

ROBERT SCHUMANN: ROMANTIC ARCHETYPE

--IN SPIRIT, IN MUSIC, IN LIFE

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BY

KYOUNG IM KIM

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We hereby recommend that the THESIS prepared under
our supervision by KYOUNG IM KIM

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____ Master of Arts _____

Committee:

Frank Bodurlein
Chairman
Marguerite
John S. J.

Accepted:

1-29207

Phyllis Bridges
Dean of The Graduate School

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CHAPTER I

ROMANTICISM IN THE NINETEENTH CENTURY

Introduction

We all have innate desire to know our past, to be conscious of our present, and furthermore, to imagine our future. This desire has led us to write the history of man. The fact that we have our own history may be one of the most significant differences between mankind and other animals.

The author contends that history is not a chain of isolated facts; it is not static, but is moving. Every event or circumstance has shown an inevitable cause and effect in the stream of a grand sea: history, which becomes meaningful when we approach it with the understanding of the dynamics of historical events and surroundings. More interesting, when we perceive history horizontally, is that every single aspect of society, such as politics, economics, religion and culture, is related one to another. This dynamic interaction and correlation is suggestive to our concept of history, for example, the relationship between society and music. In the fourteenth century, society was undergoing great social changes. The Black Plague, the Papal Schism and Hundred Years' War stormed Europe and left a significant impact on music of that period. Actually, we need not go back to that period. We can see the inter-relation of social circumstances and music in our

own era. Computer-generated music, happenings, and chance music, rock and roll, jazz, or even a pop song heard in a super-market suggest the twentieth century society: its people, their thought, and their philosophy.

So, when we consider the history of music, we can not isolate music from other contemporaneous social events, not to mention other arts. History may be defined as "a description of the social, political, economic, religious, and artistic environment from which grew the music, paintings, sculpture, and architecture."¹ This statement becomes more convincing when we realize that art is "the expression of the characteristic attitude of the people of that age toward important aspects of life."² The dominant social class which holds the economic, the political, or the religious balance of power generally sets the cultural taste for the masses. Religious and social patterns usually determine the function of music and other arts.

Before discussion of nineteenth century music, it is necessary to have at least a basic understanding of the social circumstances of the century, and its predominant ideas and tendencies. Enlightenment was a guiding force of the intellectual spirit in the eighteenth century. Voltaire sought

¹Milo Wold and Edmund Cykler, An Introduction to Music and Art (Dubuque: Wm. C. Brown Company Publishers, 1972), p. 2.

²Ibid., p. 1.

to represent "the cool man of reason inhibiting a world governed by purely rational principles"³ in his satirical novel, Candide. In the latter part of the eighteenth century, various irrational tendencies emerged as reactions against the Enlightenment's emphasis on reason. For example, in 1756, Burke said in his Essay on the Sublime and the Beautiful that the free exercise of emotions and imagination was the proper realm for art to explore. This movement toward freedom of individual emotion and imagination is suggestive. The people of the Enlightenment period emphasized man's intellectual aspect, but could man's reason solve all the problems and agony of mankind, or was it enough to satisfy his longing for spiritual consciousness? Eighteenth century philosophy degraded God into "a kind of cosmic clock-maker who created a mechanical universe"⁴, and the experimental method of science became the liturgy of their laboratory religion. It must have seemed natural that some, who were more sensitive than the rest of the people to social and cultural circumstances, should question themselves. Had reason not been overcultivated at the expense of sentiment and imaginative liberty? The Enlightenment found expression in Rousseau's Social Contract. Written in 1762, the tract set forth Rousseau's philosophy of emotional individualism (which was the primary cause of the

³William Fleming, Art and Ideas (New York: Holt, Rinehart and Winston, Inc., 1963), p. 594.

⁴Ibid.

French Revolution beginning in 1789). He asserted that science and civilization had taken people away from nature and that natural instinct would be a better guide, hence, his famous utterance "Back to Nature". Rousseau firmly believed that mankind is essentially good.

Politically it must be remembered that the first part of the nineteenth century saw breath-taking changes in the courts and governments of Europe. For example, consider the ups-and-downs of various forms of government in France during 1789-1854:

Between the absolute monarchy of Louis XIV and the empire of Napoleon III, Paris experiences a revolutionary reign of terror, a republic, the Napoleonic empire, a royal restoration, a constitutional monarchy, and a Marxian commune.⁵

It is needless to mention that the Industrial Revolution was another forceful factor on a tumultuous, stormy nineteenth century society. The rise of the middle class and the increase of population in the big cities of Europe precipitated social issues, which were beneficial at times, detrimental at others.

In the course of the nineteenth century, the urge for freedom that had begun in the eighteenth century eventually had great effect on human life. Individual feeling now gained more emphasis and "the philosophy of Romanticism gave men the freedom to give voice to their passion, fear, love, and

⁵Fleming, Arts and Ideas, p. 671.

longing."⁶ A host of people professed this spirit through literary works. In 1827, Victor Hugo published Cromwell, whose preface served as "a manifesto of Romanticism."⁷ No other painting provided a more vivid incarnation of Romantic revolutionary spirit than Eugene Delacroix's Liberty Leading the People. This spirit, emancipated from the bondage of reason and scientific intellect, gained momentum and became one of the primary causes of the July Revolution in 1830. The old line of Bourbons was overthrown and Louis Philippe began his reign as a limited monarch. In short, society and cultural environment were full of enthusiasm, excitement, overflowing energy and even of crude sentimentalism.

Characteristics of Romanticism

Generally speaking, the word Romantic is suggestive of vagueness, mystery and sentimentality. The origin of the word may be traced back to the Latin "romance", and in the sixteenth and seventeenth centuries, "Romance" was used to designate the chivalrous and sentimental writing of medieval Italy, France, and Spain. By the turn of the nineteenth century, Romanticism assumed different connotations and came to mean a spirit which was seeking a new idealized freedom in the expression of personalized feeling. Romanticism in the nineteenth century was essentially an innovative spirit.

⁶Wold and Cykler, An Introduction, p. 196.

⁷Fleming, Arts and Ideas, p. 633.

It was a revolt against convention and authority, whether in personal, religious, civil, or artistic matters. The search for individual freedom in life and art was its motivating force, even when it was at the expense of formal perfection.^{8,9}

Individualism was one of the most conspicuous aspects of Romanticism and it was natural that rebellious spirit of nineteenth century man found its vent in individualism.

In Romantic art, much greater emphasis was placed on qualities of remoteness and strangeness. Walter Pater says in the postscript of Appreciation that the addition of a sense of strangeness to beauty constitutes the Romantic character

⁸The visual arts are especially suffered if the artist sought only to express the range of his personal emotion. We can not find "any great quantity of sculpture, painting, or architecture of the Romantic period that does not tend to become exaggerated, irrational, or sentimental in its desire to appeal to the individual's free exercise of emotional response." (Wold and Cykler, An Introduction, p. 203.)

Paul Henry Lang says that the great problem of the Romantic composer was the reconciliation of the Classic form with new mentality. He argues that the symphony and the sonata of the Romantic period lacked the sense of logic and that these structural shortcomings were thought to be remedied by enriched harmony, coloristic tone color and various effects to shock people. The Classical composers always tried to view the whole and details existed to him only in relationship to the whole. On the other hand the Romantic composers preferred to linger over a single effect. Though Lang adds, "One can not, however, maintain this judgement in a general sense, for the dwelling on details, the harmonic, melodic, and coloristic refinements, enriched music immensely, in the smaller, predominantly lyric forms romanticism created an art fully equal to the greatest in the past," (Paul Henry Lang, Music in Western Civilization [New York: W. W. Norton & Co., Inc., 1941], p. 823.) Lang unmistakably favors Classical structural formation and logic. Whether one totally agrees with his opinion or not, it is true that thematic logic is essential to sonata form and requires specifically symphonic thematic material. Most of the time the fundamental requirement is lacking in the Romantic sonata.

⁹Wold and Cykler, An Introduction, p. 195.

in art. He continues further, saying that the desire of beauty being a fixed element in every artistic organization, it is the addition of curiosity to this desire that constitutes Romantic temper. Mysticism was predominant and people tried to aspire for eternity.

In connection with the Romantic tendency toward strangeness, mention should also be made about exoticism, which was prevalent in that period. Merchants and business men were opening up new foreign markets and missionaries were venturing forth to Christianize the world and its heathen. From the time of the Crusades, the world had seemed to become smaller and smaller, and this illusion accelerated greatly in the nineteenth century. Naturally, the Oriental world was added to the imaginative men of the Western hemisphere. Colorful Japanese prints began finding their way to Europe in an ever-increasing number after Admiral Perry's voyage of 1852-1854 and greatly influenced painting.¹⁰ Schopenhauer, one of the most influential philosopher of the nineteenth century, published World as Will and Idea in 1819, which was based on the Oriental philosophy of the negation of will.

"Back to Nature" became one of the most powerful motives underlying nineteenth century escape mechanism. For that segment of the population who lived in the cities and dreamed of an idyllic life which it had no intention of living, casual

¹⁰Fleming, Arts and Ideas, p. 665.

reading consisted of natural imagery and folk ballads.¹¹ Nature included "malignant forces as well as magical and fantastic ones."¹² Weber's opera, Der Freischütz included darker aspects of nature such as the sinister powers of the night.

Another interesting fact of the Romantic movement was nationalism. The nineteenth century being the age of individualism, a host of great men climbed to the heights through their own effort and confidence in their ability. Napoleon, Victor Hugo, Paganini and Liszt in their lives show the extreme emancipation of the individual. We can understand nationalism in connection with individualism in that the artist needed a geographical sounding board, local color and a linguistic medium suited to his creative need. So, the championship of nationalism by artists can be seen as the extension of individualism.

¹¹The poems of William Wordsworth show poet interested in nature. But the poet was quite often a by-stander who gazed at nature with passive contemplation. Sometimes the impression lingers that poet could not or would not feel one with nature. The people portrayed in his poems could not be elevated into a symbol of purity, beauty, or cherished ideal, but remained only as a part of the landscape. Wordsworth, for all his genius failed to understand such people of nature, for he was not involved in nature. His love of nature and longing for pastoral life seem often dreamy and airy. (Of course the author does not mean his artistic attitude was irresponsible. It was rather an inevitable result due to the general trend of nineteenth century Romantic spirit.) Possibly that is why the poetry of, say, Robert Frost is more convincing and appealing than poetry of the nineteenth century in depicting nature and its men. Frost conceived men in nature as individuals who had their own personality and history.

¹²Fleming, Arts and Ideas, p. 663.

The poverty of industrial workers, spurred by the Industrial Revolution, brought forth another social issue, and made people more conscious of social problems. Realism became a very effective means of dealing with burning issues of social injustice, poverty, labor, and morals. Third-Class Carriage by Daumier depicts the weariness and the futility of the working class, and Daumier was successful in his realistic touches of lines and moods. Realism was not anti-Romantic. There were two sides of the Romantic movement; idealism and realism. For both feeling was still the primary consideration. The only difference was that realists were more concerned about "a specific event that touches the lives of people."¹³

Romanticism in Music

Romanticism was an innovative spirit opposed to Classicism and traditional conservatism. All arts are romantic in some sense, and the culture and arts of mankind have pursued this innovative spirit in their development with every step. So it may be impossible and unnecessary to place a total antithesis between Classicism and Romanticism, for there is always an overlapping and dynamic interrelation between them. Traditionally, and partly for the sake of convenience, musicologists generally label the period of 1750-1800 as the

¹³Wold and Cykler, An Introduction, p. 221.

Classical era and that of the nineteenth century as the Romantic. This division may sound reasonable when we realize the distinctiveness of the break which occurred in the musical development of the nineteenth century. Owing to the striking changes in musical life of the century, we may try to define the characteristics of Romanticism in music with reference to that of the nineteenth century.

In the Romantic period, music offers a far more effective medium for artistic expression than the visual art. Romanticism laid emphasis on subjectivism and the artist often sought the expression of wider emotion at the expense of artistic balance. Fortunately, music enjoyed the most favorable conditions, for it was possible for music to sustain a feeling of intensity which no visual art can do without becoming exaggerated. Music seems to be the most Romantic of all arts because it is the most abstract, and therefore less dependent upon "objective facts that often are meaningful only to those who have experienced their history."¹⁴ This advantage gives the composer unlimited sources of musical material and everything could be the subject for his creative world. But the excessive emphasis on individual feeling and subjectivity often led nineteenth century music out of artistic balance and this shortcoming in the logic of thematic development was an inevitable result of full-blooded Romantic spirit.

¹⁴Wold and Cykler, An Introduction, p. 203.

Its musical ideas are sometimes not mature and refined, and include crude sentimentality and overripe emotional excitement, which may be why we often prefer listening to Bach's Preludes or Mozart's Symphonies rather than Wagner's operas or Liszt's piano works. However, the lyric spirit growing out of subjectivism spawned many great masterpieces peculiar to the nineteenth century which would have been impossible in any other era of music history:

The modern [Romantic] watch word has come to be initiative rather than obedience, originality rather than skill, individuality rather than truth to universal human nature. It is, after all, one impulse, the impulse toward specialization, that runs through all the various manifestations of the romantic spirit. . . .¹⁵

In short, while the Classical masters seem to have aimed not at particularity of emotion and minuteness of expression, but at the delineation of certain broad types of feeling, Romanticism emphasized subjectivity and individualism.

Another important aspect of Romantic music was a literary orientation in music. Hoffmann, Weber, Schumann, Berlioz, Liszt, Wagner, not to mention a host of their lesser contemporaries, were men of an extensive literary and philosophical background; they were efficient writers, critics, poets, and playwrights. It is true that instrumental music, which appeals to the people without the aid of words, was most singly

¹⁵Daniel Gregory Mason, The Romantic Composers (New York: Macmillan, 1919), p. 17.

important throughout the Romantic period.¹⁶ At the same time, strangely enough, Lied, which was highly literary-oriented, was most successful in the nineteenth century. Schumann himself, after a period of composing piano works exclusively, devoted himself to the composition of songs for a year. Music and literature enjoyed an unprecedented relationship. It is quite obvious that the Romantic composers, such as Schubert, Brahms and Schumann, tried to reach an ideal union between music and poetry.¹⁷

Tendencies to mix literature, painting, music arose and its result was program music, one of the most conspicuous traits of nineteenth century music. Program music was "instrumental music associated with poetic, descriptive, or even narrative subject matter--not by means of rhetorical-musical figures (as in the Baroque era) or by imitation of natural sounds and movements (as sometimes in the eighteenth century),

¹⁶"Instrumental music, therefore, is the ideal Romantic art. Its detachment from the world, its mystery, and its incomparable power of suggestion which works on the mind directly without the medium of words, made it dominant art, the one most representative, among all the art, of the nineteenth century." (Donald Jay Grout, History of Western Music [W. W. Norton & Co., Inc., 1973], p. 540)

¹⁷On December 15, 1830, Schumann wrote to his mother as follows. ". . . The flame that is naturally clear always gives the most light and heat. If I could blend my talent for poetry and music into one, the light would burn still clearer, and I . . . might go afar. . . . (Robert Schumann, The Letters of Robert Schumann, sel. and ed. Karl Storck, trans. Hannah Bryant [London: John Murray, 1907], p. 62.)

but by means of imaginative suggestion."¹⁸ We can easily understand that program music provided a vehicle which solved the conflict between the ideal of pure instrumental music and the strong literary orientation of the period. Instrumental music became an effective means for the utterance of thought which is ultimately beyond the power of words to express.

Dualistic characteristics can be found not only in the relation between music and literature, but also in several other aspects. The Romantic spirit itself has dualistic traits. It is always a youthful movement and always emancipates itself from older dimensions to newer ones. For example, "On the one hand romantic music clings to the formal stylistic factors of classicism, on the other it seeks to eradicate boundaries and architectural logic."¹⁹ Dualism was very prevailing in the Romantic era not only in art but also in the whole of society.²⁰

The nineteenth century saw a great improvement in musical instruments and especially the piano, which attained its zenith in Romantic music. Together with the improvement

¹⁸Grout, History of Western Music, p. 541.

¹⁹Lang, Music in Western Civilization, p. 816.

²⁰Grout explains in his History of Western Music (pp. 542-545) that dualism may be traced in the relationship between the crowd and the individual, between professional and amateur music-maker, between man and nature, between science and irrational, between materialism and idealism, between nationalism and internationalism, and between tradition and revolution.

of musical instruments and the skillful use of such by virtuoso musicians, the orchestra became capable of all sorts of combinations, oppositions, and contrasts. Composers were interested in tone color and became fully aware of its importance.

Music saw a change in patronage. The rise of the middle class to social and economic power was significant. Unlike their predecessors who enjoyed or depended upon the patronage of royal courts or churches, "the romantic artist depended on his ability to arouse the interest of a greater public--the common people and consequently were influenced by public taste."²¹ Successful Romantic composers in general came to be honored members of society, often gathering abundant funds for their efforts. There remained to the Romantic composer the task of reconciling himself with the general public since the composer served either himself and/or the general public.

²¹Wold and Cykler, An Introduction, p. 197.

CHAPTER II

DUALISM OF ROBERT SCHUMANN

Robert Alexander Schumann was born on June 8, 1810, at Zwickau in Saxony and was buried in Bonn two days after his death on July 29, 1856. Several months before Schumann's birth, King Jerome Bonaparte was quartered in Zwickau. At that same time, Napoleon was swaying the whole of Europe. Schumann spent his boyhood and early youth in the midst of the yearning and conflicting spirit of Romantic period.

