Aspects of Historical Background, Literary Influence, Form, and Performance Interpretation in Robert Schumann's Carnaval

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* * * *

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ABSTRACT

This is a study of the literary influence of Jean Paul Richter on the piano music of Robert Schumann. Jean Paul’s novel *Die Flogejahre* inspired the setting of Schumann’s *Carnaval* and is also related to the two other piano cycles: *Papillons*, Op. 2, and *Davidstündentänze*, Op. 6. Schumann’s music not only has its own meaning as a piece of music, but also contains additional literary meaning. His personal life was clearly reflected in this piece through the use of two alter-egos of his personality, Florestan and Eusebius. Florestan represented the impassioned Schumann; Eusebius the passive and dreamy side of Schumann.

In addition to the literary influence of Jean Paul’s novel, this document explores how Robert Schumann contributed to the evolution of the cyclic form through his piano cycles which resemble his song cycles in structure. It examines the characteristics of cyclic form during Schumann’s time and how he altered these characteristics.

Using *Carnaval*, Op. 9 as its primary example, the document examines the inventive ways Schumann created tonal unity in this twenty-one movement piano cycle. He also used the recurring two motives ASCH (A-flat, C-natural, B-natural, and A-natural, E-flat, C-natural, B-natural) to unify all the character pieces into a large-scale work.

The last section, through examination of technical and musical aspects, offers performance recommendations for each movement in Schumann’s piano cycle *Carnaval*. 
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CHAPTER 1

INTRODUCTION

1.1 An Overview of this Document

Robert Schumann enlivened Romanticism. He was an innovative composer, creating music that expressed a lively imagination. He expressed his individuality through his music rather than relying solely on a systematic technical discipline, thus leading Romanticism into a higher realm. Including literary references in musical style, his music comes to life with deep expression. His expertise in capturing emotional expression was best shown in his short character pieces. Some of his well-known short character pieces are *Papillons* (Op. 2), *Davidsbündlertänze* (Op. 5), and *Carnaval* (Op. 9).

Of all the character pieces, *Carnaval*, Op. 9 is one of the most representative and celebrated works with regard to form, motivic interconnection, and tonal coherence. For pianists, *Carnaval* is a pleasure to perform because of the different moods and characteristics in each movement. If we examine this piece closely, we can find enormous treasure in it. In order to gain a more complete understanding of Schumann's *Carnaval*, this document is organized in the following manner. We will start with a review of the literary background in Schumann's piano works. In Chapter 2, we will relate these references to those found in *Carnaval*. Descriptions of the musical
form Schumann employed in composing Carnaval (i.e., "cyclic form") are provided in Chapter 3. A performance interpretation for this work is described in Chapter 4. Finally, the document is summarized in Chapter 5.

1.2 Robert Schumann’s Life

Robert Schumann is considered by many to be one of the most profound composers of the Romantic era. He was a definitive member of a whole generation of artists unparalleled by a number of master composers. These master composers included Felix Mendelssohn, Frédéric Chopin, and Franz Liszt. He was born on June 8, 1810, in a small town called Zwickau, Saxony. His father, August Schumann, was a bookseller and publisher.

He received his early music education with Johann Gottfried Kuntzsh, a well-known organist of Zwickau. Before Schumann chose music as his path in life, he seemed to have been equally interested in music and literature. In 1830 he returned to Leipzig and studied piano with Friedrich Wieck. He also took composition with Heinrich Dorn, a young composer just six years older than Schumann. Wieck was enthusiastic about Schumann’s talent and believed that Schumann would one day be a great pianist.

Before Schumann’s father died, he supported Schumann’s study of music. However, after the death of his father, his mother sent him to Leipzig to study law, thinking this was better for his future. In 1832 Schumann was enrolled as a law student at Leipzig University and at Heidelberg in 1830. Nevertheless, in Leipzig Schumann became involved in numerous musical activities. He attended concerts at the Gewandhaus, musical services at St. Thomas church where J. S. Bach had served.
and performances of the Eucerpe choral society. He would also practice piano eight or nine hours a day, as well as read Jean Paul’s novels. As in Leipzig, he did not study music law in Heidelberg. Finally, in 1830, Schumann had the dramatic moment in his life when he decided to devote his life to music.

As mentioned earlier, Schumann’s father was a bookseller and publisher. Therefore, Schumann had great exposure to literature. Of all the books in his father’s shop, Schumann loved reading romantic literature the most. He read the works of Ludwig Tieck, Jean Paul Richter, E. T. A. Hoffmann, the Schlegel brothers, and Clemens Brentano. Among these writers, his favorite was Jean Paul Richter (1763-1825). Schumann imitated Jean Paul’s novels in his first creative writing attempts and early literary works. Later, when he devoted himself to writing music, he was still influenced by Jean Paul and created the musical equivalent of novels in his piano cycles.

In 1833, he started to publish his own magazine: the first issue of the *Neue Zeitschrift für Musik* (*New Journal for Music*) appeared in 1834. He edited this music journal for ten years from 1834 to 1844. He continued to espouse his romantic belief through his journal.

Also during the period of 1833, Schumann fell in love with Clara Wieck, the daughter of his music teacher. However, Clara’s father did not approve of Schumann’s relationship with his daughter. One of the reasons was the insecure financial status of composers during that time. Wieck was afraid that Schumann’s dubious financial future would affect his daughter’s concert career. Therefore, Wieck did everything in his power to stop their relationship. Nevertheless, Clara and Schumann were engaged in 1837 and, in 1840, went to court for permission to get married without Wieck’s
acceptance. The marriage turned out to be a union of two remarkable minds, different
types of talent in music. They supported and encouraged each other.

Though Clara and Schumann had a good marriage, Schumann suffered from deep
depression and emotional instability in his life. One of the reason for this may have
been his injury to his right hand in his eagerness to improve his piano technique
(1830). The injury occurred when he tried to strengthen his fourth finger by holding
it up with a string while practicing with the others. Because of this injury, he had
to give up his ambition as a performer. As a result, he attempted suicide several
times. Schumann's mental disorder began in early 1833 and became increasingly
severe during the ensuing decade. In 1854, he was placed in an asylum at his own
request, and died in 1856.

Despite Schumann's mental disorder and depression, he still composed an out-
standing number of musical works. His first published composition, "The Abegg
Variations," appeared in 1831. After that, he composed many piano works, songs,
symphonies, and chamber music. He also became a teacher at the Leipzig Conserva-
tory, and conducted his own music.
CHAPTER 2

HISTORICAL BACKGROUND AND LITERARY INFLUENCE ON SCHUMANN'S PIANO WORKS RELATED TO CARNIVAL OP. 9

2.1 Association between Schumann's Music and Literature

Schumann was fascinated by literary works. Schumann's music can be treated as a part of literary transformation, a practical instance of literary practice. Schumann adopted the concept of masked ball as a plot, used it as material and elements, to create a vision of a festive masked ball in which two personages were presented. Florestan and Eusebius. Florestan and Eusebius also appear in Jean Paul's novel. In other words, we have to be capable of understanding the elements of literature such as plot, material, description of figure or personage, and ideology.

Literature gave direction to Schumann's best works. Study of this background became a very important key to understanding his music. Therefore, we will have a deeper insight into, and understanding of Schumann's music by examining the literature from which he drew his inspiration. Among the important literary writers, Jean Paul is considered the most influential novelist in Schumann's music. Schumann wrote: "Jean Paul is still more to me than Schiller even: Goethe I do not yet understand." 1 Three months later, he wrote:

"Till the world would be better for reading Jean Paul, if also unhappier. He has often brought me to the verge of madness, but through a mist of tears shines the rainbow of peace and a hovering spirit of humanity, and the heart is marvelously uplifted and gently illumined."  

Since the three works Papillons, Davidsblüdlertänze, and Carnaval are inspired by Jean Paul's novel, they have some associations with each other. Since these three works are so close in spirit and design, and in the collections of literary fragments found in each, we can profitably turn to discuss literary theory (novel interpretative method) in the following section.

2.2 Masked Ball (historical)

The masked ball is the plot and material in the last chapter of Die Fließjahre (Years of Indiscretion) and found in both Papillons, Op. 2 and Carnaval, Op. 9. Therefore, we need to review the origin of the masked ball.

The subject of the masked ball appears not only in Schumann's Papillons, Op. 2 and Carnaval, Op. 9, but also in several of Schumann's other works. The subject also appears in his later work Carnival in Vienna, Op. 26, and in two sets of piano duets, Bläseren, Op. 109, and Kinderball, Op. 130. According to Brion, both Bläseren and Kinderball are considered to be inspired by the subject of the masked ball, because they describe the episodes of a children's ball.  

Marcel Brion's book Schumann and the Romantic Age, gives us a clear understanding of the significance of the mask to the Romantics (especially Jean Paul and Schumann):

2bid., p. 13.
3Marcel Brion, Schumann and the Romantic Age, p. 132.
"For the Romantics, the carnival became the prophetic voice of tortured humanity, seeking behind the mask its own essential nature. With its delight in doubles, the carnival is the supreme fest in which the harassed personality alienated or disintegrated, transforms and transfigures itself by the tricks of disguise. It arises from the profound uneasiness by which the Romantic is assailed when he attempts to take stock of himself. The degree to which the mask conceals or, on the contrary, reveals his identity and the mysterious ... Carnaval could be taken for a musical illustration of it."

Masked balls provide the sense of intrigue, mystery, and hidden identities which greatly attracted the Romantics. Jean Paul wrote that the masquerade was essentially a microcosm of the history of mankind. The subject of popular masked ball is carnival time thoroughly embodies the ideals of Romantic expression. It is a tradition which still continues today. In Europe, these festival activities are generally held during the carnival season. In the United States its manifestation is seen most clearly as the Mardi Gras in New Orleans. The party of the Carnival takes place before the Lenten season of fasting. During the carnival time, distinguished gatherings, banquets, and general merrymaking are held. Of all the festivities, however, masked balls are the most popular.

2.3 Davidsbündler

Davidsbündler (League of David) is a term coined by Schumann. He took the name from the Biblical King David. David was known as a poet and slayer who played and composed music and slew the Philistines. It applied to Schumann's musical friends such as Felix Mendelssohn (1839-47), William Sterndale Bennett (1816-73). Stephen

1Marcel Brion, Schumann and the Romantic Age, p. 133.
Heller (1814-88), Niccolo Paganini (1782-1840), Ignaz Moscheles (1794-1870), Heinrich Rellstab (1799-1860), and Clara Week (1819-96), who later became Schumann's wife. They possessed similar opinions about music during the time he was editing the *Neue Zeitschrift für Musik*. These composers composed piano music by following the principles of the old forms in new ways. Among these new ways were:

1) the composer's responsibility to create new forms based on a solid and established knowledge of order, 'classical' models, 2) subordination of technique and virtuosity to the compositional idea, and 3) compositional egocentricity: if music is to communicate at its deepest level, it must convey a composer's personal life experience.  

The purpose of the *Neue Zeitschrift für Musik* was to support and champion composers who wrote new piano music based on these principles.

They were interested in, and responsible for, evolving new ways of using tried and true formal and formal designs in their smaller scale piano works. Among them, Schumann was a leader and advocate through writing in his journals. His associates understood and appreciated Schumann's music, and it in turn, influenced his creativity in music. Schumann's critical commentary was influenced by them. In short, they supported each other as like-minded friends. These composers also formed the core of the *Davidshändler* (League of David).

The opposing group to the *Davidshändler* were called "Philistines." There were two kinds of Philistines in Schumann's mind- the ultra conservatives and the Parisian salon pianists.

The word "Philistine" in 19th century German college slang referred to a "non-student" who was satisfied by living according to the routine of everyday life, a man.

7 Ibid., p. 19.
8 Andrew Fowler, Robert Schumann and the "Real" Davidshändler, p. 19.
of narrow, sober, and prosaic views, in contrast to a man of poetry in 19th century
German college slang. Schumann used the name “Philistine” to describe the group
of music conservatives who showed little interest in changing the status quo. With
two contrasting ideals, it is natural that the League of David (Schumann’s group
cherishing the same ideals) would fight with the Philistine army of old-fashioned and
stubborn musicians. E. T. A. Hoffmann, a writer who influenced Schumann, clearly
points out that Schumann’s metaphor exists in reality:

“... tasteless Philistines who, when they display any interest in art,
exhibit it as an ornament, rather than experiencing it as an integral par-
cel of their lives. Their taste is old-fashioned; they are opposed to any modern
trends.”

In Schumann’s point of view, the Davidische composer’s other rival was the
Parisian salon pianists. Schumann was very much aware of the bad taste that existed
in the musical world of his time. He stated that the musical situation at the moment
needed nothing but inspiring. Among the pianists, Henri Herz (1803-88) and Franz
Hünen (1793-1878) were the two pianists Schumann opposed most. In the young
unknown Davidische artist’s (Schumann) opinion, the Parisian salon music was flashy
and (unfortunately for Schumann) popular.

Schumann’s musical journal, Neues Zeitschrift Für Musik, was started in 1835. One
of its primary goals was to elevate piano music to a higher artistic standards. Schu-
mann wrote about these two groups of people, “Davidische” and “Philistines,” in
his journal and used the journal as a tool to convey his views on aesthetics.

11Ibid., p. 19.
13Andrew Fowler, Robert Schumann and the “Real” Davidische, p. 19.
2.4 Florestan and Eusebius

Jean Paul's *Die Fliegenden* was Schumann's favorite novel. The plot of Jean Paul's *Die Fliegenden* is as follows: two very different brothers. Walt and Valt Harmisch, are courting a girl whose name is Wina. In the last chapter the brothers swap disguises at a masquerade and try to find out which one of them their beloved Wina does love. In a letter to Heinrich Reissig, a German music critic and poet, Schumann attempted to explain the connection with *Die Fliegenden*:

"You may remember that the last scene in the *Fliegenden* with the *Jarentanz*, *Vult*, *Mask*, *Wina*, *Anger*, *Discoveries*, the hurrying away, the concluding scene and the departing brother. I often turned to the last page: for the end seemed like a fresh beginning and almost unconsciously I found myself at the pianoforte and then one 'papillon' after another came into existence." 14

"Walt and Valt are often considered the begetters of Florestan and Eusebius." 15

Florestan and Eusebius used by Schumann to describe his duple pseudonym in the composition of *Dvořákův* Op. 5 and *Carnival* Op. 9. In other words, both could be viewed as stemming from the passionate, assertive Florestan, with whom Schumann identified, or the sensitive, dreamy Eusebius, representing Schumann's alter ego. He himself admitted this by once writing:

"Florestan and Eusebius are my dual nature." 16

He felt that his life was filled with frequent changes of mood oscillating between depression with complete loss of reality and temporary peace in life. His anxiety about the struggle between the two polar egos is clearly revealed by the following poem he wrote for Clara prior to their marriage:

"Eusebius, 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 bitterness.

