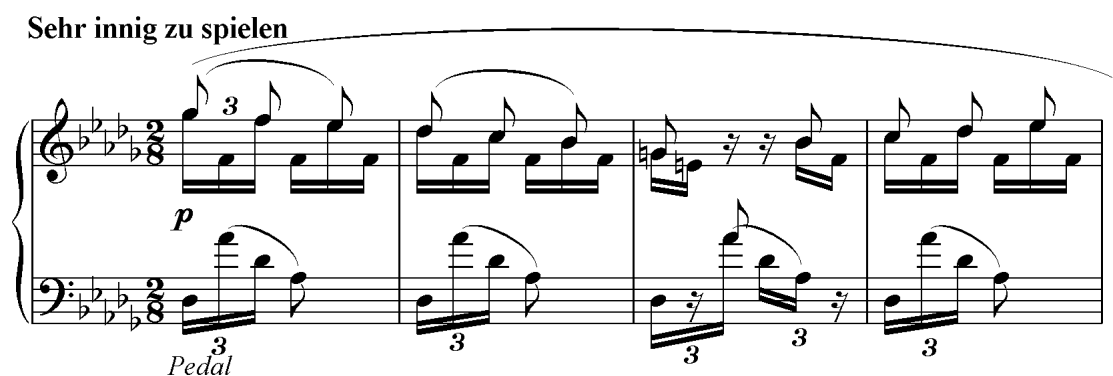


Figure 4.27 : The descending melody. mm.1-4, *Des Abends*.

One rhythmic motif is used metrically throughout the piece; even the coda ends reflecting the rhythmic motif. At first the music is presented in the tonic of D flat major. Later from measure 17 it stands on the dominant of D flat major, and then on the dominant of E major in the modulatory section, returning to the dominant of D flat major in the last two bars. The form structure is:

| | | |
|------|---|------------------------------------|
| A | A | mm. 1-16 |
| | B | mm. 17-36 + transition (mm. 37-38) |
| A | A | mm. 39-54 |
| | B | mm. 55-74 + transition (mm. 75-76) |
| Coda | | mm. 77-88 |

Table 4.21 : The form analysis of *Des Abends*.

The second piece, *Aufschwung* (Soaring), can be divided into three parts. The main theme comes twice in the first ABA, but only once in the second ABA. The second theme appears in both sections. Here is the hastily progressing, turbulent main theme:

The musical score for the main theme of *Aufschwung* (measures 1-8) is presented in two systems. The first system shows the piano accompaniment in the bass clef, marked 'Pedal', and the melody in the treble clef. The tempo is 'Sehr rasch'. Dynamics include *f* (forte) and *sf* (sforzando). The second system continues the melody and accompaniment, with further *f* and *sf* markings.

Figure 4.28 : The main theme. mm.1-8, *Aufschwung*.

The middle section, the C section, begins with a new triad chords theme and then it transforms to various new passages (cdecf) which have still essential main theme ideas. All the middle section themes have a triplet accompaniment which derives from the main A theme. The z subsection has 22 measures; it is like a transition having the main idea figures in the last 10 measures. It prepares for the representation of the main theme through a long crescendo. Therefore the A in the second ABA is presented in *ff* although all the other A themes come always in *f*. The b' is the same as b, only the bass comes in octave form. B'' has the same rhythmic progression with a different melody. The form structure is like this:

| | | | |
|----|----|-------------|------------|
| A | a | mm. 1-4 | |
| | b | mm. 5-8 | |
| | a | mm. 9-12 | |
| | b | mm. 13-16 | |
| B | c | mm. 17-23 | |
| | d | mm. 24-32 | |
| | c | mm. 33-40 | |
| A | a | mm. 41-48 | |
| | b' | mm. 49-52 | |
| C | w | mm. 53-60 | |
| | x | mm. 61-70 | |
| | y | mm. 71-84 | |
| | w | mm. 85-92 | |
| | z | mm. 93-114 | Transition |
| A | a | mm. 115-118 | |
| | b | mm. 119-122 | |
| B' | c | mm. 123-130 | |
| | d | mm. 131-138 | |
| | c | mm. 139-146 | |
| A | a | mm. 147-150 | |
| | b | mm. 151-154 | |

Table 4.22 : The form analysis - The analysis for *Aufschwung*.

Aufschwung has a sonata-like form because of its tonal organization. Especially in the first ABA, the main theme comes in A flat major and the second theme B in D flat major; but in the second ABA the second theme B comes in A flat major like the A theme, these being like the exposition and recapitulation of the sonata form.

There is an analysis by Leon Plantinga. The author's analysis is similar to his in the overall sense. But because of the middle section he claims sonata-rondo form for *Aufschwung*. Our difference is in the interpretation of the second part which is the C of a sonata-rondo according to him. The C is quite long to regard only as the C of a

sonata-rondo. Additionally the full measure is counted here, but Plantinga counted sometimes the auftakt measure. Here is his analysis for comparison.

| | | |
|---|-------|-------------|
| A | abab | mm. 1-15 |
| B | cdc | mm. 16-39 |
| A | ab | mm. 40-52 |
| C | wxywz | mm. 53-113 |
| A | ab | mm. 114-122 |
| B | cdc | mm. 123-146 |
| A | ab | mm. 147-154 |

Table 4.23 : The form analysis - Plantinga’s analysis for *Aufschwung* (Plantinga 1984; 232).

Schumann must have organized its form very carefully, because the first and third parts are entirely symmetrical and the second section can be exactly divided into two. The wxy and wz sections both have 31 measures. Plantinga even said that the metrical regularity of this piece is as ironclad as it is in the dance-like movements of *Carnaval* and *Papillons*. (Plantinga 1984; 233)

Plantinga evaluates also the relationship between the title of the piece and the music. He analyzes this piece, *Aufschwung*, with literary connections.

The title may refer particularly to the second principal theme, first heard in mmm.16 *ff*, in which the soprano melody moves upward in sixth with the tenor voice, and “soars” to an accented upper appoggiatura (b flat”) in mmm.18 and 20 before descending again smoothly in mm.20-23. The other main theme, that with which the piece begins, consists of two quite different subsections: the very opening is energetic and sharply rhythmical (mm.1-4) while its sequel (mm.5-8) smooths out and glides downward with a motion that might also remind us of flying or soaring. (Plantinga 1984; 232)

There are some critical points, especially in the reference to the title. Not the second theme but the first theme can describe an attempt for the soaring or a preparation for the spreading of wings. We can even imagine the composer’s turbulent mind in an abstract sense. No additional description about this piece is found from his diary and letters, which could be helpful for the authentic interpretation. The interpretation of titles and connected passages depends on ourselves. Only one interesting thing is

that there is a *Fantasiestücke* of E. T. A. Hoffmann. So we scholars premise that Schumann was influenced by this novel such as in *Kreisleriana*'s case. Schumann has some piano cycles which have the same titles from the novels of Hoffmann.

The third piece, *Warum?*, can be divided into three parts (mm.1 - 16 / mm.17 - 30 / mm.31 - 42), or we can say that it has binary form with a coda. This piece has two rhythmic motifs (Figure 4.29): one is for the melody, the other is for the accompaniment.

Lansam und zart Question

Accompanying motif

Pedal

Answer

Question

Answer

Figure 4.29 : The question and answer. mm.1-11 of *Warum?*

The melody motif appears first and then similar motifs follow like question and answer. These motifs are very similar to each other, but differ from the ending. The first motif ends in upwards motion like a question, and the other following similar motif which ends in downwards motion is like an answer. But both of them are actually like a self-addressed question. They come in canonic form throughout the piece. They appear even like stretto: the following motif begins before the first ends. After the questioning motif, a similar but answering motif follows. The accompanying motif is heard in syncopation. These question and answer motifs are played in 'slow tempo and softly' like the indication. However in the middle section the self-addressed question becomes more expressive and louder. This heightened

question becomes again mild through ritardando and arpeggio ornaments. This is the shortest piece in this cycle.

The fourth piece, *Grillen*, has three parts whose first and third parts are same although their middle sections are built on different keys. The first A's middle section modulates from A flat major to f minor. The second A's middle section modulates from D flat major to b flat minor.

Interestingly if a similar section comes again, it appears always in upgraded dynamics. For example A is in *mf*, A' is in *ff*. Similarly in the second part the first D is in *p*, the second D section comes in *mf/f* also two octaves higher than the first D. Exceptionally the music changes its dynamics suddenly not only from period to period but also within the period. These sudden dynamic changes can be a factor which suits the title 'Whims'.

The first and third parts are almost the same. The first theme a and a' present typical 'Florestan in gutem Humor' (good humored Florestan). But from the b, the music becomes gloomy and in minor mode. The second part, B, contrastingly to the A part, has a calm chorale-like structure. Especially in this B part there are prolonged third beat ties as suspensions.

The whole structure is like this:

| | | |
|----|----|-------------|
| A | a | mm. 1-8 |
| | a´ | mm. 9-16 |
| | b | mm. 17-24 |
| | c | mm. 25-36 |
| | b | mm. 37-44 |
| | a | mm. 45-52 |
| | a´ | mm. 53-60 |
| B | d | mm. 61-72 |
| | e | mm. 73-80 |
| | d´ | mm. 81-88 |
| | f | mm. 89-96 |
| A´ | a | mm. 97-104 |
| | a´ | mm. 105-112 |
| | b | mm. 113-120 |
| | c | mm. 121-132 |
| | b | mm. 133-140 |
| | a | mm. 141-148 |
| | a´ | mm. 149-156 |

Table 4.24 : The form analysis of *Grillen*.

The fifth piece, *In der Nacht*, is the first piece of Book II. It is remarkable that Schumann set the title in the time order related to the first piece ‘In the evening’ of Book I. The cycle began in the evening, now it has become night. Schumann wrote to Clara about the story of Hero and Leander for this piece. Here is the story:

After I had finished it I found, to my delight, that it contained the story of Hero and Leander. Of course you know it, how Leander swam every night through the sea to his love, who awaited him at the beacon, and showed him the way with lighted torch. When I am playing *Die Nacht* I can’t get rid of the idea. First he throws himself into the sea; she calls him, he answers; he battles with the waves, and reaches land in safety. Then the cantilena, when they are clasped

in one another's arms, until they have to part again and he can't tear himself away, until the night wraps everything in darkness once more. Do tell me if the music suggests the same things to you. (Chissell 1989; 46)

Joan Chissell continues: "The melodic motives, as they expand, do in fact rise and fall like waves...". Her opinion is reasonable in the point of 'waves', because the repetition of ascending and descending triplets with crescendo make an effect like turbulent waves.

This piece is the longest piece in this cycle containing 223 measures. It can be divided into three parts, concluding with the coda. In the analysis this time it seems more like rondo form rather than sonata form. One period is counted for a small alphabetical section. The periodical regularity is metrical with the exception of some two measure irregular prolongations (e. g. a' and f sections).

Generally the section's change point meets the modulating point. It seems that Schumann himself managed it carefully with double bar lines. With the exception of the C and the opening D parts the music is in *f*. Every phrase seems to begin in *p*, but increases rapidly to *f* and the music becomes suddenly turbulent. The most serene part is C staying in *p* and *pp*. The tempo is changed to 'Etwas langsamer' (a little slowly). This part could be an inner song of Eusebius. At the same time this is most peaceful part in the turbulent storm at night. The D part seems like transitional passages. Here comes a wholly different subject (mm.109-121) with canonic dialogue (mm.122-137). The general indication 'Mit Leidenschaft' (With passion) belongs to Florestan's typical character. The highest points from the musical density and dynamics are the second transition and coda section. The main rhythmical motif is a melody of two triplets on eight sixteenth notes. (Figure 4.124) This motif can be heard continuously through the piece. This kind of motivic use in accompaniment is very similar to the Alberti bass in the Classical period, because it gives the basic bass harmony throughout the piece. Schumann used this also with countless repetitions which caused the fluency of the musical progression.

The structure is this:

| | | |
|------|------------|-------------|
| A | A | mm. 1-8 |
| | a´ | mm. 9-17 |
| B | B | mm. 18-26 |
| | C | mm. 27-36 |
| | b´ | mm. 37-44 |
| A | A | mm. 45-52 |
| | a´ | mm. 53-68 |
| C | D | mm. 69-76 |
| | d´ | mm. 77-84 |
| | E | mm. 85-92 |
| | D | mm. 93-100 |
| | d´ | mm. 101-108 |
| D | F | mm. 109-121 |
| | G | mm. 122-129 |
| | g´ | mm. 130-137 |
| | Transition | mm. 138-143 |
| A | A | mm. 144-151 |
| | a´ | mm. 152-160 |
| B´ | b´´ | mm. 161-171 |
| | C | mm. 172-180 |
| | b´ | mm. 181-189 |
| A | A | mm. 190-197 |
| | a´ | mm. 198-206 |
| Coda | | mm. 207-223 |

Table 4.25 : The form analysis of *In der Nacht*.



Figure 4.30 : The main rhythmical motif. mm.1 – 4 of *In der Nacht*.

For the left hand accompaniment there are always eight sixteenth notes throughout the piece. Only in the C section every third sixteenth note is supplemented by a sixteenth rest making syncopation. The most remarkable point is how Schumann used 2/4 meter rhythms variously. The rhythmic figures which were used by Schumann are these:

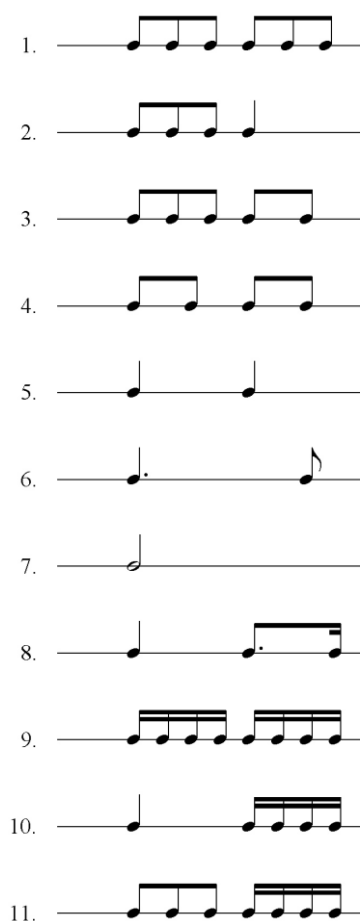


Figure 4.31 : Various rhythmic figures used for the melody in *In der Nacht*.

The sixth piece, *Fabel*, also can be divided into three parts. The first part has the same two preludes and two periods. Only the second prelude appears a fifth higher than the first. The second part has compound two part form with one period transition. The third part has again one period followed by two postludes, which are almost the same as in the preludes. The first and third parts are symmetrical and are humorous in character. After the slow preludes, fast staccato music follows still in *p*. The middle part contains syncopation, stretto, unison, and crescendo/decrescendo in *f*. The structure is

| | | | |
|------|------------|-----------|-----------|
| A | x | mm. 1-4 | Prelude |
| | a | mm. 5-12 | |
| | x' | mm. 13-20 | Interlude |
| | a | mm. 21-28 | |
| B | b | mm. 29-32 | |
| | c | mm. 33-40 | |
| | c' | mm. 41-48 | |
| | b' | mm. 49-52 | |
| | b | mm. 53-54 | |
| | Transition | mm. 55-60 | |
| | c | mm. 61-69 | |
| C | a | mm. 70-77 | |
| Coda | x' | mm. 78-81 | Postlude |
| | x | mm. 82-89 | |

Table 4.26 : The form analysis of *Fabel*.

This piece resembles the eleventh piece *Fürchtenmachen* from the *Kinderszenen*. Both of them are tales or stories about the mood before sleep, because *Fabel* (Fable) and *Fürchtenmachen* (Frightening Story or Nightmare) are similar in purpose. They differ only in the expected audience: one is for adults, the other is for children. After the prelude it is marked as 'Schnell'. They have symmetrical first and third parts

with prelude and postlude having contrasting middle parts. Curiously both the ‘Schnell’ parts are played in staccato and *pp* lightly.

The seventh piece, *Traumes Wirren*, is complicated to divide into sections. Roughly, it has three parts and a long coda. The whole structure is like this:

| | |
|------------|-------------|
| A | mm. 1-16 |
| A´ | mm. 17-32 |
| Transition | mm. 33-38 |
| A | mm. 39-54 |
| Transition | mm. 55-62 |
| B | mm. 63-78 |
| B´ | mm. 79-94 |
| A´´ | mm. 95-110 |
| Transition | mm. 111-122 |
| A | mm. 123-138 |
| Transition | mm. 139-146 |
| Coda | mm. 147-177 |

Table 4.27 : The form analysis of *Traumes Wirren*.

Each section is in binary form. When the whole A section comes again after the first A, it has a four or five measures prolongation which merely repeats its last measures. With the exception of the B section, all the variation of A have the same rhythmic figure in the right hand. Maybe for the accompaniment rhythm they vary a little. The B section is like a chorale in *pp*. The big coda is made from all the basic rhythmical components from the A section.

Dynamically the highest point is in the last transition; the music makes enhancement once more in the coda. The texture is very dense without a break. The most remarkable thing in this piece is Schumann’s harmonical use of the main theme phrases (Figure 4.126), because he sustains the tonic pedal for four measures long although the melody changes its harmony.

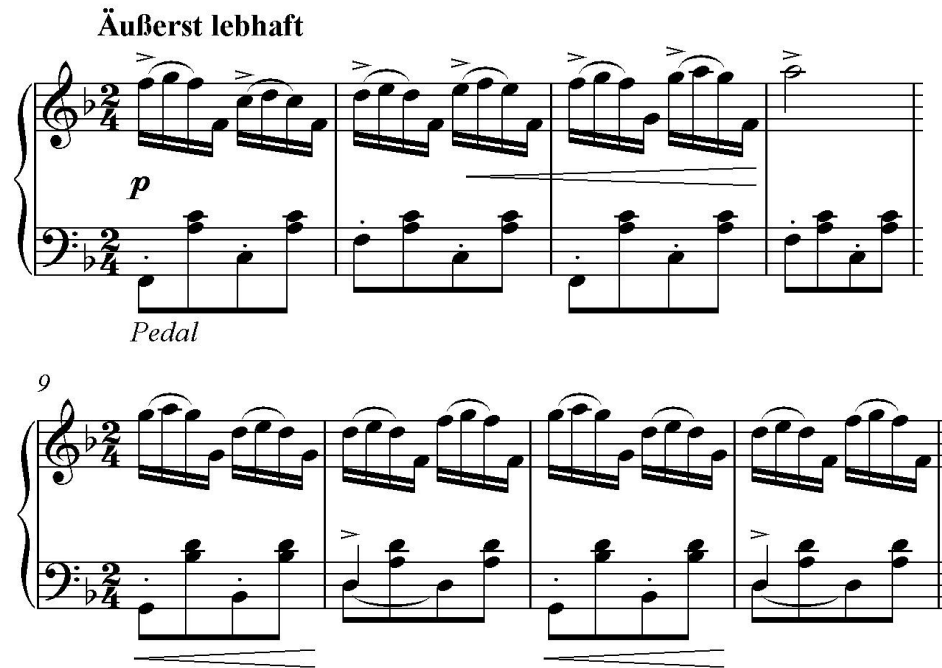


Figure 4.32 : The main theme phrases. mm.1-4 and mm.9-12 of *Traumes Wirren*.

It is not typical of Schumann's works, although we consider the Romantic period as a 'period with abundant dissonance'. We can notice such a dissonance only in his late pieces. Perhaps he used it to emphasize the 'tangled dream' quality of the music.

The eighth and final piece, *Ende vom Lied*, can be divided into three parts and a coda which is marked by Schumann. The first and third parts are the same, having ternary form. The middle part has compound two part form with four measures prolongation.

The form is very clear for this piece, because Schumann divided sections with double bar lines, even the coda. The main theme a is like a majestic march theme which begins with F major. When a comes for the second time, it increases in octave, full harmony and *ff*. In the second part the music becomes more vivid with Schumann's marking 'Etwas lebhafter'. Actually the d section is a sequential play of c. All the c, d, and d sections have modulated to B flat major. The last coda is completely *p* to *ppp*. It contains an echo-like main theme a melody in the middle part and finally ends again in F major.

The whole structure is like this:

| | | | |
|------|---|------------|-------------------|
| A | a | mm. 1-8 | |
| | b | mm. 9-16 | |
| | a | mm. 17-24 | |
| B | c | mm. 25-32 | |
| | d | mm. 33-52 | |
| | c | mm. 53-60 | |
| A | a | mm. 61-68 | |
| | b | mm. 69-76 | |
| | a | mm. 77-84 | |
| Coda | a | mm. 85-117 | Including Chorale |

Table 4.28 : The form analysis of *Eede vom Lied*.

The cycle's name *Fantasiestücke* probably comes from the *Fantasiestücke in Callot's Manier*, E. T. A. Hoffmann's first book.⁵³ Like *Fantasiestücke*, this book has two parts in which *Kreisleriana* is embedded. In part I, *Kreisleriana* has six numbered sections, and in part II seven numbered sections. Kapellmeister *Kreisleriana* will be discussed with the music *Kreisleriana*, op. 16. Returning to the *Fantasiestücke*, it cannot be asserted that the music is related to the novel word for word.

The novel discusses mainly music through Jaques Callot's and Kreisler's eye. Sometimes they mention the author, E. T. A. Hoffmann. The book is full of great passion for music and musicians. There are also such descriptions of time, fables, and dreams which are the subjects of Schumann's *Fantasiestücke*. The *Fantasiestücke*'s mood reflects the novel's character. In *Kreisleriana* sections Kapellmeister Johannes Kreisler discusses the relationship between literature and

⁵³ There are some scholars who mention Schumann's *Fantasiestücke* in connection with Hoffmann's, but not in detailed manner. It is true that there is no evidence for the relationship, because Schumann hasn't mentioned about it. However it is acknowledged that Schumann was influenced by this book through *Kreisleriana*.

painting and music. It seems also remarkable that the preface is written by Jean Paul Richter. The contents of the novel is provided as an Appendix D.

4.1.3 Op.15 *Kinderszenen* (1838)

1. Von fremden Ländern und Menschen (Of Foreign Lands and People)
2. Kuriose Geschichte (A Curious Story)
3. Hasche-Mann (Catch Me)
4. Bittendes Kind (Entreating Child)
5. Glückes genug (Perfect Happiness)
6. Wichtige Begebenheit (An Important Event)
7. Träumerei (Dreaming)
8. Am Kamin (By the Fireside)
9. Ritter vom Steckenpferd (Knight of the Hobbyhorse)
10. Fast zu ernst (Almost too serious)
11. Früchtenmachen (Frightening)
12. Kind im Einschlummern (Child falling asleep)
13. Der Dichter spricht (The Poet speaks)

According to Boetticher, the *Kinderszenen* (Scenes from Childhood) op.15 were composed in the spring of 1838, having already been mentioned under this title in entries in Schumann's diary. Referring to *Kinderszenen* in a letter to Clara Wieck, Schumann relates, "What wild imaginings and dreams I experienced while writing these scenes." In contrast to the *Album für die Jugend* (Album for the Young) op.68, which is designed more with children in mind, *Kinderszenen* is not only with children in mind, but about children. The concept of composing differs from the *Album für Jugend* but is similar to works such as *Bunte Blätter* op.99 and *Album Blätter* op.124. *Kinderszenen* can be performed also by children, but it concerns more, according to Schumann's own words "the adult reminiscences for adults".

It generously describes the frame of mind of a child or pictorial scenes with children.

Here mainly form analysis has been made, certain motivic development, harmonic progression and Schumann's use of thematic/rhythmic passages are more focused than on tonal harmony analysis. There is an analysis of *Kinderszenen* by Réti⁵⁴, whose approach is based on motivic analysis. He asserts that *Kinderszenen* can be regarded as motivic variations presenting some similar use of intervals and motifs. But the relationships between the motifs are scarcely seen. As a whole his theory is based on Schenkerian analysis without regarding the entire harmonic structure.

König says that Schumann's music has certain symbols for certain emotions. He gives examples like ASCH (from *Carnaval*) and the use of Hornfifth. Furthermore he asserts that an interval's constellation of Schumann has generally a symbolic meaning, though only to a limited degree. For example the upwards springing sixth interval has a bright and cheerful character. The reversal of second or third intervals means inner love. These intervals are also often related to the indication 'Äusserst starken Ausdruck'. The fourth and seventh intervals are related to the expression of passion: the fourth means the weakening and slowing-down of passion, the seventh means the opposite. König introduces these symbolic meanings of intervals through analysis of some Lieder and the *Kinderszenen*. The interval analysis of the Lieder are more acceptable than the other, because the written texts in the Lieder are evidential proof of his argument. However his *Kinderszenen* analysis was too obscure to be convincing. The intervals will be mentioned in the analysis but more in an objective way.

Two characteristic musical techniques in the *Kinderszenen* have been noticed. The most frequently used musical technique is the repetition of a stanza melody, like in a poem. The second is melodic transposition in fourth or sixth upwards, and in right or left hands. In result, it sounds like canon. Melodic repetition is not only used in this piece but also in all of Schumann's works. But the specific feature in *Kinderszenen* is the same use of the melody stanza without adding octaves. For example in the *Davidsbündlertänze*, if the melody comes twice, then the second time the melody comes either in octave or in the low octave: even the harmonic structure varies slightly.

⁵⁴ His opinion to *Kinderszenen* is not well revealed. For further information, read 'Schumann's *Kinderszenen*: quasi Thema mit Variationen'.

The first piece of the *Kinderszenen, Von Fremden Ländern und Menschen* has ternary form with irregular construction. This is A (mm.1-8), B (mm.9-14), and A (15-22). The middle section has only 6 measures and fermata. The slow singing melody is accompanied by triplet rhythms from the beginning to the end. This piece has lullaby-like character and it suits also the title, as if someone tells a story of foreign lands and people. In the novel, *Das fremde Kind*, the children tell their parents about the child of the heavenly land.

The second piece, *Kuriose Geschichte* also has irregular ternary form, with a middle section of only four measures. This is A (mm.1-8), B (mm.9-12), and A' (mm.13-20). This piece is like a march because of its dotted rhythm and 3/4 meter. We can see very often this kind of march in the Romantic period. The first piece from *Kinderstücke* (Children's Pieces), Op.72 (Figure 4.34) of Mendelssohn begins with the same rhythm and they are characteristically very similar.



Figure 4.33 : The opening march. mm.1-8 *Kuriose Geschichte*, Schumann.

For example the accents on the third beat are common. Although Schumann marks it only in the third measure, the other third beats have also emphasizing tendencies. When the march-theme comes for the second time different ascending scales come.

The short middle section has a contrasting quiet melody which is bound with a long legato. Whether the title 'curious story' fits this march-like music is questionable. Anyway we can imagine that the 'story' is told in cheerful circumstances or the 'story' is told merrily by children. The middle section could be the most interesting

part of the ‘story’ because the music changes to the minor key mood suddenly as if something might happen.



Figure 4.34 : The opening march. mm.1-12 no.1 *Kinderstücke*, Op.72, Mendelssohn.

