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The Finales of Robert Shumann's Piano Sonatas and Fantasie

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THE FINALES OF ROBERT SCHUMANN’S PIANO SONATAS AND FANTASIE

by

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ABSTRACT

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Adviser: Professor Chadwick Jenkins

This dissertation sets out to examine the finales of Robert Schumann’s Piano Sonatas (opp. 11, 14, 22 [original finale]), and Fantasie (op. 17), with an especial focus on their form, which can be broadly categorized as parallel form. The introduction examines historical criticisms of Schumann’s large-scale works, pointing out some of the idiosyncratic features found in Schumann’s finales. Each chapter will present a comprehensive analysis of one of the finales. I make use of color diagrams in the formal analyses, which expeditiously and efficiently elucidate the repeating patterns of thematic and transitional materials; they also visually reflect the actual number of measures spent in each section, thus helping the viewer to recognize the deformation occurring in the parallel format of the finales. In addition to form, my analysis draws on observations of harmony, voice leading, phrase structure, and pitch/motivic material.

The dissertation then compares Schumann’s formal construction of the finales to the plot structure of literary work or film. Based on my analyses, I suggest that the multi-layered design of form and harmony may effectively express a story containing multiple digressions, as depicted in the novels of Jean-Paul Richter, one of Schumann’s creative inspirations.

My analysis also suggests that Schumann’s way of constructing finales is deeply reflected in his double personality, Florestan and Eusebius. In relation to this, my dissertation includes a
discussion of these finales’ potential psychological effects on the listeners, utilizing Sigmund Freud’s psychoanalytic essay, *The Uncanny*; I argue that uncanny feelings may be evoked when listeners encounter “alienated repetitions” during these lengthy finales.

The study shall also aid the reader in locating these deceptive alterations in recurring themes and transitions; a complete map of the finale with indications of such subtle changes in the recurring sections shall help pianists who wish to maintain a clear sense of direction while performing these complex and lengthy finales, which are sometimes perceived as amorphous patchworks of short fragments endlessly repeated.
ACKNOWLEDGEMENTS

Through my life, Schumann has been always the composer who has kindled my passion for music; if it were not for his compositions, I am quite certain that I would not have been able to carry on this journey, which has been full of excitement, but also quite challenging. My first acknowledgement of gratitude therefore goes to this extraordinary man, whose works still keep inspiring people’s lives nearly two hundred years, and to his wife Clara, one of the greatest inspirations for Schumann’s works, who provided countless contributions to spreading his art to the world.

My foremost heartfelt gratitude goes to my adviser, Professor Chadwick Jenkins, whose guidance made it possible for me to express my analyses on paper in sequence: without his keen advice, it would not have been possible to bring this dissertation to its final form. Every question he raised along the way strengthened my work. His philosophical insight, which introduced me to Freud’s *The Uncanny*—now one of my favorite subjects in this dissertation—was decisive and allowed me to reach deeper layers of understanding in Schumann’s work. I thank him deeply for his absolute commitment to this project. My first reader, Professor Alison Deane, did not only provide me wise comments from the pianist’s perspective, but also cheered me up with her natural warmth, which brightened up this tough journey.

I was so fortunate to have two brilliant professors as part of my dissertation committee. Professor L. Poundie Burstein was indeed the first person who encouraged me to pursue the idea of using color diagrams, and to explore the ideas about formal anomalies, which became a crucial part of my dissertation. Professor Norman Carey has known me for quite a few years, and has been always a great support during my study at the Graduate Center. His timely and valuable
pieces of advice on Schumann’s compositions are too many to list here, but reflected in this dissertation.

Apart from the committee members, I can never forget to thank Professor Richard Kramer for his contribution, since he took time to take a look at one of Schumann’s manuscripts in Vienna, which I was not able to access by myself. His observations on the manuscript greatly benefitted my study. I would also like to extend my gratitude to the other faculty members of the Graduate Center, especially Professor Mark Anson-Cartwright and Professor Joseph N. Straus for sharing their knowledge, and to wonderful Gianna Ward-Vetrano for her incredible assistance in editing. I would also like to gratefully acknowledge Bonnie MacAlvin and Dmitrii Fotin for their assistance on how to use the software needed for creating a variety of musical examples and figures.

I am highly indebted to all my piano teachers who raised me to become a pianist, and to Professor Noriko Nakamura and Professor Carl Schachter for their essential guidance which led me to become a thinker and scholar.

While making a list of the names of my friends and colleagues who helped me and encouraged me during this process, I realized that I would need to write another chapter in order to complete the list; therefore I refrain from putting each name on this page all together. Instead, I would like to share my gratitude in person. Along the way, a lot of people offered me assistance in many different ways, without asking anything in return; I would like to pay it forward by helping others when it is my turn.

I owe my deepest gratitude to my parents, Yukie Sato and Makoto Sato, to whom I dedicate this dissertation. While studying in a foreign country, there were times when things appeared to be difficult; without interfering too much, they simply believed in me. They taught
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Finally, I would like to express my gratitude to Victor Genina, who calmly but firmly convinced me to complete this dissertation, believing that it was important for my growth. I thank him wholeheartedly for showing a genuine interest for this project, and occasionally suggesting that I be “patient” and “a little more flexible,” which was indeed necessary for carrying out this process.
NOTE ON EDITIONS

All musical examples in this dissertation have been reproduced from editions in the public domain. All musical examples of Schumann’s work have been reproduced from Robert Schumanns Werke: Für Pianoforte zu zwei Händen, edited by Clara Schumann and published by Breitkopf & Härtel; this edition is known as the “old complete edition,” or “Clara Schumann edition.”

At the present time, op. 22 is the only work that has been published by Schott as part of the new complete edition, Neue Ausgabe Sämtlicher Werke: the ongoing project by Akio Mayeda, Klaus Wolfgang Niemöller, and Robert-Schumann-Gesellschaft Düsseldorf, which began in 1991. In this new critical edition, the original finale of op. 22 is found in the fifth volume, edited by Michael Beiche.

In addition, another recent complete edition published by Henle was also checked for accuracy against the old complete edition. Some differences among these editions, which are relevant to my discussion, are mentioned in the footnotes.

Besides these editions, three manuscripts of the original finales of op. 22 have been consulted: 1) the early draft; 2) the early version of the manuscript, dated October 27, 1835 (Vienna, Gesellschaft der Musikfreunde); 3) the later version of the manuscript (Berlin, Deutsche Staatsbibliothek [Staatsbibliothek]). A general discussion of these manuscripts shall be made in Chapter 4.

All the measure numbers in the musical examples and analyses in this dissertation are based on the edition by Breitkopf & Härtel. In the case of the original finale of op. 22, readers following the new complete edition by Schott or the Henle edition will occasionally encounter
different measure numbers, because these two editions are based on the different manuscripts; some of these differences in the measure numbers are pointed out in the footnotes.
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0.1 Criticisms and studies of Schumann’s large-form works.

Robert Schumann is known for his exceptional achievement in his collections of character pieces, boldly expressing his fiery temperament and capriciousness. In these works, the different characters with contrasting personalities, or the different scenes with contrasting atmospheres are often introduced one after another along with a series of short fragments, which results in a mesmerizing effect; the quick change of mood and atmosphere is therefore one of the essential elements in Schumann’s character pieces.

In comparison, when it comes to large-form compositions (such as sonatas, symphonies, or string quartets) where hierarchy, organization, total unity, and a balanced distribution of contrasts are expected, some of Schumann’s works have been rather underrated, or criticized negatively at times; some people consider that Schumann’s extreme temperament—quickly changeable yet obsessive and persistent—interferes with creating a sense of overall coherence in such large-form compositions. Schumann’s seemingly unbalanced and incomprehensible designs for the large-form compositions therefore have given rise to a good deal of critical controversy.

a. Newcomb.

In “‘Once More ‘Between Absolute and Program Music’: Schumann’s Second Symphony (1984),” which contributes to the reevaluation of Schumann’s Second Symphony (op. 61), Anthony Newcomb begins thus:

For recent critics, Schumann’s Second Symphony has been a refractory text. While the nineteenth century judged it to be one of his highest achievements, the twentieth is generally puzzled by it and tends to reject it as defective.¹

Newcomb discusses the historical trend of critical opinions, which shifted from the positive to the negative between the nineteenth and the twentieth century, and he claims that the reason is this: *the way of understanding the text* has changed over time. As one example, Newcomb cites a harsh criticism of Schumann’s final movement of op. 61, made by Armin Gebhardt (1968):

He [Gebhardt] interprets the [final] movement as an extremely sectional patchy pair of interlocking rondos, with fourteen sections rolling past as functionally undifferentiated as the cars of a freight train. [...] he goes so far as to recommend cutting nearly half in performance.4

The criticism captures some of Schumann’s compositional tendencies in the final movement, which is long, repetitive, and scattered. Even Newcomb himself concedes that the finale is long and formally incoherent, writing:

The end-accented plot archetype of op.61 throws considerable weight on its last movement, […], and it is in Schumann’s Finale that the traditional form is most deeply deflected by the Ideengang [the path of thought] […].5

Newcomb attempts to respond to negative criticisms by questioning the aptitude of current analytical means, which attempt to define the movement as a fixed single form.6 Instead, he perceives the nature of the movement as “evolving,” thus “it starts as one thing and becomes another,” and claims that “this formal transformation is part of its meaning.”7 Additionally, he suggests a critical approach to Schumann’s op. 61 that stresses the following:

1. The position of the movement in a plot archetype, in a standard series of mental states.
2. The stress on thematic metamorphosis throughout the symphony, which leads us to hear the intrinsic meaning of each theme colored by what it has been.
3. The implication of character borne by form and genre: whatever form and genre is implied by the movement at any given moment carries implications of character, as does any change in implied form or genre.

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2 Ibid., 237–240.
3 Ibid., 233.
4 Ibid., 239–240.
5 Ibid., 237 [Bracket mine].
6 Ibid., 240.
7 Ibid., 240.
4. Any allusion that thematic or formal procedure may make to other pieces, or even to words.⁸

In this manner Newcomb puts the weight of his analysis on thematic character, its evolution and interaction with the themes, which are “laden with metaphorical meaning.”⁹ This attitude originates from a conception of Schumann’s music “as composed novel, as a psychologically true course of ideas.”¹⁰ He claims that the notion of music \textit{qua} novel was “an important avenue to the understanding of much nineteenth-century music,”¹¹ and explains the validity of comparing Schumann’s large-form works with a paradigmatic plot thus:

Schumann discovered early in his compositional career how to arrange small, individually static but interrelated character pieces in a series, in order to imply an evolving story. But this is not the only way to present a narrative series of \textit{Seelenzustände} [embodied emotions or attitudes attendant upon experienced objects or events].¹² One may also do so in a larger form—to use a literary example not as a series of lyrics like Muller’s \textit{Die schöne Müllerin}, but as a novel like [Goethe’s] \textit{Wilhelm Meister} or Schumann's beloved \textit{Flegeljahre} [Jean-Paul Richter]. The idea was scarcely foreign to the early nineteenth century [….]¹³

\textbf{b. Lester and Roesner.}

In “Robert Schumann and Sonata Forms (1995),” Joel Lester engages in a reevaluation of Schumann’s sonata-form compositions. At the beginning of the discussion, Lester cites some comments made by Gerald Abraham on Schumann’s large-scale works as an example of negative criticisms.¹⁴ Abraham describes the form of Schumann’s First Symphony (op. 38) as fragmented, scattered, and without a systematic plan:
Schumann’s static, mosaic-like conception of form and the lack of germinal quality in the themes, … [which are] more like passage work than true themes, capable of endless manipulation but lifeless and infertile.\(^5\)

In addition, Lester points out some unsolved issues in Newcomb’s otherwise positive approach to the Second Symphony:

Even Anthony Newcomb, who set out to explain why the Second Symphony was so admired by earlier eras, in effect concedes the work’s structural weakness when he defends it on the basis of narrative and other critical models, rather than arguing for its value on structural grounds.\(^6\)

In contrast, Lester introduces Linda Roesner’s article, “Schumann’s ‘Parallel’ Forms (1991),” which offers an opposing perspective to such criticisms. Roesner provides positive assessments of Schumann’s sonata-form compositions and recognizes significant systematic formal patterns in some of Schumann’s large-scale works, such as his F-minor Piano Sonata (op. 14) or Fantasie (op. 17). In the article Roesner identifies the distinctive formal scheme seen in the first and the last movement of these works as “parallel form.”\(^17\) While acknowledging the significance of the narrative aspects in the works, Roesner’s arguments are limited to the formal analysis of the musical text and do not show any interrelationship between Schumann’s specific formal scheme and plot structures in literature.

Lester’s study also focuses on the musical aspects, yet he explains that Schumann’s sonata-form movements “resemble a mosaic [and] exhibit effective large-scale tonal and thematic narratives and organic processes.”\(^18\) He continues:

Each of Schumann’s sonata-form movements is individual in conception because each uniquely relates its large-scale structural and narrative plans to its thematic content. In sum, Schumann’s sonata forms are individual and suitable vehicles for his varied creative

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\(^6\) Lester, “Robert Schumann and Sonata Forms,” 190.


\(^18\) Lester, “Sonata Forms,” 190 [Bracket mine].
Thus, Lester emphasizes the individuality and variety of Schumann’s sonata-form movements, rather than noting their overall tendencies or commonalities. He lists his selection of titles and movements, which he classified as “Schumann’s works in sonata form”; this classification, however, omits some of the works and movements we might consider pertinent to such a list. For example, Lester classified the first and the last movements of opp. 14 and 22 (the “published” finale) as “sonata-form” compositions with reference to the concept of “parallel form,” but excluded op. 17 and the finale of op. 11, although some scholars recognize similar formal schemes in these works. The Fourth Symphony (op. 120) and the finale of the Second Symphony were also excluded from the list. Lester explains his reasons thus:

Opus 120 lacks a recapitulation altogether and offers a far more extreme contrast between a compact “exposition” and an exceedingly long “development” than in any other movement. With its interconnected movements and a finale that reworks materials from the first movement, it suggests Schubert’s cyclic “Wanderer” Fantasy more than Schumann’s sonata-form practices. […] The finale of the Second Symphony likewise begins as if in sonata form, but lacks any return of substantial material in what would be the recapitulation. Instead, this section, merging with a coda that occupies thematic evolutions—the very antithesis of Schumann’s sonata-form recapitulations. This finale is similar to the last movement of the Piano Quintet, whose thematically evolving “coda” also is as long as the remainder of the movements. Whatever formal model one wishes to cite for these movements, it will be a model other than Schumann’s sonata form.

Here again, the statement eventually ends up illuminating some of Schumann’s refractory tendencies in the finales. The article neither offers an alternative “model” for the above-mentioned works/movements, nor provides any further explanations identifying these

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19 Ibid., 190.
20 Ibid., 204.
21 Two versions of the finale of op. 22 exist: the original finale and the new “published” finale. For detailed information on these finales, see Chapter 4.
22 Linda Roesner recognizes the close relationship between the first and the last movements of opp. 14 and 17, which, according to her claim, share the parallel form. Likewise, Pál Richter undertakes the analyses of the first and the last movements of opp. 11, 14 and 17, among others, presenting some features to show their formal resemblance. See Pál Richter, "The Schumannian déjà vu: Special Strategies in Schumann's Construction of Large-Scale Forms and Cycles," Studia Musicologica Academiae Scientiarum Hungaricae T. 44, Fasc. 3/4 (2003): 305–320.
movements’ specific contributions to Schumann’s large-scale works, other than comparing op. 120 to Schubert’s ”Wanderer” Fantasy. Thus the article still leaves many questions unanswered in its attempt to define some of Schumann’s compositional tendencies in these works.

c. Richter.

Similar to Lester, Pål Richter acknowledges the validity of Roesner’s approach (Schumann’s ‘Parallel Form’) in his article “The Schumannian déjà vu: Special Strategies in Schumann’s Construction of Large-Sale Forms and Cycles (2003).” Richter points out that one of the most interesting features in Schumann’s sonata-form (or sonata form-like) compositions is “the repetition of a longer section in different keys, reminding of the exposition-recapitulation duality,” a concept which is linked to Roesner’s “parallel form.” At the same time, Richter stresses the importance of the narrative aspect of the works thus:

Schumann’s structural ideas and notions were not a mere reinterpretation of form but an adaptation into musical form of literary antitypes, including the Jean Paulian narrative.

In this manner, Richter attempts to link structural dualism to the experience of déjà vu, explaining that “Schumann had a liking for re-experiencing certain musical passages, for ‘walking old roads’” Richter’s article thus emphasizes the resemblance of the two structural units that constitute the parallel form and the déjà vu experience of retracing an old road; on the other hand, the article tends to pay little attention to the formal anomalies found in Schumann’s parallel form. Indeed the inconsistencies seen in the resembling sections within the parallel format may offer a far more complicated narrative context and brilliant effects, rather than simply “retracing an old road.”

25 Ibid., 312.
26 Ibid., 314.
More and more recent studies tend to critically acclaim Schumann’s large-form works, with an especial focus on his artful formal construction and tonal procedures. In her dissertation, “‘A Higher Echo of the Past’: Schumann’s 1842 Chamber Music and the Rethinking of Classical Form (2000),” Julie Hedges Brown analyzes Schumann’s 1842 chamber works, opp. 41, 44, and 47, and discusses Schumann’s innovative approach to form in these works, especially their finales that feature “parallel forms.” She explains that the forms of these finales “extend either sonata form (op. 47) or rondo form (opp. 41, no.3 and 44) in ways that generate a large bipartite structure [with halves of similar contents].” In contrast to Roesner’s comment that “after the late 30s Schumann did not take parallel form any further,” Brown’s study suggests that Schumann’s stylistic approach to larger forms, which features “parallel form” finales, was established and developed over years in his compositional history, and is one of the significant characteristics of his large-form compositions. Brown acknowledges Schumann’s early piano sonatas written in the 1830s as the predecessors of “parallel forms” and observes how these chamber music works written in 1842 develop the experimental traits of Schumann’s earlier music, which include “interruptive gestures, beginning in medias res, sustained tonal ambiguity, and strategies of competing tonics.”

Just as Brown has described “strategies of competing tonics,” recent substantial studies bring attention to the tonal pairing in Schumann’s large-form works. In “Tonal Pairing and Monotonality in Instrumental Forms of Beethoven, Schubert, Schumann, and Brahms (2013),”

27 Julie Hedges Brown, “‘Higher Echo of the Past’: Schumann’s 1842 Chamber Music and the Rethinking of Classical Form” (PhD diss., Yale University, 2000), Abstract. The words inside the bracket were quoted from her article, “Higher Echoes of the Past in the Finale of Schumann’s 1842 Piano Quartet,” Journal of the American Musicological Society 57, no. 3 (2004): 533.
28 Roesner, “‘Parallel’ Forms,” 271.
Peter H. Smith emphasizes Schumann’s skillful use of tonal pairing in his large-scale instrumental works, as stated below:

Although there has been long-standing admiration for the success of these endeavors in Schumann’s miniatures, the contribution of tonal pairing to the beautifully idiosyncratic compositional language of his large-scale instrumental forms has been less appreciated.

A propensity for tonal pairing stands as one of the most identifiable characteristics of Schumann’s widely admired piano works of the 1830s. It is somewhat surprising, therefore, that discussions of pairing in later nineteenth-century music tend to ignore, or at least fail to emphasize, the precedent of Schumann’s practice.

The term tonal pairing (related to “double-tonic complex” and “directional tonality”) was introduced by Robert Bailey in 1985. Smith claims that many of Schumann’s compositions are framed by tonal pairing, “in which two keys, usually a third apart, intertwine throughout a work,” and these two keys “intermingle to such an extent that it is difficult to determine the boundaries between the keys.” From this viewpoint, Smith joins a more recent trend toward a positive reassessment of Schumann’s sonata technique. Based on his claim that “tonal pairing may function as an integral component of some of the most compelling nineteenth-century adaptations of traditional forms, including sonata form,” Smith offers an analysis of the final movement of Schumann’s A minor Violin Sonata (op. 105), which “reveals a similarly vital engagement to this trend.” The author demonstrates Schumann’s utilization of tonal pairing in the composition with Schenkerian graphs, which highlight these characteristics efficiently. These discussions (Brown, Smith) thus elucidate Schumann’s specific tonal scheme and his

31 Smith, “Tonal Pairing and Monotonality,” 89.
34 Smith “Tonal Pairing and Monotonality,” 89.
35 Ibid., 89.
contribution to the development of a musical form in the large-form works, which have been less appreciated in the past.

0.2 The purpose of my dissertation.

The above discussions bring out some of the important compositional characteristics in Schumann’s large-form composition, and it can be said that the finales of Schumann’s three Piano Sonatas (opp. 11, 14, 22 [the original finale]) and the Fantasie (op. 17, originally conceived as a sonata) stand as the finest examples of these characteristics. These finales are often perceived as long, repetitive, mosaic-like, scattered, constantly evolving, and transformative. Furthermore, these pieces display Schumann’s habitual tendencies in the formal design:

1) The finales can be divided into two large structural units.

2) The patterns of themes and transitions in each unit are broadly similar, except for the fact that each unit goes through different key areas. (These characteristics are referred to as parallel form—the term first introduced by Roesner in 1991.)

3) At the end of the second unit, a relatively long coda is attached to conclude the piece.

A further observation reveals that the formal design of these finales, however, is not as simple as it seems. There are many subtle changes in the themes and transitions when they appear in the recurring sections. What seems to be a simple repetition of the previous model at first glance turns out to be a constant reworking of earlier material that affords the listener often surprising interpretive insights. These deceptive manipulations are found in several places.

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36 Regardless of its published title “Fantasie,” op. 17 was originally conceived as a sonata and thus contains many elements, which form the basis of its inclusion in the sonata genre. Further explanations of this matter are found in Chapter 2.

throughout the movement and they are also part of the reason why Schumann’s final movements are often perceived as “formally defective,” or “formally incoherent.” A lack of awareness of these subtle changes is also quite problematic in performance, especially since in common performance practice pianists are expected to perform these works by memory. Nevertheless, existing studies seem to pay little attention to these small differentiations. Even the recent studies that give positive assessments of Schumann’s large-form works underestimate these subtle transformations: “apart from a few minor changes, Schumann makes a ‘word-for-word’ repetition,”38 or “the only thematic variations in the ‘parallel repeat’ occur at […].”39

In such circumstances, I consider it important to study these finales to identify the small changes that occur in the overall repetitive format, which I term “alienated repetition.” At the same time, this study not only helps the performer to take note of the deceptive changes in the piece, but also serves as a means of understanding Schumann’s general compositional tendencies.

In my dissertation, I shall present analyses and extensive studies of the finales of Schumann’s three Piano Sonatas (opp. 11, 14, 22 [original finale]), and Fantasie (op. 17). Each chapter provides a comprehensive analysis of each finale. Interesting features of Schumann’s finales are introduced piece by piece. The comparison of these finales will reveal Schumann’s compositional strategies, which were specifically adopted for the grand conclusion of the sonata works.40 I would like to propose that many of Schumann’s distinctive compositional tendencies in the finales, apart from the varieties within these commonalities, are the consequence of his

40 Brown claims a similar point of view by characterizing the formal construction of Schumann’s final movements (opp. 41, no. 3, 44 and 47) as “end-weighted” and as having a sense of “end-directedness.” See Brown, “Higher Echo of the Past (2000),” 278; 279.
deliberate craftsmanship, and that they successfully reflect Schumann’s idiosyncratic nature, which is linked to the German Romantic concept of the *Double*.

### 0.3 Analytical approach and methodology.

A major component of my study will be a discussion of a formal analysis of the final movements of Schumann’s Piano Sonatas. The existing analyses made by Roesner, Richter, Marston,\(^{41}\) Rosen,\(^{42}\) and Longyear,\(^{43}\) are going to be consulted and compared with my analyses.

In the formal analysis, I use the terms Rotation A and Rotation A’, which differentiate between the two large structural units.\(^{44}\) The color diagrams are employed specifically in the formal analysis. The benefit of the color diagrams is that they are able to illuminate some important features of the formal design vividly, such as:

1. Parallel design of themes and transitions between Rotations A and A’;
2. Distinctive pattern of the themes and transitions within each rotation;
3. Formal inconsistency (i.e., *deformation*), occurring between Rotations A and A’.

The color diagrams are especially useful when distinguishing the similarities and the differences of the two rotations. By recognizing the same colors, or locating the different colors that break a synchronization of the same colors, one can clarify the similarities and the differences of the thematic pattern of the two rotations instantly. The diagrams also visually reflect the actual portion of the measures spent in each rotation so that one is able to recognize the deformation of the parallel form. In addition, I employed dotted outlines or asterisk markings (and so on) to

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\(^{44}\) The idea of using the term “rotation” was inspired by James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth Century Sonata* (New York: Oxford University Press, 2011).
distinguish the repeating themes and transitions in different key areas, which helps one recognize the tonal design as well as form. The color diagrams are also beneficial when making a comparison of the different finales; the viewer can instantly locate both the resemblances and the differences of form in these finales.

Another important task of my dissertation is to find a connection between the different thematic fragments, which seem to be scattered and unrelated at first glance. This study prevents people from perceiving each fragment separately and without context, instead, helping them to perceive the entire piece as a whole. This approach is ultimately linked to an important aesthetic concept of German Romanticism, Witz.

Witz—the “ability to discover a distant similarity”—is one of the essential concepts of German Romanticism and is demonstrated in the literature of Friedrich Schlegel (1772–1829) and Jean-Paul Richter (1763–1825).45 It is often mentioned that their literature and aesthetic concepts had a significant influence on Schumann and his creations. Schumann’s admiration and enthusiasm for Jean Paul’s literature is especially well known, as it is even mentioned in Schumann’s own writings.46 I suggest that integrating the concept of Witz into the analysis may help solve questions about Schumann’s specific compositional strategies in finales.

In Nineteenth-Century Music and the German Romantic Ideology, John Daverio linked Schumann’s character pieces (e.g., Davidsbundlertänze or Papillons) to the concept of Witz. In

his work, Schumann’s character pieces, which consist of a collection of fragmentary short pieces, are compared to Schlegel’s “system of fragments,” which is explained thus:

Implicit in Schlegel’s outlook on the fragment is a sense for the multivalence of the total forms that fragment clusters may create. To cite a particularly clear example: the memoir or “confession” as “fragment system” may be built up from a series of epistolary exchanges, each of which projects the dialogue (a chain or “garland” of fragments) onto a larger scale. If the motion from dialogue, to letters, and finally to memoir constitutes the processive form of a given fragment system, then the operations of Witz, the faculty that allows the creative mind to fashion subtle interrelationships and the imaginative beholder to perceive them, ensure the system’s inner coherence: “the system of chemical fragments,” as Schlegel put it, “is at once an apotheosis of Witz.”

By comparing the character pieces to the “system of fragments,” Daverio explains how the concept of Witz helps us to find the connections and interrelationships between each piece and allows us to perceive them as a part of the whole.

Erika Reiman, in her book *Schumann's Piano Cycles and the Novels of Jean Paul*, defines Schlegel’s concept of Witz as “a combinatory property that links artistic fragments through ‘the outward lightning bolt of the imagination.’” She then claims that Schlegel’s Witz is however, “subsidiary to a large set of ideas represented by Jean Paul’s idiosyncratic use of the terms ‘Witz’ and ‘Humor.’” Therefore, she continues to redefine Jean Paul’s view of Witz thus:

In its widest sense, “Witz” for Jean Paul is the art of comparison. He agrees with Schlegel that productive connections between fragments may be established through “Witz,” but goes on to explain that this sort of comparison is not the only sense in which “Witz” is to be understood. Two other categories come into play here: “Scharfsinn,” a kind of obverse to “Witz,” and “Tiefsinn,” a transcendental mode of comparison. Here follow Jean Paul’s definitions of these three categories:

1. “Witz”: “partial sameness masked by a greater difference”;
2. “Scharfsinn”: “partial difference hidden by a greater sameness”;
3. “Tiefsinn”: “complete identity despite all appearances.”

Reiman concludes her discussion in this way:

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48 Reiman, *Schumann's Piano Cycles*, 16.
“Witz” brings the most far-fetched comparisons to life, discovering the unknown similarities underlying immense superficial difference; “Sharfsinn” reveals the rifts between entities we thought were of the same ilk; and “Tiefsinn” transcends surface discord, uncovering the deeper affinities between all things.49

I suggest that these concepts, Witz, Sharfsinn, and Tiefsinn, are essential for understanding Schumann’s finales. In order to discover hidden differences, hidden connections, and an overall coherence in the finales, analyses of harmonic structure, voice leading, phrase structure, and pitch relationships are included in addition to the formal analysis.

In my dissertation, Schumann’s finales will be compared to a “system of fragments,” which is characterized by narrative forms such as the Suspense Story (Chapter 1) and the Memoir (Chapter 2). As explained above, this type of approach, comparing the large-form works with a composed novel, has already been introduced in Newcomb’s articles; in contrast to his articles, however, I do not take the narrative approach as an alternative for formal analysis, but rather as a complementary addition to such formal analysis. In particular, the form and tonal design of the movements will be compared to the plot structure of a novel. For this reason, I shall occasionally adopt some technical terms used in the analysis of literature or film studies, such as “flashback,” “foreshadowing,” or “digression,” in order to elucidate Schumann’s specific writing habits in the composition.50

The discussion will also address the potential psychological impact on listeners of Schumann’s finales. For this, I will incorporate the concept of “Doppelgänger (Double)” into the discussion. The Doppelgänger (Double), a favored trope of the German Romantics, represents the symbolic figure of an alter ego, which was seen in Jean Paul’s Siebenkäs, and later in other

49 Ibid., 16. A similar explanation is also found in Hoeckner, “Romantic Distance,” 120.
50 The study which is highly relevant to this type of approach is found in Christopher Lewis, “The Mind’s Chronology,” in The Second Practice of Nineteenth-Century Tonality, ed. William Kinderman and Harald Krebs (Lincoln: University of Nebraska Press, 1996), 114–149. Lewis notices the way the film The Icicle Thief (Ladri di saponette) manipulates its narrative and temporal elements is precisely analogous to how the Adagio of Bruckner’s Seventh Symphony manipulates its tonal strata (Lewis, 119).
works, including E.T.A. Hoffmann’s famous novel *The Doppelgänger*. It is considered to be one of Schumann’s favorite concepts, corroborated by his creating fictional characters that represent his own alter ego, such as *Florestan* and *Eusebius*, who appeared frequently in his compositions and writings.

My study suggests that the concept of the double is effectively reflected in the dual nature of Schumann’s finales, which manifests itself in multiple layers in the tonal design and the formal construction. The exploitation of the dual natures in the finales allows both harmony (brought by ‘parallel form’) and tension (brought by ‘formal anomaly,’ ‘competing tonics,’ or ‘pitch conflicts’) to coexist. This combination provokes a special psychological effect, which I compare to the Freudian concept of the uncanny.

