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Christopher William Mechell

Through a Literary Lens: The Effect of Jean Paul and E.T.A. Hoffmann's Writing
Styles on the Compositional Techniques of Robert Schumann

Christopher William Mechell

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Reading Committee:

Craig Sheppard, Chair

JoAnn Taricani

Carole Terry

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Abstract

**Through a Literary Lens: The Effect of Jean Paul and E.T.A. Hoffmann's Writing Styles
on the Compositional Techniques of Robert Schumann**

Christopher William Mechell

Chair of the Supervisory Committee:
Professor Craig Sheppard
School of Music

The son of a writer, lexicographer, and publisher, Robert Schumann was born on June 8th, 1810 in Zwickau, Saxony. His father, August Schumann, surrounded his son with a multitude of literary works during his youth. Although a promising young musician, Robert Schumann was torn between becoming a pianist/composer or poet. Eventually, Schumann creatively achieved an integration of both pursuits into one, as he would spend the rest of his life seamlessly combining literary and musical ideas into singular creations of art. In fact, Schumann successfully achieved an even deeper connection between music and poetry by writing music *as* literature. In other words, Schumann eventually viewed musical compositions as literary products that should aspire to be as deep and dramatic as their counterparts.

Schumann found inspiration in the works of many literary icons of the Romantic era. In an effort to explore the extensive relationship between literature and Robert Schumann's musical style, this paper considers two notable authors – Jean Paul Richter and E.T.A. Hoffmann – and the impact of their literary contributions on Schumann's compositional style in three of his works: *Papillons*, Op. 2, *Carnaval*, Op. 9, and *Kreisleriana*, Op. 16. Jean Paul Richter (also known as Jean Paul) and Hoffmann's literary influences are present in each of these

compositions and provide a solid basis from which to consider the contemporary impacts of literature on Schumann's compositional style. This paper aims to identify the important literary elements, underlying influences, and thematic sources prevalent throughout these three Schumann works.

Although various literary elements in Schumann's music have received considerable attention in the academic community, this paper aims to contribute a unique perspective to the discussion by considering this particular subset of Schumann's repertoire through the literary lens of Jean Paul and Hoffmann.

This analysis, done from a biographical/historical lens, considers both specific and general concepts to show literary correlations in Schumann's works. This is a particularly effective approach to understanding the inner workings of specific correlations in music, as the following axiom always holds true: from correctly exacted context comes infinitely more effective specifics.

Exploration of the genesis of a composer's work is not only important from a musicological perspective, but also from a performer's perspective. The nuances and true essence of a piece can better be understood and interpreted by assessing the literary influences underlying compositions. Sophisticated performers are able to draw on such knowledge and better convey not only the composer's intent, but also their own interpretations through the medium of their instrument.

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DEDICATION

To my Grandparents:

Harry Sr. and Stella Mechell

William and Stella Vengen

May their memories live on in music.

Introduction

Robert Schumann was born on June 8th, 1810 in Zwickau, Saxony to a family intensely involved with the production and reading of literature.¹ His father, August Schumann, was an author, lexicographer, and publisher who constantly provided his son with access to a vast amount of literary works during his youth.² August attributed intense significance to all literary works, even going so far as to say that, “What binds the Germans as a nation is their literature.”³ He was a hardworking and successful man and instilled the love of study and reading within Robert from a very young age.⁴

Driven in part by his father’s emphasis on education, Robert Schumann developed into a persistently inquisitive youth, pursuing both poetry and music equally during his early teens.⁵ Although a promising young musician, Schumann was torn between establishing a professional career trajectory as a pianist and/or composer and as a poet and/or author. Initially, Schumann found poetry invigorating and tempting, but ultimately decided that music was indeed the “higher” art form of the two, thus setting him on a course to become primarily a composer.⁶ Being the creative genius that he was, however, Schumann spent the rest of his life successfully integrating and seamlessly combining both literary and musical ideas into singular creations of art.

Although his lieder genre seems the most logical and convenient way to demonstrate this, the extent of literature’s effect upon Schumann’s music is significantly more complex than a

¹ John Worthen. *Robert Schumann: Life and Death of a Musician*. New Haven: Yale University Press, 2007, 3-4.

² John Daverio. *Robert Schumann: Herald of a “New Poetic Age”* New York: Oxford University Press, 1997, 20-21.

³ *Ibid.*, 21.

⁴ Worthen, 3.

⁵ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 20-21.

⁶ Percy Marshall Young. *Tragic Muse The Life and Works of Robert Schumann*. London: Hutchinson, 1957, 17.

superficial “combination of words and music.” In fact, Schumann successfully achieved an even deeper connection between music and poetry by writing music *as* literature. In other words, Schumann eventually viewed musical compositions as literary products that should aspire to be as deep and dramatic as their counterparts. This is not to be confused with programmatic music. Schumann’s music does not necessarily tell a specific, predetermined story, nor does it have any sort of chronological narrative. Instead, it is influenced by and created through the interpretation of literary sources.

Two particular authors that Schumann read throughout his lifetime who exhibited compositional philosophies and general ideas that greatly influenced not only Schumann’s musical compositions, but also Schumann as a person, were Jean Paul Richter and E.T.A. Hoffmann. This study focuses on these two authors and their unique influence on Schumann.

By conducting a musical analysis of Schumann’s *Papillons*, Op. 2, *Carnaval*, Op. 9, and *Kreisleriana*, Op. 16, this paper aims to identify the various literary elements, underlying influences, and thematic sources present throughout Schumann’s repertoire. Although the extent of literary influence in Schumann’s music has been the subject of considerable academic inquiry, this paper considers the specific grouping of Schumann’s Opp. 2, 9, and 16 with the goal of assessing these literary relationships through a unique literary lens. Additionally, this analysis, done from a biographical and historical point of view, will concentrate on both specific and general concepts to show these literary correlations.

This document is not only important from a musicological perspective, but also from a performer’s perspective. By knowing the inner workings behind the literary genesis of compositions, the true essence of a musical piece can be better understood and, as a result, be more effectively conveyed through the medium of the performer’s instrument.

The edition used for all musical examples is taken from Clara Schumann's edited Breitkopf and Härtel edition of 1879. However, all analytical study was exacted from the Henle Urtext editions.

Chapter 1: Romanticism

1.1: Romanticism's Central Tenets

The precursor to the Romantic period, the Enlightenment, was a philosophical movement that encouraged individualistic analysis and calculated reasoning during the 17th and 18th centuries. Following a trajectory through philosophers such as Sir Francis Bacon, John Locke, Voltaire, Sir Isaac Newton, and Descartes, these leading minds showed a general disdain for the constant need of religious doctrine to dictate philosophy, the sciences, and art. This resulted in an explosion of unfettered thinking and creativity that paved the way and set foundations for the genesis of the Romantic period.

Attempts at defining Romanticism were contemporarily, and still are currently, a controversial task in light of the fact that the definition went through a wide range of changes during the 18th and 19th centuries.¹ Starting in the late 18th-century and continuing into its peak in the early 19th-century, the Romantic period presented a myriad of concepts that make it challenging to produce a simple, succinct, and fully encompassing definition.² Traditional definitions of Romanticism deal with themes of chivalry, mystical themes, nature, concentrations on the past, themes of unusualness, fabulousness, strangeness, longing, loneliness, alienation and isolation, dreams, irony, nighttime, woe, pessimism, love – and the extensive list continues.³ According to Berthold Hoeckner, who questions whether “Romanticism can be defined from one perspective,” Romanticism is “a pan-European phenomenon [which] constitutes an unstable constellation of aesthetic categories, poetic images and tropes, themes and genres, figures of

¹ Leon B. Plantinga. “Schumann's View of ‘Romantic’” *The Musical Quarterly* 52, no. 2 (April 1966): 221-32.

² Edward F. Kravitt. “Romanticism Today.” *The Musical Quarterly* 76, no. 1 (Spring 1992): 93-109.

³ *Ibid.*, 93-94.

thought, utopian ideologies, and modes of social behavior.”⁴ Arthur Lovejoy agrees matter-of-factly: “Romanticism has come to mean so many different things that, by itself, it means nothing.”⁵

Perhaps the most satisfactory definition is offered by Rene Welleck who states, “The Romantic movements form a unity of theories, philosophies, and styles.”⁶ Mindful of this issue, focusing on the concepts specifically related to the subset of Schumann’s three pieces explored herein is not only most logically relevant, but most practical.

The Metaphysical and Dream State

Metaphysics, a traditional branch of philosophy, refers to all things “otherworldly.” The Romantics sought to interact with this ethereal “world” and experience it through isolated, artistic creation, making the bringing of the metaphysical within the experience of the observer, a central tenet of Romantic art. Art, unlike other pursuits, was viewed as being capable of offering limitless creative possibilities, and was considered an effective vehicle to bring the metaphysical experience to the real world.⁷

The Romantic creator of art, whether it be a painter, a poet, or a composer, was actively participating in an expressive act the artist created for himself, and not for external financial deadlines or social gain. The artist participated in a form of catharsis, creating art as an avenue for self-expression and personal experience.⁸ According to M. H. Abrams, “A work of Romantic

⁴ Berthold Hoeckner. “Schumann and Romantic Distance.” *Journal of the American Musicological Society* 50, no. 1 (Spring 1997): 55-132.

⁵ Kravitt, 96.

⁶ Ibid.

⁷ Birgit Röder. *A Study of the Major Novellas of E.T.A. Hoffmann*. Rochester, NY: Camden House, 2003.

⁸ Kravitt, 93.

art is essentially the internal made external, resulting from a creative process operating under the impulse of feeling, and embodying the combined product of the artist's perception, thoughts, and feelings."⁹ Additionally, Abrams says, "The artist himself becomes the major element generating both the artistic product and the criteria by which it is to be judged."¹⁰ This is an important aspect of Romantic art: both the creation and reception of art is from the artist's perspective.

To this end, dream-like, artistic themes were central in experiencing the metaphysical world. "The true medium of Romantic expression is neither realistic nor abstract, but one which shows a peculiarly intense interpenetration of the abstract and the sensuous."¹¹ The fantastical dream state, in other words, was a creative space in which artists felt they could best create art that conveyed the metaphysical and, as a result, become fully "fulfilled."¹² Novalis, a famous and influential Romantic philosopher, drew a particular importance to dreams and fairy tales in his writings.

Romantic Distance

The concept of distance and its symbolic conceptual importance was seen as another main aspect of Romanticism. Friedrich Schlegel, a prominent Romantic philosopher and theorist, was concerned with the concept of eternity and also attached significance to how "far" something was away from the observer.¹³ This "Romantic Distance," according to Hoeckner,

⁹ Kravitt, 98.

¹⁰ Ibid., 99.

¹¹ Alan Menhennet. *The Romantic Movement*. London: Croom Helm, 1981, 33.

¹² Kravitt, 100.

¹³ Lauri Suurpää. "Schumann, Heine, and Romantic Irony: Music and Poems in the First Five Songs of 'Dichterliebe.'" *Intégral* 10 (1996): 93-123.

can be further broken down into subsets. “Spatial” distance refers to visual and actual physical distances, such as a mountain range seen in the distance or a beautiful vista that can be viewed from afar. Multiple artistic compositions throughout the Romantic period refer to themes generated from distanced views and/or perspectives of far off locations. “Temporal” distance refers to the concept of how reminiscing about the past can actively interact and influence the present, and consequently affect the future. For example, a previous love from one’s past can affect how you currently experience love and can also influence one’s future relationships.¹⁴ “Personal distance” refers to how someone or something is always out of reach. The well-known idea of the “unrequited love,” where a passionate love is not felt equally by both sides, is a common Romantic theme.

Dualism and Nature

Dualism, coming mostly from the Enlightenment works of Descartes, is the concept that two opposite components working in tandem produce a unified “whole.” During the Romantic period, the idea of “interconnectedness through opposites” was expanded to include an additional caveat: each part had to be teleological. This means that each separate part not only served an important individual function, but also worked together with other parts to serve a unified, end-goal structure. Teleological unification through disparateness provides the formal basis for many literary works during the Romantic period. This Romantic approach to the concept of Dualism is out of necessity reliant on being observed from a distanced perspective: things only start to make sense when the entire artistic creation’s overall structure and form become apparent.¹⁵

¹⁴ Hoeckner, 56.

¹⁵ John Daverio. “Reading Schumann by Way of Jean Paul and His Contemporaries.” *College Music Symposium* 30, no. 2 (Fall 1990): 28-45.

“Overwhelming” nature, can be seen as an example of “Romantic Dualism.” Many works of the Romantic period utilize themes of nature, which was viewed as an entity that is made up of many individual parts that work together in harmony to produce a “whole.” This concept was so pervasive it consequently sparked a belief that nature was a divine entity, known as Pantheism. Many Idealists (a philosophical movement characterized by requiring its adherents to believe that perceived reality was immaterial and followed by philosophers such as August Schlegel, Fichte, Schelling, Hegel, and even the composer Claude Debussy) were attracted to Pantheism’s teleological attributes.¹⁶ Additionally, all that was metaphysical came to be represented by many entities, one of which included the Goddess Isis (everything that could be unveiled in Nature).

Irony

The Romantic artist’s relationship with the observer was of great importance.¹⁷ This can be seen through another Romantic concept, irony. Romantic irony occurs when an author breaks the fourth wall (the imaginary barrier between the author and the reader) by including a self-reference, either in the form of speaking directly to the observer, or by creating himself as a character within the work. Irony occurs when this literary device is used to demonstrate that either something previously presented as fact is, after all, not true or that the unity of opposites can make up a whole.

Romantic irony can additionally be characterized through the following paradox: Romantics felt that the highest form of art could only be achieved by being infinitely self-expressive while being intellectually in control during the process. This, however, is at odds

¹⁶ Kravitt, 94-95.

¹⁷ Röder, 10.

with a Romantic's view of artistic creation: one cannot be infinitely self-expressive unless they are released from the burden of being in touch with reality. An example of this would be if one were to have a dream, but then realize that that dream was not true or real.¹⁸

In sum, Romantic art was seen as a vehicle to experience the metaphysical world but, since the artist's ability to fully utilize this vehicle was dependent on the coupling of a completely uninhibited imagination with an intellectual self-awareness, the Romantic artist, ironically, would always be unsuccessful.¹⁹

Fusion Across all Disciplines and Music's Role

Romanticists looked for ways to combine and fuse all different types of art.²⁰ Poetry, painting, and music all have connections through Romantic ideals and are able to fertilize themselves.²¹ For example, observing a painting of a mountain could inspire the creation of a piano work or reading a poem by Dante could inspire a musical sonata and vice versa.

Music, however, was considered by some to be the best art for one to experience a metaphysical world.²² Walter Pater said, "All art constantly aspires towards the condition of music."²³ In fact, some Romantics thought listening was more expressive than seeing and felt that it was a more effective way to "approach the infinite."²⁴

Also, for music to be Romantic, it must always be expressive. The moment programmatic elements are infused into a creative work, it becomes "defective" (according to the

¹⁸ Kravitt, 101.

¹⁹ Röder, 15.

²⁰ Ibid., 31.

²¹ Suurpää, 116.

²² Röder, 12.

²³ Hoeckner, 56.

²⁴ Suurpää, 93.

Romantics) and is no longer considered “Romantic.” This is because when one “programs” or “restricts” something, it is no longer infinitely free.

1.2 Schumann and Romanticism

*“We should not repeat the same form for centuries;
music should be like life itself, a present
moment within constant change.”²⁵
- Robert Schumann*

Since German Romanticism was contemporarily seen as being multifaceted to the extent that not a single definition could be made, Schumann was unsure of what made a Romantic a Romantic.²⁶ He once wrote, “I am heartily sick of the term ‘Romantic,’ though I have not spoken it ten times in my entire life.”²⁷ Indeed, Schumann was composing Romantic music in a time that the general, collective reception of such music was quite negative.²⁸ According to Leon Plantinga, Schumann regarded music to be Romantic as long as it was “a personal mode of expression.”²⁹ Also, “it was largely within the area of piano music that Schumann saw the unfolding of a Romantic movement. This was particularly true in the 1830s, when Schumann was himself a composer almost exclusively of piano music.”³⁰

Schumann was introduced to the concept of being a musician “from the inside” through interaction with Professor Justus Thibaut, a university professor of Schumann’s while he was studying law in Heidelberg. This concept helped a young Schumann torn between poetry and music to see music as the supreme way to be expressive and communicative, a viewpoint held by the ideal Romantic. His music “embodies the emotions and interior attitudes attendant upon

²⁵ Worthen, 127.

²⁶ Kravitt, 93.

²⁷ Plantinga, 223.

²⁸ Ibid., 226.

²⁹ Ibid., 225.

³⁰ Ibid.

experienced objects or events.”³¹ According to Schumann, “Everything that happens in the world affects me. I think it all over in my own way, and then it has to make room for itself and find an outlet in music.”³² This is indicative of Schumann’s general attitude towards music, an attitude that stressed the expression of one’s own pervasive life experiences through the medium of music.

Perhaps grappling with the challenges inherent in expressing literature through music, Schumann admitted that, “This is also the reason for which so many of my compositions are hard to understand.”³³ Schumann’s opinions on the relationship between the artist and the public, which will be discussed in detail later, are particularly important as they form the basis for some of his compositional decisions.

Schumann often incorporated metaphysical elements into his works, as sometimes he based works on themes invoking otherworldly topics and utopian pictures. *Carnaval*, Op. 9, *Kinderszenen*, Op. 15, and *Fashingschwank aus Wien*, Op. 26, are effective examples of pieces that utilize this Romantic trait.

Besides Schumann’s musical output, his literary writings are also representative of the Romantic period. Schumann’s understanding of the “zeitgeist” (meaning “spirit of the times”), is explained by a quote of Jean Paul he placed in his own magazine, *Die Neue Zeitschrift für Musik*: “The Romantic is beauty without limit, or beautiful infinity, just as there is a sublime infinity.” He wrote this particular Jean Paul quote in a motto book he kept and took a note next

³¹ Anthony Newcomb. “Once More ‘Between Absolute and Program Music:’ Schumann's Second Symphony.” *19th-Century Music* 7, no. 3 (April 3, 1984): 233-50.

³² Eric Sams. “The Tonal Analogue in Schumann's Music.” *Proceedings of the Royal Musical Association* 96 (1969-1970): 103-17.

³³ Heinz J. Dill, and Robert Schumann. “Romantic Irony in the Works of Robert Schumann.” *The Musical Quarterly* 73, no. 2 (1989): 172-195.

to it saying, “Definition of the Romantic.”³⁴

Romantic Distance also played a role in Schumann’s musical output. Pieces such as *Nachtstücke*, Op. 23 (Night pieces), *Ball-Scenen*, Op. 109 (Scenes from a Ball), and *Gesänge der Frühe*, Op. 133 (Songs of Dawn), all portray examples of spatial distance. *Kinderscenen*, Op. 15, a collection of “Scenes from Childhood,” provides an example of temporal distance in that it was not for children to play, but rather was musically reflective of how adults reminisce about their childhood.³⁵ The concept of temporal distance also paved the way for some of Schumann’s main ideas on how the past could and should influence the present and future. For example, he felt that the purpose of studying music history and also literature in general was to acknowledge that works from the past were “pure sources” that could be used to improve the present compositions at hand. In Germany around the 1830s, “Classical” music was not necessarily regarded as a negative thing. Rather, it was looked at as something that should be respected and should influence the contemporary.³⁶ Plantinga says, “Schumann, then, regarded the Romantics as the continuers of a musical tradition having its roots in Bach and its most powerful representative in Beethoven.”³⁷ Schumann also felt that the past and present were joined by the future, which was to be warily approached. This teleological “trinity” of aspects gave impetus to Schumann to put importance on triads, thirds, and relative major/minor key relationships (which are, of course, a third apart). “We should not repeat the same form for centuries;” Schumann said, “music should be like life itself, a present moment within constant change.”³⁸

³⁴ Hoeckner, 62-63.

³⁵ Worthen, 148.

³⁶ Plantinga, 231.

³⁷ *Ibid.*, 230.

³⁸ Worthen, 127.

Schumann's *Fantasie*, Op. 17, certainly among his largest monuments to Romanticism, deals with emotions of longing and melancholy as well as his unattainable love for Clara. This is one of Schumann's best examples of personal distance as they were separated for sixteen months during the time he was composing the work.³⁹

Schumann also includes concepts of Dualism and teleology into his music. At a passing glance, a particular piece will give the illusion of being disorganized and random by having extremely disconnected and disjunctive sections. However, in reality, it is actually the constant digression itself that provides a structure of unity for the work. These digressive constructions are a musical expression of literary Dualism, and are a common and recurring Romantic compositional trait of Schumann's.⁴⁰ This teleological concept of "unity through parts" is fundamental to understanding Schumann's large-scale, multi-movement works. "The conception of music as a composed novel, as a psychologically true course of ideas, was and is an important avenue to the understanding of much of 19th-century music."⁴¹ Furthermore, and keeping in line with teleological entities, Schumann's *Nachtstücke*, Op. 23 and *Waldszenen*, Op. 82 are examples of how multiple works of his were based off of naturalistic themes and, consequently, is additionally indicative of Pantheistic concepts within his music.

Although Schumann did not explicitly define "Romantic irony" in his writings, his music effectively demonstrates an understanding of the concept.⁴² Romantic irony, in this context, is defined as "a breaking up of coherent and connected structural units."⁴³ To achieve this Romantic irony, Schumann kept a "critical distance" from his work and unified disparate

³⁹ Hoeckner, 110.

⁴⁰ Dill, 172-185.

⁴¹ Newcomb, "Once More 'Between Absolute and Program Music:' Schumann's Second Symphony," 234.

⁴² Dill, 174.

⁴³ *Ibid.*, 189, 192.

sections across a large framework. For example, Schumann successfully solves the paradox of Romantic irony in his *Carnaval*, Op. 9 by being ironic: while using direct references to himself, he provides an explanation of the foundational elements that produce the entire composition. This demonstrates how he is able to be infinitely self-expressive while also being intellectually in control during the process.

Schumann said, “Music would be a very limited art if it offered only sounds and neither a language nor signs for states of the soul.”⁴⁴ As a result, he would often include cryptic ciphers, neologisms, and hidden meaning into his pieces. According to Eric Sams, “Nearly all of Schumann’s music contains or derives from words, whether as texts, titles, programs, or epigraphs.”⁴⁵ This is, in of itself, a Romantic concept. Friedrich Schelling, an important German philosopher, stressed the importance of symbols and symbolism. Alfred Einstein said, “Like all the other Romantics, [Schumann] loved the mask, so that behind it he might behave all the more sentimentally and exuberantly.”⁴⁶ Schumann’s use of ciphers and symbols to mask meaning in his music highlights Romantic irony.

Schumann was a firm believer in fusion across the arts, as he believed that music and poetry were inexorably linked and that they could fertilize each other.⁴⁷ A seventeen year-old Schumann wrote, “The most beautiful of all the arts, poetry and music, stand there before us glorious and resplendent in their most beautiful blossom.”⁴⁸ He adds that the “aesthetic principle is the same in every art; only the material differs.” This interest in both music and literature,

⁴⁴ Daverio, *Reading Schumann by Way of Jean Paul and His Contemporaries*, 29.

⁴⁵ Sams, “The Tonal Analogue in Schumann’s Music,” 103.

⁴⁶ Dill, 191.

⁴⁷ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 55-93.

⁴⁸ Suurpää, 117.

coupled with the rise of Romantic ideals, paved the way for much of the style of Schumann's piano music of the 1830s.

Schumann also felt that music tended to be less effective if all of its inner workings needed to be explained upfront before the music was even heard. He realized this and let music speak for itself. An importance was placed on the ear of the beholder and the process of interpretation was stressed, for interpretation changes with perspective.⁴⁹

⁴⁹ Sheila Dickson. *The Narrator, Narrative Perspective and Narrative Form in the Short Prose Works of the German Romantics: With Particular Reference to the Works of E.T.A. Hoffmann*. Stuttgart: H.-D. Heinz, 1994, 57.

