

ORIGINALITY AND COMPLEXITY:
AN ANALYSIS OF ROBERT SCHUMANN'S *GESÄNGE DER FRÜHE*, OPUS 133

by
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A dissertation submitted to the Graduate Faculty in Music in partial fulfillment of the requirements for the degree of Doctor of Musical Arts, City University of New York

2013

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ABSTRACT

Originality and Complexity:

An Analysis of Robert Schumann's *Gesänge der Frühe*, Op. 133

by

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In October 1853, Schumann wrote a set of five character pieces for piano entitled *Gesänge der Frühe*. During mid-1853, when Schumann composed this cycle, his creative energy was at its peak, as he exhibited remarkable pace and productivity. Schumann's unswerving enthusiasm for the *Gesänge* and its publication, which occurred in November 1855 as his Opus 133, is attested by many letters to his confidants during his final years. Perhaps due to the noticeably distinct compositional style of the *Gesänge*, as well as Schumann's mental illness during his late years that has been a source of much prejudice regarding his late compositions, relatively scant attention in both pedagogical and performing venues has been paid to this last piano cycle of Schumann. A comprehensive analytical study of the five *Gesänge* helps reveal much of this work's distinct compositional style, which represents both influences from the past and Schumann's personal originality.

To my parents

ACKNOWLEDGEMENTS

I am indebted to so many people who helped me to complete this dissertation. My deep gratitude goes to my adviser, Professor Poundie Burstein, for his expertise, invaluable advise, and patient guidance throughout the course of this study. His brilliant comments helped me to find the right way whenever I was stuck on problems of expressing my thoughts. I would like to express my profound thanks to Professor Raymond Erickson, who not only gave me insightful and meticulous comments as well as continuous encouragement as my first reader, but also taught and inspired me to read and express the music beyond the score as my piano teacher. I am also very grateful to Professor Ruth DeFord for her thoughtful suggestions and careful reviews that greatly refined this dissertation and to Professor Norman Carey for being on my dissertation committee.

I would like to extend special thanks to Professor Scott Burnham of Princeton University for offering a meeting to discuss about my initial ideas of this study when my thoughts were still scattered and sharing his paper on late styles when it was not published yet and to Professor Michael Friedmann of Yale University for giving me suggestions on the proposal of this study. I am extremely grateful to both Mr. Christian Liedtke of the Heinrich-Heine-Institut in Düsseldorf for his kind assistance regarding the copyist's manuscript of the *Gesänge der Frühe* and the Heine-Institut for allowing me to include several examples of the manuscript in my dissertation. I am also very thankful to Robert Matunas for his scrupulous editing.

Words cannot express my deepest gratitude toward all of my family. Without my parents' love and dedication, I could not have learned music in the way that I have done. My dad's love of music introduced me to the world of music, and my mom's passion of learning has inspired me to come all the way here. Daesoo has been the best brother that anyone could have had, and I

am so grateful for him and his wife Geena for their love. I am also sincerely thankful to Hahn's parents for their kindness. My precious daughter Karis Lynn, who was born during this study, has given me the most incredible joy every moment. We all are very excited to have her sister and look forward to meeting her in few months.

Most of all, it was love and support of my husband Hahn that made me to be able to complete this dissertation. His passionate and patient love that shares every detail of our lives—from my smallest thoughts on an issue of the *Gesänge der Frühe* to what we would eat for the next meal—has been the greatest encouragement during the past years of writing. I cannot thank him enough for completing me.

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INTRODUCTION:

Historical Background, General Characteristics, Reception, and Issues of the Title

Historical Background

In October 1853, Schumann wrote a set of five character pieces for piano entitled *Gesänge der Frühe*, which was published as his Opus 133. This piano cycle is one of Schumann's last compositions, as the year of 1853 was the final year in which he was fully engaged in composing and other musical activities such as conducting. Since September 1850, Schumann had been the conductor of both the orchestra and the choir in Düsseldorf. His conducting duties, however, were lessened in 1853, which seems to have provided him more time to concentrate on composing, especially in the late summer and fall of 1853.¹ Despite his weakening physical condition, there was no significant interruption in Schumann's compositional activities due to his health issues until October 1853, whereas his illness did prevent him from attending to his conducting duties during late 1852.²

According to Robert Schumann's *Tagebuch*, all five *Gesänge* were composed between October 15 and 18.³ Such a noticeably swift completion of a composition, however, was not unusual for Schumann from mid-August to October 1853, during which he composed a work

¹ The worsening relationship between Schumann and both the orchestra and the choir since late 1852 and complaints about Schumann's inconsistent conducting from members of these institutions eventually led Schumann to hand over the choir rehearsals to Julius Tausch in early 1853, resulting in a decreased salary for Schumann. For a detailed account of Schumann's problem with the orchestra and the choir, see John Worthen, *Robert Schumann: Life and Death of a Musician* (New Haven: Yale University Press, 2007), 333–5.

² Schumann had to yield his conducting duty to his deputy, Tausch, for the first two concerts of the 1852 season on 28 October and 18 November, due to his illnesses, such as serious nervous disorders, rheumatism, and general exhaustion.

³ Robert Schumann, *Tagebücher, Band III: Haushaltbücher, Part 2 (1847–1856)*, ed. Gerd Nauhaus (Leipzig: VEB Deutscher Verlag für Musik, 1982), 639.

almost every week. For example, the *Konzert-Allegro mit Introduction* for piano and orchestra, Op. 134, was written in seven days at the end of August, and the *Fantasie* in C major for violin and orchestra, Op. 131, in four days in the beginning of September.⁴ Such remarkable pace and productivity of composition during mid-1853 indicate that the *Gesänge der Frühe* was composed when Schumann's creative energy was at its peak.

However, Schumann's "sudden release of violent creative energy" during this time, as John Worthen calls it, was not an isolated incident.⁵ During his years in Düsseldorf from late 1850 until early 1854, despite his conducting duties and occasional health problems, Schumann exhibited astonishing productivity by composing one-third of his total output.⁶ The variety in genres among the works that were written during these years shows his active engagement in the

⁴ Eric Jensen points out that Op. 134 is described as "Phantasiestück" in Schumann's household books, but published as the *Konzert-Allegro mit Introduction* in 1855. This piece was written as a birthday present for Clara. It was premiered by Clara and Robert Schumann on 26 November 1853 in Utrecht during their concert tour of Holland, which turned out to be a triumph for both of them. For Jensen, the "Phantasiestück" reaffirms "Schumann's interest in writing a single-movement concerto for piano." See Jensen, *Schumann* (New York and Oxford: Oxford University Press, 2001), 307. For Robert and Clara's concert trip, see John Worthen, *Robert Schumann*, 345–6.

A list of the works that Schumann wrote between mid-August and October 1853 is as follows: Overture to *Szenen aus Goethes Faust*, WoO 3, for solo, chorus and orchestra (August 13–17); the *Konzert-Allegro mit Introduction*, Op. 134, for piano and orchestra (August 23–30); *Bei Schenkung eines Flügels*, WoO 26, no. 4, for vocal quartet and piano (August 20); *Phantasie*, Op. 131, for violin and orchestra (completed September 7); *Ballade vom Haideknaben*, Op. 122, no.1, for voice and piano (September 15); *Kinderball*, Op. 130 for piano four hands (September 18–20); the Violin Concerto in D Minor, WoO 23 (completed October 3); *Märchenerzählungen*, Op. 132, for clarinet, viola, and piano (October 9–11); *Gesänge der Frühe*, Op. 133, for piano (October 15–18); the second and fourth movements of the "F-A-E" Sonata, WoO 22, for violin and piano (October 22); Third Violin Sonata in A Minor, WoO 27 (October 29–31). See *Robert Schumann, Interpretationen seiner Werke*, ed. Helmut Loos, Band 2 (Laaber: Laaber Verlag, 2005), 261ff.

⁵ Worthen, *Robert Schumann*, 338.

⁶ Schumann moved from Dresden to Düsseldorf in September 1850. For detailed accounts of the arrival of the Schumanns in Düsseldorf, see both Jensen, 259, and Worthen, 314. For the complete list of Schumann's compositions during 1850–1854, see John Daverio, *Robert Schumann: Herald of a "New Poetic Age"* (New York and Oxford: Oxford University Press, 1997), 460–1.

creative process. To understand how the *Gesänge der Frühe* was conceived, surveying these genres would be informative.

Schumann's compositions during first half of 1850 were predominantly written for a solo voice with a piano accompaniment, and were often in sets entitled *Gesänge*, the title of his later piano cycle, Op. 133.⁷ In contrast, his output since October 1850 demonstrated his interest in large-scale instrumental works, for example, the Cello Concerto, Op. 129 (completed November); the Third Symphony, Op. 97 (December); and the Overture to Schiller's *Braut von Messina*, Op. 100 (January 1851). Such a shift of compositional interest coincided with his new position as municipal music director in Düsseldorf, where his duties included conducting both the orchestra and the choral society.⁸ His daily interaction with these two groups also seems to be related to his composition of *Der Königsson*, Op. 116, completed June 1851. Through this dramatic choral setting, which requires large groups of musicians (soloists, chorus, and orchestra), Schumann created a new genre that is based on the ballad.⁹ Jensen describes this genre as a mixture of opera and oratorio in miniature, thus a "chamber oratorio," whereas

⁷ For example, *Drei Gesänge*, Op. 83 (March–April), *Sechs Gesänge von Wilfried von der Neun*, Op. 89 (May), and *Lieder und Gesänge*, Op. 96 (July).

⁸ Despite the warm reception of Schumann's first concert as Music Director in Düsseldorf on 24 September 1850 and his satisfaction both with the concert and musical life in the new city in general, his relationship with the orchestra and the choral society gradually deteriorated over the years. Eventually he was asked to resign his position from the music committee in November 1853. See Jensen, 260–73. Daverio notes that the initial conception and the form of the third symphony were influenced by Schumann's visit to the magnificent cathedral of Cologne. See John Daverio and Eric Sams, "Schumann, Robert," in *Grove Music Online, Oxford Music Online*, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/40704pg18> (accessed April 14, 2011).

⁹ Schumann wrote three more ballads in the same setting within two years: *Des Sängers Fluch*, Op. 139 (completed January 1852), *Vom Pagen und der Königstochter*, Op. 140 (September 1852), and *Das Glück von Edenhall*, Op. 143 (March 1853).

Worthen views it as being able to “bridge the gap between the opera house and the concert hall.”¹⁰

Schumann’s interest in choral music was not new. Prior to his move to Düsseldorf in September 1850, he was the conductor of two choral groups in Dresden: the Dresden Liedertafel and the Verein für Chorgesang, which was formed by Schumann himself.¹¹ His active engagement with these choral institutions provided him not only the impetus to compose several partsongs for chorus, but also the opportunity to try out all the music he loved, which gave him “great delight.”¹²

Between late 1852 and early 1853, Schumann worked on a project of writing piano accompaniments to Johann Sebastian Bach’s Sonatas and Partitas for unaccompanied violin and Suites for unaccompanied cello. In this “Bachiana” project, Schumann preserved the core

¹⁰ See Jensen, 261–2, and Worthen, 321–2. Note that Schumann also contemporaneously attempted to write a grandioso oratorio based on the life of Martin Luther. Despite his draft of the scenario for this oratorio, this project did not come to fruition. Schumann’s enthusiasm and specific ideas for this “dramatic” work are demonstrated in his letters to his collaborator for the oratorio, the writer Richard Pohl (1826–1896). Among those ideas, Schumann wanted to make the chorus as an important part in the oratorio. See *The Letters of Robert Schumann*, ed. Karl Storck, trans. Hannah Bryant (New York: Benjamin Blom, 1971), 268–72.

¹¹ Schumann conducted the Dresden Liedertafel from October 1847 to October 1848, and the Verein für Chorgesang from January 1848 until he moved to Düsseldorf in September 1850. Schumann had assumed the conducting post of the Dresden Liedertafel as his predecessor, Ferdinand Hiller, decided to move to Düsseldorf as municipal music director. Interestingly, upon Hiller’s invitation again, Schumann assumed the position of municipal music director in Düsseldorf in September 1850, as Hiller moved for a new position in Cologne. Whereas Schumann’s enthusiasm for the Dresden Liedertafel gradually subsided, the Verein für Chorgesang, which was originally dubbed a “Caecilienverein,” flourished under his leadership. See Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 397–8, 439–40.

¹² Schumann expressed his delight in his engagement with the Verein für Chorgesang in his letter to Ferdinand Hiller in April 1849 and a part of this letter is quoted in Daverio’s book, *Robert Schumann: Herald of a “New Poetic Age,”* 398. Examples of choral partsongs that were composed during this period include the *Drei Gesänge*, Op. 62, for male chorus and ad libitum winds (1847), and *Romanzen und Balladen*, Op. 67, for mixed chorus without accompaniment (1849). Note that Schumann wrote three more volumes of *Romanzen und Balladen* for the same setting: Opp. 75 (1849), 145 (1849–51), and 146 (1849–51). For detailed descriptions of Opp. 67 and 145, see Daverio, *Robert Schumann*, 399–402.

integrity of his old master's pieces, as he simply added piano accompaniment parts, which are realizations of the harmonies that are already mostly embedded in the solo violin or cello part, to the original melodies. Yet the way that he composed the accompaniment parts, such as his emphasis on harmony and rhythmic motion, gives the arrangements a Schumannesque sound.¹³ Schumann's interest in Bach's music coincides with his working on religious pieces and a motet: *Missa Sacra*, Op. 147, for chorus and orchestra (completed 1853); the *Requiem*, Op. 148, for chorus and orchestra (1852); and *Verzweifle nicht im Schmerzentale*, Op. 93, a motet for double chorus and orchestra (1852). In both the Mass and the Requiem, Daverio finds "lofty simplicity and dignity," characteristics that E. T. A. Hoffmann suggested as "the hallmarks of genuine church music."¹⁴

Except for the *Gesänge der Frühe* and the *Fantasiestücke*, Op. 111, his piano works during 1850–53 have educational or pedagogical purposes. In June 1853, for example, Schumann wrote *Drei Clavier-Sonaten für die Jugend*, Op. 118, for his three eldest daughters, while completing *Sieben Clavierstücke in Fughettenform*, Op. 126, which shows his concern of teaching traditional forms to young people.¹⁵ Schumann's interest in pedagogy is also reflected in his gathering of several piano pieces that were written between 1832 and 1849, which he

¹³ Several composers also attempted similar projects. Whereas Mendelssohn also wrote the keyboard part for the Prelude of the Partita in E major, BWV 1006, for solo violin, in a manner similar to Schumann, the twentieth-century pianist-composer Leopold Godowsky freely transcribed several of Bach's solo violin and cello works for solo piano. See Leopold Godowsky, *The Godowsky Collection*, Volume 4, ed. Millan Sachania (New York: Carl Fischer, 2003).

Schumann's profound admiration of Johann Sebastian Bach is expressed in his letters and writings. In his letter to Keferstein on January 31, 1840, for example, he writes, "modern music... its origin chiefly in Bach.... I consider Bach to be quite unapproachable, immeasurable by ordinary standards." See *The Letters of Robert Schumann*, 135.

¹⁴ Quoted in Daverio, *Robert Schumann*, 471.

¹⁵ For a detailed account of *Drei Clavier-Sonaten für die Jugend*, Op. 118, see Daverio, *Robert Schumann*, 478.

published as two collections, *Bunte Blätter*, Op. 99, in 1852 and *Albumblätter*, Op. 124, in 1854.¹⁶ In addition to these solo piano works, he also composed two sets of piano four-hand pieces, *Ball-Szenen*, Op. 109, completed in 1851, and *Kinderball*, Op. 130, in 1853. The *Gesänge der Frühe* shows distinctive difference from these pedagogical or four-hand piano works: whereas the pedagogical works involve collections of unrelated short pieces, there are some features that provide cohesiveness to the entire set of the *Gesänge* such as tonal plan and textural and rhythmic features.¹⁷

During his late years, Schumann also composed various violin compositions: the three Sonatas for violin and piano, Opp. 105 (completed 1851), 121 (1851), and WoO 27 (1853); the *Phantasie*, Op. 131, for violin and orchestra (1853); the Violin Concerto, WoO 23 (1853); and the *Intermezzo* and *Finale* of the *F. A. E. Sonata* (1853).¹⁸ Perhaps Schumann's growing relationship with violinist Joseph Joachim in this period stimulated him to be engaged in composing these violin works. The two movements of the *F. A. E. Sonata* are particularly related to Joachim, as they were conceived on his personal motto "Frei aber einsam" on the same day of 15 October 1853 that Schumann began to compose the *Gesänge der Frühe*.¹⁹

¹⁶ Schumann's original idea was to publish these pieces as one collection of *Spreu*, rather than two collections. However, his idea was rejected by the publisher, Friedrich Arnold, who later published the *Gesänge der Frühe* (see Daverio, 443).

¹⁷ The significance of the "cohesiveness" in a song cycle is found in Susan Youens, "Song cycle," in *Grove Music Online*, *Oxford Music Online*, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/26208> (accessed February 18, 2012).

¹⁸ Note that the second Violin Sonata, Op. 121, was originally published as *Zweite Grosse Sonate*.

¹⁹ Schumann first met Joachim as a child prodigy in 1843, when Joachim was studying with Felix Mendelssohn in Leipzig. The idea of composing the *F. A. E. Sonata* occurred to Schumann upon Joachim's surprise visit to Düsseldorf on 14 October 1853. Whereas Schumann composed two movements of the sonata, the other two movements were composed by Johannes Brahms and Albert Dietrich, a composer and Joachim's friend. By adding two new movements to the two movements from

Schumann's relationship with Joachim also resulted in one of the most important events in his late years. Upon Joachim's recommendation, young Johannes Brahms visited Schumann's household from 30 September to 2 November 1853. Brahms played many of his compositions for Schumann and both composers seem to have enjoyed this occasion tremendously.²⁰ This encounter prompted Schumann's enthusiastic praises for this "young eagle" that are expressed in his letters to Joachim as well as his famous article that refers to Brahms as representing "Neue Bahnen" ("New Paths").²¹

General Characteristics

The keys of the five movements of the *Gesänge* are as follows: nos. 1 and 2 in D major, no. 3 in A major, no. 4 in F[#] minor/major, and no. 5 in D major. These keys exhibit an underlying relationship among them. The first and the last movements are in the same key of D major. Furthermore, the keys of the movements—D major (nos. 1, 2 and 5), A major (no. 3), and F[#] minor/major (no. 4)—represent a D major triad. This tonal order of the five movements has prompted some scholars to suggest that the *Gesänge der Frühe* is a cycle: for example, Irmgard Knechtges viewed D major as "Grundtonart" of the entire set, and, for Michael Struck, such

the *F. A. E. Sonata*, Schumann created his third Violin Sonata in late October. For detailed accounts of this issue, see Daverio, *Robert Schumann*, 454, and Jensen, 309.

²⁰ According to Daverio, Schumann's household book and other documents specify which of Brahms's works Schumann heard during this visit. In additions to string quartets, Lieder, sonatas for violin and piano, piano sonatas that were subsequently lost or destroyed, the second piano sonata in F[#] minor, Op. 2 and many of short works for piano, such as the E^b-minor Scherzo, Op. 4, were played. See Daverio, "Madness or Prophecy?," 192.

²¹ Schumann calls Brahms the "young eagle" in his two letters to Joachim on October 8 and 13, 1853. See *The Letters of Robert Schumann*, 280–3. The article titled "Neue Bahnen" was published in *Neue Zeitschrift für Musik* 39, no. 18 (October 28, 1853). The image of the first page of this article is currently exhibited as a part of a Robert Schumann exhibition on the website of Irving S. Gilmore Music Library of Yale University. See http://www.library.yale.edu/musiclib/exhibits/schumann/neue_zeitschrift.html (accessed April 20, 2011).

cyclical conception was reinforced by his finding of a common “Kernmotiv” in all five pieces.²² The *Gesänge* is also considered as a cycle by John Daverio.²³ The significance of the unity of the five *Gesänge* are also suggested by Nicholas Marston, who considers this cycle as “multi-piece,” which refers “the connections of small heterogeneous pieces to make a large homogeneous work.”²⁴

Cohesiveness among the five movements of the *Gesänge* is also found in textural and rhythmic features. For instance, the two outer movements have a main theme in a chorale texture, the use of inversion within the chorale theme, and prominent key progression in thirds, whereas the second and fourth movements embrace a similar fundamental idea in their melodies and accompaniment figures. As such, the whole set can be viewed as an arch form, with no. 1 and no. 5 forming a musical pairing, no. 2 and no. 4 forming another. The middle movement of the set plays a role of an independent center of the five movement structure as it stands out with dense chordal texture and perpetual rhythmic motion, yielding the most exuberant and vivacious feeling among the entire *Gesänge*.

The same arch shape could be applied to overall rhythmic motions of each movement. Both nos. 1 and 5 tend to be rhythmically simple and static, whereas more rhythmic movements occur in both nos. 2 and 4. Continuous dotted rhythms in no. 3 exhibit the most energetic

²² Michael Struck suggests scale degrees 1, 5, 6 as “Kernmotiv” of the entire set. See Struck, *Die umstrittenen späten Instrumentalwerke Schumanns: Untersuchungen zur Entstehung, Struktur und Rezeption* (Hamburg: Verlag der Musikalienhandlung K.D. Wagner, 1984), 477–79; Irmgard Knechtges, *Robert Schumann im Spiegel seiner späten Klavierwerke* (Regensburg: G. Bosse, 1985), 158.

²³ John Daverio, “Madness or Prophecy? Schumann's *Gesänge der Frühe*, Op. 133,” in *Nineteenth-Century Piano Music: Essays in Performance and Analysis*, ed. David Witten (New York: Garland Publishing, 1997), 187–204.

²⁴ Nicholas Marston, “Schumann’s *Gesänge der Frühe*, op. 133: a “False Dawn”?” *Rivista di Analisi e Teoria Musicale*, (Anno XVI, 2010/2), 29.

rhythmic motions of the entire *Gesänge*. These findings suggest the significance of the given order of the five movements.

Whereas Schumann's earlier piano cycles often consist of lengthy pieces, the five *Gesänge* are relatively concise in its length. The *Gesänge* begins with a rather slow piece, which is marked with *Im ruhigen Tempo* ($\downarrow=73$). This first movement, written in 4/4 meter, consists of 39 bars. The tranquil mood of the first movement is changed in the rhythmically vibrant second movement, which takes 35 bars. This 4/4 piece is also fast, as it is indicated with $\downarrow=190$. Schumann's indication, *Belebt, nicht zu rasch*, suggests that what is important is to bring out animated mood of the piece without rushing. The *lebhaft* third movement ($\downarrow=93$) consists of 63 bars and is written in 9/8 meter. There is a clear change of moods between the third and fourth *Gesänge*. There are 52 bars in the fourth movement, which is indicated with *Bewegt* ($\downarrow=72$). This piece uses 2/4 meter. This cycle concludes with a rather slow piece similar to its beginning. The fifth movement is indicated with a specific instruction that suggests a calm beginning and movements of tempo as the piece progresses: *Im Anfange ruhiges, im Verlauf bewegtes Tempo* ($\downarrow=68$). Same as the first movement, the fifth movement is also written in 4/4 meter. Furthermore, both movements feature almost identical numbers of bars: whereas the first piece consists of 39 bars, the fifth piece has 40 bars.

Schumann's enthusiasm for choral music seems to be embedded in the *Gesänge der Frühe*. The opening passages of both the opening and closing movements of this 1853 piano cycle were written in chorale-like texture. The beginning of the *Gesänge* is surprisingly static and simple, compared to most of Schumann's earlier piano cycles (see Example 0.1). The notion of the chorale—as expressed with Schumann's unique handling of chorale texture—plays a significant role in the entire cycle, despite Schumann's unique approach to chorale texture. This

chorale-like texture is also found in the last movement of the *Gesänge der Frühe*. However, unlike the first movement that features only chorale-like texture, textural changes occur in the fifth movement as new rhythmic motions are integrated to the chorale theme.

Example 0.1 Schumann, *Gesänge der Frühe*, Op. 133, No. 1, bars 1–4²⁵



Schumann's interest in chorale style during his late years is demonstrated in other compositions as well. After the *Gesänge der Frühe*, Schumann completed another piece for solo piano in February 1854, a few weeks before his hospitalization at Endenich. The *Theme and Variations* in E^b major, WoO 24, which was dedicated to Clara, features a theme that was written in chorale-like texture (see Example 0.2).²⁶ Furthermore, the only work that has survived from his final years at Endenich is a setting of a chorale.²⁷

Example 0.2 Schumann, *Theme and Variations* in E^b major, WoO 24, bars 1–8



²⁵ The entire score of the *Gesänge der Frühe* can be found in the appendix of this dissertation.

²⁶ This piece is also known as “Ghost Variation,” as Schumann claimed that the E^b major theme was offered by angelic voices. See “Preface” in Schumann, *Thema mit Variationen* (Geistervariationen), ed. Wolf-Dieter Seiffert (München: G. Henle Verlag, 1995), III.

²⁷ Jensen, 310.

Whereas similar chorale-like texture is used both the first and last *Gesänge*, the other three movements show different textures. The second movement features several textural changes as rhythmic motions are often shifted. In the third *Gesang*, where dotted rhythms predominate, texture is mostly unchanged. In contrast to prevalent chordal motions in the third piece, linear motions are significant in the fourth movement. Texture is almost identical throughout this piece, as there are three parts of melody, bass, and accompaniments, which is provided by continuous thirty-second notes.

The forms of the five *Gesänge* do not exactly fit traditional notions of forms. Nonetheless, each *Gesang* shows a certain logic that can be defined as a type of form. In the first *Gesang*, the chorale-like theme is repeated four times, suggesting a strophic form. The second movement shows a rondo form, as the opening motive returns regularly at its original pitch level four times. The third movement can be divided into three sections, and all of these sections begin with similar opening bars, exhibiting strophic nature. Similarly, the fourth *Gesang*, which consists of four sections and a coda, shows characteristics of a strophic form. Despite the use of chorale-like texture, the fifth movement does not feature a strophic form, but a tripartite form.

The *Gesänge* exhibit a number of unusual features. In the first movement, there is a series of unresolved dissonances from the continuous dovetailing motions of the voices that yield unusual sonorities. Such motions also give rise to metrical dissonance. The use of a harmony that has the modal flavoring supplements characteristics of chorale-like texture. Toward the end of the piece, large intervals are featured, thus helping produce a fuller sonority and a sense of grandeur.

The second movement begins with non-tonic harmony, creating an unusual feeling of being in the middle of the piece already at the beginning. In addition to that, the melodic motion

of the first phrase is not continuous, but consists of repetitions of a two-bar motive that is presented in different voice parts. These melodic motions and abrupt textural shifts exhibit the idea of fragmentation, thus present a sense of division or discontinuity. Yet a sense of coherence is not lost, but rather deeply embedded through some rhythmic and harmonic features, such as continuous triplet figures and recurrences of the subdominant chord.

The third movement is Schumann's *only* piano composition that is written in 9/8 meter. Whereas the rhythmic motive of ♩♪♪ predominates throughout this piece, yielding a mono-rhythmic impression, the harmonic motions of this piece are often rather unpredictable. These harmonic motions are significant, as a number of melodic lines are composed with the notes derived directly from the harmony. Several features in this piece suggest that it is the pinnacle of the entire *Gesänge*, reinforcing the idea of an arch form. For example, while the thick chordal passages that create a massive sound and an extremely exuberant mood, the cadenza-like passage close to the end of this piece enhances a unique sense of climax that is not found elsewhere in the set.

The fourth movement is the only *Gesang* that features a minor mode. In the F[#]-minor section, non-harmonic notes constantly appear in thirty-second-note accompaniment figure. Whereas the metric conflicts often occur throughout the F[#]-minor section, the clearing of such conflicts coincides with the mode shift to F[#] major in the final passage. If the earlier metrical conflicts in the F[#]-minor section gave rise to a sense of tension, the reordering of metric pulse in the F[#]-major final passage of the piece—along with the change to major—produces a sense of relief and resolution.

Some features of the fifth movement show striking similarities to those of the third movement of the Sonata for Piano in E major, Op. 109, by Beethoven, where “Gesang” is also

indicated in its sketch. Besides the return of the D major, this final movement exhibits some features that were used in the first movement, such as a choral-like texture and a harmonic progression in thirds. Yet these two movements are completely distinct. This movement has disproportionately long cadential motion that runs over more than 1/3 of the piece, featuring deceptive, perfect, and plagal cadences. When a deceptive resolution occurs, an exceptionally colorful sound that is not typically found in Schumann's earlier piano cycles appears through an unusual integration of B^b major along with an almost-complete chromatic scale, which uses all the pitch classes but B. Some aspects in this last *Gesang*, such as the final plagal cadence, reinforce the notion of "hymn" that were suggested in the first *Gesang* of the set.

Reception of the *Gesänge der Frühe*

Whereas most of Robert Schumann's piano cycles have figured in both pedagogical and performing venues, relatively scant attention has been given to the *Gesänge der Frühe*, Op. 133. Such neglect of this piece, Schumann's last piano cycle, seems to be related to both internal factor of the work itself and external factor of Schumann's health condition during his late years.²⁸ The *Gesänge* exhibits a noticeably distinct compositional style, compared to his earlier piano cycles. Despite his astonishing compositional productivity, Schumann suffered from various health problems during his years in Düsseldorf from late 1850 until early 1854, and this cycle is one of his last compositions prior to his attempted suicide in early 1854 and consequent voluntary institutionalization in a private sanatorium in Endenich.²⁹

²⁸ Schumann's last composition for solo piano is the *Theme and Variations* in Eb major, WoO 24.

²⁹ In late spring 1852, for example, Schumann suffered a severe nervous attack, dreadful rheumatism, coughing fits and general exhaustion. See Daverio, *Robert Schumann*, 449. He attempted suicide on 27 February 1854 by jumping into the Rhine, but was immediately rescued by fisherman. For detailed account of this incident and subsequent institutionalization of Schumann, see Jensen, 278–80.

The stylistic idiosyncrasy of the *Gesänge der Frühe* was noticed already by the presumed first audience (and also the first player, except the composer himself) of the cycle, Clara Schumann. Clara was the person who understood her husband's music in the most intimate way. In contrast to typical comments that express her delighted amazement at Schumann's "inexhaustible genius," Clara's remark on this cycle suggests surprising perplexity: "R[obert] has just composed five Morning Songs ['Frühgesänge'], completely original pieces as always, but difficult to grasp, for a completely individual tone resides therein."³⁰ This comment reveals crucial characteristics of the *Gesänge* in a rather backhanded way. Does Clara's expression that the cycle is "difficult to grasp" indicate criticism of the cycle, implying a decline of Schumann's creative power? Or, on the contrary, do such difficulty and originality imply fullness of Schumann's creative power in this cycle?

Only a couple of weeks before composing the *Gesänge der Frühe*, Schumann had completed writing the violin concerto in D minor for Joseph Joachim. After playing it through for Schumann upon its completion, Joachim never performed it in public, and even went so far as to try to suppress its publication.³¹ Even though he recognized Schumann's intellectual energy exhibited in the concerto, Joachim's general impression of the piece was dismissive. For Joachim, the concerto was "not worthy to rank with his [Schumann's] many magnificent creations," as he finds "unmistakable signs of a certain weariness" in the piece.³²

³⁰ Daverio, "Madness or Prophecy?," 190; the translation is by John Daverio. The original sentence in German is as follows: "18. Oktober. R. hat 5 Frühgesänge komponiert, -- ganz originelle Stücke wieder, aber schwer aufzufassen, es ist so eine ganz eigne Stimmung darin." See Berthold Litzmann, *Clara Schumann: Ein Künstlerleben nach Tagebüchern und Briefen*, Vol. 2 (Leipzig: Drick und Verlag von Breitkopf und Härtel, 1910), 283.

³¹ The concerto was accompanied by the court orchestra of the King of Hanover, where Joachim was the concertmaster.

The same sentiment toward the concerto seemed to be shared by Clara, as she not only excluded the piece from her critical edition of all the Schumann works, but also told her children that “the concerto bore distinct traces of his last illness.”³³ In addition, Clara’s extreme frustration with another late work resulted in more serious action. When she was finishing the critical edition of Schumann in 1893, she destroyed the score of a set of five *Romanzen* for cello and piano, which had been written only few weeks after the completion of the *Gesänge der Frühe*.³⁴

Considering the profound intimacy and lifelong fascination between her and both her husband and his works, it is surprising as well as troubling to find that Clara was one of the people who first fostered the notion that Schumann composed “under the curse of impending madness” during his last years.³⁵ In contrast to Clara’s decision to exclude the two aforementioned pieces in her critical edition of Schumann, she included the *Gesänge der Frühe* in her edition. This inclusion of the *Gesänge* in Clara’s edition seems to imply that “impending madness” did not compromise the artistic worth of the cycle. Despite her lack of interest in

³² These comments are found in Joachim’s letter of 5 August 1898 to his biographer, Andreas Moser, who requested information on the manuscript of the concerto. Despite Joachim’s criticism of the concerto in relation to Schumann’s mental illness, the general tone of such criticism conveys his genuine respect for his “dear master and friend.” For Joachim’s detailed review of the concerto, see *The Musician’s World: Letters of the Great Composers*, ed. Hans Gal (London: Thames and Hudson, 1965), 183–4.

³³ Clara edited all the Schumann works between 1879 and 1893, upon the suggestion by Breitkopf & Härtel. See *Robert Schumann’s Werke*, hrsg. von Clara Schumann (Leipzig: Breitkopf & Härtel, 1879–93). Clara’s comment on the concerto is found in Eugenie’s letter to the editor of the *The Times* in London on 15 January 1938 and is quoted in Jensen, p. 308.

³⁴ Clara first tried out the set of five *Romanzen* for cello and piano with Reimers, when the set was completed in November 1853. As she found them “unworthy of her husband’s genius,” she destroyed them in 1893. See Daverio, *Robert Schumann*, 455, and “Madness or Prophecy?,” 202.

