

DISCUSSION OF SCHUMANN'S MUSICAL
CHARACTERIZATION IN *CARNAVAL* OP. 9

by
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THESIS ABSTRACT

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Title: Discussion of Schumann's Musical Characterization in *Carnaval*, op. 9

The purpose of this study is to discuss Schumann's fictional characters from *Carnaval*, op. 9 and how Schumann expressed the unique aspects of each character in his music. I will apply Schenkerian analysis to explore the various structural layers of the music of these fictional characters and Schumann's friends: Pierrot, Arlequin, Eusebius, Florestan, Coquette, Pantalón et Colombine, Chiarina, Estrella, Chopin and Paganini. Through my Schenkerian graphs, I hope to show that each piece coheres within itself, that pieces share middle-ground structures, that motifs come back at different levels, and that the musical structure contributes to the characterization, as well as the surface textures.

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CHAPTER I

INTRODUCTION

The purpose of this study is to discuss the characters from *Carnaval*, op. 9 and how Schumann expressed the unique aspects of each character in his music through harmony, rhythm, and motif among other means. I will apply Schenkerian analysis to explore the various structural layers of the music of these characters: Pierrot, Arlequin, Pantalon et Colombine, Eusebius, Florestan, Chiarina, Estrella, Chopin, and Paganini. Through the completeness or incompleteness of *Urlinien* at the middleground and background, the impetuous character of a Florestan or the calm character of a Eusebius is represented. As we will see, “Florestan’s” *Urlinie* enters on scale degree $\hat{2}$, and doesn’t complete itself at the final cadence. But “Eusebius” begins on its primary tone $\hat{5}$, and ends with a motion down to $\hat{3}$ (a consonant tone). Therefore, the Schenkerian analysis is an effective tool, along with observations about texture, rhythm, and dynamics, to show how Schumann portrays his characters, and how the “ASCH” motif contributes or does not contribute to tonal coherence. In a similar way, the remainder of my thesis will use Schenkerian graphs to illustrate the structure of each movement, and how they represent each of the characters. I will also consider how the A-S-C-H motif, as well as other motifs, interacts with the underlying structure.

Schumann’s extra-musical ideas come from his imagination. His music portrays fictional characters with creative imagination. In *Carnaval*, Schumann transcribed characters from literature, characters from Italian comedy, and the images of his friends into music. The motif “ASCH” is featured in *Carnaval*. Schumann transformed this motif differently in different variations, however, *Carnaval* is still a collection of character pieces. The form of most of the pieces is ABA; but some combine into compound ternary forms, as with “Paganini” and “Valse

Allemande.” Jean Paul’s novel and Hoffmann’s literature have a great influence on Schumann’s narrative strategies and the nature of his romanticism.

Schumann’s solo piano works were mainly composed between 1829-39. These works are mostly in large forms, with his imaginary and literary characters hidden in the music. These invented characters can not only be found in his critical essays, but their personalities were reflected in his music. In this study, I am interested in the relation between Schumann’s musical language and these fictional characters. I will analyze these character pieces containing fictional figures by applying Schenkerian analysis to explore the tonality through the different structural levels of each piece. Also, I will use my analysis to describe the motivic unity created by repeating the motif ASCH.

1.1 Robert Schumann's Life

Born in 1810, Robert Schumann was born in Zwickau Saxony. Schumann's father was a bookseller and publisher. He began his piano lessons at the age of seven. In 1827, his father died and his sister committed suicide in the same month. His mother sent him to Leipzig to study law after his father's death. He entered Leipzig University in 1828. While Schumann lived in Leipzig, he was interested in music and literature.

In 1830, Schumann returned to Leipzig and started to study piano with Friedrich Wieck. Schumann started to publish his magazine *Neue Zeitschrift für Musik* (New Journal for Music) in 1834. In the same year, Schumann met Ernestine von Fricken as she began to study piano with Friedrich Wieck. Schumann and Ernestine were in love, but their relationship was not long. However, Ernestine's father required her to return their home in Asch, Bohemia. Schumann and Ernestine's love affair was ended. While Schumann was in love with Ernestine, he wrote *Carnaval* and the *Etudes Symphoniques* op.13, which is based on a theme written by Ernestine's father. Soon after, he fell in love with Clara Wieck and announced his love for Clara in 1835. But her father did not agree with their relationship. The 1830s were Schumann's years of trouble because of Wieck's disapproval of his relationship with Clara. Although, Schumann and Clara were engaged in 1837 and got married in 1840 without Friedrich Wieck's permission. Schumann's majority of works such as *Carnaval*, *the Davidsbündler Tänze*, the *Etudes Symphoniques*, the *Fantasy in C* and *Kreisleriana*, established Schumann's reputation as a piano composer during the 1830s.

Schumann accepted a position as the music director in Düsseldorf in 1850. However, he was fired in 1853 because he had difficulties with city administrators, the orchestra, and the chorus. During 1854, Schumann started to show signs of insanity. He attempted suicide by walking to a

bridge and throwing himself into the Rhine. He was rescued and placed in a sanatorium. Schumann entered an asylum in 1854 and died in 1856. Moreover, Schumann had been suffered from depression throughout in his life. One of the reasons was an injury to his fourth finger in the right hand. He wanted to improve his piano technique but caused the injury in his fourth finger. He attempted suicide several times due to the injury preventing him from becoming a performer.

Schumann's music is characterized by imaginary and real poetic personalities. Most of Schumann's major piano works were composed between 1831-9 before he devoted himself to song writing in 1840. Schumann's works before the 1850s were inspired by the poetic or the literal rather than the programmatic.¹ Schumann was dedicated to both literature the literary and music and experimented with both in his early years.² His music is full of literary imagination because of the influence of E. T. A. Hoffman and Jean-Paul Richter's literary works. Some of Schumann's works include the characters Florestan, Eusebius and the Davidsbündler. Florestan and Eusebius represent the two sides of Schumann himself. The Davidsbündler were a musical society who fought for beauty in art against the Philistines.

¹ John MacAuslan, *Schumann's Music and E.T.A. Hoffmann's Fiction*. Cambridge University Press, 2016. P. 45.

² Judith Chernaik, *Schumann: The Faces and the Masks*. New York: Alfred A. Knopf, 2018. P. 4.

1.2 *Carnaval*, op. 9

Schumann began to compose *Carnaval* in 1834 and published it in 1837. It is Schumann's first piano work using individual titles. Each piece has a different mood and characteristics. It is Schumann's first piano work using individual titles. *Carnaval* is a celebration of ballroom dance. This piano cycle has many characters taking part in the festive masked ball, both unreal and real characters. Schumann's *Carnaval* is capricious with divergent images and humorous idiosyncrasy. It was described as a "humorous novel of masks" in the *Leipziger Tageblatt* of 29 March 1840.³ The fictitious characters are from the *commedia dell'Arte*, and also include Schumann's dual personalities, Florestan and Eusebius. The real characters are Schumann's friends such as Ernestine von Fricken, Clara Wieck, Frédéric Chopin, and Niccolò Paganini. Although *Carnaval* consists of character pieces, it is also built on motivic material and tonal coherence.

The motivic material of *Carnaval* is based on the musical letters ASCH or SCHA. *Carnaval* was called *Fasching, Schwanke aus vier Noten* (*Carnaval, Frolic Scenes on Four Notes*) by Schumann but the title was changed to *Carnaval* afterwards.⁴ The cycle was inspired by Ernestine von Fricken, with whom Schumann fell in love with Ernestine von Fricken when she came to Wieck's house in Leipzig as a piano student. He was thinking of marrying Ernestine according to his letter to his mother in 1834:

"...Ernestine, daughter of a rich Bohemian, Baron von Fricken- her mother was a Gräfin Zettwitz- a wonderfully pure, childlike character, delicate and thoughtful. She is remarkably musical-everything, in a word, that I might wish my wife to be....".⁵

³ John MacAuslan, *Schumann's Music and E.T.A. Hoffmann's Fiction*. Cambridge University Press, 2016. P. 184.

⁴ Chllung-Wel Chou, "Aspects of Historical Background, Literary Influence, Form and Performance Interpretation in Robert Schumann's *Carnaval*." D.M.A. document, The Ohio State University, 1998. P. 19.

⁵ Karl Storck, *The Letters of Robert Schumann*. Alpha Editions, 2020. P. 93.

However, when Ernestine's father, Baron von Fricken, heard about her affair with Schumann, he disapproved of their relationship. Schumann and Ernestine were engaged before the Baron arrived in Leipzig. But they called off their engagement because the Baron insisted on bringing Ernestine back to her hometown, Asch. The motivic material in *Carnaval* is based on Ernestine's hometown, Asch, and in another order, it can also be assigned to Schumann's last name. Even though the work was completed in 1835, Schumann shifted his affection to Clara Wieck in 1836 during the progression of his composition of *Carnaval*. Therefore, Ernestine and Clara are both depicted in the *Carnaval*.