According to Freud, the uncanny feeling is eerie and frightening and is evoked when two opposing feelings coexist, such as familiarity and unfamiliarity.\(^{51}\) Freud describes thus: “the class of the frightening things which leads back to what is known of old and long familiar.”\(^ {52}\)

He explains that the uncanny situation occurs particularly when something *recurs*:

> In the first place, if psycho-analytic theory is correct in maintaining that every affect belonging to an emotional impulse, whatever its kind, is transformed, if it is repressed, into anxiety, then among instances of frightening things there must be one class in which the frightening element can be shown to be something repressed which *recurs*.\(^ {53}\)

The recurrence in Schumann’s finale is not a simple repetition; it is an *alienated* one, which makes two objects almost the same, but not exactly. This idea offers a strong reasoning for

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\(^{53}\) Ibid., 634.
Schumann’s compositional tendency in writing finales, which has often been criticized as excessively repetitive and formally incoherent.

My dissertation will undertake to reveal Schumann’s smart tactics and subliminal tricks made in the finales, which are thoroughly calculated and integrated into the music. The study will elaborate Schumann’s particular way of concluding large-scale sonata (or sonata-like) compositions, which is somewhat similar to the conclusion of the large-scale novel; it shall disclose the multi-layered design and the dual nature of the compositions, which carry a potential for special psychological effects prepared for the grand finale.
CHAPTER 1

Finale as Suspense Story—The Opus 14 Finale and Distorted Parallel Form.

1.1 Overall form.

The formal construction of Schumann’s large-form works has proven to be a stumbling block for many scholars. Nowhere are the concerns more clearly highlighted than in the final movements of Schumann’s Piano Sonatas (opp. 11, 14 and 22 [original finale]) as well as the Fantasie, op. 17. This dissertation will discuss the idiosyncratic style of writing in Schumann’s sonata finales. In particular, I will emphasize Schumann’s distortion of the two-part form, which entails a number of deceptive conditions. The analysis of each finale will reveal some important characteristics, which shall help the reader to understand Schumann’s peculiar approach to the large forms.

Chapter 1 begins with an analysis of the form of the op. 14 finale. Firstly, the movement can be divided into two segments. I have labeled them Rotation A and Rotation A’. The movement concludes with a return of the principal theme, followed by a relatively long coda. The Color Diagram 1 displays repeating patterns of themes and transitions of op. 14 finale.

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54 See the introduction.
55 In this dissertation I shall conduct the analysis of the original finale of op. 22, Presto passionato, op. poth., instead of the published (later) version of the finale.
Each color within the diagram represents a different theme or transitional material. I use the same color to represent various returns of the theme or transitional material. At the same time, I use similar color shades, *Light Green* and *Dark Green*, to indicate the sections that have a thematic connection.\(^57\) Moreover, the section in *Yellow* indicates the coda, and the section in *Purple* specifies the break of the parallel form.

The asterisk markings (*) and dotted outline indicate that the given theme or transition is transposed to a perfect fifth above the previous key of the same element.\(^58\) The reason I adopted two different markings in the diagram is to make a distinction between:

\(^57\) In addition to these colors, in the Color Diagram 2 (the op. 17 finale), *Light Blue* and *Dark Blue* also indicate the sections that have a thematic connection.

\(^58\) The specifications of these different markings, which indicate a harmonic relationship between similar thematic/transitional sections, are noted in each color diagram; they are also listed in Appendix 1–4.
1) The modulation occurring *within* Rotation A, or Rotation A’ (indicated with asterisk markings);

2) The modulation occurring *between* Rotation A and Rotation A’ (indicated with dotted outline).

The necessity of this distinction will become clear in the following discussions.

The diagram suggests that Schumann constructed his final movement meticulously, despite some criticisms citing Schumann’s lack of ability to construct larger forms.\(^{59}\) Kathleen Dale, for example, remarks that Schumann couldn’t balance his interest in his musical ideas with a larger concern with a form:

Schumann often became so deeply absorbed in the musical ideas themselves that he lost sight of the aspects of formal symmetry and key-relationship. He would repeat a phrase sequentially until it became *tiresome*, maintain a rhythmic or metrical figure for so long as to produce *monotony*, or would cut up a movement into self-contained sections in a manner which deprived it of any sense of wholeness or inevitability.\(^{60}\)

On the contrary, the Color Diagram clearly reflects Schumann’s systematic organization of a form, such as:

1) A large two-part form (A and A’ plus Coda), which we recognize through the parallelism of themes and transitions between Rotations A and A’ (“Parallel Form”\(^{61}\));

2) A mirror-like pattern of themes and transitions that is recognizable within each rotation, that is, between mm. 17–135, and mm. 183–301 when setting an axis at m. 74 (in Rotation A) and m. 240 (in Rotation A’). The Light Green Sections, and the set of the Light Brown and Dark Brown Sections before the axis point are ordered backwards after the axis point. Notice that within each rotation, however, the Light

\(^{59}\) A discussion of such criticisms can be found in the introduction of this dissertation.


\(^{61}\) The term is introduced in Linda Correll Roesner, “Schumann’s ‘Parallel’ Forms,” *19th-Century Music* 14, no. 3 (1991): 265–278. Also, see p. 9 in the introduction.
Blue Section does not return after the axis point; instead, it is replaced by the Dark Blue Section. This reflects a certain repeating pattern within the rotation.

The diagram therefore reveals the movement’s two-layer form. At the same time, it clarifies the movement’s lengthy repetitive format; however, these characteristics do not necessarily make the movement “tiresome” or “monotonous,” as in Dale’s description.\(^{62}\) I would rather claim that these characteristics are necessary for the movement to be a satisfying finale. Moreover, the following analyses in this chapter shall demonstrate that seemingly self-contained sections are in fact deeply interconnected; therefore, in my view, the repetition of a fragmentary phrase does not deprive it of any sense of “wholeness or inevitability.”\(^ {63}\)

Pál Richter has described the construction of Schumann’s final movement from a different point of view:

Due to the two returns of the first theme, the aesthetic experience is determined not by the traditional duality of the sonata form (the duality of antecedent-consequence and tension-release) but by a long, maze-like musical process loaded with internal repetitions, thematic allusions and definite tonality without tonal tension.\(^ {64}\)

While referring to Roesner’s parallel form, Richter claims that:

Due to the two returns of the first theme, the two large structural units (of the movement) become interchangeable.\(^ {65}\)

Here I shall discuss Richter’s viewpoint with respect to two specific aspects, which are listed below:

1) The “long, maze-like musical process loaded with internal repetitions, thematic allusions and definite tonality without tonal tension”;

2) The “two structural units [which] become interchangeable.”


\(^{63}\) Ibid., 46.


\(^{65}\) Richter, “Schumannian déjà vu,” 315.
As per Richter’s claim, Schumann’s harmonic construction of the finale can be quite different from the “traditional duality of the sonata form,” that is, “the duality of antecedent-consequence and tension-release.” However, I would like to argue that it was still constructed by way of accumulating the tonal tension throughout the movement but in a subtle manner. Moreover, Richter’s claim that “the two structural units become interchangeable” may cause some misperception of the movement. These two units (labeled Rotations A and A’ in my diagram) resemble each other, but are quite differentiated in detail. My analysis shall explain that the differentiations between the two units serve to clarify the particular harmonic construction of the movement. Therefore, the different functions of each rotation cannot be neglected; in other words, these two units are *not* interchangeable.

Due to the reasons mentioned above, I would like to assert that it is important to notice the slight modifications of each repeating section because they are essential for understanding the total design of the movement. In addition, these modifications may become problematic for performers who play this movement; the confusion arises from the many subtle changes that are frequently installed within the long and repetitive format. This issue, however, has neither been discussed substantially in existing articles, nor clearly indicated in published diagrams of this movement’s form. These modifications include: 1) note changes, 2) register changes, 3) rhythm changes, 4) dynamic changes, 5) articulation changes and 6) figuration changes.

The places to look for these modifications are marked with #1, 2, 3, […] in the Color Diagram. The discussion of each comparison shall be made in this order; the same numbers with different letters (e.g., #1a, #1b) indicate the comparable places within a later iteration. By acknowledging these changes, performers can maintain a clearer sense of direction throughout

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66 Ibid., 316.
67 The specific examples of existing analyses shall be introduced later in the discussion.
68 This system is applied to all the color diagrams in this dissertation.
the movement during their performances. I suggest these modifications play a significant role in transforming the finale from a mere repetition of thematic material into a compelling drama; that is to say, they can also stimulate further creativity on the part of the performer. To this end, I provide a detailed analysis of the subtle yet important changes (which I call “events”) that are built in the finale, and occasionally, I shall compare this analysis with a plot analysis of a literary work or film.

The significance of the conception of Schumann’s music as a composed novel has been substantially discussed by Anthony Newcomb as noted previously on pp. 1–3. He explains that Schumann engages with a larger form by implying an evolving story, exemplified in the literature of Jean-Paul Richter, one of the greatest influences on Schumann’s artistic attitude. Newcomb claims that:

Music for Schumann was an expressive enterprise and a form of communication, reflecting in some way the experience of its creator. Not that his music sets out to describe external objects or to chronicle particular events; rather it embodies the emotions or interior attitudes attendant upon experienced objects or events [i.e., *Seelenzustände*].

I shall apply this insight to interpret Schumann’s finale as a story by comparing the formal construction with plot organization, and the illustrated themes and transitions as a commentary of the author’s emotional experiences and the development of the feelings upon “experienced objects or events.”

1.2 The comparison of #1a and #1b–The emergence of D♭.

The analysis begins with the comparison of the areas #1a and #1b indicated in the Color Diagram 1. At mm. 15–16 (#1a), we find the three accents on tied D♭ notes; they attract our

attention, as accents on tied notes literally cannot be made audible on the piano. This particular notation is also found in Schumann’s *The Variations on the name "Abegg,"* op. 1, at the ending of the final variation. Charles Rosen points out this paradox in his *Romantic Generation.*

**Example 1.1 Schumann, op. 14, *Finale. Prestissimo possibile.* Comparison of #1a (mm. 8–19) and #1b (mm. 175–186).**

#1a

#1b:
As seen in Example 1.2, Schumann delivers the motto theme A-B-E-G-G,\(^{70}\) not by attack but by the release of a series of notes, together with the notation of accents on the sustained note; Rosen describes this as a “motto [that] is not only unplayable as conceived but unimaginable.”\(^{71}\)

**Example 1.2** Schumann, *The Variations on the name "Abegg,"* op. 1, mm. 198–201.

Rosen claims that any attempt to realize these accents on the sustained notes, however, is a misunderstanding; he claims that this is Schumann’s “fantastic joke.”\(^{72}\)

Schumann’s humor is rarely witty or light: the unrealizable musical structure, the musical motto hidden and partly inaudible, must have stirred his musical fantasy.\(^{73}\)

Similarly, we can assume these accents on the tied D♭ notes at mm. 15–16 imply some symbolic meaning beyond just an indication of articulation. It is palpable that the D♭ at m. 15 functions as a dominant of G♭ major theme in the following Light Green Section starting at m. 17; the secondary theme begins here. Regardless of being in a moment of significant key change, Schumann puts this dominant note in the top voice, instead of locating it in the bass by employing a V\(^4\)₂ chord instead of V\(^7\), thus avoiding a stronger cadence; therefore one can argue that this special notation on D♭ might serve as the accentuation of a dislocated dominant note. At

\(^{70}\) B is B♭ in German.
\(^{72}\) Ibid., 11.
\(^{73}\) Ibid., 11.
the same time, we find a similar type of weakening of a cadence in other places without such notation, which indicates there should be other reasons for this specific notation.

At mm. 181–182 (#1b), these tied Db notes at mm. 15–16 are altered to Ab. It should be noted that these are the only places within the movement where Schumann puts accents on tied notes. This specific note change appears at the transitional section of Rotation A’ (i.e., the Pink Section), which comes right after the principal theme recapitulating in the original key at m. 167 (i.e., the Orange Section). By means of this note change, from Db to Ab, the movement is expanded to a new tonal area, which starts at Db major. From this point, subsequent themes and transitions appear in the same order as in Rotation A, except that they are in keys at a perfect fifth above; thus it can be said that m. 181—where Ab stands out—is a significant turning point of the movement. The correspondence between Db and Ab with three accents helps enhance the dual construction of the movement.

Along with this note change, however, there are also further detailed modifications:

1) At m. 15 (#1a) there is an eighth-rest located right before the tied Db notes with the accent markings. This has the effect of separating Db from the previous note C and calling attention to the emergence of Db. At m. 181 (#1b), on the other hand, the tied Ab notes with the accent markings are tied to the previous note C with a slur, and a crescendo marking.74 (In the recent edition by Henle, however, these differences in

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74 My observations on the articulations and dynamic markings in the finale of op. 14 are mostly based on the second edition of the sonata in Robert Schumann’s Werke (Gesamtausgabe [Complete Edition]) published by Breitkopf & Härtel, edited by Clara Schumann with the help of Brahms and others. James Ronald Rathbun, the author of “A Textual History and Analysis of Schumann’s Sonatas Op. 11, op. 14 and op. 22: An essay together with a comprehensive project” (DMA diss., University of Iowa, 1976), claims that: “The Complete Edition of Schumann’s Works, Robert Schumann’s Werke, published by Breitkopf & Härtel from 1881–1893 was edited by Clara Schumann with the help of Brahms and others. To the present [1976], the Complete Edition remains the most accurate edition of Schuman’s complete works generally accessible […] The Complete Edition used as its sources
dynamic markings are revised in order to coincide with these two areas). The connection between C and A♭ contributes to the continuation in the music, which leads to the recapitulation of the secondary theme at m. 183, now in D♭ major.

2) At mm. 13–16 (#1a) there are accents in the left hand part on the last note of each triplet suggesting the performer bring out the inner melody; this creates rhythmic dissonance, which makes this part unsteady and turbulent. On the other hand, at mm. 179–182 (#1b), there are no accents in the left hand part, but there is a slur indication; the accompaniment in the left hand part is thus better coordinated with the melody in the right hand, which makes the part smoother and more pliant.

3) At the end of m. 16 (#1a), there is a sixteenth-note rest in the left hand part, located right before the resolution to the G♭ tonic at m. 17. After this slight break, the doubled G♭ in the bass, indicated with an accent marking, demarcates the new theme in the Light Green Section from the previous section. In contrast, there is no break between m. 182 and m. 183 (#1b). Furthermore, the resolution to the D♭ major tonic in the left hand part at m. 183 (the beginning of the Light Green Section with dotted

manuscripts but especially the first and second editions of Schumann’s works which it follows relatively closely […] Brahms was an inexperienced but a competent editor, and he believed that nothing should be added to the edition that was not Schumann’s […] He thought that the first editions of Schumann’s works were the best sources” (Rathbun, 16–17). For more information, see “Editions of the Sonatas,” in Rathbun, “A Textual History and Analysis of Schumann’s Sonatas,” 13–22. Also refer to Linda Correll Roesner, “The Autograph of Schumann’s Piano Sonata in F minor, Opus 14,” The Musical Quarterly 61 no. 1 (1975): 98–130. The recent edition, Sämtliche Klavierwerke (the complete piano works), published by G. Henle, edited by Ernest Hertich, suggests some different notations (dynamics, articulations) according to their manuscript studies; however, some works in the edition are based on the first, and second published version (due to the fact that some of the original manuscripts are missing). They claim that the old edition includes some errors, assuming that they were made during the publication process. I would like to integrate these differences as much as possible so that the performer can make his or her own judgment when they perform the piece.

75 In the Henle edition, there is a hairpin (the combination of crescendo and decrescendo) applied on the top of D♭ at mm. 15–16, supposedly “missing.” Moreover, at m. 182, the decrescendo is added with a bracket, which creates another hairpin on the top of the tied A♭, suggesting that it coincides with the dynamic marking in these corresponding parts. See the Henle edition, pp. 161, 172.

76 In the Henle edition, the slur is added at mm. 15–16 with a bracket in order to coincide with a slur at mm. 181–182. See the Henle edition, p. 161.
outline) is undercut by displacing two notes \{Db, F\} in the previous measure, which are the last two notes of the sixteenth-note triplet in the previous Pink Section. These differences cause contrasting effects. On the one hand, the gap created between m. 16 and m. 17 separates the two sections (the Pink Section and the Light Green Section) and helps distinguish the shift from one section to the other. On the other hand, the connection made between m. 182 and m. 183, blur the boundary of these two consecutive sections (the Pink Section and the Light Green Section with dotted outline); they are skillfully linked by the arpeggiated Db major chord.

4) Moreover, different dynamic and expression markings are used in #1a and #1b. At m. 17 (#1a), where the secondary theme appears, there is an *espressivo* marking without any specific dynamic indication. This *espressivo* marking at m. 17 is an incentive to articulate the first appearance of the secondary theme. In contrast, at m. 183 (#1b), there is no *espressivo* marking; instead, a *pianissimo* is added at this measure. This *pianissimo* may evoke some intimate feelings such as ‘release’ or ‘reconciliation,’ which are triggered by encountering the familiar melody.

In summary, while the interruption and the rhythmic dissonance at #1a promote tension and unsettlement, the linkage and harmony established at #1b provide a feeling of relief and intimacy.

Furthermore, a detailed observation of these sections reveals that there is a particular notation, which is only found in #1b and not in #1a: a solitary accent on Db of the melody at m. 184 is paired with a *crescendo* marking. It is interesting to notice that this single accent does not appear at m. 18 (#1a) where the same melody is introduced for the first time in the key of
Gb major. It is worthwhile to question the extra-musical meaning of the accent and not to dismiss it by assuming that it was added there accidentally. Furthermore, a crescendo marking is added to this accent on Db. Locating the accent and the demarcation of the crescendo at the same place creates contradiction. Technically speaking, where the crescendo starts should be the softest point of the phrase; putting an accent on the softest note is, therefore, quite unnatural when a performer tries to realize it on the piano. Thus, we may want to think that Schumann might have put a special emphasis on Db by using these particular notations.

**Figure 1.2** Illustration of the function of the note change.

From a narrative perspective, I would like to propose that the above observations suggest that the tied Db notes with three accents at mm. 15–16 in Rotation A not only indicate their conjunction with the tied Ab notes with three accents at mm. 181–182 in Rotation A', but also

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77 In the Henle edition, however, the accent marking is added on Gb with a bracket at m. 18, in order to match these two corresponding measures, and the location of a crescendo marking is also modified in order to cancel this specific notation. See the Henle edition, pp. 162, 172.
adumbrate the future event, that is, the isolated D♭, left hanging in midair at mm. 15–16, is secretly merged into the secondary theme in D♭ major at m. 183.

EXAMPLE 1.3 Schumann, op. 14, Finale. Prestissimo possibile, mm. 15–16 and mm. 183–185.

mm. 15–16:

mm. 183–185:

From this macroscopic viewpoint, these tied A♭ notes stand at a juncture, which creates a link between the tied D♭ notes at mm. 15–16 and the D♭ major section at m. 183 (i.e., the Light Green Section with dotted outline). In this manner, the tension created by a not fully resolved D♭ at m. 15 is somewhat carried through this D♭ major section; a single accent on the D♭ in the melody at m. 184 enhances this connection.

This example also suggests the significant relationship between C and D♭ in the composition. At m. 15, the tied D♭ notes with three accents were separated from the previous note C. At m. 184, the D♭ with a single accent is followed by a C which continues the melody. A crescendo marking over these two notes promotes the sense of forward motion towards C from D♭. If we postulate that the tied D♭ at m. 15 with three accents is associated with the D♭ at
m. 184, we can discern that the Db, which was separated from C at m. 15, is connected to C at m. 184 in a subtle manner. The detailed differences created between #1a and #1b support the idea of separation and connection.

Finally, I would like to refer to the possible symbolic meaning of C and Db. Roesner, for example, points out the magical emergence of C major in the middle of the third movement of op. 14, claiming that “C must stand for Clara.” In a similar fashion, many scholars have discussed Schumann’s special association with the pitch C (or C major) and Clara, particularly in the works that were written during the romantic relationship with Clara. The works include the Fantasie in C major, op. 17, and Dabvidsbündlertänze, op. 6 that concludes with C major.

Op. 14, originally titled “Concerto without Orchestra,” was written during 1836, the time when Schumann was suffering as a result of his separation from Clara. In a letter to the virtuoso pianist-composer Ignaz Moscheles, to whom Schumann eventually dedicated the sonata, Schumann confided his concern about the work being “very personal.” The sonata greatly reflects Schumann’s emotional state at the time: desperation, frustration, and unfulfilled desire. He described Clara as the “sole motivation” of the work and a tapestry of private messages to the distant beloved can be found in the sonata. The so-called “Clara’s theme,” which consists of

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78 This particular notation at m. 184, that is, a crescendo marking demarcating the accented note, is present both in the first and the second editions of the finale based on the old complete edition (Breitkopf & Härtel, edited by Clara Schumann); however, the recent edition by Henle has equalized these different articulations in order to match these two corresponding parts. See Footnote 75 in this chapter.
79 Roesner, “‘Parallel’ Forms,” 270: “C major must play a special symbolic role: C must stand for Clara.”
81 Peter Ostwald, Schumann: The Inner Voices of a Musical Genius (Boston, Mass: Northeastern University Press, 1985), 127.
82 Daverio, Schumann, 131.
the descending fifth from C to F (C-Bb-Ab-G-F), is deeply incorporated into the work, and serves as the main thematic motive throughout the entire sonata, as seen in the dramatic opening of the sonata.

Example 1.4 Schumann, op. 14 the first movement, mm. 1–3 (“Clara’s theme”).

A direct quotation from Clara’s composition appears as the theme of the variations in the dark and solemn third movement, which begins with the same descending fifth, from C to F.

Example 1.5 Schumann, op. 14, the third movement, Quasi Variazioni, mm. 1–24.
Now, if we associate the pitch C with a symbol of Clara, then, I suggest that Db, a semitone apart from C, the closest distance between tones, which thus creates a strong friction, can possibly express the feeling of despair or anxiety—some of the emotions which Schumann may have experienced during his separation from Clara.

It is known that Schumann used to hide a keyword in some of his compositions, such as “Asch”84 (in *Carnaval*, op. 9) or “Abegg” (in *The Variations on the name "Abegg,"* op. 1). In these compositions, he makes varied and repeated use of selected pitches in order to elucidate the word.85 Eric Sams, for example, deduces the fact that Schumann must have used cipher systems quite frequently in order to embed important symbols, like “Clara.” Sams explains Schumann’s familiarity with cryptography thus:

[…] Schumann knew Klüber’s *Kryptographik* well, and had a copy by him all his life. Its ideas recur in his critical writings and letters, as well as in his music; and it has a section on how to make a musical cipher by substituting notes for letters. It also describes codes which use musical symbolism.86

I have not found any resources that refer to this type of extra-musical meaning of Db in op. 14. Moreover, the primary purpose of my dissertation is not to decipher any potential codes, which may be (or may not be) hidden in the work. At the same time, I find it suggestive to consider an extra-musical meaning of Db because of its distinctive presentation and significant role in the composition. In addition to the already discussed example, in op. 14 there are many crucial places where these two pitches, C and Db, are paired, emphasized, and interacting with each other.

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84 *Asch* is the name of the town in which Schumann’s fiancée at that time (Ernestine von Fricken) was born.
86 Sams, “Tonal Analogue,” 114.
In a discussion of Schumann’s Second Symphony, Newcomb points out this type of compositional manner and characterizes it thus:

Here the crucial matter is not only the succession of thematic sections and movements as a formal diagram would present them, but also the manner in which one theme is generated by and interacts with another, which manner is laden with metaphorical meaning. In this matter of quasi-dramatic thematic evolution and interaction—a primary aspect of the “reinforcement by sound symbols” […]—Schumann was astonishingly subtle and innovative.87

Similarly, I suggest that the combination of C and D♭ in the music contributes to the thematic evolutions, serving the development of the movement, details of which shall be disclosed progressively in this chapter.

1.3 The comparison of #2a and #2b—A flash-forward scene.

The pivotal D♭ note at mm. 15–16 acts as a cue to the following secondary G♭ major theme in the Light Green Section at m. 17–34. This G♭ major theme reappears later in Rotation A, which is in the second Light Green Section at m. 120–135; some changes occur in this section when the theme reappears. The comparison of #2a and #2b clarifies this change (Example 1.6).

The change occurs at mm. 133–134 (#2b). At m. 133, E♮ at m. 30 (#2a) is replaced by its enharmonic F♭. Consecutively, the bass note D at m. 31 is changed to E♭ at m. 134. This half-step note change (from D to E♭) in the bass line at #2b creates a shift in the piece. While D at m. 31 acts as the fifth scale degree of V of C minor, E♭ at m. 134 acts as the fifth scale degree of I of A♭ minor; this note change results in expanding the G♭ major secondary theme to A♭ minor. The Color Diagram shows that this extended theme in A♭ minor at mm. 136–145, indicated with Dark Green, eventually leads to the Red Section at m. 150, which is the first climactic section,

located at the end of Rotation A. In between these two sections, however, there is the Purple Section (mm. 146–149) that serves as a small bridge; importantly, this Purple Section does not appear in Rotation A'. (The detailed discussion on this matter is found in 1.6.)

EXAMPLE 1.6 Schumann, op. 14, Finale. Prestissimo possibile. Comparison of #2a (mm. 16–38) and #2b (mm. 120–143). Continued on the next page.

#2a:
example 1.6—continued

#2b:

The specific role of the modifications made in #2b, which connects the recurring Light Green Section to the Dark Green Section, can be explained by analyzing the finale from a narrative perspective. For this specific purpose, I would like to introduce the concept of “flash-forward,” a term used in literary and film studies. “Flash-forward” is a device that inserts a future event in a narrative out of chronological order. In a flash-forward scene, “the partial future event” is introduced before it actually happens in the present timeline. After the flash-forward scene, the story returns to the original time line; then the story again moves forward. Later in the
story, the same events recur; this is when the pre-introduced “future event” coincides with the present time line. At this time, however, the story discloses further events, which have never yet been told; this results in plot development.

If we integrate the concept of flash-forward into the formal construction of this movement specifically, these two Light Green Sections in Rotation A can be elucidated thus;

1) The first appearance of the G♭ major secondary theme in the Light Green Section at mm. 17–34 is the partial presentation of the future event (i.e., a flash-forward scene);

2) The second appearance of the G♭ major secondary theme in the Light Green Section at mm. 120–135 is the reappearance of the already introduced event which now matches with the present time line;

3) The expanded theme in A♭ minor in the following Dark Green Section at mm. 136–145 is the disclosure of the untold story.

This idea can be strengthened by pointing out the small interruptions in the music, which are located before and after the first presentation of the Light Green Section; these interruptions serve to separate the first appearance of the Light Green Section from other sections.

**Figure 1.3 Illustration of flash-forward.**
The interruptions in this area can be traced in the following characteristics (Example 1.7):

1) As previously discussed in the comparison of #1a and #1b, there is a slight gap created between m. 16 and m. 17, which sets a clear border between the preceding Pink Section and the Light Green Section that features the first emergence of the G♭ major secondary theme.

2) This Light Green Section and the following Light Blue Section are also not smoothly connected; at m. 35, the melody in the middle voice interrupts the melody in the soprano. This melody in the middle voice is consecutively interrupted by the C in the bass at m. 37, which becomes a departure point of a series of long transitional sections. The G♭ major secondary theme in the Light Green Section is thus discontinued without a proper closure.

3) Moreover, there is a resemblance between the textures at mm. 13–14 and mm. 35–36 which belong to the outside sections of the Light Green Section (i.e., the Pink Section and the Light Blue Section); this suggests a hidden connectivity between these two sections, which isolates the Light Green Section (Example 1.7).

The above observations clarify the interruptive nature of the Light Green Section, which breaks the logical flow of the music. This lends credence to an interpretation of the first presentation of the Light Green Section at mm. 17–34 as “a flash-forward scene,” that is, a form of interruption.

Flash-forward therefore creates a shift to another dimension of time in the story; the future event suddenly emerges in the middle of an ongoing drama, and then it recedes. Newcomb has described this type of phenomenon in Schumann’s compositions with these words:

Most characteristically, Schumann, like Jean Paul, avoids clear linear narrative through a stress on interruption, embedding, digression, and willful reinterpretation of the apparent
function of an event (what one might call functional punning). He does so in such a way as to keep us wondering where we are in what sort of pattern—in such a way to stress the process of narrative interpretation [...] 88

Example 1.7 Schumann, op. 14, *Finale. Prestissimo possibile*, mm. 12–19 and mm. 31–38.

mm. 12–19:

(Pink Section)

mm. 31–38:

(Light Green Section)

(Light Blue Section)

As seen in the discussion, the manipulation of time, which is achieved by the manipulation of form, can offer a performer an effective means of communication with the audience. In “Three Ways of Reading a Detective Story–Or a Brahms Intermezzo,” Edward T. Cone writes about the commonality between musical compositions and literary works by

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discussing the correlation between the composing process and plot making and the psychological impact on listeners and readers. In the article, Cone explains the advantage of arranging events artfully and purposefully, instead of displaying them chronologically, that is, effective storytelling. He provides an interesting example by using Arthur Conan Doyle’s detective story \textit{(The Speckled Band)} and explaining how the skillful construction of the story makes an effective impact on readers. Doyle’s story shows that one can create a suspenseful story by \textit{withholding some information} until later in the narrative, which could have been revealed earlier otherwise (i.e., the manipulation of time). Cone then compares Doyle’s mystery plot to the opening of Brahms’s Intermezzo, op. 118, no. 1. He explains that the presentation of a chord progression in the opening of Brahms’s Intermezzo intentionally puzzles the listeners about identifying the tonic of the piece. Cone claims that the ambiguity of the main key creates suspense by keeping listeners misled and sidetracked, and this is achieved by withholding a resolution of the chords.

In regard to Cone’s article, however, Fred Everett Maus reveals his confusion and points out the contradictions in Cone’s analogy. Maus claims that Cone’s analysis of Brahms’s Intermezzo offers no clear analogue to the suspenseful re-ordering of events, which is possible to identify in Doyle’s story. While \textit{The Speckled Band} can offer its alternative version (i.e., the suspense-less story) by narrating a series of events in the chronological order, in the case of Brahms’s Intermezzo, on the contrary, there is no alternative version, because the opening chord progression cannot be rearranged without recomposing it completely, which will change the context of the piece fundamentally.

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91 Cone, “Three Ways of Reading a Detective Story,” 89.
In contrast, in the case of Schumann’s finale of op. 14, it is possible to interpret it as the result of a re-ordering of events similar to Doyle’s suspense story. The reason is that the piece can offer its alternative version—a series of events which is ordered chronologically—by taking out the first emergence of the Light Green Section (mm. 17–34), which I interpreted as a “flash-forward scene.” Thus Schumann’s suspense-less story can be presented without recomposing. This means that, without the recurrence of the secondary theme, the composition would have been less suspenseful. This reading suggests that the arrangement of the themes and transitional materials in Schumann’s finale, which I illustrate as events, are not always presented chronologically, and that Schumann may have used the alienated repetition of themes for the purpose of effective storytelling.

