SCHUMANN'S PIANO CYCLES
AND THE NOVELS OF JEAN PAUL:
ANALOGUES IN DISCURSIVE STRATEGY

by

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A thesis submitted in conformity with the requirements
for the degree of Doctor of Philosophy
Graduate Department of Music in the
University of Toronto

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Abstract: Schumann's Piano Cycles and the Novels of Jean Paul: Analogues in Discursive Strategy

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Robert Schumann's enthusiasm for the works of the novelist, essayist, and satirist Jean Paul Friedrich Richter is well-documented. As yet, however, little attention has been devoted to similarities of technique and aesthetic between Jean Paul the novelist and Schumann the composer. My dissertation examines narrative discourse, self-referentiality, intertextuality, defamiliarization of stylistic models, and other discursive strategies typical of Jean Paul as they occur in Schumann's piano cycles of the 1830s. An introduction to Jean Paul's most striking literary tendencies precedes close readings of works which have received scant critical attention in the past, and none of which has been thoroughly examined in light of Jean Paul scholarship.

An Introduction surveys the treatment of Jean Paul and Schumann in the secondary literature and also outlines my critical methodology. Chapter 1 introduces Jean Paul to a musicological audience. Major stylistic trends in his work are examined, particularly his digressive narrative style.

Chapter 2 centres around Schumann's first two piano cycles, *Papillons* and *Intermezzi*. These both take Schubert's suites of waltzes for piano solo and duet as their initial structural model, which is then subverted to the point of near-unrecognizability. *Carnaval* is based on the idea of the waltz suite. An intensive
analysis in Chapter 3 examines the extent to which Jean Paul's unusual literary techniques have infiltrated Schumann's musical style.

Chapter 4 considers Kreisleriana, op. 16, Fantasiestücke, op. 12, Faschingsschwank aus Wien, op. 26, and Novelletten, op. 21, which also display traces of larger forms while preserving the cyclic model of Carnaval. Schumann's new preoccupations parallel a similar phase in Jean Paul's career.

Alongside his major novels, Jean Paul produced a number of shorter works which he dubbed "idylls", and which contain equal proportions of satire, humour, and the picturesque. Chapter 5 contains analyses of the Arabeske, Blumenstück, and Humoreske and their resonance with Jean Paul's idyllic style.
Acknowledgements

A dissertation, like a Jean Paul novel or a Schumann piano cycle, is not created in isolation. It is a collaborative, intertextual effort, and I cannot begin to give proper credit here to all those who have helped and inspired me throughout this process.

Long before I arrived at the University of Toronto, I was fascinated by Schumann's intimate relationship with the literature of his time. James A. Stark, Janet Hammock, and Thilo Joerger of Mount Allison University and Glenn Stanley of the University of Connecticut at Storrs encouraged me immensely. Prof. Joerger has continued to provide advice and friendship (and a 12-volume edition of Jean Paul's major works).

As I proceeded with doctoral studies, my advisor, Gaynor Jones, was like a one-woman Davidsbund; her guidance, friendship, advocacy, and Romantic spirit have made it possible for me to come this far. I am deeply grateful to Caryl Clark for the innumerable ways in which she helped and advised me. She is a true role model. Robert Falck and Mary Ann Parker have provided welcome suggestions and support all along the way. Linda and Michael Hutcheon made me feel like a colleague, not a student, and boosted my confidence in my literary-critical abilities. My thanks are extended to Prof. Hans Eichner, a doyen of Schlegel and Jean Paul studies in this century, who approved an early draft of Chapter 1, and to Prof.
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The Social Sciences and Humanities Research Council of Canada, the Ontario Graduate Scholarships, and a Connaught Fellowship of the University of Toronto made my studies possible. An Associates Travel Grant from the School of Graduate Studies at the University of Toronto enabled me to visit research centres in Germany in June 1995. My hosts there were unfailingly welcoming and helpful, and their assistance solved many a puzzle. I thank Dr. Bernhard R. Appel and Dr. Matthias Wendt of the Robert-Schumann-Forschungsstelle, Düsseldorf; Dr. Karl-Wilhelm Geck, director of the Musikabteilung, Sächsische Landesbibliothek, Dresden; Dr. Oswald Bill, director of the Musikabteilung, Hessische Landes- und Hochschulbibliothek, Darmstadt; and especially Dr. Gerd Nauhaus, director of the Robert-Schumann-Haus, Zwickau, whose generosity, patience, and deciphering expertise were invaluable.

Without the constant support of friends and family, I would certainly have stopped far short of my goal. Rosanne King, Rebecca Green, Michelle Bird, Chris Morris, Judy Kehler Siebert, Katherine Hill, and Nancy Hennen shared my academic and other burdens. Sue Dexter and her centre des études pushed me over the last and largest humps. The staff and students at ProVoce Studios helped me win my daily bread, materially and spiritually; Lee Ramsay and Michael Herren were especially motivating. Most of all, my parents, Barry and Mary Lou
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Of my husband, Brian Power, I can only say that his name should be on the title page above mine. Were I to enumerate his contributions of the past six years, the list would be longer than the dissertation itself. I dedicate this work to him and ask, as Robert Schumann asked Clara Wieck: "Bist Du wirklich so glücklich durch meine Liebe, wie ich durch Deine?"

Erika Reiman

November 1998
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Introduction

For many years, Schumann studies moved forward at a snail's pace. The primary source of information about Schumann was the composer himself and his voluminous writings, in the form of letters, diaries, attempts at fiction, and journalistic pieces in the Neue Zeitschrift für Musik and elsewhere. Georg Eismann and Gerd Nauhaus were among the leading figures in bringing much of this material to the scholarly public, often for the first time in an enlightened editorial context.¹ Biographies appeared at regular intervals, beginning with Joseph von Wasielewski in 1858; other notable early biographers included Frederick Niecks, Hermann Abert, and Marcel Beaufils.² Analysis of Schumann's works was limited,


notable mostly for Tovey's essays on the symphonies and piano concerto\textsuperscript{3}; remarks on Schumann's literary proclivities were confined to barely augmented citations from the composer's own words. The exception to this trend was Wolfgang Boetticher, whose voluminous efforts were fatally compromised by ideological stances unacceptable to modern readers.\textsuperscript{4}

The 1960's and 1970's saw a spate of comprehensive overviews such as those of Gerald Abraham and Alan Walker; the authors that contributed to these compilations were, in many cases, breaking entirely new ground. Kathleen Dale's article on the piano music in Abraham's symposium was pioneering.\textsuperscript{5} Through the scholarship of this period, understanding of Schumann's works grew exponentially, particularly with regard to the larger works such as the symphonies and chamber music. Throughout this period, however, the relationship of

\footnotesize

\textsuperscript{3}Sir Donald Francis Tovey, \textit{Essays in Musical Analysis} (London: Oxford University Press, 1981), vol. 1, pp. 469-492; vol. 2, pp. 198-206.


Schumann's works to their cultural and literary context remained obscure; the instrumental works in particular seemed to have little to offer in this sense beyond their colourful titles. Schumann's dual interest in music and literature was a standard topic for biography openings, and his statement that "everything in the world" affected him was frequently cited. Beyond this no one dared to go, for the norms of positivistic scholarship allowed nothing more.

With the onset of the "new musicology" in the 1980's came a renewed interest in Schumann's music. Literary-critical approaches to music, as explored by Carolyn Abbate, Jean-Jacques Nattiez, Anthony Newcomb, Lawrence Kramer, Steven Paul Scher, and many others, made their way into the mainstream of nineteenth-century music criticism. As the initial controversies regarding the attribution of meaning to music began to settle, scholars turned their attention to Schumann, whose obvious literary bent made him a key figure for possible narrative or structuralist approaches. Anthony Newcomb's article "Schumann and Late Eighteenth-Century Narrative Strategies" was a tentative dip into the waters of

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the topic, while John Daverio's "Schumann's 'Im Legendenton' and Friedrich
Schlegel's Arabeske" of 1987 opened the eyes of the musicological world to the
possibilities of its subject. German-speaking scholars such as Gerhard Dietel and
Bernhard Appel also contributed to the growth of knowledge in this area, while
Peter Kaminsky and Patrick McCreless were among the writers who provided a
music-theoretical foundation for new approaches to Schumann's music.7

Central to these investigations were key German Romantic figures such as
Friedrich Schlegel and E. T. A. Hoffmann, both of whom were well-known to
Schumann. Yet the composer's favourite author, Jean Paul Friedrich Richter,
remained a marginal figure in this scholarly thread. Newcomb and Daverio
referred to him on several occasions, and Jean Paul played a more significant role
in Daverio's 1993 monograph Nineteenth-Century Music and the German
Romantic Ideology than ever before in relation to Schumann.8 The methodological

7C.f. Anthony Newcomb, "Schumann and Late Eighteenth-Century
"Schumann's 'Im Legendenton' and Friedrich Schlegel's Arabeske."
Nineteenth-Century Music 11 (1987): 150; Gerhard Dietel, Eine neue poetische
Zeit: Musikanschauung und stilistische Tendenzen im Klavierwerk Robert
Schumanns (Kassel: Bärenreiter, 1989); Bernhard R. Appel, "R. Schumanns
Humoreske für Klavier op. 20 : zum musikalischen Humor in der ersten Hälfte des
19. Jahrhunderts unter besonderer Berücksichtigung des Formproblems" (Ph.D.
diss., Saarbrücken, 1981); Peter Kaminsky, "Principles of formal structure in
Patrick McCreless, "Song Order in the Song Cycle: Schumann's Liederkreis, op.

8John Daverio, Nineteenth-Century Music and the German Romantic
basis for comparisons of Jean Paul to Schumann rested largely on isolated
passages from Jean Paul's novels and from his treatise *Vorschule der Ästhetik*.
Primary were the last chapters of *Flegeljahre*, long recognized as related to the
cycle *Papillons*, op. 2, and the section in the *Vorschule* on the concept of *Witz*.
Valuable as these concepts were, however, they did not represent a
comprehensive view of Jean Paul's art and thought. It is such a view, based on a
thorough reading of Jean Paul's most important works of fiction, that I wish to apply
to a reading of Schumann's music in this dissertation.

Missing from these trends in Schumann scholarship is a thorough
investigation of Schumann's sketches and original manuscripts. It is only in the
past several years that such work has begun to emerge. Linda Correll Roesner
was for many years one of the few scholars prominent in this area, but Michael
Jude Luebbe's recent dissertation on the sketches for the piano music and

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"Flegeljahre", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 1070-1088;
ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 169-207. The most
prominent discussion of the relationship between *Flegeljahre* and *Papillons* thus
far has been Edward Lippman, "Theory and Practice in Schumann's Aesthetics,"
*Journal of the American Musicological Society* 27 (1964): 310-345, though many
others have commented on it.
Matthias Wendt's sketch studies, still in progress, are welcome signs.\textsuperscript{10}

Accessibility and legibility have been major problems in Schumann source studies, and these problems influenced my decision to embark on a consideration of Schumann's literary models rather than a study of his compositional process.

For several reasons, I have chosen to focus my discussion on the piano cycles of Schumann rather than his other works for piano or his songs, chamber music, or symphonies. Although I am convinced that Schumann's reading of Jean Paul left traces in his entire oeuvre, it is in the piano cycles -- the works that follow no conventional formal guidelines -- that the composer was freest to develop structural patterns reminiscent of those found in Jean Paul's novels. These works represent Schumann's earliest compositional development, and are closest chronologically and spiritually to his youthful involvement with Jean Paul. These highly original, often eccentric works, unfettered by preconceived formal requirements, are perhaps Schumann's most distinctive contribution to the literature. Schumann's sonatas and variations for piano are by no means conventional, but they depend on a strong, recognizable structural foundation for their effectiveness. His songs include no settings of Jean Paul, who was not

primarily a poet. The chamber music and symphonies are the result of a new stage in the composer's life; after his marriage, Schumann sought respectability and recognition as an artist. With his wife's encouragement he began to explore the classical genres. The eccentricities and originality of Schumann's early style never entirely disappear from his later work, and in his last years the composer returned to the piano with such cycles as Waldszenen, op. 82, Drei Fantasiestücke, op. 111, and Gesänge der Frühe, op. 133, all of which share many traits with the cycles of the 1830's. It is these early works, however, that display Schumann at his most exuberantly self-expressive. Their distinctive formal, textural, and harmonic gestures impregnate all of his later work, and, as I will argue, show numerous commonalities with the style of Jean Paul.

The following table summarizes all of Schumann's works in this style, which I refer to throughout the dissertation as "cycles". This term is in many respects preferable to other conventional designations applied to these works in the past. "Suites" implies a Baroque precedent, while "miniature collections" indicates a false sense of scale and delineation between individual movements. "Set of character pieces" does not distinguish Schumann's work from the mass of salon music for piano being published at the time, nor does it recognize the frequent changes of character within the pieces. The term "cycles" implies, correctly, a structural kinship with the song cycles of 1840; thematic connections between pieces; return of extant material; and intertextuality, all of which play crucial roles in
these works. The works in bold print are the ones which receive the most concentrated attention in the dissertation.

**Table 1: Schumann's Piano Cycles**

<table>
<thead>
<tr>
<th>Opus number</th>
<th>Title</th>
<th>Date of publication</th>
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<tbody>
<tr>
<td>2</td>
<td><em>Papillons</em></td>
<td>1831</td>
</tr>
<tr>
<td>4</td>
<td><em>Intermezzi</em></td>
<td>1833</td>
</tr>
<tr>
<td>6</td>
<td><em>Davidsbündlertänze</em></td>
<td>1837/8 (First version)</td>
</tr>
<tr>
<td>9</td>
<td><em>Carnaval</em></td>
<td>1837</td>
</tr>
<tr>
<td>12</td>
<td><em>Fantasiestücke</em></td>
<td>1838</td>
</tr>
<tr>
<td>15</td>
<td><em>Kinderszenen</em></td>
<td>1839</td>
</tr>
<tr>
<td>16</td>
<td><em>Kreisleriana</em></td>
<td>1838 (First version)</td>
</tr>
<tr>
<td>18</td>
<td><em>Arabeske</em></td>
<td>1839</td>
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<tr>
<td>19</td>
<td><em>Blumenstück</em></td>
<td>1839</td>
</tr>
<tr>
<td>20</td>
<td><em>Humoreske</em></td>
<td>1839</td>
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<tr>
<td>21</td>
<td><em>Novelletten</em></td>
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<td>23</td>
<td><em>Nachtstücke</em></td>
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<td>26</td>
<td><em>Faschingsschwank aus Wien</em></td>
<td>1841</td>
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<tr>
<td>28</td>
<td><em>Drei Romanzen</em></td>
<td>1841</td>
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<tr>
<td>32</td>
<td><em>Scherzo, Gigue, Romanze, und Fughetta</em></td>
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<td>1852</td>
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<td>111</td>
<td><em>Drei Fantasiestücke</em></td>
<td>1852</td>
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<td>124</td>
<td><em>Albumblätter</em></td>
<td>1852</td>
</tr>
<tr>
<td>133</td>
<td><em>Gesänge der Frühe</em></td>
<td>1855</td>
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</tbody>
</table>
The cycles which receive the most attention here are the most representative examples of major trends in Schumann's invention and development of this genre. Papillons, Intermezzi, Carnaval, and Davidsbündlertänze form a clear line of succession. All four of these cycles have as their central idea the Walzerkette, or waltz chain, which was rapidly becoming a major genre of popular music at the time. Schumann almost certainly knew the waltzes of Lanner and Johann Strauss Sr., but his primary inspiration here was the dance music of Schubert for piano duet.\(^{11}\) With Papillons, Schumann transformed the Walzerkette into an abstract instrumental work, still recognizable in outline but utterly changed in function and detail. The later Intermezzi, Carnaval, and Davidsbündlertänze each build on this foundation, reshaping popular music -- Carl Dahlhaus's Trivialmusik -- into new, individual hybrids.\(^{12}\) The reinvention of popular, lowbrow material is a central concept in the works of Jean Paul. Chapters 2 and 3 of this dissertation are devoted to an examination of this notion as it manifests itself in Jean Paul and Schumann.

Similarly, sonata form became a topic of later, ambitious cycles such as Fantasiestücke, Kreisleriana, Novelletten, and Faschingschwank aus Wien. As


Schumann matured as an artist, his concern for his position vis-à-vis the musical canon grew quickly. From 1835 onward, he made works in sonata form central to his output. Like his protégé Brahms, he was intensely concerned with his relationship to Beethoven, and this preoccupation could not fail to seep into his compositions. While Schumann’s piano sonatas are obviously worth examining in this light, his piano cycles, too, show strong evidence of the impact of Beethoven and sonata form on his musical thought. Jean Paul’s coming to terms with his Classical contemporaries and predecessors provides a valuable point of comparison here, one explored more thoroughly in Chapter 4. Another work discussed in that chapter is Kinderszenen, op. 15, which shapes itself somewhat differently, but has important points in common with the larger cycles. It is perhaps Schumann’s most frequently-performed work and could hardly be ignored in this context.

Chapter 5 examines a group of three works in single-movement form, the Arabeske, Blumenstück, and Humoreske. These pieces differ in important respects from the cycles in general and are unique in Schumann’s oeuvre. Yet their structural, generic, and stylistic commonalities with the other cycles of this period are indisputable. A similar position in Jean Paul’s writing is occupied by his idylls, works which present a microcosm of the eccentric, colourful world painted by the longer novels. These three pieces of Schumann, then, form a coherent unit.

13See Bodo Bischoff, Monument für Beethoven: die Entwicklung der Beethoven-Rezeption Robert Schumanns (Cologne, Rheinkassel: Dohr, 1994).
representing a distinct stylistic manner adopted by the composer in the years 1838 and 1839. Other cycles from this period, however, do not demonstrate such distinctiveness or individuality. The Nachtstücke, while fascinating, are on a smaller, less intricate scale than other works and do not represent a departure from Schumann’s earlier work, while the Romanzen, op. 28, are a clear stab at marketability and popular acceptance. The Scherzo, Gigue, Romanze, and Fughetta, as their titles suggest, are skilled reconstructions of existing genres.