There were some peculiarities in the Romantic movement in Germany. It was not only a reaction against the Classical tradition, but also a war against France¹ and a revolt against Catholicism.² Schumann matured in tumultuous social upsurge, and it is natural that his life story was a vivid and pathetic

¹In Germany, nationalism played one of the most important roles in the Romantic movement. Revived Gothic style was a vision of past national glory associated with Charlemagne and Karl der Grosse. "The past thus played an important role in the nineteenth century revival of German power, based as it was on the memory of an empire dominated by the north. Stung into action by its abolition under Napoleon, German nationalism fermented during the nineteenth century until it matured into the heavy wine of Bismarck's statesmanship, the aroma of which reminded Teutonic connoisseurs of the heroic bouquet of such ancient vintages as those of Attila, Alaric, and Frederick Barbarossa." (Fleming, Arts and Ideas, p. 669.)

²"The air was full of controversies and enthusiasm. . . The new Protestantism issued its manifestoes and directed its campaign." (Sir Henry Hadow, Studies in Modern Music, vol. 1 [New York: Macmillan, 1893-94], pp. 151-152.)

document of the Romantic movement; his personality was a manifesto of Romanticism.

We discussed previously that dualism was an integral part of Romanticism and in Schumann dualistic traits appeared both in his personality and his creative activities.³ The study of Schumann's dualistic tendencies is important in understanding him as a man and as a musician. His dualism will be presented from four different angles.

Florestan and Eusebius

Quite often, in Schumann's articles for the Neue Zeitschrift für Musik, in his letters, and even in the musical mottoes in his pieces, Schumann used the imaginary characters, Florestan and Eusebius.

Eusebius's mildness, Florestan's ire--
 I can give thee, at will, my tears or my fire,
 For my soul by turns two spirits possess--
 The spirits of joy and of bitterness.
 (From Schumann's verses to his wife Clara)

Florestan is gay, enthusiastic and optimistic, while Eusebius is pensive, dreaming and pessimistic. These two characters may safely be interpreted as the two opposite poles of personality which are recognizable in every human being. Sometimes, Schumann spoke with the exhilarating voice of Florestan; then suddenly his voice would assume the morbidity of

³The predominant dualism of the Romantic period was not the only factor that influenced Schumann's dualism. As human beings and social animals, we can not escape the influence of the society and culture to which we belong. Schuman was no exception.

Eusebius. Although all of us have this dualistic tendency, in Schumann's case it was extreme. He was "a creature of moods, plunged in a day from heights of joy into abysses of melancholy."⁴

In Schumann's letters to his mother, we can easily discern the moodiness of his character. Here is an excerpt from his letter written on May 15, 1830:

. . . And so I potter along, like all young, impulsive people, I make the mistake of trying to be everything at once, and this only complicate my work and unsettle my mind. But as I grow old I shall be calmer and more level-headed. . . .⁵

Here we see the youthful wisdom of Robert Schumann who was keenly aware of his moodiness and tried to be "level-headed". He wrote to Heinrich Dorn on September 14, 1836 that Florestan and Eusebius formed his dual nature. He continued to say that he would like to melt them into the perfect man, Raro. But more often we come across Schumann who was excited and happy but next moment became so miserable that he almost felt like "putting a bullet through his head."⁶ Consider the excerpts from his letters to his mother, comparing the moods:

You write as youthfully as my own Jean Paul in this letter; every word is a flower. If the glorious time in which we live, in which even greybeards renew their youth, does not quite eclipse the star of art, . . . Your indirect invitation for New Year's Eve is more

⁴Mason, Romantic Composers, vol. 1, p. 107.

⁵Schumann, The Letters of Robert Schumann, p. 64.

⁶Ibid., p. 69.

inviting than any other request or demand for my presence. . . . I shall perhaps fly over for a few minutes, and play you a few pranks, like a zephyr in winter. Until then, hang up this picture of me. (Written on December 15, 1830.)⁷

. . . I am often heavy, dull, and disagreeable; my laughter is of sardonic order, and there is hardly a trace of my heartiness and enthusiasm. You will not enjoy my company at Christmas. (Written on November 15, 1830.)⁸

In Schumann, the spirit of Florestan and that of Eusebius dwelt side by side, but they seldom transcended their own spheres and reached a higher realm of ideal transfiguration or combination. Jean Paul Richter formulated the rule of conduct which guided the German Romanticists as follows:

. . . The first way of reaching the heights is to penetrate so far beyond the clouds of life that you see wolves' den, the charnel-houses and the lightening conductors far below you, diminished to the proportions of a miniature Dutch garden. The second is to fall right down into a furrow that when you peer out of your warm lark's nest you see nothing of the dens, charnel-houses, and lightening conductors, but only the ears of corn, each of which forms a tree for the nesting-bird, a shelter from the sun and rain. Finally, the third, which I think both the hardest and the wisest, is to practise the two methods alternatively."⁹

His followers practised their art in the "clouds" and lived their daily lives in the "furrow". Quite often their lives and artistic creativity suffered from a lack of reality and degenerated into ironical mimickery. In Schumann, Florestan and Eusebius "alternate" with each other, but they could not reach a dimension where his feet, as Goethe remarked, were

⁷Schumann, The Letters of Robert Schumann, pp. 60, 62.

⁸Ibid., p. 60.

⁹Ibid., p. 4.

firmly placed on solid enduring earth, while his forehead touched the stars. Even though Schumann always aimed at blending the two characters into the loftier unity to which he gave the name *Raro*, this acknowledged ideal was rarely attained. This is similar to movement in Hegelian dialectic.

Hegel states:

By reason of the nature of the method which has been demonstrated the science is seen to be a circle which returns upon itself, for meditation bends back its end into its beginning or simple ground. Further, this circle is a circle of circles; for each member, being inspired by the method, is intro-reflection which, returning to the beginning, is at the same time the beginning of a new member.¹⁰

Some may attribute his life-long melancholy¹¹ and tragic death in an asylum to the hereditary mental illness in Schumann's family. But more emphasis should be placed on Schumann's wandering soul which could never anchor the relentless ship of conflicting spirits Florestan and Eusebius at one spiritual harbor. Schumann was too human and full-blooded to subject himself to a total negation of both personalities and reach a refined spiritual realm in which he could control his conflicting emotion and attain an ideal union of sympathy and

¹⁰George Hegel, Science of Logic, trans. W. H. Johnston and L. G. Strutcher (New York: Macmillan, 1929), vol. 2, p. 484.

¹¹Schumann dreaded the tendency toward melancholy and mental disturbance even when he was most sober, calm and wise in his youthful days. ". . . I must really give up dabbling in many things, and aim at excellence in one. My success depends chiefly on my power to live a persistently clean, sober, and reputable life. If I hold fast by this, my genius . . . will not desert me. (Schumann, The Letters of Robert Schumann, p. 64.)

empathy in his creative works.

Listening to Schumann's music, one is impressed by the overflowing emotion and is moved by the vivid portrayal of a conflicting soul. But his music often lacks the universality of spiritual empathy which can be achieved only by union rather than superimposition. Still, his music has been appreciated for a century and a half. The reason could be that Schumann's overwhelming emotion and highly personal approach to artistic creation leads one into sympathy with his tormented spirit. The beauty of his music appeals directly to the heart and now and then we identify our own emotion with that of Schumann's. Dualistic characteristics in Schumann had, therefore, advantages and disadvantages concurrently. However, the advantages are more important than the disadvantages in that we cherish his music because of his personal lyricism embodied by a Romantic spirit.

His [Schumann's] spirit . . . is essentially human. No composer is more companionable, more ready to respond to any word and sympathize with emotion. There are times in which we feel that Bach is too remote, Beethoven too great, Chopin too pessimistic; but we can always turn to Schumann with the certainty that somewhere in his work we shall find satisfaction.¹²

Schumann's Enthusiastic Homage to Bach

All arts reach their best ideal only when they combine the intellectual and the emotional parameters and then transcend to a higher level. Conservative Classic art over-

¹²Hadow, Studies in Modern Music, vol. 1, p. 218.

emphasized the cool intellect of reason, while Romantic art, as a reaction to Classicism, often went to the other extreme and became exaggerated, distorted, or lost its aesthetic balance. Both failed to achieve the ideal combination of intellect and feeling which is probably best manifested in the music of J. S. Bach, such as the Mass in B-minor.

Schumann paid great respect to Bach and he "dissected" Bach's Well-Tempered Clavichord thoroughly.¹³ He said that Bach's music was his daily bread. He wrote to Keferstein:

I myself confess my sins daily to this mighty one, and endeavour to purify and strengthen myself through him.¹⁴

In 1831, he wrote as follows:

. . . Bach was a thorough man. There is nothing sickly or stunted about him, and his works seem written for eternity.¹⁵

Schumann wrote several fugal pieces for piano and organ: Op. 56, Op. 58, Op. 60, Op. 72 and Op. 126. In Op. 60, Schumann used B-A-C-H as germinal musical notes for six fugues.

The Romantic yearning for the past which animated literary men in Germany led Romantic composers to Bach and to the forms and materials of the Baroque period. Mendelssohn's performance of the Passion According to St. Matthew in 1829

¹³" . . . Modern music, with its intricacies, its poetry and humor, has its origin chiefly in Bach. . . . Had Bach written nothing but Wohltemperiertes Klavier, he would still be worth a hundred of Kuhnau. In fact, I consider Bach to be quite unapproachable, immeasurable by ordinary standers. . . . " (Schumann, The Letters of Robert Schumann, p. 135.)

¹⁴Mason, Romantic Composers, p. 145.

¹⁵Ibid.

was a historic event. Schumann acknowledged the supreme importance of the study of Baroque polyphony. Furthermore, Schumann tried to find in Bach an invaluable antidote for his wayward, youthful subjectivism. Throughout his pieces polyphonic tendencies may be seen. Schumann's polyphonic habit of mind was shown clearly in opuses 13 and 14. Mr. Mason says this tendency is noticeable in his Impromptus (Op. 4). We can realize that his instinct for counterpoint provided a valuable power to vitalize Schumann's musical tissue especially in the fugato of the finale of Op. 5.

. . . the fugato . . . with its bold contour and its steadily cumulative sonority and thematic interest, and with its striking stretto, not only give evidence of minute study, but is a far from unskillful imitation of a great model.¹⁶

But his Organ Fugues on B-A-C-H is abundant with those inversions and retrogression of themes dear to academic men. Learning then becomes baneful, music degenerates into a pedantic exercise. In the author's mind Schumann often overuses or abuses special artistic devices such as sequence, inversion and canon, and fell easily into tedious mannerism.

Despite his enthusiasm for Bach's polyphony, contrapuntal writing was not in Schumann's natural domain. His overflowing lyricism overshadowed contrapuntal concepts of musical texture. Schumann could not see Bach in the latter's own terms, but in that "fantastic-mystic twilight which for the romanticist enveloped polyphony. . . . We might repeat

¹⁶Mason, Romantic Composers, p. 147.

that as in the poetry, whatever value we discern in this polyphony is of romantic origin."¹⁷ At most, intellectual element and romantic and emotional spirit lay side by side, but they seldom mixed together to attain a higher aesthetic dimension. One fact in the never-ceasing conflict of Schumann's soul which affects the author was his failure in fully understanding the essence of Bach's music, and furthermore the ideal combination of Apollonian and Dionysian worlds.

Music and Literature in Schumann's Creative World

Until the Romantic period, musicians were less educated and their cultural interest shallow and narrow compared with people in other domains of the arts (painters, poets, etc.). Music in nature is the most abstract among all arts and musicians had generally been isolated from the current stream of social and cultural environment. Music has often been the last art to catch up with current trends, while literature the first and maybe visual art the second. The musician's interest outside music was not strong and generally he was not enthusiastic enough to grasp fully the significance of large events in social and cultural movements of his time. This tendency became less conspicuous when society and culture became more and more complex. In the Romantic era, the composer needed to be involved with social happening; he

¹⁷Lang, Music in Western Civilization, p. 805.

could not appeal to the people to whom he addressed himself unless he broke the isolating shell of his own forlorn world and was ready and willing to be involved with the cultural environment and to understand social trends.

Thus in the Romantic period, composers became more involved with their environment and Liszt, Wagner and Berlioz, not to mention a host of musicians with a wide range of cultural and social interest, were significant also in literary activities. In journalism, Schumann's creative energy found another effective channel, as well as in composition. Schumann's musical criticism in the Neue Zeitschrift für Musik shows his genius in the literary field and also his endeavour to unite musical and literary worlds. Another dualism!

Schumann was dissatisfied with the state of criticism. Critics were unable to evaluate music competently and quite often there was the lack of contact between musician and critic. Schumann deplored the gulf between musicians and average men. So young Schumann and his friends planned a musical magazine through which they could change the deplorable situation. The result of their effort was the Neue Zeitschrift für Musik. The magazine founded on April 3, 1834, was a four-paged square quarto and was published twice a week. It was devoted entirely to musical criticism and musical polemics. At the beginning, Schumann, Wieck, Schunke, and Knorr were its editors, but within a year after its first publication the other three except Schumann resigned the editorship. Although

any obstacles which tended to interrupt his musical development were fated to be discarded,¹⁸ Schumann took sole charge of the editorship of the magazine until 1844. His last article in the Neue Zeitschrift für Musik was "Neue Bahnen" in 1853, in which Schumann acclaimed Brahms as a genius.

The contributors all took their tone from Flegeljahre, a grotesque and sarcastic work written by Jean Paul Richter, Schumann's literary hero.¹⁹ They filled their essays "with a motly procession of jokes and metaphors, sarcastic, jostling sentimentalism, and burlesque treading on the heels of poetry."²⁰ Here and there we can find Schumann's

¹⁸"With the Zeitschrift, meanwhile, many an event of my inner and outer life will have been made known to you. Basically I am very happy in my sphere of activity; but if only I could throw away the journal completely, live completely as an artist for music, not have to occupy myself with so many trivialities, which editorial work necessarily requires; only then would I be completely at home, within myself and within the world. Perhaps the future still will bring this, and then there will be only symphonies by me to be edited and heard." (Robert Schumann, Robert Schumann Briefe, ed. J. Gustav Jansen [Leipzig: Breitkopf und Härtel, 1904], p. 153, quoted in Thomas Allen Brown, The Aesthetics of Robert Schumann, p. 51.)

¹⁹Schumann often recognized his great debt to Richter in his letters. "I often ask myself what would become of me if I had never known Jean Paul: in one respect at any rate he seems to have an affinity with me, for I foresaw him. . . . Perhaps I would have written the same kind of poetry . . . but I would have withdrawn myself less from other people and dreamt less. I cannot decide, really, what would have become of me, the problem is impossible to work out." (Robert Schumann, quoted and trans. in Robert L. Jacobs, "Schumann and Jean Paul", Music and Letters, XXX [1949], 251.)

²⁰Hadow, Studies in Modern Music, p. 162.

humor spiced with generosity and humanism. He frequently used nicknames, and imaginary ones out of his own creation. Mendelssohn became "Felix Martis" and Clara "Chiarina". Some examples from Music and Musicians by Schumann are:

Eusebius dropped by one evening. . . . He entered quietly, his pale features brightened by that enigmatic smile with which he likes to excite curiosity. Florestan and I were seated at the piano. . . . there was a surprise in store even for him. With the words, "Hats off, gentlemen, a genius!" Eusebius spread out before us a piece of music.

It's a naughty, of course, but also delightful that Leporello should eavesdropping--laughing and mocking from behind the bushes; that oboes and clarinets should forth their charming seduction, and that B flat major, in full bloom, should signal the first amorous kiss. But all the is nothing compared with the last movement--is there wine left, Julius? . . .²¹

Musicians in general, as mentioned earlier, had been taught to conceive and perceive everything in terms of music. Music, the most abstract of all arts, requires utmost concentration into a single channel and naturally the musician's interest outside the sphere of music was casual, shallow and narrow. Some might think that Schumann's editorship of the Neue Zeitschrift distracted his composition. The author contends that there are various ways through which genius can be embodied beautifully. Even though there exists an essential and inborn difference between music and literature, both musicians and literary men aspire to attain everlasting beauty and universal truth in their creation. Consequently Schu-

²¹Robert Schumann, "An Opus 2", The Musical World of Robert Schumann, ed. and annov. Henry Pleasants (New York: St. Martin's Press, 1965), pp. 15-16.

mann's simultaneous editorship and composition may actually have complemented each other. This statement becomes more persuasive when we realize that "there are some natures which work best when forging ahead with full steam on."²² Even though Schumann's health failed early because he divided his creative energy into both composition and the Neue Zeitschrift für Musik, and his physical and mental energy were exhausted tragically, he could not help it, for he was destined to be a Romantic to the core.

Society and Solitude

We have discussed Schumann's dualism in his devotion to both journalism and composition. In connection with this is the Davidsbündler. The foundation of the Davidsbund was a result of the Neue Zeitschrift. It was a brotherhood, a "secret society gathered together for the propagation of new ideas by ardor and genius of one man."²³ The organization provided Schumann an effective medium through which he could carry on debates and express his views. Here is an excerpt from an address given by Schumann at the seventh annual meeting of the Davidsbund, in 1841:

. . . This name [Davidsbund] should remind us of the eternal sacred union of poetry and music . . . it shall remind us that the language of a spiritual world may not be depreciated in order to flatter that baser side of man and to gild and embroider the objectionable.