1.3 The Connection of Schumann's Musical Characteristics and Literature

Carnaval has a deep wider connection between literature and music. Its title suggests a familiar context for understanding the music. The titles of the individual pieces provide images of the characters. Schumann's music is full of literary meaning. There are two primary literary models, Jean Paul and E.T.A. Hoffmann, who both had a great influence on Schumann and his music. Schumann praised Jean Paul in his observation of the concept of "the Double (Doppelgänger)"⁶:

In all his works Jean Paul mirrors himself every time in two persons: he is Albano and Schoppe (Titan), Siebenkäs and Liebgeber (Siebenkäs), Vult and Walt (Flegeljahre), Gustav and Fenk (Die unsichtbare Loge), Flaming and Victore (Hersperus). Only the unique Jean Paul could combine within himself two such varied characters into one; it is superhuman but he is such.

According to Schumann's reflections after reading Jean Paul's literature, Jean Paul mirrors himself in two persons in his novels such as Vult and Walt in *Flegeljahre*.⁷ Schumann wrote a poem to

⁶ Geoffrey Narramore Moon, *The Inner Musical Workings of Robert Schumann*. Adelaide University, 2001. P. 45. ⁷ Ibid. P. 306.

Clara in 1838 about his own characterizations of Florestan and Eusebius. These two imaginary characters were invented by Schumann. The characters of Florestan and Eusebius are based on Walt and Vult from *Flegeljahre*. Florestan and Eusebius represent Schumann's alter egos. Schumann's double personalities appear in his diary, articles, and are reflected in the music of his piano works such as *Carnaval* and *Davidsbündlertänze*.

Schumann's piano works *Papillons*, op. 2 (1829-31) and *Carnaval*, op. 9 (1835) are strongly connected to Jean Paul's novel *Die Flegeljahre*. In the plot of *Die Flegeljahre*, two brothers, Walt and Vult Harnisch, fall in love with a girl named Wina. In the last scene, the two brothers switch their identities at the masquerade to discover who is Wina's beloved. The plot of a masked ball from the novel appears in Schumann's *Papillons*, and in *Carnaval* as well, which is another masquerade with musical imagery. The literary title "*Carnaval*" reveals Schumann's imagination and specific images. In *Carnaval*, each piece is associated with an autobiographical theme or specific literary theme.⁸ Diverse characters unite under the League of David against the Philistines. Florestan and Eusebius, the two sides of Schumann, are introduced first.

In terms of extra-musical associations, Schumann's aesthetics are metaphoric or enigmatic. He always has a hidden message in his works. The inner message is present in its harmonic or motivic representation throughout the piece. It is characterized by harmonic, motivic, or rhythmic characters in the texture. The roles in Schumann's *Carnaval* follow a traditional feminine (such as Pierrot) and others present masculine charisma (like Arlequin).

⁸ Peter Kaminsky, "Principles of Formal Structure in Schumann's Early Piano Cycles." *Music Theory Spectrum*, 1989. P. 208.

Schumann's piano works from 1831-40 are often related to nature or dreams.⁹ For example, the "Papillons" butterflies that were the subject of his piano work *Papillons* (1831) appear again in *Carnaval*, in a quotation in "Florestan." Schumann put the word "Papillons" with the question mark in the piece "Florestan"—although, the quotation "Papillons" in *Carnaval* lacks a musical resemblance to the piano work *Papillons*.

1.4 Characters in *Carnaval* along with Their Personalities and Characteristics

There are many pieces portraying people in this cycle. Some of those people are fictional characters, and some were Schumann's friends. Arlequin and Pierrot are characters from the *commedia dell'arte*; they are clown figures wearing masks. Arlequin and Pierrot are opposite characters. In other words, they are like Florestan and Eusebius. The characterization of Pierrot can be suggested as similar to Eusebius because the key signature of "Pierrot" like that of "Eusebius," is in E^b major. Whereas "Arlequin" and "Florestan" are in relative keys, B^b major and g minor. Key areas are only one of the many ways that characters are distinguished in *Carnaval*.

1.4.1 Eusebius and Florestan

Schumann's invented figures Eusebius and Florestan, are depicted by separate moods as well as different motifs or keys.¹⁰ The musical interpretation of these two characters can be expressed by juxtaposing two contrasting motifs, modes, or tonic major key as opposed to tonic minor. In mid-1831, Schumann invented literary alter egos for himself including Florestan and Eusebius under the influence of Hoffmann's literature.¹¹ Florestan and Eusebius have contrasting

⁹ Geoffrey Narramore Moon, *The Inner Musical Workings of Robert Schumann*. Adelaide University, 2001. P. 69.

¹⁰ Ibid. P. 45-6.

¹¹ Judith Chernaik, *Schumann: The Faces and the Masks*. New York: Alfred A. Knopf, 2018. P. 85.

personalities like Walt and Vult in Jean Paul's *Flegeljahre*. These two characters to Walt and Vult are twins with opposite personalities. Florestan and Eusebius are the doubles of Schumann himself. Their names appear in the *Neue Zeitschrift für Musik* as signatories to anonymous critical comments. Eusebius is mild compared to Florestan who is wild, jealous, and angry. They became independent characters in Schumann's musical works and essays.¹² In his diary, Schumann made references to Florestan and Eusebius in a letter to Clara in 1838:

Zürnt Florestan, / Schmiege Dich an Eusebius an! // Florestan, den Wilden / Eusebius den Mildern, / Thränen und Flammen / Nimm sie zusammen / in mir beide / Den Schmerz und die Freude! // Eifersüchtig wohl Florestan ist, / Doch voller Glauben Eusebius - // Wem gibst Du am liebsten den Hochzeitskuß? / Der Dir und sich am treuesten ist. (Schumann 1887, Brief Nr. 105a, 1. Dezember 1838, Z. 42-53).

Anger Florestan / Cuddle up to Eusebius! // Florestan the savage / Eusebius the mild / Tears and flames / Take them together / in me both / The pain and the joy! // Florestan is probably jealous, / but full of faith Eusebius - / who would you most like to kiss on marriage? / The one who is most loyal to you and himself. (Schumann 1887, letter no. 105a, December 1, 1838, lines 42-53).¹³

Florestan is passionate and assertive, whereas Eusebius is sensitive and introverted. Their characters are expressed by separate moods, as well as distinctive keys (G minor and E^b major) and contrasting motivic materials. According to Judith Chernaik's article "Schumann's Doppelgänger: Florestan and Eusebius revisited," each masked character is characterized by distinctions in melody, rhythm, and harmony.¹⁴ In *Carnaval*, Eusebius is introduced with an adagio tempo and long phrases, while Florestan follows Eusebius with a faster tempo, passionate temper,

¹² Ibid. P. 20.

¹³ Michaela Schwarzbauer, "Sprechen in Musik – Sprechen über Musik Gedanken, angestachelt durch die Gestalt Robert Schumanns." Pp. 107-8.

¹⁴ Judith Chernaik, "Schumann's Doppelgänger: Florestan and Eusebius revisited." *The Musical Times*, Vol. 152, No. 1917, 2011. Pp. 48-50.

and accented rhythms. However, the pieces titled “Florestan” or “Eusebius” do not depict their characteristics thoroughly.

1.4.2 Clara, Ernestine, Chopin, and Paganini

In terms of real characters, “Chiarina” is a portrait of Clara, and conveys Schumann’s admiration of Clara’s artistry. It is in her key of C but in a minor mode. For Schumann, the letter C symbolizes Clara.¹⁵ Whereas “Estrella” represents Ernestine, who was Schumann’s fiancé as he composed *Carnaval*; even though it does not express many of the characteristics of Ernestine, who was pure, tender, and thoughtful.¹⁶ The key of “Estrella” is in f minor. Schumann marks *Con affetto* (with feeling and tenderness) at the beginning of the piece. The strong accents in the first section suggests Ernestine’s graceful courtesy. The expressive section suggests her aristocratic background.¹⁷

Schumann characterized Paganini and Chopin based on those composers’ compositional styles. He wrote Chopin out with flowing and gentle melody like his nocturnes. Paganini was composed in a virtuosic style with rapid notes and leaps. “Chopin” is the only piece in *Carnaval* that does not have an intact ASCH motif. There are only two letters C and H (B = H in German) that can be expressed in Chopin. We suggest that the two letters C and H express Chopin’s name. The piece “Chopin” is like its title in its stylistic characteristics. It is characterized by expressive emotion and lyrical melody. “Paganini” is the most difficult piece in *Carnaval*. It portrays Schumann’s friend Paganini. Paganini, a 19th-century violinist who explored the technical limits of the violin. Schumann composed “Paganini” as a virtuosic piece with technical difficulties. He

¹⁵ Geoffrey Narramore Moon, *The Inner Musical Workings of Robert Schumann*. Adelaide University, 2001. P. 9.