If angrily Florestan scold thee,
Eusebius' arms shall enfold thee.

In Florestan are jealousies,
Eusebius loves thee trustfully.
So which shall have thy bride's kiss?
The trust to himself and thee.

But if thou wouldst be a masterful wife,
Then with two, not with one, will be the strife.
And who will win then?
And who will give in then?

So we lead thee to thy throne, and we stand.
Right and left of thee, on either hand;
And if one of us offends thee and is banded,
Wilt thou banish both from they land?" 17

2.5 Literary Connection between Papillons, Op. 2 and Carnival, Op. 9

The Papillons, Op. 2, completed in 1831 right after Schumann had given up his law studies, is a charming sequence of twelve miniatures also based on a chapter from Die Flegetjahre. It is also among the earliest pieces Schumann composed. Papillons means "butterflies," seemingly implying a sense of lightness, fluttering and Joyfulness. The music was inspired by the last scene of Die Flegetjahre.

For the purpose of making a literary connection with Die Flegetjahre, Schumann deliberately attempted to relate a number of passages in Papillons to the corresponding prose. This can be seen by looking at the heavily underlined passages in his copy

of the novel. The cycle is not dependent on any pre-determined story but comes from the music itself. This was emphasized in an explanatory letter written by Schumann to his friend Henriette Voigt:

"I may also mention that I set the words to the music and not the music to the words. The opposite seems to me a foolish proceeding."

Thus we see that Schumann had the musical ideas before he made the literary connection.

Each one of the movements in Papilons, Op. 2, most of which are waltzes, is evocative of some element of the carnival night. After a succession of waltzes and polkas, the finale begins with the last waltz, the "Grandfather's Dance." (see Ex. 1) and then a brief reappearance of the first waltz in the last piece closes the ball. Six accented notes that end the piece depict the striking of the clock (see Ex. 2).

![Figure 2.1: Example 1—Papilons, Op. 2, "Finale." Measures 1-4.](image)

Before the last cadence, Vult finally departs and disappears into the night. In Jean Paul's novel, he wrote:

"..... Vult begging Wina for one word of love: Oh grant me but one sigh! Say but one word, he cries as he dances with her at the masked ball, Wina."

13 John Gillespie, Five Centuries of Keyboard Music, p. 113.
in a soft voice. The torture of silence is more severe to me than it would be to speak to another."\textsuperscript{18}

It is presented by a sustained dominant-seventh chord whose various notes are released or dissipated one by one until nothing is left. The sounding effect of the last measures does not appear in other Schumann's other works. It is original (see Ex. 3). The

\textsuperscript{18}Jean Paul Richter, \textit{Walt and Walt}, II, p. 297.
Papillons is a delightful collection of miniatures and is attractive as well as technically accessible.

However, Schumann used the word "Papillons" as titles when composing other works. Besides the cycle Papillons, Op. 2 and the ninth piece in Carnival, Op. 9, Schumann first mentioned his Alegy Variations, Op. 1, as "Papillons." In fact, the original title of his Op. 2 was "Papillons musicales." He also referred to his Intermezzos Op. 2 as "Papillons on a larger scale." 20

Two of Schumann's piano cycles, Papillons, Op. 2 (1829–1831) and Carnival, Op. 9 (1835) both draw heavily on this literary work. Jean Paul's Die Fliegelfahrer also lies behind the Carnival, Schumann's best-known piano work. The vivid masked ball which concludes Die Fliegelfahrer in Papillons was still heavily in Schumann's mind when he wrote Carnival. In fact, some of Papillons later evolved into parts of the Carnival. The music of Papillons and Carnival themselves gives evidence of an intimate relationship between the two works. For example, some phrases from Papillons reappear again in Carnival. "Grandfather's Dance" is recalled in "March of the Davidsbündler against the Philistines." Also, one of the twenty-one movements is named Papillons, and the opening melody of Papillons, Op. 2 returns in "Florestan" of Carnival. The word "papillon" with a question mark is also put above it (see Ex. 4). Although Carnival is another masquerade of fantastic personalities and contains even more vivid musical imagery, both are basic based on Jean Paul's Die Fliegelfahrer. 21

20 Averil Simmer, A Discussion and Analysis of Selected Unifying Elements in Robert Schumann's Carnival, Opus 9, p. 18.
2.6 Literary Connection between *Davidsbündlertänze*, Op. 6 and *Carnaval*

The *Davidsbündlertänze*, a cycle of two sets of nine short pieces, revealed Schumann at the peak of his creative powers. It is arranged as a series of dances reminiscent of *Carnaval*. Has all the qualities of Jean Paul's masquerade of life; the dances are filled with the same quick changes of mood and pace as in the earlier cycle. It shows virtuoso writing of great imagination and inspired poetic lyricism. It is one of Schumann's undisputed masterworks.

When Robert Schumann was nearly thirty years of age, he began to write much more music for piano, primarily as a way to communicate with his secret lover, Clara Wieck. Schumann and Clara were secretly engaged when Schumann began to compose the *Davidsbündlertänze* (*Dances of the League of David*) Op. 6, in 1837. He admitted that the music contained many "bridal thoughts" because he wanted to marry Clara. He wrote to her:

"My Clara will understand all that is in the dances for they are dedicated to her, and that more emphatically than any of my other things."
whole story is a *Polterabend* and now you can imagine it all from the beginning to the end.**72**

*Polterabend* means "eve of a wedding day" in German folklore when mischievous sprites play practical jokes on the bride. Hence, the composition of Op. 6 was closely linked with his intense happiness and his cheerful spirits: vivid, humorous and wild.

However, on the title page Schumann has written the motto:

"At all times joy is mingled with sorrow. Be steadfast in joy and meet sorrow with courage."**73**

Also, morbid, desperate passages reflecting the dark side of Schumann's psyche are also seen in a letter:

"Death steps up to the bedside of our sick friend before our eyes and with an ice-cold hand presses his warm breath and stops forever the heart that beat so joyfully. But still the moment must come and the phantom with it."**74**

Obviously, separation and encouragement from Clara kept Schumann tortured between two extremes: joy and sorrow, hope and despair, inspiration and frustration.

All eighteen numbers were signed "F" or "E." or sometimes both "F" and "E." depending on whether the musical content was the expression of the passionate or the dreamy side of his character. The state of Schumann's love affair is reflected by the passionate outbursts of Florestan as well as the happy utterances of Eusebius. The music is thus very intimate, especially in its delineation of personal moods. In addition to his attributing the composition of the whole work to Florestan and Eusebius, both


**73**Clara Schumann, *Robert Schumann's Werke*, III, p. 82.

**74**Angel Flores (ed.) *Nineteenth Century German Tales* (New York: Doubleday & Co., 1955), p. 34.
printed on the title page, he opened his heart further by inscribing the stormy ninth as well as the idyllic eighteenth piece, respectively, with the words:

"Hierauf schloß Florestan und es zuckte ihm schmerzlich um die Lippen." 28
(Here Florestan kept silent, and his lips twitched painfully)

and

"Ganz zum Überfluß meinte Eusebias noch Folgendes: dabei sprach aber viel Seligkeit aus seinen Augen." 29 (Quite superfluously Eusebias thought the following, and much happiness shone out of his eyes)

Brahms seemed to have been very impressed by Schumann's use of initials to create different characters with authorship of individual movements. He used the same device in his Variations on a Theme by Robert Schumann, Op. 9. In the manuscript Brahms signed most of the Op. 9 variations either B. (Brahms) or Kr. (Kreisler).

His "Brahms" corresponded to Schumann's Eusebias and his Kreisler to Schumann's Florestan: the more reflective variations (4, 7, 8, 11, 14, and 16) are signed B., the faster, more animated ones (5, 6, 9, 12, 13) are signed Kr. 30

In Carneval Op. 9, there are also two pieces titled "Eusebias" and "Florestan," respectively. Carneval is written eventually earlier than Davidsbündlertänze, Op. 6. The order of the two publications does not reflect the order of composition. He composed Davidsbündlertänze in 1837. However, he completed Carneval in 1835. For the first time in his music, both sides of his personality were clearly delineated in Carneval.

30 Oliver Neighbour "Brahms and Schumann: two opus three and beyond." Nineteenth Century Music vol. 7, no. 1, pp. 206-220.
2.7 Carnaval, Op. 9

2.7.1 Explanation of ASCH Motive in Schumann’s Carnaval

Schumann happened to live at the Wieck home in 1834. On April 21, 1834, Ernestine von Fricken came to the Wieck home in Leipzig as a piano student and broader when she was 17 years old. She had grown up in the town of Asch in the household of Captain Baron von Fricken. Schumann found the beautiful and charming Ernestine attractive. Just prior to this, during the winter of 1833, Schumann had been suffering from a nervous breakdown. The doctor’s advice was, “Medicine is so good here, you need a wife.” Schumann was shocked after he received this diagnosis. Therefore he began to think that he needed to settle down and make a home with a wife.

Soon he fell in love with her and told his mother in a letter on July 2, 1834, that he would like to marry her:

"... two gorgeous women have entered our circle. I told you before of Emilia, the 16-year-old daughter of the American consul... The other is Ernestine, daughter of a rich Bohemian, Baron von Fricken. Her mother was a Gräfin Zettwitz - a 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." 28

At that time, the couple, Cäcilie and Hessienne Voights were rich patrons of the arts and generously supported Schumann’s art. Also, Schumann and the Voights were good friends. They often helped Schumann to meet Ernestine secretly. Nevertheless after Baron von Fricken heard about his daughter’s affair with Schumann, he was very upset. He disapproved of their relationship. He came to Leipzig to take Ernestine


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nome on September 1, 1834. However, a few days before Fricker arrived at Leipzig, the lovers became engaged. Only the Voights knew the secret. On September 5th the Frickens went to Zwickau to see Schumann’s mother. Although Robert Schumann rushed to see Frickens and Frau Schumann, and had a discussion with them, the Frickens still insisted on taking Ernestine back to Asch the next day. The engagement was broken off.

Only a week later, Schumann was inspired to compose a set of piano pieces based on the musical letters S-C-H-A (common to both his name, and to the town of Asch where Ernestine von Fricken was from) which he called Fasching, »Ahnliche Auf vier Noten« (Carnival, Frolic Scenes on Four Notes). And afterwards he changed the title of this piece to Carnaval. The music was completed in early 1835. On New Year’s Day, 1836, he suddenly switched his affections from Ernestine to Clara, who later became his wife. Nevertheless, at the time Schumann was writing Carnaval, he was still fascinated by Ernestine. Both Ernestine and Clara are portrayed in the music.

2.7.2 Extra-musical Association as a Means of Unity in Carnaval

Schumann completed Carnaval with a title for each movement. Although Schumann himself mentioned that the piece was written first and the titles chosen afterwards, the titles can still stimulate the performer’s imagination. These literary titles offer insight into Schumann’s specific ideas and the images in his mind as he wrote this piece.

Préambule is the introduction to the piece. The masked ball begins grandly with a series of heavy chords in major key (A-flat major) and in moderate tempo (Quasi
musetta. Schumann created the “Préambule” with its festive and majestic air to set the scene for the opening of the masked ball.

**Pierrot** is a more serious character in *Commedia dell’Arte*. The *Commedia dell’Arte* developed in Italy in the first half of the 16th century, and after 1750 it faded away. It influenced the development of comic opera. The *Commedia dell’Arte* consisted of a troupe of actors and actresses, who were traveling entertainers. The actors and actresses never followed a set script, but improvised the plot based on a simple plot outline. There were certain stock characters in the *Commedia dell’Arte* who appeared and who kept the same basic characteristics all the times. They always wore masks to present their certain stock characteristics. The stock characters (Harlequin, Pierrot, Pantalone etc.) have been often used into musical comedies and ballets, and even some composers used the stock character as the titles in their instrumental pieces, such Schumann’s *Carnaval* and Milhaud’s *Surcouf*.

The character of Pierrot is clearly described in Swortzell’s book: *Here Come the Clowns*:

“The sadness, honesty, and simplicity provided the commedia with many touching moments of ‘tragic relief.’ Pierrot is often unhappily involved in an unresolved romantic triangle with Harlequin and Colombette.”

In Italian pantomimes, the French Pierrot is replaced by Pagliaccio. Maurice Sand, in *The History of the Harlequinade* clearly describes the character of Pagliaccio:

“Pagliaccio, the stupid lackey, ...... whose role consists in clumsily imitating, like the English clown, the gestures and movements of the other mimes, and in receiving constant beatings, to the great amusement of the audience.”

The piece seems to portray the actions of a clown. There are chromatic phrases in this movement that seem to depict a clown doing a stilt clumsily. Suddenly he falls over his own feet presented by an interrupted three-note element (the second beat of measure 3 to the first beat of measure 4). At this point, the audience would clap for the clown. Again, he recovers his wobbly stance and continues his prate falls.

**Arlequin**, the title of the third movement, is also derived from the Italian *Commedia dell'Arte*. Schumann adopted this role in his masked ball. Harlequin is Pierrot's counterpart and frequent rival. Swartzell describes his character:

>“Harlequin began his career as a sort of grinning simpleton, later interpreters of the mask shaped him into a complex and cunning character, recalling the trickster of antiquity, who played the fool in order to put something over on his duller adversaries or out of a simple fondness for making trouble.”