Cone’s discussions continue to explore the different psychological responses that are created by reading a suspense story several times.93 This study is applied by comparing it to the mental process of the performer who learns and performs the suspense-story-like music. Here I summarize Cone’s definitions:

1) First Reading
The primary motivation of the First Reading is driven by “a desire to find out what happens—or, in the case of a mystery, to understand what has already happened.”94 The reader accepts the story as narrated. One can say that it is “purely experiential: one knows only what one experiences (i.e., is being told). The trajectory of the reader’s thought is one-dimensional, moving along the path laid out by the author.”95

2) Second Reading
The biggest difference between the First Reading and the Second Reading is that the Second Reading is controlled by the consciousness which was acquired through the First Reading: “Once one has glimpsed the structure underlying a recounted series of events—the pattern of their causes, their interrelationships, their outcome—one’s consciousness of that pattern is bound to inform subsequent readings of the narrative.

93Cone, “Three Ways of Reading a Detective Story,” 79–80.
94 Ibid., 79.
95 Ibid., 80.
What I call the Second Reading (whether it is actually one’s second, third …, or tenth) is controlled by that consciousness.”

It is conducted “for the sake of analysis, explicit or implicit. That analysis is put to use in the service of yet another reading—the Third.” In the Second Reading, “the trajectory of thought is zigzag, or even discontinuous, constantly shifting back and forth between the planes of memory and experience, until at last one is able to achieve a comprehensive bird’s-eye view of the narrative path.”

3) Third Reading

Like the First Reading, the Third Reading is “temporally oriented: it accepts the story as narrated. Again like the First, it aims at enjoyment; but now, guided by the synoptic comprehension of the Second Reading, it can replace naive pleasure with intelligent and informed appreciation. Yet at the same time this reading requires an intentional ‘forgetting.’ For if one is really to appreciate a narrative as such, one must concentrate on each event as it comes, trying to suppress from consciousness those elements meant to be concealed until some later point in the story.”

“In the Third Reading there is a double trajectory. Thought moves simultaneously on two levels, one fully conscious and one at least partly suppressed.”

As Cone compares these three types of reading to the performer’s learning and performing process, I would like to point out that there is a significant connection between the effect that arises from the First, the Second, and the Third reading of a suspense story and the experiences of the performer who studies and plays Schumann’s finale. The First Reading is compared to the first encounter with Schumann’s piece. This may give us general impressions of the piece: that it is long, repetitive, somewhat complex, and yet mesmerizing. The Second Reading involves the analysis of the piece; through the analysis, we understand the underlying structure and the hidden connections embedded in the piece, which helps us to reach a new insight into the composition.

Based on these ideas, I suggest that a performer should be able to re-experience suspense during the performance as one experiences it in the Third Reading. In other words, despite being

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90 Ibid., 79 [Emphasis mine].
97 Ibid., 80.
98 Ibid., 80.
99 Ibid., 80 [Emphasis mine].
100 Ibid., 80 [Emphasis mine].
aware of the “elements that are meant to be concealed until some later point of the piece,” she/he can still enjoy suspense by suppressing this information. For this, when actually performing, a performer “must concentrate on each event as it comes” by “intentionally forgetting” what comes next in order to keep a performance alive.\footnote{Ibid., 80.} The synoptic comprehension of the finale thus allows the performer to recreate suspense for the whole duration of the performance.

1.4 The comparison of #2c and #2d–Comprehending the paradigmatic plot of the finale.

The next comparison of #2c and #2d in Rotation A’ (the corresponding areas of #2a and #2b in Rotation A) reveals further manipulations in musical detail. This comparison enhances the reading of the finale as the paradigmatic plot, which Newcomb has described as “a standard series of functional events in a prescribed order.”\footnote{Newcomb, “Narrative Strategies,” 165.}

A note change occurs at mm. 299–300 (Example 1.8: #2d), which is similar to the note change that occurred in Rotation A at mm. 133–134 (Example 1.6: #2b). Due to this note change, the secondary theme in D♭ major (the Light Green Section with dotted outline) is now expanded to E♭ minor (the Dark Green Section with dotted outline); at the same time, further changes are added besides this note change. Firstly, the doubled melody in the bass at mm. 195–199 (#2c) is moved one octave down at mm. 298–302 (#2d); this register change only occurs in Rotation A’. A shift of the register in the repeating melody is analogue to a change in the story. Moreover, different dynamic and expression markings are applied in #2c and #2d. In fact, all of the resembling sections (i.e., #2a, #2b, #2c, #2d) are slightly differentiated by dynamic or expression markings, and none of them are exactly the same.
Example 1.8 Schumann, op. 14, Finale. Prestissimo possibile. Comparison of #2c (mm. 183–202) and #2d (mm. 286–313). Continued on the next page.

#2c:
Heinz J. Dill, in “Romantic Irony in the Works of Robert Schumann,” remarks upon Schumann’s thorough attitude towards his notations thus:

As far as these expressions [tempo, dynamic range, section or movement headings, and so forth] are concerned, Schumann certainly enlarged the traditional catalogue of terminology. Compared to earlier composers he used German quite frequently and also
employed a wide range of expressions for the purpose of greater and subtler differentiation.¹⁰³

In the article Dill claims that Schumann’s attitude toward notation originates from his active involvement in literature. Taking this into account, I suggest that these specific dynamic or expression markings in each parallel section may serve to outline the paradigmatic plot of the finale; each section must have a different functional role, since it covers a different part of the narrative. Further comparison of #2a, #2b, #2c, and #2d shall clarify some of these functional differences of the resembling sections.

1.5 The comparison of #2a, #2b, #2c, and #2d.

(The musical examples of #2a and #2b are found in Example 1.6 and the musical examples of #2c and #2d are found in Example 1.8.)

1) At #2a, there is an espressivo marking at m. 17, which calls attention to the first appearance of the G₆ major secondary theme in the Light Green Section. At #2b, a pianissimo and ma sempre un poco marcato are instead indicated at m. 120, which still articulates the reappearance of the G₆ major theme, but softly. Moreover, a piano and a marcato marking are added in the left hand part at m. 128, and an espressivo marking is added at m. 129. These additional indications help distinguish the different textures of the right hand melody and the accompaniment in the left hand, thus suggesting to the performer to bring out the melody differently at this time.

2) At #2c, only a pianissimo is indicated at m. 183, the first emergence of the secondary theme in Rotation A'. This secondary theme, now in D₆ major, is thus introduced

quietly but with a single accent on D♭. In like manner, *pianissimo* markings are indicated at #2d, which keeps the recurring theme quiet and restrained; at this time, however, a *legatissimo* is added at m. 286.

3) At #2a, there is a *crescendo* marking starting at m. 29 that promotes the motion of the melody in the bass, which begins with D♭ and leads to C with a *sforzando* marking at m. 33. The *sforzando* marking emphasizes C as the reaching point of the preceding melody (D♭-Gb-E♭♭-D♭-B♭-G-D-C). The *pianissimo* in the same measure (m. 33) is indicated for the melody in the top voice and the accompaniment in the middle voice; this *pianissimo* helps to separate the other parts from the bass note C. While the melody in the top voice restlessly takes over the previous melody in the bass, the C in the bass is left hanging. This long-held C at m. 33 is dissonant with the other voices: it overrides the C-minor dominant chord in the middle voice, and eventually transforms into the root of the C-major tonic chord at m. 37, which demarcates the following transitional sections. The C at m. 33 therefore illuminates the isolation of the pitch without being blended into the melody and the accompaniment parts. This example illuminates the metaphorical nature of D♭ and C:

a) At the melody in the bass at mm. 29–33, D♭ moves towards C (i.e., D♭ is attracted to C).

b) A doubled C held in the bass at mm. 33–34 stands out individually without being affected by the restless waves created by the passagework and a continuing melody in the top voice (i.e., C holds a special place in the melody).

4) The comparison of #2a and #2c supports the discussion of these characteristics of the pitches. At #2c, there is no *sforzando* marking on the lowest note G at m. 199, when
At this time, a \textit{forte} marking is added at m. 199 (#2c) instead of the \textit{pianissimo} at m. 33 (#2a); moreover, the melody in the right hand part at mm. 199–201 is enhanced with an additional voice at the octave, which brings our attention to the right hand melody instead of the bass note G. This emphasized melody, A$\natural$-D$\natural$-C-B$\flat$, addresses the inflection of the pitches from D$\flat$ to D$\natural$, which is developed from the previous melody A$\flat$-D$\flat$-C-B$\flat$ […] at mm. 191–193. This designates the competitive nature of the chromatic pitches D$\flat$ and D$\natural$, which is demonstrated throughout the finale (further discussions on these significant chromatic pitches, D$\flat$ and D$\natural$, will be made later in this chapter). Notice that both pitches are paired with C in these melodies. Thus, the distribution of the opposing dynamics between m. 33 (#2a) and m. 199 (#2c) highlights the different elements of these similar sections.

5) At #2d, there is a \textit{molto crescendo}, which only appears at m. 307; this promotes a straightforward accumulation of excitement towards the climactic Red Section in Rotation A’, which creates a contrast with the parallel area in Rotation A. This \textit{molto crescendo} also distinguishes the melody that includes the descending five-note Clara’s theme (C-B$\flat$-Ab-G-F) in the bass at mm. 308–311.\footnote{See Example 1.4.} Thus, the shadow of Clara solemnly appears, located near the final climax of the finale.

\footnote{In the first published edition, as well as the recent edition by Henle, there \textit{is} an indication of a \textit{sforzando} (sf) marking also on the bass note G; therefore it can also be the case that the missing \textit{sf} on G in the second edition is an editorial error. Still, the change in dynamic marking (from \textit{pianissimo} [pp] to \textit{forte} [f]) between these two corresponding areas is present in all editions, which supports my claim (the alternation of the emphasis between the right hand and the left hand parts). See the Henle edition, m. 199 on p. 173.}
These comparisons reveal that the differentiations of these dynamic and expression markings highlight the pitch relationships and emphasize new events occurring in the similar sections. In this manner, the detailed differentiations of articulations or dynamic markings are beneficial to the understanding of the paradigmatic plot of the finale.

1.6 The comparison of #3a and #3b—the chromatic pitches D♭/D♯.

The following comparison of #3a and #3b includes the Red Sections of the finale, which are located at the end of each rotation, consisting of the significant sequential passages. The important harmonic transition occurs during the sequential passages in these sections; both Red Sections ultimately establish the dominant of F minor (i.e., the C major triad), which prepares for the return of the principal theme (i.e., the Orange Section) in the home key.

As pointed out previously, the Purple Section (mm. 146–149), which appears right before the Red Section in Rotation A, is missing in Rotation A'; this results in the deformation of the parallel form. The difference of measure numbers between the two rotations clarifies the differing harmonic function of each rotation, even though the existing analyses of the finale do not take notice of this matter.¹⁰⁶

¹⁰⁶ See Figure 4 in Roesner, “‘Parallel’ Forms,” 272; Figure 6 in Richter, “Schumannian déjà vu,” 315.
Figure 1.4 elucidates that the adjustment of measures in the Purple Section results in matching the keys of the two rotations which are previously at a distance of a perfect fifth. The tonic in the bass, A♭ at m. 141 in Rotation A and E♭ at m. 307 in Rotation A', both progress to F at mm. 148 and 310 respectively through a stepwise descending motion; however, the Fs in these two measures have different harmonic functions (Example 1.9):

1) In Rotation A, F in the bass at mm. 148–149 (#3a) acts as the seventh scale degree of V⁹ of C minor, which is built upon the G in the bass at m. 148. The chord resolves to the C minor tonic at m. 150; C in the bass thus sets out the sequential patterns in the Red Section.

2) In Rotation A', F in the bass at mm. 310–311 (#3b), acts as a pedal beneath an E diminished-seventh chord, VII⁷ of F minor, prefiguring the resolution to the F minor tonic at m. 312; F in the bass thus directly sets out the sequential patterns in the Red Section.
This shows that despite the coincidental match of the pitch F in the bass in the two rotations, the following sequential patterns in the Red Sections still begin with different bass notes (C at m. 150 and F at m. 312).

**Example 1.9 Schumann, op. 14, Finale. Prestissimo possibile. Comparison of #3a (m. 144–169) and #3b (mm. 306–330). Continued on the next page.**

#3a:
More confusingly, the boundary tones of these sequential patterns still share the same pitches between mm. 151–160 and mm. 312–321 (Example 1.10). Schumann made this manipulation by reversing the direction of the circle of ascending fourths sequence to the circle of descending fifths.
EXAMPLE 1.10 Schumann, op. 14, Finale. Prestissimo possibile, reduction of mm. 141–160 and mm. 307–321.

These common boundary tones between these two sequential patterns, however, belong to different sides of the hypermetrical phrase structure (Figure 1.5); this can be clarified by the different harmonies built upon these common pitches (Example 1.10).

For instance, the different harmonies are located in the left hand part at m. 151 (#3a) and m. 312 (#3b) while these two measures share the same boundary tones, F and A♭ (Example 1.9). The figuration at the second beat at m. 151 consists of {A♭, C, E♭}, which belong to the F-minor seventh chord acting as IV₇ of C minor; on the other hand, the figuration at the second beat at m. 312 consists of {F, A♭, C}, which form the F-minor tonic chord.
**Figure 1.5** Illustration of the bass line and the hypermetrical structure of #3a (mm. 150–160) and #3b (mm. 312–321).

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<tr>
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<td>157</td>
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<tr>
<td>Bass:</td>
<td>C</td>
<td>F</td>
<td>D♭</td>
<td>E♭</td>
<td>A♭</td>
<td>D♭</td>
<td>G</td>
<td>C</td>
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<td>Hypermeter:</td>
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<th>ORIENTATION: #3b</th>
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<td>mm.</td>
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<td>Bass:</td>
<td>F♭</td>
<td>E♭</td>
<td>A♭</td>
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*: Ascending fourth, ♯: Descending fifth

Note the number with a bracket indicates another layer of metrical structure which causes the metrical dissonance.

Further differences between #3a and #3b are found in the register and figuration:

4) The register of the right hand passages in mm. 313, 315, and 317 (#3b) is moved one octave down from the same passages in mm. 152, 154, and 156 (#3a).

5) A pair of eighth-notes in the left hand part at m. 153 (#3a) is altered to a combination of one eighth-note tied to a triplet of sixteenth-notes at m. 314 (#3b). In contrast, these two kinds of figurations are reversed at m. 156 (#3a) and m. 317 (#3b).

6) Moreover, the figurations in the right hand part in mm. 153 and 155 (#3a) are modified from their original model, while the original pattern is kept at mm. 314 and 316 (#3b). These figuration changes are specifically emphasized by *sforzando* and *forte* markings. This also audibly overturns the metrical emphasis of the original phrasing structure, which delineates metrical dissonance in these passages (Figure 1.5).

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107 In the Henle edition, both places are marked with *sf*. See m. 153 and m. 155 on p. 170.
These dynamic emphases on the modified figurations at m. 153 and m. 155 create a *resistance* in motion of the passagework. Not only that, they also designate the important pitch relationship of Db and C. An inner voice brought out by the emphases on Db and C in the right hand synchronizes with the bass line that consists of the same pitches; this interferes with the horizontal line of the top voice, consisting of G and F (Example 1.9: #3a).

The observations on #3a and #3b bear further discussion of pitches, which involves the chromatic pitches Db and D♮. The competitive nature of Db and D♮ is suggested by the juxtaposition and active interactions of the two pitches. A prominent example which illuminates the characteristics of these chromatic pitches is found at mm. 146–149 (the Purple Section), where the four consecutive measures emphasize Db and D♮ in the top voices, which are segregated by the opposite dynamic markings, *piano* and *forte* (Example 1.9: #3a). Furthermore, the melodies led by these pitches face in opposite directions: Db steps downward to B♭ and D♮ steps upward to F.

These characteristics of Db and D♮ can be linked to the idea of the *Double*, which was favored in German Romanticism, especially in the writings of Jean-Paul Richter and E.T.A. Hoffmann. Schumann, greatly influenced by their works, used this idea to create his own fictional characters, called *Florestan* and *Eusebius*, which represent his alter egos. Schumann often expressed these alter egos in his compositions or writings in order to describe his complex, contrasting personalities. One of the famous depictions of the double is found in *Papillon*, op. 2, a set of character pieces, inspired by the story of *Flegeljahre* by Jean Paul.108 In *Flegeljahre*, there are twin brothers named *Vult* and *Walt*, who possess contrasting personalities and compete with each other to win the heart of the same girl. In *Papillon*, op. 2, Schumann depicted the

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brothers’ personalities as representatives of Florestan and Eusebius. The contrasting personalities of Schumann’s alter egos are described as:

Florestan (Vult) – aggressive, stormy, imaginative, impetuous;

Eusebius (Walt) – shy, introspective, idealistic.\(^{109}\)

Taking into account the idea of the double in op. 14, I would like to suggest perceiving D\(^\natural\) as the alter ego of D\(^b\), and interpreting its metaphorical meaning and functional role as a hope which tries to overturn the doomed situation (i.e., the home key: F minor). This contrasts with the symbolic nature of D\(^b\), which I interpret as despair caused by the unfulfilled desire (this is especially expressed in its function as an incomplete neighbor).

The significant characteristics of D\(^\natural\) are illuminated at the end of both rotations: the last measures in the Red Sections that become the transition to the recapitulation of the principal theme in the Orange Sections.

1) At mm. 164–166 (Example 1.11), D\(^\natural\) creates a dissonance with C due to the juxtaposition of the two irreconcilable chords: an F minor triad and a B diminished-seventh chord. The discord created by these two chords disturbs a clean resolution to the following F minor tonic at the beginning of Rotation A’. Although the actual dominant of the F minor tonic has been already established at m. 161, its functional role has been undercut due to the further progression, which leads to the harmonic collision at mm. 164–166. In this manner, a strong cadence is avoided at this seemingly important returning point; D\(^\natural\) here acts as a counterforce to the dominant of F minor.

2) D♮ again intersects with C at m. 326 (Example 1.12) by causing a dynamic collision.

Two suspended chords at mm. 164–166 (F minor chord and B diminished-seventh chord) are revived at m. 326; at this time, however, a new event occurs, which promises a dramatic turn at the end of the finale. The F minor tonic {F, C} in the left hand part shifts to {C#, E} at the middle of m. 326; due to the shift of the chord, the chromatic pitches D and C# are now brought out, which are enharmonically respelled versions of D and Db. This discloses that the Db, which is considered to be an alter ego of D♮, also functions enharmonically as the alter ego of C. This indicates that the enharmonic transformation of Db to C# becomes an important linkage between C and D♮.

The competitive nature of the chromatic pitches $D^\natural$ and $D_b/C#$ thus contributes to create suspense in the finale, since both pitches are aiming at being paired with C.

**Figure 1.6** Illustration of the pitch relationships of C, C#, D♭, and D♮.

\[ 
\begin{array}{c}
\text{D}^\natural \\
\text{D}♭ \\
\text{C} \\
\text{(C#)}
\end{array}
\]

1.7 Schumann’s irony.

An indication of “*Molto a capriccio*” with a *piano* appears at m. 146 in the Purple Section; this suddenly withholds the accumulated tension accompanied by a *crescendo* and a *forte* during the previous Dark Green Section. This brief moment of hesitation somewhat restrains the excitement of the upcoming Red Section in Rotation A, which is in fact not the real climax, but only a turning point to Rotation A’. In contrast, the omission of this Purple Section in Rotation A’ allows the music to proceed all the way to the final climax of the finale, which is
carried through the Red Section that now consists of the regular sequential passages without metrical dissonances (Figure 1.5).

Schumann’s unequivocal sense of irony is found in this Purple Section, in which the composer tantalizes the listeners by delaying the arrival of the dramatic moment of the piece. In his own writing Schumann compares his compositions with a poem, while comparing other composers’ works with flowers: a flower “comes from an impulse of crude nature; the latter [a poem] stems from the consciousness of the poetic mind.” While a flower is compared to the artwork that grows organically through the creator’s spontaneity and instinct, a poem is compared to the artwork in which the creator expresses his spirit based on plot structure and with calculation. Schumann’s compositional attitude as a poet is reflected in this Purple Section, which captures the composer’s spirit of contradiction.

Heinz J. Dill compares Schumann’s type of compositional attitude to romantic irony in literature, which is explained thus: “conscious restriction of enthusiasm,” that is, the “breaking up of coherent and connected structural units.” Dill locates Schumann’s ironical expressions in a quick alternation of contrasting sections “between intimacy and brilliance, between softness and sharpness,” which are “the creation of an illusion which is consequently ‘destroyed.’”

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110 “Anything that happens in the world affects me; politics, for example, literature, people; and I reflect about all these things in my own way—and these reflections then seek to find an outlet in music. This is also the reason for which so many of my compositions are hard to understand …. For this reason, too, so many other recent composers do not satisfy me, because—in addition to all their lack of professional skill—they enlarge on lyrical commonplaces. The highest level reached in this type of music does not come up to the point from which my kind of music starts. The former may be a flower. The latter is a poem; that is, belongs to the world of the spirit. The former comes from an impulse of crude nature; the latter stems from the consciousness of the poetic mind.” (from a letter to Clara Wieck, April 13, 1838). In Robert Schumann, On Music and Musicians, edited by Konrad Wolff, and translated by Paul Rosenfeld (New York: the Norton Library, 1969), 260.


113 Ibid., 186.

114 Ibid., 178.
In this manner, Schumann artfully “destroys” the accumulated tension by “breaking up the coherent and connected structural units.”

Schumann had a unique way of stating something that has a special meaning or something that is highly personal. Instead of making it obvious, his tendency was to do it rather obscurely or remotely (or, sometimes sharply and brutally). These ironic expressions originate from the composer’s own double-natured personalities, shy but bold, or else impetuous but controlled. The capriciousness of a sudden restraint that breaks into passionate momentum therefore becomes one of the most captivating moments in the finale.

1.8 The comparison of #4a and #4b.

The following discussion involves the comparison of the Light Brown and Dark Brown Sections between the two rotations; these sections function as a main part of the bridge which connects the first and the second appearances of the secondary theme in the Light Green Sections. As a preparation for the comparison of #4a and #4b, a clarification of the different markings in the color diagram shall be reviewed.

**Figure 1.7** The Color Diagram that indicates the areas of #4a and #4b.
Both asterisk markings (*) and dotted outlines are used to indicate the sections which are transposed a perfect fifth above the previous resembling sections. The different markings are employed in order to distinguish between:

1) The modulation occurring *within* the same rotation (asterisk markings);
2) The modulation occurring *between* the different rotations (dotted outline).

The comparison of #4a and #4b reveals that the sections at mm. 74–101 and mm. 212–239 are actually identical, except that some parts of the Light Brown Sections are composed in different registers (Figure 1.7; Example 1.13). The reason for adopting different markings in these otherwise identical sections is that these sections are not positioned in parallel when processing each rotation simultaneously; in other words, their preceding and succeeding sections are different in the following ways:

1) The preceding section of #4a: the Dark Brown Section;
2) The preceding section of #4b: the Light Blue Section with dotted outline;
3) The succeeding section of #4a: the Dark Blue section;
4) The succeeding section of #4b: the Light Brown Section with dotted outline and an asterisk marking.

The coincidence of pitches at #4a and #4b may cause a great deal of confusion to a performer; I shall therefore call attention especially to these places:

1) At m. 101, a performer should be mindful not to skip to m. 240.
2) At m. 239, a performer should be mindful not to mistakenly return to the previous m. 102.
EXAMPLE 1.13 Schumann, op. 14, *Finale. Prestissimo possibile*. Comparison of #4a (mm. 71–103) and #4b (mm. 207–242). *Continued on the next page.*

#4a:
Example 1.13 – Continued

#4b:

(Light Blue Section w. dotted outline)

(Light Brown Section w. dotted outline)

register change

(Dark Brown Section w. dotted outline)

register change
These confusions can be avoided by recognizing the register modifications made at #4a and #4b; paying attention to these various register changes helps a performer to be conscious of her/his current location within the piece (Example 1.13):

1) The passages at mm. 74–82 (#4a) are moved one octave down at the corresponding passages at mm. 212–220 (#4b).

2) The pedal note F at mm. 85–87 (#4a) is moved one octave down at mm. 223–225 (#4b), while the other voices of the corresponding passages remain at the same register.

These are fine examples of Schumann’s deceptive alternations; the performer’s consciousness of these musical details does not only bring out the different expressions of the similar sections, but also helps him or her to be on the right track of the piece.

The analysis now extends to the observation of the pitches. The key-center of the Light Brown and Dark Brown Sections is unclear because these sections are continually shifting to different key areas. Due to the series of suspensions, the cadence that resolves the tonic is continually being undercut. Several short motifs, which are taken from the themes of the previous sections, are repeated multiple times at different pitch levels without presenting any substantial melodies. However, selected pitches in these restless passageworks, consisting of the sixteenth-note triplets, delineate a stepwise ascending and descending voice line, which illuminates a certain pitch relationship (Example 1.14).
EXAMPLE 1.15 Schumann, op. 14, *Finale. Prestissimo possibile*, mm. 43–75.
The observation of the voice-leading of these transitional sections reveals engaging details such as:

1) The first selected five pitches of the top voice, F-G-A♭-B♭-C at mm. 46–54, are the reversed model of Clara’s theme: C-B♭-A♭-G-F. This ascending fifth reaches D♮ in the top voice at m. 56, acting as an upper neighbor of C; this D♮ becomes a turning point that changes the direction of the preceding scale from ascending to descending.

2) The upper voice reaches C at m. 262, near the end of the last Dark Brown Section (i.e., the Dark Brown Section with dotted outline and an asterisk marking); this C is again accompanied by a suspended non-harmonic D♮.

3) There are four pedal notes that are pronounced in the Light Brown Sections: B♭ and F in Rotation A, and F and C in Rotation A'. The pedal note C at m. 240 (the final pedal note in the series) eventually reaches D at m. 267 by passing F. This D then demarcates the following Dark Blue Section. Thus the bass line at mm. 240–267 is also outlined with C and D.

These long transitional sections, which illuminate the voice lines that keep rising and falling without settling at any definite keys, can be associated with Schumann’s long journey of chasing a never disappearing shadow of Clara, his distant beloved at that time.

Recalling the time of the composition of op. 14 as a “sad year,”¹¹⁵ Schumann later wrote in a letter to Clara describing the time as:

The darkest of times, for I knew nothing of you and tried to force myself to forget you […] I hurled myself to the ground and cried out—then I tried for a cure by compelling myself to fall in love with a woman who had already partially ensnared me.¹¹⁶

¹¹⁵ Daverio, Schumann, 147.
¹¹⁶ Ibid.,148. Also see Ostwald, The Inner Voices, 124.
I was a poor, beaten wretch who for eighteen months could neither pray nor weep, for eye and heart were cold and hard as iron […]\textsuperscript{117}

As clarified in the voice-leading analysis, when superimposing the identical sections of the two rotations, one may notice that a series of pedal notes in these sections elucidates the rising fifth progressions: \(B\flat \rightarrow F \rightarrow C\). This brings out a hidden link between the sections that belong to the different rotations. This alignment adds an extra layer in the formal construction of the finale, and overturns our conception of perceiving each rotation as a self-contained and separate unit. The pedal point \(C\), which appears as the final pedal note in this long transitional sections, bears the symbol of Clara, directing a performer on this long journey like a guiding star.

\textbf{Figure 1.8 Illustration:} the hidden link created by overlapping \#4a and \#4b.

1.9 The comparison of #5a, #5b, and #5c.

The final comparison covers the comparison of #5a, #5b, and #5c, which are the last measures of the Orange Sections that feature the principle theme. First, different rhythms are employed at mm. 7–8 (#5a) and mm. 173–174 (#5b). Along with this rhythm change, *sforzando* and *un poco ritenuto* markings are added to the modified parts at mm. 173–174 (#5b). These changes at #5b emphasize the PAC of F minor (IV→V_{4,7}→I) and the reestablishment of the F minor tonic at the beginning of Rotation A'.

Example 1.17 Schumann, op. 14, *Finale. Prestissimo possibile*. Comparison of #5a (mm. 1–9), #5b (mm. 167–157), and #5c (mm. 327–334). *Continued on the next page.*

#5a:

![Example 1.17 Schumann, op. 14, Finale. Prestissimo possibile. Comparison of #5a (mm. 1–9), #5b (mm. 167–157), and #5c (mm. 327–334). Continued on the next page. #5a:](image-url)

#5b:

![Example 1.17 Schumann, op. 14, Finale. Prestissimo possibile. Comparison of #5a (mm. 1–9), #5b (mm. 167–157), and #5c (mm. 327–334). Continued on the next page. #5b:](image-url)
This emphasis at mm. 173–174 brings out an interesting aspect of the harmonic construction of the finale. As already discussed, at the end of the Red Section in Rotation A, we find an idiosyncratic avoidance of the PAC, which undermines the harmonic return at the beginning of Rotation A'. The alignment of the two chords (F minor triad and B diminished-seventh chord) at mm. 164–166 refrains from the proper tonal closure at the end of Rotation A. Instead, the emphasized PAC at mm. 173–174 (#5b) provides a stronger sense of harmonic structural return. This causes a displacement of the thematic return and the harmonic return.

Further changes are noticed when comparing #5a and #5b with #5c. The three repeated F notes in the bass at mm. 5–6 (#5a) and mm. 171–172 (#5b) are replaced by F–Eb–Db at mm. 331–332 (#5c). The V⁹/iv of F minor at m. 6 (#5a) and m. 172 (#5b) is replaced by IV of F minor at m. 332. This chord change at m. 332 results in the emphasis of Db by locating it at the top voice and with a fermata and a sforzando marking (Example 1.17: #5c).

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118 See pp. 55–56 in this chapter.
This emphasis on D♭ at m. 332 is a significant reminder of its role as an upper neighbor of C; in fact, the role of D♭ has been superbly illustrated at the very beginning of the finale, which I depict in the following voice-leading graph (Example 1.18):

**Example 1.18** Schumann, op. 14, Finale. Prestissimo possibile, mm. 1–8, voice-leading graph. (* indicates the significance appearance of D♭.)

The opening melody in the middle voice begins with C, goes up all the way to D♭ (i.e., initial ascent) and then falls onto C at m. 2, which turns into the Kopfton at m. 3. Followed by the chord V⁹.iv with a fermata marking, D♭ again appears in the top voice at m. 7 as an incomplete neighbor, being a part of the IV chord; this initiates the first PAC that closes the opening eight measures.¹¹⁹

¹¹⁹ A similar voice-leading structure is also found in Schumann’s later composition, the first piece of *Kreisleriana* (1838). In that work, Schumann uses this motive (\(\hat{5} \cdot \hat{6} \cdot \hat{5} \cdot \hat{4} \cdot \hat{3} \cdot \hat{2} \cdot \hat{1}\)) in different structural levels. In a 2007 article, Carey points out the link between this motive and “Clara’s theme.” Compare Example 2 on p. 24 with
At m. 332 (#5c), in comparison, the IV chord with a fermata marking withholds the conclusion of the finale, while D♭ is kept in the top voice. The final recapitulation of the principal theme (the Orange Section) is thus interrupted at the halfway point by the coda (indicated in Yellow); in other words, the suspense of the finale is carried over into the coda.