Chapter 2: Schumann and Literature

The influence of literature on Schumann's compositional output truly cannot be understated. His father's career as a publisher and lexicographer naturally surrounded Schumann with a plethora of literary works during his youth.⁵⁰ August Schumann also edited a newspaper and was an active writer in multiple mediums, which exposed his son to the idiosyncrasies of an author's lifestyle. He constantly placed a profound significance on all literary works when he stated, "What binds the Germans as a nation is their literature."⁵¹ Himself a hardworking and successful businessman, August instilled a passion for the intellectual rigors of studying and reading all things literary within Robert from a very young age.⁵² Unceasingly inquisitive, Robert pursued both poetry and music in his early teens with equal fervor.⁵³ His parents (the father more so than the mother) recognized his musical abilities, and sent Robert to a local musician, Johann Gottfried Kuntsch, for lessons.⁵⁴

Although he was indeed a promising young musician, he was constantly torn in his early years between becoming a pianist/composer or a poet for both a professional career and his life's pursuit. The initial poetic draw seems to have been a particular temptation to Schumann, and at first this led to a number of poems, writings, and short stories being produced. In fact, most of what he produced when a teen was literary-focused. This included numerous diaries, an unfinished novel, and poems, to name a few. His diaries are of particular note as, in accordance

⁵⁰ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 20-21.

⁵¹ *Ibid.*, 21.

⁵² Worthen, 3.

⁵³ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 20-21.

⁵⁴ Worthen, 4.

with someone who is obsessed with literature, he kept a record of everything that happened throughout his life and wrote down many details.⁵⁵

In 1825, while still at school in Zwickau, Schumann founded a literary club along with some close friends. It was here that he furthered his general literary knowledge and became acquainted with the works of Schiller. Additionally, he accrued his own personal library of literature and, through doing so, acquired an encyclopedic knowledge of authors such as Shakespeare, Goethe, Byron, Heine, Ruckert, and above all, Jean Paul.⁵⁶ His father's death on August 10th, 1826 made Robert abandon any immediate dreams of a musical career and, subsequently, he entered the University of Leipzig to study law (a vocation with a much more financially stable outlook) in 1828. Life in Leipzig at the University was a period for "reveling in Jean Paul and Schubert."⁵⁷ Schumann also met the poet Heinrich Heine during this time, which had a significant personal impact on him.⁵⁸ His study at the University is mostly characterized as having questionable study practices, a general lack of interest in school, and the constant writing of poetry. Eventually leaving school in Leipzig, he decided to further his legal studies in 1829 and moved to Heidelberg where he enrolled in the local University.⁵⁹

It was during his time in Heidelberg that Schumann decided that music was indeed a higher art form than prose, and set about reorienting his life accordingly.⁶⁰ His first step was to seek his mother's approval to study piano with Friedrich Wieck and although he dubbed Schumann a "hothead," Wieck was still highly aware of his musical genius and accepted him as

⁵⁵ Worthen, 11.

⁵⁶ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 35.

⁵⁷ Ibid.

⁵⁸ Worthen, 19.

⁵⁹ Ibid., 13-14.

⁶⁰ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 43.

a student in 1830.⁶¹ Schumann's original focus was to become a pianistic virtuoso, but this was quickly modified as an increasingly bothersome hand "injury," initially arriving in early 1830 and worsening throughout the year, would force him to realize that such a career path was beyond his capabilities. He eventually settled on a career as a musical composer.⁶² In order to form a large portion of his compositional approach, and being the imaginative genius that he was, Schumann's air of "undisciplined arrogance" unsurprisingly achieved a creative integration of both literary and musical pursuits into one, as he would spend the rest of his life seamlessly combining literary and musical ideas into singular creations of art.⁶³

Vocal lieder, the combination of words and music, were particularly important to Schumann, especially in the year 1840 after he was wed to Clara. Filled with love, Schumann exclaimed that, "Song unites the highest things, word and tone"⁶⁴ and that poetry was at its core "music in disguise."⁶⁵ Schumann's lieder are an excellent example of how he was a master of representing the essence of the text in music.⁶⁶

Although Schumann's lieder output seems the most logical and convenient genre in which to demonstrate a literary influence in his works, the extent of literature's effect is significantly more complex than simply a superficial "combination of words and music." Schumann successfully achieved an even deeper connection between music and poetry by

⁶¹ Peter F. Ostwald. *Schumann: The Inner Voices of a Musical Genius*. Boston: Northeastern University Press, 1985, 45.

⁶² Young, 17.

⁶³ Worthen, 23.

⁶⁴ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 30.

⁶⁵ Worthen, 241.

⁶⁶ *Ibid.*, 194.

writing music *as* literature. In other words, Schumann eventually viewed musical compositions as literary products that should aspire to be as deep and dramatic as their counterparts.⁶⁷

This is not to be confused with programmatic music as, although there are undeniably *some* programmatic elements in various instances in his piano works, this is not demonstrative of what is really occurring from a broader perspective. For a piece of music to be considered programmatic, it must convey a narrative. Schumann's music does not tell a specific, predetermined story, nor does it have any sort of chronological narrative. Rather, it is predominantly influenced by and created through the interpretation of literary sources. Schumann viewed all creative activity as a form of "literature," and he strove throughout his life to "reconfigure music as literature."⁶⁸

Schumann was fascinated by ciphers, hidden meanings, puzzles, and allegory of all types. This interest may have been sparked from a specific book that he read as a young child during the long hours he spent in his father's library. *Kryptographik*, written by Johann Ludwig Klüber, a Heidelberg law professor that taught at the school that Schumann was to eventually attend, most likely represents the starting point for Schumann's obsession with ciphers. Klüber's book would have been accessible to Schumann as Cotta, its publisher, regularly supplied the book to Schumann's father in his bookstore.⁶⁹ Encompassing a wide range of different cryptographic concepts, the book included an instructional guide on how to construct cipher tables.⁷⁰ For example, by assigning one letter for each diatonic note in an octave and then adding the possibility of sharps and flats to each note, the potential of a 24-letter cipher table is produced.

⁶⁷ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 55-93.

⁶⁸ *Ibid.*, 130, 330.

⁶⁹ Eric Sams. "The Schumann Ciphers." *The Musical Times* 107, no. 1479 (May 1966): 392-393, 395-400.

⁷⁰ Eric Sams. "The Schumann Ciphers: A Coda." *The Musical Times* 107, no. 1486 (December 1966): 1050-51.

Although some musicological conclusions being drawn in this particular line of research seem to be questionable, what can be said with confidence is that Schumann certainly read the book, most likely saw the cipher tables and other concepts within, and integrated his love of all things “puzzling” into his life, his writings, and his musical compositions.

Eric Sams offers additional, more compelling examples of Klüber’s influence upon Schumann. For example, *Faschingsschwank aus Wien*, Op. 26, according to Sams, is a work that simply uses a neologism for a title which conveniently includes the letters “ASCH” and “SCHA” in order. ASCH refers to “Asch,” the birthplace of Ernestine von Fricken (addressed in detail herein while discussing *Carnaval*) and SCHA refers to the first 4 musical letters in Schumann’s name.⁷¹ Sams, referencing additional musicologists’ work, also posits that a musical theme representing Clara’s name could exist throughout multiple works of Schumann’s in numerous configurations: C-B \flat -A-G \sharp -A, a descending C-B \flat -A \flat -G-F motive, A-G \sharp -A-B-C, and even C-B-C-G \sharp -A.⁷²

Schumann certainly loved “veiled allusions, symbolism, and mystery” in all things, and not just music: “he loved hieroglyphs, thought about putting flowers into a musical language, wrote letters in code, and even referred to an “invisible ink” in a letter.”⁷³ Further examples include his “*Abegg*” *Variations*, Op. 1, which utilizes a note-by-note musical representation of Mademoiselle Pauline Comtesse d’Abegg’s completely fictitious last name for its main theme’s motivic material.⁷⁴

⁷¹ Sams, “The Tonal Analogue in Schumann’s Music,” 110.

⁷² Sams, “The Schumann Ciphers,” 392-395.

⁷³ *Ibid.*, 392-393.

⁷⁴ Worthen, 43.

Another example (which is also particularly humorous) occurred when Schumann was about to leave Vienna in 1839. During his time in Vienna, he had been negatively impacted by Viennese censorship when he had tried to relocate his newspaper there. When he wrote his *Fashingsschwank aus Wien*, Op. 26, Schumann included a hidden insult to the Viennese censors: he incorporated a direct quote of the French national anthem (“La Marseillaise”) in the middle of the work. This piece was specifically restricted in Austria by the censors because France had declared war on Austria.”⁷⁵

During the 1830s, Schumann’s magazine, *Die Neue Zeitschrift für Musik*, was a central place to voice musical musings in Germany and he used this writing medium as an outlet to express his own musical opinions and ideas. The magazine, developed with some of his close friends in late 1833, would first be published in 1834.⁷⁶ In it, he often assumed the role of music critic and would “lay new text under the music.”⁷⁷ Schumann used Romantic prose with vivid imagery on a regular basis to analyze music, because he thought words could best be used to express the essence of music.⁷⁸ Patrick McCreless supports this by saying, “Schumann’s translation of a poetic theory into musical terms is not at issue.”⁷⁹

An understanding of literary influences in Schumann’s works would be incomplete without assessing the extensive contributions of Jean Paul and E.T.A. Hoffmann, which become particularly apparent when considering the compositional aspects of Schumann’s Opp. 2, 9, and 16 as a group. Jean Paul provides the basic, foundational concepts and ideas that permeate all

⁷⁵ Worthen, 160.

⁷⁶ Ibid., 86.

⁷⁷ Hoeckner, 88.

⁷⁸ Ibid., 77.

⁷⁹ Erika Reiman. *Schumann's Piano Cycles and the Novels of Jean Paul*. Rochester, NY: University of Rochester Press, 2004.

three works, whereas E.T.A. Hoffmann's influence consists of, as he himself was influenced by Jean Paul, more "superficial" (and just as important!) influences.⁸⁰ In the following chapters, this paper considers backgrounds and writing styles of these authors, Schumann's impressions of their works, and their influence on Schumann's compositional style.

⁸⁰ Victor Basch, and Catherine Alison Phillips. *Schumann, a Life of Suffering*. New York: Tudor Pub., 1936, 18.

2.1: Jean Paul

*“The Romantic is beauty without limit, or beautiful infinity,
just as there is a sublime infinity.”⁸¹
- Jean Paul*

Jean Paul (1763-1825) was born in Franconia to a family that was constantly relocating. His father worked as a schoolteacher and church organist and after recognizing that Jean Paul showed an affinity for writing early in his life, showered him with books and reading materials.⁸² In 1781, Jean Paul enrolled into the University of Leipzig (where coincidentally Schumann was to enroll much later) and decided to study theology.⁸³ Eventually becoming primarily an author, however, he approved of his contemporary, E.T.A. Hoffmann, and even went on to write a preface for Hoffmann’s *Fantasy Pieces* in 1814.

In terms of philosophical background, he became familiar with the Enlightenment ideas of F. H. Jacobi and the late-Enlightenment/early-Romantic writings of Karl Philipp Moritz.⁸⁴ Although not a Jena Romantic⁸⁵ himself, Jean Paul thought that the Enlightenment had eventually “died” and his writings reflect this by being mostly Romantic in style and theme.

Jean Paul wrote from a “writer’s fondness for the portrayal of life as a series of unresolved conflicts.”⁸⁶ He experienced a multitude of events throughout his life that contributed to his developing writing style. For example, after the traumatic experience of his father’s death, his family was hurting financially and, as a result, Jean Paul decided to work to

⁸¹ Hoeckner, 60.

⁸² Reiman, 11.

⁸³ Ibid., 12.

⁸⁴ Ibid., 12-13.

⁸⁵ The Jena Romantics were an initial group of writers that started the German Romantic era in the late 1700s and included philosophers such as Novalis, Schlegels, and Schelling, among others.

⁸⁶ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 38.

keep the family afloat.⁸⁷ Consequently, themes of loss and death abound in Jean Paul. Other life events include his mother dying in 1797 and, on a more positive note, his 1801 marriage to Karoline Mayer. Furthermore, Jean Paul experienced a “spiritual crisis” on November 15th, 1790, in which he envisioned his own death in a dream. This event manifests itself in his writings as he frequently employed themes of dreams and metaphysical worlds. Some additional common writing topics include social commentary and contemporary political issues.⁸⁸

Jean Paul’s Writing Style

Jean Paul’s writing style exemplifies concepts of the Romantic period.⁸⁹ His works are generally characterized as having wild metaphors, crazy maze-like plots, contemplative passages, irony, abrupt digressions, satire, and humor. In addition, his novels include a noticeable depth to its characters, including women, which is in contrast to contemporary Germanic literature.⁹⁰

Many of Jean Paul’s works include supernatural themes and many references to dreams. He felt that creativity was the vehicle to achieve the “infinite” and that one’s ability to achieve this “infinity” was to utilize the imagination.⁹¹ To more effectively “use his imagination,” he would often “write himself into a state of auto-intoxication.”⁹² Fervently writing oneself into a delirium was apparently such a common strategy at the time that even Goethe commented on this

⁸⁷ Reiman, 12.

⁸⁸ Encyclopedia Britannica Online, s. v. “Jean Paul,” accessed April 01, 2016, <http://www.Britannica.com/biography/JeanPaul>.

⁸⁹ Reiman, 191.

⁹⁰ *Ibid.*, 24.

⁹¹ Suurpää, 119.

⁹² Robert L. Jacobs “Schumann and Jean Paul.” *Music & Letters* 30, no. 3 (July 1949): 150-258.

by saying, “All these poets write as if they were ill, and as though the whole world were a hospital.”⁹³

According to John Daverio, Jean Paul’s works utilize the mind and soul (known as “gemüth”), humor, and wit (or “Witz”). Schumann frequently wrote about these traits in his own writings about Jean Paul.⁹⁴ “Witz” was considered by contemporary Romanticists to occur when “subtle underlying connections” were discovered over a framework of extreme digressions and disconnect.⁹⁵

Jean Paul’s digressive literary constructions are characterized by abrupt and sudden alternations from one topic and/or character to another.⁹⁶ Perhaps his need for digressions was an analogy for how life itself was a plethora of digressions and excursions.⁹⁷ At any rate, besides using conventional formal techniques to display this digressive style (simple and predictable alternations between chapters or sections), Jean Paul used creative and original ideas to create these “breaks” and digressions in the narrative. For example, he employed the use of footnotes to force readers to physically move their eyes to the bottom of the page and back up again to influence the speed and fluidity a book or work could be read.⁹⁸ Additionally, Jean Paul often used the dash, evoking the idea of a stream of consciousness narrative and rhythm to the passage.⁹⁹ He also placed italics on odd word choices and in unexpected places, which produced jarring inflections to the reader. Another example of digression in Jean Paul’s works come in the

⁹³ Kravitt, 101.

⁹⁴ Daverio, “Reading Schumann by Way of Jean Paul and His Contemporaries,” 37.

⁹⁵ Anthony Newcomb. “Schumann and Late Eighteenth-Century Narrative Strategies.” *19th-Century Music* 11, no. 2 (Autumn 1987): 164-74.

⁹⁶ Jacobs, 251.

⁹⁷ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 37.

⁹⁸ Reiman, 31.

⁹⁹ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 42.

preface to *Quintus Fixlein* in which Jean Paul's own writings are "interrupted" by another character, Fraischdorfer, who ends up representing Philistinism in arts (the social attitude of *anti-intellectualism* in arts) later in the novel.

Jean Paul's works were often teleologically connected to themselves in that, when viewed from a broad scale, it was their unresolved nature that actually unified them. For example, although Jean Paul utilized multiple characters of opposite emotions and personalities, they would appear again and again in multiple places throughout all of his novels.¹⁰⁰ Myopically, this creates an illusion of disconnect when considering just one of Jean Paul's works on its own, but a more unified picture of Jean Paul's style becomes apparent when considered on a larger scale.

Digressions also played an important part in influencing Jean Paul's choice of focus in his works. Sometimes, Jean Paul's writings concentrate on surrounding material instead of focusing on a specific, singular purpose. This idea is echoed in a question of Jean Paul's when he asks, "Why do I want to describe the first day before I describe him?"¹⁰¹ To best explain the *specific*, Jean Paul feels that it is sometimes better to describe the *surrounding* events and details to construct a better understanding of the specific thing.

Naturalistic themes also play a part in Jean Paul's topic choices. He writes of "roaming and dreaming" as he loses himself "among orange-blossoms."¹⁰² Jean Paul also refers to the Romantic Goddess of nature and the metaphysical, Isis, in his novel *Titan*: "And now before such clear and sharp eyes the Isis-veil of Nature became transparent, and a living Goddess looked down into his heart with features full of soul. Ah, as if he had found his mother, so did he

¹⁰⁰ Reiman, 30.

¹⁰¹ *Ibid.*, 18.

¹⁰² Jean Paul, and Charles Timothy Brooks. *Titan: A Romance*. Boston: Ticknor and Fields, 1862.

now find Nature.”¹⁰³

In the novel *Flegeljahre*, Jean Paul explores humanity’s relationship with nature:

But since he couldn’t move his feet without moving his tongue, the dance hall became his grand pulpit; and he described it to her as they danced: how even the body became music – how humanity rushes past while life sands still – how two souls lose consciousness of the crowd around them and solitary, like celestial bodies in ethereal space, circle about themselves according to their own law – how only those souls who love each other should dance in order to reflect the spiritual side of the artful illusion in harmonic motion.¹⁰⁴

Jean Paul draws an important correlation between nature and Romantic distance.¹⁰⁵ For example, he writes in *Flegeljahre*:

From behind their dark masks they gazed at one another like foreign spirits from two distant planets, as if they were two stars in a solar eclipse, and each soul observed the other from a great distance, wanting thereby to appear all the more distinct.¹⁰⁶

Further analogizing Romantic distance and celestial bodies, Jean Paul observes:

The Romantic is beauty without limit, or beautiful infinity, just as there is a sublime infinity... It is more than an analogy to call the Romantic the undulating hum of a vibrating string or bell, whose sound waves fade away into ever greater distances and finally are lost in ourselves, and which, although outwardly silent, still sound within. In the same way moonlight is both image and instance of the Romantic.¹⁰⁷

¹⁰³ Paul, 122.

¹⁰⁴ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 496.

¹⁰⁵ Hoeckner, 130.

¹⁰⁶ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 495.

¹⁰⁷ Hoeckner, 60.

Notably, *Flegeljahre* ends on a Romantic note with a character playing a flute while walking away into the distance – the epitome of Romantic distance.¹⁰⁸

Jean Paul was a champion of Romantic irony.¹⁰⁹ This is exemplified in some of his word choices. For example he writes sentences such as, “Hot baths of sentiment are followed by cold douches of irony”¹¹⁰ and fragments such as, “... just as a Catherine-wheel of loving enchantment...”¹¹¹ Jean Paul’s use of humor in his employment of irony is widespread. Lauri Suurpää said, “[Jean Paul] believes that with the help of humor one can come closer to the infinite.”¹¹² Humor, therefore, is an important tool for authors endeavoring to achieve Romantic irony.

Irony allows the Romantic author to free himself from the limiting bounds of the artistic work. Friedrich Schlegel agreed, noting that through irony the artist could best place himself outside his work.¹¹³ The use of irony for this purpose is in line with the philosophical ideas of a Solipsist. Solipsism is generally defined as believing that one’s self is the only thing that can be unequivocally known. Jean Paul utilized solipsistic ideologies in his writings by using the compositional device of self-reference: he would include direct quotes, narrated by himself, in works.¹¹⁴

Perhaps most notably, at least in terms of modern era recognition, Jean Paul was the first to invent the concept of the Doppelgänger. A Doppelgänger is a living representation of a living person, or his exact double. This is an important confluence of Romantic ideas meshed into one.

¹⁰⁸ Hoeckner, 68.

¹⁰⁹ Dill, 172-173.

¹¹⁰ Kravitt, 101.

¹¹¹ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 496.

¹¹² Suurpää, 119.

¹¹³ Röder, 10-31.

¹¹⁴ Reiman, 162.

First, a Doppelgänger can embody solipsistic concepts through an author's expression of himself as another person. Second, the Doppelgänger is a dualistically teleological concept because it utilizes two parts to make up a whole (a Doppelgänger cannot be a Doppelgänger unless the other exists). Finally, a Doppelgänger is also ironic because it can be a self-representation of the author himself and therefore have hidden meaning.

It is interesting to note that some modern-day theoretical physicists have postulated that, assuming a universe of infinite size, and given enough distance travelled from one's current location in space, it is more probable than not that the order in which molecules are orientated in a certain system would eventually run out of possible repeating orientations and would, in time, start repeating themselves. Following this thought-provoking theory, it is possible that every one of us has our very own Doppelgänger somewhere in the universe at this very moment.

Theoretical physics aside, however, a Doppelgänger was certainly a mystical and supernatural literary concept during the Romantic era.

Jean Paul was a pianist and regarded music very highly. He highly respected such composers as Gluck, Haydn, Mozart and many others and felt that music was the highest art form in that it was able to convey something of an elevated reality. He even went so far as to say that music was a possible explanation and answer for the meaning of life and that it could "bring everything together."¹¹⁵ Jean Paul used music in his novels to help convey the idea that music was a unifying feature.¹¹⁶ For example, in *Flegeljahre*, Jean Paul describes a ballroom dance and explains how music is the unifying aspect of the scene:

Just as all social stations and historical epochs are equal before the poet, and all external trappings a mere camouflage, but everything within is joy and resonance, so here people poeticize themselves and their lives, - the most

¹¹⁵ Jacobs, 256.

¹¹⁶ Ibid., 258.

ancient fashions and customs are revived and take their place next to the most recent – the remotest savage, the finest amid the coarsest classes alike, the mocking caricature, even different seasons and religions, the fiendish and the friendly – all these are rounded into *one* light and happy circle, and the circle is splendidly set into motion, as if through a metrical power, namely through music, that land of spirits, just like fancy-dress outfits are the land of bodies.¹¹⁷

Jean Paul also felt that there were links between the various arts and that they could fertilize and enrich each other. “No color is as Romantic as a sound, since one is present at the dying away only of a sound but not of a color; and because a sound never sounds alone, but always three-fold, blending, as it were, the Romantic quality of the future and the past into the present,” he writes.¹¹⁸ Eric Sams puts it best by saying, “For if in Schubert you can hear how music speaks, in Jean Paul you can hear how literature sounds.”¹¹⁹ Berthold Hoeckner, who studied Schumann and Romantic distance, agrees, noting that, “. . . music was Romantic poetry for the ear.”¹²⁰

Links between the arts for Jean Paul were not limited solely to music and literature, but also included other expressive art forms such as painting. In a passage from *Titan*, Jean Paul discusses the link between painting and music:

Liana spoke now of the contest between painting and music, and of Herder's charming official report of this strife. She, although a votary of the pencil, gave in her vote, as was natural to the female and the lyric heart, entirely for tones, and Albano, although a good pianist, was rather for colors, “This magnificent landscape,” said Albano, “is in fact a picture, and so is every fair human form.” “Were I blind,” said Chariton, naively, “then I should not see my lovely Liana.” She replied: “My teacher, the Counsellor of Arts, Fraischdörfer, also set painting above music. But to me, when I hear music, it

¹¹⁷ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 496.

¹¹⁸ Hoeckner, 61.

¹¹⁹ Sams, “The Tonal Analogue in Schumann’s Music,” 104.

¹²⁰ Hoeckner, 61.

is as if I heard *a loud past* or *a loud future*. Music has something holy; unlike the other arts, it cannot paint anything but what is good.”¹²¹

Schumann and Jean Paul

*“Don’t you know Jean Paul, our great writer?
I learned more counterpoint from him than from any master.”¹²²
- Robert Schumann*

Schumann developed a high regard for Jean Paul’s literary style after reading his stories in the 1820s and frequently drew from Jean Paul’s unique writing techniques to produce his musical compositions.¹²³ As a result, Jean Paul has been acknowledged as the most significant poetic influence on Schumann. “Jean Paul still takes first place with me, and I rank him above all, even Schiller,” Schumann said.¹²⁴ In fact, Schumann was so obsessed with Jean Paul’s works that he would study and read him outside of his literary group’s meeting times while in school. Through his readings of Jean Paul, Schumann came to be further acquainted with odd characters, neologisms, the use of ciphers and puzzles, bizarre stories, wild metaphors, crazy maze-like plots, irony, satire, and humor.

Schumann’s interest in Jean Paul, extending far beyond a mere obsession with reading his works, significantly affected him personally as well. Both Schumann and Jean Paul had similar personality traits. For example, they both kept exhaustive records throughout their lives of things such as reading habits and internal thoughts.¹²⁵ Even Clara and Robert’s interactions were

¹²¹ Paul, 260.

¹²² Schumann, 259.

¹²³ Reiman, 9.

¹²⁴ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 36.