Therefore, we can tell Harlequin possessed a mischievous, excitable, and naively personality. He is always looking for trouble. Schumann depicted Arlequin’s character very well in *Carnaval*. He used big intervals to describe Arlequin’s lively character (jumping around) symbolized by the intervallic leaps and sixteenth rests, and dotted rhythms. After Arlequin made trouble, he was so happy, he laughed loudly. Schumann used a descending scale from F-natural to B-flat to present this scene (the second beat of measure 15 to measure 16) (see Ex. 5).

**Valse noble** is in a waltz rhythm. The term “noble” and “sentimental,” which were already used by Schubert, are used to distinguish between the “elegant” and “lyrical” types of waltzes.

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Eusebius is one of the names that Schumann used in his Journal. Use of this title shows that Schumann projected himself into his music in the character of Eusebius. "Eusebius" is the passive side of his double-sided personality. The slow tempo Adagio, thin texture and expressive emotion reveals the dreaming and depressed side of personality.

Schumann also put himself into the music in the character of Florestan, the sixth movement's title. In contrast to "Eusebius," "Florestan" is based on waltz time with a surprising accent on the second beat. Schumann indicated the beginning of Florestan by marking a passionato, representing a drastic, violent change of mood. The irregular accents, thicker texture than "Eusebius", and passionate emotion reflected the impassioned side of Schumann's personality.

Coquette, movement 7, is provided with a delightful and witty character. It is like a butterfly, fluttering in a free sky which is symbolized by the wide skips, sixteenth rests and animated indication vivace of the score.
"Coquette" is answered by Réplique, movement 8, by quoting the material from Coquette. "Réplique" is a short variation and development of part of "Coquette."

Papillons, movement 9, means "butterflies" in French. The music presents a sense of nervousness and fluttering with the tempo of prestissimo. Also, the open fifth writing in the left hand and restless motion for the whole movement symbolized the tortured and captured butterflies described in Jean Paul's Die Flegelfahre.

A. S. C. H. - S. C. H. A. Lettres dansantes" (the letters dance) is a fast and light waltz. ASCH is his fiancée's home town. SCHA are the only letters in Schumann's name that are also musical notes. From the title of this movement, it is not difficult to perceive that Schumann and his fiancée finally meet at the masked ball. For this reason, it is one of the most praised examples of transmitting extra-musical meanings into tones. However, the fast tempo, continuous staccato and light touch reveal the happy motion between these two lovers.

The next movement, Chiara, represents Clara Wieck, the daughter of Schumann's teacher who later became Schumann's wife. Incidentally, when Clara herself played Carnavals in public, she left out "Chiara," "Florestan," and "Eusebius." 25

Movement 12 is titled Chopin. Chopin was one of Schumann's heroes. Schumann enthusiastically admired him. This movement in A-flat major gives a wonderful depiction of Chopin's character in music: profound, passionate, and sentimental in expression. It is likewise to Chopin's nocturnes because of its wider range in the left hand. lyrical melody in the right hand, and the profound variety of harmonic changes.

Estrella, movement 13, represents Ernestine von Fricken, the girl from Asch. Schumann was attracted by a charming and beautiful girl named Ernestine who lived

in the household of Baron von Fricken in 1834. At the time, she was seventeen years old with a naive personality. She had no cares and was filled with love in her heart. This movement is titled Estrella which is intended to imply the name of Ernestine. So, the first part of this movement has the indication of “con affetto” (with affection). In contrast, when Ernestine thought about Schumann, she always showed the soft side of herself. This is why the character of the middle part is changed to a softer and more lyrical feeling with the indication of “più presto, molto espressivo.”

_Reconnaissance_ (Recognition), movement 14, is another of the most praised instances of translating extra-musical meanings into tones. “Reconnaissance” can be translated as “reunion” in English. At that time, Schumann fell in love with Ernestine and therefore, it describes a scene of recognition with Ernestine. Schumann attempts to musically portray the scene of a reunion with Ernestine. The first sight of each other, their happiness and joy mean much more to them than words alone can express. Schumann attempts to express their great emotional depth. To suggest this state of joy, Schumann employs a continuous _staccato_ marking in the left hand and repeated notes for the thumb of the right hand with the lyrical melody in the upper voice.

Movement 15 is titled _Pantaloon et Colombine_. Pantaloon in _Commedia dell’arte_ is an old man with a ridiculous character who often breaks his promise. He has two daughters who are difficult to handle. They always get together with their smart female servants to deceive his senile parent. 28 Swartzell describes Pantaloon as follows:

> Pantaloon typifies the stubborn, interfering father, the inevitable target of ridicule in an age of arranged marriages and stern parental discipline. Pantaloon was a Venetian, and as befitted a citizen of that prosperous city, a merchant, though not always a successful one, sometimes even bankrupt. Rich or poor, Pantaloon was always portrayed as a vigorous old codger with

28Averill Summer, _A Discussion and Analysis of Selected Unifying Elements in Robert Schumann’s Carnaval_, Opus 9, p. 37.
a formidable temper and a healthy respect for the value of a ducat. Like a character in a modern 'generation gap' comedy, Pantalon was baffled and infuriated by his children's ingratitude. They persevered with his clumsy attempts to make 'respectable' matches for them and clung persistently to their poor-but-honest sweethearts. By the final curtain, though, love would triumph over Pantalon, and the gruff old miser resigned himself to the happy ending, showing at last an unsuspected streak of generosity and good humor.}\footnote{37}

In Cimarron the names of Pantalon and Colombine appear in the same movement. Colombine sometimes acted as a chamber-maid, sometimes a mistress. She fell in love with Harlequin, her father did not approve of their love affair. However, she married Harlequin in the end. Swortzell describes her character in detail:

"...... a soubrette who was often in love with Harlequin. ...... the best known of the female masks today. She was the particular favorite of the French, and countless representations on the stage and in the decorative arts have made her the enduring symbol of flirtation and the most celebrated coquette of all times.\footnote{38}"

Valse Allemande is a quick waltz-like dance in 5/4 or 3/8 time found in the late 18th century. Movement 10. Valse Allemande carries on the mood of the masked ball.

Movement 17 is titled Paganini. In one of the autobiographical sketches of 1843, Schumann made reference to Paganini, one of the most famous violinist, whom he had heard in April, 1830. He thought Paganini's composition was a powerful standard for hard and high techniques. Because of Paganini's inspiration, Schumann composed Six Studies after Caprices by Paganini, Op. 3 and Six Studies after Caprices of Paganini, Op. 10. In addition to these pieces, Schumann also composed the "Paganini" movement in Cimarron which possesses great virtuosity and has material that refers

\footnote{37}Lovell Swortzell, Here Come the Clowns, p. 45. \footnote{38}Ibid., p. 48.
to the first Caprice in Opus 10. These pieces reflect Schumann's admiration for the great virtuoso's intelligence.

This movement requires a diabolical performance. Schumann tried to transcribe Paganini's extremely challenging violin writing into a piano composition. Schumann displayed his firm command of technique with big jumps in both right and left hands and difficult pedaling in this movement. From beginning to end, the movement drives forward without rest to an eccentric finish. After "Paganini," "Valse Allemande" returns.

**Aveu (Aveuval).** is the title for movement 18. Rests, anticipation, which breaks flow, portrays a vow between two lovers in an anxiety of passion. Again, the title conveys musical meanings into tones since it is easy to tell from the title of this piece.

**Promenade.** movement 19, brings the listener back to the ballroom. It is filled with many sweet interrupting whispers in the middle of main phrases. The short interrupting phrases convey the secret whisperings of love in the ballroom.

Movement 20 **Pause.** quotes an agitated passage from "Prétambule." This movement is short and left unfinished so it can be considered a preparation for a great fight. Everyone hastening to raise his standard for battle. This leads up to the finale. "Marche des Davidsbündler contre les Philistins," the climax of the composition.

The last movement of Schumann's *Carnaval* is titled **Marche des Davidsbündler contre les Philistins** (March of the League of David against the Philistines). It symbolically depicts an imaginary battle between a society of Schumann's musician friends and the Philistines who represent tradition, the commonplace and bad taste. This is the longest and most glorious piece of the cycle. The movement in 3/4 time starts grandly and *non allegro*, with a serious character. In measures 28-31, a theme
from the finale of Beethoven's *Emperor Piano Concerto* joins the allies (see Ex. 6). This pattern dominates this movement and increases continually. The conservative

![Musical notation](image)

**Figure 5.6: Example 6—Beethoven Piano Concerto No. 5, the third movement. Measures 11-12.**

Philistines are good-naturedly represented by the old-fashioned 17th century *Grossvater Tanz* (grandfather's dance) with a stubborn character (see Ex. 1). The themes from the finale of Beethoven's E-flat Concerto and that of *Grossvater Tanz* appear extensively and develop in this movement. At last the League of David defeat the Philistines and proclaims the victory cheerfully depicted musically by a mood of excitement, resolution, and triumph with the tempo marking of *sempre stringendo* toward the end (from measure 225 to the end).

Tovey mentioned one interesting feature in his article related to the last twelve chords at the very end of the piece from measure 268 to measure 283. He writes, "At

39Donald Tovey, "Schumann: Carnival," *Essays in Musical Analysis: Illustrative Music*, p. 112.
last the League of David is victorious, and the heads of twelve Goliaths fly through the air like twelve turnips, the last one landing (I hope) on a top A flat.\footnote{ibid., P 172.}

2.8 The Similarity in Rhythm, Form and Literature Between *Papillon*, *Davidsbündlertänze* and *Carnaval*

Though the three works *Papillon*, Opus 2, *Carnaval*, Opus 9, and *Davidsbündlertänze*, Opus 6 present very different tonal and formal conceptions, they still share significant features such as repeating motives, themes, and harmonic progressions. The feature of varied motivic repetition and harmonic progressions is one of the most important composing techniques to accomplish a large-scale tonal and formal structure.\footnote{Ibid., p. 208.} For this reason, these three pieces are put in the same category within Schumann’s body of piano works, early piano cycles.

Kaminsky proposes three characteristics in common among these three pieces. First of all, all three pieces are composed primarily in dance rhythm, either in triple or duple time. These dances are based on the style of earlier waltzes and four-hand polonaises in imitation of Schubert. Also, all three pieces have the construction of a continual series of character pieces. Secondly, all three pieces are regarded as piano cycles because the opening material in each piece is varied, extended, and/or repeated throughout the piece. Thirdly, all three pieces are related to literature connected to the last chapter of Jean Paul’s *Die Fliegelführe* or with Schumann’s life. For *Papillons*, it is the masked ball inspired by *Die Fliegelführe*. *Carnaval* is comprised of many characters and symbols at a masked ball which all come together under the banners of the League of David versus the Philistines. For *Davidsbündlertänze*, it also
shows Schumann’s dual personality as implied by his use of the names Florestan and Eusebius that were first introduced in *Carnival*.42

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CHAPTER 3

CYCLIC FORM

3.1 The Definition of Cyclic Form

During the 18th century, cyclic form was rarely used. The Classical sonata was the most popular compositional form used during the 18th century, especially in the earlier part of this period. In the classical sonata, the thematic material is fully presented in exposition and the developed, especially in the development section. These themes are sometimes broken down into motivic components in order to create further development. The harmony established in tonic moves to related key and returns to tonic key. The structure of music is governed by a series of motivic developments at every level, from phrase to section to movement to cycle of movements. Nevertheless, this compositional style could be found in only some of the compositions in the 19th century. Additionally, in contrast with the Romantic period, Classical music was composed mostly without text or social function and was called absolute music.

When the Classical formal structure of music became looser and more varied, the cyclic form became more and more popular. And, until the 19th century, composers were interested in remolding a motive which is called cyclic form. It cannot be denied that the importance of thematic character and transformation grew greatly as well. As a result, cyclic form flourished during the Romantic era.
Beethoven set a precedent for cyclic writing by quoting motives on themes from early movements in later movements of a multi-movement work. For example in the *Piano Sonata in A major*, Opus 101, the first theme of the first movement reappears between the section of introduction: Adagio and the expository of the fugue to unify the whole piece. The use of this device is related to cyclic form. But the cyclic form thoroughly appears in the Berlioz *Symphonie Fantastique* (1830) with the use of *idée fixe* (fixed idea). *Idée fixe* is the name given by Berlioz to refer to the theme in his *Symphonie Fantastique*. It appears in each of the five movements, experiencing various levels of transformation. However, the theme itself does not always play an essential role in the structure in Berlioz *Symphonie Fantastique*, but is an inserted musical quotation that depicts “the beloved.”

It is different from Schumann’s *Carnaval*. The motive ASCH in Schumann’s *Carnaval* is essential and functional in the structure of cyclic form.

The technique of thematic transformation prevailed above all during the 19th-century. Composers exploited the form through varying the melody, rhythm, and characters and gave themes significant meanings which were also applied in instrumental or vocal music. The most creative activity and famous adoption of this technique happened in Wagner’s treatment of the “leitmotif” for the motives. He combined, adopted, altered, varied, transformed, and extended in motive, rhythm, and key, mood and to portray dramatic action and its own meaning. This compositional technique inspired Romantic composers and became an impulse for them to develop this form more fully.


Cyclic form prevailed during the 19th century. Not only did Schumann employ cyclic form in his piano works, but also Schubert's Wanderer Fantasy and Liszt's Sonata in B minor are two works cast in cyclic form. But Schubert and Liszt used different writing skills from Schumann did in his Carnaval to create the cyclic form.

Schubert wrote Wanderer Fantasy in 1822 and published it in 1823. It is comprised of four movements: I. Allegro con fuoco, II. Adagio, III. Presto, IV. Allegro. He designed a large work of four closely adhesive movements without break between each movement at all. The basic thematic and rhythmic components of all four movements dominating the entire piece are derived from the second movement Adagio (see Ex. 7). The second movement is constructed in variation form with a theme

![Figure 3.1: Example 7- Schubert Wanderer Sonata, Op. 15, the second movement. Measure 1.](image)

adapted from one of Schubert's own song "Der Wanderer." The basic theme and rhythm are used and transformed into different characters, disguises, and feeling throughout the whole piece as a large-scale work. The opening theme of the first movement derived from the second movement is transformation into totally different disguises. The thematic material of the third movement is transformed and modified from that of the first movement. Also, similar themes are used in the last movement.
Allegro. The theme is presented in fugal writing (see Ex. 8). Prior to Schumann's

![Musical notation]

Figure 3.2: Example 8– Schubert *Wanderer Sonata*, Op. 13. (a) The first movement: Measures 1-5. (b) The third movement: Measures 3-7. (c) The last movement: Measures 1-2.