1.10 Coda—the competing pitches, D♭ and D♮, and their resolution to C.

In the coda, the combinations of D♭ and C are repeatedly emphasized (mm. 338–339, 344, 346, and 348); simultaneously, the combinations of D♮ with C also appear in the left hand part (mm. 334 and 340), which again brings out the competition between D♭ and D♮.

The consistent and conspicuous presence of D♭ finally disappears completely very near the end of the finale. The final appearance of D♭ at m. 352 is overtaken by D♮ in the following measure; a single accent specifically marked on the D♮ at mm. 353 and 355 clearly announces this turning point; at this point, the finale transforms from F minor to F major, leading to the Picardie ending.

This ending can be considered a metaphor of the victory of D♮ over D♭ and its resolution to C; Schumann’s hopeful spirit overcomes the desperation, which is eventually united with Clara (C). An accented D♮ at m. 353 in the left hand part is aligned with C in the right hand part.

These two pitches belong to two different *incomplete* chords in F major, VI \{D, F\} and I \{C, F\}, sharing F as a common tone; both chords eventually resolve to the F major tonic, the final chord of the finale. The accents on D♮ notes at mm. 353 and 355 also illuminate the bass line at the end of the finale (D-C-A-F), which outlines the harmonic closure in the coda.
In *On Music and Musicians*, Schumann described the relationship between melody and harmony thus:

“Music resembles chess. The queen (melody) has the greatest power, but the king (harmony) decides the game. *F.*”

The graph (Example 1.20) elucidates the significant relationship of symbolic pitches and the overall harmonic structure of the finale.

**Example 1.20** Schumann, op. 14, *Finale, Prestissimo possibile*, mm. 1–359, voice-leading graph. *Continued on the next page.*

**Middleground:**

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EXAMPLE 1.20–Continued.

Background:

It also shows that important pitches, C, Db, and D♯, are deeply reflected in the overall harmonic structure of the finale. We can observe important factors such as:

1) The lower graph of Rotation A (mm. 1–167) indicates the ascending fifth progression from F to C (I⇒V), while the Kopfton (C) is maintained during the rotation.

2) The Db at m. 183 indicates an important turning point of the movement. From this point, subsequent themes and transitions shift in keys at a perfect fifth above the corresponding sections in Rotation A.
3) Db distinctively appears throughout the finale both in the upper graph as an incomplete neighbor of C (Kopfton), and in the lower graph as a submediant of F minor.\textsuperscript{121}

4) At m. 326, the dyad C# and D$\flat$ is highlighted in the inner voices, which depicts the pitch conflict between D$\flat$ and C# (enharmonically respelled version of Db). This reveals that C and D$\flat$ share the same chromatic pitch. Furthermore, D$\flat$ is aligned with its lower neighbor B$\flat$, acting as a part of a B diminished-seventh chord; this enforces the structural importance of the D$\flat$ in this measure, which anticipates the resolution to C.

5) The reappearance of the emphasized D$\flat$ with an accent marking at m. 353 in the coda leads to C in the final F major triad; the voice leading at the end of the coda is elucidated thus: D$\flat$-C-A-F.

These sets of four pitches found in the lower part of the graph, F-(Ab)-C- Db and D$\flat$-C-(A$\natural$)-F, become a frame of the underlying structure, which either leads to Db or is initiated by D$\flat$; they are ordered backwards, and the intervals between these pitches are reversed as:

1) F$\rightarrow$Ab$\rightarrow$C$\rightarrow$ Db: {m3, M3, m2}

2) D$\flat$-C$\rightarrow$A$\natural$$\rightarrow$F: {M2, m3, M3}

These voice-leading analyses thus validate the significant association of Db with D$\flat$ in the harmonic structure. This also reflects the symmetric design of the voice-leading in the bass, which exists in a different paradigm of form.

\textsuperscript{121} The significant association of Db in the voice-leading is indicated with asterisk markings in Example 1.20.
Lastly, the comparison of the two graphs in Examples 1.18 and 1.20 reveals the resemblance of the harmonic structure between the opening eight measures and the entire finale; it clarifies that Schumann foreshadows the entire plot of the finale in the opening measures.

1.11 Conclusion.

A careful comparison of the resembling sections clarifies that these seemingly identical sections are not exactly the same. The misalignment of the harmonic and formal returns and these subtle differences in repeating themes and transitions prevent the finale from being divided into clear two units; instead, these characteristics promote a reading of the finale as an ever-developing, unidirectional story.

Figure 1.9 The color image of the finale (op. 14) as a unidirectional story.

Moreover, the finale of op. 14 manifests the characteristics of the double in:

1) The dual nature of form (parallel form and a mirror-like pattern of themes and transitions that is recognizable within each rotation);

2) The conflicts brought out by the competitive pitches, D♮ and Db/C#;

3) The underlying structure which reflects a symmetric design of F-Ab-C-Db and D♭-C-A♭-F.
These characteristics of form, competitive pitches, and the harmonic structure help to associate the remotely related sections and create coherence in this lengthy movement. The study also suggests that important pitches of the finale, such as C, Db, and D♭ may convey some metaphorical meanings, which reflect the composer’s personal emotional experiences of the time.

Lastly, the op. 14 finale is characterized by a smart arrangement of recurring themes and transitions, which can be compared to the manipulations of the chronological ordering of events (i.e., a flash-forward) as seen in a suspense story. It can be said that the plot structure of the finale is created in order to accumulate tension towards the climactic ending of the piece. The final F major chord can represent a symbol of the victorious unification of the separated lovers, who made the long journey of chasing the distant other half.
CHAPTER 2

Finale as Memoir—The Uncanny Fragments of the Opus 17 Finale

2.1 Performance challenges of the op. 17 finale.

When performing a large-scale work consisting of multiple movements that take more than half an hour, one of the main challenges is to keep the listener’s attention focused on the performance throughout the entire work. That being said, with Schumann’s *Fantasie*, one of the biggest difficulties may not be in the series of leaps found in the ending of the triumphant second movement as often mentioned, but rather in the long and delicate final movement.

Compared to the two previous movements, the finale appears to be less dramatic. In sonatas, the final movements are typically designed as fast movements, which often give rise to overt excitement in order to bring out a dramatic conclusion to the work. (In fact, the other finales of Schumann’s piano sonatas are designed as fast movements.) One might even consider reordering the movements so that the third movement appears in the middle and the second movement serves as the finale, thus preserving the sonata tradition (fast-slow-fast) and creating a more effective overall performance. The arrangement of the movements in the order of fast-fast-slow is one of the idiosyncratic features of op. 17. Setting the finale as a slow movement, however, is not Schumann’s invention; this strategy had already appeared in Beethoven’s late piano sonatas.

Beethoven’s work, which Schumann admired very much, inspired him to compose the work.\(^{122}\) The project of the *Fantasie* was officially begun in 1836 with the purpose of contributing to the fundraising for Beethoven’s statue in Bonn. The set of three movements was

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originally titled *Grand Sonata for Beethoven* until Schumann finally renamed it *Fantasie*, evoking a reminiscence of Beethoven’s compositions.¹²³

Some people might consider the last movement of op. 17 a kind of hymn because of a calming and meditative effect in this slow movement.¹²⁴ Jeffery Michael Jammer points to these characteristics as “problematic,” thus suggesting that a performer take advantage of “the sonorous capacities of the piano” in order to “maintain a large pianistic scale in an Adagio tempo that can convincingly end this great work.”¹²⁵

In addition to these characteristics, I would like to propose that the finale of op. 17, like the finales of Schumann’s other piano sonatas, is designed to accumulate tension throughout, building up to the work’s climactic ending. Schumann’s well-crafted harmonic structure helps a performer to carry out the piece entirely without losing the tension. From that respect, many commonalities are found between the finale of op. 17 and Schumann’s other piano sonatas, regardless of their contrasting appearances, which is why I included op. 17 in this dissertation along with his other piano sonatas. I suggest that the finale of op. 17 is not a merely lengthy postlude; a study shall reveal Schumann’s delicate plotting, which clarifies the multi-layered form and harmonic construction of the composition.

¹²³ I would also like to note that although there is no doubt of Beethoven’s influence on the work and numbers of quotations from Beethoven’s works have been pointed out by several scholars, Schumann’s specific intention in quoting Beethoven’s *An die Ferne Geliebte* at the end of the first movement still remains a question. For a detailed discussion, see Anthony Newcomb, “Schumann and the Marketplace,” in *Nineteenth-Century Piano Music*, ed. R. Larry Todd (New York: Schirmer, 1990), 295. For further reference, see Berthold Hoeckner, “Schumann and Romantic Distance,” *Journal of the American Musicological Society*, 50, no.1 (1997): 111–117.

¹²⁴ A summary of various comments on the form of this movement by Dahms, Solomon, Chissell and Dale, can be found in Marston, *Fantasie*, 79.

2.2 Overall form and tonal design.

Like the finale of op. 14, this movement has a bipartite structure. I labeled the first part Rotation A (mm. 1–71) and the second part Rotation A’ (mm. 72–142). In the Color Diagram 2, I used similar color shades, 1) *Light Blue* and *Dark Blue*, and 2) *Light Green* and *Dark Green*, to indicate the sections that have a thematic connection, while the different colors represent different thematic/transitional sections. (Similar to the Color Diagram 1, *Yellow* indicates the coda, and *Purple* indicates the break made in the parallel form.) Moreover, the different markings are used for indicating the harmonic relationship between the similar thematic/transitional sections, as listed below.

**Figure 2.1** Schumann, *Fantasie*, op. 17, *Finale*, a miniature of the Color Diagram 2 (Appendix 2).

1) The wavy outline indicates the *mode change* (with some further modification) of one section from a section of the same color.
2) The sections with diagonal lines are composed a perfect fourth up from the section of the same color.

3) The section with dotted outlines are composed a perfect fifth up from the section of the same color.

The diagram shows that the first fourteen measures do not recur in Rotation A’, which I indicate in Light Blue and Orange. The absence of these fourteen measures in Rotation A’ is one of the most remarkable features of the finale. Nicholas Marston describes this opening thus:

The third movement of the Fantasie establishes a situation akin to that in the first, where the distinction between primary and secondary thematic material, or between themes and their derivatives, is blurred. The movement seems to open straightforwardly enough, with a four-bar curtain to a main theme stated in the middle of the texture. The phrase-structure preceding the first obvious cadence, on the dominant of the relative minor (A minor), is 2+(1+1)+2 bars; following the cadence the music starts out from the tonic again with two variations on the initial two-bar phrase heard in bars 5-6. Already the situation is complicated. In retrospect, bars 5-10 seem insufficiently stable to form a complete theme, and it certainly seems too early in the movement for the variational or developmental procedures offered in bars 11-14. We become unsure of where we are. By the end of the movement, when we are so to speak in possession of all the facts, we realize that these opening fourteen bars never return. What initially seemed such a promising theme simply vanishes.126

Later, Marston offers another perspective on the form, different from “parallel form,” which was presented by Roesner and Richter.127 In his analysis, Marston points out the significance of the resembling chord progressions found in the first twenty-nine measures (mm. 1–29) and the last twenty measures (mm. 123–142); he considers that these first and last measures form a framework of the movement and label them Unit 1 (Figure 2.2). He then separates everything in between (i.e., mm. 30–122) into two units, based on the difference in the textures:

1) The texture shown in the opening chord progressions at mm. 1–4 as a part of Unit 1;

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126 Marston, Fantasie, 69–70 [Emphasis mine].
127 Figure 7 in Linda Correll Roesner, “Schumann’s Parallel Forms,” 19th-Century Music 14, no. 3 (1991): 277; Figure 8a in Pál Richter, “The Schumannian déjà vu: Special Strategies in Schumann’s Construction of Large-Scale Forms and Cycles,” Studia Musicologica Academiae Scientiarum Hungaricae (2003): 317.
2) The texture shown in the fragmentary melody at mm. 34–35 as a part of Unit 2.

These two units intertwine, and fill the inside of the frame.

**Figure 2.2 Illustration: Marston’s formal analysis. Schumann, *Fantasie*, op. 17, Finale.**

He claims that the chord progression of the first four measures, which at first seemed to be “a four-bar curtain,” is not a mere introduction, but is “the primary thematic element in the tonic key.”

Taking this into account, one can certainly perceive the form of the finale by making a connection between the resembling chord progressions and textures that alternate throughout the finale; at the same time, the distinctive parallel design of the form is still notable, based as it is on the systematic presentation of themes and transitions. This indicates the finale’s multi-layered formal design.

A multi-layered tonal design of the finale is also remarkable. The local harmonic analysis elucidates the harmonic progression that follows the descending third: $C \rightarrow A_\flat \rightarrow F \rightarrow D_\flat \rightarrow C$. At the same time, we can also recognize a *rising third progression of major triads* which is built on bass notes that equally divide the octave by major thirds. In the finale of op. 17, a rising major-third cycle appears twice in C major and F major, which are the two main tonalities of the finale. This major-third triadic progression traced in the finale, however, has not been pointed out in the

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128 Figure 6.3 in Marston, *Fantasie*, 83.
129 Ibid., 83.
130 Jammer, for example, talks about a chain of descending thirds by conducting the local-harmonic analysis thus: $C \rightarrow A_\flat \rightarrow F \rightarrow D_\flat \rightarrow B_\flat \rightarrow C$; however I question Jammer’s inclusion of $B_\flat$ (occurring at m. 95) in his analysis because it does not have an equal weight compared to the other keys that are mentioned in the graph, due to its lack of strong tonicization. (In Jammer’s analysis, the location of $B_\flat$ major is indicated at m. 93; this is a mistake and I suggest that the author meant it to be m. 95 instead.) See Jammer, “Robert Schumann’s Fantasie in C Major,” 192.
published analyses. For this reason, I shall bring an especial focus on these rising major-third cycles in my harmonic analysis. My analysis shall elucidate that the linear progression of the chromatic pitches facilitates the link between seemingly non-related tonal occurrences, which cannot be shown through the local harmonic analysis alone.

2.3 The Opening Section—a Prologue.

EXAMPLE 2.1 Schumann, Fantasie, op. 17, Finale, mm. 1–15 (the Opening Section).

\[\text{Example 2.1 Schumann, Fantasie, op. 17, Finale, mm. 1–15 (the Opening Section).}\]

For example, Roesner’s analysis of the finale of op. 17 among others seems to address the functional value of Ab major as a subordinate key in the finale. See Roesner “‘Parallel’ Forms,” 276–278. Also see Jammer, “Robert Schumann’s Fantasie in C Major,” 192. While acknowledging the importance of Ab major in the finale, my analysis will offer another perspective of the tonal design, which is based on the major-third rising progressions, by observing Schumann’s enharmonic pitch manipulations.

\[\text{Example 2.1 Schumann, Fantasie, op. 17, Finale, mm. 1–15 (the Opening Section).}\]
The finale begins with four measures of arpeggios that have a chord progression of $I \rightarrow VI\# \rightarrow IV \rightarrow II_5 \rightarrow V^7$ (Example 2.1). As in Marston’s claim, this chord progression is one of the essential elements in the finale. Furthermore, not only does this chord progression delineate the important bass line: C-A-F-G, but it also includes the unanticipated A major triad (borrowed VI#) at m. 2; this chord later becomes one of the key elements in the finale. In addition to this, there are other key elements that serve to unite the finale.

First, the primary melody emerges at m. 5 in the middle voice and is echoed in the soprano; concurrently, the melody in octaves in the left hand casts a shadow of the old theme heard in the first movement. The theme consists of a descending-fifth with a specific rhythmic combination, which is known as “Clara’s theme” (Example 2.2). I therefore call this melody at mm. 5–6 “a fragmentary reminiscence (a),” because it can trigger the feeling of reminiscence of the first movement.

Example 2.2 Schumann, Fantasie, op. 17, the first movement, mm. 120–121 (the main theme with the varied rhythmic design).

132 Schauffler, Florestan, 312; 315.
133 In addition to the melody in the left hand, Roesner also points out the resemblance of the melody in the middle voice at mm. 5–6 to the melody at mm. 216–219 in the first movement: “In m. 5 Schumann provides a melodic and rhythmic clue to the emotional and symbolic link with the first movement: the melody in the right hand derives from the mysterious theme at the end of the “Im Legenden-Ton” while the rhythm and the melodic contour in the left hand is that of the theme of the first movement.” (Roesner, “‘Parallel’ Forms,” 276.) In addition, Jammer claims the association of this melody in the right hand with a prominent melody from the sixth song of Beethoven’s An die ferne Geliebte cycle. See Jammer, “Robert Schumann's Fantasie in C Major,” 52; 196.
Second, there is an unresolved E major triad with a fermata at m. 10, which Marston describes “the dominant of the relative minor (A minor).”\textsuperscript{134} However, in the reduced structural level, I would rather suggest perceiving this chord as the mediant chord (III\#) of C major, which becomes a part of the rising major-third progression (I→#III). The voice-leading analysis of the opening measures (mm. 1–10) indicates a linear progression of the harmonic bass spanning the third, from C to E (Example 2.3).

\begin{example}{Schumann, Fantasie, op. 17, Finale, mm. 1–10, voice-leading graph.}

\begin{figure}[h]
\begin{center}
\includegraphics[width=\textwidth]{example2.3.png}
\end{center}
\end{figure}

The E major triad at m. 10 is indicated with a \textit{fermata} marking, and its resolution is suspended. I would like to set apart this E major triad at m. 10, separating it from the local resolution of the following E major triad to the A minor triad at mm. 12–13, which I claim exists on a different structural level. I suggest that this E major triad at m. 10 plays an important role in the harmonic

\textsuperscript{134} Marston, \textit{Fantasie}, 69–70.
structure at the background level; moreover, it also acts as a promissory chord, which prefigures its later harmonic occurrence.

Edward T. Cone defines the significance of the promissory chord, by distinguishing it from the deceptive cadence in which “the dominant chord is almost properly resolved,” thus:

A promissory chord …is separated from what follows by a sudden switch in direction, of voice-leading as well as of harmony –and most often by a break in the rhythmic flow too. The combination of emphasis and separation draws special attention to the unresolved chord and enables it to establish its influence so powerfully that it seems to require later attention, the most obvious form of which is a prominent resolution so stated as to remind the acute listener of its connection with the promissory chord.\footnote{Edward T. Cone, “Schubert’s Promissory Note: An Exercise in Musical Hermeneutics,” \textit{19th-Century Music} 5, no. 3 (1982): 236.}

The unresolved E major triad at m. 10 thus requires later attention.

After a moment of stasis the music is back in motion at m. 11; consecutively, two variations of Clara’s theme are followed at mm. 11–12 and mm. 13–14, which are derived from the melody at mm. 5–6, “a fragmentary reminiscence (a).”\footnote{Ibid., 236. [Emphasis mine].} The melody at mm. 11–12 (C-Bb-Ab-Gb-F-E), which I call “a fragmentary reminiscence (b),” also resembles the opening theme of op. 14 (C-Bb-Ab-G-F), except that G is altered to Gb.\footnote{Robert Schauffler asserts that these five descending pitches signify Clara, thus he calls this descending figure “Clara’s theme,” calling it “the beloved rising and falling fifths.” See Robert H. Schauffler, \textit{Florestan: the Life and Work of Robert Schumann} (New York: Dover Publications, 1945), 297; 309. Also, see Eric Sams, “Schumann Ciphers,” \textit{The Musical Times} 107, no.1469 (1996): 395.} Both melodies are written in the same register and doubled at the octave. Moreover, the following melody at mm. 13–14 (A-G-Gb-F-Eb-D), which I call “a fragmentary reminiscence (c),” can be perceived as the variation of the opening theme in the \textit{first} movement of op. 17; the five descending pitches (A-G-F-E-D) are embellished with chromatic pitches at mm. 13–14.

\footnote{See Example 1.4 in Chapter 1.}
The unresolved chord, insertions of various fragmentary melodies, and the frequent use of a rit. marking (appearing at m. 4, mm. 9–10, and m. 14), provide a somewhat drifting atmosphere with a sense of hesitation. From a narrative perspective, I would like to suggest that the characteristics of the thematic arrangement and harmonic structure in the opening section can be compared to the characteristics of episodic memory and its retrieval process; this can promote a reading of the finale as a “story of recollection,” and the opening section as a prologue to that story.

2.4 The finale as a depiction of episodic memory.

Episodic memory is distinguished in important ways from other forms of memory:

Endel Tulving coined the term ‘episodic memory’ in 1972 to refer to our ability to recall specific past events about what happened where and when. Episodic memory is distinct from other kinds of memory in being explicitly located in the past and accompanied by the feeling of remembering, whereas other knowledge that we acquire is purely factual, without any personalized pastness attached to it. 139

In the “story of recollection,” a protagonist can exist in two different paradigms of time: one in the present and the other in the past; or one in reality and the other in the mind. He is the same person, but in a sense he is two different people; therefore this concept can be partially related to the concept of the double because the experience of recalling past events is in some way similar to re-creating his other-self at that time in the mind. When we recall the memory, we re-access the information of the past events, which is encoded and stored as scattered elements in a

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different part of the brain, and then reorganize and reconstruct it in order to replay the past event in our mind.140

Based on these ideas, various fragmentary thematic elements presented in the finale can be compared to scattered information of past memories in one’s mind. Fragment, as found in the discussions by Rosen, Daverio, or Hoeckner, became one of the important aesthetic ideas and essential means of expression in German Romanticism.141 For example, Daverio explains Friedrich Schlegel’s use of the term:

For Friedrich Schlegel, in a remarkable statement prefiguring more recent thought, the fragment was simply a given of modern experience, a manner of shaping and perceiving that affected literary prose (novellas = fragmentary novels), poetry (lyric poems = “Romantic fragments”), philosophy (the whole of ancient philosophy = a fragment of a larger project), contemporary thinkers (witness Lessing’s fragmentary genius), scholarship (biography = a historical fragment), journalism (the essay = an “intentional” fragment), politics (the French Revolution = an epoch-defining fragment), and even geography (Germany = an amalgam of territorial fragments).142

In conjunction with this, in the chapter “Fragments” in The Romantic Generation, Rosen specifies this type of fragment as the romantic fragment, and compares Schumann’s musical quotations (i.e., a form of fragments) to memories.143

Similarly, I shall compare the fragmentary thematic elements in the finale of op. 17 to the partial information of past events; these fragments include allusions to the theme from the first movement, Beethoven’s Seventh Symphony, and the second movement of Beethoven’s Fifth

142 Daverio, German Romantic Ideology, 53.
143 Rosen, Romantic Generation, 111–112.
Piano Concerto ("Emperor"). The finale’s phrase construction and harmonic structure are then compared to a depiction of the memory retrieval process. The scattered fragments stored in one’s subconscious mind are re-ordered and re-organized during this process. The state of traveling back and forth on the time scale of memories can be expressed in such characteristics of this finale as:

1) A phrasing pattern of fragmentary themes, which are continuous, repetitive but developing gradually;

2) A series of modulations, which drift from one key to the other without having a definite key center.

An encounter with similar circumstances can often create an impulse (i.e., retrieval cues) to recall the memory of the past. For example, the opening melody at m. 5, “a fragmentary reminiscence (a),” can be compared to a piece of information that stimulates the scattered elements buried in the subconscious; this activates the memory retrieval process in the protagonist, whose consciousness is still in the present. The melody freezes at m. 10, accompanied by an E major triad that remains unresolved. The first attempt of the retrieval process is thus interrupted; there are still more elements buried in the subconscious, thus one is not recovering a full image of the past event. Consecutively, fragmentary memories, “a fragmentary reminiscence (b)” and “a fragmentary reminiscence (c),” are proposed at mm. 11–14, which continuously stimulate the past memories buried in one’s subconscious. Meanwhile, a *crescendo* marking and a *ritardando* are indicated at mm. 13–14, depicting a transition of one’s mind which gradually moves from the present to the past.

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144 In reference to Schumann’s allusions to Beethoven’s works (or Schubert’s works) in the third movement, see Marston, *Fantasie*, 36–39; Rosen, *Romantic Generation*, 102–104.
The new theme emerges at m. 15, which demarcates the Pink Section (Example 2.4).

The texture at m. 15 consists of:

1) The melody made from a descending scale in the higher register;

2) The broken chords (V\(^7\)/C) spread widely in the low and the middle registers.

This combination somewhat recalls the opening theme of the first movement of op. 17 (Example 2.5).

**Example 2.4** Schumann, Fantasie, op. 17, *Finale*, mm. 15–18 (the beginning of the Pink Section).

![Example 2.4](image)

**Example 2.5** Schumann, *Fantasie*, op. 17, the first movement, mm. 1–7.

![Example 2.5](image)
At the same time, the theme at m. 15 also arguably alludes to the opening melody of the second movement of Beethoven’s Fifth Piano Concerto (Example 2.6); therefore this theme in the finale can be perceived as the partial presentation of the past that has double references to Clara and Beethoven, and m. 15 can be understood as a meeting point of past and present.

**Example 2.6** Beethoven, Piano Concert in E-flat major, op.73 (“Emperor”), the second movement, mm. 10–17.

After m. 15, the story moves into retrospection; a *shift of time* occurs. This break in the time-flow is expressed in the music thus:

1) The right hand melody in the middle voice shifts to the top voice;

2) The *piano* marking following a *crescendo* marking at the previous measures suddenly softens the sound;

3) The eighth-note triplets in the right hand part, a continuous wave created during the previous measures, are taken over by the left hand part.
The idea of associating a shift in the music with a shift of time originates from Schumann’s construction of the first movement. The first movement of op. 17 includes the middle section called *Im Legendenton* (“in the manner of a legend”), which is distinguished from the outer sections of the movement. In the middle of the ongoing drama, Schumann inserted “the old story,” originally titled *Romanza*; the recollection of the past suddenly emerges and causes a sudden shift in the mood of the piece. In “Schumann’s ‘Im Legendenton’ and Friedrich Schlegel’s *Arabeske,*” John Daverio compares this specific arrangement of form found in the first movement to “Schlegel’s double-natured concept of arabesque,” which was adapted from plastic art to literature thus:

In its more limited application, the arabesque might refer specifically to those digressive interpolations or ornamental variations that interrupt the chronological flow of a conventional narrative.

Accordingly, Schlegel’s idea of the arabesque can be linked to Schumann’s favorite compositional technique, which Daverio calls *digression.*

I suggest that the characteristics of digression can be observed at m. 15, although there is no specific division marked in the music, such as *Im Legendenton* in the first movement. As previously explained, there is a subtle gap created between m. 14 and m. 15; at the same time, there is also a small degree of continuation existing within this subtle gap. The continuation is indicated by the link between the dotted-quarter note F# at m. 14 and the grace note F♮ at m. 15 in the right hand part, supported by a continuous wave of triplets. The emergence of the melody

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146 A summary of the frequent arguments and discussions concerning formal analysis of the first movement made by Wasielski, Dahms, Chissell, Griber, Roesner, and Daverio, can be found in Marston, “Schumann’s ‘Unsung Voice,’” 227–228.


148 Ibid., 158.
at m. 15 is therefore not completely abrupt but rather prepared; nevertheless, the theme at m. 15 still mainly acts as the departure point of the new section, which can be clarified by referring to the formal analysis.

In the Color Diagram, the Pink Section in Rotation A (mm. 15–29) corresponds with the Pink Section with wavy outline/diagonal lines in Rotation A' (mm. 72–86). Due to the absence of the opening fourteen measures (i.e., the Light Blue and the Orange Sections), the Pink Section with wavy outline becomes the first recurring section in Rotation A'. This fact (at least in retrospect) encourages the listener to conceive of the melody in the Pink Section as a self-sufficient passage, separated from the previous section, even though the opening of the Pink Section does not exactly sound like a beginning. The delicate arrangement of the thematic elements in these consecutive sections is compared to the concept of recollection. Since the scattered fragments of past events are stored in the subconscious without chronological ordering, there is no clear beginning or end in the restored memories; therefore it is always incomplete, always fragmented. This can explain why the melody at m. 15 (i.e., the beginning of the Pink Section) does not sound like an opening melody.

2.5 The beginning of the memory retrieval (a rising major-third cycle in C major).

The melody at mm. 15–18 is followed by the melody at mm. 19–22, which imitates the preceding melody at a perfect fifth below. Both melodies remain incomplete, drifting upon the prolongation of V\(^7\) chords (V\(^7\)/C and V\(^7\)/F respectively); the melody at mm. 19–22, however, is extended for the next two measures at mm. 23–24. Consecutively, this extended part of the melody is again imitated in the following two measures at mm. 25–26, this time, at a whole step below. This melody at mm. 25–26 is then extended in the following four measures at mm. 27–29.
Thus the phrase structure of the Pink section consists of the alternation of the imitation and extension of melodies that are repeated in different key areas (Figure 2.3).

**Figure 2.3** The association of the phrase structure of the Pink Section (mm. 15–29) and the process of memory retrieval.

The alternation of imitation and extension of preceding melodies thus creates waves going in opposite directions. The nature of this arrangement may be analogous to the process of memory retrieval. The imitated part of the melodies is compared to the *replay of the partial memory* that is already restored in the preceding melody, and the extended part of the melodies is *newly recovered information* that is added to the familiar part of the memory. Thus the extension of the melodies serves the advancement of the memory retrieval.

In addition to the phrasing structure, the harmonic structure of the Pink Section also depicts the state of the retrieval process. The Pink Section is filled with a series of unresolved chords, which begins with $V^7/C$ and ends with $V^7/C$. The prolongation of $V^7$ depicts the state of memory retrieval that remains floating and unresolved. This $V^7$ chord eventually leads to the A♭ major triad at m. 30 (i.e., the deceptive cadence), demarcating the new Dark Blue Section.
Figure 2.4 Schumann, *Fantasie*, op. 17, *Finale*, mm. 1–36, harmonic analysis (featuring the rising major-third cycle in C major).

In addition to this local harmonic progression at mm. 29–30, the emergence of an Ab major triad at m. 30 brings forth another harmonic progression; this is elucidated by associating this Ab major chord with the E major chord, which previously appeared at m. 10. The link between these two chords can be clarified especially when setting aside mm. 11–29; these measures consist of a “transition from the present to the past (mm. 11–14),” and “the digression–floating memories (mm. 15–29).”

When associating the E major triad at m. 10 with the Ab major triad at m. 30, the harmonic progression at mm. 10–30 can be elucidated as III#→bVI in C major. The Ab major triad at m. 30 is consecutively linked to the following C major triad at m. 36. The harmonic progression at mm. 1–36 therefore demonstrates a major-third progression spanning the C octave: I→III#→bVI→I. All the triads that are featured in this progression are built on the Hexatonic-
augmented scale, and the relationship between each chord can be also elucidated as L (Leading tone exchange)–P (Parallel) transformation (Neo-Riemannian LP cycle: Figure 2.5).

**Figure 2.5** Illustration of LP cycle in C major.

![Diagram of LP cycle](image)

This harmonic progression demonstrates the chromatic transformation of chords, including the chromatic transformation between the E major triad and the Ab major triad (enharmonically respelled version of the G# major triad) which share G#/Ab as common tones (Figure 2.6).