³⁵ According to Daverio and Eduard Melkus, this notion was shared by Clara Schumann, Joseph Joachim, and Johannes Brahms. See Daverio, “Madness or Prophecy?,” 187, and Eduard Melkus, “Zur Revision unseres Schumann-Bildes,” *Österreichische Musikzeitschrift* 15 (1960): 186–88.

publicizing the cycle in her career, Clara's willingness to play the *Gesänge* for others is implied in one of Robert Schumann's letters.³⁶ In his letter to Bettina von Arnim, the dedicatee of the cycle, on 1 May 1855, he expressed his fond hope that Bettina would be able to hear the *Gesänge* played by Clara.³⁷

For the composer himself, on the other hand, the *Gesänge* were approachable and precious. In his letter to the publisher Friedrich Wilhelm Arnold in February 1854, Schumann wrote, "this composition [Op. 133] will undoubtedly find greater interest than the *Fughetten* [Op. 126]...."³⁸ The publisher agreed, replying, "I certainly see that these *Gesänge* will find a far larger audience than the *Fughetten*...."³⁹ Soon after this exchange, Schumann's creative activities were almost halted, as he was institutionalized in an asylum in Eendenich, as noted above. Many letters between Schumann and his confidants during his final years, however, attest to his unswerving enthusiasm for the *Gesänge der Frühe* and its publication. In his letter to Clara on 10 October 1854, for example, Schumann expresses his wish to view the manuscript of the

³⁶ Clara made a catalogue of Robert Schumann's complete works that indicates the years of the first public performance of each work. The *Gesänge der Frühe* is one of the very few pieces in the catalogue that were recorded as "no public performance known." See Nancy B. Reich, *Clara Schumann: The Artist and the Woman*, revised edition (Ithaca and London: Cornell University Press, 2001), 259–60.

³⁷ "Erfreuen würde es mich, wenn Sie Hochverehrte, die Gesänge der Frühe von meiner Clara hörten." See Bernhard R. Appel, ed. *Schumann Forschungen 11* (Mainz: Schott, 2006), 265.

³⁸ "Da nun diese Composition unbezweifelt größere Theilnahme als die Fughetten finden wird..." This comment is included in Schumann's letter to the publisher Arnold on February 24, 1854, in which Schumann suggested that Arnold publish the *Gesänge der Frühe*, instead of his previous composition for piano, *Sieben Clavierstücke in Fughettenform*, as Op. 126. This idea is demonstrated in a cover of a fair copy of the *Gesänge der Frühe*, which bears Op. 126 instead of Op. 133 with Schumann's handwriting. The copy is now located in the Heinrich-Heine-Institut, Düsseldorf, Germany. See letter no. 49 "Robert Schumann an den Verlag Arnold in Elberfeld; Düsseldorf, Freitag, 24. Februar 1854" in *Schumann Briefedition*, Serie III, Band 5, herausgegeben vom Robert-Schumann-Haus Zwickau (Köln: Verlag Christoph Dohr, 2008), 125. Note that all translations are my own, unless otherwise indicated.

³⁹ "Ich sehe allerdings wohl ein, daß diese Gesänge ein weit grösseres Publikum finden werden..." See letter no. 50 "Der Verlag Arnold (Friedrich Wilhelm Arnold) an Robert Schumann in Düsseldorf; Elberfeld, Montag, 27. Februar 1854," *ibid.*, 126.

Gesänge once again, whereas two letters from his publisher Arnold to Schumann reveal the final process of its publication.⁴⁰ According to musicologist Roe-Min Kok, who studied more than two thousand letters from the later years of Schumann life, many of them from Schumann to his publishers, “not only was he [Schumann] highly articulate in this correspondence, but the letters prove he had all his intellectual faculties about him in the late 1840s and early 1850s.”⁴¹

In November 1855, several months before the composer’s death, the *Gesänge der Frühe* was eventually published by Arnold as Schumann’s Opus 133, bearing a dedication to Bettina von Arnim.⁴² The correspondence between Clara and Bettina indicates that Schumann dedicated the *Gesänge* with “highest admiration” to Bettina, who later expressed her appreciation of the cycle.⁴³

⁴⁰ On 10 October 1854, Schumann wrote, “Könnte ich vielleicht durch Deine Güte das Manuscript der ‘Gesänge der Frühe’ [op. 133] noch einmal zur Ansicht bekommen?” (See Appel, *Schumann Forschungen* 11, 155). Friedrich Arnold’s acceptance of Schumann’s correction the *Gesänge der Frühe* is indicated in his letter to Schumann on 4 April 1855, “Ihre Correctur der Gesänge der Frühe empfang ich bereits 4 Tage nach meiner Absendung durch Herrn Dr. Peters wieder zurück und danke ich Ihnen hiermit noch besonders für die überaus rasche Besorgung” (p. 251). Arnold’s letter to Schumann on 3 April 1855 shows his promise of the first copy of the cycle, “Meinem Versprechen getreu übersende ich Ihnen die ersten Exemplare der Gesänge der Frühe...” (p. 253).

⁴¹ John C. Tibbetts, *Schumann: A Chorus of Voices* (New York: Amadeus Press, 2010), 338. This book is composed of Tibbetts’s interviews with notable scholars and musicians on Schumann’s life and music.

⁴² Bettina von Arnim (1785-1859) was a talented and influential figure in literary, music, and visual art. She had a close relationship with leading figures of her contemporaries: a sister of Clemens Brentano, wife of Achim von Arnim and friend of Goethe, Beethoven, Franz Liszt, Joseph Joachim, Johannes Brahms, and Robert Schumann, among others. According to Jensen, Schumann had been fascinated by her for decades. His admiration for her work is indicated, for instance, in his frequent featuring of her writings in the *Neue Zeitschrift für Musik* during 1839–1844 under Schumann’s editorship. They met in person for the first time late October 1853 in Düsseldorf, a couple of weeks after the completion of the *Gesänge der Frühe*. She visited him later, when Schumann was institutionalized in Eendenich in 1855. For a detailed account of Bettina von Arnim and Schumann, see Jensen, “Schumann at Eendenich 1: Buried Alive,” *The Musical Times* 139, no. 1861 (1998), 17–8.

⁴³ On 25 May 1855, Clara wrote to Bettina, “...so will ich mir nur die Freiheit nehmen, Ihnen die ‘Gesänge der Frühe’ zu senden, die Ihnen mein Mann in höchster Verehrung gewidmet” (See Appel,

Besides Clara's edition, the *Gesänge der Frühe* was included in other editions of Schumann's complete piano works published by both Peters and Steingräber in the late nineteenth century.⁴⁴ These editions are almost identical to Clara's edition, except for occasional fingering and phrasing differences.

However, the *Gesänge der Frühe* was not included in the series of Schumann's piano works published by Henle between late 1970s and early 1980s.⁴⁵ Although the cycle was published individually in 1990, the absence of the cycle from the piano works series by Henle, one of the most respected music publishers, seems to be related to the scant familiarity with the *Gesänge* in the current pedagogical community.⁴⁶ The lack of performances of the *Gesänge* on concert stages is also noticed by pianist András Schiff, as he commented in his recent interview with John C. Tibbetts that "it is unfortunate that here in Europe you never hear...the *Gesänge der Frühe*."⁴⁷

As if to rectify this problem, in 2010 a complete Schumann edition was published by Henle, which includes the *Gesänge der Frühe*, in addition to the separate publication of the

287). Bettina wrote back to Clara on 3 June 1855, "Es hat mich gekümmert nicht gleich auf das gültige Geschenk von Ihrem lieben Mann, meinen Dank erwidern zu können (p. 293)."

⁴⁴ For example, *Rob. Schumann's Werke für Pianoforte Solo*, revidirt von Alfred Dörffel mit Fingersatz versehen von Richard Schmidt, Band IV, Neu revidirte Ausgabe (Leipzig: C. F. Peters, [189?]) and *Robert Schumann's Clavierwerke*, Band IX, Kritisch revidirte Ausgabe mit Fingersatz und Phrasirungsergänzungen von Hans Bischoff (Hannover: Steingräber Verlag [c1888]).

⁴⁵ Robert Schumann, *Klavierwerke*, ed. Wolfgang Boetticher (München: G. Henle Verlag, c. 1976–1984). This series include the following pieces: Opp. 15, 68, 99, and 124 in Volume 1; Opp. 1, 12, 18, 19, 21, 23, 28, 82, and 111 in Volume 2; Opp. 2, 4, 6, 9, 13, 16, and 26 in Volume 3; Opp. 7, 11, 14, 17, and 22 in Volume 4.

⁴⁶ Robert Schumann, *Gesänge der Frühe*: opus 133, ed. Wolfgang Boetticher (München: G. Henle Verlag, 1990).

⁴⁷ Tibbetts, *Schumann: A Chorus of Voices*, 162.

Gesänge alone.⁴⁸ Similarly, despite seemingly small numbers of recitals and recordings of the cycle compared to those of Schumann's earlier piano cycles, there have been increasing attempts to include the *Gesänge* in recitals and recordings by some notable professional pianists, including Maurizio Pollini, Piotr Anderszewski, and András Schiff.⁴⁹ Noticing the growing interest in the *Gesänge* in the concert halls, Reinhard Kapp notes, "Op. 133, hitherto neglected, but now discovering admirers."⁵⁰

Similarly, the *Gesänge der Frühe* has gotten more attention recently in scholarly discussions. Except in the first Schumann biography by Wilhelm Joseph von Wasielewski that briefly notes the existence of the *Gesänge der Frühe*, the cycle is absent in many Schumann biographies from Frederick Niecks's lengthy 1925 biography to some biographies from the 1970s.⁵¹ Perhaps such scant earlier reception of the *Gesänge* in musicological literature is due to scholars' focus on the notion of Schumann's "impending madness" in his late music and subsequent neglect or criticism.

⁴⁸ Robert Schumann, *Sämtliche Klavierwerke*, Band VI, eds. Wolf-Dieter Seiffert, Ernst Hertrich, Robert Münster (München: G. Henle Verlag, 2010); Robert Schumann, *Gesänge der Frühe*: opus 133, ed. Ernst Hertrich (München: G. Henle Verlag, 2009).

⁴⁹ A list of exemplary recitals that include the *Gesänge der Frühe* is as follows (performer/venue/date): Jacob Greenburg/Workers' Union, Brooklyn, NY/September 28, 2008; Piotr Anderszewski/Marinsky Theatre, St. Petersburg, Russia/December 5, 2009; Peter Orth/Metropolitan Museum of Art, NY/February 20, 2010; Alasdair Beatson/Wigmore Hall, London, England/March 1, 2010). A list of the CDs of Op. 133 that are currently available is included in the bibliography.

⁵⁰ Reinhard Kapp, "Schumann in His Time and Since." In *The Cambridge Companion to Schumann*, ed. Beate Perry, 223–51 (Cambridge, UK, and New York: Cambridge University Press, 2007), 247.

⁵¹ Wilhelm Joseph von Wasielewski, *Robert Schumann: eine Biographie*, hrsg. von Waldemar von Wasielewski (Walluf bei Wiesbaden: M. Sändig, 1972), 475. Frederick Niecks, *Robert Schumann*, ed. Christina Niecks (London and Toronto: J. M. Dent & Sons; New York: E. P. Dutton, 1925). Paula und Walter Rehberg, *Robert Schumann: Sein Leben und Sein Werk*, 2nd edition (Zürich and Stuttgart: Artemis Verlag, 1969); Alan Walker, ed. *Robert Schumann: The Man and His Music* (London: Barrie and Jenkins, 1972).

During the 1980s, however, several discussions about the *Gesänge der Frühe* appeared by German musicologists, as there was a surge of interest in reevaluating Schumann's late works without being prejudiced by the state of the composer's health in his final days.⁵² Scholars such as Michael Struck and Reinhard Kapp attempted to debunk the notion of Schumann's late music as products of his "impending madness."⁵³

In the Anglophone musicological community, on the other hand, a similar movement of increased focus on Schumann's late works seems to have begun only lately, as a few scholars have only sporadically discussed the *Gesänge der Frühe*. In her 1948 Schumann biography, Joan Chissell introduces the *Gesänge* as a set of abstract pieces. She finds that the value of the five pieces is "curiously unequal," as some movements exhibit incredible characteristics, such as serenity and poignant love, whereas another movement is made dull by the repetition of one rhythmic figure.⁵⁴ Yet, Chissell hears "a feeling of continuity" in the five *Gesänge* that represents "a remarkable triumph over the composer's early inability to keep afloat for any length of time."⁵⁵

⁵² For example, see Irmgard Knechtges, *Robert Schumann im Spiegel seiner späten Klavierwerke* (Regensburg: G. Bosse, 1985), and Markus Waldura, "Zitate vokaler Frühgesänge in Schumanns *Gesänge der Frühe*, op. 133: Überlegungen zur Deutung eines irritierenden Titels," In *Schumann in Düsseldorf: Werke-Texte-Interpretationen*, ed. Bernhard R. Appel, 37–54 (Mainz: Schott, 1993).

⁵³ Michael Struck, *Die umstrittenen späten Instrumentalwerke Schumanns: Untersuchungen zur Entstehung, Struktur und Rezeption* (Hamburg: Verlag der Musikalienhandlung K.D. Wagner, 1984); Struck, "Literarischer Eindruck, poetischer Ausdruck und Struktur in Robert Schumanns Instrumentalmusik," In *Robert Schumann und die Dichter: Ein Musiker als Leser*, eds. Bernhard R. Appel and Inge Hermstrüwer, 111-123 (Düsseldorf: Droste Verlag, 1991); Reinhard Kapp, *Studien zum Spätwerk Robert Schumanns* (Tutzing: Hans Schneider, 1984); Paul Kast, ed. *Schumanns rheinische Jahre* (Düsseldorf: Droste Verlag, 1981).

⁵⁴ "It would be hard to find among all his piano music anything of greater serenity than the first, or anything more poignantly lovely than the final section of the fourth. Yet the second lacks all sense of direction, and the third is frankly dull with its one overworked rhythmic figure." Joan Chissell, *Schumann* (London: J. M. Dent and Sons, 1948), 129.

Only a few years later, another Englishwoman, Kathleen Dale, presented quite different view of the same music. In her lengthy survey of Schumann's piano music, Dale suggests that the *Gesänge der Frühe* is "'variations' according to the Schumannesque conception of the term, though unfortunately at its most obscure."⁵⁶ When the cycle is considered from "the purely musical and expressive points of view," she finds it is "difficult...not to be disappointed in their only very occasional clarity and beauty." Whereas she further criticizes the cycle in that "the polyphony and harmonic elements are never convincingly integrated," she also notes "the ingenuity of Op. 133" without specific explanation.⁵⁷

Several decades later, John Daverio wrote a significant article that was entirely devoted to the *Gesänge der Frühe*.⁵⁸ For Daverio, whose life as a scholar was defined by his expertise on Schumann, the *Gesänge der Frühe* is "the last and most puzzling of Schumann's collections of piano pieces."⁵⁹ As he points out the opposing two views of madness or prophecy in Schumann's late music, he suggests that "an ideal criticism...should aim at mediating the elements of madness *and* prophecy that crisscross in Schumann's late works."⁶⁰

⁵⁵ Chissell, *Schumann*, 129.

⁵⁶ Kathleen Dale, "The Piano Music," In *Schumann: a Symposium*, ed. Gerald Abraham, 12–97 (London and New York: Oxford University Press, 1952), 70.

⁵⁷ *Ibid.*, 71, 77–8. When she suggests that "the Fughettas are distinguished by much greater clarity and charm than the contemporary *Gesäng der Frühe*," she also admits that Schumann's own opinion was exactly the opposite of hers, as noted above (p. 78).

⁵⁸ Daverio, "Madness or Prophecy?," 187–204.

⁵⁹ *Ibid.*, 187.

⁶⁰ *Ibid.*, 188–9.

For Eric Jensen, on the other hand, “it is surprising that the *Gesänge* did not suffer the same fate as the *Romances* for cello.”⁶¹ He finds that the cycle often appears “fragmented and unpolished” and “distinctly unpianistic.” Jensen’s view of the concept of fragmentation as it pertains to the *Gesänge* seems to relate to Laura Tunbridge’s notion of “fracture” in Schumann’s late works.⁶² As Tunbridge notes, whereas “there is a tendency in writings on German Romanticism to find transcendence in artwork’s fractures” and scholars have showed their enthusiasm for such “Romantic fragments” in Schumann’s early work, similar “fractures” in his works from the 1850s are often thought instead to “indicate signs of breakdown, of the composer no longer being able to express himself not because of some kind of privileging of the ineffable but because he simply could not.”⁶³ In Tunbridge’s intelligent discussions of Schumann’s late works in this monograph, her discussion of the *Gesänge der Frühe*, which she calls the composer’s “final, dusky alba,” is unfortunately heavily focused on the first movement only.⁶⁴

In September 2006, Tunbridge co-organized a three-day international conference, titled “‘New Paths’: Robert Schumann, 1848–1856” at McGill University. The conference announcement acknowledged, “Robert Schumann’s late works remain on the fringes of the concert repertoire and of current musicological scholarship,” thus, it “aimed to break ‘new paths’—to borrow the title of the composer’s last, famous review about new musical trends—in

⁶¹ Jensen, 310.

⁶² Laura Tunbridge, *Schumann’s Late Style* (Cambridge, UK, and New York: Cambridge University, 2007), 11.

⁶³ *Ibid.*

⁶⁴ *Ibid.*, 196.

the understanding of his music from the period 1848-56.”⁶⁵ Significantly, the music that was the central focus of the conference’s keynote address by Scott Burnham, titled “Late Styles,” was none other than the first and last pieces of the *Gesänge der Frühe*.⁶⁶ Such attention to the *Gesänge* seems to imply that the cycle represents something important about Schumann’s late style.

In his 2007 Schumann biography, John Worthen comments on the *Gesänge der Frühe*, saying that this “luminous” cycle presents Schumann’s development of “a new, less rhetorical style.” For him, the *Gesänge* in performance “exemplify the ‘ethereal waves of sound’ that Wasielewski heard in Schumann’s piano playing.”⁶⁷ In 2009, a dissertation that focuses on a Schenkerian analysis of the cycle was completed by Alessandra Feris. Whereas she demonstrates “a simple, organic structure” of the cycle through her Schenkerian graphs, her discussion does not go significantly beyond that.⁶⁸

Most recently, the significance of the *Gesänge* was highlighted by the publication of a 2010 issue of an Italian journal, *Rivista di Analisi e Teoria Musicale*, which entirely devoted to the studies of the set.⁶⁹ This issue presents six studies in Italian and one study in English by

⁶⁵ The conference was also co-organized by Roe-Min Kok. The event description of the conference can be found at <http://www.mtosmt.org/mto-calls.php?id=21> (accessed May 4, 2011).

⁶⁶ Burnham’s paper on late styles was subsequently published in 2011. See Scott Burnham, “Late Styles,” In *Rethinking Schumann*, eds. Roe-Min Kok and Laura Tunbridge (Oxford and New York: Oxford University Press, 2011), 411–430. This book includes several papers that were presented in the 2006 conference.

⁶⁷ John Worthen, *Robert Schumann: Life and Death of a Musician* (New Haven and London: Yale University Press, 2007), 339.

⁶⁸ Alessandra Feris, “Schumann’s *Gesänge der Frühe*, Opus 133 from a Schenkerian Perspective,” D.M.A. diss. (Florida State University, 2009), 48.

⁶⁹ “Le ultime opere di Robert Schumann: analisi dei *Gesänge der Frühe* per pianoforte op. 133 (1853),” *Rivista di Analisi e Teoria Musicale*, ed. Antonio Rostagno, Anno XVI, 2010/2 (2010).

Nicholas Marston. Marston's illuminating study of the *Gesänge*, which are often described in Schenkerian style, suggests that "we may yet hear the songs of Schumann's op. 133 as singing us of a *false* dawn."⁷⁰

Issues of the Title

Schumann inscribed titles in his piano cycles, which are typically sets of various character pieces. Particular attention needs to be paid to these titles, since titles and mottos reflect Schumann's extraordinary expertise in the literary sphere and his consequent effort to integrate literary ideas into his musical compositions.⁷¹ There are two different types of titles for Schumann's piano cycles: those made of generic terms, such as *Fantasiestücke*, Op. 12, or literary or descriptive terms, such as *Carnaval*, Op. 9, or *Waldszenen*, Op. 82.

In his *Tagebuch*, Schumann wrote "Diotima" on both 15 and 16 October and "The *Gesänge der Frühe* is completed" on 18 October.⁷² However, the idea of this composition seems to have occurred much earlier to Schumann sometime between 1849 and 1851, as the same titles are found in his *Projektenbuch* under the heading "Composition (im Plan)": "Gesänge der Frühe. An Diotima."⁷³ The same inscriptions appear in the original title page of the engraver's copy as follows: An Diotima [crossed out]/*Gesänge der Frühe*/für/Pianoforte.⁷⁴ This page was later

⁷⁰ Marston, "Schumann's *Gesänge der Frühe*, op. 133: a "False Dawn"?" A reduced version of this article also appears in Italian in the same journal.

⁷¹ A motto is found, for example, in the first piece of the *Davidsbündlertänze*, Op. 6.

⁷² "Die *Gesänge der Frühe* beendigt." See *Tagebücher*, 639.

⁷³ This finding was discovered by Michael Struck. See Daverio, "Madness or Prophecy?," 197.

⁷⁴ According to Daverio, this title page was probably drafted in late October 1853 and the inscription of "An Diotima" was crossed out in the wake of Bettina von Arnim's visit to the Schumann household on 28–9 October 1853. The title page is reproduced in facsimile in Bernhard R. Appel and

substituted with a new title page that has reference only to “Gesänge der Frühe”: “Gesänge der Frühe/Fünf [“Vier” is corrected to “Fünf”] Stücke/für das Pianoforte/der hohen Dichterin/Bettina/zugeeignet von Robert Schumann/Op. 126 [sic].”⁷⁵ In this manuscript, currently located in the Heinrich-Heine-Institut in Düsseldorf, both title pages were written by Robert Schumann himself, whereas the following score was copied with neat handwriting by Robert Fuchs from Düsseldorf.⁷⁶

Although the autograph of the *Gesänge der Frühe*, which is a working manuscript, has also survived, it is currently inaccessible, as it is in a private collection in southern Germany. The discrepancies among this autograph and the copyist’s manuscript and the first edition, however, are noted in detail in the comments of the 2009 Henle edition of the *Gesänge*, since the editor, Ernst Herttrich, was able to see some photocopies of the autograph.⁷⁷ The same information on the title page of the copyist’s manuscript also appears on the title page of the first edition of the *Gesänge* with its corrected opus number 133, which is currently located in the Robert-Schumann-Haus in Zwickau.

Unlike characters or specific ideas that are expressed in titles of Schumann’s earlier piano cycles that help the audiences to understand the music, both the earlier inscription of “An

Ange Hermstrüwer, eds, *Robert Schumann und die Dichter: Ein Musiker als Leser* (Düsseldorf: Droste Verlag, 1991), 190.

⁷⁵ The facsimile of the title page can be found in the book edited by Paul Kast, *Schumanns rheinische Jahre*, in page 132. As noted in footnote no. 34, the original inscription of Op. 126 in this title page, instead of Op. 133, exhibits Schumann’s earlier suggestion to his publisher of publishing the *Gesänge der Frühe* as Op. 126, instead of *Sieben Clavierstücke in Fughettenform*, which was later published as Op. 126.

⁷⁶ This manuscript was purchased by the Heinrich-Heine-Institut in 1970 at an auction by Sotheby’s London (catalogue No. 518, May 11/12, 1970). The digital images of this manuscript were kindly made available to me for this study by the Heine-Institut.

⁷⁷ Robert Schumann, *Sämtliche Klavierwerke*, Band VI, 21–4.

Diotima” and the final title of *Gesänge der Frühe* in Op. 133 have provoked much speculation about their meaning. Despite Schumann’s final decision to cross out “An Diotima” in the title, the reference to her has loomed large over the cycle, as scholars have suggested various reasons for Schumann’s use of this name and its poetic implications.

In literature, Diotima is not an unfamiliar name. Diotima is featured in Plato’s *Symposium*, representing the concept of Platonic love.⁷⁸ Her name also plays important roles in the works of Friedrich Hölderlin (1770–1843), since Diotima appears both as titles of his poems and one of the principal characters in his novel *Hyperion*.⁷⁹ Various references to “Diotima” in literature and the abstract notion of the “Frühe” in the *Gesänge der Frühe* have prompted several interpretations of their poetic meaning.

According to Gerhard Dietel, for example, the character of Diotima in *Hyperion* as a symbol of peaceful reform reflects the political stance shared by Schumann and Bettina von Arnim, the dedicatee of the cycle.⁸⁰ Hans Köhler suggests that Diotima, who was a symbol of the ideal of redeeming love and nature in Hölderlin’s works, refers to Clara, whereas the title *Gesänge der Frühe* implies “some belief, belief in a new beginning.”⁸¹ For Laura Tunbridge, the mystery of the shadowy figure of Diotima serves as “a symbol for our own quest to understand

⁷⁸ Daverio points out that in his letter to Joachim on 6 February 1854, Schumann wrote to Joachim that he had come upon “splendid spots” in Plato. Consequently, Daverio conjectures that “if some of these spots were drawn from the *Symposium*, then possibly the “Diotima” of Schumann’s title refers to the celebrated figure from Plato’s dialogue” (Ibid., 198).

⁷⁹ The examples of poems include “An Diotima” [“Komm und siehe”], “Diotima” [“Du schweigst”], and “Diotima” [“Komm und besänftige”]. For an account of subsequent biographical parallels between Hölderlin and Schumann and Schumann’s knowledge of his poetry, see Tunbridge, 137–8.

⁸⁰ Daverio also summarizes interpretations of the titles of Op. 133 by Irmgard Knechtges and Michael Struck. See Daverio, “Madness or Prophecy?,” 198.

⁸¹ Hans Köhler, “Concluding Remarks” to Robert Schumann, *Gesänge der Frühe* Opus 133 (Leipzig and Dresden: Edition Peters, 1984), 18–9.

the refrains of late Schumann.”⁸² Since the reference to Diotima remains “a vital element of the work’s poetic substrate” for Daverio, he situates the notion of “renewal,” the poetic implication that he finds from “Morning” in the *Gesänge der Frühe*, in Hölderlin’s novel *Hyperion*, where the theme of “reawakening” resonates.⁸³

There has also been an attempt to find a poetic meaning of the *Gesänge der Frühe* in one of Schumann’s Lieder. Markus Waldura suggests that the title *Gesänge der Frühe* originated in Schumann’s ‘Zwielicht,’ the tenth piece from the Eichendorff *Liederkries*, Op. 39, as he finds that a melodic contour in this Lied is used in the first movement of the cycle.⁸⁴ His suggestion, however, seems to be implausible to me, as only the first two bars of the vocal melody of ‘Zwielicht’ can be traced in various inner voices of bars 5–7 of *Gesänge der Frühe*.

Whereas the word “Frühe” in the title might imply a more subjective notion, the word “Gesänge” usually refers to a genre of music. According to Heinrich Koch’s *Musikalisches Lexikon* of 1802, “Gesang” is defined as “the expression of an inner emotion through musical tones....”⁸⁵ Then he adds, “the word song [*Gesang*] primarily refers to the human [singing]

⁸² Tunbridge, *Schumann’s Late Style*, 202–3.

⁸³ Daverio also gives an account of various motifs that are featured in Hölderlin’s works related to Diotima. See “Madness or Prophecy?,” 199–201.

⁸⁴ Markus Waldura, “Zitate vokaler Frühgesänge in Schumanns *Gesänge der Frühe*, op. 133: Überlegungen zur Deutung eines irritierenden Titels,” 41.

⁸⁵ Important points of the definition of “Gesang” were taken from the following two sentences: “Der Ausdruck einer inneren Erregung durch musikalische, hinsichts ihrer Tongrösse und Zeitdauer bestimmt gemessene und geordnete, vermittelt einer besonderen, Singstimme genannten Modification des Stimmorganes hervorgebrachte Töne. In erster Reihe bezieht sich das Wort Gesang auf die menschliche Stimme, ist aber von da aus auf die Instrumentalmusik mit übertragen und bedeutet, mit Melodie im allgemeinen gleichgeltend, die geordnete Tonfolge überhaupt, wie wir in der Redensart, eine (Vocal- oder Instrumental-) Stimme sei gesangreich geführt, Gesang als mit Melodie völlig identisch gebrauchen.” See Heinrich Christoph Koch, *Musikalisches Lexikon*. Zweite durchaus umgearbeitete und vermehrte Auflage von Arrey von Dommer (Heidelberg: Academische Verlagsbuchhandlung von J. C. B. Mohr, 1865), 376.

voice, but is extended from to instrumental music to mean melody in general....” Since Koch’s *Lexikon* was published in the early part of the nineteenth century and towards the end of his career, the definitions in this book are admittedly more reflective of those of the eighteenth century than the nineteenth. Nevertheless, the concept expressed in this book can be applied to the presence of “melody” in the “Gesang,” rather than the medium itself.

Schumann was hardly the first composer who used vocal terminology for keyboard pieces. In Johann Sebastian Bach’s sixth keyboard partita in E minor, BWV 830, where dance-like pieces are prevalent, a lyrical *Air* movement is found.⁸⁶ In his late piano sonatas, Ludwig van Beethoven demonstrated his preoccupation with vocal notion through several markings, especially the term “Gesang.” “Klagender Gesang” is indicated for an A^b minor theme in the *Adagio* movement of Beethoven’s piano sonata Op. 110, and “Gesangvoll” in the finale of Op. 109. In addition to these, other vocal indications are found in Beethoven’s late sonatas, such as “Recitativo” and “cantabile” in the *Adagio* movement of Op. 110, and “Arietta” in the finale of Op. 111. Among Schumann’s contemporary composers, Felix Mendelssohn wrote eight sets of *Lieder ohne Worte* throughout his life, of which the first set (London, 1832) was originally published as “Original Melodies for the Piano Forte.” All of the aforementioned pieces by Bach, Beethoven, and Mendelssohn feature lyrical, songful melodies that are included in Koch’s definition of “Gesang.”

The musical language of the *Gesänge der Frühe*, however, represents a compositional style different from the melodious pieces of his predecessors as well as the romantic lyricism

⁸⁶ According to the Oxford Companion to Music, the term “Air” meant “a song or melody” in England from the 16th to the 19th century, whereas it was used to refer “a solo song with lute accompaniment” in France from the 16th century. The models for the Bach suites, however, are French suites, especially those based on instrumental music from the Lully operas, which did include pieces entitled “Aire” or “Air.” See “air,” in *The Oxford Companion to Music*, edited by Alison Latham, *Oxford Music Online*, <http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e129> (accessed May 10, 2011).

demonstrated in Schumann's own earlier songs and piano cycles. As Tunbridge points out in her book,

...the placing of these pieces as songs (*Gesänge*), which seems an odd choice given that they are not for voice or, with the exception of the chorale-like texture of the first and the opening of the last piece, particularly lyrical; the part-writing is unsuitable for a chorus, depending more on the resonances of the piano.⁸⁷

Schumann's letter to the publisher Arnold in February 1854 includes a crucial comment on the *Gesänge der Frühe*: "These are musical pieces [Op. 133] that depict feelings (*Empfindungen*) of the approach and growing of the morning, but more through expression of feeling than painting."⁸⁸ This statement suggests that what was expressed in the *Gesänge der Frühe* were his own feelings of the growing of the morning, rather than illustrations of a specific scene. Interestingly, Schumann's focus on expressing his own feelings is demonstrated in Koch's definition of "Gesang" as "the expression of an inner emotion through musical tones," as noted above.

Various interpretations of the titles of the *Gesänge* that were noted above reflect the unusual qualities of the cycle itself, which will be discussed in the following chapters. Considering the originality and musical complexity of the work, which Clara Schumann recognized at the outset, the necessity of a thorough examination of the individual pieces of the set seems to be imperative. This dissertation, therefore, aims to provide a comprehensive analytical study of the cycle that is still wanting. In the following five chapters, therefore, each movement of the five *Gesänge der Frühe* will be analyzed in turn.

⁸⁷ Tunbridge, *Schumann's Late Style*, 203.

⁸⁸ "Es sind Musikstücke, die die Empfindungen beim Herannahen und Wachsen des Morgens schildern, aber mehr aus Gefühlsausdruck als Malerei." Note that this comment is also related to Beethoven's comment on his "Pastoral" Symphony, Op. 68, "Mehr Ausdruck der Empfindung als Malerei." See letter no. 49 "Robert Schumann an den Verlag Arnold in Elberfeld; Düsseldorf, Freitag, 24. Februar 1854" in *Schumann Briefedition*, 125–6.

CHAPTER ONE

THE FIRST *GESANG*

Introduction

Discussions about the *Gesänge der Frühe* have often been either brief or absent in Schumann biographies or books that survey his music. Whereas various scholars have expressed different verdicts on this cycle in that handful of discussions, the first *Gesang* has gotten the most attention. Charles Rosen suggests that the first movement of the *Gesänge* is one of “a few rare undeniable masterly successes” of Schumann’s later works.⁸⁹ Eric Jensen, who denies the significance of the *Gesänge*, admits that “the first piece is in many ways the most effective....”⁹⁰ The first movement has also gotten particular attention in both Laura Tunbridge’s book on Schumann’s late works and Scott Burnham’s essay titled “Late Styles.”⁹¹ In his discussion of the form of the first *Gesang*, John Daverio claims that “there is nothing quite like it [the form of the first *Gesang*] in all of Schumann’s piano music.”⁹²

The first *Gesang* sets the tone for the entire cycle. This surprisingly concise opening movement conjures up an image for some, such as “the break of dawn” for Burnham.⁹³ If

⁸⁹ Charles Rosen, *The Romantic Generation* (Cambridge, Massachusetts: Harvard University Press, 1995), 689.

⁹⁰ Jensen states that “it is surprising that the *Gesäng* did not suffer the same fate [that of being destroyed] as the *Romances* for cello.” See Eric Jensen, *Schumann* (New York and Oxford: Oxford University Press, 2001), 310.

⁹¹ Laura Tunbridge, *Schumann’s Late Style*, 196; Scott Burnham, “Late Styles,” In *Rethinking Schumann*, 425–6.

⁹² Daverio, “Madness or Prophecy?,” 194.

⁹³ Burnham notes that, for Heinz Holliger and András Schiff, this movement suggests “the dawn of the hereafter.” See Burnham, “Late Styles,” 425, 430.

specific imagery might be suggested to some listeners, this piece in “ruhigen Tempo” at least evokes a profound feeling of tranquility.

Textural Features

The first movement has two distinct textures, one of which is monophonic and the other which is chorale-like. The unusual combination of these textures seems to suggest soloist and choir, respectively, to demonstrate the notion of a “Gesang,” as indicated by the title of the piece. The monophonic texture in the beginning of the piece is presented by the single melodic line that is doubled at the octave (see Example 1.1a). The absence of harmonic support here emphasizes the melody itself. Such texture is rare not only in Schumann’s piano cycles, but also in any keyboard piece. This unusual way of beginning a piano cycle, however, was also used in one of Schumann’s earliest compositions, *Papillons*, Op. 2, composed between 1829 and 1831 (see Example 1.1b).