Carnival, it can be considered as the first piano work which is cast in cyclic form.

Schubert's *Wanderer Fantasy*, D. 766, can be considered a precedent for Liszt's B minor Sonata because of the writing skills of the thematic transformation through the four movements with great continuity without break between each movement to distinguish movements. Furthermore, Liszt arranged this piece for piano and orchestra. Indeed, Schubert inspired Liszt's writing skills in his Sonata in B minor.
Like *Wanderer Fantasy*, Liszt's Sonata in B minor is also associated in cyclic form. The entire work generates from five themes. There are five basic motives in this sonata (see Ex. 9) which are used and transformed extensively throughout the whole sonata. The single movement sonata is accomplished with a variety of thematic transformations. Even though they are manifestly derived from the same themes, the themes became as new contexts. The character of the new transformed theme can be changed totally and different from the original one by using different transformation or guise appears in different places. It can be changed from vigorous to lyrical (see Ex. 10). By changing the rhythm, varying the melody, and creating different characters based on the five motives, the sonata is established as tight and coherent large scale work.

It is easy to confuse cycles with collections. In fact, cycles and collections are different in structure. Thus, we have to define the differences between them. In general, a collection is a set of smaller pieces with closed tonality. Each movement can be considered an independent piece. It is not necessary to have a certain relation and coherence between each movement. If we arrange all the movements in a different order, transpose the order, or even take away some of the movements, it still would not destroy the intact feature of a collection. A cycle has more strict principles. It would destroy the intact feature of a cycle by arranging all the movements in a different order, or taking away some of the movements.

In short, the word "cyclic" can be applied to any work in several movements, such as a suite, symphony, sonata, or string quartet. The term is used to describe any work linking its movements through the use of some common musical themes or motives. In other words, thematic or motivic material of an earlier movement which
is reintroduced in later movements is said to be in cyclic form. In any event, "cyclic" can not properly be applied to thematic resemblance employed in only one movement. *Carnaval* contains twenty-one short pieces that achieve a coherent characteristic because of the repetition of harmonic and motivic material across movements. Thus, it can be defined as in cyclic form.

Cyclic form was used widely by other 19th century composers. The compositional technique of the 19th century cyclic form was used by other composers, such as Liszt (1811-1886), in his *B minor Piano Sonata*. Franck (1822-1890), in his *D minor Symphony*, and Rachmaninov (1873-1943), in his *First Symphony*. Schumann’s *Carnaval* provides a particularly good example of 21 short pieces which are linked by two motivic ideas and key succession into a cyclic form with a large-scale tonal and formal organization.⁴⁵

Figure 3.3: Example 9—Liszt Sonata in B minor. (a) Measures 1-7. (b) Measures 8-13. (c) Measures 13-15. (d) Measures 105-110. (e) Measures 331-340.
Figure 3.4: Example 10- Liszt Sonata in B minor. Measures 153-156 (from motive C).
3.2 Song Cycles

3.2.1 The Definition of Song Cycles

"Song cycle" is an English translation of Liederkreis or Liederzyklus in German. A song cycle usually consists of a group of individual songs with a common theme or using texts from the same poet. However sometimes the poems in one song cycle are written by more than one poet. The overall coherence of a song cycle may build on a series of systematic key-scheme or harmonic progressions, the dictates of the poems, or it may by mood, which may be found in the vocal line, the accompaniment, or both.

The song cycle was popular in the 19th century, especially in Germany. A work considered the first important song cycle is Beethoven's _An die ferne Geliebte_ (To the distant beloved). It was finished and published in the same year, 1816, and is a set of six songs. Each song is musically linked to the next one by systematic key-scheme and the poetic theme—distant, unattainable love runs through all six. At the end, the theme of the first song appears in the last song. As a result, these six songs comprise a cycle which impacted many other composers and their creation of song cycles. 46

3.2.2 Schumann's Song Cycles

Schumann wrote lieder almost exclusively in 1840, the year of his marriage to Clara Wieck. After the couple struggled to overcome the bitter opposition from Clara's father, they were free to marry in 1839. A year later in 1840, Schumann composed many works which included the song cycles _Dichterliebe_, and _Frauenliebe und leben_. These are the only two works that Schumann himself called "cycles.”

although some scholars consider “Liederkreis.” Brendel said, “Schumann’s song cycles are the continuation of his character pieces for piano.” He used the skills and methods he had learned in writing his piano cycles when writing his song cycles. Thus Schumann’s song cycles are piano pieces with an additional voice colour, the voice.

A unique aspect of Schumann’s song cycles is that vocal and piano parts share the main melody or material. In the past, the piano played a secondary role and merely accompanied the vocal part. In Schumann’s songs, piano is essential to the vocal part. The piano becomes a full participant with the voice through extended preludes and postludes, and harmonic support. Another interesting feature of his songs is that the piano part is often extended in the prelude, interlude, and postlude parts and are considered piano solos.

3.3 Comparison of Schumann’s Song Cycles and Piano Cycles: Similarities and Differences

Even though piano cycles and song cycles have a lot in common, they still have some distinct differences. Therefore, the purpose of this section is to study the similarities and differences between song cycles and piano cycles in Schumann’s music.

Similarities: Like Schumann’s piano cycles, his two song cycles are organized and linked by ordered key-scheme and motives.

The striking thing is that thematic manipulations play almost no role in both song and piano cycles. There is no thematic transformation or thematic development. Instead, both depend on motivic unity. In other words, each character piece has certain analogous fragments among them which constitute a large-scale work. Dichterliebe.

Op. 48 is one of Schumann’s most famous song cycles. Like Carnaval, *Dichterliebe* is connected by threads of the “Clara” motive. He employed this name as a theme, not only for its own musical sake, but also to depict the particular moment or mood that was being expressed by the text. The “Clara motive” (C–B–A–G#–A) appears in various keys and permutations. It can be found throughout the cycle. This motive appears in the vocal part and the piano accompaniment of several songs in the cycle: Song 2, Song 4, Song 7, and Song 9. 48

Schumann was a skilled miniature form writer, and song and piano cycles were perfect mediums for his talent. A relatively large number of recurrences of the same structural relations are associated with the basic unit of the song cycle form. Both song and piano cycles have a quasi architectural musical structures. Each individual movement has a rounded binary or ternary form and a recurring motive that brings each movement together into a large-scale work. Also, both the harmonic structure across movements play a significant role to unify the whole pieces in song and piano cycles. Schumann creates tonal unity in *Dichterliebe*, Op. 48. The song number and key-scheme is as follows:


The tonal relationships of the whole song cycle are: F-sharp minor for song 1, A major (a relative major of the former song) for song 2, D major (a subdominant key of the former song) for song 2, G major (a subdominant key of the former song) for song 4, B minor (a relative minor of the dominant key of G major) for song 5, E minor (a subdominant key of the former song) for song 6, C major (a relative major of the

subdominant key of E minor) for song 7. A minor (a relative minor of the preceding song) for song 8. D minor (a subdominant key of the preceding song) for song 9. G minor (a subdominant key of the former song) for song 10. E-flat major (a relative major of the subdominant key of G minor) for song 11. B-flat major (a dominant key of the preceding song) for song 12. E-flat minor (a parallel minor of the subdominant key of B-flat major) for song 13. B major (we can consider the last note of the former song B-flat as a leading tone to tonic B) for song 14. E major (a subdominant key of the preceding song) for song 15. C-sharp minor (a relative minor of the former song) for song 16. and finally it ends in D-flat major (a parallel major of C-sharp minor) in piano part. In short, Schumann made use of tonal relationship to reach a large-scale formal organization.

Differences: Schumann composed his piano music, including his piano cycles, at a different time from his songs and song cycles. Between 1831-1839, Schumann devoted his time to piano music. In 1840 he began to devote himself entirely to song writing.

Although both his song cycles and piano cycles are inspired by literature, the writers who inspire Schumann’s song cycles differ from those who inspired his piano cycles. The works of Jean Paul Richter and E. T. A. Hoffmann were Schumann’s resources when writing his piano cycles. whereas, he chose most of his song texts from poems of Heine and Eichendorff. Because he was the son of bookseller, his literary knowledge was highly developed. The poems he chose act as mirrors that reflect his own psychology and life events in some ways. Schumann always chose poems for his song cycles carefully and with good literary taste.
The most important characteristic of both Schumann's piano and song cycles is the organization of character pieces into a large-scale formal work. A fundamental structure plays a significant role in the nature of large-scale formal organization. Some choose to classify the formal standards to Schumann's music, especially his piano and song cycles because they perceive that Schumann's manipulation of the individual poetic texts and his ordering of the set of poems strongly influences and relates to the musical structural and the coherence of the song cycles. However, Schumann composed his piano cycles before he wrote his song cycles. His piano cycles show the articulated principles of cyclic structure by essentially musical means and do not have recourse to text. In song cycles, Schumann employs two instruments: voice and piano. The over-all coherence of the music is influenced by the dictates of the poetic text. This influence does not exist in piano cycles.

3.4 Motivic Unity in *Carnaval*

A character piece can be defined as a piece of music, usually for piano solo, expressing either a single mood (i.e. martial, dream-like, pastoral) or a programmatic idea. The term started to be applied to pieces written in the early 19th century. They were popular in the Romantic era. Schumann used a succession of fragments (ASCH) as motives in each piece as an important unifying device. Each piece can be considered a character piece because of shifting rapidly in the melody, rhythm, key, mood and tempo. Since every character piece is so diverse, they can never be called monotonous. Instead, the use of these three or four notes is subtle enough to convey


an expression of unity to the whole cycle without sounding repetitious. Moreover, the texture and structure of each character piece in *Carnaval* is individual and contributes to the effect of Schumann’s own strategy which implies the special meaning and idea in each piece, respectively. Finally, each character piece combines the inherent principles of relative key-relationship, motives, tempo, and dynamic variety and fuses all of these into an extended structure, that forms a large-scale work.

Various combinations of the four ASCH notes are applied in *Carnaval* so that a large work is achieved by the constant variation of the motives. The subtitle given by Schumann, *Scènes mièvres sur quatre notes* (Miniature Scenes on Four Notes), reveals that Schumann composed by forming musical themes associated with the letters of a word to create the large-scale organization. Schumann broached the ultimate of the structural elements in music with the piece appropriately entitled “Sphinxes,” which is placed in the middle of the cycle between “Réplique” and “Papillons” and uses outdated notation (see Ex. 11). The meaning of “Sphinx” is an inscrutable person who keeps his thoughts and intentions secret. Schumann adopted this word as one of the titles in *Carnaval* by taking its meaning. Therefore, these notes are not intended to be played since they have another reason for being there. The reason for presenting these significant motives in the score is possibly to tell performers that the unifying foundation is based on these “Sphinxes.”

The first Sphinx SCH (E-flat, C-natural, B-natural and A-natural) is comprised of the only musical letters in Schumann’s own name SCHumann, even though these notes did not exist as one of motives in any movement, it still strengthens the mystic bond between himself and his fiancée from Asch. ASCH is the name of a little Bohemian town, connected with Schumann’s first fiancée, Ernesine. As is German
for A-flat and H is German for B-natural. Therefore the motive for Sphinxes 2 AsCH is A-flat, C-natural, and B-natural. As to Sphinxes 3 ASCH (A-natural, E-flat, C-natural, and B-natural) are adopted as musical resources across the entire cycle. In short, the two motives. Sphinxes 2 and 3 appear throughout the work in a variety of rhythmic, harmonic, rhythmic, and expressive appearances, and "Rêplique" and "Chopin" are the only two pieces not based on the essential motive of "ASCH."

This procedure of using two motives throughout the work gives a strong unity to the work as a whole. These motives serve as an initial impetus to be remolded across the entire composition rather than being repeated frequently. In short, this initial impetus not only works in both artistic and structural aspects, but also is remolded and extremely varied in rhythmic and harmonic appearances that create sharp contrast between each short piece.

The succession of motivic organization of the work, using the clue given by "Sphinxes" is as follows. Most of the pieces prior to "Sphinxes" are predominated by Sphinx No. 3. Préambule does not employ any element of Sphinxes until measure 92-94. It contains the motive of Sphinx 2 at the first beat of these three measures in the left hand (see Ex. 12).
In *Pierrot*, the material of Sphinx 3 is presented by the left hand. Schumann uses different notation, “C-flat,” to describe the same intonation, “B-natural.” Also, the right hand repeats the material in measures 5 and 6 (see Ex. 13).

*Arlequin* starts with the ASCH motive (Sphinx 3) in the right hand at the very beginning (see Ex. 14).

In *Valse noble*, the Sphinx 3 appears in a different order. The original order of Sphinx 3 is A-natural, E-flat, C-natural, and B-natural. Schumann changes the order
Figure 3.8: Example 14– *Carnaval*, Op. 9, “Ariéquin.” Measures 1-2.

of Sphinx 3 to A-natural, E-flat, B-natural, and C-natural in this movement (see Ex. 15).

Figure 3.9: Example 15– *Carnaval*, Op. 9, “Vaudeville.” Measures 1-2.

The motive of *Eusebius* is loosely based on Sphinx 3, and is not easy to recognize at first glance. The four notes of *SCH* are hidden in the embellished melody in the right hand (see Ex. 16). It is not easy for listeners to perceive the motive. However, the cryptic quality fascinated Schumann.
Florestan opens with the motive of Sphinx 3 as a perminal element. It is easy to recognize (see Ex. 17).

The motive of Coquette is based on Sphinx 3 with a little modification (see Ex. 18).

The first appearance of Sphinx 3 in “Coquette” is preceded by a three-measure introduction. Réplique does not employ either Sphinx 2 or Sphinx 3, possibly because “Réplique” is closely related to “Coquette,” which uses Sphinx 3. It is at this point in this movement that “Sphinxes” is presented. However, the next movement.
Papillons. is still based on Sphinx 3. Papillons opens with the initial material of ASCH, but the material appears in an altered way at the beginning of the last section in measure 25 (see Ex. 19).