In the 1850’s, Schumann returned to the piano cycle and began to reread Jean Paul, but his works of that period do not depart significantly from the precedents he had established for himself in the 1830s. The Waldszenen, Bunte Blätter, and Drei Fantasiestücke are closely modelled on their ancestors, as are the Gesänge der Frühe, although these -- Schumann’s last published piano work -- exhibit an otherworldly quality perhaps comparable to the poetry of Hölderlin, from whom Schumann took his title.14 The Bunte Blätter not only follow the model of the earlier cycles structurally and generically, but incorporate pieces originally intended for works such as Carnaval.15 Finally, the Album für die Jugend and Albumblätter are larger collections of pieces, often very small in scale, which are driven by educational and commercial purposes incompatible with the experimental nature of the earlier cycles. In many cases, they serve as repositories


15Ibid., 443.
for earlier pieces, and were certainly not conceived in the unified manner of the works of the 1830's.

Choosing works to include in the dissertation, then, was a relatively easy task. Developing a methodology for the exposition of the relationship between Jean Paul and Schumann, however, was a long and sometimes tortuous process. My initial conviction that this project, however risky, was possible was strengthened by the work of Carolyn Abbate in *Unsung Voices*. Her ingenious delineation of "special" moments in opera and instrumental music, particularly in Dukas's *L'apprenti sorcier*, provided important conceptual and linguistic models.\(^{16}\)

Lawrence Kramer in *Music and Poetry: The Nineteenth Century and After* showed me that it was possible to talk about cultural trends appearing simultaneously in visual art, music, and literature without positing untenable programmatic allusions in purely instrumental music.\(^{17}\) My initial notion of the dissertation was an exploration of Schumann's cultural solidarity with a number of German authors of his generation and the previous one, including Heine, Hoffmann, and Eichendorff.

Upon reading Jean Paul for the first time, however, I quickly discovered the individuality and originality of this underappreciated writer. My intuition that the


thought processes needed to follow and comprehend Jean Paul were almost identical to those involved in listening to Schumann begged for elucidation. After ploughing my way through five immense Jean Paul novels and an aesthetic treatise, I began to search for methodological models in the literature of critical theory.

My search was eventually rewarded. The essays of the Russian Formalists -- principally Viktor Shklovsky, Boris Tomashevsky, Vladimir Propp, and Yuri Tynyanov -- provided a pre-structuralist approach that perfectly suited the digressive, self-conscious persona of the author Jean Paul; in its similarity to the formal analysis of music, the approach represented a possible point of convergence between discussions of Jean Paul and Schumann.¹⁸ As it happened, the novels of Laurence Sterne were a major preoccupation for the Formalists as they were for Jean Paul, but Propp’s investigation of the basic plot elements of Russian folktales also proved useful. I realized, however, that many literary scholars regarded the Formalists as having been long superseded by later critics.

Elements of the Formalists' work, however, have persisted throughout this century's legacy of critical theory. Mikhail Bakhtin's theory of carnival is indebted to the Formalist approach to the recombination of traditional narrative elements.\(^\text{19}\) Structuralist analysts such as Claude Lévi-Strauss, Ferdinand Saussure, and Gérard Genette expand on the building-block approach of Shklovsky and Tomashevsky, applying linguistic structures to narrative discourse. Even Jacques Derrida, whose purpose seemed to be to destroy the structuralist project, required the existence of that project in order to posit its opposite in his notions of \textit{écriture}.\(^\text{20}\)

In tracing the history of notions of structure and its destruction/deconstruction through decades of criticism, I was gradually able to come to terms with an abstract concept of structure that would be equally applicable to music and literature, in that both these arts unfold in time in a linear manner. This concept would not involve direct narrative parallels, since no strong evidence could be marshalled in favour of Schumann's programmatic intentions; rather, it would trace the play of existing genres and tropes in the works of Jean Paul and Schumann, recognizing which elements of these works had been received from earlier artworks, which had been conflated with one another, which had been defamiliarized -- to use the Formalist term -- and which had been newly invented. This process was a risky one, and


was by no means predetermined by any one mode of critical perception. Rather, I attempted to confront each important work of Schumann on its own terms. Schumann had never slavishly followed a preexistent formal or generic model in these works, and it was impossible for me to do so as a consequence. Instead, I attempted to approach each work from a fresh perspective, first writing empirical analyses that delineated structural, self-reflexive, intertextual, and entirely original elements within each cycle, then drawing on my reading of Jean Paul and on the extensive secondary literature surrounding Jean Paul to discover comparable, even analogous processes.

In the midst of this phase of my work, John Daverio's *Nineteenth-Century Music and the German Romantic Ideology* was published.\(^1\) I was gratified to discover that Daverio's comparisons of Romantic literary concepts with Schumann's musical procedures were based on a similar approach to my own. His work also convinced me that my focus on Jean Paul alone was well-founded, since he himself depended not only on Jean Paul but also on Schlegel and Hoffmann for his literary material. Although I was convinced by Daverio's elucidation of Jean Paul's concepts of *Humor* and *Selbstvernichtung* in a musical context, I felt that a larger picture of Jean Paul's achievement was necessary to discuss Schumann's work effectively. The result is the present series of discussions, based largely on structural readings of Jean Paul's major novels.

An important stage in the development of the dissertation was a research trip to Düsseldorf, Darmstadt, Dresden, and Zwickau, where I was fortunate enough to be able to examine Schumann's copy of the complete works of Jean Paul in their 1827 edition. Although this study is not oriented around sketches, manuscripts, or other archival evidence of compositional process, it does reveal that Schumann's annotations of Jean Paul's works reflected his structural preoccupations. The 57 volumes of the edition are now kept in the Robert-Schumann-Haus in Zwickau, where they sit in a display case in the main exhibit hall, along with the Schumanns' 1840 Graf fortepiano and various other treasures. (Zsch:Sch6079, 1-23 A4/C1)

The editions are heavily annotated; not all of the pencil and pen markings are in Schumann's hand, but according to Gerd Nauhaus, director of the Robert-Schumann-Haus, many of the pencilled markings in the margins of the novels and the *Vorschule der Ästhetik* may safely be attributed to him. Some of the annotations relate to Schumann's "Dichtergarten" project, a selection of music-related passages from various well-known literary works, but others appear merely to mark passages that struck the composer afresh on his rereading of the works. The types of passages favoured by Schumann will resonate considerably with the discussions of Jean Paul and Schumann that are to follow.

The five major novels receive the lion's share of Schumann's attention, with *Siebenkäs* and *Flegeljahre* very extensively marked, and *Hesperus* and *Die unsichtbare Loge* moderately so. *Titan*, unfortunately, has been very heavily
marked in pen by another hand, rather unintelligently, with the apparent intention of highlighting the first appearance of each character. The distinction between these markings and any of the composer's has thus been irretrievably blurred. The *Vorschule der Ästhetik* also contains several pencil markings, though only a moderate number, while *Levana*, an educational treatise, has been sparingly canvassed for music-related material. Several of the later volumes have musical passages that are marked in pencil, such as the digressive essay “Elende Extrasilbe über die Kirchenmusik”, in *Hesperus*, but only the major novels and the *Vorschule* contain markings unrelated to the “Dichtergarten” project. These markings provide support for the notion that Schumann, rereading Jean Paul's novels, retained a detailed, sensitive understanding of these works on many levels.

Among the characteristically Jean-Paulian passages that Schumann chose to distinguish are parts of the preface to *Siebenkäs*, which features the author as a character and is highly self-reflexive in other ways; Jean Paul's speech to Lenette in *Siebenkäs*, a prime example of the author's tendency to comment on his own plotlines and characters; a passage in *Flegeljahre* in which Vult, the forerunner of Florestan, satirizes the German middle class; a passage in *Die unsichtbare Loge* marked “Von hohen Menschen”, a didactic-philosophical digression; several

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aphorisms and unrhymed poems called *Polymeter*, also known as *Streckverse*, in *Flegeljahre*; a passage about the concept of *Witz* in the *Vorschule der Ästhetik*; and, in both *Flegeljahre* and *Siebenkäs*, scenes featuring the beauty of nature and the way in which natural beauty leads to transcendental experiences for Jean Paul's protagonists. Schumann could easily have used his chosen citations as the basis for a well-documented essay on Jean Paul's prose style and narrative strategies. My intention here is not to correlate Schumann's markings specifically with passages in his piano works, but merely to demonstrate that Schumann's sense of Jean Paul's style and substance was as acute as that of any literary critic.

Even if Schumann's annotations of Jean Paul did not exist, however, I would still have proceeded with my study. The similarities of structural procedure, generic coding, and stylistic sensibility in Jean Paul's novels and Schumann's cycles were too striking to leave unexamined. I am convinced that one hears Schumann differently after reading Jean Paul, and recent developments in music criticism made it possible for me not so much to quantify this rehearing, but to trace its roots in the works themselves. The study that follows is meant to probe more deeply into the conventional understanding of Schumann's music as, in the words of Carl Dahlhaus, "permeated by the spirit of Jean Paul." 24

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Throughout the dissertation, I refer to the Henle Urtext edition of Schumann’s piano works, edited by Wolfgang Boetticher. Though Boetticher’s musicological investigations are ideologically questionable, his editions of the cycles are the best available to us at the present time. The editions of Clara Schumann and Johannes Brahms are suspect simply because the editors chose to normalize passages they saw as eccentric, without any clarifying comment. Schumann scholars now await the publication of the new Robert-Schumann-Ausgabe, under the direction of Akio Mayeda and others associated with the Robert-Schumann-Forschungsstelle in Düsseldorf. The Hanser edition of Jean Paul’s works is the current standard, and I refer to it throughout. All translations, whether of Jean Paul or of Schumann, are my own unless otherwise indicated.
Chapter 1: Jean Paul and his Novels

Schumann's letters and diaries give evidence that he was concerned with Jean Paul throughout his life, but his original encounters with Jean Paul's works took place in the mid- to late-1820s, and his personal writings from this period reflect the wallop he felt from his collision with the five great novels, in particular. He had certainly read all of them by 1828, the year he made a pilgrimage to the Bavarian towns of Hof and Bayreuth, southwest of his hometown, Zwickau. In Bayreuth, Schumann visited Jean Paul's last home and gravesite, and noted in his diary: "Jean Pauls Grab ... tiefer Schmerz ... Jean P. Stube u. Stuhl ... Eremitage ... - freundliche Erinnerungen an Jean Paul-...Spaziergang auf die Fantasie -- Denkmäler -- Polymeter".¹ The "Fantasie" is a palace outside of Bayreuth which served as backdrop for several crucial scenes in Jean Paul's novel Siebenkäs, while a Polymeter is an unrhymed prose poem contained within a short paragraph, a form "invented" by Walt, the hero of the novel Flegeljahre (later to be better known as Schumann's Eusebius character). Probably what Schumann was indicating here was that he himself had written a Polymeter inspired by his Bayreuth visit; not an unlikely prospect, since several Polymeter poems by Schumann survive elsewhere. Schumann's intimacy with Jean Paul's novels is obvious from this vivid episode in his diary, and is confirmed by many other such entries, most from the same period. Here are some representative samples:

(1) Jean Paul hat mich selten befriedigt, aber immer entzückt: ein Unbefriedigtesyn ruht aber, wie eine ewige Wehmuth in jeder Entzückung, aber nach der Entzückung wird es einem so recht innig wohl, wie wenn ein Gewitter mit einem Regenbogen am Himmel gestanden hätte.  


(3) "[Semmel] sagte neulich, wie gern er sterben möchte: er war ganz außer sich u. es war eine Jean Paul's Scene"  

(4) "J. Paul hat dreierlei Geist, Gemüt, Humor, Witz, wie der Truthahn dreierlei Fleisch; eins erklärt das andre u. sind so nahe verwandt, wie das Fleisch beyrn Truthahn."  


(6) Bey der Musik schläfert er [Emil Flechsig] gar ein u. JPaul versteht [er] nicht, liest höchstens einige Capitel aus einer -- Logik."  

(7) "Jean Paul ... u. Beethoven hängen in meiner Stube nebeneinander; sie haben schon manche Menschen unglücklich gemacht; denn der Mensch ward zu hoch gestimmt und konnte nicht glücklich seyn -- aber doch auch glücklich. Bey mir wird es Wehmuth, aus Wonne u. Schmerz zusammengesetzte Entzückung -- -- --."


3 Ibid., 82-83.  
4 Ibid., 93.  
5 Ibid., 105.  
6 Ibid., 82.  
7 Ibid., 107.  
8 Ibid., 103-104.
These citations all stem from Schumann's late adolescence, just before his career as a composer really began. Yet the eighteen-year-old Gymnasiast displays here a real feeling for Jean Paul's most distinctive stylistic qualities. Excerpts (1) and (2) are testament to Schumann's strong emotional reactions to Jean Paul. The first, a comparison of overwhelming emotions to the striking visual effect of a rainbow, also reveals Schumann's sympathy with Jean Paul's use of natural scenes, a kind of extended pathetic fallacy. In the second, the teenager presents a chicken-and-egg dilemma: is he so much like Jean Paul that he would have written ("dichtete") the same way in any case, or has his personality been forever changed by his reading experiences? Excerpt (3) shows that Schumann was capable of parsing everyday life in terms of Jean Paul's novels. In excerpt (4), Schumann displays a surprisingly mature understanding of Jean Paul's style; "Humor" and "Witz" are aesthetic categories Jean Paul applied to his own work in the Vorschule der Ästhetik, and the comparison of literary devices with a turkey's flesh is just the sort of "witty", far-fetched comparison that makes Jean Paul's prose so striking and, to some, arcane. Similarly, in excerpt (5), Schumann intuits a key concept in Jean Paul's works that will become crucial for his own musical and literary future: the idea of complementary, dual personalities, not so much Doppelgänger as spiritual twins, that will culminate in Schumann's own Florestan and Eusebius characters and in the tonal dualism of many of the piano cycles of the 1830s. In excerpt (6), Schumann berates his best school friend, Emil Flechsig, for lacking the proper enthusiasm for Jean Paul, while in the final passage, Schumann associates Jean Paul with one of his musical idols, Beethoven
(elsewhere, he compares Jean Paul with Schubert). Clearly, the Bavarian writer was central to Schumann's rapidly developing artistic personality.

Lest it be thought that Schumann's infatuation with Jean Paul was merely an adolescent phase, it should be noted that the composer read and re-read Jean Paul throughout his life. The most famous and often-quoted document of this interest is the letter Schumann wrote to Henriette Voigt in 1834 explaining the association of his cycle *Papillons*, op. 2, with the final two chapters of Jean Paul's *Fliegeljahre*. However, the diaries and *Haushaltbücher* -- Schumann's daily records of his expenses and other daily activities -- refer to Jean Paul at various times throughout the composer's life. Schumann notes that he purchased a volume of Jean Paul in February 1839, and that he reread Jean Paul's first, unfinished novel *Die unsichtbare Loge* in 1841. A smaller narrative by Jean Paul, "Dr. Katzenberger's Badereise", turns up twice in the *Haushaltbücher*, in 1846 and 1852. Most notably, in 1853, Schumann ordered a complete edition

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of Jean Paul's works, and mentions rereading all five major novels in July and August of that year (Die unsichtbare Loge, Hesperus, Siebenkäs, Titan, and Flegeljahre). This would involve about 4000 pages of rather dense prose; one must assume that Schumann's devotion to Jean Paul survived almost undimmed from adolescent days in order for him to accomplish this feat! Also, in October 1853, Schumann notes that he reread Titan together with Clara.\footnote{Robert Schumann, \textit{Tagebücher}, ed. Georg Eismann and Gerd Nauhaus (Leipzig: VEB Deutscher Verlag für Musik, 1971-1987), vol. 3, p. 638.} The overwhelming importance of Jean Paul to Schumann's literary education and sensibility thus warrants a closer examination of this much-discussed but little-read writer.

Since many musicians will be unfamiliar with the life and works of Jean Paul, a short biographical sketch is included here. I am indebted to Uwe Schweikert's valuable chronology of Jean Paul's life, which includes excerpts from the author's letters and contextual information as well as basic biographical data.\footnote{Uwe Schweikert, \textit{Jean Paul Chronik: Daten zu Leben und Werk}, Reihe Hanser 199 (Munich: Hanser, 1975).}
Jean Paul, born Johann Paul Friedrich Richter in 1763, grew up in Franconia's small towns and hamlets, including Wunsiedel, his birthplace. His father was a schoolteacher and church organist. The family moved about a great deal during Jean Paul's childhood. His literary talent first became apparent during his father's tenure in the town of Schwarzenbach, where he met his first important literary mentor, the pastor Erhard Friedrich Vogel. The fifteen-year-old Jean Paul was already beginning his lifelong practice of keeping "Exzerptenbücher", wildly varied records of his reading which would one day become source material for the mock-scholarly digressions in his novels. The literature to which he was exposed included well-known masterworks such as Goethe's *Die Leiden des jungen Werther* as well as scientific and philosophical treatises, journals of belles-lettres, *Trivialliteratur*, and other popular reading material. This last point is crucial: *Trivialliteratur*, an umbrella term covering popular novels and serials with formulaic plots and characters, was to leave a decisive mark on Jean Paul's later style. Its subject matter often involved disguised identity, tales of conspiracy and piracy, or mock-medieval chivalrous romances. In its blatant pandering to public taste, *Trivialliteratur* of the late eighteenth century bore some similarity to today's genre fiction.\(^{15}\)

In his voracious reading habits, Jean Paul was not unlike the adolescent Robert Schumann. With his graduation to the Gymnasium level at sixteen, Jean Paul appeared to be embarking on the high point of his intellectual life to date; in Hof he met his first true intellectual colleagues (Adam Lorenz von Oerthel and his brother Christian von Oerthel, Johann Bernhard Hermann, and Christian Georg Otto) and wrote his first surviving essays as school composition assignments. However, shortly after his arrival at the Gymnasium, his father died and his family was plunged into dire poverty. From 1779 to 1781, Jean Paul was forced to take care of his ailing mother. Even so, he managed to produce his first large-scale literary work: a Briefroman in the style of Goethe's Werther on the subject of Abelard and Heloise.