**Figure 2.6** Illustration: Chromatic transformation of the E major triad and the Ab major triad.

\[
\begin{align*}
B & \to C \\
G# & = A_b \\
E & \to E_b \\
& (E: I \quad A_b : I_b) \\
C: \ I & \to \ bVI
\end{align*}
\]
The association of these two chords enhances the interpretation of separating the Pink Section as a digression. It can be understood that the unresolved E major triad at m. 10 progresses to the Ab major triad at m. 30. A part of the memory suppressed at m. 10 is thus newly recovered at m. 30, which results in the advancement of the story; in between these measures, there is a digression (i.e., the Pink Section), in which the protagonist is drifting upon the fragmentary memory.

The simultaneous occurrence of this rising third progression and the deceptive cadence at mm. 29–30 causes the *dissonant prolongation*:\(^{149}\)

1) The prolongation of G#/Ab at mm. 10–30 which links the suspended E major triad at m. 10 to the Ab major triad at m. 30;

2) The prolongation of G due to the prolongation of V\(^7\)/C at mm. 15–29, which eventually resolves to the Ab major triad at m. 30.

The pitch conflict of G and G#/Ab brought about by this dissonant prolongation expresses the tension created by the double trajectory of the story: one is suspended, and one is digressed. The emergence of the Ab triad at m. 30 can be interpreted as the merging point of these two streams of the story, which contributes to the plot development.

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\(^{149}\) The term is introduced in Robert P. Morgan, “Dissonant Prolongation: Theoretical and Compositional Precedents,” *Journal of Music Theory* 20, no. 1 (1976): 49–91. In the article, he specifies the word “prolongation” by differentiating it from Schenker’s “prolongation”: “In this article the word ‘prolongation’ refers to the overall process of the horizontal unfolding of an interval or chord. Thus it is not, strictly speaking, a translation of Schenker’s term *Prolongation*; rather, it includes this term, as well as such related ones as *Auscomponierung*, or ‘compositional unfolding.’ A ‘dissonant prolongation’ is here taken to be one in which both the sonority prolonged and the manner of its prolongation are dissonant (i.e., not reducible to a major or minor triad).” (Morgan, “Dissonant Prolongation,” 87). One of the fine examples, which elucidates the dissonant prolongation in Beethoven’s Piano Sonata in Eb major, op. 81, can be found in Example 3 on p. 55. The explanation of this analysis is found on p. 54.
The study elucidates the characteristics of the Pink Section (mm. 15–29). The melodic pattern, which gradually develops through the repetition of going back and forth, is akin to the process of the memory retrieval. Furthermore, the prolongation of $V^7$ serves to distinguish it from the outside sections, which brings out the characteristic of digression. The harmonic progression of $III\# \rightarrow VI_b$ that connects the outside sections of the Pink Section brings out the pitch conflicts of $G$ and $G#/A_b$, creating suspense. A disoriented, drifting feeling caused by a series of fragmentary melodies can be analogous to one’s emotional experience during the process of remembering, which is comparable to being in a dream state.
2.6 The comparison of #1a and #1b.

The comparison of #1a and #1b clarifies the different characteristics between the two Pink Sections in Rotations A and A'. Firstly, different harmonic progressions are employed in the preparation for these respective Pink Sections.

1) The Pink Section in Rotation A emerges as a result of the gradual transition that was set up in the previous Orange Section, led by a harmonic progression of #II⁷→V⁷ in C major at mm. 14–15 (Example 2.8: #1a).

Example 2.8 Schumann, Fantasie, op. 17, Finale. Comparison of #1a (mm. 12–23) and #1b (mm. 70–81). Continued on the next page.

#1a:
2) In contrast, the Pink Section in Rotation A’, indicated with wavy outline, emerges in the midst of the reverberation of the preceding A major triad, III# of F major, which was inconclusively held with a fermata marking at the end of Rotation A at m. 71 (Example 2.8: #1b). The A major triad at m. 71 is directly transformed into V9 of D minor at m. 72, which becomes the opening chord of Rotation A’; the common tones {A, C#, E} are shared by these two consecutive measures at mm. 71–72.\

While the harmonic progression at mm. 14–15 supports the notion of a progression away from the Orange Section to the Pink Section (i.e., a shift), the use of common tones (especially in the

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\[150\text{ From a macroscopic view, } V^9/d \text{ can be also understood as } III_{5}^{9} \text{ in the context of F major.} \]
bass) in the transition at mm. 71–72 imbues the Pink Section with wavy outline with a mood of idling.

Secondly, different harmonies are employed in the first eight measures of the respective Pink Sections: V⁷/C→V⁷/F at mm. 15–22 (#1a), and V⁹/d→V⁹/g at mm. 72–79 (#1b). Due to the mode change in Rotation A’, the recurring melodies at mm. 72–79 (#1b) are slightly modified, causing different inflections. For example, the melodic interval of the second and the third notes at m. 73 (#1b) has been modified to a diminished fourth, whereas the melodic interval of the second and the third notes at m. 16 (#1a) was originally a minor third. A similar change also occurs between mm. 20 and 77 (#1b). A grace note is added to the third note of mm. 73 and 77, which emphasizes these intervallic changes. Furthermore, four eighth notes in the second half of mm. 16 and 20 (#1a) are replaced with eighth-note quintuplets at mm. 73 and 77 (#1b). These slight distortions of the recurring themes in Rotation A’ bring out an interesting twist in the music.

The melody at m. 72, which mysteriously appears in the midst of the reverberation of the A major triad, almost sounds like the tune heard in Rotation A; this is due to the coincidence of the common pitches shared by the melodies at mm. 19–22 in Rotation A and mm. 72–75 in Rotation A’. An operation of Witz, that is, “the faculty that allows the creative mind to fashion subtle interrelationships and the imaginative beholder to perceive them,”¹⁵¹ makes us notice this coincidental match of pitches between these melodies, yet they are supported by different harmonies.

¹⁵¹ Daverio, *German Romantic Ideology*, 54. For the explanation of the concept of Witz, see 0.3 in the introduction.
Example 2.9 Schumann, Fantasie, op. 17, Finale, mm. 19–22 and mm. 72–75 (uncanny resemblance of pitches).

mm. 19–22:

The partial match and partial mismatch of pitches in these two areas evokes an uncanny feeling in listeners, especially when they follow the melodies with listening for absolute pitch. In the essay The Uncanny (Das Unheimliche in German), Sigmund Freud (1856–1939) defines the concept of the uncanny while he explores its psychological impact on the human mind:

The German word ‘unheimlich’ is obviously the opposite of ‘heimlich’ [‘homely’], ‘heimisch’ [‘native’]—the opposite of what is familiar; and we are tempted to conclude that what is ‘uncanny’ is frightening precisely because it is not known and familiar. Naturally not everything that is new and unfamiliar is frightening, however; the relation is not capable of inversion. We can only say that what is novel can easily become frightening and uncanny; some new things are frightening but not by any means all. Something has to be added to what is novel and unfamiliar in order to make it uncanny.152

In summary, in order to experience an uncanny situation, two conditions must be present, which are:

1) Something familiar must recur;

2) One must experience something new within that familiarity.

A recurrence of a similar event with a partial differentiation of the situation triggers subtle emotional conflicts, which are repressed and masked by the surface similarity of the recurrence with the original event.\(^{153}\) This suggests that an uncanny feeling can be evoked due to the recurrence of the theme, which is something familiar (sharing common pitches) and yet is not known (employing different harmonies). The recognizable melody no longer behaves as it did, no longer means what it had.

This example also supports my proposed narrative plot for the finale. “The story of recollection” can be chronologically narrated in the order of:

1) An encounter with familiar events or objects (i.e., the fragmentary melodies that recalls “Clara’s theme” at mm. 5–14) triggers the memory of the past event.

2) Partial pictures of the past event emerge in the protagonist’s mind (i.e., the theme at mm. 15–22 that are similar to the opening of the first movement and/or the second movement of Beethoven’s Fifth Piano Concerto). The story turns into retrospection; this can be compared to the first presentation of the partially restored memory.

Consecutively, a type of narrative trajectory can be added to the story, which may create an uncanny situation:

3) Later in the story, the same memory recurs in the protagonist’s mind but in an unfamiliar manner; some new events (e.g., further disclosure of the old memory or new experiences of the protagonist) are added to the already restored memory due to

\(^{153}\) Freud, “Das Unheimliche (The ‘Uncanny’),” 634.
the accumulation of time. The recurrence of the melody at m. 72 depicts a recurrence of the same memory with new emotional experiences. Some added piece of information brings a disoriented emotional response to the same memory; at this point, the familiar memory becomes alienated from its original meaning and context. That is, the familiar is made unfamiliar. We recognize it but are disturbed by its deformation; we are haunted by its refusal to be what it was.

According to this narrative example, the common pitches in the melody and the bass line at mm. 19–22 (#1a) and mm. 72–75 (#1b) represent the elements of the same memory; the modification to the minor mode, the alteration to the dominant-ninth chords, and the use of quintuplets, as well as added ornamentations in #1b, capture a different emotional state during the recurrence of the same memory.

The events between the first Pink Section (#1a) and the recurring Pink Section (indicated with wavy outline: #1b) at mm. 30–71 are compared to additional information to the already restored memory. For example, the emergence of the A♭ major chord at m. 30 discloses new information about the past memory; newly disclosed memories of the protagonist keep accumulating as the piece goes on, while he continues experiencing something new. Simultaneously, more and more feelings are attached to the same memory; therefore, emotional responses one might experience at the recurrence of the same memory can be less naïve and more complex. In other words, the differences in the musical detail between #1a and #1b may reflect a change produced by the passage of time.154

Finally, it can be said that at least two paradigms of time, which are going in opposite directions, are involved in the “story of recollection.” While the protagonist is looking back on

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the past, the story itself is moving towards the future; this is one of the situations that can
provoke an uncanny feeling.\textsuperscript{155}

Schumann’s specific arrangement of fragments, which relies upon our recognition of
their similarity and dissimilarity to other presentations of the fragments, inspires our
imagination to explore the narrative context of the music; this type of arrangement is deeply
bound to the effect of time.

2.7 The comparison of #2a and #2b.

The next comparison covers anomalies in the disposition of the thematic materials
between the two rotations. The Color Diagram clarifies the uneven distribution of measures in
the areas of #2a and #2b. Six measures in total are omitted in Rotation A'; these are the two-
measure Purple Section (mm. 42–43), and the first four measures of the Dark Green Section (mm.
44–47) found in Rotation A. The diagram clarifies that #2a and #2b are the only areas where the
distribution of measures does not coincide between the two rotations, setting aside the missing
opening section.

When comparing existing analyses by Marston,\textsuperscript{156} Roesner,\textsuperscript{157} and Richter,\textsuperscript{158} none of
their charts visually highlight the deformation caused by this uneven distribution of measures,
except that there is a small annotation “abridged” with a bracket marked in Roesner’s chart.

\textsuperscript{155} Although Rosen does not specify the effect made by the Romantic Fragments (e.g., allusions to Beethoven’s
theme in the finale) as an “uncanny effect,” his description of the psychological effects produced by the composer’s
specific arrangement of themes, which I quote below, is relevant to my viewpoint: “The Romantic Fragment
acknowledges what is alien to it and incorporates it. The phrase of Beethoven is made to seem like an involuntary
memory, not consciously recalled but inevitably produced by the music we have just heard. A memory becomes a
fragment when it is felt as both alien and intimate, when we are aware that it is as much a sign of the present as of
the past.” See Rosen, Romantic Generations, 112.

\textsuperscript{156} Figure 6.2 in Marston, Fantasie, 81. In addition, Marston offers another type of formal analysis by making
connections between resembling chord progressions (Figure 6.3), mentioned in the beginning of this chapter. See
Marston, Fantasie, 83.

\textsuperscript{157} Figure 7 in Roesner, “‘Parallel’ Forms,” 277.

\textsuperscript{158} Figure 8a in Richter, “Schumannian déjà vu,” 317.
There is also no substantial discussion in the scholarly literature of the omission of these six measures. Nevertheless, the different distribution of measures between Rotations A and A' plays an important role in the composition.

**Example 2.10** Schumann, *Fantasie*, op. 17, *Finale*. Comparison of #2a (mm. 34–51) and #2b (mm. 91–102). *Continued on the next page.*

#2a:
Let us closely examine the six measures (mm. 42–47) at #2a that are omitted at #2b. The fragments at mm. 42–43 (indicated in Purple in the diagram) are the imitation of the fragments at mm. 34–35 and mm. 38–39 in the previous Light Green Section (“Etwas bewegder”); the melody at mm. 42–43 is therefore the continuation of the previous melodies. Nevertheless, I distinguish these two measures in order to highlight the formal anomaly.

The melody at mm. 42–43 is carried over by the following Dark Green Section with some rhythmic variations in the melodies. A significant event occurs in this section, that is, the emergence of the melody in the tenor, doubling the melody in the soprano at an octave lower; this becomes a new element of the finale. Thus, fragmentary melodies heard in the previous sections transform into the longer melody at mm. 44–47 in the Dark Green Section. This melody
is repeated in the following mm. 48–51; however some changes occur when the melody repeats. The differences are as follows (Example 2.10):

1) The register of the left hand part is moved one octave down at mm. 48–51;

2) There is a rhythmic modification in the melody at m. 49: a combination of a quarter note and an eighth note at m. 45 is altered to eighth-note triplets at m. 49. In addition, a portato and a rit. marking are added to the triplets, which emphasizes this rhythmic change.

From the narrative perspective, the fragmentary melodies with short slurs dispersed throughout mm. 34–35, mm. 38–39, and mm. 42–43 are compared to the fragmentary memories, which are presented in an unsettled and unorganized manner. In contrast, the unified melodies with long slurs at m. 44–47 are compared to the restored part of the memory, which are stable and organized; the repetition of the same melody at mm. 48–51 reaffirms the restored memory.

The omission of the Purple Section in Rotation A’ changes the intervallic relationship between the two rotations: from a perfect fourth to a perfect fifth. In addition to the Purple Section, the first four measures of the Dark Green Section are also eliminated in A’; this shortens the distance to reach the Red Section with dotted outline (Figure 2.7).

**Figure 2.7 Illustration of the harmonic progressions of #2a and #2b.**
A similar manipulation (that is, omitting a few measures in Rotation A’ in order to adjust the tonal design of the piece) is also found in the finale of op. 14. In the finale of op. 14, the omission of the Purple Section in Rotation A’ results in matching the keys of the parallel sections at the end of each rotation, which were previously at the distance of a perfect fifth. In contrast, in the case of the finale of op. 17, the omission of the Purple Section in Rotation A’ shifts the intervallic relationship of the two rotations from the distance of a perfect fourth to a perfect fifth. In both cases, however, Schumann made this adjustment to break the parallel relationship of two rotations right before the final climactic section (i.e., the Red Section in Rotation A’ ) by reducing the measures; this helps accentuate the excitement all the way to the end without stagnation.

While the repetition of the fragmentary melodies at #2a in Rotation A brings a sense of redundancy, the abridgement of the six measures at #2b in Rotation A’ brings a sense of concision. These inconsistencies can represent different psychological states, which can be caused by the differing time periods of the memory retrieval process. Whereas the redundancy at #2a can express the frustration of someone who is trying to remember something but who faces the fact that the process is hard in the beginning, the conciseness at #2b can express the tranquility of someone’s mind who has already achieved the restoration of peace through the repetitive process; the more often you repeat the process, the quicker and more easily the memory will come back. In summary, the musical features found in #2a and #2b can be compared to differing psychological states such as:

1) The clumsiness of remembering the distant memory, which requires more time and effort to recall—#2a;

2) The ease of reproducing the familiar memory—#2b.

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159 This discussion is found in 1.6, 1.7 in Chapter 1. (Compare the Color Diagram 1 [op. 14] with the Color Diagram 2 [op. 17]. In the Color Diagram 1, the omitted measures in Rotation A’ are also indicated in Purple.)
The differentiations in the musical details at #2a and #2b enhance this idea:

1) At #2a, a combination of a quarter note and an eighth note in the melody at m. 45 is replaced by the eighth-note triplets in the repeating melody at m. 49, which is also emphasized with a portato and a rit. marking. These emphases help a performer confirm the change, which is similar to correcting a partially false memory.

2) At #2b, the melody at m. 49 (#2a) recurs at a perfect fifth above at m. 100; the melody is written with triplets. This therefore represents a correctly restored memory; there is no longer a portato marking on the eighth-note triplets, establishing a greater certainty in the melody.\(^\text{160}\)

The distinction between #2a and #2b also illuminates another interesting aspect: the relationship between the time progression and the emotional responses to the memory. As previously discussed during the comparison of #1a and #1b, the recurrence of the same memory may elicit complicated emotions and feelings towards the memory due to the events (including newly discovered memories) that are being accumulated over time; and this is more likely to happen when current events still maintain some kind of association with the past.\(^\text{161}\) On the other hand, further accumulation of time may also help decrease the agitation towards the memory especially when the current situation loses the association with the past event, which we call “partial forgetting.” Partial forgetting keeps a memory simple by eliminating complicated detail, which results in emotional detachment, (i.e., reconciliation). Thus, it can be considered that the ease and simplicity found at #2b depicts the protagonist’s reconciliation with his/her memory. The musical distinction between these recurring sections is able to depict different levels of emotional involvement with a memory, and a number of such levels shift as time passes by.

\(^{160}\) In the Henle edition, however, a portato marking is added on the triplets at m. 100 with a bracket marked; this editorial suggestion cancels out the differentiation made in these two measures.

\(^{161}\) See 2.6 in this chapter.
These examples (the comparison of #1a and #1b, and #2a and #2b) show that the change of feelings towards a particular past event, whether they are accumulated or diminished, is deeply related to the progression of time. Thus, I suggest that Schumann’s lengthy finale is perhaps related to his concern with the effective use of time, in which a performer is able to express various subtle emotional shifts evoked by differing time scales.

2.8 The comparison of #3a and #3b.

The next comparison of #3a and #3b involves the Dark Blue Sections in Rotations A and A’. These sections are characterized by the right hand part, which consists of arpeggios with six eighth notes, and the melody that is doubled in the left hand part. The Dark Blue Section in Rotation A establishes the tonic of A♭ major, while the Dark Blue Section in Rotation A’ (indicated with diagonal lines) establishes the tonic of D♭ major. The magical emergence of both sections is brought about by the deceptive cadence (II→V7→♭VI), which was prepared during the previous Pink Sections. (The Pink Section in Rotation A’ is indicated with wavy outline [mm. 72–79] and diagonal lines [mm. 80–86].) These previous sections are, however, slightly differentiated by their tempo setting.

There is a rit. marking indicated only at m. 85 (#3b), and not at m. 28 (#3a). This is perhaps because it allows the performer to increase a surprising effect—the emergence of the unexpected A♭ major tonic as a result of the deceptive cadence—by not slowing down before m. 30.
On the other hand, when the theme recurs at the parallel section in Rotation A’, the listeners no longer experience the same kind of surprise because of our familiarity with the event (i.e., deceptive cadence); this time the listeners rather expect the recurrence of the similar event
(i.e., deceptive cadence) due to the parallel construction of the movement. Under such circumstances, a rit. marking at m. 85 (#3b) allows a performer to suspend the emergence of the expected Db major tonic; delaying the execution of the Db major tonic thus stirs up the listeners’ anticipations. A rit. marking at m. 85 therefore results in bringing a different psychological effect on listeners by not offering an immediate emotional gratification. A subtle differentiation in tempo between the resembling sections is thus one of the key attributes that articulate the progressive narrative of the finale, by which a performer can create various effects by means of time manipulation.

From the same perspective, when comparing the two Dark Blue Sections in Rotations A and A’, one may notice the different placement of the rit. markings in each section:

1) At #3a, a rit. marking is located at m. 33 at the end of the Dark Blue Section. This helps distinguish the first emergence of the following Light Green Section at m. 34, introducing a new theme with a tempo change indication of Etwas bewegter (i.e., somewhat more moving).

2) At #3b, a rit. marking is located at m. 89 in the middle of the Dark Blue Section (with diagonal lines). This suggests a performer indulging in the moment by emphasizing the melody. Moreover, there is no Etwas bewegter indicated in the following Light Green Section (with diagonal lines). Due to the omission of the tempo change, the boundary of these consecutive sections becomes less distinct.

These differences may depict the different emotional responses during the memory retrieval. The first emergence of the new theme at m. 34 with a distinctive tempo change (Etwas bewegter) requires a change in motion. This can be compared to the earlier stage of recalling a memory, where the pace of the retrieval process is still unstable, and that instability may provide
excitement. This also can depict the stage in which a protagonist is “reliving the old memory,” rather than simply reminiscing.

On the other hand, the second emergence of the theme without *Etwas bewegter* keeps the same tempo from the previous section. This can be compared to the later stage of recalling a memory, where the pace of the retrieval process becomes more stable by repeating the same melody. In addition, a *ritard.* added in the midst of the melody at m. 89 suggests that one appreciate the repeating melody (i.e., recurring memory) with equanimity. The stasis and connectedness captured at the recurring section may also depict the situation in which the protagonist is continuously dwelling in the past.

### 2.9 Dwelling in the past (a rising major-third cycle in F major).

The previous discussion revealed the hidden connection between the E major triad at m. 10 and the A♭ major triad at m. 30; this harmonic progression configures a rising major-third cycle in C major and overrides the local harmonic progression of the deceptive cadence. In like manner, the following analysis reveals the correlation between the A major triad at m. 71 with the D♭ major triad at m. 87 that takes part of another rising major-third cycle, now in F major.

The A major triad appears at m. 71 as the final chord of Rotation A with a *fermata*; in the finale, *fermata* markings appear only twice: at m. 10 on the E major triad and at m. 71 on this A major triad. I would like to propose that these *fermata* markings emphasize the special association of these chords.

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162 See 2.5 in this chapter.
These *fermata* markings in the finale of op. 17 remind us of Schumann’s other specific notations in the finale of op. 14. In the finale of op. 14, there are three *accent* markings put upon the tied notes, D♭ and A♭, which serve to clarify the formal design of the finale.⁶³ Schumann’s use of these accents on the tied notes allowed the association of these pitches. These examples show one of the idiocyncratic tendencies in Schumann’s compositions, in which articulation markings hint at the significance of certain pitches or chords in the piece.

The A major triad at m. 71 can be perceived as the result of the I→#III progression in F major, which is established through mm. 68–71. Consecutively, this A major chord is linked to the D♭ major triad at m. 87. This D♭ major triad is then linked to a C major triad at m. 93, demonstrating another rising third progression. The harmonic progression at mm. 68, 71, 87, and 93 is elucidated thus: I→#III→♭VI→I, which exhibits a rising major-third cycle of major triads.

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⁶³ See 1.2 in Chapter 1.
in F major (Figure 2.9). This corresponds with the rising major-third cycle of major triads in C major demonstrated in the previous harmonic analysis at mm. 1–36 (Figure 2.4). Thus a cycle of thirds in C major and F major illuminate the bipartite tonal design of the finale, and *fermata* markings on the E major triad and the A major triad help to delineate these specific harmonic progressions in the finale.

A close look at these two harmonic analyses (Figures 2.4 and 2.9), however, shows some distinctive differences. While the major-third triadic progression in C major (mm. 1–36) is interrupted by the “digression” that is caused by a prolongation of the V7 in the Pink Section (mm. 15–29), the major-third triadic progression in F major (mm 68–93), on the other hand, is achieved without an interruption due to the carryover of the A in the bass in the two consecutive sections (mm. 71–72), suggesting the “continuation of the story.”

**Figure 2.8 Illustration of LP cycle in F major.**
I suggest that these characteristics in the harmonic structure can portray the differing of the protagonist’s psychological state, which is brought about by the different stages of memory retrieval.

The differentiations in tempo, articulation, harmony, phrase structure and voice leading in the recurring sections serve to elaborate the narrative context of the “story of recollection” thus:

1) In Rotation A: the protagonist departs for the journey to the past memory. Some digressions in the harmonic progression indicate the shift of time, which moves from present to the past. The scattered presentation of the fragmentary melodies, and the frequent tempo changes reflect the psychological state that one might experience in the earlier stage of the memory retrieval, which is unsure, unsettling, and naïve.

2) In Rotation A':
a) The protagonist has traveled to the distant past. The protagonist is dwelling in the past by repeating some familiar memories, which causes him uncanny feelings. The static mood is captured by keeping the same pitch in the bass between the consecutive sections (mm. 71–72). Uncanny feelings are expressed by the coincidental match of pitches in the recurring themes combined with a differing harmonic situation.

b) A further accumulation of time begins to cause the protagonist partial forgetting and thus brings the protagonist a sense of reconciliation and simplicity, which is expressed by the absence of the repetitive passages with fewer tempo fluctuations (Figure 2.10).

2.10 The resembling chord progressions that unite the story of recollection.

The following discussion focuses on some characteristic chord progressions in the finale. There are some chord progressions that resemble one another and yet belong to different sections in the formal analysis. This contributes to unite the finale from a different angle, in contrast to parallel form.

A comparison of these chord progressions at mm. 27–30 and mm. 119–122 suggests the reading that the cadence at mm. 28–29 (vii⁶/ii→II→V⁷), which is deviated to the Ab major triad (bVI/C=I/Ab) at m. 30, is finally resolved to the tonic (I/C) at m. 122 (Compare Examples 2.13 and 2.14). This also enhances the previous discussion, a reading of the Pink Section (mm. 15-29) as digression, in which the V⁷ chord is prolonged and its resolution is withheld. From the narrative viewpoint, I suggest that these chord progressions at mm. 28–29 and at mm. 121–122 are located at the shifting point of the present and the past (Figure 2.10).
EXAMPLE 2.13 Schumann, Fantasie, op. 17, Finale, mm. 27–30.

EXAMPLE 2.14 Schumann, Fantasie, op. 17, Finale, mm. 119–122.

In addition to this, the opening chord progression at mm. 1–4 (I→VI#→IV→II₅→V₇), also resembles the chord progression in the coda at mm. 130–133 (I→VI#→♭II→V₇), except that IV→II₅ at mm. 3–4 is replaced by ♭II at mm. 131 and 133 (Examples 2.15 and 2.16). I suggest that these chord progressions represent the present moment, which are the departure point and also the returning point of the story.
Figure 2.10 Image of the association of chord progressions with the passage of time.

Example 2.15 Schumann, Fantasie, op. 17, Finale, mm. 1–4.

(Light Blue Section)
Langsam getragen. Durchweg leise zu halten. M.M. = 60.

\[
\begin{align*}
&\text{C: I} & &\text{VI}\# & &\text{IV} & &\text{II}_5 & &\text{V}\^7 \\
&\text{A} & &\text{F} & &\text{C} & &\text{G} & &\text{D}\uparrow
\end{align*}
\]
This idea can influence the entire plot of the narrative that involves the double trajectory of time. Figure 2.10 indicates that these resembling chord progressions become junctures in the story, which indicate the location of the protagonist’s consciousness, whether it is in the present or in the past:

1) The resembling chord progressions at mm. 1–4 and mm. 130–133 indicate that the protagonist’s mind is in the present moment.

2) The resembling chord progressions at mm. 28–29 and mm. 121–122 indicate that the protagonist’s mind either shifts in retrospect, or back to the present.

Furthermore, the chord progressions at mm. 30–34 and mm. 87–90, which share the same chord progressions (I→VI→Ⅱ5→V7) in different keys (Ab major and Db major respectively),
indicate the protagonist’s different levels of emotional involvement with a memory, which are influenced by the elapsed time of the memory retrieval. At the same time, these chord progressions are also linked to the chord progressions at mm. 1–4 (I→VI#→IV→II6→V7) and mm. 130–136 (I→VI#→♭II→V7), sharing similar textures. This suggests that these chord progressions, which are located at the turning point in the story, unify this otherwise drifting movement.

2.11 An observation on the pitches.

The discussion now turns to the pitch associations. A, G, D, and C, play significant roles in the finale; they are located at scale degree \( \hat{6}, \hat{5}, \hat{2}, \text{ and } \hat{1} \), in the C major scale. Moreover, D and C also act as \( \hat{6} \) and \( \hat{5} \) in the F major scale, another main key of the finale.

**Figure 2.11 Illustration of the pitch relationship–1.**
A, G, D, and C, can be set up systematically by keeping them at the equal distance of a perfect fifth; or they can be ordered by putting them in the C major scale, where the set of two pitches C and D, and G and A, are placed at a distance of a major second. Interestingly, the outside pitches remain C and A in both cases, and they incidentally spell the name of Clara.

This reminds us of Eric Sam’s claim, that Schumann may have transcribed Clara’s name in some of his compositions, which are given in the three notes, C, A, A.¹⁶⁴

In the opening of the finale, A and G appear in the top voice at m. 4; A acts as a suspension of the dominant seventh chord.

In the same manner, A and G appear in the top voice in the opening measures of the first movement, and are also accompanied by the dominant seventh chord. Moreover, D and C, added in the chord at m. 3 in the first movement, coincide with the pitches employed in the chord at m. 4 in the final movement.

Example 2.18 Schumann, Fantasie, op. 17, the first movement, mm. 1–7.

The correspondence of these four pitches (A, G, D, and C) in the opening of the first and the last movements enhances the association between these movements; this supports a reading of the final movement as a recollection of the first.

Some examples of the emphasis on these pitches in the finale are listed below:

1) C and D are emphasized at mm. 48–49 which demarcate the unified theme in octaves in the Dark Green Section, which I interpreted as the presentation of the “restored part of the memory,” in which the floating fragmentary thematic motives are somewhat united. In like manner, G and A are emphasized at mm. 99–100 when the same theme recurs in C major.
EXAMPLE 2.19 Schumann, *Fantasie*, op. 17, *Finale*, mm. 48–49 and mm. 99–100.

2) C and D, and G and A, also appear with an emphasis at m. 60 and at m. 111, which demarcate the climactic Red Sections in Rotations A and A' respectively. The melody, which is doubled at the octave, is accompanied by the dominant pedal, C (in Rotation A) and G (in Rotation A'). The accent markings that emphasize the melody appear only in these two measures throughout the finale except for the coda. (The significance of accent markings in the coda shall be discussed later.)
Example 2.20 Schumann, *Fantasie*, op. 17, *Finale*, m. 60 and m. 111.

The following analysis suggests that these four pitches are not only significant as motivic materials, but also serve to outline the harmonic structure of the finale.


The finale begins with a harmonic progression of \( I \rightarrow VI\# \rightarrow IV \rightarrow (II_{5}^{6}) \rightarrow V^{7} \). The leap from C to A in the bass is supported by a temporary A major triad at m. 2 as part of the \( I \rightarrow VI\# \) progression; at this point, C is chromatically altered to C#. Consecutively, the pitch alteration from G to G# occurs due to the emergence of the E major triad at m. 10, which exhibits the harmonic progression of \( I \rightarrow III\# \) at mm. 1–10. Thus, the chromatic pitches of C and G, C# and
G#, are introduced in the opening section (Example 2.3). The A major triad at m. 2 reappears at m. 71, the final measure of Rotation A; this time, the local harmonic function has changed from VI# in C major to III# in F major due to the modulation which occurred at m. 44.