Examples 1.1a–b

a. Schumann, *Gesänge der Frühe*, Op. 133, No. 1, bars 1–2



Monophonic texture

b. Schumann, *Papillons*, Op. 2, Introduction, bars 1–6

Despite textural similarity, the implications of these examples are completely different. The opening passage of bars 1–6 in *Papillons* is composed with an elaborated D major arpeggio as an introduction to the set, presenting the tonic key of the cycle. Therefore this opening passage has limited melodic significance, functioning rather like a short prelude to the following D major theme in the next piece. In contrast, the first two bars in the *Gesänge der Frühe* are not only the beginning of the main theme of the movement itself, but also the first motive of the theme.

When the first motive ends, the texture of the piece abruptly expands to multiple voices, similar to a chorale texture. Such texture plays an important role in Beethoven’s piano sonatas, for example, the second movement of the *Appassionata*, the third movement of Op. 109, the first movement of Op. 110, and the second movement of Op. 111. Beethoven’s frequent uses of chorale texture in his late piano sonatas may be related to his preoccupation with vocal concepts in his late years that are demonstrated in several markings of those sonatas, such as “Gesangvoll” in Op. 109 and “Klagender Gesang” in Op. 110. Also, the third movement of Op.109 and the fifth movement of Schumann’s *Gesänge* share some notably similar features, which will be discussed in the fifth chapter on the final movement.

Example 1.2 Schumann, “Der Dichter spricht,” *Kinderszenen*, Op. 15, bars 1–8



Among Schumann’s piano works, chorale texture is found in “Der Dichter spricht,” the final movement of the *Kinderszenen*, Op. 15. The opening eight bars of this 1838 piece are

mainly written in a four-part texture. The syncopated rhythm of bars 7–8 is, however, quite unlike that of a chorale (see Example 1.2).

In the fourth piece of the *Nachtstücke*, Op. 23, which was written during 1839–40, a chorale texture is also incorporated into the opening eight bars.⁹⁴ The title that Schumann envisaged for this piece shows that he regarded it as a simple song (*Gesang*) with a refrain: *Rundgesang mit Solostimmen*. The simple yet lyrical melody comes back twice, and new sections connect those returns, creating a structure of A-B-A¹-C-A². In the opening eight bars of the *Nachtstücke*, the right hand parts are mostly made of three voices, while the bass is doubled in octaves (see Example 1.3). Consequently, the large range of each chord necessitates arpeggiation in the right hand. Note that the chorale-like theme begins on the upbeat to the second bar. Like a brief prelude, the dramatic tension from the first diminished seventh chord to the C⁷ chord in bar 1 anticipates the resolution to an F major chord, on which the chorale theme begins.

Example 1.3 Schumann, *Nachtstücke*, Op. 23, No. 4, bars 1–9

⁹⁴ In 1872, Frances R. Havergal wrote lyrics to this theme and its harmonization, making a Protestant hymn. This widely known hymn is featured in many hymnals. See, for example, *The United Methodist Hymnal* (Nashville, Tennessee: The United Methodist Publishing House), 463.

Compared to the two previous examples, the beginning of the first movement of the *Gesänge der Frühe* shows Schumann's new approach to integrating a chorale texture into a keyboard piece. There is an abrupt expansion of texture in the middle of the opening theme from a single voice in octaves (bars 1–2) to multiple voices by dense chordal motions that resemble the texture of a chorale (bars 3–9). These two distinct textures help distinguish the motive of the first two bars from the rest of the theme.

The unison of the melodic line in bars 1–2, which Daverio calls the “monody,” reflects a notion of “Gesang” that is indicated in the title of this cycle. More specifically, the two types of textures, monophony and chorale, seem to resemble the ancient practice of responsorial singing in the church, in which a tune that is begun by a soloist would soon be joined by a choir. The texture of this movement, therefore, suggests “archaicism,” which is further supported by the modal flavoring.⁹⁵

Form and Mediant Relationships

This movement is composed of repetitions of the first nine bars in various keys. The main theme consists of the unusual number of nine bars, instead of a more typical eight bars. The first nine bars begin in D major and concludes with F# major, the V of B minor. Similarly, when the opening nine-bar theme reappears in B minor in bar 10, it concludes with D major, the V of G major. The theme in G major in turn concludes with preparation for the return of the theme in the tonic D major in bar 27. From bar 33, the tonic key is further emphasized by a final presentation of the theme in imitation. This overall key scheme is summarized in Table 1.1.

⁹⁵ “Archaicism” is one of three aspects that Daverio finds from harmonic language of the *Gesänge* (Two other aspects are “dissociation,” and “attenuation”). His finding of “Archaicism” is based on modal flavor in this movement in bar 13 (See Daverio, “Madness or Prophecy?,” 190, 192).

Table 1.1 Structure of Op. 133, No. 1

Section	Bars	Key	Comments
A	1–9	D major	
A ¹	10–18	B minor	
A ²	19–26	G major	
A ³	27–39	D major	The imitative section of bars 33–39 is included

Four consecutive recurrences of the theme in Table 1.1 show the strophic nature of this piece, which is one of the characteristics of a chorale. Daverio states that this piece is “a series of free variations on a chorale-like phrase,” thus, “not developmental at all.”⁹⁶ Tunbridge also points out that this movement “does not really grow, beyond being heard from different harmonic angles.” For her, as the opening nine-bar phrase is reiterated, the theme not only “becomes more rather than less strange,” but also “deterritorialized.”⁹⁷ On the other hand, for Burnham, a descending motion of D major–B minor–G major in the first three parallel phrases suggests a “resigned, elegiac effect.”⁹⁸

The key scheme of D major–B minor–G major also highlights mediant relationships. Tunbridge notes that the diatonic key scheme of a chain of major and minor thirds is presented in Moritz Hauptmann’s book, *Die Natur der Harmonik und der Metrik*.⁹⁹ This book was published

⁹⁶ Daverio, “Songs of Dawn and Dusk: Coming to Terms with the Late Music,” in *the Cambridge Companion to Schumann*, ed. Beate Perry, 86–101 (Cambridge, UK, and New York: Cambridge University Press, 2007), 277.

⁹⁷ Tunbridge notes that “deterritorialized” is Deleuze and Guattari’s term. See Tunbridge, *Schumann’s Late Style*, 206.

⁹⁸ Burnham, “Late Styles,” 426.

⁹⁹ Tunbridge, *Schumann’s Late Style*, 206.

in 1853, the same year that the *Gesänge der Frühe* was composed, in Leipzig.¹⁰⁰ According to Tunbridge, Schumann's piece enacts Hauptmann's idea of dynamic relationships among pitches in the major triad, which is the root embodying unity, the third resolution, and the fifth opposition.¹⁰¹ However, her reading of the chain of thirds goes beyond the first three key areas of D major–B minor–G major. She argues that this chain of thirds does not end with the return of the tonic in bar 27 (which is referred to as A³ section in Table 1.1), but is extended to the G major and E minor chords in bar 29, which is the “the real high point of the piece” (see Example 1.4).¹⁰²

Example 1.4 Schumann, *Gesänge der Frühe*, Op. 133, No. 1, bars 24–31

The mediant relationships are indeed crucial in this piece. I would argue, however, that the mediant relationships that are presented by the harmonies of D major (in bar 1), B minor (bar 10), and G major (bar 19) in the beginnings of repeated theme motions, and the two single chords of G major and E minor in bar 29 are not easily heard as one continuous chain of thirds

¹⁰⁰ Moritz Hauptmann, *Die Natur der Harmonik und der Metrik* (Leipzig: Breitkopf und Härtel, 1853).

¹⁰¹ Tunbridge, *Schumann's Late Style*, 206.

¹⁰² *Ibid.*

(see Table 1.1). Besides these thematic differences of presenting the harmonies, the six-four chord of the tonic D major with the return of the theme in bar 27 would hinder hearing a connection between the G major in bar 19, where A² section begins, and the G major chord in bar 29.

Tunbridge further suggests how the E minor chord in bar 29, which according to her represents the last mediant harmonic motion, proceeds:

The arrival on E minor is resolved melodically by means of Hauptmann's conciliatory third, the upper-line G slipping down to the tonic's F sharp-E-D over the V pedal, as the music restarts its sequential treatment of the turn figure, as if picking up from just before the outburst of bar 26.¹⁰³

I question this attempt to find a kind of resolution of harmonic motion in a melodic line.

Furthermore, a clear harmonic resolution to the tonic in the first chord of bar 31 is undermined by the prolonged c^{#1} in the inner voice.

Nevertheless, the mediant relationship is significant, as this compositional method is one of the connecting agents for the entire *Gesänge*: it is found not only in other movements, but also in the overall key scheme of the set. As noted in the introduction, the key scheme of the entire cycle can be summarized as follows: D major (nos. 1, 2, and 5)–F# minor/F# major (no. 4)–A major (no. 3). This key scheme forms a D major triad, which is an inverted motion of a G major triad that forms the overall key scheme of the first movement: D major–B minor–G major. Similar key progressions of D major–B major–G major also appear in the final movement.

¹⁰³ Tunbridge, *Schumann's Late Style*, 206.

Coherence in the Theme

The main theme of the piece is presented in the first 9 bars, instead of 8 bars, as would be more typical: 4 bars + 5 bars (4 bars + 1 bar). In the ninth bar, there is harmonic preparation for modulating to a new key; a type of half cadence in B minor appears on the third beat of bar 9.

Example 1.5 Op. 133, No. 1, right hand part of bars 1–8

The first motive (d¹ to f^{#1})

Two features lend particular coherence to the theme in the opening 9 bars. First of all, a type of hidden parallelism is exhibited in the first eight bars. Despite differences in rhythmic and harmonic motions, the first and second four bars do parallel each other in certain ways that are reminiscent of an antecedent-consequent period. The melodic line of the first two bars is repeated in the beginning of the second phrase of bars 5–6. Furthermore, the melodic notes on the downbeats of bars 1–4 are repeated in bars 5–8: a¹ in bars 1 and 5, e¹ in bars 2 and 6, d¹ in bars 3 and 7, and c^{#1} in bars 4 and 8 (see Example 1.5).

Secondly, the entire melodic theme of bars 1–9 is composed of three intervals that appear in the first motive of bars 1–2. These intervals are fifth, third, and second, and they are found between the following notes: fifths of d¹-a¹ in bar 1 and b¹-e¹ in bars 1–2; third of e¹-g¹ in bar 2; and seconds of a¹-b¹ in bar 1 and g¹-f^{#1} in bar 2 (see Example 1.5). The first motive of bars 1–2 reappears in bars 5–6, as noted above, whereas the melodic line of bars 3–4 does not recur in bars 7–9. However, similar to what is seen in bars 3–4, the melodic contour of bars 7–9 consist

of only seconds or thirds, except for an octave leap. The constitution of the melodic theme with only the three intervallic features of bars 1–2 suggest that the first motive is the kernel of the theme.¹⁰⁴ Furthermore, such feature shows economical use of musical material as well as “brevity and concision,” which are also characteristics of Schumann’s late sonata-form movements.¹⁰⁵

In the first motive, two intervallic fifth motions create a significant symmetry. The opening ascending fifth d^1-a^1 is immediately answered with its inverted motion of the descending fifth b^1-e^1 , which continues to move to g^1 , and then $f^{\#1}$ in bars 1–2, as shown in Example 1.5. What responds to d^1-a^1 , however, is not just b^1-e^1 , which is an intervallically exact response to d^1-a^1 , but $b^1-e^1-g^1-f^{\#1}$, taking away from the symmetry. Whereas the a^1 in bar 1, the first dominant note of the piece, is stressed by a long rhythmic unit of a dotted half-note, rhythmic diminutions are added to its counterpart, the e^1 in bar 2, by moving in thirds to the g^1 and then by a second to the $f^{\#1}$. The rhythmic balance between d^1-a^1 and $b^1-e^1-g^1-f^{\#1}$ is reinforced by a slur marking that groups the latter. The rhythmic consequences of this slur marking will be discussed in the following section.

Intervallic recurrences are found not only horizontally in the soprano voice, but also vertically between the upper and inner voices.¹⁰⁶ In the second half of the theme, surface parallel harmonic seconds yield an interesting sequence. For example, on the upbeat to bar 7 and the following downbeat, a motion from e^1 to d^1 in the melody simultaneously occur with a motion of

¹⁰⁴ On the other hand, Daverio claims that the entire first movement evolves from “its initial four-bar gesture.” See Daverio, “Songs of Dawn and Dusk,” 277.

¹⁰⁵ *Ibid.*, 276.

¹⁰⁶ Note that the prominence of the use of the interval of the fifth is also seen in continuous fifth progressions in the bass of bars 6–9.

d^1 to $c^{\#1}$ in the inner voice. Likewise, in the upbeat to bar 8 and the following downbeat, a motion from d^1 to $c^{\#1}$ in the melody simultaneously occur with a motion of $c^{\#1}$ to b in the inner voice (see Example 1.6).

Example 1.6 Op. 133, No. 1, bars 7–8, right-hand part



These parallel harmonic seconds coincide with harmonic changes in the bass, creating continuous dissonances that give rise to harmonic ambiguity and mysteriousness. These seconds derive from striking displacements of the melody and the bass.

Metrical Dissonance

As Harald Krebs noted in his book *Fantasy Pieces*, various works by Schumann exhibit rhythmic and metric phenomena that are in conflict with the notated meter, and thus are dissonant with it.¹⁰⁷ A sense of metrical ambiguity is a significant feature in this first *Gesang*, even from the first bar of the piece. The a^1 in bar 1 exhibits a strong sense of the downbeat of the piece with the dotted half note, which is the longest rhythmic note of the entire main theme, and an accent marking. The next downbeat is supposed to occur on the first beat of bar 2. However, a strong beat emerges on the fourth beat of bar 1, as the b^1 functions in the manner of a downbeat of a slurred group of notes, $b^1-e^1-g^1-f^{\#1}$ in bar 2 (See Example 1.7). The intensity of this metric

¹⁰⁷ Harald Krebs suggests, “The metrical state arising when interpretive layers do not sound together can, applying the same metaphor, be termed “metrical dissonance.” See Krebs, *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann* (New York and Oxford: Oxford University Press, 1999), 29. For an account of the usage of similar terms, such as “rhythmic dissonance,” see Peter Kaminsky, “Aspects of Harmony, Rhythm and Form in Schumann’s *Papillons*, *Carnaval* and *Davidsbündlertänze*,” Ph. D. diss. (University of Rochester, 1989), 31–2.

conflict, admittedly, is weakened, since there is no other voice line that informs the notated downbeat, but the melody. This metric ambiguity is present nonetheless, and it is set in relief by the metrical clarity of bars 3–4.

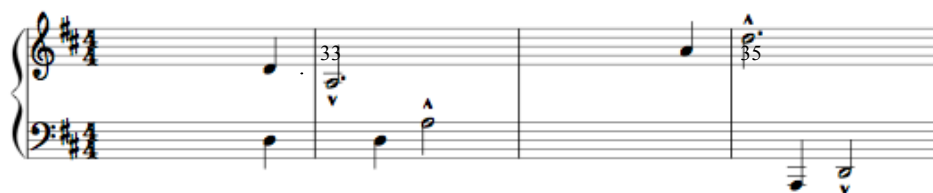
In bars 5–6, the opening melodic motive of bars 1–2 is repeated with accompanying voices. If the single musical line somewhat lessened the impact of metric conflict, the multiple musical lines in bars 5–6 bring to light the metric conflicts that occur in these bars. The melodic b^1 on the third beat of bar 5, which functions in the manner of a “downbeat” of a slurred group, is given additional stress by its half-note length and highlighted by a thick dissonant chord (see Example 1.7). Furthermore, in eighteenth and nineteenth century performance practice, the first note under a slur was normally stressed. The bass, rising a fourth to an octave A, puts emphasis on the notated downbeat of bar 6, engendering metric ambiguity between melody and bass. Whereas such conflict immediately disappears in bars 3–4, it continues through bars 7–9. For example, the slurred four-note melodic group of $e^1-d^1-f^{\#1}-e^1$ from the fourth beat of bar 6 to bar 7 gives rise to a sense of a strong beat to the e^1 on the fourth beat of bar 6. However, the bass motion from D to G puts an emphasis on G on the first beat of bar 7.

Example 1.7 Op. 133, No. 1, bars 1–7

Since the first nine bars are repeated in different keys, similar shifts between metrical consonance and dissonance also recur. The final passage of the piece includes the presentation of the first motive in an imitative style. Example 1.8 shows the consecutive recurrences of the first two notes, D to A (or A to D in reversed form).

On the upbeat to bar 33, the ascending fifth motion, d to a, and its inverted motion, the descending fourth of d¹ to a, appear simultaneously, emphasizing the a on the downbeat. However, the ascending fifth motion of d to a is repeated immediately, and the accent marking on the a stresses the third beat. In bar 35, the same metric dissonance occurs by its reversed motions of the ascending fourth. Whereas the downbeat is emphasized by a¹ to d² in the soprano part, the third beat is also highlighted by A₁ to D in the bass part.

Example 1.8 Op. 133, No. 1, four consecutive fifth motions of D to A (or A to D) in bars 32–35



Harmonic Features

A melodic line that is doubled in octaves constitutes the first two bars of this movement. Despite the absence of harmonic supports, the tonic D major is implied in both the beginning and ending of the opening motive in bars 1–2: the initial melodic motion of the d¹ to a¹, and the f^{#1} on the third beat of bar 2. When the opening motive reappears in the soprano of bars 5–6, the D major triad on the downbeat of bar 5 appears to fill out the implied tonic of the downbeat of bar 1, as shown in Example 1.9.

However, the effect of the first tonic chord of the piece in bar 5 seems to be weak. On the one hand, the doublings of both the third and fifth notes of the D major triad in octaves, $F^\#$ in the left hand part and a^1 in the right hand part, weakens the significance of the tonic note, d^1 , which is hidden in an inner voice. On the other hand, whereas the downbeat a^1 in bar 1 is preceded by the tonic note (d^1), the downbeat a^1 in bar 5 is preceded by the d^1 that is harmonized with an unexpected B-minor chord. This B-minor chord is significant, since it foreshadows the new key in which the opening melody reappears from bar 10, which was referred as A^1 section in Table 1.1 (see Example 1.10).

Example 1.9 Op. 133, No. 1, bars 1–2 and 5–6

D: Implied I Implied I V⁷ vi I⁶ V⁷ -- I

Prior to modulation to B minor, a number of significant yet complicated harmonic motions occur in bars 6–9. In bar 6, a more surprising gesture is found in the ending of the first motive. Example 1.9 compares the last note of the first motive ($f^{\#1}$) on the third beat of bar 3, which implies the tonic, and the analogous $f^{\#1}$ on the third beat of bar 6, which is supported by the dominant, thus becoming dissonant.¹⁰⁸ On the fourth beat of bar 6, the expected tonic chord comes one beat later with a new dissonant melodic note e^1 . Curiously, the analogous e^1 on the fourth beat of bar 2 was harmonized with the dominant chord. To put it in a nutshell, the original

¹⁰⁸ Note that later in the piece where the opening theme returns in the tonic, the same melodic $f^{\#1}$ on the third beat of bar 28 is eventually harmonized with the tonic.

harmonization of the melody notes $f^{\#1}$ and e^1 on the third and fourth beat of bar 2, which is supported by an implied tonic and the dominant seventh chord, respectively, is reversed when the same melodies are repeated in bar 6, where $f^{\#1}$ is harmonized with the dominant seventh and the e^1 with the tonic.

Example 1.10 shows the melodic sequential motions that occur in bars 5–8: there are three different slurred melodic groups, and the last three notes of each slurred group move in the same intervals. Such sequential motions of melody are accompanied by other repeated motions in the bass of a descending circle of fifths, A-D-G-C $^{\#}$ -F $^{\#}$. Except for a clear F $^{\#}$ -major triad that appears at the end of the theme, however, the A-major, D-major, G-major, and C $^{\#}$ -diminished triads are obscured by dissonances in the upper voice.

Example 1.10 Op. 133, No. 1, bars 5–10

5 6 7 8 9 10

D: V⁷ I IV⁷ vii[°] III VI^{6/4} III

b: V implied i

For example, the bass A on the first beat of bar 6, which suggests the dominant seventh chord, appears with a tied-over non-harmonic note in the inner voice, d^1 (see Example 1.10). As this d^1 is resolved to $c^{\#}$ on the second beat, the melodic note g^1 on the second beat moves to a dissonant $f^{\#1}$. When the following melodic note e^1 on the fourth beat is expected to be V⁷ chord, however, the harmony simultaneously changes to the tonic chord. Thus, the slurred melodic group and bass progressions are out of phase with each other. Likewise, a plain tonic triad does

not appear on the following beat. As the melodic note d^1 on the first beat of bar 7 appears to clear out the dissonance of the previous tonic chord, the new bass G suggests the subdominant seventh chord. The following chords also have dissonant notes superimposed on them. When the two non-harmonic notes a and $c^{\#1}$ in the inner voice on the first beat of bar 7 move to b on the second beat, the melody moves to $f^{\#1}$ then e^1 , heading to d^1 on the fourth beat and a new melodic motion. This melodic note d^1 is not completing the anticipated subdominant seventh chord, but is supported by a new harmony of the leading tone, making the d^1 a non-harmonic tone.

Here, Schumann seems to be playing with the discrepancy between anticipation of certain harmonic motion and his own harmonic imagination. The series of unresolved dissonances from the continuous dovetailing motions of the voices yield unusual sonorities. According to Daverio, this phenomenon is “a means of suggesting space, specifically, the immense space of a sonorous hall or cathedral whose reverberations might indeed alter the vertical dimension of the music for the listener far removed from the actual sounding source.”¹⁰⁹ This idea of “space” carries more poetic nuance for Scott Burnham, as he suggests that “this sense of untimely clashing creates an elegiac space that retrieves the past as a series of echoes, not always in phase with the present.”¹¹⁰ The intricate mixture of harmonic and metrical ambiguities creates a sense of unresolved tension and continuity. The unique progressions that make up this passage seem to be “signifiers of incipient modernity,” as Daverio remarks.¹¹¹

After those harmonic displacements, a plain chord finally appears in bar 8. There is an extended pedal point on $F^{\#}$ for seven beats from the first beat of bar 8 to the third beat of bar 9,

¹⁰⁹ Daverio, “Madness or Prophecy?,” 191.

¹¹⁰ Burnham, “Late Styles,” 426.

¹¹¹ Daverio, “Songs of Dawn and Dusk,” 276.

as the melody comes to a conclusion on the third beat of bar 9 (see Example 1.10). With this extended bass F#, two consonant chords of the submediant on the third beat of bars 8 and the mediant on the third beat of bar 9 appear (see arrows in Example 1.10). These two chords are also the tonic and the dominant of B minor, the new key that the opening melody returns.

Due to the strophic nature of this piece, which was shown in Table 1.1 above, similar harmonic motions in the first nine bars are repeated in the two following nine-bar passages that begin in B minor (A¹ section) and G major (A² section). The harmonies that occur on the fourth bars of these passages at the point of the half cadences coincide with the keys of upcoming movements of the *Gesänge*. The opening D major theme arrives at A major in bar 4, which is the key of the third movement. (Note that the second movement is also written in D major, same as this movement.) In the second statement of the theme that begins in B minor, however, an F# minor chord appears in bar 13, instead of F# major, the expected major dominant. Interestingly enough, F# minor is the key in which the fourth movement begins, although it ends in F# major. Daverio points out that this substitution exemplifies an “archaic” element of the *Gesänge*, as the F# minor harmony exhibits “the unmistakable modal flavor.”¹¹² In the third statement of the theme that begins G major, a D major chord appears in bar 22. The final fifth movement is written in D major. Therefore, the overall key scheme of the entire cycle may be regarded as being embedded in this first movement.

In the final imitative phrase of the piece, the clashes between linear melodic motion and harmonic motion discussed earlier are also apparent. As shown in Example 1.8, the first motive of bars 1–2 is consecutively represented four times between bars 32 and 35, creating a stretto. Example 1.11 shows where these melodic lines appear: the first melodic motive (d-a-b-e-g-f#)

¹¹² Daverio, “Madness or Prophecy?,” 190.

begins on the fourth beat of tenor part in bar 32, and then moves to the alto part in bars 33 and 34, whereas the same melodic line of d-a-b-e-g-f[#] is repeated immediately in the tenor part of bars 33 through 35. Then a type of its tonal answer, so to speak, a¹-d²-e²-b¹-a¹-g¹, follows twice: the first one from the soprano part of the fourth bar of bar 34 through bar 36, and then the second one (A₁-D-E-B₁-A₁-G₁) from the bass of the second beat of bar 35 through bar 37. Such concentrated linear motions give rise to some inevitable clashes between the harmonies.

Example 1.11 Op. 133, No. 1, bars 32–39

On the fourth beat of bar 35, for example, a D major triad clashes with the dissonant melodic note e². This mixed sonority is accompanied by the only pedal marking of the entire cycle. The same pedal marking is also indicated in the copyist's manuscript. However, there is no indication how long this pedal should be sustained. If the pedal is continued until the first beat of bar 36 to preserve the bass D in octave, the different harmonies of the fourth beat of 35 and the first beat of bar 36 would create blurred sounds. According to Paul Badura-Skoda, Schumann sometimes deliberately did “let the sounds mix and blur” by using the pedal.¹¹³ On the other

¹¹³ Badura-Skoda experimented with creating this blurred sound by playing “Des Abends” from the *Fantasiestücke*, Op. 12, and remarked that “I enjoyed this blurring of the harmonies, which re-creates, I would say, an optical illusion.” Even though he did not specify the instrument that he used for this experiment, he was probably using not the modern Steinway, but one from his “priceless collection of instruments, dating from harpsichords of Bach’s time until that of Brahms and Debussy.” He concludes

hand, this pedal marking makes it possible for a pianist to hold the bass D when the tenor part moves to a and then b. This pedal also causes the bass D resonate, enhancing the sense of arrival on the tonic at the end of the piece. This bass D is significant, as the bass motion of A₁ to D in bar 35 is not only a response to the ascending fifth motion of d to a in bar 33, but also to the same motion that occurred in the beginning of the piece. Furthermore, Schumann's piano was not yet the modern instrument with steel frame and cross-stringing, which meant a faster decay of sound and hence more transparency in sound, even with the pedal on.

Some chords in the final passage of the movement that is shown in Example 1.11 exhibit expansiveness in terms of pitch. For example, the left hand part of the second beat of bar 35 demands that the pianist reach with one hand the interval of a 12th, A₁ to E. The intervals of the left hand part in bars 36–37 also become wider, reaching a 13th (A₁-F[#]) on the fourth beat in bar 36. These wide intervals make it impossible for some notes to sound for their full value without holding them with the pedal or for certain simultaneities to be played exactly together. Some intervals, such as the downbeat of bar 37, cannot be played simultaneously under any circumstances. These deliberate uses of large intervals toward the end of the piece help produce a fuller sonority and a sense of grandeur. Such wide intervals also reflect the texture of organ music.

One of the notes most dissonant with the tonic appears in the final passage of the piece. On the second beat of bar 36, a d[#] appears in the tenor part. The consequent B major seventh chord not only clashes with the bass E, but also shows a digression from the emphasis on the

that the key to create this blurring sound through the pedal does not depend on the instrument you use (i.e. an old instrument or a new one), but the knowledge of “how much and how little to use [pedal].” The blurred sound by using the pedal that Schumann intended, however, must have retained clearer individual voices than the modern Steinway might produce. According to Edmund Battersby, “clarity” of the sounds (i.e. “separation of tones”) is evident in early pianos, thus “you can hear everything, like all four parts of a string quartet.) See John C. Tibbetts, *Schumann: A Chorus of Voices*, 152–3.

tonic D made in the middle of bar 35. The natural d^1 , however, follows two beats later, on the fourth beat of bar 36 in the alto part, as part of the tonic D major in second inversion, and the D natural is soon confirmed by the final tonic arrival in bar 39.

The Climax

Table 1.1 shows that the opening period is repeated four times. These thematic repetitions are accompanied by textural and registral expansions that gradually increase until the thematic return to the tonic D major in bar 27. Example 1.12 shows these expansions that occur in the ascending fifth motion of the first two notes of each phrase.

Example 1.12 Schumann, *Gesänge der Frühe*, Op. 133, No. 1, bars 1, 10, 19, and 27

The image shows a musical score for four phrases of a theme. The score is in 4/4 time and D major. The first phrase (bar 1) starts with a D in the bass and a D in the treble. The second phrase (bar 10) starts with a B in the bass and a B in the treble. The third phrase (bar 19) starts with a G in the bass and a G in the treble. The fourth phrase (bar 27) starts with a D in the bass and a D in the treble. The bass line shows an ascending fifth motion from D to B, B to G, and G to D. The treble line shows an ascending fifth motion from D to A, A to E, and E to B. The texture and register expand from bar 1 to bar 27.

When the first motive reappears in B minor in bar 10, the same texture of the initial motive is preserved. In its following reappearance in G major in bar 19, octave doubling occurs in the bass. In bar 27, the ascending fifth motions are presented with multiple voices. In terms of register, the melodic line in the soprano part gradually goes higher, whereas the bass part goes lower, giving rise to a registral expansion.

As though to enhance the dramatic build-up toward the climax in bar 27, some momentary setbacks also occur. In bar 19, the theme begins in G major, a minor sixth higher than the previous B minor of bar 10. The clearer sonority of the higher register and the bright

character of G major enhance the feeling of musical expansion.¹¹⁴ In this regard, perhaps the B minor section of bars 10–18 serves to create a momentary sense of decline, a kind of detour to prepare the subsequent dramatic build up.

A similar momentary pulling back is also found in the following G major section. The beginning of the G major presentation of the theme is highlighted by a *crescendo* marking in bars 19–20, which is the first dynamic indication since *pianissimo* at the beginning of the piece (see Example 1.13).

Example 1.13 Op. 133, No. 1, bars 19–25

Since a slur marking would normally involve a *decrescendo* in Schumann’s era, the *crescendo* marking in bars 19–20 indicates Schumann’s deliberate emphasis on this theme in G major. This emphasis, however, is immediately cancelled by a *diminuendo* marking in bar 21. The consequent decrease of the sound as well as a dominant pedal on the bass A in octaves in bars 23–25 prepare for the following climactic return of the theme in D major.

The G major plays an important role again in the climatic return of the theme. On the upbeat to bar 27, the harmony that supports the first upbeat of the theme d^2 is a G major chord

¹¹⁴ There was more significant distinction of timbre and character between different registers in pianos of Schumann’s time, compared to modern piano. In her article, Deborah Wythe suggests that the pianos by Conrad Graf were used and valued by Clara and Robert Schumann. See Wythe, “The pianos of Conrad Graf,” *Early Music* 12, no. 4 (1984), 447.

(the IV) with an added dissonant 6th, e¹ (see Example 1.14). There are three Gs in this chord, including the bass in octaves and that the e¹ is buried in the middle of the texture, highlighting the subdominant note. Thus, the ascending melodic fifth d²-a² in bar 27 is harmonized with IV and a tonic six-four chord, respectively. This climactic moment is also supported by dense texture, a strong *forte*, and high register. The bass A on the downbeat of bar 27 extends the dominant pedal that begins at bar 23 (see Example 1.13). This prolonged dominant pedal diminishes the strophic nature of the piece by providing a seamless connection between the two periods in G major and D major. On the third beat of bar 28, there is a brief resolution to the tonic chord (Note that this is the first tonic harmony in root position of this piece).¹¹⁵ However, since it is placed in the middle of a bar, the sense of a tonic arrival seems to be tenuous.

After two chords of the subdominant and the supertonic in bar 29, the dominant pedal resumes in bar 30. Except for a few interruptions, it is prolonged further to the final presentation of the theme in imitative style, until it is resolved to the tonic in bar 38 (see Example 1.11). Thus, the dominant pedal is prolonged over fifteen bars, which is almost one third of the piece. If this extended dominant pedal can be considered as part of what William Rothstein calls the “inner form,” the dramatic thematic return that occurs in bar 27 corresponds to what he calls “outer form.”¹¹⁶ Whereas the inner form of the dominant pedal continues, the outer form of the thematic motion transitions to the new section. Therefore, the simultaneous existence of these two layers of forms helps to give coherence to the piece.

¹¹⁵ The only other root-positioned tonic of the piece occurs on the final note in bar 39.

¹¹⁶ In his discussion of form, William Rothstein terms “the thematic aspect of a piece, as well as its layout into phrases and periods” as “outer form,” whereas “the tonal dynamic of a work—its large-scale harmonic and linear layout” as “inner form.” See Rothstein, *Phrase Rhythm in Tonal Music* (New York and London: Schirmer Books, 1989), 104.

Example 1.14 Op. 133, No. 1, bars 24–31

The image shows a musical score for Example 1.14, Op. 133, No. 1, bars 24–31. The score is in D major and 4/4 time. It features a thematic return in D major starting in bar 27. The score includes a 'registral drop' in bar 30 and a 'V pedal' in bar 31. The bass line is marked 'L.H.' and 'L.H.'. The score is annotated with Roman numerals: D: V pedal, IV I^{6/4}, V⁵⁻⁷ I, IV ii, and V pedal. The thematic return is marked 'Thematic return in D' and 'registral drop'.

In her book on Schumann's late style, Laura Tunbridge suggests that the beginning of the return of the theme in bar 27 is a "disruption" that "sounds more like a memory lapse on Schumann's part."¹¹⁷ For her, the "real highpoint of the piece" comes in bar 29, where the two chords of IV and ii are stressed by two consecutive *forte* markings.¹¹⁸ She views these two chords as a continuation of the mediant relationships occurring at the beginning of each statement of the theme, which can be summarized as D major to B minor to G major to E minor.¹¹⁹

Daverio, on the other hand, finds that something significant happens as the sound of those two chords of bar 29 fades away. After the E minor harmony, which is unusually elongated to four beats, including the eighth-note repetition of the chord in bar 30, the piece takes a surprising turn: the register abruptly drops and the dynamic suddenly becomes quiet with a *piano* marking (see Example 1.14). In this registral drop that occurs in the middle of bar 30, Daverio detects

¹¹⁷ Tunbridge, *Schumann's Late Style*, 205.

¹¹⁸ *Ibid.*, 206.

¹¹⁹ Although the mediant relationship is significant in this piece, stretching it to E minor is unconvincing, since it is disrupted by the strong cadential six-four chord of D major on the downbeat of bar 27, which is accompanied by the most significant thematic return of this piece. See page 36 of this study.