The third piece, *Hasche-Mann*, has ternary form, too. But this time the recapitulation part is reduced to four measures. The second A is merely a repetition of the first four measures from the first A. The whole structure can be presented as this: A (mm.1-8) – B (mm.9-16) – A (mm.17-20). The B could be divided into small two parts. Each of the small parts contains four measures. With the exception of the second part of the B (mm.13-16) this piece is wholly played in staccato. The fast tempo and sudden *sfp* suit the children’s game ‘catch me as you can’. There is a main motif which appears always throughout the piece. One can almost say that this piece is composed of this rhythmic motif (Figure 4.35).



Figure 4.35 : The main melodic and rhythmic motif. mm.1-4 of *Hasche-Mann*.

This motif in staccato continues until the end as if it describes the rapid running motion of children playing.

The fourth piece, *Bittendes Kind*, is in small ternary form with a four measures prolonged middle section. In this piece the use of two - measure rhythmic motifs is remarkable. Schumann has set the piece, which consists of the repeating three motifs (a, b, and c). Each of the big alphabetical parts contains only four measures which contain two small units. The structure is: A a+a (mm.1-4) – B b+b (mm.5-8) – C c+c (mm.9-12) – A a+a (mm.13-17). The interesting thing is that always when the motif repeats, it becomes weaker as *pp*. All the repetitions are like the entreaties of children who repeat and repeat their wishes. And then it ends on a dominant (the V of V) It's as if the children are begging or entreating, saying "Please?".

The fifth, *Glückes genug*, is in binary form: A (mm.1-8) and A' (mm.9-16). Presenting the title 'Perfect Happiness', this piece is a happy song in soft character. We cannot see any *f* although there are many octave positions. The music is presented in canon form. After the first motif (mm.1-2), the first answer comes in the second measure in the left hand a fifth below. Next, the roles of the hands are reversed with the same motifs, first the left hand and then the right hand exactly one octave above and elongated. In A' section the motif is presented a half tone above progresses in the same way as the A section.

The sixth, *Wichtige Begebenheit*, has exact ternary form: A (mm.1-8) – B (mm.9-16) – A (mm.17-24). 'An important event' is presented in *f* and maestoso-like mood. The main motif A can also be divided into two a's, both of them having exactly the same rhythm. All the melodies are presented in heavy chords for both hands always in *f*. Additionally, each of the chords have extra accents. In the middle section they have even *ff* and *sfz*. If we hear this music without a title, it will seem like a chorale melody or a maestoso march. We can guess through the music that the important event is pompous and serious.

The seventh, *Träumerei*, also has ternary form: A (mm.1-8), B (mm.9-16), and A' (mm.17-24). If the form is divided more precisely, it can be seen as a sequential play of the four measure-contained motifs. (a-a'-a''-a'''-a-a''''') Interestingly the whole music is based on one idea. Although its shape varies a little, all of them have exactly the same rhythm. *Träumerei* is the most famous piece from *Kinderszenen*. Not only from *Kinderszenen* but also from Schumann's complete oeuvre, this piece is well known with its dreamy character. The main theme consists of two sustaining half notes and ending passages, which contain many nonharmonic tones. The delay

of the strong beat makes syncopation in almost every measure. Schumann used always the same melodic theme which varies slightly in every appearance in this piece. The main motif seems like a soliloquy-like question. Here are harmonic analyses with the characterization. The harmonical variation is:

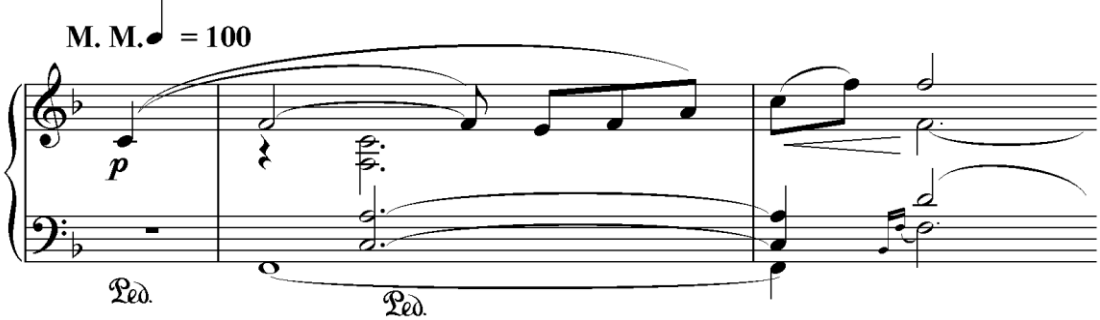


Figure 4.36 : mm.1-4 The main theme, The question, *Träumerei*.

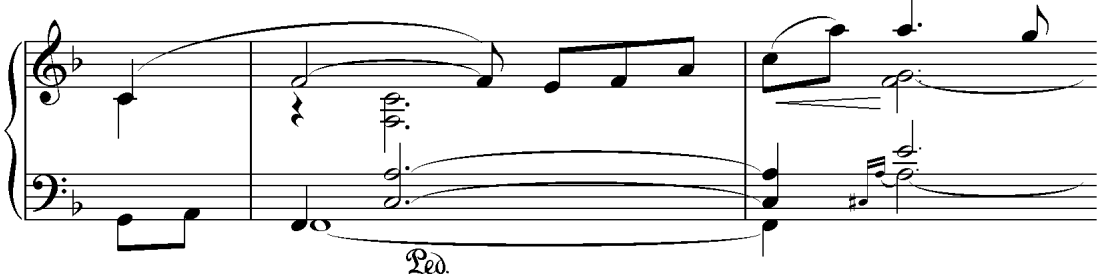


Figure 4.37 : mm.5-8 The first varied theme, The strong question.

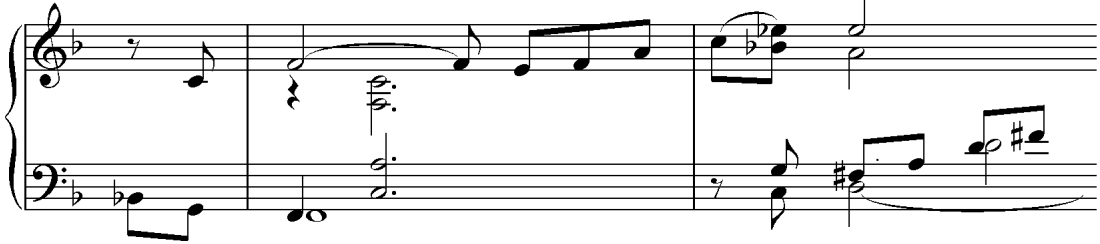


Figure 4.38 : mm.9-12 The second varied theme, The question with suspicion.

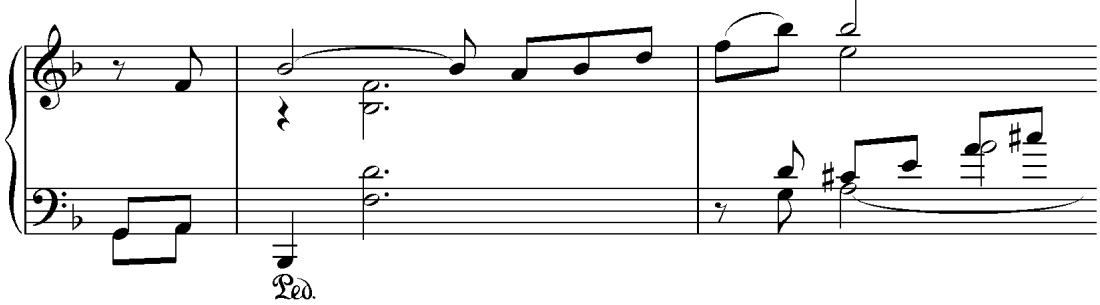


Figure 4.39 : mm.13-16 The third varied theme, The question with inner struggle.

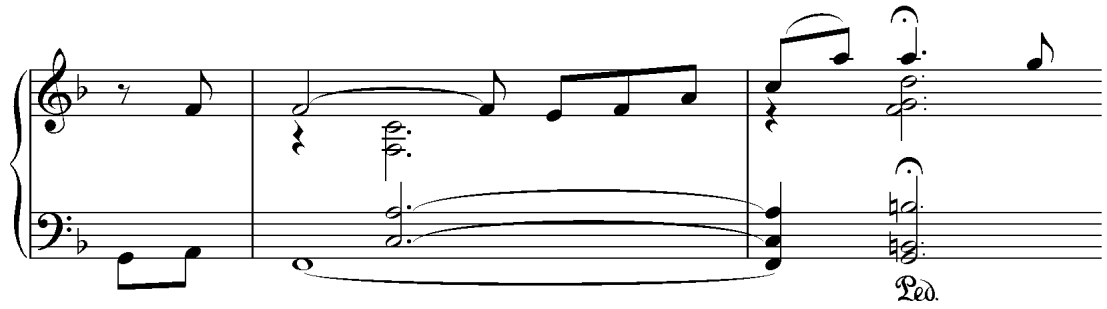


Figure 4.40 : mm.21-24 The fourth varied theme, The answer with conclusion.

The eighth, *Am Kamin*, has compound two-part form: A a (mm.1-8), b (mm.9-16), B a (mm.17-24), and c (mm.25-32). The second part, B, begins with a and ends with c, a coda-like sequential passage. This piece has a merry character, and it is played in *p* with the exception of the *mf* middle section. Here again perhaps the title is not really represented as music. One can only imagine that the children at the fireside are in a merry mood and fall asleep with murmuring passages.

The ninth piece, *Ritter vom Steckenpferd*, is in ternary form: A (mm.1-8), B (mm.9-16), and A' (mm.17-24). This piece is composed throughout using the main rhythmic motif. (Figure 4.1.3.9) This motif has syncopated rhythm on the long *g* note pedal point. The strong beat comes always on the third beat with the accents. This rhythmic figure describes the recurrence of a particular movement.



Figure 4.41 : The main rhythmic motif, mm.1-4 of *Ritter vom Steckenpferd*.

Probably the listener can feel the rocking movement of the hobbyhorse. The main melody of the theme is built on the top first and then from the measure five it comes in the middle line in inverted form. This melody in inversion comes again in the return of the A but in *ff*.

The tenth piece, *Fast zu ernst*⁵⁵, has irregular ternary form: A (mm.1-8), A' (mm.9-21), and A" (mm.22-31). Its middle section is prolonged five measures more and the recapitulation has a prolongation of two measures. The tied note from the auftakt delays always the strong beat. Schumann used here also one rhythmical motif for the right hand and another rhythmical motif for the left hand throughout the piece. One interesting thing is the springing bass tone in the left hand accompaniment. It springs even two octaves (which is very difficult for the performance of children) higher. The musical language is simple, but it has dense texture and a more serious mood than any other pieces in the *Kinderszenen*.

The eleventh piece, *Fürchtenmachen*, can be a point of discussion with its form. It can be said to be two compound binary forms, regarding the repetition marks. Otherwise it could be called just 'rondo form'. There is one period theme which appears four times. (Figure 4.42) The whole structure is like a rondo form:

| | | |
|---|-----------|----------------------------------|
| A | mm. 1-8 | |
| B | mm. 9-12 | Schneller, repetition mark |
| A | mm. 13-20 | |
| C | mm. 21-28 | including transition (mm. 25-28) |
| A | mm. 29-36 | |
| B | mm. 37-40 | Schneller, repetition mark |
| A | mm. 41-48 | |

Table 4.29 : The form analysis of *Fürchtenmachen*.

⁵⁵ The Kalmus edition has 57 measures.



Figure 4.42 : The main theme. mm.1-8 of *Fürchtenmachen*.

The music has a curious conception because all the sections are extremely contrasting. The A section has stepwise motion in *pp* like speaking in slow tempo. The B section is marked ‘Schneller’, so the theme with staccato accompaniment runs quickly but still in *pp*. The C section is the climax with its *f* and *sf*. Here probably the music describes frightened children. Curiously E.T.A. Hoffmann’s *Das fremde Kind* has a similar scene, too. In the novel there are scenes about frightened children before they fall asleep. After the whole analysis the relationship between *Das fremde Kind* and *Kinderszenen* will be discussed.

The twelfth piece, *Kind im Einschlummern*, has a compound two-part form: A (mm.1-8), B (mm.9-16), C (mm.17-24), and A (mm.25-32). It is in e minor for the first and last A sections, and E major for the B section. The C section is modulatory. To be strange the piece ends not on the tonic but on the subdominant chord. Here also one rhythmic motif (Figure 4.43) appears throughout as if the child fell asleep before it finished.

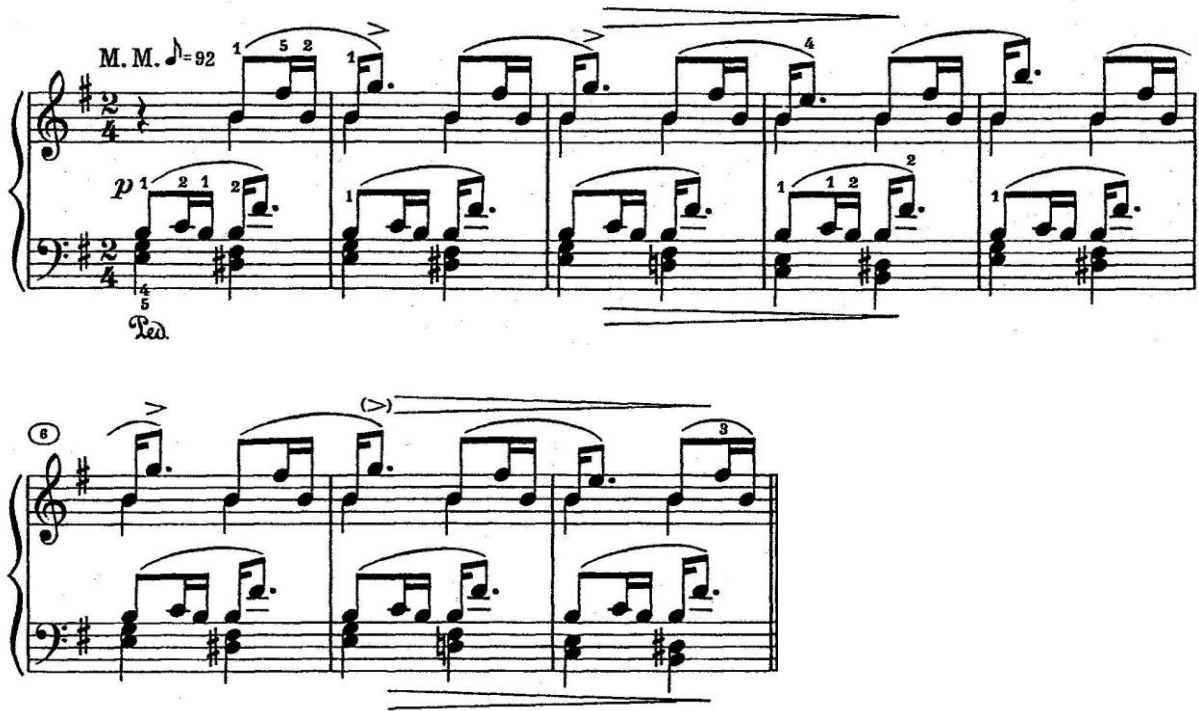


Figure 4.43 : The main theme and rhythmic motif. mm.1-8 of *Kind im Einschlummern*.

The rhythmic motif is presented in the first eight measures and in the final eight measures in canonic form. In the middle section these motifs come in unison in both hands with a more dense texture. With the exception of measures 17- 24, which are more like a monologue, the whole piece has canonic dialogue in *pp*. We can guess only that this kind of sequential passages or repetitions describe the slumberous child scene.

The thirteenth, *Der Dichter spricht*, has binary form in G major:

| | | | |
|---|---|-----------|--------------------------|
| A | a | mm. 1-8 | The main theme = chorale |
| | b | mm. 9-12 | Cadenza in free tempo |
| B | a | mm. 13-20 | |
| | c | mm. 21-25 | Codetta |

Table 4.30 : The form analysis of *Der Dichter spricht*.

The chorale-like music, especially in the a section, becomes more loose after the main theme through *ritardando* and solo cadenza in free tempo. The musical language is simple and intensive. Schumann often used chorale-like serious music as

a final piece. For example the last piece of *Albumblätter*, *Canon*, and the last piece of *Fantasiestücke*, *Ende vom Lied*, have also similar character. With the exception to this many song cycles have this kind of chorale music as a final piece. About the title there has always been discussion, because the title does not have any relationship with the *Kinderszenen* character. If we can think of the relationship to the novel *Das fremde kind*, we can get imaginable ideas from the novel. Scholars such as König mention the possible relationship between this music and the novel. Thus the poet could be Hoffmann or Schumann or a third person who presented the *Kinderszenen*. The music has a calm and serious sermon-like mood as mentioned as a chorale for this piece.

Robert Polansky⁵⁶ asserts that Schumann had originally written 30 movements for the *Kinderszenen*, but chose only 13 for the final version. He discusses that the unused movements were added to the *Album für die Jugend*, op.68 and *Albumblätter*, op.124. Actually there are some pieces which have similar titles such as *Wiegenliedchen* and *Schlummerlied* in *Albumblätter*. However the musical characters of these pieces are more similar to the first piece, *Von fremden Ländern und Menschen* of *Kinderszenen*.

König discusses Schumann's careful choice of titles. For example the twelfth piece is called *Kind im Einschlummern* not *Einschlafendes Kind*. *Ritter am Steckenpferd* and *Fast zu ernst* also reveal Schumann's poetic ability of choosing words. König also mentions the possibility of the relationship between Schumann's *Kinderszenen* and Hoffmann's novel *Kindermärchen*.⁵⁷ He emphasizes especially the fourth novel *Das fremde Kind*. He suggests that there is a phrase "in süßen Träumen mit dem fremden Kinde" which may reflect the *Träumerei*. He also mentions E.T.A. Hoffmann's possibility of being *Dichter* in the last piece.

His proposals about *Kinderszenen* are not well known and revealed yet among scholars. But after examining the novel, it must be regarded as an important source

⁵⁶ All the sources such as TB and letters show that Schumann has written around 30 pieces for the concept. Here I refer to Polansky's article, because his research contains various and valuable information. Polansky shows that Schumann was not precise about the number of pieces he had chosen to form the cycle and emphasized the 'Leichte Stücke' quality for the virtuoso pianist through the letter exchange between Schumann and his wife, Clara. To get detailed information, read the essay 'The Rejected *Kinderszenen* of Robert Schumann's Opus 15' by Polansky.

⁵⁷ Hoffmann, E.T.A.: *Kindermärchen-Serapionsbrüder*, Berlin (written in 1817, published in 1821), Winkler Verlag München, 1976. There is a free-text online: <http://gutenberg.spiegel.de>

for understanding *Kinderszenen*. The story begins with the story of the Thaddaeus von Brakel family, the parents and their two children. One day the children meet *Das fremde Kind* (the unknown/foreign children), who come from afar as in the first piece's title. They play together, even in dreams. The children talk to their parents, but the adults can not see the unknown children. In this story there are similar events such as entreating and frightened children falling asleep. The word 'Playing' and 'Dream' are mentioned many times. Interestingly there is a *Beschluss* - 'the end' chapter. So the concept of both is very similar. There were always discussions about the last piece in *Kinderszenen*, *Der Dichter spricht*. Why does a poet suddenly appear here in the world of children? We don't know if the poet means Schumann himself. At least here we have another assumption that Hoffman would be the poet.

In fact it cannot be denied that the importance of the literary title's meaning for both cases: for the interpretation and understanding of the composer's intention. Without the descriptive titles this *Kinderszenen* could be merely a collection of simple pieces. In Schumann's case, the naivety of *Kinderszenen* is well revealed in the music through the suitable forms, the use of children's song, and well organized musical components. The tempo, rhythm, accents, and all other articulations suit the innocent children's scene. Thus, the music becomes a literary sketchbook.

4.1.4 Op.82 *Waldszenen* (1848-9), Neun Klavierstücke

1. Eintritt (Entrance) - Nicht zu schnell
2. Jäger auf der Lauer (Hunter in Ambush) - Höchst lebhaft
3. Einsame Blumen (Lonely Flowers) - Einfach
4. Verrufene Stelle/ orig.Verrufener Ort (Haunted Spot) - Ziemlich langsam
5. Freundliche Landschaft/ orig.Freier Ausblick (Friendly Landscape) - Schnell
6. Herberge/ orig.Jägerhaus (At the Inn) - Mässig
7. Vogel als Prophet (The Prophet Bird) - Langsam, sehr zart
8. Jagdlied (Hunting Song) - Rasch, kräftig
9. Abschied (Farewell) - Nicht schnell

The *Waldszenen* op.82 (Forest Scenes) was composed during Schumann's Leipzig time, before he moved to Düsseldorf for the municipal music directorship. With the

Drei Fantasiestücke op.111, *Waldszenen* is one of the latest solo keyboard pieces. *Waldszenen* is like a story describing a wanderer or describing Schumann himself. It is as if someone enters a forest, wanders, and sees scenes such as a hunter, a hut, strange places, and a bird. It can be said that the titles resemble a picture collection of woodland sketches or woodland stories. Daverio asserts that Schumann's interest in the musical possibilities of the narrative mode increased in this period: especially the 'declamation' ballades of 1849 and 1852-53, the choral-orchestral ballades of 1851-53, and the instrumental cycles of 1848-49. It was just after he had finished composing the literary opera *Genoveva*.

According to Daverio, the titles of three of the nine pieces were to have been headed by verses drawn from various sources, including Gustav Pfarrius's *Waldlieder* and Heinrich Laube's *Jagdbrevier*. (Daverio 1997; 410). These three are *Jäger auf der Lauer*, *Vogel als Prophet* and *Jagdlied*. The verse marked for *Vogel als Prophet* comes from Eichendorff's *Zwielicht*, which Schumann had set as the tenth song in his op.39 *Liederkreis*. The other verses intended for *Jäger auf der Lauer* and *Jagdlied* appeared in the *Fünf Gesänge* from H. Laube's *Jagdbrevier*, op.137.

Generally *Waldszenen* is often compared with *Kinderszenen*, because not only have they 'scenes'⁵⁸ in their titles in common, but also they are similar in musical character. Both have simple musical language which can be described as 'naive' and cosy titles which may have been influenced by the Biedermeier sensibility. One important thing is that Schumann paints *Waldszenen* not in an objective way, as in *Kinderszenen*, but with subjective feeling. The 'forest' is one of Schumann's favorite poetic nature images such as the streams, birds, clouds, flowers (lily/rose), trees and storms. There are so many descriptions of forests in his Lieder, for example:

Ich zieh so allein in den Wald hinein, op.107 no.5

Im Schatten des Waldes, op.29 no.3

Im Wald, op.107 no.5

⁵⁸ There are only four cycles which have 'scenes': they are *Carnaval*, *Kinderszenen*, *Faschingsschwank aus Wien*, and *Waldszenen*. *Carnaval* has a subtitle *scènes mignonnes sur quatre notes*, *Faschingsschwank aus Wien* has a subtitle *Phantasiebilder*. With the exception of these, there are *Bilder aus Osten*, op.66 and *Ballszenen*, op.109 for four hands keyboard music.

Im Walde, op.39 no.11

Im Wald, in grüner Runde, op.119 no.1

Kuckuck, Kuckuck ruft aus dem Wald, op.79 no.3

Nun scheidet vom sterbenden Walde, op.89 no.4

Sehnsucht nach der Waldgegend, op.35 no.5

Waldesgesprach op.39 no.3,

Wenn alle Walder schliefen, op.45 no.1

Wenn durch Berg und Tale, op.35 no.1

Wild verwachsene dunkle Fichten, op.90 no.5

For each forest Schumann has a story in written words in the Lieder, but this *Waldszenen* is the only one without a detailed description. Schumann used only one poem for no.4 *Verrufene Stelle*, a pair of morbid stanzas from Hebbel's *Waldbildern*.

In this *Waldszenen* Schumann shows us an individual romantic forest, with horn choirs or horn calls, tuneful folk melodies and eerie birdsongs. At the end there is a Lied for farewell to the forest. Actually all of these pieces are like Lieder, as if this cycle is a song cycle. Notably it can be almost said that the last piece is a Lied with a solo voice. The last piece, *Abschied* has a short prelude and an interlude, even a postlude. These points are explained more precisely in the analysis.

The *Eintritt*, the first piece, can be divided into two sections with a coda:

| | | | |
|------|----|-----------|----------------|
| A | a | mm. 1-8 | The main theme |
| | b | mm. 9-16 | Transition |
| B | a' | mm. 17-24 | |
| | b' | mm. 25-37 | Transition |
| Coda | | mm. 38-44 | The main theme |

Table 4.31 : The form analysis of the *Eintritt*.

The complete four measure theme comes four times in the A, B sections, and coda. In the coda this theme appears in an echo-like reflection mood. However the ideas of

this theme are used many times throughout the piece. Especially the particular rhythmic recurrence from the theme (Figure 4.44) makes this piece more united.

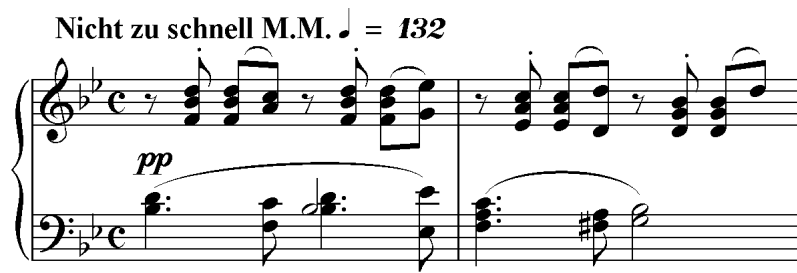


Figure 4.44 : The rhythmic motifs with dotted rhythm, mm.1-2 of *Eintritt*.

The whole piece is played generally in *pp*, so it has a peaceful character. The theme has a tuneful melody, and with its recurrence it makes such a sound like people humming. As the title suggests, we enter into the forest now.

Jäger auf der Lauer, the second piece, is complicated to divide, because its musical character does not make it clear if it is continuing or not. But according to Schumann's double bar, in the beginning there are eight measures of introduction. After the introduction we can divide it into two sections, each section ending with an end-bar. Each section has a small ternary form. In this piece the main ideas are shown in the introduction. The first two measures are the basic idea of the whole piece. (Figure 4.45) As with other examples of Schumann's organization of ideas, the rhythmic figure recurs everywhere. The structure is:

| | | |
|------------|-----------|----------------|
| A | mm. 1-8 | The main theme |
| B | mm. 9-16 | |
| Transition | mm. 17-22 | |
| C | mm. 23-26 | |
| Transition | mm. 27-34 | |
| Codetta | mm. 35-39 | |

Table 4.32 : The form analysis of the *Jäger auf der Lauer*.