By 1781, Jean Paul had decided to study theology in an effort to prepare himself for a stable profession. He enrolled at the University of Leipzig, but his tenure there was to be even shorter than that of Schumann fifty years later. After six months, Jean Paul determined that his future could only be that of a full-time writer, and returned home to Hof. For the next decade, he devoted himself to the production of elaborate, lengthy satires, difficult of access for the modern reader and apparently not palatable to his contemporaries either, judging by his lack of success in publishing his works. He later referred to this period of his life, from approximately 1782 to
1793, as his "Essigfabrik" (vinegar factory). Only two major works of his were published in the 1780's: the "Grönländische Prozesse" and the "Auswahl aus des Teufels Papieren" (later to reappear as the work-in-progress of the author/protagonist in *Siebenkäs*). Though these works have never had a wide readership, they were important studies for Jean Paul's satirical, self-reflexive, digressive mode and for the more eccentric characters in his major novels. 

By 1786, at least the "Grönländische Prozesse" had been published, and Jean Paul had come into contact with two men who were to exert strong influence on his later career: F.H. Jacobi, whose Enlightenment ideas about education and fusion of the *Bildungsroman* with those ideas would shape many pages of *Titan*, and Karl Philipp Moritz, an underrated novelist whose style and personality left their mark on *Hesperus*. Another work he read around this time was the *Trivialroman Dya-Na-Sore* by Friedrich Wilhelm von Meyern, whose plot was the skeletal framework for that of *Hesperus*,

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and whose conventions were parodied in that novel and several others by Jean Paul.¹⁸

Beginning in 1789, Jean Paul experienced a number of painful losses in his circle of family and friends. His brother Heinrich committed suicide by drowning, just as Schumann’s sister Emilie committed suicide when the composer was an adolescent. A year later, two of Jean Paul’s closest friends from his Gymnasium days succumbed to debilitating illnesses. A diary entry from 15 November of that year reveals the lasting effects of these deaths on the young writer:


¹⁹ "The most important evening of my life, for I experienced the thought of death, that after all it doesn’t matter whether I die tomorrow or in 30 years, that all my plans and all else will vanish, and that I ought to love my poor fellow humans, who will soon sink away after their short lives -- the thought went so far as to cause me indifference to all my activities." Uwe Schweikert, _Jean Paul Chronik: Daten zu Leben und Werk_, Reihe Hanser 199 (Munich: Hanser, 1975), 29.
These experiences appear to have steered Jean Paul away from his "Essigfabrik" and toward the production of novels which were to bring him lasting fame. His first large-scale narrative work, *Die unsichtbare Loge*, was begun in 1790, conceived jointly with a shorter piece, *Leben des vergnügten Schulmeisterlein Maria Wuz in Auenthal*, subtitled "Eine Art Idylle". This piece was Jean Paul's first *Beiwerk*; related only by the slimmest of threads to *Die unsichtbare Loge*, it was intended as a companion piece that, in a sense, forms part of the novel to which it is attached.

*Die unsichtbare Loge* remained unfinished, though its two completed volumes were published in 1793. Its plot material and characters became the basis for a longer and more commercially successful work, *Hesperus*, by far Jean Paul's most popular book during his lifetime.\(^{20}\) It was *Hesperus* that gained a wealth of adoring (mostly female) fans for Jean Paul; the novel may have harmed his reputation in later years as much as it helped it during his lifetime.\(^{21}\) Its success spawned three more major works in the next


decade: *Siebenkäs*, a tale featuring *Doppelgänger* as the protagonists, containing a crucial *Beiwerk*, the "Rede des toten Christus"; *Flegeljahre*, the novel associated with Schumann's *Papillons* and the spark for Florestan and Eusebius; and *Titan*, a creative fusion of the *Bildungsroman* and the gothic horror novel, sparked by Jean Paul's two-year stay in Weimar and his contact with Goethe, Schiller, Herder, and Wieland.

Towards the end of this most creative decade of Jean Paul's life, he married and started a family, settling in Bayreuth, where he would spend the rest of his days. In 1804 he crowned his productive years with the *Vorschule der Ästhetik*, an unsystematic, digressive exposition of his views on literature, poetry, the novel, and general theories of art. Though he lived for another twenty years and wrote constantly for most of this time, he was never again to produce a work as popular or as influential as the five novels and the aesthetic treatise of 1792-1804. An educational work, *Levana*, a final unfinished novel, *Der Komet*, and many shorter narrative and political pieces were among the highlights of Jean Paul's later years. He died in 1825, still a respected writer, but not the cult figure he had been at the time of *Hesperus*. His works enjoyed a small renaissance just after his death. This was due in part to Ludwig Börne, a member of the radical writers' group "Junges Deutschland", to which Heine also belonged; his well-known "Denkrede an Jean Paul" inspired a reconsideration of the older writer's work. It was this comeback period in which the young Schumann
discovered the novels that decisively shaped both his prose and musical styles.

This investigation uses the novels of Jean Paul rather than his well-known aesthetic treatise, the *Vorschule der Ästhetik*, as a basis. Many previous investigations have turned to the *Vorschule* because it provides a ready source of theoretical speculation that is perhaps easier to reshape into musical/analytical writing than creative prose.\(^{22}\) However, despite the many powerful concepts included in the *Vorschule*, I believe that the novels provided an even more cogent model for Schumann's cycles precisely because of their creative nature. They are not the practical realization of a theory propounded in the *Vorschule*; rather, their narrative, discursive, and descriptive practices are crystallized to an extent in the theoretical work. Furthermore, there is evidence to suggest that Schumann was far more deeply concerned with the novels than with the *Vorschule*, both as composer and as writer. Petra Koch and Frauke Otto, for example, have

both summarized the profound influence of Jean Paul's prose style on Schumann's own youthful attempts at short stories and novels.²³

Another common observation about Schumann's Jean Paul reception concerns the possible programmatic association of *Papillons*, op. 2, with Jean Paul's novel *Flegeljahre*. The piano work's recapitulation of the penultimate scene from this novel has been described by Schumann scholars from Abert to Daverio.²⁴ Schumann's letters, diaries, and the clean publisher's draft of the work support the connection amply, though the question of cause-and-effect influence is clouded by the composer's sketches. These, according to Michael Jude Luebbe, suggest only that *Flegeljahre* crossed Schumann's mind in the later stages of composition;


they do not provide evidence that Schumann planned a programmatic work based on the conclusion of Jean Paul's novel. In any case, this popular example bears mention as a catalyst for the present study.

My own study of Schumann's markings in his personal edition of the works of Jean Paul, preserved in the Robert-Schumann-Haus, Zwickau, suggests that the novels were of paramount importance in his mind. As suggested earlier, it is clear that Schumann read many of the political, religious and theoretical treatises, and that of these, the *Vorschule* was the most crucial for him. However, the works that Schumann read most closely, if his markings are any indication, were *Die unsichtbare Loge*, *Siebenkäs*, *Flegeljahre*, and *Titan*, though this last novel may have been annotated mainly in another hand. This conclusion is supported also by the entries in Schumann's "Dichtergarten", a collection of literary passages having to do with music compiled by the composer himself and copied in his hand. The first volume of the collection is devoted entirely to excerpts from the works of Jean Paul; the majority stem from his five major novels, though the *Vorschule* is also represented.

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The artistic concepts elucidated in the *Vorschule* appear in a subtler, less regularly constructed form in the novels than in the aesthetic treatise. The concepts of "Witz", "Scharfsinn", and "Tiefsinn", for example, are systematically categorized in the *Vorschule* but appear with much more fluid boundaries in the novels. Jean Paul's digressive narrative style, the heritage of Laurence Sterne and other satirical writers, receives limited coverage in the *Vorschule*; however, it is a central, indeed defining, concept in the study of Jean Paul's novelistic structures. Other concepts of great importance in the fictional works receive almost no attention in the *Vorschule*: generic fluidity\(^{26}\), self-reflexivity, or intertextuality\(^{27}\). The hierarchy of importance established for literary concepts in the *Vorschule* bears only an incidental relation to the manner of their appearance in the novels. In any case, to quote Patrick McCreless, "Schumann's 'translation' of a poetic theory into musical terms is not at issue"\(^{28}\).

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Schumann's diaries also cite the *Vorschule* sporadically. However, the novels play a much larger part in the composer's journals; not only are they cited more frequently, but they appear indirectly as the strongest influence on the young Schumann's prose style, later to shape the future of music journalism through the *Neue Zeitschrift für Musik*. The prolixity of that style may partially explain the reluctance of scholars to explore Jean Paul's novels as a stylistic source for Schumann's piano works. Robert L. Jacobs describes *Flegeljahre* as the only novel of Jean Paul that does not "end by bewildering and irritating"; for him, all of Jean Paul's work is "full of intolerable digressions" and "irrelevant learning". Critical attitudes to Jean Paul have been more sympathetic in recent years; however, much of the interdisciplinary work on Schumann's piano works has focused not on Jean Paul, but on Friedrich Schlegel. When Jean Paul's work has been discussed, the *Vorschule* has often been used as a directive in speaking of the novels, so that the concepts of "Witz" and "Selbstvernichtung"


promulgated there become a sort of shorthand for all other aspects of Jean Paul's prose style. It is clear that Schumann read the Vorschule, but it should not be the sole source of scholarly speculation about Jean Paul's legacy in Schumann's music.

Despite the precariousness of the Vorschule as a theoretical basis for the examination of the novels, there are several useful concepts articulated there. Perhaps the basic concept inherent in Jean Paul's prose style is one articulated in Programm IX of his Vorschule: that of "Witz". This concept has been considered by Schumann scholars in the past, but, somewhat surprisingly, has been deemed subservient to Friedrich Schlegel's articulation of a similar idea. John Daverio has been the chief proponent of the notion that Schlegel's "Witz", together with his fragment systems, constitutes a productive critical paradigm for Schumann's piano cycles. From Jean Paul, Daverio takes the term "Humor", which in the Vorschule is the larger category under which "Witz" is subsumed.

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According to Daverio, Schlegel's "Witz" is a combinatory property that links artistic fragments through "the outward lightning bolt of the imagination" (Schlegel's words). The cross-references between pieces in Schumann's cycles are construed as "witty links" that displace any conventional formal structures. These ideas are productive in the sense that they establish a link between Romantic musical and literary-critical practices; indeed, Daverio was among the first scholars to locate Schumann's cycles within their wider artistic and critical context. Daverio suggests that "development -- taken to mean purposive temporal unfolding -- is displaced by Witz". However, from the perspective of a student of Jean Paul, Schlegel's "Witz" -- a largely intertextual phenomenon -- is subsidiary to a larger set of ideas represented by Jean Paul's idiosyncratic use of the terms "Witz" and "Humor".

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 "Witz",

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35Ibid., 72.

36Ibid., 75.

and "Tiefsinn", a transcendental mode of comparison. Here follow Jean Paul's definitions of these three categories:

1. "Witz": "...teilweise Gleichheit, unter größere Ungleichheit versteckt"
2. "Scharfsinn": "...teilweise Ungleichheit, unter größere Gleichheit verborgen"
3. "Tiefsinn": "...trotz allem Scheine gänzliche Gleichheit"38

Thus "Witz" brings the most far-fetched comparisons to life, discovering the unknown similarities underlying immense superficial difference; "Scharfsinn" reveals the rifts between entities we thought were of the same ilk; and "Tiefsinn" transcends surface discord, uncovering the deeper affinities between all things.

Jean Paul's systematic definitions do not correspond neatly with various episodes in his novels, though suitable examples could no doubt be found for each subcategory. The larger point here is that comparison of two like or unlike entities, revealing fundamental affinity or hidden discord, is at the heart of Jean Paul's aesthetic operations. This fundamentally dualistic practice (comparison of A with B) may be found at every level in his prose. The examples given for "Witz" in the IX. Programm of the Vorschule, for instance, are almost all striking metaphors occurring within a sentence.

These are rampant in the novels; near the beginning of the earliest novel, 
*Die unsichtbare Loge*, the character Dr. Fenk is the object of an odd comparison: "...[Dr. Fenk], der wie viele indische Bäume unter äußern Stacheln und dornigem Laub die weiche kostbare Frucht des menschenfreundlichsten Herzens versteckte."39 What is striking here is not only the comparison of a learned German eccentric with a thorny Indian tree, but also the lack of clear distinction between the two subjects of comparison. It is as if Dr. Fenk's heart is literally to be located within a subcontinental tree-trunk.

As striking as these local metaphors are, however, the larger implications of “Witz” are even more definitive. Jean Paul’s "witty" practice often involves the interpolation of obscure, often invented, bits of scholarly knowledge. Since “Witz”, in Jean Paul’s practice, if not his theory, permeates every sentence of every novel, it subverts the common parlance of novel readers of the time. It also implies massive authorial presence and intervention in the action of each novel, since “Witz” presumably does not fall from the sky, but is created by an authorial figure. This creator has himself been created by a real author who may or may not share common

traits with the "witty" figure in the fictional work. Finally, as Waltraud Wiethölter has indicated, Jean Paul's emphasis on "Witz" rather than on realistic, sober narration added levity to the often plodding, moralistic discourse of the 18th-century novel. In so doing, he subverted Enlightenment notions of propriety, didactic value, and moral fibre.\(^{40}\) As much as Jean Paul admired and imitated Rousseau, it is probably safe to say that he had a livelier sense of humour than the Frenchman.

One literal meaning of "Witz" in German is "joke", and although this is not the central significance of "Witz" for Jean Paul, it does constitute a kind of aesthetic subcategory in the novels. This sense of "Witz" does not necessarily imply unexpected humour, but usually involves a play on words or a revaluation of meaning. For example, in Hesperus, the protagonist Viktor takes a trip to Kußewitz. He is looking forward to the trip, as he loves travel of all sorts, and Jean Paul is careful to describe the beauty of the first day of his trip in detail. He also describes Viktor's normal feelings upon taking a trip: "der erste Tag einer Reise war ganz anders als der zweite, dritte, achtzigste".\(^ {41}\) The first day promises magic, while the rest are more prosaic. Having digressed in this manner, Jean Paul turns abruptly to the


subject at hand with the words "Warum will ich aber den ersten Tag schildern, eh' ich ihn schildere?" 42 The "first day" in general and this particular "first day" are two different things, but Jean Paul forces us to ask what the difference is. This sort of verbal/structural articulation, neatly dividing the digression from the main narrative thread in the one instance but blurring the distinction implicitly in its content -- what is the "first day?" -- bears a strong similarity to Schumann's use of modulation within individual numbers in the piano cycles. A clear example occurs toward the end of the first section of *Kreisleriana*, piece no. 1; the tonic key, d minor, is being affirmed, when suddenly a digression to E-flat major occurs and is cut off when this very sonority, E-flat major, functions in its capacity as the flat II/6 of D major, or a substitute for v/v, leading eventually to the dominant of d minor on the last beat of measure 16. E-flat major is both the goal of the digression and the means for getting out of it. It articulates the digression while annihilating it.

Example 1-1: Schumann, *Kreisleriana*, op. 16, no. 1, mm. 9-17

This kind of dramatic modulation occurred in classical sonata style movements only at key structural points; here it becomes a common harmonic *modus operandi*. In Jean Paul, or in Schumann, such turning points are both definitive and deconstructive -- as well as surprisingly frequent.

For Jean Paul, "Witz" is not necessarily an end in itself, but serves as a catalyst for life-changing experiences. Jean Paul's protagonists often
experience transformative moments in which they are transported to what
the author refers to as "Die zweite Welt". At these junctures, notably first or
decisive meetings with lovers, the hero is no longer aware of his everyday
existence, but exists within a utopian realm in which his awareness of his
surroundings -- generally an idyllic, pastoral landscape -- is heightened to a
great degree. The hero's increased powers of observation and feeling
result in copious descriptive passages that have made Jean Paul both
famous and notorious to his reading public. Herman Meyer has spoken of
"zweite Sprachwelten" in Jean Paul that correspond to the "zweite Welt"
experiences of Viktor, Siebenkäs, and other protagonists. Typical of these
passages are never-ending sentences, an incomparable wealth of
adjectives, a quasi-religious vocabulary, and frequent subject-object
confusion. Witness this passage in Hesperus, perhaps the site of Jean
Paul's most successful "zweite Welt" passages:

Großer Abend! nur im Tal Tempe blühst du noch und verwelkest nicht; aber in wenig Minuten, Leser, brechen erst alle seine Blüten prächtig auf! -

Klotilde und Viktor gingen enger und wärmer aneinandergedrückt unter dem schmalen Sonnenschirm, der beide gegen den flüchtigen Regen einbaute. Und mit Herzen, die immer stärker schlugen und statt des Blutes gleichsam andächtige Freuden-Tränen umtrieben, erreichten sie den Park; die warmen Töne der Nachtigall zogen ihnen daraus entgegen; die abgewehten Töne des musikalischen Gefolges, womit der Engländer jetzt über die Berge ging, flossen ihnen wie Blumendüfte nach. -- Aber siehe, als die Erde noch die Vergoldung im Feuer der Sonne trug, als noch der Abendspringbrunnen wie eine Fackel oben

43 Herman Meyer, Zarte Empirie (Stuttgart: Metzler, 1963), 226.
brannte, als in einem großen Eichenbaum des Gartens, in welchem bunte Glaskugeln statt der Früchte eingeimpft waren, zwanzig rote Sonnen aus den Blättern funkelten -- da floß eine erwärmte Wolke auseinander und tropfte ganz in das Abendfeuer und auf die glimmende Wassersäule....44

This passage is an excerpt from a much longer sequence in Jean Paul's exalted manner. This sort of passage is almost always an extended digression from the main storyline of a novel, though it is arguably far more important than that storyline. Notable are the authorial pronouncement at the opening of the paragraph; the attempt to kindle anticipation in the reader by the promise of excitement in "wenig Minuten"; the succession of pathetic fallacies as the rain mimics the lovers' tears of joy; the biblical "Aber siehe" equating Viktor's experience with an Old Testament creative miracle; and the gradual transition from straightforward description of Viktor and Klotilde to their subsumption into a larger parade of natural phenomena. This and other such moments occur in relative geographic and social isolation; there

44 "O great evening! only in the valley of Tempe do you still flourish and not wither; but in a few minutes, reader, all its blossoms will burst magnificently! - Klotilde and Viktor walked more warmly and closely together under the narrow parasol that protected them both from sporadic rainshowers. And with hearts that beat ever faster and circulated tears of joy rather than blood, they reached the park; the warm tones of the nightingale rose to meet them; the floating tones of the musical entourage that followed the Englishman [Viktor] over the hills flowed toward them now. -- But behold, while the earth was still golden from the fire of the sun, as the evening fountain glowed like a torch above them, while in a massive oak tree in the garden, in which glass balls were hung instead of fruit, twenty red suns sparkled between the leaves -- then a cloud, heated by the setting sun, burst apart and showered into the evening glow, onto the shining column of water ..." Jean Paul Friedrich Richter, Werke, Vol. 1, "Die unsichtbare Loge" and "Hesperus", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 1057.
are not many glimpses across a crowded room in Jean Paul, but there are many weekend retreats. The site of these experiences seems concentrated in one location, yet potentially infinite. If there is a horizon, it reveals some equally blessed place such as the mysterious "Insel der Vereinigung" in *Hesperus*. Many of these traits will find musical analogues, though not depictions, in Schumann's cycles.