²²Annie W. Patterson, Schumann (London: J. M. Dent and Sons, 1903), p. 169.

²³Hadow, Studies in Modern Music, vol. 1, p. 163.

Everyone who is given a voice may raise it according to his insight, when judging achievements as well as when speaking about things to be accomplished. We do not intend to honor a famous man nor burn incense before a work which has become part of the daily agenda, but to promote art, to take care of its holy temple here, and to expel by whipping a bunch of salesmen and money changers.²⁴

It lasted for many years as a living reality, all members of which except the founder were fictitious. About the Davidsbund, Schumann wrote to Dorn that it was a purely abstract and romantic society. The members of the Davidsbündler were Florestan, Eusebius, Raro and Jonathan, and others which Schumann created out of his fancy. They were represented as "marching against the Philistines and gloriously overcoming Goliath, in the person of old German Grossvatertanz."²⁵ The idea of Davidsbund was obviously drawn from Scripture and had its origin in David who was thought divine and a symbol of truth and purity who fought against the Philistines. The symbolism extended, the fight of the Davidsbündler against the Philistines can be interpreted as the conflict between truth and evil, between wisdom and ignorance, between the spiritual and the material, and perhaps between Classical conservatism and the Romantic revolutionary spirit.

Schumann treated the characters of Davidsbund as if they were real and concrete. He withdrew more and more into

²⁴Robert Schumann, quoted in F. Gustav Jansen, Die Davidsbündler (Leipzig: Breipkoht und Härtel, 1904), pp. 36-37, quoted in Brown, The Aesthetics of Robert Schumann, pp. 59-60.

²⁵Hadow, Studies in Modern Music, vol. 1, p. 163.

the world of fantasy and became isolated from the reality of his surroundings. Once, his friend Henrietta Voigt and he spent two hours in absolute silence and at the departure of Voigt, Schumann told his friend that now they had come to a true understanding of each other.

Schumann wrote as follows when he was still in his teens:

Like a Greek god, the artist should have friendly association with men and with life; and only when they dare to touch him should he vanish, leaving nothing but clouds behind.²⁶

In this somewhat hazy utterance one can sense Schumann's morbidity and tendency to withdraw from reality. Even though Schumann contends that an artist must not disassociate himself from the outside world because the world is one of his greatest sources of inspiration, Schumann, by nature, was retiring and inarticulate with his contemporaries.

Preferring contemplation, he would rather write than talk. Because of this, he is compelled to defend the benefits of solitude. For Schumann, the source of solitude lies within ourselves; it is not simply a physical circumstance, although solitude is more easily achieved when one is detached from his surroundings. Furthermore, solitude does not mean simply a sense of being alone, but rather a feeling of self-sufficiency and independence of mind.²⁷

As years progressed this tendency ran to extremes, and his

²⁶Robert Haven Schauffler, Florestan: The Life and Work of Robert Schumann (New York: Henry Holt and Company, 1946), p. 112.

²⁷Brown, The Aesthetics of Robert Schumann, pp. 32-33.

mind turned toward that "Undiscovered Country on the borders of which he spent his later years."²⁸

In conclusion, four aspects of Schumann's dualistic tendencies have been discussed. First, the dualistic trait of his personality: the wandering soul, in which Florestan and Eusebius were conflicting relentlessly; secondly, the dualistic relationship between his great homage to the contrapuntal technique of Bach and his own overflowing lyricism; thirdly, his creative devotion both to literature and music; fourthly, the conflict between the need for both the world and solitude for his creative world. In every case, Schumann could not attain the ideal combination of both sides and failed to transcend to a higher level of aesthetic achievement. One can not emphasize enough the importance in realizing that Schumann's personality and approach to music stemmed from dualistic traits shown in his life and in his creative works.

²⁸Hadow, Studies in Modern Music, vol. 1, p. 164.

CHAPTER III

COMPARISON OF ROBERT SCHUMANN WITH OTHER APPROXIMATELY CONTEMPORANEOUS COMPOSERS

It is true that an artist has his own personal messages and expresses them through the medium of style accepted in his age. He has something in common with his contemporaries. Leonardo da Vinci derived much of his humanism from the Renaissance spirit of his day; Wagner's operas could not have been possible without the prevailing nationalism in nineteenth century Germany.¹ One must not forget, however, that individual personality can cause differences within a certain style. Every great creative artist leaves the stamp of his own personality and ideals on his art. For example, Bach and Händel lived in the same period, but because of their different personalities they created totally different musical worlds.

The author contends that comparison of Schumann with other approximately contemporaneous composers is helpful in the understanding each of them. Furthermore, the essence of Schumann, both in his personality and work, will be sought by the comparison.

Mozart and Schumann

Mozart was essentially a Classicist, but in the last

¹Wold and Cykler, An Introduction, p. 3.

decade of his life he produced symphonies and operas which seem to the author to be more Romantic than Classic in their spirit. Here, emphasis lies on Mozart's last decade of life, rather than arguing whether Mozart was a Classicist or Romanticist.

Mozart embodied in his works the Classical ideal of objectivity and balance. Because he conveyed the aloofness and reticence of Classicism, it is difficult to realize the personal tragedy that haunted most of Mozart's short life. One of the most important characteristics of Mozart's music is that lyricism is employed for personal detachment, the listener never being conscious of the personal Mozart, only of musical spirit, and the personification of abstract and generalized youthfulness.

What could be more Greek, more celestially remote, than G minor Symphony. . . . What could be less a detailed biography of a hero, more an ideal sublimation of his essential character than Jupiter Symphony? And even in such a deeply emotional conception as the introduction to C-major Quartet, can we label any specific emotion? Can you point to measures and say, "Here is grief; here is disappointment; here is requited love?"²

Schumann, on the other hand, expressed his own personal feeling in his works and appears to us vividly in person. Every piece tells a story of his life: his companions, love, conflicts, bliss, trips, etc. His lyricism directly stems from subjectivism and it is more specific and less generalized than that of Mozart.

²Mason, Romantic Composers, p. 15.

Mozart's most mature music was written during the last decade of his life as a resident of Vienna. In opera, Mozart's musical cosmopolitanism found its widest scope where the endless variety of tragic and comic situations were explored in their boundless humanity.³ His power of characterization was significant, Mozart realizing opera as a drama in music, not a drama with music. His operas were the sublimation of his creativity and no great quantity of operas in our history of music are as excellent as Don Giovanni and Marriage of Figaro. In his operas, Mozart combined Classical organization with dramatic intensity.⁴

Schumann was never comfortable with opera composition. For example, Genoveva lacks dramatic intensity and organization. We cherish Schumann because of his piano works and songs of personal lyricism and humanity. His operas which he turned his attention later in his life, were far from being a sublimation of his artistic creativity and endeavours. Schumann, who naturally leaned toward passion and emotion, often failed to exercise a sense of dramatic balance and unity in opera. Furthermore, his dramatization of characters and situations fall into loose and tedious mannerism. Rather a tone-poet than

³"Every possible amorous situation is explored with objectivity, deep psychological insight, good humor, and warm understanding." (Lang, Music in Western Civilization, p. 588.)

⁴"His [Mozart's] emotional range is enormous. . . yet all takes place within an ordered framework and nothing ever gets out of hand." (Ibid.)

a dramatist, Schumann's operas did not attain the power of universality for which Mozart's are cherished.

Both Mozart and Schumann had tremendous melodic inventiveness. But whereas Mozart took a small motive and developed it in various ways, Schumann's themes are rather complete in themselves, and gave the composer less opportunity to unfold his musical ideas. Mozart's music has variety and shades of delicate musical lines, while Schumann, with all his touching lyricism and personal humanism, often is guilty of overdoses of repetitious thematic material without inventive metamorphosis.

Beethoven and Schumann

"Because of his increasing deafness," say Wold and Cykler,⁵ "Beethoven was forced to abandon his concert career and to accept his fate as a composer." They add, "What performance could have accomplished in personal expression now must find voice only through composition. Beethoven's works now became the vehicle for individualized personal expression." This seemingly profound statement reminds us of Schumann's fatal accident. He lamed the fourth finger of his right hand, which motivated him to devote himself more seriously to composition than ever before. Beethoven's deafness is significant in that it led him to draw his musical genius into the core of his struggling soul. In his last pieces, Beethoven dwelt

⁵Wold and Cykler, An Introduction, p. 206.

in a cosmos of sublime beauty constantly struggling and searching. He was listening to an inner voice uttering from the universe unheard by most of us. Conveying romanticism through abstract beauty, Beethoven's late pieces contain philosophical connotations not easily accessible to many people.

Beethoven's life may be summoned up as a struggle against fate and his music, its manifesto. His strong will and heroism sometimes become repelling even when we fully realize the importance and greatness of his music. His music conveys a majestic strong will-power against fate and temporariness. When this tendency becomes extreme, it sounds dogmatic and the impression is that he forces us to surrender to his will and agree with his spirit. Reviewing our history of music, there have been two quite different streams concerning the aesthetics of composers. One line believes that artistic intuition is much more important than intellectuality, while the other line emphasizes intellectual and philosophical content in music. Obviously Beethoven's musical world was significant propaganda for the latter line.

In every note and every word of Beethoven . . . erect and proud majesty of soul spoke with convincing assuredness . . . the music was the incarnation of strength and integrity. . . . In his idealism he identified himself with the point of gravity of his period, which stood for a friendly progress toward the realization of dignity, freedom, and beauty of man, which it palpably believed capable of achievement. . . .⁶

⁶Lang, Music in Western Civilization, pp. 750-751.

Schumann cherished the intuitive function of the artistic genius, and was not drawn to intellectual or philosophical tendencies. Although in his Davidsbund he fought against the Philistines and conservatism, his interest remained always in a personal realm and resided in the first line of the two differing aesthetic points of view. Can one find strong will power in Schumann's Papillons, Carnaval, or Spring Symphony? The heavy, thick chords in the lower register of the piano, which are so abundant in Beethoven's pieces, are suggestive of his musical temperament. On the other hand, Schumann's figuration is rather ramifying and whimsical, pouring forth from his personal vein of lyricism. As concerns musical aesthetics, these two composers stood in totally different streams.⁷

Mendelssohn and Schumann

Mendelssohn's objectivity was a guiding force in his discreet Romantic musical world. He was not comfortable with unbounded exhibitions of deep feeling. Even though he showed unmistakably the Romantic interest of illustration in his Midsummer Night's Dream, Scotch Symphony, Italian Symphony, and Hebrides Overture, he was less characteristic of his period than any of his contemporaries.

⁷Several other differences between these two composers may be traced: for example, the differences in their logic of thematic development, in the association of words with their music, etc. But these are of minor importance compared to the difference found between their basic aesthetics discussed in the text.

Artistic creation originates from an interplay of unconscious and conscious building force. . . . In Mendelssohn the conscious element are conspicuous . . . for him an artistic understanding with prevailing social order was an emotional necessity.⁸

Schumann, on the other hand, rebelled against tradition and his music abounds in conflict spiced with warm and youthful humanism. Schumann chose an artistic road quite different from that of Mendelssohn. To him the pursuit of problems and conflicts of emotions were indispensable; he was a full-blooded Romantic to the core.

Once the two musicians became acquainted with each other at the Wieck's, a warm friendship ensued. Schumann was fascinated with the charm and neatness of his friend's personality. When Mendelssohn made his debut as conductor of the Gewandhaus concerts, Schumann reported it with an enthusiasm peculiar to him:

In the first movement there flew to him a hundred ears. . . . It was a joy to see how, with his eye, shaded in advance the spiritual sinuosities of the compositions, from the most delicate to the strongest. How unlike the conductors one sometimes comes across, who threaten to beat up with their scepters the score, the orchestra, and the audience.⁹

When Schumann wrote of the Piano Concerto, No. 2, by Mendelssohn, he compared him with Mozart and even with Beethoven:

Let us enjoy the fleeting, cheerful gift! It resembles one of those works thrown off by the older masters which recuperating from one of their greater exertions. Our younger master will certainly not forget how the older

⁸Lang, Music in Western Civilization, pp. 810-811.

⁹Schauffler, Florestan, p. 89.

ones would suddenly emerge with something magnificent
 --Mozart Concerto in D minor, Beethoven's in D.¹⁰

To the author it seems that Classical-bred Mendelssohn did not pay the same respect and enthusiasm to Schumann as the latter did to him. Nowadays Schumann is considered to have been much further ahead in understanding the streams of Romantic art than Mendelssohn, but at the time, the situation was quite opposite. Mendelssohn, who was "born out of due time in an age of Romanticism,"¹¹ was incapable of understanding the essence of revolutionary movement which was manifested so eloquently by Schumann. Even though Mendelssohn excelled in the "nicety of touch", "refinement of thought", and "perfection of finish",¹² he could not properly value the great emotional vividness and profundity contained in his friend's music. Mendelssohn's conservatism could never fully comprehend the significance of the messages which Schumann poured out of life-soul into music and journalism.

Schubert and Schumann

It has often been mentioned that Bach's music was the ideal fusion of Apollonian and Dionysian worlds.¹³ After

¹⁰Schumann, The Musical World of Robert Schumann, p. 151.

¹¹Schauffler, Florestan, p. 89.

¹²Hadow, Studies in Modern Music, p. 165.

¹³Frank Boehnlein, Handbook of Musicianship in the Contemporary Classroom, manuscript, pp. 113.

Bach, from the historical point of view, Beethoven began as a Dionysian lyricist; then, in his great string quartets and last three piano sonatas, he attained the ideal concentration of both spheres.¹⁴ Both Schubert and Schumann remained faithful to the lyrical side throughout their lives. But the lyricism of Schubert and that of Schumann differed. Realizing that essential difference between these two musicians may help to understand Schumann's personality and the characteristics of his music.

It was Schumann who discovered the manuscript of Schubert's C-major Symphony. In 1840, he wrote an article about this symphony in the Neue Zeitschrift:

Here, beside sheer musical mastery of the technique of composition is life in every fiber, colour in the finest shadings, meaning everywhere, the acutest etching of detail, and all flooded with a romanticism which we have encountered elsewhere in Franz Schubert.¹⁵

Regardless of Schumann's enthusiasm of Schubert's music, there existed an essential difference between them. Melody in Schubert's music is sweet, tender and beautiful. His lyricism is full of originality poured out of a romantic

¹⁴Stravinsky, in a review of Beethoven's quartets in September, 1968 issue of the New York Review of Books, wrote as follows:

"These quartets are my highest articles of musical belief . . . as indispensable to the ways and meanings of art, as a musician of my era thinks of art and has tried to learn it, as temperature is to life. There are a triumph over temporality, too. . . ."

¹⁵Schumann, The Musical World of Robert Schumann, p. 165.

vein. But we can not help the impression that his lyricism did not always possess profound depth, and sometimes it was void and transparent. Schumann, on the other hand, poured into his music his overflowing emotion in flesh and blood. He was more nervous, responsive, reflective and sensuous than Schubert. His lyricism often sound crude and raw. It sometimes lacks sparkling originality, but it implores one to have sincere sympathy with the composer's innermost being--his soul.

No other Romantic composer was more eloquent in believing "art for art's sake" than Schubert. Unlike Schumann and most Romantic composers, literary activities never drew great attention from Schubert. His life was music; melody, harmony, and a lyric spirit.

Chopin and Schumann

In Chopin's music we come across upsurge, a stormy thunder of lyricism. However, Schumann's emotion is more personal than Chopin's. Listening to Schumann, it seems as if one can visualize the Schumann who suffered, struggled, and stumbled in his life and whose life was filled with anxiety, bliss, and despair simultaneously. The person Schumann, whose life abounded in pathetic repetition of trial and error and more importantly, who chose it, is portrayed everywhere in his music. Chopin's emotion, on the other hand, was more detached, controlled and refined.

A difference exists between the harmonic schemes of the two composers. Both preferred to weave their musical texture with meaningful dissonances. In harmonic organization Chopin's dissonances assume abstract delicacy, while Schumann's dissonances are more direct. His harmony is more personal than Chopin's:

. . . While Chopin, more fastidiously delicate, coaxed his dissonances to float like a diaphanous veil over pure chords, Schumann, with true Teutonic luxuriousness, filled every available space with suspensions, and passing notes, and emphasized the damper pedal. His piano style is much more massive than Chopin's.¹⁶

Both Schumann and Chopin failed in sonata form according to the traditional Classic point of view, and their lyricism found its most effective means in short miniature pieces. Schumann's genius sparkles in lyric pieces conceived on a small scale: Chopin's Preludes, Impromptus, Waltzes, and Ballads will probably be cherished for ever. But Chopin's miniature pieces have a cosmos more profound and universal than Schumann. His musical language in short lyric pieces exists on a different plane than Schumann's. The universe of his music is the complete antithesis of the Classic, especially Beethovenian, world. "The elements of Chopin's art are not subjected to a higher law of form; the enchanting melody and multicolored harmony weave their own fantasylike form that corresponds amiably to the nature of this music."¹⁷

¹⁶Mason, Romantic Composers, p. 123.

¹⁷Lang, Music in Western Civilization, p. 814.