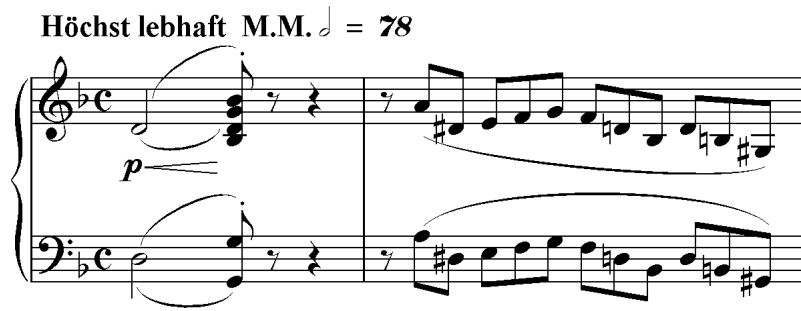


Figure 4.45 : The main theme. mm.1-2 *Jäger auf der Lauer*.

The small crescendo in sustained notes and the following eleven sixteenth notes in unison remind us of a hunter in ambush like the title. It is very realistic as it describes the hunter crawling towards his object. This stalking hunter's motion becomes more vivid and excited with the music's progression. Sometimes the hunter's sudden and rough motions are marked with *sf*, horn calls with running triplet octave repetitions. With the tempo indication 'most vividly' we can imagine the rapid footsteps with the running triplet throughout the piece.

After the hunting scene Schumann invites us to a solitary scene in the forest. This piece, the third, *Einsame Blumen*, can be divided into three sections according to Schumann's double bar separations. The first section, A, has binary form with a two measure prolonged a section. The second, B, has ternary form with a two measure prolonged a' section, too. The third, C, has ternary form with c' which has also four measures prolonged with tied notes. At the end comes a small echo-like coda. This piece has one rhythmic cell from the first two measures. (Figure 4.46) As in a canon the first four notes of this piece are answered always in similar rhythmic figures. Harmonically it has usually I-IV- ii-V/V-V-I progression. The musical structure is:

| | | | |
|------|----|-----------|--|
| A | a | mm. 1-10 | The main theme as a rhythmic cell. B flat major mode |
| | b | mm. 11-18 | |
| B | c | mm. 19-26 | G minor mode |
| | a' | mm. 27-36 | |
| | b | mm. 37-44 | B flat major |
| C | c | mm. 45-52 | |
| | c' | mm. 53-64 | with 4 measures prolongation |
| Coda | | mm. 65-76 | |

Table 4.33 : The form analysis of the *Einsame Blumen*.

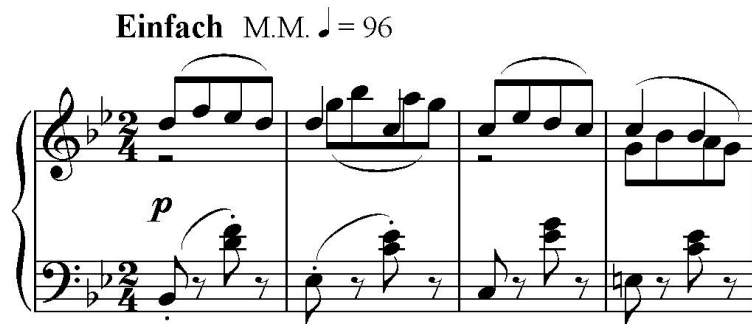


Figure 4.46 : The main theme. mm.1-4 *Einsame Blumen*.

The fourth, *Verrufene Stelle* is the only piece with a poem in this cycle. This piece is in d minor, but Schumann emphasizes especially the e tone. Whenever the e note comes, there is a mordent or ornament on the note. This piece has ternary form with a six measure main idea and a five measure coda. Here is the irregular structure:

| | | | |
|------|----|-----------|---------------|
| A | a | mm. 1-6 | The main idea |
| B | b | mm. 7-13 | |
| | c | mm. 14-22 | |
| A' | a' | mm. 23-30 | |
| Coda | | mm. 31-35 | |

Table 4.34 : The form analysis of the *Verrufene Stelle*.

The recurrent dotted rhythm prepares a strange and mysterious mood with the morbid poem in the introduction. The dotted rhythms in slow tempo are at the same time the main rhythmical character in the whole piece. Without considering the poem, the music seems like a doleful Baroque French overture, because of its dotted overture rhythm (Lully-like) and decorative ornaments. The real theme comes in measures 6-7 with the marking 'markiert' by Schumann. This theme is rather sad and melodious when it is considered with the poem. The theme appears again in some places in sequential form. When the theme or its sequences come, they appear always with staccato indication. With the exception of measures 14-15, which are sixteenths ascending broken chord figures, the music is almost in *pp*. The poem *Waldbildern* of Hebbel:

The flowers growing here so tall
 Are pale as death;
 Only one stands dark red,
 There in the middle.

But its color comes not from the sun,
 Whose glow it has never met,
 But rather from the earth,
 From drinking human blood.

The fifth piece *Freundliche Landschaft* is played quickly; its musical character is simple and pleasant. The basic rhythm is a triplet of eight notes, recurring almost in every measure. The form is interesting: it has a prelude and postlude like a song. This piece can be divided into two sections with a four measure prelude, a six measure postlude and a coda:

| | | |
|----------|----|-----------|
| Prelude | | mm. 1-4 |
| A | a | mm. 5-12 |
| | b | mm. 13-20 |
| B | a' | mm. 21-28 |
| | c | mm. 29-40 |
| Postlude | | mm. 41-46 |
| Coda | | mm. 47-56 |

Table 4.35 : The form analysis of the *Freundliche Landschaft*.

The coda reminds us of the beginning melody as if it will continue, however it ends suddenly after repeating triplets from the theme. This and the next piece, *Herberge* are contrasting images to the *Verrufene Stelle*.

The sixth piece, *Herberge* (At the inn), was originally named as 'Hunter's House'. Later Schumann revised the name. The title tells us that now we are at the inn. Actually the music begins with merry tuneful theme and then the middle parts describe an uproarious inn mood. Furthermore the canonic *sfp* passages (mm.9-10) are like dialogues between people. This piece can be divided into two sections and a

coda. Each section has ternary form. Both sections begin with the main theme. (Figure 4.47)

| | |
|------------|-----------|
| A | mm. 1-8 |
| B | mm. 9-18 |
| Transition | mm. 19-24 |
| A | mm. 25-32 |
| B´ | mm. 33-40 |
| Transition | mm. 41-47 |
| Coda | mm. 48-56 |

Table 4.36 : The form analysis of the *Herberge*.



Figure 4.47 : The main theme. mm.1-4 of *Herberge*.

At the end of each section like ritardando the German words ‘Etwas zurückhaltend’ are marked and then it has again ‘Im Tempo’. The musical character is merry and exciting without foreseeing the next piece’s mood. In the coda there are lingering sounds, and finally it ends with the main theme.

Vogel als Prophet, the seventh piece, is one of the best known pieces of Schumann. The dotted rhythm with 32nd note triplets (Figure 4.48) has a very important role imitating the mysterious prophet bird. The dotted rhythm texture in *pp* makes a beautiful piping-like sound but in an eccentric mood. As well as the main idea, we can hear a different bird noise as staccato figures which appear in mm.9-10 and mm.33-34.

This piece also shows realism in imitating natural bird sounds, such as the horn sound and the noise of hunting in other pieces. Because of this the listener becomes

more actively involved. This piece can be divided into two sections: between them there is a six measure interlude. The interesting thing is that the second section is merely a repetition of the first. The structure is:

| | | |
|------------------------|----------------|-----------|
| A | a | mm. 1-8 |
| | b | mm. 9-16 |
| The end of the section | The main theme | mm. 17-18 |
| B | Interlude | mm. 19-24 |
| A | a | mm. 25-32 |
| B´ | b | mm. 33-40 |
| The end | The main theme | mm. 41-42 |

Table 4.37 : The form analysis of the *Vogel als Prophet*.

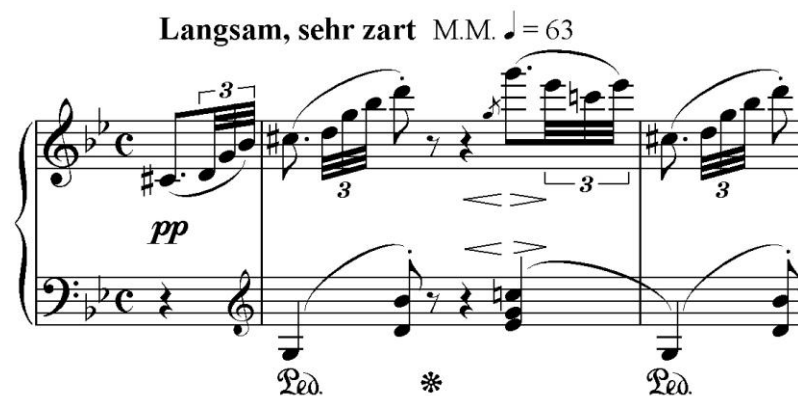


Figure 4.48 : The main theme. mm.1-2 of *Vogel als Prophet*.

Each section begins and ends with the same two measure idea which is the essence of this piece. In fact one will have the feeling that the music will go on, because it ends with an incomplete melody. In the middle of the piece there is an interlude, which is a choral-like melody contrasting with the mysterious bird character. This piece, regarded as the most enigmatic miniature in this cycle, is actually an afterthought to the original group of eight. According to the *Haushaltbücher, Abschied*, probably intended as the final piece from the start, was completed on 1 January 1849, with *Vogel als Prophet* following on 6 January. (Daverio 1997; 562)

The eighth piece, *Jagdlied*, is similar to the second piece, *Jäger auf der Lauer*, in the subject. Here we can hear the horn choir everywhere, a typical hunting song. This

can be divided into three parts as da capo form (ABC-D-ABC), because the first and third parts are exactly the same. They have ternary form in E flat major.

The middle section has d-d-e-d structure in A flat major which is played in *p* in contrast to the other sections. The triplets and block chords are the main rhythmic cells in this piece. The indication ‘rapid and powerful’ suits the hunting song character.

The structure is:

| | | | |
|---|-----|-------------|------------------------------|
| A | a | mm. 1-8 | The main theme. E flat major |
| | a´ | mm. 9-16 | |
| B | b | mm. 17-24 | |
| | a´´ | mm. 25-32 | |
| C | c | mm. 33-40 | |
| | c´ | mm. 41-48 | |
| D | d | mm. 49-56 | |
| | d | mm. 57-64 | |
| | e | mm. 65-72 | |
| | d | mm. 73-80 | A flat major |
| A | a | mm. 81-88 | E flat major |
| | a´ | mm. 89-96 | |
| B | b | mm. 97-104 | |
| | a´´ | mm. 105-112 | |
| C | c | mm. 113-120 | Coda |
| | c´ | mm. 121-128 | |

Table 4.38 : The form analysis of the *Jagdlied*.

Suddenly Schumann says to us *Abschied*-(Farewell), in the ninth piece, after the hunting song. This piece is like a Lied as mentioned before the analyses began. After the two measure prelude there is a solo voice on the triplet accompaniment. Although we can call the other pieces ‘songs without words’, this piece has a more typical Lieder form. The range of the solo voice is not designed for instruments but a

human voice. This piece can be divided into four sections with a prelude, an interlude and a postlude.

| | | |
|-----------|-----------|------------------------|
| Prelude | mm. 1-2 | |
| A | mm. 3-10 | The main theme |
| Interlude | mm. 11-12 | |
| B | mm. 13-20 | |
| A | mm. 21-28 | |
| C | mm. 29-39 | Transition (mm. 36-39) |
| D | mm. 40-48 | |
| Postlude | mm. 49-53 | |

Table 4.39 : The form analysis of the *Abschied*.

When the solo voice comes, it is accompanied by chordal triplets. In the instrumental sections there are only single note triplets with melody. In the B and A sections (mm.13-28) at the beginning the melody comes in the left hand but in singable range. The C section (mm.29-39) is the most complicated in terms of dividing the song and the interlude. But probably from measure 36 we can regard it a transition, because it has no certain voice melody in comparison to the other section. This piece has a tuneful melody and repeating triplet accompaniment in *p* and they make a very warm and peaceful mood for a farewell.

In general the miniatures of *Waldszenen* have sequential phrases and certain core rhythms for each piece. There are also some reflective passages, which share qualities, among pieces. For example *Eintritt* and *Herberge* have common rhythmic and characteristic points. In *Abschied* the triplets of the prelude, interlude, and postlude remind us of the *Freundliche Landschaft* rhythms. The dotted rhythms of *Vogel als Prophet* (Figure 4.48) remind us of the final passages of *Verrufene Stelle*. (Figure 4.49)

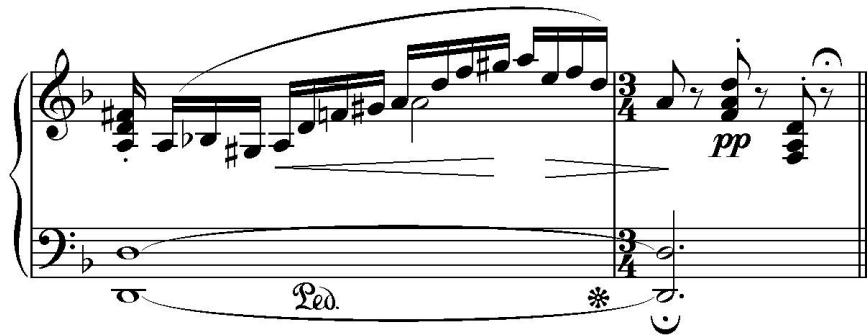


Figure 4.49 : The final passages. mm.34-35 of *Verrufene Stelle*.

The ordering sequence of *Einsame Blumen* and *Verrufene Stelle* produces a contrasting effect between the most simple and most complicated.

4.2 Works without Literary Titles

4.2.1 Op.2 *Papillons* (1829-1831)

Introduzione-Moderato

1. (No indication)
2. Prestissimo
3. (No indication)
4. Presto
5. (No indication)
6. (No indication)
7. Semplice
8. (No indication)
9. Prestissimo
10. Vivo
11. (No indication)
12. Finale

There are only six tempo indications in the twelve pieces which make up op.2 *Papillons*. The title seems at first very abstract for such a collection, without knowing its origin. Although they have no literary titles in the modern editions, we must think

about what Schumann wrote originally about *Papillons* in its first editions. There is a large amount of evidence concerning how the idea of *Papillons* came about. For instance the following: “Walt, enraptured, listened to the fleeing tones of Vult’s flute as they resounded up from the street, but he didn’t realize that with them his brother too was fleeing”- originally stood at the head of the score.⁵⁹(Daverio 1997; 85) Schumann explains in his letter how the *Papillons* came out.

You may remember that last scene in the *Flegeljahre* with the Larventanz: Vult, masks, Wina, anger, discoveries, the hurrying away, the concluding scene and the departing brother. I often turned to the last page, for the end seemed like a fresh beginning and almost unconsciously I found myself at the pianoforte and then one ‘*Papillon*’ after another came into existence. ⁶⁰ (C. Schumann, 1888, p.161)

Schumann said “When you have a free minute, I suggest that you read the last chapters of *Flegeljahre*, where everything appears in black on white right up to the giant boot in F sharp minor.” Here the reference to a giant boot in F sharp minor indicates the third piece of *Papillons*, ‘the giant boot’ comes from the passage with the masked ball scene beginning of *Flegeljahre*. “Walt and his imagination were most drawn to a giant boot that was gliding along, wearing and carrying itself...”⁶¹. A letter to Gottfried Weber reveals also: “Papillons arose in part from the last chapter of Jean Paul’s *Flegeljahre*... I assembled the movements in such a way that one might detect in them something of the masked ball and also perhaps something of Wina’s eyes peering from behind her mask.”

The masked ball scene influenced Schumann not only as a background image but also as a vivid description of the ball. It is absolutely clear that Schumann is influenced by the novel *Flegeljahre*. Schumann said, “How often I turned over the last pages of *Flegeljahre*, since the ending seems to me a new beginning almost unconsciously I was at the piano, and thus one Papillon after another came into being”. (Daverio, 1997, p.82) At the same time Schumann had written some poems with the idea of *Papillons*. “Butterfly! Take away just a bit of your colored fragrance, and all that remains is a dull, lustreless skeleton.” – in a diary entry of 14 May.

⁵⁹ Letters of 5 April 1833, in *Briefe, Neue Folge*, p.43

⁶⁰ Edited by Clara Schumann, early letters of Robert Schumann, translated by May Herbert

⁶¹ From the *Flegeljahre* of Jean Paul.

“Schmetterlinge” (Butterflies)

Therefore do not rail against formative nature!

What once crawled on the ground

Flits with divine lightness in the ether

Before the analysis, it must be mentioned that *Papillons* resembles the *Sechzehn Deutsche Tänze und zwei Ecossaisen (16 German Dances)*, Op.33, D.78 of Schubert although Schumann’s music in triple time generally resembles the waltzes and other dance music of Schubert. Both are dance music and in triple time. So it is a natural result that the rhythms are similar. However, the textures are also very similar. For example nos.3, 8, and 10 of *Papillons*, which have heavy block chords progression, are similar to nos.1, 6, and 9 of the *German Dances*. Especially the scales of no.4 of the *German Dances* recall even the main theme of *Papillons*.

Then how is the literature revealed as music? There is an *Introduzione* followed by 12 small pieces like dance music. The *Introduzione* consists of six measures which resembles the introduction of Weber’s *Aufforderung zum Tanz*. And then the ball begins.

The first piece begins with the famous *Papillons* theme, because the first eight measures of no.1 becomes the main idea in measures 25-72 in no.12, *Finale*. (Figure 4.2.1.1) It has small binary form: A (mm.1-8) B (mm.9-16).

The image shows a musical score for the main theme of *Papillons*, measures 1-8. The score is in 3/4 time, marked 'p dolce' and 'f'. It features a treble and bass staff with various musical notations including triplets, slurs, and dynamic markings. The tempo is marked '(M.M. ♩ = 120)'. The key signature is one sharp (F#). The score is written in a standard musical notation style with a treble clef on the upper staff and a bass clef on the lower staff. The upper staff contains a melodic line with many slurs and triplets, while the lower staff contains a bass line with block chords and some melodic fragments. The piece ends with a double bar line and repeat dots.

Figure 4.50 : The main theme. mm.1-8 of no.1 in *Papillons*.

This eight bar theme is used not only through no.12, *Finale* but also in *Florestan* of *Carnaval*, Op.9. With the exception of the second piece - it is 2/4 -, all the other pieces have 3/4, typical dance rhythms. The *Carnaval* Op.9 has a *Papillons* section which has also 2/4 and *prestissimo* tempo like the second piece from *Papillons*, Op.2.

The second piece has small ternary form: A-Introduction (mm.1-4) B (mm.5-8) B (mm.9-12). At first it begins as a E flat major arpeggio scale, then the Eusebian soft song comes.

The third piece has a ternary form: A (mm.1-8) A' (mm.9-16) A (mm.17-26). The music is very powerful as if a Nordic giant appears, in contrast to the precious and following piece. The theme is played in perfect canon in the last A section.

The fourth piece has a ternary form:

| | | |
|---|----|-----------|
| A | a | mm. 1-8 |
| | a´ | mm. 9-16 |
| B | b | mm. 17-24 |
| | b´ | mm. 25-32 |
| A | a | mm. 33-40 |
| | a´ | mm. 41-48 |

Table 4.40 : The form analysis of the fourth piece in *Papillons*.

Exceptionally, this piece is not exactly suitable for the ball among the other *Papillons*. It has sudden crescendos and accelerandos which create instability in the music.

The fifth has a ternary form: A (mm.1-8) B (mm.9-18) A' (mm.19-26)

The first four measures are the main theme, at the same time containing the rhythmic motif which develops throughout the piece. This piece resembles a song: it has a singing voice and accompanying left hand. Measure 18 shows that the instrumental interlude prepares for the voice. Furthermore Schumann marks for the bass ‘Basso cantando’ (singing bass).

The sixth piece has a small rondo form: a (mm.1-6) b (mm.7-14) a (mm.15-24) c (mm.25-32) a (mm.33-38).⁶² Here are interesting motifs. First, the ascending motif (mm.4-5) appears later in the eighth piece, *Am Kamin* of the *Kinderszenen*. The c section is also very similar to no.16 of the *German Dances*.

The seventh piece has a ternary form: A (mm.1-8) B (mm.9-16) B' (mm.17-24). At least the ascending scale in the first measure seems to be same with the first

⁶² I have not counted the auftakt for the a.

Papillons' theme, but it develops differently. The B sections are rhythmically the same as no.15 of the *German Dances*.

The eighth piece has a binary form: A (mm.1-8) B (mm.9-16) C (mm.17-24) B (mm.25-32). Here is only a rhythmic motif which drives throughout the piece. It begins with a gigantic *ff*, the sections are contrasting in dynamic.

The ninth piece has a ternary form or it can be called binary form with the introduction:

| | | | |
|----|------|-----------|--------------|
| A | a | mm. 1-8 | Introduction |
| B | b | mm. 9-16 | |
| | b' | mm. 17-24 | |
| B' | b'' | mm. 25-32 | |
| | b''' | mm. 33-40 | |

Table 4.41 : The form analysis of the ninth piece in *Papillons*.

The first eight measures are like an introduction which has a long pedal point. All the eighth notes progression in *prestissimo* create an excited mood. This excited quick tempo continues until the end of the *Papillons*.

The tenth piece has a ternary form with coda:

| | | | |
|------|-------|-----------|---------------------------|
| A | a | mm. 1-8 | |
| | b | mm. 9-16 | |
| B | c | mm. 17-24 | |
| | d | mm. 25-32 | |
| | | mm. 33-40 | |
| C | e | mm. 41-48 | The theme of Introduzione |
| | d'' | mm. 49-56 | |
| | d''' | mm. 57-64 | |
| Coda | d'''' | mm. 65-78 | Transition (mm.65-69) |

Table 4.42 : The form analysis of the tenth piece in *Papillons*.

This piece is full of different musical ideas. The a, b, c, and e are introductions which are played before the real ball music begins. In the middle of the piece, the motif of

the Introduzione and its fragmentary passages appear. There is extreme dynamic contrast between sections. The A has a percussion sound effect, the d sections are waltzes with soft singing melodies.

The eleventh piece is the longest and rhythmically most complicated piece in the *Papillons*. It has a ternary form with the introduction:

| | | |
|--------------|----|-----------|
| Introduction | x | mm.1-3 |
| A | a | mm. 4-11 |
| | b | mm. 12-23 |
| | a´ | mm. 24-31 |
| B | c | mm. 32-39 |
| | d | mm. 40-47 |
| A´ | b | mm. 48-59 |
| | a | mm. 60-67 |

Table 4.43 : The form analysis of the eleventh piece in *Papillons*.

With the exception of the B section, the music is a mixture of polonaise and enterprising march style. The dramatic music could be described as the inner struggle of the twin brothers because of their love for the same woman, Wina. The B section foresees the dreaming character of Eusebius: here it must be the poetry of Walt.

The twelfth piece, Finale of *Papillons* can be divided into three sections. The first is the march-like theme (Figure 4.52) which is used in the *Marche des “Davidsbündler” contre les Philistins* of op.9 *Carnaval*. In the *Marche des Davidsbündler* the theme appears in the left hand with the note ‘Thème du XVII ème siècle’. (Figure 4.51)

51 *f* Thème du XVII^{ème} siècle

59 *sf* Pedal

Figure 4.51 : ‘Thème du XVII^{ème} siècle’. mm.51-66 of *Marsche des Davidbündler r* in *Carnaval*.

The twelfth piece, Finale, has a ternary form:

| | | |
|------|------|-----------|
| A | a | mm. 1-8 |
| | b | mm. 9-16 |
| | a | mm. 17-24 |
| B | c | mm. 25-32 |
| | c | mm. 33-40 |
| | c | mm. 41-48 |
| B' | c' | mm. 49-56 |
| | c'' | mm. 57-64 |
| | c''' | mm. 65-73 |
| Coda | | mm. 74-92 |

Table 4.44 : The form analysis of the twelfth piece in *Papillons*.

Some motives from *Papillons* are used later in other pieces such as *Carnaval*. For example the first eight bar theme of no.12 in *Papillons* is used throughout in the *Marche des Davidsbündler*. (Figure 4.52) This theme is at the same time known as an old seventeenth century ‘Grossvatertanz’(Grandfather’s dance) melody in Germany.



Figure 4.52 : The ‘Grossvatertanz’ melody. mm.1-8 of no.12 in *Papillons*.

This *Papillons* theme appears again at the climax of the last piece in *Carnaval* through both left and right hands in *ff*. Schumann added extra accents on the theme notes.

(Figure 4.53)



Figure 4.53 : The theme from *Papillons*. mm.147-163 of *Marche des Davidsbündler* in *Carnaval*.

Here is an example again in which it is emphasized how important the *Flegeljahr* was:

And tell them all to read, as soon as possible, the final scene of Jean Paul’s *Flegeljahre*, and that the *Papillons* are in fact meant as a transformation of this masked ball into music. And then ask them if the *Papillons* accurately reflect, perhaps, something of Wina’s angelic love, Walt’s poetic nature, and Vult’s lightning sharp spirit. (Plantinga 1984 ;225)

From this letter we can recognize that *Papillons*’ idea came directly from the novel *Flegeljahre*, especially from the last chapter *Masked Ball*, of Richter. Even Schumann provides much information adding some notes on the published score. In the final number, above six occurrences of the pitch a", this note appears in the score: “The tumult of the Carnival-night ceases. The tower clock strikes six.” In the last

piece of *Papillons*, the repetition of a" six times shows us a realistic aspect of Schumann. (Figure 4.54)

The musical score for Figure 4.54 consists of two systems of music. The first system, labeled '62', shows measures 62 through 69. The right hand plays a melody of eighth notes, with a 'dim.' (diminuendo) marking above the first measure. The left hand plays a bass line of eighth notes. The second system, labeled '70', shows measures 70 through 73. The right hand has rests in measures 70-72, followed by a half note in measure 73. The left hand continues the bass line, with a 'pp' (pianissimo) marking and an asterisk (*) in measure 73.

Figure 4.54 : The tower clock. mm.62-mm.73 of no.12 in *Papillons*.

The second is the same theme which appears in the first piece of *Papillons*. So this theme is called generally *Papillons'* main theme. This theme appears also with an explicit acknowledgement in *Carnaval*. According to Henle Verlag there is a small note (Papillon?) in parenthesis in measure 19 of *Florestan*, op.9 *Carnaval*. It is the same motif from the theme of *Papillons*. The editor, Wolfgang Boetticher of *Schumann Klavierwerke* of Henle Verlag says that signs placed in parentheses have been omitted in the sources probably inadvertently only. (Figure 4.55) And the third is the bell-sound section.

The musical score for Figure 4.55 shows measures 18 through 22. The tempo is marked 'Adagio'. The key signature has two flats (B-flat major). The right hand plays a melody of eighth notes, with a '(Papillon?)' marking above the first measure. The left hand plays a bass line of eighth notes. The score ends with a 'a ter' marking and a fermata over the final chord.

Figure 4.55 : The *Papillons* theme. mm.18-22 of *Florestan*, *Carnaval*.