These passages are perhaps the closest approximation in Jean Paul to the transcendentalist streak in German Romanticism. The key difference between these moments and similar descriptive episodes in Novalis, for example, is that Jean Paul does not believe in the possibility or desirability of their infinite extension. Where the final two-thirds of Novalis's *Heinrich von Ofterdingen* is taken up by the hero's fantastic adventures, Jean Paul's moments of exaltation -- though they may occupy ten pages of descriptive language -- are over in a flash. Sometimes it takes the hero an evening or so to recover from his experience; at other times, the appearance of an eccentric or other non-idealized character may break the mood; always, the earthbound, often irritating realities of Jean Paul's narrative universe return. As Wolfdietrich Rasch puts it, Jean Paul does not seek to unveil the unity of the world; rather, he tries to establish its fundamental dissonances.⁴⁵

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This is not to say that Jean Paul objected to utopian ideals. Indeed, an 18th century utopian subgenre of the novel can be said to culminate in his work. This is another sort of intertextuality in Jean Paul; the allusion to, or wholesale imitation of, an earlier, relatively obscure genre. In this sense, too, *Hesperus* is the most typical of Jean Paul's novels: a political subplot involving a secret cult and a mysterious island are remnants of a type of adventure novel called the "utopischer Roman". Dorothee Hedinger-Fröhner, in *Der utopische Gehalt des Hesperus*, traces this trend thoroughly. In her estimation, Jean Paul saw utopia as achievable only through a solid grounding in reality; fantastic literature could be useful, but only as a ground for more concrete, constructive change. The exalted moments in *Hesperus*, brief though they are, illustrate an ideal, a possibility, but not an extended reality. As Hedinger-Fröhner puts it:

Der Chronos kümmert sich nicht um den Inhalt der Zeit, die er mißt, ihm gilt alles gleich, Augenblick um Augenblick: so zerfällt das Leben in einzelne, gleichlange und gleichwertige Einheiten ohne Zusammenhang. 47


47 "[The god of time] Chronos does not worry about the contents of the time that he measures, everything to him is equal, moment by moment: thus life is divided into single units of equal duration and importance with no connection to one another." Dorothee Hedinger-Fröhner, *Jean Paul: der utopische Gehalt des Hesperus* (Bonn: Bouvier, 1977), 22.
Thus, these special moments are valorized positively and set apart from more commonplace experience; but Jean Paul's is not an escapist philosophy. Already some common ground appears here between Jean Paul and Schumann: the composer’s enigmatic, self-reflexive moments, such as "Der Dichter spricht" in *Kinderszenen*, are certainly disjunctive, but they do not last longer than other sorts of movements, nor does their placement or length indicate that they are somehow the goal toward which a cycle has been striving.

Memories of childhood, such as Albano's visit to his boyhood home in *Titan*, sometimes represent similar transcendental experiences.\(^{48}\) Albano’s memories, however, are not of a real childhood but of an idealized one -- thus, they are as utopian as his meetings with his beloved Liane. According to Hedinger-Fröhner, we override time through the positive force of pleasant memory transformed into hope for the future: this sort of fantasy is again a ground for constructive activity, not an escapist destination.\(^{49}\)


I emphasize this point at some length to distinguish Jean Paul philosophically from his contemporaries, the Jena Romantics. Germanists use this term to refer to the initial group of writers that sparked the Romantic era in Germany in the last decades of the eighteenth century: Novalis, the Schlegel brothers, Schelling, and others, many of whom lived in or around the Thuringian town of Jena. Their idealization of the distant past and unknown future is foreign to Jean Paul, though he shares many stylistic devices and mannerisms with Novalis, Schlegel, and others. Neither was Jean Paul a Weimar classicist -- he stands outside any definable literary school -- but he was in many ways closer to Goethe, Schiller, and Wieland in outlook than to Tieck or Eichendorff. Although Goethe, because of his early Sturm und Drang works such as Die Leiden des jungen Werther and Götz von Berlichingen, was an important contributor to the Romantic movement, his usual classification by Germanists is as the keystone of the Classical period in German literature, and it is in this guise that Jean Paul grappled with Goethe. It may seem strange to think of Schumann's literary idol Jean Paul as at least partially a non-Romantic, but this point may also prove instructive: if we seek narrative or philosophical content codified in Schumann's work, we will do well to remember that his literary models were not all card-carrying Romantics.

One such group of literary models, forming a possible reason for Jean Paul's initial immense popularity with a wide audience, might be his use of
"subliterary" conventions from popular literature of his time. Much like the dance element in the works of Schubert or the rude folksongs transfigured in late Beethoven sonatas, popular genres occur in Jean Paul's novels as objects of recognition, transformation, satire, and amalgamation with what he himself thought of as "higher" artistic modes. Indeed, his own division of his work -- and the novel in general -- into "Italian" (high), "German" (middle) and "Dutch" (low) styles is in roughly inverse proportion to the residual presence of popular literary genres in each work. An "Italian" novel would bear far more resemblance to the idealistic world of Goethe's Wilhelm Meister than a "Dutch" novel, which is more likely to contain satiric, trivial, horrifying, or comfortably idyllic elements.50

The influence of the Trivialroman of the late eighteenth century on Jean Paul's work should not be underestimated. These popular, more or less "formulaic" works were arguably far more widely read in their day than the books we now consider classics or masterworks. A list of the most beloved German novels of the century, in the opinion of Marion Beaujean, a prominent Trivialroman student, would include Goethe's Die Leiden des jungen Werther, as well as now-forgotten titles such as Johann Gottfried

Schnabel's *Die Insel Felsenburg*, Sophie von La Roche's *Das Fräulein von Sternheim*, Johann Martin Miller's *Siegwart*, Karl Gottlob Cramer's *Leben und Meinungen Erasmus Schleichers*, and, perhaps especially, Christian August Vulpius's *Rinaldo Rinaldini*. Of these, only *Werther* has entered the literary canon, and its popularity at times made Goethe regret its frequent misinterpretations.

The others, though perhaps lacking the originality or depth commonly attributed to great literature, are often of stunning technical quality, so unlike most *Trivialliteratur* of today. Each title listed above is an example of a "trivial" subgenre which would have produced many more volumes of its type. *Rinaldo Rinaldini* is an adventure novel full of mistaken identity, conspiracies, and exotic landscapes, while *Werther*, the epitome of sensibility in Austen's sense, spawned innumerable imitations written in letter form. Famous works of Goethe and Schiller often gave rise to "trivial" genres: the "Räuberroman" after Schiller's play *Die Räuber*, or the

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"Geisterroman" modelled on Schiller's *Die Geisterseher*. Jean Paul's tribute to this last genre can be found in *Titan*, where Gaspard, the instigator of conspiratorial plots, is supposed to bear an amazing likeness to Schiller.

Perhaps the most cogent example of Jean Paul's assimilation of the *Trivialroman* idiom is his second novel, *Hesperus* (actually the first to be completed). It may be that the preponderance of *Trivialroman* elements in this work contributed to its stature as "die größte literarische Sensation seit Werther", in Dennis Mahoney's words. *Hesperus* received the most reprintings of any of Jean Paul's novels, and was the work that, more than any other, created a "fan base" for its author that remained faithful to him throughout his literary and philosophical experiments of his later years.

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Clearly, it was a favourite of Schumann as well, since it was one of the works he mentioned most frequently in his writings. During his pilgrimage to Bayreuth, for example, Schumann wrote in his diary:

Meine Sterne waren untergegangen: da lächelte dein Hesperus, göttlicher Jean Paul, und beleuchtete meine Tränen, aber die Tränen wurden Freudentränen und die Seele lächelte sanft wie Hesperus ... 57

The plot of Hesperus seems closely related to those of two popular Trivialromane, Karl Große's Der Genius and Friedrich Wilhelm von Meyern's Dya-Na-Sore. Große's novel uses a common scenario: a secret society attempts to ensnare a young nobleman in its political conspiracies. At first they succeed, but the young man soon realizes the society's evil nature and is helped by a spiritually evolved mentor, a hermit, to escape from its clutches. 58 Most of these elements are present in both Hesperus and its unfinished predecessor, Die unsichtbare Loge, though Jean Paul's secret society is of a more benign nature and the relationship between the society, the young hero, and the hermit is heavily modified. Jean Paul's narrative style is also far more complex and less formulaic than that of the Trivialroman idiom.


Meyern's *Dya-Na-Sore oder die Wanderer - Eine Geschichte aus dem Sam-skritt übersetzt* (1787-89, published anonymously) also contains the secret-society and hermit motifs, in a form much closer to that used in *Hesperus*. This time the society is a force for good and has overtly revolutionary intentions at heart. The spiritual mentor here is an Indian guru, the indirect inspiration for the character Emanuel in Jean Paul's novel. Emanuel, however, is a far more highly developed figure who also has roots in real-life models: Karl Philipp Moritz, the novelist and educator, and Jean Paul's close friend Emanuel Osmund.59 The relationship between Jean Paul's *Trivialroman* models and his own creation is roughly analogous to that between a länder or a Schubert dance and its transfiguration in one of Schumann's cycles. Emanuel's religious beliefs are brought into line with Jean Paul's concept of the "zweite Welt". Emanuel marks Viktor's first arrival at his retreat in Maienthal with a prayer: "Dieses Haupt, du Ewiger, weiht sich heute dir in dieser großen Nacht. - Nur deine zweite Welt fülle dieses Haupt und dieses Herz aus - und die kleine dunkle Erde befriedig' es nie!"60

Far beyond Meyern's hermit, essentially an exotic plot adornment, Emanuel


60 "O eternal one, this head consecrates itself to you in this great night. Let only your second world satisfy this head and this heart, and let the small, dark earth never be enough for it!" Jean Paul Friedrich Richter, *Werke*, Vol. 1, "Die unsichtbare Loge" and "Hesperus", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 679.
becomes a crucial figure in Viktor's psychological development and in Jean Paul's authorial interventions -- he makes no secret of Emanuel's autobiographical origins. By contrast, Meyern's secret society, the focus of his plot, is reduced to background level for most of Jean Paul's novel. Another such element in Dya-Na-Sore is the mysterious island owned by the secret society; it appears as the Insel der Vereinigung in the culminating pages of Hesperus and also makes a transformed appearance in Titan as Isola bella, the place where Albano begins his journey to maturity.

The Trivialroman elements in Hesperus are thus by no means simply transferred to Jean Paul's work, but are altered and revalued as best suits their new context. Some are of much greater importance than others, and some, like Emanuel, are barely recognizable due to Jean Paul's intensive transformations. Wulf Köpke accurately summarizes Jean Paul's reasons for their inclusion:

Er hoffte also, einerseits Leser mit trivialen Erwartungen anzulocken, um sie dann zu sich herüber zu ziehen; andererseits konnte das Spiel mit der Trivialität das Vergnügen der Verstehenden hervorrufen.61

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61 "He thus hoped, on the one hand, to tempt readers with trivial expectations, in order to attract them to his own work; on the other hand, his play with trivial genres might give pleasure to those who understood." Wulf Köpke, "Jean Pauls Unsichtbare Loge. Die Aufklärung des Lesers durch den 'Anti-Roman'," Jahrbuch der Jean-Paul-Gesellschaft 10 (1975): 52.
Thus Jean Paul hoped to foster understanding and enjoyment of *Hesperus* on several levels: those accustomed to *Trivialromane* as their usual reading matter would have the pleasure of recognition, while others might delight in the transformation of such modest original material.

Such a transformation might appear to the educated reader as a type of satire, if only in watered-down form. Satire appears frequently in Jean Paul's novels, both as an end in itself and as a genre which is itself satirized, or at least subverted. Jean Paul cut his teeth as a writer by producing vast quantities of satire during the first decade of his career. Much of the work he produced at this time consisted of rants against current political and social mores; though it is largely unreadable today without a comprehensive knowledge of late eighteenth-century Franconian public life, it reveals the origins of Jean Paul's unique prose style, laced with contemporary allusion, scientific and pseudo-scientific tidbits, and unabashedly personal comment.

Jean Paul had kept excerpt books since adolescence: into these numerous notebooks he copied passages from his voluminous reading, long lists of words or terms he found striking, and original ideas. During the vinegar-factory period, he began to draw on this rich source of material, including abstruse allusions at every opportunity. The excerpt books reveal Jean Paul's fondness for Horace and for English satirists such as Young, Pope, Swift, and especially Laurence Sterne, who was also an important
model for Jean Paul in a narrative sense. Numerous allusions to all of these authors occur throughout Jean Paul's œuvre.  

Not much of this enormous output was published during Jean Paul's lifetime, though two works of this sort are noteworthy: *Grönländische Prozesse* (published in 1783, ten years before *Die unsichtbare Loge*) and *Auswahl aus des Teufels Papieren* (1789). These two collections of satirical essays were among the few publications of which Jean Paul could boast in this decade. Probably they did not have a wide readership, but a sufficient number of readers existed for Jean Paul to feel justified in alluding to the two satires in his later novels. The authorship of *Grönländische Prozesse* was later "attributed" to the character Vult in *Flegeljahre* (1804) while Siebenkäs is said to be hard at work on something called *Auswahl aus des Teufels Papieren* for most of the first half of the novel named after him. But satire is also a more integral part of the novels: Viktor, the


\[\text{\footnotesize\textsuperscript{64}}\] C.f. Dennis F. Mahoney, *Der Roman der Goethezeit (1774-1829)*, Sammlung Metzler, Vol. 241 (Stuttgart: Metzler, 1988), 110.

protagonist of *Hesperus*, has a strong satiric side. At one point in the novel he jumps up and improvises a eulogy for himself ("Leichenrede auf sich selber") which displays the same sort of self-parody and detachment that Jean Paul, the author, brings to his depictions of Jean Paul, the character in/narrator of *Hesperus*. The early satires also provided a basis for many of the absurdist "Extrablätter" that appear in all of the novels; these could often be confused with the essays and columns of the *Grönländische Prozesse* or *Auswahl*. Satire thus evolved from its most obvious form at the beginning of Jean Paul's career to a subversive process within his novels. His satiric background provided him with the tools to accomplish subtler goals - convincing authorial intervention, identity confusion, intertextuality, the last a part of satire by definition.

At the other extreme from satire in Jean Paul's litany of subgenres is the idyll, which may appear both as a *Beiwerk* -- an almost self-sufficient narrative with subtle linkages to the main novel -- and as a digressive episode within a novel. For Jean Paul, an idyll is not so much a pastoral


interlude as a recurring, self-parodic, idiosyncratic mini-narrative. The first and definitive example in Jean Paul's work is Leben des vergnügten Schulmeisterlein Maria Wuz in Auenthal, an appendage to Die unsichtbare Loge. The title character is a poor schoolmaster not unlike Jean Paul himself in the early stages of his life. Wuz has no earthly means and little hope of improvement, but he reconciles himself to his circumstances by loving what he does have. He covets a huge library but cannot afford it; instead, he writes his own books, all of which have the same titles as current literary sensations but none of the same content. His solution to most problems is to curl up in bed and wait until they pass. Not much of import happens in his life; like most people, he marries, has children, experiences everyday triumphs and tragedies, and dies. Dorothee Hedinger-Fröhner isolates two characteristics central to this and other idylls in Jean Paul's work: harmony between people and their environment, and forced conformity to family, friends, and other unchangeable life situations. The idyll finds its way into Hesperus in depictions of Viktor's family (his father is an impecunious pastor) and of Bienenzüchter (Beekeeper) Lind and his modest surroundings; Albano's foster-family in Titan is similarly evoked. These idyllic origins are important to Viktor's and Albano's psychological makeup, but are only one facet of their complex characters. The idyll, then, is a topos presented both in pure form and as part of a larger complex of

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68 Dorothee Hedinger-Fröhner, Jean Paul: der utopische Gehalt des Hesperus (Bonn: Bouvier, 1977), 64ff.
ideas. H. A. Korff has noted that Jean Paul's idylls are often presented in a spirit of self-parody; they are endearing, but the reader often senses detachment from them. Authorial position is crucial to the mode of understanding brought to the idyll by the reader. Jean Paul rarely presents idyllic moments with unalloyed sentimentality -- they are almost always combined with satiric elements. In the Vorschule, Jean Paul describes Wuz as a "Dutch" work, as opposed to the higher Italian (Titan) and German (Siebenkäs) modes. Yet it is only through "ethnic" amalgamation that Wuz makes its effect. This topical impurity is also a major feature of Schumann's cycles.