¹²⁵ Reiman, 12.

affected by Jean Paul in that they would read his works together as a couple. This impacted their private discussions as well as their entries in their personal marriage journal.¹²⁶

Additionally, both Schumann and Jean Paul greatly revered Franz Schubert. Jean Paul underscored his approval for Schubert's style in his diary, writing, "Polonaises by Schubert – Thunderstorms breaking out with Romantic rainbows appearing over a solemnly slumbering world."¹²⁷ Schumann also saw connections between Jean Paul and Schubert: "When I play Schubert, it is as if I were reading a novel 'composed' by Jean Paul."¹²⁸ Sams agrees by saying, "In the world of creation, Schumann's first parents were Schubert and the novelist Jean Paul Richter."¹²⁹ To Schumann, Schubert was the "tonal equivalent" of Jean Paul, Novalis, and E.T.A. Hoffmann combined.¹³⁰

Both Schubert and Jean Paul wrote in ways that required the observer to consider the broader picture in order to unfold the meaning of ideas. They also relied on the combining of opposite ideas to reflect the fragmentary nature of existence in their works. Additionally, they expressed their personality through their own works. For example, Schubert's music was a "diary" in which to set down momentary feelings: a sheet of music paper was something with which he entrusted his every mood. As a result of these connections and also to mimic these compositional and personality traits, Schumann strove to write like Jean Paul and be a musician like Schubert.¹³¹

¹²⁶ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 198.

¹²⁷ Reiman, 34.

¹²⁸ Newcomb, "Once More 'Between Absolute and Program Music:' Schumann's Second Symphony," 234.

¹²⁹ Sams, "The Tonal Analogue in Schumann's Music," 104.

¹³⁰ Ronald Taylor. *Robert Schumann, His Life and Work.* New York: Universe Books, 1982, 47.

¹³¹ Worthen, 36.

When Schumann did write, he wrote often about Jean Paul, particularly more so when his father died in 1826. Schumann's diary entries over the years following this tragedy increasingly obsess with the readings and writings of Jean Paul in an apparent attempt to come to terms with his father's death.¹³²

Schumann set out to learn as much as he could about Jean Paul by visiting his house in Bayreuth, paying homage at his gravesite, and even meeting with his widow in 1828.¹³³ It seems that Schumann was inexorably drawn to all things Jean Paul because they both regularly demonstrated Romantic freedom in their works by explaining themselves through the creation of their respective arts. This process of working things out and dealing with one's life issues by creating art was something that Schumann did throughout his entire life.¹³⁴

Jean Paul also impacted Schumann's writing style. In his *Die Neue Zeitschrift für Musik*, Schumann's essays included topics on Jean Paul's *Titan* and specifically addressed how contradictions, unnatural plots, peculiar imagery, and oddly developed characters were all integral parts of a successful work.¹³⁵ While writing, Schumann never hesitated to refer to Jean Paul in the same sentences as Shakespeare, Beethoven, Schubert, and Bach.¹³⁶

Schumann's general philosophy towards how to effectively critique music was also impacted by Jean Paul. Schumann would often talk about music in terms of literary novelists.¹³⁷

¹³² Worthen, 12.

¹³³ Reiman, 9.

¹³⁴ Sams, "The Tonal Analogue in Schumann's Music," 104.

¹³⁵ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 27.

¹³⁶ Jacobs, 250.

¹³⁷ Newcomb, "Schumann and late Eighteenth-Century Narrative Strategies," 168.

Schumann writes:

The highest criticism is that which leaves an impression identical with the one called forth by the thing criticized. In this sense, Jean Paul Richter, with a poetic companion-piece, can perhaps contribute more to the understanding of a symphony or a phantasy by Beethoven than a dozen of those little critics of the arts who lean their ladders against the Colossus and take its exact measurements.¹³⁸

In fact, in Schumann's own review of Berlioz's *Symphonie Fantastique*, he expresses Jean Paul's ideas of how music and art can explain each other: mental paintings and images come into shape in music and have the potential to communicate transcendence.¹³⁹

Schumann often considered Jean Paul's impact on his development, noting in 1828 that he might have been very differently artistically if he had never known Jean Paul:

I often ask myself what would have become of me if I had never known Jean Paul: in one respect, at any rate, he seems to have an affinity with me, for I foresaw him. Perhaps I would have written the same kind of poetry but I would have withdrawn myself less from other people and dreamt less. I cannot decide, really, what would have become of me, the problem is impossible to work out.¹⁴⁰

Fortunately, Schumann did, in a way, successfully find himself through studying Jean Paul.

A central idea that Schumann extrapolated from Jean Paul's writings was a concentration on the symbolic importance of opposing, dualistic forces. An 18 year-old Schumann writes:

Jean Paul is all the time portraying himself in his works, but always in the form of two persons. He is Albano and Schoppe, Siebenkaes and Leibgaver, Vult and Walt, Gustav and Fenk, Flamin and Victor. Only Jean Paul could have combined in himself such opposite characters – the contrasts are very harsh sometimes, not to say extreme – only he could have done it. Jean Paul

¹³⁸ Suurpää, 117-118.

¹³⁹ Jacobs, 257.

¹⁴⁰ Ibid., 251; Also see: Reiman, 9.

always enchants, but seldom satisfies me: through all the enchantment there is a feeling of dissatisfaction, an eternal sadness...¹⁴¹

An excellent example of this manifestation arises in Jean Paul's novel *Flegeljahre* in which the two main characters are twin brothers. The brothers, Walt and Vult, have completely opposite personalities that, owing to their close relationship as twins, are reliant on each other to effectively exist. This duality of personas interested Schumann to such an extent that it prompted him to create his own set of personalities. This is known to be true because Schumann himself directly acknowledges the creation of such a dual personality within himself.¹⁴² In 1831, while he was characteristically stressed, experiencing a depression in full force, and enduring a particularly bad drinking bout, Schumann writes, "Today completely new characters make their appearance in the diary. Two of my best friends – although I have never seen them: Florestan and Eusebius."¹⁴³ Florestan the rambunctious improviser, and Eusebius, the pensive, restrained and thoughtful thinker, were now "born."

It is important to note that although Schumann displayed manic ups and downs throughout his life (in the possible form of manic depression), it is questionable whether an actual, real-world medical diagnosis of schizophrenia or dual personality was manifesting itself. Rather, Schumann's obsession with opposites, especially in the form of literary characters, probably arose from his impassioned reading of Jean Paul's literature and is not indicative of someone who has a dual personality or is manic depressive.¹⁴⁴ That being said, his obsessive reading of Jean Paul would have most likely only furthered symptoms of any possibly existing

¹⁴¹ Jacobs, 250-251.

¹⁴² Ibid., 251.

¹⁴³ Eric Frederick Jensen. *Schumann*. New York: Oxford University Press, 2001, 106.

¹⁴⁴ Eric Sams. "Why Florestan and Eusebius?" *The Musical Times* 108, no. 1488 (February 1967): 131, 133-34.

disorder.¹⁴⁵ In any case, Florestan and Eusebius were poetic self-projections for Schumann and were created out of a need to better cope with the unceasing, conflicting inner thoughts of a passionately creative genius.

Eric Sams has posited a fascinating idea for why Schumann chose these two specific names for his personalities. Sams postulates that Schumann was referencing Clara and himself through the use of Christian saints and their respective saint days: Eusebius comes from St. Eusebius, which occurs on August 14th and Florestan comes from St. Florus, occurring on August 18th. August was potentially selected because it presented the saints that provided the required letters of E and F. As to why he selected E and F, Schumann had already given names to A (Ambrosia), B (Beda), C (Clara), and D (David). Ambrosia and Beda were two names used to refer to Clara by Schumann. David was Schumann's name given to himself in his "never-ending war against the Philistines." It is only logical, then, that he needed an E and an F to continue the concept.¹⁴⁶

Schumann used these two personalities to create a "musical society" in his head named the "Davidsbündler." This panel, comprised of Florestan and Eusebius as its two main members, also included an additional third participant named Raro. Raro, more or less, fulfilled the role of mediator and helped to interpret both Florestan and Eusebius.¹⁴⁷ The selection of the name "Raro" seems to come from a possible reference to Clara and Robert: the combination of their two names put together spells "Raro" in the middle (claRARObert).¹⁴⁸ As a mediator, it makes sense that his name would arise out of two separate but complimenting forces. We know that

¹⁴⁵ Jacobs, 251.

¹⁴⁶ Sams, "Why Florestan and Eusebius," 131-134.

¹⁴⁷ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 127.

¹⁴⁸ Sams, "The Schumann Ciphers," 398.

Schumann referred to himself in possibly over 30 different ways, so this does not seem that far of a stretch to deduce this.¹⁴⁹

The act of creating a “panel” inside of one’s self is, in a way, Romantic: it is an expression of one’s own thoughts from within; an inner dialogue where one rejects the actual world and tries to create his own fantasy by himself, in isolation.¹⁵⁰ Even though the main role of this panel was to defend contemporary music against the Philistines (this will be discussed at length when *Carnaval*, Op. 9 is addressed), it also served the function of helping him deal with his everyday challenges, his social interactions, and certainly his musical compositions.

Schumann let this idea permeate to other people in his immediate circle: “From today on, I want to give my friends more beautiful and appropriate names.” He named Wieck as “Raro” (no apparent connection to Schumann’s *Dauidsbüandler Raro*), Clara as “Cilia,” Dorn as “the Music Director,” and Christel as “Charitas.”¹⁵¹

Although it is possible these particular names were created for a novel Schumann might have written (an autobiography of the “*Dauidsbüandler*” was a possibility for him all the way up until 1846, but it never came to fruition), they ultimately manifested themselves in different ways.¹⁵² For example, while writing for his magazine *Die Neue Zeitschrift für Musik*, Schumann would often sign his editorials as Florestan or Eusebius, dependent on which persona had interpreted the music he was critiquing. Florestan and Eusebius manifested themselves in public for the first time in Schumann’s critique of Chopin’s *Variations on Là ci darem la mano*, Op.

2.¹⁵³ Schumann even dedicated his F# minor Sonata as follows: “To Clara, from Florestan and

¹⁴⁹ Sams, “The Schumann Ciphers,” 393.

¹⁵⁰ Hoeckner, 78.

¹⁵¹ Jensen, 106-107.

¹⁵² *Ibid.*, 107.

¹⁵³ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 113.

Eusebius.”¹⁵⁴

Furthermore, Schumann’s *Davidsbündler* is representative of significantly deeper meaning. Schumann saw more than just a simple reflection of himself in Jean Paul.¹⁵⁵ He saw a literary *representation* of Jean Paul in himself. By creating the *Davidsbündler*, Schumann had made himself Jean Paul’s real-life literary *Doppelgänger*.

Jean Paul’s writing styles continue to have a significant effect on Schumann in many ways. There are many instances of the use of striking, startling and sometimes “intolerable” contrasts in Jean Paul.¹⁵⁶ Schumann writes of the effect these contrasts have on him: “I feel afterward a sense of inner well-being comparable to that of a rainbow arching over the heavens in the wake of a storm.”¹⁵⁷ This emphasis on contrasts manifests itself in Schumann’s music in many instances. This style is prevalent in terms of phrase structure in Schumann’s *Humoresque*, Op. 20, for example as the melodic phrasing in the beginning’s B section is extremely disjunctive.

Although Schumann regularly avoids showing his listener that there is a clear and linear narrative, there is almost always a teleological organization to his digressive constructions. This is similar to Jean Paul’s constructions and can also be likened to some of Beethoven’s compositional organizations. Both Beethoven and Jean Paul used ordinary passages and then developed them throughout a work.¹⁵⁸ Schumann said, “Jean Paul... and Beethoven hang beside

¹⁵⁴ Joan Chissell. *Schumann*. Rev. ed. London: Dent, 1967, 81.

¹⁵⁵ Jacobs, 258.

¹⁵⁶ Reiman, 15.

¹⁵⁷ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 38.

¹⁵⁸ *Ibid.*, 97.

one another in my room.”¹⁵⁹ As a result, Schumann sometimes used theme and variation forms to connect digressive sections.

Also, just as Jean Paul utilized characters that would appear and reappear throughout his novels, Schumann used this technique throughout his compositional output to show unity in his large-scale works. For example, *Papillons* appears as a movement in *Carnaval*.¹⁶⁰

Additional similarities between Schumann and Jean Paul’s compositional styles include odd phrase structures, sudden shifts in practically every musical aspect (such as dynamics and abrupt shifts in tempo), and the use of polymeter. Also, Schumann’s use of through-composition (music that produces continuously new material as it progresses) could be considered a musical equivalent to Jean Paul’s literary “dash.” When reading a passage that uses a dash, the reader is told “to go on.” In music, through-composition is an equivalent in that there is no convenient “period” or ending to the musical sentence and the listener has no choice but “to go on.” Though most prominently displayed in Schumann’s lieder genre, through-composition is also reflected in certain movements of his piano works. For example, Movement 4 of *Kreisleriana* uses a slow, and wandering style of material that is improvisatory in nature, a trait reminiscent of through-composition.

¹⁵⁹ Reiman, 10.

¹⁶⁰ Newcomb, “Once More ‘Between Absolute and Program Music:’ Schumann's Second Symphony,” 234.

2.2: E.T.A. Hoffmann

“Every passion – love, hate, anger, despair – ...clothes the music in the purple glimmer of Romanticism, and even lifelike events lead us away from reality in to the realm of the infinite.”¹⁶¹

- E.T.A. Hoffmann

Ernst Theodor Wilhelm Hoffmann (1776-1822) was born in Königsberg, Prussia.¹⁶² A passionate music-lover, he later changed his name to Ernst Theodor *Amadeus* Hoffmann in homage to Mozart. He is best known for working a myriad of occupations: author, legal scholar, drawer, caricaturist, musician, musical composer, and music critic. As a Romantic author, Hoffmann produced four-dozen stories and two novels throughout his lifetime. An avid reader, Hoffmann was familiar with writers such as Schiller, Goethe, Swift, Sterne, Rousseau, and most importantly, Jean Paul.¹⁶³ Hoffmann felt greatly influenced by Jean Paul's works, even noting as much in correspondence to Jean Paul in which he expressed thanks.¹⁶⁴ Both Hoffmann and Jean Paul held Beethoven in high esteem and even collaborated together in Hoffmann's collection of short stories, *Fantasiestücke in Callot's Manier*.¹⁶⁵

In his personal life, Hoffmann struggled to balance professional duties and his own artistic needs. As a result, he sometimes wrote only to satisfy financial gains, which was at odds with his Romantic ideals. Hoffmann lived a life of excess and was prone to outbursts and rash decisions. He fell in love at age 17 with a 26-year-old woman who was married and had

¹⁶¹ E.T.A. Hoffmann, and Joseph M. Hayse. *Fantasy Pieces in Callot's Manner: Pages from the Diary of a Traveling Romantic*. Schenectady: Union College Press, 1996, 32.

¹⁶² “E.T.A. Hoffmann” *The Oxford Dictionary of Music*, 2nd ed. Rev.. *Oxford Music Online*. Oxford University Press.

¹⁶³ Röder, 10.

¹⁶⁴ Reiman, 191.

¹⁶⁵ *Ibid.*, 136.

children. If that was not enough, he became engaged to his cousin at the age of 22. Always passionate, he was at times impulsive, and would even show rages of jealousy at times.

Hoffmann, being the consummate Romantic, funneled these first-hand experiences into his writings with themes of romanticized love, passion, and unrequited love.¹⁶⁶

Hoffmann thought that music, above the other arts, had an incredible power to captivate and affect his audiences: “But is it not the master composer who commands the mysterious magic that gives the simplest melody and the most artless forms this irresistible, indescribable power to affect every receptive heart?”¹⁶⁷ Hoffmann believed music’s power to captivate was both universal and personal: “Music is everywhere. Notes – that is, melodies that speak the higher language of the realm of spirits – repose only in the hearts of men.”¹⁶⁸ Hoffmann’s commentary on the importance of music is extensive, exemplified in the following excerpts:

The art of composition is the ability to grasp these feelings, as if with a special mental and spiritual strength, and to imprison them in symbols and writing. This power is proof of that artistic musical education whose goal is the fluent and unforced presentation of symbols (notes).¹⁶⁹

Music remains the common language of Nature. She speaks to us in marvelous, mysterious accords. In vain, we struggle to fix them in symbols, for that artificial sequence of hieroglyphs captures for us merely the suggestion of what we have heard.¹⁷⁰

How very miraculous is music, but how inadequate is mankind’s ability to fathom its profound secrets! Yet, does not music reside in man’s own breast and fill him with its enchantment until his whole being is devoted to it? It tears him from the stress and oppressive torment of everyday existence and elevates him to a new, transfigured life where, infused with great power, he surrenders with childlike piety to those things the spirit evokes in him and he is able to speak in the tongue of that unknown, Romantic realm. Then, unwittingly, like the sorcerer’s apprentice reading aloud from his master’s

¹⁶⁶ Röder, 30.

¹⁶⁷ Hoffmann, 25.

¹⁶⁸ Ibid., 293.

¹⁶⁹ Ibid.

¹⁷⁰ Ibid., 294.

book of magic he calls forth glorious apparitions from within, and they fly through his life in a dancing radiance, filling everyone who is privileged to see them with infinite, ineffable longing.¹⁷¹

Hoffmann broadcasted these ideologies to his contemporaries and was musically influential in artistic circles. For example, he founded a musical society when he was in Warsaw, Poland and also composed multiple operettas and plays throughout his lifetime.¹⁷² Hoffmann's literature influenced literary contemporaries as well as musical composers such as Tchaikovsky (*The Nutcracker*) and Offenbach (*Tales of Hoffmann*). Additionally, Hoffmann was the first to refer to German music as being "Romantic" in his 1810 review of Beethoven's Symphony No. 5 in the magazine *Allgemeine, musikalische Zeitung*.¹⁷³

E.T.A. Hoffmann's Writing Style

*"Music is the most Romantic of all the arts. I might almost say it is the only purely Romantic one, for its motif is infinity. Music unlocks an unknown realm, a world that has nothing in common with the surrounding, external world of man's senses. There, he abandons all specific emotions in order to indulge himself in an inexpressible yearning."*¹⁷⁴
– Johannes Kreisler

E.T.A. Hoffmann, considered a "crucial author of Germanic Romanticism," was interested in bringing the fantastical, metaphysical world into our realm of experience.¹⁷⁵ Often using music as a vehicle to achieve this, his style blended reality and fantasy. He writes, "Mozart leads us into the depths of the spirit realm. We are surrounded by dread but not

¹⁷¹ Hoffmann, 24.

¹⁷² James M. McGlathery. *E.T.A. Hoffmann*. New York: Twayne Publishers, 1997, xii.

¹⁷³ Plantinga, 222.

¹⁷⁴ Hoffmann, 32.

¹⁷⁵ Reiman, 135.

torment; it is more like a foreshadowing of eternity.”¹⁷⁶ In *Kreisleriana*, which is a collection of passages set in two parts within Hoffmann’s *Fantasiestücke in Callot’s Manier*, the Kapellmeister Johannes Kreisler plays a major role. He is Hoffmann’s response to Romantic Dualism: a character comprised of a dual personality (for more on this, see the *Kreisleriana* chapter of this paper). A passionate music lover, Kreisler’s stories often revolve around music-making. For example, in the beginning of *Kreisleriana*, Kreisler plays Bach’s *Goldberg Variations* during a party. The audience’s general reaction is to leave, but Kreisler continues unaffected because he “...just had to play them,” referring specifically to the 30th variation. Eventually playing himself into a dreamy stupor, he says, “In the end I found myself sitting alone with my Sebastian Bach.”¹⁷⁷ This particular story reflects how Hoffmann felt that music could aid in an artist’s pursuit of the dream state. Hoffmann considered this state to be the most effective place an artist could be to effectively bring the metaphysical to a realm that all could experience. Hoffmann regularly wrote of music in his works in this way to bring the metaphysical within the grasp of not only himself, but also to his real-world readers.

Hoffmann also uses music to refer to various themes of Romantic distances. Indicative of spatial distance, Kreisler says, “The odor of dark red carnations has a strange, magic power over me. I sink involuntarily into a dreamy state and hear, as if from far in the distance, first the crescendo and then the dying away of the deep notes.”¹⁷⁸ Referring to temporal distance, Hoffmann viewed understanding and interacting with the past as an important part of being able to be Romantically expressive when creating art. This should be approached with “caution” though, as he felt that there were “dangers of imitating the masters” and, as a result, felt that

¹⁷⁶ Hoffmann, 33.

¹⁷⁷ Ibid., 20-21.

¹⁷⁸ Ibid., 39.

geniuses, like himself, should not mistrust their “own powers” when composing.¹⁷⁹ The value in looking to the past is important in that it affects us as humans in the present. Hoffmann writes, “Our species’ innate urge to imitate, which so often incites human beings to unjustifiable laughter, is nothing more than an irresistible desire, not so much to attain culture as to show what already lies within us.”¹⁸⁰ Referencing past musical masters, he also states:

Haydn conceives the human in human life as Romantic; he is more proportionate, more comprehensible for the majority. Mozart calls more on the superhuman, the miraculous that resides within the mind. But Beethoven’s music moves the lever that raises fear, terror, horror, and agony, exciting the infinite longing, which is the essence of the Romantic. He is, therefore, a pure Romantic composer.¹⁸¹

Hoffmann put particular emphasis on the correlation between Beethoven’s compositions and both temporal and spatial distance: “...Beethoven’s instrumental music opens to us the realm of the enormous and the boundless.”¹⁸² Hoffmann adds, “How this wonderful composition [Beethoven’s 5th Symphony], through an ever-rising climax, leads the listener irresistibly into the spirit realm of the infinite!”¹⁸³ Hoffmann saw the past and future as entities that influenced the present possibilities of artistic creation. The studying of the past was a way to become closer to the infinite and metaphysical, and ultimately, become more of a Romantic. “The true artist lives solely in the work in which he has grasped and then rendered the master’s intent,” Hoffmann said.¹⁸⁴

¹⁷⁹ Hoffmann, 285.

¹⁸⁰ Ibid., 268.

¹⁸¹ Ibid., 33.

¹⁸² Ibid.

¹⁸³ Ibid., 34.

¹⁸⁴ Ibid., 38.

Romantic themes indicative of personal distance are involved when Hoffmann speaks of love and longing: “In our earthly travails, the fervent longing of eternal love restrains the tumult and agitation produced by the passion of evils, and dissolves even pain.”¹⁸⁵ Hoffmann is quoted as saying that “Romantic love *must* be unrequited.”¹⁸⁶ The Romantic characters in his writings often dealt with themes of unrequited love and his treatment of female characters follows this idea. Depicted as not particularly strong, these women generally were usually simply there to fulfill a male’s needs for a woman.¹⁸⁷ This is in contrast to Jean Paul, who created strong and independent female characters.

Naturalistic themes are also plentiful in Hoffmann’s writings. For example, within the story of *Kreiseriana*, a boy, who is musically gifted and, being troubled by the social stigmatic challenges that come with being so gifted, asks Johannes Kreisler for advice on how to cope. Kreisler responds by directly referencing a work by Novalis, *The Apprentice of Sais*, in which the Goddess Isis comes to represent all that is metaphysical and natural. Kreisler says, “[You] are like the apprentice in the temple [sic] of Isis who... found the marvelous jewel the others sought so diligently.”¹⁸⁸ This is the same Isis to which Jean Paul refers in his novel, *Titan*.

Hoffmann frequently used naturalistic terms and analogies to express his thoughts. On the topic of music, for example, he says that, “The musical phrases move only in the tonics and dominants, with no harsh modulations or strained figures, and the melody flows like a clear, silver stream among glowing flowers.”¹⁸⁹

¹⁸⁵ Hoffmann, 283.

¹⁸⁶ Röder, 29.

¹⁸⁷ Ibid., 26.

¹⁸⁸ Hoffmann, 281.

¹⁸⁹ Ibid., 25.

Speaking of Beethoven's 5th Symphony, Hoffmann says,

The delightful theme of the *Andante* in A-flat major rings out like a lovely spirit voice that fills us with hope and consolation. But here, too, walks the dread [sic] spirit that seizes and terrifies the heart, threatening to burst at any moment from the storm cloud into which he has disappeared, while the friendly forms that surround us flee before his lightning bolts.¹⁹⁰

Additionally, Hoffmann felt that there was a metaphysical relationship between music and nature, often using naturalistic analogies to express his opinions on what constituted effective, expressive music:

Melody should be song, flowing freely and spontaneously straight from the human heart, which is itself the instrument that resounds with the most marvelous, most mysterious notes of Nature. Any melody not sing-able in this manner remains only a sequence of individual notes vainly striving to be music.¹⁹¹

Hoffmann continues, "Music is the universal language of nature, speaking to us in beautiful, mysterious sounds, and we wrestle in vain trying to confine these in symbols; those artificial notes are no more than hints of what we have heard."¹⁹²

Hoffmann's organizations of his literary works are Romantic in that they find unity through digression. Hoffmann did not think maintaining chronological order in a work was important, and as a result looked to other methods of creating unity. For example, *Kreisleriana* is unified in the sense that there are constantly changing themes, one section after the other.¹⁹³ By predictably alternating between themes of discontinuity, Hoffmann produces continuity.