After “Papillons,” a new interpretation of the letters is shown (A-flat, C-natural, and B-natural). Lettres dansantes, is based on Sphinx 2 (see Ex. 20). Chlorine follows “Lettres dansantes.” The Sphinx 2 motive again appears at the opening of this piece (see Ex. 21).

Chopin is built in A-flat major. Possibly, Schumann wants to delay the melodic arrival of A-flat major, so he does not employ the motive of Sphinx 2 or Sphinx 2.31

With no doubt, the initial elements of Estrella are derived from Sphinx 2 with the first note, A-flat, an octave higher (see Ex. 22). Thus, the succession of the interval is the descending sixth and descending half step which is different from that of the original Sphinx 2 (ascending third and descending half step).

The three-note theme of Sphinx 2 clearly appears at the beginning of Reconnaissance (see Ex. 23).


In *Pantalon et Colombine*, the motive is modified into a "sphinx-like" notation. Like "Estrella," the initial element, A-flat, is placed an octave higher than the original Sphinx 2 (see Ex. 23).

The motive of *Valse Allemande* is the same as "Pantalon et Colombine" which is a modification of Sphinx 2 (see Ex. 25).

"Valse Allemande" alternates with "Paganini." *Paganini* does not employ any motives from "Sphinxes" until measure 25 (Sphinx 2; see Ex. 26).

*Aveu* presents Sphinx 2 clearly at the beginning of the movement (see Ex. 27).

*Promenade*’s motive is based on Sphinx 2, which was mentioned in "Estrella" (see Ex. 28).
In Pause the first appearance of Sphinx 2 is in measures 6-8. Like 'Préface du,' Sphinx serves as the initial material in a subtle way (see Ex. 29).

Finally, the three-note motive Sphinx 2 serves as the beginning of the finale movement, Marche des Davidsbündler contre les Philistins. (see Ex. 30).

In summary, these little motives are adopted to form into many different melodies that are completely distinct in rhythm, character, harmony, tempo, and so on. Thus, all the small pieces form a continuous series of permutations of ASCH to create a large-scale form.
Figure 3.16: Example 22- Carnaval, Op. 9, "Estrella." Measures 1-2.

Figure 3.17: Example 23- Carnaval, Op. 9, "Reconnaissance." Measures 1-2.

Figure 3.18: Example 24- Carnaval, Op. 9, "Pastalon et Colombise." Measure 1.

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Figure 3.19: Example 25- *Carnaval*, Op. 9, "Valte Amerande." Measures 1-2.

Figure 3.20: Example 26- *Carnaval*, Op. 9, "Paganini." Measure 25.

Figure 3.21: Example 27- *Carnaval*, Op. 9, "Aveu." Measure 1.


Figure 3.24: Example 30 - *Carnaval*, Op. 9, “Marche des Davidsbündler räute le Philistins.” Measure 1.

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3.5 Tonal Unity

Sphinxes are not only used as the two main motives to unify the piece across the movements, but also function to strongly affect the long-range tonal and formal structure. The striking feature is that the two motives ASCH have close relationship with the harmonic structure. For the three-note motive, we can treat B-natural as a passing tone or nonharmonic tone. Thus, A-flat and C-natural can be cast as part of diatonic scales in E-flat major, A-flat major, D-flat major and their relative minors. C minor, F minor, and B-flat minor, though Schumann did not employ B-flat minor in Carnaval. As to the four-note motive (A-natural, E-flat, C-natural, B-natural), it can be cast as part of diatonic scales in B-flat major and its relative minor, G minor. As a result, Schumann utilized these motives to establish a wide range of keys: B-flat major, E-flat major, A-flat major, D-flat major, G minor, C minor, and F minor which are arranged logically within these key-schemes.

The key succession of the whole piece is: A-flat major for Prélude; E-flat major (a dominant key of the preceding movement) for Pierrrot; B-flat major (a dominant key of the preceding movement) for Arlequin; B-flat major (the same key as the preceding movement) for Valse noble; E-flat major (a subdominant key of B-flat major) for Essebius. G minor (a relative minor of the dominant of E-flat major) for Florestan; B-flat major (a relative major of the preceding movement) for Coquette; G minor (a relative minor of B-flat major) for Réplique; B-flat major (again, a relative major of the preceding movement) for Papillons; E-flat major (a subdominant key of B-flat major) for Lettres daussantes; C minor (the relative key of E-flat major) for Chiara; A-flat major (the subdominant key of the relative major of C minor) for Chopin; F minor (the relative minor of the preceding movement)
for Estrella: A-flat major (again, the relative major of the preceding movement) for Reconnaissance: F minor (the relative minor of A-flat major) for Pantaloc et Colombine: A-flat major (the relative major of F minor) for Vaize Allemande: minor (the relative minor of A-flat major) for Paganini: A-flat major (again, the relative major of the previous movement) for Aveu: D-flat major (the subdominant key of A-flat major) for Promenade: dominant chord in A-flat major (1/4,1/4) for "Pause" (as a preparation of A-flat major). Finally, the whole piece resolves in A-flat major for the finale. In short, the key succession is tonal organization is by ascending and descending thirds and fifths across movements. This demonstrates Schumann's incredible ability to achieve structural coherence. As a result, the long-range and convincing tonal setting create coherence throughout the piece.

Table 3.1 lists the titles of each movement included in Carnaval, and the number of Sphinxes and keys which are employed in each movement. This table shows that there are seven keys employed in the whole piece B-flat major, E-flat major, A-flat major, D-flat major, G minor, C minor, and F minor. Clearly these seven different keys represent key pairs of major and relative minor through the key succession of descending circle of fifths, that is:

B-flat major/G minor:
E-flat major/C minor:
A-flat major/F minor:
D-flat major/None

Only "Promenade" in D-flat major does not have a corresponding movement in its relative minor key. However, the beginning of this movement is in B-flat minor. This

<table>
<thead>
<tr>
<th>Title</th>
<th>Sphinx No.</th>
<th>Key</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Prélude</td>
<td>2</td>
<td>A</td>
</tr>
<tr>
<td>2. Poème</td>
<td>3</td>
<td>B♭</td>
</tr>
<tr>
<td>3. Arlequin</td>
<td>3</td>
<td>B♭</td>
</tr>
<tr>
<td>4. Valse noble</td>
<td>5</td>
<td>G♭</td>
</tr>
<tr>
<td>5. Eurythms</td>
<td>5</td>
<td>G♭</td>
</tr>
<tr>
<td>6. Floretas</td>
<td>3</td>
<td>g</td>
</tr>
<tr>
<td>7. Coquette</td>
<td>3</td>
<td>B♭</td>
</tr>
<tr>
<td>8. Dépique</td>
<td>none</td>
<td>g</td>
</tr>
<tr>
<td>9. Papillons</td>
<td>3</td>
<td>B♭</td>
</tr>
<tr>
<td>10. Lettres damoïtes</td>
<td>2</td>
<td>E♭</td>
</tr>
<tr>
<td>11. Chionia</td>
<td>2</td>
<td>e</td>
</tr>
<tr>
<td>12. Chopin</td>
<td>none</td>
<td>e♭</td>
</tr>
<tr>
<td>13. Estella</td>
<td>2</td>
<td>f♭</td>
</tr>
<tr>
<td>14. Reconnaissance</td>
<td>2</td>
<td>f♭</td>
</tr>
<tr>
<td>15. Pantalon et Colombine</td>
<td>2</td>
<td>f♭</td>
</tr>
<tr>
<td>16. Valse Allemanse</td>
<td>2</td>
<td>f♭</td>
</tr>
<tr>
<td>17. Pagainsi</td>
<td>2</td>
<td>f♭</td>
</tr>
<tr>
<td>18. Arie</td>
<td>2</td>
<td>A♭</td>
</tr>
<tr>
<td>19. Promenade</td>
<td>2</td>
<td>D♭</td>
</tr>
<tr>
<td>20. Pause</td>
<td>2</td>
<td>V/A♭</td>
</tr>
<tr>
<td>21. Marche des Davidshändler contre les Philistins</td>
<td>2</td>
<td>A♭</td>
</tr>
</tbody>
</table>

Table 3.1: Carnaval, Sphinxes, and Key succession.

remedies the defect of lacking a corresponding piece in the relative minor of B-flat major (B-flat minor).

From Table 3.1, we see that this piece can be clearly divided into two parts on the basis of Sphinx and key. The first to ninth piece can be seen as the first part. The tenth through twenty-first movements comprise the second part. Furthermore, by looking at this table in more detail, we see that there are four of nine pieces built in B-flat major in the first part. Two of the nine pieces are built in G minor (the relative minor B-flat major). And the only adjacent movements built in the same key (B-flat major) in the whole piece are numbers 3 and 4 ("Arlequin" and "Valse"

\[\text{bid.}, \text{p. 21i.}\]
noble”). Perhaps, Schumann wanted to reinforce the structural role of B-flat major in the first part. The tonal succession from movements 6-9 is “C minor-B♭ major-G minor-B♭ major.” This pattern helps to confirm the importance of B♭ major.

In addition, “Papillons,” built in B-flat major, is the last piece of the first part that utilizes the Sphinx 3 motive. It shows that the first part ends in the primary key of B-flat major. “Papillons” marks a formal demarcation line. In other words, the tonality of “Papillons” and the entire first part of the cycle is centered in B-flat major.

The tonality of the second part is mostly centered in A-flat major and its relative minor. E-flat major achieves this connection in “Lettres dansantes.” In other words, the key of E♭ major plays an interesting tonal role, because it is the key associated with both Sphinxes 2 and 3.

In the beginning of Carnaval, “Pierrot,” introduced Sphinx 3, which gets away from A-flat major and is in E-flat major. It then prepares for the shift to B-flat major in “Arlequin” (the primary key of the first part) by the ascending fifth of E-flat major. In a word, the motion of key succession is A♭ major-E♭ major-B♭ major.

Later this motion is imitated and reversed at the end of the first part and the beginning of the second part. The closing of the first part is established in B-flat major. In the second part, “Lettres dansantes” introduces Sphinx 2 in E-flat major and leads by the descending fifth back to A-flat major through “Chiarina” in C minor to the main key A-flat major. The key succession is B♭ major-E♭ major-A♭ major.

Continuing in the second part, after “Chopin” in A-flat major, the key-scheme for the rest of Carnaval alternates between A-flat major and F minor until “Promenade.”

movement 19. "Promenade," is in D-flat major, which only appears once in the whole piece.

The motion of descending fifths occurs again from A major (the main key of the second part) to the subdominant D-flat major which is critical to the final closure. It seems that Schumann reserved the key of D-flat major in "Promenade" for special tonal use. This movement can be treated as IV of A-flat major and is followed by "Pause," which ends on V of A-flat major.

"Pause" contains material from the opening "Préambule" in the dominant key of A-flat major. This movement is not a quasi-independent movement in the dominant, but a reprise of the previous material. Again, this writing technique proves that Schumann established a coherence throughout this work.

Moreover, the progression may be explained by a simpler sketch of key signature throughout the cycle: the guiding structural motion is by descending fifths from two to five flats (from B-flat to D-flat major) through the circle, especially in the second half of the cycle.55

To sum up, by examining the subsequent recurrences of the motives in each movement, we see that Schumann only employed two motives across the entire cycle since the successive keys are all diatonically related. Possibly because Schumann employed only two motives, the progression of tonalities is limited to closely related keys.56 As a result, however, the goal of corresponding the Sphinxes is achieved and contributes to a high degree of tonal coherence.

55bid., p. 212.
56bid., p. 212.
CHAPTER 4

TECHNICAL AND MUSICAL CONSIDERATION

4.1 Préambule

As in the very beginning of the first movement of Beethoven’s Piano Sonata Op. 10, No. 4 in C minor, the rhythmic construction of the “Préambule” movement is based on dotted rhythms (see Ex. 24). In an attempt to push through the phrase and create a sense of forward motion and line, the pianist just learning this passage will have a tendency to cut off the value of the dotted eighth note (see circled chords in Ex. 31).

![Dotted Rhythms](image)

Figure 4.1: Example 31 - Carnaval, Op. 9, “Préambule.” Measures i-6.
The introduction of this movement (from measure 1 to measure 24) is comprised of a series of chords. Due to skips and the stretch of the chords, it is easy for a pianist with small or average sized hands to pay less attention to the outer voices. Since the outer voices provide the framework for harmony texture and melodic flow, one should put more weight on the fifth fingers in both the right and left hands. The problem of the interval of a tenth in the left hand (see Ex. 32) can be solved by playing two of the lower notes and rolling the third (from the bottom to top). In measure 4, one can play C-natural and E-natural together as a dyad on the downbeat, and then play E-natural right away instead of playing an arpeggiated chord (see Ex. 32).

\[ \text{Figure 4.2: Example 32—Carnaval, Op. 9, "Préambule." Measure 4.} \]

One thing worth mentioning is that there are many different mood changes even reflected in the writing of the opening of the composition. The opening passage in a slower tempo with its series of maestoso chords is followed by a light and vivid passage from the third beat of measure 24 to the second beat of measure 34. As the movement proceeds, there is a phrase which is twice presented from measure 37 to 39 and from measure 43 to 45. A crescendo and a slight prolongation at the highest point, A-flat in the left hand for the second time (measures 43-45) will give a sense
of musical tension over the dominant chord (see Ex. 33). Also, the phrase from

bar 47 to 50 moves from a high pitch (A-flat) to a low pitch (G-flat). One can lift
onto the high point and then sweep down in order to give a lifting character to this
section (see Ex. 34). Schumann changes the motive and character in bar 54. Since
the change happens abruptly, and on the third beat of the measure 54, it is effective
to play a *subito piano* which makes the musical mood more intense right away, and
the change surprising. From the third beat of measure 59 to 63, Schumann presents
this phrase a second time, and then the phrase is extended a few measures towards
the close of this section. However, in measure 62, the B-flat reaches a climax, and
therefore emphasizing the B-flat by a combination of agogic and dynamic accent will
help to highlight its importance.