Here are some excerpts from chapter 63, *Masked Ball* from *Flegeljahre*:

He however believed himself to be flying after a summer aflutter with butterflies. Just as a youth touches the hand of a great and famous writer for the first time, so he gently touched - like butterfly wings, like auricula powder - Wina's back, and put himself in a position whereby he could best look into her life- ... he described it to her as they danced: how even the body became music - how humanity rushes past while life stands still - how two souls lose consciousness of the crowd around them and solitary, like celestial bodies in ethereal space, circle about themselves according to their own law - how only those souls who love each other should dance in order to reflect the spiritual side of this artful illusion in harmonic motion.⁶³

From the *Introduzione* to the second piece, they all are like introductions. It seems that the real dance begins from the masculine march-like third piece with a strong beat. These dances of *Papillons* describe the exciting mood of the masked ball vividly. According to Schumann's note, *Papillons* seems, interestingly, more to reflect Vult's side in the ball. One can be a little bit puzzled by this, because before one does research about *Papillons*, one could guess that *Papillons* may have been written by Schumann with Walt in mind.

4.2.2 Op.6 Davidsbündlertanze (1837)

Book 1

1. Lebhaft - F. und E.
2. Innig - E.
3. Mit Humor(etwas hahnbüchen) - F.
4. Ungeduldig - F.
5. Einfach - E.
6. Sehr rasch(und in sich hinein) - F.
7. Nicht schnell(mit äusserst starker Empfindung) - E.
8. Frisch - F.
9. Lebhaft(Hierauf schloss Florestan und es zuckte ihm schmerzlich um die Lippen)

Book 2⁶⁴

1. Balladenmässig. Sehr rasch - F.

⁶³ Flegeljahre chapter 63

⁶⁴ According to Henle it is followed this separate numbering system. However in the other editions such as Kalmus they are counted as 10-18.

2. Einfach - E.

3. Mit Humor - F.

4. Wild und lustig - F.und E.

5. Zart und singend - E.

6. Frisch - F. und E.

7. Mit guten Humor; 8. Wie aus der Ferne - F. und E.

9. Nicht schnell (Ganz zum Überfluss meinte Eusebius noch Folgendes; dabei sprach aber viel Seligkeit aus seinen Augen)

Schumann's *Davidsbündlertänze* were written in 1834-6. According to Boetticher, the first edition appeared at the turn of the year 1837/8 in Leipzig, published in two booklets by A. R. Friese. A few examples were still issued under the pseudonym Florestan and Eusebius. The names Florestan and Eusebius were used by Schumann to hint at the conflict in his artistic nature, and thus to allude to the fiery and sensitive side of his being. *Davidsbündler* also appears at the end of *Carnaval* op.9 which was published earlier. *Davidsbündler*, "League of David", is the name of the group which consisted of Schumann and his friends such as Florestan, Eusebius, Meister Raro, Serpentine, Jonathan, and Jeanquirit. But in this *Davidsbündlertänze* there are only Florestan and Eusebius alone.

In this work each piece is presented by either Florestan or Eusebius, or both of them. Schumann himself noted this at the end of each piece. All 18 numbers were signed 'F' or 'E' or both of them, depending upon whether the musical content was the expression of the passionate or the dreamy side of his character. The characters of Florestan and Eusebius are very definite. The slow, smooth, simple, tender and singing movements belong to Eusebius. The vivid, active, impatient, quick, and enthusiastic movements are Florestan's passion. Additionally this collection is dedicated to Walter von Goethe by Florestan and Eusebius.

The interesting point is that Schumann uses these characters for almost all of his music. These characters are also very directly related to the musical characteristics like tempi, dynamics, metrical-rhythmical ways, texture and expression indications. These miniature pieces are very similar to his song cycles. They have in common their expression/indication words, so the miniature pieces could be songs without

words. For example the sixth piece of Book 1 is very similar to the song *Die Hochländerwitwe* of op.25 *Myrten*. The fifth piece of Book 2 has a lyrical image in common with *Der Nussbaum* from *Myrten*. However these Florestan and Eusebius characters show their contrasting character more in keyboard music than any other genre.

The first piece begins with the two measure 'motto'⁶⁵ of Clara Wieck. After the four measure introduction and one measure rest, the real music begins with a figure of six eighth notes. This figure varies from the beginning to the end, but always repeats in same rhythmical way. This piece may divided into introduction and three parts:

| | | |
|--------------|-----|-----------|
| Introduction | | mm. 1-5 |
| A | A | mm. 6-13 |
| | B | mm. 14-25 |
| A | a´ | mm. 26-33 |
| | b´ | mm. 34-41 |
| A | a´´ | mm. 42-61 |
| | b´´ | mm. 62-73 |

Table 4.45 : The form analysis of the first piece, *Davidsbündlertänze*.

The curious thing is that all the a parts begin with the same motif in the left hand (Figure 4.56) and all the b parts begin with the same motif in the right hand (Figure 4.57).

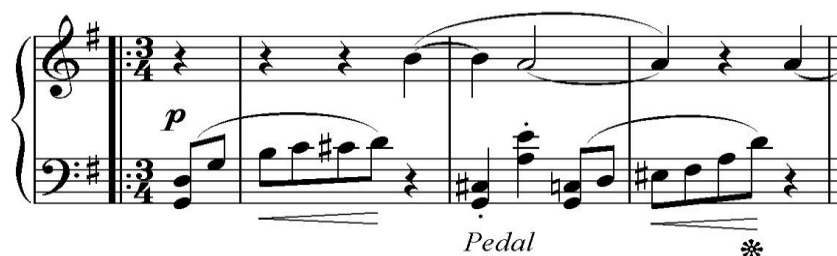


Figure 4.56 : mm.6 - 7 The beginning motif in a section.

⁶⁵ The inscription on the score is Motto von C.W.. Clara Wieck's *Mazurka* Op.6 No.5 from her *Soireés Musicales* begins with this motif.



Figure 4.57 : mm. 13 – 14 The beginning motif in b section.

The second piece is in typical small ternary form: A (mm.1-8) B (mm.9-16) A (mm.17-24). The second A is almost the same as the first A. One characteristic thing in this piece is that in every measure the melody line begins with an appoggiatura note for the left hand bass harmony. It is marked with the expression word *Innig* (heartfelt), which is presented in *p* as *Eusebius* in b minor. This piece is very simple and poetic.

The third piece begins as a powerful march in *f*, and ends in broken arpeggio rhythm in *p*. This piece can be approximately divided into three parts:

| | | | |
|---|----|-----------|--|
| A | a | mm. 1-8 | The main theme |
| | b | mm. 9-16 | |
| | b' | mm. 17-24 | |
| | c | mm. 25-36 | |
| B | d | mm. 37-44 | |
| | e | mm. 45-53 | The common theme with the <i>Promenade, Carnaval</i> |
| | e' | mm. 54-62 | Transition (mm.63-68) |
| C | a | mm. 69-76 | |
| | f | mm. 77-84 | |
| | g | mm. 85-95 | Coda |

Table 4.46 : The form analysis of the third piece, *Davidsbündlertänze*.

It has the theme from the *Promenade, Carnaval* (Figure 4.58) in the middle section.



Figure 4.58 : Theme from mm.47-49, no.2 *Davidsbündlertänze*.



Figure 4.59 : Theme from mm.5 - 7 from the *Promenade, Carnival*.

The fourth piece begins with a syncopation rhythmic figure which continues to the end. This syncopation rhythm makes pulse effect in the musical progression. It shows definitely the pulse beat stirs up Schumann’s Florestanian mind.

The main theme has a Presentation⁶⁶ and Continuation phrases. The second part is only a repetition of the first part, whose melody is presented in octave. The expression word ‘impatient’, frequent *f*, and quick tempo suit the character of Florestan.

This piece can be divided into two parts and a coda:

| | | | |
|---|------------|-----------|-----------------------------|
| A | a | mm. 1-8 | The main theme-Presentation |
| | a´ | mm. 9-16 | Continuation |
| | Transition | mm. 17-24 | |
| B | a´´ | mm. 25-36 | |
| | Coda | mm. 37-47 | |

Table 4.47 : The form analysis of the fourth piece, *Davidsbündlertänze*.

The fifth piece has ternary form:

| | | | |
|---|----|-----------|----------------|
| A | a | mm. 1-8 | The main theme |
| | b | mm. 9-16 | |
| B | c | mm. 17-24 | Variations |
| | c´ | mm. 25-32 | |

⁶⁶ This kind of presentation-continuation terms come from the form analysis method of William E. Caplin. (1998)

| | | | |
|---|-----|-----------|--|
| | c'' | mm. 33-40 | |
| A | a | mm. 41-48 | |
| | b | mm. 49-56 | |

Table 4.48 : The form analysis of the fifth piece, *Davidsbündlertänze*.



Figure 4.60 : The main theme and the repeating harmonic progression. mm.1 - 8 no.5 *Davidsbündlertänze*.

The second A is exactly the same as the first A part. In the B part the two eighth note rhythms change to triplets, which flow through the second part. With the expression word ‘simply’, the *p* and *pp*, and loose texture show the relaxed aspect of Eusebius. One interesting thing is that throughout the piece the bass’s harmony is continuing as ii-V-I progression. (Figure 4.60)



Figure 4.61 : The repeating harmonic progression. mm.17 - 24.

The sixth piece is marked as ‘very rapidly’ (and with introspection) and really rushes within the continuing triplet rhythm. Here also the strong beat and weak beat are tied always, this rhythmical repetition giving a pulsatory effect. This bound rhythm is

one of the typical characteristics in Schumann's compositions. This piece has ABA - Da Capo form with a long coda:

| | | | |
|------|---|-----------|------------------------|
| A | a | mm. 1-8 | |
| | b | mm. 9-15 | |
| | c | mm. 16-27 | |
| B | d | mm. 28-35 | |
| | e | mm. 36-47 | Transition (mm. 44-47) |
| A | a | mm. 48-55 | |
| | b | mm. 56-62 | |
| | c | mm. 63-74 | |
| Coda | | mm. 75-99 | |

Table 4.49 : The form analysis of the sixth piece, *Davidsbündlertänze*.

Its fingering is important in order to play this piece in a suitable tempo. Schumann even marked some finger numbers for difficult passages.

The seventh piece can be divided into introduction and ABA. Generally it stays in *p* but this time it eventually reaches *f* through the crescendo. Schumann wrote 'not quickly with very strong emotion'. Arpeggiated chords always make crescendos with *ritardando* making some occasional tension.

| | | | |
|---|----|-----------|---------------------------------|
| A | a | mm. 1-8 | Introduction and the main theme |
| | b | mm. 9-16 | |
| | a' | mm. 17-24 | |
| B | c | mm. 25-28 | |
| | d | mm. 29-36 | |
| | d' | mm. 37-44 | |

| | | | |
|----|----|-----------|------|
| A´ | b | mm. 45-52 | Coda |
| | a´ | mm. 53-60 | |

Table 4.50 : The form analysis of the seventh piece, *Davidsbündlertänze*.

The eighth piece ‘vivid’ can be regarded as small ternary form with a four measure prolonged fragmentation: A (mm.1-7) B (mm.8-14) A' (mm.15-26). As with other pieces, when the theme comes twice, it comes either in the same way or at an octave. Here the theme comes in octaves and in *f*. Frequent staccatos and accents make running rhythms more vivid.

In the ninth piece the melody is presented in dotted rhythm from beginning to the end. The piece has a ternary form with a coda: A (mm.1-8) B (mm.9-16) A (mm.17-24) Coda (mm.25-32). In the second A, the main theme comes stronger in *ff* and in octave. All dotted notes are used as appoggiatura and marked on the notes with *sf*. Schumann wrote for this piece, “Hierauf schloss Florestan und es zuckte ihm schmerzlich um die Lippen”. (Hereupon Florestan stopped, and his lips quivered painfully.) *Davidsbündler* is notable for this point, because the fictitious characters, Florestan and Eusebius, participate actively in the music.

The first (10th) piece of Book 2 begins again with the rapidity of Florestan. ‘Ballade-like’ and ‘very rapidly’ stand as expression words. This piece can be seen as ternary form with coda. Among the triplets the main melodies are emphasized with *sf* or accents. (Figure 4.62)

| | | | |
|----|------|-----------|----------------|
| A | a | mm. 1-8 | The main theme |
| | b | mm. 9-16 | |
| B | a | mm. 17-24 | |
| | b´ | mm. 25-32 | |
| | b´´ | mm. 33-40 | |
| A´ | a´ | mm. 41-48 | |
| | b´´´ | mm. 49-60 | Coda |

Table 4.51 : The form analysis of the first piece of Book 2, *Davidsbündlertänze*.

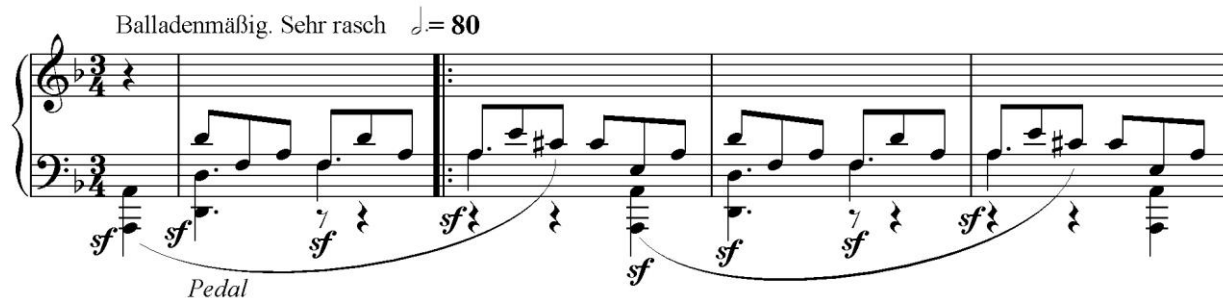


Figure 4.62 : The main theme. mm.1 - 4 no.1 of Heft 2.

| | | | |
|------|----|-----------|----------------|
| A | a | mm. 1-8 | The main theme |
| | b | mm. 9-12 | |
| A´ | a´ | mm. 13-20 | |
| | b | mm. 21-24 | |
| Coda | a | | |

Table 4.52 : The form analysis of the second piece of Book 2, *Davidsbündlertänze*.

The second (11th) piece is marked simply ‘of Eusebius’. This piece can be considered as either binary form or Da Capo form. Schumann says ‘ad libitum Da Capo’ here. The second part is like a variation of the first part: they have same melody. We can not see stronger dynamics here than *mf*. The b sections are transitions.

The third piece (12th) has a particular rhythmic motif, which is used in every measure in this piece. It has binary form with echo-like codetta:

| | | | |
|---------|-----|-----------|----------------|
| A | a | mm. 1-4 | The main theme |
| | b | mm. 5-8 | |
| A´ | a´ | mm. 9-12 | |
| | b´ | mm. 13-16 | |
| | b´´ | mm. 17-20 | |
| Codetta | | mm. 21-24 | |

Table 4.53 : The form analysis of the third piece of Book 2, *Davidsbündlertänze*.

The fourth (13th) piece is written ‘Wild and lustig’ from Florestan and Eusebius both. The word ‘lustig’ must be understood as not ‘funny’ but ‘cheerfully’ or ‘amusing’; there is no funny character in the music.

Certainly the A and B sections are from Florestan, because it is really wild and energetic through the rather aggressive block chords progression. The C section is in *p* or *pp*; it is like choral harmony which has soft legato phrasing. In the coda the melody is mainly in the left hand with the exception of d1. The d sections in the coda are similar to each other.

This piece can be divided in three sections and long coda:

| | | | |
|------|-------------|------------|----------------|
| A | a | mm. 1-8 | The main theme |
| | b | mm. 9-16 | |
| | b´ | mm. 17-22 | |
| B | a´ | mm. 23-30 | |
| | c´ | mm. 31-38 | |
| | c´´ | mm. 39-45 | |
| | transition | mm. 46-53 | |
| C | d | mm. 54-69 | |
| | d´ | mm. 70-87 | |
| Coda | d1-d2-d3-d4 | mm. 88-122 | |

Table 4.54 : The form analysis of the fourth piece of Book 2, *Davidsbündlertänze*.

The fifth (14th) piece is soft and melodic as its expression words. It reminds me of the dreaming Eusebius. This piece can be seen as two compound two-part song forms with coda:

| | | |
|------|----|-----------|
| A | a | mm. 1-8 |
| | a´ | mm. 9-16 |
| B | b | mm. 17-24 |
| | a | mm. 25-32 |
| Coda | | mm. 33-40 |

Table 4.55 : The form analysis of the fifth piece of Book 2, *Davidsbündlertänze*.

The mood of this piece is similar to his songs such as *Nussbaum* from *Myrten* because of the character of the melody and arpeggio accompaniment texture.

The sixth (15th) piece has an interesting structure. It has an introduction followed by an ABA three part form: Introduction (mm.1-8) A (mm.9-24) B (mm.25-40) A (mm.41-56). The opening period is a march-like introduction presenting Florestan. Then suddenly the gentle song-like A section comes. The B section is like a transition presenting a struggling mind through the long trills and broken arpeggio accords. Finally the serene and noble song of Eusebius comes again.

The seventh (16th) piece certainly has a minuet-trio form, because Schumann noted the word “Trio”.

| | | | |
|---|----|-----------|--------------------------|
| A | a | mm. 1-8 | The main theme |
| | b | mm. 9-16 | Canonic passages |
| | a´ | mm. 17-24 | |
| B | c | mm. 25-32 | |
| | c´ | mm. 33-41 | Attaca to the next piece |

Table 4.56 : The form analysis of the seventh piece of Book 2, *Davidsbündlertänze*.

In the minuet section the first period theme comes again but in different rhythm. This trio section ends with b minor chord and without returning to the minuet it makes attacca to the next piece. Schumann used here only double bar; he even indicated the key of the next piece. At the end of the piece there is no indication if it is ‘F’ or ‘E’ here. But it is accepted that the seventh and eighth pieces are from both of them, because they are connected. This piece is presented as ‘in good humor’.

The eighth (17th) piece’s structure is A-B-A-C-coda:

| | | | |
|------|-------|-----------|------------------------|
| A | a | mm. 1-8 | The main theme |
| | a´ | mm. 9-16 | |
| B | b | mm. 17-24 | |
| | a´´ | mm. 25-34 | |
| A | a | mm. 35-42 | |
| | a´ | mm. 43-51 | |
| C | c-d-c | mm. 52-74 | The no.2 of the Heft I |
| Coda | | mm. 75-97 | |

Table 4.57 : The form analysis of the eighth piece of Book 2, *Davidsbündlertänze*.

If the seventh piece were Florestan, then the eighth could be Eusebius. Until the C section the music goes with syncopated rhythm. There are repeating bell-like tones as if it comes from afar mirroring the expression word, *Wie aus der Ferne*. Interestingly the C section is wholly the same as the second piece of Heft 1. In the coda the music hurries toward the end, reflecting some motifs from the C section.

The ninth (18th) piece is like slow waltz music which is fading out in C major. Always the third beat and the next first beat are tied; this gives a syncopation effect. At the same time the strong beat is delayed to the third beat. This piece can be also divided into two parts and a coda: A (mm.1-18) A' (mm.19-42) Coda (mm.43-59). For each part there are two measure arpeggio chords as introduction. The second part, A', is similar to the first part, A, varying a little in the melody line and in the harmonies. Schumann writes for the piece, “Ganz zum Überfluss meinte Eusebius noch Folgendes; dabei sprach aber viel Seligkeit aus seinen Augen” (For no reason at all, Eusebius thought the following; at the same time however much bliss streamed forth from his eyes.)⁶⁷

The musical characters of Florestan and Eusebius will be shown in the summary chapter more precisely and conclusively. In the beginning of the *Davidsbündlertänze* Schumann put an old dictum. Nobody can know if the ‘Lust and Leid’ (Desire and Sorrow) are separately related to the Florestan and Eusebius

⁶⁷ This is translated by the author. Here is Ostwald’s translation, “Quite superfluously, Eusebius added the following, while great bliss radiated from his eyes”.

characters. But there are mixed metaphorical meaning for these characters. Here are translations by the author's and by Daverio's. They are similar but they can bring slightly different nuances.

In all' und jeder Zeit

Verknüpft sich Lust und Leid:

Bleibt fromm in Lust und sey

Dem Leid mit Muth bereit.

Alter Spruch

In each and every time

Desire and sorrow combine

Be pious in desire and

Prepare sorrow with courage.(The author's translation)

In each and every age

Joy and Sorrow are bound together:

So remain pious in your joy

And be ready to face sorrow with courage. (Daverio's translation)

4.2.3 Op.16 *Kreisleriana* 8 fantasies (1838)

1. Äusserst bewegt (Extremely agitated)
2. Sehr innig und nicht zu rasch (Very heartfelt and not too rapidly)
3. Sehr aufgereggt (Very excitedly)
4. Sehr langsam (Very slowly)
5. Sehr lebhaft (Very lively)
6. Sehr langsam (Very slowly)
7. Sehr rasch (Very rapidly)
8. Schnell und spielend (Fast and playfully)

The title refers to the fictitious *Kapellmeister Johannes Kreisler*, a creation of Ernst Theodor Amadeus Hoffmann. Originally it comes directly from the *Kreisleriana* sections (Appendix D, the German contents) from the book *Fantasiestücke in*

Callot's Manier which has influenced Schumann's *Fantasiestücke*, too. According to Daverio, Schumann underscored the connection between *Kreisleriana* and the earlier *Fantasiestücke* through a subtitle he used for *Kreisleriana* and then eventually dropped: *Phantasiebilder für Pianoforte*. There is also Hoffmann's unfinished novel *Lebensansichten des Katers Murr* (Life and Opinions of the Tomcat Murr) which features again Kapellmeister Kreisler as seen by a tomcat. Schumann's *Kreisleriana* is like a musical portrait related to these novels which portray Kapellmeister Kreisler.

It is no wonder that Schumann has chosen as a title the Kapellmeister Kreisler, who alternated between depressive moments and a rapturous character, because he and Kreisler have such astonishing similarities. The author, E. T. A. Hoffmann, who with Jean Paul together exerts the greatest influence on Schumann, created the fictitious character Kreisler, who is an alter ego of himself. In the *Kreisleriana* essays Kapellmeister Kreisler narrates about music and his environment from his viewpoint. For example, Kreisler discusses the melodic element in music, too. He says, "Singable, understood in the higher sense of the word, is an excellent adjective with which to describe true melody. It must itself be a song, and must issue in a free and unforced flow directly from the human breast..." (Charlton 1989; 156)

Kreisler strongly shows his fascination for Johann Sebastian Bach throughout the essay, he often praises the music of Bach, "How deeply the truth and aptness of this parallel impressed me! I see in Bach's eight-part motets the wonderfully bold, romantic structure of the cathedral rising proudly and gloriously into the air, with all its fantastic ornaments artfully blended into the whole;..." (Charlton 1989; 104)

Kreisler is viewed as a very talented musician but unable to control his passionate feelings in his environment, which failed to understand the quality and excellence of his music completely. Just as Schumann and Hoffmann were so similar in their lifelong activity both as writers and composers, they also experienced situations similar to Kreisler in their lifetimes. Although Schumann emphasized Clara's influence on *Kreisleriana*, the importance of the *Kreisleriana* essays and the existence of Kreisler cannot be ignored. It seems that Schumann sympathized with Kreisler. Reconsidering the characters of Florestan and Eusebius, they are very similar to that of Kreisler. Again Daverio says, "Schumann's substitution of the Kreisler persona for the figures of Florestan and Eusebius marks a subtle but telling

shift in his creativity: dualism now becomes a function of a single character.”
(Daverio 1997; 168)

Kreisleriana has a subtitle *Fantasiën*. It is dedicated to Chopin, whom Schumann admired and praised as a genius. Although the complete contents of *Fantasiestücke in Callot's Manier* is given Appendix D, here are the translated contents of the *Kreisleriana* parts.

Kreisleriana: Part I

1. Kapellmeister Johanness Kreisler's Musical Sufferings
2. Ombra Adorata
3. Thoughts about the Great Value of Music
4. Beethoven's Instrumental Music
5. Extremely Random Thoughts
6. The Complete Machinist

Kreisleriana Part II

1. Letter from Baron Wallborn to Kapellmeister Kreisler
2. Letter from Kapellmeister Kreisler to Baron Wallborn
3. Kreisler's Musico-Poetic Club
4. Report of an Educated Young Man
5. The Music-Hater⁶⁸
6. On a Remark of Sacchini's, and on so-called Effect in Music
7. Johanness Kreisler's Certificate of Apprenticeship

Kreisleriana contents, translated by David Charlton

⁶⁸ The original title *Der Musikfeind* must be translated as 'The Music Enemy'. Here I have followed the translation of David Charlton.

In the novel there are some examples of how the characteristics of Kapellmeister Kreisler are related to the musical character of *Kreisleriana*. The second chapter, *Ombra adorata*, of Part I describes the miraculous moment in a concert when Kreisler felt “a consoling spirit-voice”. We probably can feel the spirit in the second and sixth pieces (see F.4.65 and F. 4.72): both of them have a soft, singing melody. Even we can feel the sudden mood changes, which occur throughout the cycle.

How constricted was my breast as I entered the concert-hall! How weighed down I felt by the burden of all the worthless banalities of this wretched existence that plague and persecute men, and particularly artists, like poisonous, blood-sucking vermin...

Then, like a heavenly luminescence, the bell-like voice of a woman radiated upwards from the orchestra: *Tranquillo io sono, fra poco teco sarò mia vita!* (How peaceful I am, in a short while I shall be with you, my life!) Who can describe the feeling that surged through me! How the pain gnawing at my innards was transformed into wistful melancholy that poured heavenly balm into all my wounds! Everything was forgotten and I simply listened in rapture to the sounds that held me in their consoling embrace as though they were transmitted from another world. (Charlton 1989; 89)

Kreisler’s emotion is changing so quickly when he hears the bell-like voice. It means definitely that he is very sensitive and sentimental. This kind of sudden mood change can be seen often in *Kreisleriana*, too. Although generally Schumann had similar tendencies to Florestan’s fiery character, these extreme mood changes within the pieces are seen more in *Kreisleriana* than in any other work. In all of the *Kreisleriana* pieces there are extreme and abrupt mood changes through tempo, key, dynamics, and texture. Sudden dynamic changes from *p* to *f* occur frequently. All the indication words are marked ‘Sehr’ (very). We can also observe these kinds of changes in earlier pieces like *Davidsbündler*, *Fantasiestücke*, and even in *Kinderszenen*, but they occur between the pieces with Florestan and Eusebius characteristics. The interesting thing is that in *Kreisleriana* these are shown within a single piece and with the one person Kreisler. The work describes the quick and extremely random mood changes of Kreisler. Here is an example of a story from the introduction:

Sometimes he would compose by night in the most agitated frame of mind. He would awaken his friend who lived next door in order to play to him, in a state of utmost rapture, everything he had scribbled down with incredible speed. He would weep tears of joy over the composition he had produced. He would proclaim himself the happiest of men. And yet, by the following day, the great work had been consigned to the fire. (Charlton 1989; 80)

This kind of emotional style of Kreisler reminds us even of the *Empfindsame Stil* of the Baroque period. Surprisingly Schumann has also many similar episodes which are described in many sources such as letters, diaries, and even in his criticism.