¹⁹⁰ Hoffmann, 35.

¹⁹¹ Ibid., 286.

¹⁹² Ernst Theodor Amadeus Hoffmann, and Max Knight. "Johannes Kreisler's Certificate of Apprenticeship." *19th-Century Music* 5, no. 3 (Spring 1982): 189-92.

¹⁹³ Jocelyne Kolb. "E.T.A. Hoffmann's 'Kreisleriana': A La Recherche D'une Forme Perdue?" *Monatshefte* 69, no. 1 (Spring 1977): 34-44.

Additionally, another Hoffmann work, *Kater Murr* is unified by digressions. As will be explored in the *Kreisleriana* chapter of this paper, *Kater Murr* is the combination of a tomcat's musings mixed up with Johannes Kreisler's random thoughts in a randomized organization. To further aid in being interruptive and digressive in both of these works, Hoffmann uses footnotes and dashes in his works, resulting in the same effects that Jean Paul exacted.¹⁹⁴

The digressive structures in both cases of *Kreisleriana* and *Kater Murr* are teleological in that not only could each section or part function on its own efficiently, but unknown to the myopic reader, it is silently creating unity throughout the whole work. Hoffmann writes about how important teleology is in Beethoven's 5th Symphony and it is clear that he felt this concept was important enough to be incorporated into his literary works: "Everything – in keeping with the inner structure of the musical phrases, their development, instrumentation, and sequence – works toward a point; but the themes are also perfectly correlated, a manifestation of the only unity capable of holding the listener in a single mood."¹⁹⁵

Hoffmann was a "champion of Romantic irony," often writing sarcastically and using irony as a device to make his points.¹⁹⁶ For example, he writes about how if only actors had strings attached to them, dramatic plays would be much better. He, of course, is being sarcastic and is more or less making fun of micromanaging stage directors.¹⁹⁷ Another example of ironic writing is in a story from *Kreisleriana* where a boy plays a piece on the piano that was originally written in E major, up a whole step in F "by mistake." The boy feigns confusion and sadness at being able to so easily transpose something "by mistake" and feels that he surely is a horrible

¹⁹⁴ Hoffmann, 26; Also see: 15-53, 253-294.

¹⁹⁵ Ibid., 35.

¹⁹⁶ Dill, 172-173.

¹⁹⁷ Hoffmann, 42.

musician. This is, of course, Hoffmann's way of showing us, the reader, that the boy's ability to transpose fluently and on the spot is actually a sign of great musical ability. There is even a moment where the boy is perceived to be a musical invalid by those around him because he appears to be staring into the piano in boredom when a famous pianist is playing for him. In reality, though, the boy is actually bored from how monotonous and uninteresting the virtuoso's playing has become. Portraying the boy in this way is a sarcastically ironic way for Hoffmann to illustrate his points.¹⁹⁸

Additionally in *Kreisleriana*, Hoffmann utilizes the device of irony to discuss music's worth by stating for the majority of a section that music simply exists to provide amusement for mankind and nothing else. In reality though, he feels very much the opposite and at the end of the section, reveals that all this time he has been sarcastically ironic and encourages the reader to think otherwise. The moment he reveals this irony is shown below:

Satan whispers in my ear that much of what I mean honestly may to you well appear nothing but mischievous irony. So, I assure you once more: my words are aimed at those of you who despise music, those for whom the edifying singing and playing of children is useless squealing and condescend to listen to music as a mysterious, sublime art only for their sake. I have wielded a severe weapon to prove that music is the glorious, useful invention of an awakened Tubalcain. It distracts and cheers mankind, and therefore, in a pleasant gratifying way, music promotes domestic happiness, the most exalted goal of every cultivated person.¹⁹⁹

A literary Romantic, Hoffmann felt that all branches of the arts could fertilize and enrich themselves. He writes, "a piece with a good, complete score... might be compared to a well done copper engraving drawn from a great painting."²⁰⁰ Also: "In the artist's soul – to maintain

¹⁹⁸ Hoffmann, 276-277.

¹⁹⁹ Ibid., 27-31.

²⁰⁰ Hoffmann, 36.

the analogy of music with painting – the musical composition appears like a completed canvas. By looking at it, he discovers the proper perspective without which no truth is possible.”²⁰¹

Additionally, Hoffmann saw all things being interconnected to art, not just its branches. For example, he felt that his legal background was relevant to artistic pursuits because an artist could attain “perfect beauty,” and a legal practitioner could achieve “perfect justice.”²⁰² This fertilization across all things shows how pervasive Hoffmann’s Romantic ideas were in his personal life as well as in his writing style.

Even the character Johannes Kreisler felt there was interconnectivity between all things, especially music and literature. He refers to music being put into words and vice versa in *Kreisleriana*: “Don’t you think your word might often be my melody and my melody your word?”²⁰³ Kreisler also felt that a synesthesia of the senses could aid in this connectivity. In the form of a letter to himself, Kreisler offers that “hearing is an internal seeing.”²⁰⁴

Schumann and E.T.A. Hoffmann

“One can scarcely breathe when reading Hoffmann.”²⁰⁵
-Robert Schumann

Both Schumann and Hoffmann saw the importance of achieving the dream state to better create Romantic art. Hoffmann, in what is most likely humor, sarcastically presents a “method” on how to best “achieve” the dream state in *Kreisleriana*. His “instructional manual” correlates

²⁰¹ Hoffmann, 288.

²⁰² Röder, 25.

²⁰³ Hoffmann, 261.

²⁰⁴ Ibid., 293.

²⁰⁵ Peter Ostwald. “Florestan, Eusebius, Clara, and Schumann's Right Hand.” *19th-Century Music* 4, no. 1 (Summer 1980): 17-31.

certain alcoholic drinks with various dream states that can help you to produce specific styles or genres of music. He notes that, “much is said about the inspiration the artist extorts through the enjoyment of strong drink. People cite some musicians and poets who can only work this way.” It is well-known that Schumann was an active and regular drinker throughout his life, and although it is probably unrealistic to assume there is any direct correlation between Hoffmann’s “alcoholic music manual” and Schumann’s drinking habits, perhaps he used this Hoffmann ideology as an excuse to justify his drinking habits in his head.²⁰⁶

Schumann, during a particularly low part of his life (he and Clara had been separated against their will by her father, Friedrich Wieck, and this caused a particularly large amount of stress and depression for Schumann), met Robena Laidlaw, to whom he dedicated his *Fantasiestücke*, Op. 12.²⁰⁷ After a reading of Hoffmann’s *Fantasiestücke in Callot’s Manier*, and reflecting on the negativity currently surrounding his life, Schumann incorporated drastic alternations of emotions within the piece in imitation of Hoffmann. Additionally, in Schumann’s *Davidbündlertänze*, Op. 6, Schumann utilizes alternating emotions as well. To create more dramatic interruptions, each section or movement is often left incomplete in terms of tonality and formal constructions.²⁰⁸ This literary manifestation is also representative of the dualistic properties of Johannes Kreisler’s personality: *Fantasiestücke* had sections labeled as “Rasch” or “Innig” that represented “Florestan” or “Eusebius.”²⁰⁹

Schumann saw himself in Hoffmann, albeit this was probably a less than comforting realization. The terrors of the divided self and confronting one’s own Doppelgänger (Hoffmann

²⁰⁶ Hoffmann, 44.

²⁰⁷ Worthen, 133.

²⁰⁸ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 159.

²⁰⁹ *Ibid.*, 156.

used the Doppelgänger concept in his *Ritter Gluck*) were all too real to Schumann. Unlike Jean Paul, who comforted his readers by utilizing humor, Hoffmann instead bluntly presents these ideas to the reader. According to Daverio, reality can and will turn into horrifying fantasy very fast and that whether or not this happens is completely contingent upon the observer/artist whose “access to the darker side of being is more a curse than a blessing, for it can lead, in the most extreme cases, to madness.”²¹⁰ The correlations between Schumann’s personal life and Hoffmann’s dualistic writing style are too numerous to discount the impact on not only Schumann as a person, but also his musical writing style. There is no doubt Schumann regularly obsessed about these thoughts as it cemented his decision to include these ideas in his compositions.

Teleological ideas also permeate Schumann’s musical writing. As discussed earlier, most of Schumann’s large-scale works have teleological organizations. Each separate movement of *Kreisleriana*, for example, could work as a standalone, short piece, but when observed from a broad perspective, the meaning of the individual movements makes more sense. For instance, during a critique of Beethoven’s 5th Symphony, Hoffmann observed:

How simple – let it be said again – is the theme upon which the master bases the whole, but how wonderfully he arranges all the adjacent and intermediary phrases to develop through their rhythmic relationships the character of the *Allegro* merely suggested by the main theme.²¹¹

As the above quote illustrates, Hoffmann was always looking at the “big picture.” Schumann was of the same mind and his musical compositions followed suit. To create digressive unity on a grand scale, Schumann musically represents this by employing sharp and sudden dynamic

²¹⁰ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 72.

²¹¹ Hoffmann, 34.

contrasts, abrupt changes in meter, phrasal elisions, and quickly alternating emotions, among other compositional devices.

Hoffmann, just like Jean Paul, used real-life characters in his literary works. Schumann also does this in his *Carnaval*, Op. 9, which is discussed in detail in Chapter 4.

Both Schumann and Hoffmann felt that the past could influence and educate the compositional act in the present. This is evidenced by Hoffmann's passage below:

One can unconditionally console the uncertain, discontented composer struggling to achieve an effect by assuring him that, if only he has genius, genuine, profound scrutiny of the works of the masters will soon bring him into mysterious rapport their spirits. They will kindle his incipient power and induce the ecstasy in which he will wake as from a heavy sleep, to new life, and perceive the wondrous sounds of his own inner music. Then his study of harmony, his technical exercises, will give him strength to seize music that might otherwise pass by him in a frenzy. Then the inspiration that gave birth to the works will hold the listener in miraculous resonances until he, too, shares in the rapture that surrounded the musician in those consecrated hours. This is the true effect of musical composition that is derived from within.²¹²

Schumann's insistence on the past being able to affect the future, is shown in his use of past forms in his works. For example, this is evident in his *Kreisleriana*, Op. 16 when he employs the use of a Bach-like fugal/imitative section.

Hoffmann felt that it was important his readers intellectually understood his works, frequently endeavoring to make sure his readers, even if they weren't educated, understood everything at hand. The dangers that Hoffmann foresaw from not understanding a work is evidenced by the following quote: "The works of the greatest geniuses, which cannot possibly be comprehended from a single point of view, appear to the stupefied eye as a deformed painting, and it is the confused features of this deformed painting that are criticized and imitated."²¹³

²¹² Hoffmann, 288.

²¹³ Ibid., 284.

Hoffmann wanted things to be understood by the audience, even an unlearned one: “One must make oneself comprehensible to less practiced ears.”²¹⁴

In stark contrast to Hoffmann’s attempts at making his works accessible to all of his readers, Schumann felt that it was the *audience’s* responsibility to understand what was going on. He found the relationship between the artist and the public to be more annoying than anything and usually wrote music as he saw fit, regardless of whether or not audiences could quickly understand it. This is explored in more detail in the following chapters.

Hoffmann also influenced Schumann’s thoughts and methods for music criticism. In a review of Beethoven’s 5th Symphony, Hoffmann combined musical and literary language to make his points. This is something Schumann did often when writing his own critiques.²¹⁵

The remainder of this paper will focus on Schumann’s Opp. 2, 9, and 16 and explore the various Romantic literary themes of Jean Paul and E.T.A. Hoffmann introduced in the preceding chapters.

²¹⁴ Hoffmann, 282.

²¹⁵ Hoeckner, 76.

Chapter 3: Papillons, Op. 2

“A masked ball is perhaps the highest means through
which life is able to make a postlude
to poetry’s prelude.”²¹⁶
– Jean Paul

During the fall of 1831, pressure from contemporary music critics had encouraged Schumann to focus on producing works of virtuosic demonstration and compositional prowess. Fortuitously, Clara, accompanied by her father, had just left for her first concertizing tour and this left Schumann able to fully concentrate on composing without any external distractions. The fruits of this compositional outburst include his *Etudes after Caprices from Paganini*, Op. 3, a collection of *Intermezzi*, Op. 4, and part of his *Allegro in b minor*, Op. 8. The most important piece coming from this period, though, is his *Papillons*, Op. 2. Completed and published in late 1831, this work would serve as a virtuosic pianistic workhorse for numerous future performances.²¹⁷

For inspiration, Schumann had turned to his literary knowledge and passions: *Papillons* is specifically and directly based on Jean Paul’s *Flegeljahre*.²¹⁸ According to Daverio, “*Papillons* is the result of poetic imagery, novelistic inspiration, and musical creativity.”²¹⁹ A musical representation of literary infused pianism, this composition shows that Schumann was not simply focused on pianistic showmanship but that he also constantly strived to achieve the highest forms of intellectually charged art wherever and whenever he could.

²¹⁶ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 496.

²¹⁷ Worthen, 64.

²¹⁸ Reiman, 36.

²¹⁹ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 82.

Referred to as “his bible,”²²⁰ Schumann’s copy of *Flegeljahre* was treasured by Schumann throughout his life, even accompanying him by request on his deathbed.²²¹ He probably first came in contact with the book in his father’s library because the same publishing company that had produced Klüber’s book had also published Jean Paul’s *Flegeljahre* thus making it easily available to Schumann. He carried copies of Jean Paul’s books everywhere he went and in 1838, when Schumann moved to Vienna, he was visibly upset when his copies of Jean Paul (as well as some Byron literature) were seized at the border because of Viennese political censorship restrictions.²²²

The relationship between *Papillons* and *Flegeljahre*, however, is the only extant example of literary basis for a composition that is clearly documented by Schumann himself. Fortunately, Schumann’s personal letters allow the reader to draw direct correlations from Jean Paul’s literature to *Papillons*.²²³ Schumann writes, “*Papillons* is literally the masked ball from Jean Paul’s book put into tones and music.”²²⁴ Additional letters of Schumann’s asked its readers to observe the last chapter of *Flegeljahre* to understand *Papillons*.²²⁵ He writes: “I kept turning over the last page, for the end seemed like a new beginning... I went to the piano and so one papillon after another appeared.”²²⁶ Even Schumann’s markings in his own musical score of *Papillons* show the last sentence of *Flegeljahre*: “Walt, enraptured, listened to the fleeing tones [of Vult’s flute] as they resounded upward from the street, for he didn’t notice that with them his

²²⁰ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 81.

²²¹ Jacobs, 250.

²²² Worthen, 157-158.

²²³ Jacobs, 252.

²²⁴ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 82.

²²⁵ Hoeckner, 65.

²²⁶ Jacobs, 253.

brother too was fleeing.”²²⁷ In addition to his letters and musical score, Schumann’s own copy of *Flegeljahre* has actual markings and underlined passages that directly associate various *Papillons* elements with specific passages of Jean Paul’s novel.²²⁸

These close relationships with *Flegeljahre*, therefore, make *Papillons* the only work by Schumann that expressly contains programmatic elements tied to specific literary passages.²²⁹ The most likely “official” passage from *Flegeljahre*, that directly inspired Schumann to write *Papillons*, is in the form of a motto he personally added to the work that was later removed by his publisher. The Jean Paul quote reads, “Enchanted, Walt heard the vanishing sounds still speaking from afar: for he did not notice his brother vanishing with them.”²³⁰

There are programmatic elements to *Papillons* in the sense that certain scenes, emotions, and concepts are musically depicted. For example, a “tolling” of six A-naturals at the end of *Papillons* represents a clock announcing to guests that it is time to disperse from the masked ball. Additionally, Schumann includes a directly quoted 17th-century melody known as the *Grossvatertanz* that was contemporaneously associated with celebrations. For all of these reasons, it would be easy to continue along this path and creatively deduce further programmatic elements in *Papillons*. However, they would not be provable with any reasonable degree of certainty, as no supportive material from Schumann would exist. It would mostly be interpretive guesswork. The missing element, that if included would effectively categorize *Papillons* as programmatic music, is an overarching and musically represented chronological narrative. However, there is none. There is also no extant “guidebook” from Schumann that explicitly

²²⁷ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 501.

²²⁸ Hoeckner, 63.

²²⁹ Reiman, 37.

²³⁰ Hoeckner, 63.

explains precisely which movements are exactly which moments from *Flegeljahre* as the piece progresses along. Additionally, each movement in *Papillons* is untitled which gives us no hint as to any particular literary correlation. With this in mind, this paper concentrates on direct compositional techniques that arise from Romantic literary sources to derive meaning and one of those techniques occurs when an artist depicts a painting in music. Schumann is “painting” Jean Paul’s *Flegeljahre* with the movements of *Papillons* and it is completely left up to the listener to create the narrative of those separate depictions and to picture it all for himself without the benefit of a composer’s non-musical instructions. It is likely that Schumann specifically created *Papillons* with this in mind and that he would have wanted it left up to each listener to arrive at his or her own unique interpretation of what a particular movement symbolized or represented. It is a Romantic ideal, after all, that the most important interpreter of art was its creator and that through this the artist could get closer to the metaphysical and achieve a higher art. Perhaps Schumann wrote *Papillons* more concerned with his own understanding and hopeful expression of this higher art form than any audience’s ability to comprehend his work.

This paper’s analysis of *Papillons* will therefore focus on the compositional devices and techniques used by Schumann that specifically demonstrate a confluence of multiple Romantic literary influences in the music. This includes Jean Paul’s entire oeuvre, not just *Flegeljahre*. Furthermore, this analysis does not impose a subjectively painted programmatic narrative, nor does it intentionally depict *this* author’s picture of how each movement correlates to specific events in *Flegeljahre*. Rather, by demonstrating important literary influences within *Papillons*, this author hopes to provide a framework for the reader to create a personal narrative of their own – just as Schumann would have wanted.

Papillons – Main Concepts and Analysis

In French, “papillon” means “butterfly” and Schumann, after a reading of *Flegeljahre* where the image of a butterfly is used significantly throughout, felt it an appropriate title. For example, in *Flegeljahre* Jean Paul writes, “He however believed himself to be flying after a summer aflutter with butterflies...” and “...half-mad, sea-blown butterflies from a distant isle.”²³¹ References to butterflies were not just limited to terminology as there are also thematic references as well. For example, the natural lifecycle of a butterfly (final existence being accomplished through a metamorphosis) mimics a Jean Paulian Romantic ideal: through covering and withdrawal, one can attain intellectual knowing and enlightenment.

Complex word play and hidden meanings are also abundant in *Flegeljahre*. The German word “Larve,” for instance, is phonetically similar to English’s “larva” and also happens to directly translate to both “mask” and “larvae” in the same language.²³² This is specifically relevant to *Flegeljahre* because a prominent scene features a masked ball where its characters participate in masked and unmasked scenarios. Also, a referencing to the process of cocooning, where an initial concealment (mask on) is necessary to achieving knowledge or knowing (mask off), occurs, for example, when Jean Paul refers to costume changes in *Flegeljahre* as “pupation and de-pupation:” an obvious butterfly analogy.²³³ It is extremely doubtful that the graphic correlations between these metamorphosis metaphors and their word-connections were lost on Schumann.²³⁴

²³¹ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 496, 499.

²³² *Ibid.*, 81.

²³³ *Ibid.*, 497.

²³⁴ *Ibid.*, 81.

Schumann's interest in the term "papillon" went far beyond just the purview of one work. In teleological fashion, Schumann used the title *Papillons* throughout multiple pieces, most notably in *Carnaval*. According to Sams, Schumann felt that papillons were "motifs that could appear or disappear, fly forward or backward, and assume an infinite variety of shapes and colours."²³⁵ This is precisely what Schumann achieves by using multiple "papillon," whether in the form of motifs or movement's titles, throughout multiple works.

An example of general literary influence comes in the form of Romantic Dualism. Extreme polar opposites of characters are present in many of Jean Paul's novels.²³⁶ For example, two of the main characters from *Flegeljahre*, the brothers Walt and Vult, are opposites. Vult, is a musical virtuoso who partakes in practical jokes and is constantly restless. Walt, on the other hand, is sentimental, straightforward, a calm poet, and pure of intention.²³⁷ Schumann writes fragmented melodies and utilizes abrupt tonal shifts to musically represent the presence of these disparate personalities – the combination of which is reflective of a person with a dual personality.

Schumann organizes *Papillons* in paired movements that have alternating emotions to create a mosaic-like compositional organization. This is musically representative of how Jean Paul organized his literary writings: through discord and fragmentation, a "wholeness" and unity can be established. To accentuate this, *Papillons* uses digressive key areas that suddenly, yet predictably, change and vary frequently.²³⁸ For example, in the second movement, there is an E♭ major beginning which is in complete contrast to the previous movement's D major. It then

²³⁵ Sams, "The Tonal Analogue in Schumann's Music," 106.

²³⁶ Jacobs, 254.

²³⁷ Ibid., 253.

²³⁸ Reiman, 37.

immediately goes to A \flat major, an unexpected key. Also, Movements 4 and 7 repeatedly waver between major and minor keys and their relative majors and minors to represent opposites.

To create digressive teleological unity, Schumann writes recurring themes that are developed throughout *Papillons* in different emotions. This is akin to character development throughout a novel.²³⁹ For example, a quiet A major theme in Movement 6 recurs in Movement 10, but is now in a loud G minor. Also, the main theme from *Papillons* is used throughout in many bizarre forms and variations. Taking this concept even a step further, Schumann uses this compositional technique *within* movements: Movements 6, 10, and 12 are medleys of different dances, which represent digressive mosaics.²⁴⁰

Papillons is not only a direct musical representation of a scene from Jean Paul's *Flegeljahre*, it is a Romantic work that is presented in a way that was centric to the creator's perspective and not the observer's. Not surprisingly, the public was mostly confused by all of this and *Papillons* was not well-received at its premiere. Schumann's early works were generally regarded as "incomprehensible" to his contemporaries.²⁴¹ Johann Hummel said he specifically disliked *Papillons* because of its digressive qualities by citing Schumann's abrupt harmonic shifts.²⁴² Schumann's battle with the public over esoteric versus accessible art was a challenge he would continue to deal with throughout his life.

To truly understand *Papillons*, the contemporary concert-goer may have needed to read the last chapter of *Flegeljahre*, and even then, probably would have desired Schumann himself to

²³⁹ Reiman, 38.

²⁴⁰ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 86-87.

²⁴¹ Daverio, "Reading Schumann by Way of Jean Paul and His Contemporaries," 29.

²⁴² Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 87-88.

explain his thought processes.²⁴³ This type of work is indicative of Schumann's style – hardly the type of accessible art that Hoffmann would have encouraged. Perhaps echoing the thoughts of the general public, Clara spoke to Schumann in hopes of persuading him to write more accessible pieces: “Listen, Robert, won't you compose something brilliant and easy to understand for once, something with no titles, one whole coherent piece, not too long and not too short? I would so love to have something of yours to play in public, something that's written for the audience.” Schumann's Opp. 18, 19, 20 were perhaps his response to Clara's encouragement and an acknowledgement of public demand, but he indifferently continued to write large-scale esoteric works throughout his life.²⁴⁴

Both Jean Paul and Schumann held Schubert in high regard. The length of *Papillons* can be connected to Schumann's well-known interest in Schubert's lengthy works, such as the *Wanderer Fantasie*, Op. 15, as well as from Jean Paul's long, epic novels. Additionally, Schubert's waltz form serves as the foundational germ for *Papillons*: of the twelve movements in *Papillons*, nine are waltzes. This expanded “collection” of the waltz form eventually culminated in Schumann's much larger *Carnaval*.²⁴⁵ *Papillons* acts as a precursor in this regard to Schumann's *Carnaval* in that both predominantly utilize Schubert's waltz form as a unifying feature throughout.²⁴⁶ Jean Paul also included waltzes in his writings. For instance, the masked ball scene in *Flegeljahre* incorporates the use of many waltzes for the maskers to dance to.

A Jean Paul “idyll” is a short, calm work that gets the point across quickly, includes small repetitive sections that are simple and succinct, and is not a complex work.²⁴⁷ The idyll is

²⁴³ Jacobs, 252.

²⁴⁴ Reiman, 157.

²⁴⁵ Ibid., 35.

