Exploring Liszt and Schumann:

The Exterior and Interior Inspiration for Their Compositional Works

Ye Zheng

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Robin McCabe, Chair

Craig Sheppard

Rhonda Kline

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Abstract

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Ye Zheng

Chair of the Supervisory Committee:

Robin McCabe

Department of Music

A comprehensive examination about Franz Liszt and Robert Schumann's external and internal inspiration for their compositions. To understand the artistic essence of them, a thorough exploration of the literary foundations underlying their different ways of inspirations for compositions is presented in the article. The first and second volume of *Années de Pèlerinage* were mostly composed by Liszt during the travel time with Countess Marie d'Agoult. The article begins with looking through the correlation between literary references and the pieces from the first volume of *Années de Pèlerinage*; furthermore, a detailed analysis with *Vallée d'Obermann* is addressed in the second chapter, investigating the progress of Liszt's compositional skill under different versions, discussing the reflection through musical narrative for Senancour and Byron's literary works. Next chapter begins to discuss *Dante* sonata, addressing the literary reflection through the music and investigating the forms.

The fourth and fifth chapter begins to focus on Schumann, discussing the influences under his literary model Jean Paul and analyzing the impact of programmatic plots in his early work *Papillons.* In addition, we further explore the impact of Jean Paul's work which inspired Schumann to invent his own alter-egos and dual personality. Although the analysis through his work reveals that Schumann's music tends to present disorganized and chaotic structure, quick shift of mood, contrasting fragments, irregular rhythm, and unexpected harmonies, however, under the careful examination of his work *Papillons* Op.2 and *Carnival* Op.9 in the fifth chapter, we found out he employs multiple compositional approaches to bind and connect those witty links between different pieces to achieve the cohesive unity in the composition.

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Introduction

Franz Liszt and Robert Schumann are two distinguished composers of the Romantic Era. Born in 1811 and 1810 respectively, the two composers followed distinct pathways in developing their musical careers and compositional inspirations. Liszt, renowned as a virtuoso pianist, composer, conductor, arranger and teacher in the Romantic Era, was strongly influenced by external sources of inspiration such as literature, painting, nature and religion throughout his artistic journey. He was born in Hungary but spent years in France during his adolescent years. Later, his extensive travels across Switzerland, German, and Italy enriched his compositions. Liszt's reliance on external stimuli shaped the distinctiveness of his compositional works.

Liszt began his exploration of external sources of compositional inspiration in the early years of his career. Seeking new tools for musical expression, Liszt spent a great amount of time reading poetry during his stay in Paris in the 1830s. This literary engagement, particularly evident in the first volume of his work *Années de Pèlerinage,* had a profound influence on his compositions. Liszt was inspired by two teachers, Anton Reicha and Carl Czerny, who suggested that a composer should imitate good poets and capture the intonation of the human voice. Their influence can be seen in his use of strong sound factors based on literature. This included incorporating poetic quotations at the beginning of his scores, transposing literary works to musical compositions (e.g., a ballad), and using dynamics and specific articulations to reflect nuanced emotions of the text.

In contrast to Liszt, Schuman exhibits very different sources of inspiration in his compositions. His impetus was primarily from internal sources--he could have lived in a basement and written all these works, which were rooted in his inner demons. While external elements, notably literary figures such as Jean Paul, ETA Hoffman and others, also played a role in shaping his compositions, Schumann's major works were mainly inspired by his intricate

inner mental world. His internal conflicts were expressed through his two projected characters with opposing personalities: Florestan and Eusebius, portraying Schumann's dual personality in his major compositions.

To understand the artistic essence of Franz Liszt and Robert Schumann, a thorough exploration of the literary foundations underlying their compositions is essential. This dissertation will begin with a detailed exploration of the literary background shaping the first volume of Liszt's *Années de Pèlerinage*. Liszt employs diverse compositional approaches to create sound effects that mirror the text of the literary sources. This dissertation will then present a closer examination of Liszt's literary inspiration for the piano works *Vallée d'Obermann* and the second volume of The *Dante* Sonata. The analysis will reveal the influence of Romantic poets and authors in Liszt's compositional approach. Figures such as Byron, Senancour, and Dante will be seen as important sources of inspiration.

Despite Schumann's long struggle with mental illness, his musical compositions stand out as significant contributions to the Romantic Era. In the second half of the dissertation, we will explore Schumann's literary inspiration from Romantic literature, in particular the German author Jean Paul and his work *Flegeljahre*, reflected in Schumann's early composition, *Papillons*. His work shows similarities and parallels to some concepts in Romantic German literature. Filled with quick alterations of characters and moods, coupled with unexpected harmonies, his works are full of surprises. Schumann uses various compositional skills to construct his character pieces as a whole. A detailed analysis of Papillon will reveal Schumann's distinctive compositional skill by examining structure, key selections, harmonies and so forth. Subsequently, we will explore Schumann's two musical alter-egos, Florestan and Eusebius, which represent his dual character, and discuss how he utilizes them in musical compositions. A

thorough analysis of *Carnaval* is conducted. The final segment of the dissertation will present some conclusions about Liszt and Schumann, the interplay between Romantic literature and their musical compositions and the new techniques they employed in their works.

Chapter 1

External Inspiration Through Liszt's Different Periods

Franz Liszt was born in 1811 into a German-speaking family living in Hungary. Growing up in an atmosphere of cultural diversity, residing in various cities throughout Europe during his life-- these circumstances profoundly influenced his compositional style. He was regarded as "cosmopolitan" due to his multi-national, multi-cultural life. In his early years, his major teachers were the Italian composer Antonio Salieri and the Austrian composer and pianist Carl Czerny. In his adolescent years, he moved to Paris with his family, where he lived for twelve years and mastered French, his preferred language of communication. Later in his life, Liszt spent years in Weimar, Budapest, and Rome, transitioning from a career as a concert pianist to a focus on composition. His extensive travels, including visits to Russia, and participation in American festivals such as July Fourth, further contributed to the evolution of his compositional style. The varied nature of Liszt's surroundings played an important role in shaping the trajectory of his compositions. As a "Pilgrim", Liszt remained dedicated to traveling and self-discovery throughout his lifetime.

In his early years, Liszt was regarded as a virtuoso pianist, toured widely and played thousands of concerts. A major artistic event during these years was the publication of 12 studies, the *Etude en Douze* exercise. Liszt began this composition at the age of 13, significantly influenced by his teacher Carl Czerny's work, *School of Velocity*. A milestone of his early years was marked by his publication of this work, based on which he composed *Twelve Grand Etudes,* published in 1839. The final revision, *Douze Études d'Exécution Transcendante*, was published in 1852.

The term "*Exécution Transcendante"* in the title, meaning "transcendent execution", signifies overcoming conventional technical constraints. In his article *The Greatest Showman,* published in *The New Yorker*, Alex Ross echoes Jim Samson's assertion drawn from a survey that "Lisztian virtuoso 'stood for freedom, for Faustian man, for the individual in search of self-realization—free, isolated, striving, desiring.'"[1]Samson also explains that these attributes are reflective of Liszt's life and his quest for self-identity. These attributes are evident in Liszt's subsequent compositions, such as *Années de Pèlerinage.* The thematic continuity across Liszt's works underscores a consistent exploration of the notion of freedom, isolation, striving, and desire.

Paganini, the virtuoso violinist, greatly inspired Liszt's compositions. Following his attendance at one of Paganini's concerts in Paris in 1832, Liszt was captivated by the extraordinary virtuosity displayed by the violinist. The idea of "Paganini of the piano" had not yet appeared among pianists, a title Liszt aspired to achieve for himself. With admiration for Paganini's dazzling skills, Liszt resolved to create a new piano repertoire that would transfer some of Paganini's feats to piano, such as tremolos, spiccato, glissando, big leaps, and bell like harmonies. He selected Paganini's unaccompanied Caprices and rewrote them as piano works. One outcome of this project was the "*Clochette*" Fantasy, which was the initial version of "La *Campanella*". The final revision, comprising six etudes, was published in 1851 and is still played by today's pianists.

Two women greatly influenced Franz Liszt's career. Marie d'Agoult, whose relationship with Liszt lasted from 1833 to 1844, left a deep impact on Liszt's compositional style. The next

[1] Alex Ross, "The Greatest Showman" *The New Yorker*, September 4, 2023. https://www.newyorker.com/magazine/2023/09/11/lisztomania-enters-the-twenty-first-century.

part will provide an in-depth exploration of her influence. The other woman was Princess Carolyn Sayn-Wittgenstein, whom Liszt encountered at a recital in Kiev, Ukraine in 1847. She persuaded him to transition from performing to full-time composition. Later, he and Princess Carolyn moved to Weimar, Germany, where they resided for over a decade. During that time, Liszt's compositional approach transformed from virtuosic piano writing towards program music and symphonic poems. A symphonic poem is a single movement piece for orchestra that evokes specific moods. This form allowed Liszt to use non-musically related themes, such as a poem, history or a painting. In addition, Liszt began the revision of *Album d'un Voyageur*, which was given a new title- *Années de Pèlerinage* in 1855.

In general, the evolution of Liszt's compositional style can be divided into three periods: early, middle and late years. The early and middle years were mainly inspired by literature and nature. In the later years, Liszt focused on the revision of his works, introducing innovations in tonal, harmonic, and structural elements.

Literary Elements in Liszt's Compositional Evolution

A considerable number of Liszt's early compositions, such as *Années de Pèlerinage*, were influenced by Romantic literature, sometimes incorporating prefaces and epigraphs. As early as the year 1830, while growing up as a piano prodigy, Liszt's compositional aspirations began to grow. He developed a distinctive musical language and introduced an innovative mode of musical expression at the beginning of his compositional career. When we explore Liszt's piano repertoire, we will find numerous works with literary connections, featuring extensive quotations from various poets and authors.

Liszt spent a great amount of time exploring literature, including poetry and numerous texts. In a letter addressed to his friend, he wrote, "Homer, the Bible, Plato, Locke, Byron, Hugo, Lamartine, Chateaubriand, Beethoven, Bach, Hummel, Mozart, Weber are all around me. I study them, meditate on them, devour them with a fury; besides this, I practice four to five hours of exercise (thirds, sixths, octaves, tremolos, repetition of notes, cadenzas, etc.)" [2] The correspondence indicates that Liszt built a literary sensibility at the beginning of his career. Futhermore, Lina Ramann, a friend and biographer of Liszt, reported observing the young composer sitting for hours, motionless, with a volume of Lamartine's poetry in his hands. Liszt's new musical approach, rooted in literary inspiration, incorporated a strong sonic element to convey the essence of literary texts. Employing various articulations and dynamics, Liszt skillfully evoked emotions and vivid scenes within his compositions.

In 1833, Liszt encountered a noblewoman, Marie d'Agoult, at a Paris salon. Her profound influence persisted throughout several decades of his life. Unhappily married to an older man, Marie found herself drawn to Liszt, who was seven years younger. Marie described their first encounter: "The door opened, and a wonderful apparition stuck my eyes, I say an apparition, for I can find no other word for the powerful emotion that stirred me at the sight of the most extraordinary person I had ever seen."[3] Liszt experienced the same sensation. Baur writes "In Marie, Franz Liszt found the stimulation of a woman of brilliant culture who shared her knowledge and literary interests with him."[4] Their correspondence over the next couple of months led to multiple travels to meet with each other. This relationship eventually became

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[2] Alan Walker, *Franz Liszt, The Virtuoso Years, 1811-1847*. Revised edition. (Ithaca, N.Y: Cornell University Press, 1987), 174.
[3] Marion Bauer, "The Literary Liszt" *The Musical Quarterly* XXII, no. 3 (1936): 305.
[4] Ibid., 306.

settled when they had their first child. To escape from scandal, Liszt and Marie embarked on a trip to southern Europe, with stops including Lake Constance, Wallenstadt (the lake of William Tell Country), the Rhone Valley, and Geneva in Switzerland.

The Swiss volume, *Années de Pèlerinage,* was a product of Liszt's and Marie d'Agoult's travel experiences. It was during this period that Liszt's literary sensibility underwent evolution. Lina Ramann provides a description of this time- "Five years of wandering life through Switzerland and Italy followed the storm of Paris, with no other aim and no other end than to satisfy the love of traveling and the necessity of self-education."[5]

Liszt's passion for literature reached its peak in the milieu of the 1830s. According to Marie d' Agoult's memoirs, Liszt's love of literature led him to explore all "innovations in the arts and letters which threatened the old disciplines: *Childe Harold*, *Manfred* [Byron], *Werther* [Goethe], *Obermann* [Senancour], all the proud or desperate revolutionaries of romantic poetry were the companions of his sleepless nights."[6] Over the following decade, these literary inspirations were manifested in the *Années de Pèlerinage*, the Swiss volume and the Italie volume.

Swiss Years

The *Album d'un Voyageur*, written between 1835 and 1838, marks Liszt's association with art and literature and serves as the original version of *Années de Pèlerinage.* The album has 19 separate pieces and is organized into three books: *Impressions et Poesies*, *Fleurs mélodiques*

[5] Lina Ramann, *Franz Liszt: Artist and Man*, Vol. 2, trans. Miss E. Cowdery (London: W.H. Allen & Co., 1882),116.
[6] Adrian Williams, *Portrait of Liszt by Himself and His Contemporaries* (Oxford: Clarendon Press,1990), 58.

des Alpes, and *Paraphrase*. The three volumes chronicle Liszt's travel and life experiences in Geneva, Switzerland, and in Italy. Inspired by natural landscapes, literature (particularly poetry), art and folklore, the entire collection reflects the diverse influences on Liszt's creative process. His virtuosic twelve Transcendental Studies and six Paganini Etudes were also composed during this period of travel.

The first album, "the *Impressions et Poésies"* chronicles the beginning months of the trip, while the *Fleurs mélodiques des Alpes*, draws inspiration from Swiss folk tunes and themes attributed to the Swiss composer Ferdinand Huber (1791-1863). The third album, *Paraphrase,* includes a collection of short fantasies. The first and third pieces of *Paraphrase,* namely *Ranz des vaches* and *Ranz des* chèvres, are also derived from themes by the Swiss composer Ferdinand Huber. The second piece, *Un soir dans les montagnes*, meaning *An Evening in the Mountains*, opens with a pastoral theme rooted in the musical repertoire of Ernest Knop, a Swiss publisher and composer.

The following are the full titles of the albums:

Album d'un Voyageur

I. *Impressions et Poesies*

1. *Lyon*
2. *Le Lac de Wallenstadt*
3. *Au bord d'une source*
4. *Les cloches de G…*
5. *Vallée d'Oberman*
6. *La Chapelle de Guillaume Tell*
7. *Psaume*

II. *Fleurs mélodiques des Alpes*

1. Allegro
2. Lento
3. Allegro pastorale
4. Andante con sentiment

5. Andante molto espressivo
6. Allegro moderato
7. Allegretto
8. Allegretto
9. Andantino con molto sentimento

III. Paraphrase

1. *Ranz de vaches* (Aufzug auf die Alp, Improvisata).
2. *Un soir dans les montagnes* (Nocturne pastoral)
3. *Ranz des* chèvres

In the preface of the *Album d'un Voyageur*, published in 1842, Liszt wrote about his inspiration derived from his extensive travels:

"I have latterly traveled through many new countries, have seen many different places, and visited many a spot hallowed by history and poetry; I have felt that the varies aspects of nature, and the different incidents associated with them, did not pass before my eyes like meaningless pictures, but that they evoked profound emotion within my soul; that a vague but direct affinity was established between them and myself, a real, though indefinable understanding, a sure but inexplicable means of communication, and I have tried to give musical utterance to some of my strongest sensations, some of my liveliest impressions."[7]

Between the years 1848 to1854, Liszt made a comprehensive revision of *Album d'un Voyageur,* the majority of which originated in the 1830s and 1840s. The third book, however, was not published until the later years of his life. The complete collection has three volumes and 26 pieces, including the supplement dedicated to the Italian years. Liszt gave a new title to his first collection, *Années de Pèlerinage, premiere anne, Suisse* (S 160). Humphrey Searle, in his commentary on Liszt's musical cycle, emphasized the composer's deep inspiration drawn from nature: "In it [the Suisse annee] we see romantic landscape painting at its best… Liszt, by the

[7] Bauer, *The Literary Liszt*, 307.

freshness of his vision, did succeed in contributing an entirely new element to the music of composers."[8]

Années de Pèlerinage encompasses a total of nine compositions, with seven selected and revised from the prior *Album d'un Voyageur.* Among these compositions, five pieces originated from the original album, *Impressions et Poésies*, while two were drawn from *Fleurs mélodiques des Alpes*. Additionally, two new works, *Eglogue* (1836) and *Orage* (1854), were incorporated into this collection. The first volume, titled *Swiss*, drew inspiration from the natural landscape observed by Liszt during his travels with Marie. Alan Walker writes, "These pieces, distinctly impressionistic in character, are filled with sights and sounds of the Swiss countryside, whose natural beauty enchanted him." [9]

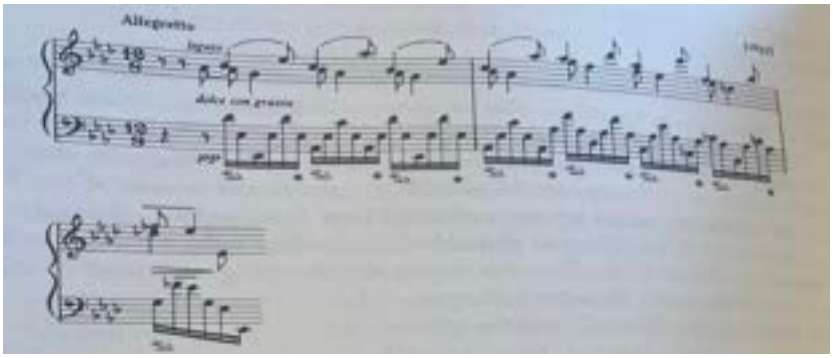
The main thematic influences shaping the compositions in *Années de Pèlerinage* stem from nature, folk songs and literature. Several pieces within this collection are accompanied by textual prefaces, varying in length from brief one-line mottoes to concise fragments. Notably, the works *Pastorale* and *Les cloches de* Genève lack specific mottoes, while *Les cloches* includes a quotation from Byron in its album version. The additional contents introduced in *Années de Pèlerinage* are outlined as follows:

1. *Chapelle de Gullaume Tell* (William Tell's Chapel)
2. *Au lac de Wallenstadt* (At Lake Wallenstadt)
3. Pastorale
4. *Au bord d'une source* (Beside a Spring)
5. *Orage* (Storm)
6. *Vallée d'Obermann* (Obermann's Valley)
7. *Eglogue* (Eclogue)
8. *Le mal du pays* (Homesickness)
9. *Les cloches de Genève: Nocturne* (The Bells of Geneva: Nocturne)

[8] Humphrey Searle, The *Music of Liszt*, 2d rev. ed (New York: Dover, 1966), 29.
[9] Walker, *Franz Liszt, The Virtuoso Years*, 217.

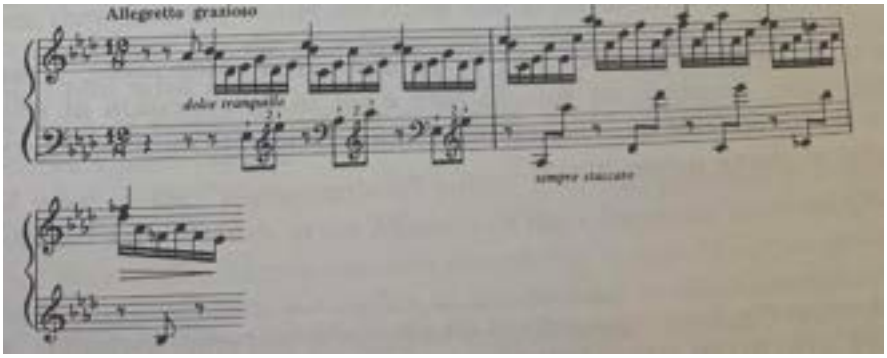
In his latest version, *Vallée d'Obermann* and *Les cloches de Genève* are almost recomposed. The next chapter will present a comparative analysis of the initial and revised versions of *Vallée d'Obermann*. Notably, all revisions demonstrate improvement from the structural standpoint. For example, in *Au bord d'une source*, Liszt revised the layout for hands crossing, reflecting a better understanding of handling the keyboard texture. In 1835, Liszt wrote:

Example: 1.1: Franz Liszt, *Au bord d'une source* Version 1.



In the later version, nearly twenty years after, in 1855, Liszt discovered a new way to present the same musical material, which makes the crossing motion more effective:

Example 1.2: Franz Liszt, *Au bord d'une source* Version 2.



Examining the entire collection, Liszt depicts water in *Au lac de Wallenstadt* and *Au bord d'une source*; a storm in *Chapelle de Gullaume Tell* and *Orage*; and bells in *Eglogue* and *Les cloches de Genève.* Existing Swiss folk melodies appear frequently in several of the selections: a Swiss Alpine horn melody in *Chapelle de Gullaume Tell;* a Swiss shepherd song (*Ranz des* chèvres) in *Eglogue*, and a lonely herdsman's horn melody (Ranz *des vaches*) in *Pastorale* and *Le mal du pays*.

Liszt employs various musical patterns to reflect poetic elements within the compositions. For example, the running sixteenth notes in the left hand in *Au lac de Wallenstadt* capture the imagery of the lake and the mournful sound of the wind. In *Orage,* Liszt employs running octaves, arpeggios, and chromatic octaves to create a stormy and tempestuous effect. Throughout this collection, Liszt includes literary references to complement his depiction of travel and personal experiences. Notable sources include Lord Byron's long narrative poem *Childe Harold Pilgrimage* (1812), Freidrich Schiller's Der Flüchtlinge ("The Fugitive"), the French novel *Obermann* (1804) by Etienne Pivert de Senancour, and a Swiss motto. These literary allusions serve to enrich the thematic depth and cultural context of Liszt's compositions.

The prefaces of four pieces, *Au lac de Wallenstadt*, Orage, *Vallée d'Obermann* and *Eglogue* from *Années de Pèlerinage, prèmiere année, Suisse*, contain quotations from *Childe Harold's Pilgrimage* by Byron. This literary work portrays a young man wandering through different countries. Liszt might have been inspired by this work and borrowed the word "pilgrimage" from it. The idea of pilgrimage in literature appears in Chaucer's *Canterbury Tales*, Bunyan's *Pilgrim's Progress* and Byron's *Childe Harold's Pilgrimage*, to name a few. However, in music, the first notable example of pilgrimage is Liszt's "*Années de Pèlerinage*". The concept of depicting travels can be traced to the Baroque era. For example, Domenico Scarlatti employed

sound effects to imitate bells, bagpipes, and folk tunes in his sonatas, similar to Liszt's *Années de Pèlerinage.*

In the French-English dictionary, the definition of *pèlerinage* means pilgrimage, a journey undertaken to a specific destination as an act of devotion. The English dictionary describes it as a journey to a sacred place. The Merriam-Webster's Dictionary elaborates on this concept, defining it as "the act of journeying or wandering as an exile, traveler, or especially as a devotee seeking a shrine or scared place."[10] This latter definition is reflective of Franz Liszt's experiences in his collection *Années de Pèlerinage*. During that period, Liszt and Mari d'Agoult had to depart from Paris due to the scandal of her pregnancy. Their subsequent trip to Switzerland and Italy was captured in *Années de Pèlerinage,* which portrays the places they visited and the literature they appreciated during this phase.

Karen Wilson states "Perhaps the best commentary on Liszt's definition of pilgrimage in these pieces occurs in the extracts from recognized literature that he himself affixed to several of them."[11] In the new version of *Années de Pèlerinage*, Liszt carefully made the pieces resemble the literary sources from which they were drawn: they reflect each other—the text fits specific pieces, and the content is associated with the meaning of pilgrimage.

The first piece in this collection, *Chapelle de Gullaume Tell* bears the motto "One for all, all for one", attributed to William Tell, a revered Swiss national hero.

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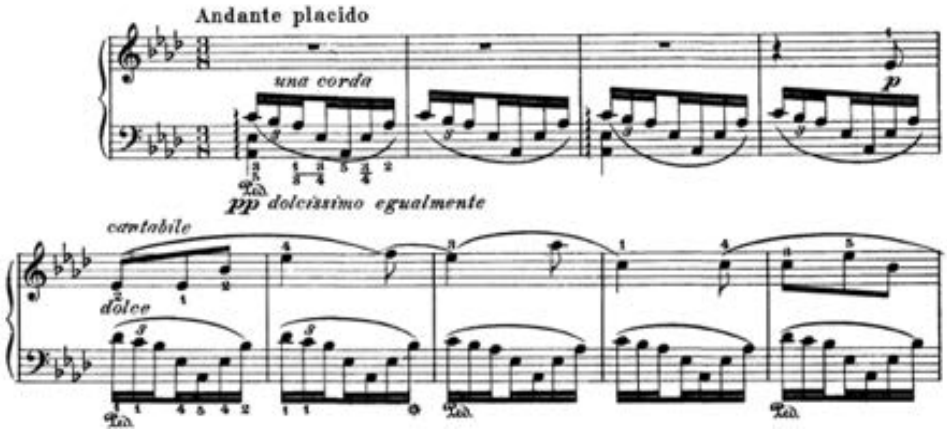
[10] *Merriam-Webster.com Dictionary*, s.v. "pilgrimage," accessed November 8, 2024. https://www.merriam-webster.com/dictionary/pilgrimage.
[11] Karen Sue Wilson, "*A Historical Study And Stylistic Analysis Of Franz Liszt's* '*Années de Pèlerinage*.'" (ProQuest Dissertations Publishing, 1977), 18.

Au lac de Wallenstadt is accompanied by a quotation from Byron's "Childe Harold'

"thy contrasted lake,
With the wild world I dwelt in, is a thing
Which warns me, with its stillness, to forsake
Earth's troubled water for a puere spring"

It refers to a town where the couple stayed during their travels, the Wallenstadt of Lake Wallen. The poetic fragment comes from the quotation of *Childe Harold's Pilgrimage.* Based on Humphrey Searle's book *The Music of Franz Liszt,* he cited "Comtesse d'Agoult wrote in her memoirs: " The shores of the lake of Wallenstadt kept us for a long time. Franz wrote there for me a melancholy harmony, imitative of the sigh of the waves and the cadence of the oars, which I have never been able to hear without weeping."[12] The piece mostly consists of sixteenth note triplets, with the left hand featuring four sixteenths to imitate the movement of water. The right-hand melody is simple but stays tranquil and serves to imitate poetic expressions. One may hear the "sighs of the waves" at the end of the piece as the right hand displays a descending pattern.

Example 1.3: Franz Liszt, *Au lac de Wallenstadt mm*1-9.



[12] Searle, *The Music of Liszt*, 26.

Au bord d'une source bears a quotation from Schiller *Der Flüchtlinge* ("The Fugitive'),

"In the rustling coolness
Begins the play
of young nature."

The remaining references and titles are listed as follows:

Orage " But what of ye, O tempests! is the goal?
Are ye like those within the human breast?
Or do ye find, at length, like eagles, some high nest?"
(Byron's Childe Harold)

Vallée d'Obermann (See Below; p 20)

Eglogue " The morn is up again, the dewy morn
With breath all incense, and with cheek all bloom,
Laughing the cloud away with playful scorn
And living as if earth contain'd no tomb."
(Byron *Childe Harold*)

The four pieces above (excluding *Au bord d'une source*) derive their literary inspiration from Byron's Canto III. By borrowing the word "Pilgrimage", Liszt sought not only to chronicle his journey with Marie through Switzerland and Italy, but also to characterize this particular period of his life.

Le mal du pays *"* Nature has put the most forcible expression of romantic character in sounds, and it is especially by the sense of hearing that you can render perceptible by a few impression and in a striking manner both extraordinary places and things."
(Selection from Senancour's *Obermann*)

In *Années de Pèlerinage, Les cloches de Geneve* does not bear a preface. However, in the earlier version of the *Album d'un voyageur,* the piece has a quote from Byron's Canto III:

Les cloches de Genève "I live not in myself, but I become
Portion of that around me."

(Byron's Childe Harold: 1st version; omitted in Années)

These literary references and the title of the collection indicate Liszt's pictorial and literary inspiration. Liszt draws from French Romantic literature in this collection, reflecting on his wandering trip, searching for the meaning of life, and connecting with nature. In *Vallée d'Obermann*, he employs t hematic transformation as a new compositional approach to integrate Classical music with Romantic literature, thereby creating a new tool of expression for music. *Années de Pèlerinage* is an excellent example of how Franz Liszt combined literature, poetic image, and musical sound into a cohesive work.

Chapter 2

Vallée d'Obermann

Literary Inspiration

Liszt, a prominent figure in Romanticism, embodied the concepts of Romanticism not only in his music but also in various aspects of his life. As a virtuoso pianist, his fame, public image, travels, and even his elegant appearance, including his hair and clothes, all reflected the essence of Romanticism. Schuman noted that Liszt was a sharp observer, stating, "There can be no doubt…that we have here to deal with an extraordinary, multiply moved mind as well as with a mind influencing others. His own life is to be found in his music."[13] This "multiply moved mind" is moved by literature, art, and profound thoughts. Liszt incorporated influences from his life, psyche, nature, and his subjective sense of the artist into his music.

Vallée d'Obermann was first published in *Album d'un Voyageur,* in 1842. Later, Liszt revisited and reissued the piece as part of his newly named collection, *Années de Pèlerinage: Suisse*. The preface of this collection is inspired by two works from nineteenth-century Romantic literature: *Obermann* (1804), a French novel by Étienne Pivert de Senancour (1770-1846), and *Childe Harold's Pilgrimage* (1812), a lengthy English poem by Lord Byron (1788-1824).

In the first version of *Vallée d'Obermann,* within *Album d'un Voyageur*, Liszt dedicated the composition to Étienne Pivert de Senancour. Senancour's novel *Obermann* portrays a gifted young man seeking an escape from family who travels from Paris to Switzerland. The protagonist communicates his reflections to an unidentified friend through letters spanning a decade. He expresses, through the act of writing letters, "all that runs through my head, my stray

[13] Konrad Wolff, ed, and Paul Rosenfield, trans, *Robert Schumann on Music and Musicians, (Berkeley: University of California Press, 1983),*147.

thoughts… all that I think, all that I feel."[14]. Each letter is carefully dated. Liszt incorporates the chronological structure of Senancour's *Obermann* into the title of his revised *Album d'un Voyageur*. In his article "*Motive and Program in Liszt's Vallée d'Obermann"*, Andrew Flower, discussing the relationship between Liszt's composition and Senancour's work, writes "The dark overtones of Obermann are somewhat autobiographical for Senancour; after separating from his wife, he spent time traveling in the mountains to grasp and understand his 'personal moods, philosophical perspectives and inner struggles'."[15]

Liszt identified not only with the travel experiences but also with the existential dilemma faced by Obermann in his search for self-identity. The reflective nature of his thoughts is seen in an excerpt from Letter 53, which begins with introspective queries: "What do I want? What am I? What should I ask for nature?" After his departure from Parisian life, Liszt started a journey of self-inquiry and sought to move beyond his identity as a virtuoso performer.