Here is an excerpt from the fourth chapter of *Beethoven's Instrumental Music* which shows us Kreisler's fascination, similar to that of Schumann, with Haydn, Mozart, and Beethoven. Kreisler says, "Mozart and Haydn, the creators of modern instrumental music, first showed us the art in its full glory; but the one who regarded it with total devotion and penetrated to its innermost nature is Beethoven". (Charlton 1989; 97)

Throughout the novel, Kreisler emphasizes the beauty of Bach's music which is also revealed in the *Kreisleriana*.

There are moments, especially when I have deeply studied the works of the great Sebastian Bach, at which the numerical proportions of music and the mystical rules of counterpoint arouse in me a profound horror. Music! It is with secret trepidation, even with dread, that I utter your name! Sanskrit of nature,...(Charlton 1989; 105)

Schumann used counterpoint technique throughout his earlier works, too. We can even see some small canons and fugues in Op.2 *Papillons* and Op.4 *Intermezzi*. As mentioned in the foregoing analyses, Schumann used chorale texture often for the end of a piece or cycle. However Kreisler's love for J.S.Bach is especially revealed surprisingly in the *Kreisleriana*. Almost in every piece of *Kreisleriana*, there is canonic progression, Invention, Prelude, and Fugue style in the music. Daverio mentions the influence of Bach in the music. This kind of characteristic will be studied in more detail with examples in the form analysis:

...his *Kreisleriana*, ..., abounds in Bachian touches: the prelude-like texture in the middle section of No. 1, the evocation of the two-part invention style in the first *Intermezzo* of No. 2, the close imitation in No. 5, the *siciliano* rhythms of No. 6, the driving fugato and pensive chorale in No. 7, and the gigue-like character of No. 8. (Daverio 1997; 167)

The first piece has three part form (A-B-A). The whole structure is like this:

| | | | |
|---|----|-----------|-------------------|
| A | a | mm. 1-8 | The main theme |
| | b | mm. 9-16 | |
| | a´ | mm. 17-24 | |
| B | c | mm. 25-32 | The Bachian style |
| | d | mm. 33-40 | |
| | c´ | mm. 41-48 | |
| A | a | mm. 49-56 | |
| | b | mm. 57-64 | |
| | a´ | mm. 65-72 | |

Table 4.58 : The form analysis of the first piece, *Kreisleriana*.

Each section has a very regular ternary form. The A section is full of exciting ascending motions: triplets in the right hand, octaves in the left hand. The text is dense with continuous *f*, *sf*, and *crescendo*. The accents on every beat alternate with left hand syncopation in a period. In the a' period the left hand accompaniment differs from vertical to horizontal harmony display. This turbulent progression generally belongs to Florestan. The B section is played in *p* in contrast to A. One characteristic thing is that the melody line progresses most often with slurred minor seconds, major seconds and minor third intervals. As Daverio pointed out, it is like a Bachian prelude with its repetitive descending arpeggio harmonies with a finger pedal effect which is similar to the texture of preludes BWV 846 and 858. (Figure 4.64)



Figure 4.63 : The Bachian style, mm.27-32 no.1.

The sequential progress, which changes its harmony differently in every beat, adds a meditative effect to this section. The frequent harmonic changes in sequences are also typical of Baroque music. Here is a similar progression example of Bach's *Prelude*:

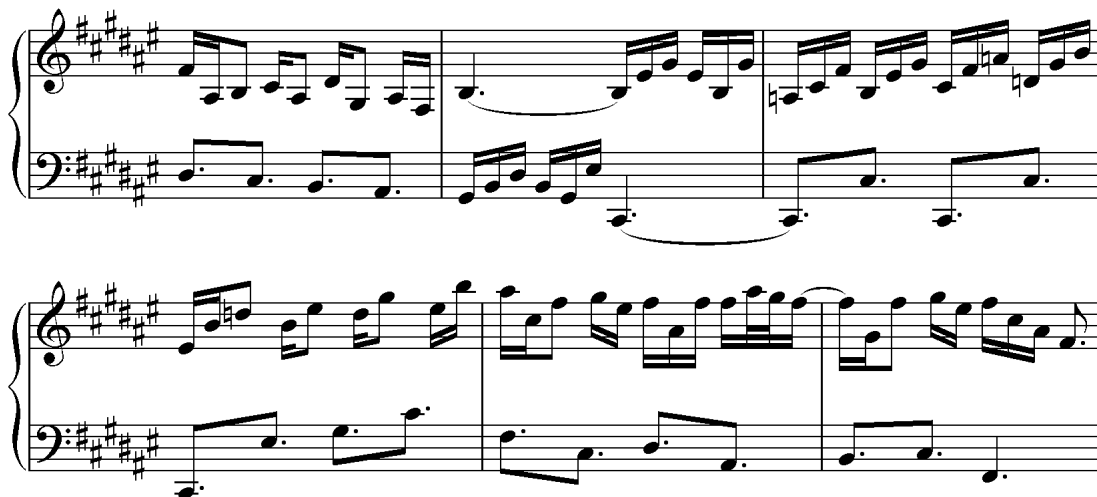


Figure 4.64 : *Praeludium* no.13 BWV 858 mm.25-30, J.S. Bach.

The second piece is one of the 'langsam' and 'innig' pieces in this cycle. In other words the first part has a typical Eusebius character although it is variable with a lively middle section. The main theme appears in every A and A' section repeating twice. (Figure 4.65) These eight eighth notes are played in legato and *p*. The

rhythmic motif of the main theme continues throughout the A sections. This piece has a five part rondo form.⁶⁹

The B and C sections are intermezzi which are quite different in tempo, rhythm, dynamics, and character. *Intermezzo I* is very fast with lively staccato rhythms. It is a simple and merry song in B flat major. *Intermezzo II* is also fast and with a dense texture. But this Intermezzo has a more passionate character, in g minor. Both of them begin with sudden changes, and have repetition marks. These pieces always begins with auftakt-down beat and minor thirds. (Figure 4.66 and 4.67)

The structure seems like this:

| | | | |
|------------|---------|-------------|-------------------|
| A | a+b | mm. 1-20 | The main theme |
| A' | a'+c | mm. 21-37 | |
| B | d+d+e+d | mm. 38-54 | Intermezzo I |
| A | a+b | mm. 55-76 | The Bachian style |
| A' | a'+c' | mm. 77-91 | |
| C | f+g+f | mm. 92-118 | Intermezzo II |
| Transition | | mm. 119-134 | |
| A'' | a''+b+c | mm. 135-159 | |
| Coda | | mm. 160-165 | |

Table 4.59 : The form analysis of the second piece, *Kreisleriana*.

(There are 165 measures in the Henle edition.)⁷⁰

⁶⁹ There is a DMA thesis of Chung-Ha Kim: "E.T.A Hoffmann's influence on Robert Schumann's *Kreisleriana*, op.16." In the analysis our definition of the form is the similar, but the divisions of sections and the key definitions are different.

⁷⁰ There is an edition problem. For example, the Kalmus edition has 173 measures for the second piece, *Kreisleriana*. As I have made clear in the preface of this thesis, I have used the Henle edition. In addition to this, the other editions such as Bärenreiter and Peters, which have the same measures with Henle edition were checked.

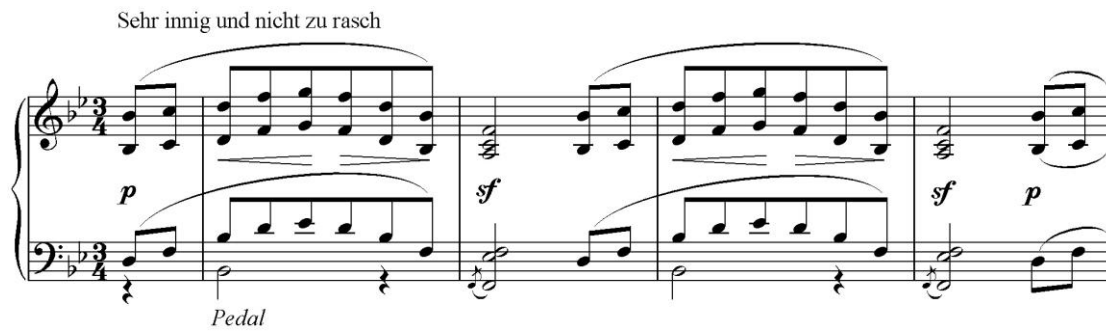


Figure 4.65 : The main theme of no.2, *Kreisleriana* mm.1 – 4 no.2.



Figure 4.66 : Schumann's use of minor thirds-The minor thirds Auftakt, mm.92-93, no.2.

In measures 142-145 (Erstes Tempo) there are inverted passages which make a stretto effect in this transition. It replaces the truncated measures of b and c. The last A" section is a mixture of A and A'. The main theme is presented slightly differently ending on B flat twice instead of F. In measure 140 the theme reaches its original F tone but on another harmony which makes a brief cadenza in ad libitum. As mentioned, some measures from b, c, and the main theme are truncated. According to the Henle edition the truncated eight measures from A' section existed in the first version.

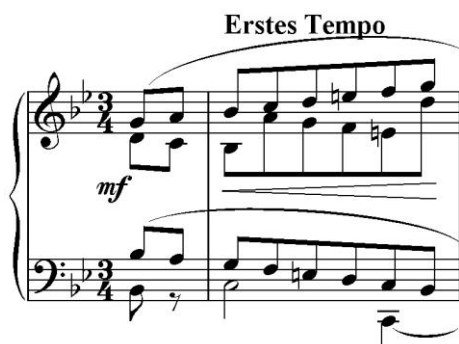


Figure 4.67 : Schumann's use of minor thirds, mm.142-143, no.2.

The third piece has three parts with a coda in g minor. The structure is this:

| | | |
|------|-----|-------------|
| A | a | mm. 1-10 |
| | a' | mm. 11-22 |
| | a'' | mm. 23-32 |
| B | b | mm. 33-48 |
| | c | mm. 49-68 |
| | b' | mm. 69-84 |
| A'' | a | mm. 85-94 |
| | a' | mm. 95-106 |
| | a'' | mm. 107-115 |
| Coda | | mm. 116-156 |

Table 4.60 : The form analysis of the third piece, *Kreisleriana*.

The first part a-a'-a'' (mm.1 – 32) and the third part (mm.85 – 115) are the same, containing major rhythmic motifs. The main theme (mm.1 – 10) consists of the main rhythmic motif and its sequences. For this piece the main compositional method seems to be expansion. Figure 4.235 shows the basic method in which the phrases expand. The continuation phrase is expanded to six measures through ascending motifs. In the next a' section after the main theme the following continuation phrase is even expanded to eight measures.

Sehr aufgeregt

The musical score is for a piano piece in 2/4 time with a key signature of two flats. It is marked 'Sehr aufgeregt' and begins with a piano (*p*) dynamic. The score is divided into three systems. The first system (measures 1-4) shows the initial presentation of the phrase, featuring a bass line with a 'Pedal' marking and a treble line with eighth-note patterns and triplets. The second system (measures 5-10) continues the phrase, maintaining the eighth-note rhythmic texture. The third system (measures 10-11) shows the end of the phrase with a final cadence. Fingerings and articulation marks are clearly indicated throughout the score.

Figure 4.68 : The a section, presentation (mm.1-4) and continuation (mm.5-10) phrases, no.3 mm.1-10.

The music begins in *p*, but very resolutely. The music begins very calmly, but it is like combat readiness. Interestingly, Clara described once Schumann’s march music as being related to a battle scene. Her comment was for the first movement of *Fantasie*, Op.17. She wrote, “...Many images are stirred up...The march strikes me as a victory march of warriors following a battle...”. (Ostwald 1997; 127) Similarly Schumann mentioned an A major symphony concept of Gustav Nicolai in his *Gesammelte Schriften* in 1835, “...said Florestan, at the same time beginning the A major Symphony, ‘at a certain dry notary who professed to find in the first movement a battle of giants and in the last their destruction.’” (Pleasants 1965; 70)

When the main theme comes again, it is presented in *f*. It seems as if it is already in battle action. It seems to be exaggerated by comparing the music with military action. However, here the music is too grave to be described only as a calm tune,

although it is in *p*. Also Schumann always gives accents on every beginning note. (G, A, and B flat) In mm.11-12 the Hornquintet (trumpet tune) is used, too. Finally in the a" section the main theme appears directly as continuation phrases which expand to ten measures. The music becomes most expanded excitedly through the crescendi and sforzandi, too.

From the compositional skill, the second part, B, is also interesting. There is also a main motif (mm.33 – 36) in the b which continues as a rhythmic motif throughout this part. There is a scale which ascends and descends. In the next four measures there is even an expanded ascending and descending scale. (Figure 4.69)

The c section is also sequential passages of the first four measures of b. The b" section has a repetition sign: the first statement is the same as b, only the second ends a little differently. The coda consists of the sequences of the main theme and descending g minor harmony in octave. In the coda the tempo becomes faster completely in *ff* as Schumann marked. The music reaches its climax point here excitedly.

The image shows a musical score for a piano piece, likely Schumann's No. 3. It consists of two systems of music. The first system is for the left hand (Linke) and includes the tempo marking 'Etwas langsamer' and the dynamic marking 'p'. It features a melodic line in the upper register and a bass line with a 'Pedal' marking. The second system is for the right hand (Rechte) and includes the dynamic marking 'sf' and a 'Pedal' marking. It features a melodic line with a '5' fingering and a bass line with a '3' fingering. The score is in 2/4 time and B-flat major.

Figure 4.69 : Theme as a scale and its expansion. mm.33-41, No.3.

The fourth piece has an irregularly prolonged binary form with a small coda. The A section (mm.1 – 11) is played very slowly in contrast to the B section (mm.12 – 23), which is in more lively tempo.

The A section, which is in B flat major, has a sighing soprano melody with many detailed ornaments. It seems to be a typical thoughtful mood of Eusebius. The B section, which is wandering in g minor, is still in *p*, but the music becomes more intensive and excited. One remarkable thing is that Schumann used a minor second interval (eventually major second also) to make the melody line. (Figure 4.70)

The four measure coda reminds us of the first two measures of the main theme again and ends on a D major triad, which is the dominant of g minor, which is the relative minor of B flat major – V/vi/I. The A had seemingly ended on a D major seventh chord but then at the very end went into g minor to prepare the B section.

Bewegter

The musical score is divided into four systems, each spanning two staves (treble and bass clef).
 - System 1 (measures 12-14): Treble clef starts with a half note G4, followed by quarter notes A4, Bb4, and C5. Bass clef has a steady eighth-note accompaniment. Dynamics include *mf* and *p*.
 - System 2 (measures 15-17): Treble clef continues with quarter notes D5, Eb5, F5, and G5. Bass clef continues the accompaniment. Dynamics include *p*.
 - System 3 (measures 18-20): Treble clef features a melodic line with intervals of a fifth and a second. Bass clef continues the accompaniment. Dynamics include *mf*.
 - System 4 (measures 21-23): Treble clef concludes with a half note G4, followed by quarter notes A4, Bb4, and C5. Bass clef has a steady eighth-note accompaniment. Dynamics include *pp*. The piece ends with a *ritardando* marking and a final D major triad. Pedal markings and a double asterisk (*) are present at the end of the piece.

Figure 4.70 : mm.12 – 23 The minor and major second intervals in the B section, No.4.

This fourth piece and sixth piece are similar in the short length and mood of this collection. Both have the ‘sehr langsam’ (very slowly) indication, similar monologue style, grieved mood, and even similar structure (A-B-Coda).

The fifth piece has binary- Da capo form. It is also like an arch form because the last A makes asymmetrical form.⁷¹

| | | | |
|------------|----|-------------|----------------|
| A | a | mm. 1-14 | The main theme |
| | b | mm. 15-37 | Scherzo style |
| | a´ | mm. 38-51 | |
| B | c | mm. 52-62 | |
| | d | mm. 63-93 | Climax |
| | c´ | mm. 94-104 | |
| Inverted A | b | mm. 105-127 | |
| Coda | a | mm. 128-141 | |

Table 4.61 : The form analysis of the fifth piece, *Kreisleriana*.

The music begins in *pp*, but in a lively tempo. The main theme contains two main motifs, which make sequences throughout the A section. From mm.6-14 there is a canon, which appears in a stretto. Daverio mentions only ‘close imitation’ but it seems like a fughetta, which appears often throughout this piece. (Figure 4.71)

⁷¹ The Kalmus edition has 160 measures for the fifth piece, *Kreisleriana*.

Sehr lebhaft

The musical score is written for piano in 3/4 time, B-flat major. It consists of three systems of music. The first system (measures 1-5) begins with a piano (*pp*) dynamic and includes a 'Pedal' marking. The second system (measures 6-10) continues the piece. The third system (measures 11-14) features a first ending (1.) and a second ending (2.) with dynamics ranging from piano (*pp*) to mezzo-forte (*mf*).

Figure 4.71 : The fughetta section, mm.1-14 no.5.

Always the emphasis comes on the second or third beat because of accents, syncopation, and the delayed strong beat. The B part begins in *p*, but in the d section it reaches its climax in *ff*. In the d section (mm.69-85) there are ascending chromatic scales in *ff* with both hands which builds a strong stretto. They ascend parallel in minor third intervals between the right and left hands. Here again we can observe the typical rhythmic delay of Schumann. This piece ends with g minor chord after the fughetta, a section. This piece especially recalls the dance music and scherzos of Schubert.

The sixth piece can be divided into two parts: the first part is until the interlude and the second part is after the interlude. The prelude, interlude, and postlude are the same, having a main theme (Figure 4.72) which has a solitary character. It reminds us of a nostalgic tune. The structure is:

| | |
|--------------|-----------|
| Prelude X | mm. 1-5 |
| A | mm. 6-10 |
| Interlude X' | mm. 11-18 |
| B | mm. 19-34 |
| Postlude X | mm. 35-39 |

Table 4.62 : The form analysis of the sixth piece, *Kreisleriana*.



Figure 4.72 : The main theme, mm.1 – 4, No.6.

The five measure long prelude has a singing voice for alto and then tenor. This melody is like a humming low voice in near silence. It could be seen as a chorale melody: it has also an unison in the fourth measure. After this peaceful chorale-like prelude, the first part, the A, (mm.6 – 10) becomes minor with dramatic glissando rhythms. It has a majestic and grave character. (Figure 4.73)

Figure 4.73 : The Bachian touch, mm.6-10 No.6.

Here we can see again the ‘Bachian touch’ although no scholars have mentioned this yet. These dotted notes with glissando give a typical French overture style. The compositional way of Schumann is very similar to the *Overture of Partita IV* and the first movement *Grave* of the *Overture in the French Style*. In both, the music progresses very strictly in dotted rhythms, which are made by tied notes, having accents on the up-beats. This section has a very dramatic and passionate character with its rhythmic drive, but interestingly this time it is not of Florestan but of Eusebius. Because it does not have a turbulent storm or panic but a resolute decision in the inner struggle, it resembles more Eusebius’ character.

There is an interesting thing related to the Bachian touch in the *Kreisleriana*: Schumann studied intensively *Das wohltemperierte Klavier* exactly during this period (1837-38). He wrote also: “Fugues and the canonic spirit pervade all my fantasizing”. (Daverio 1997; 165)



Figure 4.74 : *Grave, Overture in the French Style*, mm.15-20 J. S. Bach.

The interlude is an expanded prelude. In the interlude the chorale-like melody becomes also dramatic including longer unisons in octave. This time the voice moves from bass to soprano. This solitary melody appears for the last time in the postlude.

After the reminiscence of two measures of the main theme, the second part (mm.19 – 34) begins suddenly with a lively tempo. The dance-like 6/8 meter music, which is called a ‘Bachian Siciliano’ by Daverio, is bright and cheerful in contrast to the foregoing parts. The rhythmic and melodic units of the second part are very similar to the last piece of *Carnaval*, op.9. Actually these are typical rhythmic motifs of Schumann. For comparison, here are examples. (Figure 4.75 and 4.76)

Figure 4.75 : The typical rhythmic motif, mm.28 – 36 *Marche des Davidsbündler contre les Philistines of Carnival*.

Figure 4.76 : The typical rhythmic motif. mm.21 – 26 no.6 of *Kreisleriana*.

The seventh piece has three parts with a coda. This piece has also asymmetrical form like the fifth piece. Schumann used e minor and g minor throughout the piece, and ended in the relative major key of E flat major, so the tonality of this piece becomes clear only in the last coda section. The structure is:

| | | | |
|------|-----|------------|--------------|
| A | a | mm. 1-8 | C minor |
| | b | mm. 9-20 | G minor |
| | b | mm. 21-32 | G minor |
| | a' | mm. 33-40 | G minor |
| B | c | mm. 41-48 | C minor |
| | c' | mm. 49-60 | C minor |
| | c'' | mm. 61-68 | C minor |
| A' | b' | mm. 69-80 | C minor |
| | a | mm. 81-88 | C minor |
| Coda | | mm. 89-116 | E flat major |

Table 4.63 : The form analysis of the seventh piece, *Kreisleriana*.

The a section begins with repetitions of the main theme. The main theme contains the main rhythmical motifs which appear throughout the piece. In the first b section Schumann used the circle of fifths. (Figure 4.77)

Figure 4.77 : The circle of fifth, mm.9-20 No.7.

The second b differs from the first b with its one octave higher presentation. The music progresses very rapidly with Schumann's marking in *f*. From the B section the music moves forward more enthusiastically and quickly in *ff*. The only calm part is the coda. It is very remarkable that Schumann used Bachian style in the B section and coda. The main theme comes at the fourth and fifth above this time. It is fully in *f*, presenting a *Gigue* in 2/4 meter or a Two-Part Invention in the Baroque style. There are giges from *Partita III* and *IV*, which are similar to this. One can say that this section is similar to a *Capriccio* or *Scherzo* of the Baroque period.



Figure 4.78 : The canonic style mm.41 – 52 no.7.

The coda is presented in a chorale-like style. The main theme of coda comes also at the perfect fourth above. This strict canonic style is very similar to *Two-Part Inventions* of Bach. Here is an example:



Figure 4.79 : mm.1-6, BWV 773, *Inventio* 2, J. S. Bach.

The last piece has a five-part rondo form. This piece's metrical regularity is perfectly organized by Schumann. Without any diminution or prolongation of measures, the music progresses period by period. There is a rhythmic motif which is heard in every measure throughout the piece. Only the B section's left hand figures differ from the other accompaniment figures with their quarter and eighth note arpeggio basses. Schumann marked especially at the beginning for the basses 'Die Bässe durchaus leicht und frei'. The use of a particular rhythmic motif reminded me even of Beethoven's use of one rhythmic motif in his fifth symphony. The whole structure is this:

| | | | |
|------|------|-------------|---------------------------------|
| A | a | mm. 1-8 | G minor |
| | a' | mm. 9-16 | |
| | a | mm. 17-24 | |
| B | b | mm. 25-32 | B flat major |
| | b' | mm. 33-40 | |
| | b | mm. 41-48 | |
| A' | a'' | mm. 49-56 | G minor |
| | a' | mm. 57-64 | |
| | a | mm. 65-72 | |
| C | c | mm. 73-80 | D minor |
| | d | mm. 81-88 | |
| | c' | mm. 89-96 | |
| | c'' | mm. 97-104 | |
| | c''' | mm. 105-112 | |
| A | a | mm. 113-124 | G minor (extension mm. 121-124) |
| | a' | mm. 125-132 | |
| | a | mm. 133-140 | |
| Coda | | mm. 141-145 | |

Table 4.64 : The form analysis of the eighth piece, *Kreisleriana*.

There is a main theme (Figure 4.80), from which the main rhythmic motif comes. Interestingly the music is written in the same harmonic structure as the third piece. (For comparison see Figure 4.68)

Figure 4.80 : The main theme, mm.1-4 no.8.

Both of them are built on I-ii-V-I (g minor) with light staccato and *p*. According to Schumann's organization, the C section is the climax with its dynamic. Schumann additionally marked this section 'Mit aller Kraft' (with all power). The music has a very dramatic character with a repeating rhythmic motif which is like sound of timpani playing *pp*. This repetitive rhythm is one of the typical rhythms which are used for the giges of the *French Suite 1* and the *Overture in the French Style* by Bach. This rhythmic motif creates a very excited mood with its concentrative repetition throughout the piece.

4.2.4 Op.23 *Nachtstücke* (1839)

1. Mehr langsam, oft zurückhaltend
2. Markiert und lebhaft
3. Mit grosser Lebhaftigkeit
4. Ad libitum-Einfach

The *Nachtstücke* (*Night Pieces*), Op.23, were composed in 1839 together with *Faschingsschwank aus Wien* and published one year later. The *Intermezzo* from *Faschingsschwank* was originally published as a supplement to the *Neue Zeitschrift*

für Musik and identified as a fragment from the *Nachtstücke* which were to appear shortly. (Ostwald 1985; 148) Schumann rapidly drafted the new cycle of four character pieces within about a week, but did not complete it until January 1840, at which time he contemplated naming its movements. He considered the following titles for the four pieces:

1. *Trauerzug (Funeral Procession or March)*
2. *Kuriose Gesellschaft (Queer Assembly or Strange Company)*
3. *Nächtliches Gelage (Nocturnal Revels)*
4. *Rundgesang mit Solostimmen (Roundelay with Solo Voices)*

These titles were not included in the original edition. According to Ostwald, “Schumann wrote the *Nachtstücke* under extremely stressful circumstances.”⁷² He was spending the winter in Vienna. On March 30, 1839, he received an alarming letter in which his sister-in-law Terese informed him of the grave illness of his older brother Eduard Schumann, (1799-1839). He was convinced of the imminence of Eduard’s demise, and a week later he got word of Eduard’s death while stopping over in Dresden en route to his family home. (Daverio 1997; 180) When he received the letter, mysteriously he realized that he had somehow sensed the tragic turn in his brother’s life all along. He wrote, “How strange are my presentiments - Eduard’s leave-taking, his kindness toward me - all this became clear. How are such things revealed to me? That’s my first question.” (Nauhaus 1987; 89) Ostwald asserts that Schumann had premonitions of his brother’s death because of the *Jugendbriefe* letters; in any case he immediately set to work on a new composition grimly entitled *Leichenphantasie (Corpse Fantasy)*. “I always saw funeral processions, coffins, unhappy and despairing people. [...] Often I was so distraught that tears flowed and I didn’t know why—then [Eduard’s wife] Therese’s letter arrived and I knew why”. (Schumann 1886; 301) Schumann left Vienna for Zwickau, Germany on 4, April, 1839, two days before his brother would die there.⁷³ He actually missed the funeral. He wrote to Clara, “Half past three on Saturday morning, while traveling, I heard a

⁷² The death of his brother could bring an economic disaster to the family’s publishing business. In a letter to his fiancée Clara Wieck he wrote, “Wouldn’t you leave me if I were now to become a very poor man and told you to leave me because I would bring you nothing but sorrow?”. (Ostwald 1985; 148)

⁷³ Ostwald asserts that it is 5 April 1839. With the date Daverio and Ostwald do not agree, I have taken Daverio’s information.

chorale of trombones—it was the moment Eduard died. [...] I still feel stunned by all the exertion. [...] Without you I long ago would have been where he is now". (Ostwald 1985; 148) Schumann eventually heeded the advice of Clara concerning the title of the work, "The public won't understand what you mean and it will bother them. I think you should settle for the general title *Nightpieces*". (Nauhaus 1987; 89) The name *Leichenphantasie*, which Schumann intended for the night pieces probably comes from a famous German poem. Schumann's favorite Schubert wrote *Eine Leichenphantasie* D.7, too. Friedrich von Schiller also wrote a *Leichenphantasie* which may have inspired Schumann. The mood of the poem fits Schumann's *Funeral Procession*. Here is the poem:

Mit erstorbnem Scheinen
 Steht der Mond auf totenstillen Hainen,
 Seufzend streicht der Nachtgeist
 Durch die luft.
 Nebelwolken schauern, Sterne trauern
 Bleich herab, wie Lampen in der Gruft.
 Gleich Gespenstern, stumm und hohl und hager,
 Zieht in schwarzem Totenpompe dort
 Ein Gewimmel nach dem Leichenlager
 Unterem Schauerflor der Grabnacht fort...