¹⁶ Ibid. P. 296.

¹⁷ Judith Chernaik, *Schumann: The Faces and the Masks*. New York: Alfred A. Knopf, 2018. Pp. 37-8.

imitated the violin technique and transcribed it on the piano. “Pagnini” reflects Pagnini’s violin technique and his musical style.

1.4.3 Characters from *commedia dell’arte*

Commedia dell’arte translates to “comedy of the professionals”. It is an Italian theatrical form, which flourished throughout Europe between the 16th to 18th centuries. It emphasized ensemble acting with masks. Its plots were borrowed from *commedia erudite*, which is an Italian dramatic form or literary drama. Pierrot originally came from a stock figure “Pedrolino” of the Italian *commedia dell’arte*. He is costumed in loose-fitting white clothing with no mask, sometimes with a tear painted on his cheek that gives Pierrot a melancholic appearance. Pierrot is a simpleminded and childlike servant in the Italian *commedia dell’arte*. In French pantomimes, Pierrot became popular, and he was described as a naive and appealing character. Compared to Pierrot’s melancholic mood, Arlequin, also known as Harlequin, was described as a covetous and agile comic servant in the 16th century. In the early 17th century, he became faithful, and amorous. In Schumann’s *Carnaval*, Pierrot and Arlequin represent *Davidsbündler* members who dress in carnival costumes of the *commedia dell’arte* characters. Pierrot is unhappy with touching moments and tragic relief.¹⁸ Arlequin is a counterpart of Pierrot who is a mischievous character with a naughty personality.¹⁹

“Pantalon et Columbine” are an ironic combination. Pantalon suggests a feeble old man. Columbine is depicted as a young woman, a maid. She does not wear a mask like other female characters. Pantalon is a stock character from the Italian *commedia dell’arte* of the 16th century, a

¹⁸ Swartzell Lowll, *Here Come the Clowns*. New York: Viking Press, 1987. P. 48.

¹⁹ *Ibid.* P. 44.

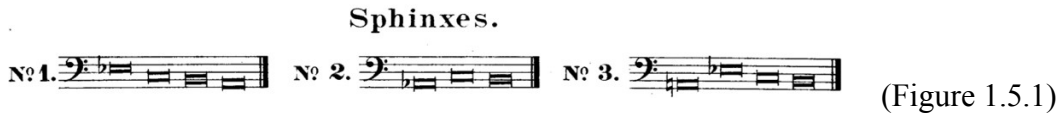
male clown whose temper is cranky. The original version of Pantalón who usually dresses in a tight-fitting red vest with red stockings, pleated black cassock and brimless hat. Colombine is also a stock theatrical character from the Italian *commedia dell'arte*. The character is a servant girl. In French theater, she is a maid whose persona is opposed to that of Pantalón. Harlequin and Pierrot. The character in English comedy becomes a daughter of Pantalón and falls in love with Harlequin.

1.5 A-S-C-H (A-E^b-C-B) Motif

Carnaval consists of 21 characteristic pieces, each with unique motivic materials. These characteristic pieces are given unity by the use throughout of the musical letters ASCH (A-E^b-C-B in English). Schumann's autobiographical message constitutes a clue in his works particularly those written after 1835. ASCH has an autobiographical purpose.²⁰ The four-note motto can be considered as an anagram. One piece in *Carnaval* titled Sphinxes is controversial for pianists this day. It is arguable to whether or not this piece needs to be played in performance. The four musical notes are used as a way of organizing motifs and appear in three different orders (Figure 1.5.1). They are titled "Sphinxes." The Sphinxes appear in the middle of the *Carnaval*'s score and divide this cycle into two parts. There are three arrangements of the motif ASCH. They provide a clue to *Carnaval*'s pieces because they are utilized in each piece. Also, the tonal unity and formal structure are strongly bonded with the motifs ASCH; many of the key areas chosen are those that feature A, E^b, and C, as well as A^b (As in German): B^b major, E^b major, and A^b major. In this way, the Sphinxes contribute to the progression of tonalities and tonal coherence. With the motifs, they create a symbolic system. However, the Sphinxes are not meant to be played but silent. They may

²⁰ Ibid. P. 41.

not be noticeable in some pieces. Thus, the ASCH motif is unified with harmonic or rhythmic patterns in each piece, but it appears varied in rhythm and melody from piece to piece.



Schumann’s letter scheme motifs had been used already before he composed *Carnaval* in the “*Theme on the name Abegg with Variations*” (1834-5). According to Schumann, the letters ASCH signify the town name “Asch” where Ernestine von Fricken came from.²¹ Ernestine was Schumann’s fiancée, but they called off their engagement in 1835. Also, the four notes are autobiographical referring to Schumann’s family. Apparently, Ernestine was the inspiration for *Carnaval* because the ASCH motif is expressed throughout the entire cycle. Schumann’s inner message of ASCH is presented either in motif or harmony; it interacts with other materials and is also found at the middleground level. There are many authors who have discussed Schumann’s melodic considerations and letter motifs in *Carnaval*.

The first Sphinx (SCHA) contains the musical letters of Schumann’s name. But it does not appear in any of the pieces. The second and third Sphinxes (As-C-H and A-Es-C-H) relate to Ernestine’s birthplace—Schumann seems to use them as a symbol for his love for Ernestine in the music. They occur in many pieces, not only associate with “Estrella” (Ernestine). This work may suggest an autobiography; a personal history.²²

²¹ Ibid.

²² John MacAuslan, *Schumann’s Music and E.T.A. Hoffmann’s Fiction*. Cambridge University Press, 2016. P. 263.

However, the letter motif is not either linked or easily observed. It seems to put on a mask as the title “*Carnaval*” suggests. ASCH is presented either in motif or harmony in *Carnaval*. The four-note message appears in various letter combinations, but in most cases, they are difficult to detect. Three different versions of ASCH are arranged as motivic references and called Sphinxes. The Sphinxes do not structure the tonality or tonal trajectory of individual pieces, though Schumann’s preferences for the keys of A^b, E^b, and B^b are influenced by them, as is the tonal scheme of the whole (as we shall see in the next paragraph). Moreover, Sphinx introduces motivic patterns or a contrapuntal relationship.²³ They usually do not penetrate very deeply into the music’s structure, nor do they participate in thematic development. The background and high middleground level are relatively simple and static underlying a diverse harmonic texture.

(Figure 1.5.2: Key and Sphinxes)

Pierrot	E ^b major	Sphinx 3
Arlequin	B ^b major	Sphinx 3
Eusebius	E ^b major	Sphinx 3
Florestan	g minor	Sphinx 3
Coquette	B ^b major	Sphinx 2
Chiarina	c minor	Sphinx 2
Chopin	A ^b major	X
Estrella	f minor	Sphinx 2
Paganini	f minor	Sphinx 2
Pantalon et Colombine	f minor	Sphinx 3

²³ Ibid. P. 266.

1.6 Motivic Development and Formal Structure

Carnaval is made up of a succession of pieces with fleeting scenes and diverse characters. Each piece has its own title, but the 21 pieces are connected by a repeating motif. Between the eighth and ninth pieces, the “Sphinxes” are inserted to contribute to the structural division of *Carnaval* into two parts.

The three Sphinxes are the basis of the motivic materials for each piece. They arrange the letters ASCH in different orders and divide the cycle into two parts. These three Sphinxes contribute to tonal coherence and motivic consistency, except for Sphinx No.1, which never appears in the music.²⁴ *Carnaval* emphasizes particular keys; its tonal scheme enables it to harmonize Sphinxes No. 2 and No. 3. The tonal and motivic development follows a scheme of ascending and descending thirds and fifths.²⁵ The progression of pieces across the entire cycle is organized into a long-range tonal scheme with certain keys. Sphinxes No. 2 and No. 3 are both associated with the key of E^b major. Also, the large formal structure or process in *Carnaval* is based on the Sphinxes and their motivic development. For example, the Sphinx No. 2 (A-S-C-H) appears repeatedly as a motif in Pierrot, followed immediately by E^b-C-B^b or S-C-B (a close variant of S-C-H). But in “Florestan”, the opening A-S-C-H is followed by motivic material (G-F# or G-F) which is not based on the ASCH motif but features whole step or half step motion. In the second half of “Florestan”, the descending 4th is used as another motivic development. Thus,

²⁴ Geoffrey Narramore Moon, *The Inner Musical Workings of Robert Schumann*. Adelaide University, 2001. P. 212-3.