Some might think that Chopin's musical language existed on a higher level than that of Schumann. But do not forget that superficial generalization in the evaluation of creative genius may be easily distorted and become prejudicial. We each may conceive the function and significance of music in our daily life and spirit in a different way. Some would more often rather listen to Schumann and resort to his artistic energy which is sympathizing with, responsive to, emotion--despair, sorrow, bliss, and longing for the unattainable eternity.

Tchaikowsky and Schumann

Tchaikowsky was a great Romantic composer whose music has been loved. But sometimes the impression lingers that Tchaikowsky begs the listener to pity him. He was overwhelmed with self-pity and repeatedly emphasized the sentiment and misery of his spirit, brooding and lamenting. Despite his appealing exotic melodies and inventive orchestration, he never transcended his melancholy and sentimentality into a higher personal lyricism, which Schumann embodied in his lyric pieces. In Schumann emotion knocks at the door of musical heart naturally with earthly human garb, and it is therefore appealing, persuasive, and most of all, interesting in its own right.

Berlioz and Schumann

Like Schumann, Berlioz' creative genius found its

effective channel both in music and in journalism. His Evenings in the Orchestra was a collection of important essays concerning his philosophy of music as well as the current musical ideas of the nineteenth century. His Memoirs show as the current musical ideas of the nineteenth century. His Memoirs show his genius in the literary field. His great enthusiasm for Goethe, Byron, and Dante resulted in the oratorio, Damnation of Faust, the symphony, Harold in Italy, and the Requiem respectively.

In program music Berlioz' genius is vividly found and realism reached a new zenith in Berlioz' programmatic symphonies and oratorios. For example, the Fantastic Symphony with its extramusical program abounds in realistic treatment of musical materials. But needless to say, he could not and would not follow traditional symphonic construction exactly. Even though one may trace a Classical thematic logic in the symphony's first movement, its dramatic intensity and mysterious bewitchment necessitated a divergence from the time-honored Classical logic. Schumann's symphonies follow traditional symphonic construction and the themes unfold by well-trodden traditional means. A program in Schumann's work is more generic, abstract and broad. It does not tell a specific story or illustrate a specific emotion. Schumann's program is similar to that of Beethoven's Eroica or Egmont. Schumann's programs generalize personal lyricism. Berlioz' programs, on the

other hand, are specific and realistic. He employed idée fixe and by such metamorphosis the movement depicts dramatic situation and development. So, Berlioz' idée fixe is not akin to Schumann's theme. It serves as a symbol of personality or of event and subsequent dramatic unfolding.

Berlioz pushed the Romantic concreteness even beyond the range of sentiments and emotions to invade that of facts and events. If Schumann and his fellows are the sentimental novelists of music, the Thackerays and George Eliots, here are the naturalists, the scientific analysts, the "realists" with microscope and scalpel in hand, the Zolas and Gorkys.¹⁸

Berlioz was greatly interested in tone color of various instruments and his orchestration and instrumentation was suited effectively to the dramatic intensity of the programs in his music. Is there any other instrument than the English horn which could be more effective in the "Scene in the Country" of the Fantastic Symphony? It is amazing how creatively he used the tone color of specific instruments to unfold his programs. Schumann's tone color does not have that mysterious, thrilling, monstrous,¹⁹ or fairy-like quality and poetic dramatic intensity peculiar to Berlioz.

Both Schumann and Berlioz were innovators in literature and music. While Schumann was comparatively warmly accepted

¹⁸Mason, Romantic Composers, p. 23.

¹⁹Heine commented on Berlioz as follows:
 "Here is the wingbeat that reveals no ordinary songbird . . . it is that of a colossal nightingale, a lark the size of an eagle, such as must have existed in the primeval world." (Lang, Music in Western Civilization, p. 658.)

by the people, Berlioz had difficulty in reaching people. His music was repulsive to the less initiated and miraculous to his worshippers. It is often difficult for people to really understand his music, and even Schumann and Debussy did not show great enthusiasm for it.

Liszt and Schumann

Liszt was a curious mixture of two opposite characters --charlatan and idealist. His protégés, his dazzling virtuosity, his romantic love, his religious inclination, his brilliant musical essays and his significant musical achievement, all combined together and his whole career was one of exhibitions of two personalities in alternation. On the one he had the frankness, the magnanimity, the humility even, of the true artist; on the other hand, the affection, the strut and posture, the cheap theatricality, of the prodigy playing to the audience.²⁰ Both Schumann and Liszt had dualistic traits in their personality. The difference is that Schumann's dualism was expressed introspectively, while Liszt's was exhibited exprospectively.

Despite his outwardly polite attitude toward women, he harbored a deep bitterness toward them and his humor was devilish and cynical. Schumann's humor had warmth and humanity and there seldom was sophisticated artificiality in his personality. Overheated enthusiasm of his admirers eventually

²⁰Mason, Romantic Composers, p. 310.

made Liszt a slave of the public and this became one of the primary causes for his cynicism and artificiality.

His lyricism and artificiality inevitably projected themselves into his music. His musical ideas which are the instinctive thoughts of his mind, are dull and commonplace. Liszt was far more a virtuoso in developing his ideas than Schumann. His clever treatments of original ideas are astounding and deceptive: his virtuosity was physical but not spiritual. Quite often we come across the passages full of mechanical and sensual emptiness. Schumann's musical ideas, on the other hand, were much more profound than Liszt's. Consequently his music is more touching and appealing despite his lack of virtuosity in musical construction in which Liszt excelled. Even Liszt's frequent chromaticism was abused in his desire to impress people with vague emotions and independent thrills. Mason says in Romantic Composers that the harmonic idiom of the "Liebestraum, No. 3" degenerated into emptiness despite its amiable melody. Schumann's harmonic idiom was not guided by insidious artificial sensuality, but by personal humanism. Liszt does not alternate, as does Schumann who is profoundly in earnest, between manly force and feminine tender; "He alternates between empty pomposity and equally empty mawkishness."²¹

His inventive orchestration, harmony and musical cons-

²¹Mason, Romantic Composers, p. 333.

truction give Liszt a unique position in the history of music. The purpose here was not to accuse Liszt, but to understand one aspect of Schumann's personality through a comparison of the two men's personalities.

Brahms and Schumann

In every period of art, there has been counter-current. In the nineteenth century three people, Brahms, Bizet, and Verdi, were opposed to the current Romantic tendency of music and stood against the literary and philosophical orientation in it.²²

Brahms's music was Classically poised. Even though Brahms was aware of the fact that the age of Classical Symphony had passed with Schubert, he had profound admiration and longing for that prior age. In his symphonies Brahms embodied the Classical beauty of symphonic form. One realizes that Brahms challenged fate itself with sincere artistic belief as a sort of Elijah. His musical world was not influenced by the swaying powers of majestic Wagner or Liszt; rather, he remained in his own musical world quite apart from his contemporaries. "The leaders of the revolutionary movement in music after Beethoven (in which Schumann indeed expected a Messiah and thought he had found him in--Brahms)," said Hugo Wolf in wonder, "Have passed by our symphonist without leaving a trace on him. . . . Brahms writes symphonies regardless of

²²Lang, Music in Western Civilization, p. 895.

what has happened in the meantime."²³

It would be difficult to find a closer mutual friendship between two people than the relationship between Schumann and Brahms. Brahms visited Schumann with notes of introduction by Joachim during his Rhine journey in 1853. After Brahms played a few bars of the C-major Sonata, Schumann interrupted excitedly and exclaimed, "Clara must hear this!" When Clara entered the room he cried: "Now you shall hear such music, my dear Clara, as you have never heard!" In no time there grew a mutual friendly respect between the two composers and in Brahms' heart Clara Schumann became an unquenchable love of purity and sincerity. In no time Schumann introduced Brahms in his momentous article for the Neue Zeitschrift für Musik with enthusiasm. Schumann proclaimed "the advent of a genius in whom the spirit of the age should find its consummation and fulfilment; a master by whose teaching the broken phrases should grow articulate and the vague aspiration gather into form and substance."²⁴ Even when he was struggling against fateful melancholy and mental disturbance, Schumann wrote to Brahms with warmth and trust:

How I long to see you, dear friend, and hear your lovely Variations [Op. 9] played either by you or Clara, of whose beautiful rendering Joachim told me in his letter. . . . Thank you . . . my dear Johannes, for all your kindness to Clara. She speaks it constantly in her letters. . . . The winter is mild. You know the neighbourhood of Bonn. I can always find in Beethoven's statue and the charming view over the Siebengebirge. It was at

²⁴Hadow, Studies in Modern Music, vol. 2, p. 238.

Hanover that we last met. Be sure and write soon to your charming and loving friend.²⁵

(Written on November 27, 1854.)

In the musical world of Brahms, one discerns dualistic traits. At first sight, his music seems objective, but underneath the epic poetry there is an unmistakable subjectivity. For example, his F-minor Sonata (Op. 5) is filled with Romantic spirit. Its first movement could not be described other than as an exhilarating excitement of overflowing emotion. Can one think of another composer who wrote a slow movement more amiable and deeply touching than Brahms in this sonata? It is obvious that Brahms maintained a Romantic tendency in his nature; even the Classically-constructed pieces reveal Brahms as a Romantic soul. Compared with Schumann, Brahms technique of counterpoint was on a higher level and he seems to have more readily understood Bach's polyphony. His counterpunctal interweaving assumed an artistic quality which Mendelssohn or Schumann could not have achieved for all their great respect to the Master. Schumann expressed his emotion through subjective Romantic style, while Brahms tried to combat the Romantic tendency with discipline and resignation. Lang interprets Brahms' dualism as his tragedy, the tragedy of all sensitive, aristocratic souls devoted to tradition:

To him whose whole soul is scarred by hidden wounds
sincerity is a bitter conscientiousness; to him who

²⁵Schumann, The Letters of Robert Schumann, pp. 293-294.

carries the past in himself the essence of conscientiousness is a faithful and moral obligation to the past, for the dissention between past and present means new wounds and eternal remorse.²⁶

Both Brahms' music and his life were based on an extraordinary sensitivity to sincerity and conscientiousness. Schumann's personality and works contain like sincerity and humanity. But Brahms' world was more closely related to that of Hamlet's than was Schumann's. Brahms' tendency toward solitude in the midst of tumultuous artistic surroundings convinced Wagner to call him "The chaste Johannes". Schumann, on the other hand, plunged himself into the Romantic revolution even though he had a tendency to withdraw from reality, and to find himself in a fairy dream land more often in the later years of his life.

Wagner and Schumann

Wagner professed nationalism²⁷ through his music drama (He did not like the term "opera".) and he believed he was a prophet for the music of the future and a savior of nineteenth century music. His heroism may be traced back to Beethoven. It can be related to that of Richard Strauss even though their musical medium was different; Wagner excelled in opera, while Strauss excelled in symphonic poems. (Later in

²⁶Lang, Music in Western Civilization, p. 897.

²⁷Even though Schumann believed that German musicians should be more conscious of their tradition and he expressed the importance of being conscious of German spirit, his nationalism was that of personal lyricism and did not abound in the majestic gestures and heroism of Wagner.

his life Strauss paid great enthusiasm to operas.) Schumann's musical universe was, on the other hand, personal and lyric and naturally heroism did not draw his attention remarkably.

Wagner sacrificed formal considerations and thought that all the arts, including music, should be synthesized into a new and compelling medium of artistic expression, which, he believed, was embodied in his music dramas. It is ironical that his overtures and excerpts from his operas are performed without the aids of multi-media. Anyway, Schumann rarely tried to synthesize all the arts even though he had a great inclination toward literature.

Regardless of his failure to provide a lasting musical medium for the music of future, Wagner's operas are masterpieces still cherished today. His inventive use of leitmotif intensified the dramatic unfoldings of his music. Schumann was not comfortable in this genre of music and of Wagner, he made several reference, betraying a most remarkable struggle between critical honesty and professional jealousy. In 1845, Schumann wrote to Mendelssohn about Tannhäuser, that Wagner could not write or conceive four consecutive bars of good or even correct music. Three weeks later he changed abruptly and told Mendelssohn that he was deeply moved by the stage effect of the same opera. The failure of Schumann's opera was mostly because of his lack of theatrical instinct, which was Wagner's trademark.

Mahler and Schumann

In mahler, we can visualize the composer whose life stumbled through trial and error and we cannot separate Mahler the composer and Mahler the person who was "propelled by the life force, from boyhood to a manhood cut short at the age of fifty-one, developing, striving and surviving by trial and error, influenced by tendencies from the parent stock and, once out of the womb, very much at the mercy of chance and vicissitudes of growth and adaptation."²⁸

Mahler tried to write a prescription for the mental diseases of modern society and to analyze the cause and effect of the suffering human being's soul in this relentless earthly world. Hence, the personal element in his music assumes a psycho-analytic trait, and Mahler wears a psychiatrist's research gown. Regardless of the irony that Mahler himself was morbidly insane and suffered always, the above-mentioned trait concerning his approach to music was significant. His genius was eloquent in the orchestration and treatment of thematic materials, whose effect was solely for the purpose of social, psychological adjustment.

Schumann almost never attempted such a stupendous philosopher-musician's project, but dealt with earthly human emotions and thought. Of course this may have been his limitation, but he was honest enough not to do things which his too

²⁸Neville Cardus, Gustav Mahler (London: V. Gollancz, 1965), p. 8.

personal, Romantic spirit could not do effectively. Schumann, as the author mentioned earlier, never turned his attention to the spiritual realm of the universe and seldom sought answers from god(s) or the Universal Being. In Mahler we can easily sense an endeavour to pursue the truth of the universe and to relate it with the suffering soul of human beings. He himself said that he underwent philosophical metamorphoses while he was composing the symphonies.

In piano music, the musical genius of Schumann is shown most vividly. But his symphonies, except Spring, have not attracted the attention of the musical world a great deal. Mahler has been regarded as one of the greatest symphonists in the post-Romantic era. It was natural that Schumann excelled in piano work while Mahler was important as a symphonist. Mahler, in his Second Symphony (Resurrection) turned his attention to the Universal Being, searching answer for his ever-questioning soul. His Eighth Symphony shows Mahler developing further in that direction. Even though he fell into a quasi-oriental fatalism in Das Lied von der Erde, the important thing is that Mahler did try to relate his innermost being with spiritual universality. That perhaps is one of the reasons why Mahler, despite the severity of his mental illness, did manage to live comparatively sound, while Schumann ended his life in an asylum.

R. Strauss and Schumann

Quite unlike Richard Strauss, Schumann did not pound

upon us his world-redeeming philosophy. Nowhere in Schumann can we find the Nietzschean assertion of the dogmatic philosophy, "Superman". Especially in Also Sprach Zarathustra, and Ein Heldenleben the author believes that Strauss' philosophy overwhelmed his music and borders on the repulsive and dogmatic, for all their unparalleled beauty of orchestration and magnificence of musical scheme. Music without deep thought, philosophy, or concern about the spiritual world is often void and does not have the power of universal sympathy. In the case of Strauss, philosophy became much too dominant and his method of transfusing philosophy into musical thought was dogmatic to extreme. Schumann may be criticized that his music did not have any outstanding elemental philosophy, but he was right in omitting it. Besides, Schumann's philosophy can be seen as his preoccupation with personal feelings, and emotion, and before it reached the people to whom he addressed himself it was transformed into a meditative contemplation at a very personal level.

CHAPTER IV

A SURVEY OF PIANO WORKS OF ROBERT SCHUMANN

We can divide Schumann's compositions into several groups. His first published piece, Abegg Variations (Op. 1), was composed when Schumann was twenty. The following nine years were devoted to piano music exclusively, succeeded by a year of song composition. The remaining years of Schumann's life may be divided into three lesser periods: the symphonic period, that of chamber music, and that of choral works. The author believes that Schumann excelled most in his piano works, even though his beautiful and deeply touching songs are also highly regarded by many people. As we know, Schumann's first desire was to be a pianist and he practised that instrument rigorously and religiously, especially after "his twenty years' war between prose and poetry--between music and law"¹ ended with triumph on the side of music. Piano being Schumann's instrument, Ernestine von Fricken, with whom Schumann once fell rather boyishly in love, was his piano student. His wife, Clara Wieck, was the finest young female pianist of her generation. Thus, it seems more readily apparent why Schumann found his most effective and comfortable means of expression on the keyboard of piano. Of the piano works, those written during

¹J. A. Fuller-Maitland, Schumann (London: Sampson Low, Marston & Co., Ltd., 1884), p. 1.

1830-1840 speak most eloquently of Schumann both as a composer and as a person.

General Characteristics of the Compositional
Technique in Schumann's Piano Works

In regard to Schumann's system of melody, the close relation of the musical world with the literary world (mainly poetry) extended as well to the versification of his melodic system. Hadow says that most of Schumann's melodic lines contain a remarkable sense of unity, yet one can still observe certain variations of detail in order to preserve freshness and avoid monotony. Schumann's melodies are much easier to analyze than those of Beethoven, and the reason may be that in Beethoven "a series of entirely different elements is fused into a single whole," while in Schumann "a set of parallel clauses are balanced antithetically."² While in Schumann the rhythmic figure may be preserved in toto, musical variety is still present in the poetic treatment of tone and curve of melody.