(Lo! On high the moon, her lustre dead,
 O'er the death-like grove uplifts her head,
 Sighing flits the spectre through the gloom.
 Misty clouds are shivering,
 Pallid stars are quivering,
 Looking down, like lamps within a tomb.
 Spirit-like, all silent, pale, and wan,
 Marshall'd in procession dark and sad,
 To the sepulchre a crowd moves on,
 In the grave-night's dismal emblems clad...)⁷⁴

⁷⁴ Translated by Edgar A. Bowering. New York: Hurst & Company, 1872.

The second name *Nachtstücke* probably comes from E. T. A. Hoffmann's novels. Though there is no obvious evidence of connection between Schumann's *Nachtstücke* and Hoffmann's novels under the same title, It seems that Schumann borrowed the title from Hoffmann, who was also one of his favorites. Daverio asserts also that this title is directly drawn from the novel which is a series of eight ghoulish tales, too. After reading the novels, the fantastic, dark, and gothic mood is very similar to music. The novels related to the music are introduced in the analysis part. Here are the contents of Hoffmann's collection:

Nachtstücke 1. Teil(1819)

Der Sandmann (The Sandman)

Ignaz Denner (Ignaz Denner)

Die Jesuiterkirche in G (The Jesuit Church)

Das Sanctus (Sanctus)

Nachtstücke 2. Teil

Das öde Haus (The Dead House)

Das Majorat (The Major)

Das Gelübde (The Solemn Promise)

*Das steinerne Haus (The Stone House)*⁷⁵

The music *Nachtstücke* has a similar mood with the *Nachtstücke* of Hoffmann in an unconscious way. Although some scholars have mentioned the novel of the same name, it seems that the relationship has never been studied formally. The reason for 'in an unconscious way' is that there are no exact programs like descriptions of a certain event or person or motif for the music. But the novel's mood about things like a forsaken house, the devil, morbid events, murder, dark images and death is similar to the mood of Schumann's *Nachtstücke*. For example, interestingly the fourth story in Teil 1, the *Sanctus*, contains many dialogues about music. Actually the story has also narrations about the choir music and instruments by a doctor and a

⁷⁵ *Nachtstücke*. Edited by Hartmut Steinecke and Gerhard Allroggen. Deutscher Klassiker Verlag. The translation is made by myself.

Kapellmeister. This Kapellmeister must be our known Kreisler from the *Fantasiestücke in Callot's Manier*, although this explanation is not given. The fourth piece, *Roundelay with Solo Voices* of *Nachtstücke* begins with a melody like a chorale from the Lutheran church. From the novel an example is given, which could be seen as a consolation for Schumann in his painful situation:

He approached the veiled woman with kind words, but as her pain had no language other than singing, after she had played some strange chords on the harp, which she hung by a gold band around her neck, she started a romance, which moaned in heart-rending sounds the separation from her beloved, grieved of all the joy of life. (Hoffmann 1985; 151)⁷⁶

The description about the harp and the consoling but grieved romance suits so well the fourth piece of the collection. In addition to this, the *Sanctus* tells about tone and music.

It seemed to me namely then, as if the nature built around us in a clavichord of thousand choirs, in whose strings we bustled around, holding her notes and chords and as if we would be sored to death, without knowing that the discordant struck note touched our wound. (Hoffmann 1985; 145)⁷⁷

These sentences explain the harmony concept of the *Nachtstücke* well. The description of the ‘dissonances and the thousand choirs’ resembles the beginning of the second piece with the discordant triads.

The first piece, *Funeral Procession* has a rondo form. The main theme A (Figure 4.81) has a repeated rhythmic pattern which continues to repeat throughout the piece. Daverio says, “the obsessively repeated rhythmic pattern is hardly out of the ordinary: the pattern serves to evoke the sombre tread of a funeral procession.” Here is the main theme which has the funeral march rhythm. The structure is like this:

⁷⁶ It is translated by the Traduceri.BIZ translation office.

⁷⁷ Ibid

| | | |
|------|-------------|----------------------|
| A | mm. 1-8 | The main theme |
| B | mm. 9-16 | |
| A | mm. 17-24 | |
| C | mm. 25-32 | |
| C´ | mm. 33-40 | |
| A | mm. 41-48 | |
| D | mm. 49-56 | The canonic passages |
| D´ | mm. 57-64 | |
| D´´ | mm. 65-72 | |
| A | mm. 73-80 | |
| E | mm. 81-88 | Transition |
| A | mm. 89-96 | |
| A´ | mm. 97-104 | |
| Coda | mm. 105-112 | |

Table 4.65 : The form analysis of the first piece in the *Nachtstücke*.

The novel *Nachtstücke* has many descriptions of funerals. It is natural for the novel, because it is concerned mainly with terrible deaths, anxiety, and dreadful destinies. For example in *The Sandman*, Natanael’s father is murdered by Coppelius, a horrible swindler and torturer. After the funeral Natanael swears that he will take revenge. *The Major* is about a cursed noble family: in the first generation the baron Wolfgang is murdered and in the next generation the baroness Serapine meets her tragic death by the ghost of the murderer.

Mehr langsam, oft zurückhaltend M. M. ♩ = 100

Figure 4.81 : The opening and main theme.mm.1-8 no.1.

It is not claimed here that the music describes all the terrible tales. However, especially in the first piece, there are many gloomy and phantom moods. In the music first there is a slow motion for the funeral (ABA section, mm.1-24), followed by grief in motionlessness (C, mm.25-40). The D section is harmonically the most variable in this piece, but speaking strictly it is an arid canon, which could be described as meaningless dialogue in the funeral with a sarcastic attitude. This is the most striking and strange attitude in all his piano music.

Daverio discusses the relationship between the main theme and the opening theme of *Aus fremden Ländern und Menschen*, the first piece in *Kinderszenen*. His idea seems here not logical.⁷⁸ The main theme is actually presented in the first four measures and it is repeated with the same bass line, but the second time with *mf* and octave bass. This is a typical method of Schumann to expand the main figure.

The main theme A recurs often between sections. It reaches its *f* through E, in A' it has a climax in *ff* with augmented harmony. From the beginning this piece has its unusual, unique mood with the march rhythm. Not only the indication '...oft zurückhaltend' (often holding back) but also the harmonic uncertainty give us an uncertain and insecure feeling. From the beginning we have also harmonic uncertainty: only after eight bars we reach a secure C major. The short dissonant

⁷⁸ His argument about the theme relationship is too superfluous to reveal. However one can think of the possibility. Read more about it-(Daverio 1998; 181)

eighth note chords in *p* and slow tempo prepare for the gloomy mood. This eighth note chords theme has not the typical rhythm of Chopin or Liszt or even Bartok. All composers use dotted rhythms for the march style.

There are generally two cases of use: the first is repeating the dotted rhythms in every beat, the second is using dotted rhythms for the downbeat. But here Schumann used the dotted rhythm for the third beat (strong beat). In the funeral marches of Liszt and Chopin, the dotted rhythm naturally emphasizes the downbeat. In addition to the famous one by Chopin, the *Funérailles* of Liszt has also dotted rhythms on the downbeat. Bartok, in the funeral march from the Symphonic poem *Kossuth*, has more sharpened dotted rhythms on every beat throughout the piece. This kind of rhythmic replacement weakens the serious mood of the funeral ceremony, even ironically. But later Schumann summarizes and emphasizes the theme in its recapitulation in *ff* and *maestoso*.

All the D sections are written as canon in Bachian technique. (Figure 4.82)

The image displays three systems of musical notation for a piano piece. The first system, starting at measure 55, shows a canon in the right hand with dotted rhythms on the third beat. The bass line features dotted rhythms on the downbeat. The second system, starting at measure 61, continues the canon with various dynamics including *p* and *pp*. The third system, starting at measure 67, concludes with a *ritardando* marking and a final cadence.

Figure 4.82 : The canon. mm.49-72 no.1.

The omissions of chords and the melody line in the last four bars (Figure 4.83) are remarkable, because this grotesque echo and rhythm reveal the mood of *Leichenphantasie*. It is also notable for the compositional technique.



Figure 4.83 : The interesting last four bars. mm.109-112 no.1.

The second piece *Queer Assembly* has also rondo form. The main theme not only recurs between sections but also varies slightly in other sections and transitions. Although the melody line differs from the original main theme, it has always the same rhythmic figure. (Figure 4.84)

Here we see still harmonic uncertainty and many dissonances. The main theme itself sounds very puzzling with its aimlessness. Actually the whole A and C sections consist of mechanical repetitions. In the B section the mechanism becomes softened. In the B section we can see seven ritardando marks by Schumann.

The harmonies which are used in the *Nachtstücke* are very unusual related to the other works of Schumann. Somehow the rhythmic character in this piece is very similar to the fourth movement of Chopin's sonata op.35. In this piece there is a repeating rhythmic motif of eight eighth notes which is similar to the repeating triplet rhythmic motif in Chopin's sonata. The remarkable thing in this piece is the frequent sudden mood changes which occur through extreme dynamic and texture changes. The mechanical and tuneless passages and the sudden mood changes disturb the consistency of the music. However from the envisaged title we can guess that this effect was probably intended by Schumann. In Hoffmann's novel *Sandmann* from the *Nachtstücke*, there is a famous Olympia automation, which recalls of this kind of mechanical repetition.

The structure is this:

| | | | |
|------------|------|-------------|-------------------------|
| A | a | mm. 1-4 | The main motif |
| | a´ | mm. 5-14 | |
| | a´´ | mm. 15-22 | |
| Transition | | mm. 23-24 | |
| B | b | mm. 25-32 | |
| | b´ | mm. 33-42 | |
| | b´´ | mm. 43-47 | |
| | b | mm. 48-56 | |
| Transition | | mm. 57-65 | |
| A | a | mm. 66-69 | |
| | a´´´ | mm. 70-73 | Coda |
| C | c | mm. 74-81 | |
| | c´ | mm. 82-85 | |
| | c | mm. 86-93 | |
| B | b | mm. 94-101 | |
| | b´ | mm. 102-111 | |
| | b´´ | mm. 112-116 | |
| | b | mm. 117-125 | |
| Transition | | mm. 126-134 | |
| A | a | mm. 135-138 | |
| | a´´´ | mm. 139-142 | Coda marked with Presto |

Table 4.66 : The form analysis of the second piece in the *Nachtstücke*.

Markiert und lebhaft M.M. $\text{♩} = 76$

The musical score consists of four systems of two staves each (treble and bass clef).
 - System 1 (measures 1-4): Right hand has a scale starting on G4 with fingerings 5, 4, 5, 4, 5, 2. Left hand has a scale starting on G3 with fingerings 1, 3, 4, 1, 3, 4, 1. Dynamics are *sf*.
 - System 2 (measures 5-8): Right hand continues the scale with fingerings 4, 4, 3, 5, 4, 5, 3, 5. Left hand has a scale with fingerings 1, 1, 3, 1, 4. Dynamics are *f*.
 - System 3 (measures 9-14): Right hand has a scale with fingerings 5, 3, 5, 4, 1, 5, 5, 5, 5, 5, 5, 1. Left hand has a scale with fingerings 4, 2, 1, 1, 1. Dynamics are *f* and *ff*.
 - System 4 (measures 15-18): Right hand has a scale with fingerings 5, 5, 5, 2, 5, 5, 5, 5. Left hand has a scale with fingerings 5, 5, 5, 5, 5, 5, 5, 5. Dynamics are *ff*.

Figure 4.84 : mm.1-18 the main theme scale and varied scales no.2.

The third piece *Nächtliches Gelage* can be divided into five parts and can be seen as a rondo, too. The structure is:

| | | | |
|------------|----|-------------|--|
| A | a | mm. 1-8 | The main theme |
| | a1 | mm. 9-16 | |
| | a2 | mm. 17-24 | |
| | a3 | mm. 25-32 | |
| B | b | mm. 33-40 | The first Intermezzo, Prelude-like section |
| | b1 | mm. 41-48 | |
| | b | mm. 49-56 | |
| | b2 | mm. 57-64 | |
| | b | mm. 65-72 | |
| | b3 | mm. 73-80 | |
| | b4 | mm. 81-88 | |
| | b5 | mm. 89-96 | |
| | b6 | mm. 97-104 | |
| | b7 | mm. 105-112 | |
| Transition | | mm. 113-120 | |
| A | a | mm. 121-128 | |
| | a1 | mm. 129-136 | |
| | a2 | mm. 137-144 | |
| | a3 | mm. 145-152 | |
| Transition | | mm. 153-164 | |
| C | c | mm. 165-172 | The second Intermezzo |
| | c1 | mm. 173-180 | |
| | c2 | mm. 181-188 | |
| | c3 | mm. 189-196 | |
| | c | mm. 197-204 | |
| Transition | | mm. 205-212 | |
| A | a1 | mm. 213-220 | |
| | a | mm. 221-228 | |
| | a3 | mm. 229-236 | |
| Coda | | mm. 237-249 | |

Table 4.67 : The form analysis of the third piece in the *Nachtstücke*.

This piece is marked with a typical Florestanian indication ‘Mit großer Lebhaftigkeit’ and it begins in an energetic and active way. Thinking of Schumann’s time in Vienna, it is no wonder that we can find some similar passages between this piece and the first piece, Allegro, of the *Faschingsschwank aus Wien*. This piece may be described as a ‘nocturnal *Faschingsschwank*’ and there are unmistakable similarities between these two pieces written in Vienna. For example the texture of some passages are similar.



Figure 4.85 : The a1 section. mm.9-16 no.3 Nachtstücke.



Figure 4.86 : mm.9-16 no.1 *Faschingsschwank aus Wien*.

But the passion and harmonic support are less powerful in the *Nachtstücke*. The envisaged title says *Nocturnal Revel*, but it is a revel of an eclipse. The A section is

full of the impulsive outbursts of energy. Then in the B section the real yearning feelings (for the dead person) begin with the endless sequences of eighth notes. The B section may be described as a prelude or nocturne in Romantic style. This piece has two 'intermezzos (B and C)', which interrupt the main theme A. Both B and C sections have certain rhythmic motifs, which are fragmented from the main theme. (Figure 4.87)



Figure 4.87 : mm.1-8 The main theme a no.3.

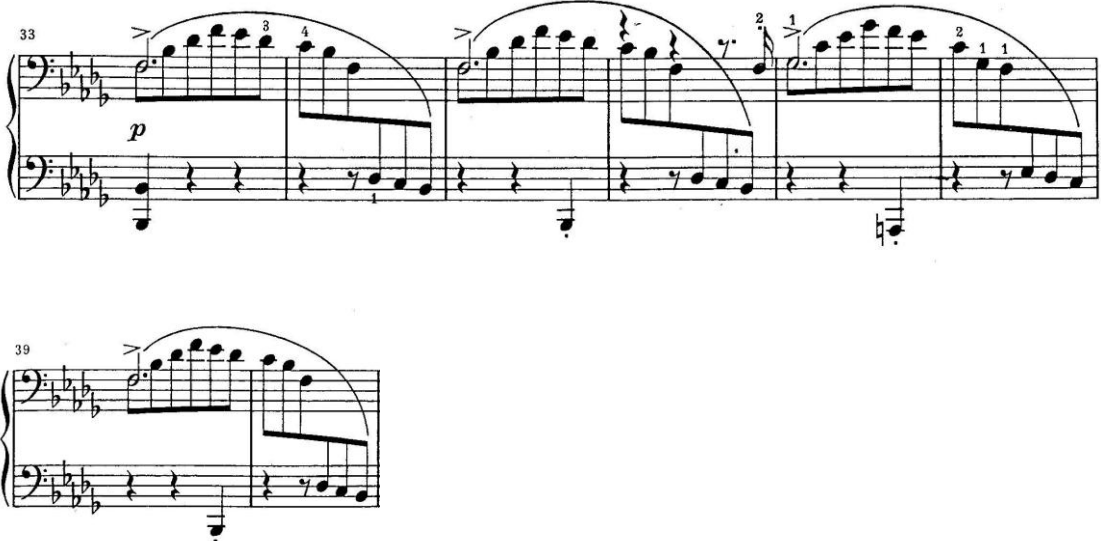


Figure 4.88 : mm.33-40 The rhythmic motif of B section no.3.

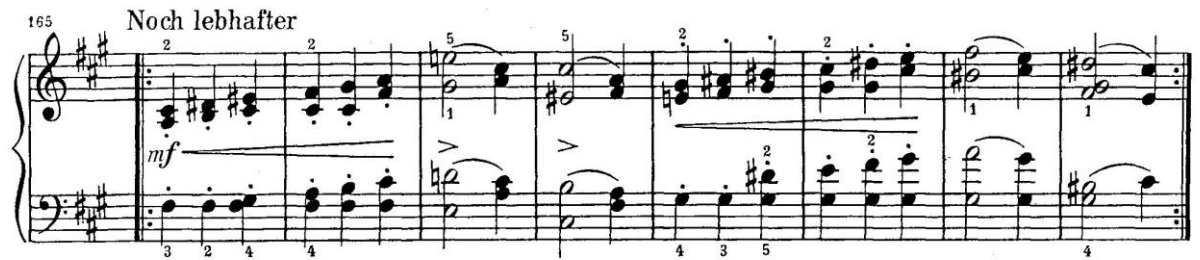


Figure 4.89 : mm.165-172 The rhythmic motif of C section no.3.

For the ‘intermezzo’ sections of this piece some scholars say still that there are ghoulish passages and ghostly hunting songs. However the first one is the most painful inner soliloquy as arpeggiated repeating passages, and the second one is in a more agitated and anxious mood. The impression differs from person to person. The important thing is to know if the musical character is revealed through the music. The second intermezzo – C section has lots of dissonances which suggest instability and disturbance. In the C section there is again a canon which is a favorite compositional technique of Schumann. (Figure 4.90)



Figure 4.90 : mm.189-196 Canonic passage no.3.

The fourth piece *Rundgesang mit Solostimmen* has Da capo form with one measure dominant seventh arpeggio chord. The brief structure is this:

| | | |
|--------------|-----------|----------------|
| Introduction | mm. 1 | |
| A | mm. 2-9 | |
| A´ | mm. 10-13 | Transition |
| A | mm. 14-21 | |
| B | mm. 22-32 | |
| A´´ | mm. 33-40 | Chorale theme* |
| Coda | mm. 41-44 | |

Table 4.68 : The form analysis of the fourth piece in the *Nachtstücke*.

The main theme A (Figure 4.91) is chorale-like tune which could be understood as a consolation for a funeral or for Schumann himself. The arpeggiated rhythm in *p* recalls a lute or harp instrumentation.

The musical score for Figure 4.91 consists of three systems of music. The first system is marked 'Ad libitum' and 'Einfach M.M. ♩ = 96'. It begins with a treble clef staff containing a melodic line with a fermata over the first measure, followed by a bass clef staff with an arpeggiated accompaniment. The second system continues the melodic and accompanimental lines, with some fingering numbers (2, 4) visible. The third system concludes the theme, showing the final measures of the melody and accompaniment.

Figure 4.91 : mm.1-9 The main theme no.4.

The *Rundgesang mit Solostimmen* has still the march rhythm of the *Funeral Procession* but the melody has been changed to a harmonic and tuneful one. The dotted rhythm has been displaced on the downbeat. Actually this piece is the most Schumanian and consoling piece in the cycle. The musical character belongs to Eusebius with its soft and cordial consolation. Again related to literary sources, in the novel *The Major*, there is consoling fortepiano playing for the baroness by the narrator Peter. In *Sanctus* there is consoling harp music for the grieving people. This piece is an exact mixture of those instruments: it is played by the piano but reflects a harp sound with its arpeggio. The conclusive ending is also very

impressive. The harmonic structure is simple and very clear in F major. All the aspects are contrasting to the former pieces of the cycle. In this piece Schumann's musical plan for a funeral scene is understood best. The entire plan for the cycle becomes clear.

5. SUMMARY: FLORESTAN AND EUSEBIUS IN MUSIC

5.1 Florestan and Eusebius and Schumann's Musical Style

The definitive portrait of Florestan and Eusebius is best shown in *Davidsbündlertänze*. Thus the proposals will be substantiated through *Davidsbündlertänze* because the best evidence and clues are there. As implied, these characters make periodical appearances although they were molded into the music as Schumann's character. As a periodical research *Carnaval* is included because it was composed at the same time and Florestan and Eusebius also appear in *Carnaval*. The *Fantasiestücke*, *Nachtstücke*, and *Kreisleriana* were composed afterwards, but the influence of these characters can be observed. We can observe some similar characteristics in *Papillons* even though it was composed earlier. The *Waldszenen* was composed more than ten years later, so the influence is obvious. The *Kinderszenen* is excluded because it describes not adults but the world of children, although it is viewed from the eyes of Florestan and Eusebius. But in this piece the two adult characters almost forget their contrasting egos.

As asserted before, some pieces reveal the Florestan and Eusebius characters although Schumann has not additionally mentioned them. Indeed there are certain evidential factors which are related to these characters in his music. Sometimes these styles are shown in one piece together, or the individual character itself is revealed in an individual piece. Interestingly this musical style is revealed well in the early keyboard music. Although we can see this style partially in other musical genres of Schumann, it cannot be asserted that it is a general factor in his oeuvre. This musical style can be shown only in particular periods and works. This opinion has a most critical point that the style of Florestan and Eusebius includes the basic contrasting style of the music. However it can be at the same time a distinguishing factor from other composers' styles.

The basic style of Florestan and Eusebius is contrasting as fast/slow and strong/weak. With the addition of this the increasing/decreasing tempi and dynamics are also essential factors in the music. Then what makes the contrasting style of Schumann

so distinguishable? The distinction comes from the pure musical character of Schumann. For instance the enthusiastic and impatient character of Florestan is well revealed as a musical character. In this respect this character description is related to musical symbol. Donald F. Tovey said about Schumann, “Few artists have so directly enlisted an almost personal affection for their work from the listener...” (Tovey 2001; 285)

Some typical factors from the music are brought together especially through the analysis in the selected pieces. Here is a list of the supposed transformations of Florestan and Eusebius in the range of selected pieces in this research. *Papillons*, *Fantasiestücke*, *Kreisleriana*, and *Nachtstücke* were selected because they were most suitable for comparison of the Florestan and Eusebius character. *Kinderszenen* and *Waldszenen* are obscure to clarify the characters. *Carnaval* and *Davidsbündlertänze* themselves contain the characters in the collections.

*Op.2 *Papillons*

Introduzione-Moderato

1. (No indication) E.
2. Prestissimo F. & E.
3. (No indication) F.
4. Presto F.
5. (No indication) E.
6. (No indication) F.
7. Semplice E.
8. (No indication) F.
9. Prestissimo F.
10. Vivo E. & F.
11. (No indication) F. & E.
12. Finale F. & E.

*Op.12 *Fantasiestücke*

1. *Des Abends* - Sehr innig zu spielen (Play very intimately) E. / [E.]⁷⁹
2. *Aufschwung* - Sehr rasch (Very rapidly) F. / [F.]
3. *Warum?* - Langsam und zart (Slowly and tenderly) E. / [E.]
4. *Grillen* - Mit Humor (With humor) F. / [F. & E.]
5. *In der Nacht* - Mit Leidenschaft (With passion) F. / [F.]
6. *Fabel* - Langsam-Schnell (Slowly) F. & E. / [E. & F.]
7. *Traumes Wirren* - Äusserst lebhaft (Extremely vividly) F. / [F. & E.]
8. *Ende vom Lied* – Mit gutem Humor (With good humor) F. & E. / [E. & F.]

*Op.16 *Kreisleriana*

1. Äusserst bewegt (Extremely agitated) F. & E.
2. Sehr innig und nicht zu rasch (Very heartfelt and not too rapidly) E. & F.⁸⁰
3. Sehr aufgereggt (Very excitedly) F.
4. Sehr langsam (Very slowly) E.
5. Sehr lebhaft (Very lively) F.
6. Sehr langsam (Very slowly) E.
7. Sehr rasch (Very rapidly) F. & E.
8. Schnell und spielend (Fast and playfully) F.

⁷⁹The second mark in the square bracket is from W. Gurlitt. It is added to compare our assumptions. At the same time it shows that there was also another one who also thinks that the other works of Schumann could have the character of Florestan and Schumann. The researcher's opinion is slightly different from Gurlitt concerning the main role of the pieces, but the assumption of the basic character is the same.

⁸⁰ Although as asserted that Eusebius character for this piece in the analysis part, Florestan is also included according to the Intermezzo part.

*Op.23 *Nachtstücke*

1. Mehr langsam, oft zurückhaltend (More slowly, often reluctantly) F.
2. Markiert und lebhaft (Marked and vividly) F.
3. Mit grosser Lebhaftigkeit (With very vivid motion) F.
4. Ad libitum-Einfach (Simply) E.

The list of the supposed transformations of Florestan and Eusebius

5.2 Related Rhythms and Meter

It is clear that Schumann used always a certain rhythmic motif which reoccurs throughout the work and gives cohesiveness to the work. The rhythmic complications have been discussed for the characteristics of Schumann's personal style by many scholars such as August Reissmann, Christian Knayer and Harald Krebs.⁸¹ There are many particular rhythmic figures such as dotted rhythms in triple meter, and unusual accents on the weak beat, which could be described as being typical of Schumann. However in this research there are only a few certain rhythmical motifs which are related to the characters. Generally they are related to the contrasting aspects. There are two primary characteristics here.