Another topos frequently exploited by Jean Paul is the Bildungsroman, exemplified in the classical age of German literature by Goethe's Wilhelm Meisters Lehrjahre. During Jean Paul's lifetime, this genre -- not a long extant one in any event -- was experiencing a fundamental transformation. Goethe's Wilhelm came from a bourgeois, comfortable background, and all of his travels only succeed in convincing him that his original social status is best for him. Other bourgeois Bildungsroman heroes of the period, such as Moritz's Anton Reiser, don't find equally satisfactory resolutions to their wanderlust. Some of these novels, like Wieland's Agathon, evoke idealist

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notions of the value of a truly Classical education. Most *Bildungsromane* of this epoch, however, emphasize that the hero's education is designed to help him function at a high level in society of the time, in Weimar or Frankfurt or Berlin or Bayreuth c. 1780.

The Jena Romantics fundamentally altered this approach to the genre. The protagonist of Novalis's *Heinrich von Ofterdingen* escapes his idyllic origins entirely, breaking boundaries of time, space, and reality by entering the world of the *Märchen*. Paranormal phenomena occur wherever he goes, and the ultimate fulfilment of his education seems to be his inauguration as a prophet, though the novel has no clear ending. In Tieck's *Franz Sternbalds Wanderungen*, like *Heinrich* an unfinished work, the hero's conflicting drives toward security and artistic freedom are never resolved. Eichendorff, though not a Jena group member, had a similar attitude to the *Bildungsroman*: in *Ahnung und Gegenwart*, which was the source for many of the poems used in Schumann's *Liederkreis*, op. 39, the protagonist Friedrich is driven by his experiences to withdraw from the world altogether and become a priest.

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In his attitude to the Bildungsroman, as to so many other aspects of his work, Jean Paul stands both between and outside the Classic and Romantic groups of authors. He displays some characteristics of both while not quite fitting into either. All of his major novels have been considered within the rubric "Bildungsroman" by Germanists, not least among them Todd Kontje, whose recent study of the genre both defines it more precisely and greatly expands it. Kontje's crucial distinction - allowing him to include Jean Paul among Bildungsroman authors - seems to be that a protagonist's education need not be "successful" or result in societal re-integration in order for a novel to qualify as an example of the genre. Flegeljahre, for example, was begun as an apparently parodic Bildungsroman, with the hero Walt forced to submit to all sorts of ridiculous "educational" tasks in fulfillment of the will of the late Van der Kabel. Walt was required to spend a prescribed amount of time as a notary, a piano tuner, a gardener, and in various other unrelated professions. But Walt learns nothing from his experiences -- indeed, they are entirely subsidiary to his unlikely love for the daughter of a Polish nobleman and his passion for writing unrhymed poetry (Streckverse). Walt's twin brother, Vult, also remains fundamentally unchanged; at the end of the unfinished novel he writes "Ich lasse Dich, wie Du warst, und gehe, wie ich


72 C.f. Herman Meyer, Zarte Empirie (Stuttgart: Metzler, 1963), 211.
Though *Flegeljahre* is thus by no means a straightforward example of the *Bildungsroman*, it retains many traits of both the Classical and Romantic varieties of the genre. Walt has his centrality to the plot, his essential naiveté and his bourgeois origins in common with figures like Wilhelm Meister and Tieck's William Lovell. His prescribed tasks and slightly far-fetched encounters with local eccentrics are reminiscent of Meister's theatrical journeys, but his total absorption with the unattainable Wina and his disdain for societal convention seem closer to Heinrich von Ofterdingen's and Franz Sternbald's world views. Whether or not *Flegeljahre* is labelled a *Bildungsroman*, it retains and subverts many of the *Bildungsroman's* main generic characteristics.

While Kontje considers novels like *Flegeljahre* and *Hesperus* part of a complete investigation of the *Bildungsroman*, scholars such as Emil Staiger and Gerhart Mayer have asserted that *Titan* is the only one of Jean Paul's novels that can bear this designation.74 Here the protagonist Albano, the

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son of a Spanish grandee, is educated secretly by a bourgeois German foster-family to improve his suitability for government. Albano’s education is aided by a bewildering number and variety of mentor figures, including his foster-father, a German official; Dian, a transplant from ancient Greece; Gaspard, the mysterious figure whom Albano believes to be his father and who bears the facial features of Schiller; and Schoppe, an eccentric librarian who turns out to be the anti-Fichtean character Leibgeber from Siebenkäs. Schoppe might be considered a stand-in for Jean Paul, were not "Jean Paul" himself the documentary biographer whose narrative comments are indispensable to the character of the novel.

So far Titan would appear to be a slightly weird take on the classical educational Bildungsroman of Goethe and Wieland. The relatively strict chronological development of the novel would bear this out; there are fewer Extrablätter and digressions here than in the other novels. But there are crucial differences. In Wilhelm Meister, any topoi that are explored are subservient to the greater goal of Wilhelm’s education. In Titan, they are ends in themselves; though every occurrence in Albano’s life contributes to his inner growth, he is not always affected in a way that clearly improves him as a potential ruler. Gaspard’s elaborate schemes, supposedly designed to blind Albano to his true destiny, seem designed to intrigue the reader after

75Uwe Schweikert, ed., Jean Paul (Stuttgart: Metzler, 1974), 233.
the manner of a conspiratorial *Trivialroman*, so that this genre contributes to the defamiliarization of the *Bildungsroman* in the novel. Albano's eventual accession to the throne of a German principality seems somewhat forced, as only fifty pages earlier, a small space in a Jean Paul novel, he wished to throw away all his monarchical aspirations and join the cause of the French Revolution. *Titan* may be slightly more accessible to modern readers of Jean Paul than the other novels because of its *Bildungsroman* typology, but, like *Flegeljahre*, it is a *Bildungsroman* only in Todd Kontje's sense: "While Jean Paul may seek to establish a new, universal human order, he goes about it by taking apart the old order of things and putting it back together in an extremely idiosyncratic way".77

This deconstruction-and-reassembly process is exemplified by Jean Paul's narrative discourse, which is essentially digressive. He was inspired in this primarily by Sterne, though Sterne was not his only influence here. He said of Sterne: "Noch mehr als über Shakespeare hat die Meinung unrecht über Sterne, als hab' er blos aus Wildheit geschrieben, gerade da

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er am schärfsten berechnete." The same criticism was levelled at Jean Paul -- that he did not know how to tell an unadorned story, but constantly found himself led astray by his wide-ranging, uncontrollable trains of thought. But with both Sterne and Jean Paul, the act of digression is an art, not a feeble idiosyncrasy. In most cases, Sterne goes a good deal further than Jean Paul does. Michelsen’s archetypal example of a Sterne digression comes from Book VIII, Chapter 19 of Tristram Shandy. Here a "story within a story" is introduced, entitled "The Story of the King of Bohemia and his Seven Castles". This tale remains untold, however, as each time Trim begins to tell it, he is interrupted by Uncle Toby, past master of digressions. Indeed, the interruptions are the story. Jean Paul rarely indulges in digression to this extent. His divergences from "writing degree zero" narration, to use the words of Barthes, almost always lead back to the story, the "suzhet" that the Russian Formalist critics distinguished from mere plot. But the levels and types of digression in Jean Paul are so numerous and overlap to such an extent that it is sometimes difficult to

78 "Public opinion is even more wrong about Sterne than it is about Shakespeare; Sterne is judged as wild in the very places where he exercised the most critical judgment." From the MS "Gedanken", Bd 10, no. 20, Jan 1817, Faz. 11b; c.f. Peter Michelsen, Laurence Sterne und der deutsche Roman des achttzehnten Jahrhunderts (Göttingen: Vandenhoeck & Ruprecht, 1962), 14.


discover what the "suzhet" is, or whether there is a "suzhet" that is separate from the digressions. Late twentieth-century readers may not find this digressive style of narrative as offputting as did some of Jean Paul's more literal-minded contemporaries: after experiencing Joyce and Robbe-Grillet, we are probably more inclined to be patient with Jean Paul. Our difficulties with his novels might lie more in the types and subjects of his digressions than in their number or multilevelled nature. The types of digressions in the novels seem inextricably bound up with their levels, and must thus be discussed in tandem with one another. Perhaps Jean Paul's simplest method of disorienting the reader is his own personal contribution to his narratives. He is by no means a passive reporter of his own storylines, but comments constantly on events, characters, and circumstances, and frequently expresses his own wishes for a character's future as if the story's outcome were not under his control. No sooner has he introduced us to the eponymous hero of Siebenkas (1796/7), an advocate for the poor about to embark on an ill-fated marriage, than he feels the need to comment on the irony of his hero's choice of profession:
Ich müßte mich schämen, einen Armenadvokaten, der selber einen bedürfte, mit meinen kostbaren historischen Farbestoffen abzufärben, wenn hier der Fall wirklich so wäre; aber ich habe die Vormundschaft-Rechnungen meines Helden unter den Händen gehabt, aus denen ich stündlich vor Gericht erweisen kann, daß er ein Mann von wenigstens zwölfhundert Gulden rhnl. war, ohne die Interessen.82

The reader immediately realizes that this author is far from an uninvolved, omniscient third person, and the unfolding of events never flows uninterruptedly for more than a few paragraphs. Once Siebenkäs and his wife, Lenette, have passed their initial stage of marital bliss, they realize their fundamental incompatibility through a series of arguments over trivial matters. One of these disputes centres around the proper method and frequency of trimming candlewicks, and with each worsening of the situation, Jean Paul jumps in with his own running commentary. "Leser von historischem Geist, wie ich sie mir wünsche, sehen nun schon leicht voraus, daß die Umstände sich immer mehr verschlimmern und verrenken

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82 "I would be ashamed to paint an advocate for the poor, who needed one himself, with my precious historical colours, if this was really the case; but I have seen my hero's guardianship accounts myself, and I can prove conclusively from them that he possessed at least twelve hundred Rhenish gulden, without interest." Jean Paul Friedrich Richter, Werke, Vol. 2, "Siebenkäs" and "Flegeljahre", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 34.
münnen,"\textsuperscript{83} he says at one point; later in the argument, he adds, "Ich und andere freuen uns eben nicht besonders über diese neue Wendung der Sache."\textsuperscript{84} In \textit{Titan} (1800), when the hero Albano is in the throes of his first love, and frustrated by his beloved's pious, dispassionate character, Jean Paul is ready with words of wisdom for the young man. "Weine, zürne, leide, frohlocke und bewundere immerhin, heftiger Jüngling! Aber du fassest diese demütige Seele doch nicht!"\textsuperscript{85} This outburst is followed by a paragraph-long paean to the virtues of humility, after which we are returned to the sorrows of Albano and Liane. Similarly, Jean Paul cannot resist commenting on the appearance of Liane and another young lady as they prepare for a short journey: "Wie reizend stehen Rabetten die Rosen im dunkeln Haar und der dunkle Spitzen-Saum auf dem weißen Hals und die furchtsamen Flammen ihres reinen Auges und die anfliegenden Errötungen! -- Und Liane -- ich rede nicht von dieser Heiligen."\textsuperscript{86} The net result of this sort of comment is a sort of literary "written-out ritardando", what Gerard

\textsuperscript{83}Readers of a historical spirit, the way I like them, will see at once that the circumstances must now worsen and become very painful,"\textit{Ibid.}, p. 171.

\textsuperscript{84}"I and others are not particularly happy about this new turn of events." \textit{Ibid.}, p. 173.

\textsuperscript{85}"Weep, rage, suffer, rejoice, and admire away, passionate youth! But you will still not encompass this humble soul!" \textit{Ibid.}, vol. 3, p. 364.

\textsuperscript{86}How enchanting were the roses in Rabette's dark hair, and the dark embroidered ribbon on her white neck and the fearsome fire in her pure eyes and the colour flying to her cheeks! -- And Liane -- I won't speak of this holy one." \textit{Ibid.}, p. 339.
Genette would characterize as a slowing of the narrative rhythm of a novel combined with a change in focalization. Genette likened his concept of focalization, a more precise take on the "point of view" issue, to tonality in music: a novel can change focalization from internal (a character's point of view) to external (a narrating authorial figure's point of view) without a real change in the general approach to focalization in the novel as a whole. If "Jean Paul" speaks to the reader before returning the point of view to Albano, or Viktor, this change in focalization does not diminish Albano's or Viktor's centrality of perspective. In this respect, a temporary change in focalization is akin to a momentary tonicization of a secondary key area.87

Jean Paul's constant presence in his own narratives is not limited to his comments on the action, disconcerting though these can be. He also appears frequently as an active participant in this action, either under his own name or thinly disguised. In Flegeljahre (1804/5), he is the "official biographer" of the hero, Walt; he is also the notary who seals a last will and testament that leaves an inheritance to Walt on condition that he fulfill various ridiculous tasks. The man who made the will, van der Kabel, signs it "Sonstiger Fr[jiedrich] Richter, jetziger van der Kabel"; Johann Paul Friedrich

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Richter was Jean Paul's given name at birth.\(^8^8\) (Puns on the name "Richter", or "Judge", are frequent in his work.) In *Hesperus* (1795), Jean Paul is clearly the first-person narrator. He receives the story in forty-five installments from a dog who travels to the remote island of St. Johannis to deliver Jean Paul's mail. In the end, Jean Paul "discovers" that he himself is a crucial character in the novel, the missing fifth son of a prince. This conceit is carried over into *Titan*, where Jean Paul receives the sequence of events from Legationsrat Hafenreffer of the fictional principality of Flachsenfingen, of which the author himself is a member of the royal family. This dissolution of the normal boundary between an author and his work defamiliarizes the notion of third-person narration. Jean Paul is never a central character in his works, nor do circumstances allow him to observe all that he seems to; he is neither an active participant nor an omniscient narrator.

The transfer of Jean Paul's princely disguise from *Hesperus*, where it originated, to *Titan* is a typical instance of intertextuality in his work. Just as he blurs the boundaries between narration and participation in his novels, he also destroys the boundaries between the novels themselves. Many times, a character from one novel will reappear in another, as Dr. Fenk of *Die unsichtbare Loge* (1793) is reincarnated in inversion as Knef in *Hesperus*. Leibgeber, Siebenkäs's dearest friend and exact lookalike, is

typical of Jean Paul's *Doppelgänger*; Walt and Vult in *Flegeljahre* are the best-known examples to those familiar with Schumann's Florestan and Eusebius characters, but they are by no means unique. Schoppe, the counterpart of Albano in *Titan*, is an eccentric librarian who turns out to be Leibgeber in another guise. This makes him a *Doppelgänger* in two novels at once; indeed, Siebenkäs arrives in *Titan* to explain Schoppe's identity and apparent suicide. Many of these same characters appear in the Comic Appendix to *Titan* as partial authors of its many fragments. Leibgeber himself is the author of a *Clavis Fichtiana seu Leibgeberiana*, appropriately enough a satire of the Romantic philosopher Fichte, who held as a central concept the existence of an "absolute I". All of these intertextual characters question the identity of the single work as separate from its counterparts, an idea that was by no means lost on Schumann.

Intertextuality and authorial intervention might be seen as subcategories of Jean Paul's digressive narrative technique. Another such subcategory on the phrasal level is formed by Jean Paul's frequent allusions to trivial facts, whether true or contrived. In *Siebenkäs*, the hero encounters Natalie, a young woman who is about to embark on a loveless marriage. When he receives a letter from her lamenting her situation, Siebenkäs is unutterably moved. "[E]r fühlte es so schmerzlich, daß eine Unschuldige so geprüft und gestraft werde wie eine Schuldige und daß sie die reinigende Luft ihres Lebens anstatt von gesunden Blumen sich von giftigen holen.
mußte." This description receives a footnote from Jean Paul: "Bekanntlich hauchen auch Giftpflanzen Lebenluft aus [it is well known that even poisonous plants exhale the breath of life]." The physical act of moving one's eyes to the bottom of the page and back again to the next paragraph is symbolic of the disorientation felt by the reader at such moments, and is typical of what the Schumann scholar Robert L. Jacobs calls "intolerable digression" and "irrelevant learning" and considered reprehensible in Jean Paul. Unaccountably, he distinguishes Fliegeljahre from Jean Paul's other novels as the only readable one among them, and suggests that it was not to be taken seriously. It is precisely this sort of digression that is crucial to this investigation.

Digressions at the phrasal level can also serve to illuminate a character's psychological state. This sort of elucidation happens frequently in Titan; if Albano falls in love, is struck by the beauty of a place he has never seen before, or receives a piece of unhappy news, the flow of events is appreciably held up as Jean Paul takes a verbal snapshot of his thoughts. When Albano learns that he can no longer see his beloved Liane, two

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89 "He was pained to think that an innocent woman should be tested and punished as if she were guilty, and that she should receive the purifying breath of life from poisonous flowers instead of healthy ones. Ibid., 391.

pages of metaphor -- scorpions' tails, ruined castles in the air, a pot smashed to smithereens, open wounds, night highwaymen, and so on -- are devoted to his mental state.\(^91\) A similarly lengthy descriptive passage accompanies his return to his German home after his Italian voyage; events move at an elephantine pace as each of his loved one's faces is described according to his point of view.\(^92\) These "freeze-frame" effects, like other digressions, impede plot development to such an extent that the reader finally sees them as more important than the skeletal plot itself.