Another characteristic of Schumann's melodies is that they are fragmentary and whimsical. Schumann generally does not develop his melodies, but simply states one after another. His music impresses us "not by its cumulative power, its orderly advance, but by the sheer charm of its primitive ele-

²Hadow, Studies in Modern Music, vol. 1, p. 213.

ment."³

The melodies in his music occasionally lack originality, but owing to Schumann's ingenious harmonization and skillful treatment of interweaving texture, they become extremely appealing and interesting. For example, Abegg Variations and especially Carnaval would not achieve their historically tremendous musical effect⁴ having only five musical notes per work as they do, if Schumann had not displayed such a high degree of genius in his treatment of thematic materials and harmonization. I.e., quite often Schumann would disguise the melody in the inner voice of a thick harmonic texture or envelop it with wandering arpeggio. Another interesting device is Schumann's emphasis of the bass and his fondness of long sustained organ chords, examples of which abound in the second and third movements of the Fantasia in C.

Schumann's eccentric and peculiar harmonizations abound in effects of shock and surprise. His favorite harmonic devices were:

. . . strong unprepared dissonances, entrances of chords before we expect them, delays of the expected ones, entire evasions of the seemingly inevitable, and felicitous transitions into the seemingly impossible.⁵

³Mason, Romantic Composers, p. 119.

⁴"No one can hear the Carnaval . . . and not be impressed by a feeling that therein the piano speaks a language, tender, dreamy, and in a way, daring, yet entirely free from mere display or even show of the virtuosity. . . ." (Patterson, Schumann, p. 190.)

⁵Mason, Romantic Composers, p. 121.

The rich harmonic and tonal effect of Schumann's music reminds us of the fact that he was fond of using pedals, rambling through all types of the then-strange harmonies, dreaming to himself in his imagination.

In Schumann's pieces, syncopations, constant rhythmic shifts and change of tempo often occur, as does the placement of the melody on the weak beats of the measure for the sake of emphasis. Schumann also employs different metrical and rhetorical accents simultaneously as in Des Abends in which three groups of sixteenth notes in the melody are set against two groups of three sixteenths in the accompaniment.⁶

Variations and Sonatas of Robert Schumann

Even though Schumann matured in the line of the second Viennese school, that is, in the line which developed from Beethoven, and included Schubert, Brahms, Mahler and Schoenberg, his architectual formation was weak, and quite often fails in the sonatas, due to a lack of symmetry in large musical forms. His formal abilities were more suitable, and therefore successful, in the short, condensed pieces in variation form or in sets of separate short pieces, such as Papillons and Kinderscenen rather than in the grand sonatas. Variations, therefore naturally became his main realm of composition, where Schumann's lyricism and musical genius found their place most comfortably in the conciseness and concentration of the

⁶Mason, Romantic Composers, p. 121.

variation form.

Schumann had, in his youth, studied Hummel and Moscheles whose variations (which were brilliant, rather than intellectual) were in vogue at that time. This vogue encouraged Schumann to continue in the variation form. However, it is significant, that Schumann developed the variation form to a much higher dimension than ever achieved by Hummel, Moscheles, or other popular composers of the time:

Schumann took an active part in restoring to the variation the honorable status it had enjoyed in the hands of Bach and Beethoven. How Schumann treated variation-form is historically of some moment. How his preoccupation with the writing of variations influenced his whole art of composition is a matter which is of sufficient interest.⁷

Before the Abegg Variations, Schumann had written a set of variations (Variations for Four Hands upon a Theme from Prince Louis Ferdinand's Piano Quartet) which was never published. Though this set of variations was not mature in techniques of thematic development, one can, however, sense the germ from which Schumann later created masterpieces such as the Symphonic Etudes (Op. 13).

The Abegg Variations develop from only five musical notes: A-B-E-G-G. Unlike Moscheles, Hummel, Herz and Czerny, Schumann did not pick the theme from any popular opera tunes. Instead, he took the theme from the last name of a charming lady, Meta Abegg, who had been his dancing partner at a Mann-

⁷Katheleen Dale, "The Piano Music", Schumann: A Symposium, ed. Gerald Abraham (New York: Oxford University, 1952), p. 12.

heim ball and translated it into musical notation. This device appears often in his compositions such as the Carnaval and Six Fugues on the Name of B-A-C-H.

Although the theme of the Abegg Variations itself is simple and seemingly uninteresting, it develops fascinatingly by various inventive rhythmic devices, syncopations and cross-accents. The harmonization is also unique in that Schumann did not follow the traditional method of variation development such as overlaying the tune with ornamentation. Rather Schumann tried to approach the piece by a psychological aspect "which rings change on the spirit of music rather than on its letter."⁸ Although the work occasionally reminds one of the mechanical brilliancy of Hummel and Moscheles, especially in the passages which seem to emphasize and display the virtuosity of the performer, the seed of Schumann's genius for depicting definite personalities and for describing poetic images of place and the things emerges nevertheless.

The next set of variations, the Impromptu, Op. 5, written in 1833, develops a theme, "Romance Variée", written earlier by fourteen year old Clara Wieck. Even though Schumann obtained the thematic idea from Clara's "Romance", he utilized only its melody and wrote a fresh bass in which the intervals of the falling and rising fifth are noticeable: C-F-G-C. The distinguished quality of the bass is one of the reasons which endow the Impromptu with a superiority over the

⁸Schauffler, Florestan, p. 278.

Abegg. One can recognize a remarkable improvement of technique in this set of variations, it being the stepping stone from which the later Symphonic Etudes arose.

The bass [of the Impromptus] is used prominently in several of the variations, and its opening bars form the powerful subject of the concluding five-part fugue, devices, which together with its final presentation, complete, as a melody in double octaves just before the closing bars, lend the whole work the character of a chaconne and endow it with a unity lacking in the Abegg set. ⁹

The Symphonic Etudes, which also owes its existence to the Fricken episode,¹⁰ has been universally regarded as Schumann's masterpiece, wherein he reached the zenith of artistic ingenuity of variation composing, elevating the form to the same lofty, aesthetic level as Beethoven's Diabelli Variations. Each piece of the Symphonic Etudes has its own particular mood, yet, at the same time is absorbed into the musical unity of the whole. Variety and unity enjoy an ideal friendship.

Quite unlike variation development, the sonata form generally requires composers to conceive their musical materials, ideas and devices on a large scale than the former and the composers need a sense of architectural symmetry and cons-

⁹Dale, "The Piano Music", Schumann: A Symposium, p. 21.

¹⁰Ernestine's father was a keen music-lover and had some musical talent. He had sent Schumann a set of variations which he had just completed for the flute, inviting the opinion of his prospective son-in-law. Schumann not only responded with a detailed and remarkably astute criticism of the Baron's efforts, but also began to write variations of his own on the Baron's theme, a set which after many changes of mind eventually emerged in print in 1837, under his own name, as Symphonic Etudes. (Joan Chissell, Schumann Piano Music, [Seattle: University of Washington Press, 1972], p. 22.)

truction. It was natural that Schumann was not enthusiastic toward this branch of composition in that he himself did not favor a strict musical education and discipline and his own education assumed a random character. He often complained of boredom concerning the study of musical theory:

Evening, theory by Weber. Oh this theory, this whole theory! If only I were a genius, so that I could kill all dullards with it; would I not like to load it all in a cannon and shoot someone dead with it!¹¹

Observation can be drawn from the Zwickau sketch-book and other manuscripts that Schumann eagerly sought the essence of polyphonic technique in Bach's Well-Tempered Clavichord. But his concept of contrapuntal technique was loose, his works inevitably lacking symmetrical organization and suffering from Schumann's lack of serious musical training.

Schumann contended that a great artistic creation does not necessarily emerge from a composer who first makes an outline of his work and then weighs all the pertinent impressions which have occurred to him. Rather, it springs from the hidden depths of imagination.¹² He valued the significance of creative imagination more than the ability to construct logical symmetry of musical form.

Schumann wrote three sonatas. The first (Op. 11) was

¹¹Robert Schumann, quoted in Wolfgang Boetticher, Robert Schumann: Einführung in Persönlichkeit und Werk (Berlin: Hahnfeld, 1943), p. 110, quoted in Brown, The Aesthetics of Robert Schumann, p. 29.

¹²Brown, The Aesthetics of Robert Schumann, p. 29.

written during 1833 and published in 1836. In F minor, it was "dedicated to Clara by Florestan and Eusebius." The second sonata, in G minor (Op. 22), was completed in 1838, whereas the last one (op. 14) was finished in 1855. Since he did not finish the last movement of the second sonata until 1838, the opus numbers of the two sonatas became reversed. The Fantasia in C may also be regarded as conceived in the context of sonata form.

Under closer analysis, Schumann's sonatas generally lack compactness in structure and stumble in the development of neatly schemed form:

It was the development-section which was Schumann's stumbling-block. Sometimes he omitted it altogether and lengthened the movement with a coda, as in the finale of Op. 11, or he replaced it by a self-contained interlude . . . to counteract the overstatement of thematic material in the exposition and recapitulation. . . . That [Development section] of Op. 22 is far more regular in construction, but even here Schumann was so ill at ease in the so-called development section that he was driven to dulling the effect of the recapitulation by reverting to the tonic key and exploiting the principal subject long before either was due for re-establishment.¹³

Regardless, Schumann's ingenious lyricism and humanity fill the pieces, musical ideas transformed into charming beauty. Schumann compensated for his weakness in formational logic by inventive variety; he showed great enterprise for instilling into each of his works a consummate zest for life. No two sonatas were planned alike, nor did Schumann ever

¹³Dale, "The Piano Music", Schumann: A Symposium, p. 47.

compose two movements similar in construction or style.¹⁴

Thus, the true beauty of Schumann's pieces can be appreciated by people who are willing to strive for an understanding of an emotional logic concealed beneath the external, technical and structural devices of his sonatas. The particular movements are endowed with a lyrical and pianistic interest which by far outweighs disadvantages in other respects:

He meets his obligation [the slavery of form requirement] with marvellous abandon, and adorns the dry skeleton of scholasticism with trappings all his own; but the poet-musician is happier when, as in his fantasies and purely imaginative pieces, he gives full swing to his mental imagery and power of portraiture in tone.¹⁵

Schumann's last piece for solo piano was the Children's Ball, Op. 130, composed in 1853. Compared with the intensity of inspiration and the poetic treatment of thematic material which are manifest in his earlier piano works, the later pieces often lack originality. The rhythmic device become conventional and the tiresome repetition of feminine endings fall into cliché. Considering that Schumann's last published work was the Requiem for Chorus and Orchestra, composed in 1852, and yet he continued to compose for the piano till the end of his life, his late piano works do not deserve too great an emphasis in the author's opinion.

From the pianistic point of view, interesting aspects

¹⁴Dale, "The Piano Music", Schumann: A Symposium, p. 47.

¹⁵Patterson, Schumann, p. 185.

must be observed. Schumann did not like to have wide gaps between the right and left hands, so most of the time the center of the keyboard is focused. If extremes of the keyboard seemed appropriate to Schumann, both hands nevertheless remain comparatively close to one another. The early pieces require great mastery of piano technique, due to the complexity of texture, neatness of pedalling, wide stretches in thick chords and continuous rapid leaps of long passages such as the opening section and coda of the second movement of the Fantasia in C. The finale of Symphonic Etudes is an excellent example in that it requires of the performer a supreme mastery of both technique and musical interpretation:

The sonatas and some of the longer works can be adequately performed only by very highly qualified players, and many of the shorter pieces which are technically less exacting require extremely skillful interpretation.¹⁶

The late piano pieces do not attract the attention of the pianists, for they are more prosaic and are loose in emotional context.

In conclusion, Schumann excelled most in theme and variations, and was weak in construction and symmetry in the sonatas. Yet, because of their lyricism and harmonic and rhythmic treatment, the sonatas have been played continually for nearly 150 years, in spite of their weaknesses.

Programmatic Music of Robert Schumann

As mentioned earlier, the relationship between music

¹⁶Dale, "The Piano Music", Schumann: A Symposium, p. 67.

and literary aspects predominated during the Romantic era and music without poetic implication was unthinkable for many Romanticists. In his diary Schumann expressed his ideas on the relationship between music and literature as follows:

I said to Wieck: people are accustomed to find in music either happiness or pain. . . . Passionate moments pass by the less sensitive uncomprehended, indeed even despised. I prove that with Schubert and Beethoven, Why should there not be an opera without text, that would be equally dramatic?¹⁷

Even though the musical content is of the primary importance in music, Schumann believed that the extramusical element, such as the literary idea, can stimulate the composer's musical inspiration. But rather than imitate programmatic content as found in works such as Berlioz' Fantastic Symphony, Schumann tried instead to evoke a concrete story or tangible event by musical mood. Titles of his piano music often merely hint at the method of interpretation. Apparently, Schumann often did not employ his melodies to tell a definite story or to paint a definite picture, but rather, he sought to bring his hearers into a condition of mind from which they could go on romancing for themselves. "Schumann refuses," says Brown, "to enchain the listener's mind by demanding adherence to a definite program. The imagination of the listener is at liberty to form any association appro-

¹⁷Robert Schumann, Robert Schumann, quoted in Hans Joachim Moser & Eberhard Rebling, (Leipzig: Breitkopf und Härtel, 1956), p. 109, quoted in Brown, The Aesthetics of Robert Schumann, p. 161.

private." ¹⁸

Programmatic tendencies are traced into most of Schumann's pieces to a certain degree, but these trends are remarkably noticeable in Papillons, Carnaval, and Kinderszenen, and Kreisleriana.

Schumann received the inspiration for Papillons from Jean Paul Richter's Flegeljahre,¹⁹ especially from Chapter 63, "Larventanz" ("Masked Ball"). The masked ball was a symbol of illusion and inspiration for Schumann:

Undoubtedly the masked ball, half real, half fantastic, in which people by their very dissimulation betray their inner natures, exerted a strange fascination for Schumann. It is of all the themes the most romantic, expressing as it does the duality of human nature, the uncertainty of man concerning himself, and the haunting fear of the

¹⁸Brown, The Aesthetics of Robert Schumann, p. 161.

¹⁹Schumann once told his friend Simonin de Sire that he had learned more counterpoint from Jean Paul Richter than from Bach. Although this statement seems far-fetched, it shows how great was Richter's influence on Schumann. Richter's influence was significant on many other artists as well. Nowadays Richter is, at most, regarded as a sentimentalist, but in his days he was considered sensational. The reason may be that the style and the spirit of his works exactly concided with the prevailing tendency of the Romanticic movement. It must have been natural that his Flegeljahre which was typical of his style, and full of sentimental, grotesque, passionate, and humorous passages, could inspire Schumann's Papillons. Here are some excerpts from the last chapter of Flegeljahre:

"Walt allowed ever more confused sound to escape him--only the breath of speech--only stray butterflies blown to sea from far-off land. To Wina it sounded like a curious lark's song on a summer night. . . . From a distance Walt listened a rapture to the fleeting notes; for he did not realize that his brother was fleeing with them." (Dale, "The Piano Music", Schumann: A Symposium, pp. 38-39.)

Doppelgänger, . . . 20

As the story of Flegeljahre continues, two brother, Walt and Vult, the begetters of Eusebius and Florestan, are both in love with Wina. They go to a masked ball, Walt as Hope and Vult as a coachman. They exchange disguises at a ball in order to discover which of them Wina really loves. Vult, pretending to be Walt, is able to win the admission of love from Wina.

Schumann attempts to create the mood of a masked ball in Papillons, but does not aim to illustrate all the details of the story pictorially. Quick changes of mood throughout the piece illustrate the contrasting moods of Richter's Flegeljahre, but not its specific content.

In Schumann's composition, one can trace the classic-romantic-classic pattern occurring within the general Romantic framework, observable in other arts and philosophy of his time as well.²¹ Carnaval has fewer literary associations than Papillons. "Whereas Papillons is related to a story and has no title but nevertheless programatic implication," says Brown, "Carnaval has captions which are not related to a story but to

²⁰ Marcel Brion, Schumann and the Romantic Age, trans. Geoffrey Sainsbury (New York: The Macmillan Co., 1956), p. 134.

²¹ ". . . English literature moves from the measured couplets of Pope to the freedom of Wordsworth back to the discipline of Tennyson. . . . Philosophy moves from the nationalism of Leibniz and Locke to the idealism of Kant and Hegel and finally to the pessimism of Schopenhauer, the positivism of Comte, and the atheism of Nietzsche. . . ." (Brown, The Aesthetics of Robert Schumann, p. 10.

the mood of carnival time."²² For these reasons, Carnaval may may seem less romantic in intent than Papillons.

The motivic foundation of Carnaval is a set of variations Schumann had composed on Schubert's Sehnsuchtswalzer, for which purpose Schumann drafted three sets of sketches and preserved only one single variation. It eventually assumed position as the first twenty-four measures of the "Préambule" which opens the piece with majestic gesture by means of thick chords and loud dynamics, and passionate force of articulate accentuation.