“the poetry of pain.”¹²⁰ It is as though the bursting force of the climax is suddenly substituted with timid scalar motion that moves quietly.

These two scholars hear the climax of the piece very differently: one from the place where there is explosion of sound, and the other from where this outburst disappears. On the other hand, I find the climactic moment of the piece to be when the ascending fifth returns in the tonic with dense voices and full sonority in bar 27. Perhaps the richness of this piece is implied in these diverse hearings of its climax.

“Gesang” as a Hymn

The word “Gesänge” in the title of this cycle, *Gesänge der Frühe*, is often uniformly translated as “songs.”¹²¹ Whereas the melodious opening tune in this movement can be perceived as a characteristic of a song in a broad sense, there are features within this first *Gesang*, such as the chorale-like texture and strophic nature, that suggest the specific genre of a “hymn.”¹²² The presentation of the opening theme in G major, before its climactic return in D major, highlights the importance of the subdominant in the piece. Incidentally, the notion of “hymn” and other features in the piece, such as the prolonged dominant pedal and magnificent sonority that is created from an extremely dense chordal texture and widely distributed pitches, seems to reflect

¹²⁰ Daverio, “Madness or Prophecy?,” 189.

¹²¹ In his article, Daverio translates the title as “Morning Songs” or “Songs of Awakening” (“Madness or Prophecy?,” 190). The Schirmer edition of this cycle carries an English subtitle, *Songs of the Dawn*. See Schumann, *Songs of the Dawn* Op. 133, ed. Harold Bauer (New York: G. Schirmer), 1945. For Eric Jensen, “Songs of Dawn” is an “appropriate translation,” rather than “Morning Songs.” See Jensen, *Schumann*, 310.

¹²² The definition of *Gesang* in *Collins German Dictionary* includes song, hymn, and chant. See *Collins German Dictionary*, Sixth Edition (Glasgow, Great Britain: HarperCollins Publishers), 1407.

sound that goes beyond a piano, perhaps reminiscent of an organ.¹²³ Hymns and organ music are related to religious music, and other features of this piece also show such characteristics: earlier suggested notions of “archaicism,” which were found from use of the two types of textures—monophony and chorale—and use of imitative style in stretto.

In contrast to these extreme expansions of sonority, texture, and range close to the climax, this piece also shows notion of compactness and economical uses of musical materials: the whole piece consists of only thirty-nine bars and the only melodic source of the movement is the opening theme, which is composed of only three intervals. For Daverio, “polarities” in the first piece of the *Gesänge der Frühe*, such as archaic and modern, and detachment and expressivity, suggest that these features also inform “the late music as a whole.”¹²⁴ According to Joseph Straus, “compactness,” “complexity,” and “archaicism,” as exhibited in this piece, are common characteristics that are found in late works.¹²⁵ If a type of mystery arises from the

¹²³ Note that what I am suggesting here is not the physical instrument itself, but the concept of the sound that the instrument produces. In other words, I am not proposing that this piece is written for an organ, but the sonority, power, and various timbres that the organ can produce might have been imagined, as Schumann wrote this *Gesang*. In fact, the pianos of Conrad Graf were praised for “the sonorous and powerful tone,” according to Schilling, even though the sound of these Viennese pianos was relatively lighter than English and French pianos in general. And Schumann owned at least one Graf piano, which still survives. This piano was given in 1840 as a gift upon Clara’s marriage to Robert Schumann. It was later owned by Brahms, and then donated to the Gesellschaft der Musikfreunde in 1873. According to Deborah Wythe, who examined the piano, “it is one of the ‘short-pattern’ instrument with heavier strings and English steel gauges...it has obviously been much used.” See Wythe, “The pianos of Conrad Graf,” *Early Music* 12, no. 4 (1984), 457. This page also included the quotation of Schilling’s comment. See G. Schilling, ed., *Encyclopädie der gesammten musikalischen Wissenschaften, oder Universal-Lexikon der Tonkunst* (Stuttgart, 1836), iii, 282. Wythe also gives detailed description of the Graf piano that Schumann owned (p. 458-9).

¹²⁴ See Daverio, “Songs of Dawn and Dusk,” 277.

¹²⁵ These three characteristics are part of “Six metaphorical clusters of late-style characteristics” discussed in Joseph Straus’s article on disability and late style. In this table, Straus lists late-style characteristics of mostly composers and artists, and clusters those into six categories. See Straus, “Disability and “Late Style” in Music,” *The Journal of Musicology* 25, no.1 (2008), 8–12.

ancientness of chorale and modernity of metric and harmonic audacity, majesty arises as well from the movement's remarkable sonorities.

CHAPTER TWO

THE SECOND *GESANG*

Introduction

Some aspects of the first *Gesang* continue in the second *Gesang*, such as the same tonic key of D major in both pieces. Indeed, for John Daverio, the second movement is “a kind of variation” to the first movement.¹²⁶ However, despite some underlying connections between these two pieces, the second movement appears to be entirely different from the first movement in its structure as well as in textural and rhythmic features. Most importantly, the first two movements express rather contrasting feelings: unlike the stillness of the first movement that is in “ruhigen Tempo,” animated and lively energy is exhibited in the “belebt” second movement through vibrant and complex rhythmic motions in various textures.

The Opening Motive

It was noted in the previous chapter that the structure of the nine-bar opening theme of the first movement is reminiscent of an antecedent-consequent period. In contrast to such a long uninterrupted melodic line in the soprano part that typically is presented in the first phrase of Schumann’s piano cycles, the melodic motion of the first phrase of the second movement is not continuous, and it is presented in different voice parts. The ending of the opening motive in bar 3 sounds surprisingly abrupt, and thus seems to be a fragment of a theme, rather than a complete one.

¹²⁶ Daverio finds a “wave” form in the first movement, as an “afterwave (mm. 33–39)” occurs after the “climax and dissolution (mm. 27–32).” He suggests, “...the shape of No. 2—a welling up to two climaxes (at mm. 16 and 29), each answered by a dissolving afterwave—obviously recalls the wave form of No. 1.” However, my reading of both the structure and the place of the climax of the second movement are different from his, as it will be discussed later. See Daverio, “Madness or Prophecy?,” 195.

Example 2.1 illustrates the main melodic motions of the first phrase of the piece. The absence of bars 1 and 4 in this excerpt indicates that there is no clear melodic line in those bars. Rather, the melodic focus shifts between various registers starting in the alto part in bar 2; then it suddenly jumps to the tenor and bass parts beginning in bar 7, where it is doubled in octaves. After a gradual ascending motion, the melodic focus returns to the alto and tenor parts from bar 10.

Example 2.1 Schumann, *Gesänge der Frühe*, Op. 133, No. 2, melodic motions in bars 2–3, 5–11

The image displays a musical score for Example 2.1, Schumann's *Gesänge der Frühe*, Op. 133, No. 2. The score is presented in two systems. The top system is a grand staff with a treble clef on the upper staff and a bass clef on the lower staff. The bottom system is a smaller grand staff, also with a treble clef on the upper staff and a bass clef on the lower staff. The top system shows bars 2, 5, 7, and 10. A bracket labeled "the opening motive" spans bars 2 and 3. Another bracket spans bars 5 and 6. A third bracket spans bars 7 and 8. A fourth bracket spans bars 10 and 11. The bottom system shows a smaller version of the opening motive in bars 2 and 3.

The four brackets in Example 2.1 highlight the repeated motivic units that derive from the opening motive of bars 2–3. Whereas these four motivic units exhibit identical rhythmic motions, the melodic motions of the four units are varied. Such clear distinctions between the four motivic units hinder a sense of continuous melodic flow, and instead promote a sense of fragmentation. In all, the first phrase of bars 1–11 appears to be constructed from a patchwork of these fragments.

The harmonic motions of the four motivic units nevertheless show underlying logic and symmetry. Whereas the first two motivic units are in D major, the third unit in bars 7–8 appears with a momentary key change to G major. This is followed by the return of the tonic key in bar 10, where the fourth unit represents the original opening motive. Such identical melodic motions in the first and last motivic units help underline the tonal closure of the entire phrase comprising bars 1–11.

The opening motive also exhibits a type of relationship with the main theme of the first movement: the ascending fourth of a to d¹ in the beginning of the melody of the second movement seems to be a gesture of response to the ascending fifth of d¹ to a¹ in the beginning of the melody of the first movement (see Example 2.2). These two ascending motions in the same tonality of D major balance each other to complete a motion from the tonic to the dominant, and then back to the tonic.

Example 2.2 Op. 133, the first bars of No. 1 and No. 2

The image shows a musical staff in treble clef with a key signature of one sharp (F#) and a 4/4 time signature. The staff is divided into two sections: 'No. 1' and 'No. 2'.
 - 'No. 1' consists of two measures. The first measure contains a quarter note D4 (middle C), and the second measure contains a quarter note A4 (the A above middle C). A bracket underneath these two notes is labeled 'ascending 5th'.
 - 'No. 2' consists of two measures. The first measure contains a quarter note D4 (middle C), and the second measure contains a quarter note F#4 (the F# above middle C). A bracket underneath these two notes is labeled 'ascending 4th'.
 The staff ends with a double bar line.

The Beginning

The harmonic motions in the beginning of the movement are shown in Example 2.3. Note the importance that the dominant chord plays in this opening passage. On the downbeat of bar 2, the first melodic note a—which is also the dominant note of D major—is supported by a cadential six-four chord. The normal progression of this cadential six-four chord to the dominant seventh chord in bar 3 is delayed briefly by the appearance of a neighboring subdominant chord

in bar 2. Whereas these harmonic motions show unusual emphases on dominant motions in the beginning of the piece, two accent markings on the melody—the d^1 in bar 2 and the g^1 in bar 3—highlight the tonic and the subdominant notes. Note that the melody appears in the middle of the texture, surrounded above and below by accompaniment.

Example 2.3 Op. 133, No. 2, bars 1–3

D: implied IV $V^{6/5}/V$ $V^{6/4}$ IV V^7

The non-tonic opening of this movement is particularly striking.¹²⁷ Although there is no harmonic bass during the first two beats of the first bar, the accompaniment figures imply the subdominant chord of D major. What appears on the third and fourth beats is a secondary harmony of $V^{6/5}/V$ of D major that embellishes the next cadential six-four chord in bar 2, over which the melody arrives (as noted above, the melody is absent in bar 1). These non-tonic harmonic motions that move to the dominant seventh chord in bar 3 create an unusual feeling of being in the middle of the piece already at the beginning. Also, since the previous movement is

¹²⁷ In his detailed study on the issue of “non-tonic openings” in music of classical and romantic era, L. Poundie Burstein argues that “the key to understanding non-tonic openings lies in the appreciation of the ‘auxiliary cadence,’ a concept originated and developed by Heinrich Schenker to describe progressions which do not begin on the tonic.” see L. Poundie Burstein, “The Non-Tonic Opening in Classical and Romantic Music,” Ph. D. diss. (City University of New York, 1988), V; See also Burstein, “Unraveling Schenker’s Concept of the Auxiliary Cadence,” *Music Theory Spectrum* 27, no. 2 (2005): 159–186.

also in the same key of D major, this beginning might give an impression that it is an extension of the previous movement.

Examples 2.4a–b

a. Schumann, *Kreisleriana*, Op. 16, No. 4, bars 1–2

Sehr langsam M. M. $\text{♩} = 66$
Lento assai

B^b: V^{4/3}/V V

b. Schumann, *Humoreske*, Op. 21, bars 1–4

Einfach. m. m. $\text{♩} = 80$.

B^b: V⁺/IV IV I

Some of Schumann's earlier piano cycles also begin with non-tonic harmonies that include a secondary harmony. Example 2.4a shows that a V^{4/3}/V chord begins the B-flat major fourth movement of *Kreisleriana*, Op. 16, which was composed in 1838. Likewise, in another B-flat major composition, *Humoreske*, Op. 21, which was composed a year later in 1839, a V⁺/IV chord initiates the piece (see Example 2.4b).

In these two compositions, the melodies are presented in the beginnings of both pieces, and thus secondary harmonies support the melodies, being an integral part of the theme. The $V^{6/5}/V$ in the second movement of the *Gesänge*, on the other hand, is not directly associated with the melody, but rather is employed to build up dramatic tension to prepare the melody to come.

Example 2.5 Schumann, *Faschingsschwank aus Wien*, Op. 26, No. 4, bars 1–2



In terms of texture, there are three voices in both the *Gesänge* and the *Humoreske*. A three-part texture is also found in the fourth movement “Intermezzo” of *Faschingsschwank aus Wien*, Op. 26, which was composed during 1839–40 (see Example 2.5). In the beginning of both the *Humoreske* and the *Faschingsschwank*, there is a sense of stability and the melodies are presented in the soprano part. In the *Faschingsschwank*, the first downbeat is clearly set up by the bass, and all three parts are presented from the first bar: melody in the soprano, accompaniment figures in the inner voice, and harmony in the bass.

Both the harmonic and textural features in the first bar of the second movement of the *Gesänge*, in contrast, create a sense of instability. The harmonic motions of the implied IV and $V^{6/4}/V$ create a volatile harmonic sense at the outset of this movement (see Example 2.3). This tonal instability is enhanced by the absence of the melody part in the first bar. The pause that occurs on the downbeat of these triplet figures also give rise to a sense of instability in metric pulse. Since first bar does not present the tonic harmony, a clear melody, or a clear melodic

downbeat, it has an introductory character. A sense of stability appears only in bar 2, where the presentation of the melody coincides with the resolution of the secondary harmony ($V^{6/5}/V$) of bar 1.

Textural Features and Form

The most prominent distinctions between the first and second movements are found in their rhythmic motions and textures. Whereas the first movement is based on a mono-texture of a chorale with uncomplicated rhythmic motions in general, the second movement features several different textures, which are characterized by different rhythmic motions.

Examples 2.6a–b Op. 133, No. 2

a. bars 10–12

The opening theme is featured in the inner voice: A-D-B-E-F#-G

b. bars 22–24

Three different basic textures are found in the second movement. The most prevalent texture, a three-voiced texture which will be referred to as texture A, coincides with the opening theme and was discussed earlier in regards to Example 2.3. The other two textures appear in brief bridge phrases. As shown in Examples 2.6, the chordal motions with dotted rhythms in bar 12 will be referred to as texture B, and a fast-moving linear melodic motion in the right hand, which is aligned with chords and octave in the left hand, will be referred to as texture C.

Charles Rosen claims that Schumann's music often fails "to move convincingly from one rhythmic texture to another."¹²⁸ This notion arguably is demonstrated in the unexpected transitions between the three textures of Examples 2.6. For example, consider that stark textural transition from the textures A to B in bar 11–12. Whereas the texture in bars 10–11 (texture A) highlights linear horizontal motions, chordal figures from bar 12 (texture B) suddenly call attention to vertical motions without a smooth transition. This change is also accompanied by a new rhythmic predominance of the dotted rhythmic figures from bar 12. There is also a sudden melodic transition in these bars. In the inner voice of bars 10–11, for instance, the two-bar opening theme is reiterated in octaves for a fourth time before the presentation of a new melody in the soprano part of bar 12. A sense of abrupt change is increased by the absence of a resolution of the melody g^1 on the second beat of bar 11, the seventh of the V^7 of D major.

Despite these features that engender a sense of surprise in the transition from the texture A to texture B, there nonetheless are some common features that are found in both textures. The incessant triplet rhythmic figures that saturate the texture A do continue in texture B, persisting in the inner voice. These triplets, however, are mostly dotted, as dotted rhythmic figures prevail in the melodic line of bar 12 (see Example 2.6a). Although the sudden predomination of dotted

¹²⁸ Charles Rosen, *The Romantic Generation*, 703.

rhythms might sound startling, the dotted rhythm may be regarded as derived from the opening motive, which appears on the first beat of bar 11.

Likewise, a same rhythmic motion is continued in a transition from the textures A to C, which in other respects might appear to be incongruous. A sudden registral jump of melodic notes from d^2 in the fourth beat of bar 22 to g^3 in the downbeat of bar 23 and instant rhythmic change from quarter notes to sixteenth notes create a sense of disjointedness in the melodic line (see Example 2.6b). Yet, the linear motion in the bass part, $e-e^\sharp-f^\sharp-g-g^\sharp-a$, in bars 22–23 creates a sense of continuum in these bars.

Table 2.1 Structure of Op. 133, No. 2

Section	Texture	Bars	Comments
A	A	1–11	The opening motive is presented
B	B	12–15	
A ¹	A	16–22	The opening motive at its original pitch level returns
C	C	23–24	
A ²	A	25–26	The opening motive at its original pitch level returns
B ¹	B	26–28	
A ³	A	29–35	Coda is included

The structure of the entire movement is defined by these textural changes, since each texture is uniquely associated with distinct melodic and rhythmic motions, as shown in Table 2.1. The opening motive that was illustrated in Example 2.1 returns regularly at its original pitch level four times, thus indicating that this piece is written in a rondo form.

Rondo form is also found in some of Schumann's earlier piano cycles, such as in the first movement of the *Novelletten*, Op. 20, and the second movement of the *Kreisleriana*, Op. 16. The

repetitive nature of rondo form makes these pieces remarkably lengthy, as the first movement of *Novelletten* takes 137 bars, whereas the second movement of the *Kreisleriana* 165 bars.

In contrast to those lengthy earlier pieces, the entire second movement the *Gesänge* takes only 35 bars. Such conciseness is achieved through unusually flexible structure of passages that represent each texture. Table 2.1 shows that the section A covers 11 bars, for example, whereas the section A¹ consists of 7 bars, and the section A² consists of 2 bars. These diverse transformations of A sections are possible, due to the extreme concision of the opening motive that forms the essence of all A sections. Detailed discussions of these issues will be found in the next section.

The A Sections

The entire first movement is composed of the repetitions of the opening theme in several key areas. The same idea of melodic repetition also plays an important role in the second movement. But whereas thematic repetitions in the first movement are strict, due to the strophic characteristics of the chorale, the melodic repetitions in the second movement show diversity. Even though all of the A sections are based on repetitions of the opening motive of bars 2–3, there are no literal melodic returns.

In the A section of bars 1–11 in Example 2.1, the opening motive is presented four times in succession. In the A¹ section of bars 16–21 in Example 2.7, in contrast, reappearances of the opening motive are presented in stretto and shortened form. There are five distinct melodic entries shown Example 2.7. In the alto part of bar 17, the opening motive appears in an almost identical way to its original presentation in bar 2. In bar 18, this melody in the alto overlaps with another melodic motion in the bass, creating a type of stretto. This bass melody also overlaps

with another melodic motion in the soprano in bar 19, which appears in diminution. Similarly shortened melodies follow in both bars 20 and 21. These multiple motivic presentations clustered in five bars build up dramatic intensity toward the climax of the piece that soon follows.

Example 2.7 Op. 133, No. 2, bars 16–21

The A^2 section is surprisingly concise, comprising only bars 25 and 26. Yet these two bars include arguably the most significant statements of the piece: they feature the only presentation of the entire opening motive in the soprano part, as all of the previous presentations of the entire opening motive have been concealed either in the inner voice or placed in the bass. This is also the final presentation of the opening motive in its entirety. Furthermore, except for the e^2 and $f^{\#2}$ on the first beat of bar 26, the melodic notes in the A^2 section are also emphasized with doublings in octaves, as shown in Example 2.8. The exclusion of doubling those two notes, however, seems to be due to technical issues, since it would be difficult for a performer to play simultaneously both the triplet and the sixteenth-note rhythms in octaves. Therefore, the final

presentation of the entire opening motive in octaves in the top voice makes the A² section the climax of the second movement.

Example 2.8 Op. 133, No. 2, bars 22–26

The climactic A² section is also highlighted by the preceding two-bar section. Example 2.8 shows that the passage in bars 23–24 features a new rhythmic motion in sixteenth-notes, instead of the triplets that have thus far predominated. This unique two-bar passage, which was referred earlier as texture C in Example 2.6b, presents a descending scalar motion of the melody from the high register. This new melodic motion is, however, built upon the standard classical device of a dominant pedal point. Consequent resolution of the dominant pedal to the tonic on the first beat of bar 25 highlights the climactic representation of the opening motive from bar 25.

The A³ section (including a coda) of bars 29–35 concludes the movement. The opening motive is no longer presented in its entirety here, but rather includes the opening interval of an ascending fourth only. Example 2.9 shows that the first two notes of the opening motive, a-d¹, are stated twice in the melody in the alto part of both bars 30 and 31. The same two notes, A and d, are also found in the bass part of the fourth beat in bar 31 and the following beat in bar 32. On

the downbeat of bar 32, where a four-bar coda begins, a reversed form of the ascending fourth motive, a^2-d^2 , also occurs in the soprano part.

Example 2.9 Op. 133, No. 2, bars 30–35

The tonic arrival takes place in bar 32 and the tonic in the bass is prolonged for four bars 32–35. The final melodic note of the movement is, however, not the root of the tonic chord, but the fifth above it (a^1). This ending on the fifth note of the scale gives a sense of openness, whereas an ending on a tonic note would highlight a sense of conclusiveness. Such sense of openness seems to yield an expectation of the following movement. On the other hand, the final melodic note of the second movement, A, is also the tonic note of the next piece. Therefore, the echo from a^1 , the final melody note of the second movement, helps a smooth transition to the new A-major third movement, reinforcing the cyclical conception of Op. 133.

Introductory Bars

The very first bar of this movement functions as an introductory bar; no melodic motion is presented here, but rather a simply accompanimental rhythmic figure is presented in the right hand part and a harmonic bass in the left. Whereas the first two beats of the right hand figuration imply a G major harmony, there is no G in the bass, as shown in Example 2.10, so that the G[#] on the third beat comes as a surprise. Similar figures appear again in bar 4 in a slightly altered way: c^{#2} is added in the soprano part of the first beat, and a scalar motion leading to G[#] is added in the bass.

In the analogous bar 7, there is a G in the bass with the same accompanimental notes that begin in bar 1. However, it soon turns out that this G is not the beginning of yet another introductory bar, but the beginning of the opening motive in the subdominant key. Thus, this bass G paradoxically pretends to fulfill the expectation of the earlier implied G, yet its new function as a melody that breaks the repetitive patterns of the structure of the A section, highlighting the significance of the subdominant.

Example 2.10 Op. 133, No. 2, bars 1, 4, and 7

The musical score shows three measures of music. The right hand part consists of eighth notes with triplets, starting with a piano (p) dynamic. The left hand part consists of chords and a bass line. In bar 1, the bass line has a G# on the third beat. In bar 4, the bass line has a G on the first beat. In bar 7, the bass line has a G on the first beat. Arrows point to the G# in bar 1 and the G in bar 7.

Similarly, the music of the introductory bar appears again in the first measure of both the A¹ and A³ sections. In bars 16 and 29, doubled half note figures of D and F# are newly added to

the first and third beats (see Examples 2.11a and b). These tonic and mediant notes yield harmonies that differ from those in the theme's first appearance.

Although the same half-diminished seventh chords are used on the third beat of both bars, different harmonies appear on the first beats. In bar 16, the bass G is finally realized on the first beat, but the $f^{\sharp 2}$ in the soprano makes it a subdominant seventh chord. In bar 29, however, the cadential six-four chord appears with the bass A, which becomes the beginning of a dominant pedal point.

Examples 2.11a–b Op. 133, No. 2

a. bars 16–17

D: IV^7 $\dim.7^{\text{th}}$ $V^{6/4}$ IV V^7

b. bars 29–30

D: $V^{6/4}$ $\dim.7^{\text{th}}$ $V^{6/4}$ IV $V^{6/4}$ V^7

Both bars 16 and 29 are preceded by the first and second B sections, respectively, where relentless rhythmic chordal motions are featured with some dynamic stresses. For Daverio, the two half-note chordal motions in bars 16 and 29, which are emphasized with *sf*, are the beginning

of a “fanfare motive,” thus “two climaxes” of the second *Gesang*.¹²⁹ Even though the two half-note chords after relentless rhythmic figures might give a triumphant feeling, the other aspects within these measures tend to downplay their formal significance. As such, bars 16 and 29 are best understood as introductory, as they present harmonies that prepare the upcoming opening motive in the following bar. The return of the opening melody in bar 17, incidentally, is further highlighted with a contrasting dynamic marking of a *piano*.

Rhythmic Features

In regard of rhythmic complexity of the second *Gesang*, renowned pianist Peter Frankl—who recorded the complete piano works of Robert Schumann—commented as follows: “It [the second *Gesang*] has an urgency in the triplets and some complicated composite rhythms. It’s fiendishly difficult, and I don’t think I have ever played it in public—one of the rare pieces that I didn’t play.”¹³⁰

As Frankl mentioned, the triplet is one of the most prominent rhythmic figures of the second movement. It is the very first rhythmic motion that appears in bar 1, and is present throughout the piece, except in bars 23–24, where it is replaced by continuous sixteenth-note figures (this two-bar passage was referred to earlier as texture C in Example 2.6b). One of the most frequent rhythmic clashes occurs with the opening motive. Since the opening motive features a dotted eighth-note and a sixteenth-note figure, there is a rhythmic clash between this rhythmic group and a triplet on the downbeat of bar 3, as shown in Example 2.12. The same rhythmic

¹²⁹ Daverio, “Madness or Prophecy?,” 189, 195.

¹³⁰ Tibbetts, *Schumann: A Chorus of Voices*, 359.

clashes are found throughout the piece, as variations of the opening motive are continuously featured.

Example 2.12 Op. 133, No. 2, right-hand part of bar 2–3



Scholars have debated since the second half of the eighteenth century whether a dotted rhythm that simultaneously occurs with a triplet is intended to be assimilated to the triplet rhythm in performance or should be played as written.¹³¹ The problem of these two possible interpretations is clearly exemplified in Julian Hook’s 2011 study of “impossible rhythms,” where he shows two distinct editions of the third bar of Schubert’s *Winterreise* No. 6, “Wasserflut”: whereas the sixteenth-note of the dotted rhythm is exactly aligned with the third note of the triplet in the 1895 Breitkopf & Härtel edition, suggesting triplet assimilation, the sixteenth-note is notated after the third triplet note in the 2009 Bärenreiter edition, which is also published as *Neue Schubert-Ausgabe*.¹³²

¹³¹ In 1839, this assimilation issue was pointed out in Carl Czerny’s treatise *Complete Theoretical and Practical Pianoforte School*, op. 500, which was published in London. Czerny suggests that “assimilation is not to be practiced in slow tempos, only in fast tempos (i.e. out of technical necessity) (p. 46)” (quoted in David Montgomery, “Modern Schubert Interpretation in the Light of the Pedagogical Sources of His Day,” *Early Music* 25, no. 1 (1997), 116). See Clive Brown, *Classical and Romantic Performing Practice, 1750–1900* (Oxford: Oxford University Press, 1999), 614–621. For further discussions on the issue, see also Malcolm Bilson, “Triplet Assimilation in the Music of Schubert—A Reply,” *Historical Performance* 7 (1994), 27–31; David Montgomery, “Triplet Assimilation in the Music of Schubert: Challenging the Ideal,” *Historical Performance* 6 (1993): 79–97.

¹³² The two scores are shown in Julian Hook, “How to Perform Impossible Rhythms,” *Music Theory Online* 17, no. 4 (2011), III.

Hook claims that, except for few instances, this assimilation problem only exists until the music of Schubert, since later composers such as Schumann “differentiated their note values more scrupulously.”¹³³ On the other hand, Wolfgang Boetticher and Ernst Hertrich, the editors of 1990 and 2009 Henle editions of the *Gesänge der Frühe*, respectively, suggest assimilating the dotted rhythms of the entire second movement to the triplets in performance.¹³⁴ However, in contrast to their suggestions, the notations of those rhythms in both Henle editions—which match the notations of the first edition—clearly show that the sixteenth-note of the group of the dotted eighth-note and the sixteenth-note is placed after the third triplet note in another voice.¹³⁵

The same non-assimilatory notational practice is found not only in all other scores of the *Gesänge*, including the Breitkopf & Härtel edition that was edited by Clara Schumann, but more importantly, in the copyist’s manuscript of the piece. For instance, all three scores in Examples 2.13 show that the sixteenth-notes of both the third and fourth beats in bar 15 are clearly notated after the third triplet notes in the alto part. These findings suggest that the dotted rhythms that simultaneously occur with the triplets in the second movement should be performed precisely as written.

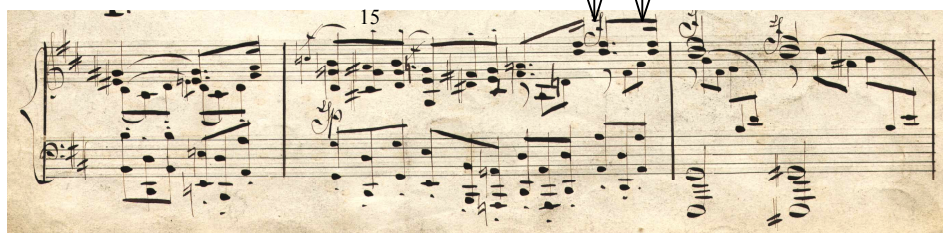
¹³³ Hook, “How to Perform Impossible Rhythms,” III.

¹³⁴ Whereas the both editors suggest the same idea, neither of them gives further explanation of their suggestions. See “Comments” in Schumann, *Gesänge der Frühe*: opus 133, ed. Wolfgang Boetticher (München: G. Henle Verlag, 1990), VII; *Gesänge der Frühe*: opus 133, ed. Ernst Hertrich (München: G. Henle Verlag, 2009), 22.

¹³⁵ An example of an nineteenth-century autograph of exact alignment between the sixteenth-note of the dotted note group and the third note of the triplet can be found in the autograph of Chopin’s E-major Prelude, Op. 28, no. 9. A part of this autograph is reproduced in Hook (p. III), whereas its full version is printed in the 1949 Paderewski edition of the Preludes. The *Stichvorlage* autograph of the E-major Prelude is currently located in the National Library in Warsaw.

Examples 2.13a–c Op. 133, No. 2

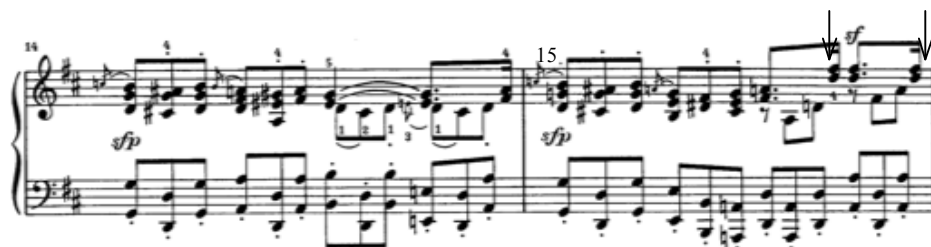
a. The copyist's manuscript (from the third beat of bar 14–bar 16)¹³⁶



b. Breitkopf & Härtel score, edited by Clara Schumann (bars 13–15)



c. 2009 Henle edition (bars 14–15)



The simultaneous rhythmic occurrences of a dotted note and a triplet are also frequently featured in the first piece of the *Kinderszenen*, Op. 15. The opening phrase of this 1838 composition shows the same texture of the A section of the second movement of the *Gesänge*: melody, accompaniment, and bass (see Examples 2.3 and 2.14). Unlike the second *Gesang*, where melody and accompanimental figures are cramped in the right hand part, the three voices are evenly distributed in a typical way in the first piece of the *Kinderszenen*: the melody in the soprano, accompanimental figures in the inner voice, and the harmonic bass in the lowest part.

¹³⁶ This image of the manuscript appears here through the courtesy of the Heinrich-Heine-Institut, Düsseldorf.

In the *Kinderszenen*, the rhythmic figure of the first two bars is repeated three times. Whereas the prevalent melodic motion in quarter notes that is accompanied by continuous triplet figures might give a steady feeling, the occasional rhythmic clashes between the groups of the dotted eighth-notes and the sixteenth-notes and the triplets give rise to a kind of rhythmic polyphony. Yet such rhythmic changes break monotonous rhythmic motions and add vitality. These rhythmic conflicts are emphasized, as they occur in the high point of each two-bar unit, on the first beat of the second bar. To express such rhythmic polyphony in its fullness, it would be crucial to *not* to assimilate the dotted rhythms to the triplets in performance.¹³⁷ Furthermore, same as in the second *Gesang*, the notations of Example 2.14, which is the Breitkopf & Härtel score that was edited by Clara Schumann, clearly indicate that the sixteenth-notes of the dotted rhythms come after the third notes of the triplets.

Example 2.14 Schumann, *Kinderszenen*, Op. 15, No. 1, bars 1–8

¹³⁷ It is also important to play this piece in a moderate tempo, since rhythmic differentiation would be lost and sound awkward if it were to be played too fast. In their recordings of this movement, pianists Jörg Demus and András Schiff, for example, do not assimilate the dotted rhythms to the triplets. Their recordings are accessible in the following links: for Demus' performance <http://www.youtube.com/watch?v=TcKQ7PPRc8o&feature=relmfu> (accessed Aug 25, 2012) and for Schiff's performance <http://www.youtube.com/watch?v=QJ0Xyf54-Dg&feature=relmfu> (accessed Aug 25, 2012).

Significantly, the same rhythmic clash of the second *Gesang* also occurs in exactly same place in the *Kinderszenen*, namely, on the first beat of the second half of the two-bar opening motive in bar 3 (see Example 2.12).¹³⁸ The impact of this rhythmic clash is, however, lessened in the second *Gesang*, since it is buried in the middle of the texture and the faster tempo clearly makes it less audible as a distinct rhythm. The melodic notes of the group of dotted eighth-notes and the sixteenth-note, e^1 and $f^{\#1}$ on the first beat of bar 3, show an ascending scalar motion, thus $f^{\#1}$ is a passing note to the following g^1 on the second beat (see Examples 2.3 and 2.12). Whereas the e^1 on the downbeat is the naturally strong beat, the g^1 , which completes the harmony of V^7 , is also highlighted with long rhythmic value of a half note with an accent marking. Similar emphasis on the second beat occurs in other presentations of the opening motive in the A section, as shown in Example 2.15.

Example 2.15 Op. 133, No. 2, melodic motions of bars 3, 6, 8, and 11

If the A section of bars 1–11 is focused on linear, thus horizontal, motions, prevalent chordal motions in the B section of bars 12–15 also calls attention to vertical aspects. Unlike in the A section, where the melodic focus was distributed among the parts, a melodic line emerges in the soprano part in the B section, and the accompaniment figures in triplets are placed down in the alto part.

¹³⁸ Due to the absence of melodic motion in bar 1 of the second *Gesang*, the two-bar opening motive is in bar 2–3.