²⁴⁶ Ibid., 47.

²⁴⁷ Ibid., 158.

analogous to Schubert's smaller and shorter waltz forms. Some of Schumann's shorter "feminine" pieces, such as the *Arabesque*, Op. 18, are examples of pieces that are collections of idylls. They are constructed of simple, repetitive sections that are strung together. Although of varying emotions, each section moves smoothly into the next through closely related key areas. On the other hand, Jean Paul's epic novels are more analogous to Schumann's more complex and eclectic works, such as *Papillons and Carnaval*.²⁴⁸ It is a combination of these short idylls on a broad and large scale that produce the great length of *Papillons and Carnaval*.

Jean Paul writes in *Flegeljahre*, "A masked ball is perhaps the highest means through which life is able to make a postlude to poetry's prelude."²⁴⁹ To Jean Paul, musical creation was a self-reflective literary act: "Music was an agent for the transmission of transcendental ideas."²⁵⁰ The themes of metamorphosis through images of the butterfly and the masked ball are fragments used in tandem to create a whole work of art. The relationships between fragments are completely musical whereas the deciphering of the relationships is literary.²⁵¹

Introduzione & Movement 1

In *Flegeljahre*, the character Walt creates a form of free verse poetry known as "polymer." It is described as being similar to improvised speech, not involving rhyming verses, and having constantly evolving subjects.²⁵² Schumann musically represents polymer in *Papillons* in multiple ways. First, the opening gives the feeling that it is in the middle of a phrase that has already begun, as seen in Example 1.1. It is as if the piece has been going on for

²⁴⁸ Reiman, 160-161.

²⁴⁹ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 496.

²⁵⁰ *Ibid.*, 90.

²⁵¹ *Ibid.*

²⁵² Reiman, 9.

a period of time and the listener has just been invited to join in, much like a storyteller would invite a listener to story time. Additionally, the piece starts “mid-phrase” which is a polymeter quality akin to the continuing effect a dash has in a novel. Second, if it weren’t for the movements’ repeats, the piece could be considered similar to through-composition, which is musically representative of the literary dash as well as polymeter.



Example 1.1. *Papillons*, Op. 2, Introduzione, mm. 1-6.

Tonal ambiguity of the opening phrase is a further representation of polymeter by Schumann. In the *Introduzione*, D major is implied by a motive that outlines a second inversion D major triad. By the end of the movement, the opening phrase eventually arrives on an A-natural, which produces a standing on the dominant. This perks up the ears of the listener to expect a conventional V-I cadence with the tonic resolution occurring on the downbeat of Movement 1. Schumann, however, purposefully begins the first movement with a phrase outlining another A major dominant 7th chord, which simply serves to continue the ambiguity instead of resolving it. This is another musical representation of the literary dash. Not until the end of the first movement’s initial phrase does the listener receive a solid and convincing cadence in the home key of D major. The use of a fermata at the end of the *Introduzione* dramatically accentuates this effect.



Example 1.2. *Papillons*, Op. 2, First Mvmt., mm. 1-16.

Although the *Introduzione* and Movement 1 introduce similar aesthetical emotions, the musical functions of both movements are teleologically intertwined. Schumann initially subverts any tonic key, blatantly avoids resolving the dominant when expected, and subsequently waits until the end of the first phrase to establish a tonic. Not until we hear both movements do we obtain their respective functions: the first movement, eventually providing D major, shows us the true function of the *Introduzione* as solidifying the dominant. Neither movement would make sense if it were not for the other.

In addition to Jean Paul's literary influence, the organizational structure of these two movements is similar to a literary compositional device used by E.T.A. Hoffmann.²⁵³ According to Daverio, these movements are indicative of "interleaving:" a popular literary technique in Hoffmann's *Kater Murr* in which one sentence's ending would serve as the next sentence's beginning. This is equivalent to musical elision where a single note serves as both the ending of

²⁵³ Reiman, 38-39.

a preceding phrase and also as the starting place of a proceeding phrase. Here, if it were not for the fermata at the end of the *Introduzione* in measure 6, the next phrase of Movement 1 would sound seamlessly connected to the immediately previous movement's phrase. As a result, both phrases would combine to act as one large and unbroken antecedent phrase. Tonal ambiguity coupled with the use of "interleaving" (although purposely disrupted by the fermata) accentuates the effect of Schumann's musical "literary dash."

Schumann's calculated and direct approach to the first two movements illustrates his awareness and attention to these unmistakable Romantic literary styles. His blatant avoidance of a tonic on the downbeat of Movement 1 and his decision to have both movements in the same aesthetical style demonstrates that he was deliberately and creatively manipulating this literary-musical relationship.

Movement 2

A startling digression from the laid-back waltz pattern shocks the listener in the beginning of the next movement. A burst of E \flat major introduces a passionate, crazy digression from the previous mood of the *Introduzione* and first movement. A bold, rising arpeggio (shown in Example 1.3 on the following page) illustrates Schumann's use of digressive form. Extreme differences in dynamics, ranging from fortissimo to pianissimo, the use of an angular melodic contour in the b section, and oddly placed accents all faithfully replicate Jean Paul's digressive literary style in musical form.

The image shows a musical score for the second movement of Schumann's *Papillons*, Op. 2. The score is in 3/4 time and is marked *Prestissimo* with a tempo of quarter note = 116. It consists of two systems of music. The first system is marked *ff* and the second system is marked *mf*. The score concludes with the instruction *D. C.*

Example 1.3. *Papillons*, Op. 2, Second Mvmt., mm. 1-12.

Movements 3 & 4

Continuing the idea of unity through digression, Schumann inserts an entirely different aesthetic in Movement 3: an imitative movement in the form of a canon-like march. As illustrated in Example 1.4, Schumann indicates a significant departure in terms of articulations from the previous movements by using repeatedly accented octaves and non-legato articulations. Also, both Schumann's and Jean Paul's love of Bach, a composer who uses imitation in every guise, is apparent here, given the presence of canon-like counterpoint. This literary relationship with past composers, and specifically the importance of Bach's involvement, is explored more in depth in Chapter 5 with the inclusion of a fugal/contrapuntal section in *Kreisleriana*.

An importance of thirds relationships in terms of key areas is reflective of his feeling of temporary Romantic distance (past, present, future = 3 things). For example, Movement 3 starts in the key of F# minor, quickly modulating to A major, before returning back to F# minor.

Movement 4, starting in A major, and eventually modulating to F# major, indicates a slightly modified retrograde relationship between the two movements.

The following movement, Movement 4, returns us back to a feeling of “home,” employing waltz rhythms. An unexpected resolution in F# major at the movement’s end serves to resolve the previous movement’s F# minor, showing an example of Schumann’s ability to illustrate unity between movements.²⁵⁴ The movements work as a pair, yet also as singular entities making them teleological as well.

The image displays the first twelve measures of the third movement of Schumann's *Papillons*, Op. 2. The score is written for piano and consists of three systems of staves. The first system is labeled 'No. 3.' and includes a tempo marking '(♩ = 120.)'. The music is in 3/4 time and the key signature is A major (two sharps). The first system shows the beginning of the piece with a waltz-like rhythm. The second system continues the melody and accompaniment, featuring a first ending bracketed with '1.' and a second ending bracketed with '2.'. The third system concludes the passage with a final cadence in F# major, marked with a forte (*ff*) dynamic. The score includes various musical notations such as slurs, accents, and dynamic markings.

Example 1.4. *Papillons*, Op. 2, Third Mvmt., mm. 1-12.

²⁵⁴ Reiman, 40-41.

Movement 5

Nº 5.

Basso cantando

Example 1.5. *Papillons*, Op. 2, Fifth Mvmt., mm. 1-4.

A lively polonaise follows in Movement 5, punctuated by strong beats, and proud, march-like rhythms in the right hand. This is yet another example of how Schumann utilizes digression to unify his pieces. However, in this case, he achieves this by not writing a movement that is different than the waltzes before it (like the digression of the brooding intellectuality of the canon in Movement 3), but rather through the use of a distant “dance” cousin of the waltz form, the polonaise.²⁵⁵ The opening bars are illustrated in Example 1.5. The use of accents and rhythmic angularity in the right hand in measure 2 accentuate the polonaise feel.

Movement 6

Movement 6 transports us to F major, which is not clearly established in the opening motive. The motive itself is not stable, and its texture of spatial digression, in the form of large, chordal leaps, is akin to a compositional technique used by Beethoven (sections in Sonatas Op. 27/No. 1, Op. 7, Op. 10/No. 3, Op. 26, and Op. 31/No. 3, all seem relevant). This similarity with Beethoven is indicative of Romantic literary influence in multiple ways. First, registral displacement in Movement 6 is used to shift the listener’s focus with a figurative musical

²⁵⁵ Reiman, 41.

“footnote,” just like Jean Paul used actual footnotes to force the reader to look up and down when reading. These musical leaps create a sense of instability and disjointedness, while forcing the listener to pay attention. Additionally, the jumping movements of playing hands physically mimic the sudden movements of reading eyes. Second, Schumann implements a Romantic distance concept by honoring past forms and past compositional techniques, in this case, Beethoven’s.



Example 1.6. *Papillons*, Op. 2, Sixth Mvmt., mm. 1-7.



Example 1.7. Beethoven Sonata Op. 31, No. 2: Trio, mm. 1-11.

Romantic irony even finds a way into Movement 6, as Schumann includes an almost humorous quotation of the main theme in octaves at the end of the opening phrase.²⁵⁶ Perhaps not quite the “cold douches of irony” Jean Paul wrote of, but an interesting use of humor as a compositional technique nonetheless.

²⁵⁶ Reiman, 42.

In the movement's middle section, Schumann alludes to the contrapuntal dance rhythms of the third movement, by writing a resolved and almost pompous fanfare that acts as a resolution to the third movement's F# minor. This is digressive teleological writing in its purest form: not only is material being shared between movements, but phrasal tension and its subsequent expected resolution is additionally broken up between movements. Movement 6 ends decisively creating a convenient midpoint for the work.²⁵⁷

Movement 7

Although Movement 7 again uses the main theme, it conveys a completely different aesthetic by being in a minor key (f minor), which is different than the previous quality of the motive (D major). Additionally, in different emotions of somberness and introspectiveness, it is a completely different display of the waltz form. Combined with the B section's positive waltz-like A b major, these differences in the theme underscore an important thematic transformation and metamorphosis for the main theme throughout *Papillons*: it is taking on different forms, keys, and representations.

The introspective quality of Movement 7 is representative of temporal distance. This manipulation of the main motive is almost as if it were in a "pupation" stage of reflection. Sandwiched between two dance movements (Movements 6 and 8), this serves as a short and welcome respite.²⁵⁸

²⁵⁷ Reiman, 43

²⁵⁸ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 84.

Movement 8

The repetitive chord structures of Movement 8 – similar to Schubertian waltz textures – return the listener to familiar dance rhythms.²⁵⁹ In C# minor, the opening motive’s Schubertian dance-like rhythms eventually transform back into Schumann’s waltz rhythms. Repeatedly alternating, this eventually resolves to the enharmonic equivalent of D \flat major. The rhythmic alterations as well as the enharmonic resolution demonstrate Schumann’s purposeful integration and consequent “resolving” of Schubert’s waltz form within *Papillons*.

C# minor has an additional importance attached to it as it is another example of key relationships in thirds: C# minor is enharmonically a third below the previous movement’s F minor and it also functions as the enharmonically equivalent tonic to Movement 7’s dominant A \flat major ending.

Nº 8.

ff.

riten.

riten.

Example 1.8. *Papillons*, Op. 2, Eighth Mvmt., complete.

²⁵⁹ Reiman, 43-44.

Movement 9

Movement 9 further modulates to a third below (B \flat minor), which is Movement 8's resolution from D \flat major. The digressions between the movements have become so dramatic at this point that the piece is increasingly disjointed, almost to the point of seeming unfamiliar. The movement ends unconvincingly in a fleeting pianissimo.²⁶⁰

Movement 10

Movement 10, back in C major, incorporates various previous themes that appear almost chaotic. The first 8 measures mimic Movement 8's primary motive, but is now disfigured and in pianissimo. Suddenly exploding into a new section's fortissimo, the march-like, brooding contrapuntal theme returns in contrary motion (yet another disfiguration). A third section returns us to a waltz-like dance feeling.²⁶¹ Schumann's musical "footnotes" continue to encourage digressions, in this case coming in the form of vastly and quickly alternating sections.

Movement 11

Movement 11 returns the use of polonaise rhythms in D major, and has the introduction's ascending motive in disfigured diminution.²⁶² Diminution is an example of motivic transformation and metamorphosis. In a sense, this represents a butterfly's final transformational stage (perhaps a desperate flitting of wings to finally free itself from the cocoon), further

²⁶⁰ Reiman, 44.

²⁶¹ Ibid.

²⁶² Ibid., 45-46.

illustrating Jean Paul's literary influence on Schumann and the importance of recurring themes in his compositional style. All of these details are evidenced in Examples 1.9 and 1.10.



Example 1.9. *Papillons*, Op. 2, 11th Mvmt., mm. 1-3.



Example 1.10. *Papillons*, Op. 2, 11th Mvmt., mm. 12-13.

Movement 12: Finale

Movement 12, reproduced in full in Example 1.11, starts a proud, regal, and fast finale. However, an interrupting flute-like section quickly follows as a direct reference to Vult's flute at the end of *Flegeljahre*. This is again disturbed by the finale's main theme, which quickly digresses into a sudden slowing of tempo and the statement of the main theme from the first movement. Themes are coming and going quickly without warning. This produces a feeling of chaos. Repeated A-naturals in the right hand programmatically symbolize that it is 6 o'clock a.m. (quite a party!) and time for the guests to go home. The use of an extensive tonic pedal provides relief from the uneasy form of the entire preceding work.

FINALE.

Nº 12.

sempre f

Più lento.

ad. *

puro rit.

ad.

p.

puro *dim.*

nuen *do* *pp*

ma p *p*

ritard. *mp*

Example 1.11. *Papillons*, Op. 2. Finale.

Towards the end of this movement, the main theme is incrementally deconstructed which represents a “reverse metamorphosis” of sorts that produces a distancing, or “going away” effect. The theme is eventually deconstructed so thoroughly that by the end, all that remains is simply an A natural. The influencing literary device here is a combination of all three types of Romantic distance: temporal, spatial, and personal. It is temporal because it is creating a going away effect. It is spatial as well as personal because it is representative of a specific part in the story: at the end of *Flegeljahre*, as Walt and Vult separate, there is a type of remembrance effect that happens when Walt, realizing what happened earlier at the ball (Vult steals the love of Wina), watches Vult finally leave for good, walking away, playing a flute.

Schumann was also, much like Beethoven before him, interested in experimental pianistic techniques. In the same vein, Schumann conveys a sense of remembrance by utilizing something called a “reverse attack.” This affectation of Romantic sentimentality occurs in the last four measures of the movement and is characterized by “playing” tones in a way that attracts attention to the note that is about to be released. This relatively revolutionary idea, having been used in Schumann’s Op. 1 before, outlines the dominant before an unassuming, simple ending finishes the entire work. The decision to end the movement in this way is similar to a Jean Paul technique where time stops, events and feelings are recalled, and an end happens quickly and abruptly without fanfare.²⁶³

²⁶³ Hoeckner, 70.

Papillons – Conclusions

Schumann's vastly esoteric compositional techniques in *Papillons* solidify his place as a virtuosic young composer pushing the bounds of contemporary music. As exemplified in the final movement, *Papillons* demonstrates digressive teleology that reflects Jean Paul's writing style and the significant impact of Romantic philosophy on Schumann's compositional techniques. The use of tonal ambiguity, phrasal elision, polymeter, digression, different aesthetics, and Romantic distance all indicate Schumann's use of Romantic themes as a composer. At its core, it is specifically the unpredictable and changing nature of *Papillons* that most effectively allows Schumann to convey a literary concept in musical form: the metamorphosis of the composition's namesake, a butterfly.

Chapter 4: Carnival, Op. 9

*“I have just discovered that the name of ASCH are very musical
and contains letters that also occur in my name.
They were musical symbols.”²⁶⁴
- Robert Schumann*

Schumann’s 1834 romantic involvement with Ernestine von Fricken and the resulting close interaction with her family can be directly linked to the creation of two piano compositions. Wanting to show respect to Ernestine’s father, Baron von Fricken, Schumann based his *Symphonic Etudes*, Op. 13 on the main theme from the Baron’s *Theme and Sixteen Variations for Flute*.²⁶⁵ The *Symphonic Etudes*, which also employ the use of alternating Florestan and Eusebius qualities in each variation, show us that Schumann was looking to family and friends around him to inspire his creations. Additionally, it seems that because of Op. 13’s inclusion of his Florestan and Eusebius characters, it is fair to conclude that Schumann had established a clearly repeating trend of literary reference in his piano works in the 1830s.

Second, after taking a trip to go to see Ernestine with his sister-in-law Therese, Schumann started composition on another piece with similar literary themes entitled *Faschings-Schwänke auf vier Noten für Pianoforte von Florestan*. This would eventually become his *Carnaval*, Op. 9, with the subtitle “Scenes mignonnes sur quatre notes,” meaning “small scenes on four notes.”²⁶⁶

Composed within the same year as the *Symphonic Etudes*, Schumann was especially keen on the basing of piano works on literary elements.²⁶⁷ He composed much of *Carnaval*

²⁶⁴ Ostwald, 115.

²⁶⁵ Worthen, 101.

²⁶⁶ Suurpää, 121-122.

²⁶⁷ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 142.

while experiencing difficult emotions and even said it was painful at times.²⁶⁸ These intense emotions were likely due to a depressive episode caused by his relatively unenthusiastic engagement to Ernestine, which he eventually reneged in 1835. Ernestine, it turns out, was an illegitimate child and as a result not only was her dowry in question, but her dignity and social standing as well.²⁶⁹ No doubt feeling conflicted in the wake of the *Symphonic Etudes*, Schumann was depressed during the compositional process of *Carnaval* and felt under pressure from both his and her family to get married.

Carnaval is not to be confused with *Faschingsschwank aus Wien*, Op. 26 – a completely separate, but similarly named piece that Schumann composed in 1839. Even though it is indeed like *Carnival* in that it has a “carnival” of themes that reoccur throughout, Op. 26 is considered an entirely separate entity altogether.²⁷⁰ *Carnaval*, Op. 9 is dedicated to Karol Lipinski, a violinist friend of Schumann’s.²⁷¹

***Carnaval* – Main Concepts and Analysis**

Carnaval is comprised of multiple movements – each title representing a multitude of different characters that are references to Schumann himself, to real-life people, and also to real-life locations that were all in his contemporary life. For example, real-life people are represented in movements titled “Chiarina” as a reference to Clara Wieck and an “Estrella” movement as a reference to Ernestine. Additional movements titled Chopin and Paganini reference important musical contemporaries that impacted Schumann both professionally and personally. It is also

²⁶⁸ Hoeckner, 102.

²⁶⁹ Worthen, 95-96.

²⁷⁰ Ibid., 102.

²⁷¹ Ibid., 129.

worth noting whom Schumann chose to explicitly not include. Christel, who he was regularly romantically involved with and who he most likely contracted syphilis from in 1831, was not given a movement within *Carnaval*, even though their relationship was and would remain relatively positive. Real-life literary figures such as the Commedia dell'Arte characters of Pierrot, Arlequin, Pantalone, and Colombine, all have movements dedicated to them as well.

Schumann's usage of not only self-reference but also his additional infusion of real-life people, real-life literary characters, and real-life places into his fictitious work is a transmutation of Romantic irony. Instead of solely using self-reference in a literary work, he has additionally included his own *surrounding* life characters as well. As Jean Paul Socratically asks, "Why do I want to describe the first day before I describe him?"²⁷² Schumann is following Jean Paul's interpretation of Romantic Irony by using surrounding characters in addition to self-reference to establish the foundation of a literary-infused musical composition. The resulting work is one that depicts a metaphysical carnival of characters. This is much like a dreamlike Commedia dell'Arte carnival: *Carnaval* is certainly accurately named.

Although there is no story being told in *Carnaval* and no programmatic narrative being musically represented, the movements' titles as well as the musical material within each respective movement is purposeful. In this sense, *Carnaval* is depictive rather than programmatic.

Schumann's use of self-reference in *Carnaval* manifests itself in multiple ways. For example, Florestan (Schumann's thoughtful and calm Davidsbündler personality) and Eusebius (Schumann's rambunctious and spontaneous Davidsbündler personality) both have movements dedicated to them. Schumann further refers to himself musically through a literary cipher. The

²⁷² Reiman, 18.

subtitle “small scenes on four notes,” refers to a total of three possible pitch equivalents: two of which are derived from the name of Ernestine’s birthplace, the Bohemian town of Asch (now in modern day Czech Republic). The third refers to a respelling of Schumann’s name, selecting only the musical letters, in order, to achieve “SCHA.” However, *Carnival* is entirely based upon the “ASCH” pitch equivalents, which provide the motivic foundations of the work. The three different pitch equivalents that appear in *Carnaval* are outlined and explained below:

$$\mathbf{ASCH = A, E\flat, C, B // AsCH = A\flat, C, B // SCHA = E\flat, C, B, A}$$

The first (ASCH) is achieved by equating the “A” with A-natural, the “S” with the phonetic respelling of E \flat (in German, E \flat can be respelled “Es” and phonetically produces the sound “es”), the “C” with C-natural, and the “H” with B-natural (the German “B”). The second (AsCH), is achieved by equating “As” with A \flat (A \flat in German can be respelled “As”), “C” with C-natural, and “H,” again with B-natural. The last (SCHA) is produced by equating “S” with an E \flat (phonetic German respelling), “C” with a C-natural, “H” with a B-natural, and “A” with an A-natural.

These three possible pitch equivalents, much like the *Abegg Variations*, Op. 1, not only represent hidden literary meaning, but the titles themselves actually “speak” the hidden meanings.²⁷³ Schumann writes: “I have just discovered that the name of ASCH is very musical and contains letters that also occur in my name. They were musical symbols.”²⁷⁴

²⁷³ Sams, “The Tonal Analogue in Schumann’s Music,” 104.

²⁷⁴ Ostwald, 115.

Eric Sams offers an intriguing, yet completely unsubstantiated idea of another possible source for Schumann's inspiration for these specific pitches. In Jean Paul's *Flegeljahre*, when Walt is tuning a piano, he breaks a number of piano strings, which just happen to be an A, C, and H (B).²⁷⁵ Although it is true that a scene in *Flegeljahre* involves a piano tuner, Schuman does not comment on this correlation. Regardless, this is surely quite a coincidence.

Schumann felt that the point of music history was to acknowledge the past as a pure source to improve the present. "Love the past, act in the present, fear the future," Schumann writes.²⁷⁶ In a musical representation of Romantic temporal distance, the past, present, and future are musically represented by thirds relationships in *Carnaval*. The cycle of *Carnaval* is composed around A \flat and its related keys of E \flat major, C minor, and B \flat major. Note that these pitches are a slightly modified ASCH motive as well.²⁷⁷

Similar to Schumann's Op. 2 and Op. 6, where there is large-scale, digressive use of the waltz form, constant and predictable digression provides teleology and is a unifying trait for *Carnaval*. This actually describes what a carnival is: an eclectic grouping of many different things all combining to produce a singular entity.²⁷⁸

Carnaval, when considered within the scope of Schumann's entire oeuvre, a Jean Paulian teleological organization appears: Schumann includes a movement named *Papillons* in *Carnaval* – a reference of his Op. 2. Also, the main theme from *Papillons* is directly quoted in the Florestan movement of *Carnaval*. Schumann is therefore representing teleology in both literary and musical ways.

²⁷⁵ Sams, "The Schumann Ciphers," 400.

²⁷⁶ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 119.

²⁷⁷ *Ibid.*, 141.

²⁷⁸ Reiman, 77.