The first characteristic is polyrhythmic motifs and monorhythmic motifs in a piece. Absolutely there are only one or two rhythmic motifs which recur throughout the Eusebian pieces. In the Florestanian pieces generally various rhythmic motifs are used. Because of this the texture of Eusebius seems more loose and simple. For example the No.2 Innig and No. 5 Einfach of *Davidbünlertänze* Book 1 show us the monothematic and monorhythmic motifs. Furthermore the Eusebius and Florestan of *Carnaval* show very contrasting use of rhythmic motifs. In the Eusebius piece, No.5, one sees the monologue of the septuplets. In the Florestan pieces there are some different rhythmic motifs and three variations of the main rhythmic motif. In

⁸¹ August Reissman (1865), *Schumann*. Christian Knayer (1912), *Robert Schumann als Meister der rhythmischen Verschiebungen: Eine Anregung für das Studium seiner Klavierwerke*. Harald Krebs, (1997) *Robert Schumann's Metrical Revisions*.

addition to this, the rhythms and texture are more changeable in Florestanian pieces. According to the impatient character of Florestan there are sudden sforzandi, accents, and frequent crescendi and decrescendi which create unstable rhythmic figures. There is also a typical rhythmic use of Schumann, which binds every third beat and the next strong beat in triple meter. This results in syncopations throughout the piece and shifts the metrical movement. These kinds of complex rhythms are definitely found more in Florestan's pieces than in Eusebius's pieces.

The second characteristic is the use of nonharmonic tones. For Florestan there are various passing tones and frequent use of suspensions; for Eusebius suspensions were also used frequently, but less than for Florestan. These suspensions are presented either tied or slurred.

According to the meter analysis it could be said as a conclusion that triple meters are used for Florestan, and duple meters are used for Eusebius although there are exceptions. Generally waltz rhythms are used for Florestan. Sometimes they remind me of the scherzos of Beethoven because of their staccato rhythms in triple meter and their vivid movement.

5.3 Related Tempo and Dynamics

Schumann did not always give classical tempo indications such as presto but marked German expression words extensively for the pieces. Sometimes these expression words describe the approximate tempo as well as the proper mood. Schumann marked his words to the pieces very accurately. This method or tendency is seldom seen in his contemporary composers. A similar kind of approach can be seen by Schönberg later.

Schumann used the Italian tempi terminology in earlier pieces such as Op.1 *Abegg Variations*; *Papillons*, and *Intermezzi*. Beginning from the *Davidsbündlertänze* he began to use the German expressive words which are associated to Florestan and Eusebius. For this reason this work is taken as a foundation, and then compared with other pieces which could be influenced by the same characters.

Roland Barthes suggested that the tempo indications of Schumann are not related to the metronome tempi but to physical motion.⁸² We cannot surmise the exact metronome number from his indication words. Sometimes he gave the exact metronome indication together with the expression words, but it differs from piece to piece. Barthes's idea is very significant in studying the tempi of Schumann. Barthes discusses especially for *Kreisleriana* that the words of Schumann describe the physical actions of a supposed person (probably Kreisler). In this research the physical movements are divided as Florestan and Eusebius. Actually it is the same idea, because Florestan and Eusebius are the double characters of Schumann himself.

Generally the character of Florestan shows an impatient and enthusiastic style. The fast tempi are typical of him. The tempo indications such as *accelerando*, *stretto*, and *allargando* are used also for him. He has often *f* or *ff* because his impatience grows to a tubulant enthusiasm. He is excited generally and is often in quick motion. The music describes him through quick harmony changes, loudness, *crescendi* and *decrescendi*, and quick tempi, etc. Eusebius has a contrasting character to Florestan. He is calm, soft, patient, and lyrical. His character is expressed in the music in *p* or *pp*, slow tempi, delicate articulation, and sensitive passages. Eusebian music has generally a simple and loose texture, too. His musical tempi are more stable. They do not change frequently and agitatedly like those of Florestan.

The expression words of Schumann are divided into two types according to the *Davidsbündlertänze*. *Lebhaft*, *Mit Humor*, *Ungeduldig*, *Sehr rasch*, *Frisch*, *Balladenmässig*, *Wild und lustig* are used for Florestan. *Innig*, *Einfach*, *Nicht schnell*, *Wie aus der Ferne* are used for Eusebius. *Mit gutem Humor* is used for both.⁸³ In addition to this, in *Carnaval*, *Passionato* is for Florestan and *Adagio* is used for Eusebius. Among them *Lebhaft*, *Schnell*, and *Rasch* are typical words for Florestan; *Innig*, *Sehr langsam*, and *Einfach* are typical words for Eusebius. A table of Schumann's words is made according to not only the selected pieces of this research but also all the published piano solo works of the Henle edition. (Table 5.1)

⁸² R. Barthes asserted that all the words of Schumann express the vitality and rapidness of human motion. The tempi depend on how rapid the motion is. Barthes (1982) '*Rasch*'

⁸³ *Mit gutem Humor* is used for the last piece, *Ende vom Lied* of *Waldszenen*, which could contain again both characters.

| | Florestan | Eusebius |
|--|---|--|
| Directly related words from Davids-bündlertänze and Carnaval | Lebhaft mit Humor Ungeduldig sehr rasch Frisch Balladenmässig wild und lustig Paasionato | Innig Einfach nicht schnell wie aus der Ferne Adagio |

| | Florestan |
|--------------------------------------|--|
| Related words from other piano music | Äußerst bewegt, Etwas bewegt, Lebhaft, Äußerst lebhaft, noch lebhaft, nach und nach lebhafter, markiert und lebhaft, mit großer Lebhaftigkeit, Sehr lebhaft, Höchst lebhaft, sehr lebhaft, mit vielem Humor, mit Lebhaftigkeit Mäßig, sehr mäßig, Ballmäßig markiert und kräftig, sehr markiert, Kräftig und sehr markiert rasch, kräftig, sehr rasch, Äußerst rasch und mit Bravour, rasch und wild Äußerst rasch, sehr rasch, mit leidenschaftlichem Vortrag, So rasch wie möglich, sehr rasch und markiert Schnell Schnell und spielend So schnell als möglich mit Leidenschaft Feurigst Energisch sehr aufgeregt Frish, sehr munter |

| | Eusebius |
|--------------------------------------|--|
| Related words from other piano music | Einfach, Einfach und gesangvoll leicht, etwas graziös Innig, Sehr innig zu spielen, Sehr innig und nicht zu rasch, nicht schnell, mit Innigkeit Langsam, Langsam und zart, etwas langsamer, mehr langsam - oft zurückhaltend, ziemlich langsam, Langsam, sehr zart, Sehr langsam, ziemlich langsam - sehr gesangvoll Mit zartem Vortrag, durchaus zart |

Table 5.1 : The tables of Schumann’s words for Florestan and Eusebius.⁸⁴

First it must be mentioned that it is concentrated more on German expression words. As mentioned previously, the earlier works before *Davidsbündlertänze* such as Op. 1-4 are marked with traditional Italian terminology. In addition to this Op. 11, 13, 14, and 15 are also marked with Italian words. The Op. 15 *Kinderszenen* and Op.68 *Album für die Jugend* are not included because they are intended for children. In other words they are definitely not connected to Florestan and Eusebius. In addition, the *Kinderszenen* has no expression words. The Italian terms were not difficult to define in terms of the characteristic words for Florestan and Eusebius, because most of them are changed to alternative German words in later works. Here is a table to compare the alternative words. (Table 5.2) In the old Breitkopf edition the German terms are already translated in Italian.

⁸⁴ The words from *Ausgewählte Klavierwerke in vier Bänden* of Henle Verlag are collected and examined. They include Op.1 *Abegg-variationen*, Op.2 *Papillons*, Op.4 *Intermezzi*, Op.6 *Davidsbündlertänze*, Op.7 *Toccata*, Op.9 *Carnaval*, Op.11 *Sonate in fis moll*, Op.12 *Fantasiestücke*, Op.14 *Concert sans Orchestre*, Op.15 *Kinderszenen*, Op.16 *Kreisleriana*, Op.17 *Fantasie*, Op.18 *Arabeske*, Op.19 *Blumenstücke*, Op.21 *Novelletten*, Op.22 *Sonate in g moll*, Op.23 *Nachtstücke*, Op. 26 *Faschingsschwank aus Wien*, Op. 28 *Drei Romanzen*., Op. 82 *Waldszenen*, Op. 99 *Bunte Blätter*, Op.111 *Drei Fantasiestücke*, Op. 124 *Albumblätter*

| Italian Musical Terms | German Musical Terms |
|------------------------------|---|
| Allegro quasi maestoso | schnell (wie festlich) |
| Allegro molto | noch lebhaft |
| Allegro marcato | markiert und lebhaft |
| Allegro semplice | lebhaft einfach |
| Allegro moderato | lebhaft |
| Allegro brillante | schnell und spielend |
| non allegro | nicht schnell |
| Allegro | schnell, lebhaft |
| quasi maestoso | Festlich |
| Unpoco maestoso | (noch) festlich |
| Presto | Rasch |
| presto a cappiccio | sehr lebhaft mit vielem Humor |
| Prestissimo | Höchst lebhaft |
| Vivace | lebhaft/schnell |
| molto vivace | noch lebhafter |
| Vivo | Lebhaft |
| assai vivo | sehr lebhaft |
| un poco piu vivo | nach und nach lebhafter |
| Semplice | Einfach |
| Passionato | mit Leidenschaft |
| Agitato | sehr aufgeregt |
| Animato | Lebhaft |
| con affetto | mit Leidenschaft |
| Comodo | sehr munter, mässig, mit Humor |
| Adagio | sehr langsam |
| Andante | Langsam |
| Marcato il canto | markiert, sehr gesangvoll |
| presto possibile | so schnell als möglich/so rasch wie möglich |
| con espressione | mit Innigkeit |

Table 5.2 : The comparison between Italian and German terms.

From *Papillons* and *Carnaval* we can recognize that the general Italian tempo indications, instead of German terms, were used to apply to the Florestan and Eusebius characters. For example in *Papillons* Schumann marked “semplice” for the seventh piece. There is also Einfach, with the same meaning of semplice, for the fifth piece of *Davidsbündlertänze*. They both have Eusebius’ character.

5.4 Related Harmonic and Melodic Progressions

At first it was difficult to find particular melodic or harmonic progressions related to the two characters. All the numerous examples cannot be categorized because it was impossible to analyse all of Schumann’s keyboard music. The *Davidsbündlertänze* which was used as a basic source was mainly concentrated on, and the other possible connections with Davidsbündler members in the selected pieces of the research, with the exception of *Papillons* and *Kinderszenen*. There are particular melodic figures such as ascending and descending fifths, frequent changes of harmony even within one measure and the use of major/minor second intervals as a melodic motif. Among them some basic styles related to Florestan and Eusebius were found.



Figure 5.1 : The musical example of Florestan (octave progressions)

mm.32-39, Book I no.6 of *Davidsbündlertänze*.

First, with the exception of the very last pieces of every suite⁸⁵, the final harmonic progressions of the individual pieces were interesting. Two examples of endings for Florestan were found. One is a long pedal point of dissonances on the dominant and tonic, the other is the same dominant and tonic progression in sequential passages. There are many other similar examples: mm.1-36 of no.3, mm.1-23 of no.4, no.8 from Book I of *Davidsbündlertänze* and no.1, no.4, no.6 from Book II of *Davidsbündlertänze*.

For Eusebius, dominant seventh and tonic progressions were the most frequent. In addition to this Eusebius has mostly legato-phrased melodies. The melodies are like a solo voice with arpeggio-played piano accompaniment. There are other examples: no.7 from Book I and mm.9-56 of no.6 from Book II.



Figure 5.2 : The musical example of Eusebius

mm.1-8, Book II no.5 of *Davidsbündlertänze*.

Second, Florestan has more disjunct motions than Eusebius; Eusebius has mainly conjunct motions. For Florestan there is a certain ascending, descending fifth and octave in melodic progressions among the various intervals.

⁸⁵ I have excluded the last pieces of every suite, because they end always with long harmonic pedal points whether for brilliant Florestan or serene Eusebius. I have also excluded obscure characteristic pieces such as those with a mixture of Florestan and Eusebius.



Figure 5.3 : Florestan’s ascending and descending fifth progressions

mm.1-8, Book II no.4 of *Davidsbündlertänze*.

Especially for Eusebius, Schumann frequently used minor second intervallic melodies. The typical example of stepwise motion of Eusebius is here. (Figure 5.3) There are other minor second intervallic melodies, for example: the soprano melody of no.2, Heft I and the slurred melody of no.9, Heft II.

Third, there are more harmonic changes within a measure for Eusebius, such as those in Baroque pieces. There are more sudden modulations and texture changes for Florestan.

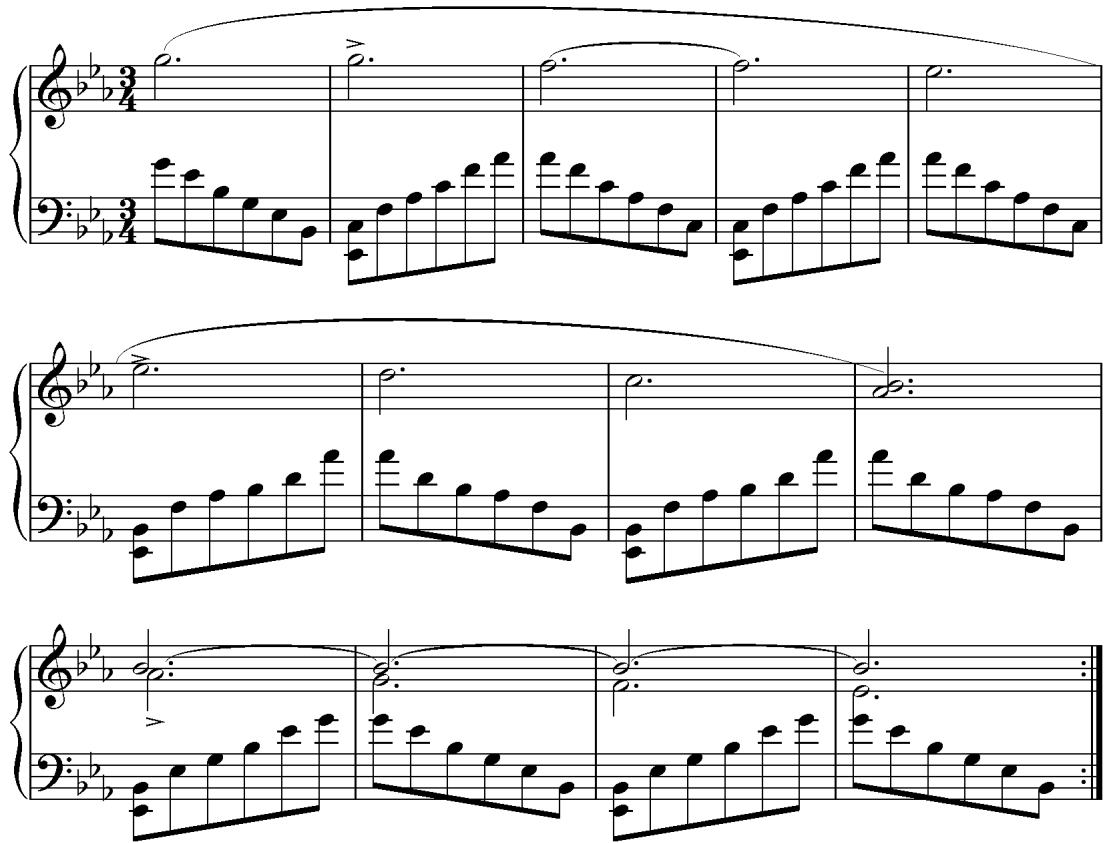


Figure 5.4 : Eusebius' melodies in conjunct motion

mm.12-24, Book II no.6 of *Davidsbündlertänze*

5.5 Literary related characters and images

The names Florestan and Eusebius appeared for last time in 1848⁸⁶ in the review of Schumann's own work *Concerto without Orchestra* in *NZfM*. (Schumann 1965; 197-198)

In addition there is one clear point related to Florestan and Eusebius arising from my research. It is that they are not related to specific titles or images. Even they are better revealed in the untitled music than the pieces which have detailed titles. The *Kinderszenen* and *Waldszenen* are excluded for this research because the period and concepts were different. However now it can be an interesting question if Schumann organized them not only with the titles but also with the descriptive expression and tempi words.

⁸⁶ Gurlitt mentions in his essay *Robert Schumann und die Romantik in der Musik* that the name Eusebius appears for last time in 1839, Florestan in 1842 without showing the sources. (Gurlitt 1981; 80)

The name Florestan and Eusebius appeared mostly in the *NZfM* by Schumann with the exception of the scores. For the music critic, generally Florestan has the main and more active role than Eusebius. Sometimes they argue for the music's critical point or they sympathize with each other. Schumann writes very clearly about the birth and presence of Florestan and Eusebius. Schumann said:

It had occurred to the founder that in order to express divergent views about art it might be appropriate to invent contrasting characters as their spokesmen. The principal protagonists were Florestan and Eusebius, with Master Raro functioning as an intermediary. (Schumann 1965; 15)

Through the critical journals of Schumann himself we understand how they react to the music, although they are fictitious characters.

From the essay about Chopin's variation *Là ci darem la mano*, Op.2, the narrator Julius⁸⁷ describes Eusebius: "He, as you know, is one of those rare musical persons who seem to anticipate everything that is new, of the future and extraordinary... Eusebius soon took his leave, quietly as always". (Schumann 1965; 15-16) Here we can suppose that Schumann writes as if he has known Eusebius for a long time. Like in many other descriptions, Eusebius seems have a stable character.

Florestan and Eusebius argue about the *Etudes*, Op.125 of J. N. Hummel. Florestan criticizes Eusebius' opinion with such words, "...I shall not go into the misguidedness of some of your [Eusebius] enthusiasms. Let's concentrate on the work itself". (Schumann 1965; 24) Later the critic becomes a little bit harsh, "Believe me, Eusebius, if theory - to use your own metaphor - is the accurate but at the same time lifeless mirror which dumbly reflects the truth but which, without the animate object, remains inanimate,...". (Schumann 1965; 25-26) In the end the other creature of Schumann, Meister Raro, criticizes both of them. Not only this but also many of their other dialogues about critics, such as those about Beethoven's Ninth Symphony, show us that Schumann had two struggling minds within himself and that generally Florestan was more aggressive than the quiet Eusebius.

⁸⁷ Julius is a member of Davidsbündler, in this article he is created by Schumann himself presenting three characters.

6. CONCLUSION

6.1 Florestan and Eusebius as musical symbols

Paul Henry Lang explained that “A musical symbol is the result of a correlation between an idea expressed in the text or the title of a work and the technique of composition.” (Lang 1997; 233) Lang’s opinion is definitely excellent because a symbol can only be identified through the musical texture in music. Music has no verbal language itself although it is explained by language.

There have been many symbols expressed from the beginning throughout music history. Particular ideas are indirectly presented as musical language which varies between composers. Symbols have been understood since ancient times in association with accepted rules, which have remained strong among many related musicological subjects, both for composers and performers. Generally the symbols include objects, abstract feelings, and various factors of the semiotic genre.

The interesting point is that not only are Florestan and Eusebius human figures but also they are characteristic aspects of the composer himself. They are best revealed using the whole musical texture rather than by individual musical factors such as melody, harmony, rhythm, and timbre, etc. These characters became musical symbols in Schumann’s music during a certain period, namely 1834-1848 approximately. This thesis shows that these characters are identified as musical symbols of Schumann.

Lang points out the relationship between music and symbolism basically, “...the music does not become senseless when we miss the symbols”. (Lang 1997; 233) For example, listeners will understand the spirit and the beauty of Schumann’s music, although they do not have exact background information and description about Schumann’s connection to literary ideas. Some music of Schumann could be understood differently, if it did not have any title. This is true not only for Schumann but also for all program music composers. Some composers give titles to their music almost randomly.

It is true that only a few people know the hidden literature behind Schumann's music. Maybe piano-major students know about this and pianists know the particular relationship if we limit it to the keyboard music of Schumann. It must be recommended to read Jean Paul and Hoffmann for the enjoyable understanding of Schumann's literary world. Subsequently, awareness of the symbols and the use of metaphor in the music may lead to different interpretations and authenticity.

Linda Correll Roesner discussed in her Schumann study⁸⁸ that the C major *Fantasie* Op.17 might mean the C of Clara's name. Similarly Ostwald mentions also these interesting key relationships in *Davidsbündlertänze*, Op.6. He asserts that both sections of *Davidbündlertänze* resolve to the key of C, for Clara. (Ostwald 1997; 131) If we consider these symbolizations seriously, then we can notice also that the *Chiarina* of the *Carnaval* ends also with the key of C. It is true that Schumann had a passionate but troubled relationship with Clara during this time. We cannot negate the fact that Schumann always had Clara in his mind in this period, although most of the pieces are dedicated to other people. In addition to this, if we consider the previous typical word playing or symbolization of Schumann, Clara is symbolized in all of his music. This kind of symbolization can be understood through musicological study and analysis, although we have no written evidence for it.

There is a term 'Numerology' in symbolism which means that a particular repetition of a motif or tone can be also symbolized by the composer. For instance the six repetitions of the A tone in *Papillons* are apparently just musical phenomena without meaning. However if someone knows that they are the bell sounds of the tower clock which strikes six, the symbolization of Schumann is understood. Furthermore, if we know where the piece *Papillons* comes from, we will not be doubtful about *Papillons'* presence in carnival collections. Generally *Papillons* (the Butterflies) has no relation to a carnival. *Papillons* in *Carnaval* becomes significant because *Papillons* describes the masked-ball from Jean Paul's *Flegeljahre*.

Schumann had some typical images which he has used often. They are storm (Sturm), forest (Wald), dream (Traum), spring (Frühling), morning (Morgen), and

⁸⁸ Roesner, Linda Correl (1973) *Studies in Schumann Manuscripts with Particular Reference to Sources Transmitting Instrumental Works in the Large Forms*.

hunting (Jagd). These words and images appeared mostly in his songs as a title or in the texts. They are very poetic words which are the soul of Romanticism. If the poetry best corresponds with the songs, then Schumann's enthusiasm for poetry is best symbolically revealed in his piano music. Calvin Brown finds "Literature's nearest and most convincing analogy with music to be in the symbolism in the poetry".⁸⁹ Here the characters of Florestan and Eusebius are not only related to literary ideas but also symbolized as Schumann's general musical character, which could be appreciated by the common public. Williams S. Newman asserted that "Music was ordinarily associated with literary, visual, or kinetic imagery, especially literary (or at least verbal) imagery..." (Newman; 297) This research also began from this point. Schumann's music must be understood with the correlation of literature, especially poetry.

Schumann says, "Florestan und Eusebius ist meine Doppelnatur, die ich wie Raro gern zum Mann verschmelzen möchte"⁹⁰(Stock 1907; 58) (Florestan and Eusebius are my double nature which I would like to melt with Raro, with pleasure.) Schumann talked many times about the characters of these figures through his critical writings in *NZfM*. It is very interesting and curious that Schumann described these figures in three dimensions.⁹¹ For example Schumann describes them from inside the characters, autobiographically; from the other character's eyes; and finally, objectively, from the outside by the narrator. We do not know if Schumann was aware of the symbolic usage of these figures in his music. We can only estimate his attitude from his symbolic use in other pieces and the trends in the Romantic period. Schumann already used letters as musical symbols in his works. Furthermore in his lifetime there were many other musical patterns such as the 'idée fixe' of Berlioz, and the Leitmotiv of Wagner, which are associated to extra-musical images.

Schumann set both contrasting characters as musical concepts. Thus the music which show these characters becomes characteristic and Florestan and Eusebius themselves become symbols. The short forms were most suitable to present the

⁸⁹ Brown(1948) chapter 15

⁹⁰ Letter to Heinrich Dorn on 14.Sep.1836

⁹¹ While studying about Schumann's pseudonym's characters, it was doubtful about whether or not Schumann suffered the mental disease 'split personality'. Naturally psychology is neither author's concern nor the topic in this research. However Schumann's intensive use of these pseudonyms was very noticeable.

fragmentary sides of the human characters. Schumann's use of these characters seems noteworthy in his early period and in his piano music although we can find many other similar examples from his oeuvre. Florestan and Eusebius are related to Schumann's interest in literature. The figures do not come directly from literary sources, but they are created by Schumann through the influence of Jean Paul and Hoffmann.

Finally this literary approach was necessary to understand the symbolic images in Schumann's works and there are characteristic symbolic uses of the Florestan and Eusebius figures in his piano music.

6.2 Performance and Presentation

There is an edition of Schumann's work, now out of print, which contains Clara Schumann's introductory notes to all the keyboard works.⁹² Notes about tempi and other topics are especially valuable for interpretation. There is a German word 'Etwas hahnbüchen'⁹³ for the third piece of *Davidsbündlertänze*, for which it is hard to find the meaning. It means awesome or terrible. It was fortunate that this information come from my German teacher Prof. Klaus Schilde, who was a pupil of Wilhelm Kempff. Additionally, Kempff's recordings of Schumann's piano works are performed from Clara Schumann's edition. Schumann generally marked tempo indications precisely; however for particular pieces superior pianists, including my teacher, take Clara's tempo indications nowadays, because the tempi of Schumann are set too fast. For example, Schumann marked 138 for a dotted quarter note of No.2 (Innig) of *Davidsbündlertänze*; Clara marked 96. Similarly for the No.5 (Einfach) of the same work Schumann marked 116; Clara marked 96. Even for the fast piece No.6 (Sehr rasch) Schumann marked 132; Clara marked 120. The point of discussion is the tempi of the Eusebiusian slow pieces, because for the Florestanian 'rasch' pieces we have no problem with fast tempi. Even if the performer were to play faster tempi than Schumann's markings, it would be accepted gracefully with the rule of the 'Romantic metronome'.

⁹² Instructive erste Ausgabe. Edited by Clara Schumann. Leipzig: Breitkopf & Härtel

⁹³ The word comes from the German of the Middle Ages. Its original form is hanebüchen or hagebüchen. It is used to describe terrible or horrifying action. In his music Schumann seems to have used it to indicate rough musical motions.

It seems that Clara understood the ‘innig’ Eusebius pieces as having a more contrasting character to the fast tempi of Florestan. Schumann himself must have felt that the Eusebius pieces were equally as enthusiastic as those of Florestan. Pianist Claudio Arrau plays the ‘innig’ marked pieces very slowly. His tempi are slower than Clara’s. So to set the tempi of the *Davidsbündlertänze* it is essential to recognize the existence of Florestan and Eusebius.

Kempff said an important thing about interpretation, which is still a discussion point in music criticism today. “Every interpreter must be allowed to express his view of a work. I implore the students who come to me in Positano every summer not to imitate my style but to find their own ways.”⁹⁴ Furthermore Kempff was very conscious of the literary input in Schumann’s music, and the links with the novels of earlier Romantic writers such as Jean Paul and Hoffmann. He was aware of the characteristically Romantic closeness of the association between music and words. It is not the purpose of the research that program music is merely descriptive or depicting literary subjects. For authentic interpretation we must be aware of the historical information about the composition, and then find the real relationship between the music and the Romantic imagination of the composer.