In a letter to Marie d'Agoult, Liszt depicted the struggles of his inner world, which he described as the conflict between two forces: one lifting him up to heaven, the other one pulling him down to the darkest region of death. To express the existential dilemma and profound emotional turmoil of Obermann, Liszt referenced two specific excerpts from the novel.

Senancour: Obermann, Letter 53 (excerpt)

> What do I want? What am I? What should I ask for nature?
> …Every cause is invisible, every end is deceptive; every
> form changes, every time-span works itself out… I feel,
> I exist in order to be consumed by ungovernable desires,
> to drink in the seductiveness of a fantastical world,
> to stand aghast at its voluptuous error.

[14] "Tout ce qui me passe par la tete, tout ce qui je dirais en jasant… tout ce que je pense, tout ce que je ses." *Obermann*, Volume 1, Letter 37, 244.
[15] Andrew Fowler, "*Motive and Program in Liszt's Vallée d' Obermann*," JALS 29 (January-June 1991): 4.

Sénancour: Obermann, Letter 4 (excerpt)

> Unutterable sensitivity, charm and torment of our empty Years: immense awareness of nature that everywhere Overwhelms and is impenetrable; all embracing-passion, Indifference, advanced wisdom, voluptuous freedom; all the needs and deep sorrows that a mortal heart can hold, I felt, I suffered in that memorable night. I took a dark step towards the age of weakness; I swallowed up ten years of my life. [16]

The second excerpt is from Lord Byron's *Childe Harold's Pilgrimage*. Byron and Liszt had similar life experiences. Byron led a turbulent life marked by reckless living, scandalous love affairs, and voluntary service as a soldier in wartime. As the leading Romantic English poet of his era, Byron quickly gained fame following the publication of *Childe Harold's Pilgrimage*. This poem narrates the journey of a young man in pursuit of happiness and the meaning of life. With four cantos, the poem depicts the young man's exploration of various places across Europe. The work could be seen as an autobiographical work, as Byron composed the poem during his visits to these various places.

Canto III of *Childe Harold's Pilgrimage* was published during Byron's stay in Geneva. This segment explores the interplay between humanity and nature, addressing themes of loneliness and love. The young Liszt admired Byron as a hero, finding resonance in the poet's ideas and thoughts. *Childe Harold's Pilgrimage* serves as a reflection of the poet's own life, while *Vallée d'Obermann* reflects the composer's state of mind. In *Vallée d'Obermann* Liszt not only conveys the sentiments of Byron but also engages in a personal exploration of identity. This composition thus becomes a demonstration of Liszt's encounter with Byron's ideas and a

[16] Franz Liszt, *Vallée d'Oberman*, ed. Ernst Herttrich, (Munich: G. Henle Verlag, 2005), VI.

journey of self-discovery within shared geographic settings, as demonstrated in the following excerpt.

Byron: *Childe Harold Pilgrimage* (excerpt)

> Could I embody and unbosom now
> That is which most within me, - could I wreck
> My thoughts upon expression, and thus throw,
> Soul, heart, mind, passions, feeling, strong and weak,
> All that I would have sought, and all I seek,
> Bear, know, feel, and yet breathe - into one word,
> And that one word was Lightning, I would speak;
> But as it is, I live and die unheard,
> With a most voiceless thought, sheathing it as a sword.

Bora Lee, in her research paper on *Vallée d'Oberman*, follows the quotation of these epigraphs by stating "His music reflected the emotional quality of Senancour's and Byron's work---the self-doubt of the former, and hopeful search for answers of the latter."[17] The quintessential Romantic composer, Liszt's work is filled with personal feeling. According to Paul Roberts, who summarizes the concept of Romanticism and Classicism in his book "*Reading Franz Liszt*", "Romanticism is subjective and Classicism objective."[18] Romantic music draws freely on personal experience and emotions from nature and the world. In contrast, Classical music is dominated by objective rules, such as harmony, intervals, structure and so forth.

[17] Bora Lee, *Franz Liszt's Vallée d'Obermann from the Années de Pèlerinage, Première Année, Suisse: A Poetic Performance Guide.* (University of Cincinnati, Doctoral dissertation,2013), 17. http://rave.ohiolink.edu/etdc/view?acc_num=ucin1377868661.
[18] Paul Roberts, *Reading Franz Liszt: Revealing the Poetry Behind the Piano Music* (Lanham, Maryland, Amadeus Press, 2022), 80.

Thematic Transformation

A strong influence on Liszt's compositional innovation is that of thematic transformation. In the preceding era, ternary and sonata forms were dominant as structural frameworks in the Baroque and Classical periods. Sonata form traditionally has three sections: exposition, development, and recapitulation. The exposition section presents the primary theme, often accompanied by two contrasting themes. The development section transposes to a new key, departing briefly from the primary theme to explore new melodic and harmonic possibilities. Finally, the recapitulation restates the primary themes and concludes by returning to the tonic key.

Examining Beethoven's late works, even though they still follow traditional sonata form, one detects a foreshadowing of the notion of conveying personal thoughts and humanity through expressive tones and nuance. In his Ninth Symphony, Beethoven incorporated thematic transformation to present the "Ode to Joy" theme in different formats, such as in the Turkish March. Certain musicians, during the late Classic and Romantic period, followed in Beethoven's footsteps and asserted that the traditional sonata form was too strict and had become inadequate for capturing the essence of the individual spirit. In response to this view, Liszt modified and expanded the sonata form by introducing diverse thematic elements and modulations to unexpected keys and harmonies to enhance the overall structure. The concept of thematic transformation was primarily developed by Liszt and Berlioz. It is a compositional technique in which a theme undergoes development through various approaches such as transposition, modulation, inversion, argumentation, diminution, and fragmentation. This technique retains the sonata form but allows more space to accommodate various changes of mood, dramatic phrases,

and unexpected harmonies. In summary, the structure blends the sonata form with the exposition and development section to eliminate a unique compositional form.

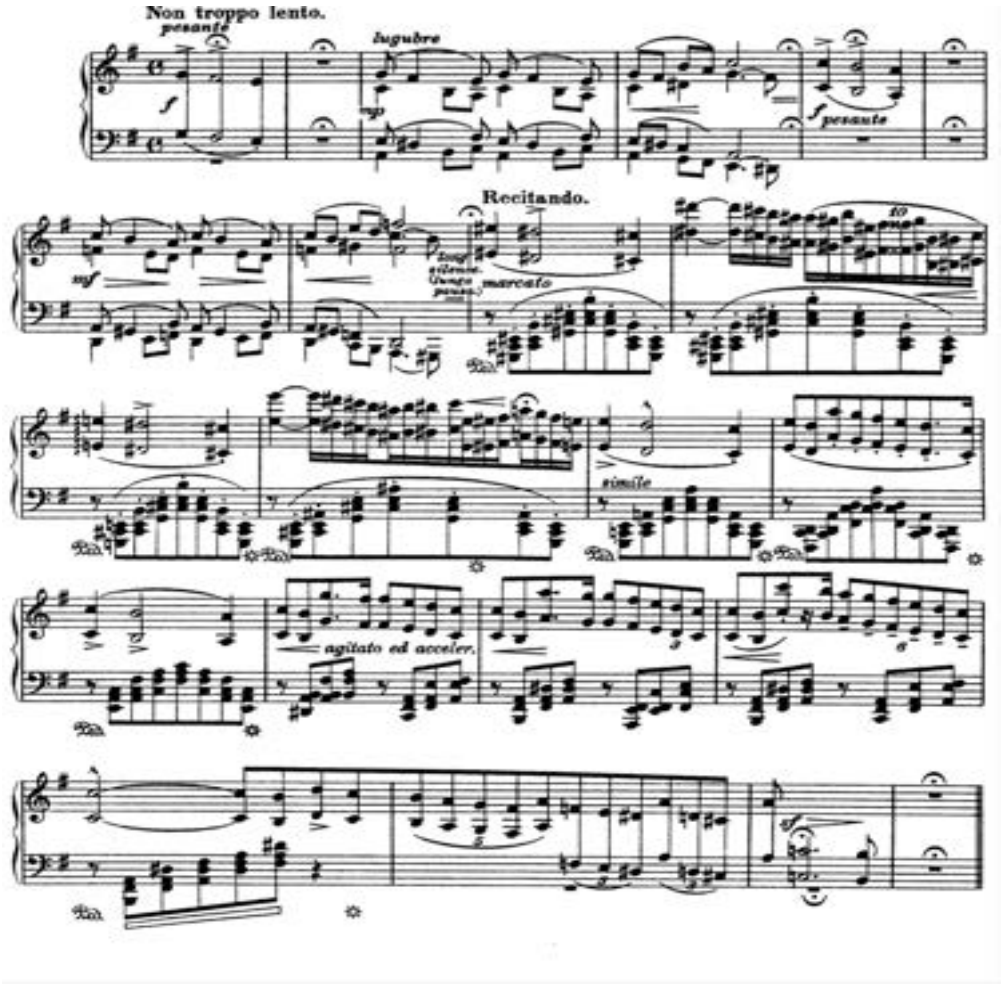
Analysis of Vallée d'Obermann

Vallée d'Obermann stands as a typical example illustrating thematic transformation within a quasi-sonata form. In the structure of *Vallée d'Obermann*, the elements from the exposition and development sections of the sonata form are combined into a distinctive composition. Liszt introduces a motive and subsequently modifies it in various formats, presenting an unfolding narrative. Roger Scruton, quoting Liszt, writes "In fact, Liszt claimed that 'the return, change, modification, and modulation of motifs are conditioned by their relation to a poetic idea. All exclusively musical considerations, though they should not be neglected, have to be subordinated to the action of the given subject.'"[19]

The initial version published in 1842 was composed by Liszt during his journey with Marie d'Agoult and primarily adhered to the sonata structure. It opened with a three-note descending motif derived from the main theme and featured an introductory section spanning 22 measures (refer to Example 2.1). However, in the revised edition, the introductory segment was omitted, and the composition started directly with the three-note descending main theme (refer to Example 2.3). In contrast to the initial edition, where the recapitulation reverted to the home key of E minor, the recapitulation section in the second edition underwent modulation to the parallel key, E major (refer to Table 1).

[19] Roger Scruton, "*Programme Music*," Grove Music Online: Oxford Music Online

Example 2.1: Franz Liszt, The Introduction of First Edition *Vallée d'Obermann.*



The musicologist Andrew Fowler, in his article "*Motive and Program in Liszt's Vallée d'Obermann*" commenting on this composition, writes "*Vallée d'Obermann* is one of the earliest single-movement large scale piano works intended to express a specific literary conceit through music. The composer literally "becomes" Obermann, and through the piano, which acts as conduit, the hero experiences the overwhelming, impenetrable forces of nature. This is a seminal work, symphonic in scope, and a precursor to Liszt's symphonic poems."[20] Despite its

[20] Fowler, "*Motive and Program in Liszt's Vallée d'Obermann*," 11.

integration of the sonata form, the single-movement piece expands its structural dimensions through unexpected modulations, harmonies, and diverse thematic variations.

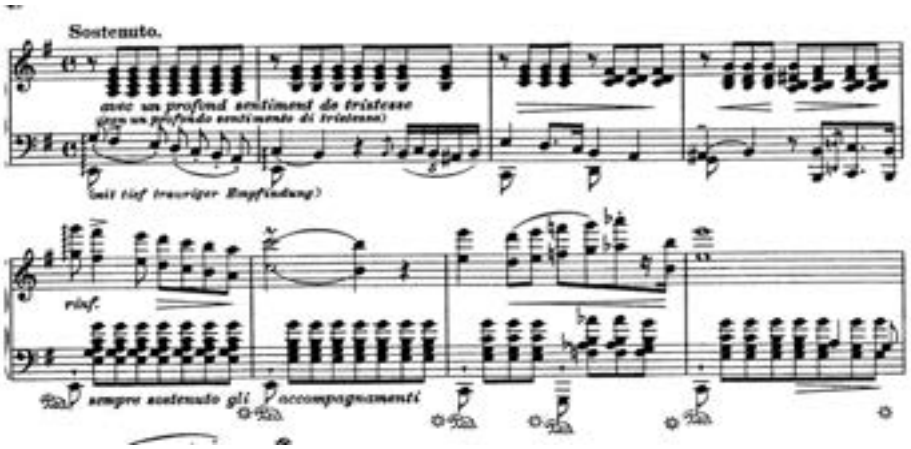
The second version underwent huge changes. This version, published in 1855, incorporates better structural, textural and harmonic arrangement. In the following section, we will compare the first and second versions, with a detailed analysis of the second edition. In the new 1855 edition, the composition opens with an unsettled and dark E minor passage featuring chromatic modulation. Two recurring motives run through the entirety of the piece, proceeding with descending scales. In the development sections, marked "Recitativo", Liszt employs restless tremolos, octave patterns, and diminished chords to evoke a sense of searching and unrest. In the last section, which starts with the parallel key in E major, there exists a departure from the conventional modulation back to the home key, E minor. Therefore, the concept of the Recapitulation section is obscured in the second version. The thematic material undergoes a transition, shifting towards a quiet and dreamy restatement before culminating in the final climax (refer to Table 1).

Table 1: Franz Liszt*, Vallée d'Obermann* Formal Structure

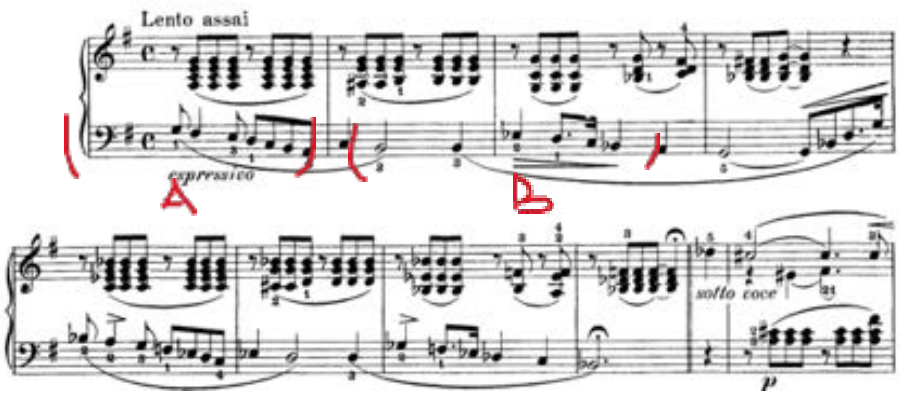
Section	**Measure**	**Thematic Structure**	**Tonality**
Exposition	mm. 1-74	Initial Thematic Section	E minor
	mm. 75-118	First Thematic Transformation	C major
Development (Recitativo)	mm. 119-169	Second Thematic Transformation	E minor
Recapitulation	mm. 170-207	Series of Thematic Transformations	E major
Coda	mm. 208-216		E major

In the initial edition, as demonstrated in Example 2.2, the primary motif introduces low base tonic notes to elaborate the melody, while the right hand undergoes a shift to commence playing after the initial four bars. It was initially marked "*avec un profonde sentiment de tristesse*", translated to "with a profound sense of sadness", conveying a mood of depression and melancholy. Conversely, in the second edition (refer to Example 2.3 below), Liszt omitted the descriptive phrase and instead indicated "*espressivo*". The texture becomes thinner, featuring a single melodic line that imparts a dispirited feeling. Notably, the harmonic setting differs from the prior edition. In Measure 4 of the first edition, the phrase ends in G major, the relative key of E minor. However, in the second edition, measure 4 ends in the chromatic third relation of G minor, intensifying the depressed emotional feeling.

Example 2.2: Franz Liszt, The First Edition, *Vallée d'Obermann.*



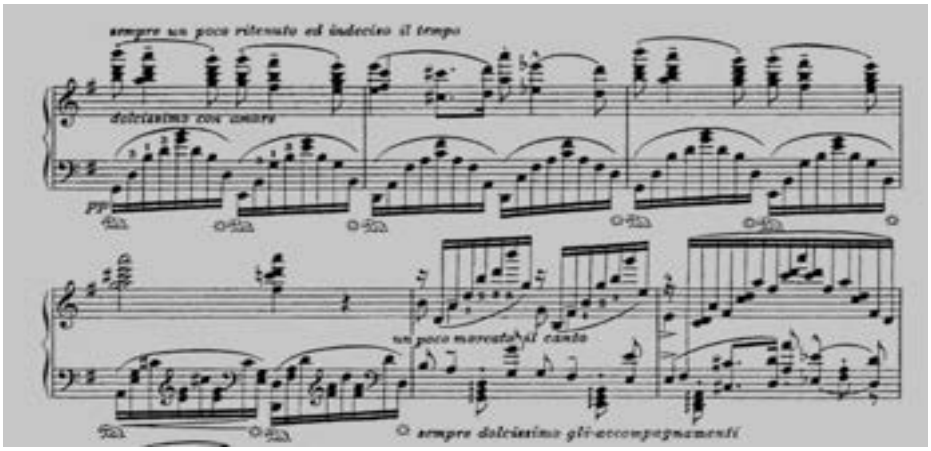
Example 2.3: Franz Liszt, The Second Edition, *Vallée d'Obermann,* mm.1-9.



The original theme, spanning four measures, is played with a descending left-hand pattern. Motive A starts with syncopated notes succeeded by eighth notes (refer to Example 2.3), concluding in E minor in the second bar. The tonic resolution lacks a perfect cadence, conveying an unresolved quality. The accompaniment chords consistently avoid alignment with the downbeat, which produces a sense of uncertainty and melancholy. Motive B has a diminished 4th ascending interval; however, after reaching E flat, it is succeeded by another descending pattern. These two motives keep modulating the subsequent four bars, creating tonal ambiguity and a sense of exploration. In this way it mirrors the thematic inquiry posed in the epigraph from Letter 53 of *Obermann,* "What do I want? What am I"?

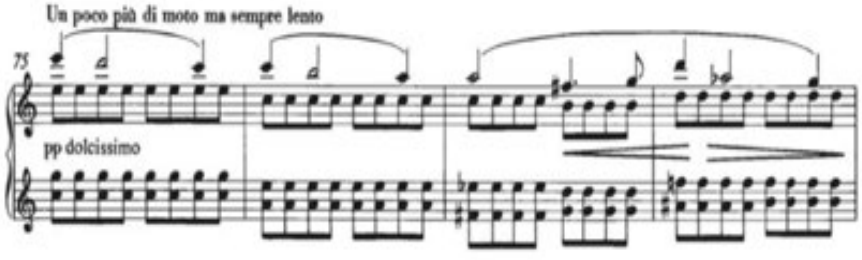
In the motives, discernible sighing figures can be identified, as demonstrated in measure 1, where a descending half step occurs from G to F sharp, and from C natural to B; similarly, in measure 2, the descent appears from C natural to B. In motive A, Liszt transforms the first three descending notes throughout the entire composition by employing diverse keys, harmonies, rhythm, texture, and accompaniments.

Example 2.4: Franz Liszt, First Edition, *Vallée d'Obermann,* mm 43-46.



In the first edition, starting at measure 43, the three descending notes undergo a transformation to G major. Liszt employs an arpeggio technique for the left hand and chords for the right hand to depict the thematic elements. After the first four bars, the melody transitions to the left hand, while the right hand takes the role of an accompaniment with running sixteenth notes. Conversely, in the second edition, the texture is simplified. Liszt omits the expansive 16th-note arpeggios, switching instead to repeated notes as the accompaniment. This modification is designed to enhance focus on the principal melody and convey a sense of wandering.

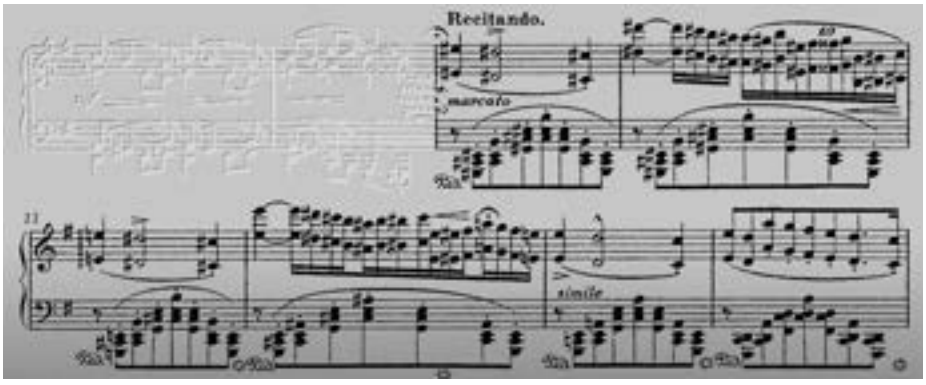
Example 2.5: Franz Liszt, *Vallée d'Obermann* mm 75-78 The First Thematic Transformation.



In measure 75, the first transformation of the three descending notes appears with a modulation to C major. The initial theme of the first three notes has a syncopated rhythm: short (eighth)-long (quarter)-short (eighth). The new pattern of motive A appears with a rhythmic augmentation: quarter note, half note and quarter note, which continues for two bars. In measure 77 and 78, there is another rhythmic augmentation from motive B, keeping it as a short, long, and short pattern. From measure 75, it is marked "*dolcissimo*" and has the dynamic "pp". The music here creates a serene and tranquil feeling, and the top melody moves slowly with a quiet accompaniment in a low register, serving as background music.

However, after a series of variations on the motifs, a gradual intensification of emotions is achieved. It is marked "*crescendo e più appassionato*" until measure 119, where the second thematic transformation occurs. Liszt employs the term "Recitativo" on top of measure 119 (refer to Example 2.8), signaling the presence of a speech-like melody within this section.

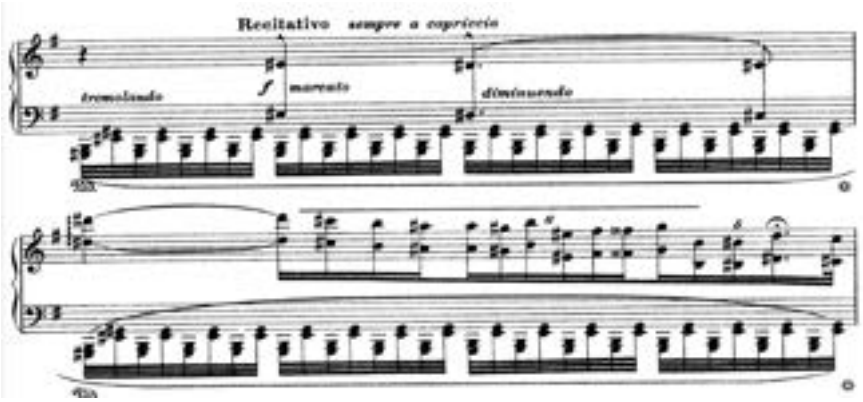
Example 2.6: Franz Liszt, First Edition, *Vallée d'Obermann* Recitativo.



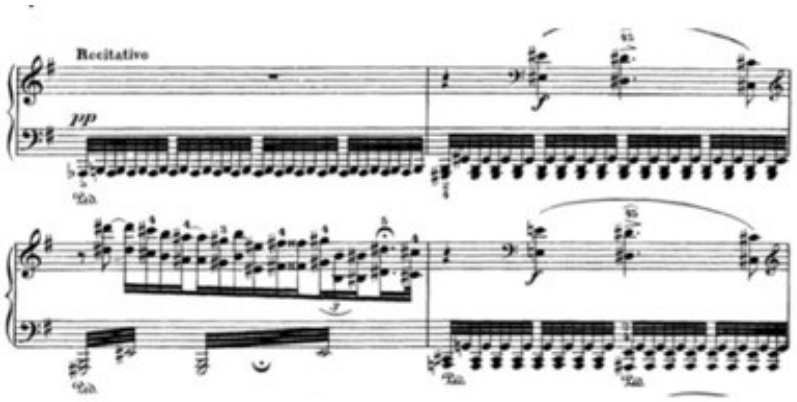
In the early edition (refer to Example 2.6), the introductory part foreshadowed the subsequent "Recitativo" section, which became the development section in the second edition. However, in the first edition, the left-hand pattern in the prefigured "Recitativo" part differed, as

it incorporated inverted chords. In both editions, the utilization of tremolo pattern was essential in creating a turbulent quality, which captured the inner turmoil experienced by the protagonist. The development section of the first edition remained similar to the second one, albeit presenting greater challenges for performers, as illustrated in Example 2.7.

Example 2.7: Franz Liszt, First Edition, *Vallée d'Obermann***.**

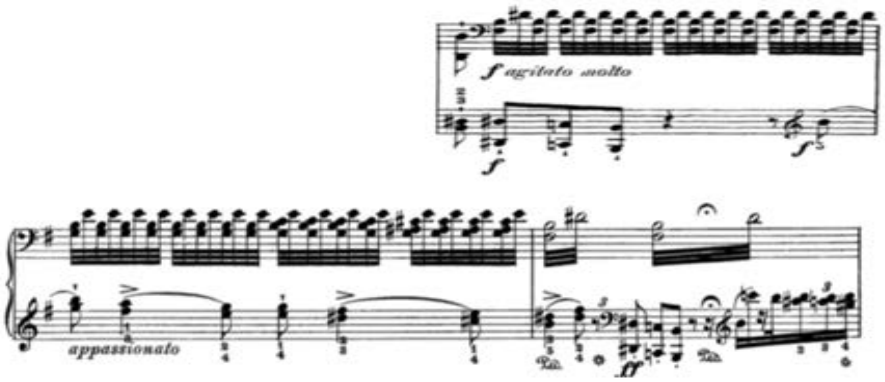


Example 2.8: Franz Liszt, *Vallée d'Obermann* mm 119-122 The Second Thematic Transformation.



In the second edition, the second thematic transformation begins with a turbulent low tremolo in the left hand (refer to Example 2.8). At the same time, the right-hand melody incorporates the three-note motive in a rhythmic argumentation, executed through descending octaves. This particular texture creates an intense and nervous atmosphere, in sharp contrast to the preceding section of measure 75.

Example 2.9: Franz Liszt, *Vallée d'Obermann* mm 128-130.



In measure 128, Liszt introduces markings "*Più mosso*" and "*agitato molto*" in this section, reflecting an "ungovernable desire" from Letter 53 of Obermann. Unlike the preceding bars where the three-note motif was predominantly featured in the right hand, Liszt transfers the melody to the left hand starting from measure 128, while the right hand executes continuous tremolo passages in the middle register. Within the interpretation of the three-note motif, two distinct rhythmic patterns emerge: the use of octaves of three eighth notes in measure 128 and the utilization of staccato notes organized in triplets in measure 130.

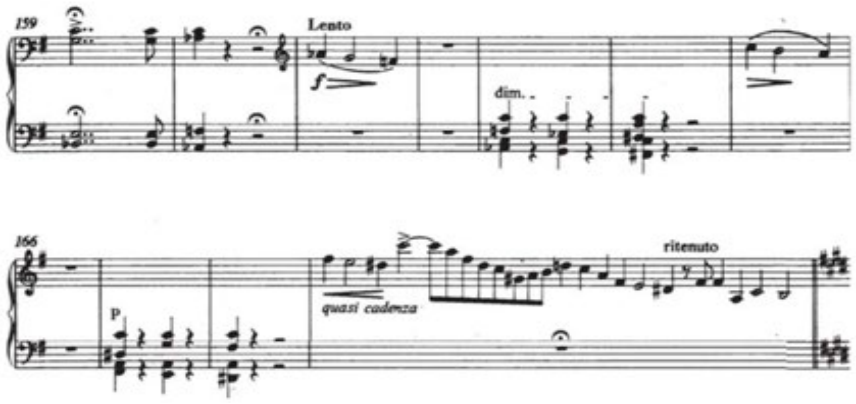
The motive appears in a high register at measure 129, employing a syncopated rhythm. Within this section, the high-register motive alternates with a lower octave motive. This question-and-answer-like phrase serves to convey the sense of struggle within the protagonist. It

represents an inner conflict, where two voices battle as the protagonist attempts to determine his self-identity.

As the emotional intensity reaches its summit through the running octave melodies, the principal motive reappears following the turbulent section. Specifically, at measures 161 and 166, the three-note cell derived from Motive A is revisited (refer to Example 2.10 below). The same intervallic relationships and the short-long-short rhythmic pattern are retained within a single line executed exclusively in the right hand, evoking a sense of emptiness following the stormy emotions.

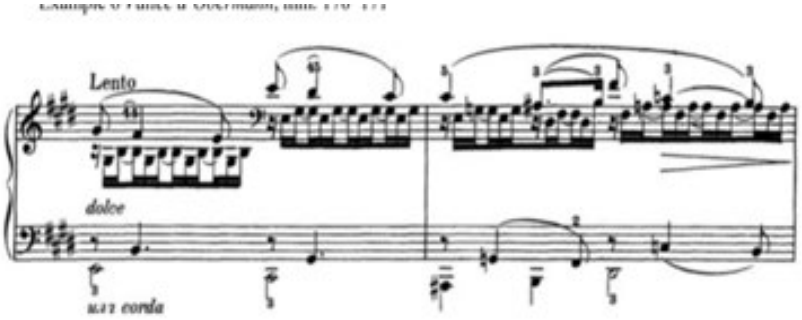
Following a complete measure of rest, a descending three-note cell unfolds in the bass register, succeeded by a quarter note rest. This shift to a distinct different register and harmonic progression produces a sense of exploration, mirroring the inquiry created at the very beginning, "What do I want? What am I?"

Example 2.10: Franz Liszt, Second Edition, *Vallée d'Obermann,* mm 159-169.



The third thematic transformation starts in E major (refer to example 2.11), with the principal theme reverting to the initial tempo (Lento) and the original rhythmic short-long-short pattern. The motive is introduced with a triplet accompaniment pattern and harmonic bass support in the left hand. This section has a tranquil feeling and conveys a peaceful assurance, serving as a serene contrast to the preceding sections characterized by exploration and struggling.

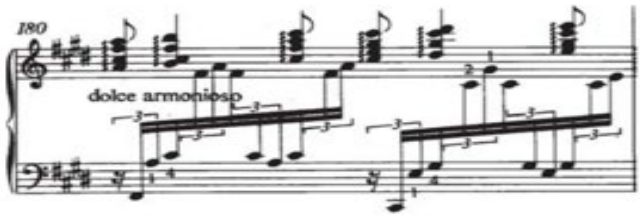
Example 2.11: Franz Liszt, *Vallée d'Obermann*, mm 170-171 The Third Transformation in E major.