²⁵ Erika Reiman, *Schumann's Piano Cycles and The Novels of Jean Paul*. University of Rochester Press, 2004. Pp. 76-77.

there is a progression in the way these ASCH motifs are used and combined with other motifs, which relates one piece to the next.

Each piece in *Carnaval* is linked and unified by different kinds of thematic transformation.²⁶ Its formal structure is established by the motivic development. The thematic material grows out of the ASCH motif and two of its three different orders. *Carnaval* can be understood as a in cyclic form because the thematic transformation can be observed at different levels of each piece. Both cyclic form and thematic transformation are prevalent organizing techniques in the 19th century. Through thematic transformation, themes and rhythms are transformed into different forms. A slightly different perspective on the piece's organization is provided by Lawrence Kramer, who states that *Carnaval* lacks structural restrictions, but it contains the gender mobility between masculine and feminine in music.²⁷ There are paired characters in *Carnaval* that reveal opposite personalities suggesting masculine and feminine, such as Pierrot and Arlequin. For example, the tonal progression in "Arlequin" never achieves a complete I-V-I progression but begins on the dominant and keeps repeating the dominant to tonic progression, representing the character's forward drive. Whereas "Pierrot" begins and ends in a clear tonic harmony. In the following chapters, my analysis will focus on the motivic unity created by repeating the motif seeming less forward-pushing. In the following chapters, my analyses will focus on the motivic unity created by repeating the motif ASCH, the patterns of tonality, as well as using Schenkerian analysis to explore the different structural levels.

²⁶ Ibid.

²⁷ Erika Reiman, *Schumann's Piano Cycles and The Novels of Jean Paul*. University of Rochester Press, 2004. Pp. 76-7.

CHAPTER II

THEORETICAL ANALYSIS

2.1 Pierrot

Schumann's Pierrot, Arlequin, Eusebius and Florestan are various kinds of characters. Pierrot and Arlequin are a pair of contrast characters. The form of "Pierrot" is a conventional binary-form. The beginning and the ending present clear tonic harmony. "Pierrot" is the second piece in the cycle after the "Preamble", which is the introduction to *Carnaval*. The tonality moves from A^b major in the "Preamble" to its dominant key of E^b major in "Pierrot". There are three thematic patterns repeating throughout the piece.

The first motif is written in *staccato-legato*. The non-*legato* touch is in contrast to the second motif. Each motif moves immediately to the next motif, creating a sudden dynamic change from *p* to *f*. Pierrot's characteristics are generally melancholic. These three motifs with different dynamics and articulations reflect his personality. Motif I and II's great contrast in dynamics suggests Pierrot's inner and outer personas (Figure 2.1.1).



The image shows the beginning of Schumann's "Pierrot" in E-flat major, 2/4 time, marked "Moderato". The score is in piano (p) and features two motifs. Motif I (measures 1-4) is marked "p" and consists of a staccato melody in the right hand and a bass line in the left hand. Motif II (measures 5-8) is marked "f" and consists of a legato melody in the right hand and a bass line in the left hand. The piece begins with a "Pedale" instruction in the left hand. The key signature has two flats (B-flat and E-flat), and the time signature is 2/4.

(Figure 2.1.1)

However, these motifs do not harmonically belong to the *Urlinie* in the Schenker graph. But the fundamental line does show Pierrot's characteristics as well. In mm.1-4, the variant characteristic of Pierrot with ^{^b}6-^{^5} in the tenor is followed by a *forte* dynamic. Meanwhile, an *Urlinie* from ^{^#}2

unfolds a diminished chord and prolongs to $\hat{1}$ (mm. 1-3). In mm. 9-11, there is a $\hat{2}$ - $\hat{1}$ progression the third motif followed by motif II (Figure 2.1.2). The complete *Urlinie* ($\hat{3}$ - $\hat{\#2}$ - $\hat{1}$) does not appear again until mm. 25-28. These different kinds of fundamental descent are in accordance with the texture, suggesting Pierrot's shifting moods. At the end, there is a complete diatonic *Urlinie* descent, *fortissimo* then *piano*, a moment suggesting that Pierrot appears from behind the mask and is given applause (mm. 40-49) (Figure 2.1.3).



(Figure 2.1.2)



(Figure 2.1.3)

Considering the relationship between the Sphinx and the texture: the third Sphinx appears in the tenor (mm. 1-3). C-flat is used to describe the same intonation as B-natural (H). The Sphinx repeats in the right hand in mm.5-6. But Schumann did not develop these thematic materials, merely repeating them. The Sphinx is not an elaboration of the *Urlinie* either. It appears at first as neighboring notes decorated in the middle-ground and repeats in the melodic line. At the

beginning, the first three notes of Sphinx 3 (ASCH) belong to the diminished chord that unfolds the *Urfinie* from $\hat{2}$ to $\hat{1}$. Thus, the letter message is not prominent, but is hidden in the harmonic texture. Through its texture and tonal structure shown by the Schenker graph, the middleground depicts Pierrot's shyness and sentimentality through the interruptions and $\hat{2}$. The soft dynamics, *staccato-legato* articulation and strange chromatic motion from $\hat{\#2}$ to $\hat{1}$ reflect Pierrot's inner side. The sudden *forte* in mm. 3-4 and alternation with $\hat{2}$ - $\hat{1}$ after m. 9 suggests his comical side as a clown.

Handwritten musical score for piano, featuring a vocal line and piano accompaniment. The score is divided into four systems, with measure numbers 8, 19, 29, and 39 indicated on the left. The key signature is B-flat major (two flats), and the time signature is 4/4. The vocal line includes lyrics: "As S c H".

The score consists of four systems, each with a vocal line (treble clef) and a piano accompaniment (bass clef). The piano part includes chords and arpeggiated figures. The vocal line includes melodic lines with various ornaments and phrasing marks.

System 1 (Measures 8-18):
Vocal line: Starts with a triplet of eighth notes (marked with a hat and '3'), followed by a pair of eighth notes (marked with a hat and '2'), and then a quarter note (marked with a hat and '1').
Piano part: Features a series of chords and arpeggiated figures. A chord marked $A^b M$ is present in the first measure.

System 2 (Measures 19-28):
Vocal line: Continues with melodic lines and ornaments.
Piano part: Continues with arpeggiated figures and chords.

System 3 (Measures 29-38):
Vocal line: Continues with melodic lines and ornaments.
Piano part: Continues with arpeggiated figures and chords.

System 4 (Measures 39-48):
Vocal line: Continues with melodic lines and ornaments.
Piano part: Continues with arpeggiated figures and chords.

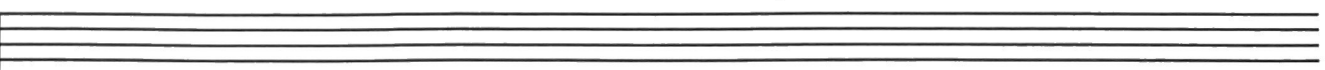
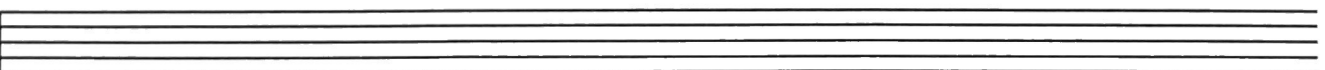
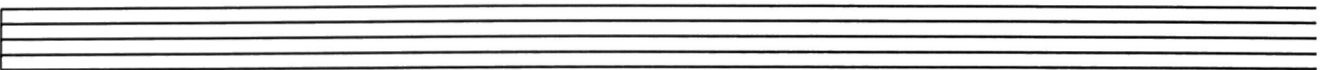
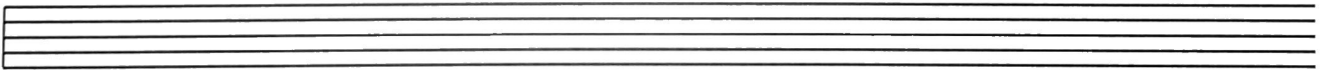
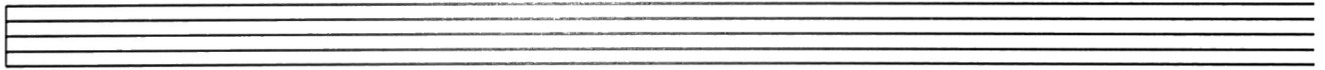
2.2 Arlequin

“Arlequin” contrasts completely with the former piece “Pierrot”. The transition between “Pierrot” and “Arlequin” is constructed so that “Arlequin” in B^b major is the dominant of “Pierrot” in E^b major, and the harmonic progression between the E^b chord at the end of “Pierrot” (a IV chord in B^b major) and the F dominant seventh at the beginning of “Arlequin” is a smooth one. “Arlequin” starts with the Sphinx 3 (ASCH) at the beginning. The opening phrase consists of two-measure pattern. The meter is in triple featuring a typical Viennese waltz rhythm, although the intervallic leaps in the first beat of alternate measures adding another layer to the triple time. The meter becomes unbalance. At mm. 17-20 and 21-24, the harmony progresses to the IV chord, then cadences quickly in B^b major. These passages are lively and rhythmic. Followed by a sudden dynamic shift to *pp* in m. 25, there is a contrast in moods that suggests sadness. The diminished chords are emphasized with a *ritardando* marking (mm. 27-8). In mm. 29-44, descending scales played in both hands are in unison to conclude each phrase and bring the *Urlinie* down to \wedge^1 .