Schumann's biographies tell us that he amused his friends by characterizing them through improvisation, and then asking them to guess the persons represented. This technique was transferred into his piano music, and is especially well-demonstrated in Carnaval. In the work, Schumann portrays not only his dual personalities, Florestan and Eusebius, but also his friends, the beloved Clara, and the carnival characters Pierrot, Arlequin, Colombine, and Pantalón. His characterization are vivid and personal. For example, after "Préambule", we are first introduced to the character Pierrot and a world of fantasy quite different from that of the "Préambule". In "Pierrot", the texture becomes compacted, the tempo slows down drastically and the dynamic level is greatly reduced from

²²Brown, The Aesthetics of Robert Schumann, p. 174.

the fortissimo of the prior piece to a piano.²³ Dynamic variety within a well refined phrase provides the piece with striking effect for the evocation of the sad clown Pierrot. Comparing the different moods between "Pierrot", and "Arlequin", one immediately senses the gaiety and cheerfulness of the latter carnival character. Schumann uses agitated skips to misplaced accents (sforzandos) coupled with an ostinato figure.²⁴ Compared with "Pierrot", the phrases of "Arlequin" are shorter and staccati following a brief legato motive is effective in the depiction of the whimsicality of this clown. It remains fascinating that Schumann was able to achieve such a striking effect of opposition between the two different fantasy worlds derived from these carnival characters, within such a short span of musical time.

Another example of Schumann's genius in characterization may be found in the contrast of moods between "Florestan" and "Eusebius". In "Florestan", Schumann reveals the passionate side of his personality by a soaring, restless theme which is set against thick, vibrant harmonies.²⁵ The method of drastic changes in tempo from M.M. ♩ = 60 to Adagio, followed by a return to tempo primo is significant in the portrayal of the impassioned, relentless and full-blooded character of Flores-

²³William Christ et al., Involvement with Music (New York: Harper & Row, Publishers, Inc., 1975), p. 383.

²⁴Ibid.

²⁵Ibid., p. 386.

tan. The refreshing effect of sforzandi on the weak beats of the measure, and the indication of leggiere at the Adagio section before the resumption of the passionate soaring passages with its loud dynamics and quick tempo are other indications of Schumann's ability of perceptive musical characterization. The beauty of "Florestan" derives largely from the fact that the soaring passages always reflect a humanitarianism and a personal lyricism which those of other composers, such as Richard Strauss, sometimes lack.

After "Valse Noble", whose excellence emerges vividly when compared with the waltzes of Johann Strauss where depth of personal lyricism seems often contrived, the introspective character of Eusebius is introduced. He is portrayed by tranquil pastel tones in a septulet which is for the most part, chromatically. Compared with the equally divided metrical rhythm of "Florestan", the effect of metrical diversity in "Eusebius" is so effective and thrilling that one can slip on beyond the imaginative world of music into a dream-like, Romantic state of his own.

Schumann's beloved Clara is portrayed in "Chiarina". Here the tempo marking is passionate and the theme, angular and sequential. Also used Schumann's favored dotted rhythms and the mood is loud and impassioned.²⁶ Not only for this piece but for many others as well, the beloved Clara was a

²⁶Christ et al., Involvement with Music, p. 386.

source of musical inspiration.

In "Chopin" Schumann pays tribute to the Polish master whom he respected. He creates an expressive miniature which reminds us of Chopin's inclination toward smooth, flowing melodies set to wide-ranging arpeggiated chords in the left hands.²⁷ We can easily recognize Schumann's penetrating insight into the other composers' musical world if we compare the contrast between "Chopin" and "Paganini".

Carnaval not only has the extramusical connotations associated with its individual pieces, but also those germinated from the musical letters, A-S-C-H. Asch is the name of the home town of Ernestine von Fricken with whom Schumann once fell rather boyishly in love.²⁸ Carnaval may be regarded as a loose set of variations, in that many of the pieces utilize the germinal musical notes as a basic theme. The letters ASCH probably do not have much deeper musical meaning,²⁹ but

²⁷Christ et al., Involvement with Music, pp. 386,390.

²⁸Schumann wrote: ". . . two gorgeous women have entered our circle, I told you [his mother] before of Emilia. . . . The other is Ernestine, daughter of a rich Bohemian, Baron von Fricken--her mother was a Gräfin Zettwitz--wonderfully pure, childlike character, delicate and thoughtful. She is remarkably musical--everything, in a word, that I might wish my wife to be. A whisper in my dearest mother's ear--if the future asked me whom I would choose I would answer with decision 'This one'." (Chissell, Schumann Piano Music, p. 20.)

²⁹However, "Asche" in German translates "ashes" in English. This could possibly be a play on words as regards Schumann's unrequited love for von Fricken.

"they form the basis of a soggetto cavato; they provide a cantus firmus for many of the pieces, and are the kernel for a net work of variations built on A-flat, E-flat, C, B and A-flat C, B."³⁰

The programmatic source of Carnaval is derived from the concept of a masked ball and is thus linked with Papillons. Schumann himself designated Carnaval as a loftier version of Papillons. The humor is "quaint, merry, and at times playfully mocking"³¹ and is harmonized beautifully in Schumann's warm humanity. His technical maturity as a writer of short pieces within the variation framework is ultimately noticeable in Carnaval:

Apart from the similar connecting thread, there is the same spontaneous charm of materials, the same sense of proportion and directness in its presentation, but all at a more fully developed level. Significantly, however, Schumann displayed quite so many of his cards face upwards on the table again.³²

Schumann was always fond of children and in his later years he turned his attention to the composition of music for young people. Thus came Kinderscenen and the Album for the Young, not to mention many other single pieces. The thirteen pieces of Kinderscenen are an adult's recollections of childhood for adult performers. When the critic Rellstab said of the pieces that they were the "snapshots of childlife",

³⁰Brown, The Aesthetics of Robert Schumann, p. 177.

³¹Patterson, Schumann, p. 189.

³²Chissell, Schumann Piano Music, p. 22.

which was exactly in opposition to what Schumann intended,³³ he proclaimed that the titles of Kinderscenen are only indicative of a general mood, not definite pictorial events of childhood circumstances:

Anything more inept and narrow-minded I have never easily come across, than what Rellstab has written about my Kinderscenen. He really thinks that I place a crying child before me and then search for tones accordingly. It is the other way around. However, I do not deny that while composing, some children's heads were hovering around me, but of course the titles originated afterwards and are, indeed nothing but delicate directions for execution and interpretation.³⁴

Compared with Papillons and Carnaval, Kinderscenen moves a step away from the Romantic conception of a union of the arts: the literary implication of the musical piece. The pieces of Kinderscenen have titles, but unlike realistic pieces, they are not related to a definite story. The pieces of the Kinderscenen achieve variety in musical unity, chiefly through Schumann's genius of uniting individual pieces together by the complementary and contrasting moods attributed to them.

With Kreisleriana, Schumann drew further upon the classic tendency rather than the Romantic concept of music. Even though the work evolves through a process of elimination, Schumann abandoned titles and only loosely connected the work to the literature from which he drew inspiration. Kreisleriana

³³ Marcel Brion, Schumann and the Romantic Age, p. 46.

³⁴ Schumann, Robert Schumann Briefe, ed. F. Gustav Jansen (Leipzig: Breitkopf und Härtel, 1904), p. 170, quoted in Brown, The Aesthetics of Robert Schumann, p. 178.

finds its source in the Kappelmeister Kreisler portrayed in E. T. Hoffmann's Fantasiestücke in Callott's Manier, Schumann's special interest in the character of Kreisler derived from his belief that Hoffmann's model was Ludwig Böhner (1787-1860), a real-life musical eccentric whom he described in a letter to Baron von Fricken in September, 1834:

The latest and most important event is that old Ludwig Böhner gave a concert here yesterday. I suppose you are aware that in his palmy days he was celebrated as Beethoven, and was the original of Hoffmann's Kappelmeister Kreisler. But he looked so poverty-stricken that it quite depressed me. He was like an old lion with a thorn in his foot. The day before yesterday, he improvised at my house for a few hours; the old fire flashed out now and again, but on the whole it was very gloomy and dull. His former life is now avenging itself. He used to jeer at the world with infinite boldness and arrogance, and now and tables are turned upon him. If I had time, I should like one day to write 'Böhneriana' for our paper, as I have heard a great deal about him from his own lips. His life contains so much that is both humorous and pathetic.³⁵

From the tone of the above letter, it can easily be imagined that Schumann became sympathetic with that 'Böhneriana'. Schumann wrote to Simonin de Sire, March 15, 1835, that there was much about that eccentric, wild, spirited Kappelmeister which his friend would appreciate. Schumann apparently identified the personality of Kreisleriana with his own, and we sense that Schumann's suffering soul, which was akin to that of Kreisler's, was ready to be tuned to the latter. In fact, this work may be considered to be the musical cosmos in which the personalities of both Schumann and Kreisler are

³⁵ Chissell, Schumann Piano Music, p. 43.

sympathizing with, and responsive to, each other.

It is interesting that quite often one can find a closer relationship between Schumann's compositional method as employed in his programmatic music when compared to the style of Romantic literature. Heine said that Classical art must portray only the finite and its form could only be identical with the artist's rational idea. Romantic art, on the other hand, should represent, or typify, the infinite and the spiritual, and therefore was generally compelled to employ a system of traditional or parabolic symbols. The same theory held true in music and one of the most illustrating examples may be found in Schumann's programmatic music written for the piano. The tunes, always trembling on the verge of symbolism, express a generic type of emotion with which articulate thought and sympathy are combined.³⁶

³⁶ Hadow, Studies in Modern Music, pp. 204-205.

CHAPTER V

AN ANALYSIS OF FANTASIA IN C (Op. 17)

As is commonly known, Robert Schumann wished desperately to marry Clara Wieck. But her father opposed the marriage so strongly and bitterly that the union of Clara and Schumann seemed to him almost impossible. In 1836, Clara was forced by her father to move from Leipzig to Dresden and Schumann's despair and anxiety became tremendously grievous. It was in the first movement of the Fantasia that Schumann expressed this disappointment, detailing his yearning not only for Clara but also for the unattainable ideal that Clara symbolized. The Fantasia is typical of Schumannian Romanticism and frequently the suffering, yearning and the disappointment of Schumann are so vividly portrayed in the great masterpiece for piano that to the author Schumann's presence often seems incarnate.

The piece consists of three movements in sonata form. Even though Schumann did not call the work a sonata, it nevertheless progresses according to structural methods of sonata form. In 1836, writing to the Leipzig publisher Kistner that he would like to contribute the profits of a composition by "Florestan and Eusebius" to the projected Beethoven monument in Bonn, Schumann explained that the three movements were entitled "Ruin", "Trophies", and "Psalms". However the work

was published in 1839 without any subtitles and instead, Schumann quoted a motto from the poet Schlegel:

Durch alle Töne tonet
Im bunten Erdenraum
ein leiser Ton gezogen
für den, der heimlich lauschet.

(Through all the tones in Earth's many-colored dream, there sounds for the secret listener one soft, long-drawn note.)

Years later, Schumann said that Clara was the "Ton". He wrote to Clara, "Don't you think that soft-drawn note is you? I could almost believe it."¹

Of the three movements, the first is the most compact and condensed emotionally and its dramatic driving effect is quite breath-taking. In 1839, Schumann remarked to his friend Herman Kirschbach that in the first movement he achieved the highest artistic dimension.²

A Formal Analysis of the First Movement of Fantasia

Exposition (Measures 1-128)

Measures 1-19

Over G dominant seventh chords in various inversions in the left hand, Theme (I) begins on the third beat of the second measure. The Theme is highly chromatic, consists of a double period, and is first stated in octave intervals.

¹Robert Schumann, Fantasia, ed. Harold Bauer (New York: G. Shirmer, 1946), p. 2.

²Ibid.

TABLE 1

FORMAL DIAGRAM OF THEME (I)

Phrases	Harmonic Structures	Dynamics, Tempo	Measure Numbers
A	G dom. 7th	ff	2- 5
B	E maj. G dom. 7th	ff	6- 9
A	G dom. 7th F maj. 7th	p	10-13
C	C-sharp dim. 7th G maj. 7th F-sharp $\frac{1}{2}$ dim. 7th	p	14-16
C' *	C-sharp $\frac{1}{2}$ dim. 7th G maj. 7th D dom. 7th	p, pp ritard.	17-18

* C' is rhythmically diminished compared with C.

The ritardando at the end of C' section combined with the reduction of the dynamic level to a pianissimo gives the feeling that the end of one emotional thought process has been completed.

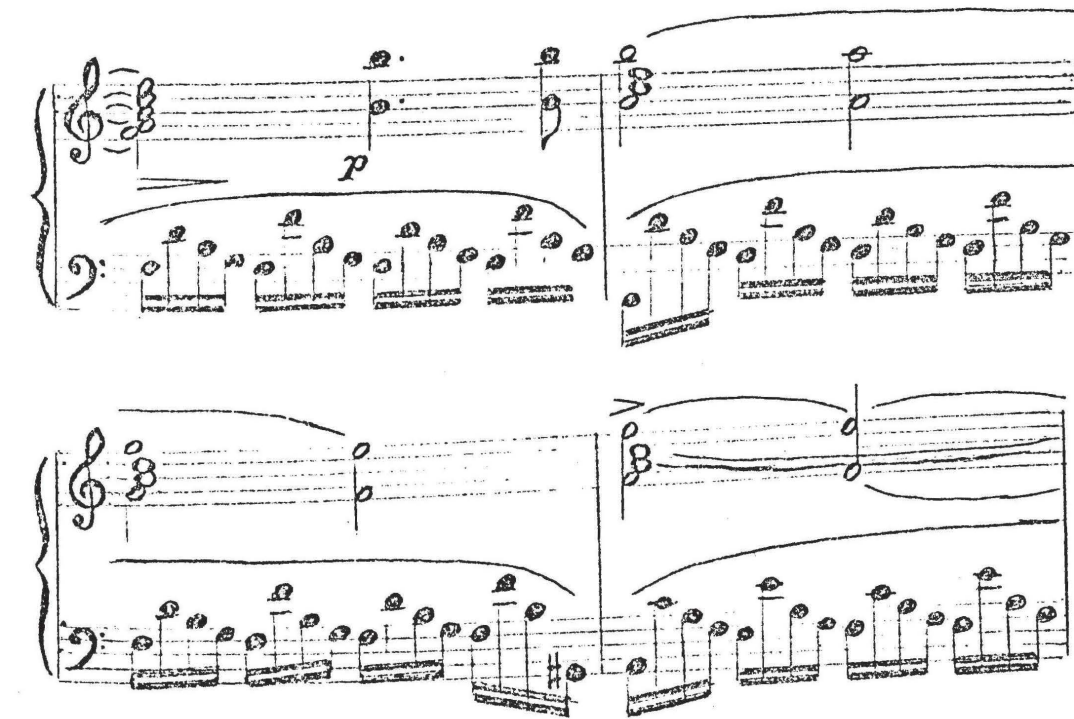
Several ingenious artistic devices of Schumann can be seen in the treatment of melody and harmony. Instead of overlayed melody upon left hand arpeggio, he fuses the harmony of both hands into one, and therefore, the sparkling dissonances which occur have a tremendous effect in heightening Schumann's desperate anxiety. The left hand arpeggio is not mere accompaniment, but becomes an important factor in the harmonic

progression, promoting a feeling a tenseness and relentless-
ness. Below is an excerpt from the opening section: (Measures

The image displays three systems of musical notation, each consisting of a piano (piano) part and a violin part. The piano parts are written in the bass clef, and the violin parts are written in the treble clef. The first system includes a forte (ff) dynamic marking. The second system includes a sforzando (sf) dynamic marking. The third system includes a sforzando (sf) dynamic marking. The notation includes various musical symbols such as notes, rests, and slurs, indicating a complex and expressive musical passage.

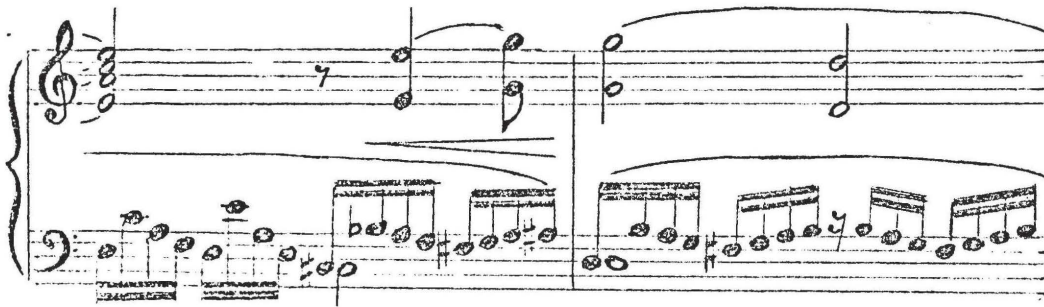
1-9)³

Schumann was fond of using dominant seventh chords, and the Fantasia's first movement opens with a G dominant arpeggio which lasts for eleven measures. Employing an interesting harmonic device, the music shifts smoothly from the G dominant seventh chord of the eleventh measure to an F major seventh in the thirteenth measure by a single passing tone, G-sharp, which is the last note of the twelfth measure. Its dramatic effect is seemingly unimportant, but on closer analysis, its psychological effect becomes significant since it causes a rapid fluctuation of the emotional stream. Its effect is increased by releasing the pedal at the above-mentioned G-sharp: (Measures 10-15)⁴



³Ibid., p. 3.

⁴Ibid., pp. 3-4.



Measures 19-28

Theme (I) is stated in single notes instead of octaves. It is rhythmically diminished and dynamically reduced compared with the previous statement of the Theme. The immediate development of Theme (I) prior to the statement of Theme (II) may imply that Schumann's impassioned emotion needed another statement, and that within the previous nineteen measures he could not express the struggle of his soul.