In measure 180, the principal theme inverts to rolled chords accompanied by arpeggiated sixteenth-note triplets executed in the left hand. Ben Arnold described Liszt's style in this way: "Liszt inverts the opening melody at measure180 to create a sublime and glorious moment leading directly into blissful state starting at measure 188."[21]

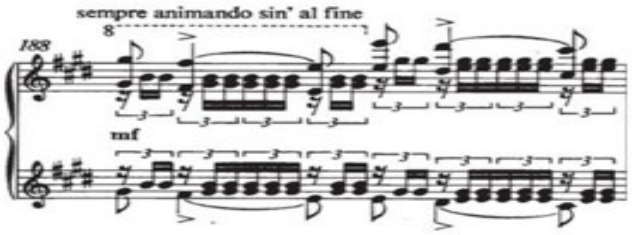
[21]Ben Arnold, *The Liszt Companion*, (Westport, CT: Greenwood Press, 2002), 82.

Example 2.12: Franz Liszt, *Vallée d'Obermann,* mm.180 The Fourth Thematic Transformation.

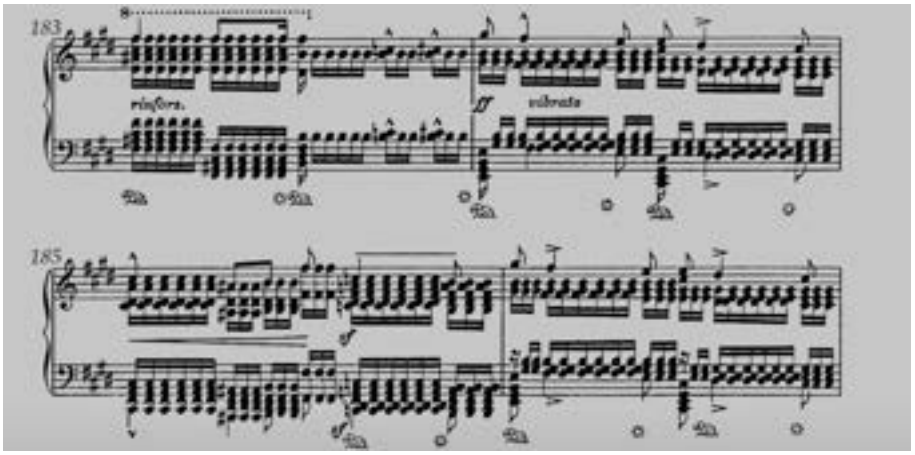


Starting at measure 188, the texture of the principal theme intensifies as the right-hand plays octave passages, and the recurring pattern of running sixteenth-note triplets resurfaces. At the same time, the melody is mirrored in the left hand, resulting in a unison effect. Liszt introduces the directive *sempre animando sin' al fine* from measure 188, signifying a continuous increase in intensity leading to the conclusion.

Example 2.13: Franz Liszt, *Vallée d'Obermann,* mm.188-189.



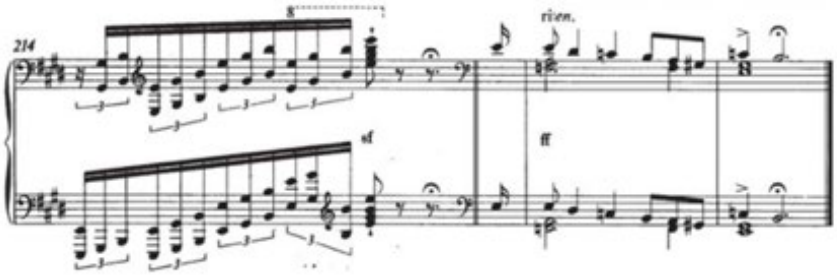
Example 2.14: Franz Liszt, First Edition, *Vallée d'Obermann,* mm183-186.



In the first edition, the texture of the principal theme is thicker when compared to the second edition. This increased thickness can be attributed to the closer register employed for the main melody, which, coupled with pounding repeated chords as accompaniment for both hands, causes a sense of density and muddiness. In the second edition, Liszt rearranges the register of the main melody for both hands (refer to Example 2.13), creating a more expansive melodic space. By reducing the density of the chordal texture and accentuating one hand as the main melody with the other functioning as accompaniment, as opposed to playing thick chords in both hands, these modifications enhance the clarity of the melodic line, producing a cleaner overall texture for the audience.

In the second edition, the subsequent section presents a dense texture characterized by percussive chords and running octaves, with the ever present short-long-short rhythmic pattern. The musical progression reaches E major at measure 214, indicating the triumph of the sense of exploration. However, following the fermata (see Example 2.15), the theme is revisited in the final two measures. The tonal atmosphere shifts to a darker mood, highlighted by the inclusion of an augmented E major triad in the concluding bar. This addition intensifies the overall dark tonality.

Example 2.15: Franz Liszt, The Second Edition, *Vallée d'Obermann*, mm.214-216.



Tonality and Harmony

Liszt's utilization of tonality as a means of conveying specific themes has been studied by numerous researchers. They have observed that Liszt tended to use certain keys to express specific subjects. Robert Collet has noted that key of E major is associated with a "serene religious feeling in Liszt's mind". Notably, apart from *Vallée d'Obermann,* another composition from the second volume of *Années de Pèlerinage*, titled *Sposalizio,* is also set in the key of E major. This particular choice of tonality was inspired by Raphael's artwork *Lo Sposalizio*, meaning *the Marriage of the Virgin*.

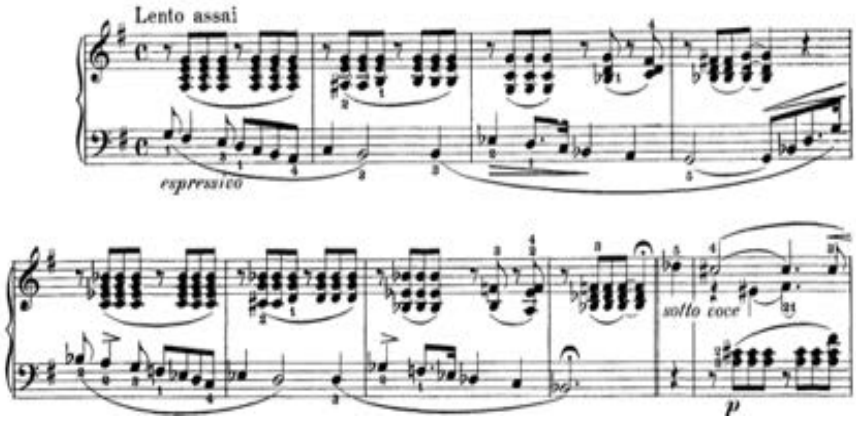
According to scholar Paul Merrick, there exists a consistent pattern in Franz Liszt's selection of keys. He claims, "even if one cannot link a certain key to a certain character, Liszt shows a regular inclination toward programmatic key selections."[22] In another work, Merrick elaborates on Liszt's association of specific keys with particular concepts. He points out, "the key of A flat major is love; the key of D minor is death; the key of E major is religion; the key of B major is heaven; and the key of F sharp major is spiritual completion."[23] This thematic key association is evident in Liszt's compositions, such as *Libestraum* commencing with A flat major, *Dante Sonata* and *Totentanz* with D minor *Vallée d'Obermann* and *Sposalizio* with E major, and *Bénédiction de Dieu dans la solitude* with F sharp major.

In accordance with the framework discussed above, the composition *Valle d' Obermann* begins with E minor, undergoes a modulation to C major during the first thematic transformation, then returns to E minor in the tumultuous Recitativo section, and finally resolves

[22] Paul Merrick, "Liszt's Music in C Major, "*The Musical Times* 149, no 1903 (Summer 2008): 72.
[23] Paul Merrick, "The Rôle of Tonality in the Swiss Book of Années de Pèlerinage." *Studia Musicologica. Academiae Scientiarum Hungarica* 39, no. 2/4 (1998): 367–83. doi:10.2307/902543.

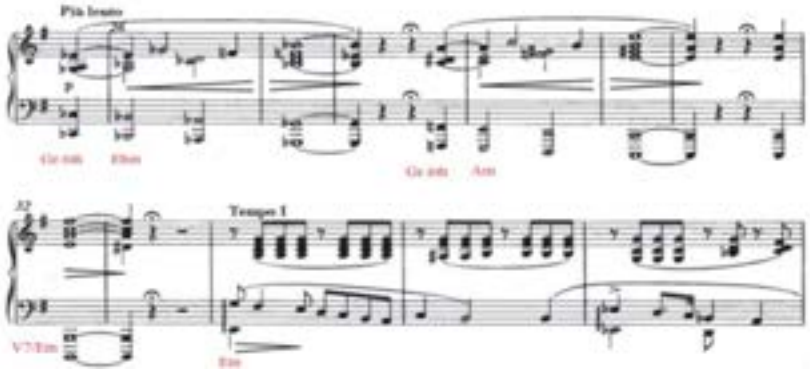
to E major as the music develops gradually towards its climax. The musical narrative mirrors the emotional state of the protagonist: during both E minor segments, the tonal foundation is only subtly established, which produces a sense of exploration of the protagonist. The postponement of the tonic expresses the uncertainty experienced by Senancour's *Obermann,* evoking the frequent questions, "What do I want? What am I? What should I ask for nature?" Harmonic innovation is employed in *Vallée d'Obermann* through the expansion of Classical form and harmony beyond the strict rules. In the following segment, a few examples will be presented demonstrating Liszt's harmonic language.

Example 2.16: Franz Liszt, The Second Edition, *Vallée d'Obermann* mm.1-9.



In the first measure, the left hand plays a descending E minor scale, and the right hand plays a dominant minor seventh chord. However, in measure two, the resolution is interrupted by a chromatic passing note, A-sharp, in the right hand. As we noted earlier in the chapter, the postponement of the tonic creates a feeling of uncertainty, reflecting Obermann's self-questioning character.

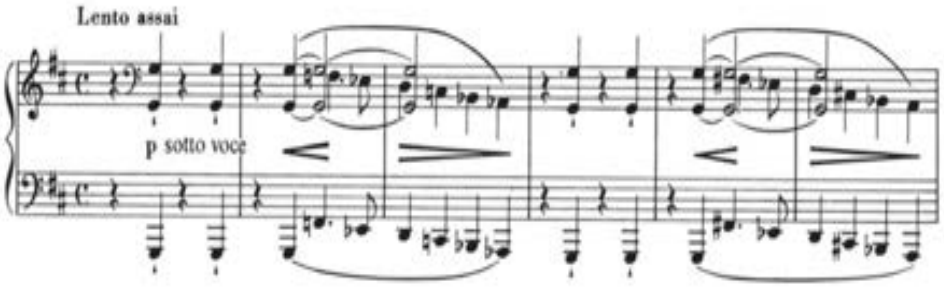
Example 2.17: Franz List, The Second Edition, *Vallée d'Obermann* mm.25-36.



In the revised edition, Liszt introduces a transitional section marked by harmonic innovations. This segment starts at measure 25 with a German augmented sixth in E-flat minor; however, it is enharmonically equivalent to E minor's dominant seventh chord. Here, the German sixth chord functions as a transition from E minor to E-flat minor. By measure 26, a sixth interval appears between the top melody in the right hand and the octaves in the left hand, creating a 7-6 suspension that creates a sense of exploration and struggle.

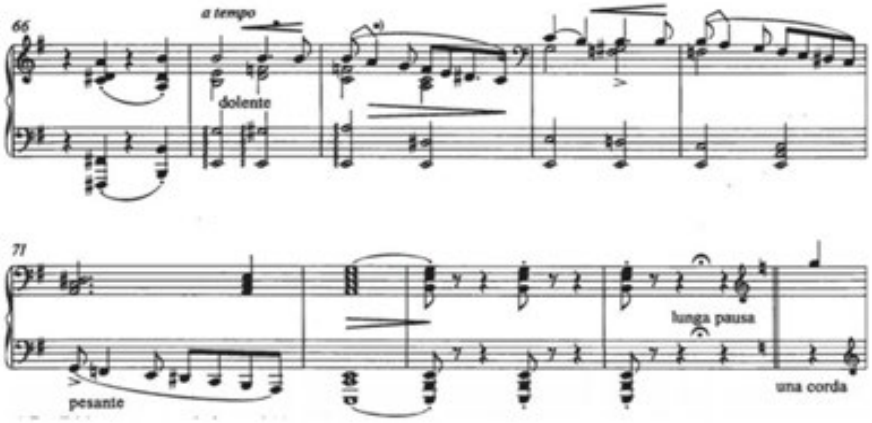
In addition to employing symbolic keys and unique harmonies to convey specific concepts, Franz Liszt utilized distinct musical patterns to present non-musical elements. The Hungarian pianist and author Tibor Szasz, for instance, characterized the introductory phrase of Liszt's B minor Sonata (refer to example 2.18) as being composed in Phrygian mode—a natural minor scale with a half-step lowered on the second scale degree, and beginning at G, the submediant note of B minor. When the phrase recurs immediately after, the tritone is employed from the first note G to C sharp, aiming to represent the character of "devil" in the music.

Example 2.18: Franz Liszt, Sonata in B minor, mm.1-6, the first theme.



During the Medieval Era, the tritone, an augmented fourth, is often associated with a "devil" voice in music. In the first thematic section of *Vallée d'Obermann*, a descending passage incorporates a sighing figure, and the presence of the tritone imparts a "diabolic" quality to the music (refer to Example 2.19).

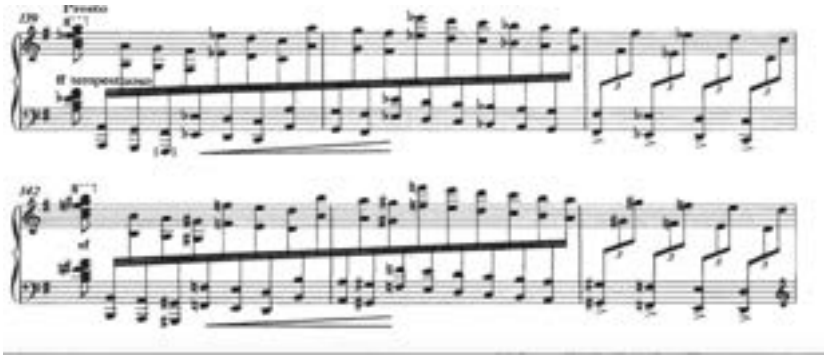
Example 2.19: Franz Liszt, The Second Edition, *Vallée d'Obermann*, mm 66-74.



In measure 139, marked *Presto*, the running passage begins with broken diminished seventh chords and divides into three-note groups, reflecting the three-note motif from the beginning. If we examine each three-note group, the first note from each forms a tritone: A to E-

flat and E-flat to A. Similarly, in measure 142, the figuration repeats and creates another pair of tritones: B to F-natural and F natural to B.

Example 2.20: Franz Liszt, The Second Edition, *Vallée d'Obermann*, mm 139-144.



To summarize, comparing the first and second versions of *Valle d'Obermann,* Liszt makes huge changes, revising most parts of the first version. The structure is more innovative, incorporating the concept of thematic transformation. The first version is clearly presented in conventional sonata form, beginning with a rhapsodic introduction covering the main theme and the recitativo part, followed by the exposition, development and recapitulation. In contrast, in the second version, Liszt exhibits a loosened form, omitting the introduction and obscuring the arrival of the recapitulation part, unexpectedly landing on E major without repeating the theme and key from the exposition. In this way, Liszt expands the structure of the piece and exceeds the conventional structure of the sonata form.

Moreover, although Liszt follows the sonata form and expands the structure through thematic transformation, the theme and harmonies are presented in various ways in the second version. Reflecting the use of bel canto in the Romantic Period, in the transition part of the second version, Liszt added an aria-like melody to make it sound more improvisatory and

dramatic. Unexpected harmonic progressions are employed in the second version to reflect the text from Obermann, portraying the searching and feeling of uncertainty of the protagonist. For example, deferring the harmonic resolution to the tonic, adding dissonant chords such as German sixth/augmented chords in the transition parts between each main section, and the embedding of the tritone, all intensify the feeling of struggle. By incorporating innovative harmonies, the music becomes more forward looking, inspiring fellow composers, and advancing the concept of impressionism; in addition, Liszt's innovative harmonic language inspired the development of the atonal system years later.

Last but not least, in the second version, the new arrangement of the texture is easier for performers to play. By avoiding the use of wide crossing motions, stretching chords and thick texture of the first version, the new version is more cohesive, following the main melodic lines with clearer sonority and providing better register arrangement between hands.

Musicologist Ben Arnold has commented on the conclusion of *Vallée d'Obermann*, noting that "this joy is cut tragically short by dramatic pause and an abrupt descending restatement of the opening theme."[24] In this composition, Liszt casts himself in the role of Obermann, engaging in an exploration of life and self-identity. The musical narrative unfolds through various stages marked by struggles, upsets, exploration, and expectations, and ultimately ends in a tragic conclusion. In essence, the music aligns with the sentiments in Byron's preface, "But as it is, I live and die unheard, with a most voiceless thought, sheathing it as a sword."

Liszt adeptly employs musical figures to imitate various images, ranging from bell sounds, storms, flowing water, to wind. Additionally, he employs diverse tonalities and music patterns to convey different emotions, drawing inspiration from artistic and literary sources. In

[24] Arnold, *The Liszt Companion*, 82.

the following chapter, we will examine Liszt's *Dante Sonata* from the second volume of *Années de Pèlerinage*, exploring how he draws upon literary inspiration to create music patterns that reflect the textual content of literature.

Chapter 3

Italian Years and Dante Sonata

The second volume of *Années de Pèlerinage* was composed during the years between 1838 and 1849. This volume represents national styles and the places visited by Liszt during his travels. In contrast, the first volume draws inspiration from nature and various literary sources, such as Senancour, a French author and Byron, an English author; the second volume is inspired by Italian literature, painting, and sculpture, with a focus on Renaissance figures such as Michelangelo, Raphael, Petrarch, and Dante, among others.

The titles in *Années de Pèlerinage* reflect Liszt's journey through Italy:

I. *Sposalizio*
II. *Penseroso*
1. *Canzonetta del Salbator Rosa*
   Sonetto 47 del Petrarca
2. *Sonetto 104 del Petrarca*
3.*Sonetto 123 del Petrarca*
4.Après une lecture du Dante Fantasia quasi Sonata

VENEZIA E NAPOLI (Supplement from the second year of *Années de Pèlerinage*)

I. Gondoliera
II. Canzonetta
III.Tarantella

The title of the first piece, *Sposalizio (Marriage)*, draws inspiration from Raphael's painting, *The Marriage of the Virgin*. This painting depicts Joseph and Mary's wedding. Joan Backus comments on this combination of art, painting and music as follows:

"Liszt musical procedures can allow a subtle interplay between the musical form and an external idea, a reciprocal relationship in which each contributes to the creation of a significant and expressive musical form. *Sposalizio* offers a particularly illuminating example of the way this concept of musical perspective functions in Liszt's music. Not only does it demonstrate

several aspects of Liszt's conception of evolving form, but it also projects a remarkable sense of musical perspective that is parallel to the visual perspective of Raphael's canvas."[25]

Figure 3.1: Raphael *The Marriage of the Virgin.*

The inspiration for the title of Piece II, *Penseroso* (*Thinker*), was from Michelangelo's statue located in the San Lorenzo Church in Florence. Liszt requested that both pieces be referenced on the inner title page of his collection to show their derivation from Italian art. The concluding piece of the second volume, *Après une lecture du Dante Fantasia quasi sonata,* stands as Liszt's most notable achievement almost his other pieces. This chapter will discuss the

[25] Joan Backus, "Liszt's Sposalizio: A Study in Musical Perspective," *19th-Century Music* 12/2 (Fall 1998): 175.

literary background of the compositions and inspirations that led Liszt to compose this particular work.

Liszt and Dante

In the second Volume, the *Dante Sonata* stands as the most outstanding work of this cycle. Its final version was published nearly two decades later, during Liszt's Italian period. Throughout their travels in Italy, Liszt and Marie shared reading together, with Dante being Marie d'Agoult's favorite author. According to her memoirs, they continued their study of the *Divine Comedy* between the years 1837 to 1839. Correspondence between Marie and Liszt further suggests that Liszt gained a better understanding of this work during their stay in Italy.

There have been debates about when Liszt began to compose the *Dante Sonata*. Ramann, Liszt's biographer, states that the sonata was composed during Liszt and Marie's stay at Bellagio, Lake Como. This assumption is supported by a letter Liszt wrote to Louis de Ronchaud in 1837:

> "During the hottest part of the day we often relax
> under the plane threes at the Villa Melzi and read the
> *Divine Comedy* sitting at the front of Comolli's marble
> statue of *Dante led by Beatrice.* What a subject!"[26]

In contrast to Ramann's assertion regarding the composition of *Dante Sonata* at Bellagio, scholar Winklhofer offers a different opinion. In her article titled *Liszt, Marie d'Agoult, and the "Dante" Sonata*, Winklhofer, suggests that the content depicting Liszt and Marie resting and reading Dante's *Divine Comedy* during their stay at Bellagio lacks credibility.

[26] Liszt, *Artist's Journey, 66*

Winklhofer concludes that Ramann's article may have been influenced by Marie rather than Liszt. She suggests that Liszt composed *Dante Sonata* at a later date. Although the couple had begun their reading for Dante's *Divine Comedy* earlier, "it was not until 1838 that they brought this subject into open discussion, the same year that Liszt's journal suggests he was seriously reading the *Divine Comedy*."[27]

According to a letter from Marie, Liszt began to compose the first version of the piece following the couple's move from Rome to San Rossore in 1839. In Liszt's diary, *Journal des Zyi*, he wrote:

> If I feel within me the strength and life, I will attempt a symphonic Composition based on Dante, then another on Faust-within three years-meanwhile I will make three sketches: *The Triumph of Death* (Orcagna), *the Comedy of Death* (Holbein) and a *Fragment dantesque.*

Liszt began to compose the piece in 1839 and it was first performed in November at a concert in Vienna. The title of the work indicates Liszt's inspiration drawn from Dante Alighieri's *Divine Comedy*, a prominent literary figure of the Middle Age. During Liszt's lifetime, Dante was rediscovered and became an author of great interest among the Romantics, following a long period of neglect. Paul Roberts observes, "It seems his theology could be easily interpreted in terms of cosmic aspiration of the Obermann kind; but many Romantics had little trouble in accepting a religious view of the world."[28] This resurgence of interest in Dante can be attributed to his role as a reformer of Christian theology and a seeker of Truth. It also aligns closely with the ideals of Romanticism prevalent during that era.

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[27] Sharon Winklhofer, "Liszt, Marie d'Agoult, and the 'Dante' Sonata." *19th-Century Music* 1, no. 1 (1977): 26.
[28] Roberts, *Reading Franz Liszt*, 132.

It is evident that both Liszt and Dante conceived themselves as pilgrims and embraced a journey for truth. Liszt's profound admiration for Dante inspired his composition of both *Dante Sonata* and *Dante Symphony*.

Liszt and the Dante Sonata

Dante's poem explores the theme of dream and nightmare, as well as depicting Hell and Heaven. T.S. Eliot wrote, "The *Divine Comedy*, expresses everything in the way of emotion, between depravity's despair and the beatific vision, that man is capable of experiencing."[29] Dante's journey took him from a descent into Hell to an ascent to Paradise. His account portrays his inner struggle and the darkness within his soul, similar to the journey undertaken by protagonists such as Obermann and Childe Harold. These figures, like Dante, embarked on journeys of both spiritual and romantic exploration, embodying the Romantic ideals that speak of the beauty of idealized love and the search for earthly and transcendental existence.

The *Divine Comedy*, a lengthy poem, is divided into three sections: *Inferno, Purgatorio, and Paradiso*, depicting the political and spiritual world of Italy in the 14th Century. This poem incorporates references to the Bible, medieval Italian history, and Greek literature. It presents an imaginary journey through Hell infused with belief in love and hope. In *Music and Poetry*, Paul Roberts notes, "Byron detected an extraordinary 'gentleness' in the tumult of 'Inferno.' 'Who *but* Dante'", he wrote, "could have introduced any gentleness at all into *Hell*"? [30]

The poem further explores themes of the afterlife and chronicles Dante's journey through the realms of Hell, Purgatory, and Heaven. Dante begins his travel with the well-known opening

[29] T.S. Eliot, "What Dante Means to Me," in *To Criticize the Critic* (London: Faber,1965),134.
[30] Roberts, "*Reading Franz Liszt*",133.

line: “Midway in our life’s journey, I went astray from the straight road and woke to find myself alone in a dark wood.”[31] Dante, portraying himself as a pilgrim, seeks to find his way out, accompanied by two characters: Virgil and Beatrice. Virgil, symbolizing Human Reason, serves as Dante’s guide through the realms of Inferno and Purgatory. Conversely, Beatrice, representing Faith and Love, leads Dante towards Paradise.

While Liszt initially began composing the *Dante* Sonata in 1839, it underwent several revisions and alterations under various titles before reaching publication. An early version performed by Liszt bore the title *Fragment nach Dante* or *Fragment Dantesque*. The final version, titled *Après une Lecture du Dante* (Fantasie quasi-Sonata), was published as the concluding piece in the “Second Year” of *Années de Pèlerinage* in the year 1858. The choice of the final title was inspired by Victor Hugo’s poem *Après une Lecture de Dante* from *Les Voix interieur* (Inner Voice).

Liszt, however, made a significant alteration by changing the preposition from “de” to “du”, “drawing on the German practice of using the definite article to refer to a famous person…and attempting to translate this into French”[32]. Despite this adjustment, many editions have quietly reverted to using “de” instead of “du”. Liszt’s modification was meant to underscore that the sonata was influenced by Dante and the reading of *Divine Comedy*, rather than by Victor Hugo.

In his *Après une lecture de Dante Fantasia quasi sonata*, Liszt followed the structural framework of *Divine Comedy*, incorporating elements from both the Inferno and Paradiso

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[31] Dante Alighieri, The *Divine Comedy*, trans. John Ciardi (New York: W.W. Norton & Co. Inc, 1977), 3.
[32] David Trippett, “*Apres una Lecture de Liszt*: Virtuosity and Werktreue in the ‘*Dante*’ Sonata.” *19th Century Music*, 32 (2008), 56.

sections. The composition starts with D minor-- a key that has often symbolized the underworld in music. It unfolds with an introduction and two themes that depict Inferno and Paradiso. Two other works by Liszt, *Dante Symphony* and *Totentanz*, which are linked to evil characters, also begin in the key of D minor.

The title denotes the structure of the piece, which is in sonata form. A typical sonata form comprises three sections: exposition, development and recapitulation. The first part, the exposition, is presented with two contrasting themes: the first theme begins with the tonic key while the second theme usually modulates to the dominant key. The development introduces new musical ideas, usually going to a relative key but returning to the original key when arriving at the recapitulation. The movement usually concludes with a cadential progression to the tonic, echoing the exposition part. The term "Fantasia", referring to an imaginative musical idea, is derived from the Greek *phantasia*. C.P.E Bach explains the idea in detail in his article "*Versuch über die Wahre Art das Klavier zu spielen*" (Essays on the True Art of Playing Keyboard Instruments):

> A fantasia is said to be free when it is unmeasured and moves through more keys than is customary in other pieces, which are composed and improvised…A free fantasia consists of varied harmonic progressions which can be exposed in all manner of figuration and motives. A key in which to begin and end must be established…In a free fantasia modulation may be made to closely related, and all other keys…[33]

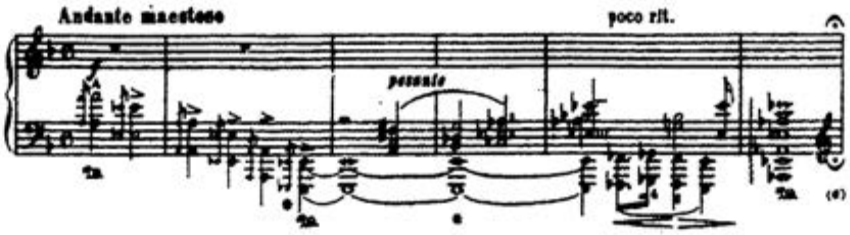
The title of Dante Sonata was inspired by Beethoven's sonatas Op.27, No.1 and No.2, which were titled "Sonata Quasi Una Fantasia". Examining the beginnings of these two sonatas, both start with a slow tempo followed by a lyrical and singing melody; nevertheless, the climax culminates in the last movement with dramatic and exciting elements. There is almost no pause between each movement from the first to the last, therefore they could be treated as a long single

[33] Jackson Yi-shun Leung, "*A Selective Study of Sonata-Fantasies in the First Half of the Nineteenth-Centruy"* (D.M.A., diss., University of Cincinnati,1990),122.

piece. In this way, the contrasting characters and moods are blended into a single fantasy movement, representing the juxtaposition between each movement.

In the Dante Sonata, the key center of the introduction is obscure, beginning with unstable harmonic language. The remaining parts of the composition present more stable harmonies. The other distinctive feature of the sonata is the incorporation of thematic transformation: the first theme and the second theme reappear in various rhythms, textures and keys, accompanied by the tritone motif at the beginning of each section--these materials serving a unifying role in the piece. Liszt's innovative approach lies in the integration of the sonata structure into a fantasy framework.

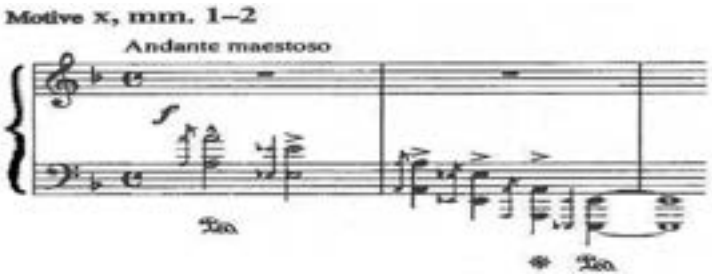
Example 3.1: Franz Liszt, *Dante Sonata***,** Introduction, mm 1-6.



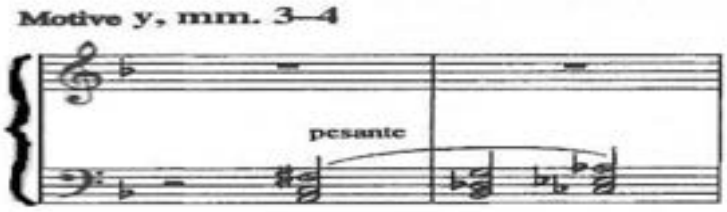
The introductory tritone chord symbolizes the "devil" in music, dating back to the Middle Ages when the tritone was referred to evil and labeled as "*diabolus in musica".* Alan Walker suggests that Liszt drew inspiration from Dante's *Inferno* to craft a musical portrayal of descent into Hell, particularly from Canto III: "Abandon hope all ye who enter here." Employing a descending tritone followed by chromatic harmonic progression, Liszt obscures the tonal center. The introduction is structured around three recurring motives, marked x, y, and z, which recur throughout the composition. The initial presentation of motive x features octaves accentuating a

tritone, veiling the tonic key. Motive y progresses with diminished and minor triads, contributing to the ominous atmosphere. Motive z introduces sinister scales, augmented seconds, and a sudden diminution in dynamics, fostering a mood of suspense and uncertainty, eventually reestablishing the first theme, with a resolution to the home key of D minor.