This reveals that the A major triad and the E major triad presented in the opening section contribute to the delineation of the double trajectory of harmonic progression (Figure 2.13):

1) The first and the last chords of Rotation A, the C major triad and the A major triad, frame the harmonic progression in Rotation A: I→VI#. This coincides with the harmonic progression at mm. 1–2.

2) The harmonic progression of I→III# in C major, elucidated at mm. 1–10, recurs in F major at mm. 68–71. Furthermore, the E major and the A major triads at mm. 10 and 71 (both indicated with a fermata marking) illuminate the hidden link, that is, an indirect dominant-tonic relationship; this indicates another trajectory of the E major triad, in addition to the course that leads to a rising major-third cycle (C: III#→♭VI); thus a promissory chord secretly resolves to an A major chord.

**Figure 2.13 Illustration of the harmonic progression in Rotation A (mm. 1–71).**
In addition to the E major triad and the A major triad, the major triads of Ab andDb, which take part of rising major-third cycles in the key of C and F, illuminate chromatic/enharmonic pitches in C major, that is, G#/Ab and C#/Db (Figure 2.14); it reveals that these chromatic pitches bind each set of the four pitches, C, D, G, and A (Figure 2.15).

**Figure 2.14** The chromatic pitch relationships of the chords in the rising major-third cycles.

<table>
<thead>
<tr>
<th>m.</th>
<th>1</th>
<th>10</th>
<th>31</th>
<th>36</th>
<th>68</th>
<th>71</th>
<th>87</th>
<th>93</th>
</tr>
</thead>
<tbody>
<tr>
<td>C</td>
<td>B</td>
<td>C</td>
<td>C</td>
<td></td>
<td>F</td>
<td>E</td>
<td>F</td>
<td>F</td>
</tr>
<tr>
<td>G</td>
<td>G#</td>
<td>Ab</td>
<td>G</td>
<td></td>
<td>C</td>
<td>C#</td>
<td>Db</td>
<td>C</td>
</tr>
<tr>
<td>E</td>
<td>E</td>
<td>Eb</td>
<td>E</td>
<td></td>
<td>A</td>
<td>A</td>
<td>Ab</td>
<td>A</td>
</tr>
<tr>
<td>C:</td>
<td>I</td>
<td>#III</td>
<td>bVI</td>
<td>I</td>
<td>F:</td>
<td>I</td>
<td>#III</td>
<td>bVI</td>
</tr>
</tbody>
</table>

**Figure 2.15** Illustration of the pitch associations of C, D, G, A, C#, G#, Db and Ab.
The employment of C, D, G, and A, and their chromatic/enharmonic pitches, C#/Db and G#/A♭ thus bring together seemingly not closely-related harmonic occurrences.

2.13 The coda as a conclusion of the finale.

The previous discussion revealed that the opening section contains some essential elements which designate the important pitch/motivic relationships and the tonal design of the finale. In a similar manner, these essential elements are highlighted in the coda. At mm. 130–134, we find accent markings on the first note of each arpeggiated chord, which emphasizes the chord progression of (I)→VI#→♭II→V7→I with the bass line of (C)-A-Db-G-C (Example 2.21). The harmonic analysis (Figure 2.16) shows that this chord progression emphasized in the coda outlines the overall harmonic structure.

Example 2.21 Schumann, Fantasie, op. 17, Finale, mm. 129–141 (a part of the coda).
This suggests that the coda is not a mere addition for the sake of decorating the conclusion of the work, but is an important summary that highlights essential elements presented in the work. Moreover, the correspondence of the resembling chord progressions at the beginning and the ending of the finale brings coherence to the entire finale.

The chord progression in the coda, $\text{VI}\# \rightarrow \text{bII} \rightarrow V_7 \rightarrow I$ in C major brings the story back to the present moment. At the end of the “story of recollection,” a protagonist comes back to the present from traveling in the past in his mind and by withdrawing from the process of recollection; however, the present time has also elapsed during the memory. The present for the protagonist at this point turns to be therefore something familiar yet somewhat foreign.

2.14 Conclusion–Epilogue: the secret tone of op. 17.

In the original edition, the theme presented at the end of the first movement (known as the allusion of Beethoven’s *An die Ferne Geliebte*) reappears at the end of the finale.
EXAMPLE 2.22 Schumann, *Fantasie*, op. 17, the first movement, mm. 295–300.

The part that repeats this ending of the first movement vanished later when he revised the work.

Rosen disapproves of the change as follows:

Schumann’s original ending turned this brief moment of melody into a complete theme, and one that was familiar to us from the opening movement. Before publication he opted for prudence, struck out this poetic final page, and added three bars of perfunctory arpeggios in its place. If an editor had made this change, we would call him a vandal.¹⁶⁵

I would like to, however, offer another perspective by suggesting that the revised version of the ending of the finale does not necessarily weaken the special associations between the first and the last movement, nor the lyricism of the finale; instead, the revised ending rather brings out the recurring characteristic of the finale, which was achieved by the repetition of fragmentary melodies, the parallel form, and the resembling chord progressions; these characteristics reinforce the “story of recollection.”

Regardless of the fact that op. 17 captures Schumann’s great admiration for Beethoven’s work, and was eventually dedicated to Liszt, the work still deeply reflects Schumann’s personal relationship with Clara at that time. Schumann described the first movement of op. 17 as “the

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most passionate thing I have ever written—a deep lament for Clara,” and asked Clara in a letter on June 9:

Write and tell me what you think to yourself in the first movement of the Fantasy. Does it also conjure up many pictures for you? I like the melody [bars 65-7 are notated] best of all. Are not you really the ‘note’ in the motto? I almost believe you are.

The ‘motto’ that Schumann mentioned in the letter is a quotation from Friedrich Schlegel’s poem, which Schumann attached to the opening page of the composition:

*Durch alle Töne Tönet*  
*Im bunten Erdentraum*  
*Ein Leiser Ton Gezogen*  
*Für den der Heimlich lauschet.*

Through all the notes  
In earth’s many-coloured dream  
There sounds one soft long-drawn note  
For the one who listens in secret.

There have been substantial discussions among scholars who try to define the “secret tone” in op. 17, yet it remains a mystery. Rosen, for example, claims that the “secret tone” is the finale theme, which comes to surface at the end of the first movement (Example 2.22).

It is typical of Schumann’s musical thinking to construct this complex network of references outside his music—to quote Beethoven, and then to have Beethoven’s distant beloved refer to Clara. But this should give a clue to the nature of Schumann’s achievement. It is not Schumann’s music that refers to Clara but Beethoven’s melody, the “secret tone.” Above all, at the end of Schumann’s first movement, the quotation from Beethoven appears not as reminiscence of another composer, but as at once the source and the solution of everything in the music–up to that final page.

This is also one of the reasons why Charles Rosen claims that the significance of the theme’s recapitulation, which appears at the end of the finale in the original edition, makes a clearer association of the first and the last movement and unites the work as a whole.

The theme which appears at the end of the first movement, whether it is from Beethoven or not, holds a special place in the composition; a sudden change of the tempo, the insertion of *Adagio*, increases the weight of this part of the work. Furthermore, this final melody in the first

167 Marston, *Fantasie*, 10. For the musical example of mm. 65–67 of the first movement, see Example 2.23.  
168 Ibid., 10.  
169 Rosen, Romantic Generation, 103.
movement at mm. 297–298 elucidates four pitches A, G, D, and C by including the leap from A-C and the pairs of A and G, and D and C that cover the scale degree 6-5 and 2-1 respectively (Figure 2.11).

Interestingly, this employment of the pitches of A, G, D, and C is also found at mm. 65–67, which Schumann mentioned as “his favorite” in the letter. The pitches appear as sustained D and C in the middle voice, and A and G in the melody, which are a part of the thematic motif of the opening melody (Example 2.23).

Example 2.23 Schumann, Fantasie, op. 17, the first movement, mm. 65–67.

This confirms the integration of the pitches A, G, D, and C in the various melodies, and suggests that the “secret tone” is not a fixed melody but some specific pitch, which can transform into the varied melodies. From this point of view, the revised ending of the finale can advance another way of searching for the “secret tone” in the composition.

That Schumann once titled the third movement Constellation, renamed from its original title of Palms, also stimulates our imagination to search for his intention in the finale. The title Constellation can make us conceptualize these primary pitches as the stars, which illuminate the thematic motifs and the harmonic structure in the finale. Finally, I would like to suggest that “Ein

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170 For a detailed history of the process of changing the title of the movements, refer to Marston, Fantasie, 23; Marston, “Schumann’s ‘Unsung Voice,’” 229.
Leiser Ton Gezogen (there sounds one soft long-drawn note),” can be the note A, which penetrates throughout the Fantasie, that is, “Durch alle Töne Tönet Im bunten Erdentrau (Through all the notes).” The significance of A, demonstrating its submediant function in the C major scale, can be especially prominent with its pairing with G, which appears in the opening measures of the first and the last movement. A first appears as the three repeated notes in the opening melody in the first movement followed by G.

EXAMPLE 2.24 Schumann, Fantasie, op. 17, the first movement, mm. 1–3.

A also becomes the opening pitch in the top voice in the final movement at m. 4, which is again followed by G.171

EXAMPLE 2.25 Schumann, Fantasie, op. 17, Finale, m. 4.

In the coda, the pairs of A and G are emphasized with accents in the top voice at mm. 133 and 136; they are also emphasized in the bass. Finally, A resolves to C at the end of the piece, where

171 A similar discussion can be found in Jammer, “Robert Schumann's Fantasie in C Major,” 195.
the C major chord is repeated three times, notifying the imminent closure of the piece. These three repeated C notes at the final measures can be considered the response to the first three repeated A notes in the opening. As previously discussed, the significance of the leap between C and A is also pointed out in the harmonic analysis (i.e., C: I→VI♯).

**Example 2.26 Schumann, Fantasie, op. 17, Finale, mm. 132–142.**

In the final plagal cadence, Schumann secretly re-traces A-G in the middle voice, embedding the chromatic pitch A♭ in between. Jammer concludes his thesis claiming that the single note A♭ seems to be the “secret tone.” A♭ is indeed distinctively present throughout the entire work and constantly disrupts the 6-5 (A-G) relationship in the thematic motifs by causing a pitch conflict, as seen in the *dissonant prolongation* at mm. 15–29.

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172 See in 2.12 in this chapter.
173 Jammer, “Robert Schumann’s Fantasie in C Major,” 217: “Among all the notes in the Fantasie, a single note, A♭, seems to be drawn for a secret listener. Perhaps this note is the *Ton* in the Schlegel motive, and therefore a symbol for Clara as well.”
174 See in this 2.5 in this chapter.
In the article “Did Schumann Use Ciphers?” Sams provides one of the melodic examples in Schumann’s compositions, which he claims represents Clara’s name thus: C-B(♭)-A-G(#) -A. This melody includes the chromatic motion of A and G#/A♭.

Figure 2.17 The example of melody which transcribes the name of Clara.

\[ (=A_b) \]
\[ C-B(♭)-A-G(#) -A \]
\[ C \quad (L) \quad A \quad (R) \quad A \]

The reason that I propose the idea of A as a secret tone instead of A♭ lies in the close association of C and A in the composition, which is manifested in the harmonic structure, in addition to its motivic significance when paired with G. The long held A in the bass at the turning point from Rotation A to Rotation A’ at mm. 71–72 also supports the reverberation of A carried through the movement. Thus A influences both the thematic and harmonic unity of the composition. However, my purpose in this chapter is not to concretely assert the identity of the true “secret tone”; rather, I promote these ideas in order to give rise to curiosity, to wonder. What makes it fascinating is that Schumann’s compositional manner often puzzles us and makes us search for an answer. The greatness of the work exists in the multi-layered construction itself,

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175 Sams, “Did Schumann Use Ciphers?” 584.
full of hidden connections, which can only be disclosed through the journey of searching for the “secret tone.”

Berthold Hoeckner in his discussion of the first movement searches for “the Fantasie’s secretly intertextual tone,” while examining Schumann’s adaptation of Jean Paul’s concepts of Witz, as well as Scharfsinn and Tiefsinn, in his music:

Jean Paul defined Witz as “the ability to discover a distant similarity,” but he saw a contradiction in this traditional definition: if “distant” denotes “dissimilar,” Witz would detect a seemingly impossible “dissimilar similarity.” To resolve the dilemma, Jean Paul drew on the distinction between wit and judgment, established in eighteenth-century aesthetics by John Locke and Edmund Burke. For Jean Paul, then, Witz “discovers the relation of similarity … hidden beneath a greater dissimilarity,” while judgment, which he called acumen (Scharfsinn), “discovers the relation of dissimilarity … hidden beneath a greater similarity.” Traditionally, wit (establishing resemblance) was regarded as creative and poetic, and judgment (establishing difference), as rational and prosaic. But Jean Paul’s ideal was the combination of the two, called “profundity” (Tiefsinn), which “seeks similarity and unity of everything that wit connected by perception and that judgment separated by reason.” Profundity thus collapses the difference between wit and judgment (and the distance between similarity and dissimilarity) to arrive at the “highest” level of “knowledge” and “being”: the identity of subject and object. Schumann seems to have had this profundity in mind when he referred in his diary to Jean Paul’s “profound, brilliant wit” (tiefen, geistreichen Witz).

Although Hoeckner does not specifically refer to the finale in the article, the movement nonetheless manifests Schumann’s application of these aesthetic concepts. Witz, for example, helps discover “a distant similarity” of the harmonic progression between the opening four measures and the coda, which at first sight seem to be separate additions to the main body of the parallel form. Witz also makes us discover other resembling chord progressions, which tie together this otherwise drifting movement. The comparison between #1a and #1b reveals the coincidence of pitches that exist in the different harmonies, inviting the feeling of uncanny.

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176 Hoeckner, “Romantic Distance,” 120.
177 Ibid., 120.
A spirit of Sharfsinn (establishment of the difference hidden beneath the similarity), on the other hand, helps us distinguish the different distribution of measures between #2a and #2b. Missing measures at #2b deform the parallel route of the two rotations; the differentiation made in these two resembling sections creates a different path between the two rotations. Different psychological responses to the same memory in different moments are reflected in these two paths. In the same manner, the different tempo markings in the corresponding sections between #3a and #3b illuminates the manipulation of time, which reflects the subtle emotional changes that are caused by the passage of time.

Finally, the common pitches, A, G, D, and C, and their chromatic/enharmonic pitches G#/A♭ and C#/D♭, become the foundation of the various themes and harmonic design of the finale; the suspension of A followed by G hints at “a secret tone,” which is carried throughout the entire piece. It can be said that this is the manifestation of Tiefsinn—“unity of everything that wit connected by perception and that judgment separated by reason.”

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178 Ibid., 120.
CHAPTER 3

Finale as Whimsical Biography—Chromatic Transformations, Florestan, and Eusebius in the Opus 11 Finale

3.1 Overall form and the distinctive feature of the finale of op. 11.

Like the finales of Schumann’s other piano sonatas, the finale of op. 11 features parallel form. In published analyses, the form of the finale of op. 11 is characterized as: “a rondo with some features characteristic of sonata form,”¹⁷⁹ “a blend of sonata and rondo principles,”¹⁸⁰ or a “sonata-rondo without development.”¹⁸¹ The rondo form is expressed by the repetition of the principal theme, which is indicated in Orange in the Color Diagram. The principal theme repeats five times in total in different keys. Some of the characteristics of sonata form are found in the binary form, which Richter calls “exposition-recapitulation duality,”¹⁸² and in the employment of the substantial secondary theme in the contrasting key, which is indicated in Light Green and Dark Green in the Color Diagram. In addition, Light Brown and Dark Brown indicate the sections that share similar transitional materials. Additional markings on the color sections (asterisk markings, dotted outlines, diagonal lines, and a star symbol) indicate the different harmonic relationships between the sections that share the same themes/transitions (Figure 3.1).

In the finale of op. 11, there are some characteristics that are in common with the finales of op. 14 and op. 17:

1) The tonic key is re-established at the recapitulation of the principal theme at the beginning of Rotation A'; this characteristic is shared with the finale of op. 14.

¹⁸² Richter, “Schumannian déjà vu,” 305.
2) The note change at the first transitional section in Rotation A' shifts the intervalllic relationship between the two rotations. After the note change at #1b in Rotation A', the following thematic and transitional sections are moved down a minor third; this characteristic is shared with the finale of op. 14, although in the case of op. 14, the following sections are moved up a perfect fifth after the note change.\footnote{183}

3) The thematic modifications made at #2b, #4b, and #5b in Rotation A' further shift the intervalllic relationship between the two rotations; this characteristic is shared with the finale of op. 17.\footnote{184}

\begin{figure}
\centering
\includegraphics[width=\textwidth]{figure3.1}
\caption{Schumann, op. 11, \textit{Finale. Allegro un poco maestoso}, a miniature of the Color Diagram 3 (Appendix 3).}
\end{figure}

In addition, there are some features that are especially prominent in the finale of op. 11; these will be the main subjects of discussion in this chapter. The first and most palpable example is found by comparing #2a and #2b. The Color Diagram shows that the Pink Section with an

\footnote{183}{See 1.2 (The comparison of #1a and #1b) in Chapter 1.}
\footnote{184}{See 2.7 (The comparison of #2a and #2b) in Chapter 2.}
asterisk marking in Rotation A does not recur in Rotation A'; instead, the Light Brown Section and the partial Light Green Section in Rotation A reappear at mm. 254–266 in Rotation A'.

While Richter trivializes this as “a few minor changes” and comments that “Schumann [otherwise] makes a ‘word-for-word’ repetition,”¹⁸⁵ the replacement of the thematic sections in Rotation A' should not be neglected; I would rather suggest that this exception, which breaks the repeating pattern of the thematic and transitional sections, is the key to understanding the cunning plot of Schumann’s finale. The manuscript study by Roesner reveals that the earlier version of the finale did not have this break in the thematic parallelism between the two rotations. Furthermore, the parallel design, both formally and harmonically, was upheld more strictly in the earlier version of the finale.¹⁸⁶ Roesner acknowledges the later (published) version as “a more sophisticated and innovative grasp of the overall formal plan of the movement,”¹⁸⁷ and that “[the revisions] apparently were made in order to reinforce the structural role of the tritone whole”;¹⁸⁸ yet she does not seem to appreciate the consequence of this change:

This procedure of alternation is well suited to a rondo structure where the thematic material is traditionally of a segmented and additive nature, but it is revealing that revisions of this type are executed indiscriminately on rondos and sonata-form movements alike.

The technique reflects Schumann’s early, mosaic-like approach to composition. Different ideas follow so closely upon one another that they can easily be changed around, added, abridged, or omitted with minimal effect on the overall form.¹⁸⁹

Roesner asserts that Schumann’s revisions are made rather arbitrarily and without consideration of the structural integrity of the whole, thus having a “minimal effect” on the overall form.

¹⁸⁶ A detailed discussion on the differences between the first version and the second version can be found in Roesner, “Studies in Schumann Manuscripts,” 328–343.
¹⁸⁷ Ibid., 341.
¹⁸⁸ Ibid., 337 [Bracket mine].
¹⁸⁹ Ibid., 342 [Emphasis mine].
However, this thematic substitution at mm. 254–266 has a great effect on the harmonic construction, which completely reworks the tonal design of Rotation A’ from its previous version.

Furthermore, there is an additional measure at the Light Blue Section with diagonal lines in Rotation A’, which I highlighted in Purple in the Color Diagram. This additional measure in this section leads to B♭ minor in the following section (i.e., Dark Blue Section with a star symbol), instead of the expected C minor. This one additional measure, which Rosen describes as “almost imperceptible,”190 again results in a shift of the intervallic relationship between the two rotations. A study of the deformation of the parallel form shall therefore elucidate the distinctive tonal design of the finale.

### 3.2 The tonal design (the octatonic system and the minor third progressions).

Roesner points out that the unusual tonal design of the finale is based on a series of tritone (augmented 4th/diminished 5th) relationships (e.g., the modulation from A minor to E♭ major, or from E♭ minor to A major), stating that:

Schumann’s extensive use of the tritone as a structural principle in an abstract and non-programmatic work is unprecedented at this time (1836) in the 19th century.191

Moreover, Longyear perceives A major, which closes the principal rondo theme, as “[the finale’s] real opening key”192 instead of F# minor, which opens the piece, and remarks that the tonality of E♭ major or minor is “unusual as a subordinate tonality in either F# or A, [and] is important in

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190 Rosen, Sonata Forms, 382.
the finale.” Likewise, Rosen mentions that the key of the principal rondo theme is “both F# minor and A major” (and thus “one of the main anomalies of the sonata”), concluding that the key of the rondo theme is “in fact, much more in A major.” He then points to the radical modulation between A major and Eb minor, and criticizes this kind of tonal unpredictability in the work of Schumann by comparing him with other composers of the time such as Beethoven or Schubert, concluding thus:

It is impossible to read into them the kind of close harmonic relationship between the second and third keys that prevailed in the examples from Beethoven and Schubert. For Schumann, it is not an opposition or polarization that defines his exposition; what counts for him is creating a sense of distance.

In response to this kind of criticism, which perceives Schumann’s tonal procedure as creating “tonal distance,” I would like to put forward the close relationship between these seemingly distant keys employed in the finale. The analysis shall reveal that the employment of F# minor (or, A major) and Eb major, which are perceived as distant keys, contributes to uniting the keys that are used in the finale.

Whereas the tonal design of the finale of op. 17 features the rising major-third cycles of the major triads build on the hexatonic scale, the tonal design of the finale of op. 11 is based on the octatonic system (the set of major and minor triads built on the octatonic scale). Nine keys in total are clearly established in the finale of op. 11. The major and minor triads built upon the octatonic scale (F# major/minor, A major/minor, C major/minor, E♭ major/minor) cover the

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193 Ibid., 27 [Bracket mine].
194 Rosen, Sonata Forms, 380.
195 Ibid., 369 [Emphasis mine]. Brown, while acknowledging the finale of op. 11 as the precedent for Schumann’s later large-form works, which were written in refrained-based parallel forms, still supports Rosen’s opinion that the tonal design of the finale is an attempt to create “tonal distance,” stating: “Moreover, the means by which such distance occurs also cloud the movement’s tonal focus. Surprisingly, the opening theme itself compromises tonic identity […]” See Julie Hedges Brown, “‘A Higher Echo of the Past’: Schumann’s 1842 Chamber Music and the Rethinking of Classical Form” (Ph.D. diss., Yale University, 2000), 82–83.
196 This analytical tool is used for the parsimonious voice leading of the finale of op. 17 (see Chapter 2).
tonic chord of all the keys that appear in the finale except for B♭ minor, which appears only once near the end of Rotation A'. The significance of this B♭ minor shall be discussed later in this chapter.

Figure 3.2 Illustration of the Octatonic System.

The overall tonal design is manifested in the minor third progression (i→III), which recalls the major third progressions (I→III#) found in the finale of op. 17; however, the underlying structure is quite different. While the finale of op. 17 closes with its original key in C major, in op. 11, the finale closes with F# major, that is, the parallel major of the original key F# minor. F# major is brought about by the previous D# minor (Eb minor) with a minor third
progression.\textsuperscript{197} The enharmonic pitches, $E_b$ and $D\#$, referred to as a \textit{structural accidental} by Jammer, link $E_b$ minor to $D\#$ minor at the final appearance of the principal theme which then closes in $F\#$ major.\textsuperscript{198}

The following discussions based on these characteristics present the multi-layered tonal design of the movement; this study shall elucidate the hidden connections between each key and its particular function in the finale. This underlines the overall coherence in the entire movement that includes some radical modulations and “mosaic-like” arrangement of the themes and transitions.

\subsection*{3.3 The arrangement of keys.}

As explained before, the keys used in the finale \textit{except for $B_b$ minor}, are built upon the octatonic system. These eight keys, $F\#$ major/minor, $A$ major/minor, $C$ major/minor, and $E_b$ major/minor, can be smoothly linked by ordering them alternately according to their parallel (P) and relative (R) relationships.

The exceptional $B_b$ minor, which is located at m. 351 in Rotation A’ between the preceding $E_b$ major and the following $E_b$ minor sections, buttresses the structural significance of $E_b$ major and $E_b$ minor in the finale. The $B_b$ minor triad is transformed to its parallel $B_b$ major triad, which then becomes the dominant of the following $E_b$ minor; this is then followed by its

\begin{footnotesize}
\footnotesize
\textsuperscript{197} Richter describes this $i \rightarrow III$ progression as “a substitution of the tonic-dominant relationship in the traditional tonal scheme.” Richter, “Schumannian déjà vu,” 314.

\textsuperscript{198} Jeffery Michael Jammer, “Robert Schumann’s Fantasie in C Major, opus 17: A historical and analytical study,” (DAM diss., Manhattan School of Music, 1996), 95: “In addition to thematic transformation and motivic development, a composer can unify a composition through the extensive reiteration of a chromatic pitch outside the diatonic key structure so that this pitch becomes a hierarchical element rather than a decorative one. In order to be hierarchical, the chromatic pitch must assume more than a transitional logic; it must become a fixed element.” Further explanation of this concept is found in Jammer, “Robert Schumann's Fantasie in C Major,” 80–81.
\end{footnotesize}
enharmonic transformation to D# minor. This D# minor is eventually linked to F# major (See Color Diagram 3).

**Figure 3.3** Illustration of the relationships of F# major/minor, A major/minor, C major/minor and D# major/minor on the octatonic system.

This suggests that the transformation from Eb major to Eb minor parallels the overall transformation of the movement as a whole—that is, the *directional tonality* that moves from F# minor to F# major. The term *directional tonality* can be applied to works that “begin and end in different, but equally plausible keys […] thereby associating two or more keys in decentralized complexes.”

The employment of this directional tonality is one of the distinctive features of

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the movement. The “directional tonal motion”\textsuperscript{200} is at first initiated by the tonal design of the principal theme that begins with F# minor and ends with A major. The series of keys used in the principal rondo theme (repeated five times) eventually links F# minor to F# major at the end of the finale, which completes the parallel transformation from F# minor to F# major. The keys of these principal rondo themes (indicated in Orange in the Color Diagram) are arranged as follows: F# minor$\rightarrow$ A major, C minor$\rightarrow$ Eb major, F# minor$\rightarrow$ A major, A minor$\rightarrow$ C major, and at last, D# minor$\rightarrow$ F# major; this elucidates the minor third progressions which outline a diminished-seventh chord.\textsuperscript{201}

**Figure 3.4** The arrangement of the keys used in the rondo principle theme of the finale of op. 11.

<table>
<thead>
<tr>
<th>ROTATION A</th>
<th>ROTATION A'</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Rondo Theme</strong></td>
<td>mm 1-16</td>
</tr>
<tr>
<td>F# minor$\rightarrow$ A major</td>
<td>m3</td>
</tr>
<tr>
<td>C minor$\rightarrow$ Eb major</td>
<td></td>
</tr>
<tr>
<td>F# minor$\rightarrow$ A major</td>
<td></td>
</tr>
<tr>
<td>A minor$\rightarrow$ C major</td>
<td></td>
</tr>
<tr>
<td>D# minor$\rightarrow$ F# major</td>
<td></td>
</tr>
</tbody>
</table>

Figure 3.4 clarifies the structural contribution of B♭ minor, that the establishment of the B♭ minor tonic at m. 351 and its parallel transformation to the B♭ major chord through m. 380 lead to Eb minor (i.e., D# minor) at the final recapitulation of the principal rondo theme at m. 381.

\textsuperscript{200} The term is used in Wadsworth’s article. See Wadsworth, “Directional Tonality,” 15.
\textsuperscript{201} Jammer points out the tritone relationship of the repeated rondo themes based on Charles Rosen’s analysis. See Jammer, “Robert Schumann's Fantasie in C Major,” 101.
The significance of B♭ minor in the finale can also be explained by its chromatic relation to the other keys, which belong to the octatonic system, such as A major, or F# major. On the one hand, the relationship between B♭ minor and A major may be explained as a result of the “slide” function, that is, “the transformation of keys [arrived at] by keeping the third of a triad while changing its mode”; the term is introduced in Lewin’s *Generalized Musical Intervals and Transformations*. According to Lewin, this transformation is described as L-P-R (Figure 3.5).

**Figure 3.5 Illustration of the Slide relationship between A major and B♭ minor.**

On the other hand, the relationship between B♭ minor and F# major is described as L (Leading-tone exchange), which occurs by moving the fifth of the B♭ minor triad up by a semitone. These examples exhibit the chromatic relationship between B♭ minor and other keys, which elucidates the chromatic relationship between the two seemingly “distant” keys.

In the finale of op. 11, Schumann frequently employs the chromatic transformation of chords; therefore the application of Neo-Riemannian theory aids in the comprehension of Schumann’s harmonic procedure and the discovery of the hidden relationships between the keys, which are seemingly “distant.”

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3.4 The comparison of #1a and #1b.

I shall now compare #1a and #1b, which include the Pink Sections of Rotations A and A'; they are the first transitional sections after the principal theme. The differences are found in the last measure of the sections, at m. 24 in Rotation A (#1a) and at m. 213 in Rotation A' (#1b).

1) At #1a, the B♭ (the flattened supertonic of A minor) with a forte marking is repeated until the final measure of the Pink Section. The B♭ then transforms to the dominant of E♭ major in the following section, where the pedal note B♭ is pronounced in the bass.

2) At #1b, in contrast, the B♭ in the top voice switches to B♮ at m. 213, the final measure of the Pink Section. The forte marking is eliminated at the last B♭ at m. 212; this anticipates the note change in the following measure. The B♮ becomes the leading note in the following section by being a part of the dominant chord of C major; thus A minor leads to C major.

The modulation from A minor to C major at #1b creates the shift in the intervallic relationship between the two rotations. The distance between the two rotations becomes a minor third down at this point (i.e., E♭ major at m. 24, C major at m. 213), whereas the sections were previously in the key of A minor in both rotations.

A similar manipulation is found in the finale of op. 14. In op. 14, the three tied D♭ notes with accent markings in Rotation A are altered to the three tied A♭ notes with accent markings in Rotation A', which are located at the first transitional section after the recapitulation of the principal theme. This note change plays a pivotal role in shifting the intervallic relationship between the two rotations. Likewise, these repeated B♭ notes with forte markings at mm. 209–
212 at #1b call attention to the following shift in Rotation A'. Moreover, this B♭ plays an important role in the tonal plot of Schumann’s finale.

**Example 3.1** Schumann, op. 11, *Finale. Allegro un poco maestoso*. Comparison of #1a (mm. 12–28) and #1b (mm. 200–214).

#1a:

#1b:
In Rotation A, B♭ is continuously held as a pedal note in the following Light Brown and the Dark Brown Sections; in between these two sections, there are six measures, labeled the Light Green Section (mm. 32–38), which consist of legato melodies in four voices that briefly establish the Eb major tonic at m. 34 (Example 3.2).