It cannot be stressed enough the importance of poetry in Schumann’s music any more than Schumann himself did. He compares even Beethoven’s Ninth Symphony to poetry through Florestan’s words, “The work seems to incorporate all the branches of poetry. The first movement is epic, the second comic, the third lyric, and the last drama, a composite of all!” (Schumann 1965; 32) Besides this, Schumann mentioned so often the relationship between music and poetry or music and literature. This shows that as interpreters of his music, we must recognize the importance of literary relationships in the music. Furthermore after finishing my research it has been recognized that we need not only to know the literary sources but also the close connection between music and literature in his music.

In art, there are interesting wagon-wheel relationships between music, painting, and literature. The pictures of James Abbott McNeill Whistler have musically-inspired titles such as *Arrangements*, *Harmony*, *Nocturne*, and *Symphony*. The titles which

⁹⁴ From an interview with the pianist in 1975 by Karl Schumann, translated by Mary Whittall. Deutsch Grammophone CD booklet

describe musical worlds are similar to Schumann's title, 'Scenes'. This kind of approach was not strange or new any more in the Romantic period where painters describe their picture as a musical work or musicians title their music as a picture. It means that the purpose of the artists or musicians reflects even a total art while their titles show the other genre. Art and literature must be thought of together for their integral meaning and understanding.

There is undoubtedly a style of art which describes or explains something with a purpose. Even paintings have this kind of explanatory style. Klaus Albrecht Schroder says that the pictures of the Viennese Biedermeier narrate comic or sad or trivial or impressive stories. (Schröder 2007; 9) He asserts that these Biedermeier paintings can tell a daily story related to history. In music we can consider it in a similar way. Schumann's works are telling us some specific stories. The topics of Schumann are generally literary and especially poetic. As asserted in Chapter Three it is no wonder that Schumann's interests in literary subjects were revealed in his music, too.

In Schumann's works with titles, most of the titles are literary. One thing is realized about the categorization of the titles: if there are titles for the all separate pieces, then it seems more like poetry. If there is only one title for the work, then the separate parts of this piece become more like chapters of a novel, so that they are coherent. It is not asserted that the aforementioned titled separate pieces have no cohesiveness, but they can be presented as separate pieces. The other miniature pieces without titles will be more meaningful if they are presented as one.

The importance of authentic interpretation must be stressed once more, which will be more meaningful for the performer, too. Lang said in his book about Authenticity of the composers, "...We have been unable to recapture for them the celebrity and popularity they once enjoyed as the equals of their great contemporaries in literature, painting, and architecture."(Lang 1997; 175) To understand the real spirit of the composition, we must study all information about the composer, the composer's oeuvre and his musical philosophy. Perhaps we must even understand the customs of the composer's period. After this it will be possible to consider whether we can do authentic interpretation. For example, if the pianist is aware of the change to Bachian style in no.6, *Kreisleriana*, related to the novel *Kreisleriana* of Hoffmann, the performance will be more enthusiastic, with more intense tone color. The

subjectivity, such as enthusiasm, in Romanticism is a more essential factor in performance practice than in the Classical period.

In this respect a famous pianist's *Kreisleriana* recording could be mentioned which is a respectable example, as well as his other Schumann recordings. In his performance there is a burning enthusiasm which cannot be controlled by reason. We hear rough chords in the agitated mood with his emotional swirl, which is a real portrait of Kreisler-Florestan-Schumann. His accelerando playing is like a twister. His playing combines enthusiasm and reverie. As asserted in the *Kreisleriana* analysis, there are Bachian touches which must be interpreted not in a Bachian style but in a Schumannian passion. Thus such Bachian passages in Schumann do not mean that they must be performed in modest and precise way.

Here is one explanation of Newman, who discussed the symbols of musical notation:

Apparently unlike his contemporaries Haydn, Mozart, and Schubert, Beethoven experienced his music as he notated it. For example, when his notation leans forward and gradually compresses, he was probably feeling a crescendo and an accelerando, and when it straightens up and gradually expands, he was feeling a decrescendo and a return to the prevailing tempo. (Newman ; 299)

His opinion about the masters of the Classical period cannot be accepted generally. The masters have established their own musical styles, such as notation styles. Some great masters have their own musical style which could have been achieved through compositional techniques such as harmonic/melodic progressions, skills of expansion and all the articulation notes. However his example is helpful in approaching authentic interpretation. To know about particular compositional styles, techniques, and tendencies is very helpful in authentic performance, and at the same time this is also the subject of musicological studies. There is an anecdote about a Schumann performance by Liszt. Ostwald reports:

After hearing Liszt play the *Carnaval* Schumann was "deeply moved...it's so different from what I had imagined." But he was also disappointed... as he wrote, Liszt "failed to take into consideration that the musical moods change too quickly for an entire audience to follow." (Ostwald 1985;162)

Here is another example. Another pianist is famous for his extraordinary performance, especially his Beethoven sonatas and Liszt's works. His technical

virtuosity is as highly valued as that of Horowitz. However something was missing in his performance when I was heard him performing Schumann's *Waldszenen*. It was Schumannian passion. His phrasing in Beethoven's music is perfect. When he plays Liszt, his sober and solemn attitude comes out as a philosopher through his performance. As asserted in the thesis, Schumann's music however involves an impatient passion, especially in Florestanian passages, through the hurrying rhythm, turbulent harmony, and passionate melody. His playing was too serious and a little slow for Schumann.

These things are even stressed in the author's classes, if the students play Schumann. Of course not for all of Schumann's music, but for specific characters, this will be always suggested, "Now you must show Schumann's anxiety". It is an irony, too. Florestanian music is exactly the antonym of what we have learned from childhood-presentation in imperturbability and calmness. There have always been the inner struggles of composers throughout history. The difference is in the control of the mind. For example, the inner struggle in Beethoven's music is under control; contrastingly, the turbulence of Schumann's music is sometimes out of control, although it calms down.

Throughout this thesis the attempt has been made to research the miniature pieces which are related to literary ideas. There were known factors such as Schumann's piano works being related to Jean Paul Richter and E. T. A. Hoffmann. The related novels, essays, letters, and many other biographical documents have been studied. As a result the fact is found that many piano pieces are directly related to literary ideas and that the literary ideas are very important in understanding Schumann's music. Although many other existing analyses mention the relationship of Jean Paul and Hoffmann, they have not shown how they are related. As a second topic, the Florestan and Eusebius characters make Schumann's individual pieces characteristic. These characters in the musical texture are analyzed and it is asserted that they are important musical symbols of Schumann's piano pieces.

In conclusion it is necessary to know how the literary ideas are related to the individual miniature pieces of Schumann for authentic interpretation and performance. Also it is significant that the Florestan and Eusebius characters are well revealed in the miniature piano pieces as musical symbols.

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APPENDICES

Appendix A : Robert Schumann's Poem (1833)

Appendix B : Robert Schumann's Poem (1827)

Appendix C : Robert Schumann's Poem, *Sehnsucht*. (approximately 1825-1827)

Appendix D : Inhaltsverzeichnis - The contents of *Fantasiestücke in Callot's Manier*

Appendix E : The musical examples CD and soundtracks (2010)

Appendix F : Related Scores

Appendix G : Related Sound Recordings

Appendix H : List of Soundtracks

Appendix I : Glossary

Appendix A : Robert Schumann's poem (1833)

Short lyrics dedicated to Klara (Clara) by R. Schumann⁹⁵

Vienna 1833.

The following poems were written on four birds, which were adored with vignettes:
An eine gewisse Braut, die durchaus seinen Zwanziger zum Manne will.

At a certain bride who certainly wants for a husband,
the man in his twenties.

A bride over twenty, a groom over thirty
– from green it becomes brushwood. -

Laurels of the artist
Do not look bad:
The girl wants
Nicer than anything.

*

I have a good bride --
Anyone who looks into her eyes,
Can build on woman's fidelity.

*

Loyalty has never regrets.

*

Egmont's love was Klärchen –
O sweet name!

*

Klärchen Schumann,
An angel has conceived this name.

We are separated
As two stars on the firmament:
One follows the other one
At night and day.

*

⁹⁵ The poem is mainly translated by the Traduceri.Biz translation Office. www.consultia.ro Some sentences are polished by Mary Berkmen and Prof. Judith Uluğ.

As we love each other,
One should seek far and wide; -
She thinks I become sad,
When she is happy.

*

She lets me wait a lot,
Until she makes me truly happy:
Waiting for the long fidelity,
The myrtle double adorned.

*

But not too long --
It makes me anxious.
The heart is getting old
Man gets cold.
Florestan gets angry,
Snuggle to Eusebius!

*

Probably Florestan is jealous
But full of faith is Eusebius –
Whom would you prefer to give the wedding flow?
Who is most faithful to you and himself.

*

And you want to swing the shoe
You have to wrestle with two --
Who will fly
Who is subject?

*

Then we will generously introduce you to the throne;
stand on the left and right. --
And you want to respect the one;
Do you let the other know?

*

Often I did indulge you a picture in the interior
And I saw you were not happy.
With what you saw in the interior,
It threw some of your self back.

*

But if I do reveal to you everything --
You could see from dark formation

Thoughts, heavy and opaque --
Do not ask! Have faith and do love!

*

I want to hug you,
Lie at your heart:
Perhaps you then said:
Intimately what God conceived,
Is a good man

*

When you were a little girl,
I came often at your door at night
Dressed like a ghost –
You screamed and didn't want to know anything about me,
And even if I came as a ghost now to you,
You would recognize me, and would whisper to me:
„You dear, disguised groom,
do let me kiss you!“

*

„You evil man, do forget
The old times!“
„Why? Let them sometimes
The blessed ones pass away!“

*

To live together and to die
Were my last words –
It was like a good bye
From here to there –
You looked at me with faith,
Continuously –
To live together and to die
Oh blessed words.

*

Yes if you should die, I want to go away
Down with you in the dark ground,
And then you show me to the good one,
To the guilty feeling and to the departed.

Appendix B : Robert Schumann's poem (1827)

Schumann ended his speech about 'Über die innige Verwandschaft der Poesie und Tonkunst' (The intimate kinship between the poetry and tone-art) with this poem when he was seventeen years old and still in high school time.

Ja! wahrlich schön ist's, mit den Bänden der Camönen
Zu ketten das empfindungslose Wort,
Der Dichter trägt den Menschen zu dem höchsten Schönen,
Kühn schwingt er sich durch alle Zonen fort,
Den Himmlischen kann nur der Himmel krönen,
Den Göttern ist die Erde ja kein Ort:
Nichts hat die Welt, den Dichter zu belohnen,
Der Himmel gibt ihm seine schönsten Kronen

Doch schöner ist's, wenn das Geläut der Saite
Verherrlichend des Dichters Lied erhebt,
Wenn zart des Verses rhythmisches Gebäude
Des Taktes Zephyrwoge überschwebt.
Ton kämpft mit Ton, Wort ringt mit Wort im Streite,
Der Ton empfindet und die Sylbe lebt:
Bis endlich in der Harmonien zarten Massen
Sich beide Künste treu und liebevoll umfassen. (Dahms 1914; 23)

Yes! truly beautiful it is, to chain the insensitive word
With the volumes of the Camões
The poet takes one to the highest beauty,
Boldly swinging on through all zones,
The heavenly can be crowned only by the sky,
The earth is not a place for gods:
Nothing has the world to reward the poet,
The sky gives him his best Crowns

But more beautiful it is when the string' chimes
Glorify the poet's song rises,

When gently the rhythmic structure of the verse
Floats over the tact of the zephir' waves.

Sound struggling with tone, word fights against word,
The tone feels and the syllable lives:
Until finally, in the delicate harmonies of masses
Both arts loyal and loving embrace themselves.⁹⁶

⁹⁶ The poem is translated by the Traduceri.Biz translation Office. www.consultia.ro

Appendix C : Robert Schumann's poem, *Sehnsucht*. (approximately 1825-1827)

*Sehnsucht*⁹⁷

Sterne der blauen
Himmlichen Auen
Grüsst sie mir freudlich,
Die ich geliebt.
Weit in die Ferne
Möcht' ich so gerne,
Wo das geliebte
Mädchen mir weilt.
Schweigende Sterne
Grüsst mir die Ferne,
Grüsst mir das Mädchen,
Das ich geliebt!

Longing

You stars in the blue
Heaven's pastoral view
Bring friendly greeting,
To her whom I love.
Off in the distance,
Where I would go,
This loving maiden
Is waiting for me.
You stars that are silent
Greet in the distance,
And also the maiden,
The one whom I love.

⁹⁷ This poem is from a collection Schumann called *Allerley aus der Feder Roberts an der Mulde* (All Sorts of Things from the Pen of Robert on the Mulde). The Mulde River is where his sister Emilie is thought to have drowned herself. (Ostwald 1985; 25) This translation is made by P. Ostwald.

Appendix D : Inhaltsverzeichnis - The contents of *Fantasiestücke in Callot's Manier*

- Erster Teil
 - Vorrede (von Jean Paul)
 - I. Jaques Callot
 - II. Ritter Gluck
 - III. Kreisleriana
 - 1. Johannes Kreislers, des Kapellmeisters, musikalische Leiden
 - 2. Ombra adorata
 - 3. Gedanken über den hohen Wert der Musik
 - 4. Beethovens Instrumental-Musik
 - 5. Höchst zerstreute Gedanken
 - 6. Der vollkommene Maschinist
 - IV. Don Juan
 - V. Nachricht von den neuesten Schicksalen des Hundes Berganza
 - Erste Vigilie
 - Zweite Vigilie
 - Dritte Vigilie
 - Vierte Vigilie
 - Fünfte Vigilie
 - Sechste Vigilie
 - Siebente Vigilie
 - Achte Vigilie
 - Neunte Vigilie
 - Zehnte Vigilie
 - Elfte Vigilie

- Zwölfte Vigilie
- Zweiter Teil
 - I. Der Magnetiseur
 - II. Der goldene Topf
 - III. Die Abenteuer der Silvester-Nacht
 - Vorwort des Herausgebers
 - 1. Die Geliebte
 - 2. Die Gesellschaft im Keller
 - 3. Erscheinungen
 - 4. Die Geschichte vom verlorenen Spiegelbilde
 - IV. Kreisleriana
 - 1. Brief des Barons Wallborn an den Kapellmeister Kreisler
 - 2. Brief des Kapellmeisters Kreisler an den Baron Wallborn
 - 3. Kreislers musikalisch-poetischer Klub
 - 4. Nachricht von einem gebildeten jungen Mann
 - 5. Der Musikfeind
 - 6. Über einen Ausspruch Sacchinis und über den sogenannten Effekt in der Musik
 - 7. Johannes Kreislers Lehrbrief

Appendix E : The musical examples CD (see the Figure list for the soundtracks)

-Pianist: Hyun Sook TEKIN

-Recording Engineer/ Tonmeister: Senem PIRLER

-recorded on 13th January 2010, in MIAM Studio/Istanbul

Appendix F : Related Scores

- Bach, Johann Sebastian** Englische Suiten. Französische Suiten.
Inventionen und Sinfonien.
Italienisches Konzert, Französische Ouverture, Vier
Duette,
Goldberg-Variationen.
Sechs Partiten.
Herausgegeben von R. Steglich.
Henle Verlag, 1972-1973
- Mendelssohn Bartholdy, Felix** Klavierwerke Band II: Kinderstücke, Op.72
Herausgegeben von Christa Jost. Henle Verlag. HN 861
- Schubert, Franz** Sämtliche Tänze Band I & II
Herausgegeben von Paul Mies. Henle Verlag. HN 74 &
HN 76
Sechzehn Deutsche Tänze und zwei Ecossaissen, Op.33
D.78
Herausgegeben von Paul Mies. Henle verlag. 1984. HN
179
- Schumann, Robert** Ausgewählte Klavierwerke in vier Baenden.
Herausgegeben von Wolfgang Boetticher. Henle
Verlag. 1987
Sämtliche Klavier-Werke in sieben Bänden. Instructive
erste Ausgabe. Herausgegeben von Clara Schumann.
Neu durchgesehen von Wilhelm Kempff
Leipzig: Breitkopf & Härtel.
Klavierwerke. Neue Ausgabe von Emil Sauer.
Edition Peters.
Liederkreis, Op.24. Ed. Kazuko Ozawa Henle Verlag
Liederkreis, Op.39. (Fassungen 1842 und 1850)
Ed. Kazuko Ozawa Henle Verlag
Lieder und Gesänge für Solostimmen. Gesamtausgabe.
Ed. Kazuko Ozawa und Mattias Wendt. Verlag: Schott
Musik

Appendix G : Related Sound Recordings

Anda, Geza. Davidsbündlertanze, op.6. Ermitage ERM 168-2 ADD, 1965. Compact disc.

Argerich, Martha. Kinderszenen and Kreisleriana. Deutsche Grammophon 410 653-2 Compact disc.

Ashkenazy, Vladimir. Kreisleriana, op.16. Decca 425 940-2, 1992. Compact disc.

Biss, Jonathan. Papillons and Chamber Music. BBC Music vol.13 no.1. Compact disc.

Cherkassky, Shura. Carnaval, op.9. Decca 455 077-2, 1988. Compact disc.

Curzon, Clifford. Fantasie/ Kinderszenen. Decca 466 498-2. Compact disc.

Demus, Jörg. Symphonische Etüden, Nachtstücke, Blumenstücke, and etc. Nuova era 6770. 1989. Compact disc.

Demus, Jörg. Novelletten, Etüden für den Pedalflügel, Op.56. Nuova era 6800. 1989. Compact disc.

Engerer, Brigitte. Carnaval, Kinderszenen. Harmonia mundi. HMC 901600. Compact disc.

Huybregts, Pierre. Carnaval; Waldscenen. Centaur CRC 2135 Compact disc.

Kempff, Wilhelm. Klavierwerke (Oeuvres pour piano) Deutsche Grammophon 435 045-2

O'Hora, Ronan. Fantasiestücke, op.12. Membran 222169-444, 1995. Compact disc.

O'Hora, Ronan. Kinderszenen, op.15. Membran 222169-444, 1995. Compact disc.

O'Hora, Ronan. Waldscenen, op.82. Membran 222169-444, 1995. Compact disc.

Richter, Sviatoslav. Waldscenen and etc. Deutsche Grammophon 459 018-2 GICC Mono, 1956. Compact disc.

Uchida, Mitsuko. Carnaval, Kreisleriana. Philips D 108362. Compact disc.

Appendix H : List of Soundtracks

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Appendix I : Glossary

Antecedent: The term is for a kind of dissonance and also used by Caplin. Caplin used this term to describe some passages which shows the initial motifs for the following passages. In the dissonance the antecedent note repeats to bring stronger cadential closure.

Appoggiatura: (from Italian *appoggiare*, “to lean”) In music, it is an ornamental note of long or short duration that temporarily displaces, and subsequently resolves into a main note. During the Renaissance and early Baroque, the appoggiatura was of moderate length, averaging one-third of the main note, and was more in the nature of a melodic than a harmonic ornament. It is also a kind of dissonance.

Biedermeier: The term B. - originally was used as a derogatory name mocking conventional middle class comfort in contrast to the serious and dramatic music by some critics. It was originally coined by A. Kußmaul and L. Eichrodt between 1855 and 1857 to describe the lifestyle of the Vormärz period (pre-revolutionary period in Austria and Germany before 1848). The term has come to characterize the lifestyle and mentality as well as art and culture of the period between 1815 and 1848. However, in art it is used primarily to describe interior design of the period. The term is borrowed from the name of a fictional schoolmaster created in the early 1850s by Ludwig Eichrodt (1827-92) as a satirical caricature of a bourgeois philistine. It was later adopted to refer to the comfortable domestic architecture and the decorative arts and painting of the period, and to a way of life founded in peaceful domestic harmony by contrast with the turbulence of the Napoleonic years. In the visual arts it is reflected in the domestic scenes and picturesque genre paintings of Josef Franz Danhauser, Peter Fendi, and Carl Spitzweg. In music the non-virtuosic miniature pieces were mainly regarded as Biedermeierian style. Some piano collections of Mendelssohn and Schumann are famous with the style although all of the German composers in this period have some miniature collections.

Bitonality: The simultaneous use of two different keys. It can be often seen in Schubert’s music in the Romantic period.

Canon: It is a musical form and compositional technique, based on the principle of strict imitation. J. S. Bach used and developed the canon and fugue technique in the Baroque period. Among his works the *Wohl temperiertes Klavier* is best known. Generally an initial melody is imitated at a specified time interval by one or more parts, either at the unison (*i.e.*, the same pitch) or at some other pitch. Such imitation may occur in the same note values variously. For example it can be shown in augmentation (longer note values), or in diminution (shorter note values). This technique is adapted by almost all the composers afterwards which is the basic and main composing skill. Schumann is also influenced by Bach strongly, and composed many imitative passages.

Cadenza: Italian: “cadence”, unaccompanied soloist passages introduced at or near the close of a movement of a composition. It attributes a brilliant climax, particularly in solo concerti of a virtuoso character. Until well into the 19th century such interpolated passages were often improvised by the performer at suitable openings left for that purpose by the composer, such as Mozart. After Beethoven it is customized that the composers write the cadenza. They were displays not only of performing skill but also of more or less spontaneous improvisational invention. Modern performers use written-out cadenzas for classical concerti. This term could be mentioned for the interpolated passages not only in concerti but also in other genre.

Chorale: It is a metrical hymn tune associated with the Lutheran church in Germany. From early in the Reformation, chorales were to be sung during the Protestant liturgy. Unison singing was the rule of the reformed churches, both in Germany and in other countries. Later polyphonic (multivoiced) versions became general with the accompaniment of organ or for a choir singing. It is became as a musical style which was used by many composers. Generally it is used not only for the church music or religious music but also in the other genres variously. There are titles such as *Chrale Fantasy* of Beethoven and *Prelude, Chorale et Fuga* of Franck.

Coda: The term means ‘tail’. It is a part of a piece near of the completion, which gives an additional value. It usually prolongs a certain harmonic motion before the final touch, and therefore, acts as a tail. In sonata form, the coda is anything coming after the recapitulation section.

Codetta: It is a term for a shorter coda.

Fugue, Fuga: It is a compositional skill but means also a composition, which is written in this skill or section of a composition in which a subject is answered or repeated successively by several parts. [From Latin, *fuga*, flight.] The parts seeming to fly one after another; the highest development of counterpoint; a composition developed from one or two (sometimes three) short themes, according to the law of imitation.

Leitmotif: Musical theme or motive associated with a person, thing, or idea in a drama. Wagner invented this term for his opera as *Gesamtkunst*.

Pedal point: It is a bass note that is sustained for a number of measures. It is originally used for the organ pedal effect. An inverted pedal is a long-sustained note in one of the upper voices. Since dissonances may result from the pedal note and the chords above it. The pedal point often becomes a non-harmonic tone.

Periodicity: Quality of being organized in discrete phrases and periods. Formalized music has often periodicity.

Sequence: Immediate repetition of a pattern of melody or harmony. It is similar to fragmentary motifs.

Strophic: Poetry in which stanzas (strophes) are in equivalent form having same the rhyme. It is compared with music which has repeating phrases.

Sturm und Drang: (German: “Storm and Stress”), German literary movement of the late 18th century that exalted nature, feeling, and human individualism. Goethe and Schiller began their careers as prominent members of the movement. In music the term is mentioned for the music of C. P. E. Bach in the Baroque period by scholars. The style is very emotional and changes its emotion extremely. I have mentioned it with relation to Schumann’s Florestanian music in my thesis.

Suspension: Dissonance notes caused by a voice that moves from a consonant to a dissonant relationship with a sustained note, which then descends a step to resolve the dissonance.

CURRICULUM VITAE

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4th prize in the *Young Pianist Competition* in Daegu, 1994

Special Scholarship Award of the Rector for the Kyung Pook Univ., 1996

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10/2009 Bolu Abant İzzet Baysal University, Culter Center-Blue Hall, Piano Trio
09/2009 Auditorium Chiesa Ss. Apostoli in Verona, Masterclass concert-Piano Solo
09/2009 Teatro parrocchiale di Ca' degli Oppi, Masterclass concert-Piano Solo
05/2009 ITU Miam Recital Hall, Soprano Recital
04/2009 ITU Miam Recital Hall, Violin Piano Duo
04/2009 Afyon Music Festival, Cello Piano Duo
03/2009 Marmara University/Austrian Culter Office, GSF Conference Hall, Piano Trio
02/2009 ITU Mustafa Kemal Anfişi-Anma Konser, Piano solo
02/2009 Mimar Sinan University, Flute Piano Duo
01/2009 Robert College Suna Kirac Hall, Piano solo and with violin & vocal
12/2008 ITU Recital Hall, Violin-Piano Duo
10/2008 Marmara University, GSF Conference Hall, Piano Trio
05/2008 Moda Presbyterian Church, ArCoda Piano Quartet
04/2008 ITU Mustafa Kemal Anfişi, Violin-Piano Duo
04/2008 MIAM Recital Hall, ArCoda Piano Quartet
03/2008 ITU Recital Hall, Trumpet-Piano Duo
12/2007 Italian Culture Center, Cello-Piano Duo
12/2007 Sabancı University Gösteri Merkezi, Violin-Piano Duo
06/2007 Österreichisches Kulturforum, Cello-Piano Duo
05/2007 MIAM Recital Hall, Cello-Piano Duo
05/2007 ITU Mustafa Kemal Anfişi, Cello-Piano Duo
03/2007 ITU Mustafa Kemal Anfişi, Cello-Piano Duo
12/2006 ITU Mustafa Kemal Anfişi, Violin-Piano Duo
05/2006 ITU Mustafa Kemal Anfişi, Piano Recital
12/2005 ITU Mustafa Kemal Anfişi, Piano-Cello Duo
05/2005 ITU Mustafa Kemal Anfişi, Piano Recital
05/2005 ITU Mustafa Kemal Anfişi, Piano Duo
05/2005 Yıldız Technical University VEKOM, Piano Duo
2004 Weimar-Fürstensaal, Piano Solo Recital
2003 Seebachstiftung, Piano Solo Recital
2003 Tiefurt Mühlehaus, Piano Solo Recital
2003 Weimar-Fürstensaal, Piano Trio and Piano Quartet
2003 Brühl Musikschule, Piano Solo
2001 Berlin, Piano Solo
2000 Leipzig, Piano Solo
2000-2001 Piano Accompanist at the Korean Methodic Church, Berlin-Germany
09/1999-02/2000 Accompanist for the Professional Young Nam Opera Association (Daegu Public Hall)
05/1999 Concert with Korean Traditional Flute Daegum, broadcasted in TBC TV Company, Radio Program, recorded (Daegu Public Hall)
1993-99 Piano Accompanist at the Korean Presbyterian Church, Daegu

**07/1997 Chamber Music and Choir Accompaniment in Japan
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**03/1996 - 03/1999 Various Concerts as Piano Accompanist as a Volunteer for
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**03/1996 - 03/1999 Various Chamber Music Concerts in Daegu and other cities in
the Kyung Sang Do Region**

**(KPNU Great Auditorium, Music College's Hall, Daegu Chamber Hall,
Nightingale's Theatre, Daegu Art Center)**