Example 3.2: Franz Liszt**,** *Dante Sonata***,** Motives, mm 1-2, Motive X.



Example 3.3: Franz Liszt, *Dante Sonata*, Motives, mm 3-4, Motive Y.

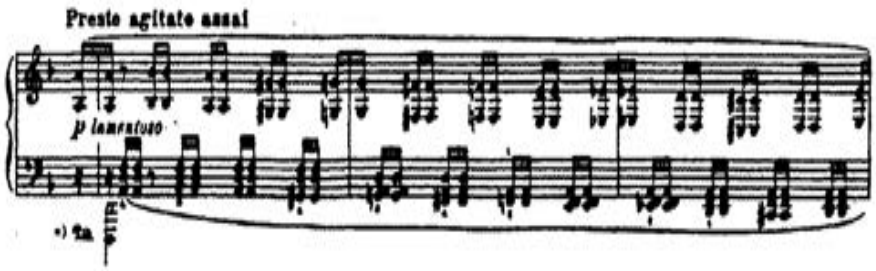


Example 3.4: Franz Liszt, *Dante Sonata*, Motives, mm 25-28, Motive Z.

Following the transition spanning Measures 25 to 28, the first theme emerges, settling into the key of D minor. The subsequent section marked "*Presto agitato assai*" is characterized

by lamentoso, where the melody unfolds through chromatic descending and ascending octaves in the right hand, with accompanying chords in the left hand. This configuration evokes imagery associated with wailing and anguish. This motif persists in a consistent pattern until Measure 52, where it culminates in the dynamic "*ff con impeto*" in the following passage. Following a short break of two bars, the motif of lamentation returns, marked by *disperato* in a dynamic of "*mf*". Liszt employs these expressive markings to intensify the emotional feeling of desperation.

Example 3.5: Franz Liszt, *Dante Sonata,* Theme 1, mm 35-37.



The exposition of the sonata comprises the introduction and two contrasting themes: the first theme is in D minor, and the second theme progresses to F-sharp major. In the development part, the motives x and y are revisited. They present the tritone motive and the tempo returns to *Andante*, seemingly to recall the introduction. The development begins in F-sharp major and consists of three sections, presenting the second theme with various formats. In the recapitulation part, the first theme is omitted while the second theme reappears under tremolo accompaniment in the right hand, modulating to D major. The musicologist Ben Arnold provides a chart of the structure with detailed analysis:

Example 3.6: Ben Arnold Chart for *Dante Sonata*

Liszt, *Dante* Sonata

Section	Measures	Key	Theme/Motive	Tempo
EXPOSITION 1–114				
Introduction	1		mot. x, y, z	*Andante maestoso*
1st Theme	35	D minor	th. 1	*Presto agitato assai*
Transition	73		mot. x, z	
2nd Theme	103	F♯	th. 2	
DEVELOPMENT 115–289				
	115		mot. x, y	*Tempo I (Andante)*
	124	V/F♯	th. 1	*Andante (quasi improvvisato)*
	136	F♯	th. 2	*Andante*
	157	F♯	th. 1	*più tosto ritenuto . . .*
	167	F♯	th. 1	
	181		mot. x, y	*Allegro moderato*
	199		th. 1, mot. z	
	211	A♭ (seq.)	mot. x'	*Più mosso*
	233		mot. x', z	
	250	B major	th. 2, mot. z	
Retransition	273	V/D minor	th. 1	*Tempo rubato...*
	283		mot. x'	
RECAPITULATION 290–373				
2nd Theme	290	D	th. 2	*Andante*
	306	D	th. 2	*Allegro*
	318		mot. x	
CODA 326–373				
	326	D	th. 1	*Allegro vivace*
	339	D	th. 1	*Presto*
	366	D	mot. x'	*Andante (Tempo I)*

[34]

According to this chart, motives x, y and z appear throughout the entire piece. Closer examination reveals that they mostly serve as transitions between different themes and sections. Liszt followed the traditional sonata form, deriving the introduction and two contrasting themes from the exposition section. Nevertheless, the themes underwent transformations to different keys, tempi, and textures as new ways to create variations, beyond the traditional sonata form. In other words, Liszt incorporates the concept of thematic transformation into the conventional sonata form, expanding the form to a larger work.

[34] Arnold, *The Liszt Companion*, 86.

The following section will examine the interplay between the literary elements reflecting the different sections of piece. The literary corollary of Theme I, as explained by some penciled annotations taken from Walter Bache's copy of the sonata, a pupil of Liszt, finds its inspiration drawn from Canto III:

> Here sighs, with lamentations and loud moans,
> Resounded through the air pierced by no star,
> That e'en I wept at entering. Strange tongues,
> Horrible cries, words of pain,
> Tones of anger, voices deep and hoarse,
> With hands together smote that swelled the sounds,
> Made up a tumult, that for ever whirls
> Round through that air with solid darkness stained,
> Like to the sand that in the whirlwind flies.[35]

The transformation begins at Measure 95, where the rising major chords assume dominance over the principal melody. This transition foreshadows the forthcoming shift towards a major tonal setting in the subsequent section.

Example 3.7: Franz Liszt**,** *Dante Sonata,* Theme 2, mm103-107.

[35] Eva Mary Grew, "Liszt's Dante Sonata" *The Chesterian* 21 no. 148 (Jan.-Mar. 1940): 36

The second theme, resembling a choral arrangement, emerges in F-sharp Major and marks a departure into a new tonal area. It is characterized by descending octave chords, evoking a tumultuous emotional feeling. Within Liszt's compositional setting, the key of F-sharp Major assumes symbolic significance, particularly notable in compositions such as *Bénédiction de Dieu dans la solitude* and *Les jeux d'Eaux à la Villa d'Este,* where it serves as a hallmark of his "beatific" musical expression. Analysis of Bache's score suggests a thematic linkage between this motif and subsequent tritone passages in their association with canto 34, which serves as a musical portrayal of Lucifer. Notably, Canto 34 constitutes the concluding chapter of Dante's Inferno, echoing lines such as "*Vexilla regis prodeunt Inferni*" ("The banners of Hell's Monarch do come forth") and "*La cretura ch'ebbe il bel semiate*" ("The creature eminent in beauty once").

"The banners of Hell's monarch do come forth
Towards us; therefore look," so spake my guide,
"If thou discern him." As, when breathes a cloud
Heavy and dense, or when the shades of night
Fall on our hemisphere, seems viewed from far
A windmill, which the blast stirs briskly round;
Such was the fabric then methought I saw….
…To the point we came,
Whereat my guide was pleased that I should see
The creature eminent in beauty once."[36]

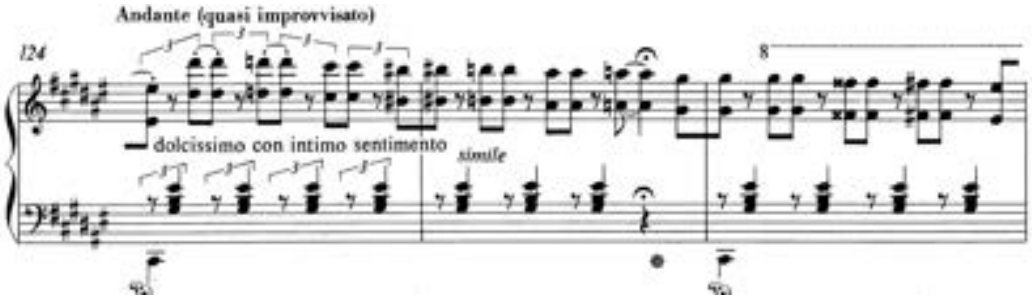
The choral theme within the composition represents the character of Lucifer in a beautiful way through the tritone motive and symbolizes the "fallen angel". This thematic motif undergoes transformation commencing from Measure 124 (marked Andante – *quasi improvisato*), where the initially turbulent choral scene transitions into a more lyrical and sentimental expression.

[36] Dante Alighieri, *The Vision of Dante Alighieri of Hell Purgatory and Paradise* Translated by the Rev H.F Cary, intro.& notes by Edmund G. Gardner (London: J.M Dent &Sons, Ltd), 144.

This melodic evolution not only suggests a transition from Hell to a delightful place, but also prefigures a theme of struggling love between Francesca da Rimini and her brother-in-law, Paulo Malatesta. It can be traced back to Liszt's inspiration drawn from Canto 5 of Dante's *Divine Comedy*, within the *Inferno*, where a noblewoman faces tragic consequences: she is murdered by her husband after he discovers her affair with her brother-in-law.

Within this canto, Dante and his guide Virgil encounter the ill-fated lovers in the second circle of Hell, where they are condemned for the sin of lust. Dante, as the pilgrim, sees the couple buffeted by the wind. Francesca recounts their tragic story to Dante, while Paulo is depicted weeping amidst the backdrop of the relentless wind.

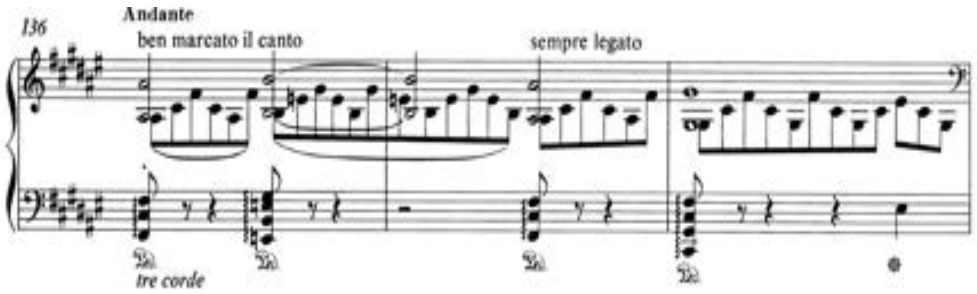
Example 3.8: Franz Liszt, *Dante Sonata,* mm 124-126.



Within the Andante section beginning at Measure 136 (refer to example below), a slow and melodious melody emerges, seemingly evoking Francesca's lamenting expression of love and resonating with the imagery of "Paradiso". This sentiment is noted by Paul Roberts, who draws a connection between the emotive music and Francesca's lamentation by suggesting, "I am not the first to connect the heart-breaking music which follows at the bar 136 (and the tears—

lagrimoso—at bar 147), with Francesca's lament: "There is no greater sorrow/ than thinking back upon a happy time/ in misery."[37]

Example 3.9: Franz Liszt, *Dante Sonata,* mm 136-138.



In the section beginning at Measure 157, marked *dolcissimo con amore* and *rubato quasi improvisato,* Liszt employs music to depict the love shared by the couple and their "agonizing past". Dante characterizes their love as beyond a forbidden passion. A contemporary translation of this passage by Clive James provides further insight, suggesting that Francesca refers to the Arthurian legend of Lancelot and Guinevere within this context.

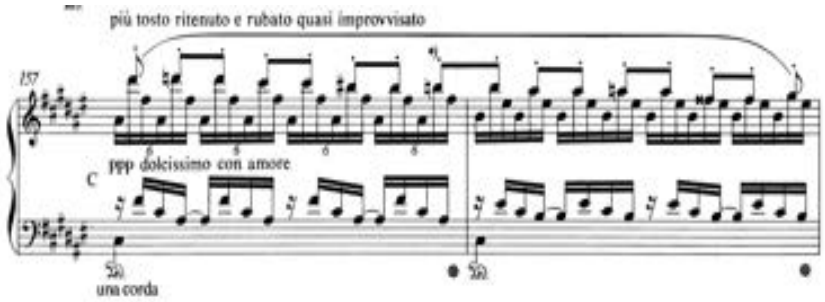
> Reading together one day for delight
> Of Lancelot, caught up in Love's sweet snare,
> We were alone, with no thought of what might
> Occur to us, although we stopped to stare
> Sometimes at what we read, and even paled.
> But then the moment came we turned a page
> And all our powers of resistance failed:
> When we read of that great knight in a rage
> To kiss the smile he so desired, Paolo,
> This one so quiet now, made my mouth still---
> Which loosened by those words, had trembled so---
> With his mouth. And right then we lost the will—
> For Love can will will's loss, as well you know---
> To read on.[38]

[37] Roberts, "*Reading Franz Liszt*",141.

[38] Dante Alighieri*: The Divine Comedy,* trans. Clive James (London: picador, 2013), canto 5,1. 149-62

The passage commencing at Measure 157 serves as an expressive portrayal of love shared between Francesca and Paolo, despite its eternal condemnation. Through its melodic language, the music invokes sentiments of compassion and sorrow. Notably, the preceding section from measure 103 is in F-sharp Major--Alan Walker suggests that Liszt purposely used this key, intending to evoke associations with the “divine” or “beatific”.

Example 3.10: Franz Liszt, *Dante Sonata,* mm 157-158.



From Measure 181, the reoccurrence of the tritone theme pulls listeners out of the scene, drawing them back from the idyllic imagery of Paradise to the gloomy reality of Hell. Furthermore, the recapitulation section commencing at Measure 290 reintroduces the initial theme but modulates to its tonic major. This last transformation of the “great beauty” suggests a departure from Hell, as if Dante has shifted his gaze towards Heaven. Moreover, this recapitulation serves as a depiction of a scene from “Paradiso”.

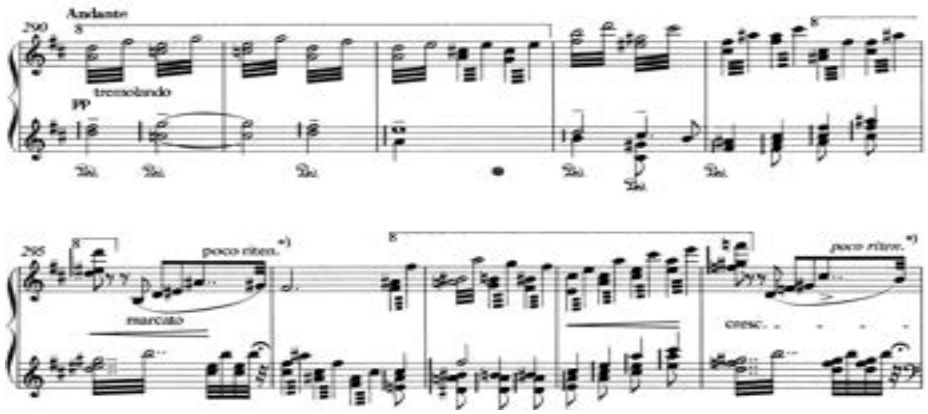
The delicate and shimmering accompaniment created by Liszt in this segment depicts the image of Beatrice:

> My mind enraptured, always longing for
> my lady gallantly, was burning more
> Than ever for my eyes’ return her.

Undoubtedly, the allure of Beatrice's beauty surpasses mere aesthetics; it embodies a divine quality. As articulated by Dante, "fashioned lures to draw/ the eyes so as to grip the mind". However, at the same time,

> would seem nothing if set beside the godly
> beauty that shone upon me when I turned
> to see the smiling face of Beatrice.[39]

Example 3.11: Franz Liszt, *Dante Sonata,* mm 290-299.

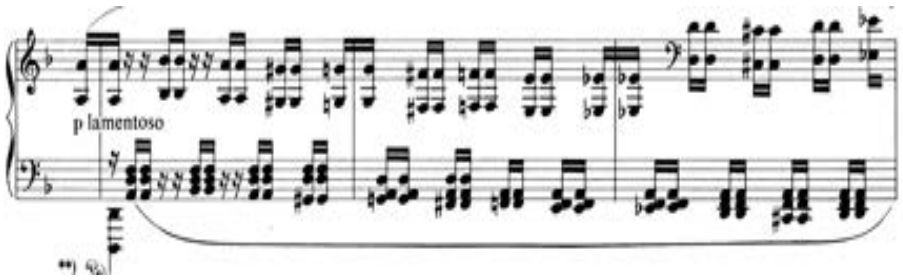


Thematic Transformation

The use of thematic transformation is one of the distinct features in this sonata. In the following part, some musical examples will be provided to illustrate the concepts that Liszt applied in this piece. The example below begins with the first theme, first appearing in Measure 35-37 in D minor. It primarily contains ascending and descending chromatic scales commencing with the dominant notes of the right hand while the left hand has the tonic note D serving as harmonic support.

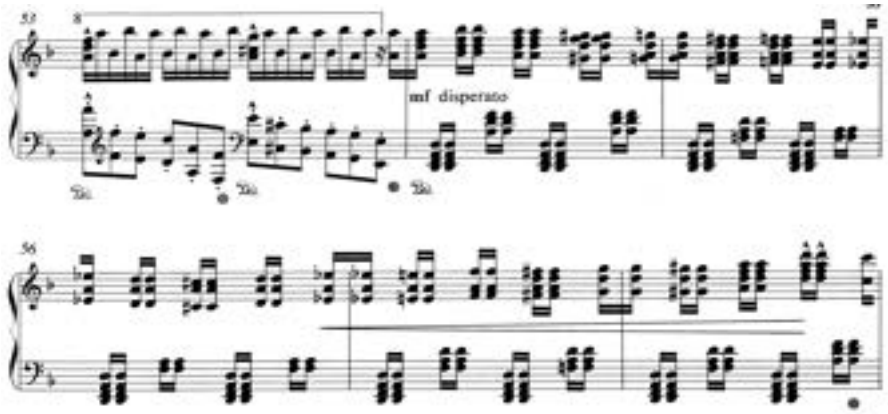
[39] Dante Alighieri, *The Divine Comedy*, trans. Allen Mandelbaum (New York: Everyman's Library, Alfred A.Knopf, 1995), " Paradiso," 27. 88-96.

Example 3.12: *Dante Sonata,* First Theme, Measure 35-37



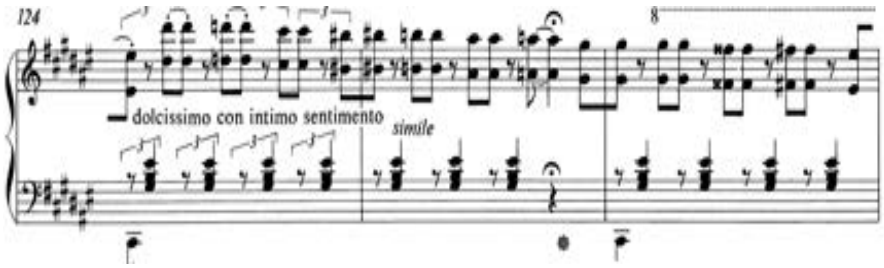
The first theme reoccurs at Measure 54 (refer to example below), accompanied by thicker texture from both hands. Although only the right hand carries the melody from the first theme, a more dramatic character is achieved through the texture of chords and dynamic markings.

Example 3.13: Franz Liszt, *Dante Sonata,* mm 53-58.



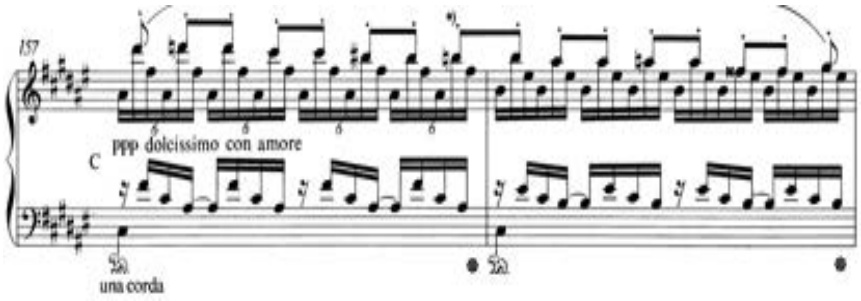
In the development section, the first theme is presented again in C-sharp major (refer to example below) at Measure 124. Examining the key relationship, C-sharp is the dominant note of F-sharp major, in addition, the mood of the piece switches from the intense and dark feeling to a dreamy and emotional temperament.

Example 3.14: Franz Liszt, *Dante Sonata,* mm 124-126.



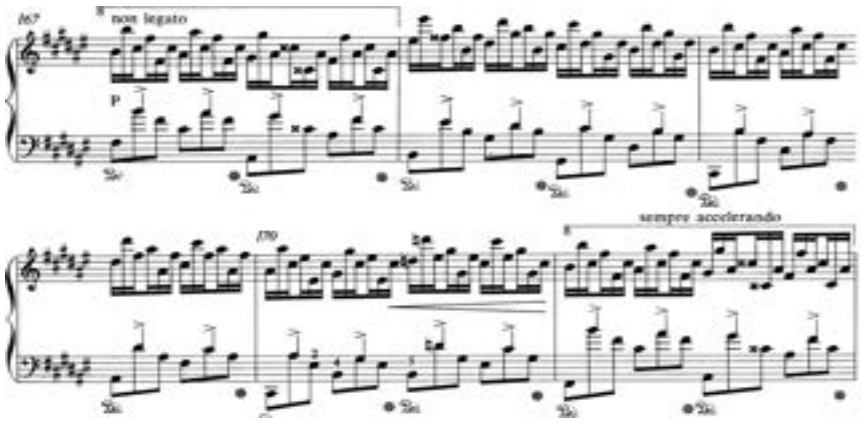
In Measure 157, the theme is transformed to a soft and lyrical passage, beginning with the inversion of F-sharp major chord. In terms of texture, the right hand has sextuplets against the left-hand which plays sixteenth notes.

Example 3.15: Franz Liszt, *Dante Sonata,* measure157-158.



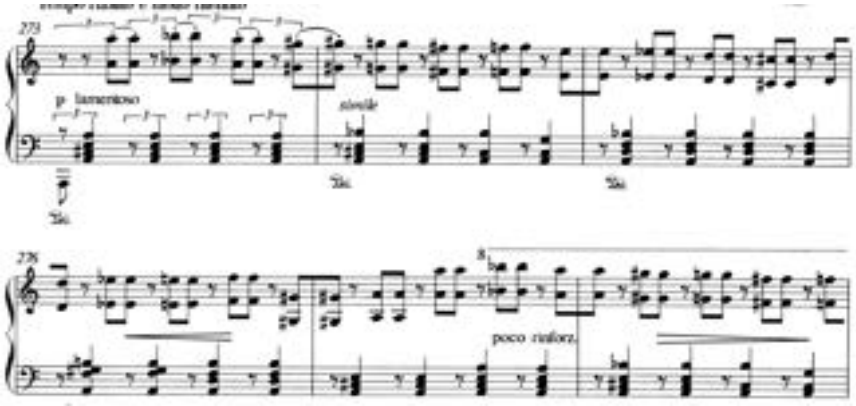
In Measure 167 (refer to example below), the chromatic line from the right hand turns into a dechromanticized descending line based on the first theme while the left hand presents descending chromatic scales in a triplet pattern.

Example 3.16: Franz Liszt, *Dante Sonata,* mm 167-171.



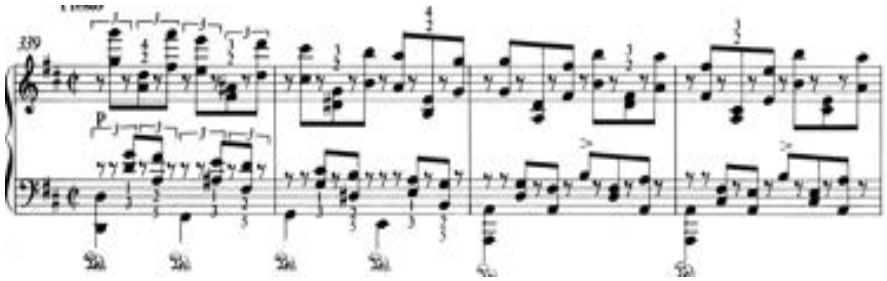
In the development section, the first theme reoccurs one last time starting from Measure 273. The motif goes back to the pattern of the first theme, comprising ascending and descending chromatic scales. The bass begins with A and the left hand begins with an A major tonic triad; in addition, this section has a similar rhythmic pattern to the section beginning at Measure 124, the beginning of the development.

Example 3.17: Franz Liszt, *Dante Sonata,* mm 273-278.



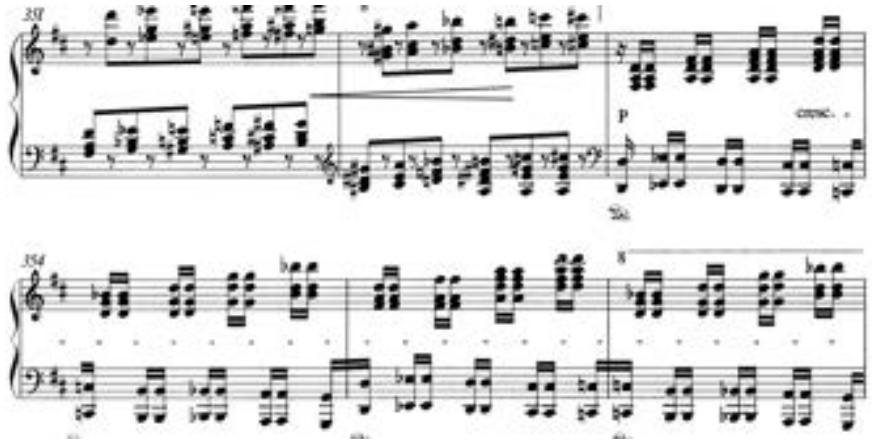
In the coda section, the first theme undergoes another thematic transformation and is presented in a triplets' version. The main melody begins with a descending pattern in D major, replacing the chromatic descending scale.

Example 3.18: Franz Liszt, *Dante Sonata,* mm 339-342.



In Measure 351 the first theme appears for the last time at the end of the coda section. The left hand plays the ascending and descending melody, returning to the home key, D minor.

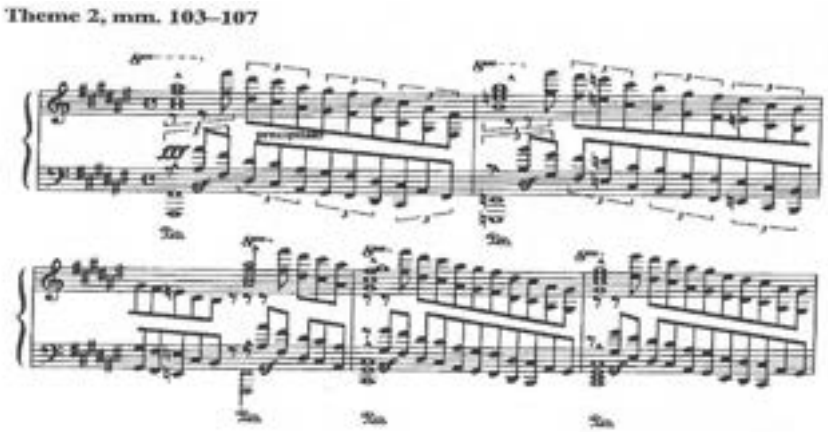
Example 3.19: Franz Liszt, *Dante Sonata,* mm 351-356.



In the preceding discussion, all the thematic transformations of the first theme have been listed. The first appearance of the second theme (refer to example below) appears at the end of

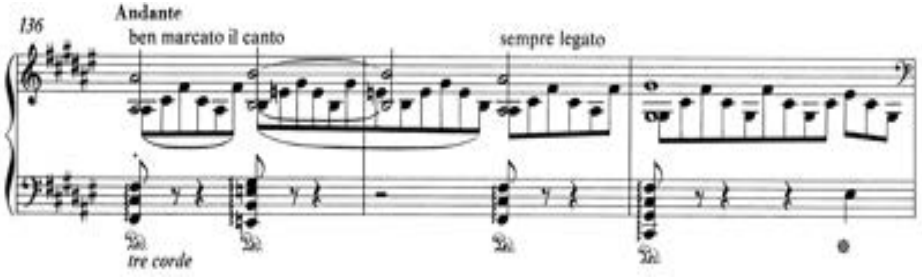
the exposition. The chorale texture and key center of F-sharp Major create a warm mood which is different from the D minor theme.

Example 3.20 Franz Liszt, *Dante Sonata,* mm 103-107.



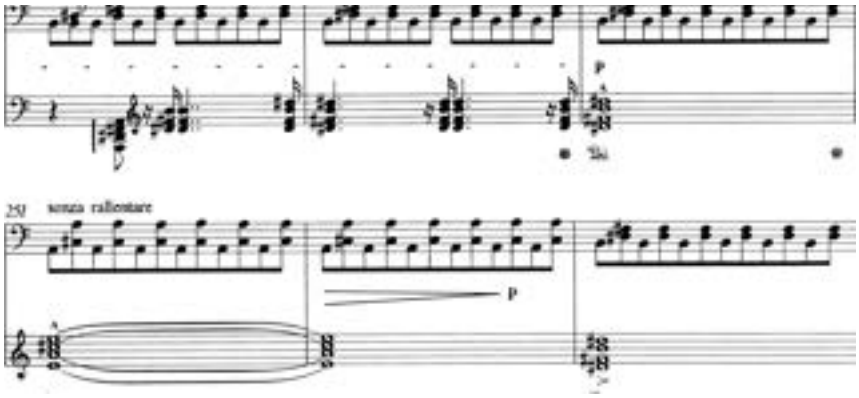
The thematic transformation of the second theme initially appears at Measure 136 (refer to example below), in the same tonality of F-sharp major. Instead of the energetic chordal texture at Measure 103, it presents a lyrical and angelic feeling, accompanied by harp-like flowing eighth notes.

Example 3.21: Franz Liszt**,** *Dante Sonata*, Second Thematic Transformation, mm 136-138.



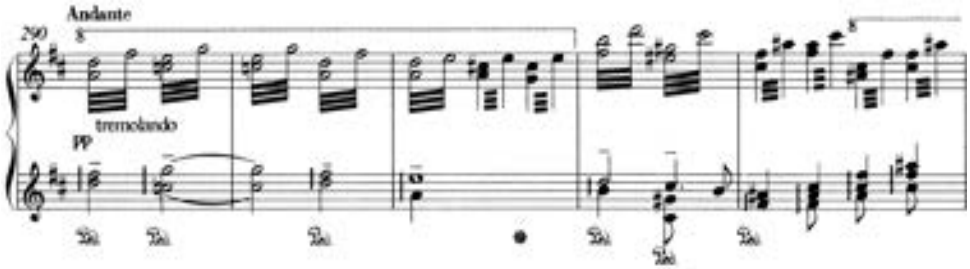
In Measure 251(refer to example below), the variation of the second theme reappears in the left-hand melody in the middle register while the right-hand plays accompaniment. The key signature for the theme modulates to B Major.

Example 3.22: Franz Liszt**,** *Dante Sonata*, mm 248-253.