Erika Reiman says *Carnaval* is “carefully cultivated chaos.”²⁷⁹ However, the concept of “Wit” comes into play here because it is the ability to connect things that seem too distant to do so. This is the basis for the structure of *Carnaval*.²⁸⁰ Schumann is using Schubert’s waltz form as a Jean Paulian “idyll” to construct the large-scale work that is *Carnaval*. “*Carnaval* employs a motivic cell as abstract building material... both as foreground themes and subliminal motives” (much alike his *6 Fugues on B.A.C.H.*, Op. 60).²⁸¹ Reiman said, “Carnaval is... the alternation and mixture of epic scale and detail.”²⁸²

Schumann felt by the late 1830s that “the sonata had run its course.” Perhaps through writing his waltz “epics” in the 1830s (*Papillons* and *Carnaval*) he was trying to incorporate sonata form into some of his pieces.²⁸³ The Preamble, Pause, and the Marche des Davidsbündler could act as an exposition, development, and theme and variations, respectively.²⁸⁴ Additional pieces with sonata form influences are Schumann’s Opp. 6, 12, 16, and 21.²⁸⁵

“Defamiliarization” is when everyday objects become “strange” when viewed through a literary lens. An example of this is how Schumann distorts the Schubertian Waltz form by looking at it from a literary perspective. In *Carnaval*, the Schubert waltz has become a Jean Paul “idyll” and has manifested itself in *Carnaval* as real-life, individual characters that work together to create a whole work. This permutation of Schubert’s dance forms into novelistic characters is historically important because it acts as a rough precursor to the compositional methods of Franz

²⁷⁹ Reiman, 130.

²⁸⁰ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 141.

²⁸¹ *Ibid.*, 309.

²⁸² Reiman, 77.

²⁸³ Sams, “Schumann’s Parallel Forms,” 266.

²⁸⁴ Reiman, 124.

²⁸⁵ *Ibid.*, 125.

Liszt's "thematic transformation" works.²⁸⁶ Each "character" or movement has development throughout *Carnaval* and is representative of how a novel's characters might develop. This is not only a musical representation of a carnival, but also a literary representation of a carnival. The variety of characters within *Carnaval* is reflective of the atmosphere of Jean Paul's masked ball.

Before 1800, the artist and public were usually able to understand each other, but when the artist-centric views of Romanticism occurred, it became increasingly difficult for works to be understood.²⁸⁷ Donald Grout said, "The gulf between the mass audience and the lonely composer produced a lone, heroic figure struggling against a hostile environment."²⁸⁸ There are many esoteric references in *Carnaval*. There is no possible way an audience could understand what was going on without an explanation from Schumann or by program notes. This is in line with Jean Paul's esoteric constructions and, as noted earlier in the discussion of *Papillons*, such inaccessibility to the general public runs contrary to the literary teachings of E.T.A. Hoffmann.

Carnaval was made popular by Liszt, and although he apparently sight-read and performed *Carnaval* on the spot, not even his playing (that Schumann loved and thought most excellent) could persuade the audience of understanding it.²⁸⁹ Even so, *Carnaval* ultimately became one of Schumann's most important works that exemplified his style to his contemporaries.²⁹⁰

²⁸⁶ Reiman, 76.

²⁸⁷ Kravitt, 100.

²⁸⁸ Ibid.

²⁸⁹ Worthen, 190.

²⁹⁰ Reiman, 76.

Préambule

The first movement of *Carnaval* has a proud, marching, military-like regal opening that does not sound like an introduction of any sort. Instead, it sounds as if the piece, along with its main melody, has already been occurring. No introduction takes place. This is similar to a scene from Jean Paul's novel *Hesperus* in which an Italian Queen makes an entrance that is not accompanied by a conventionally regal and stately musical entrance. Rather, she receives no music at all and the entire scene is sarcastically in the form of a humorous and silly play.²⁹¹ The tonal language is also ambiguous as it is written in A♭ major, but then immediately establishes D♭ major before a final tonicization in E♭ major. This is not a “normal” introduction by any means: it does not serve the function of establishing any tonal center for the entire work. There is also a connection between *Papillons* and *Carnaval* at this point: The *Introduzione* of *Papillons*, which is not a normal introduction either, is expanded upon by *Carnaval* because it is also not in the form of a calm waltz.”²⁹²

Schumann's *Préambule* manipulates Schubert's waltz patterns by using a bizarre duple meter instead of an expected and traditional compound meter. This is a “defamiliarization” of the waltz genre.

Carl Lipinski gewidmet. Componirt 1834 und 1835.

Quasi maestoso. **Préambule.**

Pedale

Example 2.1. *Carnaval*, Op. 9, Preamble, mm. 1-7.

²⁹¹ Reiman, 79.

²⁹² Ibid., 78.

The “E \flat -F-E \flat -C-A \flat ” motive starting in measure 26 is used throughout the rest of the movement (shown in Example 2.2). The fact that it is transfigured and distorted throughout makes it a unifying feature of *Carnaval*. Additionally, according to Sams, the “E \flat -F-E \flat -C-A \flat ” themes are in both *Carnaval* and *Kreisleriana*, Op. 16: through a self-created cipher table, Sams has posited that the meaning behind the motive is actually W-I-E-C-K.²⁹³ These claims however, seem tenuous, as no external information exists from Schumann or contemporaries to directly support the accuracy or validity of Sams’ ciphers.²⁹⁴



Example 2.2. *Carnaval*, Op. 9, Preambule, mm. 25-27.

Gradually increasing tempos create an uneasy spiraling out of control that evokes chaos and uncontrollability. Starting in the Vivo section, the ASCH motive is presented to us in the form of half notes in the baseline, seen in Example 2.3.²⁹⁵

²⁹³ Eric Sams. “Did Schumann Use Ciphers?” *The Musical Times* 106, no. 1470 (August 1965): 584-91.

²⁹⁴ Sams, “Did Schumann Use Ciphers?,” 584.

²⁹⁵ Reiman, 81.



Example 2.3. *Carnaval*, Op. 9, Preambule, mm. 91-98.

Also, the main “E \flat -F-E \flat -C-A \flat ” motive is, at the presto, distorted in augmentation and employed over a resting on the tonic. This disfiguration is shown in Example 2.4.



Example 2.4. *Carnaval*, Op. 9, Preambule, mm. 114-127.

Movements 2 and 3: Pierrot and Arlequin

Movement 2, *Pierrot*, titled after the sad clown character of the *Commedia dell'Arte*, is written in a duple meter, indicating a solidification of the manipulation of the waltz form from the previous movement's "correct" compound-metered waltz. Additionally, the ASCH motive occurs in octaves in the right hand as seen in Example 2.5.²⁹⁶



Example 2.5. *Carnaval*, Op. 9, *Pierrot*, mm. 1-8.

Occurring in both *Pierrot* and throughout all of *Carnaval*, there is a regular use of motivic repetition, but in different patterns, in different registers, and in different rhythms: a compositional technique that is a musical depiction of a carnival of constantly developing motivic themes. This is possibly one of the reasons that Schumann named his composition as he did.²⁹⁷ Alternations between piano and forte dynamics create at first a jarring effect, but eventually become predictable. This produces a compositional device that creates unity through constant digression.

Movement 3, *Arlequin*, is named after the *Commedia dell'Arte* mischievous joker, Harlequin. Schumann employs the use of big leaps, starting on a dominant 7th, to "hiccup." This, coupled with the use of rests, makes for an excellent musical representation of a joker. The

²⁹⁶ Reiman, 83.

²⁹⁷ *Ibid.*, 84.

movement is also in waltz form, with increasingly larger and larger leaps making it a “parody of the waltz style.”²⁹⁸ The repeated use of an octave motive that descends is like Jean Paul’s use of repetition in his writings.²⁹⁹ In the middle of the movement, a *ritardando* marking creates a Romantic feeling of reminiscence that is similar to the effect the literary dash creates. This is shown in Example 2.6.

According to Daverio, the ending of *Pierrot*, and continuing into the beginning of the next movement, *Arlequin*, is an example of Hoffmann’s “interleaving” effect. This is musically represented not by phrasal elision as it was in *Papillons*, but by the writing of chord progressions that occur through the end of the movement into the next. For example, *Pierrot* ends in E♭ major, which ends up being the subdominant key of the following movement’s tonic B♭ major.³⁰⁰ *Arlequin* starts on an F major 7th chord. This all combines to produce the following chord progression: IV-V-I in B♭ major between the ending of *Pierrot* and the beginning of *Arlequin*. This is shown in Example 2.6.

²⁹⁸ Reiman, 86.

²⁹⁹ Ibid.

³⁰⁰ Ibid., 85.

sempre - cre - scen - do - al

Arlequin.

Vivo.

p *f* *pp* *ff*

ritard. *a tempo*

R. S. 47.

Example 2.6. *Carnaval*, Op. 9, ending of Pierrot, mm. 33-51, Arlequin.

Movement 4: Valse noble

Movement 4, titled *Valse noble*, has the ASCH motive as its opening, but quickly becomes increasingly passionate and amorous as the motive is expanded throughout the movement.³⁰¹ This movement is a disfiguration of the waltz and is a humorous “great Viennese Waltz.”³⁰²



Example 2.7. *Carnaval*, Op. 9, Valse noble, mm. 1-4.

Movement 5: Eusebius

Eusebius, Movement 5, is Schumann’s thoughtful and calm Davidsbündler personality. Jean Paul’s Walt from *Flegeljahre* is equivalent to Schumann’s *Eusebius*.³⁰³ In *Flegeljahre*, Walt invents a style of writing called “polymer.” As aforementioned, polymer is characterized as being a free-flowing form that is allowed “to be lengthened at will.” Schumann musically represents Walt by superimposing septuplets against duplets between the hands and alternating quintuplets between triplets in the right hand later on. Both of these instances are examples of time manipulation as well as impressions of reminiscence and Romantic reflection.

³⁰¹ Reiman, 88-89.

³⁰² *Ibid.*, 89.

³⁰³ *Ibid.*

As shown in Examples 2.8 and 2.9, Schumann is manipulating time to such a degree that an unmetred, improvised musical “infinity” is depicted.³⁰⁴



Example 2.8. *Carnaval*, Op. 9, Eusebius, mm. 1-2.



Example 2.9. *Carnaval*, Op. 9, Eusebius, mm. 17-18.

Movement 6: Florestan

Florestan, Movement 6, exemplifies Schumann’s rambunctious and spontaneous Davidsbündler personality. Jean Paul’s Vult from *Flegeljahre* is equivalent to Schumann’s Florestan.³⁰⁵ Schumann recalls *Arlequin*, where expansive and humorous use of the keyboard is utilized, to reflect improvisation and spontaneity. Wildly careening upwards and passionately crashing back down, the motive’s extreme fast/slow alternations depict a character that is not stable or predictable. In measure 4, Schumann writes a “screech” of Vult’s flute.³⁰⁶

³⁰⁴ Reiman, 90.

³⁰⁵ Ibid., 89.

³⁰⁶ Ibid., 91.

The ASCH motive is used at the beginning over a waltz pattern.³⁰⁷ At the end of the movement, it is deconstructed through oddly placed rhythms and accents that become progressively more disfigured until finally a bizarrely syncopated ending of the main theme in octaves leaves the movement completely unresolved.

The main theme from *Papillons*, as shown in Example 2.10, surfaces in this movement as well. With an initial quotation of half of the motive in measure 9, Schumann blatantly presents the entire motive verbatim in measure 19, even marking it “(Papillon?)”.³⁰⁸ Both of these direct quotes from *Papillons* are marked *adagio* providing a digressive middle section to the movement. This is similar to the musical representation of the dash used in *Arlequin*.

The image shows a musical score for the first two measures of 'Carnaval, Op. 9, Florestan'. The score is written for piano in 3/4 time. It consists of four systems of music. The first system is marked 'Passionato.' and features a waltz-like accompaniment in the bass clef and a melodic line in the treble clef. The second system is marked 'rit.' and 'nu to leggero', with a 'nu' marking above the first measure and 'to leggero' above the second. The third system is marked 'Adagio.' and 'a tempo', with 'Adagio.' below the first measure and 'a tempo' below the second. The fourth system is marked '(Papillon?)' and 'Adagio.', with '(Papillon?)' above the first measure and 'Adagio.' below the first. The score includes various musical notations such as slurs, accents, and dynamic markings like 'sf' and 'rit'.

Example 2.10. *Carnaval*, Op. 9, Florestan, mm. 1-2.

³⁰⁷ Reiman, 91.

³⁰⁸ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 141.

Movement 7 & 8: Coquette & Replique

Movement 7, *Coquette*, which translates to a “flirtatious girl,” depicts a girl walking around and flirtatiously trying to dance. The motive that occurs each fortissimo (for example, in measure 5 of Example 2.11) is equivalent to a literary interruptive technique used by Jean Paul. He would purposely write interruptions many times but at regular intervals so that the interruption itself became expected thereby transforming the interruption into a predictable, recurring theme. Schumann uses the same technique here but takes it a step further. Just like Jean Paul, Schumann uses interruptive motives in *Coquette* often enough that they do eventually become expected. However, unlike Jean Paul, when the listener is finally used to interruptions at neatly timed intervals and is expecting it to continue as such, Schumann specifically chooses this moment to not provide another interruptive motive: he digresses from his own digression. In other words, when the unexpected becomes the expected, Schumann does the unexpected.³⁰⁹ An interruptive moment can be seen at the beginning of Example 2.12.

The immediately following movement, *Replique* (meaning “reply”), musically answers *Coquette*’s flirtations by being its musical conclusion. Resolved, easily listened to, and comforting to the listener, it ends convincingly.³¹⁰ Schumann is yet again sharing and extending musical phrases across separate movements: *Replique* acts as simply an extension of *Coquette*, or as Reiman puts it, a “reevaluating” of *Coquette*. This is similar to what Jean Paul liked to do to his characters in his novels when he would answer their questions, give them advice, or critique their actions during the story.³¹¹

³⁰⁹ Reiman, 95.

³¹⁰ Ibid., 93.

³¹¹ Ibid., 96.

Vivo.

pp

p

ff

ff

ff

Example 2.11. *Carnaval*, Op. 9, *Coquette*, mm. 1-15.

p

ff

Example 2.12. *Carnaval*, Op. 9, *Coquette*, mm. 16-21.

Movement 9: Sphinxes

Movement 9, titled *Sphinxes*, and shown in its entirety in Example 2.13, is a complex fusion of literary influences. Schumann writes three separate single measured movements that each have 3 or 4 note themes, known as Sphinxes. The pitches of the movements are ciphers that have hidden literary meaning. This is similar to an aspect of Jean Paul's *Titan*, where characters often send "cryptic notes" between themselves.³¹²

The pitch equivalents Schumann used to achieve these Sphinxes are reiterated below, along with their accompanying musical representations:

ASCH = A, E \flat , C, B // AsCH = A \flat , C, B // SCHA = E \flat , C, B, A

Sphinxes.

R.S.47.

Example 2.13. *Carnaval*, Op. 9, Sphinxes.

The first of these configurations, No. 1, are Schumann's letters in order (SCHA). One of Schumann's diaries, titled *Hottentottiana*, was written about himself in the 3rd person with the subject matter being about who he feels he is and who he feels he will become.³¹³ Schumann's centrism in *Hottentottiana* is similar to his use of self-reference in *Sphinxes*: they both are in a 3rd person, Romantically distanced, observational perspective. Additionally, the fact that no motive in *Carnaval* is based specifically on this particular order of pitches, as well as their deliberate

³¹² Reiman, 97.

³¹³ Worthen, 44.

placement in the middle of the work, indicates that Schumann views himself as an “unseen puppet master” who is looking out over his carnival of *commedia dell’Arte* “puppets” in a Romantic, spatially distanced perspective. The position of being “above” a carnival, where one could best see and control everything, is the prime observational perspective to be in to be a puppet master. It also happens to be the best perspective to view the teleology of all the separate characters and movements in *Carnaval*.

The other two sections of *Sphinxes*, Nos. 2 and 3, refer in musical cipher to Asch, the birthplace of Ernestine. Daverio states that throughout *Carnaval*, “Schumann translates a verbal motto into a musical cipher, which then serves as the basis for a seemingly endless array of varied motivic shapes.”³¹⁴ These are the sphinxes that provide the foundational motivic material throughout *Carnaval*.

Schumann is purposefully choosing this moment to reveal to us the motives on which the entire work is built. Even his choice of “Sphinxes” for the title is deceptive because a sphinx is supposed to achieve the exact opposite in Greek traditions: it is supposed to keep secrets and riddles in the hopes that answers remain mysterious and unrevealed. Schumann, instead, uses *his* sphinxes as the singular moment in *Carnaval* to explicitly reveal the riddle for the entire work as obviously as is possible: just the simple notes themselves. It is interesting to note that the word “sphinx” is also another word for a hawk moth. Although it is unlikely Schumann knew of this reference and purposefully used it to connect *Carnaval* with *Papillons*, it is quite a coincidence that the movements that reveal the motivic foundations of *Carnaval* are distantly titled after something that represents transformation.

³¹⁴ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 479.

An additional conundrum is presented to the performer: should these Sphinxes be performed in modern concerts? Some performers ignore them completely, some play the tones in long drawn out unmeasured octaves, and others play a selected one or two in performance.

From a literary perspective, it makes sense to simply read them (and not play audibly) because of their clear literary function: to show us *literally* and visually what the foundation of the piece is. From a musical perspective, however, it makes sense to play them, as having any aural experience is entirely dependent on actually playing music aloud. Therefore, when *Carnaval* is looked through visually, it must be read and seen, and when *Carnaval* is played through, it must be performed out loud. To skip them entirely removes their existence from any observer's interpretation: Schumann's blatantly ironic use of the word sphinx, his purposeful "puppet mastering" of the characters of *Carnaval* below, and his solidifying of the foundations for the entire piece would be completely lost.

Movement 10: Papillons



Example 2.14. *Carnaval*, Op. 9, Papillons, mm. 1-3.

Movement 10, *Papillons*, is a direct reference to Jean Paul's *Flegeljahre*. As discussed earlier, "papillons" means butterfly in French; and just as a butterfly goes through a

metamorphosis, Schumann has taken the main ASCH motive from earlier and transformed it by using diminution. This provokes the vision of a butterfly that has gone through a sluggish and slow metamorphosis that then eventually becomes a butterfly with fast-moving, fluttering wings.³¹⁵

Movement 11: ASCH-SCHA



Example 2.15. *Carnaval*, Op. 9, ASCH-SCHA, mm. 1-2.

Movement 11, titled *ASCH-SCHA* provides a return back to waltz rhythms and a continuation of motivic transformation. Schumann writes the ASCH theme as grace notes (shown in Example 2.15) at this moment of *Carnaval* as a way to purposefully digress from convention. Musical grace notes are normally a decoration or ornamentation of existing notes and, in regards to melodic contour, they are not generally a crucial aspect of the line. The “sphinxes” of the previous movement effectively provide the ASCH theme for *Carnaval* in the most straightforward way possible. In stark contrast, *ASCH-SCHA* also presents the main theme but in subtle and non-important grace notes. These grace notes elicit the feeling of a butterfly flitting its wings.³¹⁶ Schumann’s manipulation of literary and musical compositional devices continues: when a movement is titled something that would lead us to believe things will be

³¹⁵ Reiman, 98.

³¹⁶ *Ibid.*, 100.

musically disguised (*Sphinxes*), the musical theme is presented simply and straightforward. On the other hand, when a movement's title could not get any clearer (Ernestine's ASCH and Schumann's SCHA), the musical theme is in disguise.

Movements 12 & 13: Chiarina & Chopin

Movement 12, *Chiarina*, is a passionate reference to Clara Wieck. In terms of musical form, this movement manipulates the main ASCH motive by stretching it incrementally as the phrases progress on: the ASCH motive is progressively becoming more and more disfigured as *Carnaval* continues.



Example 2.16. *Carnaval*, Op. 9, Chopin, mm. 1-3.

Movement 13, *Chopin*, is perhaps Schumann's own way of signaling his friendship with Chopin. According to Reiman, Jean Paul wrote the main character Emmanuel into his novel *Hesperus* to represent a friendship the author had with real-life Karl Philipp Moritz. By naming the movement "Chopin," Schumann is paying homage to Chopin and their friendship in much the same way as Jean Paul.

As shown in Example 2.16, the movement is representative of Chopin-esque textures, melodies, nocturnes, and his idiomatic pedaling. It is possible that Schumann used Chopin's

Ballade No. 1 in G minor, Op. 23 as his model and inspiration for this movement (*Carnaval* was completed in same year of 1835 and it is possible that Schumann had heard it at around the same time).³¹⁷

Schumann also uses Romantic distance to show how much Chopin means to him. The “DS” signs and how they are arranged means that the piece could technically be repeated indefinitely. This is a type of infinite remembrance reminiscent of temporal distance. This creates a dreamlike and self-indulgence that is unique to this movement. Oddly, Schumann marks this movement as an “*agitato*” which is completely at odds with the nocturne’s aspects of this movement. This is yet another example of Schumann digressing from what should be a routine tempo marking.

Movements 14-21: Estrella, Reconnaissance, Pantalon et Colombine, Valse allemande, Paganini, Aveu, Promenade, and Pause

Movement 14, *Estrella*, is Schumann’s movement for Ernestine von Fricken. One might expect this movement to include a very visible ASCH motive, but there is none to be seen. Yet again, Schumann manipulates expectation. In an ABA form, the movement’s quiet middle “*molto espressivo*” section is bookended by fortissimo “*con affetto*” sections. This is a use of alternating dynamics and aesthetics to show opposites.

Movement 15, *Reconnaissance*, shows continued digression from the waltz genre by being a polka dance.³¹⁸ The B section’s texture is also similar to Schubert’s *Impromptu No. 4*, Op. 90, and is therefore a reflection of Schubert’s pianistic textures. *Reconnaissance* means “recognition,” perhaps describing a meeting between two of *Carnaval*’s characters. Immediately

³¹⁷ Reiman, 104.

³¹⁸ *Ibid.*, 107.

follows Ernestine's movement, it is logical to assume that this movement is Schumann "recognizing" Ernestine from a distance on the dance floor for the first time.

According to Reiman, Movement 16, *Pantolon et Colombine*, is a "digression from a digression" in that it is in a completely new and abrupt texture and aesthetic than the previous movement (which was already a digression from the movement before it).³¹⁹ In terms of literary foundations, the movement's title refers to the Commedia dell'Arte characters Pantalone and Columbina. Pantalone is an intelligent, cunning, and miserly Venetian merchant.³²⁰ Columbina is Harlequin's mistress and a servant. It was common for Jean Paul to digress further after an initial digression and the contrapuntal nature of this piece and the fact that it is now even further away from being a waltz than the previous movement, is a very Jean Paulian concept.³²¹

Movement 17, *Valse allemande*, finally returns us to familiar waltz rhythms and the ASCH motive from the beginning.³²² However, this time the main theme is in retrograde showing a further motivic metamorphosis.

Movement 18, *Paganini*, is similar to *Chopin* in that it is representative of Niccolò Paganini's virtuosic compositional style (shown in Example 2.17): it is written in the style of a flashy Paganini Caprice for violin. This time, instead of friendship, Schumann is paying homage to Paganini's musical influence. Paganini pushed the bounds of the technical limits of the violin and encouraged others to further the virtuosic boundaries of the piano (Franz Liszt, for example). As a possible reference to this, Schumann utilizes an experimental compositional technique that is idiomatically written for the piano: four low, fortissimo chords are played with the damper

³¹⁹ Reiman, 109-110.

³²⁰ Encyclopedia Britannica Online, s. v. "Pantaloone," accessed April 01, 2016, <http://www.Britannica.com/topic/Pantaloone>.

³²¹ Reiman, 109-110.

³²² *Ibid.*, 111.

pedal fully depressed. While keeping the pedal down, an E \flat major 7th chord is depressed slowly enough with the hand so that the notes will not sound but that the dampers will stay raised once the pedal is released. Keeping the hands down, the pedal is finally released which leaves the E \flat major 7th chord still sounding. As a result, the reverberations from the original four fortissimo chords “play” the E \flat major 7th chord. According to Norman Carey, Schumann felt that “virtuosity was to be depicted, rather than displayed.”³²³ This literary way of depicting virtuosity is shown in Example 2.18. The movement also ends with a direct reiteration of the previous movement’s material, the *Valse allemande*, making Movements 17 and 18 a pair.



Example 2.17. *Carnaval*, Op. 9, Paganini, mm. 1-5.



Example 2.18. *Carnaval*, Op. 9, Paganini, mm. 35-37.

³²³ Norman Carey. “An Improbable Intertwining: An Analysis of Schumann's ‘Kreisleriana I and II,’ with Recommendations for Piano Practice.” *Theory and Practice* 32 (2007): 19-50.

Movement 19, *Aveu*, translates as “confession.” The ASCH motive is now in repeated “passionato” rhythms that convey a yearning and sense of love and remembrance. The descending octaves after measure 4 produce a “sighing” that is similar to other composers’ musical representations of remembrance, and/or sadness from unrequited love. For example, in Franz Liszt’s *Dante Sonata*, he writes a similar motive that represents tears, suffering, and crying.