Example 3.2 Schumann, op. 11, *Finale. Allegro un poco maestoso*, mm. 29–55 (Rotation A).
The root position of the Eb major tonic chord appears only once at m. 34 in these sections, except at m. 44, where the appoggiatura on Ab in the top voice somewhat weakens the Eb tonic chord. The Bb in the bass eventually transforms to its enharmonic A# at m. 49; this leads to G, by passing through B⁰, which outlines the dominant of C minor. Thus, it can be said that Bb is a pronounced presence during the entire Eb major section until it leads to C minor.

The Light Green Section that is between the Light Brown and the Dark Brown Sections can be understood as a form of interruption, in which the secondary theme is briefly introduced; the Light Brown and the Dark Brown Sections are nicely connected by the pedal note Bb by setting aside this Light Green Section.

The return of the principal theme in C minor (the Orange Section with an asterisk marking) at m. 50 closes in its relative major, Eb, eventually at m. 65. Thus the voice leading in the bass at mm. 1–65 can be elucidated as F#-A-Bb/A#-B⁰-G-C-Eb; the reduction of this bass line features the minor third progressions: F#→A→C→Eb (Figure 3.6).

In Rotation A’, on the other hand, the repeated Bb at m. 212 moves in two different directions at the following measure: Bb in the top voice reaches C passing B⁰, while Bb in the bass steps down to G at m. 214 (Example 3.1: #1b). The pedal note G eventually reaches A at m. 239 by passing through G# and E, which outline the dominant of A minor in the recurring principle theme, which closes in C major at m. 246/254 (Example 3.3).
The voice leading in the bass at mm. 190–254 (i.e., the first half of Rotation A’) can be therefore elucidated as: F#-A-B♭-G-G♯-E-A-G-C. Interestingly, the reduction of this bass line also exhibits the minor third progressions: F#→A→C (Figure 3.6). This shows the uncanny coincidence of the voice-leading in the bass between the two rotations, both of which feature rising minor-third progressions. The overall voice-leading analysis therefore shows the
parallelism of the underlying structure between the two rotations, although the differentiation between #1a and #1b initiates different progressions in these limited areas.

**Figure 3.6** Schumann, op. 11, *Finale. Allegro un poco maestoso*, harmonic analysis.

**Rotation A:**

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Rotation A:

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<thead>
<tr>
<th></th>
<th>1</th>
<th>16</th>
<th>20</th>
<th>23</th>
<th>34</th>
<th>38</th>
<th>50</th>
<th>66</th>
<th>69</th>
<th>73</th>
<th>74</th>
<th>84</th>
<th>85</th>
<th>106</th>
<th>134</th>
<th>160</th>
<th>177</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eb/eb</td>
<td>V I</td>
<td>V</td>
<td>V7 I</td>
<td>iv</td>
<td></td>
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<tr>
<td>C/C</td>
<td>V6 7 i</td>
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</table>

**Key:**

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Bass: F# A D B E Bb C G C (G) (E) (G) (D#) (E) (D#) F# Bb C# (pedal)

**Rotation A':**

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Rotation A':

|   | 100 | 202 | 211 | 212 | 213 | 223 | 224 | 239 | 254 | 255 | 264 | 274 | 275 | 296 | 324 | 351 | 384 | 388 |
|---|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|
| Eb/eb | V5 | I | V | V7 I | V7 I |
| C/C | V6 3 i |

**Key:**

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**Flashback**

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Bass: F# A D B E Bb C G C (E) (G) (D#) (E) (D#) F# Bb C# (pedal) (D#) (E) (D#) F#
3.5 The comparison of #2a and #2b.

The next comparison points out the deformation that breaks the thematic parallelism between the two rotations.

Example 3.4 Schumann, op. 11, Finale. Allegro un poco maestoso. Comparison of #2a (mm. 61–87) and #2b (mm. 249–263). Continued on the next page.
At #2a, after the principal theme that closes in Eb major (the Orange Section with an asterisk marking), the Pink Section with an asterisk marking appears in Eb minor at m. 66. In contrast, at #2b, after the principal theme that closes in C major (the Orange Section with dotted
outline), the Light Brown Section suddenly reappears, which is previously introduced at mm. 24–32 in Rotation A; this substitutes for the expected section (that should have been indicated as the Pink Section with dotted outline in the Color Diagram), which would have kept the thematic/harmonic parallelism between the two rotations. The abrupt appearance of this Light Brown Section is one of the surprising moments in the finale.

Considering that the substitution of this section did not occur in Schumann’s earlier version, I propose that the change may reflect a specific intention on the part of the composer that restructures the design of the finale. First, this thematic substitution influences the tonal design of the finale. According to Roesner, the parallelism of the two rotations was kept both thematically and tonally at the distance of a minor third in the earlier version.

Due to the substitution of the Light Brown Section in the published version, the pedal note B♭ is reasserted at m. 255 (Example 3.4: #2b). This B♭ at mm. 255–262 creates an indirect, but significant association with the previous B♭ at m. 212 in the bass, which is brought about by the repeated B♭ notes in the top voice at mm. 209–212 (Example 3.1: #1b).

At the same time, the establishment of the C major tonic at m. 254 and the establishment of the E♭ major tonic at m. 264 at the outside of the Light Brown Section articulate the minor third progression from C major to E♭ major. A progression of F♯→A→C→E♭ is thus elucidated in the bass line at mm. 190–264, which is caused by the thematic alternation at #2b; this coincides with the minor third progression highlighted in the bass line at mm. 1–65 in Rotation A (Figure 3.6).

The substitution of the Light Brown Section and the partial Light Green Section in Rotation A’ also promotes a reading of the movement as a unidirectional story. The narrative

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203 See Figure 7 in Roesner, “Studies in Schumann Manuscripts,” 330.
effect of this thematic substitution can be explained by comparing the sections to a *flashback* scene, that is, an insertion of a chronologically older scene that disrupts the stream of time in the story. Similarly, in the finale of op. 14, I proposed the idea of comparing the first emergence of the repeating resembling sections to a *flash-forward* scene by interpreting the section as a form of interruption.

Before going into the detailed discussion, I shall at first distinguish between the Light Brown Section at mm. 254–262 (i.e., a part of the *flashback* scene) and the Light Brown Section *with dotted outline* that appears earlier in Rotation A’ at m. 213–221. This Light Brown Section with dotted outline appears in C major, at a minor third below the original Light Brown Section in Eb major at mm. 24–32 in Rotation A (See the Color Diagram). Except for this difference, these two sections are completely identical. For this reason, I shall characterize this Light Brown Section with dotted outline at mm. 213–221 as a simple refrain of the original Light Brown Section, which one can compare to a “loop” made in a film. The loop refers to a fragment of film the ends of which are joined, which creates a scene that can be continuously replayed.

This suggests that the repetition of the same thematic and transitional sections at the beginning of Rotation A’, which I indicated with dotted outlines, can be compared to the *extension* of the scenes created by the repetition of the similar scenes in Rotation A (i.e., repeating similar events). I suggest that these repeating sections themselves do not very much contribute to the unfolding of the story, apart from its extension; however, this repetition helps to increase the surprise created by the later emergence of the *modified* Light Brown Section, that is, the flashback scene, which finally breaks the repeating pattern of the story. There are some noticeable manipulations found in this *flashback* section:
1) There is a tempo change, *un poco più lento*, indicated at m. 254. The sudden slowing down of the tempo can be compared to the effect of *slow-motion* in a flashback scene in a film; it can also be interpreted that the gap created between the different tempo setting can be an indication of inserting a scene from the outside of the main stream of the story.

2) In addition, the indication of *teneramente* (tenderly) articulates the sudden change of the atmosphere caused by the flash-back scene, which brings out a fine contrast with the previous section that is majestic and vigorous.

3) There is a note change in the harmony. The middle voice in the left hand chord at mm. 255–256 (Example 3.4:#2b) is switched to Ab from its original version B♭ at mm. 25–26 (Example 3.1: #1a). Due to this note change, the harmony at these measures is changed to VII₇₋₆ from V₄ ⁷₋₄₆ of Eb major. This note change is almost unnoticeable, since the other notes of the harmony, as well as the pedal note, remain the same; this gives rise to an uncanny effect.

The effect of this *uncanny* resemblance of the two chords can be linked to the discussion of *recurring memory* made in regard to my analysis of the finale of op. 17. In op. 17, the recurrence of the theme at the beginning of Rotation A' creates an uncanny situation due to the partial coincidence of pitches in the melody and harmony within a different mode from the original theme in Rotation A. The unexpected coincidence in the music evokes in the listener the uncanny feeling, that is, the feeling which you may experience when you recall the same memory with the realization of something new, which causes mixed feelings towards the memory.

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204 For the exploration of uncanny effects in music, see 2.6 in Chapter 2.
Similarly, the flashback scene, which is artificially inserted by breaking the thematic pattern established through the previous sections, is expressed by a sudden change of tempo and a subtle differentiation in the harmony; this brings a new meaning to the otherwise familiar scene. The unexpected emergence of the flashback section thus can trigger the uncanny emotion. In my view, the previous Light Brown Sections (appearing twice) should be executed rather strictly without much tempo fluctuation (as indicated by the direction a tempo), only to imprint the tune on the listener’s memory. This increases the surprising effect of the emergence of the flashback–Light Brown Section, when it appears with its tempo change (as indicated by the direction un poco più lento). This is a great example of Schumann’s narrative strategies, which make use of “alienated repetition” during the long duration of the piece.

3.6 The comparison of #3a and #3b–the invitation to C minor.

The following comparison of #3a and #3b elucidates a new development of the story disclosed in Rotation A’, which is triggered by the flashback–Light Brown Section. As clarified in the Color Diagram, the Light Green Section, in which the four-voice melody appears at mm. 32–38 in Rotation A (#3a), is originally followed by the Dark Brown Section.

At #3b, because of the displacement of the Light Brown Section, the following Light Green Section at mm. 262–266 is now directly connected to the Dark Green Section with diagonal lines at m. 267; the melody in the Light Green Section is thus cut in the middle and taken over by the following Dark Green Section with diagonal lines. This manipulation contributes to the plot development; the connection made at mm. 266–267 (Example 3.5: #3b) reveals the thematic association of the Light Green and the Dark Green Sections, which were at
first located separately in different keys in Rotation A, the Light Green Section in Eb major at mm. 32–38, and the Dark Green Section in A major at mm. 73–85.

EXAMPLE 3.5 Schumann, op. 11, *Finale. Allegro un poco maestoso*. Comparison of #3a (mm. 29–40) and #3b (mm. 260–276).

#3a:

#3b:
The newly arranged secondary theme at mm. 262–274 (#3b) also strengthens the significance of Eb major and C minor in the finale.

There are, however, subtle but significant differences between these two Light Green Sections at #3a and #3b:

1) A different register is employed at m. 35 and m. 265. The melody at m. 265 is moved one octave down from the same melody at m. 35.

2) The chord progression found in the last beat at m. 34 and the first beat at m. 35, V⁶ → VI⁷ of Eb major is switched to VII⁶ → I of C minor at mm. 264–265; the chromatic pitch alternation of B♭ and B♮ at m. 34 and m. 264 results in switching the mode from Eb major to C minor, while the pitches of the melody remain the same. The change made at mm. 264–265 (#3b) prepares for the upcoming C minor section.
3) There are differences between the last beats at mm. 36 and m. 266. The combination of the two notes, Eb and D, at m. 36 is switched to a single Db with an accent marking at m. 266, which changes the direction of these melodies that are otherwise identical.

4) Furthermore, while the melody at mm. 33–38 (#3a) is segmented by short slurs, the melody at mm. 263–266 (#3b) is smoothly connected by a long slur; this complements the fulfillment of the Eb major theme established at #3b.

In Rotation A’, the Eb major tonic established at m. 264 is followed by C minor in the consecutive Light Blue Section with diagonal lines; this section is demarcated by the dominant pedal G and consists of a number of beautiful sequences with a series of suspensions. Later in this section, the Eb major tonic is regained through mm. 310–324 along with the excitement built up by an increase in the dynamics and the tempo: crescendo→fortissimo, and molto accelerando→presto. The following comparison focuses on the ending of this Light Blue Section.

3.7 The comparison of #4a and #4b–The emergence of B♭ minor.

When the Light Blue Section recurs in Rotation A’ at a distance of a tritone, which I designated the Light Blue Section with diagonal lines, one extra measure is added to this section. The comparison of #4a and #4b shall explain the consequence of the additional measure (m. 342, indicated in Purple) at the Light Blue Section with diagonal lines (#4b).

At #4a, there are five measures that serve as sequential passages at mm. 148–152, which have a descending scale in the top voice from B to F#. In contrast, at #4b, the six measures serve as the corresponding sequential passages at m. 338–343, in which the top voice F is now brought down to B♭.
Example 3.6 Schumann, op. 11, *Finale. Allegro un poco maestoso*. Comparison of #4a (mm. 146–170) and #4b (mm. 351–356). Continued on the next page.

#4a:
Due to this extra measure, the following section is now in B♭ minor (i.e., Dark Blue Section with a star symbol), instead of the expected C minor, which would have been the key
without the additional measure at m. 342 in the previous section. Rosen expresses his puzzlement with this manipulation thus:

It is odd, indeed, for a large structure to depend on an insignificant detail, on one extra bar in a long sequence. 205

The employment of B♭ minor in this section creates another shift in the intervallic relationship between the two rotations, which is expanded from the distance of an augmented fourth to an augmented fifth. It is especially notable that B♭ minor is employed in the section, which is characterized by the chorale-like theme that emerges magically in complete serenity. The Dark Blue Section (also appearing at mm. 160–176 in Rotation A) is indicated with the expression markings of semplice and ad libitum. These characteristics bring out a great contrast with other parts of the finale that are more animated and full of restless passages; they also emphasize the significant appearance of B♭ minor in Rotation A’, the only key strongly featured in the finale that does not belong to the octatonic system.

At the transition to this B♭ minor section, at m. 345, m. 346, and m. 349, the B♭ minor chord \{B♭, Db, F\} and the A major (seventh) chord, enharmonically spelled as \{A, Db, F♭, (G)\} or \{B♭♭, Db, E♮, (G)\}, appear alternately; this makes the chromatic connection of B♭ minor and A major (one of the primary keys of the finale) explicit, by sharing Db in the middle, which is described with the term “slide.” 206 Moreover, these two chords carry the chromatic pitches B♭ and A in the bass line, which play important roles in the finale; the following discussion will clarify the significance of these pitches.

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205 Rosen, Sonata Forms, 381 [Emphasis mine].
206 See p. 149 in this chapter.
3.8 The comparison of #5a and #5b–The emergence of E♭ minor.

The previous analysis reveals that modifications made at #1b, #2b, and #4b change the intervallic relationship between the two rotations; in the same manner, the modification at #5b has an effect on the intervallic relationship between the two rotations. The difference between #5a and #5b is found in the last measures of the Dark Blue Sections, which are in F# minor (in Rotation A) and in B♭ minor (in Rotation A', indicated with a star symbol).

EXAMPLE 3.7 Schumann, op. 11, Finale. Allegro un poco maestoso. Comparison of #5a (mm. 171–194) and #5b (mm. 357–381). Continued on the next page.

#5a:
1) At #5a, B in the bass (with bII₆ of F# minor) at mm. 173–175 is followed by B# and C#, which becomes the dominant pedal of F# minor in the following Red Section. There is a tremolo on the pedal note C# and its lower neighbor B# at mm. 177–183, which eventually resolves to the tonic in the following section; thus F# minor in the Dark Blue Section is carried over to the following Red Section.

2) In contrast, at #5b, E♭ in the bass (with bII₆ of B♭ minor) at mm. 364–366 is followed by F in the next measure, thus a whole step up, instead of a half step. F then resolves
to the B♭ at m. 368, which becomes the dominant pedal of E♭ minor by creating a
tremolo with its lower neighbor A. It can be said that these two chromatic pitches, B♭
and A, are actually carried through the last measures (mm. 343–350) in the preceding
Light Blue Section with diagonal lines (a section before the Dark Blue Section with a
star symbol) where the bass notes B♭ and A alternate by featuring a B♭ minor chord
and an A major chord respectively (Example 3.6: #4b); B♭ and A are thus
continuously emphasized in these important transitional sections.

**Figure 3.8** Comparison of the harmonic progressions of #5a and #5b.

![Diagram](https://via.placeholder.com/150)

Due to this modification at #5b, the intervallic relationship between the two rotations
returns to its previous relationship of a minor third (Figure 3.8). Consecutively, the dominant
note B♭ at m. 368 resolves to the E♭ minor tonic at m. 381, which demarcates the final
recapitulation of the rondo theme (the Orange Section with dotted outline) by immediately
switching to its enharmonic D# minor. The transition from B♭ minor to E♭/D# minor in these
consecutive sections (mm. 351–381) therefore contains the parallel transformation of the B♭ minor chord to a B♭ major chord (Figure 3.9). Considering the fact that this B♭ minor, established at mm. 343–351, is originally brought about by the preceding E♭ major (established through mm. 310–324), it can be said that the chromatic transformation of B♭ minor to B♭ major is integrated into the modulation from E♭ major to E♭ minor. This harmonic progression therefore demonstrates a double layer of chromatic transformations of chords.

Figure 3.9 Illustration of the double layer of the parallel transformation, which involves the chromatic pitch of B♭/A.

Figure 3.9 elucidates the involvement of B♭ through the harmonic progression at mm 324–381; it clarifies that due to the manipulation at m. 367 (i.e., E♭ stepping up to F instead of E♮), B♭ is maintained in the following section at m. 368. The analysis also shows that the chromatic pitch A mingles with the prolonged B♭ during these harmonic transformations. The insertion of the B♭ minor section therefore reasserts the significance of the pitch B♭ in the finale.
3.9 The double identity of B♭.

The triumphal ending of the finale continues through the long coda section. As in both of the finales of opp. 14 and 17, the essential elements of the finale are embedded in the coda.

Example 3.8 Schumann, op. 11, *Finale. Allegro un poco maestoso*, mm. 442–462.

At mm. 450–453, the four pitches A#, A♮, G#, and C#, are emphasized with accent markings. Consecutively, the pitch conflict of A# and G## (i.e., enharmonically respelled version of B♭ and A) is emphasized in mm. 454–456 with an alternation of F# major and F# minor chords. A# is finally taken over by C# at m. 457, which eventually resolves to F# at m. 458, thus establishing the F# major triad (A#-C#-F#).

This reveals that B♭, which is continuously emphasized and carried through the finale, transforms to its enharmonic pitch A# as a mediant of F# major at the end of the finale.
Furthermore, this also makes us realize that the presentation of the chromatic pitches A and A# (B♭) emphasized at the end of the coda is already present at the very beginning of the finale.

At m. 2, there is a progression from the A major chord (the fifth is omitted) to the F# major chord, which is emphasized with a *sforzando* marking; this is described as R-P in the octatonic system (Figure 3.3).

**Example 3.9 Schumann, op. 11, Finale. Allegro un poco maestoso, mm. 1–17.**

The insertion of an F# major chord (VI₆ of A major) in the opening rondo theme prefigures the overall harmonic design of the finale, that is, the parallel transformation (P) of F# minor and F# major.
In relation to this, I shall point out another crucial harmonic progression, from the F# major chord {F#, A#} (the fifth is omitted) to the D# major chord {F##, A#, D#}, that is, an enharmonically respelled Eb major chord, is exhibited at the corresponding measures of the final recapitulation of the rondo theme at mm. 382 and 386. The chord progression $I \rightarrow \text{VI}_6^6/F# (=I_6/Eb)$ at mm. 382 and 386 demonstrates the close relationship between F# major and Eb major, which is again described as R-P in the octatonic system (Figure 3.3).

Example 3.10 Schumann, op. 11, *Finale. Allegro un poco maestoso*, mm. 377–396.
The analysis shows that these transformations of the chords that include the chromatic pitches A and A# (=B♭) bring out the connection between these two keys that are at first perceived as “distant.” The emphasis on the bass A# at m. 2 also serves to associate the emphasized B♭ in the following section, which supports the radical transition of A minor to E♭ major, in which the chromatic pitches of A and B♭ play a pivotal role (Example 3.9).

**Figure 3.10** Illustration of the chord progression in the opening (mm. 1–33) that demonstrates the chromatic transformation of A-A♯-B♭.

![Chord Progression Diagram](image)

Figure 3.10 indicates that the combination of A, and its chromatic pitch A# (B♭), helps to connect keys, which are in opposition, such as sharp keys vs. flat keys, or minor keys vs. major keys. This explains Schumann’s special emphasis on B♭ throughout the finale, including the special involvement of B♭ minor.

### 3.10 Conclusion–Florestan and Eusebius.

The analysis of the finale of op. 11 demonstrates Schumann’s inclination for the concept of the *double* in many ways. Op. 11 was published in 1836 titled *Pianoforte-Sonata. Clara*
zugeeignet von Florestan und Eusebius (“Piano Sonata, Dedicated to Clara by Florestan and Eusebius”), in which Schumann used his favorite pseudonym for the publication of the composition.\textsuperscript{207} Later Schumann told her in a letter that it was “a solitary outcry for you from my heart … in which your theme appears in every possible shape.”\textsuperscript{208}

Signed by Schumann’s fictional characters that reflect his alter egos, Florestan and Eusebius, the finale features many contrasts, which express the composer’s own contrasting personalities. They are, for example, expressed by different thematic characteristics, such as those between the majestic principal rondo theme (the Orange Sections) and the delicate and intimate theme found in the Dark Blue Sections. Moreover, the harmonic approach to the finale, such as, the employment of the directional tonality, or the constant key (mode) change brought about by the minor third progressions, also create significant contrasts in the finale.\textsuperscript{209} These contrasts are conveyed by:

1) The employment of a \textit{sharp} key (F# minor/A major), and a \textit{flat} key (E♭ major) as a set of primary-subordinate keys.

2) The harmonic design of the principal rondo themes that consist of \textit{major} keys and \textit{minor} keys.


\textsuperscript{208} Peter F. Ostwald, \textit{Schumann: The Inner Voice of a Musical Genius} (Boston: Northeastern University Press, 1985), 125. A detailed discussion on this matter, including allusion to Clara’s theme, will be found in: Ostwald, 125; Daverio, \textit{Schumann}, 144–145.

\textsuperscript{209} A similar claim on the association with Schumann’s alter egos and directional tonality can be found in Wadsworth, “Directional Tonality,” 4; 27: “Schumann’s directional-tonal works based on relative keys create the effect of two opposing mental states (or dramatic agents) within one person’s mind, as suggested by contrasting major and minor modes”; “In my view, the directional-tonal techniques and their expressive genres provided Schumann with tools to depict a wide variety of opposed mental states, with the minor-third interval best unifying the contrast within one persona. This heuristic was likely inspired by Jean Paul’s oppositions between different characters (or sides of the same character), which affirmed his own fluctuations in mood and energy […]”
3) Double layers of parallel transformation of the keys: F# minor $\rightarrow$ F# major, Eb major $\rightarrow$ Eb minor (whose transformation is supported by the parallel transformation of Bb minor $\rightarrow$ Bb major triads), which are achieved by the employment of directional tonality.

4) The utilization of enharmonic pitches: Eb and D#, the structural accidental which serves to complete the minor third progressions, and Bb and A#, which tie together all the keys used in the finale.

5) The chromatic pitch alternations between A and Bb (A#), which constantly compete (by supporting the contrasting keys/chords) yet share the same goal.

Schumann’s double personality is therefore not only seen in the thematic contrasts, but is also recognizable in the key scheme that demonstrates the contrast in different ways.

The concept of contrasting keys is especially clear in the published edition due to several modifications, which re-emphasize the significance of Eb major in Rotation A'; accordingly, this increases the importance of C minor. The pair of relative major/minor keys, F# minor/A major (sharp keys) and Eb major/C minor (flat keys), are therefore equally articulated by sharing the common thematic and transitional materials. This can be compared to the state of Florestan and Eusebius whose resembling appearances are expressed in the shared thematic and transitional materials, and whose contrasting personalities are expressed by the employment of contrasting keys.
CHAPTER 4

Finale as Fantastic Escape from Reality—The Original Finale of Op. 22 and the Multi-Layered Digression

4.1 The original finale vs. the new finale.

In the fourth chapter I shall conduct an analysis of the original finale of the G minor sonata op. 22. Op. 22 was first completed with the original finale, *Presto passionato*, in 1835.\(^{210}\) Schumann replaced this original finale with the well-known “new finale” *Presto*, which was composed in 1839.\(^{211}\)

It appears that one of the reasons for this revision was Clara’s negative response to the original finale. Clara wrote to Schumann (March 3, 1838) after she received a manuscript copy:

> I am hugely looking forward to the second sonata[,] it reminds me of many happy and painful hours. I love it, as I do you; your whole nature is so clearly expressed in it, and it is not too incomprehensible. But one thing. Are you going to leave the last movement just as it was formerly? It would be better to alter it a little and make it more easy, for it is really too difficult. I understand it of course, and play it as well as I can, but people in general, the public, even the connoisseurs for whom one really writes, do not understand it. You do not mind my saying this –do you? …\(^{212}\)

Schumann responded on March 17, 1838:

> You are so right about the last movement of the sonata. It [so] greatly displeases me (with the exception of individual passionate moments) that I have rejected it entirely.\(^{213}\)

The original version of the finale (op. posth.) was not published until 1866 and was edited by Johannes Brahms based on two of Schumann’s manuscripts, listed here:

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A fair copy dated 27 October 1835 (Vienna, Gesellschaft der Musikfreunde, A 288), and a manuscript transmitting an early version of the Piano Sonata in G minor, Op. 22, with the *Presto* as the finale (Berlin, Deutsche Staatsbibliothek [i.e., Staatsbibliothek], Mus. ms. autogr. Schumann 38).\(^{214}\)

Between the two manuscripts of the original finale, Brahms was inclined to adopt more of the earlier version in his edition, which is longer and more closely observes strict parallel form compared to its later version.\(^{215}\) Rosen describes Brahms’s edition thus:

> Perhaps the most intriguing aspect of Brahms’s edition of the Presto is that it stresses structural parallels that Schumann had attempted to de-emphasize in his last revision of the movement—alterations made in the text of the Berlin manuscript.\(^{216}\)

It appears that Schumann composed the published “new” finale in order to be agreeable to the performers and the audience who seemed to have preferred the piece to be simpler, shorter, and more “comprehensible,” just as Clara requested in her letter; the new finale therefore is less complicated and considered to be an “easier one.”\(^{217}\) In this chapter I choose to present an analysis of the original finale instead of the “new finale,” because the new finale lacks some of Schumann’s idiosyncratic compositional tendencies commonly found in the finales of opp. 11, 14, and 17. The original finale (op. posth.), on the other hand, sufficiently reflects the characteristics that are typical of Schumann’s finales in the sonata (or sonata-like) compositions. Furthermore, the compositional period of the original finale (1833-1835) overlaps with the compositional period of other piano sonatas; therefore Schumann’s compositional style of this period is more clearly reflected in the original finale.

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\(^{214}\) The locations of these manuscripts are listed in Footnote 6, 7, and 8 in Roesner, “Brahms’s Editions of Schumann,” 252 [Brackets Mine]. Also refer to the Bibliography. In addition, there is an earlier existing draft, of which Brahms was unaware. The draft is stored in New York, private collection of Alice Tully; microfilm in New York Public Library, Toscanini Memorial Archives, *ZBT*-88 (currently missing); Photogramm in Vienna, Österreichische Nationalbibliothek, PhA 1519–P. The same photogram is also available at the Morgan Library in New York, accessed November 10, 2014, [http://corsair.themorgan.org/cgi-bin/Pwebrecon.cgi?BBID=215926](http://corsair.themorgan.org/cgi-bin/Pwebrecon.cgi?BBID=215926).

\(^{215}\) The Vienna edition itself includes some revisions, which were written on separate sheets; the pages containing the revisions are no longer extant. See Ibid., 252.

\(^{216}\) Ibid., 253.

\(^{217}\) See Footnote 3 in Ibid., 252
In addition, I chose to conduct an analysis of Brahms’s edition over the later version of the original finale that is found in Schumann’s “Berlin manuscript” insofar as that version omits some passages from the earlier version (some of the omitted passages, marked with crossed lines, are recognizable in the Berlin manuscript). The later version of the original finale is shorter and maintains less strict parallel form due to these omissions and alterations. I suggest these omissions may be the result of Schumann’s attempt to shorten an otherwise very long movement, which results in a reduction of the repetitive themes and transitions; and if that was the case, it may not well reflect Schumann’s original plan for the finale. As suggested in Roesner’s studies, the Berlin manuscript reflects Schumann’s ambivalent attitude towards making changes. After all, he replaced his original finale for what were arguably practical reasons. Thus examining the earlier version will provide us with insight into Schumann’s original conception of the entire sonata.

Most recently (in 2012), the critical edition of op. 22 was published by Schott as part of *Neue Ausgabe sämtlicher Werke* [the New Complete Edition], which includes the original finale in the fifth volume. This version, known as the most reliable edition of Schumann’s works to the present time, is mostly based on the Berlin Manuscript, which features some altered passages and rhythmic variations in some of the themes; however this edition also includes the omitted passages (which are found in the earlier version) with critical notes for the performer to select as desired. A similar treatment is also found in the Henle edition (as a part of the complete edition published in 2010, edited by Ernest Hertrich), which attempts to incorporate both the

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218 Ibid., 253.
earlier version and the later version, featuring both original passages and altered ones. I suggest performers look up these two recent editions for further comparisons.

Schauffler refers to op. 22 with the “new finale” as his favorite work among Schumann’s piano sonatas, for its simplicity and comprehensiveness. On the other hand, Daverio expresses his preference for the original finale over the new finale, which I agree with:

In complying with Clara’s request, Schumann took extreme measures; as we have noted, he suppressed the original finale entirely, replacing it with a somewhat tamer Rondo. But in the process, a crucial element was lost. [...] Breathlessness born of panic, a key feature of Schumann’s sonata style, is what we miss in the new finale [...] Not only does the original finale represent “Schumann’s sonata style,” but it is also a gem that reflects Schumann’s passionate and imaginative personality.

4.2 Overall Form.

Like the finales of the other sonatas, the original finale of op. 22 exhibits parallel form. In the Color Diagram 4, 1) Orange indicates the principal thematic sections, 2) Light Green and the Dark Green indicate the secondary thematic sections, and 3) Yellow indicates the coda. One of the most distinctive features of this finale is found in the weighty Dark Purple Section in Rotation A, located in the middle of the Red Section. I consider this Dark Purple Section (mm. 179–234), including the Vivo molto section (in 2/4), a digression because it interrupts the flow of the Red Section, which is designed to increase the tension towards the end of Rotation A. Furthermore, I divided this Dark Purple Section into three segments; the first and the third parts

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223 For a similar claim, see Roesner, “Parallel Forms,” 267.
of the Dark Purple section serve as the bridges between the Red Section and the Vivo molto section, which is the middle part of the Purple Section.

**Figure 4.1** Schumann, *Presto passionato* in G minor, op. posth., ed. Johannes Brahms, a miniature of the Color Diagram 4 (Appendix 4).