Figure 4.3: Example 33- Carnaval, Op. 9, "Préambule.” Measures 37-46.
This is followed by a splendid section with the indication of Animato. At the beginning of this section, one can ease into the transition of material, and start slower so there is time and space to accelerate freely into the primary tempo. A pianist must be rhythmically accurate when playing this section, in order to achieve the clarity and thus transmit the exciting effect of compression of rhythm. It is difficult for a pianist to maintain the feeling of excitement continuously without losing physical energy in the whole section. For this reason, in measure 99, one can slow down the tempo and lower the dynamic range before moving forward. This is soon followed by a coda which completes the movement (from measure 114 to the end). In order to prepare the listener for the closing section, the pianist should take special notice of the ritardando from measure 113 to the downbeat of measure 114 as a preparation for the coda.

Additionally, in the first and the last movement of Carnaval, one can see that there are more crescendos than diminuendos. As a result, the performer must exercise a certain amount of discretion. It is important for a pianist to come down a dynamic level occasionally, and rebuild dynamic growth throughout virtuosic passage demanding constant crescendos.
In summary, careful execution of the dotted rhythms, projection of the outer voices, and holding the tempo back before driving forward to a climax moment are good ways to achieve an artistic performance of this movement.

4.2 Pierrot

By analyzing the score of this movement, one can see that it consists of three basic motives (see Ex. 35). Looking at the score in more detail, it becomes apparent.

Figure 4.5: Example 35—Carnival, Op. 9, “Pierrot.” (a) Measure 1-3. (b) Measures 3-4. (c) Measures 8-11.
that the first motive appears six times, the second motive appears thirteen times, and the third motive appears four times. Furthermore, the melody in this whole movement is not particularly melodic, but rather awkward and dull. Therefore, if one plays this movement with no intention to move forward, or delay a little between each motive, it can become boring and uninteresting. Varying the character of each motive, sometimes going straight to the next motive, sometimes pausing between motives will help achieve a variety of sound and dynamic changes.

Moreover, from the second beat of measure 24, Schumann presents the motive (a) again. Thus, in order to remind the listener that the motive (a) returns, it is possible for the performer to make a longer pause between the end of the motive (c) and the beginning of the motive (a).

A most important point is that the articulation of the motive (a) should be different from that of the motives (b) and (c). The motive (a) is written with a staccato indication and legato-marking line over the top (see Ex. 35(a)) indicating a non-legato or portato touch. On the contrary, more pedaling and legato are necessary for the elements (b) and (c) to help distinguish them from the first one.

Finally, Schumann adopts the former rhythmic and melodic motive from the motive (a) and transforms them into a larger theme at the close of this movement: this occurs from the second beat of measure 40 to the end. The pianist can employ two contrasting articulations (staccato and legato) with regard to this phrase. The pianist might try to play this phrase with a decrescendo, even pianissimo on the second beat of measure 45 to the first beat of measure 46 so that he can play sforzando on the second beat of measure 45, and then play piano for the following chords. The dramatic dynamic change maintains interest and attracts the listener's attention.
In summary, varying the length of the pauses between each motive effectively, using different articulations for different motives, and a sense of forward motion will give an interesting auditory perception of mosaic patterns.

4.3 Arlequin

The spirit in this movement contrasts completely with the former one "Pietà." This movement is more lively, based on only one rhythmic motive. From measure 17 to 24, the passage can be played louder in order to vary the homogeneous rhythmic motives. In addition, from measure 25 to measure 28, one can create an emotion of sadness by performing softer in order to distinguish the different writing timbre from the rest of this movement.

One thing worth mentioning is that this section contains wide intervals (see Ex. 36). Certainly, it is tempting to rush the two eighth notes, but by doing so can result

![Figure 4.6: Example 36 - Carnaval Op. 9, "Arlequin." Measures 1-7.](image)

in a grace note effect. By performing the first eighth note louder and the second one softer, as well as playing the first one on time, helps to resolve this problem. Also, by
delaying the following *forzando* not only reinforces the vivid motion, but also helps avoid playing wrong notes.

In summary, the special feature in this movement is the wide intervallic leaps. Practicing the intervallic leaps is a good way to overcome the technical challenge in this movement.

4.4 Valse noble

This movement contains much wider range of notes and slower tempo when compared with the former "Arlequin." The title of this movement helps us to understand the style of this movement, a waltz. A performer needs to emphasize the first beat of each measure. In other words, the pianist should avoid accents on other beats of the measure, and apply a sense of swing to the rhythm (like the dance) and count this movement in one beat for each measure.

From measure 1 to measure 8, by projecting the bass line on the left hand (G-flat, F-natural, E-flat, etc.), it is much easier for the listener to follow the harmonic progression as well as its function of supporting the melody on the right hand. This function is stressed again from measure 25 to measure 41. The bass line plays an important role.

One interesting feature in this movement is that Schumann indicates *molto teneramente* in measure 13. This measure is a melodic high point of the thematic progression beginning in measure 9. Schumann's indication of *teneramente* suggests a special moment with a sudden mood change. The pianist should follow the indication to play this measure with a softer touch and keep in mind that the tone should still project. The main theme returns in measure 25; this time Schumann presents the material in
a different way, dropping the octaves and thinning texture, which yields a mood of delicacy and elegance rather than that of a broader nature.

The section between measure 9 and measure 41 repeats. Since there is repetition from measure 9 to measure 41, the first time, the top voice can be treated as the main melody and voiced in the right hand. The second time, the first note of each measure in the left hand can be considered a counter melody (A-natural, B-flat, D-natural, etc., see Ex. 37) and voiced in the left hand thumb. As a result, there are two melodic lines that seem to compete with each other. As for the melodic line presented by the left hand, one needs proficient skill in using his thumb to emphasize the counter melody during the repeated section. The tempo is fast enough to hear the downbeat in the left hand as a counter melody. The challenge for the performer is to avoid monotony in all the repetitions. Also, eight-measure phrase consisting of a two-measure sequence pattern stated four times with the last statement varied. The sequence ascends to build tension, but the performer should not break phrase with each repetition of the sequence pattern.

In brief, bringing out the outer voices, playing with a little accent on the first beat of each measure and providing another melodic line on the first beat of each measure during the repeat can make this piece more interesting.

4.5 Eusebius

Schumann liked to have Eusebius and Florestan together to yield vivid contrast between the characters and to express his dual personality. “Eusebius” is conceived in a free style with both a beautiful lyrical melody, smaller range, and thinner piano texture. In contrast, “Florestan” is characterized as more lively than “Eusebius.” Upon initial appearance, one would think it was an easy piece to learn, as it is comprised of only a few notes. Nevertheless, one must consider the diversity of tempi, tone qualities, legato touch and the continuity of phrases. In the following discussion, these factors will be addressed.

For “Eusebius”, the melody seems to be quiet and in a lower dynamic range. Utilization of the unved pedal is essential in this piece most of the time. Moreover, a pianist should be able to change the tone color and his touch from the previous piece to accommodate the mood in this piece. Utilizing flatter fingers and a “brush” touch can overcome this problem and yield a beautiful tone quality. Here, we have to explain the reason why a pianist can make softer sounds when playing using a flatter finger position and “brushing” the keyboard. As we know, sound is achieved on the piano by the strings being struck by the hammers. In other words, the piano can achieve a beautiful or a hard sound depending on the intensity of the touch. With a less intense or slower touch, the pianist can make a beautiful sound. A direct and fast touch can result in a hard sound.
Furthermore, one has to examine how legato can be achieved by listening, as well as playing. Since Schumann indicates senza Pedale (without pedal) from measure 1 to measure 16 and from measure 23 to measure 22, playing legato is the only way to solve the problem. Certainly, this movement requires sensitivity and nuance in order to achieve the emotional picture of a shy, awkward character.

This musical imagine can be achieved by playing softly and paying attention to the counter melody and shape of the motive. The musical goal is a long legato phrase. In order to achieve musical coherency and fluency, the passage should be played without any breaks bar lines. As a result, the music will sound mellifluous. Pianists are often tempted to break the line up by playing accents on the downbeat of each measure, even if it is not deliberate. Through careful articulation the pianist can phrase across bar lines in order to avoid inadvertently accenting the first beat in each measure (see Ex. 38).

![Figure 4.5: Example 38– Carnaval, Op. 5, “Eusebius,” Measures 1-11.](image)

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Unusual rhythmic grouping prevents rhythmic predictability. Regular measures of four eight notes are surprising! The unusual rhythmic grouping reflects Romantic element of mystery.

However, a pianist has to change the tempo in the second section (from measure 17 to measure 32) with an indicated slower tempo marked Piu Lento, molto teneramente. Moreover, measures 17 through measure 24, consist of a series of rolling chords on each beat of each measure in the left hand. This can easily effect right hand’s sense of flow in the right hand. Playing the rolled chords slowly and expressively as well as rolling them on the beat with the right hand, gives a sense of a unified whole, and is one way to overcome the problem.

Tempo, smooth flow, good tone quality, and legato, are all factors which contribute to a pianist bringing out the lyrical nature of this movement.

4.6 Florestan

A pianist should keep the beginning of this movement at a low dynamic level by using una corda. The ensuing crescendos and fluctuating tempi give the music a lively character and sense of motion. The spirit in this movement contrasts with the former by use of its rhythmic motif. It is a small sweeping passage moving from low to a high range with a sudden to a low range. In my experience, I found that using the decrescendo in the right hand emphasizes following sforzando, although it appears that it is opposite of the dynamic indication (see Ex. 39). Use of crescendo in this passage can yield an overall effect of crescendos which the composer wanted. This is followed by two notes marked sforzando. The pianist needs to be played with strength by dropping the lifted hand down in order to do sforzando (see Ex. 39).
One distinguishing point is that sometimes the small sweeping passage is interrupted by an interlude with a different tempo and character. For example from measure 9 to 10, the tempo is changed from *Passionate* to *Allegro* with the indication of *leggero*. We need to know how to change the mood right away when these contrasts occur. Listening to the sound of F-natural in measure 8 dying away in the right hand, using the una corda at once, and delaying the release on F-natural in the left hand is a good way to change the mood to a more subdued emotional state immediately. Since the pianist has to alter the moods in these 2 measures, changing the timbre is important in achieving this goal. As mentioned earlier, projecting the top notes is a good way to change the timbre.

Measures 28 through 35 repeats. By counting the number of repetitions, we can see that the same phrase is presented four times. The pianist needs to think of ways to make it different and fresh each time. One interpretation would be to perform *piano* for the first and second time, then *crescendo* for the third and fourth time, and then execute a *subito piano* in order to prepare for the high point in measure 43. However,
the last phrase of this movement (from measure 44 to measure 55) accelerates and gets louder reaching a climax in measure 55. A crescendo in the left hand is effective in supporting the right hand and achieving an exciting finish to this movement.

In short, presenting the lively characteristics, changing moods right away, varying the same material when it repeats, and in dynamic level and speed at the climax point in the last measure of this movement, will yield a virtuosic effect.

4.7 Coquette

The dynamic indication at the beginning of this movement is pianissimo, contrasting to the end of the preceding movement "Florestan." Maintaining a moment of silent tension between the movements until the sonority disappears, playing the beginning of the latter movement "Coquette" with soft dynamics and lively expression will create a special effect. A rubato can be applied to "Coquette" by starting slower and gradually accelerating will be suggestive of a whimsical nature, such as the title implies.

There are two different basic motives in this movement (see Ex. 40). First of all, there is a sixteenth-rest dividing sixteenth and eighth note pairs for the first motive. On the contrary, the second motive contains a series of eighth notes with a legato marking above the notes. As a result, the first motive is characterized by lightness and liveliness, whereas a legato articulation dominates the second motive. Playing the second motive with a legato touch and more lyrical expression will clearly distinguish it from the first motive which is comprised of fast skips and leaps.

The first motive poses a special technical problem, a large intervallic leap toward the end of the first motive in both hands. Also, during the leap, the pianist has to
stretch out the right hand in order to play two last octaves. The pianist should not only take a little time to prepare for these two octaves so that they may be accurately executed. It also helps if one thinks of these two octaves as single unit and plays them with one down-and-up gesture. Moreover, due to the technical difficulty, it is easy to miss the top notes. The only way to solve the problem is to put more weight on the fifth finger in the right hand in order to project the top notes more, and to relax the whole arm after playing.
4.8 Réplique

The word “Réplique” roughly translates into English as “reply”. The “Reply” is musically written out by presenting the melody in the right hand and then contrapuntally answering it in the left hand (see Ex. 41). It is worth mentioning that the material of this piece is derived from “Coquette” (see Ex. 42).

Figure 4.11: Example 41- Carnaval, Op. 9, “Réplique.” Measures 1-5.

Figure 4.12: Example 42- Carnaval, Op. 9, “Coquette.” Measures 1-3.
It is easy to ignore the pick-up notes, is the four note melody (motive 1), in either the right or the left hand. This makes it deceptive to the listener who cannot tell the starting point of the interchange between the two hands. Therefore, when playing the main melody, the performer needs to bring out the pick-up note with more tone to make it audible. Even though the main melody is short in duration, the pianist still can make it sound impressive by applying a crescendo at the beginning, and then a diminuendo at the end of the phrase. Also, the pianist has to keep the descending notes rhythmically steady and clear for motive 2 because it is easy to rush the tempo as well as distort the sound. Taking a slight break prior to playing this movement will help the pianist keep the tempo steady. Moreover, for daily practice, the pianist can treat the descending grace notes with equal value and separate each note in order to train the independence of the fingers (see Ex. 43). However, for

\begin{align*}
\text{\[Example 43\] Carnival, Op. 9.}\end{align*}

performance purposes, the pianist should play the group of grace notes in one gesture with rotating to produce a quick attack.

In brief, the melodic interaction between the right and left hands makes this piece attractive.
4.9 Papillons

"Papillons" has a tempo marking of Prestissimo. This movement consists of a nervously agitated sixteenth-note figure in the right hand, with either eighth-note or sixteenth-note accompaniment figures in the left hand. Thus, this movement consists of strong rhythmic elements rather than melodic figures. Therefore, the tempo needs to be fast enough to catch the rhythmic spirit of the movement. However, the pianist must consider how fast he can control the figures before he plays them. Letting the left hand lead the tempo is one way to help keep the tempo steady, as long as the grace notes before the downbeat in the left hand in measures 1, 3, 5, and 7 are played unobtrusively. In order to capture the spirit of a "trapped butterfly," and to avoid sounding mechanical, it is good for the pianist to play it in a slow tempo with a lot of expression during daily practice. Thus, during performance, it will sound exciting full of rhythmic drive and natural expression.