In the measures 19-23, the first part of Theme (I), A + B, is developed with rests and trills. Harmonic structure becomes a bit varied; C-sharp diminished seventh and D minor seventh occur, which we can not find in the previous statement of measures 1-9. In measures 23-28, the A section is intervallically expanded and employed sequentially (3 times) and each sequence is an octave lower than the previous one. This A' section ends with a B diminished seventh chord.

Measures 29-41

This section has a further development of Theme (I) with rhythmic alteration (♩. + ♪ instead of ♩. + ♪).

TABLE 2

FORMAL DIAGRAM OF MEASURES 29-33

Phrases	Harmonic Structure	Measure Numbers
A	D $\frac{1}{2}$ dim. 7th B-flat dom. 7th	29-30
B	B-flat dom. 7th	31
C'	B-flat dom. 7th E-flat maj.	32-33

Measures 33-41 is sequential. Theme (II) is briefly hinted here and emphatically stated later at measures 82-83 in the inner voice played by right hand. As the sequence unfolds, the dynamic level increases and the range widens with the left hand melody chromatically descending. These devices imply the growth of impassioned anxiety and add to the passage's driving force. Measures 33-41 consists of two sequences which are derived from Theme (II). The harmonic progression of Sequence I (Measures 33-37) is as follows: C minor large seventh to F-sharp diminished seventh chord. The harmonic progression of Sequence II (Measures 37-41) is a G minor large seventh, C-sharp diminished seventh chord and ends with a D minor triad.

Measures 41-48

The dynamic level suddenly reduced to piano, the melody

is still reminiscent of A section of Theme (I).

TABLE 3

FORMAL DIAGRAM OF MEASURES 41-47

Phrases	Harmonic Structures	Other Characteristics	Measure Numbers
A''	D min. B-flat maj. G maj. B min. E $\frac{1}{2}$ dim. 7th	In the left hand arpeggio; the first two notes parallel the melody of the right hand at the octave and double octave.	41-44
A''	C-sharp dim. 7th E $\frac{1}{2}$ dim. 7th A maj.	The emphasized first note of the left hand arpeggio (Ms. 43-44) is repeated by the right hand (Ms. 45-46) similarly to invertible counterpoint technique.	45-48

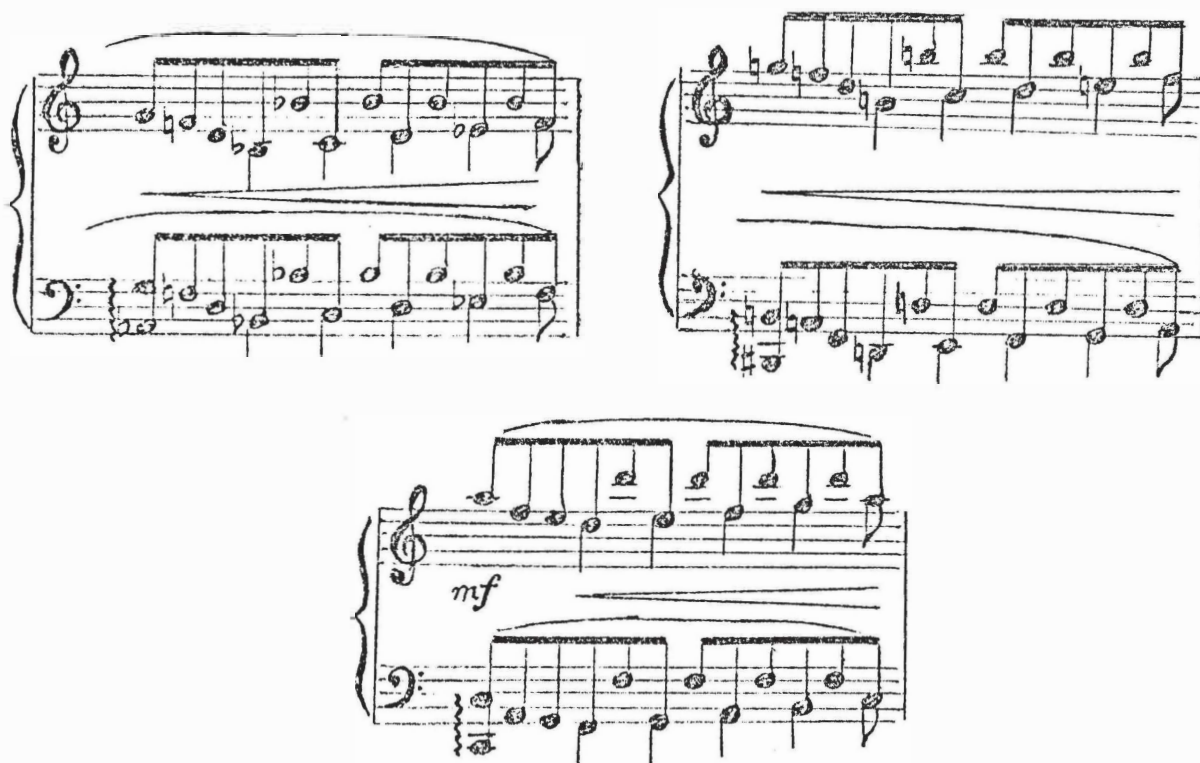
Measures 49-52

The melody is reminiscent of the C section of Theme (I). This section consists of two C'' sections. Again, invertible counterpoint is prominent. The melody is set against chromatic passages of the inner voice of the right hand, which is one of Schumann's favorite devices.

Measures 53-60

Repetition of the measures 53-54 at the octave higher occurs in the measures 55-56, and then follows a one measure

sequence. Three measures of repetitive passage derived from the previous sequence follows. The melody is concealed in the inner voice (Measures 54, 55 and 57) with syncopation. Below is the example:⁵



Measures 62-68

This section has the same structure as measures 41-47, but is a minor third lower, and the left hand has chords instead of arpeggios. The tempo is slower.

Measures 69-70

It is reminiscent of measures 49-50, though a minor third lower.

⁵Ibid., p. 6.

Measures 70-72

The left hand has an ostinato bass. The right hand has the melody in the top voice in measure 71 and then in the inner voice in measure 72.

Measures 73-76

The chromatic melody (A - B^b - B - C - D - E^b) begins in the bottom notes of the right hand chords, and on the weak beat with accent. Then partly superimposed with it the passage, F - F[#] - G - A - B^b - C - C[#] - C[#] - D - D, occurs in the top voice of the right hand. During this procedure, one feels a sense of broadening within the piano level, and the Adagio section is reached by means of ritardando.

Measures 77-81

Adagio with ritardando. The chords played by the left hand in measures 77-79 are interesting harmonically.

$\underline{B^{b+} \quad A^- \quad G^7}$ (Mirror) (Retrograde)	$\underline{G^7 \quad A^- \quad B^{b+}}$ 	 $\underline{B^{b+} \quad A^- \quad G^7}$ (With different inversion from the previous $B^{b+} - A^- - G^7$ progression.)
---	---	--

Here is an excerpt from measures 77-81:6

⁶Ibid., p. 7.



In measures 80-81, there is an interesting phenomena which the author believes needs to be mentioned. Following the resolution of the suspension F, the two tritones (augmented fourth, diminished fifth) give a feeling of unsteadiness and conflict. Later, F becomes important in two respects. First, it ends the section with a pianissimo perfect fifth. Secondly, it acts as a connecting note which leads into the next section in a psychological manner. After the sound of F ceases, its sound nevertheless lingers in our mind and suggests a sense of relief, however small in degree.

Measures 82-96

In this sequential section, Theme (II) is presented in a more complete statement. It has an arch form.

Measures 97-105

Although Theme (I) is used, the section implies a closing theme by nature. The C-sharp diminished seventh chord at the end of the previous section seemingly resolves into D

TABLE 4

FORMAL DIAGRAM OF MEASURES 82-96

Phrases	Melodic Line, Counterpoint	Harmonic Structures	Measure Numbers
Introduction	Wide leaps. Each voice moving in same direction.	D maj. 7th	82-83
Sequence I, II	R. H.: Wide leaps L. H.: Chromatic Ascending	D maj. G min. C min.	84-90
Sequence III, IV	L. H.: Wide leaps R. H.: Chromatic Descending	F maj. D min. E-flat maj. C min.	90-94
Codetta Extension	Chromatic Contrary motion	C-sharp dim. 7th	94-96

minor; yet, it is basically G dominant seventh. The loud dynamic of the previous sequence is reduced to a piano. The whole section reminiscent of measures 19-27. Measures 97-101 are exactly the same as measures 19-23. Measures 102-105 are the same as measures 24-27 with the exception that the left hand arpeggios of measures 24-27 are now changed to homophonic chords.

Measures 106-118

This section is an example of Schumann's unabashed fondness for sequential passages as we can see from table 5. The section is not only intervallically, but also dynamically,

sequential.

TABLE 5

FORMAL DIAGRAM OF MEASURES 106-118

Phrases	Cadential Chords	Dynamics, Tempo	Measure Numbers
Sequence I	G dom. 7th	p \leq f	106-107
Sequence II	B dim. 7th	p \leq f	107-109
Sequence III	G dom. 7th	p \leq f	109-111
Sequence IV	B dim. 7th	p \leq f	111-113
Sequence V	B-flat dom. 7th	mf \leq f	113-115
Bridge	A min.	f, sf cresc.	115-118

The two voice lines of the left hand, and also the right hand, move to the bridge in parallel intervals of the octave.

Measures 119-127

Theme (I) is developed and is reminiscent of measures 19-27.

Measure 128

A short cadenza leads to the pastoral development section. The effective use of dynamics and ritardando bring the exposition to a relaxed conclusion.

Development (Measures 128-227)

Measures 128-153

"In the style of a legend", the development section begins on measure 129. For the first time in the first movement, Theme (II) is clearly and completely stated.

TABLE 6

FORMAL DIAGRAM OF THEME (II)

Phrases	Cadential Chords	Counterpoint	Measure Numbers
D	D maj.	Contrary Motion	128-132
D	C min.	Parallel Motion	132-136
E	C min.	Contrary Motion	136-139

After the complete statement of Theme (II), Schumann immediately develops D section of the Theme in measures 140-148 with ostinato basses and thicker texture. In measures 148-154 melodic imitation of D section occurs in the top note of the right hand. Sequence is prominent in the right hand of measures 150-153. The left hand weak beat accent gives rhythmic variety, but yet its overuse falls into mannerism. The harmonic diversity (measure 150; C minor, measure 151; F small seventh to D half diminished seventh, measure 152; E-flat major seventh to C minor, measure 153; F small seventh to A-flat major, measure 154; F-sharp diminished seventh) compensates for the tedious overemphasis of the sequential

passages.

Measures 154-155

This section is chromatically ascending, in parallel motion, and accelerates.

Measure 156

The melodic line consists of skips, the ritardando combined with sforzando. These devices provide contrast with the previous two measures. The section ends on a fermata in measure 157 with an F-sharp diminished seventh.

Measures 158-182

After a brief pastoral passage with ritardando, an accelerando staccato passage follows. Basically founded on the sequential device, it moves in parallel motion. (In measures 165-170, soprano and bass are in the intervals of the third or the sixth, while alto and tenor in the intervals of the octave. In measures 170-182, soprano and tenor are in the intervals of the octave and alto and bass are also in the same intervals.) A brief implication of Theme (II) occurs in measures 174-177.

Measures 183-195

The melody is stated three times (measures 182-186, measures 186-190, measures 190-195). It does not move in exactly the same intervals at each appearance, but the contours remain highly similar.

The first statement of the melody is based essentially on a D major chord, and the second one on an E small seventh chord. On the other hand, the third statement abounds in frequent changes of chords, while gradually ritarding until settling on a G dominant chord in measure 196.

Measures 196-213

TABLE 7

FORMAL DIAGRAM OF MEASURES 196-213

Measures	Form	Characteristics
196-203	Sequence I + (Repetition) + Sequence II + (Repetition)	Melody L. H.: staccato R. H.: framgentary two-note motive Within a two measure sequence, dynamic changes from piano to forte beginning with sforzando. Arch form: 1. First half of the sequence L. H.: skips R. H.: ascending chromatic 2. Second half of the sequence R. H.: skips L. H.: descending chromatic
204	Extension	Crescendo is effective for connecting different moods of measures 196-203 and measures 205-213.
205-213	Sequence III	Devices such as legato, sustained bass, and dynamics of fortissimo and accented melody provide nobleness and broadening profundity. Short development of Theme (II) occurs in measures 205-212.

Measures 214-217

The section functions as a bridge between the previous section and the following one. In measures 213-215, every sixteenth note is accented. The section may possibly be an allusion to measure 128. Measures 216-217 may be regarded as repose and preparation for the following pastoral passage.

Measures 218-226

The dynamic level is reduced from a fortissimo to a piano and continues abating to the end of the section pianissimo. In measures 218-221, the melody is simply stated in single notes, while in measures 222-226, it is stated in two voices and is also varied rhythmically and intervallically. Harmonically these two phrases are identical with the exception of measure 214 (F-sharp diminished seventh) as compared to measure 210 (D dominant seventh).

Recapitulation (Measures 227-332)

Measures 227-276

This section is the same as measures 28-81. The only exception is that sequence (D) is repeated twice in the exposition, but is stated only once in the recapitulation. (See measures 33-40 and measures 222-235.) Both sections begin with a D half diminished seventh, but the recapitulation ends on a G major in measure 236 unlike that of measure 41 (D major). This section of the recapitulation is a whole step lower than its equivalent in the exposition.

Measures 277-288

Sequential passages. It is the recapitulation of measures 82-96 in C major rather than D major. This time the ascending sequence occurs only once instead of twice. By means of harmonic devices in the section (Sequence I: C major to C minor, Sequence II: F minor to B-flat major, Sequence III: G minor to A-flat major seventh, Extension: F minor to D dominant seventh), measures 289-294 are again in C major as were measures 97-102.

Measures 289-294

The section is exactly the same as measures 97-102, with the exception that the rhythmic figure $\text{y} + \text{♪}$ is here used instead of $\text{y} + \text{♩}$. (See measure 291.)

Measures 295-298

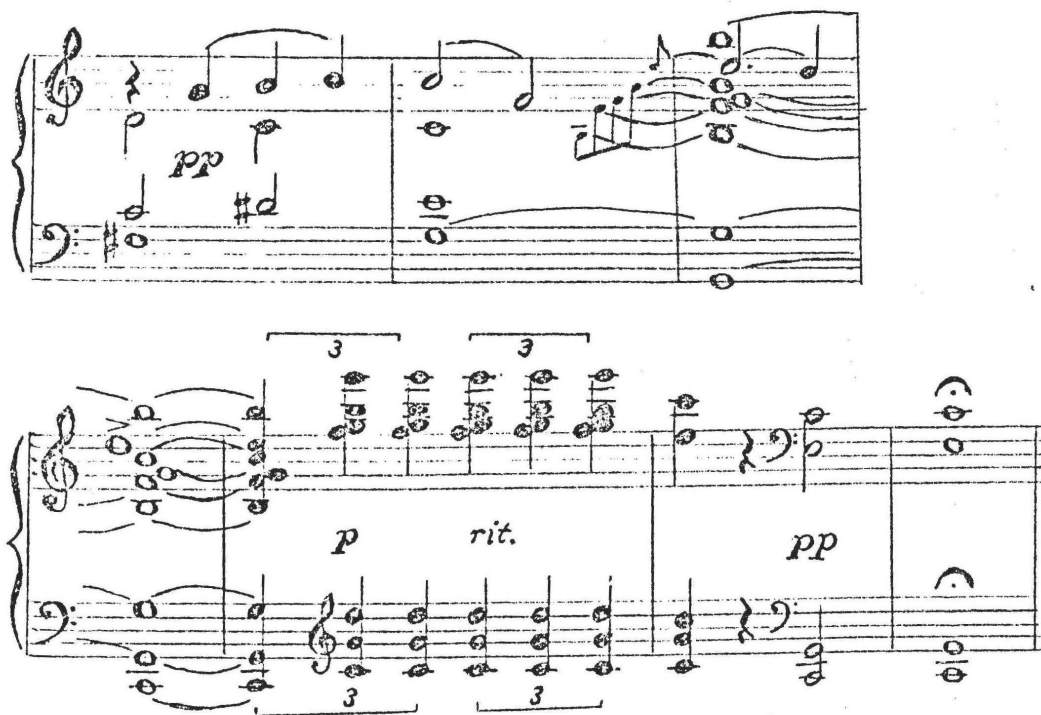
The melody (in the top of the right hand) is set against an alto arpeggio combined with contrary motion in the left hand.

Measures 299-302

The melody is an augmentation with some variation of measures 157-159. It could be a retrograde implication of Theme (II) as well.

Quite often, melody in Schumann's music expands over lengthy periods of time in unresolving dissonances. Anxiously and curiously one waits to hear each unfolding note of the

melodic line. This trait is shown outstandingly in the last six measures of the movement, in which all six measures are needed to unfold the final three notes (E-D-C) of the phrase. After a long, spiritual, and emotional voyage, Schumann anchors his desparate ship at the harbour of a C major chord. Here is an excerpt from measures 296-302.⁷



Thus, the analysis of the first movement is concluded. Although the title of the piece is commonly known as the Fantasia in C, one cannot observe a definite C major resolution until the end of the recapitulation. Furthermore, the resolution continues to struggle even at the very end, and one might view the entire movement as a fantasy trying to resolve to C major. Sonata form is strongly implied, but is

⁷Ibid., p. 19.

intruded upon by emotional developments of the music. For example, the development section seems to be more of an impromptu fantasy nature rather than specific development of the themes. There are brief indications of Theme (II), but these are negligible in the light of the "development" which occurs in the exposition.