In addition to this, we see the Light Purple Section at the beginning of Rotation A, which is indicated in the middle of the Orange Section. The reason for this color change is the fact that these eight measures do not recur in Rotation A'. Furthermore, this Light Purple Section contains an important element that contributes to the distinctive formal design of the finale.

**4.3 The comparison of #1a and #1b.**

The comparison of #1a and #1b clarifies the omission of the Light Purple Section in Rotation A'. At #1a, the transitional passages in the Light Purple Section shift the principal theme from G minor to B♭ major. On the other hand, at #1b, due to the omission of the Light
Purple Section, the recapitulation of the principal theme in Rotation A' closes in G minor. This change switches the mode of the following secondary theme from B♭ major to G minor.

The subtle differentiations in the dynamic markings and articulation emphasize the different roles of these two Orange Sections. At #1a, crescendo markings at mm. 25–30 in the Light Purple Section gradually build up the dynamics to fortissimo at m. 31; on the other hand, at #1b the alternation of forte and pianissimo continues until m. 269. While the crescendo markings in the Light Purple Section prepare for the big arrival of B♭ major with fortissimo, the regular alternation of forte and pianissimo at #1b, on the other hand, de-emphasizes the arrival of G minor, which promotes the continuity of the same key in the following sections.

Example 4.1 Schumann, *Presto passionato* in G minor, op. posth., ed. Johannes Brahms. Comparison of #1a (mm. 19–38) and #1b (mm. 265–274). Continued on the next page

#1a:
The distinction can also be traced in the different types of accent markings employed in the final three measures of each Orange Section: a *martellato* at mm. 32–34 (#1a) and a regular accent (*marcato*) at mm. 270–272 (#1b). While the martellato marking is on the final B♭ of the Orange Section at m. 34, the accent marking is omitted on the final G at m. 272. The differentiation in accent markings thus emphasizes the establishment of the B♭ major tonic at mm. 32–34. This B♭ not only leads to the new key in the secondary thematic section, but also indicates its significant role in the voice-leading structure. B♭ in the upper voice, the *Kopfton* (3) is carried over into the following B♭ major, which now acts as the 5 in B♭. The voice-leading analysis indicates the significance of B♭ in Rotation A, both in the upper voice and the bass lines.

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224 These different markings are also present in the new complete edition (Schott), mm. 32–34 and mm. 273–276 on pp. 45 and 53.
EXAMPLE 4.2 Schumann, *Presto passionato* in G minor, op. posth., ed. Johannes Brahms, mm. 1–246 (Rotation A), voice-leading graph.

In the music, B♭ first appears in the opening melody, G-B♭-A-G. The B♭ in the melody at m. 1 first appears as a non-harmonic tone as a result of the displacement from its proper position over the I chord, which is carried over into B♭ at m. 13 over the V₄ chord that becomes a part of the G minor cadence; this indicates B♭ as the *Kopfton*.

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225 These accent markings on the B♭ in the first two measures are not found in the new complete edition; and martellato markings on the E♭ are replaced by regular accent markings, which coincides with the Berlin manuscript. (See the new complete edition [Schott], mm. 1–2 on p. 44.) On the other hand, the Vienna manuscript has a big accent marking on this B♭. Krebs claims that the these two types of accent markings are artfully employed in order to demonstrate two layers of rhythmic motion (2 vs 3), which concurs with my suggestion; the same type of two-layered rhythmic structure is emphasized by the use of accent markings at mm. 11–12. See Example 2.6. in Harald Krebs, *Fantasy Piece: Metrical Dissonance in the Music of Robert Schumann* (New York, Oxford University Press, 1999), 28.

B♭ is also emphasized at mm. 175–178, which is right before the interrupting Dark Purple Section. The B♭ notes appear both in the right and the left hand parts with emphases (Example 4.4).\(^{226}\) This designates the prolongation of B♭ in the upper voice up to these measures.

\(^{226}\) In the alternate version, instead of the fixed pitch B♭ on the pedal note of E♭, the arpeggiated B♭ major triad is employed in the left hand part with accent markings, emphasizing F, B♭, and D, which is followed by the arpeggiated E♭ major triad emphasized with a sforzando (sf) marking. In this case, however, the B♭ in the top voice
Finally, at mm. 243–246, the final four measures of Rotation A, B♭ is highly emphasized in the motif B♭-A-G in the upper voice which is repeated four times (anticipating the return of the main theme with its third progression): two with a forzato (fz) marking and two with an accent marking (Example 4.5).\textsuperscript{227} Moreover, this motif is accompanied by the downward arpeggiation

\begin{quote}
\textsuperscript{227}In the new complete edition, all of the four B♭ notes in the top voice have a \textit{sf} marking; moreover, the \textit{fortissimo} (ff) is replaced by \textit{fortississimo} (fff). These notations put even more emphasis on the B♭. See the new complete edition mm. 247–250 on p. 50.
\end{quote}
of the C# diminished-seventh chord instead of the dominant chord, laid out across the four octaves; as a result, B♭ in the bass is also stressed by its location on the downbeats. The perfect cadence is therefore avoided at the end of Rotation A, which undermines the harmonic structural return at the beginning of Rotation A’. Furthermore, the agitated ending of Rotation A is subdued by the drastic diminuendo at mm. 244–246; this sets up the recapitulation of the principal theme (i.e., the Orange Section at the beginning of Rotation A’) to begin softly. This diminuendo marking and the avoidance of the dominant chord at the final three measures of Rotation A therefore withhold the satisfying structural return at the beginning of Rotation A’, which, instead provide a sense of continuation.

This type of operation, that is, the employment of an unsettling harmony instead of the perfect cadence at the connecting passage between the two rotations, is also present in the finale of op. 14. In the finale of op. 14, the conflict between two chords, the F minor chord and the B diminished-seventh chord that substitutes for the dominant chord, is presented in the final three measures in Rotation A (mm. 164–166); the avoidance of the proper tonal closure at the end of Rotation A carries the Kopfton (♯) over into Rotation A’ as a result.²²⁸

Similarly, in the original finale of op. 22, B♭ in the upper voice is carried over into Rotation A’ due to the avoidance of the perfect cadence. Moreover, due to the absence of the Light Purple Section, G minor is continued in the consecutive section (i.e., the Light Green section with dotted outline) and the first note of the secondary theme directly takes over B♭ in the upper voice (Example 4.1: #1b). This B♭ at m. 273 is supported by the root position of the G minor tonic, which therefore clearly indicates its function as ♯3 (Example 4.6).

²²⁸ See 1.6 in Chapter 1.
The de-emphasis of the previous note G at m. 272 intensifies the connection of the B♭ notes between these two consecutive sections. Thus the comparison of #1a and #1b elucidates the carryover of B♭ (i.e., the Kopfton) into Rotation A', which contributes to the continuation of the story.

4.4 The comparison of #2a, #2b, #2c, and #2d.

The next comparison involves the secondary thematic section (the Light Green and Dark Green Sections). The secondary theme appears in B♭ major at m. 35 in Rotation A (#2a) and in G minor at m. 273 in Rotation A' (#2b).²²⁹

²²⁹ In the new complete edition, the G minor secondary theme appears one octave lower. See the new complete edition, m. 277 on p.53.
EXAMPLE 4.7 Schumann, *Presto passionato* in G minor, op. posth., ed. Johannes Brahms. Comparison of #2a (mm. 32–41) and #2b (mm. 270–280).

#2a:

#2b:

#2c:

![Musical notation image]

#2d:

![Musical notation image]
The variation of this theme also reappears within the two rotations (Example 4.8: #2c and #2d). While the same key (B♭ major) is kept at m. 99 in Rotation A (#2c), the key is switched from G minor to its parallel major (G major) at m. 337 in Rotation A' (#2d).\footnote{The first eight measures of the recurring secondary theme in G major (mm. 337–44) are deleted in the later version. See Roesner, “Brahms’s Editions of Schumann,” 253. In the new complete edition, these eight measures are included, indicated by the measure numbers with a bracket and critical notes. See mm. <341A>-<348A>, on p. 55.}

This cancels out the previous mode change of the secondary theme (from B♭ major to G minor) that occurred between the two rotations (Example 4.7: #2a and #2b). The variations of the secondary theme in the two rotations are thus both in major, B♭ major and G major. After this point, the intervalllic relationship of the keys between the two rotations is kept at the distance of a minor third until the Dark Purple Section (i.e., the digression) emerges in Rotation A.

G major, introduced at m. 337, is the first sharp key in the finale. The emergence of G major leads to the following sections in another sharp key, A major, followed by E minor. Thus the series of sharp keys in Rotation A' creates a fine contrast with the series of flat keys used in Rotation A. Moreover, the chromatic shift of the Kopfton, from B♭ to B♮ (\(3 \rightarrow \frac{3}{2}\)), occurs at m. 337 (Example 4.6).

The juxtaposition of the sharp keys and flat keys in the parallel sections of the two rotations is also found in the finale of op. 11, in which Schumann employs A major (in Rotation A) and E♭ major (in Rotation A'), or F# minor (in Rotation A) and B♭ minor (in Rotation A'), respectively, in the parallel thematic sections (See Color Diagram 3). The contrast created by the disposition of the sharp keys and flat keys in the finale of op. 11 was compared to the contrasting personas of Florestan and Eusebius in Chapter 3.

The shift to G major in Rotation A' in the repeated theme invites the listeners to experience a new sentiment due to the mode change between the two secondary thematic
sections in Rotation A; the indication of *smorzando* that *only* appears at #2d (m. 337) suggests that the performer might create a greater contrast between this section and the previous sections. This also stands as a fine example of Schumann’s contrasting expression markings.\textsuperscript{231}

**4.5 The comparison of #3a and #3b–The digression.**

The comparison of #3a and #3b focuses on the discussion of the *digression*, the Dark Purple Section, in Rotation A, which is a distinctive feature of the finale. This section includes the part with an indication of *Vivo molto*, which also has a change in the time signature, from 6/16 to 2/4; Roesner calls this *Vivo molto* section an “arabesquelike interruption.”\textsuperscript{232}

**Figure 4.2** Illustration of the digression in Rotation A.

\textsuperscript{231} Similar discussion is found in 1.5 and 1.7 in Chapter 1.

\textsuperscript{232} Roesner, “‘Parallel’ Forms,” 267. Also for a detailed explanation of digression, see 1.3 in Chapter 1.
In addition to this *Vivo molto* section (mm. 195–218), I include mm. 179–194 and mm. 219–234 as part of the digression; I label the first 24 measures (mm. 179–194) “Transition I” and the last 15 measures (mm. 219–234) “Transition II.” (Figure 4.2.) There is a sudden and drastic dynamic change from *fortissimo* to *pianissimo* between m. 178 and m. 179 (#3a); the contrast in dynamics creates a gap between these two measures, which indicates that the Dark Purple Section interrupts the Red Section.\(^{233}\)

The new thematic motif is introduced at mm. 183–186 (and mm. 191–194) in “Transition I”; this motif transforms to the new theme in the following *Vivo molto* section at m. 195, which is smoothly linked harmonically and without drastic dynamic change. Thus the *Vivo molto* section is anticipated by these 16 measures (mm. 179–194), which interrupt the Red Section. In contrast, the corresponding part in the Red Section with diagonal lines in Rotation A’ at mm. 397–416 (#3b) is directly connected to the final cadence of the finale, which is eventually followed by the coda.

\(^{233}\) In the altered version, there is no *fortissimo* (*ff*) marking before the digressive Dark Purple Section; instead, there is a cresc. right before the Red Section which should be carried through all the way until the emergence of *pianissimo* (*pp*) at the beginning of the Dark Purple Section, which creates a similar effect of creating a gap in the dynamics. See the new complete edition, mm. 157–187, on pp. 49–50.

#3a:
“Transition II” is connected to the rest of the Red Section at m. 235 (Example 4.10). The connection between m. 234 and m. 235 has an irregular phrase structure; it shows both a partial connection to and a partial separation from the previous and the following sections. The right

234 In the earlier draft and Vienna manuscript, there is a repeat sign at mm. 214–226 with an indication that the second time it should be an octave lower, which indicates the melodic continuation of mm. 233–234. In the new complete edition (based on the later Berlin manuscript), however, the slur over these two consecutive measures (mm. 233–234) in the right hand part is replaced by a slur that only covers the last measure, which becomes the main motif of the following passages: this slur marking therefore undermines a conflict in phrasing between the right hand and the left hand parts. See the new complete edition, mm. 237–238, on p. 52.
hand melody at m. 234 is continued from the previous m. 233, indicated by the slur; at the same time the motif itself at m. 234 is taken over by the following measures, which becomes the main part of the passagework. In contrast, A with an accent marking in the left hand part indicates the beginning of a new phrase.\textsuperscript{235} Thus the end and the beginning of the phrase overlap at mm. 234; this artificial connection and the gap created in the phrasing structure can also be considered as the sign of an interruption.

At the end of the Vivo molto section at mm. 218–219, there is a dynamic contrast that distinguishes between the Vivo molto section and “Transition II.” At the same time, the voice leading of these measures is smoothly linked, promoting a sense of forward motion; therefore it can be said that “Transition II” belongs to the Dark Purple Section, regardless of this dynamic contrast. On the other hand, these characteristics at mm. 235 (or, 234)–246, a gradual accumulation of tension brought about by the ascending sequential passages and descending arpeggios of the C# diminished chord, belong to the Red Section, which frames the outside of the Dark Purple Section. The soft dynamics, such as pianissimo (pp) or pianississimo (ppp), located at both ends of the Dark Purple Section, create a great contrast between the Red Section and the Dark Purple Section; this articulates the characteristics of a digression.

A similar effect (that is, a sudden hesitation that interrupts the dramatic momentum) is also observed in the finale of op. 14. In the finale of op. 14, four measures (indicated in Purple in the Color Diagram 1) are added right before the dramatic sequence at Rotation A (indicated in Red), which interrupt the flow of the piece with the sudden drop of the dynamics; I compared this phenomenon to an ironic expression. Irony is one of the idiosyncratic expressions often present in Schumann’s composition; it is the way in which Schumann designs the music to betray the listener’s expectations. This can be done by, for example, manipulating the form and

\textsuperscript{235} The accent marking on the A note, however, is omitted in the new complete edition. See m. 238 on p. 52.
thus creating an artificial gap in the music. This type of withholding and the use of digression found in Schumann’s music are some of the idiosyncratic features of his finales.

4.6 The fantastic Vivo Moto section.

Not only does the Dark Purple Section cause a formal anomaly; it also plays an important role in the harmonic structure of the finale. The voice leading analysis shows the significant appearance of C in the bass in Rotation A (marked with triangles in Figure 4.3). Due to the insertion of the Dark Purple Section, C is distinctively announced in the bass as the dominant of F minor/major, which increases the significance of C.\(^{236}\)

Figure 4.3 Schumann, Presto passionato in G minor, Op. posth., ed. Johannes Brahms, mm. 171–246, harmonic analysis (Rotation A).

I am inclined to interpret this Dark Purple Section as a scene in which Schumann travels in his mind fantasizing about some happy moments, like dancing with Clara, linking to Clara’s description of “happy hours” in her letter.\(^{237}\)

\(^{236}\) In the new complete edition, in which the emphasis on C is increased even more, the C (C6) is added in the top voice at the first measure of the Dark Purple Section, and C is also doubled (C5+C6) at the beginning of the Vivo molto section. See the new complete edition, m. 182 and m. 190 on p. 50.

\(^{237}\) Litzman, Clara Schumann, 137.
EXAMPLE 4.11 Schumann, *Presto passionato* in G minor, op. posth., ed. Johannes Brahms, mm. 175–204.

This interpretation is also inspired by another of Schumann’s compositions of the time, *Davidsbündlertänze*, op. 6, known as one of his most “personal” compositions, which Schumann specifically noted was developed from thoughts of his marriage to Clara.\(^{238}\) The composition

\(^{238}\) Ostwald, The Inner Voices, 131.
depicts the *Polterabend* (German wedding eve party) accompanied by the *Davidsbündler* (the league of David), a group of fictional characters created by Schumann:\(^{239}\)

In the *Dances* [op. 6] there are many marriage thoughts. They originated in the most joyful excitement that I can ever recall …. If ever I was happy at the piano, it was while composing these. \(^{240}\)

The *Vivo molto* section, which is composed with cheerful rhythm and uplifting melodies, somewhat recalls the joyous opening of the first dance from op. 6. In terms of a narrative interpretation, I would like to distinguish this cheerful *Vivo molto* section as part of a “fantasy,” by separating it from a depiction of reality. The distinction is made by the digressive characteristics found in Schumann’s plot construction; I compare this to a trip to another dimension of time, which includes a trip to the world of fantasy.

In the second chapter of this dissertation, a digression is compared to a trip to the past (i.e., episodic memory). These two examples are related in the sense that *recalling* and *fantasizing* both take the mind away from reality (i.e., the present situation). The difference is this: while recalling the past is about recreating an image of something has already happened, fantasizing may include creating some image that has not yet happened, such as, a hopeful future event, in addition to creating some fictional past events which did *not* happen. These differences can be musically expressed by the use of motifs: the scene of recollection may be created by using the old (familiar) motifs and themes. On the other hand, imagining the future event (or the event never happened) shall introduce new (unfamiliar) motifs and themes. The sudden appearance of the new thematic motif at m. 183 can be understood as an impetus to the following fantastic *Vivo Molto* section. The idea of comparing the *Vivo Molto* section to a fantasy in one’s mind can also be supported by a sudden increase of the tempo, and a sudden uplifting of the


\(^{240}\) Ibid., 289 [Bracket mine].
mood in the section;\textsuperscript{241} this drastic shift brings the listeners a feeling of dizziness, which can be compared to the psychological experience of someone who is out of touch with reality and whose fantasy is spinning in his mind. This also explains an almost inappropriate cheerfulness during an otherwise rather serious and gloomy movement.

4.7 The chromatic pitch conflicts of A and Ab.

I shall now discuss the important pitches in the finale. In the Dark Purple Section, Ab creates a sense of tension in the top voice, signaling its significant role in the finale. At mm. 183–185 and mm. 191–193, three Ab notes appear in the top voice, with accent markings and an indication of marcato (Example 4.12). The dynamics in these measures, the softest in the movement (ppp), increases the intensity of this Ab. The same melody reappears at a perfect fifth above at mm. 223–225 and mm. 231–233 (example 4.13). Even though the accent markings are then on Eb, Ab reappears paired with Eb.

\textsuperscript{241} In the Vienna manuscript, Animato molto is added at m. 203, which requires further increase of the tempo during the Vivo molto section.
I claim that this A♭, and its chromatic pitch A♮ which appears with an emphasis in the consecutive measures (and also other places), create a conflict that is carried throughout the piece (both pitches are circled in Example 4.13). Unlike in the finale of op. 14, in which D♭ and D♮ are artfully highlighted throughout the piece, the chromatic juxtaposition of A♭ and A♮ is not so conspicuous at first, especially since there are also other pitches which are emphasized with accent markings; however, a further analysis will clarify the significance of A♭ and A♮ in the finale.
One of the debatable places relating to these pitches is found at m. 218. In Brahms’s edition, there is an editorial suggestion, that is, a flat in a bracket suggesting the addition of a flat on A. In the earlier Vienna edition, there is no flat on A; this Ab therefore coincides with Schumann’s Berlin manuscript.\textsuperscript{242} The change from A♮ to Ab substitutes the V♭₃⁴/V, with a lowered fifth, for the V₃⁴/V of the following C minor which makes a more typical and stronger cadence. In this case, I suggest playing an Ab instead of A♮, thereby following Schumann’s Berlin manuscript—which also coincides with this editorial suggestion—since it brings out the importance of Ab in the composition.

The Ab at m. 218 becomes a flattened supertonic (lowered second) of G minor as a part of the five descending notes D-C-B♭-Ab-G in the bass line at mm. 217–218, indicating the Phrygian mode.

In the following transitional section, Ab and A♮ are still presented alternately in the left hand, while Ab notes are continuously repeated in the right hand. A♮, the highest note of the ascending melody in the bass, is especially emphasized with an accent marking, which creates an intense dissonance with G in the top voice melody at m. 226. When the same theme repeats at m. 227, the significance of A♮ becomes even more evident: at m. 234, A♮ in the left hand demarcates the climactic ascending sequential motion, which overlaps with the closing melody in the right hand that includes Ab. In this manner, A♮ interferes with the prolongation of Ab. From this point, A becomes predominant in the competition between these two pitches. A♮ is

\textsuperscript{242} Compare with the new complete edition (based on the Berlin manuscript); the triplet of repeated A (♭) notes in the left hand part are replaced by a single quarter note, Ab, and the harmony is also switched to IV⁶ (followed by IV⁶°) of C minor at m. 222 on p. 51.
strongly emphasized at mm. 241–242, in which A♮ is written in octaves; A♮ leads to B♭ at m. 243, which eventually coincides with 3 in the Urline.

It is, however, important to note that this A at mm. 241–242 does not indicate 2 of Urline in the background level, regardless of a high emphasis on this note, since this A is not fully supported by the dominant of G minor. One may argue that the repeated D in the bass at mm. 235–242 may represent the dominant of G minor; however it is eventually overridden by a C♯ diminished-seventh chord with an emphasis on B♭ at mm. 243–246 (i.e., the last four measures of Rotation A). In this manner a perfect cadence is avoided at the turning point to Rotation A.

The analyses of the finale of op. 14 in the previous chapters reveal his tendency to maintain the Kopfton throughout Rotation A. Likewise, the emphasis on B♭ at the final four measures and the substitution of the diminished-seventh chord at the end of Rotation A reasserts that B♭ as 3 is carried over throughout Rotation A, which indicates the open-ended structure of the rotation.

As explained before, the Kopfton B♭ shifts to B♮ at m. 337 in the middle of Rotation A' due to the modulation to G major (Example 4.6). B♮ (♮3) is finally connected to B♭ at m. 422 during the final cadence at the end of Rotation A' (mm. 419–422), passing by an upper neighbor C (Example 4.14). The descending scale at mm. 419–423 completes the final descent of the Urline 3 – 2 – 1 (Example 4.6).

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243 In the new complete edition, fortissimo (ff) at m. 243 (the reaching point to the B♭) is changed to fortississimo (fff), which increases the emphasis on B♭ over A. See the new complete edition, m. 247 on p. 52.

It is interesting to notice that the repeated Ab notes are again emphasized in this closing section, which demarcates the descending scale. \(^{244}\) Ab first appears at m. 417 as part of a B diminished-seventh chord, then becomes an appoggiatura of the C minor tonic at m. 419. The significance of Ab is still carried over in the coda, where the juxtaposition of Ab and A♯ again becomes prominent.

4.8 Coda.

As discussed in the previous chapters, the weighty coda that provides the grand conclusion is one of the main characteristics of Schumann’s finales. Among them, the coda of the original finale of op. 22 is especially remarkable. First, fragments of selected themes are re-

\(^{244}\) In the new complete edition, a *fortissimo* (ff) marking is added on top of this Ab, which increases the emphasis on the note. See m. 405 on p. 58.
introduced in the coda. It is especially notable that the variation of the thematic fragment used in the Light Purple Section (mm. 23–26) is reintroduced in the upper three voices at mm. 439–446.

At mm. 439–446, the melody is modified to G-Ab-A♭-B♭-A from its original model, G-B♭-D […] at mm. 23–27. The Light Purple Section, which at first appeared to be a mere bridge employed only once in Rotation A, gains a new meaning in the coda. Moreover, the melody in the bass that is added to this thematic fragment in the top voice at mm. 440–446 is derived from the secondary theme introduced in the Light Green Section. This theme is again repeated in the following measures at mm. 451–454.


These brief insertions of old thematic fragments in the coda can be compared to a *flashback* scene, which can cause an uncanny effect. These flashback scenes in the coda bring our consciousness back to the very beginning of the finale (i.e., the beginning of the story). It
creates an illusion that this long story is returning to the beginning, instead of reaching the conclusion.

**Example 4.16** Schumann, *Presto passionato* in G minor, op. posth., ed. Johannes Brahms, mm. 439–468 (a part of the coda).
In his essay *The Uncanny*, Freud provides some specific examples which recall this kind of situation, that is, when a person finds himself back in the same place after wandering for a long time in spite of his belief that he has escaped that place; Freud describes the situation creating “the feeling of helplessness.” This “long wandering” in the example above can be compared to *traveling in one’s mind*. This suggests that the *fantasy* (i.e., the delusional happy dance in the digressive section) has completely vanished by the end of the story and it closes with the gloomy reality of a solitary man, which is symbolized with the solitary Ab at mm. 465–466. The dark and mysterious ending of the finale is also expressed in the sudden softening of the dynamics at the emergence of the secondary theme in the minor mode and the *sempre diminuendo* towards the end. This fading out at the end of the finale is quite unusual; the codas of the other finales (opp. 14, 17, and 11) have victorious or flamboyant endings.

Finally, the special treatment of Ab at the end of the finale confirms the signaling effect of Ab discussed earlier in this chapter. After the final cadence at m. 457–458, whereas the bass reaches to the tonic G, Ab (Ab5) with an accent marking in the top voice at m. 459 reaches Ab (Ab4) at m. 464 through a stepwise descending scale by passing the tonic, thus avoiding the direct resolution to G; this leaves a dissonant reverberation of Ab on the held C minor chord (IV/g) with a fermata. Ab at mm. 464–465 thus becomes the final note that leaves a dissonance, which is eventually drowned out by the following C minor chords. The highly emphasized flattened supertonic Ab (b2) weakens the effectiveness of the previously established A♯ (♯2). This can be associated with the feeling of doom which one cannot seem to overcome, or the feeling of despair that prevails over hope.

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In addition, the dominant chord at m. 458 passes by the G\textit{ major} tonic before resolving to the G minor tonic; the shift is highlighted by the chromatic melody in the middle voice B\#-B♭-A at mm. 459–461. The register change at m. 461 suggests that the following G in the middle register belongs to a different voice (as a part of a IV/g chord), therefore A\# at m. 461 in the middle voice is left hanging in air, while the top voice in the descending scale leads to A♭ at m. 465. Thus, we see a long detour in the voice leading before reaching the final chord of the piece. The three repeated C minor chords are aggressively emphasized in the final plagal cadence by an indication of \textit{energico} and with \textit{sforzando} and \textit{fortissimo} markings; this forcibly breaks off the wandering.

\subsection*{4.9 Conclusion—Chromatic interference of \textit{Urline}.}

In the coda, some of the melodies, such as: G-Ab-A\#-B♭, or B♭-A\#-Ab-G, reassert the important chromatic pitches Ab and A\#. At the same time, the melody in the middle voice at mm. 459–460 brings out the chromatic pitches B\#-B♭ (followed by A\#), which recalls an important chromatic shift of the \textit{Kopfton}, from B♭ to B\#, in Rotation A' (Example 4.6). The coda therefore reminds us of these chromatic pitches of the G minor scale, B\# and Ab, actively involve with the \textit{Urline}.
The inflections created by the shift of these pitches arguably reflect the light and shadow in the music, which Clara described as “happy and painful hours” in her letter. The series of digressions that lead to the Vivo molto section can be compared to the psychological process of creating an illusion in order to try to escape a miserable reality. Finally, the uplifting Vivo molto section and the gloomy coda, in which the series of flash-backs and the suspension of A♭ cast a shadow, generate a fine contrast between delusion and reality.

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246 Litzman, Clara Schumann, 137.
CONCLUSION

In Schumann’s finales, while the nature of Florestan is expressed within a series of lavish fragments that are presented vigorously and restlessly, the characteristics of Eusebius are captured by the equable design of form, which is controlled by the composer’s consciousness. The great paradox in Schumann’s finales thus arises from the composer’s impetuous nature (Florestan) suppressed under the simple (i.e., naïve) parallel form (Eusebius). Schumann, a composer who possesses two extremely opposing personalities, seems to have made an attempt to create a unidirectional story (seeking unity and coherence) using a large-scale form. The plot structure is based on the parallel form but with some idiosyncratic alternations, which results in some inconsistencies between the resembling units (uncanny resemblance). These manipulations of musical detail are made in order to create a narrative which contains several digressions, expressing a shift of time. This, the integration of more than two paradigms of time into one story, is also supported by the tonal design, which includes, for example, interruption, a promissory chord, or a dissonant prolongation, creating tension between the multi-layered harmonic progressions that exist on different structural levels.

In a strict sense, most of the thematic recurrences are not a simple repetition, but rather an evolution, which is expressed by the subtle differentiations in dynamics, articulations, and harmonies. The pitch conflicts (i.e., the competing pitches) that are demonstrated throughout the movement serve to maintain suspense during the narrative, which will not be completely resolved until the very last moment of the piece, the long and weighty coda. The strong cadence is undermined at the end of Rotation A (in the finale of opp. 14, 17, and in the original finale of op. 22), which promotes a reading of
the beginning of Rotation A’ not as a “structural return,” but as a “prolongation.” In the case of the finale of op. 11, the harmonic progressions are designed to gradually move away from the movement’s original key, and eventually reach the parallel of the original key with an employment of directional tonality. The presentations of the enharmonic pitches and the chromatic transformations of chords make us realize that the two elements, which seemingly stand opposed, pursue a single goal.

I originally started this dissertation for the purpose of solving the performing issues deriving from my own experience, that is, to avoid the confusion caused by the differentiations of musical detail occurring within the repetitive format of finales; some parts of my dissertation therefore take note of this in extreme detail. The more I considered these pieces, the more I was convinced that these seemingly trivial changes play a crucial role in the work. Furthermore, these slight differences can draw out an exquisite psychological effect from listeners.

I would like to ask the reader to compare all the color diagrams at once. Here we see the partial resemblances and partial differences in these finales. Each finale carries a unique feature that is not found in the other finales; at the same time, these four diagrams clearly indicate the idiosyncratic feature of Schumann’s finales, that is, *distorted parallel form*.

I would like to conclude this dissertation with this claim: the realization of a “subtle difference masked by a greater similarity (*Scharfsinn*)” and the discovery of a “hidden connection masked by a different surface (*Witz*)” are the keys to understanding Schumann’s finales. When we hear the finales of Schumann, no matter how their outward appearances may differ, there is something which always strikes our heart, that is, the
spirit of Schumann (*Tiefsinn*), the master of the *double*, who transforms his violent conflicts and contradictions into elegant poetry full of romantic irony.
Appendix 1


- Asterisk marking: Perfect fifth up—within the rotation
- Dotted outline: Perfect fifth up—between the rotations
- Parentheses: Coda: I-V-I (f): I

[Diagram showing color coding and musical intervals]

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Appendix 2

Color Diagram 2. Schumann, Fantasie, op. 17, Finale.
Appendix 3

Schumann, Piano Sonata op. 11, Finale. Allegro un poco maestoso.

Appendix 4

Sonata op. 22.


Asterisk marking: Major second up—within the rotation

Dotted outline: Minor third down with mode change (from major to minor)

Diagonal lines: Minor third down

Appendix 4
(Books and Articles)


(Musical Scores)