Movement 20, *Promenade*, is another dancelike movement but is, in terms of phrasal groupings, disfigured and broken. This time the waltz rhythms themselves have become disfigured and have gone through a metamorphosis.

Movement 21, *Pause*, utilizes material from the *Preambule*, which is mimicking a common literary device of Jean Paul’s: reusing sections or small parts of previous material. However, Schumann reuses the material in this movement in a unique, teleological way. Earlier, in the *Preambule*, this material simply acted as a transitional device within the movement to set up the ending coda’s presto. Now, Schumann gives the same material a movement unto itself – thus adjusting its main function to setting up the final movement of the entire work. Formerly having been used only as a prelude *within* a movement, it is now an entirely separate, penultimate movement that functions *as* a prelude.

Movement 22: Marche des “Davidsbündler” contre les Philistins

Translated as a “March of the Davidsbündler against the Philistines,” Movement 22 is a musical representation of Schumann’s inner Davidsbündler personalities against anyone with a Philistine philosophy. This concept references a hypothetical “war” between esotericism and accessibility in Romantic art. A Philistine (in this capacity) is someone who does not find worth

or value in art. Schumann took this “war” personally as he “rallied his Davidsbündler against the Philistines in the name of Beethoven and Schubert.”³²⁴ Calling the musical public “folk, like cattle,” Schumann’s choice of titling this movement a “march against” (the Philistines) shows that he felt the two sides were at odds with each other.³²⁵

Schumann is being Romantically ironic by referring to his Davidsbündler in this way. Just like Jean Paul, he is using a solipsistic idea by utilizing self-reference. Additionally, this movement also directly involves an observer’s perspective and how for Romantic art to be Romantic, the creator’s perspective is paramount: without a preexisting knowledge of the meaning behind Schumann’s Davidsbündler, the full extent of the concepts behind this movement could only be fully meaningful to the artist himself.

The motivic material in this movement is also representative of literary influence. The piece starts off with the march of the Davidsbündler. Quickly digressing back into the waltz rhythms we have become accustomed to, the thematic material takes a bizarre turn at this point. The theme at this stage (measure 25) is a deconstructed theme that has not even occurred yet and is shown in Example 2.19. The foundational theme does not happen until measure 51 where “Theme du XVIIeme siècle” is indicated (as shown in Example 2.20). This theme is the same *Grossvatertanz* theme that had been used in *Papillons*, as well as in *Faschingsschwank aus Wien*, Op. 26 and comes from a 17th-century folk song the lyrics of which roughly translate to “When Grandfather Took Grandmother.” In this movement, Schumann uses this theme to stand for all past artistic traditions and “represents the antiquated and petty-minded Philistines.”³²⁶ The use of this theme in multiple pieces shows an example of teleological unity in Schumann’s works. It

³²⁴ Jacobs, 257.

³²⁵ Hoeckner, 78.

³²⁶ Ernst Herttrich. *Carnaval*, Op. 9. Schalkenbach: G. Henle, 2004, 41.

could also indicate that Schumann felt the issue of the artist versus the Philistine was an “all-encompassing” problem that affected all the musical compositions he wrote.

In measure 83, material from the *Preamble* is again used which shows a conclusion of the trajectory of continuing themes throughout the work. Also, marked “vivo” in measure 99, the material from the *Pause* and also the *Preamble* is no longer functioning as introductory material.



Example 2.19. *Carnaval*, Op. 9, Marche des “Davidsbundler” contre les Philistins, mm. 25-31.



Example 2.20. *Carnaval*, Op. 9, Marche des “Davidsbundler” contre les Philistins, mm. 51-58.

The movement ends similarly to the ending of the *Preamble* which creates a bookending effect that triumphantly heralds the Davidsbündler’s win over the Philistine.

Carnaval – Conclusions

As demonstrated, Jean Paul's intensive influence on Schumann makes *Carnaval* a musical expression of Romantic literary and philosophical concepts. The artist-centric qualities of *Carnaval* paint an imaginary picture of Schumann as an unseen puppet master, controlling his many Commedia dell'Arte characters below him. Schumann further expands upon this depiction of self-reference by utilizing Jean Paul's unique interpretation of Romantic irony to title his movements after real-life characters and locations.

Schumann's choice to hide his own self-reference in the guise of the sphinx demonstrates an intense knowledge of history, literature, and a Romantic understanding of how to musically express these references. The placement of the foundational motivic germ of *Carnaval* (ASCH) in the complicated literary cipher of the sphinxes (*Sphinxes*) and his subsequent refusal to openly display it (*ASCH-SCHA*) shows a deliberate, Romantic manipulation of the observer's expectations.

The teleological unity of *Carnaval* is achieved by consistent and predictable musical digression. Schumann's additional use of "digressing from digression" is another form of a creative manipulation of this compositional technique. Originally tested in *Papillons*, Schumann's "defamiliarization" of Schubert's waltz genre into a large-scale work is similar to Jean Paul's technique of combining smaller idylls into large teleological organizations to produce novels. Schumann's insertion of the main theme from *Papillons* into *Carnaval* further demonstrates Jean Paul's influence by sharing material throughout multiple works. Additionally, Schumann uses Hoffmann's "interleaving" technique as a "musical dash" to cement the teleological structures of *Carnaval*.

The level of esotericism in *Carnaval*, probably best exemplified by the obscure inclusion of Schumann's musical representation of Walt's polymeter from *Flegeljahre*, serves to support how he was not focused on his audience's understanding of each and every literary reference. The marching of his Davidsbündler *against* the Philistines is indicative of his feelings on this subject.

Perhaps the best observation to be made when listening to *Carnaval* is Schumann's position as puppet-master. The resulting view is staggering in depth and complexity. *Carnaval* is a testament to the creative lengths that Schumann went to express his inner Romantic.

Chapter 5: Kreisleriana, Op. 16

*“His friends asserted that Nature had tried a new recipe in creating him and that the experiment had gone awry...”*³²⁷

– E.T.A. Hoffmann, describing Kapellmeister
Johannes Kreisler

May of 1838 produced an explosion of compositional activity for Schumann that included works such as his *Novelletten*, Op. 26 and *Kinderscenen*, Op. 15. Particularly inspired by E.T.A. Hoffmann, Schumann also composed *Kreisleriana*, Op. 16 in the same year, finishing a first draft in just four days and completing the entire work in as many months. The title “Kreisleriana,” comes from Hoffmann’s own literary work bearing the same name.³²⁸ Hoffmann’s *Kreisleriana* comes from within a collection of short stories called *Fantasiestücke in Callot’s Manier* – a book that Hoffmann wrote after he had just recently lost his job as an official at the Prussian judiciary.³²⁹ This book not only inspired Schumann’s *Kreisleriana*, but also his *Fantasiestücke*, Op. 12, coming from the work’s main title. Published in 1814, *Fantasiestücke in Callot’s Manier* includes multiple sections, two of which are titled *Kreisleriana Section I* and *Kreisleriana Section II*. They combine to create a narrative of continuity. It is specifically a reference to these two sections that provides the title for Schumann’s *Kreisleriana*.

Kreisleriana – Main Concepts and Analysis

Schumann’s selection of *Kreisleriana* as a title might also have been of particular personal importance to him. Clara and Robert’s love for each other had started with a memorable kiss in 1835, which prompted Friedrich Wieck to threaten to shoot Schumann if he

³²⁷ Hoffmann, 15-16.

³²⁸ Reiman, 136.

³²⁹ McGlathery, 1.

“ever saw him again.”³³⁰ Wieck had also reacted harshly by additionally imposing a physical separation of the pair that would end up lasting 18 months. During this separation, Schumann and Clara communicated their love for each other through secret letters and also in creative musical ways. Schumann was very depressed and as he longed for Clara, he wrote his *Fantasie*, Op. 17, lamenting on how they were apart saying, “You can only imagine the *Fantasie* if you imagine yourself in the unhappy summer of 1836, when I gave you up.”³³¹ Clara also found musical ways to express her love. During a performance of Schumann’s *Symphonic Etudes*, Schumann was secretly in attendance and Clara “communicated” her love for him through her playing. She later wrote in a letter to Schumann asking, “Did you not realize that I played it because I knew of no other means to show a little of what was going on inside me?”³³² Shortly after, and through much additional correspondence, they agreed to draft a letter together to attempt to persuade Wieck to give his blessing for marriage. Both Clara and Robert had reacted in a Romantic way to their current life issues. Experiencing a situation similar to unrequited love, they sought creative and artistic means to communicate to each other and also to attempt to resolve real-world conflicts.

Upon receiving the aforementioned letter, Wieck was predictably vociferously opposed. Their union was something he had spent a considerable amount of energy to prevent and he placed himself squarely in between Clara and Schumann whenever he could. Owing to his own personal financial greed, the need to control his children in all things, and the fact that he felt his children’s professional successes were a direct reflection of his self worth, Wieck rejected the “preposterous” proposal. Citing Schumann’s inability to financially support Clara’s budding

³³⁰ Worthen, 118-122.

³³¹ *Ibid.*, 128.

³³² *Ibid.*, 133.

career and his severely inadequate capabilities to provide support for her “unique needs,” the proposal only caused Wieck to strengthen his resolve against their union.

Clara was initially intimidated by her father’s aggressive rejection and it would not be until 1837 that Schumann was able to finally persuade Clara to go against her father’s wishes and that the beginnings of a serious, marriage-bound romantic relationship would finally start to blossom. Through secret letters that were passed by way of entrusted confidants, they became, in their eyes, “engaged.” Schumann was so elated by this particular event, occurring in August of 1837, that it prompted him to celebrate by composing his *Davidsbündlertanze*, Op. 6. Both Clara and Schumann were now more determined than ever to convince Wieck to give his blessing and support their marriage.³³³

It was later in 1838, in part to prove himself to Clara and the still disinclining Wieck, that Schumann composed *Kreisleriana*, Op. 16.³³⁴ He originally had dedicated *Kreisleriana* to Clara but Wieck, who was predictably vocal against it, had persuaded him to change it to protect Clara’s professional reputation. It was instead dedicated to Chopin who received the honor less than enthusiastically.³³⁵

In composing *Kreisleriana*, Schumann had yet again reacted Romantically by expressing himself in music. Through his love of ciphers and word puzzles, he selected a title that could be used to anagrammatically express hidden meaning. Schumann, who later wrote, “The title can only be understood by Germans,” reorganized the letters in *Kreisleriana* to produce a German phrase: “Klara Sei Rein!”³³⁶ In English, this translates as, “Klara, Be Pure!” Through his title,

³³³ Hoeckner, 101-102.

³³⁴ Worthen, 147-148.

³³⁵ Ibid., 157.

³³⁶ Henry Pleasants, and Robert Schumann. *The Musical World of Robert Schumann: A Selection from His Own Writings*. New York: St. Martin’s Press, 1965, 259.

Schumann was communicating to Clara to remain strong and pure in their pursuit of eventually becoming married against all odds. He was also encouraging Clara to remain resolute in her decision to go against her father's wishes – a fate she very much felt undeserving of a loving father.

Schumann wrote in a separate 1839 letter to an acquaintance of his, Simonin de Sire, that, “the titles of all my compositions never occur to me until I have finished composing.”³³⁷ This seemingly contradictory statement is instead indicative of two things: (1) the musical material in *Kreislariana* is representative of Hoffmann's writing style as well as Jean Paul's general literary influences, and (2) the title's selection was inspired by Schumann's own compositional processes, one of which was looking to contemporary events and people for artistic inspiration. He was aware that contemporaries around him would not have understood the title's hidden meaning and he was perfectly content to keep it to himself.

In a literary way, Schumann had hidden his love for Clara and a personalized message in the title of *Kreislariana*. Schumann considered *Kreislariana* to be among his favorite works published around this time perhaps because it represented a bit of hope that he and Clara would finally be united.³³⁸ Schumann's best medium with which to communicate this was in his music and, harkening back to his love for ciphers and puzzles, what better way to do so than in a hidden anagram.

Kreislariana also includes musical references to Clara. Schumann wrote in a letter to Clara:

³³⁷ Schumann, 259.

³³⁸ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 135.

I'm overflowing with music and beautiful melodies now – imagine, since my last letter I've finished another whole notebook of new pieces. I intend to call it *Kreisleriana*. You and one of your ideas play the main role in it, and I want to dedicate it to you – yes, to you and nobody else – and then you will smile so sweetly when you discover yourself in it.³³⁹

The specific “melody” that Schumann is referring to in this passage is up for musicological debate. As aforementioned, Eric Sams and other musicologists seem to have reached a consensus that there are two possible musical themes that could represent Clara's name in *Kreisleriana*. Norman Carey, Robert Schauffler, and Roger Fiske (as well as Sams), are all in agreement that the Clara motive is either “C-B \flat -A-G \sharp -A” or “C-B \flat -A \flat -G-F.”³⁴⁰ The latter seems most convincing as it is the main theme in a movement (titled Quasi Variazzino: Andantino de Clara Wieck) from Schumann's *Concert sans orchestre (Grand Sonate) in F minor*, Op. 14.

Although these motives do seem to have foundational and structural validity in the case of *Kreisleriana*, this paper theorizes that the “Clara” motive in *Kreisleriana* is instead the opening motive of the second movement in B \flat major. This motive seems much more musically convincing as being an expression of his longing and love for Clara at the time. Perhaps in this case, the melody to which Schumann is referring is not literal nor does it participate in a specific motivic pattern that is subsequently used across Schumann's entire oeuvre.

In Jean Paul influenced Romantic expression, Schumann's *Kreisleriana* represents Clara through musical material as well as an infusion of his personal life in title. It is indeed well established that Schumann wrote often of putting references to Clara into his music. In 1837, he writes, “I have but one thought to depict everywhere *in letters and chords* – Clara” and “your

³³⁹ Carey, 23.

³⁴⁰ Sams, “The Schumann Ciphers,” 392-395.

theme [Clara's] appears in all possible guises."³⁴¹ This being considered, perhaps Schumann was simply thinking of Clara when writing and putting feelings of love into that specific moment, nothing more. As a result, and in the case of *Kreisleriana*, the "motive" would not be a motive at all and would simply be a beautiful reminiscence of Clara. It would be entirely musical in nature and would be sequestered within the purview of *Kreisleriana*. The constantly recurring B♭ major motive of the Second Movement fits this bill nicely. Additional supportive material will be discussed in Movement 2 of this chapter's analysis.

Hoffmann's *Kreisleriana* from *Fantasiestücke in Callot's Manier* centers on the internal dialogical musings of its eclectic main character, the Kapellmeister Johannes Kreisler. Johannes Kreisler had first appeared as a literary character in Hoffmann's newspaper *Allgemeine, musikalische Zeitung*. Yet, in *Fantasiestücke in Callot's Manier*, we gain significantly more insight into Kreisler's internal thoughts and personality. Hoffmann loved complexity, exploring relationships, and imagination within his characters and Kreisler was no exception.

Johannes Kreisler was depicted as a rambunctious, spontaneous, and musically talented Kapellmeister. He was prone to overworking himself into exhaustion: "...or else, he would often play for hours at the piano, working out the oddest themes in the most artistic passages with elegant contrapuntal variations and imitations."³⁴² Kreisler says: "I can no longer play, for I am completely exhausted."³⁴³ Additionally, he was comprised of two completely opposite personalities that would unexpectedly show themselves. This literary representation of a dual personality (akin to a Dr. Jekyll and Mr. Hyde) allowed Hoffmann to express limitless emotions and ideas in his works.

³⁴¹ Sams, "The Schumann Ciphers," 395.

³⁴² Hoffmann, 16.

³⁴³ *Ibid.*, 17.

Hoffmann effectively describes Kreisler in the following selected passages:

His friends asserted that Nature had tried a new recipe in creating him and that the experiment had gone awry, for too little phlegm had been blended with an overexcitable [sic] temperament and a devastatingly inflammable imagination. This had destroyed the equilibrium an artist absolutely must have in order to live with the world and to create the kind of works the world, too, in a higher sense, actually requires. In any case, Johannes was driven back and forth on an endlessly billowing sea by his inner visions and dreams, always looking in vain for a port where he might at last find that serenity and calm without which the artist can create nothing.³⁴⁴

Singing had an almost ruinous effect on him, over-stimulating his imagination until his mind disappeared into a realm where no one could follow without peril.³⁴⁵

...for a long time, Johannes had been considered mad.³⁴⁶

It also came about that his friends could not get him to write down his compositions, or, if he actually wrote anything down, they could not keep him from destroying it. Occasionally, he would compose at night in the most exalted mood. Waking the friend who lived next door, he would play for him with the greatest enthusiasm everything he had written in incredible haste. Then he would weep years of joy over the successful work and extol himself as the most fortunate of men. But the next day, the glorious composition would lie in the fire.³⁴⁷

One day, he disappeared. No one knew how or why. Some claimed to have observed traces of madness in him, and in fact, he had been seen singing merrily as he hopped out through the city gate wearing two hats, one atop the other, and to music rulers stuck like daggers in his red belt.³⁴⁸

Surely after reading this, Schumann saw his own Florestan and Eusebius personalities within Johannes Kreisler. Schumann writes, “Kreisler is an eccentric, wild and gifted Kapellmeister, a character created by E.T.A. Hoffmann; you will like him in many respects.” Schumann’s openness in expressing his favorable opinions of Kreisler illustrate that, through

³⁴⁴ Hoffmann, 15-16.

³⁴⁵ Ibid., 16.

³⁴⁶ Ibid., 253.

³⁴⁷ Ibid., 16.

³⁴⁸ Ibid.

Romantic literary devices at hand and in writing *Kreisleriana*, Schumann had chosen to express himself through a real-life musical manifestation of his own Doppelgänger Johannes Kreisler. *Kreisleriana* is therefore Schumann's musical representation of himself, generated by the literary presence of Kreisler. This idea stems in part from Schumann's interactions with Jean Paul's concepts of Dualism and the existence of Walt and Vult in *Flegeljahre*. Unlike the combination of Walt and Vult, which created a singular dualistic "character" between the two of them, Johannes Kreisler was a *singular* character *comprised* of two personalities. Schumann saw this aspect of Kreisler as a unique opportunity to express himself and, ultimately, it caused him to write an entire work. This is reflective of solipsistic Romantic irony as his self-referencing of a self-reference is the foundational idea behind the work.

The structures of Schumann's *Kreisleriana*, as well as Hoffman's *Kreisleriana*, are both reflective of Johannes Kreisler's digressive and quick-to-change personality. For example, it is possible Hoffmann's *Kreisleriana* is based on Bach's *Goldberg Variations*.³⁴⁹ According to Jocelyne Kolb, Bach's *Goldberg Variations* are an excellent analogue to *Kreisleriana* in that its organizations are indicative of Hoffmann's "unity by digression." She writes:

Hoffmann must have had a structural design in ordering the pieces without regard to chronology, and with additions and changes, when he published them together in 1814/1815 under one title. The frequent juxtaposition of an ironic sketch with one of a more serious nature... is a technique found frequently elsewhere in Hoffmann, who liked to parody himself and to make both the serious and the ridiculous sharper by contrast. The manner in which one piece often follows another in order to achieve such a contrast could hardly be accidental.³⁵⁰

³⁴⁹ Kolb, 35.

³⁵⁰ Ibid.

Schumann's work shows the same type of "unity by digression" in that adjacent movements are often of drastically different emotional aesthetics. This "pairing" of affective opposites is one way Schumann chooses to express a unity between the digressions. For example, wild alternations between G minor, representing the wild, "Florestan" side of Kreisler, and B♭ major, the reflective and calm "Eusebius" side, keep the listener on edge. The intense severity and dramatic suddenness of the alternations produce a jarring effect much like Kreisler exacted on his fictional acquaintances in his stories. There are also abrupt dynamic changes and extreme registral shifts that dramatically accentuate this effect.

The organization of movements in this way "implies some sort of narrative."³⁵¹ Hoffmann specifically writes of this quality of "unity by digression" in his *Kreisleriana*: "Critics of the arts have often lamented a total lack of inner unity and coherence in Shakespeare. A closer look reveals a beautiful tree, with leaves, blossoms, and fruit sprouting from a tiny germ and rowing to maturity."³⁵² For example, the placement of *Kreisleriana* within *Fantasiestücke in Callot's Manier* is spread out in the work with other non-related sections occurring in between.

Hoffmann was so interested in this particular method of organizing literature that it regularly permeated numerous other literary works of his. As a result, Charles Rosen, in his *The Romantic Generation*, has posited that Hoffmann's *Kreisleriana* is not the foundational work that influenced Schumann's *Kreisleriana*. Instead, Rosen suggests the true foundational work was his *Lebens-Ansichten des Katers Murr (The Life and Opinions of Tomcat Murr)*.³⁵³

Hoffmann's *Kater Murr*, involves a tomcat named Murr as well as the Kapellmeister Johannes

³⁵¹ Newcomb, "Schumann and Late Eighteenth-Century Narrative Strategies," 169.

³⁵² Hoffmann, 34.

³⁵³ Charles Fisk. "Performance, Analysis and Musical Imagining Part II: Schuman's 'Kreisleriana,' No. 2." *College Music Symposium* 37 (1997): 95-108.

Kreisler. During the story, Murr has confidently written an autobiography that comments primarily on scholarly subjects such as the role of the arts in our society and various other Enlightenment concepts. After completion and on its way to the publisher, Murr's manuscript gets mixed up with Kreisler's antithetical emotional ramblings and both stories become hopelessly jumbled together. This results in a digressive and bizarre publication that serves as a perfect representation of interruptive structure.

Whether it was Hoffmann's *Fantasiestücke in Callot's Manier* or his *Lebens-Anisichten des Katers Murr* that provided a foundation, Schumann's *Kreisleriana* draws upon a pervasive literary technique of "unity by digression" in Hoffmann's works as a way to express Johannes Kreisler's dual personality. John Worthen agrees by saying, "The unity of a piece of music, for [Schumann], was not achieved by the rounded completion of musical ideas, nor from any kind of irresistible inward impulses, but out of a constantly renewed tension between key signatures, between repetitions and variations, and between repose and dynamic movement."³⁵⁴

Besides structural influence generated from the *Goldberg Variations*, Bach's impact on Schumann stretches throughout multiple works in a multitude of ways. "The dialectic between rationality and caprice [can] be heard in the imitative textures of [Schumann's] *Fugues*, Op. 60," for example.³⁵⁵ "Affective pairings" being coupled with Bach-like imitative structures are found not only in *Kreisleriana*, but also in *Carnaval*, *Papillons*, *Davidsbündlertanze*, and the *Humoresque*. This particular aspect of numerous works of Schumann's, regardless of compositional genre, illustrates how the pairings of similar and dissimilar emotions can be used to connect and relate various movements within pieces.

³⁵⁴ Worthen, 127-128.

³⁵⁵ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 308.

Bach's influence is further represented in *Kreisleriana* by Schumann's concentration on thirds relationships – which is also indicative of Romantic temporal distance.³⁵⁶ Through key area relationships, as well as modulations within and between movements, Schumann represents the past, present, and future. Hoffmann references the importance of thirds relationships in *Fantasiestücke in Callot's Manier* by describing a scene from Mozart's opera *Don Juan*: “In *Don Juan*, after the Commander's statue sings that awful “Yes!” in the dominant E, the composer takes the E as a third in the key of C and modulates into C major, the key Leporello then picks up.”³⁵⁷

Movement 1: Äußerst bewegt

Marked “Äußerst bewegt” (extremely agitated), *Kreisleriana*'s first movement starts abruptly in D minor and gradually spiders upwards in a frantic display of notes. Based on a 5-6-5 motive (A-B \flat -A), Schumann's virtuosic beginning displays a melody that startles the listener. Schumann viewed “excellent” melodies as ones that had profound musical foundations and were not necessarily sing-able.³⁵⁸ The opening of *Kreisleriana* is an excellent example of this (shown in Example 3.1). This particular 5-6-5 motive is placed throughout most of *Kreisleriana* and is illustrative of how Schumann mimics Jean Paul's technique of using characters throughout his works as a unifying feature. The A section is quickly tempered by a mild B section in B \flat major that is the exact opposite aesthetic: calm, beautiful, and serene.³⁵⁹ Finally, a complete reprise of

³⁵⁶ It is worth noting that Beethoven also structured multiple piano works upon a foundation of thirds relationships, for example his *Sonata in B-flat Major*, “*Hammerklavier*,” Op. 106.

³⁵⁷ Hoffmann, 283.

³⁵⁸ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 332.