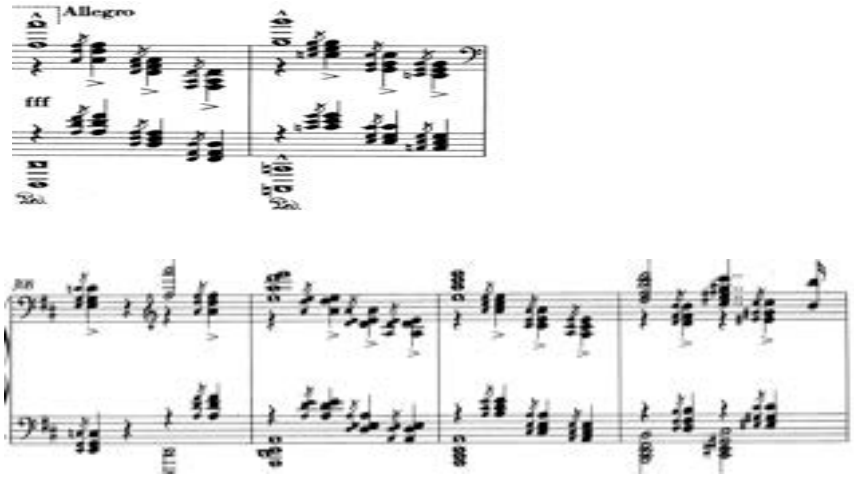
In Measure 290, the second theme reappears transformed to D Major. The tempo changes to andante as the theme changes to a lyrical and singing character. It is presented by the left hand while the right hand plays the tremolo.

Example 3.23: Franz Liszt**,** *Dante Sonata*, mm 290-294.



The last recurrence of the second theme is in Measure 306. It has a similar texture as the first appearance of the second theme: playing octaves and chords in declamatory style.

Example 3.24: Franz Liszt**,** *Dante Sonata*, mm 306-311.



The examples listed above have illustrated all the many approaches that Liszt employs to effect thematic transformations throughout the sonata. As seen in these examples, the themes are presented in various ways and multiple keys, which gives themes from the traditional sonata form more character. In addition, the structure of the sonata form is greatly expanded.

Paul Roberts discusses a contemporary commentator's interpretation of Beatrice in *The Divine Comedy*, suggesting its resonance with Liszt's sensibilities:

"Beatrice is Dante's instructor, guide and lure. Her beauty, and the emotions it generates, creates a powerful link between love and knowledge, an eroticization of knowledge that energizes the poet's enamored mind."[40]

To summarize, this sonata embodies a composition characterized by a structure built upon contrasting motifs and themes, which subsequently undergo variations. Dante held a

[40] Eleanor Perenyi, Liszt, *The Artist as Romantic Hero* (Boston: Little, Bwoen and Compnay),50.

prominent place among Liszt's literary influences, with his *Divine Comedy* deeply influencing Liszt's compositional works, such as *The Dante Symphony*. *The Divine Comedy*, portraying a journey through life, resonates with Liszt's Dante Sonata, which served as the culminating piece in his Italian collection from his years of pilgrimage.

In a broader context, Charles Rosen notes that "Language must seek out poetic methods even to approach at a distance the subtlety and emotional resonance of music."[41] Liszt, as Charles Rosen describes, driven by a passionate desire to infuse poetry into his musical compositions, drew inspiration from external sources throughout his artistic journey. Another composer, his contemporary, one of the leading Romantic composers, Robert Schumann, is also driven by literary sources to create his musical compositions. In contrast to Liszt, Schumann drew inspiration from internal sources throughout his career. His musical alter-egos, Florestan and Eusebius, spoke to him as inner voices from the beginning of his artistic journey. In the following chapters, an exploration of Schumann's literary connection and an examination of his symbolic works, such as *Papillons* Op.2 and *Carnival* Op.6 will be conducted.

[41] Charles Rosen, *Music and Sentiment* (New Haven: Yale University Press,2010), 5-6.

Chapter 4

Literary Inspiration Through Schumann

In contrast to other contemporary composers who continued with traditional compositional methods, Liszt's compositional approach relied more on external influences and 'spur of the moment' ideas, as discussed in previous chapters. For example, David Trippett describing the Dante Sonata, states in his article, "as a piece born expressly from acts of performance, the Sonata appears not to be regulated exclusively by the idea that a work is an enduring, immutable product."[42] Instead, reflecting its literary inspiration, the Sonata is interwoven with various improvisations and revisions. His contemporary, Schumann, who criticized Liszt's compositional abilities, commented that Liszt's compositional skills were inferior compared to his extraordinary piano playing. Trippett also mentioned this point in his article, "Back in 1839, Schumann explicitly underscored this point, reminding his *Neue Zeitschrift* readers that Liszt had received scant formal instruction in composition."[43]

Schumann's internal inspiration for composing was innate, yet the absence of formal musical education led to outcomes perceived as inferior relative to composers with more formal training. Romantic composers tended to infuse human emotion and personal reflection into their music, applying inspiration, knowledge, and genius. So it was with Schumann, one of the leading Romantic composers, who embraces both genius and madness more than any others among this period. Despite being born just one year before Liszt, Schumann's childhood experience and circumstances were very different from that of Liszt.

[42] Trippett, "*Après Une Lecture de Liszt: Virtuosity and Werktreue in the 'Dante' Sonata*." 54.
[43] Ibd., 60.

Schumann's mental development was likely greatly influenced by his family throughout his early years. Born during the tumultuous period of Napoleon's invasion of eastern Europe, Schumann spent his childhood in Zwickau, which, under the control of occupying troops, was dominated by an atmosphere of fear and uncertainty. As the fifth child in his family, Schumann occasionally experienced separation from his mother, temporarily being cared for by another woman referred to as his "second mother". This arrangement, occurring during his sensitive childhood years, contributed to feelings of separation anxiety and a deep fear of being unloved. This emotional uncertainty may have laid the preliminary groundwork for Schumann's later struggles with mental health, as suggested by Peter Ostwald in his *The Inner Voices of a Musical Genius.* However, Ostwald noted that Schumann's early experiences of separation were soothed by his immersion in music, "the only disharmonies he had mentioned up until this point involved his anxieties at school---which were nothing very unusual, and which he reduced by withdrawing from friends and dwelling more in an inner world of music and fantasies.[44] Music played an important role in Schumann's emotional well-being from his early age. Schuman's mother loved to sing to him, and this might have helped to develop his innate musical talent.

Schumann began piano lessons at the age of seven and showed remarkable talent for improvisation. His father, owner of a bookstore, was committed to his sons' educational quality, providing them with access to supplementary materials from his personal library. Through this resource, Schumann developed a deep affinity for literature. At the age of fifteen, Schumann experienced two significant losses within his family: first, his sister's tragic death by suicide, followed by the unexpected passing of his father while his mother was away. These events

[44] Peter F. Ostwald, *Schumann:The Inner Voices of a Musical Genius*. New and Expanded ed. / with a foreword by Kurt Masur. (Boston: Northeastern University Press, 2010), 20.

profoundly affected Schumann, prompting discussions of suicide among his friends and potentially influencing his mental well-being and inner voice. Such circumstances, rooted in his personal character, may have foreshadowed the tragic end to Schumann's life years later.

Jean Paul, Schumann and *Papillons*

During his adolescence, Schumann found inspiration in Romantic literature, particularly in the works of Jean Paul, a prominent German Romantic writer. Jean Paul's literary work not only replaced Schumann's father but also deeply influenced his personality, compositional style and artistic taste. Jean Paul and Schumann shared some similar traits: love for creating dualistic characters, employing strange plots, and having boundless imagination. In Jean Paul's writings, the dual personalities were often used as a literary device, with two characters frequently depicted as the main protagonists. These dual characters had a deep impact on Schumann, motivating him to invent dualistic characters himself in his own compositions in later years.

Peter Ostwald highlighted Schumann's admiration for Jean Paul, "Schumann's diary is filled with observations about Jean Paul, whom he considered 'superman'".[45] In his dairy, Schumann even mentioned that he "learned more counterpoint from Jean Paul than from his music teacher."[46] In addition, Schumann's intimacy with Jean Paul's work is evident in reflections in his dairies, such as, "I have often asked myself where I would be if I'd ever known Jean Paul: but seems to be entwined with at least one side of me…I would perhaps write in just the same way…but I wouldn't flee others' company as much, and I'd dream less… I can't exactly imagine what I would be…I can't puzzle out the question."[47] Moreover, his diary

[45] Ibid., 26.
[46] Erika Reimann, *Schumann Piano Cycle and the Novels of Jean Paul*, (Rochester, New York: University of Rochester Press, 2004), 2.
[47] Han Koetz, *Der Einfluss Jean Pauls auf Robert Schumann* (Weimar: 1933), 21.

described his nuanced observations of Jean Paul, "Jean Paul always enchants, but seldom satisfied me: through all the enchantment there is a feeling of dissatisfaction, an eternal sadness…"[48]

According to Robert Jacobs, Schumann's perception of Jean Paul reflected an introspective understanding of his own inner nature. The impact of Jean Paul's writings extended beyond literary inspiration, influencing Schumann's music writing and his mental well-being. Schumann recorded,

> "If the whole world read Jean Paul, it would certainly be a better, but unhappier place—he's often brought me close to madness, but the rainbow of peace and of the human spirit always hovers directly over all the tears, while the heart is wondrously elevated and tenderly transfigured."[49]

This quote suggests that Jean Paul's writing not only inspired Schumann's musical compositions but also deeply affect his mental state, as evidenced by his reference to being "brought close to madness." This influence can be attributed in part to Jean Paul's use of dual personality character settings, which resonated with Schumann's own psychological complexities.

His extensive reading of Jean Paul's works, one of them called *Adolescent Years (Die Flegeljahre),* particularly inspired Schumann's early well-known composition, *Papillons*. This musical piece shows a programmatic connection with the writing of Jean Paul's work, reflecting the author's narrative style in musical ways. In a letter expressing his intent to submit the composition for review, Schumann stated, "I kept on turning over the last page, for the end seemed like a new beginning—almost unconsciously I went to the piano, and so one Papillon

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[48] Koetz, *Der Einfluss Jean Pauls auf Robert Schumann,* 21.
[49] Robert Schumann, *Briefe, Neue Folge*, ed. F. Gustav Jansen (Leipzig, Breitkopf and Hartel,1866), 5.

after another appeared."[50]. Furthermore, Schumann underlined the thematic link between his composition and Jean Paul's work when he sent the published score to his family, urging them to read a specific chapter. He explained, "Papillons was intended 'as a musical representation of masquerade'".[51] Here Schumann explained the masked ball with "*Larventanze",* a term indicating the symbolic meaning of masks. In German, "*Larve*" means "larva", symbolizing a state of transformation to a butterfly, and "mask" in a metaphorical sense.

Schumann's choice of the title "Papillons" held a deeper meaning, intended to symbolize the psyche rather than only representing butterflies in a literal sense. In a letter, he interpreted it as "A bridge to the Papillons, because we can readily imagine the psyche floating above the body turned to dust—You could learn a good deal from me about this, if Jean Paul had not explained it better."[52] Schumann used Papillon, italize Papillon the French word, as the principal metaphor in the last chapter of *Flegeljahre*. This symbolic transformation means disguise, existing in both the novel and Schumann's music, and is obvious in his composition of short pieces titled "Papillons". Through these short pieces, Schumann sought to establish a direct connection between his music and Jean Paul's narrative. In his copy of *Flegeljahre*, Schumann carefully marked several passages corresponding to relevant chapters, linking each musical number to specific characters or actions depicted in the masked ball scene. Therefore, the connection between the music and the plot makes *Papillons* sound fragmented, shifting piece by piece quickly.

The novel portrays twin brothers, Vult and Walt, who symbolize contrasting personalities. While Walt is an unsophisticated sentimentalist, Vult is a disillusioned realist.

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[50] Robert Schumann, *Jugendbriefe*, trans. May Herbert (London: G. Bell & Sons,1888),167-8.
[51] Ibid., 166-7.
[52] Ibid., 54.

They follow disparate paths as Vult runs away from home while Walt attends law school. Despite their differences, the brothers have a deep bond, promising to stay together throughout life's journey, to travel, and to write books. In the final chapter, they attend a masked ball and both brothers become captivated by a girl named Wina. Walt, hesitant to express his feelings, asks Vult to act on his behalf. Vult, assuming Walt's identity in his costume, successfully wins Wina's affection. However, despite Walt's helpless observation of the unfolding events, Vult experiences jealousy and anger toward Wina's response to him, disguised as Walt. As the narrative reaches the end, Vult faces conflicting emotions, feeling unable to love Wina without betraying his brother. Consequently, he decides to run away, returning home to write a farewell letter before leaving on his journey. The novel ends "Entranced, Walt listened to the tones coming up from the street and dying away; he did not realize that his brother was leaving him."[53]

In *Explicating Jean Paul,* Jensen examined Schumann's *Flegeljahre* and drew a correlation between the composition and the novel: "In his own copy of *Flegeljahre*, Schumann amplified on the general association and indicated in the text eleven specific passages, assigning them to the first ten of twelve pieces comprising *Papillons*."[54] Schumann transferred some elements from the novel's last chapter, particularly those depicting the masked ball, into his music and they are reflected across various sections of *Papillons.* This incorporation of textual content from Jean Paul's work established a direct connection between Schumann's musical composition and the narrative of the novel. The entire piece consists of a brief introduction, waltz, polonaise, and finale. Although the arrangement of the pieces in *Papillons* does not follow

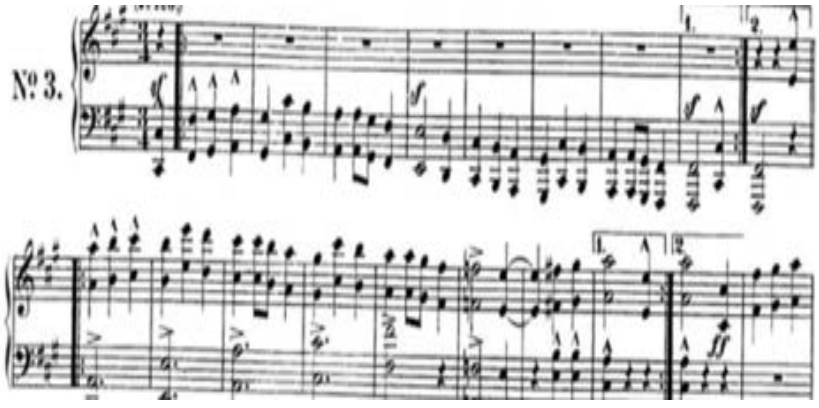
[53] Robert L. Jacobs, "Schumann and Jean Paul" *Music& Letter* 30, no.3 (July 1949): 254.
[54] Eric Jensen, "Explicating Jean Paul: Robert Schumann's Program for 'Papillons' Op. 2" *19th Century-Music* 22, no.2 (Autumn 1998): 138.

the chronology of the plot, Jensen's article suggests that by examining the specific text which Schumann annotated in the novel, we could easily find their corollaries in the music.

In the following section, we will explore the correlation between the piece and Jean Paul's narrative. Following a short introduction, *Papillons* unfolds with the first piece in a waltz style. The music depicts Walt, in a mock-heroic mood, anticipating the masked ball before arriving. The musical depiction is reflected in the specific text, "When he left his chamber, he felt like a hero thirsting for glory, who draws his sword for the first time; he besought God that he might return as joyful as he departed."[55]

The following piece, lasting for only 12 bars, is introduced with an abrupt tempo change, reflecting Walt's curiosity when entering the ball. In the third piece, Schumann employs octaves to depict the cumbersome and oversized boots of Walt's costume, a detailed depiction from the text, "he was fascinated in particular by a giant boot, sliding around and dressed in itself. [56] Additionally, Schumann utilizes a canon style to portray the boots peculiar characteristic of "dressing in themselves."

Example 4.1: Robert Schumann**,** *Papillons* Op.2, No.3, mm 1-19.



[55] Jensen, "Explicating Jean Paul,"138.
[56]Ibid., 138.

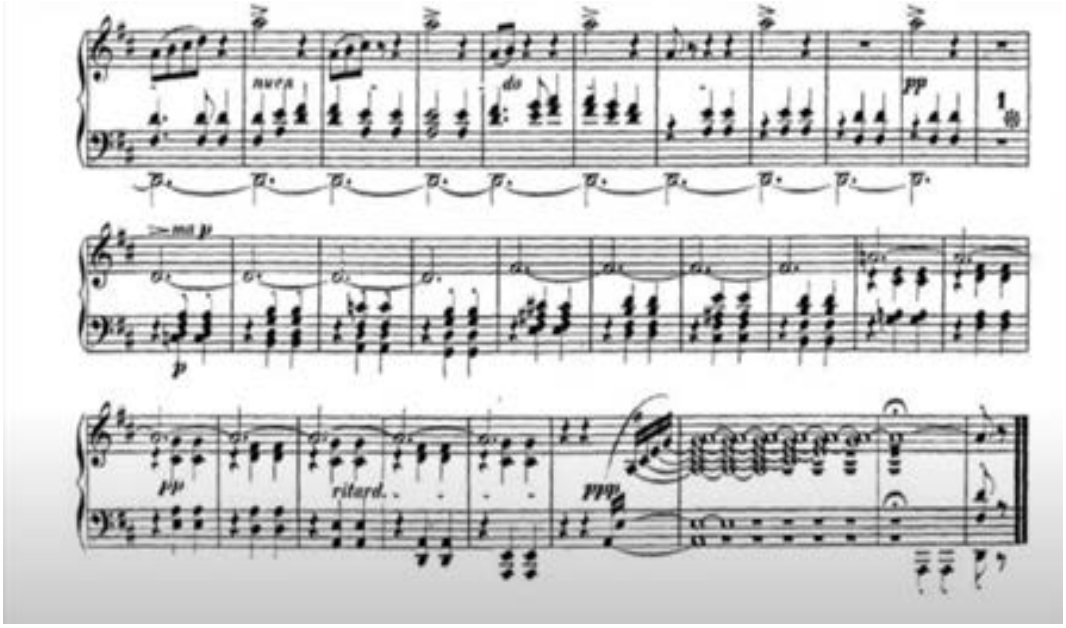
In the fourth piece, Schumann portrays Vult and Wina with their identities concealed by their costumes. The fifth piece reflects the encounter between Walt and Wina. While Schumann attempts to adhere to the plot of *Flegeljahre* up to this point, he deviates from the narrative in the sixth piece, rearranging the sequence of events within his composition. In this piece, Schumann departs from the plot by depicting Vult's mocking of Walt while dancing with Wina, a scene corresponding to the ninth plot in *Flegeljahre.* In contrast, the seventh piece remains true to the narrative, depicting Vult's discussion of the costume change. The order of events in the novel's sixth plot, where Walt feels delight while dancing with Wina, is transposed to Schumann's eighth piece. Although Schumann mostly adheres to the plot of Jean Paul's work, he strategically rearranges certain orders of the plots to create better musical effects. This new order allows better musical contrasts and portrays the different temperaments of the three main characters, as Jensen articulates, "those traits Schumann described to his family, 'Wina's angelic love, Walt's poetic soul, and Vult's mordent temperament'"[57]. Through this restructuring, Schumann produces an abrupt change between the No.7 and No.9 pieces, inserting a sudden lively No.8 piece between these two pieces.

In the last two pieces of *Papillons*, there is a lack of evidence linking the musical composition to specific texts from *Flegeljahre.* However, Schumann's letter to Rellstab provides insight into his understanding of the final piece, it depicts the conclusion of the end: the scene after masked ball. In the last piece, following a musical quotation of *"Grossvatertanz",* the Papillon motif is revisited. In the novel, this moment corresponds to the scene where Vult decides to quietly leave his brother after the clock strikes early in the morning. Vult plays the flute as he leaves, with the sound gradually fading into the distance. The final piece of the

[57] Jensen, "Explicating Jean Paul,"139.

composition (as shown in Example below) reveals a gradual diminishment of the Papillon motif, reducing notes from the motif until only a single note remains, symbolizing Vult's departure. After the single note, the music is followed by an entire bar of rest marked with a fermata sign, indicating that Vult has gone far away. The subsequent melodies have only broken triad and dominant seventh chords, possibly representing the echoes of Vult's flute, with the dynamics diminishing from *p* to *ppp*. Ultimately, the dominant seventh chord is reduced to only the dominant note and resolves to the tonic chord, mirroring the final plot in the novel. Through the use of diminishing notes and dynamics, Schumann reflects the concluding events of the narrative within the musical composition of *Papillons.*

Example 4.2: Robert Schumann**,** *Papillons* Op.2, No.12, mm63-92.



Flegeljahre has been portrayed as an exploration of two contrasting emotional characters, which is exemplified in the novel as Jean Paul's dual nature. This duality resonated with Schuman, which is a reason that Schumann felt a sense of affinity during his reading.

Consequently, Schumann drew inspiration from the novel to invent his own musical alter ego. The contrasting personalities portrayed in the novel left a deep impression on Schumann's sensitive and introverted personality.

Papillons and Schumann's Compositional Style

In the previous section, we have explored Schumann's literary inspiration from Jean Paul's work and seen how his music composition tried to reflect the narrative structure of the novel. Jean Paul's writings often employ a narrative technique characterized by digressions, resulting in a lack of narrative coherence. For instance, in *Flegeljahre*, a mini novel known as *Hoppelpopple* (scrambled eggs, meat and potatoes) emerges under digressions. It depicts the dreams and introverted character of Walt with energetic passages, juxtaposed with the sarcastic asides of Vult. Jean Paul establishes a connection to the main narrative by depicting Vult's discovery of Walt's affection for Wina through reading Walt's contributions to *Hoppelpopple.* These digressions serve to replace the traditional plots and are presented in a satirical manner and offer a commentary on the main plot.

Despite its digressive technique, Jean Paul employed characters, themes, and concepts to unify the different parts of the novel. As explained by Erika Reiman in her work *Schumann's Piano Cycles and the Novels of Jean Paul,* "Unity is provided in the novels by thematic currents, character development and recurring concepts."[58] In his composition *Papillons*, Schumann parallels this writing technique by employing digressive approaches in different pieces. Reiman characterizes *Papillons* as a digressive dance due to the use of digression technique. Schumann inserts short pieces between sections, sometimes seemingly unrelated to preceding or subsequent

[58] Reimann, "Schumann Piano Cycle and the Novels of Jean Paul", 37.

parts, and sometimes within sections themselves. The composition begins in D major. Under the influence of digression, the key signature does not return to its home key until the last two pieces. A closer examination of the key relationships between each piece demonstrates that Schumann carefully designed connections between each one.

In addition to the utilization of digression, Schumann's *Papillons* incorporates various other Romantic narrative styles. Drawing inspiration from Jean Paul, Schumann not only integrates elements of the author's literary works into his music but also borrows different writing techniques. Among these techniques are defamiliarization and the concept of "Sich-selbst-vernichten" ("self-annihilation"), both of which are applied in *Papillons.* Self-annihilation, i.e., self-destruction, is manifested in *Papillons* through each fragment, erasing the effect from the preceding one, thereby making the unity of the entire piece appear to be eradicated. However, similar to Jean Paul's approach, Schumann employs his compositional technique to unify the juxtaposed fragments into a cohesive whole.

Furthermore, as previously mentioned, the structure of Schumann's *Papillons* incorporates the engagement of a theory known as the fragment, a significant feature in Romantic composition. Scholar John Daverio comments on the notion of the fragment, stating, "Brevity, tonal dualism, stylized quodlibet, quotation, feigned opening, partial returns—all of these features contribute to the portrayal of a fragmented musical world in *Papillons*."[59] Friedrich Schlegel delineates the concept of the fragment in Romantic literature as follows,

"A fragment should be like a little work of art, complete in itself and separated from the rest of the universe like a hedgehog."[60] The hedgehog, known for rolling itself into a ball when alarmed, serves as a metaphor for the Romantic fragment, being able to stand alone while also

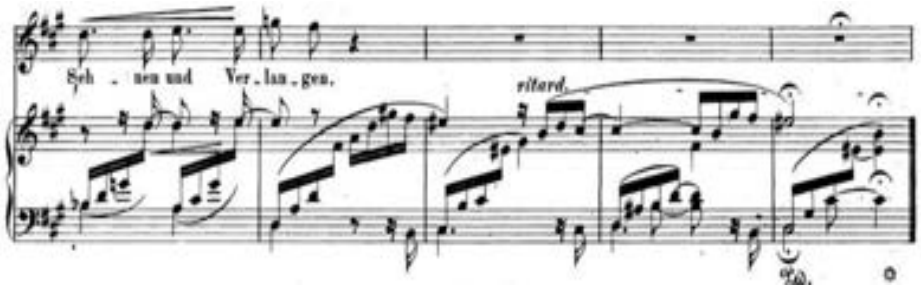
[59] John Daverio, *Robert Schumann: Herald of a "New poetic Age,"* (New York: Oxford University Press,1997), 81.
[60] Charles Rosen, The *Romantic Generation*, (Cambridge, Harvard University Press, 1995), 48.

intertwining with the broader universe. In the Romantic version, the definition of Fragment is defined as "imperfect, yet complete." [61]

In other words, a fragment could be finished by its form, but through examining its content, it stays unfinished. There is a contradiction based on the meaning of fragment because it presents both "incomplete" and "complete".

In music, a musical fragment can refer to a segment which lacks proper beginning or end, or does not follow the traditional harmonic progressions, and therefore it is unable to be considered as a complete piece. Schumann's song cycle, *Dichterliebe*, serves as an example of the concept of the fragment.

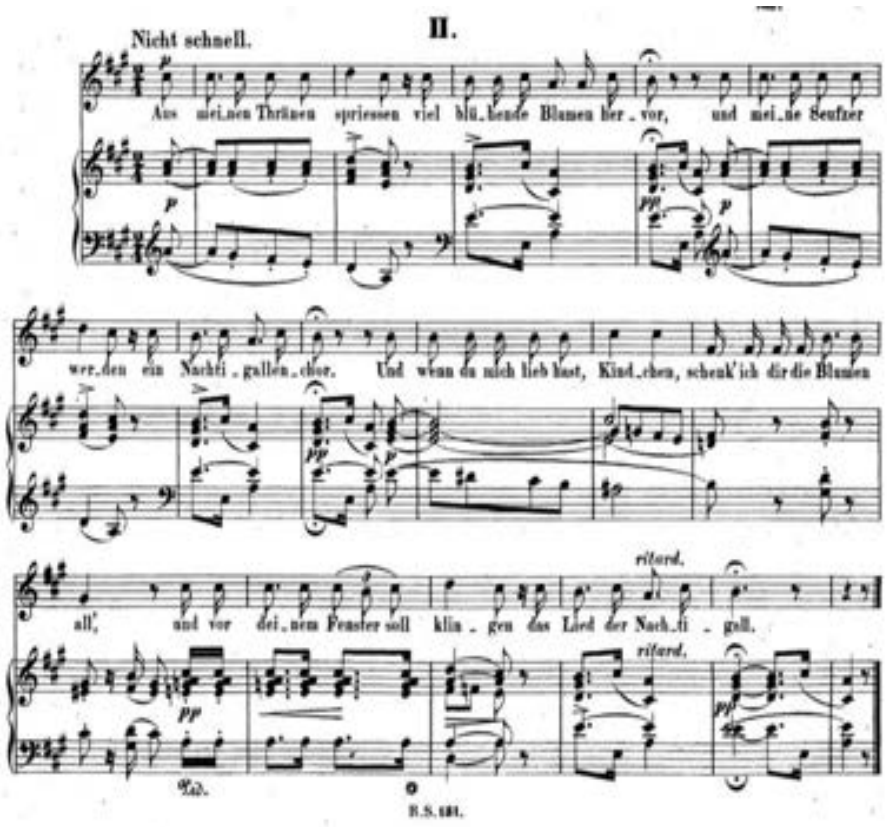
Example 4.3: Robert Schumann**,** *Dichterliebe*, Op. 48 The end of the first song



A close examination of an example from the cycle (refer to example 4.3) indicates that the second song is marked as A major by its key signature, with the final cadence resolving to the tonic. However, the song commences with an unexpected harmony in F-sharp minor, conveying the sense that it lacks a beginning. Harmonically, it presents a strong tonal center, A major, due to its repeated cadential resolutions. Nevertheless, the vocal line ends on B, remaining unresolved rather than returning to its tonic note, A. While the piano part ends perfectly on the tonic, the unresolved vocal part at B creates uncertainty regarding the end of the song.

[61] Rosen, *The Romantic Generation*, 50.

Example 4.4: Robert Schumann*, Dichterliebe*, Op.48 The end of the second song



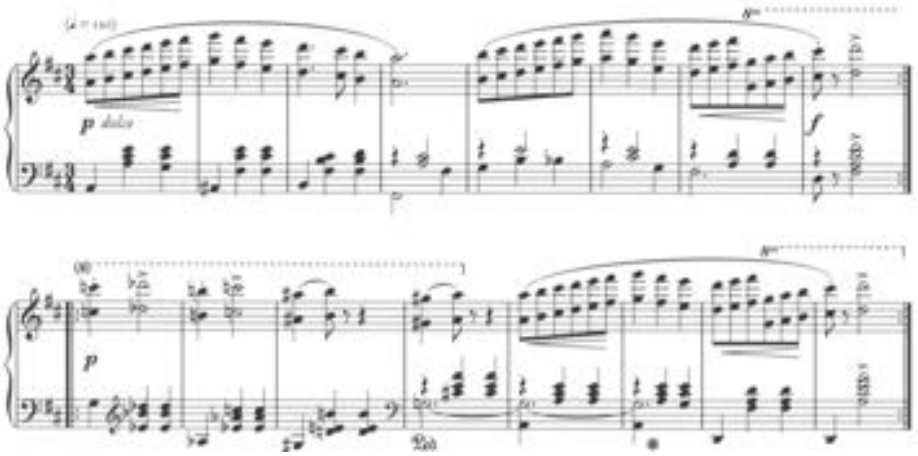
Moreover, examining the conclusion of the first song (refer to example 4.2 above), although marked with an A major key signature, it ends on the dominant 7th of F-sharp minor without resolution, leaving the impression of incompleteness and lacking a proper conclusion. However, the beginning of the second piece with an F-sharp minor chord offers resolution from the final chord of the first piece. Consequently, one may consider the beginning of the second song to be the conclusion of the first, making the second incapable of standing alone. Additionally, actual performance of *Dichterliebe* involves transition between the first and second songs without interruption.

Example 4.5: Robert Schumann, *Papillons,* Op.2, No.1 mm1- 6.

The *Introduzione* (refer to example above)*,* spanning six measures and possessing an open-ended form, begins in D major but ends on the dominant note with an ascending tonic arpeggio, incorporating the G sharp note. This introduction provides a sense of questioning and incompleteness, lacking a definitive conclusion and thereby qualifying as a fragment. In addition, two motivic cells within it evoke a "call-to-dance" feeling, raising expectations for a D major waltz, as evidenced in Example 4.5.