In terms of the Schenkerian analysis, the *Urlinie* of \wedge^4 prolongs for four measures, resolving to \wedge^3 in m. 5, before the descending scale brings down the fundamental line (mm. 1-8). At m. 25, where the dynamic changes to *pp*, the *Urlinie* occurs in the tenor, conflicting with *sf* markings in the top voice as well as the *ritardando* marking. The letter message A-S-C-H is apparent at the beginning as a prolongation of E^b (S). The fundamental descents come together with the descending 5-note scales to reinforce closure at this work’s numerous cadences. Arlequin is generally more acrobatic and livelier than Pierrot: we can understand Pierrot as representing the feminine in music whereas Arlequin is masculine, because of their rhythmic differences, articulation, and tonal incompleteness (beginning on \wedge^4) as opposed to completeness.

Handwritten musical score for piano, consisting of five systems of staves. The music is written in a key signature of two flats (B-flat major or D-flat minor) and a 4/4 time signature. The first system includes the letters "A S C H" written below the treble clef staff. The second system is marked with a "7" and includes a "B^bM" marking. The third system is marked with a "13". The fourth system includes a "5 4 3 2 1" fingering sequence. The fifth system is marked with a "25" and includes a "b_e" marking. The score features various musical notations including notes, rests, slurs, and dynamic markings.

Handwritten musical score for two systems, measures 31-37 and 38-44. The score is written in treble and bass clefs with a key signature of one flat (B-flat). The notation includes various musical symbols such as notes, rests, slurs, and fingerings. Measure numbers 31 and 38 are indicated on the left. The score concludes with a double bar line and repeat dots.



2.3 Eusebius

According to the Schenkerian graph of “Eusebius”, the ASCH is reordered to S-A-S-H-C. Nevertheless, it is prominent at the beginning of the piece, and it is part of the structure. The opening phrase is four measures long, as are most of the phrases. The structure is a typical ABA form. In “Eusebius”, the letter motif is projected in the middle ground. The *Urlinie* starts with prolongation of $\hat{5}$ but ends with an incomplete $\hat{4}-\hat{3}$ in each phrase. The B section can be considered as an interruption. The consonant skip motifs with parallel sixths in B are taken from mm.1-2. The letter motif in “Eusebius” does not correspond to the fundamental line. It is hidden in the middleground so that it becomes hard to detect by the listener. The middleground level demonstrates Eusebius’s sentimental characteristics. The neighboring motions and the incomplete neighbor reflect Eusebius as an emotional thinker.

My analysis of “Eusebius” illustrates that it is in the key of E^b (S in German). It introduces Schumann’s letter motif S-C-H-A at the beginning. Schumann’s letter motif S-C-H-A is presented in the opening, but out of order. E^b (S) appears in the bass. E^b , C, B and A in the treble (H= B natural). However, at the beginning of each phrase, the *Urlinie* prolongs the B^b with either a small fundamental line $\hat{5}-\hat{4}-\hat{3}$ or a $\hat{5}-\hat{4}-\hat{3}-\hat{2}$ line harmonized in sixths. The two middle-ground structures alternate according to the following scheme: AABA, BABA. There are neighboring-note motions on the surface and the middleground decorating B^b ($\hat{5}$) along with the prolongation. The A section’s *Urlinie*, an incomplete $\hat{5}-\hat{4}-\hat{3}$, does not correspond with the letter motif S-C-H-A, but that motif can be found hidden just below the surface.

In “Eusebius”, the incomplete structures could correspond to Schumann’s thoughts, or the thoughts of Eusebius, the character (one of Schumann’s personas), which are too deep and

profound to finish themselves within a simple piano miniature. The Schenkerian analysis illustrates various relationships between the letter motif and the musical structure. Also, the Schenkerian structures themselves illustrates the various aspects of Eusebius's character, his deliberate nature and slower forward motion, as well as the depth of his thought.

(A)

5

5

4

3

Em

5

5

4

3

(B)

9

5

4

3

2

6

be

13

5

4

4

3

(A)

17

5

4

4

3

6

21

25

29

2.4 Florestan

“Florestan” opens with Sphinx 3, but it is thematically fragmented. The dominant ninth chord unfolds at the beginning with its bass note, D. Its tonality is established on D which is the root of V_9 in g minor. There is a *Urlinie* interruption to \wedge^2 in m.7. Below it, a dominant seventh chord of B^b is sustained in mm. 7-8 (Figure 2.4.1). The dominant chord of B^b in m. 9 gives rise to the opening melodic idea in m. 10, and then proceeds to another dominant ninth chord of g minor in m. 11. The tempo changes from *Passionato* to *Adagio*, generating a characteristic interruption in m. 17. The texture is gradually destroyed through instable tonality and tempo changes. “Florestan” then quotes three measures from *Papillons* (mm. 19-21) (Figure 2.4.2). The appearance of the marked motif (Papillon?) is from Schumann’s earlier *Papillons*, op.2, to represent Florestan thinking upon a memory of love. It is one of the few places in the piece where we have a clear authentic cadence in g minor (the other is at m. 36 before the double bar). The climax section occurs in the last phrase in mm. 44-55. The harmonic texture becomes unresolved again and prolongs the $f^\#$ diminished chord to the end of this piece.

(Figure 2.4.1)



(Figure 2.4.2)



According to the Schenker graph, the small fundamental descent matches the phrases of the opening measures until the initial \wedge^4 reaches the interrupted \wedge^2 in m. 7. The tension of the unresolved fundamental line spans eight measures long, and then the texture is changed in m. 9.

But the dominant ninth under $\hat{2}$ returns at mm. 11-13. An interruption to $\hat{2}$ occurs in mm. 16-17 before the quotation of “Papillon”. The *Ursatz* of Papillon is complete from $\hat{5}$ to $\hat{1}$ in the “Papillon” quotation, supported by the harmonic function (VI-V⁶₅-i-V). However, another interruption occurs again in the climax section at m. 43. The fundamental structure prolongs the diminished vii^o along with the *Urlinie* note $\hat{2}$ at the end of “Florestan”. Additionally, the Sphinx 3 is projected as consonant skips and neighboring notes to the initial $\hat{2}$. Thus, the lively and passionate characteristics of Florestan reflect through the presentation of short, repeated materials, an unexpected emphasis on contrasting dynamic levels, and an *Urlinie* that hardly ever descends below $\hat{2}$, especially not at the final cadence. All these features Florestan as passionate and impulsive.

A S C H

9m

6

11

16

(Papillon)

22

28

Handwritten musical score for measures 28-32. The system consists of two staves: a treble clef staff and a bass clef staff. The key signature has one flat (B-flat). Measure 28 starts with a down-bow or breath mark. Above measure 29, there is a fermata over a note with a '2' above it, followed by a double bar line. The music continues with various note values and rests.

33

Handwritten musical score for measures 33-38. The system consists of two staves: a treble clef staff and a bass clef staff. The key signature has one flat. Measure 33 has a down-bow or breath mark. Above measure 34, there is a fermata over a note with a '3' above it. Above measure 35, there is a fermata over a note with a '2' above it. Measure 39 is marked with a double bar line.

40

Handwritten musical score for measures 40-44. The system consists of two staves: a treble clef staff and a bass clef staff. The key signature has one flat. Measure 40 has a down-bow or breath mark. Above measure 41, there is a fermata over a note with a '4' above it. Above measure 42, there is a fermata over a note with a '3' above it. Above measure 43, there is a fermata over a note with a '2' above it. Measure 44 ends with a double bar line.