In summarization, Schumann's Fantasia was written to resolve Schumann's own mental conflict, possibly to discover its own indicated "secret tone" on the final concrete C major tonality.

TABLE 8

FORMAL DIAGRAM OF THE FIRST MOVEMENT

Exposition		Development		Recapitulation	
Form	Measures	Form	Measures	Form	Measures
Theme I (A+B, A+C+C')	1- 19	Theme II (D+D+E)	128-140		
A+B+A'	20- 28	D+D	140-153	A+B+C'	227-232
A+B+C'	29- 33	Episode III (D')	154-182	Theme II (D)	233-235
Theme II (D+D)	34- 41	Episode IV (D')	183-213	A''+A''	236-242
A''+A''	42- 48	Episode V	214-226	C''+C''	243-247
C''+C''	49- 52			Episode I	248-276
Episode I	53- 81			Theme II	277-288
Theme II	82- 96				

TABLE 8 - Continued

Exposition		Development		Recapitulation	
Form	Measures	Form	Measures	Form	Measures
A+B+A	97-105			A+B+A	289-294
Episode II	106-118			Episode II	295-332
A+B+A	110-128				

A Formal Analysis of the Second Movement of Fantasia

The second movement, "Maestoso sempre con energia", is replete with triumphant feeling as the title "Trophies" suggests. Compared with the despair of the first movement, the second movement evokes a positive and energetic sensation. The movement was composed after Schumann had defeated Wieck's bitter and cruel opposition to the proposed marriage of Robert and Clara, and the entire movement is a manifesto of glorious victory. The author also contends that the victorious nature of this movement expresses a symbolic triumph over the Philistines, or over trivial, desperate and earthly anxieties of the human soul.

Measures 1-8

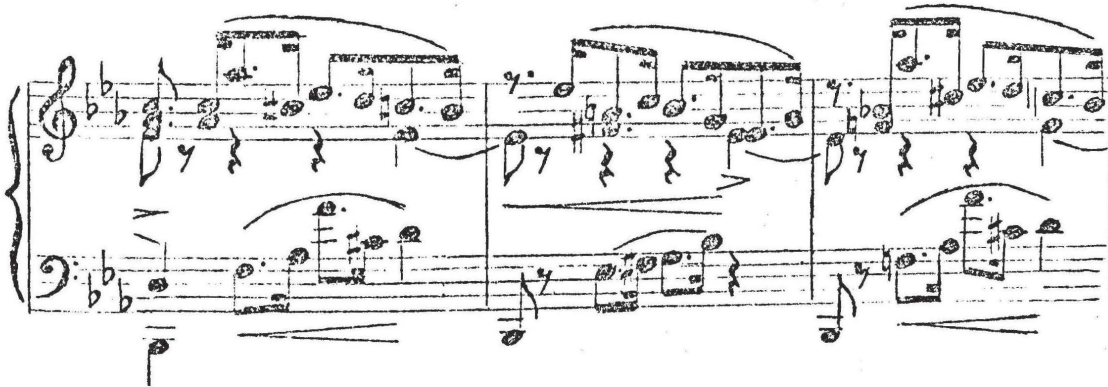
Theme (I) is stated with thick chords and wide leaps in both hands. It consists of A and B phrases, and the phrases end with semicadences (B-flat major).

Measures 9-21

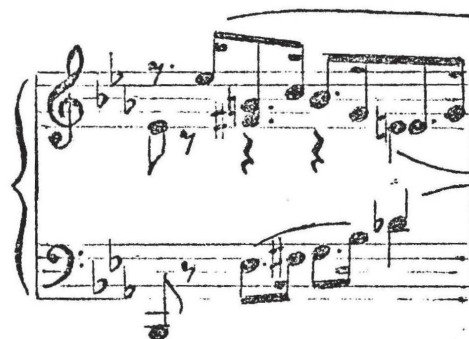
This sequential section ends on E-flat major and has a rhythmic driving force. A small melodic motive is heard in the inner voice of the right hand. Syncopation, occurring in all the voices, seems overused.

Measures 22-40

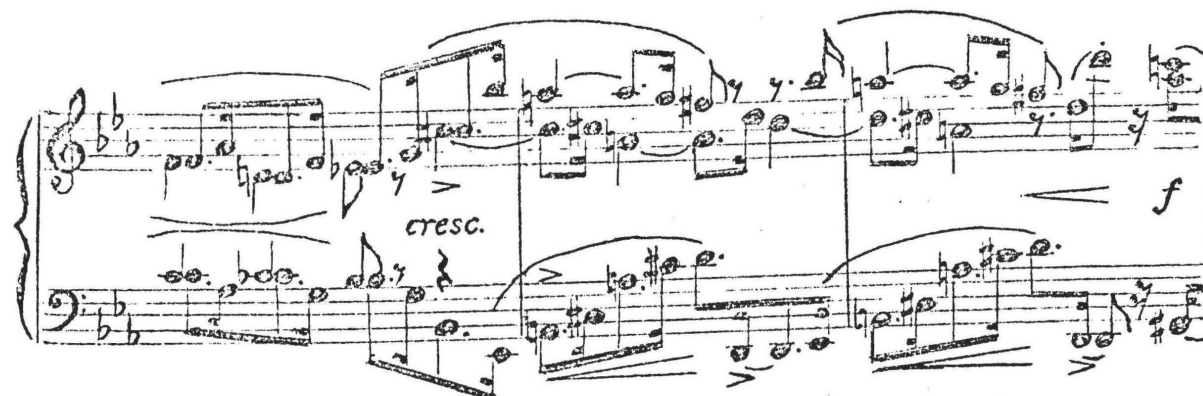
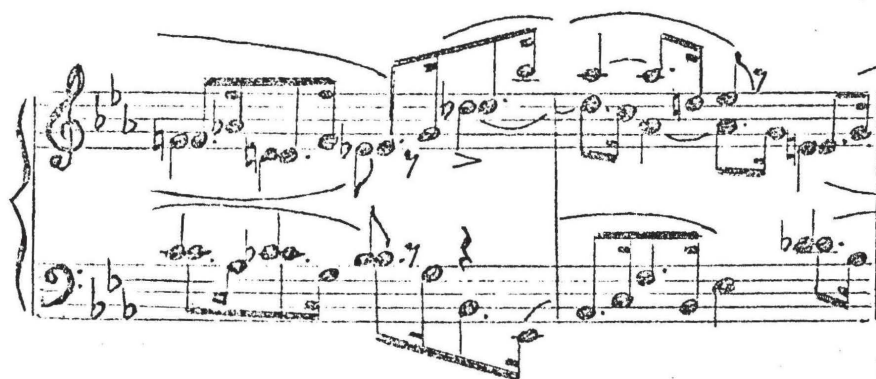
In this sequential section, frequently the rhythmic patten $\text{♪} + \text{♩}$ occurs. Schumann's genius did not allow these rhythmic sequences to become merely conventional and tedious, but rather, spiced them with fragmentary melodic motives or with contrapuntal textures, in which each voice line intertwines with one another as on can see in measures 26-29, and 30-34.

Measures 26-29:⁸

⁸Ibid., p. 21.



Measures 30-34:⁹



Measures 41-49

Schumann uses syncopation to add driving force to the passages. In measures 41-50, a motive is derived from mea-

⁹Ibid., p. 21.

asures 22-25 and extended. Measures 58-74 consist of two sequential passages: the first passage (measures 58-66) moves from C minor to G minor, while the second passage (measures 66-74) moves from G minor back to C minor. Thus the entire sequence may be regarded to move from tonic to dominant and back to tonic.

TABLE 9

FORMAL DIAGRAM OF MEASURES 74-91

Phrases	Cadential Chords	Measure Numbers
a + b	G dim. + F min.	74-78
a + b	C dim. + B ^b min.	78-82
a + b + b	F min. + B ^b dom. 7th + B ^b dom. 7th	82-88
Bridge	E ^b maj.	88-91

Measures 92-113

The section is the same as measures 1-22 except that the opening eight measures of the previous section are altered here to dotted rhythms.

Measures 114-192

An interlude which begins meno mosso. Pastoral lyricism prevails. Later it assumes more whimsicality and very short staccato motives occur frequently. The interlude begins with

A-flat major and ends with E-flat major. It is abundant with sequences and repetitions of melodic patterns. Measures 157-189 is the same as measures 54-86 with the exception that it is one whole step lower than the previous section. A similar device was discussed in the key relationship between the exposition and the recapitulation of the first movement.

Measures 193-232

The section is the same as measures 1-37 with the addition of a two measure bridge leading to the Coda.

Measures 232-279

Coda.

TABLE 10

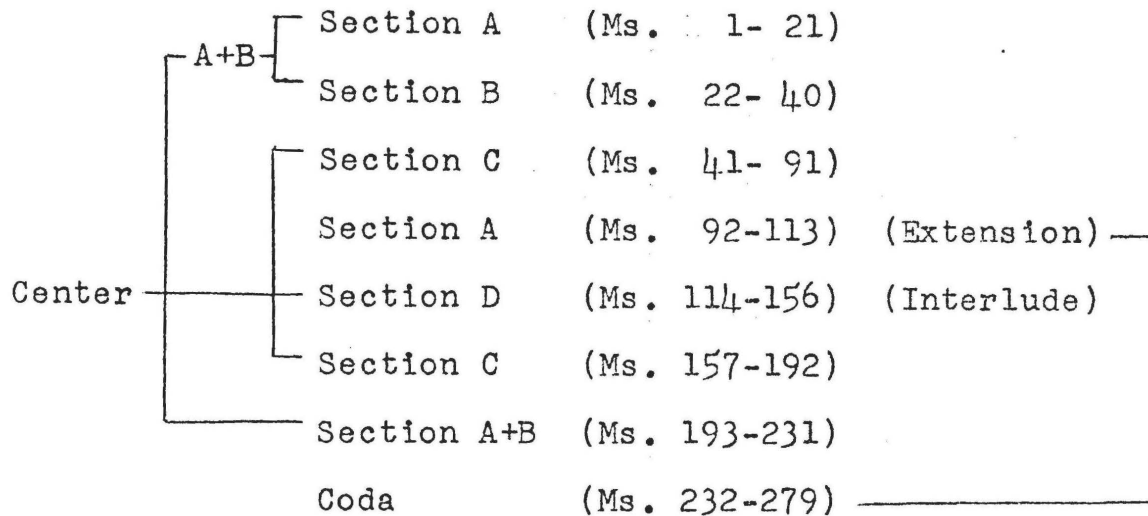
FORMAL DIAGRAM OF THE CODA

Phrases	Cadential Chords	Measure Numbers
a + a	G maj.	232-247
b + b	E-flat maj.	248-262
c	E-flat maj.	263-269
d + d	E-flat maj.	270-274
d' + d'	B-flat dom. 7th	275-276
Endings	E-flat maj.	277-279

The second movement is basically built on an arch form as one can see from table 11.

TABLE 11

FORMAL DIAGRAM OF THE SECOND MOVEMENT

A Formal Analysis of the Third Movement of Fantasia

The third movement is serene and meditative. After the stormy anxiety of the first movement and the triumphant victory over misery in the second movement, the music now enters the stage of spiritual meditation. In the third movement, this author often received the impression that she could visualize an old man sitting at the porch of his house, watching the sun set below the far horizon. The old man, after the vicissitudes of life, meditates on the meaning of life and the universe and on the relationship between trivial human beings and the magnificent universe. Lost in his deep thinking, the old man gradually becomes one with nature.

Measures 1-14

Section A.

Before Theme (I) begins in the alto at measure 5, there are four measures of introduction. Note the effective use of superimposition of the melodic motive (A-G) in measure 4.

TABLE 12

FORMAL DIAGRAM OF THEME (I)

Phrases	Harmonic Structures	Measure Numbers
A + A' + Extension	C maj. + B ^b dom. 7th + E maj.	5-10
B + B	C maj. + A min.	11-14

With the exception of A' section where the left hand and melody are basically in the interval of the third, the rest of the section proceeds in contrary motion. The left hand is chromatic with the exception of A' section, while the right hand melody generally moves in skips.

Measures 15-71

Section B.

TABLE 13

FORMAL DIAGRAM OF MEASURES 15-71

Phrases	Harmonic Structures	Measure Numbers
a + a'	G dom. 7th + C dom. 7th	15-23

TABLE 13 - Continued

Phrases	Harmonic Structures	Measure Numbers
b + b'	D min. lar. 7th, G sm. 7th + C maj. 7th, F min. lar. 7th	23-26
Bridge	A min. lar. 7th, A maj. G-sharp dim. 7th, B dim. 7th, C-sharp dim. G dom. 7th	27-29
c + c'	A-flat maj., F min. + D-flat maj., E-flat dom. 7th	30-33
d + e	E-flat dom. 7th + C maj.	34-37
d' + e'	C dom. 7th + D maj.	38-41
d''	D com. 7th, B-flat dom. 7th	42-43
e	C dom. 7th, A maj.	44-51
f	D com. 7th, D $\frac{1}{2}$ dim. 7th	52-59
g	F maj., C dom. 7th	60-67
h	F maj., A maj.	68-71

Measures 72-122

Section B'.

Exactly the same as Section B, with the exception that Section B' does not have the "Bridge" and only half of "e". The key relationship between these two sections is that Section B' is the fourth higher or the fifth lower than Section B.

Measures 123-142

Coda.

In measures 123-126, the melody lies in the soprano, while in measures 127-130, it is in the tenor. The last sixteen measures of the coda are quite interesting. With the exception of measures 140-142, the harmony changes twice in each measure. The dynamic level ranges from forte to pianissimo, while the tempo accelerates, then ritards, ending with adagio. This trait of the coda is significant, for it symbolizes the never-ceasing wandering of Schumann's soul. His soul could not negate the trivial earthly emotional conflict. Furthermore, it predicts the possibility that Schumann's soul may again begin another emotional voyage similar to the one he has just completed. Perhaps the next journey will lie in a higher dimension than the previous one, but the important fact is that Schumann's soul could never learn to be peaceful. In the right hand, we hear the fragmentary melody echoing meditatively that long-passing emotional experience. Only after many harmonic changes does the coda come to rest on C major, whose tonality may be symbolically interpreted as the "secret tone". The general impression one senses from the third movement is more or less tranquil, but an ominous sky predicting thunder and lightening. This dualism reminds us of the Hegelian dialectic.

The construction and symmetry of the formation of the Fantasia is not perfect from the traditional Classical point

of view as we have found. The author does not think Schumann had the ability and/or the wish to "develop" his musical thought within the context of traditional Classical sonata form. It was his nemesis. Furthermore, traditional sonata form was not adequate for Schumann to express his musical ideas and emotion. It may, thus, be more reasonable to say that Schumann did not want to follow strictly traditional Classical sonata form so that to criticize him for its lack is moot. Since the Greek period (or even before that), culture and the arts have seemingly progressed step by step due to people who were considered as modernists or revolutionists in their time. In every period, however, there have been those who have not been satisfied with the older means of expression, and one could argue that modernism is actually tradition. It is natural that Schumann could or would not follow Classical symmetry of form to pour forth his Romantic soul and spirit in his music. Thus, the author contends that the so-called weakness of construction in Schumann's work should be understood from the viewpoint that it was his characteristic aesthetic rather than a stumbling block. This divergence from strict sonata form effectively expresses the irresistible despair and longings of Schumann's soul.

Unlike traditional sonatas, the Fantasia follows a somewhat unique process. The energetic second movement follows the tumultuous first movement without any pause or rela-

xation, the work culminating in meditative tranquility. At first the process may seem strange; however, the author contends that this device provides an effective representation of innermost being and projects his wandering soul into music.

Schumann seems to have been more concerned with the emotional content within and between the movements rather than symmetrical construction of Classical form.

The Fantasia is a most difficult piano work from the standpoint of interpretation as well as from a technical point of view. The performer needs a high degree of technique in order to play the very rapid left hand arpeggios and the wide skips and chords of the tenth and twelfth with facility. Difficulty is increased by the wide leaps appearing in both hands in contrary motion as in the coda of the second movement. If the performer does not possess a certain mastery of piano playing, he can not expect adequately to interpret this piece musically and technically. The emotion and spirit of the piece fluctuate so rapidly and drastically that the performer needs a total involvement with the emotional context of the piece and should try to maintain musical empathy with the composer. Together with Schumann's use of ritard to half-speed, every shade of his emotion appears unexpectedly and drastically making interpretation of the Fantasia quite difficult.

But what is more important is that the performer's emotional involvement with the music must also be detached and

refined in order to maintain control of emotion and desirable musical interpretation. If the performer becomes simply overwhelmed by the overflowing power, the Fantasia rendered by him may not be persuasive enough to impart to the audience the true meaning of Schumann's spiritual and emotional voyage. The author believes that the performer needs a higher dimension of controlled and detached interpretative attitude toward the Fantasia than most other works in the standard piano repertoire. Hence, the real problem in performing the piece is that it requires of the performer a spiritual maturity, in addition to mastery of technique.

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