As the analysis of the *Introduzione* reveals*,* its questioning feeling, ending on the dominant note, creates an anticipation of the No. 1 piece (refer to Example). In this piece, the passage resumes on the dominant note, seeming to offer an answer to the introduction part. Schumann strategically employs all the letters corresponding to the musical scale – A, B, C#, D, E, F#, and G – at the outset of the first phase. The first four bars embody the symbolic melody of *Papillon*, recurring later in the Finale section as a fragment, as well as in Schumann's subsequent work, *Carnaval*. While the first piece is short, it is complete and well-balanced, ending at the tonic cadence. Its structure adheres to Schubert's conventional waltz pattern: two four-bar phrases progressing to the tonic or dominant, followed by the repetition of the phrase in the second half.

Example 4.6: Robert Schumann, *Papillons,* Op.2, No.1 mm 1-16.

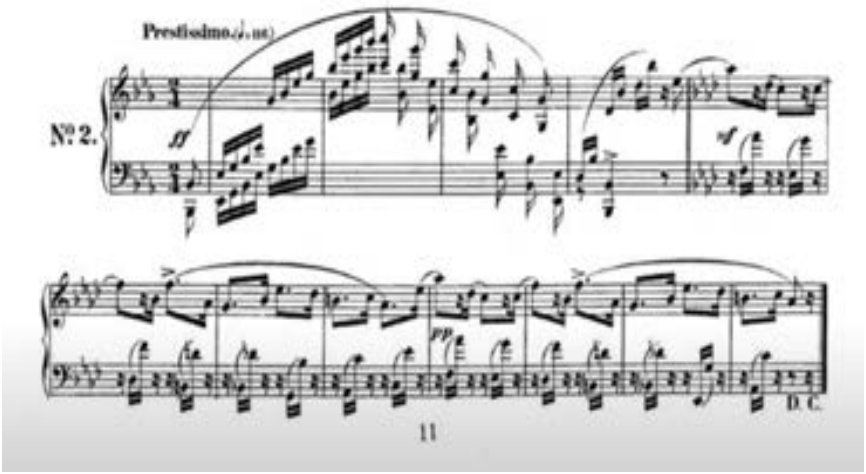


Although *Papillons* begins and concludes in D major, the other pieces within it barely adhere to this tonality, exhibiting a wide range of keys. For instance, the second piece abruptly moves to E flat major. Reiman points out this departure, suggesting that "if D major is like the main plotline of the work, the other keys defamiliarize the plotline in the Shklovskian sense—they 'make strange' a potentially conventional D-major work by introducing unexpected tonal elements into structure."[62] Defamiliarization, a literary function, as defined by Shklovskian, entails "making strange" familiar elements and daily life in order to evoke a fresh perspective from normality. Reimann explains how writers employ this technique by pointing out that: "Slow motion, detailed description, unusual use of language, and experimental sentence structure are only a few ways in which writers can make us see the world as new."[63] Similarly, Schumann employs a similar technique in *Papillons* by inserting unexpected rhythms and keys in his compositions, thereby defamiliarizing the familiar structure and inviting listeners to engage with the work from a renewed perspective.

[62] Reimann, "Schumann Piano Cycle and the Novels of Jean Paul" 37.
[63] Iibid.,37.

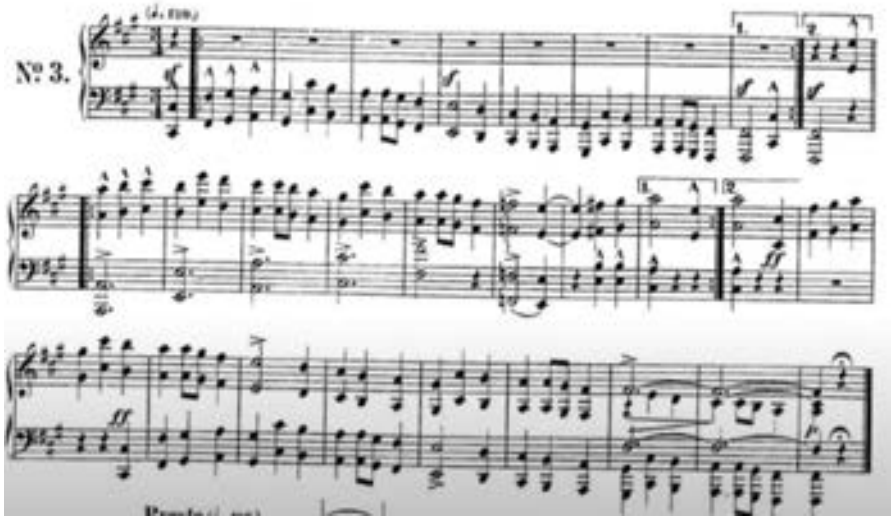
An example is evident in the first piece of *Papillons*: the first eight bars begin on the dominant and end at the tonic with a cadential gesture. However, in the beginning of the second half, rather than adhering to the conventional waltz form by reintroducing the same melody from the first part, the melody "defamiliarizes" from the typical opening of a waltz by incorporating unexpected harmony, temporarily shifting to A flat major at Measures 9-10. This unexpected new melody transforms the cadential figure from Measure 8, emerging as a new motif derived from the opening phrase. Following the short modulation, the return to D major occurs at Measure 11. Furthermore, the rhythmic pattern undergoes defamiliarization between Measures 9 and 12. Instead of repeating the ascending eighth note pattern followed by descending quarter notes, the rhythm transitions to a motif comprising quarter notes and half notes, with emphasis placed on the offbeat – the second beat. The original final cadence phrase RETURNS at measure 13, yet it also undergoes defamiliarization when compared to the first section, leaving listeners with a sense of lacking a proper beginning.

Example 4.7: Robert Schumann, *Papillons,* Op.2, No.2 mm1-12.



The second piece, exemplified in Example 4, undergoes a sudden key and style change compared to the preceding No. 1 piece and thereby presents another instance of defamiliarization. Schumann further defamiliarized the conventional waltz structure by employing duple meter instead of the traditional triple meter associated with dance style. The piece begins with D major's chromatic neighbor, a harmonically distant yet intervalically close key of E flat major. A closer examination of the relationship between E flat and D major reveals that E flat functions as a Neapolitan chord of D major. The melody commences with a pickup note and rises a fourth up from B flat to E flat through the broken arpeggio of the E flat tonic, echoing the introductory melody of the *Introduzione.* Despite that it sounds like a recomposed piece, the piece keeps the Schubertian dance style. The utilization of E flat major is quickly replaced by A flat major after the first four bars.

Example 4.8: Robert Schumann, *Papillons,* Op.2, No.3 mm 1-28.

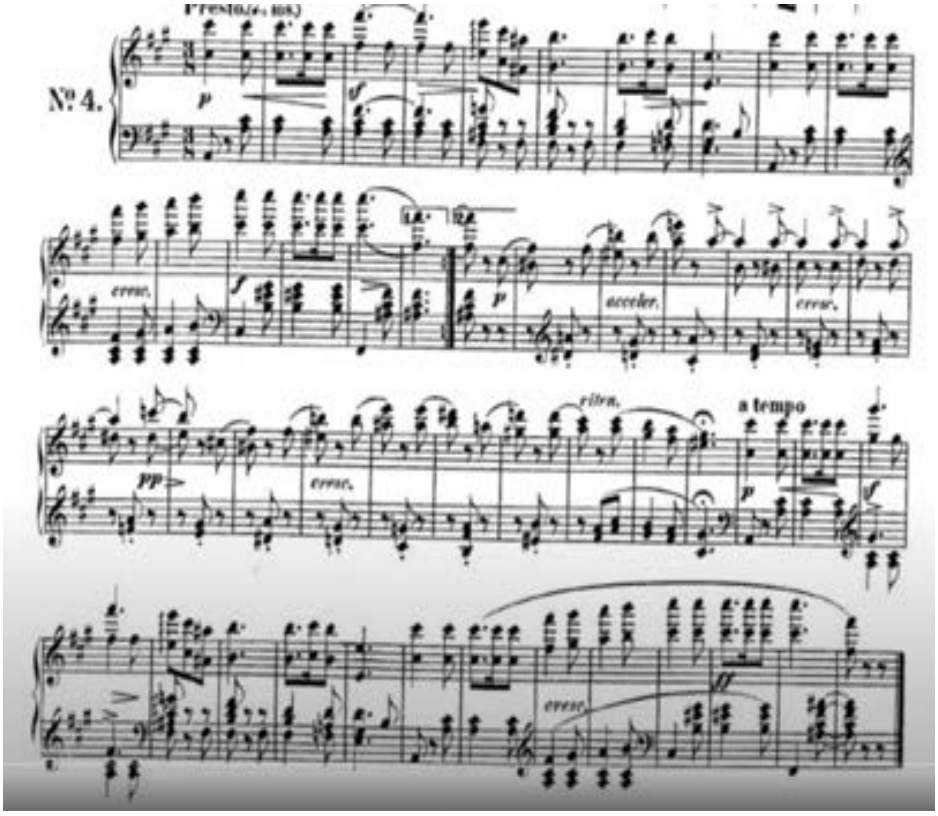


Once more, Schumann's key choice of F sharp minor for the third piece surprises us. Examining the beginning, we see that it also begins with a rising fourth from C sharp to F sharp

minor, echoing the opening motif of the *Introduzione.* Moreover, the rhythmic pattern also echoes the rhythmic figures from the No. 1 piece. However, the absence of the right-hand melody and the typical accompaniment characteristic of the waltz genre contribute to another example of defamiliarization. This piece is the one in which Schumann makes specific reference to the scene of the masked ball, "the giant boot gliding about, turning inside itself." The left hand introduces accented bass octaves to evoke the stomping and clunking movement of the boots, while the right hand mimics the figures in a major key, ending in a two-voice canon.

Although the transition to F sharp minor seems unexpected and disconnected from the preceding A flat major, a closer examination of the key relationship reveals a deliberate cohesion in Schumann's composition. Specifically, the final note of the No. 2 piece, A flat, undergoes an enharmonic shift to G sharp in this third piece. This G sharp note serves as the dominant note from the first note, C sharp, while C sharp functions as the dominant note of F sharp minor. Through using enharmonic equivalence and the secondary dominant note, Schumann makes a smooth transition from the A flat major of the second piece to the F sharp minor of the third piece. Although each piece may seem unrelated, a careful exploration reveals Schumann's deliberate and intentional use of compositional strategies to maintain consistency and coherence throughout the composition.

Example 4.9: Robert Schumann, *Papillons,* Op.2, No.4 mm 1-49.



The fourth piece resumes in the same key as the preceding piece, F-sharp minor, but with a stylized waltz. The opening phrase features a rising fourth interval, echoing the motifs from the *Introduzione.* The first half has 16 bars, structured as two eight-bar phrases, with Measures 9 to 13 revisiting the rising-scale fragment from *Papillons,* this time in F-sharp Minor. In the middle section, the piece reintroduces the rising fourth motif from the first half but digresses by shifting to a lively and playful dance unexpectedly. In contrast to the traditional waltz, which typically emphasizes the first beat, the middle section intentionally accentuates the third beat and creates a contrast with the preceding section. This juxtaposition offers a sense of self-annihilation between the two fragments, effectively erasing the conventional waltz style established in the first half.

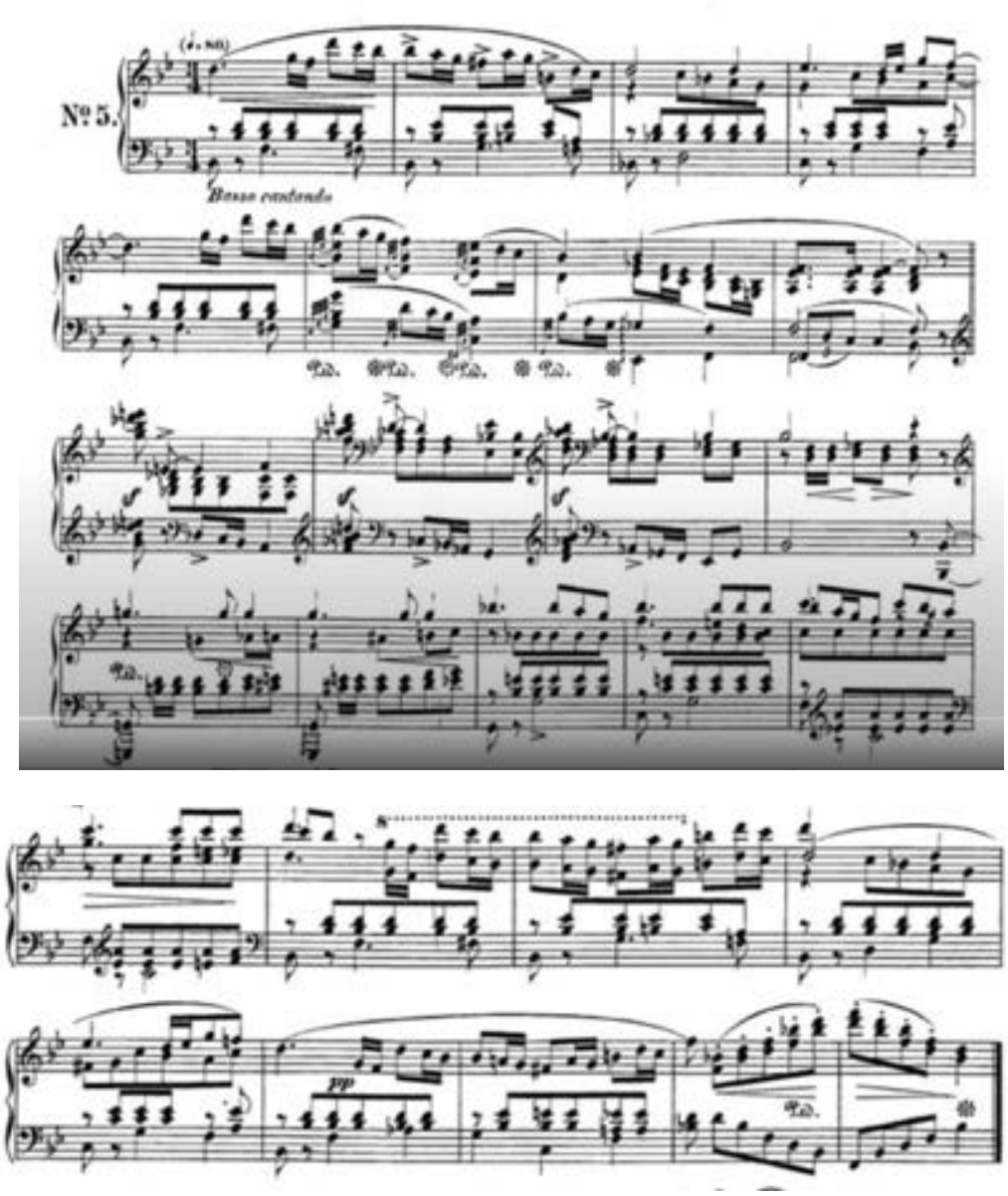
Following the digressive middle section, the conventional waltz theme returns, but with a more dramatic conclusion, ending in *ff* in F-sharp major this time.

The fifth piece (as shown below in Example) incorporates a large-scale digression: rather than presenting the waltz style, it distinguishes itself by adopting the format of a polonaise. It can be said that Schumann employs a form of self-annihilation to mitigate the effect of the waltz and to explore new textures and rhythmic patterns. However, close examination of the first phrase of Measure 1 to 2 reveals that the motivic cells from the *Introduzione* (as illustrated below in Example) are present. The right-hand section features a longer and lyrical melodic line, while the left hand embodies a polonaise rhythm, evoking the character of a Bach Sarabande. The sweet melody in the right hand in the first section, accompanied by the polonaise rhythm, appears to indicate the narrative of *Flegeljahre*: the description of Wina, with whom Walt falls in love, the daughter of a Polish general. Reiman refers to the fifth piece as employing the technique of intertextuality, which in literature involves referencing one text within another. Given that the fifth piece was composed a few years ago before *Papillons,* Reiman claims that "*Papillons* was not only expanded to include this preexistent work but was largely derived from it in a motivic sense."[64] Overall, despite Schumann's use of digression and other narrative styles in his compositions, thematic unity was never missing in his composition.

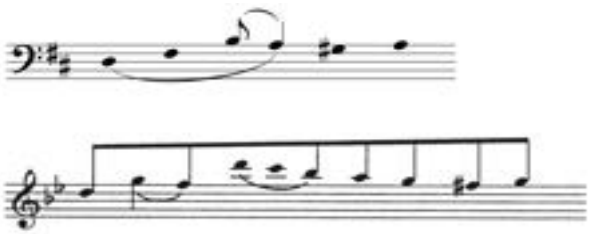
The harmonic equivalence appears again from the end of the fourth piece to the fifth: it ends with F-sharp Minor's inversion chord with the bottom note A sharp, which is successfully transferred to B-flat in fifth piece, as B flat and A sharp are the same note enharmonically.

[64] Reimann, *Schumann Piano Cycle and the Novels of Jean Paul,*41.

Example 4.10: Robert Schumann, *Papillons,* Op.2, No.5 mm 1-26.

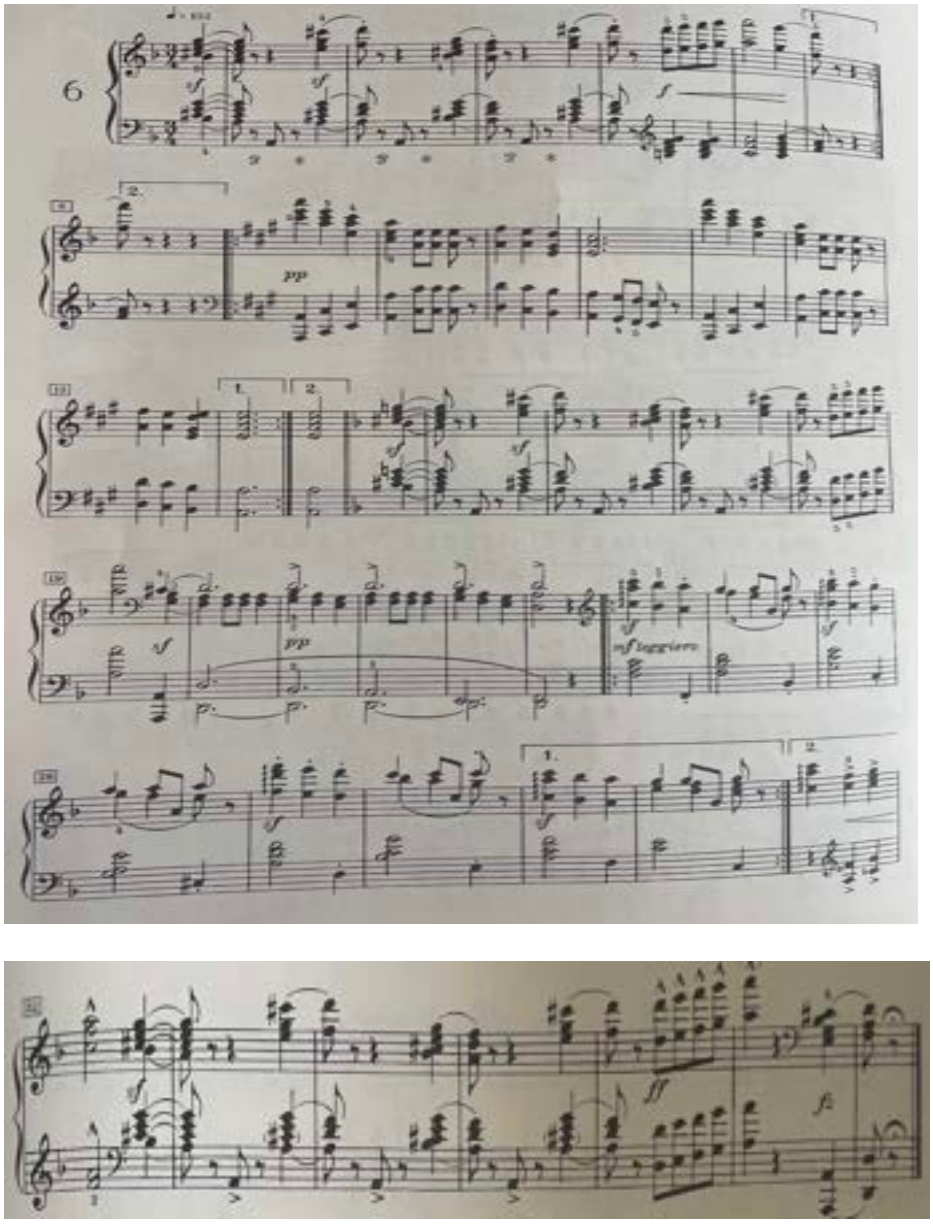


Example 4.11: Robert Schumann, *Papillons,* Op.2, Reduction of Melodic Line, Introduzione and no.5



The Sixth piece returns to the waltz style and begins in D minor, the parallel key of D major. It begins with the *sf* on the weak beat, accompanied by diminished seventh chords, evoking a sense of intensity and interruption. In comparison with the previous fifth piece, piece of sixth shows that Schumann employs a digressive technique, as the initial sweet and lyrical atmosphere immediately disappears in the first part of sixth piece. This piece follows an ABACA structure, with the D minor part recurring three times, with sections in A major (the dominant key of D minor) and F major (the relative key of D minor). The passage spanning measures 5-6 of the D minor section resonates with motifs from *Papillons,* while the A major section seems to foreshadow themes later explored in the eighth piece. In contrast to the A section, both the B (A major) and C (D minor) sections unfold with an elegant and lively dance after a short and intense section. Each section can be regarded as a fragment, lacking a proper beginning or end. Between these fragments, Schumann employs self-annihilation, where each piece quickly eradicates the effects of the previous fragment.

Example 4.12: Robert Schumann, *Papillons,* Op.2, No.6, mm 1-36.



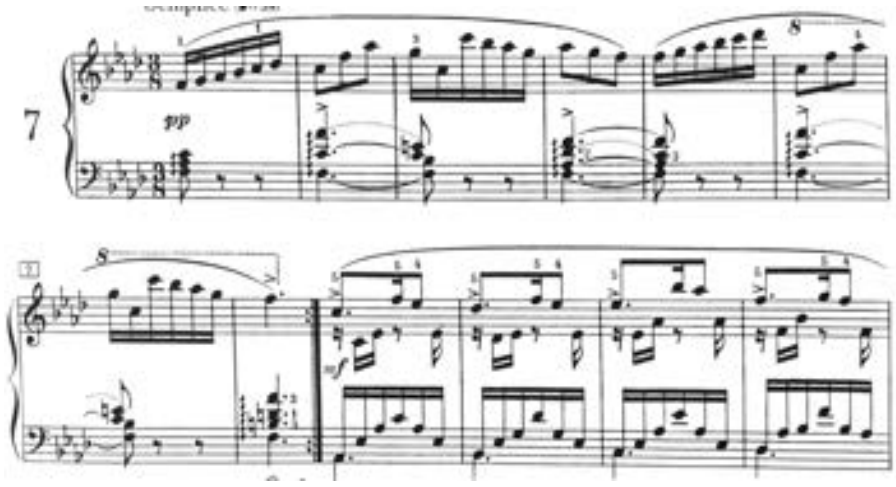
Musicologist John Daverio highlights Schumann's incorporation of various musical techniques inspired by Jean Paul, among them the term *Witz.* This approach serves to unite fragments within a composition into a cohesive whole. Daverio explains the term *Witz* as indispensable because it "is necessary in order to grasp the hidden coherence…[and the]

composer should not necessarily restrict the appearance of an idea to a single movement, but should rather 'conceal' it, make abstruse and varied allusions to it, in subsequent movements as well."[65]. In Schumann's musical oeuvre, particularly evident in his larger-scale compositions, fragments and motifs are interconnected in subtle ways. These "witty" connections may manifest through recurring rhythmic patterns, or fragments, that reoccur in subsequent movements or refer to his other works.

For instance, the seventh piece seems unrelated to other pieces in the cycle. It starts in the key of F minor, which stands remote from the tonal center of D major. Nonetheless, Schumann incorporates echoes of the *Papillons* motif at the beginning of the ascending patterns. Despite this thematic connection, the first section ends with a diminished seventh chord instead of resolving back to its tonic key of F minor. The subsequent section transitions to A flat major, digressing further from the initial tonal center, and ends in A flat major, indicating another departure from the previous section. Despite the departure from the tonal centers of D major, Schumann's incorporation of the *Papillons* motif in the opening section establishes a witty connection with the preceding material, thereby trying to maintain thematic unity. In contrast, the eighth piece returns to a traditional waltz style, beginning in C sharp minor. Mirroring the structure of the seventh piece, its second section modulates to a new key, D flat major, and does not return to C sharp minor at the end of the piece.

[65] John Daverio, "Reading Schumann by Way of Jean Paul and His Contemporaries." *College Music Symposium* 30, no. 2 (1990): 42. http://www.jstor.org/stable/40374041.

Example 4.13: Robert Schumann, *Papillons,* Op.2, No.7 mm 1-12.



Another term associated with Jean Paul and extensively applied by Schumann in his composition is "Humor". Daverio explains that "'Humor' is intended as a principal of all-pervasive and irresolvable duality." [66] This contrasting duality is articulated through the juxtaposition of "finitude to the infinite". Furthermore, according to Jean Paul, "Humor" includes "infinite contrast, implausible contradictions, trivial conclusions, higher versus lower worlds."[67] Jean Paul often employs contrasting characters, such as the realistic Vult and the idealistic Walt, to reflect the utilization of "Humor" in his writing. Drawing inspiration from Jean Paul's literary techniques, Schumann invented his own musical alter egos: the assertive Florestan and the dreamy Eusebius, which subsequently manifested in his compositions as contrasting fragments and pieces, such as in *Davidsbündelertänze* and *Carnaval.* This is particularly evident in *Davidsbündelertänze*, where Schumann alternates between Florestan and Eusebius in each piece, marked by the letters F and E at the end of each piece. The juxtaposition

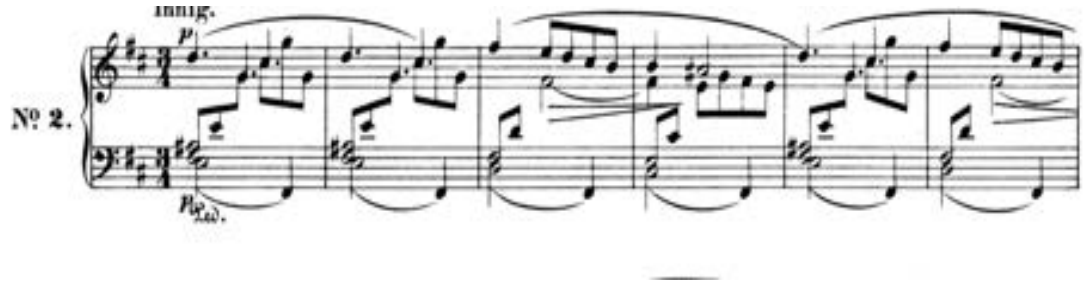
[66] Daverio, "Reading Schumann by Way of Jean Paul and His Contemporaries," 38.
[67] Daverio, *Nineteenth-Century Music and the German Romantic Ideology*, (New York, Schirmer Books,1993),65.

of these contrasting fragments serves to present musical duality, to reflect the "infinite contrast" and "implausible contradictions", leading to the effect of "Humor".

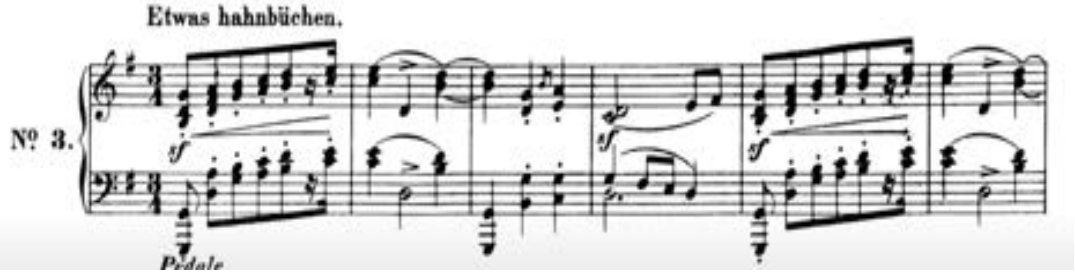
For instance, in the composition *Davidsbündelertänze*, the concept of "Humor" is evident through the pieces "Florestan" (No. 3, 4, 6, 8-10, 12, 16) and "Eusebius" (No. 2, 5, 7, 11, 14, and 18). After the simultaneous representation of Florestan and Eusebius in the first piece with a quick tempo, the second piece shifts to a slow tempo piece, changing the dynamic to *p*. The key modulation is from G major to B minor, with a thinner texture, mainly highlighting a melodic line in the top, thereby creating a lyrical, dreamy, and melancholic emotion indicating the Eusebius character. The appearance of diminished seventh chords has a sense of a questioning feeling, evoking the dissonance of the harmony, before resolving to the tonal chord of B minor. Schumann denotes the association with Eusebius by marking the letter "E" at the end of the piece.

The third and fourth piece are marked as Florestan pieces. As listeners immerse themselves in the melancholic and dreamy atmosphere of the second piece, the transition to the third marks a return to G major accompanied by a sudden shift in tempo from a slow melody to a fast dance. Commencing with a dynamic of *f* in the first sections, the third piece creates an enthusiastic and energetic feeling. Continuing with the "Florestan" effect, the fourth presents an "angry" dance characterized by a syncopated melody with offbeat accents juxtaposed against the conventional waltz figure played by the left hand. Concluding with a crazy and fast dance motif ending in the tonal key, the fifth unexpectedly reverts to the dreamy Eusebius piece. This contrast between different pieces associated with the two antithetical characters serves as a way of conveying a feeling of "Humor" and irony.

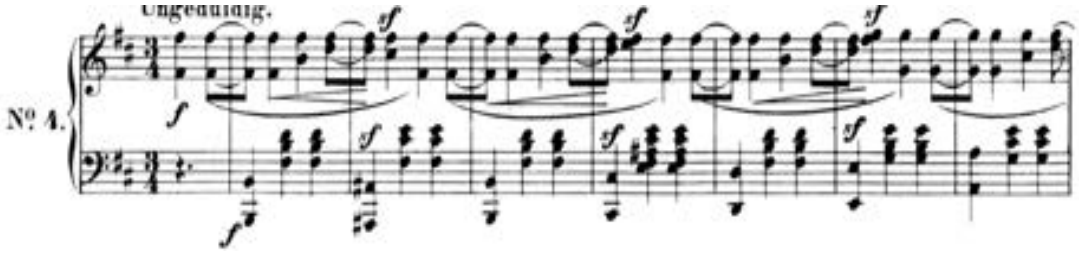
Example 4.14: Robert Schumann, *Davidsbündelertänze* Op.6, No.2 mm 1-6.