The rhythmic groups of dotted eighth-notes and sixteenth-notes suddenly play a more prominent role starting in bar 12, where the B section begins. Example 2.16a shows the predominantly dotted rhythms in the melodic line of bars 12–13. In bar 12, the rhythmic motions of all the other parts are also mostly dotted: this is so even for the triplets in the alto part. The triplets in the alto part of bar 13, however, resume more even rhythmic motion, preparing for the plain triplet rhythms in unison in bar 14. Therefore, this gradual rhythmic evolution gives rise to a “metric modulation” from 4/4 meter with internal triplets in bars 1–11 to a full-fledged 12/8 from bar 14 to the second beat of bar 15 without change of meter signature (see Example 2.16a). The original 4/4 meter notion resumes from the third beat of bar 15.

The subdivided rhythmic motions in bar 12 create special challenges in performance. If this piece is played in the metronome marking of “♩=190” indicated in the copyist’s manuscript, it is very difficult to differentiate the sixteenth-notes in the outer voices and the following sixteenth-notes of the triplets in the inner voice. For Harold Bauer, these rhythmic motions in bar 12 is “practically unplayable,” so he even altered this bar in his 1945 Schirmer edition of the *Gesänge der Frühe* (see Example 2.16b).¹³⁹

Despite Bauer’s concern of practicality, his alterations seem to distort some of the original intentions. For example, in bar 12, Bauer changed the dotted rhythms in the melodic line of the first and second beat to the triplets, while leaving the original dotted rhythm on the fourth beat intact. In the right-hand part of the second beat of bar 12, Schumann’s notation emphasizes the beginning of the beat with the D-major chord with three voices (see Example 2.16a). However, Bauer’s edition reverses such priority to the end of the beat by writing only a melodic D in the first triplet and three-voice chord in the third triplet (see Example 2.16b).

¹³⁹ Robert Schumann, *Songs of the Dawn*, Op. 133, ed. Harold Bauer (New York: G. Schirmer, 1945), 5.

In addition to vigorous rhythmic force, harmonic motions of the B section of bars 12–15 also enhance the tension of the passage. Significantly, the two primary harmonic motions of both the opening motive and the beginning of the B section are similar, involving a cadential six-four chord (or a tonic six-four chord), followed by a subdominant chord. In bars 12, 14, and 15, the *sf* markings emphasize the subdominant chords three times, as shown in Example 2.16a.

Examples 2.16a–b Op. 133, No. 2

a. bars 10–15

D: V^7 $I^{6/4}$ IV

metric modulation to 12/8 meter

D: $I^{6/4} -5/3$ IV $I^{6/4}$ $V^{4/3}/V$ I IV V^7 I

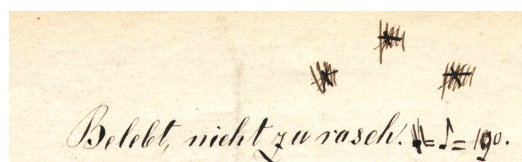
b. bars 10–12 (Schirmer edition that includes Harold Bauer's altered bar 12)

The tonic six-four chord appears three times in the B section in bars 12, 13, and 14. These six-four chords, however, do not lead to a dominant harmony. The only dominant-to-tonic resolution occurs at the end of the section in bar 15. The unfulfilled—but expected—cadential motions from the three six-four chords heighten the sense of tension that is created by rhythmic drive.

Instructions in the Copyist's Manuscript

There are two noticeable corrections in the second movement of the copyist's manuscript that is currently located in the Heinrich-Heine-Institut in Düsseldorf. The first metronome marking that is written as " $\text{♩} =$ " is crossed out, and " $\text{♩} = 190$ " is added (see Example 2.17).¹⁴⁰ According to Ernst Herttrich who edited the *Gesänge* of the 2009 Henle edition, Schumann's use of the eighth-note metronome unit, as opposed to $\text{♩} = 63 \frac{1}{3}$, which is equal to $\text{♩} = 190$, is in order "to express the "liveliness" of no. II."¹⁴¹

Example 2.17 Op. 133, No. 2, The copyist's manuscript¹⁴²



¹⁴⁰ Probably as an error, " $\text{♩} = 190$ " is given in the 1984 Peters edition. Similarly, instead of the original " $\text{♩} = 93$," " $\text{♩} = 93$ " is found in the third movement. See Schumann, *Gesänge der Frühe*: opus 133, ed. Hans Joachim Köhler, 4, 6.

¹⁴¹ "Comments" in Schumann, *Gesänge der Frühe*: opus 133, ed. Herttrich (2009), 22.

¹⁴² Heinrich-Heine-Institut, Düsseldorf.

Another correction in the copyist's manuscript is related to the enigmatic three stars-like markings, which are shaped more similarly to asterisks. The similar three star-like markings also appear in some of Schumann's earlier compositions. For example, in the 1848 composition, *Album für die Jugend*, Op. 68, all forty-three pieces have an individual title, except nos. 21 in C major, 26 in F major, and 30 in F major. In these untitled pieces, three star-like markings are drawn in the typical place for a title (see Example 2.18). These markings appear not only in the Breitkopf & Härtel edition, which was edited by Clara Schumann and is shown in Example 2.17, but also in current editions, such as the 2007 Henle edition.¹⁴³

Example 2.18 Schumann, *Album für die Jugend*, Op. 68, No. 26, bars 1–4

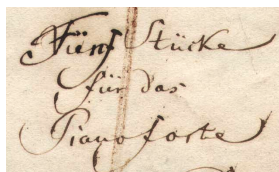


Example 2.17 shows that these three star-like markings were drawn and then crossed out in the copyist's manuscript. The three star-like markings, however, appear in the same manuscript of the first movement instead, as shown in Example 2.19b, as well as at the end of the fifth movement, as shown in Example 2.19c. This writing and cancellation of the three stars is not insignificant, as these factors reveal Schumann's thought process of the constitution of the *Gesänge*. Whereas the three stars are indicated in the pieces of currently available editions of the *Album für die Jugend*, however, there is no edition of *Gesänge der Frühe* that includes these markings in the first movement.

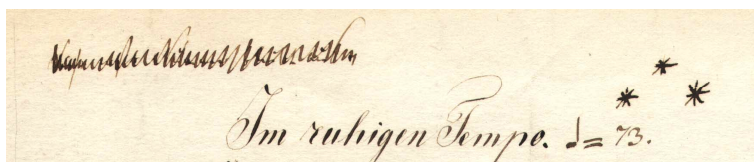
¹⁴³ Robert Schumann's *Werke*, hrsg. von Clara Schumann (Leipzig: Breitkopf & Härtel, 1879–93); Schumann, *Album für die Jugend*, Op. 68, ed. Ernst Herttrich (München: G. Henle Verlag, 2007).

Examples 2.19a–b The copyist’s manuscript of Op. 133¹⁴⁴

a. The title page



b. No. 1



c. No. 5



In the title page of the copyist’s manuscript, incidentally, there is an enigmatic correction regarding the number of movements found within this collection: “Fünf” is written over the “Vier” by Schumann himself (see Example 2.19a).¹⁴⁵ In addition, on the top left corner of the copyist’s manuscript of the first movement in Example 2.19b, there is an instruction that is heavily crossed out: “Diese erste Nummer bleibt aus” (“This first number should be left out”).¹⁴⁶ These findings suggest that Schumann once considered leaving out the first movement, and then changed his mind to include it, finalizing the entire set with five movements. The presence of the

¹⁴⁴ Heinrich-Heine-Institut, Düsseldorf.

¹⁴⁵ The facsimile of the entire title page of the copyist’s manuscript can be found in the book edited by Paul Kast, *Schumanns rheinische Jahre*, in page 132.

¹⁴⁶ The English translation of the German instruction is quoted from Daverio’s essay, “Madness or Prophecy?,” 194.

three star-like markings in the first movement and the cancellation of the same markings in the second movement, therefore, seem to indicate his final decision to include the first *Gesang* in the set. The unusual presence of the three star-like markings at the end of the final *Gesang* signifies the conclusion of the set.

Fragmentation and Coherence

For Hans Joachim Köhler, who edited the *Gesänge* for the publication by Peters, this movement plays with “the idea of the unending.”¹⁴⁷ Whereas he does not give any further explanation for that statement, such an idea seems to be demonstrated in the opening motive in bars 2–3. The motive begins with the dominant note, followed by a tonic that is highlighted by a longer rhythmic value than the opening dominant, and it ends with the subdominant (see Example 2.20). This last subdominant note on the second beat of bar 3 does not create a sense of finality, but rather a sense of inconclusiveness.

Example 2.20 Op. 133, No. 2, melodic lines of bars 2–6



Such inconclusiveness of the last subdominant note g^1 opens the possibility that it could be extended further to a new melodic line. However, in contrast to Schumann’s typical continuous *arioso* melodic line, a melodic motion is abruptly halted after this g^1 in bar 3. Instead

¹⁴⁷ See “Concluding Remarks” in Schumann, *Gesänge der Frühe*: opus 133, ed. Köhler 17.

of a new melodic line, bars 5–6 features the melodic line that is similar to the opening motive in terms of both melodic contour and rhythm, as shown in Example 2.20.

As Example 2.20 exemplifies, melodic motions in the second movement are often based on the two-bar opening motive. Due to the succinctness of the opening motive, the prevalent melodic motions that are also often are fragmentary. The notion of fragmentation is also found in the melodic lines of the passages that do not feature the opening motive. In addition to melodic motion, abrupt textural shifts enhance the idea of fragmentation, thus create a sense of division or discontinuity. These “fragmentary” or “discontinuous” characteristics are commonly found in late works, according to Joseph Straus.¹⁴⁸ For Daverio, on the other hand, the notion of the “fragment” or “continual interruption” represent Schumann’s “*mad* world.”¹⁴⁹

Whereas melodic motions show a sense of fragmentation, however, there are some rhythmic and harmonic features that create a sense of coherence. The triplet figures are used continuously throughout the piece, except in the two-bar passage of bars 23–24, where the triplets are substituted by sixteenth-note figures. In terms of harmonic features, the subdominant chord and the cadential six-four chord (or the tonic six-four chord) play a significant role in most of the sections.

If the first *Gesang* of the set highlights a vocal notion of a “hymn,” this second *Gesang* exhibits an instrumental notion of “Gesang,” which Koch defined as “the expression of an inner

¹⁴⁸ In the previous chapter, characteristics of “compactness,” “complexity,” and “archaicism” that are found in the first movement of the *Gesänge* were suggested as symptoms of a late work. See Straus, “Disability and ‘Late Style’ in Music,” 8–12.

¹⁴⁹ In his essay, Daverio indicates that the idea of “the *mad* world” first comes from Roland Barthes. See Daverio, “Madness or Prophecy?,” 196; Roland Barthes, “Loving Schumann,” in *The Responsibility of Forms*, trans. Richard Howard, 293–298 (New York: Hill and Wang, 1985).

emotion through musical tones.”¹⁵⁰ In contrast to lyrical long-line of the repeated main melody in the first movement, the main melody of the second movement is concise and rather fragmentary. Yet a sense of coherence is not lost, but rather deeply embedded in this “belebt” *Gesang*.

¹⁵⁰ Heinrich Christoph Koch, *Musikalisches Lexikon*, 376.

CHAPTER THREE

THE THIRD *GESANG*

Introduction

Among the five *Gesänge der Frühe*, the most energetic and exuberant feelings are expressed in the third *Gesang*, which is the longest movement of the set. The heightened *lebhaft* mood here is also boosted by a passage in bravura style, a style which otherwise is not found in any of the other four movements of the entire cycle. The resultant lively mood arguably reflects the Florestan character that Schumann often expressed in his earlier piano cycles as contrasted with his introverted Eusebius character.

The Rhythmic Motive and Scherzo

Schumann's piano works often are set in a dance-like triple meter. Among the five *Gesänge der Frühe*, however, only the third *Gesang* is composed in a triple meter, namely, 9/8. Moreover, the third movement of the *Gesänge* is Schumann's *only* piano composition that is written in 9/8 meter.

Example 3.1 Schumann, *Gesänge der Frühe*, Op. 133, No. 3, bars 1–2

A sense of tripleness is emphasized throughout this third *Gesang*, as a rhythmic group of three eighth notes is featured throughout. Most of these three eighth-note groups are elaborated with a dotted rhythm, as shown in Example 3.1. That is, the rhythmic motive of ♪.♪♪ predominates throughout this piece, yielding a mono-rhythmic impression.

A similar rhythmic motive of ♪.♪♪ also prevails in the fifth etude of Schumann's *Symphonische Etüden*, Op. 13, which were composed during 1834–7. Instead of dotted eighth-notes in Op. 133, eighth-notes and sixteenth-rests are featured in Op. 13 (see Example 3.2).

Example 3.2 Schumann, *Symphonische Etüden*, Op. 13, fifth Etude, bars 1–2



As in the third *Gesang*, the main rhythmic motive is continuously repeated in the entire fifth *Symphonic Etude*, which is written in another rarely used compound meter, namely, 12/8. Furthermore, the opening passages of both pieces show that the main rhythmic motive is alternated between the right-hand part and the left-hand part, as shown in Examples 3.1 and 3.2. Whereas the melodic contour of alternating motion in the third *Gesang* reflects a type of question and answer, the left-hand part imitates the previous right-hand part in the *Symphonic Etude*. Such balanced alternations are possible in the *Symphonic Etude* due to the quadruple beats of 12/8 meter, whereas the triple beats of 9/8 meter in the *Gesang* give rise to uneven alternations.

In the first bar of the fifth *Symphonic Etude*, Schumann included a crucial inscription that suggests the character of this piece: “scherzando.” The Italian word “Scherzo” (joke) had already

been used in different types of pieces since the early seventeenth century.¹⁵¹ Schumann wrote several compositions that he labeled as “Scherzo.” Most of them are the scherzo movements of Schumann’s instrumental music in traditional genres that reflect the compositional practice instituted by Beethoven of substituting a scherzo for a minuet movement.¹⁵² Yet, there are few independent “Scherzo” pieces that might suggest Schumann’s own style of adopting this genre.

Example 3.3 Schumann, *Overture, Scherzo and Finale*, Op. 52, *Scherzo* movement, bars 1–6



In 1841, Schumann wrote an orchestral piece, *Overture, Scherzo and Finale*, Op. 52. The second *Scherzo* movement consists of multiple sections: scherzo section-“Trio”-recurring scherzo section-an abridged trio-“Coda,” which shows the connection to the old minuet and trio

¹⁵¹ Tilden A. Russell and Hugh Macdonald, "Scherzo," In *Grove Music Online. Oxford Music Online*, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/24827> (accessed February 27, 2012).

¹⁵² For example, scherzo movements are found in the third movement of Schumann’s fourth symphony, Op. 120, and the third movement of the first piano sonata, Op. 11.

form.¹⁵³ Example 3.3 shows that the main rhythmic motive of the scherzo section here is identical to that of the fifth *Symphonic Etude* and similar to that of the third *Gesang* (cf. Examples 3.1 and 3.2). Also much like in the third *Gesang* and the fifth *Symphonic Etude*, the main rhythmic motive is continuously repeated within this mono-rhythmic scherzo section.

There is an independent “Scherzo” written for keyboard by Schumann. During 1838–39, the period when his compositions consisted mostly of piano pieces, Schumann put together four small-scale pieces and published them as *Scherzo, Gigue, Romanze und Fughette*, Op. 32.¹⁵⁴ In this set, as the title indicates, a *Scherzo* composition is presented as the first piece. In contrast to the virtuosic large-scale *Scherzi* of his contemporary Chopin, Schumann’s *Scherzo* of Op. 32 is a small-scale piece without pomposity. Yet, according to Wiltrud Haug-Freienstein who edited Op. 32 for 2005 Henle publication, “the hallmark of romanticism” is evident in this unpretentious piece.¹⁵⁵

Similar to the three aforementioned pieces of Opp, 13, 52 and 133, a dotted rhythm is continuously used as the main rhythmic motive in this *Scherzo* piece. In the passages cited in Examples 3.1, 3.2 and 3.3, where the compound meters of 9/8, 12/8, and 6/8 are used, respectively, a rhythmic group of  (or ) was featured as the main rhythmic motive.

¹⁵³ Note that the terms “Trio” and “Coda” are indicated by Schumann. After the first performance of this orchestral piece, which took place on December 6th, 1841, in Leipzig, Schumann revised the last movement in 1845.

¹⁵⁴ The first three pieces of *Scherzo, Gigue* and *Romanze* were composed during his stay in Vienna in 1838, and *Fughette*, which was composed after his return to Leipzig in 1839, was added to the set later. The entire set was published in 1841 in the complete first edition by Schubert & Co. of Hamburg and Leipzig. Schumann also wrote two pieces that are titled as *Scherzino*, a smaller form of a *Scherzo*, in *Faschingsschwank aus Wien*, Op. 26 and *Albumblätter*, Op. 124.

¹⁵⁵ See Wiltrud Haug-Freienstein “Preface to Schumann, *Scherzo, Gigue, Romanze und Fughette*, Op. 32,” (München: G. Henle Verlag, 2005), iv.

Partly owing to the 3/4 meter of the *Scherzo* of Op. 32, however, only the dotted rhythmic figures of ♩.♩ (or $\text{♩} \text{♩}$) are presented in this piece, as shown in Example 3.4.

Example 3.4 Schumann, *Scherzo, Gigue, Romanze und Fughette*, Op. 32, *Scherzo* movement, bars 1–5



The *Scherzo* of Op. 32 consists of four different sections, A-A¹-B-A¹. In all three of the A sections, the opening melodic theme that is shown in Example 3.4 is repeatedly featured.

Whereas the dotted rhythmic motive predominates in these A sections, the contrasting B section that functions as a trio presents a plain rhythmic motive from bar 55, as shown in Example 3.5a.

The dotted rhythmic figures of ♩.♩ (or $\text{♩} \text{♩}$) also prevail in another of Schumann's keyboard pieces, the fifth movement of *Kreisleriana*, Op. 16, that shows characteristics of a scherzo. Examples 3.5a and 3.5b compare the transition from the A section to the B section of *Scherzo*, Op. 32, and that of the fifth movement of *Kreisleriana*, Op. 16, respectively. In addition to the predominating dotted rhythmic motive, both pieces exhibit striking resemblances. The A sections of both pieces conclude with descending scalar bass lines, ending on the tonic notes of each piece: B^b in bar 54 of the B^b-major *Scherzo*, and G in bar 51 of the G-minor fifth movement of *Kreisleriana* (see Examples 3.5a and b).

Examples 3.5a–b

a. Schumann, *Scherzo, Gigue, Romanze und Fughette*, Op. 32, *Scherzo* movement, bars 51–59

54

B section 55

b. Schumann, *Kreisleriana*, Op. 16, no. 5, bars 49–53

51 B section 52

ritard.

The beginnings of the B sections in both pieces also show similar melodic and rhythmic features. A plain rhythmic motive begins the B sections in both pieces: two quarter-notes upbeat are followed by a group of eighth-notes (note that there is one additional quarter-note on the downbeat of bar 55 of the *Scherzo*). The eighth-note groups that present melodic lines in both pieces are doubled in the same way (with a unison in the soprano and the tenor parts). Furthermore, the two passages that begin both B sections also exhibit a quite similar melodic contour, with the melody in the *Scherzo* ranging from a^1 to d^2 , and in the *Kreisleriana*, ranging from g^1 to d^2 .

The characteristics of a “scherzo” that are embedded in both *Scherzo*, Op. 32, and the fifth movement of *Kreisleriana*, Op. 16, are also found in the third movement of the *Gesänge*. In this *lebhaft* piece, playful and exuberant energy and grandeur are prevalent through features such as the continuous use of thick chords and octaves, dramatic build-ups. There is also the cadenza-like passage toward the end of the piece, which exhibits a bravura style that is not represented in the four other movements of the cycle. To some extent, these characteristics that demonstrate pianistic grandeur are reflective of Chopin’s well-known four *Scherzi*, rather than Schumann’s own earlier *Scherzo*. On the other hand, the structure of the third *Gesang* is distinct from Schumann’s own *Scherzo*, Op. 52, the fifth *Kreisleriana*, or Chopin’s four *Scherzi*, since there is no rhythmically (or melodically) contrasting trio section in this 1853 scherzo. Therefore, the ebullient and animated spirit that is reflective of the scherzo is expressed in this third *Gesang* without being bounded by the tradition of the conventional form of the scherzo. In other words, Schumann borrows the character but not the form of earlier scherzos.

The Significance of Harmony

In contrast to its regular rhythmic motions, the harmonic motions of this movement are often rather unpredictable. These harmonic motions determine the majority of the melodic contours. To be more specific, instead of a lyrical linear melody that is typically found in Schumann’s piano works, a number of melodic lines are composed with the notes derived directly from the harmony. Therefore, melodic notes frequently move in thirds (or their reversed form of sixths) and fifths (or fourths), corresponding to pitches in the underlying harmonic accompaniment.

Example 3.6 shows the melodic line of the first eight bars of the piece. The numbers underneath the melodic line indicate the intervals of third (or sixth) or fifth (or fourth) that occur between successive melodic notes supported by one harmony. For example, in the first bar where the tonic chord appears, the upbeat melody of e^1 - $c^{\#1}$ - e^1 moves in thirds twice and then by a sixth to the $c^{\#2}$ on the first beat of bar 1; thus, all melodic notes are members of the tonic triad.

Example 3.6 Op. 133, No. 3, melodic line of bars 1–8

1

3 3 6 3 3 6 4 4 5 (F#-B) 3 (D#-F#) 3 3 3 3 3 3

A: I VI V⁷/V v iIII

7

4 3 3 3 3 5 3 3 3 3 4

A: v i⁷ V⁷/V V⁷ I V⁷/V V

Because the melodic notes in the first eight bars mostly are derived from their harmonies, there are very few non-harmonic notes. In bar 3, an appoggiatura $a^{\#1}$ on the first beat and a passing tone e^2 in the third beat embellish the melodic motion in a B^7 chord (see Example 3.6). Likewise, there are the two neighbor tones in bar 7: $g^{\#1}$ in the second beat and e^2 in the third beat. Except for these notes in bars 3 and 7, the melodic line in the first eight bars moves strictly in thirds (or sixth) or fifth (or fourth), directly outlining the harmony.

There are a number of harmonic motions in this movement that take a surprising path, and those harmonic progressions are often connected by a single note. Bars 4–5 in Example 3.7 show such an instance in a small scale. Whereas the B^7 chord in bar 3 anticipates an E major

chord in the following bar, an E minor chord appears instead on the first beat of bar 4. On the third beat of bar 4, this E minor harmony is briefly interrupted by an unexpected harmony of the C major chord, a lowered mediant chord of the tonic A major, before an E minor chord returns on the first beat of bar 5 with an accent marking on the melody. These harmonic changes of v - $^{\flat}III$ - v , however, do not sound abrupt, as an E continuously appears throughout these harmonies as a connecting thread.

Example 3.7 Op. 133, No. 3, bars 3–5

A: V^7/V v $^{\flat}III$ $v^{6/4}$ i^7 V^7/V

A few bars later, more surprising harmonic motions arise that are also connected by the same note E. On the first beat of bar 8, the preceding B^7 chord resolves to an E-major triad as the first cadential motion of the piece, concluding the first phrase of the movement (see Examples 3.6 and 3.8). In bar 8, there is no harmonic change. The melodic line in this bar gradually ascends an octave by arpeggiating the tonic triad, e^1 - $g^{\#1}$ - b^1 - e^2 , not only highlighting an E-major triad, but also building up a dramatic tension toward the upcoming harmony.

In bar 9, an extraordinary harmony of V^7 of an F-major chord suddenly emerges and reappears in bar 10. Considering the tonic of this movement, A major, venturing into a flat key area in the second phrase of a piece is a somewhat bold compositional maneuver (though certainly not an uncharacteristic of Schumann). Yet this unexpected modulation does not sound

10 that highlight the emergence of a B^b turn out to be a logical anticipation of the progression to an F[#] major chord on bar 12, as a B^b is soon redefined as an A[#], the decisive third note of in F[#] major, in bar 11. This F[#]-major chord is extended to bar 13 and emphasized by *sf* with a high a^{#2} in the soprano part in bar 13. F[#]-major harmony is prolonged further to the first beat of bar 17 through tonic and dominant motions. Thus, the two aforementioned extraordinary motions to a C-major chord in bar 4 and to a C^{7b} chord in bars 9–10 turn out to be a process that leads to the F[#] major harmony at the end of the second phrase.

In her Schenkerian analysis of this piece, Alessandra Feris proposes that the passage in bars 9 to 17, where F[#] major is emphasized, is “the intervening, thus non-functional, material” that is “interpolated.”¹⁵⁶ Example 3.9 shows her sketch of Schenkerian analysis (foreground) of bars 8–16.¹⁵⁷

Example 3.9 Feris’s sketch of Schenkerian analysis (foreground) of Op. 133, No. 3, bars 8–16

¹⁵⁶ Feris, “Schumann’s *Gesänge der Frühe*, Opus 133 from a Schenkerian Perspective,” D.M.A. diss., 19.

¹⁵⁷ *Ibid.*, 22.

However, I contend that the harmonic events and musical drama that occur in this passage are too significant to consider it as mere “intervening material.” Schumann’s deliberate emphasis on the harmony of F[#] major is crucial, as it foreshadows the major tonic of the following fourth movement. For Daverio, the importance of the F[#] major in the third movement provides even a prophetic aspect. He claims that this F[#] major and the tonic A major exhibit “tonal duality,” which “looks forward to the similar third-based dispositions in Brahms’ Intermezzo, Op. 118, No. 1 (A minor or A Phrygian verses F major).”¹⁵⁸

Form

The third movement is composed of three sections. Schumann’s earlier piano cycles frequently contain pieces in three-part form, and the middle sections of these earlier works almost invariably strongly contrast with the A sections that surround them. In this third *Gesang*, however, a rare type of ternary form is found. There is no contrasting section or phrase in this movement. Instead, all three sections begin with the opening phrase, which begins in the tonic, reflecting the strophic nature that was shown in the first *Gesang*. The three sections are connected by extended transitional phrases. Table 3.1 shows the overall structure of the piece. Whereas Daverio calls the form of this movement a “modified strophic form,” Marston describes it as having a “rondo-like, strophic form.”¹⁵⁹ What is emphasized in both these terms seems to be the significance of the repetition of the opening phrase.

¹⁵⁸ Daverio, “Madness or Prophecy?,” 194.

¹⁵⁹ Ibid., 197; Marston, “Schumann’s *Gesänge der Frühe*, op. 133: a “False Dawn”?,” 38.

Table 3.1 Structure of Op. 133, No. 3

Section	Bars	Comments
A	1–22	Bars 18–22 comprise a transitional passage
A ¹	23–42	Bars 31–42 comprise a transitional passage
A ²	43–63	A cadenza-like passage is included

There are recurring patterns in the opening bars of all of the three sections. Whereas the rhythm and the tonic harmony are the same in all three bars of 1, 23 and 43, both the melodic and the bass notes are modified. Example 3.10 shows that the three bass notes in the beginning of each section delineate an A-major triad: A in the first bar, C[#] in the analogous bar of the second section, and E in that of the third section.

Example 3.10 Op. 133, No. 3, melodic and bass notes of bars 1, 23 and 43

The A section of this movement consists of three phrases. The first phrase leads to a V on the first beat of bar 8, and the second phrase leads to a VI on the first beat of bar 17. In the five-bar long transitional phrase that follows, extended scalar motions with a prolonged d² in the soprano part build up the tension prior to the A¹ section from the upbeat to bar 23 (see Example 3.11).

Whereas the first two bars of the A¹ section modify the melody and bass lines of those of the A section, the remaining six bars of the first phrase of the A¹ section (bars 25–30) are

identical to those of the A section (bars 3–8), arriving on a V in bar 30 (Examples 3.6 above shows the melodic line of bars 3–8). However, the second phrase of the A¹ section that begins at bar 31 takes an entirely different path from the analogous phrase of the A section, which arrives at and emphasizes F[#] major chord (VI of A major) in bar 17 (see Example 3.7). Here, in contrast, an E major chord (V) is emphasized, as two parallel four-bar units of bars 31–34 and 35–38 features two half cadences in bars 34 and 38 (see Example 3.12).

Example 3.11 Op. 133, No. 3, bars 20–31

20 d^2

23 A¹ section

cresc.

24 25 27

30 The second phrase of the A¹ section

31 r. H.

A: V⁷/V V I V⁷/IV --

In the passage of bars 31–38, there is an emphasis on a D, albeit with a clear statement of a plain D-major chord is seemingly avoided. In bar 33, for example, whereas a melodic leap of the d^2 to the octave higher d^3 calls attention to a D, a B-minor chord that begins prominently already in bar 32 supports these melodic notes instead of a D-major chord. When a D-major

chord does appear on the first beat of the analogous bar 37 after a two-bar long V^7 of a D major (from the fourth beat of bar 34 to bar 36), this D-major appears with diminished impact. On the first beat, the appoggiatura G in both the soprano and alto parts here prevents the appearance of a plain D-major chord (see Example 3.12). When g^2 resolves to $f^{\#2}$ within the same beat, the bass moves to A, turning it into a six-four chord. This doubled bass A in octaves emphasizes A, thus it might give an impression of being an embellished root position of A-major six-four chord, rather than a D major chord in six-four position. This chord is accompanied by the widest melodic leap from $f^{\#2}$ to an octave higher $f^{\#3}$, the second highest note of the piece, which is also emphasized by a *sf*. As the melody descends to a d^2 , the harmony reverts to a B minor again.

Example 3.12 Op. 133, No. 3, bars 32–40

A: -- ii⁶ -- 5 V^{6/4} -- ^{5/3} V (half cadence) V⁷/IV--

IV -- ^{6/4} ii⁶ V^{6/5}/V

V (half cadence) The transitional passage to the third section

A clear harmonic resolution of V^7/D to a plain D-major chord does not appear until the A^2 section. This final section that begins on the upbeat to bar 43 is distinct from the previous two sections. Whereas the first three bars are almost identical to the opening phrase, a surprising digression occurs starting on the upbeat to bar 46. After the E-minor chord upbeat to bar 46, a long delayed harmonic motion of V^7/D to a plain D-major chord finally occurs in bars 46–47, as shown in Example 3.13. On the second beat of bar 47, the subdominant note, D, appears exclusively in doubled octaves with an accent marking. From this plain subdominant note, which is also the tonic note for the entire set, dramatic tension toward a climactic ending begins to build.

Example 3.13 Op. 133, No. 3, bars 45–47

A: V^7/V v V^7/IV IV V^7/V $V^{6/4}$ $--5/3$ $--6/4$ $--7$

In bar 48, the ascending melodic motion with octave unison in bar 47 is repeated, creating a sense of anticipation. Such tension continues to build up through an extended five-bar dominant pedal on the E in the bass part of bars 49–53. The cadential six-four chord in bar 53 resolves to the tonic in bar 54, as shown in Example 3.14. However, this tonic resolution turns

out not to be the final arrival of the piece, as it soon repeatedly alternates with a subdominant harmony in bars 54–55, yielding a sense of a plagal cadence.

Example 3.14 Op. 133, No. 3, bars 53–55

A: V^{6/4} V⁷ I IV^{6/4} I^{5/3} IV^{6/4} I^{5/3} IV^{6/4}

The *lebhaft* mood reaches its peak in the following final phrase of the piece. A prolonged dominant pedal appears again for the six bars of 56–61, with a cadenza-like flourish in the soprano part of bars 56–57 that adds a flamboyant feeling (see Example 3.15). The rhythmic energy and pompous style in the following passage from bar 58 that features the final harmonic resolution of V to I seem to suggest an orchestra *tutti* that follows after a cadenza.

A climactic feeling is continuously enhanced in the following bars, through the “bravura flourish” that points towards the final tonic arrival in bar 58.¹⁶⁰ After the dramatic tension and increasing sonority reach their peak on the downbeat of bar 62, where the highest melodic note, a³, is featured with the tonic chord, the piece suddenly takes a decisive turn: the descending melodic motion leads to the quiet ending of this movement (see Example 3.15). After the prolonged dramatic and sonorous A² section, this surprising change to a quiet ending leads to a final reiteration of the two tonic chords in bar 63. Since the distinctly lively characteristics of this

¹⁶⁰ Marston points out the “bravura flourish” in the cadenza-like passage; see Marston, “Schumann’s *Gesänge der Frühe*, op. 133: a “False Dawn”?,” 38).

movement, along with its cadenza-like passage, might initially give an impression that this piece is the grand finale of the set, a quiet ending also helps hint that the *Gesänge* is not finished yet. The final chord features the tonic note as a melody, unlike the four other movements. Note, incidentally, that this is also the only movement where the final chord is not prolonged by means of a fermata.¹⁶¹

Example 3.15 Op. 133, No. 3, bars 56–62

56

58

62 63

V^{6/4} --7

A: V^{6/4} --7

V^{6/4} --7 I

¹⁶¹ The final melodic notes of the four other movements are as follows: the third note (Nos. 1, 4 and 5), the fifth note (No. 2).

Relationship with Other Movements

According to Hans Köhler, who edited the 1984 Peters edition of the *Gesänge der Frühe*, “the central motif of no. 1 lies hidden behind the curtain of sound of the first bar.”¹⁶² Example 3.16 shows where those equivalent notes of the central motif of the D-major first movement, D-A-B-E, transposed up a fifth, are located in the A-major movement. Despite the presence of the notes D-A-B-E, however, their sequential order is altered in the third *Gesang*, where these appear in the order D-A-E-B. Furthermore, whereas D-A-B-E were continuously presented in the melody of the first movement without interruption, there are other notes in between Köhler’s choice of D-A-E-B in the third movement, such as c^{#2} and A on the first and second beats of bar 2, respectively, which obscure emphasis on D-A-E-B that he suggests.

Example 3.16 Op. 133, No. 3, bars 1–3

There are other inter-movement connections that one might cite here, however. There are melodic and tonal connections between the first and second movements, as noted in the previous chapter. Whereas there is a lack of melodic connection between the second and third movements, there nonetheless is a rhythmic connection, for subdivisions into three were also prevalent in the second movement: whereas the main beat of the second movement is in 4/4, each beat is

¹⁶² Köhler, “Concluding Remarks” to Robert Schumann, *Gesänge der Frühe* Opus 133, 18. However, this idea was originally suggested by Werner Schwarz. See, *Robert Schumann und die Variation* (Kassel: Bärenreiter Verlag, 1932), 70.

subdivided into three by the triplet rhythms that appear for the most part in the accompaniment figures. In the third movement, the triplets are no longer a subsidiary rhythm, but rather serve as the main rhythmic feature, thus a sense of “tripleness” reaches its peak with 9/8 meter.