45

Handwritten musical score for measures 45-49. The system consists of two staves: a treble clef staff and a bass clef staff. The key signature has one flat. Measure 45 has a down-bow or breath mark. Above measure 46, there is a fermata over a note with a '2' above it. Above measure 47, there is a fermata over a note with a '2' above it. Above measure 48, there is a fermata over a note with a '2' above it. Measure 49 ends with a double bar line.

50

Handwritten musical score for measures 50-54. The system consists of two staves: a treble clef staff and a bass clef staff. The key signature has one flat. Measure 50 has a down-bow or breath mark. Above measure 51, there is a fermata over a note with a '2' above it. Above measure 52, there is a fermata over a note with a '2' above it. Above measure 53, there is a fermata over a note with a '4' above it. Measure 54 ends with a double bar line.

2.5 Chiarina

The groups containing “Chiarina”, “Chopin” and “Estrella” demonstrates conflicts and tensions portraying the characters in the music. The two minor pieces “Chiarina” and “Estrella” present metrical and harmonic conflicts in contrast to the major “Chopin”. The female characters, “Chiarina” and “Estrella”, bring contextual conflicts, and “Chopin” comes between them to “integrate the stereotype of the feminine.”²⁸ I believe that “Chiarina” is also a portrait of Clara, because Clara had a great admiration for Chopin. Her compositions such as the Nocturne and Ballade suggest a strong influence from Chopin’s music.²⁹

As Schumann composed *Carnaval*, he was engaged to Ernestine. Yet, Schumann had an affection for Ernestine, betrayed by Schumann’s indication of *Passionato* for “Chiarina.” The title is meant to signify Clara. “Chiarina” begins with a diminished seventh chord in c minor and returns to the tonic chord in m. 2. The dominant occurs in mm. 7-8 as an interruption. A consequent is presented in octaves with *fortissimo* and *crescendi* to increase the intensification (mm. 8-16). There is a dissonant conflict between the top voice and the bass. The melodic line contains a suspension in every measure, which gives way to its resolution only on the final sixteenth of beat 2. (Figure 2.5.1). The continual suspensions in the melodic line generate dissonant tension that presents agitated emotion. This suggests Schumann’s passion for Clara. In the second half of the piece, the same motif is repeated three times (mm. 17-22). The first sixteen measures repeat in mm. 24-40, creating a large ABA. The texture increases in dynamic intensity as the melodic line rises in the higher register.

²⁸ John MacAuslan, *Schumann’s Music and E.T.A. Hoffmann’s Fiction*. Cambridge University Press, 2016. P. 293.

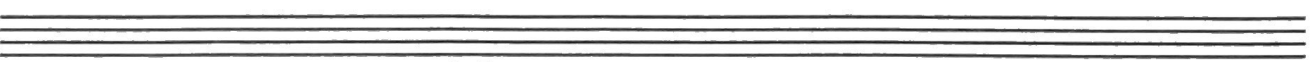
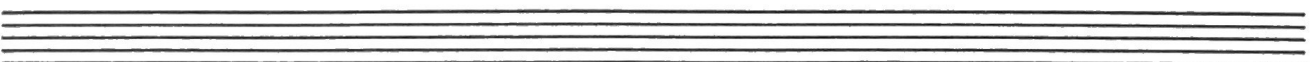
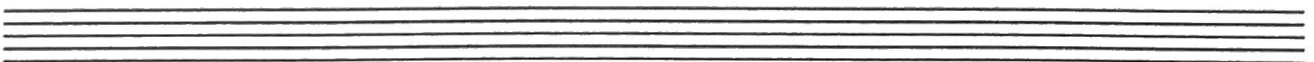
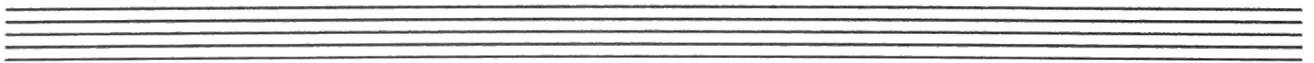
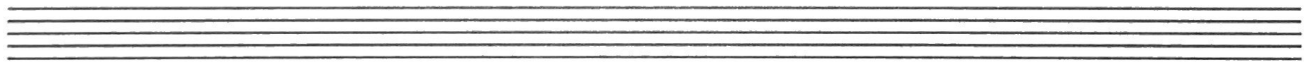
²⁹ *Ibid.* P. 295.



The Sphinx 2 (As-C-H) is clearly presented at the beginning and repeated once in m. 24 to initiate the recapitulation. However, this motif does not permeate nor does it develop through the piece. Considering the Schenker graph, the initial descent of $\hat{5}$ is prolonged with a small *Urlinie* in the middleground. The fundamental structure reflects the passionate mood, as does Schumann's indication "Passionato" at the beginning. An interruption $\hat{5}-\hat{4}-\hat{3}-\hat{2}$ happens in m 8. The fundamental structure repeats and continues an octave higher after the interruption, completing itself $\hat{3}-\hat{2}-\hat{1}$, in m. 16. Another big interruption $\hat{4}-\hat{3}-\hat{2}$ occurs in mm. 22-25. The initial $\hat{4}$ is prolonged with consonant skips after the double barline (mm. 17-22). Therefore, the *Ursatz* in "Chiarina" is well supported by the harmonic texture. The prolongation with wide consonant skips, the constant use of suspensions on downbeats, and the repeats an octave higher at a louder dynamic all effectively demonstrate Schumann's passion for Clara.

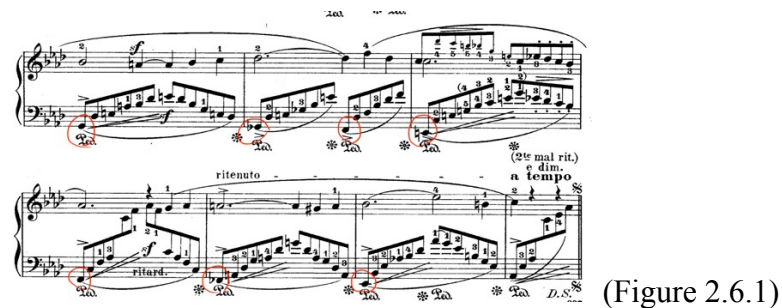
Handwritten musical score for guitar, consisting of five systems of music. Each system includes a treble clef staff with a key signature of two flats and a 4/4 time signature, and a bass clef staff. The score is annotated with various musical notations such as fingerings (e.g., 5, 4, 3, 2, 1, 10), dynamics (p, f), and articulation marks. The systems are numbered 5, 7, 13, 19, and 25. The first system includes the text "As C H" and "cm".

Handwritten musical score for two systems, measures 31 and 34. The score is written in treble and bass clefs with a key signature of two flats (Bb and Eb). The time signature is 4/4. The notation includes various rhythmic values, slurs, and articulation marks. The first system (measures 31-33) features a complex melodic line in the treble clef with slurs and accents, and a bass line with chords and slurs. The second system (measures 34-36) continues the melodic and harmonic development. The score concludes with a double bar line at the end of measure 36.



2.6 Chopin

The lyrical melody and the broken-chord accompaniment in this piece are attempts to imitate Chopin's distinct musical language. The arpeggiated figures in the accompaniment suggest Chopin's *bel canto* style which is a singing style from Italian opera. "Chopin" clearly establishes its A-flat tonality. The arpeggiated bass line functions as harmonic support. The tonality briefly tonicizes f minor in mm. 8-11 before returning to A^b, using the descending chromatic bass line to create a tonal tension (mm. 8-14) (Figure 2.6.1). However, "Chopin" is the only piece, which does not contain a Sphinx motto.



Regarding the Schenker graph, the *Urlinie* is clearly demonstrated in "Chopin". The initial $\hat{5}$ is established at the beginning. An interruption happens at m. 8 just before the tonality begins to establish in f minor. The fundamental line $\hat{4}-\hat{3}-\hat{2}-\hat{1}$ continues to project from m. 11 to the end. The diminutions consist of consonant skips and neighboring motions. The lyrical melody, the harmonic texture, and the phrase length reflect the feminine image, perhaps Clara as performer of Chopin's music.

Handwritten musical score for piano, consisting of five systems of staves. The score is in a key signature of two flats (B-flat and E-flat) and a common time signature. It features complex melodic lines with many accidentals and ornaments, and a bass line with triplets and other rhythmic markings. The systems are numbered 4, 7, and 10 on the left margin. A '5' with an accent is written above the first staff. A chord symbol $A^b M$ is written to the left of the second system. The notation includes various note values, slurs, and dynamic markings.