Example 4.15: Robert Schumann, *Davidsbündelertänze* Op.6, No.3 mm 1-6.



Example 4.16: Robert Schumann, *Davidsbündelertänze* Op.6, No.4 mm 1-7.



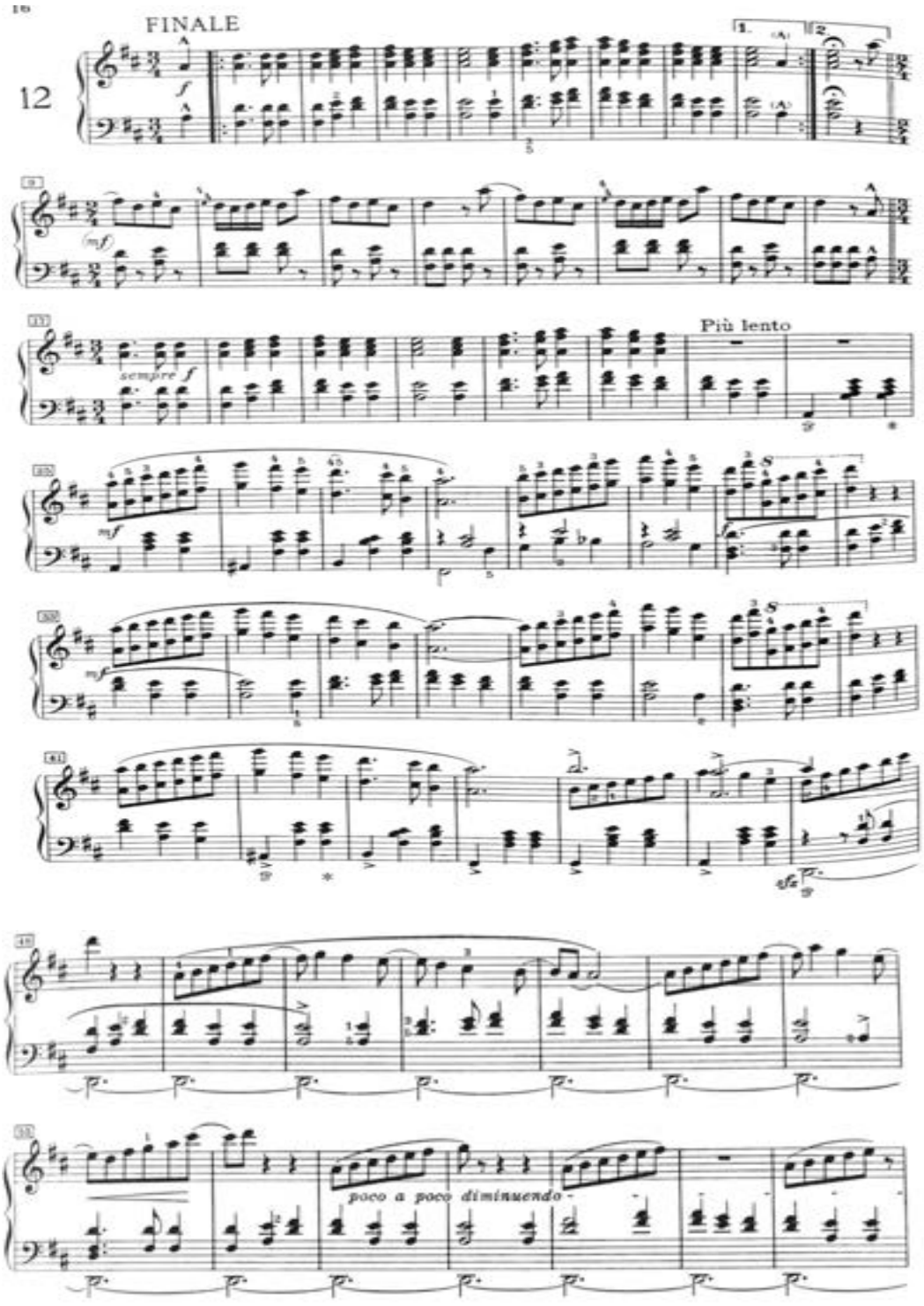
Example 4.17: Robert Schumann, *Davidsbündelertänze* Op.6, No.5 mm 1-8.

In addition, Schumann illustrates the term "infinite contrast" and duality in "Humor" through subtle ways in the setting of his tonality. For instance, in the third piece piece of *Davidsbündelertänze,* the initial key of G major modulates to B minor within the first eight measures, eventually settling in D major; similar tonal duality is evident in other pieces such as fifth, eleventh and sixteenth piece, where Schumann employs modulations within one piece to reflect the essence of "Humor". In his later work *Humoreske*, Schumann further explores this interplay of dual characters by alternating between the dreamy Eusebius and the disruptive Kreisler persona, thereby interrupting the melancholic melody, and enhancing the thematic contrast.

Another method employed by Jean Paul to convey the concept of "Humor" was the utilization of two distinct figures in his novels: the "high" style, characterized by passionate and extravagant language, and the "low" style, which featured a more realistic and reflective depiction. Paralleling Jean Paul's literary approach, Schumann incorporated the world of the "high" and "low" into his compositions. For instance, in the final piece of *Papillons*, Schumann borrows a traditional *Grossvatertanz* in the beginning, which is subsequently repeated another time. In measure 23, the melody changes to a slower tempo, marked "*Piu Lento*", and the *Papillon* motif and the waltz from first piece are revisited at a slower pace. Notably, Schumann puts a counterpoint between the right-hand melody from the first piece against *Grossvatertanz* played by the left hand. Daverio states that "Schumann clearly viewed the dance, and the waltz in particular, as a musical symbol for the ordinary as opposed to the poetic life" [68] In this passage, Schumann employs a conventional waltz tone, representing the "lower style", fitting into the *Papillon* motif and the first piece, which are composed in the "higher style".

[68] Daverio, "Reading Schumann by Way of Jean Paul and His Contemporaries." 39.

Example 4.18: Robert Schumann, *Papillons Op.2, No.*12. mm 1-61.



At this point, most of the pieces from *Papillons* have been introduced. Upon its publication, *Papillons* faced criticism, with even Schumann's piano teacher, Weick, remarking on the difficulty in understanding the piece due to its rapid changes and alternations between each piece. Through an examination of the key signatures, we see that they progressed from D major to F-sharp minor, B-flat major, D minor, F minor, C-sharp minor, B-flat minor, C major, and finally returning to D major. Schumann's frequent utilization of contrasting fragments in *Papillon,* exhibited through the technique of self-annihilation, purposefully disrupts the unity. While the overall tonality appears digressive from D major, Schumann employs various keys and characters between each piece. Drawing inspiration from Schubert, Schumann integrated multiple waltzes into *Papillon,* in which some of the structures are beyond the conventional waltz types.

Drawing inspiration from his literary model, Jean Paul, Schumann incorporates narrative techniques of digression and defamiliarization to establish contrasts within individual pieces as well as between them. This contrast is achieved through various compositional methods, such as defamiliarizing the conventional triple meter waltz into duple meter, digressing through unexpected key changes within sections, and modulating to remote keys in subsequent pieces. Despite the fragmentation, Schumann skillfully uses witty connections between each one, which based on the close examination, end up binding all fragments into a cohesive whole. This success motivated Schumann to utilize these techniques to compose larger-scale works, such as his *Davidsbündelertänze* Op.6, *Carnaval* Op.9 and *Kreisleriana* Op. 16. The first two present waltz styles in distorted ways, making them less recognizable through Schumann's different compositional techniques. Additionally, the contrasting characters in Jean Paul's novels inspire and echo Schumann's own dual personality and musical alter ego, which find expression in his

later works in various ways. The following chapter will discuss Schumann's alter ego and dual-sided character, exploring their application in his later compositions and their impact on his compositional style.

Chapter 5

Florestan, Eusebius and *Carnaval*

Schumann's literary inspiration was profoundly shaped by the German Romantic author Jean Paul, as discussed in the preceding chapter. Jean Paul's influence is evident not only in Schumann's musical compositions but also in his mental state. Schumann's early piano work *Papillons* was directly inspired by Jean Paul's novel *Flegeljahre.* The work followed the last scene of the novel, depicting the contrasting characters of the extroverted Vult and the introverted Walt. This literary influence played a significant role in Schumann's development of his double characters, later recognized as his musical alter-egos – Florestan and Eusebius. Schumann's diaries reflected his deep connection to Jean Paul's novels and the inspiration behind these dual characters, as he himself articulated:

> "Jean Paul portrays himself in all of his works, but always in two characters: his Albano and Schoppe, Siebeikas and Leibegber, Vult and Walt, Gustav and Fenk, Flamin and Viktor. The one and only Jean Paul is alone capable of containing two such different characters within himself; it is superhuman, but he is indeed superhuman—there are always stark contrasts, if not extremes, united in his work and himself—yet it is him alone."[69]

Drawing on the literary influence of Jean Paul, Schumann first introduced his double characters in his diary shortly after his 21st birthday in 1831. He wrote: "Completely new personae are entering my diary today-two of my best friends whom, nevertheless, I have never seen before. They are Florestan and Eusebius".[70] Schumann referred to his musical alter egos as his closest companions: Florestan, inspired by the character of Vult, embodied passion and aggression, while Eusebius, modeled after Walt, represented a more dreamy and introspective nature. In his diary entry on his birthday, Schumann reflected on his feeling, "as though objective

[69] Reiman, *Schumann's Piano Cycle and the Novels of Jean Paul* ,10.
[70] Beate Perrey, "Schumann Lives, and Afterlives: An Introduction" in *Cambridge Companion to Schumann* (New York: Cambridge University Press, 2007):14.

humanity wants to separate itself completely from the subjective, or as if I am standing between my existence and my appearance, between form and shadow."[71] At the age of 18, During a period of mental turmoil, Schumann found comfort in "Florestan the Improvisor." Schumann regarded Florestan as both a close friend and a reflection of his own ego. The name "Florestan" was inspired by the hero in Beethoven's opera *Fidelio,* who, though imprisoned, symbolized an extroverted and assertive character.

The name Eusebius originates from a Christian saint. Although Schumann was not particularly religious, "he probably found information about him in the ecclesiastical histories he read while working on his play about Abelard."[72] In addition, Schumann found the name Eusebius in his calendar, as it appeared on a specific name-day. Eusebius represented the introverted aspect of Schumann's personality, embodying his sentimental and dreamy nature. In Schumann's imagination, his two alter egos communicated with him, offering musical ideas and providing emotional support during periods of distress. In a letter to Clara, Schumann further describes these doubles:

> Eusebius mildness, Florestan's ire-
> I can give thee, at will, my tears or my fire,
> For my soul by turns two spirits possess-
> The spirit of joy and of bitterness."[73]

In his book *The Inner Voice of a Genius*, Peter Ostwald examines Schumann's two alter egos and indicates that they also reflect aspects of Schumann's mental state: "It is not unusual for children or even adolescents to create imaginary creatures who provide solace and companionship—but when an adult does so, it is a sign of either a very vivid imagination or a

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[71] Ostwald, *Schumann: The Inner Voices of a Musical Genius*, 77.
[72] Ibid.,76.
[73] Robert Schumann, *The Letters of Robert Schumann*, ed. Karl Storck (London: John Murray,1907):58.

psychotic tendency."[74] In Ostwald's view, Schumann's case illustrates both sides of the impact of his alter egos. On the one hand, these musical alter-ego provided emotional balance and inspired his imagination. On the other hand, his "two friends" also contributed to his mental struggles, adding to his personal difficulties. In Robert Jacob's article *Schumann and Jean Paul*, he further explores: "the withdrawing into himself, the dreaminess, which his reading of Jean Paul encouraged, were symptoms of illness of schizophrenia to which he eventually succumbed."[75] From the above, it is evident that Jean Paul not only played a crucial role in inspiring Schumann to create his alter egos but also had a profound influence on Schumann's mental state.

Schumann and Jean Paul were not alone in their fascination with double characters; this was a common literary tradition in the 19th century. For instance, Schubert referenced one of Heine's dark, untitled poems in his song cycle *Der Doppelgänger.* In her article, Catherine Kautsky outlines the functions of the Doppelgänger: "they personified memory, they joined extreme personality types in one individual, they imparted an aura of the supernatural to the otherwise ordinary and they allowed a cautions flirtation with madness."[76] As Kautsky notes, the concept of doubles has existed for centuries: "From Hindu reincarnates, to Kafka's non-religious metamorphosis, to Catholic souls in heaven and hell, human beings have seen themselves split, yet whole, through the ages."[77] This theme is also present in literature, from Chamisso's *The Strange Case of Peter Schlemihl* to the works of E.T.A. Hoffman.

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[74] Ostwald, *Schumann: The Inner Voices of a Musical Genius*, 74.
[75] Jacobs, "Schumann and Jean Paul," 251.
[76] Catherine Kautsky "Eusebius, Florestan and Friends, Schumann and the Doppelgänger Tradition in German Literature," *American Music Teacher* 61, no.2 (October/November 2011): 31.
[77]Kautsky, "Eusebius, Florestan and Friends, Schumann and the Doppelgänger Tradition in German Literature," 31.

E.T.A. Hoffman, another of Schumann's favorite authors, had a significant influence on his musical compositions. Schumann's piano work *Kriesleriana Op.16* was inspired by Hoffman's literary work *Kriesleriana,* which features the eccentric and wild conductor Johannes Kreisler, an alter ego of Hoffman himself. In the novel, Kreisler embodies Hoffman's dual nature, switching between a dreamer and a madman. Similarly, Schumann's piano work *Kriesleriana* is characterized by rapid shifts and contrasts between sections, reflecting his own dual characters of Florestan and Eusebius, as well as mirroring the emotional waves of his manic depression.

Schumann's alter-ego not only appeared in his diary but also served as his voice in his journal, *Neue Zeitschrift für Musik*. In addition to his two companions, Schumann assigned new identities to his friends: his piano teacher, Friedrich Wieck, became Master Raro; Friedrich's daughter and Schumann's future wife, Clara, was named Cilia; and Schumann's lover, Christel was called Charitas. These characters appear in his unfinished novel *Child Prodigies* and contribute to his journal *Neue Zeitschrift für Musik* under the leadership of Florestan and Eusebius. These imaginary characters formed a society known as *Davidsbudler,* which was led by Florestan to oppose the Philistines – a symbolic representation of artistic mediocrity. While this secret society existed only in Schumann's mind, it played a crucial role in both inspiring his musical compositions and expressing his ideas in writing. Additionally, the double characters of Florestan and Eusebius played a key role in Schumann's music, with their contrasting traits reflected in specific melodies across his works.

For nearly one decade after creating his alter egos in 1831, Schumann concentrated primarily on composing solo piano works, including larger forms and character pieces that portray the dual characters of Florestan and Eusebius. Manuscript drafts from this period suggest

that Florestan and Eusebius "composed" almost all the works of the 1830s, including *Carnaval, Étude Symphoniques,* and the C major *Fantasie*. In works such as the *Piano Sonata Op. 11*, and *Davidsbündlertänz Op.6,* the names of his alter egos even appear on the title pages, replacing Schumann's own name.

Florestan and Eusebius made their first appearance in *Davidsbundlertanz Op. 6,* a set of 18 waltzes divided into two volumes. In these pieces, Schumann allowed his alter egos to serve as his compositional voice, using their initials – "F" for Florestan and "E" for Eusebius – at the beginning of each piece. The two characters appear together in the introductory piece and two other dances, and they also contribute commentary in the final nine dances of each set. Throughout *Davidsbündlertänz,* Schumann portrays his dual characters through rapid shifts in tempo, key, and emotion, enabling listeners to easily distinguish between the contrasting characters of Eusebius and Florestan.

In these pieces, Eusebius' voice is marked by expressions such as "innig" (Intimate), "Einfach" (Simple), and "Zart und singend" (Tender and Singing), while Florestan is characterized by markings like "Ungeduldig" (Impatient), "Frisch" (Fresh), and "Wild und lustig" (Wild and Joyful). Clara Wieck's influence is subtly acknowledged in the C-major key that concludes both volumes. The ninth dance of the first set evokes Clara's earlier portrayal as Chiarina in *Carnaval*. Although neither "F" nor "E" appear in the ninth piece, the narrative includes a description: "Here Florestan stopped, and his lips trembled with sorrow" [78] The final waltz closes with a note from Eusebius: "Superfluously, Eusebius added the following, and his eyes shone with great happiness." [79]

[78] Judith Chernaik, *Schumann: The Faces and the Masks* (Alfred A. Knopf, 2018): 84.
[79] Ibid., 84.

Although *Davidsbündlertänz* was published as Op. 6, it was composed after *Carnaval*. Unlike *Carnaval,* which presents musical characters as part of a masquerade, *Davidsbündlertänz* reveals the true "faces" of Florestan and Eusebius, without the masks. In the second edition, Schumann omitted explicit references to Florestan and Eusebius, along with the literal passages, but the inspiration of doubles remains central to the imaginative structure of the work, leaving no doubt about their role in Schumann's creative process.

Carnaval Op.9 and the Literary Characters

In *Carnaval* Op.9, Florestan and Eusebius appear as musical characters within a masquerade, where all the figures are represented through music rather than literal words. This piece mirrors *Papillon* Op.2, in which the doubles play a functional role. Their presence can be discerned through specific tonal, harmonic, and rhythmic elements. The entire work is unified by a recurring motif based on the musical letters A-S-C-H, a reference to the hometown of Schumann's girlfriend, Ernestine. Schumann arranged the pitches according to the spelling of the town. He remarked that the four notes are like encoded puzzles and "deciphering my masked ball will be a real game for you"[80]

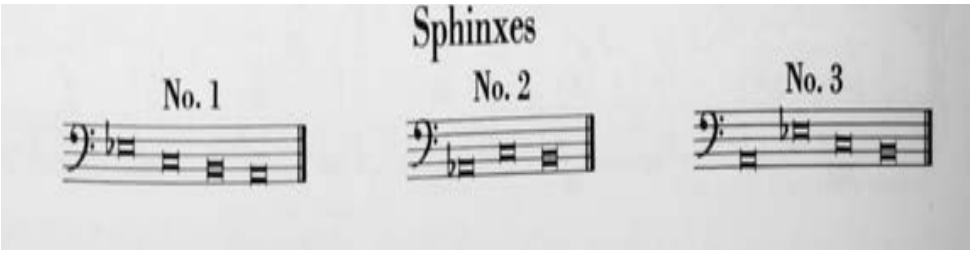
In the middle of *Carnaval*, a piece titled "Sphinxes" divides the cycle into two sections. An examination of the entire work demonstrates that it is unified by the four musical letters introduced in "Sphinxes", which form three distinct motifs arranged in different orders. Not intended for performance within the cycle, these motifs serve as a symbolic underpinning. For example, the first motif consists of the notes E-flat, C, B, and A. In German musical notation, E-flat corresponds to the letter "S", and B corresponds to "H". Thus, the first motif can be read as

[80] Ulrich Tadday*, The Cambridge Companion to Schumann*, ed Beate Perry (New York: Cambridge University Press, 2007): 72.

the letters “SCHA” which appears to be a rearrangement of the letters in Schumann’s name, further reinforcing his personal connection to the work.

The second motif consists of three notes: A-flat, C, and B, which can be interpreted as “AsCH”. The third motif, containing the notes A, E-flat, C, and B, translates to “ASCH”, referring to the town that Schumann’s girlfriend Ernestine was from. These motifs reappear throughout the cycle, subtly embedded in various pieces and symbolically “masked”. Schumann achieves a sense of motivic unity across *Carnaval* through the consistent use of these encoded musical phrases.

Example 5.1: Robert Schumann, *Carnaval* Op.9, “Sphinxes” mm 1-3.



In *Carnaval,* Schumann uses specific key signatures across the individual pieces. Reimann notes that “the tonal and motivic development follows a scheme of ascending and descending thirds and fifths.”[81] The large-scale structure of the work is rooted in the motivic development introduced in *Sphinxes*. For instance, in the pieces *Pierrot* and *Florestan,* both feature the A-S-C-H motif but are followed by different musical responses. This progression of motifs is employed in various pieces, each incorporating distinct musical ideas, creating a sense of continuity and connection throughout the entire cycle.

[81] Reiman, *Schumann’s Piano Cycle and the Novels of Jean Paul*, 76-77.

Carnaval is Schumann's first piano work featuring individual titles for each piece. The entire composition portrays a festive masquerade ball, with both real and imaginary characters participating. Many of these characters are drawn from Schumann's personal circle, while others are derived from literature and Italian comedy. Throughout the cycle, Schumann's real-life friends are represented in various pieces, including Frédéric Chopin, Clara Wieck, Niccolò Paganini, and Ernestine von Fricken. Imaginary figures include his alter egos and characters from the *Commedia dell' Arte.*

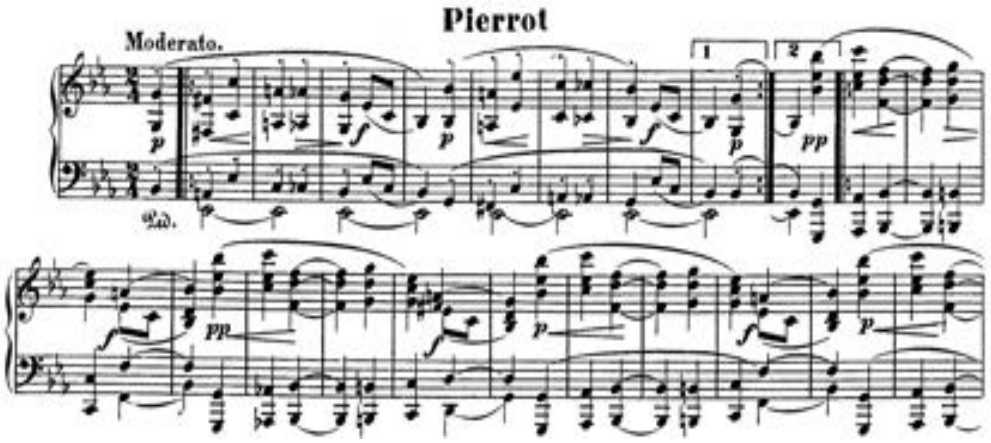
Commedia dell' Arte, known as the "comedy of the profession", originated in Italy and was popular from the 16th to 18th centuries, with most characters performed in masks. In *Carnaval,* characters such as Pierrot and Arlequin—clown figures from the *Commedia dell'arte*—contrast with Schumanns' own dual characters, Florestan and Eusebius. Pierrot, unlike others, is performed without a mask, wearing loose-fitting white clothing and makeup that whitens the face, which conveys a melancholic mood.

Pierrot, the second piece in the *Carnaval* cycle, begins in the key of E-flat major, the dominant key of A-flat major from the opening piece, *Preambule*. This piece exhibits a distinct tonal harmony at both its beginning and conclusion. However, the employment of a slow tempo, combined with the diminished chord featuring a tenor voice after the pickup beat, generates an unstable and melancholic atmosphere that resonates with the character of Pierrot.

A closer analysis of the piece reveals the presence of two main motifs. The third motif, derived from "Sphinxes", first appears in the tenor voice, consisting of the notes A, E flat, C, and C flat (enharmonically equivalent to B), which together form "ASCH". Subsequently, in measures 5 and 6, this motif transitions to the soprano and alto lines, where it is presented in octaves. The second motif emerges in measure 3, comprising the notes E flat, C, and B,

represented as “SCH”, which serves as a slight variation of the first motif. Schumann also employs varied articulations between these motifs to underscore the character of Pierrot. For instance, the first motif is marked “portamento” with a dynamic marking of *p*, while it quickly shifts to the second motif, characterized by “legato” and a dynamic marking of *f.* These contrasts effectively illustrate the fluctuating moods between the naïve and melancholic aspects of Pierrot.

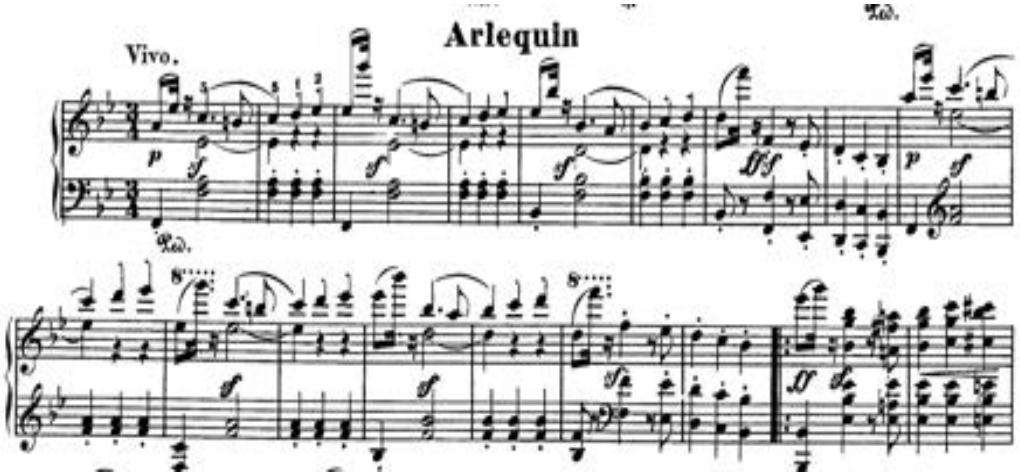
Example 5.2: Robert Schumann, *Carnaval* Op.9, “Pierrot” mm 1-22.



Following the second piece, the third piece, titled “Arlequin” (also known as “Harlequin”), presents a character different from Pierrot. Harlequin is characterized as a comic servant with a light-hearted disposition, in contrast to the more melancholic and introspective Pierrot, who embodies a mischievous and lively spirit. The piece is set in B-flat major, which serves as the dominant key of E-flat major from the preceding work. The conclusion of “Pierrot” establishes the key signature for “Arlequin”, showing a chord progression from IV to V (B-flat to E-flat major chord). Furthermore, the third motif from “Sphinxes” reappears at the beginning of “Arlequin”, where the letters A, S, C, and H can be identified in the first phrase, presented in a typical Viennese waltz style characterized by a triple meter. In measure 25, a sudden dynamic shift to *pp* occurs, altering the mood from one of happiness to a sadder feeling.

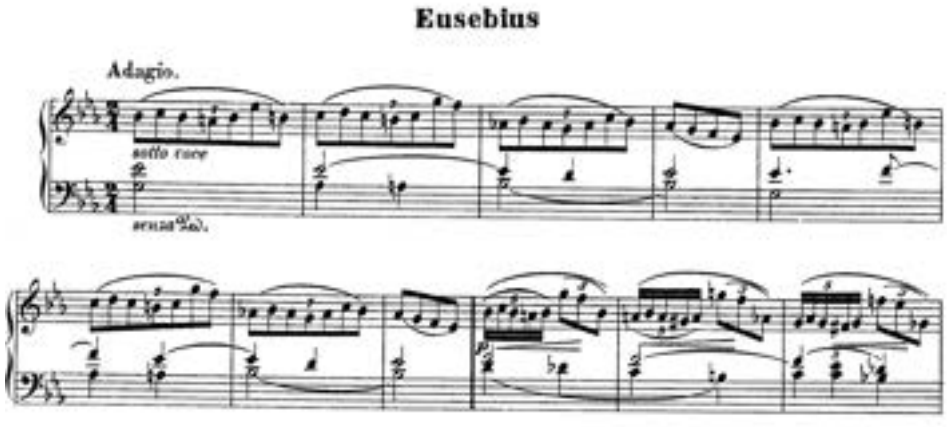
Despite the contrasting moods of Pierrot and Arlequin, Schumann employs frequent dynamic changes between phrases in these compositions, creating rapid shifts in emotion that surprise the listener. This compositional technique also reflects Schumann's personal character, as he often masks his own identity beneath these different personas.

Example 5.3: Robert Schumann, *Carnaval* Op.9, "Arlequin" mm 1-18.



The contrasting characters in Schumann's cycle are represented by his alter-egos, Eusebius and Florestan. They are disguised by the musical characters, and their distinct personalities are conveyed through variations in rhythm, tone, and harmony. The piece begins with the tempo markings "Adagio" and "Piu lento", indicating a slow and reflective opening. In the beginning, set in E-flat major, Eusebius's voice is characterized by the markings "*sotto voce*" and "*molto teneramente*", which suggest his introverted and dreamy nature. The melody most of the time features a single melodic line in the right hand, moving gently in steps, while the left hand serves as harmonic support. The use of accidentals creates some dissonant harmonies, reflecting Eusebius's sentimental and introspective mood.

Example 5.4: Robert Schumann, *Carnaval* Op.9, "Eusebius" mm 1-11.



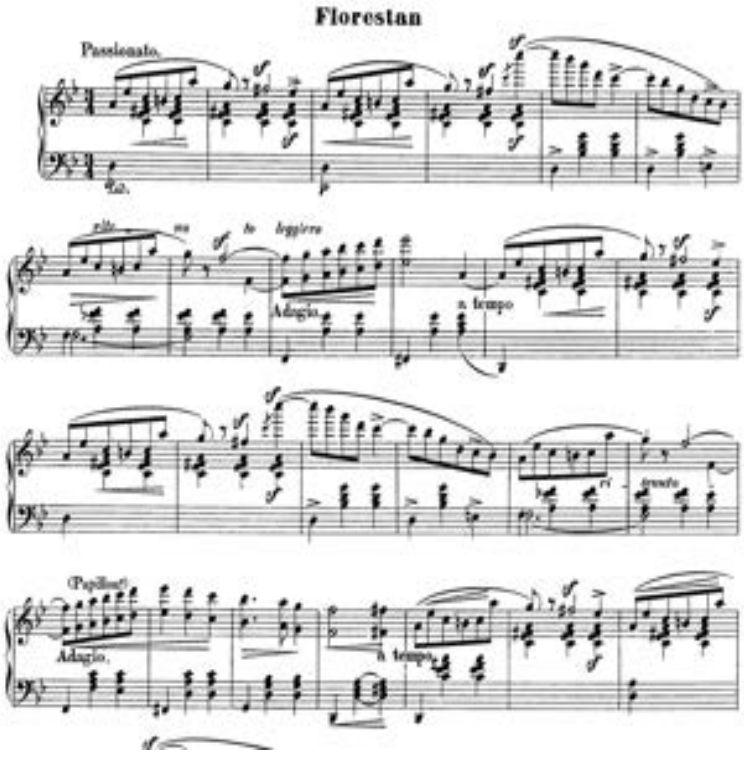
Immediately following the gentle conclusion of Eusebius, Schumann rapidly shifts the mood when he transitions to Florestan. In contrast to Eusebius's slow tempo, sweet temperament, and sentimental expression, Florestan opens with a fast tempo, agitated character, and dramatic dynamics, creating a heightened sense of intensity and emotional turbulence.