Digressions on a larger scale range from letters and diary entries "written" by the characters to mini-works of fiction such as Walt's free-verse poetry, or *Streckvers*, in *Flegeljahre*. Schumann himself attempted several of these prose-like passages in his youth. Also in *Flegeljahre*, Jean Paul as "biographer" is required to produce numerous epistolary reports on his progress; these letters provide sidelights on Walt's experiences throughout the book. Early in *Siebenkäs*, Jean Paul inserts a "Beilage" to the second chapter in which he details the governance and social structure of the village of Kuhschnappel, where the first half of the


\(^92\)Ibid.
novel takes place. The ridiculous amount of bureaucracy that Jean Paul invents for this tiny village, and the purposefully meaningless comparisons of Kuhschnappel with Bern's government, both establish the narrow social world which Siebenkäs abhors. Viktor's letters to Emanuel in Hesperus, on the other hand, provide a window on the protagonist's spiritual development as well as a change in narrative focalization. Other digressions lack an obvious connection to the "story", and function more as pure complication of the discourse than as narrative "glue": the "Leap Days" in Hesperus are pure whimsy, ranging from a discussion as to whether treaties should be kept or merely made (1. Schalttag) to Viktor's essay on the relation of the self to bodily organs (9. Schalttag) to a wildly fantastic, pseudoscientific dissertation entitled "über die Wüste und das gelobte Land des Menschengeschlechts" (6. Schalttag). These superficially unrelated digressions often have an underlying tie to the principal storyline of a novel: for example, Viktor is a medical doctor, but his tendency to introspection and philosophy is a catalyst for many of the events in the novel. An essay on the Self and bodily organs not only illustrates the breadth of Jean Paul's scientific and pseudoscientific knowledge -- it also illuminates Viktor's character in a way that "degree zero" narration could never do.

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93Ibid., 70-76.
These subsidiary chapters, as Jean Paul himself admits\textsuperscript{94}, are often so long that they could be considered separate works; but they are always thematically unified with the rest of the novel to which they are attached. Here it is useful to distinguish between "Extrablätter", a term used frequently by Jean Paul as a chapter heading, and \textit{Beiwerke}, a designation found more often in secondary literature than in Jean Paul's own writing. The "Clavis Fichtiana " and "Komischer Anhang zum \textit{Titan}", mentioned above, are prime examples of the \textit{Beiwerk} -- together they comprise almost a quarter of the length of \textit{Titan}. Perhaps the most striking instance of this phenomenon is the "Re*de des toten Christus ... daß kein Gott sei (Speech of the Dead Christ ... That There Is No God)" in \textit{Siebenkäs}.\textsuperscript{95} This digression occurs after the first half of the novel. The narrator, presumably the author, dreams that Christ appears to him and proclaims that God will only exist if he is worshipped by the living; this vision is followed by another, "Der Traum im Traum", in which the narrator dreams that he sees Christ, the Virgin Mary, children to whom she appears in a dream, and the Angel of Death. These disquisitions on the unstable nature of life, death, dreams, and reality take flight from the event in the main novel that immediately precedes them: Siebenkäs's feigned death and subsequent escape from his marriage. Although the episodes and the novel have no characters in common, they

\textsuperscript{94}\textit{Ibid.}, p. 75.

\textsuperscript{95}\textit{Ibid.}, pp. 266-271.
are connected by virtue of their thematic identity. Daverio mentions the occasional confusion between *Hauptwerk* and *Beiwerk* in Schumann's cycles, and it is difficult not to see a parallel here.

The "death" of *Siebenkäs* is an example of still another defamiliarization technique: the revaluation of gestures and events that have a widely-recognized connotation. In most novels, the death of the hero would signal the imminent end of the work; here, though *Siebenkäs*'s feigned death does bring closure in the sense that a new section in the book follows it, the idea of death loses its normal meaning. A simulated death might well be a feature of the plot of a *Trivialroman* or a genre mystery. Its presence in *Siebenkäs*, which also contains elements of the bourgeois tragedy and the *Bildungsroman*, contributes to the overriding sense of confusion as to genre in this novel. The will in *Flegeljahre* serves a similar function; the tasks given to Walt might set the stage for a more conventional *Bildungsroman* plot. Instead, they are so ludicrous that they convince the reader that this skeletal plot is not, after all, of central importance. Our attention is refocused on Walt's psychological development and his relationships with other characters in the novel.

A related technique to the revaluation of generic codes deserves a brief mention here: the thinly disguised reappearance of a previously observed situation in a novel. In *Titan*, Albano falls in love with two very different
women, the reserved, religious Liane and the more extroverted Linda, who had previously sworn off all involvement with men. Roquairol, Liane's brother and Albano's friend/nemesis, had also nourished a passion for Linda. Late in the novel, he presents a performance of a play he has written that features himself, Albano, Liane, and Linda as major characters; only the names are different.\textsuperscript{96} Roquairol's play is a travesty of many earlier events in the novel, including a long confession of his own faults that he made to Albano during their friendship. At the end of the play, he commits a public suicide. This recomposition of the novel's events serves two functions: it illuminates Roquairol's complex character, and it gives Albano a new perspective on his own recent past and further impetus to detach himself from his previous emotional turmoil. In his efforts to do so he becomes closer to the calmer Princess Idoine, whom he eventually marries. Jean Paul's \textit{Doppelgänger} characters in other novels occasionally come close to this sort of reenactment: Vult's attempted seduction of Walt's beloved in the final pages of \textit{Flegeljahre} is actually a pre-enactment of Walt's own anticipated confession, especially since Vult disguises himself as Walt in order to accomplish his betrayal.\textsuperscript{97} Such recompositions force the reader to look anew at the events of the novel; they defamiliarize circumstances which had been differently portrayed earlier -- or, in the case of \textit{Flegeljahre},


\textsuperscript{97}\textit{Ibid.}, vol. 2, p. 1055.
familiar circumstances that we expect to occur are defamiliarized through pre-enactment.

In his revaluation and re-invention of so many narrative techniques, both conventional and unorthodox, Jean Paul occupies a unique position in German literary history. Philosophically conservative, formally radical, he has no real parallel among his contemporaries. Schumann the young iconoclast might well have been attracted to Jean Paul’s style. It is in Schumann’s first compositions of his university years, after leaving Zwickau in 1828, that stylistic tendencies analogous to those of Jean Paul first come to light, and it is these early works that will be examined in the next chapter.
Chapter 2: Early Cycles

Schumann's earliest compositions - a choral setting of Psalm 150, some songs, and several symphonic movements among them -- are tentative experiments with recognized genres. He teacher, Johann Gottfried Kuntzsch, was a church organist whose tastes were traditional. Schumann's late teen years reflect his absorption of Jean Paul's prose style much more obviously in his writings than in his music. The novel attempt Juniusabende und Julitage, together with several short-story attempts and an autobiographical sketch, reproduces Jean Paul's descriptive, digressive, at times overwrought manner surprisingly well. There is no corresponding tendency in the young Schumann's compositions until the end of his Zwickau days, and particularly after his initial move to Leipzig.

However, the young composer's musical preferences show a less conservative bent after his departure from Zwickau. In the first years of Schumann's independence, he began to write copiously about Jean Paul in his letters and diaries, but another figure also looms large there: Franz Schubert. Anton Theodor

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Töpken, a university colleague, told Schumann's friend and biographer Joseph von Wasielewski that he and Schumann had frequently sight-read Schubert's four-hand polonaises for piano; Emil Flechsig, a childhood friend, remembers hearing Schumann sob throughout the night when he heard of Schubert's death. In the diaries, Schubert is associated with Jean Paul, and his music is also described in terms that mirror Jean Paul's prose style: "Polonaisen von Schubert - lauter aufbrechende Gewitterstürme mit romantischen Regenbogen über feierlich-schlümmernende Welten."  

Schumann seems much less interested in Schubert's songs and chamber music than he is in the polonaises and waltzes for piano solo and duet. Today these works are recognized for their quality and are played frequently, but it is doubtful that scholars would rank them together with the symphonies or string quartets as peaks of Schubert's instrumental output. Schumann, however, did not discriminate against these works simply because they belonged to a more popular genre and would have been thought of at the time as Hausmusik. Schumann's lifetime was the period in which dance music, which had formed a crucial part of the output of


Baroque composers and was prominent in the music of Mozart and Beethoven, began to be seen as a lower art form. Distinctions between composers like Johann Strauss the Elder and Josef Lanner, who was the inventor of the "Walzerkette" or waltz chain, and more serious artists such as Mendelssohn, began to form in the minds of critics and the public. Schubert, however, was one of the latest composers now enshrined in our canon to concentrate his efforts on dance music, or Trivialmusik, as well as songs, symphonies, and operas. Schumann, though he was later to distinguish higher and lower forms in his own oeuvre, found the generic status of Schubert’s dances unproblematic when he first discovered them for himself. He cannot have been unaware of this popular genre, and at one point expressed admiration for Johann Strauss Sr.

Schumann’s own op. III, published posthumously by Karl Geiringer in 1933, is a set of polonaises for piano duet that is a clear homage to Schubert. As Joachim Draheim has shown, these works closely follow the Schubertian model in general

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style and structure, but deviate in some crucial respects. Phrase lengths tend to be more irregular in the Schumann polonaises than in Schubert's, and the younger composer is more adventurous in his modulatory choices. Most remarkable for this study is the labelling of the trio in polonaise no. 7: "La fantaisie". Fantaisie is a palace outside of Bayreuth which is the setting for some of the central scenes late in Jean Paul's novel Siebenkäs, in which the eponymous hero finds love and happiness with Natalie. Draheim suggests, not unreasonably, that this and other titles drew inspiration from the fanciful inscriptions of the eighteenth-century Clavecinistes, to whom Schumann had been introduced by his teacher Kuntzsch. However, the polonaises were written in 1828, the year in which Schumann wrote at greatest length in his diaries about Jean Paul and made a pilgrimage to Bayreuth, which included a visit to Fantaisie. This title, then, represents Schumann's first musical reference to Jean Paul, even earlier than Papillons -- which, incidentally, borrows some of its musical material from this set of polonaises. This work is groundbreaking for Schumann in both musical and extramusical ways; it elevates the trivial genre of Hausmusik in the same way that

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Jean Paul elevates the *Trivialroman* and *Räuberroman* in *Hesperus*, and it refers explicitly to Jean Paul in a title.\(^{11}\) In these senses the polonaises are important precursors to Schumann's first published piano cycles: *Papillons*, op. 2, and *Intermezzi*, op. 4, both of which play on the idea of the waltz or set of waltzes as the basis for a much more adventurous artwork.

I. *Papillons*

Most current scholarship on Schumann's piano works displays an awareness of the relationship of *Papillons* to the final chapters of Jean Paul's novel *Flegeljahre*. In a letter to Henriette Voigt, written after the piece was complete, Schumann intimated the precise passages in Jean Paul to which the movements of *Papillons* are related;\(^{12}\) these passages are also marked in Schumann's own copy of Jean Paul's works, though he did not acquire this copy until the 1850's. These documents make *Papillons* Schumann's only overtly programmatic piano work, and also the only one concretely related to Jean Paul. However, *Papillons* shows a kinship to Jean Paul's style that runs far more deeply than programmatic labelling, and that has important consequences for all of his works of the 1830's.

Although Schumann's early *Polonaises* for four hands show signs of his new attitudes to musical structure, *Papillons* is the first to explore them fully. His later

\(^{11}\) On the *Trivialroman*, see chapter 1.

cycles are in many ways more sophisticated in their digressive techniques, but
*Papillons* is a template for many of these. The introduction to this cycle shows
Schumann's indebtedness to Weber's *Aufforderung zum Tanz* in its motivic
prefiguration of the rest of the work.\(^1^3\)

![Example 2-1: Schumann, *Papillons*, op. 2, Introduzione](image)

Example 2-1: Schumann, *Papillons*, op. 2, Introduzione

These two gestures contain motivic cells (marked in Example 1 as x, y, and z) that
will determine much of the melodic content of what is to come. At the same time,
they serve a conventional "call-to-the-dance" function which raises expectations of
a D major waltz, possibly with a memorable tune, as is customary in the first waltz
of a chain. This is what occurs, but these expectations are still only partially
fulfilled, because the first phrase of the first waltz begins on the dominant and ends
with an exaggerated cadential gesture. It is as if the piece were already in
progress during the introduction. Daverio would call this an example of

\(^1^3\)C.f. Gerald Abraham, *Schumann: A Symposium* (London: Oxford University
"interleaving" or "Kater Murr" technique, in which a piece begins before the previous one has really ended.¹⁴

Example 2-2: Papillons, no. 1, mm. 1-8

Intimations of a well-known genre, the chain of waltzes, have been clearly established, and already the genre has been "made strange" by the revaluation of one of its most readily recognizable gestures, the final cadence, as the opening of the work. To defamiliarize it further, Schumann repeats the line; repetition of sections is conventional in a dance chain, but this repetition only emphasizes the misplaced final section that we have already heard. Even more unexpectedly, the waltz continues after its ending with a digression on the phrasal level: a temporary tonicization of A-flat major (mm. 9-10), in which the cadential figure of m. 8 is transformed, revaluated, as the opening motive of a new phrase. In m. 11, the key of D major returns, and the cadential motive is transformed through rhythmic inversion (long-short instead of short-long). Following this, the original final-cadence phrase returns, this time bearing its conventional meaning, although the

repetition of the section once again defamiliarizes it. Superficially, we have had a normal binary-form dance, but due to Schumann's use of digressive techniques, the dance ends without a beginning.

The second mini-movement distorts the waltz-chain idea further; it is not a waltz at all, but a sectional digression, a Beiwerk like the letters and other disquisitions in Jean Paul's novels. The key, E-flat, is in itself puzzling; if we try to discern a developing key-scheme, either the piece is a temporary foray into the Neapolitan, or else the introductory movements have been "leading-tones" prefiguring this move. In truth, it is neither; E-flat is never used again. D major returns only in nos. 11 and 12. E-flat is abandoned by m. 5, when the preceding four measures prove to have been a dominant introduction to an A-flat movement. Thus, the second movement is a kind of recomposition of the introduction and the first waltz; the arpeggiated E-flat opening is motivically based on the introduction, and so is the A-flat section, which, like the first waltz, begins in medias res. As if recapitulating the structural revaluation of the first waltz, the opening A-flat phrase begins as if some phantom opening phrase had already preceded it, and then repeats itself as a proper cadence.

The third movement once again derives motivically from the introduction and the first waltz:
Example 2-3: Papillons, no. 3, mm. 1-8

Here again, the choice of key (f-sharp minor) is wholly unexpected. We are returned to the waltz topos through the familiar rhythmic gestures, although this is defamiliarized through the absence of a dance accompaniment and its replacement by bare, canonic writing in two voices. Schumann's allusion here to the final masked-ball scene of Fliegeljahre, like the others he added after the work's composition, is attractive -- "ein herumrutschender Riesenstiefel ... der sich selber anhatte"\(^ {15} \) -- but it is impossible to say whether these allusions determined the composer's choices.

The fourth movement remains within the waltz-chain genre, although this waltz is highly stylized. It retains a mediant relationship with the previous waltz, even sharing its A-major/f-sharp minor duality, and is again motivically dependent on the

introduction's rising-fourth-falling-second motive (x), which is developed further in the middle section of the piece. The piece ends on an F-sharp major chord, and the accompanying cadential gesture sounds final; the unwritten generic principle that a dance normally ends in the key in which it begins has disappeared. The chord sounds as if it might proceed to B major or minor, but the fifth movement is a polonaise in B-flat. Thus far, in five movements we have had only three waltzes, all of which defy the conventions of their genre. As in Jean Paul, it is hard to say where the main, binding structure of the piece begins and the digressions end.

With the fifth piece we arrive at an instance of what might be called covert intertextuality. Karl Geiringer was the first to point out that this polonaise was taken over, with few changes, from Schumann's unpublished set of four-hand Polonaises of 1828. As a polonaise, it further denormalizes the waltz chain. More crucially, it contains in its first phrase all of the motivic elements that were heard in the introduction, at roughly the same pitch level. Since we know that this piece was composed before the rest of the set, we may conclude that Papillons was not only expanded to include this pre-existent work, but was largely derived from it in a motivic sense. Thus Schumann's work, like Jean Paul's, includes intertextuality and sectional digression while never sacrificing thematic unity.

Example 2-4: Reductions of melodic lines, *Papillons*, Introduzione and no. 5

The central section of this piece is full of digressions on the phrasal level in the form of a chromatic sequence, an unexpected turn in the direction of C major/minor at m. 13, and another towards F which is deflected by the return to the opening section at mm. 17-19. The final statement of the opening idea is given a new conclusion which leaves the final chord an octave higher than the cadential chord in m. 8 had been; this facilitates the sudden transition into the furious d-minor waltz that follows.

Here we return to the waltz-chain structure, and to relatively straightforward motivic derivation from the two opening sections:
Example 2-5: *Papillons*, no. 6, mm. 1-6

Again, however, this opening is like an interruption of a dance already in progress. Immediately following it, a dramatic contrast in volume and texture signals a phrasal digression in the dominant major. The return of the opening section cadences in the tonic rather than the relative major, and the piece seems to end at m. 24. Yet the repeated plagal cadences, normally a gesture of finality, are followed by a continuation of the piece, playing on the descending-fourth motive of the earlier A-major digression. (Both these sections have their origin in the third and fourth measures of the first waltz.) A truncated version of the opening section ends the piece, but its ending gesture lacks the finality of the version stated at m. 24. The piece's digressions have upset its balance.