2.7 Estrella

“Estrella” represents Ernestine, who was Schumann’s fiancé as he composed *Carnaval*, although “Estrella” does not express many of the characteristics of Ernestine, who was pure, tender and thoughtful.³⁰ The first section consists of two phrases. The tonic pedal prolongs in the first two measures leading to the dominant in m. 3. There are ascending phrases in “Estrella” in contrast to Chiarina’s descents; such as the second phrase, which begins in m. 5, and expands into a length of eight measures. The melodic line ascends chromatically from F to C and ends on the dominant (mm. 5-12). In the middle section, the syncopation and the tied notes create a rhythmic ambiguity and suggests an overlapping 3/4 meter. Combined with the metrical conflicts, every weak beat is accented. The dynamic changes into *p* with *molto espressivo*. The emotions become complicated because of the conflict of meter and softer dynamics. An abrupt dynamic transition occurs in m. 29 to re-introduce the opening phrase. Thus, the transition between the sections seems harsh. The simple motion from V to I in the graph in mm. 26-29 is given a dramatic presentation in the music, due to the dynamic conflicts in different sections.

An autobiographical Sphinx 2 (As-C-H), which signifies Ernestine hometown Asch, is presented at the beginning of the piece. This motto appears again as the melody returns in m. 29. However, the letter motif, Sphinx 2, is not developed or transformed in “Estrella”. In terms of the Schenker graph, the *Urlinie* $\hat{3}-\hat{2}-\hat{1}$ is presented at the beginning, followed by a gradual chromatic ascent from $\hat{1}$ back up to $\hat{5}$. In the middle section, the initial note $\hat{5}$ is prolonged throughout. When the opening phrase returns in m. 29, the *Urlinie* $\hat{3}-\hat{2}-\hat{1}$ returns to round off

³⁰ Ibid. P. 296.

the piece. The fundamental structure changes along with the piece's change in moods, from *con affetto*, to *piu presto* and *molto espressivo*.

Handwritten musical score for piano, measures 3-32. The score is in G-flat major (two flats) and 4/4 time. It features a melody in the right hand and a bass line in the left hand. Measure numbers 3, 9, 16, 23, and 29 are indicated on the left. The notation includes various note values, rests, and dynamic markings such as 'p' and 'fm'. There are also some handwritten annotations like 'As', 'C', and 'H' in the first system.

2.8 Pantalon et Colombine

“Pantalon et Colombine” consists of three parts with a contrasting middle section. The piece shows a conflict between different keys. The f minor mode opening is opposed to the D^b major of the middle section. The opening section’s texture is based on *staccato* sixteenth-note figures (Figure 2.8.1). Its phrases are short and regular. The phrase is four measures in length. Double barlines are indicated every four measures to separate different sections. The musical motion contains arpeggiated chords. As stated above, the key opens in f minor followed by a D^b major middle section but resolves into F major at the end. We may suggest that Colombine pleads with her father for her beloved. But Colombine seems to thumb her nose at her father Pantalon in the final section.³¹



(Figure 2.8.1)

From m. 1 to m. 4, the melody is presented by the right hand with *staccato* articulation (Figure 2.8.1). In mm. 5-8, the left hand takes over the melody from the right hand. The rhythmic accent, *sforzando*, is emphasized in both hands in mm. 5-8. In the middle section marked “*Meno presto*”, the mood is suddenly changed through the tempo, harmony, and articulation. The slower tempo and the major mode tonality present a contrasting texture to the other sections. At m. 35 in the final section, there is a mode change from F minor to F major, together with a *ritenuto*, which transforms the emotion to *dolce* at the end. In “Pantalon et Colombine,” Sphinx 2 appears in the

³¹ John MacAuslan, *Schumann's Music and E.T.A. Hoffmann's Fiction*. Cambridge University Press, 2016. P. 318.

first three notes in the top voice. It returns as the melody repeats in m. 1, 9, 21 and 29. Although, the Sphinx motif does not belong to the harmonic texture, but it is projected as a consonant skip with a lower neighboring note motion.

In terms of the Schenkerian analysis, the basic gesture of this piece can be considered as compound melody. The melodic structures involve arpeggiation and partial arpeggiation. The voices show the voice-leading in vertical arrangement. The initial of $\hat{3}$ travels through passing motion and consonant skip to the small *Urlinie* $\hat{3}-\hat{2}-\hat{2}-\hat{1}$. The fundamental lines are clearly marked and complete themselves. They generally line up with the musical phrases in the different sections. The initial of $\hat{3}$ is established at the beginning, and continues down to $\hat{2}$ and $\hat{1}$ in mm. 4, 12, 24, and 32. In the middle section (mm. 13-20), there is a prolongation of F as $\hat{3}$ in the key of D major. The final *Urlinie* descent $\hat{2}-\hat{1}$ in F major is demonstrated in the last four measures. Thus, the phrase and harmonic progression are understood as acting together in concert with the descents of the fundamental line. The *Ursatz* binds together with the harmonic unity and formal repetition, to give unity and regularity to this portrayal of the interaction between Pantalon and Colombine.

Handwritten musical score for measures 1-6. The system includes a treble clef staff with a key signature of two flats (Bb, Eb) and a common time signature (C). The bass clef staff contains chordal accompaniment. Measure 1 features a treble clef staff with a 3-measure triplet and a bass clef staff with a chord labeled 'fm'. Measures 2-6 contain complex melodic lines in the treble staff with various ornaments and rhythmic markings, and corresponding chords in the bass staff.

Handwritten musical score for measures 7-12. The system includes a treble clef staff with a key signature of two flats (Bb, Eb) and a common time signature (C). The bass clef staff contains chordal accompaniment. Measure 7 features a treble clef staff with a 3-measure triplet and a bass clef staff with a chord labeled 'fm'. Measures 8-12 contain complex melodic lines in the treble staff with various ornaments and rhythmic markings, and corresponding chords in the bass staff.

Handwritten musical score for measures 13-17. The system includes a treble clef staff with a key signature of two flats (Bb, Eb) and a common time signature (C). The bass clef staff contains chordal accompaniment. Measure 13 features a treble clef staff with a 3-measure triplet and a bass clef staff with a chord labeled 'Dm'. Measures 14-17 contain complex melodic lines in the treble staff with various ornaments and rhythmic markings, and corresponding chords in the bass staff.

Handwritten musical score for measures 18-20. The system includes a treble clef staff with a key signature of two flats (Bb, Eb) and a common time signature (C). The bass clef staff contains chordal accompaniment. Measure 18 features a treble clef staff with a 3-measure triplet and a bass clef staff with a chord labeled 'Dm'. Measures 19-20 contain complex melodic lines in the treble staff with various ornaments and rhythmic markings, and corresponding chords in the bass staff.

Handwritten musical score for measures 21-26. The system includes a treble clef staff with a key signature of two flats (Bb, Eb) and a common time signature (C). The bass clef staff contains chordal accompaniment. Measure 21 features a treble clef staff with a 3-measure triplet and a bass clef staff with a chord labeled 'Dm'. Measures 22-26 contain complex melodic lines in the treble staff with various ornaments and rhythmic markings, and corresponding chords in the bass staff.

Handwritten musical score for two systems, measures 27-32 and 33-38. The notation includes treble and bass staves with notes, rests, and fingerings. Measure numbers 27 and 33 are indicated on the left. The score features complex chordal textures and melodic lines with various articulations and dynamics.

Empty musical staff.

Empty musical staff.

Empty musical staff.

Empty musical staff.

Empty musical staff.

Empty musical staff.

2.9 Paganini

“Paganini” is the most difficult piece to perform in *Carnaval*. Schumann imitates Paganini’s violin music as Paganini explored the limits of violin technique. The intervallic leaps imitate the violin bowing and the accompanying arm mechanics. The first section demonstrates rhythmic motion and *staccato* articulation (mm. 1-8). The contrasting middle section (mm. 9-24), it contains *legato* figures in the melody and chromatic melodies in the inner voices. The antecedent bass notes create dissonances and rhythmic displacements. Considering the tonal scheme, the tonality is built on f minor at the beginning. The middle section establishes the relative major key of A^b major. The transition before the return to the recapitulation is based on an f minor sonority (mm. 18-20). In the recapitulation section, the opening phrase reappears in an octave lower in m. 21. The A^b major sonority starts to establish itself in m. 35 and the piece pauses on a dominant E^b chord in m. 37 (Figure 2.9.1). This cadential point leads directly to a reprise of “Valse Allemande” (in A^b), which had preceded “Paganini”. Schumann depicted Paganini as a magician with humor and suggested the idea of the “Charlatan”.³² A “Charlatan” can often be a sorcerer who conjures a trick to bring on the resolution. Likewise, “Valse Allemande” resolves the E^b dominant seventh from “Paganini” into A^b major.