The piece opens with the third motif of "Sphinxes", beginning with the notes A, E flat, C, B, though it is thematically fragmented. While the key signature is marked as G minor, the opening begins with diminished seventh chords with a bass note of D, creating a sense of unease and tension. In measure 5, the harmony briefly settles into G minor but quickly shifts to the dominant seventh chord of B-flat major in measures 7 and 8. In measure 9, Schumann unexpectedly introduces a sentimental fragment from *Papillons,* accompanied by a temporary change in tempo, which interrupts the unsettled mood created by Florestan. However, this fragment is quite short, as the piece soon returns to the main melody. A few measures later, a more complete motif from *Papillons* appears, marked as "Papillons?" – a reference to Schumann's earlier work *Papillons,* Op.2. This quoted melody exhibits a more stable harmonic progression, moving from the dominant seventh to the tonic of G minor. After a brief modulation

to B-flat major, the piece concludes with a fast tempo, strong dynamics, and unresolved harmony.

This piece once again exemplifies Schumann's compositional style, it is full of contrasts. Marked "Passionato", it features a fast tempo, strong dynamics, and an energetic mood. However, Schumann suddenly inserts an "Adagio" passage, introducing a slow tempo, softer dynamics, and a dreamy atmosphere. The "Papillons" motif serves as a good example of a musical fragment within this piece, as it is harmonically incomplete and cannot stand alone. Schumann's reference to this motif suggests a connection to his earlier work, indicating his tendency to draw thematic material from his own compositions.

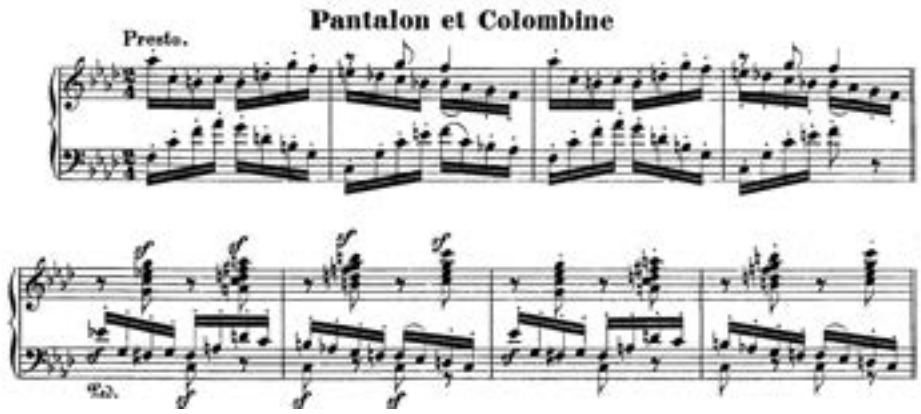
Example 5.5: Robert Schumann, *Carnaval* Op.9, "Florestan" mm 1-25.



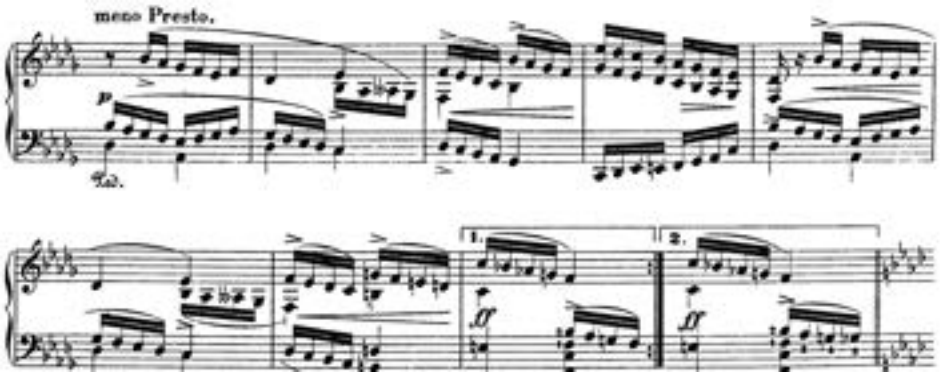
In the cycle, “Pantalon et Columbine” are linked to the characters from *Commedia dell'Arte,* Pantalone and Columbina. Like Pierrot and Arlequin, they are contrasting figures. Pantalone, a male clown, is characterized by his irritable temperament and extreme emotions, while Columbina, a female servant, is portrayed as a clever and mischievous figure. In this piece, they alternate appearances (as shown in the example below), with Pantalone being represented by short, staccato passages in minor keys (refer to example 5.6), and Columbina by legato passages in major keys (refer to example 5.7).

The piece begins in F minor, marked “Presto”, with a rapid, staccato touch that mirrors Pantalone’s irritable character. After the first four bars, the main melody shifts to the left hand, with a sudden *sforzando* as an interruption. However, in the middle section, Schumann quickly alters the mood by changing the key, tempo, and articulation. The shift to D-flat major, marked “meno presto” and featuring legato lines, introduces a contrasting section that reflects Columbine’s character. The Pantalone theme reappears in F minor immediately following the D-flat major section, marked by changes in articulation and tempo. This leads to a conclusion in F major, ending with two staccato chords that convey a playful, comic tone, reflecting Columbine’s mischievous character. Additionally, Schumann incorporates the motif of “Sphinx No. 2” in the opening, with the first three notes forming the sequence A-flat, C, B. Throughout the piece, Schumann’s compositional style is evident in the rapid alternation between tempos, keys, and emotions. As in much of his work, he draws on characters from *Commedia dell'Arte,* using them as a metaphorical mask in his music narrative.

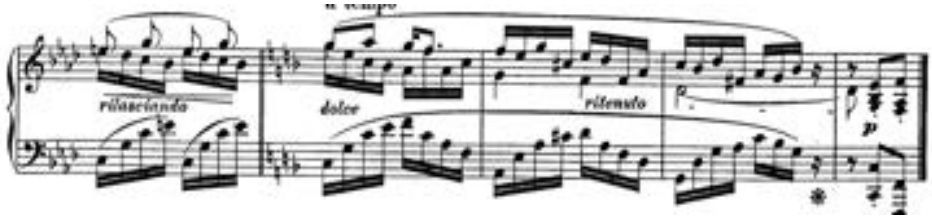
Example 5.6: Robert Schumann, *Carnaval* Op.9, "Pantalone and Columbine" mm1-8.



Example 5.7: Robert Schumann, *Carnaval* Op.9, "Pantalone and Columbine" mm 13-20.



Example 5.8: Robert Schumann, *Carnaval* Op.9, "Pantalone and Columbine" mm34-38.



The contrasting characters derived from the tradition of *Commedia dell' Arte* indicate Schumann's preference for employing the juxtaposition of opposites in his compositions. He is

also fond of alternating moods quickly and creating surprising harmonies in one piece. This approach mirrors his double-sidedness and his complex mental state. Additionally, in this cycle, Schumann not only incorporates his own imaginary characters but also includes representations of some of his contemporaries, such as Chopin and Paganini.

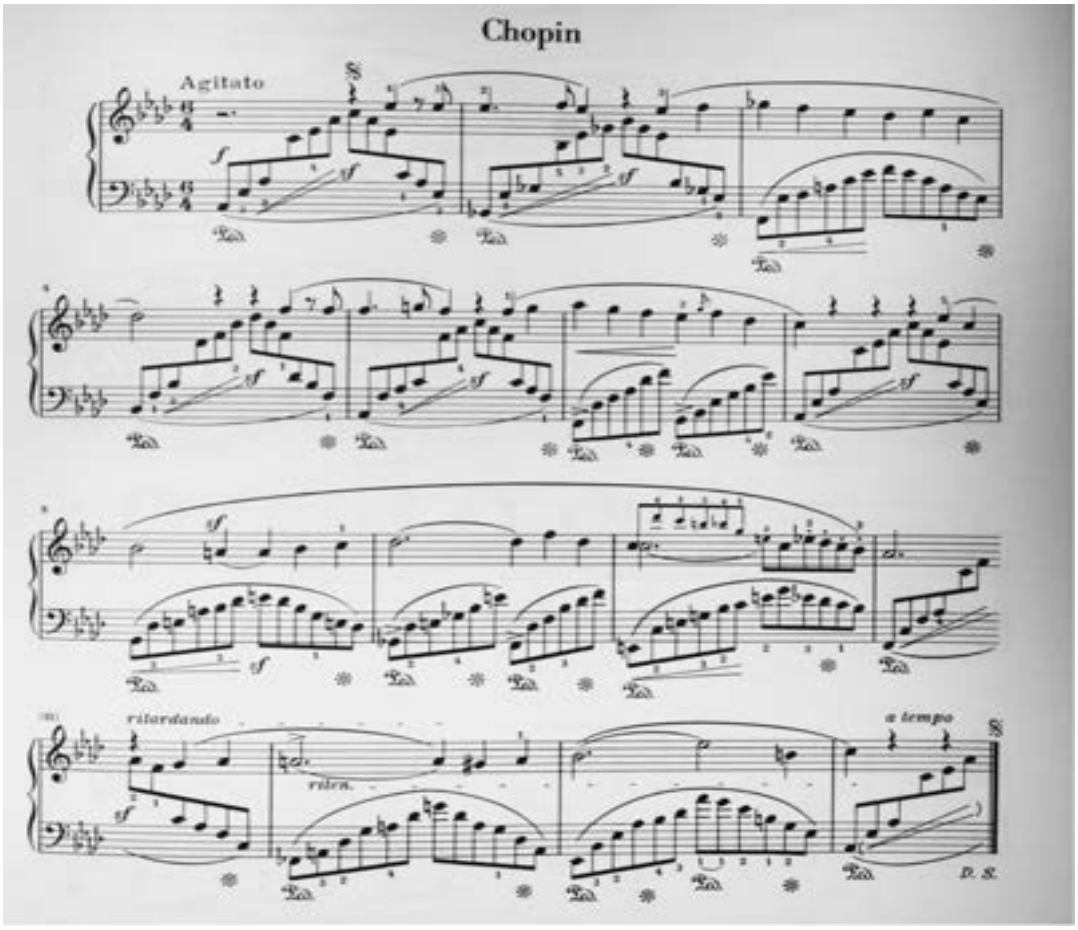
Schumann deeply admired Chopin's work. In his diary, the character Florestan spoke highly of Chopin's Op.2 Variations. In Schumann's first published review, his alter ego Eusebius of the Davidsbund wrote famous words declaring "Hats off, gentleman, a genius." Unaware of Chopin's true feeling toward him, Schumann expressed his admiration by incorporating Chopin into his composition *Carnaval*, after having already depicted him as part of *Davidsbundler.* In *Carnaval*, Schumann adopts the persona of "Chopin", who participates in the masquerade in the carnival, symbolizing a nocturne in Chopin's distinctive style.

At the beginning of the piece, the left-hand accompaniment and right-hand melody imitate the style of Chopin's nocturne. Notably, Schumann's depiction of "Chopin" shares several similarities with Chopin's Nocturne in B-flat minor, Op. 9, No. 1. The left hand features an arpeggiated figure that creates a lyrical and tender mood, while the right hand suggests Chopin's style by incorporating the *Bel Canto*, echoing the vocal technique of Italian opera. The piece opens in A-flat major, with the left-hand arpeggios providing harmonic support. However, in measures 8-11, descending chromatic basses create tonal tension. After starting in A-flat major, the first 4-bar phrase undergoes modulation through E-flat minor, an F-dominant 7th chord, and B-flat minor. Schumann employs digression here, which makes the tonal center stay away from A flat major. By measure 10, the tonal center briefly modulates to F minor, where Schumann incorporates a characteristic Chopinesque ornamentation. Toward the end of the piece, another chromatic bass line progresses through F, F-flat, and E-flat, eventually resolving

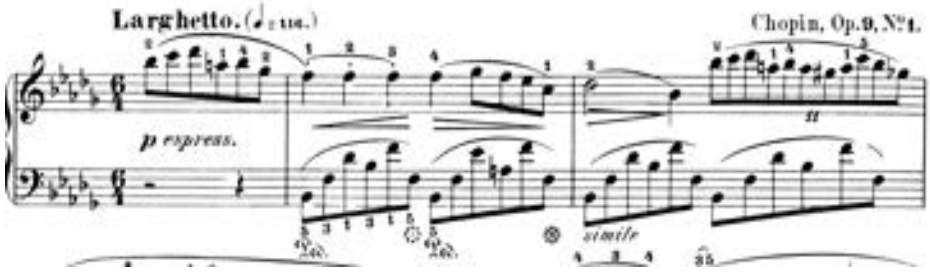
back to the tonic A-flat major. Although the final measure returns to the tonic, the right-hand ends on the mediant note C, creating a seamless transition back to the opening bar.

Schumann adopts the 6/4-time signature from Chopin's Nocturne in B-flat minor, but he alters the tempo marking to "*Agitato*" instead of Chopin's "*Larghetto*". Upon listening, it can be difficult to tell whether the piece was composed by Chopin or Schumann, as Schumann effectively "wears the mask" of Chopin in this composition.

Example 5.9: Robert Schumann, *Carnaval* Op.9, "Chopin" mm 1-14.

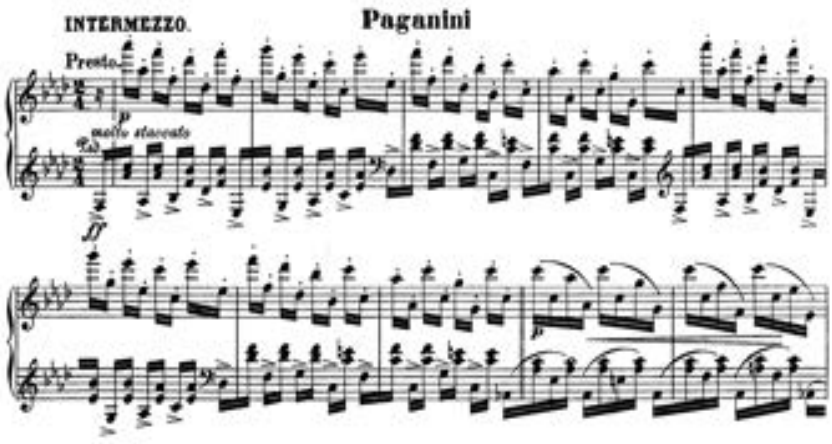


Example 5.10: Frederic Chopin, Nocturne Op.9 No.1, mm1-2.

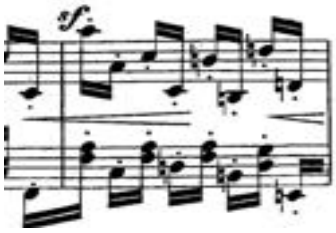


Schumann presented another composer that he admired, Paganini, as a character within a musical masquerade. Known for showcasing the virtuosity of the violin and exploring the instrument's technical limits, Paganini's influence is evident in this cycle. Schumann, "masked" as Paganini, mirrors these technical challenges on the piano. The piece begins with intervallic leaps, mimicking the cross-string techniques and bowing used on the violin. From measures 1-8, the music presents a staccato articulation; examining the left hand, we see that the accent is placed on the offbeat, distorting and disrupting the regular feeling of the downbeat. In the middle section, starting from measure 9, the middle section is a total contrast from the previous section. The key shifts from F minor to A-flat major, and the articulation changes from staccato to legato. The left hand begins with sixteenth notes on the offbeat, accompanied by chromatic bass note progressions, generating a sense of rhythmic displacement. The Sphinxes No. 2 motif appears in measure 25 (see example 5.12), beginning with A-flat, C and B, with a strong accent *sf* on A-flat signaling the return of the motif. In this piece, Schumann portrays Paganini as both a virtuoso and a musical magician, transposing Paganini's distinctive style to the keyboard.

Example 5.11: Robert Schumann, *Carnaval* Op.9, "Paganini" mm 1-10



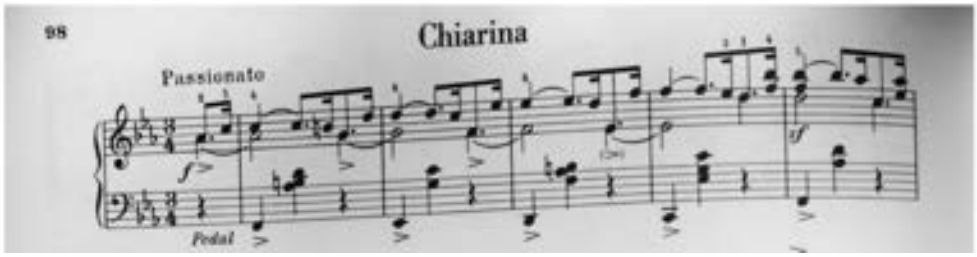
Example 5.12: Robert Schumann, *Carnaval* Op.9, "Paganini" mm 25.



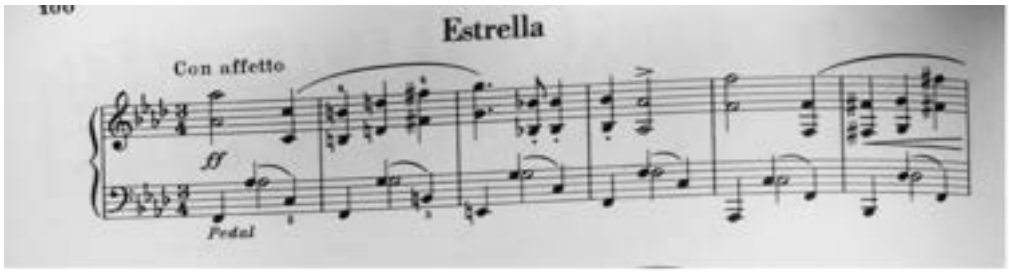
In addition to the characters from *commedia dell'arte*, Schumann's alter egos, and the composers he admired, several of his personal friends also appear in this cycle. The piece "Chiarina" is associated with Clara, the daughter of Schumann's piano teacher, Friedrich Wieck. It opens with a diminished seventh chord, marked with a "passionate" indication, creating a sense of intensity. Suspensions occur in the melodic line in nearly every measure, with resolutions consistently landing on the second beat (see Example 5.13). The right-hand places accents on the weak beats, contributing to rhythmic displacement. Another piece, "Estrella", refers to Ernestine, Schumann's fiancée for a time. This piece similarly features accents on the weak beats (see Example 5.14), a technique Schumann often employed to create rhythmic

displacement. Both pieces also contain the motif of ASCH, the town from which Ernestine came. Interestingly, both works begin with the notes A-flat, C, and B; however, despite sharing the same letters, the pieces present different openings through different registers and rhythmic patterns.

Example 5.13: Robert Schumann, *Carnaval* Op.9,, " Chiarina" mm 1-5



Example 5.14: Robert Schumann, *Carnaval* Op.9, "Esterlla" mm1-6



Although *Carnaval* consists of 21 distinct character pieces, they may initially appear unrelated. However, a closer examination reveals motivic unity through the use of the *Sphinxes* motif. Schumann employs a cyclic structure in *Carnaval*, such as the unity flow from a coherent tonal and formal organization. Additionally, the literal cyclic structure is reinforced by the recurrence of varied opening material throughout the cycle, reaching a unified whole by the end.

As previously discussed, Schumann is good at using fragmentation, employing compositional techniques to bind small fragments into a cohesive unit, which he often refers to as a "cycle".

In her article "Schumann's Piano Cycles and the Novels of Jan Paul", Erika Reiman asserts that "Each piece in *Carnaval* is linked and unified by different kinds of thematic transformation." [82] Most pieces are based on the ASCH motif, which appears in different orders throughout the cycle. The repetition of motives, themes, and harmonic progressions across different movement creates a cohesive structure. The cross-referencing of motives is particularly evident through the use of the *Sphinx* motifs, which are disguised under Schumann's "masquerade" and hidden in different pieces within *Carnaval*. The second and third *Sphinx* motifs appear in 19 out of the 21 pieces, while the first motif never appears musically. These motifs strongly influence the large-scale tonal and formal structure by incorporating specific key areas. Schumann's choices of A-flat, E-flat and B-flat major are directly related to the letters of the Sphinx motifs. In Peter Kaminsky's article "Principals of Formal Structure in Schumann's Early Piano Cycles", a table illustrates the relationship between key signatures and motifs (see the example below). The table shows that the entire work is divided into two sections, each using different motifs and keys. With the exception of the first piece, all the pieces (No. 2 to No. 9) employ the third *Sphinx* motif. The second half of the cycle, following the first half's focus on the third motif, mainly features the second *Sphinx* motif.

[82] Reiman, "Schumann's Piano Cycles and The Novels of Jean Paul" ,77.

Example 5.15: Peter Kaminsky, Sphinxes and Key Succession in *Carnaval*

TITLE	SPHINX NO.	KEY
1. Préambule	2	A♭
2. Pierrot	3	E♭
3. Arlequin	3	B♭
4. Valse Noble	3	B♭
5. Eusebius	3 (var)	E♭
6. Florestan	3	g
7. Coquette	3	B♭
8. Réplique	none	g
9. Papillons	3	B♭
10. Lettres dansantes	2	E♭
11. Chiarina	2	c
12. Chopin	none	A♭
13. Estrella	2	f
14. Reconnaissance	2	A♭
15. Pantalon et Colombine	2	f
16. Valse allemande	2	A♭
17. Paganini	2	f
18. Aveu	2	A♭
19. Promenade	2	D♭
20. Pause	2	V/A♭
21. Marche	2	A♭

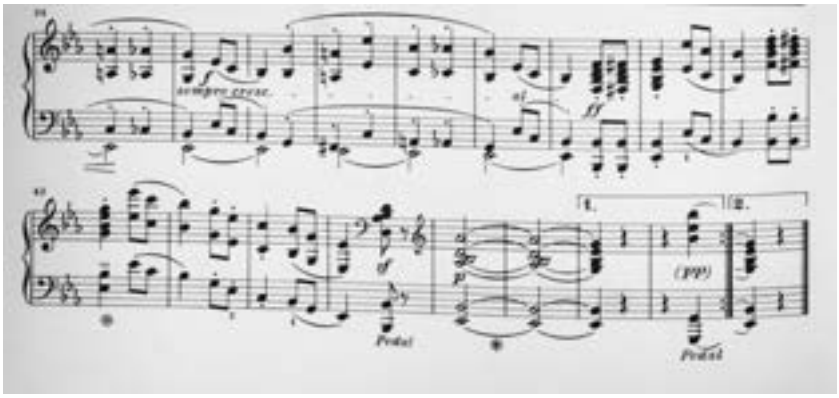
In part I, through pieces No. 1 to No. 9, except for the opening A-flat major of No. 1, the *Sphinx* No. 3 motif is harmonized primarily by dominant 7th or 9th chords in B-flat major and G minor, or by modulation to the neighboring key of E-flat major. In Part II, the key selections display more variety. While A-flat major and F minor dominate most pieces, No. 10 begins in E-flat major and modulates to C minor in No. 11, with No. 19 set in D-flat major. Generally, *Sphinx* No. 2 is harmonized by A-flat major, F minor, the dominant 7th or 9th of E-flat major, C minor and D-flat major. A closer examination of the entire key scheme reveals a pattern of ascending thirds and descending circles of fifths, pairing major keys with their relative minors: B-flat major/G minor, E-flat major/C minor, A-flat major/F minor, and D-flat major. Throughout the cycle, the tonal progression is reflected in the increasing number of flats, moving from two to five as the work unfolds.

In *Carnaval*, Schumann intentionally selects keys that are diatonically related and assigns specific harmonizations to the *Sphinxes* No. 2 and No. 3 motifs. Furthermore, by organizing key pairs and incorporating descending fifths, Schumann creates a carefully designed

tonal scheme that establishes a clear sense of tonal progression throughout the entire cycle. In the next few paragraphs, we will discuss how Schumann employs motivic cross-references to bind each individual piece into a complete cycle.

In *Pierrot,* from Part I of Carnaval, Schumann subtly incorporates motivic cross-references. For instance, the left-hand tenor line begins with the *Sphinx* No. 3 motif (A, E-flat, C, B), marked with a dynamic of *piano*. In measures 3 and 4, the motif shifts to the soprano line, doubled in octaves with the notes E-flat-C-B-flat, also derived from Sphinx No. 3. However, unlike its initial presentation with a *piano* marking, the dynamic intensifies to *forte* as it moves into the soprano. This motif recurs throughout the piece, and in the middle section, it reappears in the alto line (E-flat-C-B-flat), marked with *forte*, creating an interruption and contrast to the preceding *piano* phrase. Near the end, the motif becomes part of an arpeggiated descent of the tonic chord, culminating in the piece's climax (see Example 5.16).

Example 5.16: Robert Schumann, *Carnaval* Op.9, "Pierrot" mm 34-50

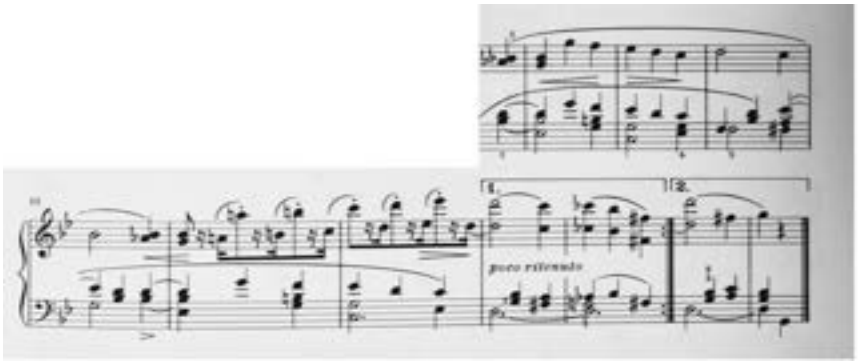


In *Pierrot,* from Part I of Carnaval, Schumann incorporates some subtle uses of motivic cross-references. For instance, the left-hand tenor line begins with the *Sphinx* No. 3 motif (A-E-flat-C-B), marked with a dynamic of *piano*. In measures 3 and 4 the motif shifts to the soprano

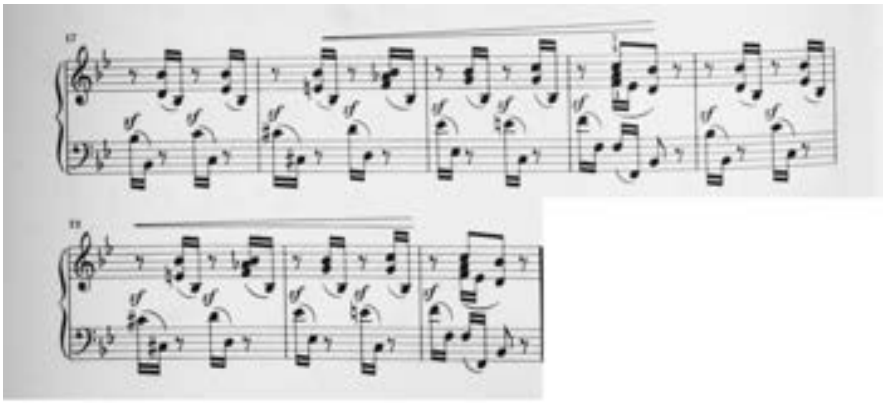
line, doubled in octaves with the notes E-flat, C, B-flat, also derived from Sphinx No. 3. However, unlike the dynamic marking of *piano* for the motif on the first appearance, the dynamic changes to *forte* as it moves into the soprano. This motif recurs throughout the piece, and in the middle section it reappears in the alto line (E-flat, C, B-flat), marked *forte*, in contrast to the preceding *piano* phrase. Near the end, the motif becomes part of an arpeggiated descent of the tonic chord, creating the climax of the piece (see Example 5.16).

This motivic cross not only appears in a single piece but also appears across multiple pieces. For example, in "Florestan", a fragmented quotation from *Papillons*, Op. 2 is presented, as shown in Example 5.5. Within this quotation, a sequence of four descending notes – E-flat, D, C, and B-flat – first appears in the second half of "Florestan" in the soprano voice, mixing with an ascending chromatic scale in the alto melody. This four-note motive appears in "Réplique" in the top line at the conclusion of the chorale melody (see Example 5.17). Additionally, in *Papillons,* the middle section incorporates the chromatic ascending scale from the quotation in "Florestan", appearing in the tenor voice. This texture is altered with two-note slurs, each note emphasized by *sforzando* articulation (refer to Example 5.18).

Example 5.17: Robert Schumann, *Carnaval* Op.9, "Réplique" mm 9-16



Example 5.18: Robert Schumann, *Carnaval* Op.9, "Papillons" mm 17-24



The examples provided above illustrate Schumann's use of motivic cross-referencing both within individual compositions and across multiple works. This technique serves to unify various fragments and pieces, creating a cohesive cycle through the recurrence of motives. Accordingly, Schumann's strategic key settings contribute to a broader tonal framework, to form a long-range tonal scheme throughout the pieces. The larger formal structure is achieved through the integration of the Sphinx motives and motivic cross-reference.

The previous section of this chapter discusses the profound influence of Jean Paul on Schumann, particularly how his literary works inspired Schumann to create his musical alter-egos and the imaginary society, der Davidsbund, the name of the society. These figures, often appearing as a kind of masquerade, are interwoven throughout Schumann's compositions. In *Carnaval,* Schumann incorporated characters from *commedia dell'arte*, his alter-ego, Florestan and Eusebius, and his close friends and artists, to create a dynamic cycle. These characters create contrasts between different pieces through rapid shifts in mood. Schumann frequently employed displaced rhythms and unexpected harmonies in relation to these figures, reflecting his own personality and mental state. Florestan and Eusebius represent two sides of Schumann's psyche--

he imagined that they spoke to him and inspired his compositions. This two-sided psyche ultimately contributed to the deterioration of his mental health in his later years.

Although the pieces in *Carnaval* look fragmented and unrelated, closer examination reveals that Schumann carefully unified them into a cohesive cycle. He achieved this integration through the use of techniques such as motivic cross-referencing, careful key planning, and a well-constructed tonal scheme. The three Sphinx motives appear throughout most of the pieces, often set in different keys, tempos, texture, and harmonic structure. These motives are also hidden within the characters in the cycle. Although the motives sometimes can be difficult to identify, a detailed analysis of each piece's melody reveals that Schumann meticulously included them to ensure unity across the work. The rapid shifts between contrasting characters – such as Schumann's alter-egos Florestan and Eusebius, alongside figures like Pierrot, Arlequin, Pantalon, and Colombine – reflect Schumann's bipolar tendencies, juxtaposing opposing musical materials. As one of Schumann's major works, Carnaval embodies his literary and imaginary characters, presenting a series of short pieces that are purposefully bound into a unified whole through recurring motif and key settings.

In Conclusion

As leading figures of the Romantic era, Liszt and Schumann approached inspiration differently. Liszt sought to infuse his compositions with personal expression within a broader sonata structure, enhancing thematic variations to create unity. In contrast, Schumann embraced discontinuity within his works but employed cautious techniques to integrate these fragments into a cohesive whole. Their contributions offer profound insights into Romanticism, providing rich material for study, performance, and a deeper understanding of the Romantic artistic ideals.

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