Despite this ambiguity, however, the sixth piece ends more finally than any of the preceding ones, marking the halfway point of the work. The seventh piece is also a waltz, and thus part of the chain. However, its key is f minor, relatively remote, and though Schumann's metronome marking indicates that its tempo is actually faster than that of the previous waltz, performers have traditionally played it
slowly and ethereally. Its generic signals are thus ambiguous: it is certainly a waltz, but its relation to the rest of the chain is not clear. Motivically, however, it is as dependent on the first two sections as the other pieces, and the left hand of the opening phrase actually continues the rhythmic pattern of the outer sections of piece no. 6:

Example 2-6: Papillons, no. 7, mm. 1-6

The diminished seventh chord at the end of this phrase (m. 8) signals yet another digression, this time into the key of A-flat. The germinal motive -- rising fourth, falling second -- is featured once again, and is given a kind of "developing variation" treatment. From here on, there will be many allusions to these variations as well as to the original motive; they give Schumann even more opportunity to create superficially unrelated digressions that are, however, completely dependent on the same basic motivic material as the rest of the piece. Though John Daverio and others have referred mainly to Jean Paul's concept of Witz, this process is

much closer to his notion of Tiefsinn, also important in the Vorschule der Ästhetik: "trotz allem Scheine gänzliche Gleichheit."\textsuperscript{18}

The eighth piece returns to the conventional waltz topos, but again superficial dissimilarity to the seventh piece masks a basic commonality. The introductory phrase of this piece is dependent on the same descending motives as the initial measures of waltz no. 7, and the main body of both waltzes is based on the same germinal motive:

\begin{figure}
\centering
\includegraphics[width=\textwidth]{example.png}
\caption{Example 2-7: Papillons, no. 8, mm. 9-12}
\end{figure}

The motivic identity of the sections is supported by a similar minor/major key structure in both pieces. The falling-second part of the germinal motive dominates the final section of the piece. Despite an unusual arpeggio marking on the second eighth-note of mm. 17 and 18, and a deceptive cadence at mm. 23-24, waltz no. 8

largely continues within the Schubertian waltz idiom. Though the influence of Schubert's dances on this early work has been noted, this piece is the only one in which the generic signals of the waltz chain remain largely intact, and they are rendered largely meaningless since the piece is in D-flat major, totally divorced from the waltz chain's putative D-major tonality.

This waltz is concluded with the falling second of the main motive -- the interval that repeats as part of that motive at the opening of piece no. 9, and that preserves the minor-key introduction/major-key continuation model. The conventional waltz no. 8 is succeeded here by a highly stylized *prestissimo* movement which retains only the triple time and, in the introduction, the accompaniment figure of a Schubertian waltz. The scherzo-like major section is dominated by an ascending scalar motive, perhaps related to that of the first waltz, and is punctuated by several prominent allusions to motives from earlier movements. First, at m. 21-22, the treble E-flat-B-flat-A-flat motion recalls m. 11 of the seventh waltz, where the germinal motive was varied; this rhythmically broken statement of the variation paradoxically recalls that varied motive precisely because it has been so drastically transformed. Later, at mm. 28 and 32, a prominent melodic descending seventh traces the exact range of the arching theme of the first waltz. In m. 37, the restatement of m. 21 remains incomplete, and the piece ends inconclusively in B-flat minor; the expected cadence in D-flat is absent, and the generic pattern, distorted by the stylized nature of the piece, is further defamiliarized.
Piece no. 10, as Kaminsky notes, is a collage of intratextuality. Its opening measures consist only of tonic-dominant alternation, establishing the key of C major and annihilating the key of b-flat minor; yet this vamping is followed immediately by a clear allusion to the previous piece at m. 9. This phrase ends deceptively, and the allusion is interrupted by another, this time the A-major pronouncement of piece no. 6. The waltz that follows at m. 25 is superficially new material, but its melody can easily be traced to the introductory motive complex.

Example 2-8: *Papillons*, no. 10, mm. 25-36

Yet another interruption at m. 41 alludes directly to the introduction, and digresses from itself by sliding chromatically into the tonic minor at m. 45. The waltz continues in quasi-inversion and is interrupted a second time by an allusion to the

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conventional motives of waltz no. 8 before concluding "normally." We realize only after the piece is over that it has been a semi-conventional waltz; while it proceeds, the defamiliarizations and digressions seem far more crucial than the object being subjected to them.

With the eleventh movement we return finally to the home key of the cycle. Kaminsky's analysis of this piece is apt; he recognizes a premonition of the "Großvaterantanz" melody in mm. 6-7 (both this premonition and the actual melody contain the germinal motive D-F♯-B-A).²⁰ Like piece no. 5, this is a polonaise and thus slightly out of place in the waltz chain; it is also full of phrasal-level digressions, such as the 4/4 measure in the opening section (m. 10), the accompanying tonicization of f-sharp minor, and the later traversals of g minor and B-flat major before the final return to the tonic at m. 24. The melody of the central section is composed entirely of motives from the introduction, including its developed versions in piece no. 7, though its rhythmic and melodic gestures bear little resemblance to a polonaise and thus qualify the section as a digression:

At m. 40, two measures of the main polonaise rhythm recur, but in the context of the section they are themselves a digression. The return of the section's theme at m. 44 is so drastically varied as to disorient the listener from its structural function. The B-flat signalling the opening section's partial return was striking the first time it was heard, and is even more so now that it has been assigned a new meaning.

The cycle's concluding movement displays clear allusions to the "Großvatertanz" melody and to the opening waltz. These allusions, one intertextual, one intratextual, are combined canonically, so that this final piece displays its unity with the rest of the cycle simultaneously with its nature as a digression. The ending outlines a D-major triad, which is identical to the opening germinal motive minus its appoggiatura B, and a dominant seventh, which recalls the outline of the first waltz theme.
To summarize briefly: of the 12 movements of *Papillons*, nine could loosely be considered waltzes, and three are total departures from the scheme: *Beiwerke*, perhaps. Of the nine waltzes, four are stylized far beyond the confines of the Schubertian waltz topos, and of the remaining five, three are defamiliarized by intertextual and intratextual allusive passages. This leaves us with waltz no. 8, the only conventional waltz of the twelve, and waltz no. 1, which, as mentioned earlier, begins in midstream and is further distorted in its middle section. Nonetheless, through generic signals such as the Weber-like introduction, the use of D-major as a framing tonality, and the sprinkling of conventional waltz gestures throughout the cycle, Schumann creates the impression that a waltz chain is hidden beneath what is really a chain of digressions. The closeness of his structural technique to Jean Paul's is palpable here.

The success of the *Papillons* experiment emboldened Schumann to experiment several times with this process on an increasingly large scale. In order of composition, the *Intermezzi, Carnaval*, and *Davidsbündlertänze* all play with the waltz-chain idea in unique ways. The latter two go to extremes in distorting the recognizability of the dance sequence through interpolation, rhythmic complexity, self-allusion, and other tropes. The *Intermezzi*, as Schumann's first step beyond *Papillons*, hold largely to the original waltz-centred plan, but expand it considerably and introduce a wider stylistic scope to this invented genre.
II. Intermezzi, op. 4

The title "Intermezzo" may have been a conventional label for a character piece in the early part of the 19th century, but Schumann's use of the term raises distinctly Jean-Paulian associations. Although an intermezzo is conventionally meant to appear within the confines of a larger work, or at least to imply one, Schumann's pieces stand alone -- "in the middle of nowhere".

This anomalous situation calls to mind a favourite strategy of Jean Paul: his cultivation of the Beiwerk or "Extrablatt", a satiric interlude providing relief from scenes of high emotion that take themselves extremely seriously, is central to his digressive narrative style. In one case, he collected many of the Beiwerke that might have peppered Titan -- perhaps his most serious long novel -- and published them separately, as the "Comic Appendix" (Komischer Anhang) to that novel.21 Realizing that Titan would lose much of its already tenuous coherence if more "Extrablätter" were added, Jean Paul thought to publish these satiric excerpts in the form of a newsletter, whose contributors would be none other than the major characters of all of his novels: Schoppe in Titan, Siebenkäs, Viktor in Hesperus, Dr. Fenk in Die unsichtbare Loge. Some of the pieces were short digressions, but by no means all of them displayed this conciseness. The "Clavis Fichtiana", purportedly written by Leibgeber -- the Doppelgänger figure from Siebenkäs -- is a

long harangue parodying the transcendental egoism of the philosopher Johann Gottlieb Fichte (1762-1814). Although Jean Paul respected Fichte as a colleague and avant-garde thinker, he did not wish to privilege the ego above the world of nature, or deny the possibility of knowing objective reality, nature, or any other extraconscious phenomena. In ascribing these anti-Fichtean reflections to Leibgeber, whose identity is extremely fluid -- he exchanged names with his double, Siebenkäs, and was later revealed to be the librarian Schoppe in *Titan* -- Jean Paul creates a world in which ego-identity is simultaneously attacked and defended. The authorship of the piece is questioned; the identity of the true author, who appears as a narrating character distinct from the author's own voice in most of his novels, is masked; the identity of the fictional author is unclear. The function of the piece is also unclear: intended for *Titan*, written by a character from *Siebenkäs*, then destined for the Comic Appendix to *Titan* and finally published separately in 1800.\(^{22}\) The reader is following the arguments of a character whose identity, even existence, has been revealed in the novels as precarious indeed; this character, Leibgeber, now claims that Fichte's arguments for a transcendental ego are absurd. This hypothetical reader might well sense that Jean Paul is trying to dismantle the empiricist, rationalist thought patterns of the eighteenth century while simultaneously attacking their opposite, Fichte's extreme idealism. He deconstructs not only received wisdom about the structure of fictional works, but

also basic ideas about the structure of consciousness. To speak of an entity known as "Jean Paul" here means to bow to conventions that postulate the existence of an author intentionally creating meaning -- the very conventions that the Komischer Anhang seeks to dislodge.

The structure of the Intermezzi has the same disjointed quality as that of the Komischer Anhang. Additionally, Schumann's dedication of this radical work to the ultra-conservative Bohemian Kapellmeister Kalliwoda recalls Jean Paul's satirical, iconoclastic vein. An intermezzo, like an appendix (Anhang), implies by its title a connection with a larger, central work. The six pieces in the cycle share a loose motivic and tonal relationship, and some of them allude to other pieces of music that, like Fichte's philosophy, were by no means canonical in 1832 but whose structural processes bear more than a coincidental relationship to those of the Intermezzi. Once or twice the allusions refer to pieces by Schumann himself. The Intermezzi might be construed as relating intertextually to one or more of these other works, which would then emerge as central to any interpretation of Schumann's cycle. However, those works are not necessarily present to the performer or listener during his/her involvement with the cycle. If an intermezzo is meant to relate to something larger, then where is the interpretive centre for Schumann's Intermezzi, around which its signifying systems might be said to revolve?
Allegro quasi maestoso

Example 2-10: Schumann, Intermezzi, op. 4, no. 1, mm. 1-5.

The laconic opening gesture only intensifies the question. Harmonically inconclusive opening mottoes become almost a cliché in this nascent, invented genre (see Papillons, Carnaval, Davidsbündlertänze), and the first measures of the Intermezzi are more inconclusive than most, though ironically they resemble a cadential gesture in their rhythm. Do these four chords -- three anacrustic and one accented -- outline a tonic-dominant progression, or do they attempt to establish E major from the subdominant side? If the chords are delivered "quasi maestoso", as marked, the effect might be that the performer seems to know which harmonic direction is the correct one, while the listener is left in the dark -- a sort of reverse dramatic irony. Though the harmonically ambiguous introduction is fairly common in Haydn and, especially, Beethoven (c.f. the opening of the piano sonata op. 31 no. 3), this one is not followed by the clear establishment of a tonic key. Whether we expect A major or E major, in either case expectations are thwarted by the introduction of a fugato subject on the dominant of f-sharp minor. This new idea is motivically related to the descending semitones of the opening motto (see

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23I thank Caryl Clark for this observation.
example 2-10, above), but rhythmic factors make this relationship far from evident. An accented tonic triad is heard on the downbeat of m. 5, but the fugato texture means that it functions as a passing chord as well as a cadential goal, and the sforzando markings on the second beat of each measure weaken the finality of this downbeat cadence. Moreover, by m. 6, the minor triad is transformed into the dominant seventh of b minor, which turns out to be merely a waystation en route to A major. This last key, which was implied strongly by the introduction, is finally reached, and strongly established in mm. 8-13, but only by way of a lengthy deferral. The conventional relationship of introduction and main body is not destroyed, though considerably shaken. The supremacy of A major is also called into question by the fact that the memorable thematic material of this section (and the next) is introduced in f-sharp minor. The double-dotting and contrapuntal cast of this material seem at odds with the unconventional tonal and formal design of the piece. The counterpoint characteristic of the style of the dedicatee, Kapellmeister Kalliwoda, is a strange match for the dance rhythms of the final phrase of the section.

At m. 14, the recently established A major gives way once more to f-sharp minor as a sarabande-like idea is introduced.
Example 2-11: \textit{Intermezzi}, no. 1, mm. 14-18.

This is derived from the fugato theme and retains its double-dotting, though the slow-moving tonic pedal in the bass provides a strong contrast to the rhythmically unstable opening section. After four measures the sarabande is elided into a new treatment of the fugato material. This time the fugal entries, with their strong accents on the second, dissonant note of the theme, effect a transformation of the triple metre of the piece into duple time. The rhythmic displacement is accompanied by a chain of dominant sevenths, leading the harmony toward A major once again (m. 24), but no conclusive cadence is reached, and we arrive again at the dominant of f♯-minor (m. 27). Another ascending progression of dominant sevenths follows, each new chord articulated by a repetition of the fugato theme; the last is redefined as a German sixth chord and leads to yet another dominant, that of A major. At this point the opening motto returns, this time more clearly defined as centred around A major and strengthened by a thicker chordal texture on the repetition; even now, however, it leads not to an affirmation of the tonic key but to a repetition of the beginning of the fugato passage in f♯-minor. The progress of this repetition is abruptly ended when it reaches a clear A-major chord,
as it had in m. 9. In m. 42, this chord is arpeggiated as a gesture of finality, but not strengthened by further cadential material; any sense of Classical symmetry is thus frustrated. The transition to the "Alternativo" middle section will show that this single chord is not really a final statement, but merely the initiating unit in a sequence of three transitional single gestures.

This opening section, fluidly moving from fugue through stylized dance to developmental, modulatory sequences, defies easy categorization. Tonally, topically, thematically, it revolves around no clear centre; any established pattern is quickly destroyed, though the piece is far from chaotic in effect. By contrast, the "Alternativo" is more stable in almost every respect, demonstrating an "alternative" method of handling the same thematic and topical material as that of the opening section. The term "Alternativo" suggests links to the dance tradition -- compare the “Bourrée I alternativement” in Bach’s English Suite no. 2, BWV 807 -- but here, divorced from any literal dance context, the idea of an "alternative" appears only in the abstract. "Alternativo" in the context of an intermezzo, which is already a digression, reminds us of Jean Paul’s “Extrablätter”, which themselves surface at times in the midst of tangential plot developments.

The key of D major is firmly established at the change of tempo and persists throughout. The section begins with a kind of vamp figure, accented on an offbeat. Then the fugato theme returns in the guise of a dance melody.
The offbeat accents of the vamp are normalized, occurring now on the second quarter rather than the fourth eighth-note beat of the measure. The fugato theme no longer thwarts our expectations after a mysterious introductory motto; rather, it answers the questions asked by the amelodic vamp that precedes it, defining the vamp as an antecedent phrase in an eight-measure period rather than an introduction to something else. After this period is repeated, the cadence in D major is articulated by a fully normalized version of the offbeat quarter-eighth pattern heard in m. 45; it now occurs on the first and second beats of the measure. The contrasting middle section is contrapuntal in texture and includes a "duple rhythm" similar to the one heard in mm. 19-26, with accents every two beats disrupting the triple-metre flow. The subject of this fugato is again a descending line marked by dotted rhythms, and the harmonic direction of the passage is
unclear. However, this time the fugato section is clearly demarcated by cadential passages. The "Alternativo" as a whole is thus a clear ternary structure, with unusual rhythms and harmonies confined largely to a contrasting middle section -- in other words, put in their proper place.

Schumann marks the cadences of both the A and B sections in this incipient ternary structure with musical jokes: in the first instance, a sudden *ritenuto-a tempo* altercation (mm. 61-62), and in the second, a pianissimo repeat of the cadence preceded by a short chromatic digression, temporarily confusing the listener (mm. 75-77). Since the section is otherwise so clearly defined harmonically, melodically, and rhythmically, these disruptions can be heard as isolated jokes rather than as sustained digressions. Chromatic and rhythmic chaos becomes a controlled component of an otherwise orderly structure. The first section of the piece can thus be heard differently when it is repeated after the "Alternativo". Its elided phrases, irregular periodic structures, and swiftly alternating topoi (fugue, quick dance, sarabande, development section) sound even more radical in light of the normalized language of the central section. The "Alternativo", then, hints that this Intermezzo may be heard in terms of, and in contrast to, an eighteenth-century tonal and formal musical language. However, that language in its normal guise is not immanent in the work, despite its implication in the "Alternativo". If the designation "Intermezzo" makes the listener expect to be returned to this more familiar mode of expression at some future point, the work itself consistently frustrates that expectation.
If the first Intermezzo thwarts conventional ideas about phrase structure and musical topos, the second retains many of these in order to shed a stronger light on the deconstruction of other concepts. Harmonically, the piece is no more difficult to decipher than many movements of Haydn and Mozart. It is the rhythmic aspect of the piece that confuses.

Example 2-13: Intermezzi, no. 2, mm. 1-11.