In all, the continuous triple rhythms in both the second and third movements help promote a sense of connection between them. Furthermore, the dotted triple rhythm, which is the core rhythmic motion of the third movement, seems to be a result of a rhythmic synthesis of the triplet and the dotted rhythm that was featured in the second movement. If the continuous rhythmic drive of the triplets helps create the “animated” feeling in the second *belebt* movement, the addition of the dotted rhythms to each triple rhythmic group, which relentlessly occur throughout the movement, heightens *lebhaft* character of the movement.

Another underlying connection between these two movements is found in a harmonic feature. The frequent use of a G[#] in the D-major second *Gesang* seems to prepare the tonic key of the A-major third *Gesang*. Throughout the second movement, G[#] is often used as a passing note in the bass motions of G–G[#]–A.¹⁶³ When this progression appears as the first bass motion of the piece, however, G is only implied, but does not literally appear in the first bar, highlighting the passing note G[#] as the first bass note of the piece (see Example 3.17a). The following example 3.17b (bars 16–17) shows the same bass motion with the first G. Example 3.17c provides an example where the passing note G[#] is more emphasized than G and A in bar 20. Close to the end of the movement, g^{#1} appears again as the penultimate note on the fourth beat of bar 33, prior to the final melody a¹, as shown in Example 3.17d. All of these features help foreshadow the key of A of the following movement.

¹⁶³ These bass motions are found in bars 1–2, 4–5, 9–10, 16–17, 20, 22–23, and 25–26.

Examples 3.17a–d Op. 133, No. 2

a. bass motions of bars 1–2
1

b. bars 16–17
16

c. bar 20
20

d. soprano motions of bars 33–35
33

In the introduction of this study, it was suggested that textural and rhythmic features of the five *Gesänge* represent the notion of arch form.¹⁶⁴ In his article on Op. 133, Nicholas Marston also suggested “the arc-like trajectory” from the treatments of a^2 throughout the five *Gesänge*.¹⁶⁵ For him, the a^2 in bar 27 of no. 1 is “the long-delayed Kopftön of a 5-line *Uralinie*,” and “the gradual intensification [of a^2]...is played out across nos. 1–3... a^2 is increasingly stabilized and then prolonged across no. 4 before the abrupt resumption of previous concerns with the opening of no. 5.”¹⁶⁶

Several features in the third *Gesang* suggest that this piece is the pinnacle of the entire *Gesänge*, reinforcing the idea of an arch form. The thick chordal passages with incessant dotted triple rhythm are not only pianistically demanding, but also create a massive sound and an extremely exuberant mood. These rhythmic motions prompted Peter Frankl to call this *Gesang* a “mad” piece.¹⁶⁷ The cadenza-like passage close to the end of this piece enhances a unique sense

¹⁶⁴ See page 8 of this study.

¹⁶⁵ Marston, “Schumann’s *Gesänge der Frühe*, op. 133: a “False Dawn”?,” 35–39.

¹⁶⁶ *Ibid.*

¹⁶⁷ For Frankl, other “mad” pieces appeared in the last movement of the *Carnaval* and the Finale of the Third Piano Sonata, where “he [Schumann] wants go ahead, faster, and then “as fast as possible.”” He suggests that these rhythmic accelerations are “the fullest measure of romanticism,” thus “you can do

of climax that is not found elsewhere in the set. The extroverted and energetic mood of this third *Gesang* contrasts with the introverted and calm mood of the two outer movements (first and fifth), yielding a sense of an arch form. A similar sense of elevation and decline is also found in overall key scheme of the set, as the tonic key of A major functions as a axis of an arch form: whereas an ascending fifth motion is found from D major of the first and second movements to A major of the third movement, a descending fifth motion is followed through F[#] minor/major of the fourth movement and D major of the fifth movement.

it with lots of accelerandos and you don't have always to be strictly in rhythm." In the third *Gesang*, there is no indication in regard to a tempo in the last page. However, proper use of an *accelerando* would bolster the dramatic build-up in the final section. See John C. Tibbetts, *Schumann: A Chorus of Voices*, 337–8.

CHAPTER FOUR

THE FOURTH *GESANG*

Introduction

The fourth movement begins in F[#] minor, the relative minor key of the preceding third movement. Whereas this is the only *Gesang* among the five *Gesänge der Frühe* that features a minor mode, it concludes with coda section in F[#] major. These two contrasting sections do not simply represent a simple modal contrast for its own sake, but an emotional progression.

Through a comparison of effects that are found in some of Friedrich Hölderlin's poems, I will suggest that this movement bears characteristics of an elegy.

F[#] Minor, the Dynamics, and the Mood

Schumann employed F[#] minor in only a few of his piano compositions, such as the large-scale sonata in F[#] minor, op. 11 (completed in 1835)—which is based on his 1832 composition of an F[#]-minor *Fandango*—and the last movement of the eight *Novelletten*, Op. 21 (composed in 1838).¹⁶⁸ Examples 4.1 show the beginning of the introduction and the F[#]-minor fandango theme from the first movement of the F[#]-minor piano sonata, Op. 11. The initial notes of the accompaniment part and the melody in the introduction are emphasized with the strong dynamic

¹⁶⁸ The Fandango is one of the most popular Spanish traditional couple-dances in triple meter and lively tempo, often accompanied by a guitar or castanets. The music of the Fandango is characterized by a steady acceleration and by abrupt pauses. From the eighteenth century, composers used the fandango in both stage and instrumental works. For example, Mozart borrowed a fandango melody in A minor of Gluck's ballet *Don Juan* (1761) in the third-act finale of his opera *Le Nozze di Figaro* (1786). Beethoven also wrote a fandango theme in his 1810 sketchbook. (Israel J. Katz, "Fandango," in *Grove Music Online*, *Oxford Music Online*, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/09282> (accessed October 18, 2012); Janet Halfyard, "fandango," *The Oxford Companion to Music*, *Oxford Music Online*, <http://www.oxfordmusiconline.com/subscriber/article/opr/t114/e2410> (accessed December 22, 2012).

of *f* (see Example 4.1a). At the end of the first phrase in bar 13, there are not only more voices in the right hand part, but also the dynamic increases to *ff* (see Example 4.1b).

Examples 4.1a–c Schumann, Piano Sonata No. 1 in F[#] minor, op. 11, first movement,

a. bars 1–5

INTRODUZIONE.
Un poco Adagio. $f^{\#1}$ 4 5 $f^{\#}$

b. bars 11–15

11 13

c. bars 72–77

72 75 Fandango theme *Vivace*

The descending opening melodic line from $f^{\#1}$ to $f^{\#}$ in bars 1–5 covers an unusually low register for a soprano melody of a piano piece, overlapping with the accompaniments in bars 4–5. The consequent thick tone color and strong dynamics deepen the intensity of the melancholy feeling created by this F[#]-minor opening melody. The continuous rhythmic clashes between the pairs of double-dotted eighth- and thirty-second notes in the right-hand part and the triplets in the left-

hand part create the sense of agitation. These effects are reinforced by the repetitious rhythmic motive of the F[#]-minor Fandango theme, which appears at the pick-up to bar 75 (see Example 4.1c).

The beginning of the final movement of the *Novelletten*, Op. 21, also expresses a melancholy mood in a dramatic way. In addition to the initial *f* marking on the melodic upbeat, the ascending melodic line in bars 1–3 is emphasized with either an accent or a *sf* and is supported by the left-hand accompaniment that implies five consecutive diminished seventh chords (see Example 4.2).

Example 4.2 Schumann, *Novelletten*, Op. 21, No. 8, bars 1–3

Sehr lebhaft. (♩ = 100)

f#: dim.7th dim.7th dim.7th dim.7th dim.7th V⁷ i

Compared to the beginning of the introduction of the F[#]-minor sonata in Example 4.1a, where plain harmonic triads are mostly used, the striking sounds produced by these successive diminished seventh chords enhance a sense of agitation here. As the repetitions of diminished seventh chords increase the intensity of such agitation, this passage seems to express “raging pain,” which Ferdinand Hand describes as one of the characteristics of F[#] minor in his 1837 book, *Ästhetik der Tonkunst*.¹⁶⁹ The tonic key of F[#] minor is introduced through a harmonic

¹⁶⁹ In *Ästhetik der Tonkunst*, Ferdinand Hand wrote “F[#] or G^b minor is rightly called a serious, gloomy key; it expresses raging pain, harsh repugnance, ill-humour, bitter earnest, and also resentment.”

resolution of V^7 to i , which occurs with the descending melodic motion from the second beat of bar 3 to bar 4.

Similar to the beginning of the introduction of the F^\sharp -minor sonata and the last movement of the *Novelletten*, the main texture of the fourth *Gesang* includes the melody and repetitious accompaniment figures. These incessant thirty-second notes, which appear throughout the piece, convey a sense of restlessness. The beginning of this accompaniment part, however, presents neither plain harmonic triads like those of the sonata in Example 4.1a, nor striking diminished seventh chords like those of the *Novelletten* in Example 4.2, but a kind of mixture of the two.

On the upbeat to the first bar in Example 4.3, for example, the F^\sharp -minor triad appears with a non-harmonic neighbor note of $b^{\sharp 1}$. Likewise, the D major triad on the downbeat of the first bar is also embellished by non-harmonic notes of e^\sharp in the inner voice as well as $c^{\sharp 2}$ in the right-hand part. Non-harmonic notes constantly appear in other descending thirty-second-note accompaniment figures throughout the piece, and the consequent chromatic flavor evokes a feeling of pain and sorrow. This sensation is also intensified through the use of diminished seventh chords that are featured in bars 3 and 5.

This example also shows that the melody of the fourth *Gesang* begins at a^2 and most of the melody is placed in an unusually high register throughout the piece. The melodies of both the F^\sharp -minor sonata and the *Novelletten* in Examples 4.1a and 4.2, on the other hand, are in the middle register, as both pieces begins on $c^{\sharp 1}$. If solid and rich sonority from the use of the middle register in these pieces expresses a sense of pain in a rather unrefined way or “raging pain,” as suggested for the initial part of the *Novelletten*, the brighter sonority from the use of the high

This quote and translation comes from Rita Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries*, 2nd edition (Rochester, NY: University of Rochester, 2002). 269.

register and lyrical melodic line in this fourth *Gesang* seems to express a transformation of a sense of pain into a poignant lament.¹⁷⁰

Example 4.3 Schumann, *Gesänge der Frühe*, Op. 133, No. 4, bars 1–8

Bewegt. $\text{♩} = 72$.

f: i VI⁶ V^{6/5} i --⁶

dim. 7th i⁶ VI^{6/5} dim. 7th dim. 7th

i⁶ v VI⁶ V^{6/5} i

Similar to what was seen in the two earlier pieces of the F[#]-minor sonata and the *Novelletten*, the melody of the fourth *Gesang* is also marked with a *forte* (see Example 4.3). In the copyist's manuscript of the fourth movement, which is shown in Example 4.4, an interesting

¹⁷⁰ Ronald Brautigam, a Dutch pianist who also performs frequently on the fortepiano, insists that there are clearer differences between the registers of the earlier pianos than the modern pianos. For example, when an ascending scale is played, you can hear “the sound *traveling through the piano*.” See John C. Tibbetts, *Schumann: A Chorus of Voices*, 156.

emendation related to this dynamic marking is found. A marking of *f*, which is indicated between the two staves, is crossed out and another marking of *f* in a different handwriting style is written above the first melodic note. This correction of the placement of the *f* marking was made by Schumann himself, as the handwriting style of the newly-written *f* is identical to the same letter on the autograph title page of the manuscript.¹⁷¹

Example 4.4 Op. 133, No. 4, The copyist's manuscript of bars 1–3¹⁷²



Since the next two markings of *f* in bars 2 and 4 in the copyist's handwriting are correctly written above the melody, as shown in bar 2 in Example 4.4, the correction of the first *f* must have occurred due to the copyist's error.¹⁷³ This emendation might appear to indicate only a subtle difference. Yet, it shows an important concern of Schumann, namely, that only the melody, rather than the whole figure, is to be emphasized. Note that this is the only movement

¹⁷¹ Daverio notes that this title page was written by Schumann himself. See "Madness or Prophecy?," 197. For the letter F in the title page, see page 82 of this study.

¹⁷² Heinrich-Heine-Institut, Düsseldorf.

¹⁷³ The copyist's manuscript also shows that the two *f* markings in bars 8 and 10 were also added by Schumann. There is no further addition of a dynamic marking or a correction in the remaining bars of the fourth movement.

that begins with a strong dynamic of *f*, and even then only on the top note, as the four other movements of the *Gesänge* open quietly with either *p* or *pp*.¹⁷⁴

Form and Harmonic Features

This movement can be divided into four sections plus coda, as shown in Table 4.1. Despite distinct modifications in each section, the initial two bars of all four A sections are almost identical, exhibiting characteristics of a strophic form.

Table 4.1 Structure of Op. 133, No. 4

Section	Bars	Comments
A	1–8	
A ¹	9–16	
A ²	17–29	
A ³	30–42	
Coda	43–52	The mode is changed to F [#] major

The four strophe-like sections are also united by continuous thirty-second note figures that pervade the entire movement. As shown earlier in Example 4.3, the accompaniment figures in the first section of bars 1–8 involve descending motions. In the A¹ section, bars 9–16, the texture is identical to that of the A section, with descending accompaniment figures between the melody in the soprano part and the bass notes.

Much as in the A section, non-harmonic notes pervade these descending accompaniment figures of the A¹ section, as indicated in Example 4.5. Whereas the melody of the first four bars of the A¹ section (bars 9–12) resembles that of the A section, a new melodic motion involving only quarter notes is introduced in the second half of the A¹ section (bars 13–16).

¹⁷⁴ The first movement opens with a *pp*, whereas the second, third, and fifth movements begin with a *p*.

Example 4.5 Op. 133, No. 4, bars 13–15

The image shows a musical score for piano, specifically bars 13 through 15 of Op. 133, No. 4. The score is written in treble and bass clefs. It features a complex texture with multiple layers of melody, descending accompaniment figures, and a bass line. The notation includes various rhythmic values and articulation marks. The score is divided into four measures, with the first measure starting at bar 13. The notation is dense, with many notes and rests, and includes some dynamic markings and articulation symbols.

Unlike the previous two sections, which are composed of two four-bar units, the A^2 section consists of thirteen bars. The uneven number of bars in the A^2 section results from the extension that features new melodic and rhythmic motions. On the upbeat to bar 17, the A^2 section begins in exactly the same way as the other sections. Whereas the A^2 section continues the texture found in the preceding section—which comprises three layers of melody, descending accompaniment figures, and a bass line—the melody starting on the downbeat of bar 19 introduces a plain rhythmic figure of a group of four sixteenth-notes (see Example 4.6). This presentation of the new melody simultaneously occurs with a modulation to A major, the relative major harmony of the tonic of this movement. This presentation of an A major in a $F^\#$ minor/major piece also reminds us of a mediant relationship that often occurs in this cycle.

In this A-major territory, the harmonic rhythm accelerates compared to the previous two sections. That is, whereas the harmony changes once or twice per bar in the preceding passages, the number of harmonic shifts is increased to three or four in each bar of bars 19–23, except bar 21 (see Example 4.6). Among these fast harmonic changes, an A-major chord and a D-major chord are featured most frequently. For example, a D-major triad occurs on both the first and second beats of bar 20, and appears again on the downbeat of bar 22. A D-major chord is also highlighted in bar 12 of the previous A^1 section, as indicated in Example 4.10. These emphases

on D major are significant, as they foreshadow the return of the tonic key of the entire cycle in the immediately following last movement.

Example 4.6 Op. 133, No. 4, bars 18–25

E: V⁷ I
A: V I IV I IV I IV ii

A: V -- I IV ii V I IV V

I⁶ dim. 7th f#: V⁷ i

A preparation of modulation from the A-major area back to F[#] minor also coincides with the D-major chord in bar 22, where a unique melodic motion begins. The melodic motions in bar 22–24 seem to respond each other (see Example 4.6). In contrast to the melodic line of f^{#2}-d³-g^{#2} in bar 22, which is placed in a high soprano register, the following melodic line of A-d-e in bar 23 appears from a low bass register. The last notes of both of these melodic lines are harmonized

with a V of A major, which subsequently resolves to a I^6 in bar 24. This harmonic resolution on the tonic coincides with the appearance of a melody with a similar contour of $a^1-f^{\#2}-e^{\#2}$, which leads to a modulation to $F^{\#}$ minor, the key in which the piece began. Consecutive markings of *sf* in the melodic lines of bars 23–25 underline the significance of this transition.

Example 4.7 Op. 133, No. 4, bars 31–33

D: V^7 I

The A^3 section is extended with cadential motions. The first six bars of this section are very similar to that of the A^1 section, and thus a harmonic resolution to a D-major chord is highlighted once again in bars 32–33, as shown in Example 4.7. On the eighth bar of the A^3 section, the first cadential motions in this movement occur.

Example 4.8a shows that a cadential six-four to V^7 motion in bars 35–36 is followed by a vi chord in bar 37, yielding a deceptive cadence. Only three bars later in bar 41, a cadential six-four to V^7 motion appears again and proceeds to the tonic chord in bar 42 (see Example 4.8b). This tonic resolution in $F^{\#}$ minor, however, is not the final cadence of the piece, as the non-harmonic note $g^{\#1}$, which appears twice, prevents a plain statement of an $F^{\#}$ minor chord. From bar 43, the final passage of this movement appears with a new mode of $F^{\#}$ major. The repeated melodic note $f^{\#2}$ in bars 42 and 43 helps make the transition from $F^{\#}$ minor to $F^{\#}$ major coda section rather seamless, as does the continuation of the descending thirty-second note figures in the inner voice of the $F^{\#}$ -major section.

Examples 4.8a–b Op. 133, No. 4

a. bars 35–37

$f^\#$: $V^{6/4}$ $--^7$ vi (a false cadence)

b. bars 41–52

$f^\#$: $V^{6/4}$ $--^7$ i (a perfect cadence) $F^\#$: IV

$F^\#$: I (a plagal cadence) $V^{6/4}$ $--^7$ I (a perfect cadence)

$F^\#$: IV I (a plagal cadence) IV

$F^\#$: I (a plagal cadence)

The series of consecutive cadential motions continues in the $F^\#$ -major coda section. In bar 43, B-major harmony—the subdominant of $F^\#$ major—begins the coda section and it resolves to the tonic of $F^\#$ major in bar 44. This plagal cadence is followed by a perfect cadence on $F^\#$ major

in bars 45–46. In bars 47–50, a plagal cadential motion appears twice with almost identical notes to what was seen in bars 43–44. Significantly, with each melodic entry of the plagal progression, the melodic $f^{\#2}$ in bars 43, 47 and 49 is highlighted with an accent marking (see Example 4.8b). The figures that represent these plagal cadences are also surprisingly simple. For instance, the first three notes in bar 43 outline the subdominant chord of $F^{\#}$ major: the bass B, the $d^{\#2}$ in the inner voice, and the melody $f^{\#2}$. Likewise, the first three notes in bar 44 outline the tonic chord of $F^{\#}$ major: $F^{\#}$ - $a^{\#1}$ - $c^{\#2}$.

Almost two decades prior to the composition of this movement, Gustav Schilling described $F^{\#}$ major as the key that expresses “triumph over difficulty, the free sigh of relief upon surmounting hurdles, the echo of a soul that has fiercely struggled and finally conquered.”¹⁷⁵ The repeated use of simple fifth intervals in root position in the concluding plagal cadential motions creates a sonorous effect, as if a variation of an “amen” in a hymn. An unexpected reversal to this hymn-like conclusion in $F^{\#}$ -major after lengthy $F^{\#}$ -minor main part seems to yield senses of triumph and relief. These notions are also reflected in the metric pulse of the coda (see Example 4.11).

Metric Pulse

In addition to the dynamic marking of f , the initial melodic note, a^2 , is emphasized by the metric pulse. As shown in Example 4.9, which shows the fundamental soprano and bass motions of bars 1 to 4, every second beat is accented, instead of every first beat. For example, more emphasis is given to the initial upbeat than the following downbeat in bar 1, giving rise to the switch of a strong beat to the upbeat. The interval between the melody and bass notes of the

¹⁷⁵ Schilling’s comment in his 1835–36 treatise, *Universal-Lexicon der Tonkunst*, is quoted in Rita Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries*, 267.

upbeat is wider than the interval of the downbeat: whereas the melodic notes descend from the first upbeat, a^2 , to the following downbeat, d^1 , the bass notes ascend from $F^\#$ on the upbeat to an octave higher $f^\#$ in the following downbeat. Normally the first note under a slur is stressed and that the last note is weak unless otherwise indicated. Therefore, Schumann's dynamic marking of a *forte* on the initial upbeat and the following decrescendo marking reinforce this idea of emphasizing the upbeat. Likewise, a strong beat is shifted to the b^2 on the second beat of bar 1, as this note is slightly higher than the following a^2 , thus highlighting the $V^{6/5}$ before its resolution to i . The same shifts of the strong beats continue to occur in the following bars 3–4, as the melody of the first two bars is repeated in thirds higher in the next two bars.

Example 4.9 Op. 133, No. 4, soprano and bass lines of bars 1–4

Melodic repetition in thirds

Metric pulse: **Strong** weak **S** w **S** w **S** w **S**

5 w w **S** w **S** w w **S**

Whereas a strong beat and a weak beat regularly alternate in the first four bars, their order becomes unpredictable in the next four bars. On the upbeat to bar 5, this four-bar unit begins with a^2 (the upbeat to bar 5) to $d^{\#2}$ (the downbeat of bar 5), a modified version from the two

initial melodic notes, thus having the same shifted metric pulse of strong upbeat and weak downbeat that occurred in bar 1.

The following melodic contour from bar 6, however, engenders metric fluctuation. The melody reaches its peak on c^3 of the first beat of bar 6, thus finally making the notated downbeat serve as a strong beat. A descending melodic motion from e^2 of bar 7 to $c^{\#2}$ of bar 8 also results in a stronger beat to occur on the downbeat in bar 7. In bar 8, the strong beat is shifted again to the second beat, as the opening theme returns in an altered way. In all, the continuous metric conflict between notated downbeats and actual downbeats in the first five bars and metric resolution in bars 6–7 not only create a sense of intense inner struggle in accordance with the aforementioned effects that the key of $F^\#$ minor expresses, but also highlight the melodic peak on the downbeat of bar 6.

Example 4.10 Op. 133, No. 4, soprano and bass lines of bars 8–16

The second section

Metric pulse: weak **Strong** w S w S w S w S

A chromatic motion of $f^{\#2}$ (upbeat to bar 13)- g^2 (bar 14)- $g^{\#2}$ (bar 15)- a^2 (bar 16)

The third section

w S w S w S w S

It was noted earlier that non-harmonic notes constantly appear within the descending thirty-second-note accompaniment figures throughout the piece (see Example 4.3). In the first four bars of the second section (upbeat to bars 9–12), the melodic motion is slightly altered from what appears in bars 1–4 (see Examples 4.9 and 4.10). Thus, much as in the opening four bars, strong beats repeatedly occur on the upbeats of bars 9–12. This shifted metric pulse continues in the following four bars of the second section. From upbeats to bars 13 through 16, all four upbeats are emphasized with accent markings, underscoring an ascending chromatic motion of $f^{\#2}-g^2-g^{\#2}-a^2$. These accents on the four upbeats continuously shift the metric pulse, giving rise to metric regularity in the second section.

Example 4.11 Op. 133, No. 4, soprano and bass lines of bars 43–52

Metric pulse: **Strong** weak S w S w S w S w S w S w

Whereas occasional shifts of metric pulses occur in the remainder of the $F^{\#}$ -minor section, all of the actual downbeats suddenly are aligned with the notated downbeats in the final passage (see Example 4.11). This clearing of the metric conflicts between notated downbeats and actual

downbeats that occur frequently throughout the F[#]-minor section also coincides with the mode shift to F[#] major in the final passage. If the earlier metrical conflicts in the F[#]-minor section gave rise to a sense of tension, the reordering of metric pulse in the F[#]-major final passage of the piece—along with the change to major—produces a sense of relief and resolution.

Examples 4.12a–b Schumann, *Kreisleriana*, Op. 16, No. 2,

a. bars 92–93¹⁷⁶

Intermezzo II
Etwas bewegter M.M. ♩ = 112
Poco più mosso

Metric Pulse: **Strong** weak w **S** w w **S**

b. bars 115–118

w w **S** w w **S** w w **S** **S**

In his book *Fantasy Pieces*, Harald Krebs points out that such simultaneous resolution of metrical dissonance and a significant large-scale harmonic resolution is also featured in Schumann's earlier pieces.¹⁷⁷ From the beginning of the second Intermezzo of the second piece

¹⁷⁶ The measure numbers are based on the first edition of the *Kreisleriana*, which is published by Breitkopf & Härtel. Note that Schumann excluded some part of the second movement in the second edition.

of *Kreisleriana*, Op. 16, notable shifts of metric pulses occur. In bar 92, the soprano melodic notes $e^{b1}-d^1-c^1-e^{b1}$, which are grouped by a slur, shows a descending and then an ascending motion (see Example 4.12a). This melodic contour emphasizes the first e^{b1} , thus shifting the strong beat to the upbeat to the first bar. The same melodic pattern is featured again in bar 93, giving rise to the same shift of metric pulse as bar 92. Throughout the second Intermezzo of this piece, metric pulses are continuously shifted, thus a strong beat never occurs on downbeat. Toward the end of the second Intermezzo, the same melodic contour of the beginning of this Intermezzo shifts a strong beat to the upbeats to bars 116 and 117 (see Example 4.12b). Such metric dissonance is resolved in bar 118, where the tonic of this Intermezzo is clearly declared.

In the last bar of the fourth *Gesang*, however, a surprising gesture appears to break metric congruity. In bar 52, the tonic appears as but an eighth-note in the bass on the downbeat, and a densely voiced $F^\#$ -major chord appears on the second beat (see Example 4.11). As such, the second beat could be perceived as another strong beat, since this multiple voiced final chord stands out more than the tonic note on the downbeat. For these reasons, I would argue that the final bar should be played in fairly strict rhythm, so the second beat will be heard as a weak beat.

The Last Bar

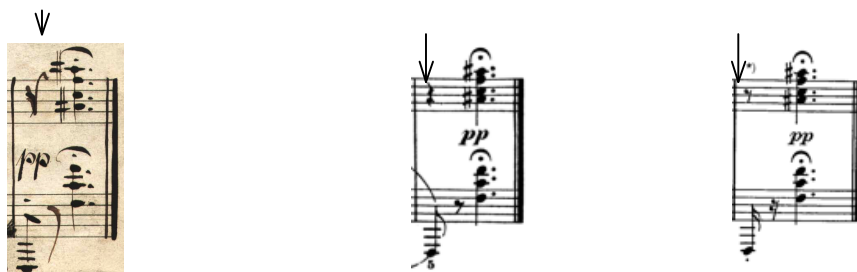
There are subtle differences among the various editions regarding the last bar of the fourth movement. Examples 4.13a–c show the last bar in the copyist's manuscript as well as that in two other currently available editions, one by Peters, published in 1984, and the other by Henle, published in 2009. Like the Breitkopf und Härtel edition (which was edited by Clara

¹⁷⁷ Krebs, *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann*, 115.

Schumann and is shown in Example 4.8b), both the Peters and Henle editions show a *pp* on the final F[#]-major chord (see Examples 4.13b and c).¹⁷⁸

Examples 4.13a–c Op. 133, No. 4, bar 52

a. The copyist's manuscript¹⁷⁹ b. Peters edition (1984) c. Henle edition (2009)



In contrast, in the copyist's manuscript, the *pp* is given on the downbeat F[#]₁ in the bass instead (see Example 4.13a). As Example 4.12b shows, the F[#]₁ on the downbeat of bar 52 concludes thirty-second-note figurations in bars 50–51 that show a downward motion. Therefore, in performance, the tonic bass in the final bar might sound as if it belongs to the previous fast note group and the final F[#]-major chord is a downbeat. Schumann's indication of the *pp* on the downbeat F[#]₁, instead of the following chord, seems to confirm the metric hierarchy of the final bar: the strong beat occurs on the downbeat, thus the final chord belongs to the tonic bass note. Despite the eighth-rest after the downbeat F[#]₁ in the bass, the low and deep sonority of this tonic would continue to resonate until the final chord comes in. As if a realization of harmonics of the downbeat F[#]₁, the final chord outlines the notes that were implied in the downbeat. In contrast to the F[#]₁, the melody of the final chord, a^{#2}, is also located in high register. The use of the third

¹⁷⁸ A *pp* is also indicated on the final chord in Schirmer edition, which was edited by Harold Bauer and published in 1945.

¹⁷⁹ Heinrich-Heine-Institut, Düsseldorf.

note of the tonic triad in the top voice also weakens the cadential effect, or at least makes the end of the piece sound less final.

Examples 4.13a and c also exhibit rhythmic notational discrepancies between the copyist's manuscript and the Henle edition. (Note that the Peters edition is rhythmically identical to the manuscript.) Whereas one full beat, which is equivalent to a quarter note, precedes the dotted quarter-note in the copyist's manuscript, it is replaced by a half beat, which is equivalent to an eighth note, in the Henle edition. Further rhythmic discrepancies were noticed by Ernst Hertrich, who edited the 2009 Henle publication, among other primary sources of the *Gesänge*: whereas the original notation of a quarter rest and a quarter note in the upper staff in the Autograph was changed to a new notation of an eighth rest and a dotted quarter note in the inserted leaf of the Autograph, the first edition shows the same rhythmic notation as the copyist's manuscript.¹⁸⁰ Among these options from primary sources, Hertrich's final decision for Henle edition was to follow Clara Schumann's choice in Breitkopf und Härtel edition, which is shown in Example 4.13c. This rendition is based on his conclusion that "Schumann chiefly had the rhythm of the right hand (♩♩.) in mind" and the notational error occurred in the left hand part, thus an assimilation of a sixteenth note and a sixteenth rest to the eighth rest in the right hand was made.¹⁸¹

By a careful examination of the copyist's manuscript, it can be seen that the quarter rest on the upper staff was overwritten above an eighth rest by Schumann.¹⁸² The uncorrected earlier version including the eighth rest and the following dotted quarter note in the right hand is

¹⁸⁰ See "Comments" in *Gesänge der Frühe*: opus 133, ed. Ernst Hertrich (München: G. Henle Verlag, 2009), 23–4. Hertrich noted that the autograph that belongs to a private collection in south Germany is currently unavailable, and his findings are based on photocopies.

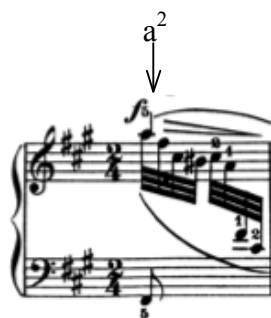
¹⁸¹ *Ibid.*, 24.

¹⁸² Hertrich confirms that it is Schumann's own correction.

identical to the inserted leaf of the Autograph, upon which Herttrich's claim is based. If Schumann were satisfied with the eighth rest of the right hand, however, its correction to the quarter rest would not have occurred in the copyist's manuscript, thus suggesting that the composer's intention is indicated the most accurately in the manuscript.

Examples 4.14a–b Op. 133, No. 4

a. the upbeat to the first bar



b. the last bar



Perhaps both Clara and Herttrich's inclination to the eighth rest is to correctly complete the bar, since a quarter rest and the following dotted quarter note in the copyist's manuscript would exceed the allotted number of beats for a bar in a 2/4 piece. However, the beats would exceed the limit regardless of whether an eighth rest or a quarter rest was chosen, since this movement began with an incomplete bar that has a quarter-note upbeat, and thus this last bar is supposed to have only one beat (see Examples 4.14a and b). One might then wonder why Schumann wrote the final F[#]-major chord that obviously goes against such a basic compositional rationale. The irony that this chord is placed in a beat that is not supposed to exist seems to substantiate the earlier suggested idea that the final chord is an realization of the harmonic identity of the downbeat F[#]₁, as if an echo of the previous tonic note.

Relationship with Other Movements

The third and fourth movements connect in various ways. First, the tonic keys of these pieces exhibit a relative key relationship. Secondly, the first melodic note of the fourth movement is a^2 , which is also the final melodic note of the third movement (see Example 4.14a). In his article on Op. 133, Nicholas Marston points out that this a^2 functions as “an important (and aurally prominent) connective agent between nos 3 and 4.”¹⁸³ Thirdly, like the third *Gesang*, there is a single rhythmic motion that repeatedly occurs throughout each movement: whereas a dotted rhythm is repeated in the third movement, thirty-second-notes persist in the fourth movement. In addition to these features that connect the third and fourth movements, the emphasis on the key of D major, as discussed earlier, foreshadows the tonic of the following fifth movement.

Elegy

In her essay on Schumann’s piano music, Kathleen Dale summarizes the fourth movement of the *Gesänge der Frühe* as follows: “The gracefully flowing figuration in No. 4 is stultified by the indecisive theme...”¹⁸⁴ For Alessandra Feris, on the other hand, this F[#]-minor/major movement is “a ‘passing’ piece between the overall dominant A major (expanded throughout Op. 133/3) and the tonic D major (which returns in Op. 133/5).”¹⁸⁵

Even though these two views deal with different features of the fourth movement, both of them seem to not only assign a transient nature to this movement, but they also underplay its

¹⁸³ Nicholas Marston, “Schumann’s *Gesänge der Frühe*, op. 133: a “False Dawn”?,” 33.

¹⁸⁴ Kathleen Dale, “The Piano Music,” In *Schumann: a Symposium*, ed. Gerald Abraham, 12–97 (London and New York: Oxford University Press, 1952), 70.

¹⁸⁵ Feris, “Schumann’s *Gesänge der Frühe*, Opus 133 from a Schenkerian Perspective,” 27.

poetic implications. There is no doubt that the modal conflicts between F[#] minor and major here create a sense of connection among the three last movements, reinforcing the notion of a cycle in the entire *Gesänge der Frühe*.¹⁸⁶ However, the unique moods and consequent implications of this piece are too significant to consider this *Gesang* a mere “passing” piece.