One interesting feature is that in measure 25 and measure 26, the rhythm of E-flat and E-natural is a dotted eighth note. These are the only two notes of longer value in the second half. So, the pianist should hold these two notes longer to exaggerate the difference from the others. With regard to pedaling, since this movement is based on sixteenth-notes with strong rhythmic drive, it is not good to use sustaining pedal very much; otherwise, it can sound too cloudy. One can use short pedal in the first beat of each measure from measure 1 to measure 8, and one pedal on each downbeat from measure 17 to measure 32, and longer pedals from measure 9 to measure 16.

The character of this movement is light spirited and vivid. Because the character is changed from agitato (in the former movement) to liveliness in this movement, the pianist might want to take a pause before starting this piece. However, in order to fully express this character, the pianist might have to play it with the articulation of short, light and sharp. A quick brush touch and relaxed hands will accomplish this. Even though this movement consists of a light character, there are sforzando indications on two tied notes in unpredictable places. According to the indication, it is not difficult to know that Schumann wants to surprise the listener and make the movement more interesting. The sforzando must be observed whenever it occurs.

Most of the parts in this movement are written with a staccato indication, but the passage from measure 25 to measure 32 has no staccato marking. Therefore, the pianist has to change the character to keep the music sounding fresh. A good way to change the character is to play with a legato touch, somber expression, and a longer sustaining pedal in order to distinguish the differences between sections.

It is also important to look at the dynamics, contrasting light and sharp touch, different characters, and emphasizing sforzando to bring out the artistic aspect of a performance.

4.11 Chiarina

The title “Chiarina” is another name for Clara Schumann. As we know, when the two first met, Clara adored and was attracted to Schumann even though Schumann was not interested in her. As a result, projecting a passionate emotion in this music
is the best way to suggest Schumann's inspiration for composing this movement. It needs to be performed with a full tone right from the very beginning of this movement.

Shaping the phrases plays an important role in this movement. One should bring out the top notes in the right hand as the main melody. Since the melody is long, it is not easy to maintain the intensity until the very last note. Therefore, one can emphasize the longer notes in each measure. As a result, the first line could be simplified to C-natural, D-natural, E-flat, F-natural, B-flat, A-flat, E-flat, D natural, and C-natural (see Ex. 44). One can increase dynamic intensity as the line rises in pitch until it reaches the high point B-flat, and then relax the intensity when the line is dropping in pitch. For the rest of this movement (long phrases with each important melodic notes anticipated), the pianist could follow the same process.

Figure 4.14: Example 44—Canzona, Op. 9, "Chiara." Measures 9-16.
There are three repetitions of the same motive from the third beat of measure 17 to the second beat of measure 22. Within these phrases, the pianist should provide variety, such as different dynamics, great depths of emotion, different timbre, and so on. The pianist can imagine that he does not know his destination. Hesitating twice, and driving the third repetition, remembering his destination is his starting place so he returns to the original theme (see Ex. 45). For the first and second repetitions,

![Original line](image)

**Figure 4.15: Example 45—Carmanal, Op. 9, “Chiarina.” Measures 17-28.**

the pianist can crescendo, and drop to a sforzato piano on the third, and crescendo to the preceding note of the recapitulation as a climax point. The original theme can then be started again from piano.

In this movement, the bass line (F-natural, E-flat, D-natural, etc.) should be brought out to support the main melody in the right hand. Furthermore, emphasizing the bass line not only supports the main melody but also helps support the right hand.
thus achieving a sonority of which is reflective of passionate emotion and contrary motion in the right and left hand.

There is a series of intervalic leaps from measure 8 to measure 16, and from measure 22 to measure 30. Sometimes the notes are repeated in dotted rhythms. Also, it is composed in octaves in the right hand (see Ex. 44). Therefore, we can see that it is easy for a pianist to become tense in the hands and play wrong notes. The pianist should release the longer notes in order to prepare the next notes rather than holding the longer notes for the full value. This not only helps to avoid playing wrong notes and the repeated notes in an unclear manner, but also prevents tension.

In short, bringing out the outer voices, playing this piece with great depth of passionate emotion, releasing the hands and preparing the next notes when playing octaves, and shaping the phrases will result in relaxed and effective performance of this movement.

4.12 Chopin

Like Schumann, Chopin was a romantic composer. Chopin's stylistic characteristics include melancholy, lyrical melody supported by left hand accompaniment with a wide range and movement. His piano compositions requires piano technique of a high level and understanding harmonic changes. The ornamentation becomes part of the music and fuses into the texture. As the title suggests, Schumann tries to match Chopin's style and pianistic color. This movement consists of remarkable expressive emotion which matches Chopin's stylistic characteristics.

First of all, after finishing the former piece, "Chiarina," a pianist can wait for a while and treat the pause as a preparation for playing "Chopin." Doubtless, he has to
change the mood from *Pianissimo* to *Agitato* so that each note can flow into the next. In other words, the pianist can imagine a *fermata* at the end of "Chiarina" so that he can make use of the silence to change his mood. Also, he can change the mood by employing a different touch from "Chiarina." As we mentioned in "Eusebius," playing with a flatter finger position and brush touch can yield a softer sound sound.

Again, the bass line (A-flat, G-flat, F-natural, B-flat, etc.) should be emphasized and played with the knowledge that it functions as harmonic support for the entire movement. In addition to the function of harmonic support, understanding the bass progression can aid the performers memorization of this movement. Because the melody in the right hand is so lovely, the pianist may tend to focus on creating an expressive melodic line with beautiful tone quality. When performing before a listener, the increased anxiety may cause the player to forget the left hand notes because he has focused so much on bringing out the melody. Therefore, it is very helpful to memorize the bass line, and to bring it out.

It is tempting for the pianist to get overly involved in the music and try to make each note expressive, so that accents and pauses occur at the downbeat of each measure. Moreover, Schumann clearly composes the phrases over the bar line. Therefore, the pianist should remind himself to go over the bar line in order to make the line smooth rather than stopping at the downbeat of each bar.

How can one contrast the first and the second time to interest the audience? Changing of mood and timbre for the repeats are good ways to interest the listener. For the first time, the pianist can play it with an agitated emotion and a fuller sound. On the contrary, for the second time, he may change the tone color or his touch to a slightly lighter articulation for the purpose of varying the tone quality. Also, he
might have to listen for a duller timbre within the soft dynamic range. Furthermore, he may play a little slower with a more melancholy mood.

One special feature is that the notation of the first six notes in measure 10 is noted smaller. Maybe Schumann wants this passage to sound different. The pianist can play this passage with a fuller sound and a strict tempo for the first time. For the second time, he might try to incorporate some rubato, performing this passage with a soft sound and impressionistic style. Certainly, this is another way for the pianist to create differences between the first and second time.

Projecting a beautiful tone quality, playing expressive emotion emphasizing the bass line, and achieving a change of mood, timbre, and tempo are ways to generate interest for the listener.

4.13 Estrela

As we mentioned before, the first part has the indication of 'con affetto' (with affection). So, the pianist needs to play the first part with passion and fire. For the middle part of this movement, the pianist should play it with a softer and more lyrical feeling.

There are two phrases from measure 1 to measure 12: the first from measure 1 to measure 4; the second from measure 5 to measure 12. In order to make these phrases more fluent, one can simplify the second phrase to: F-sharp to G-natural, G-sharp to A-natural, B-flat to B-natural, and B-natural to C-natural (a constantly rising melodic line with octave displacement) (see Ex. 46). Bringing out the simplified phrases is easier for the pianist to crescendo and make them sound more flowing.
Figure 4.16: Example 46—Casual, Op. 9, "Estrella." Measures 1-12.

The left hand from measure 13 to measure 28 poses a technical problem. There is a series of intervallic leaps, and the tempo is very fast, and only the thumb presents the main melody. This makes the passage difficult for the left hand. To solve the problem the pianist might apply the rhythmic exercises as a practice method: first three notes as a group played quickly, then pausing on the third note longer in order to train his fingers to be independent and to check whether his hand is relaxed or not. Arranging subsequent notes in a variety of patterns and practicing these groups can avoid the possibility of performing wrong notes (see Ex. 47). By using the same approach, the pianist can not only become familiar with the distance between each note but also train his hand as well as his fingers. However, the nature tendency might have been to play louder in the left hand rather than in the right hand because of the technical difficulty. Therefore, one has to keep the melody louder in the right hand.
In summary, changing the mood in the middle part (from measure 13 to measure 28), practicing the intervallic leaps will make for a technically accurate and musically satisfying performance.

4.14 Reconnaissance

This movement is technically demanding and, can be considered one of the most difficult movements in this composition. As we know by using the thumb of the right hand to play the continuous sixteenth-note staccato pattern with a legato melody on the top, it is easy to get tension in the hand which can impair mobility.

First of all, the pianist should not curve his thumb, but relax it. As soon as the pianist figures out that his thumb is stiff and out of control, he may try to add overactive strength unconsciously from other fingers to help the thumb. One might have to relax the muscle between the thumb and the second finger, and should have a flexible right hand to deal with the technical problem. Stretching out one's hands before playing the octaves, and closing the hands to a natural hand-position immediately after performing the octaves will help keep the hands relaxed and flexible. Because
all the passages are based on repeated octaves in the right hand, it is impossible for one to keep the stretched hand-position continuously. The pianist should always keep his whole arm relaxed.

One thing worth mentioning is that the left hand implies another melody (see Ex. 48). Therefore, the pianist could circle the notes of the main melody in the left hand since some of the notes are concealed in the inner voices. The next step would be to practice and project the main melody in the left hand. To project the main melody on the top voice of the right hand and lighten the thumb and play out the melody.
in the left hand is the final step for a pianist. Beyond a doubt, it will sound like two main melodies compete with one another.

After the first section, there is a dramatic change in this movement: it abruptly switches to lyrical writing from measure 17 to measure 44, and then back to the original theme in measure 45. In this middle section, the melodies in the right and left hand mimic conversation in an intimate setting. It is as though Schumann and Ernestine are expressing their emotions for one another.

Both right and left hands have to present not only the main melodies, but also harmonic chords which always follow the main melody closely. Since the pianist has to concentrate on the main melodies, and he must play the harmony notes softer. Relaxing the arm and fingers when he playing the chords will help keep the accompanying chords in the background. The reason the pianist needs to adjust his hand position is as follows: as we know the main melodies are placed in outer voices. In other words, the pianist should put more weight on the outer parts of hands. If he puts weight on the top voices, it will easily result in tight hands.

With regard to the dynamics, it is tempting for a pianist to break the line by playing accents on the downbeat of each measure. As in "Eusebius," it is necessary to create phrases out of every pattern which begins at the second note of a measure and ends at the first note of the next measure. On the other hand, the pianist can treat the rising line with intensity and reach a climax point on the D-sharp in measure 26, and then let the sound fade away gradually toward the end of this section in measure 44 in order to come back directly to the original theme.
Without a doubt, if the pianist can keep the hands flexible, portray a different mood in the middle section, direct the flow, and bring out the top and bottom notes, he will create a sensitive and technically correct performance.

4.15 Pantalon et Colombine

This movement is based on a three part construction with contrasting middle section. The first section is based on a series of sixteenth-notes with staccato indications in both the right and left hand for four measures, and then from measure 5 to measure 8, the left hand takes over the melody with syncopated, accompanimental chords in the right hand. Because the first section is comprised of a series of staccato articulations, it is easy to lose control and perform wrong notes. Therefore, the pianist should first ask himself what the first impression of seeing a series of notes marked staccato is. Without a doubt, he would think that all the notes should be played with a clear quality and precise notes. As a result, the pianist may try to lift his hands high enough in order to get a clear sound. Nevertheless, this is easy to overdo and results in the hand-position being too high. A combination of staccato and legato touch will resolve the problem. Also, the physical close proximity to the keyboard would make it much easier for the pianist to control this technical passage.

It is important to keep in mind the contrasting timbre of different phrases. Phrasing is particularly important for fast and staccato passages, otherwise they can sound like an exercise. The phrasing not only makes the music more interesting but actually eases the technical difficulty. From measure 5 to measure 8, there are sforzando markings in the both right and left hand, creating the impression that voices are competing with each other intensely.
It is interesting to note that the theme in the first section reappears in the middle section (from measure 21 to measure 34). It is followed by a lyrical part presented in the right and left hand contrapuntally. Schumann indicates a slower tempo marking *meno Presto* for this lyrical section. However, since there is no break between the first section and this one, it is difficult to create the new smoother, slower mood. The beginning of the individual notes in the slow section should need enough time to sound; in other words, a few notes written in the beginning should be slowed down and then the tempo should be set up after a few notes.

The articulation and mood for the coda is suddenly changed from *staccato* and anxious to *legato* and calm. Again, the pianist has to decide how to change the mood quickly, and can do this by incorporating a crescendo and *ritardando* toward the end of measure 35. Then, one can leave a moment of silence before he surprises the listener and changes the mood to *dolce*.

Certainly, utilizing dynamic contrasts, emphasizing rhythmic accents *sforzando*, changing one's articulations between *legato* and *staccato* to create mood changes can contribute to a convincing performance.

### 4.16 Valse Allemande

An allemande is a dance of German origin and style. It is characterized by a moderate duple tempo. Nevertheless, Schumann only borrowed the title "Allemande" without incorporating its true characteristics of Allemande. This movement is in triple time.

By looking at the score carefully, the pianist can determine that pedaling in this piece is important. The first notes of the four measures are sixteenth-notes. The
duration of the first notes are so short that the pianist can not use the pedal right at the beginning to mix the sounds of the first note with the second note. But, the root of each chord (A-flat, A-flat, A-flat, A-flat, F-natural, etc.) should be heard and sustained in order to show the harmonic motion. Therefore, it requires a pianist to use the pedal after the second note instead of the first note, and also hold the bass until the pedal helps produce the bass sound.