³⁵⁹ Carey, 30.

the A section rounds out the entire movement. The First Movement demonstrates use of opposite aesthetic pairings that combine to construct a whole movement. Schumann uses this movement organization throughout *Kreisleriana*. The first movement's form is also related to the way Jean Paul's *Flegeljahre* is organized: Jean Paul repeats that "Walt could not find Wina or Vult" at both the beginning and the end of Chapter 63. He has "bookended" the chapter with this idea. Schumann implements the same compositional technique in the first movement of *Kreisleriana* by setting it in a ternary ABA form.³⁶⁰ Additionally, Schumann uses key relationships that are a third apart, which as noted earlier, are indicative of Romantic temporal distance.

The image shows the beginning of the first movement of Schumann's *Kreisleriana*, Op. 16, Mvt. 1. The score is written for piano and consists of three systems of music. The first system starts with a treble clef and a bass clef, with a tempo marking of 'Äußerst bewegt M.M. ♩ = 104' and 'Agitatissimo'. The music is in 2/4 time and features a complex, rhythmic pattern of sixteenth notes. The second system continues this pattern with dynamic markings of 'f' and 's'. The third system shows a first ending and a second ending, with a repeat sign and a double bar line.

Example 3.1. *Kreisleriana*, Op. 16, Mvmt. 1, Äußerst bewegt, mm. 1-9.

³⁶⁰ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 493-501.

Schumann's virtuosity often manifested itself in the form of long and drawn out improvisation sessions, often occurring when Schumann "should have been practicing." This was especially frustrating for Wieck in the late 1820s when Schumann was taking regular lessons with him. Wieck would have supported Worthen's claim that "Schumann had an air of "undisciplined arrogance."³⁶¹ These personality traits display themselves right from the improvisatory beginning of *Kreislariana* and allow Schumann to musically illustrate the wild, confident, and boisterousness of Johannes Kreisler's character.

Movement 2: Sehr innig und nicht zu rasch

Movement 2, a section that could stand alone in scope, length, and variety, starts out in B \flat major with a serene musical idea that reoccurs multiple times throughout the movement. The movement is in an ABACA'A form and accentuates the use of reoccurring themes (specifically the aforementioned possible "Clara" theme). Pál Richter has expertly coined this compositional device in Schumann as "Schumannian déjà vu."³⁶² This occurs when Schumann repeats melodies or entire sections with just enough regularity to make the listener feel familiarity and experience déjà vu. For example, the opening section of Movement 2, which includes Clara's theme, repeats itself in its entirety (all 37 measures of it!) three separate times throughout the movement.³⁶³ This repetition can be viewed as Schumann pleading for Clara over and over and he musically expresses this in each recurrence of the opening theme (measures 1-8). Also, the movement is in B \flat major, which is Schumann's self-designated key for his

³⁶¹ Worthen, 23.

³⁶² Pál Richter. "The Schumannian Déjà Vu: Special Strategies in Schumann's Construction of Large-Scale Forms and Cycles." *Studia Musicologica Academiae Scientiarum Hungaricae* 44 (2003): 305-20.

³⁶³ *Ibid.*, 315.

Eusebius, Davidsbündler personality – the one he designates for love, introspection, and passionate feelings in *Kreisleriana*.

Hoffmann also felt that enharmonic chord progressions and key respellings changed the way music sounded and could have a powerful effect. Schumann uses this technique by modulating from F# major to G \flat major to accentuate a particular phrase (measures 130-133).³⁶⁴

Movement 3: Sehr aufgeregt

Movement 3 is marked “Sehr aufgeregt” (very excited). Schumann establishes the main motivic idea at the beginning of this movement and then develops it throughout. The rhythmic motive at the beginning of the movement is the seed from which the B section is developed and grown (as shown in Examples 3.2 and 3.3). This is a musical representation of how a small-scale idea can be developed throughout a movement to provide unification, which is similar to compositional techniques used in *Papillons, and Carnival*.³⁶⁵

Sehr aufgeregt M.M. ♩=112
Molto agitato
3 *p*

Example 3.2. *Kreisleriana*, Op. 16, Mvmt. 3, *Sehr aufgeregt*, mm. 1-4.

³⁶⁴ Hoffmann, 287.

³⁶⁵ Sams, “The Tonal Analogue in Schumann’s Music,” 103.

Etwas langsamer M.M. ♩ = 92
Un poco più lento

The image shows a musical score for a piano piece. It consists of two staves, treble and bass clef. The tempo is marked 'Etwas langsamer' with a metronome marking of quarter note = 92. The instruction 'Un poco più lento' is written below the tempo. The score includes dynamics such as *p* (piano) and *sf* (sforzando). There are various fingerings indicated by numbers 1-5. A large slur covers the right-hand part. There are markings for 'L.H.' and 'R.H.' (Left Hand and Right Hand). There are also markings for 'rit.' (ritardando) and asterisks (*) below the bass staff.

Example 3.3. *Kreisleriana*, Op. 16, Mvmt. 3, Etwas langsamer, mm. 33-37.

Movement 4: Sehr Langsam

Movement 4 has an improvisatory feel with multiple ritardandos, fermatas, and lengthened motives throughout. This is an extreme departure from the previous movement's aggressive and bombastic opening and ending.

Although it is unlikely that Schumann is quoting Bach's g minor fugue from the Well-Tempered-Clavier Book I, the B section of No. 4 (the beginning of which is shown in Example 3.4) is alarmingly similar to the fugue's main subject. In accordance with Schumann's love for esoteric references, it would not be surprising if there were a correlation.

Bewegter M.M. ♩ = 69
Più mosso

The image shows a musical score for a piano piece. It consists of two staves, treble and bass clef. The tempo is marked 'Bewegter' with a metronome marking of quarter note = 69. The instruction 'Più mosso' is written below the tempo. The score includes dynamics such as *mf* (mezzo-forte). There are various fingerings indicated by numbers 1-5. There are markings for 'rit.' (ritardando) and asterisks (*) below the bass staff.

Example 3.4. *Kreisleriana*, Op. 16, Mvmt. 4, Bewegter, mm. 12-13.

Movement 5: Sehr Lebhaft

The beginning of Movement 5 uses angular rhythms and large, sudden leaps to represent Kreisler's sudden changes of mood (Example 3.5). In the middle of the movement, a widely sweeping arpeggio ascends and descends to accentuate this effect.

The public had no idea what to do with Schumann's music, particularly *Kreisleriana*.³⁶⁶ Liszt did not program the *Fantasie* or *Kreisleriana* because "they were too difficult for the public to digest."³⁶⁷ Schumann continually went back and forth between incorporating esotericism and accessibility into his pieces throughout his lifetime. The compositional process for this particular movement shows a rare moment in Schumann's life where he made a compositional choice simply aimed at aiding the audience's ability to understand his work. The ending was edited to finish on the tonic, instead of the bizarrely experimental dominant, to appeal to simpler audiences at the behest of Clara so that it was "more palatable to the public." Clara's ability to persuade Schumann to change the ending of this movement is indicative of how negatively the public was receiving the incredibly esoteric designs of his works.³⁶⁸ The altered version is shown in Example 3.6 with the original designated and labeled as "1st edition."

The image shows a musical score for the beginning of Movement 5 of Schumann's *Kreisleriana*. The score is in 3/4 time, marked "Sehr lebhaft M.M. ♩ = 160" and "Vivace assai". It features a piano (pp) dynamic and includes fingering numbers (1, 2) and a large number "5" indicating the movement. The score is written for piano and includes a large number "5" indicating the movement.

Example 3.5. *Kreisleriana*, Op. 16, Mvmt. 5, *Sehr lebhaft*, mm. 1-3.

³⁶⁶ Robert Haven Schauffler. *Florestan: The Life and Work of Robert Schumann*. New York: Henry Holt and, 1945, 128.

³⁶⁷ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 137.

³⁶⁸ *Ibid.*, 138.

1^{te} Ausgabe:
1st Edition:
1^{ere} Edition:

ritard.

1^{te} Ausgabe:
1st Edition:
1^{ere} Edition:

The image shows two systems of musical notation. The top system consists of a treble clef staff with a key signature of one sharp (F#) and a common time signature. It features a melodic line with eighth and sixteenth notes, and a bass line with quarter and eighth notes. A 'ritard.' marking is placed above the staff. The bottom system consists of a bass clef staff with a key signature of one sharp (F#) and a common time signature. It features a melodic line with eighth and sixteenth notes, and a bass line with quarter and eighth notes. There are some markings below the staff, including a star and some illegible text.

Example 3.6. *Kreisleriana*, Op. 16, Mvmt. 5, Sehr lebhaft, mm. 139-141.

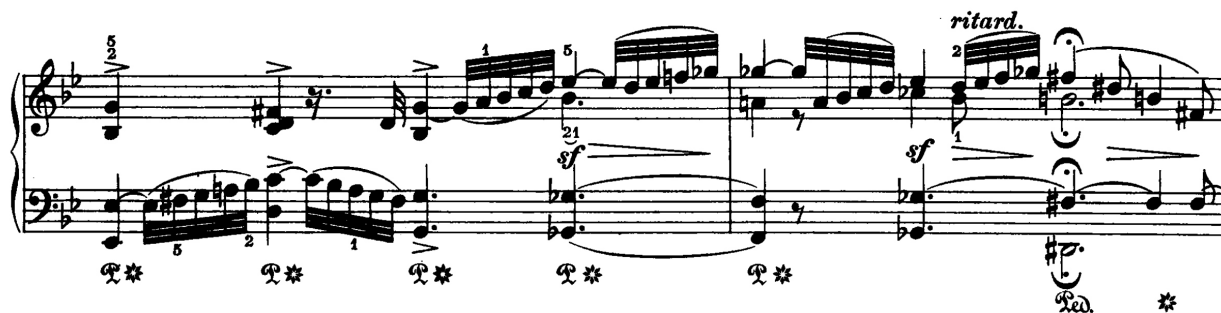
Movement 6: Sehr Langsam

According to Reiman, Movement 6 includes a quote from *Faschingsschwank aus Wien*, Op. 26. Measures 494-507 are shown to directly correlate to measures 7-8 of this movement.³⁶⁹ This is demonstrated in Examples 3.7 and 3.8. This correlation illustrates Schumann again quoting himself in his pieces and continues the use of overarching concepts of teleology in his works.

The image shows two systems of musical notation. The top system consists of a treble clef staff with a key signature of two flats (Bb, Eb) and a common time signature. It features a melodic line with eighth and sixteenth notes, and a bass line with quarter and eighth notes. The bottom system consists of a bass clef staff with a key signature of two flats (Bb, Eb) and a common time signature. It features a melodic line with eighth and sixteenth notes, and a bass line with quarter and eighth notes. There are some markings below the staff, including a 'p' marking.

Example 3.7. *Faschingsschwank aus Wien*, Op. 26, Mvmt. 1, Allegro, mm. 494-507.

³⁶⁹ Reiman, 150.



Example 3.8. *Kreisleriana*, Op. 16, Mvmt. 6, Sehr langsam, mm. 7-8.

Movement 7: Sehr rasch

Movement 7 has at its core a classical underpinning developed from Hoffmann’s love of past forms and Johann Sebastian Bach. At the same time, it is also set in the unpredictable digressive style of Hoffmann’s *Kreisleriana*. Schumann’s references to Bach in Movement 7 represent an infusion of digressive styles and past forms, and Schumann is able to seamlessly combine these musical and literary styles – both past and present.

Respect and admiration for Bach can be found in many different composers and literary figures during the Romantic period. Similar to many of his contemporaries, Schumann’s respect and love for Bach stems from his pianistic and musical education. Schumann had studied counterpoint and theory with Heinrich Dorn in 1831, which surely only served to strengthen his interest in Bach.³⁷⁰ This interest was also shared and furthered through his close friendship and admiration of Felix Mendelssohn, the composer credited with reviving interest in Bach’s music in the early 1800s.

Hoffmann’s love for Bach is expressed in a review of Beethoven’s 5th Symphony: “...the contrapuntal treatment indicates a profound study of the art, the incidental phrases, by constantly alluding to the main theme, demonstrate how the great master conceived and thought out the

³⁷⁰ Worthen, 61.

whole composition with all its passionate features.”³⁷¹ Johannes Kreisler’s love for Bach caused him to play Bach’s *Goldberg Variations* until he entered a dreamy stupor (as explained in Chapter 2.2), even after all his listeners in attendance had left.

In Hoffmann’s *Kreisleriana*, Johannes Kreisler “writes” a portion of his thoughts on the back of “Johann Sebastian Bach’s *Variations* for the piano,” specifically on the reverse side of the 30th variation.³⁷² Kreisler muses, “While I was playing, I even got out my pencil and, with my right hand, noted in cipher a couple of good alternative variations under the last staff on page 63 while my left hand was working through the notes.”³⁷³

As a way to musically represent Bach’s presence in *Kreisleriana*, Schumann includes multiple Bach-like styles and aspects: a two-part invention (shown in Example 3.10), chorale-like homophonic textures (Example 3.11), and gigue-like rhythms (encountered in Movement 8, shown in Example 3.12).³⁷⁴ Schumann writes, “The best fugue will always be the one that the public takes for a Strauss waltz; in other words, where the artistic roots are covered as are those of a flower, so that we only perceive the blossom.”³⁷⁵

Additional past forms being utilized in *Kreisleriana* include sonata form.³⁷⁶ For example, Movement 7 could be considered to have an exposition at its beginning (mm. 1-8), a development section that includes an imitative, two-part invention (mm. 9-80), a recapitulation (mm. 81-88), and a coda (mm. 89-116).³⁷⁷ Furthermore, Schumann achieves a “bookending”

³⁷¹ Hoffmann, 35.

³⁷² Hoffmann, 17.

³⁷³ Ibid.

³⁷⁴ Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 167.

³⁷⁵ Ibid., 309.

³⁷⁶ Reiman, 136.

³⁷⁷ Reiman, 136-140.

form of unity by using the E \flat major coda to “answer” the motivic material from the C minor exposition. The exposition’s main melodic contour, E \flat -D-C (3-2-1 on the downbeats) is resolved in the Coda with F-A-B \flat (5-7-1 on the downbeats). This concept is only strengthened when including the harmonizing material around each of the melodies. This produces the chord progressions of Cm:vi $^{\circ}$ 6/5-V7-i (over a pedal G) and B \flat M:I6-V4/3-I (the E \flat major coda starts in B \flat major and then modulates by using a repetitive motivic device to E \flat major) respectively, which compliment each other nicely in a conventional antecedent/consequent phrase structure.

Sehr rasch M.M. $\text{♩} = 132$
Molto presto

The musical score consists of three systems of piano music. The first system (measures 1-8) shows a complex melodic line with many slurs and ornaments, and a bass line with a prominent pedal point on G. The second system (measures 9-16) includes first and second endings. The third system (measures 17-24) shows the final melodic phrase and its resolution. The score includes dynamic markings like 'f' and 'ff', and performance instructions like 'Ped.' and '*'.

Example 3.9. *Kreisleriana*, Op. 16, Mvmt. 7, *Sehr rasch*, mm. 1-17.

The extreme difference in emotions from the beginning to the ending provides unity through affective digression. The coda of this movement additionally serves to act as a “distanced” recollection of the piece’s motives before it. In sum, Movement 7 is a combination of a classical underpinning generated from Hoffmann’s love of past forms and Bach, along with the crazy digressive style of his *Kreisleriana*.

The image shows two systems of musical notation for a piano piece. The first system consists of a grand staff with a treble clef and a bass clef. The right hand has a series of eighth-note patterns with fingerings 1, 2, 3, 4, 5, 4, 3, 2, 1. The left hand has a similar pattern with fingerings 2, 1, 2, 3, 4, 5, 4, 3, 2, 1. The second system continues the piece with more complex rhythmic patterns and fingerings, including a section marked *ff* and another marked *f*.

Example 3.10. *Kreisleriana*, Op. 16, Mvmt. 7, Sehr rasch, mm. 41-52.

The image shows two systems of musical notation for a piano piece. The first system is marked *Etwas langsamer* and *Un poco piu lento* with a *p* dynamic. The second system includes markings for *ritard.*, *a tempo*, and *ritard.* with a *p* dynamic. The notation includes complex rhythmic patterns and fingerings, with a section marked *L.H.* and another marked *Red.*.

Example 3.11. *Kreisleriana*, Op. 16, Mvmt. 7, Etwas langsamer, mm. 89-116.

Movement 8: Schnell und Spielend

Schnell und spielend M.M. ♩ = 100
Vivace e scherzando

8

Example 3.12. *Kreisleriana*, Op. 16, Mvmt. 8, Schnell und spielend, mm. 1-4.

Schumann uses jarring rhythms throughout *Kreisleriana* to show angularity, suddenness and awkwardness to express Kreisler's unpredictable character. This is shown not only in the unsettled gigue-like rhythms of the right hand, but also in the left hand's bass line. Often occurring unpredictably on off-beats, the bass line's rhythms change randomly throughout the A section and its subsequent reprises.

The first movement's crazy and bombastically loud beginning is juxtaposed against this movement's peaceful ending which is expressive of Kreisler's randomized thought processes. The first and last movements of *Kreisleriana* are opposites, and therefore function as a unified pair. In true Jean Paulian fashion, just as in *Papillons* (which also happens to end in a very anticlimactic way), an incredibly soft and unassuming ending acts as a fitting counterbalance to a crazy and loud beginning that potentially leaves the unwary listener wondering if it is time to applaud.

Kreisleriana – Conclusions

Kreisleriana vividly illustrates the depth of influence that Romantic literature has on Schumann's compositional style. For example, Schumann expresses the Romantic concept of incredibly personal and raw feelings of unattainable love through this work. Schumann refers not only to himself, but also to those around him, indicating Jean Paul's unique take on Romantic irony. Also, Schumann musically represents Kreisler by not only incorporating digressive unity into *Kreisleriana*, but also by accentuating an extreme suddenness of the digressions themselves – just like the crazy and spontaneous aspects of Kreisler's personality. This technique is similar to the compositional contrasts used in *Papillons* and *Carnaval*, but on an entirely new level.

The esoteric qualities of *Kreisleriana* are similar to *Papillons* and *Carnaval*. However, in *Kreisleriana*, Schumann was persuaded to change his composition for his audience's accessibility and the full, artistic and expressive effect of the moment, in the eyes of this paper's author, is as a result lost. Reportedly, Sigismond Thalberg, a famous contemporary virtuoso pianist, played *Kreisleriana* perfectly at sight.³⁷⁸ If only Schumann's audiences had felt the work as accessible, maybe he would not have had to modify his work.

Kreisleriana, through its highs and lows, its contradictions, and its spontaneity, is Schumann's musical depiction of his own Doppelgänger, Johannes Kreisler. Because the representation of a dual personality allows for incredible contrasts of highs and lows, a composer or author can express a limitless palette of emotions and ideas in his works. Schumann was drawn to this irresistible treasure trove of literary and expressive possibility in Hoffmann's works, and the character of Johannes Kreisler was so alike Schumann that he could not avoid representing him in music.

³⁷⁸ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 173.

Conclusion

In 1843, Schumann would write, “I forget ever more and more how to write the letters of the alphabet – I want nothing except music, ever.”³⁷⁹ This illustrates how Schumann had successfully reached a point in his artistic career where fusing literature into music had become second nature to him.

His journey started back when an ever-changing definition of Romanticism had produced a myriad of Romantic ideologies that influenced literary authors. Schumann’s love for books during his youth came a father who pushed Schumann to read everything he could get his hands on. At first a poet, Schumann was always interested in books and wrote often. His love for ciphers and puzzles arises out of this experience and it would not have occurred if it had not been for his literary upbringing.

Schumann’s vast knowledge of multiple Romantic literary novelists, such as Jean Paul and E.T.A. Hoffmann exposed him to Romantic concepts such as the dream state where he realized that he could best achieve an artistic space to experience the metaphysical. In this space, he wrote music that conveyed Romantic distance and Romantic irony, among other things. The Romantic idea that one art can fertilize and inspire another is apparent in all of Schumann’s music that has literary influence. Furthermore, the digressively teleological formal constructions of his works show Romantic influences from both Dualistic and naturalistic concepts.

Literature’s influence upon Schumann on a personal level cannot be understated. When exposed to dualistic ideas and the concept of the Doppelgänger, he reacted by creating a solipsistic rendering of a dichotomic Doppelgänger within himself. His *Davidsbündler*, inspired

³⁷⁹ Worthen, 223.

from his exposure to dualistic characters that Jean Paul created through his creative interpretation of Dualism, was only further solidified through his interaction and fascination with Hoffmann's Johannes Kreisler. Additionally, both Hoffmann and Schumann grappled on a personal level with how an artist's role in artistic creation and his insatiable need for esotericism in his art affected the general public, the Philistine.

Schumann expressed these literary ideas not only through his writings in newspapers, letters and his diary entries, but also in his musical compositions. *Papillons* demonstrates digressive teleology that reflects Jean Paul's writing style. *Carnaval*, the ultimate example of large-scale complexity coming from Schubert's small waltz "idylls," includes hidden meanings and ciphers making it arguably Schumann's greatest musical expression of Romantic literature. *Kreisleriana* is a musical representation of the Romantic Doppelgänger and also shows us how much Bach influenced Schumann. These three compositions illustrate the incredible amount of Romantic literary influences on Schumann's compositional style, and help us begin to understand the importance of Romantic literature to Schumann in not only all of his piano works, but all of his artistic pursuits.

As discussed earlier, an understanding of Romantic literary influences on Schumann's compositional style is important not only from a musicological perspective, but also from a performer's perspective. Learning and understanding the foundations of Schumann's style – which include significant concepts and teachings from Romantic literature – allows the performer to better understand Schumann's intent and convey the true essence of a piece. Schumann composed music *as* literature and viewed his musical compositions as literary creations with the depth of their literary counterparts. The performer's medium for creative

expression, his or her instrument, provides an exceptional brush with which to paint Schumann's artistic creations in musical form.

One limitation of this study was the consideration of a small grouping of pieces. While this did allow for a close scrutiny of the literary influences within a specific subset of Schumann's work, this study could further benefit from an expansion of the compositions under consideration. To that end, I plan to include his *Davidsbündlertänze*, Op. 6 in the future and also explore the compositional genesis behind the *Fantasie*, Op. 17. Another interesting inquiry would be a study of which non-piano compositions were influenced by Schumann's literary background and how these influences manifested themselves.

On a personal note, through the process of both researching and writing on this topic, I have been significantly affected. This study has fanned the flames of my love and passion for music in general and has produced a new level of respect, awe, and borderline reverence for Schumann's music that I did not have before. No other composer that I have encountered (yet) has so seamlessly infused intellectual complexity with musical beauty. Bach certainly does this as well, but he brings a different type of complexity to the table. I feel lucky to have been exposed to the music of Schumann in this capacity and consider myself humbled as a result of this project.

My hope with this paper is that it impacts modern day performances to the extent that I feel all performers should at the very least know *some* of a work's history. The knowledge of how music is constructed is essential to understanding how the composer conceived of the creation in the first place and I do believe it can potentially improve a performer's product.

I am also a firm believer that the more you write about music the less it tends to make sense. Music is, after all, a language in of itself, and there is no better language to express music's meaning than music. Literary influences, intellectual complexities, and hidden meanings tend to become less important to an observer when music is being performed.

As such, I believe Schumann would have wanted his performers to let his pieces speak for themselves. Schumann claimed to have written programmatic inscriptions only after his musical compositions were complete and, whether this is realistically accurate or not, it at the very least demonstrates that he felt that music always came first and foremost.³⁸⁰

In perhaps an ultimate expression of this, is Schumann's purposeful decision to compose unbelievably complex esoteric music that *requires* non-musical explanation to truly understand its non-musical parts meaningful? What if Schumann's supreme goal was to compose music in a way that demonstrated that words by themselves (or any other non-musical artistic medium for that matter) are not sufficient to fully express a composition's higher meaning? Perhaps Schumann incorporated literature into his music to show that not only was music the best artistic vehicle to wholly achieve a higher realm of art, but also that music – and music alone – was the best medium to express itself. Perhaps everything that is seemingly important in Schumann's music is not important after all.

Now, *that* would be ironic.

³⁸⁰ Daverio, *Robert Schumann: Herald of a "New Poetic Age,"* 132.

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VITA

Christopher Mechell, a teaching assistantship and music scholarship recipient throughout his years, has studied with Evelyne Brancart, Edward Auer, and Craig Sheppard. Christopher obtained his Bachelor's degree in Piano Performance from the Jacob's School of Music at Indiana University in Bloomington, Indiana, in 2008. In 2011, he completed his Master's Degree in Piano performance at Indiana University with a secondary emphasis in Music Theory. In 2016, Christopher completed his Doctor of Musical Arts degree at the University of Washington in Piano Performance.