In the first chapter, it was noted that the cancelled inscription of “An Diotima” in the original title page of the engraver’s copy of Op. 133 has prompted several distinct interpretations, especially in relation to a number of references to “Diotima” in Friedrich Hölderlin’s works.¹⁸⁷ References to “Diotima” appear in various poems of Hölderlin that represent diverse motifs.¹⁸⁸ One of these poems that include “Diotima” is Hölderlin’s “Der Abschied,” which portrays “the theme of separation,” as Daverio calls it.¹⁸⁹ In this ode, Diotima represents the poet’s beloved whom the poet does not want to leave.¹⁹⁰ From its beginning, a sense of pain of the departure is evident:

Trennen wollten wir uns? Wähnten es gut und klug?
Da wirs thaten, warum schrökte, wie Mord, die That?

¹⁸⁶ As you might recall, it was also noted in the previous chapter that the overall key scheme of Op. 133 yields an arch form (see page 107 of this study).

¹⁸⁷ See pages 23–25 of this dissertation.

¹⁸⁸ Daverio summarizes these various motifs in Hölderlin’s poems that “Diotima” is represented. See Daverio, “Madness or Prophecy?,” 199.

¹⁸⁹ Whereas “Der Abschied” is widely considered an ode by scholars such as Emery George, who edited and translated *Selected Poems* by Friedrich Hölderlin, Daverio refers it as an “elegy on Diotima’s departure” (See Daverio, “Madness or Prophecy?,” 199).

¹⁹⁰ Hölderlin began to work as a private tutor for a boy of Jakob Friedrich Gontard, a banker in Frankfurt during 1796–98. He fell in love with Susette Gontard, the wife of his employer, and their relationship was continued until their last meeting of May 8, 1800, after which he began writing elegies. According to Nick Hoff, this experience of love was “decisive” in Hölderlin’s artistry. His poem, “Diotima,” for example, directly refers to Susette Gontard. See Friedrich Hölderlin, *Odes and Elegies*, edited and translated by Nick Hoff (Middletown, Connecticut: Wesleyan University Press, 2008), xv–xvii. This ode “Der Abschied” seems to convey Hölderlin’s own experience of parting from his beloved Susette Gontard.

Were we planning to part? fancied it bright and good?
As we did it, then why should it, like murder, scare?¹⁹¹

This theme of separation is also found in a significantly lengthier poem by Hölderlin that consists of nine sections in the elegiac form, “Menons Klagen um Diotima” (Menon’s Lament for Diotima). However, “Diotima” in this elegy seems to be a different persona from that of the earlier ode, “Der Abschied.” The beginning of this elegy depicts the poet’s “lament” (*Klagen*) on the separation from his love and his wandering to seek “peace” (*Ruh*). In the second section, the poet tells us about “a sound” (*ein Laut*) that is “filled with hope” (*hoffend*), despite the fact that he is still in the midst of his pain.

Soll es seyn, so vergiß dein Heil, und schlummere klanglos!
Aber doch quillt ein Laut hoffend im Busen dir auf,
Should that be, then forget about healing, and sleep away soundless!
And yet a sound wells up, filed with hope, in your heart,¹⁹²

At the end of the third section, the poet implores “Diotima” to be “round *us*”, rather than “me,” implying the poet and his lover. Therefore, “Diotima” seems to represent the “Light of love” (*Licht der Liebe*), the poetic figure that the poet calls upon in the beginning of the same section, to embrace the poet and his lover “warmly and ever at one.”

Licht der Liebe! Scheinest du denn auch Todten, du goldnes!
...
Denn sie alle die Tag’ und Jahre der Sterne, sie waren
Diotima! Um uns innig und ewig vereint;

¹⁹¹ Friedrich Hölderlin, *Selected Poems*, edited and translated by Emery George (Princeton: Kylix Press, 2012), 298–99. Note that this book presents the second version of “Der Abschied.”

¹⁹² *Ibid.*, 368–69.

Light of love! Do you shine for the dead too, you aureate essence!

...

For they, all of them, days and years of the bright constellations,

Were, Diotima! round us, warmly and ever at one;¹⁹³

Throughout this elegy, despite his lament and pain, the poet continuously seeks for hope, love, and renewal. As “a sound” (*ein Laut*) was the agent that brought “hope” (*hoffend*) in the aforementioned stanzas, the final stanzas reaffirm the relationship between the notion of “renewal” (*von neuem*) and “singing” (*die Gesänge*).

Wo die Gesänge wahr, und länger die Frühlinge schön sind,

Und von neuem ein Jahr unserer Seele beginnt.

Where our singing rings true and springs last longer in beauty,

And in renewal a year of our soul shall begin.¹⁹⁴

The poet’s strong hope to reunite with Diotima is also manifested in the aforementioned “Der Abschied.”

Hingehn will ich. Vielleicht seh’ ich in langer Zeit

Diotima! Dich hier. Aber verblutet ist

Forth I’ll go. And perhaps, in a long lapse of time,

Diotima! I’ll see you here. But it’s bled white,¹⁹⁵

¹⁹³ Hölderlin, *Selected Poems*, 370–71.

¹⁹⁴ *Ibid.*, 376–77. For Scott Burnham, the earlier reference of “An Diotima” in Op. 133 is found in these final stanza of “Menons Klage um Diotima.” See Burnham, “Late Styles,” In *Rethinking Schumann*, eds. Roe-Kin Kok and Laura Tunbridge (Oxford and New York: Oxford University Press, 2011), 423.

¹⁹⁵ Hölderlin, *Selected Poems*, 300–1.

Similar to “Menons Klagen,” there is a reference to “Sang” (song) in the final stanza of “Der Abschied.”

Staunend seh' ich dich an, Stimmen und süßen Sang,
 Wie aus voriger Zeit hör' ich und Saitenspiel,
 Und die Lilie duftet
 Golden über dem Bach uns auf.

Gazing at you amazed, voices and sweetest song
 As from earlier times I hear, and an air for strings,
 And the lily sends golden
 Fragrance over the brook to us.¹⁹⁶

The term “elegy” has been used to denote a musical genre as well. According to Malcom Boyd, an elegy is “a setting of a poem, or an instrumental piece, lamenting the loss of someone deceased.”¹⁹⁷ He further explains that since “elegiac sentiment was prominent in German Romantic poetry,” an elegy for nineteenth-century composers such as Schumann became “a vehicle for expressing personal feelings about death,” rather than “an epicedium for a departed friend or hero.” Perhaps this nineteenth-century notion of an elegy is reflected in Daverio’s view of “Der Abschied” as an elegy, as the poet’s feelings about the separation from Diotima, which is depicted in the poem, is as desolate as a death.¹⁹⁸

The sense of lament and poignant pain that is expressed in the F[#]-minor part of the fourth movement of the *Gesänge* seems to reflect the character of an elegy. As in “Menons Klagen,” where the senses of hope, love, and renewal resonate strongly despite the poet’s lament and pain,

¹⁹⁶ Hölderlin, *Selected Poems*, 300–1.

¹⁹⁷ Malcolm Boyd, “Elegy,” in *Grove Music Online, Oxford Music Online*, <http://www.oxfordmusiconline.com/subscriber/article/grove/music/08701> (accessed April 11, 2012).

¹⁹⁸ Daverio, “Madness or Prophecy?,” 199.

so is the earlier elegiac lamentation and sadness of the fourth *Gesang* reconciled at the end of the piece, where the plagal conclusion in the tonic major key occurs.

The theme of “Abschied” is also found in one of Schumann’s last song cycles for solo voice, *Gedichte der Königin Maria Stuart*, Op. 135, which was written in 1852 (about a year earlier than the *Gesänge der Frühe*).¹⁹⁹ In the first E-minor piece “Abschied von Frankreich,” Mary’s heartfelt sadness upon her departure from her beloved France is depicted. This piece features a texture similar to that in the fourth *Gesang* of Op. 133. Much as the melody is mostly integrated to accompaniment figures in Op. 133, so the entire melody of Op. 135, which depicts a feeling of “Abschied,” is incorporated into sixteenth-note piano accompaniment figures, as shown in Example 4.15.

Example 4.15 Schumann, *Gedichte der Königin Maria Stuart*, Op. 135, No. 1, ‘Abschied von Frankreich,’ bars 1–4

The musical score for Example 4.15 is presented in two systems. The first system shows the vocal line and piano accompaniment for the first two bars. The tempo is marked "Ziemlich langsam." and the dynamics are "p". The lyrics are "Ich zieh' da.hin, da -". The second system shows the vocal line and piano accompaniment for the next two bars. The lyrics are "hin! A - - de, mein früh - lich Fran - ken -". The piano accompaniment features a prominent sixteenth-note figure in the right hand, which is circled in the original image.

¹⁹⁹ Like the *Gesänge*, this song cycle consists of five pieces, which were written upon five poems that were attributed to Mary Stuart herself. These poems were selected from *Rose und Disteln*, an English and Scottish verse anthology by Gisbert Vincke.

Examples 4.14a and b above showed the first and final melodic notes of this movement, a^2 and $a^{\#2}$, respectively. For Marston, the concluding note is “the chromatic alteration” of the beginning note and the “registral continuity” of this movement is operated through these two notes.²⁰⁰ However, the implication of these two notes seems to go even further than that. They are the third scale degrees of $F^\#$ minor and $F^\#$ major, and thus they represent the fundamental difference between these two modal areas. As such, presenting a^2 in the beginning and $a^{\#2}$ at the end implies not only the essential changes of the tonic minor to major, but also the subsequent dramatic change of mood from the pain and lament to the hope and renewal.

The bright timbre of this prolonged final $F^\#$ major in *pp* resonates beautifully, as if a light glitters in a dawn after a dark night. This reversal of pain to a certain hope coincides with Gustav Schilling’s view of $F^\#$ major:

The most inner feeling has worked its way up out of pain and violently seizes the joy which has eluded it, this, in our opinion, is $F^\#$ major.²⁰¹

In the aforementioned poems of Hölderlin, where a song is referred to in their conclusion, the poet’s pain is also transformed to hope for reunion and renewal. A similar transformation from lament to hope for the dawn (*der Frühe*) seems to be conveyed in this, Schumann’s fourth *Gesang*.

²⁰⁰ Marston, “Schumann’s *Gesänge der Frühe*, op. 133: a “False Dawn”?,” 30.

²⁰¹ Schilling’s comment in his 1835–36 treatise, *Universal-Lexicon der Tonkunst*, is quoted in Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries*, 267.

CHAPTER FIVE

THE FIFTH *GESANG*

Introduction

According to Peter Frankl, who recorded Schumann's entire piano oeuvre, the fifth *Gesang* has an "end of lied" character that "seems to round off his [Schumann's] piano music writing, as if he's saying farewell to it."²⁰² This final movement of the *Gesänge der Frühe* opens with a chorale theme that is the foundation of the entire piece. It provides the source for the melodic content, harmonic interrelationships, and formal coherence. It also becomes another basis to demonstrate the meaning of *Gesang* as "hymn" that was shown in the first movement.

Some of its features within this movement seem to refer to other movements with the set, such as the first movement, the fourth movement, and the set as a whole. Furthermore, some characteristics seem to allude to the third movement of the E major Piano Sonata, Op. 109, by Beethoven, and there are also possible poetic imageries that seem to refer to the rather enigmatic title of the set, *Gesänge der Frühe*, which are embedded in this last movement.

The Third Movement of Beethoven's Sonata for Piano in E major, Op. 109

Schumann was not the first composer to call a keyboard piece a "Gesang." In 1820, Beethoven composed the third movement of his Sonata for Piano in E major, Op. 109, which is in a theme and variation form. In his sketch of the final variation of this sonata, Beethoven designated the main theme, which also has a chorale-like texture, as "Gesang."²⁰³ Perhaps not

²⁰² John C. Tibbetts, *Schumann: A Chorus of Voices*, 359.

coincidentally, this final variation of the third movement of the Beethoven's sonata and the final movement of Schumann's *Gesänge der Frühe* share other features as well.

Schumann's final movement of the *Gesänge* involves two different textures that suggest contrasting feelings. Whereas the opening phrase of bars 1–8 is chorale-like, continuous sixteenth-note figures are combined with the preexisting chordal motion in the rest of the piece. These sixteenth-note figures are either in oscillating (Example 5.1a) or in arpeggiating motions (Example 5.1b). If there is a static feeling in the opening texture, the relentlessly moving rhythmic figures bring in a contrastingly vivacious feeling.

Examples 5.1a–b Schumann, *Gesänge der Frühe*, Op. 133, No. 5

a. bars 8–10 (oscillating figures)

b. bars 34–35 (arpeggiating figures)

²⁰³ William Kinderman, "Metamorphosis and Transfiguration in Beethoven's Late Piano Works," in *Verwandlungsmusik Über komponierte Transfigurationen*, ed. Andreas Dorschel (Wien and New York: Universal Edition, 2007), 96.

A similar compositional transformation is found in the final variation of the third movement of Beethoven's Op. 109. This section begins in three-part texture. The gradual rhythmic diminution that occurs on harmonically supporting voices soon introduces oscillating figures, as shown in Example 5.2a. As these figures accelerate, they gradually transform themselves into trills, which are accompanied by arpeggiations (see Example 5.2b).

Examples 5.2a–b Ludwig van Beethoven, Sonata for Piano in E major, Op. 109, III, Variation VI

a. bars 6–8 (oscillating figures)

b. bars 17–18 (trills with arpeggiations)

According to William Kinderman, this variation is “one of his [Beethoven’s] most fascinating exercises in compositional transformation.”²⁰⁴ Whereas Beethoven’s oscillating figures are contained within harmonic boundaries, however, Schumann’s figures are not limited in such a manner. Rather, they freely explore various non-harmonic notes, thereby evoking improvisatory characteristics. As such, textural transformation in Schumann’s *Gesänge* is combined with harmonic expansion, giving rise to a remarkably full and colorful sonority. Also contributing to the fuller sonority here is Schumann’s doubling of the oscillating voices in thirds, as opposed to Beethoven’s doublings in octaves.

Schumann’s apparent compositional concerns with the color of the sound and thick texture suggest that the composer’s concept of the piece might go beyond the keyboard itself. In the preface of the *Gesänge* published by Schirmer, its editor and an accomplished pianist Harold Bauer, wrote that

It seems a pity that the composer did not employ a medium other than the piano for these pieces, some of which have decided orchestral connotations, while others would have gained by being arranged for different combinations.²⁰⁵

Adelina de Lara, who studied piano with Clara Schumann for nearly six years in Frankfurt, similarly suggested that Schumann’s piano music is “extremely orchestral.”²⁰⁶ In her talk entitled “Clara Schumann’s Teaching,” she recollected that Clara Schumann treated the piano as an

²⁰⁴ Kinderman, “Metamorphosis and Transfiguration in Beethoven’s Late Piano Works,” 96.

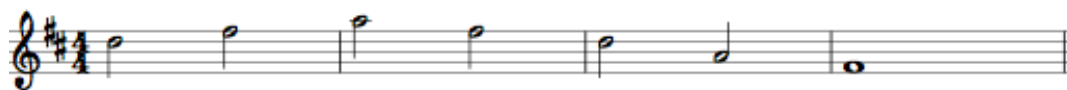
²⁰⁵ Robert Schumann, *Songs of the Dawn* Op. 133, ed. Harold Bauer, preface.

²⁰⁶ Based on her talk before the Society of Woman Musicians on January 27th 1945, Adelina de Lara published a paper. See Adelina de Lara, “Clara Schumann’s Teaching,” *Music & Letters* 26, no. 3 (1945), 143–147. Part of this talk is available on the web at <http://www.youtube.com/watch?v=j0H0P6094-8> (accessed April 11, 2012).

orchestra and she “required her pupils to consider every minute phrase and to express it as though it were given to a separate instrument.”²⁰⁷

Another significant similarity between the two last movements of Schumann’s *Gesänge* and Beethoven’s Op. 109 may be found in the final notes of these works. The last four bars of Schumann’s piece stay on the tonic chord of D major: the melodic line in these bars outlines a D major triad with ascending and descending motions (see Example 5.3). It finishes with an inconclusive-sounding $f^{\#1}$, the third scale degree of D major, in the melody. As Examples 5.1a shows, the main chorale theme in bar 8 also concluded with an $f^{\#1}$, and the resulting inconclusiveness helps connect this phrase to the ensuing one. However, having such an ending as a final note not only of the fifth movement but also of the entire set produces a rather unresolved feeling, thereby suggesting some possible poetic meaning.

Example 5.3 Op. 133, No. 5, soprano part of bars 37–40



In the last movement of Beethoven’s Op. 109, the E major main theme, whose melodic line also ends on the third scale-degree, $g^{\#1}$, reappears at the end of the piece, thus concluding the whole sonata. In the first edition of the sonata, there are two meaningful markings for the final measure of the piece: “ritardando” is indicated for the last two chords, and a pedal marking is indicated for the last chord (see Example 5.4).²⁰⁸ Kinderman suggests that Beethoven added the

²⁰⁷ de Lara, “Clara Schumann’s Teaching,” 145.

²⁰⁸ The first edition of the sonata can be found in http://imslp.org/wiki/Piano_Sonata_No.30,_Op.109_%28Beethoven,_Ludwig_van%29 (accessed

pedal marking on this final chord of the piece in pencil in the autograph score, and this pedal marking allows “the final sound resonate freely—for as long as it remains audible—and to listen beyond.”²⁰⁹ Such pedal marking also affects the color of the sound, especially on the pianos of Beethoven’s day, where the damper pedal was used primarily for coloristic effect.

Example 5.4 Beethoven, Op. 109, III, Variation VI, bars 50–51



Although there is no pedal marking in Schumann’s final chord, similar implications seem to be embedded in the final four bars of his piece. Example 5.5a shows that there is an indication of “Verhallend nach und nach,” which means “gradually dying away,” toward the end of the piece. Whereas the four words are written together above bar 37 in most editions that are currently available, those words are spread over bars 37–39 in the copyist’s manuscript, as shown in Example 5.5b.²¹⁰ This finding seems to suggest the composer’s emphasis of gradual process of disappearing sound. The sonority that is created from a gradually disappearing D major triad fittingly prepares the inconclusive and resonant F[#], which is marked with a *pp*. This final melodic note of the entire set seems to convey that the “song of the dawn” may continue to resonate in the listeners’ minds, even after the music ends.

September 15, 2012). The two markings of the final measure in the first edition also appear in Breitkopf & Härtel edition (1862–90), which is in public domain, thus shown as Example 5.4.

²⁰⁹ Kinderman, “Metamorphosis and Transfiguration in Beethoven’s Late Piano Works,” 101.

²¹⁰ Breitkopf & Härtel edition, which was edited by Clara Schumann, shows the same indication as the copyist’s manuscript.

Examples 5.5a–b Op. 133, No. 5, bars 37–40²¹¹

a. Peters edition



D: I

b. The copyist's manuscript



The similar features in these pieces by Schumann and Beethoven might well suggest a significant relationship. Schumann's profound admiration of Beethoven's music is widely discussed in the musicological literature. Furthermore, Beethoven's Op. 109 was one of Clara Schumann's favorite Beethoven sonatas.²¹² As such, it is highly likely that Schumann was thoroughly acquainted with this late sonata by Beethoven. Therefore, I would argue that it is not unreasonable to suppose that these similar compositional features might indicate a homage to Beethoven's late sonata.

²¹¹ The score that appears in Example 5.5a was edited by Adolf Ruthardt (1849–1934) and published by C.F.Peters in Leipzig, and it is in public domain. This image of the copyist's manuscript in Example 5.5b appears here through the courtesy of Heinrich-Heine-Institut, Düsseldorf.

²¹² In a book on Clara Schumann, Florence May writes, "...she[Clara] was perhaps at her finest in works of Beethoven and Schumann. Of Beethoven's sonatas, besides the Op. 53 in C major and the Op. 57 in F minor, Op. 101 in A major and Op. 109 in E major were particular favorites with her during the middle and later years of her career." See Florence May, *The Girlhood of Clara Schumann* (Charleston, SC: BiblioLife, 2009), 328.

Connections to the First Movement of the Set

Features in the last movement of Schumann's Op. 133 also relate to those found in the earlier movements within this same set, most notably the first movement. For instance, the main themes of both the first and last movements have a chorale-like texture and the melodic lines of both themes conclude on the third scale degree of D major. Furthermore, continuous intervallic seconds, a minimal unit of oscillating figures, play an important role in both movements.²¹³ Finally, there are two additional features of significance on which detailed discussion is needed: "mirror images" are embedded in the opening motives of both the first and last movements, and crucial harmonic progressions in both these movements show an almost identical motion.²¹⁴

In the first two bars of the last movement, simultaneous rising and falling intervals are found in the two outer voices. Both voices start at the same note of an F[#], and then they proceed in mirror images of one another, except in one instance from the last beat of bar 1 to the first beat of bar 2 (see Example 5.6).

Example 5.6 Op. 133, No. 5, outer parts of bars 1–2



²¹³ The significance of the intervallic second in the main theme of the first movement was discussed in the second chapter on the first movement. This interval has gotten attentions from some scholars. Scott Burnham pointed out "the quality of the dissonances" in "many seconds sprinkled into the middle voices." see Burnham, "Late Styles," 425. Laura Tunbridge notices "consecutive seconds between upper voices" See Tunbridge, *Schumann's Late Style*, 205.

²¹⁴ Interestingly, "mirror images" are also found in the opening motive of the final variation of the third movement of Beethoven's Op. 109. As this final variation begins with the main theme of the third movement in four-part texture, the melodic line of g^{#1}-e¹-f^{#1} in the alto part and E-G[#]-F[#] in the bass part show contrary motion.

Although these outer voices present different melodic lines, the inversion that occurs between them seems to suggest that they originate from one melodic line. As the motion of one voice determines the motion of the other one, the two outer voices represent two sides of one entity.

Whereas the last movement begins with rising and falling intervals in a simultaneous manner, a sequential manner of rising and falling intervals is found in the beginning of the first movement. In Chapter 1, I noted that the first four notes of the main theme, $d^1-a^1-b^1-e^1$, comprise a rising fifth of d^1-a^1 and its inverted motion of a falling fifth of b^1-e^1 .²¹⁵ For Scott Burnham, this “conflation of rising and falling” motion in the beginning of the piece becomes a key to understanding an apparent paradox of prevalent descending motions in the piece, from which “we are supposed to be hearing a sunrise,” since the title of this set includes an image of the dawn (*der Frühe*).²¹⁶ Therefore, he suggests, “the falling motion needs to be heard against the grain of the rising fifth and the rising sun,” and thus “we are conjuring a sunrise from a sunset sensibility.”

If the sequential rising and falling motions found in the beginning of the first movement could conjure up an image of a sunrise and a sunset, the simultaneous rising and falling motions in the beginning of the last movement expand such images much further: they seem to depict concurrent motions of a sunrise and a sunset. However, how can a sunrise and a sunset happen at the same time? In discussing late styles Burnham discusses such a paradox of simultaneity of a sunrise and a sunset:

The sun seems to rise *because* we fall. There is a rising and a falling *zugleich*. Every sunset is also a sunrise, if viewed from a different perspective. The conflation of sunset and sunrise is powerful: our human thresholds are metaphorically defined by light. (We speak of coming to the

²¹⁵ See page 38 of this study.

²¹⁶ Burnham, “Late Styles,” 426.

light of this world, as a birth metaphor; a common near-death experience involves seeing light at the end of a tunnel.) This conflation arises at the transfiguring moment in Schumann's late fairy-oratorio, *Der Rose Pilgerfahrt* (1851). As she dies into eternal life, the eponymous rose seeks to reassure her earthly family with the words: "Das is kein bleicher, schwarzer Tod, das ist ein Tod voll Morgenroth!" ("This is no faded, black Death; this is a Death full of the light of dawn!")²¹⁷

The simultaneous occurrence of rising and falling motions in the beginning of the last movement arguably reflects the idea of "a rising and a falling *zugleich* [together; simultaneously]," thus, "conflation of sunset and sunrise." If the pieces in the *Gesänge* "treat the theme of death," as Burnham argues, this conflation of rising and falling intervals might imply a conflation of death and life: when a life ends, a new life springs up simultaneously as a light of dawn rises.²¹⁸

In Chapter 1, I suggested that the concept of inversion is intricately intertwined with harmonic progression in thirds, and then embedded in the broad harmonic structure of the *Gesänge*: the descending progression in thirds of D major–B minor–G major, which is the fundamental harmonic progression in the first movement, reflects in inversion the overall key scheme of the set, D major (nos. 1, 2 and 5)–F[#] minor/F[#] major (no. 4)–A major (no. 3).²¹⁹ Perhaps not surprisingly, an almost identical descending harmonic progression in thirds, D major–B major–G major, appears in the final movement.

Although these two descending progressions in thirds show harmonic resemblance, they are used for a completely opposite purpose. It was noted earlier that the descending progression in thirds of D major–B minor–G major in the first movement is closely related to the main

²¹⁷ Burnham, "Late Styles," 426.

²¹⁸ *Ibid.*, 423.

²¹⁹ See page 37 of this study.

chorale theme, as the theme is repeatedly presented in these keys. The descending progression in thirds of D major–B major–G major in the last movement, however, appears in the only section where the main theme is absent. But before discussing this feature in detail, the overall structure of the last movement, which is determined by the presence of the main theme, should be addressed first.

Form and Harmonic Progression in Thirds

Table 5.1 shows that this piece can be divided into three sections, thus, it is in a tripartite form. The A section of bars 1–8, which forms a type of antecedent-consequent, presents a main theme in chorale texture.²²⁰ This chorale theme returns with alterations in the middle of the movement and lasts from the upbeat to bar 18 through the remainder of the movement (the A¹ section).

Table 5.1 Structure of Op. 133, No. 5

Section	Bars	Comments
A	1–8	Chorale theme is featured
B	9–17	Transitional passage
A ¹	18–40	Chorale theme returns in altered way

The A¹ section is expanded to over twice the size of the A section, as a result of a series of three different cadences: a deceptive, a perfect, and a plagal cadence. The two chorale based sections of A and A¹ are connected by the B section, which is a transitional passage from the

²²⁰ “A good hearer of the word memorizes the antecedent of a musical period, in order to grasp beautifully the consequent (Jean Paul, *Flegeljahre*, 181–82).” Quoted in Berthold Hoeckner, “Schumann and Romantic Distance,” *Journal of the American Musicological Society* 50, no. 1 (1997), 78.

upbeat to bar 9 to bar 17. The tripartite A-B-A¹ form in this piece is counteracted by the texture, as the texture of A is different from that of B and A¹.

Table 5.1 shows that, among the three sections, the chorale theme is absent only in the B section. Whereas the linear melodic motion of the chorale theme plays an important role in the A and A¹ sections, harmonic motions are more significant in the B section. In this transitional phrase, where there is no significant lyrical melody, the harmonic rhythm is markedly slower than in other phrases. Through these harmonic motions, a musical drama seems to unfold.

On the third beat of bar 8, a textural shift occurs between the A and B sections, as shown in Example 5.7. The abruptness of textural change is enhanced, as the D major chord on the third beat is followed by the B major chord on the fourth beat. Whereas such abrupt transition occurs between the A and B sections, a repeated harmonic motion toward the end of the A section and the B section creates a sense of connection between these sections.

Example 5.7 Op. 133, No. 5, bars 6–13

The musical score for Example 5.7, Op. 133, No. 5, bars 6–13, is presented in two systems. The first system covers bars 6, 7, 8, and 9. The second system covers bars 10, 11, 12, and 13. The key signature is one sharp (F#), and the time signature is 4/4. The score is written for piano, with a treble and bass staff. The texture changes significantly between section A (bars 6-7) and section B (bars 8-13). Section A features a more active, melodic texture, while section B is characterized by a slower harmonic rhythm and a more static texture. Chord symbols are indicated below the bass staff: A⁷ (bar 7), D (bar 8, 3rd beat), B (bar 8, 4th beat), and F^{#7} (bar 9). An upward-pointing arrow is placed under the B chord in bar 8, indicating the textural shift.

The harmonic motion of V^7 to I that concludes the A section in bar 8 is repeated twice in the beginning of the B section: $F^{\#7}$ of bar 9 is resolved to B major in bar 10, and D^7 of bar 11 is resolved to G major in bar 12. These three consecutive V^7 to I motions highlight the descending harmonic progression in thirds of D major–B major–G major.

It is significant that the harmonic progression in thirds of D major–B major–G major is used in the last movement, since it is similar to the core harmonic progression of the first movement, D major–B minor–G major. Whereas the harmonic progressions in thirds move to the tonic D major chord in the first movement, however, they move to the C major chord in the last movement. On one hand, harmonic similarity between these two harmonic progressions in the first and last movements gives underlying structural cohesion to the entire set. On the other hand, functional dissimilarity between them gives individuality to each movement, since the harmonic motion in thirds in the first movement is related to the main theme, whereas that in the last movement is not. Furthermore, this feature demonstrates Schumann's meticulous compositional plan for the set.

Other harmonic progressions in thirds also play an important role in the beginning of the last movement. Example 5.8b shows that the harmonic motions in thirds repeatedly occur in bars 1–4. Whereas the first two-bar unit begins from the $F^{\#}$ -major chord on the upbeat to bar 1 and moves to the D-major chord on the third beat of bar 2, the following two-bar unit presents the harmonic motion from the G-major chord in bar 3 to the E-minor chord in bar 4. By initiating the piece with the mediant chord, the presentation of the tonic D major chord is delayed to the third beat of bar 2. Furthermore, this first tonic of the piece in bar 2 is not emphasized much at all, but rather becomes a springboard to the following G major chord. Such harmonic varieties in the beginning create a sense of mystery by obscuring the opening tonic.

Examples 5.8a–b Op. 133

a. No. 4, bars 50–52

b. No. 5, bars 1–4

D: III[#] ii I IV ii

Daverio points out that the fourth and fifth movements of the *Gesänge* “dissolve into nothingness with the same plagal progression,” which suggests “witty” connections between those pieces.²²¹ The F[#] major chord on the upbeat to the first bar, it seems to me, provides another link between those two movements, since the fourth movement concludes with the same F[#] major triad (see Example 5.8a). The timbre of this final F[#] major chord, however, is distinct from that of the last movement: it is placed in high register with *pianissimo*, thus sounding like an echo, as noted in the previous chapter. When the same harmony is resurrected to begin the fifth movement, however, it appears with more solid resonance in the middle register. These repeated appearances of F[#] major triads with contrasting characters seems to have the poetic implication that an end of a *Gesang* becomes the seed of the beginning of the next.

²²¹ John Daverio, *Robert Schumann: Herald of a “New Poetic Age,”* 479. On the idea of “witty” connection (*Witz*) in Schumann’s earlier works, see Daverio, “Schumann’s ‘Im Legendenton’ and Friedrich Schlegel’s *Arabeske*,” *19th-Century Music* 11, no. 2 (1987), 150–63.

The idea of making connections between the last chord of one piece and the first chord of the next piece is also found in other Schumann's piano cycles, for instance, as between the "Florestan" and the "Coquette" of the *Carnaval*, Op. 9. The final chord of the "Florestan," the diminished seventh chord of $F^\sharp-A-C-E^b$, does not yield a harmonic resolution (see Example 5.9). Instead of an immediate resolution, Schumann extends the harmonic motion of the final diminished chord of "Florestan" to the augmented V^7 , $B^b-D-F^\sharp-A$, in the beginning of the "Coquette" through the same notes of F^\sharp and A , and then resolves to an E^b major triad, which immediately moves to the tonic B^b major. In addition to these harmonic connections, the two pieces are also melodically connected, as the final melodic F^\sharp at the end of the "Florestan" also begins the melody of the "Coquette" in the bass.

Example 5.9 Schumann, *Carnaval*, Op. 9 End of "Florestan" and beginning of "Coquette"

dim. 7th

Coquette.

Vivo.
pp

V⁺/E^b E^b
B^b: IV V I

Compared to this harmonic connection between the "Florestan" and the "Coquette" of the *Carnaval*, the same F^\sharp major harmony at the end of the fourth and the beginning of the fifth movement of the *Gesänge* is a bolder gesture that might indicate an underlying compositional

concept of binding the two pieces. Furthermore, a newly added texture of incessantly oscillating sixteenth-note figures in the altered chorale section (A^1) of the fifth movement recalls the relentless thirty-second-note figures in the fourth movement.

Three Cadential Motions

The chorale theme of the A section reappears in the A^1 section, suggesting a tripartite form. The A^1 section, however, features much compositional alteration, compared to the A section. Besides the textural alterations, there are some significant harmonic changes. The end of the chorale theme is greatly extended by both interrupted and perfect cadential motions before arriving at the final plagal cadence. The A^1 section is, therefore, disproportionately long compared to the two previous sections, embracing three consecutive cadential processes that run over fifteen bars from bar 26 to 40, in addition to the reappearance of the eight-bar chorale theme.

The extensive detour begins in bars 26–27, where the B^b major chord appears as a deceptive, therefore incomplete, resolution of the dominant seventh harmony of bar 25, as shown in Example 5.10. This harmonic motion results in a type of a deceptive cadence that is particularly surprising owing to the sudden appearance of chromaticism. Highlighting a B^b major triad in a D major piece is not compositionally pioneering, since a lowered-submediant relationship is often highlighted in the music of earlier composers such as Beethoven.²²² However, an unusual integration of B^b major along with an almost-complete chromatic scale, which uses all the pitch classes but B, in bar 26 results in exceptionally colorful sound that is not

²²² For example, B^b major plays a significant role in Beethoven's ninth symphony in D minor Op. 125. The third movement is in B^b major, whereas the other three movements are in D minor or D major. In the first movement, there are changes of the key signature from D minor to B^b major, then a return to D minor.

typically found in Schumann's earlier piano cycles. This tone color seems to point to the sound of the future.

Example 5.10 Op. 133, No. 5, bars 25–30

26

cresc.

D: V⁷ B^b: I V I D: bVI

28

D: V⁷

Such colorful sound is also highlighted by dynamic markings of *forte*, which are strategically placed. Instead of the downbeat, a *forte* is indicated on the second beats of both bar 26 and bar 27, which emphasizes a scalar motion from *f* (bar 26) to *g*[#] (bar 27) to *a* (bar 28). The dominant pedal point with dominant seventh harmony in bar 28 is prolonged in the following six bars before the bass *A* is resolved to *D* in bar 34. There is a sense of climax in this arrival on the downbeat of bar 34, as gradually ascending melodic notes finally reach the highest note of the piece, *d*³, with a *forte* (see Example 5.11).

However, this harmonic motion of *V* to *I* does not sound resolved, as the tonic in bar 34 is deliberately de-emphasized by appearing twice on the weak second and fourth beats. Yet, there

is a strong tonic flavor in the chord on the downbeat, since the subdominant sound is presented as a $I^{6/4}$ chord with doubled tonic notes in both the bass and soprano parts.