Even though this movement is short, the pianist still has to strive to impress the audience. The pianist might have to produce contrasting dynamics as it is written on the score. Since the passages, from measure 1 to measure 8 and from measure 13 to measure 20 are characterized by melancholia, the pianist might have to change the mood to passionate for these two passages from measure 5 to measure 12 and from measure 21 to measure 24 to impress the listener.

In brief, musically sensitive pedalings and change of moods are good ways to achieve the appropriate character of this movement.

4.17 Paganini

Paganini was a 19th-century violinist and composer. He devoted himself to performing and composing violin music. His greatest achievement was developing violin technique to an extraordinary standard. Hence, from his time on, the violin was played with much greater virtuosity. Schumann named this movement for the great violinist, and this movement imitates Paganini’s writing to perfection. Schumann explores the limits of piano technique, as Paganini explored the limits of violin technique.
Since this is one of the most difficult movements in Carnaval, the pianist should identify the technical difficulties, and decide how to practice and overcome them. Because the distance between intervals is so great, it is easy to play out of control and inaccurately. The right and left hand patterns do not move at the same time and thus presents a challenge for the pianist to master.

First, the pianist should find different rhythmic patterns and practice them in order to be familiar with the distances between each note and to train the independence of each finger. Secondly, he needs to practice this movement in rhythm in a slower tempo in order to practice his forearm motion. Finally, he should try to use his fingers to attack the keyboard with speed and shape the main melody, especially the right hand melody.

Pedaling is difficult in this piece. However, pedal will be a good tool to assist the pianist in expressing the character of the music better. For the first section (from measure 1 to measure 3), the pianist can use the pedal on the first beat of each measure to support the right hand melody. The next section has a lyric character. Therefore, the pianist needs to employ more pedaling to achieve a legato sound. In addition to getting a sustained sound, one should emphasize the bass notes in the left hand. However, the bass notes are not set on the strong beats. Thus, one must use ears to decide when to change the pedal.

After an E-flat-seventh chord in measure 36, the Valse Allemande returns. Here, Schumann links Paganini with Valse Allemande through an E-flat-seventh chord with a special acoustic effect. The pianist is required to play this chord quietly, and then change pedaling after this chord has sounded (see Ex. 45).
Also, in order to proceed into the Valse Allemande smoothly, a pianist should find a sufficiently slow tempo so that he can gradually increase to this section's actual tempo. If the Valse Allemande is played in its customary tempo right away without any flexibility, the music can sound abrupt and inflexible.

Including the Valse Allemande and Paganini movements, the theme of the Valse Allemande appears seven times. Therefore, the pianist needs to present this theme differently each time it is presented. One way he can do this is to vary the tempo. He can slow down the most in measure 37 of "Paganini" to let the audience know that Valse Allemande comes back at the end of it.

To sum up, overcoming the technique and pedaling problems and, starting a sufficiently slow tempo to introduce the reappearance of Valse Allemande are the goals of pianist in this movement.

4.18 Aveu

"Aveu" means "vow" in English. Two lovers make a vow to love each other for "better or for worse." Of course, the great depth of two lovers' passion and warmth is
brought to life in this movement. Knowing the meaning of the word helps the pianist understand Schumann's musical intentions.

In order to convey the passionate character of this movement, the pianist can imagine that he is sending his warmth, passion and devotion to his own beloved. Also, in measure 5, he can delay the beginning of a few notes for expressive purpose and then speed up to the original tempo. The pianist can adopt the identical interpretation for the phrase from measure 9 to measure 12.

One striking feature is the main melody's simplicity. The bass line plays an important role in supporting the plain melody played in the right hand in this movement. Occasionally there are eight-notes in the right hand. The pianist has to leave the pedal up in order to have a clear sound of rests, while the left hand holds the bass notes longer to support the right hand's melody.

4.19 Promenade

In this movement, the main melody in the right hand is often doubled by using a series of octaves. In general, a pianist will try to play the doubled voice evenly. It is important for the pianist to employ more strength in the fifth finger of his right hand, so that the tone quality will be brighter. Bringing out the bass to support the melody in the right hand will yield a proper dynamic balance.

A notable feature is the parenthetical motive which interrupts the main melody as episodes (see Ex. 50). Since all these short phrases are set between the main melody, the pianist should use the soft pedal to create the pianissimo dynamics. Also, in order to reinforce the waltz elements, Schumann indicates sforzando occasionally. It
is essential for the pianist to project the *sforzando* and emphasize the downbeat of a bar.

From measure 79 to measure 83, there is repetition of the original theme. Since the original theme is presented immediately after its first presentation, the pianist should play *pianissimo* the second time, as long as the dynamic of the first time is *forte*. Also, the melody in the left hand from measure 82 to measure 83 can be emphasized, thus competing with the melody in the right hand. Lastly, it is important that the quarter notes and quarter rests in the second section of this movement are audible.

To sum up, voicing throughout the movement, contrasting the phrases, bringing out the bass line, reinforcing the downbeats when indicated, and providing new tone colours when the original theme is presented a second time, are good ways to bring this movement to life.

4.26 Pause

The finale is prefaced by a brief introduction called “Pause.” This movement quotes material from previous movement in the cycle. The material is from “Préambule”
(measure 87 to measure 113) and is a strict repetition. It is marked *attacca* by Schumann to tie it to the long finale "Marche des "Davidsbündler" contre les Philistins". This is the only place that Schumann indicates *attacca* between movements. The purpose of going into the finale movement directly is to go forward without disturbing the rhythmic flow.

Since this piece can be treated as an introduction to the final, the pianist might want to play this movement lighter and faster than the original section in "Preludule."

### 4.21 Marche des Davidsbündler contre les Philistins

The pianist should hold the tempo back at the beginning of this movement. Like the Brahms "Rhapsody" Op. 119, No. 4, the pianist has the tendency to rush the quarter notes to eighth notes. If this is done it will lose its majestic quality. Since it is easy to miscalculate the length of the quarter notes, the pianist can put a fermata mark over each quarter note to remind himself to hold quarter notes long enough.

Schumann tends to compose the music in this movement with more fire and more explosive expression because it is the finale of the entire piece. However, it is impossible for a pianist to crescendo from the beginning all the way to the end. Therefore it is a good strategy to determine the length of a phrase in this movement and dynamics within each phrase. With this in mind, the pianist should analyze how many measures create a phrase. Of course, it is easy to see that there are four measure phrases. Thus, whenever the line rises, the pianist can play it with increasing intensity and then fall away as the line descends.

The pianist has to head toward the long-range goal by use of crescendo in approaching the climax of this movement. It means that the pianist has to manage
increasing intensity of volume. For example, from the third beat of measure 24 to the second beat of measure 28 can be seen as a phrase starting from B-natural. This phrase is repeated a minor third above starting from D-natural. Again, the phrase is elevated a half step higher starting from E-flat. In other words, in addition to following the dynamic indication in each phrase, the pianist has to create a steady crescendo by terrace (B-natural, D-natural, E-flat).

Since this movement is a most exciting one, it is easy to play forte from the beginning all the way to the end. This unfortunately creates a static dynamic level. In order to avoid this, one can cut back the dynamic level and rebuild the dynamic crescendos. This creates the desired effect of a constant crescendo. However, one should not cut back the sound in an arbitrary manner, but use sound musical judgment (see Ex. 51).

The pianist can generate an *accelerando* with enough intensity to accentuate the climax point. The pianist should try this section in different ways to learn at which point he wants to stop pushing forward and start to broaden the pace again. For example, E-flat in measure 32 is a high point. Therefore, the pianist can push the tempo forward from measure 25 and then calm down in measure 32. However, in measure 83 the sudden introduction of a former theme derived from “Prélude” (measure 71 to measure 86) gives a sense of surprise to the music. The pianist can take a little pause on the first beat, G-natural, in bar 83 before he speeds up the tempo to make the music more animated.

Whenever a pianist sees a *fortissimo* marking he will try diligently to observe this dynamic marking. However, sometimes the sound is not rich, but harsh. A pianist can produce a rich or harsh sound depending on the use of weight and relaxation. Use of upper arm and weight of upper body can produce a rich sound.

Even after playing a chord, many pianists tend to press the keys down even though this will not affect the sound. Since the key has already been struck, this pressure is unnecessary. Instead, relaxation is necessary to prevent injury to the hands in playing *forte* passages. Therefore, in playing louder passages of music, the pianist has to employ weight and relaxation and adjust the sound through careful listening.

For the coda (measure 225 to the end), the tempo should be fast enough and very triumphant. It seems that each phrase can create a wonderful climax. The pianist has to decide exactly where the goal of the motion is. The end is a most important part of the entire piece, and the performer needs to achieve a sense of drive. However, the pianist has to make sure that the increased motion and *crescendo* is simultaneous.
in both hands, and accelerate as much possible. As a result, a triumphant feeling in the finale will be achieved.

With regard to the final last twelve chords, the pianist can try to play the chords crisply by quickly touching the piano and preparing the next chords. At the end he can delay the very last note to create a satisfying end to the whole piece. However, it is easy to play wrong notes in these chords. Thus, the pianist has to do exercises for accuracy by practicing the distances between each chords repeatedly.

In summary, Carnaval is comprised of twenty-one movements. It takes approximately thirty minutes to perform the whole piece with repeats. It is easy to lose the listener during such a long piece. Thus, changing the character of each movement and searching for the right tone quality in each section will create a performance of great beauty and meaning. To this end, all the major technical considerations for performing this piece are briefly summarized in Table 4.1.
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<td>4. Chiarias</td>
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<td>2. Reconnaissance: mm. 17 and mm. 45-60 in the right hand</td>
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Table 1.1: Technical considerations for Schumann’s *Carnaval.*

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CHAPTER 5

CONCLUSION

Schumann was never far from his idol, Jean Paul. For him, literature was a very important influence on his compositions. Schumann's piano works are high-spirited, personal, poetic and magnificent. Schumann's *Carnaval* was inspired by the last chapter of Jean Paul's novel *Die Fliegelfahre*. The plot, personages, and material of this novel also are closely associated with Schumann's two piano cycles: *Papillons*, Op.2 and *Dannösendertäuse*, Op. 6.

Schumann's *Carnaval* is full of character, diversity of mood, range of emotion and is considered a mirror of his own life fused with literary influence. Music for Schumann was a personal language depicting all the innermost secrets of his emotional life. Miniature mood-pictures were cultivated by Schubert before Schumann came along, but Schumann brought the genre to the fullest.

*Carnaval* is a celebration of the ballroom with its noisy activities. In the great ballroom scene, all of Schumann's secrets are revealed to his assembled friends and lovers. Schumann used dance styles in these character pieces to create the mood of the masked ball that he referred to as a *Maskerad* (Masked ball). It is comprised of 24 pieces in which a diverse cast of characters and symbols all unite under the banner of the League of David against the Philistines. The whole cycle creates the impression of
a festive masked ball in which many characters are taking part. Each movement has its own descriptive title which relates in some way to Schumann's imaginary masked ball.

Each movement in *Carnaval* has a different character and mood inspired by his beloved Ernestine. It reflects Schumann's private world and innermost thoughts. In it he provides the listeners and performers the title of each piece to let them experience literary expression and musical expression at the same time. Each symbolizing Schumann's struggle with depression (real) and escaping from reality (unreal). Schumann united the unreal with the real in one big imaginative picture. In *Carnaval* the unreal characters are from the Commedia dell'Arte such as Arlequin, Pierrot, and Pantaloon and Colombine. The real characters are Schumann's friends such as Clara Wieck (Chiarina), Ernestine von Fricken (Estrella), and Chopin. Schumann viewed himself (Florestan and Eusebius) as a participant in *Carnaval* as well to present his dual nature. Florestan is one of Schumann's masks, a wild, passionate and impetuous character. It reflects the more exuberant side of his personality. On the contrary, Eusebius is more tender, warming and dreamy side of his personality. However, Schumann showed great skill in creating a work that encompasses many different moods and meanings.

A cycle requires a coherent tonal and formal organization such as the repetition of harmonic, motivic material or rhythmic patterns across movements, or close tonal relationship that achieves a sense of unity for the whole piece. *Carnaval* is an example of cyclic form with unifying elements which create a large scale work. The writing helped Romantic compositions achieve a virtuosic level. Schumann sought to create a large work using the elements of the miniature. He used ASCH- three or four notes as
the seminal motive, arranged the musical elements and close tonal key relationships into a unified whole. However, each movement has its own range of mood, its own melodic, harmonic and rhythmic pattern, and even its own character. He also used the two ASCH motives to establish a wide range of keys: B-flat major, E-flat major, D-flat major, G minor, C minor, and F minor. Each movement has close key relationship with its preceding and following movements to construct a logically tonal organization.

Schumann’s *Carnival*, Schubert’s *Wanderer Fantasy* and Liszt’s Sonata in B minor all are highly successful works in the genre of the cyclic form and influence the later composers. In Schumann’s *Carnival* he used two motives to compose and unified twenty-one miniature movements. It can not be considered as a writing of thematic transformation because the motives are so short and they merely appeared few times in movements instead of spreading the motives all over the places. On the other hand, Schubert and Liszt employed thematic transformation to generate *Wanderer Fantasy* and Sonata in B minor. Their themes are transformed and spread through the piece to achieve the goal of unifying the cohesion as a whole.

Furthermore, the whole piece has a rich and varied character and sudden changes in mood and tempo. It requires about thirty minutes for a pianist to perform. The musical problem for both performer and listener is to keep the work unified. It is easy to be distracted by the short sections. Therefore, a performer needs a high level of skill by finding the good and rich tone quality, changing moods, playing with great depth of emotion, overcoming technical and pedal problems, and so on to vary in each movement, and bring them together in a unified whole.

Schumann’s *Carnival* has special formal and structural weight and artistic significance in three ways: literature, cyclic form and piano technique. It can be seen that

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the accomplishments of Schumann’s career as a composer will remain significantly influential as long as artistic music continues to be performed and studied. His works envisioned powerful, dynamic ideas for music and constantly drove forward toward new standards of originality and emotional depth.
BIBLIOGRAPHY