The image shows a musical score for the piece "Paganini" from Schumann's "Carnaval". It features two staves: a treble clef staff and a bass clef staff. The key signature is two flats (B-flat and E-flat), and the time signature is 3/4. The score includes various musical notations such as notes, rests, and dynamic markings. The first section (mm. 1-8) is marked *-simo*. The middle section (mm. 9-24) is marked *ppp*. The final cadence in m. 37 is marked with a double asterisk and the word "Pedale".

(Figure 2.9.1)

³² John MacAuslan, *Schumann's Music and E.T.A. Hoffmann's Fiction*. Cambridge University Press, 2016. P. 233.

In the Schenker graph, the *Urfinie* is decorated by consonant skips and the opening phrases project motions from $\hat{3}-\hat{2}-\hat{1}-\hat{2}$ in F minor, which line up with the formal structure. The bass line anticipates each chordal harmony and generates dissonant syncopation. In the middle section, the initial $\hat{3}$ is prolonged for two measures. In m. 12 a D^b enters, as an upper neighbor note toward the interruption $\hat{3}-\hat{2}$. The interruption occurs twice in accordance with the phrase in m. 12 and m. 16. In the recapitulation section, a motion $\hat{6}-\hat{5}$ in f minor is presented (m. 28). Afterwards, the prolongation of $\hat{5}$ establishes throughout the last eight measures until $\hat{2}$ appears before double barline. The *Ursatz* may not reflect Schumann's intention of his compositional imitation of Paganini's virtuosic violin music. But the textural complicity can be observed in the middleground and foreground levels. The fundamental line is prolonged by $\hat{5}-\hat{4}-\hat{3}$, $\hat{4}-\hat{3}-\hat{2}$ or $\hat{3}-\hat{2}$ with consonant skips, passing tones and neighboring tone motions.

Handwritten musical score for the first system, measures 1-6. The score is written in G-flat major (two flats) and 4/4 time. The right hand features a melodic line with triplets and slurs, while the left hand provides a harmonic accompaniment with chords and moving bass lines. Measure numbers 1, 2, 3, 2, 3, and 2 are written above the right hand staff. A double bar line is present after measure 3.

Handwritten musical score for the second system, measures 7-10. The notation continues from the first system. The right hand has a melodic line with slurs and accents. The left hand includes a chord labeled A^b_M in measure 8. Measure numbers 1, 2, 3, and 2 are written above the right hand staff. A double bar line is present after measure 3.

Handwritten musical score for the third system, measures 11-14. The right hand features a melodic line with slurs and accents. The left hand provides a harmonic accompaniment. Measure numbers 4, 3, 2, and 3 are written above the right hand staff. A double bar line is present after measure 3.

Handwritten musical score for the fourth system, measures 15-18. The notation continues from the third system. The right hand has a melodic line with slurs and accents. The left hand provides a harmonic accompaniment. Measure numbers 4, 3, and 2 are written above the right hand staff. A double bar line is present after measure 3.

17

Handwritten musical score system 17-20. The system consists of two staves. The upper staff is in treble clef with a key signature of two flats (Bb, Eb) and a common time signature. It features a melodic line with various ornaments, including a triplet of eighth notes at the beginning and several slurs. The lower staff is in bass clef with the same key signature and time signature, providing a harmonic accompaniment with chords and moving lines. The system concludes with a double bar line.

21

Handwritten musical score system 21-24. The system consists of two staves. The upper staff continues the melodic line from the previous system, featuring a triplet of eighth notes and a slur. The lower staff continues the harmonic accompaniment. The system concludes with a double bar line.

25

Handwritten musical score system 25-28. The system consists of two staves. The upper staff features a melodic line with a triplet of eighth notes and a slur. The lower staff continues the harmonic accompaniment. The system concludes with a double bar line.

29

Handwritten musical score system 29-32. The system consists of two staves. The upper staff features a melodic line with a triplet of eighth notes and a slur. The lower staff continues the harmonic accompaniment. The system concludes with a double bar line.

Handwritten musical score system 33-36. The system consists of two staves. The upper staff features a melodic line with a slur and a double bar line. The lower staff continues the harmonic accompaniment. The system concludes with a double bar line.

CHAPTER III

CONCLUSIONS

Carnaval consists of a succession of pieces with fleeting scenes and different characters. The 21 pieces are connected by a repeating motif. The structural plan, motivic repetition and tonal continuity are recognizable in this larger piano cycle. Each piece contains one of the three motifs: E^b-C-B-A, A^b-C-B or A-E^b-C-B. The combination of the ASCH motif, the dynamic differences, textural change, and the tempo indications make *Carnaval* distinctive from Schumann's other works. The texture reflects the character's personalities throughout different articulations, dynamic levels, and changes of tempo, rhythm, and harmony. However, the three Sphinxes represent a significant meaning in *Carnaval* from the literal aspect, even though the motivic materials are not being developed or transformed through the music. In some pieces, the motif is hard to detect.

In terms of the characterization in *Carnaval*, each piece in *Carnaval* is in accordance with the character's personality as its title suggests. These musical characters are made more prominent by rhythm, harmony, and timbre. In his writings, like in *Carnaval*, Schumann often juxtaposed "Florestan" and "Eusebius" together to demonstrate contrasting characters and express his dual personality. Florestan is characterized as passionate, while Eusebius is quiet and thoughtful. Schumann used a lower dynamic range, long legato phrases, and a lyrical melody to describe Eusebius. Whereas Florestan is featured with a quick moving passage, different tempos in different sections, and high dynamic levels at the climax.

The two traditional clowns of *commedia dell'arte*, "Pierrot" and "Arlequin", appear with bipolar personalities. Pierrot is melancholic and shy; Arlequin is playful and witty. Their musical depictions are like those of Eusebius and Florestan. Another pair of *commedia dell'arte* figures "Pantolon et Colombine" appear together in a piece that contains varied gestural implications. The

minor mode opening is opposed to the D^b major middle section. The cranky clown Pantalón is reflected by the *staccato* articulation and rhythmic motion. The lyrical section in *legato* suggests Colombine's temper. Furthermore, Schumann's friends, Clara, Ernestine, Chopin, and Paganini, were introduced on the basis of their characteristics or musical style. Clara was described with passion in "Chiarina". The repeated melody in *fortissimo* octaves depict Clara's confidence and agitated emotion. The small *Urlinie* in the middleground suggests Schumann's passion for Clara. Ernestine was presented with contrasting moods in the different sections of "Estrella". The feeling of tenderness in the opening and the expressive middle section suggests Ernestine's pure and tender characteristics. "Chopin" and "Paganini" depict their characters and compositional styles. "Chopin" is the only piece that does not include the Sphinx motif. Schumann imitated Paganini's virtuosic violin technique and transcribed it on the piano. The wide leaps by both hands on the piano represent a rapid change of strings and short bow on the violin. "Florestan" and "Paganini" are fragmentary character pieces in *Carnaval*.

One of the main purposes of my thesis was to show how Schenkerian analysis can support the various depictions of characters in *Carnaval*, as well as describing the relationships between motif and musical structure. Concerning the latter, the ASCH motif is not prominent in some pieces, and it is often hidden in the harmonic texture. Its notes tend to decorate the middleground lines of an opening phrase. The Schenkerian structures themselves also illustrates the various characters. The middleground reflects the character's emotion and inner side. The complicity of the character can be observed through the middleground and foreground levels. For example, in "Eusebius", the *Urlinie* moves slowly and deliberately through a small fundamental line $^5-^4-^3$ or $^5-^4-^3-^2$ and in the way suggests his inner mood. In "Eusebius", the neighboring motions reflect Eusebius as an emotional thinker. The middleground level describes Eusebius's sentimental

characteristics. Additionally, the emotion sometimes becomes complicated because of the conflict of meter or dynamics. For example, in “Paganini”, the antecedent bass notes create dissonances and rhythmic displacements. It reflects Paganini as a passionate artist, and a magician of humor.

Furthermore, the interruption and incomplete beginnings of *Urlinie* often suggest a dramatic moment or passionate forward motion. In “Arlequin,” the entry of the fundamental line on \wedge^4 (and V7) depicts his headlong nature. In “Florestan,” the continual interruptions to \wedge^2 in g minor portray his unsettled nature. Only rarely do we hear a complete fundamental line—as part of the “Papillon” quote at m. 19, and again at m. 36 (but not at the final cadence). I have found in general that the careful use of Schenkerian analyses strengthen and support many of the points about characterization that I was able to make based on texture, rhythm, and dynamics.

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