Example 5.11 Op. 133, No. 5, bars 34–36

D: $I^{6/4} - 5/3$ $I^{6/4} - 5/3$ IV

Such subdominant allusion prepares the concluding plagal cadence of the last *Gesang* in bar 36–37, where a plain subdominant chord is resolved to the tonic. As might be recalled, similar multiple cadential motions that begin with a false cadence and end with a plagal cadence also appeared in the previous fourth movement. These unusually extended cadential processes in the final two movements not only create a sense of connection between the two pieces, but also promote a sense of grand closure to the entire *Gesänge*.

Harmonic Coherence

Despite melodic, rhythmic, and textural differences, the first and last phrases of the piece feature some similarities. For instance, whereas the G major chord plays an important role at the end of the piece, where it serves as part of the plagal cadence, it is the only harmony that is highlighted by dynamic markings in the opening phrase in bars 3 and 7 (see Examples 5.7 and 5.8b). The final plagal cadence also seems to be foreshadowed in the very first harmonic resolution from E minor to D major in bars 1–2, which could be considered as a variation of plagal cadential motion. Both the first and final melodic notes are the same note, $f^{\#1}$, even though

it is supported by different harmonies of the F[#] major chord for the first note and the D major chord for the final note (see Example 5.12). Furthermore, the three notes that constituted the first chord of the right-hand part reappear as the three grace notes of the final chord, except the latter are in a minor mode.²²³ These features not only give coherence to the piece, but also demonstrate a symmetrical aspect of the movement.

Example 5.12 Op. 133, No. 5, First and last chords



Such coherence is also achieved through diminished (or half-diminished) seventh chords that are featured in all three phrases of this movement. Example 5.13a shows that the harmony that precedes the return of the chorale theme in bars 16–17 of the B section is a diminished seventh chord of E[#]-G[#]-B-D over a dominant pedal point on A. This startling sound of the diminished seventh chord is also emphasized with both the loud volume of the *f* markings and the length of two bars.

This diminished seventh chord is itself anticipated in the A section. On the upbeat to bar 5, the half-diminished seventh chord G[#]-B-D-F[#] harmonizes the melodic note f^{#1} (see Example 5.13b). When the same melody returns in the A¹ section, the diminished seventh chord of G[#]-B-D-F substitutes the original half-diminished seventh chord on the upbeat to bar 22.

²²³ For Burnham, the resolution from the grace-note leading tone, c^{#1}, to d¹ in the final bar suggests a poetic imagery of “the solitary glory of that leading tone, suddenly caught by the light of the setting sun.” See Burnham, “Late Styles,” 428–9.

Examples 5.13a–b Op. 133, No. 5

a. bars 13–19

14

climactic moment on C major triad

16

climactic moment on dim.7th

17

18

D: I^{6/4} V

the chorale theme returns in soprano

19

I IV ii⁶ dim.7th

b. the upbeat to bar 5, and the reduced version of the upbeat to bar 22

5

22

Curiously, this diminished seventh chord is in the enharmonically equivalent form of the diminished seventh chord, E[#]-G[#]-B-D, in bars 16–17. This transformation suggests that all these harmonies may have the same origin. Such an interrelationship among the three sections helps to

reconcile the apparent thematic and textural incoherence between the A section and the B section.

Poetic Implication and Hymn

Example 5.13a shows that the two chords of C major in bar 14 and the diminished seventh chords in bars 16–17 of the B section are highlighted with repeated *f* markings, underlining the first climactic moments of the piece. This C major in bar 14 is preceded by the harmonic progression in thirds of D major–B major–G major. Highlighting C major as a climax in a D major piece is extraordinary, since C is the lower seventh of D major. Such a contextual surprise and the bright timbre of C major seem to reflect the unexpected first light of day in the dawn.

This triumphant sound of the C major, however, is only short-lived, since it cannot be an ultimate tonal arrival of the piece. The glimpse of the light depicted by C major is soon interrupted by the agonizing sound of the repeated diminished seventh chords in bars 16–17. The effect of the painful tension and agitated feeling that these diminished harmonies create is enhanced by the slow harmonic rhythm, which lasts two bars, and the motionlessness. If the climactic passage with C major depicts a glimpse of the light, the abrupt harmonic change to the diminished seventh chord arguably portrays the sudden shift of the scene into darkness.

The light reemerges from such darkness, as the chorale theme quietly reappears in a significantly transformed way from bar 18 (see Example 5.13a), highlighting the most dramatic moment of the piece. The chorale theme returns with some new harmonic motions that emphasize the tonic D major. After the momentary dynamic emphasis on the D major on the upbeat to bar 18, this tonic is reconfirmed on the third beat of bar 19, after a dominant pedal on

A. These harmonic changes in the A¹ section, which establish clear tonal declaration in the beginning of the returned chorale theme, give rise to a bright and animated feeling, in contrast to a solemn and somber feeling that was expressed in the repeated uses of the supertonic, E minor, within the A section. The tone color of the chorale melody in high register also reflects brightness of the light in the dawn, and a new texture of oscillating sixteenth-notes create colorful timbre, as if the light glitters.

Whereas the harmonic shifts from the end of the B section to the beginning of the A¹ section would suggest the two distinct scenes of the musical drama, there is a thread that connects these sections: the downbeats of the bass part in bars 16–19 uniformly sound the dominant A, indicating the dominant pedal point that is resolved on the third beat of bar 19 (see Example 5.13a). Simultaneously, a subtle change of a note in the inner voice of the repeated diminished seventh chords in bars 16 and 17 prepares a transition to a new section. Whereas the c¹, which is a remnant from the C major triad, appear in the inner voices of the second beat of bar 16, the c^{#1} replaces them on the same beat of bar 17. This c^{#1}, which is the leading-tone of D major, prepares the return of the tonic on the fourth beat of bar 17.

The musical drama and its effect reminds us of Schumann's comment on the *Gesänge*, quoted earlier, that pieces in this set “depict feelings (*Empfindungen*) of approach and growing of the morning, but more through expression of feeling than painting.”²²⁴ On one hand, this comment reminds us of the almost identical comments of Beethoven's emphasis on “feelings” in his Pastoral symphony, as if demonstrating Beethoven's influence in Schumann's thought process.²²⁵ On the other hand, whereas this comment strongly suggests that Schumann's focus in

²²⁴ Robert Schumann, *Schumann Briefedition*, letter no. 49 “Robert Schumann an den Verlag Arnold in Elberfeld; Düsseldorf, Freitag, 24. Februar 1854,” 125–6.

writing this set is to express his feelings of growing morning, rather than to attempt to paint of the scene, such feelings seem to be expressed in a more concrete way in this last movement.

If Schumann's youthful energy and pomposity were expressed in many of his large scale piano cycles that were composed in 1830s, the conciseness of this movement arguably implies a more refined way of expressing his feelings. Yet it has been shown here that this forty-bar long piece presents various significant features that were not common in his earlier piano cycles. Some aspects in this last *Gesang*, such as the final plagal cadence, also reinforce the notion of "hymn" that were suggested in the first *Gesang* of the set. Featuring the same notion of "hymn" in the first and last *Gesänge* of the set not only suggests an overarching idea in the entire set, but also helps create a larger symmetry.

²²⁵ Beethoven commented on the "Pastoral" Symphony, Op. 68: "Mehr Ausdruck der Empfindung als Malerey." See *Schumann Briefedition*, letter no. 49.

CONCLUSION

In the Introduction, Clara's initial comment upon hearing the *Gesänge der Frühe* was quoted: "R[obert] has just composed five Morning Songs ['Frühgesänge'], completely original pieces as always, but difficult to grasp, for a completely individual tone resides therein."²²⁶ This comment touches upon the fundamental issues explored in this study, which examined the originality and complexity of the *Gesänge* through an analysis.

The complexity of the cycle was also noted by other contemporary scholars and pianists. For example, the late John Daverio, who is arguably one of the most distinguished Schumann scholars, states that the *Gesänge* is "the last and most puzzling of Schumann's collections of piano pieces."²²⁷ In his interview with John C. Tibbetts, Pianist Peter Frankl, who recorded all of Schumann's piano works, said,

Frankly speaking, I had the most trouble with this piece.... As very late Schumann, you can never be sure, *where does it go?* Sometimes it is accessible, but sometimes it really goes beyond our limits. It has moments of great serenity and great depth in it, but my God, you have to work hard for it!.... The *Gesänge der Frühe* are marvelous pieces, but you have to do some superhuman things to bring it out...²²⁸

Schumann regarded originality as one of the most important qualities to entitle a musical composition to be called "romantic," according to Leon Plantinga.²²⁹ Plantinga defines

²²⁶ Daverio, "Madness or Prophecy?," 190. Note that the translation is done by John Daverio. The original sentence in German can be found in page 11.

²²⁷ Ibid., 187.

²²⁸ Tibbetts, *Schumann: A Chorus of Voices*, 358.

²²⁹ Leon B. Plantinga, "Schumann's View of 'Romantic,'" *The Musical Quarterly* 52, no. 2 (1966), 225.

originality as “a personal mode of expression,” and summarizes it with three characteristics by using Schumann’s own language: “fantasy,” the “characteristic,” and the “poetic.”²³⁰

Schumann’s idea of originality is also reflected in his 1848 letter to Liszt:

Look at my works more closely and you will find *a diversity of outlook* that I have always aimed at; in each of them I have tried to give birth not only to a musical pattern but also to an idea. And really they were not so negligible those who were gathered in Leipzig—Mendelssohn, Hiller, Bennett, and the others—and we could stand up to comparison with those of Paris, Vienna, or Berlin. Moreover, if you find something derivative in their work, call it Philistinism or what you will, but don’t forget that you can find as much in all works of art and that Bach, Handel, Gluck and the later Mozart, Haydn, and Beethoven resembled each other to the point of being indistinguishable in a hundred different places. I do not include Beethoven’s later works, although they proceed from Bach. There is no such thing as a completely original work. [...] The important thing is to *go ceaselessly forward*.²³¹

Schumann’s assertion that “there is no such thing as a completely original work” appears to contradict his own idea of originality as being an essential quality of romantic music. However, this comment of Schumann to Liszt is not a denial of an existence of “original” music, but an explanation of what “original” really means to him: whereas it includes notions of “a diversity of outlook” and “go[ing] ceaselessly forward,” it is also based on the tradition that all of the

²³⁰ Plantinga, “Schumann’s View of ‘Romantic,’” 225.

²³¹ Note that the use of italics is mine. Quoted in Meebae Lee, “Rewriting the Past, Composing the Future: Schumann and the Rediscovery of Bach,” Ph. D. diss. (City University of New York, 2011), 242. Translation from Marcel Brion, *Schumann and the Romantic Age*, trans. Geoffrey Sainsbury (New York: Macmillan, 1956), 333–4. “Betrachten Sie meine Compositionen genauer, so müßten Sie gerade eine ziemliche Mannigfaltigkeit der Anschauungen darin finden, wie ich den immer danach getrachtet habe, in jede meiner Compositionen etwas anderes zu Tag zu bringen und nicht allein der Form nach. Und wahrlich, sie waren doch nicht so übel, die in Leipzig beisammen waren—Mendelssohn, Hiller, Bennett u.a.—mit den Parisern, Wienern und Berlinern konnten wir es ebenfalls auch aufnehmen. Gleich sich aber mancher musikalische Zug in dem, was wir componirt, so nennen Sie es Philister oder wie Sie wollen,—alle verschiedenen Kunstepochen haben dasselbe aufzuweisen, und Bach, Händel, Gluck, später Mozart, Haydn, Beethoven, sehen sich an hundert Stellen zum Verwechseln ähnlich (doch nehme ich die letzten Werke Beethovens aus, obgleich sie wieder auf Bach deuten). Ganz original ist Keiner. So viel über ihre Äußerung, die eine ungerechte und beleidigende war. Im Übrigen vergessen wir des Abends—ein Wort ist kein Pfeil—und das Vorwärtstreben die Hauptsache.”

previous master composers have created. In other words, originality does represent both influences from the past and creativity toward the future.

In addition to “rich and original musical expression,” Schumann also expected, according to Plantinga, “genuine musical craftsmanship,” such as “clarity of form and correctness of harmony” in romantic music.²³² Schumann’s concern with formal clarity is also exhibited in Op. 133, as different forms of each movement of the *Gesänge* as well as an arch-like form in the entire cycle were suggested in the previous five chapters. Distinctive harmonic features in each *Gesang* as well as repetitious harmonic motions in some of the *Gesänge* were also discussed accordingly. As such, this last piano cycle may be regarded as demonstrating Schumann’s balanced ideal in romantic music between the subjectivity of originality and the objectivity of musical craftsmanship.

The *Gesänge der Frühe* also exhibit Schumann’s musical interest in both something old and new as well. The archaic notion of “hymn” is evident in some *Gesänge* through uses of chorale-like texture and plagal cadences. The notion of “hymn” in some of the *Gesänge* may well reflect Schumann’s interest in the old genres of mass and motet, as well as his active engagement in choral music during 1852–53. It may also reflect Schumann’s keen interest in music of J. S. Bach, as Meebae Lee suggests that “Bach became central to Schumann’s aesthetic” and is “essential to understanding the role of Schumann as a self-described ‘Romantic.’”²³³

It was noted in the introduction that Schumann composed the *Gesänge der Frühe* immediately after his first encounter with young Johannes Brahms during the fall of 1853, when

²³² Plantinga, 225.

²³³ Lee, 240.

Schumann's creative activities were intense.²³⁴ Hans Köhler, who edited the score of the *Gesänge* of the Peters edition, suggests that this cycle not only represents "Schumann's fascinated reflections of this contact with Brahms' genius," but also shows "Schumann trying to write music about Brahms."²³⁵ Furthermore, Köhler hears some sections of the *Gesänge* as transformed versions of Brahms's Sonata Op. 2, one of the pieces that Brahms played for Schumann, "filtered through Schumann's memory."²³⁶

The occasion of finding this musical genius might have enriched Schumann's creative power that already was at its peak before Brahms's visit. On the other hand, as Schumann's entire life was filled with positive inspirations from interactions with other notable musicians, possible stimulation from Brahms seems hardly to be an extraordinary factor that would inspire Schumann to write a composition in the manner of the "young eagle" that he just heard. In his counter-arguments to Köhler's assertion, Daverio conclusively demonstrates that the Brahmsian characteristics that Köhler found in the *Gesänge* had already appeared in Schumann's early piano cycles. Indeed, Schumann was a composer who continuously experimented to find "something new" and "original."²³⁷

In his essay, Daverio further suggests that the *Gesänge* are better interpreted as "a premonition of Brahms' late style," whereas Laura Tunbridge points out that the influence of

²³⁴ See page 10 of this study.

²³⁵ Hans Köhler, "Concluding Remarks" in Robert Schumann, *Gesänge der Frühe* Opus 133, 18.

²³⁶ Ibid. For the list of Brahms's compositions that were played for the Schumanns, see Daverio, "Madness or Prophecy?," 192.

²³⁷ In his 1848 letter to Carl Wottig, who sent his composition to Schumann for advice, Schumann wrote, "for all that, I believe we must come up with something else, something new." For this quotation and Schumann's musical ideal of advocating change in music, see Jensen, 296–7. The originality of Schumann's composition is asserted in Clara Schumann's comment on the *Gesänge der Frühe*, which is noted in the following page.

Schumann's late works in Brahms's music has been overlooked.²³⁸ These attempts to find Brahms in the *Gesänge*, and vice versa, might be due to our knowledge of crucial relationships between both Robert and Clara Schumann and Brahms. Helmuth Hopf, on the other hand, hears harmonies that are suggestive of Max Reger from the *Gesänge*.²³⁹ A passage in the last movement of the cycle, moreover, seems reminiscent of César Franck.²⁴⁰ According to Reinhard Kapp, the influence of Schumann in Franck's major works is "explicit" and Schumann figured prominently in Franck's composition teaching.²⁴¹ Whereas these associations suggest different names, according to each commentator's subjective stance, they all point to one direction of Schumann's posterity, indicating that the musical language of the *Gesänge* anticipated that of the future.

Even though it was already quoted earlier, it is worth reminding us once again of Schumann's own comment on the *Gesänge der Frühe*: "These are musical pieces [Op. 133] that depict feelings (*Empfindungen*) of the approach and growing of the morning, but more through expression of feeling than painting."²⁴² Such "communication of pure feeling" was suggested as

²³⁸ Daverio, "Madness or Prophecy?," 193. For Tunbridge, for example, Brahms's unaccompanied choral work "Dem dunkeln Schoss" is a reworking of the first movement of the *Gesänge der Frühe*, whereas Schumann's music for Byron's *Manfred* was recalled in Brahms's First Symphony. See Laura Tunbridge, *Schumann's Late Style*, 10 and 207–8.

²³⁹ He also hears Brucknerian tone from the opening movement of the Violin Concerto, WoO 23, which was completed in the same month of the *Gesänge*. See Hopf, "Fehlinterpretation eines Spätstils am Beispiel Robert Schumanns," in *Robert Schumann: Universalgeist der Romantik*, eds. Julius Alf and Joseph Kruse (Düsseldorf: Droste Verlag, 1981), 245, 247.

²⁴⁰ For me, the passage in bars 26–27 of the fifth movement, where a chromatic scale is used upon B^b major harmony, reflects harmonic motion in music of César Franck. See page 155 of this study for the musical example.

²⁴¹ Reinhard Kapp, "Schumann in His Time and Since," in *The Cambridge Companion to Schumann*, ed. Beate Perrey, 223–51 (Cambridge, UK, and New York: Cambridge University Press, 2007), 237

“the essential effect of romantic art” in F. A. Gelbcke’s 1841 article in *Neue Zeitschrift für Musik*. (Note that this article appeared in *NZfM* when Schumann was its editor.)²⁴³ Schumann’s focus on expressing his own “feelings” in the *Gesänge der Frühe* also seems to vindicate Clara’s comment on the composition as “original...but difficult to grasp.” After all, her puzzlement over the cycle does not seem to be due to her lack of ability to understand this composition. On the contrary, she appears to have understood the essence of the character of the *Gesänge der Frühe*, thus summarizing it as original and complex. Her comment demonstrates the complexity and privateness of Schumann’s feelings that were depicted in the cycle.

Perhaps the intimacy and privateness of feelings portrayed in the *Gesänge der Frühe* are what inspired Schumann to regard this cycle as a set of his “Gesänge.” And these “Gesänge” were not soliloquies but expressions of his feelings to another, “An Diotima.” Since Schumann often expressed his intimate feelings—such as his love for Clara or various inspirations he got from literary sources—in his songs and piano cycles throughout his career, it is not impossible to imagine a late work that attempts to integrate the two genres might exhibit such expression as well. For Schumann in 1853, what constituted a “Gesang” was not limited to the notion of lyricism or cantabile characteristics in its melody, but rather an underlying expressive concept.

In his 2011 Schumann biography, Michael Musgrave summarizes images of Schumann as a composer:

Robert Schumann probably exemplifies the popular image of the Romantic composer more fully than any of his remarkable contemporaries. Not only did he completely absorb himself in German Romantic literature in his numerous songs and choral works, but he recreated its musical personalities and intertwined with his own life in music of extraordinary characterization and

²⁴² See pages 27 and 28 of this study for the original German.

²⁴³ Plantinga, 227. Schumann helped establish the *NZfM* in 1834 and was its editor from 1835 to 1844.

spontaneity. Yet equally—in gradually losing the capacity to relate to outward reality—he, like the iconic figures of this literature, succumbed to madness, attempted suicide and died insane. Thus he appears to express the Romantic concept of ‘genius’—that it is not simply an extraordinary level of imagination and technique, but essentially supernatural: and that its ultimate price is madness.... Thus Schumann’s reputation has always been one of mystery as well as sadness, constantly reinforced by visual images of the pensive man. And his tragic end has inevitably cast a pall over his entire life: everything has been viewed in terms of what we know is to come. Nor has this image been entirely revised in modern times.²⁴⁴

Considering the historic problem of Schumann’s mental illness during his late years and its effect on our interpretation of his late music, Musgrave suggests that Schumann’s illness was not a determining factor in his creativity, as he was both fully engaged with his works and communicated with family and friends until his suicide attempt in 1854²⁴⁵:

But however great the challenges of diagnosis [of Schumann’s illness during his late years], they must never obscure the central issue for musicians. There is no doubt that the traditional assumption of Schumann’s mental illness—whether one of incipient madness attached to creativity, or a progressive mental illness leading to attempted suicide—has influenced the evaluation of his music, especially his later music: and viewed the other way, that the often inward, even brooding character of some later music is evidence of a declining mind. In the present writer’s view, there is no such evidence until parts of the *Gesänge der frühe* and *Geistervariation*, written just before the attempted suicide in 1854, which show a weakening of continuity after the wonderful opening and theme respectively. But otherwise, Schumann’s later

²⁴⁴ Michael Musgrave, *The Life of Schumann* (Cambridge, UK, and New York: Cambridge University Press, 2011), 1.

²⁴⁵ It was noted in the Introduction that Schumann composed one third of his total output during late 1850 to early 1854 (see page 2). Schumann kept detailed records in his *Tagebuch* until February 1854, and, after his voluntary hospitalization in Endenich, Brahms continued to write Schumann’s *Tagebuch* (see Robert Schumann, *Tagebücher, Band III: Haushaltbücher, Part 2 (1847–1856)*). Schumann also actively corresponded with publishers and friends, and these letters are published in multiple volumes (see Robert Schumann, *Schumann Briefedition*, herausgegeben vom Robert-Schumann-Haus Zwickau und dem Institut für Musikwissenschaft der Hochschule für Musik Carl Maria von Weber Dresden in Verbindung mit der Robert-Schumann-Forschungsstelle Düsseldorf (Köln: C. Dohr, 2008–11)).

music is of different character and reflects changing preoccupations. And if there is a certain fatigue, this is the result of physical strain and over-production, not of reduced mental capacity.²⁴⁶

Charles Rosen also says that Schumann's creativity was not diminished during his later years, as he notes, "Actually, one can see that Schumann kept his genius to a very, very late point.... So he never really lost the genius."²⁴⁷

Despite his positive suggestion approach to Schumann's later music as being of "different character" as well as reflecting "changing preoccupation," for Musgrave the *Gesänge der Frühe* do not demonstrate those features. Musgrave instead finds "a weakening of continuity after the wonderful opening" of the cycle. Since this is Musgrave's only comment about the *Gesänge* in his book, it is difficult to assume what he means by "a weakening of continuity" in Op. 133. If he meant to suggest that there is a lack of continuing thread in the *Gesänge* as a cycle, however, I would argue otherwise: as I have contended throughout this study, whereas the five *Gesänge* each show distinctive features, there is undeniable continuity among them through features such as an underlying arch-like form that is embedded in the entire *Gesänge* as well as repetitions of rhythmic and harmonic motions and chorale-like texture.

The significance of the *Gesänge der Frühe* has been judged by a number of scholars and pianists. According to Charles Rosen, the first movement of the *Gesänge* is one of the "rare undeniable masterly successes" of Schumann's later works.²⁴⁸ Laura Tunbridge, who wrote a book on Schumann's late style, considers that the *Gesänge* are "quite astonishing."²⁴⁹ For Pianist

²⁴⁶ Musgrave, 5.

²⁴⁷ Tibbetts, 350.

²⁴⁸ Other works that Rosen also suggests as masterly successes are the slow movement of the C Major Symphony and many pages of *Faust*. See Rosen, *The Romantic Generation*, 689.

Ronald Brautigam, “it is one of the most moving of all his works, but it is also one of the most difficult.”²⁵⁰ Pianist Jörg Demus points out that the *Gesänge* is “very touching master work, just not as open and accessible to everyone.”²⁵¹ In 1987, the *Gesänge* also inspired Heinz Holliger to compose a piece called the *Gesänge der Frühe*, which is based on Schumann’s Op. 133 and written for large orchestra, chorus, and tape.²⁵²

To be sure, an analysis of a musical work would unlikely be able to convince someone to like or dislike the piece, and there is no doubt that the ultimate decision of appreciation of that music greatly depends on personal taste. However, an analysis can draw an attention to hidden logic and the beauty of a piece, especially for the *Gesänge der Frühe*, which not only has been historically criticized since its birth, but also shows an originality and complexity that should be examined. Schumann himself emphasized the importance of comprehensive study of a piece: “Do not judge a composition on a first hearing; that which pleases most at first is not always the best. *Masters call for study*. Many things will only become clear to you when you are old.”²⁵³ It is my hope that this dissertation would be able to help us to get closer to the *Gesänge der Frühe* that express the essence of Schumann’s musical style of 1853, especially for many pianists who have enjoyed playing Schumann’s earlier piano music, but do not even know the existence of this last piano cycle.

²⁴⁹ Tunbridge’s comment on the *Gesänge* was made in an interview with Tibbetts, see Tibbetts, 354.

²⁵⁰ Tibbetts, 359.

²⁵¹ *Ibid.*, 161.

²⁵² An excerpt of Holliger’s the *Gesänge der frühe* is available at <http://www.youtube.com/watch?v=8ueG4woe5dc> (accessed on August 8, 2012).

²⁵³ Robert Schumann, *On Music and Musicians* (New York: Pantheon, 1946), 35. Note that the use of italics is mine.

APPENDIX

Robert Schumann, *Gesänge der Frühe*, Op. 133
(Edited by Clara Schumann. Leipzig: Breitkopf & Härtel, 1879–93)
This score is in public domain.

Morning Songs
 (Gesänge Der Frühe)
 Op. 133

I.

Im ruhigen Tempo. $\text{♩} = 72$.

PIANO. *pp*

8

16

24

32

cresc. *dim.*

ten. *p*

zurückhaltend. *pp*

II.

Belebt, nicht zu rasch. ♩ = 190.

p

4

7

cresc.

10

13

16

ff

19

22

24

27

29

32

746

Detailed description of the musical score: The page contains six systems of musical notation, each with a measure number (19, 22, 24, 27, 29, 32) at the beginning. Each system consists of a treble clef staff and a bass clef staff. The key signature is one sharp (F#). The notation includes various note values, rests, slurs, and accents. Dynamic markings such as 'p' (piano) and 'sf' (sforzando) are present. A page number '746' is located at the bottom center of the page.

III.

Lebhaft. $\text{♩} = 92$.

4

8

12

16

20

p

f

cresc.

sf

p

cresc.

f

24

Musical score for measures 24-27. The piece is in G major (one sharp) and 3/4 time. Measure 24 features a piano introduction with a forte (*f*) dynamic. The right hand plays a series of chords, while the left hand has a steady eighth-note accompaniment. Measure 25 continues with similar textures. Measure 26 has a melodic line in the right hand. Measure 27 concludes with a sustained chord in the right hand.

28

Musical score for measures 28-31. Measure 28 starts with a piano introduction and a forte (*f*) dynamic. The right hand has a melodic line with some grace notes. Measure 29 continues with a similar texture. Measure 30 has a melodic line in the right hand. Measure 31 concludes with a sustained chord in the right hand.

32

Musical score for measures 32-35. Measure 32 starts with a piano introduction and a forte (*f*) dynamic. The right hand has a melodic line with some grace notes. Measure 33 continues with a similar texture. Measure 34 has a melodic line in the right hand. Measure 35 concludes with a sustained chord in the right hand.

36

Musical score for measures 36-38. Measure 36 starts with a piano introduction and a forte (*f*) dynamic. The right hand has a melodic line with some grace notes. Measure 37 continues with a similar texture. Measure 38 concludes with a sustained chord in the right hand.

39

Musical score for measures 39-41. Measure 39 starts with a piano introduction and a forte (*f*) dynamic. The right hand has a melodic line with some grace notes. Measure 40 continues with a similar texture. Measure 41 concludes with a sustained chord in the right hand.

42

Musical score for measures 42-44. Measure 42 starts with a piano introduction and a forte (*f*) dynamic. The right hand has a melodic line with some grace notes. Measure 43 continues with a similar texture. Measure 44 concludes with a sustained chord in the right hand.

45

48

51

54

57

60

749

dim.

p

Detailed description: This page of a musical score contains six systems of music, numbered 45 through 60. Each system consists of a grand staff with a treble and bass clef. The music is in a key with three sharps (F#, C#, G#) and a 2/4 time signature. Measure 45 features a complex chordal texture in the right hand and a steady eighth-note bass line. Measure 48 shows a more active right hand with sixteenth-note patterns. Measure 51 has a dense, blocky texture with many beamed notes. Measure 54 continues with a similar dense texture. Measure 57 is characterized by a rapid, ascending sixteenth-note run in the right hand. Measure 60 concludes the system with a dynamic marking of *dim.* (diminuendo) and a final *p* (piano) dynamic. A page number '749' is printed at the bottom center of the page.

IV.

Bewegt. $\text{♩} = 72$.

The musical score consists of five systems of two staves each (treble and bass clef). The key signature is three sharps (F#, C#, G#) and the time signature is 2/4. The tempo is marked 'Bewegt.' with a metronome marking of quarter note = 72. The first system (measures 1-2) features a complex, rapid sixteenth-note melody in the right hand, with a simple bass line. The second system (measures 3-4) continues the melodic pattern. The third system (measures 5-6) shows the right hand playing a more intricate, overlapping sixteenth-note texture. The fourth system (measures 7-8) maintains the rapid sixteenth-note flow. The fifth system (measures 9-10) concludes the section with a final flourish in the right hand and a simple bass line.

2

5

8

10

750

12

Musical score for measures 12-14. The piece is in G major (one sharp) and 3/4 time. The right hand features a complex, flowing melodic line with many slurs and ties, while the left hand provides a steady accompaniment of eighth notes.

15

Musical score for measures 15-17. The right hand continues with intricate melodic patterns, including some triplets and slurs. The left hand maintains its accompaniment, with some notes beamed together.

18

Musical score for measures 18-20. The right hand has a more rhythmic feel with repeated eighth-note patterns. The left hand continues with a consistent accompaniment.

21

Musical score for measures 21-23. The right hand features a series of chords and moving lines. The left hand has a few notes, including a measure marked "L.H." (Left Hand).

24

Musical score for measures 24-26. The right hand has a more active melodic line with slurs. The left hand continues with a steady accompaniment.

26

Musical score for measures 26-27. The piece is in G major (one sharp) and 3/4 time. Measure 26 features a complex piano accompaniment with sixteenth-note patterns in the right hand and a bass line of quarter notes in the left hand. Measure 27 continues this texture with a melodic line in the right hand.

28

Musical score for measures 28-29. Measure 28 shows a melodic line in the right hand with slurs and a bass line of quarter notes. Measure 29 continues the melodic development in the right hand.

30

Musical score for measures 30-31. Measure 30 features a melodic line in the right hand with slurs and a bass line of quarter notes. Measure 31 continues the melodic development in the right hand.

32

Musical score for measures 32-34. Measure 32 features a melodic line in the right hand with slurs and a bass line of quarter notes. Measure 33 continues the melodic development in the right hand. Measure 34 continues the melodic development in the right hand.

35

Musical score for measures 35-37. Measure 35 features a melodic line in the right hand with slurs and a bass line of quarter notes. Measure 36 continues the melodic development in the right hand. Measure 37 continues the melodic development in the right hand.

38

Musical score for measures 38-40. The piece is in D major (two sharps) and 3/4 time. Measure 38 features a complex, rapid sixteenth-note pattern in the right hand, while the left hand plays a simple bass line. Measures 39 and 40 continue this texture with similar rhythmic patterns.

41

Musical score for measures 41-43. Measure 41 shows a continuation of the sixteenth-note patterns. Measure 42 introduces a dynamic marking of *p* (piano). Measure 43 features a more melodic line in the right hand with some grace notes, while the left hand maintains a steady accompaniment.

44

Musical score for measures 44-46. Measure 44 has a dynamic marking of *p*. Measure 45 shows a change in the right-hand pattern, becoming more rhythmic and repetitive. Measure 46 continues with similar textures in both hands.

47

Musical score for measures 47-49. Measure 47 features a dynamic marking of *p*. Measure 48 shows a continuation of the sixteenth-note patterns. Measure 49 has a dynamic marking of *p* and features a more melodic line in the right hand.

50

Musical score for measures 50-52. Measure 50 has a dynamic marking of *p*. Measure 51 features a dynamic marking of *pp* (pianissimo). Measure 52 concludes the section with a final chord and a dynamic marking of *pp*. The page number 753 is printed at the bottom center.

753

V.

Im Anfange ruhiges, im Verlauf bewegtes Tempo. $\text{♩} = 68$.

Musical score for piano, measures 1-20. The score is in G major (one sharp) and 4/4 time. It begins with a tempo instruction: "Im Anfange ruhiges, im Verlauf bewegtes Tempo. $\text{♩} = 68$." The piece starts with a piano (*p*) dynamic. The first system (measures 1-6) features a steady accompaniment in the left hand and a melody in the right hand. The second system (measures 7-10) shows the right hand moving to a more active eighth-note pattern, with the left hand providing harmonic support. The third system (measures 11-13) continues this active texture. The fourth system (measures 14-16) introduces a first ending bracket in the right hand, marked with a first ending sign (1. H.). The fifth system (measures 17-19) features a piano (*p*) dynamic and a more complex rhythmic pattern in the right hand. The sixth system (measures 20) concludes the passage with a final cadence.

23

26

29

32

35

38

cresc.

cresc.

Verhallend

nach - und - nach

pp

Detailed description: This page of a musical score contains six systems of piano accompaniment. Each system consists of a treble and bass staff. The key signature is two sharps (F# and C#), and the time signature is 2/4. Measure numbers 23, 26, 29, 32, 35, and 38 are indicated at the beginning of their respective systems. The music features a variety of textures, including sixteenth-note runs, chords, and sustained notes. Performance markings include 'cresc.' (crescendo) at measures 23 and 32, 'Verhallend' (decrescendo) at measure 35, and 'pp' (pianissimo) at the end of measure 38. The lyrics 'nach - und - nach' are written above the treble staff in measure 38.

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Discography of Recordings of the *Gesänge der Frühe*

A list of the CDs of Op. 133 that are currently available is as follows (performer/label/release year):

Jean Martin/Arion/1972;

Ronald Brautigam/Olympia (now Brilliant Classics)/1993;

Maurizio Pollini/Deutsche Grammophon/2002;

András Schiff/Warner Classics Maestro/2004;

Michael Endres/Oehms/2005;

Laurent Cabasso/Naïve/2007; Tobias Koch/Genuin/2007;

Eric Le Sage/Alpha/2008; Paolo Giacometti/Channel Classics/2008;

Fabio Romano/Wergo/2010;

Piotr Anderszewski/Virgin Classics/2011; Cédric Pescia/Claves/2011.