An initial fortissimo statement of the tonic note, doubled through four octaves, must be understood as establishing the downbeat. Yet the final eighth-note of each 6/8 measure receives a strong accent in both treble and bass, so that the rhythmic meanings of both the initial note of the piece and the accents that follow are at best unclear. An ascending scale is formed by these accented notes: E-F#-G-A#-B, a sort of gypsy scale with uncomfortable tritone and augmented-second implications, particularly if E is immediately perceived as the
tonic. Each bass note is the start of an arpeggiated triad; all are diatonic to the scale of e minor until m. 6, when a G# added to the E triad suggests a turn to the subdominant. The E major triad figure is repeated an octave lower, Lento, but the suggestion of a-minor is not resolved. In the Lento repetition, the accents of the previous eight measures disappear; it is up to the performer to decide whether or not to return to "normal" metric accent. One possibility would be to re-hear the repetition as a conventional six-eight phrase, because the pattern that follows sends the two hands of the pianist into rhythmic conflict. The right hand retains the syncopated accentuation of mm. 2-6, while the left hand clearly marks the downbeat with the roots of each of three successive dominant-seventh chords. The ending of the section could be read as either stabilizing or disorienting, depending on whether the pianist decides to accent the downbeats or anacruses of the descending chordal figures. In the former case, the cadence comes at an expected point, although one more beat of tonic affirmation might be required for a fully satisfying closure; otherwise, there is a disturbing pause on the dissonance E-F#-B in m. 16 which lasts one eighth-note too long. Here, conventional rhythmic structure -- like Jean Paul's and Fichte's ego-identity in the Komischer Anhang -- is simultaneously attacked and maintained. Though Schumann may confuse us as to where the downbeat is, there is never any doubt that there is a rhythmic structure to be confused about.

In the event that some doubt remains, the correspondence of this section to the one beginning at m. 62 removes it. Following the rhythmically unstable dominant
pedal at mm. 59-62 and a fermata above the final rests, we hear a simple 2/4 melody with almost no accompaniment.

Example 2-14: *Intermezzi*, no. 2, mm. 63-68.

It is based on the ascending e-minor scale, like the accented upbeats in mm. 2-6, though the disturbing a-sharp is absent, as is the leading tone, d-sharp. If there is rhythmic uncertainty here, it is provided by the chords on the weak second eighth-note of each measure. Above this section stands the inscription "Meine Ruh' ist hin": a famous snippet of Goethe, the canonical Classic author even in Schumann's day. "Goethen versteh' ich noch nicht," Schumann wrote in his diary in 1828.\(^\text{24}\) The reference in the second Intermezzo is to Gretchen's scene at the spinning wheel in *Faust*. Probably many musicians cannot imagine these words linked with any music other than Schubert's setting, whose melody begins with a similar ascending three-note motive. The harmonic framework of the two sections is near-identical. Both proceed from the tonic and dominant to the subdominant; in

the later section the subdominant is fully present (m. 72), in the earlier one only implied by its dominant, the tonic major triad (mm. 6-7). In both places the harmony then follows a sequence of dominant seventh chords before reaching a cadence: the tonic in the earlier section, the relative major later on. The "Gretchen" theme receives a full four-phrase dance form, including a repetition of the phrase on the subdominant (m. 80) followed by a varied reprise leading to the tonic (m. 87) and an extended, unresolved stay on the tonic six-four chord and dominant. This dissonance is not resolved until the end of the piece, when the "Meine Ruh" inscription returns along with its theme (m. 194-end). Thus, the earlier, rhythmically disrupted version of the ascending-scale idea actually receives greater harmonic closure than its simpler, more melodic incarnation at m. 63, particularly since its less complex phrase-structure does not demand a symmetrical resolution. One could almost imagine a third, imaginary version of the theme, with a more complete, supportive accompaniment and a clear authentic cadence to close it.

Assuming the existence -- and non-inclusion -- of this stable theme, it would be possible to understand the Goethe allusion as a structural clue; the piece finds no rest ("Ruh") because this imaginary version of the theme is absent. One could even posit that the "ego-identity" in "Meine Ruh' ist hin" is that of the eighteenth-century musical language whose conventions Schumann is bending almost, but not quite, beyond recognition.

The remaining sections of Intermezzo no. 2 deal largely with this basic thematic
material, disrupting phrasal, rhythmic, and, to some extent, harmonic expectations. One of the most jarring instances of this disruption occurs at mm. 32 and following.

Example 2-15: *Intermezzi*, no. 2, mm. 29-38.

The music has fallen into a conflicted rhythmic pattern first heard at m. 10 and now presented at double speed. This pattern is abruptly terminated at the end of m. 33, and after an eighth-note rest, the unison downbeat note of the piece's opening recurs, now on G. The transition between the sections might be heard, depending on the performer's choice of emphasis, as either a Haydn-like suspension of the expected sectional cadence or an arrhythmic hiccup similar to that of a malfunctioning machine. Throughout the piece, rhythmic patterns are pushed to the limits of comprehensibility in such ways, although the conventions of late
eighteenth-century rhythm are not abandoned; indeed, they are the context within which these disruptions must be understood.

Rhythmic disruption is also a central device in Intermezzo no. 3. Again we encounter a triple-metre piece with a dance topos whose metric structure is constantly threatened. In the Classical era, this nutshell description could normally apply only to the minuet or scherzo of a four-movement instrumental composition, which provided relief from an intellectually strenuous opening movement and a contemplative or passionate slow movement. The scherzo, the "joke" in a serious instrumental work, is by definition an anomaly; even in modern analyses of Classical works, it often receives less attention than other movements, especially the first. For example, in Charles Rosen's magnificent twenty-five page discussion of Beethoven's *Hammerklavier* Sonata in *The Classical Style*, the Scherzo receives one page, and is characterized as a "parody" or a "humourous form" of the first movement -- perhaps an effective description, but also an incipient devaluation.25

To Jean Paul, however, humour and parody were central aesthetic tenets.\textsuperscript{26} It is through humour, and its specialized form \textit{Witz},\textsuperscript{27} that art aspires to the infinite -- in fact, Jean Paul defines the concept of humour as "ein auf das Unendliche angewandte Endliche".\textsuperscript{28} He later concretizes the finite/infinite dichotomy in his description of high, middle, and low novelistic styles featuring characters and plots involving the aristocratic, bourgeois, and peasant classes. In the humourous contrast of the finite and the infinite Jean Paul finds the "romantic comic", the "annihilating" power that puts both mundane and divine subjects in unexpected perspective.\textsuperscript{29} In stringing together three consecutive pieces that subscribe to the scherzo topos, then, Schumann privileges Jean-Paulian humour above the seriousness of the sonata-allegro and the pathos of the slow movement. In so doing, he devalues the Classical era's well-established hierarchy of movements; yet this devaluation is contingent upon a recognition of the hierarchy's existence and power.


\textsuperscript{27}\textit{Ibid.}, 169-207.

\textsuperscript{28}"A finite entity applied to the infinite." \textit{Ibid.}, 125.

\textsuperscript{29}This idea resonates with Bakhtin's "carnival", which is more often discussed in relation to Schumann's op. 9 cycle of the same title: \textit{c.f.} Chapter 3 of this dissertation; Mikhail Bakhtin, \textit{Rabelais and His World}, trans. Hélène Iswolsky (Bloomington: Indiana University Press, 1984); and Lawrence Kramer, "Carnaval, Cross-Dressing, and the Woman in the Mirror," in \textit{Musicology and Difference}, ed. Ruth Solie (Berkeley and Los Angeles: University of California Press, 1993).
The third Intermezzo is linked to the second by a single transitional chord. Within it, in an inner voice, the three repeated bass E's ending the second piece are transformed into a syncopation that undermines the rhythmic structure of the third piece even before it begins. A conflict set up by this gesture, between duple and triple metres, is maintained throughout the principal section of the piece. Melody and accompaniment also struggle later in the piece. The G#-A figure in the bass that joins measures 2 and 3 sounds in performance like an insignificant transition. In reality it is the main motivic idea of the piece, closely related to the descending-semitone motto heard at the opening of the cycle. Ornaments decorate the soprano voice and bring it into prominence, but these are deceptive; the real voice-leading occurs in the inner voices and the bass. The melodic and
rhythmic conflicts interact: the decorated treble voice has irregular accents that suggest a duple pattern, but the bass foundation preserves the notated triple metre, though later, in mm. 7-8, a sequence of root-position chords is reflected by two-note patterns in the bass line. Thus a complex of humourous gestures is established. The supremacy of the key of a minor and the triple metre are not destroyed, but they are strongly challenged. Schumann's dynamics and articulations also have a disruptive effect.

After the opening section the harmony turns to the submediant, F major, but the melodic, harmonic, and rhythmic conflicts set up earlier are preserved, along with the disruptive dynamics and accents. At m. 20, a rising sequence of 5-6 suspensions (upper voice, left hand) features ascending semitones related to the seemingly insignificant G#-A transition of mm. 2-3. In m. 23, just when a climactic first-inversion F major chord is expected, the ornamental figures in the melody suddenly take on structural significance. Five accented beats succeed one another, destroying both the overt triple and implied duple metres and leaving the harmonic progression indefinitely suspended. Finally a transition back to the initial a-minor material is effected, and again the innocuous-looking transition has a more than local significance. Mm. 25-26, which prolong a dominant minor ninth chord, contain a subtle allusion to Schubert's A-flat Impromptu, D899/4 (Op. 90).
Example 2-17a: *Intermezzi*, no. 3, mm. 16-33.

Example 2-17b: Schubert, *Impromptu*, op. 90, no. 4, mm. 1-8

The fifth and sixth measures of this piece are harmonically, rhythmically, and melodically almost identical to Schumann's two measures and serve a similar
transitional function. In Schubert's piece, the measures are repeated and/or extended each time a temporary modulation occurs. The allusion may seem obscure, but it is no more so than a great many of Jean Paul's, and Schumann once referred to Schubert as "Jean Paul ... in Tönen ausgedrückt [sic]". The younger composer may well have been paying tribute to the many "humourous" turns of harmony and minor-mode inflections to be found in both sets of Schubert's Impromptus.

If the third Intermezzo were now to follow the template established by the first two, a varied recapitulation of the opening paragraph would occur, followed by an "Alternativo." This does happen, in a sense; the first two phrases of the piece are now repeated at pitch, but the sequence of descending fifths in the bass is now extended by two chords (m. 33-34). Instead of reemphasizing a minor, the piece now turns towards C major; the sequence, cut off without a cadence, seems to yield to a slow C major melody in m. 35. The piece does not continue in C, however, but the treble and bass notes slide up a semitone to outline a D-flat major chord. An accented G# occurs in an inner voice, as if to remind us of the connection to the opening here. The ensuing passage is very far away in character and tonality from the opening of the piece; only the repeated G#'s, now redefined as A-flats, connect it to its surroundings. Again, at mm. 45-48, Schumann makes a quick, surprising

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transition back to the opening material, and again he accomplishes this with an allusion to a transitional passage by another composer.

Example 2-18a: *Intermezzi*, no. 3, mm. 32-51.
Example 2-18b: Beethoven, Sonata, op. 90, i, mm. 19-28.

This time Beethoven is evoked: the first movement of his op. 90 piano sonata, in e minor, sounds very like these measures as it moves from the first theme group to the second (mm. 24-28 in the sonata, mm. 44-48 in the *Intermezzi*). Beethoven has just introduced an unexpected B-flat which then serves as a chromatic pivot tone. Schumann’s ubiquitous G-sharp/A-flat plays the same role. Two years after the composition of the *Intermezzi*, Schumann wrote in the *Neue Zeitschrift*:

> In diesem Sinne könnte Jean Paul zum Verständniß einer Beethoven’schen Symphonie oder Phantasie durch ein poetisches Gegenstück möglich mehr beitragen (selbst ohne nur von der Phantasie oder Symphonie zu reden), als die Dutzend Kunstrichtler, die Leitern an den Koloß liegen und ihn gut nach Ellen messen.31

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31 "In this sense, Jean Paul could contribute more to the understanding of a Beethoven symphony or fantasia through a poetic counterpart (even without talking about the symphony or fantasia alone) than a dozen critics who lean their ladders against the colossus to take his exact measurements." *Neue Zeitschrift für Musik* 2 (1835): 42.
Schumann's criticism makes his perception of the relationship between Beethoven, Schubert, and Jean Paul seem somewhat impressionistic; however, his tribute to the "humourous" qualities of all three artists in the third Intermezzo shows more clearly than any criticism where their kinship lies -- in the art of transition.

After concluding the main section of the piece with a third repetition of the opening phrase, Schumann proceeds to develop the "Alternativo" almost exclusively from the final cadence of that phrase. In doing so, he exploits the ambiguous rhythmic quality of the cadence: the dominant, falling on the downbeat, receives far more emphasis than the resolution on the tonic. Thus, in the "Alternativo", the cadence is easily reinterpreted as an establishment of the dominant key, E major. It is then extended into an opening phrase that pre-echoes the opening of *Carnaval*, which is also heavily dominant-inflected. The rising scalar motion could be interpreted as a reference to the opening of the second Intermezzo in e minor, which also rises from E to B. The version heard here is much more regular in rhythmic structure; it thus stands in the same relationship to the second Intermezzo's opening as the "Meine Ruh' ist hin" section of that Intermezzo, itself a regularized version of the scalar ascent. If the "Alternativo" of the third piece bears a closer relationship to the second piece than to the main section of the third, it underscores the cyclic nature of the Intermezzi as a whole. These cyclic relationships strengthen the notion that the pieces are "interludes"
between the movements of a phantom larger work, like Jean Paul's *Komischer Anhang zum "Titan".*

The opening paragraph of the "Alternativo" is followed by a sudden turn towards b-minor, and an even more regular scalar ascent. This phrase cadences on G major at m. 68, and leads to another allusion to the same Schubert impromptu hinted at in the main section of the piece. This time, the near-quote lasts four measures and sounds similar to mm. 23-25 of the Schubert; the phrase marks are similar, and the dynamic marking is identical.

Example 2-19a: *Intermezzi*, no. 3, mm. 66-72

Example 2-19b: Schubert, *Impromptu*, op. 90, no. 4, mm. 22-27
Schumann changes Schubert’s bass line to suit his purpose, adding rising semitones, which give the quotation an even stronger motivic relationship to his cycle. The quote ends with a return to the cadential pattern of the opening paragraph of this “Alternativo”. A registrally varied repetition of that opening phrase follows, leading to a reference to the opening motto of the cycle at mm. 80-84, transformed rhythmically to conform to the cadential pattern. Following a short sequential development of the cadential motive, the opening paragraph returns in its initial form, again followed by a reference to the opening motto (m. 100 ff.). The “Alternativo” closes with a truncated version of the Schubert allusion, which has now been thoroughly absorbed into the course of the passage. This central section has thus thrown many basic tenets of Classical practice into question: what is a formulaic cadence, which could appear in numerous works by numerous composers, and what is original thematic material? What is an allusion to someone else’s work, and what is a uniquely recognizable motive? Admittedly, Classical composers often wrote themes and phrases that were identical to material in someone else’s work; but modern listeners are not so inclined to read these instances as quotation or allusion, much less as quotation transformed into original material. Finally, perhaps most importantly, what is the limit of the audience’s capacity to hear such subtly woven material as an integrated whole, and -- by extension -- who is the audience of the work? The same questions must often be asked of Jean Paul, whose fabric of allusion, quotation, and reminiscence
makes one extremely grateful for the extensive critical apparatus provided with modern editions.

Once the "Alternativo" has apparently ended, we are faced with yet another question: where does the return of the "A" section begin? The syncopated G-sharps return at m. 109, signalling a transition; however, they do not introduce the repetition of familiar material, but give way to an extraordinary chromatic passage modulating from the pivot tone G# (the mediant of E major, key of the "Alternativo") through various dominant sevenths back to D-flat major. A Schenkerian might delight in the consecutive voice exchanges to be found here. The passage ends by landing in the middle of the A section, at the surprise turn to D-flat mentioned above. The transition to the final statement of the piece's opening phrases (mm. 129-136) involves no other composer this time, only the ever-present G#/Ab as pivot and an extended stay on the same chord (V7/a-minor) that opened the piece. A truncated, more thematically unified version of the opening section ensues, without quotations or remote modulations. The recurrence of the rhythmically inconclusive climax (mm. 159-160) is resolved only by a quiet statement of the cadence that gave rise to the "Alternativo". The piece is thus somewhat symmetrical, like a Classical scherzo, but only roughly; all the material of the "A" section is recapitulated somehow, excepting the Beethoven quotation, the one reference to a piece in sonata form. The recapitulation does not follow the original thematic order, and is not all confined to the repeat of the opening section.
This flexible sense of structure is akin to Jean Paul’s play with genre and convention.

Example 2-20: *Intermezzi*, no. 4, mm. 1-2

An *attacca* indication leads to the opening of the fourth Intermezzo. Joan Chissell notes that this piece contains phrases from two works of Schumann from 1828: a setting of Ekert’s "Hirtenknabe" and an incomplete piano quartet. These allusions might be loosely connected with the Schubert quote in the preceding piece, and thus with Jean Paul: 1828 was the year of Schubert’s death, and the year in which Jean Paul was most important in Schumann’s diaries; "Hirtenknabe", in addition, was one of the songs that Schumann sent to Gottlob Wiedebein, whose

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opinion the eighteen-year-old composer valued because the older man had written
songs to texts of Jean Paul. The allusions might also explain the mosaic quality of
the piece. It is a succession of one-measure phrases (the metre being a slow 12/8)
that could easily have been presented in different sequence. The tonality is
ambiguous, and there is no real pattern to the cadences, which may be in a minor
or C major. The central modulation through E and A-flat presents the most
harmonic interest, but the piece never strays from the opening dual tonality for long.
Many of the phrases have their own dynamic markings, which do not seem to relate
easily to one another. A short coda promises to resolve the aimless succession of
regular phrases by cadencing on C, but in fact reaches the dominant of F, the key
of the next piece, without any sense of closure.

What relation does this strange piece have to the rest of the cycle? It is possible
to relate the contour of the second phrase, an ascending triad followed by a
descending scale, to the fugato subject of the first piece; the central modulatory
passage contains several melodic descending semitones which link the piece to
those that precede and follow it. Otherwise, it adheres to a different pattern
altogether; there is no scherzo topos, no "Alternativo", no thematic transformation.
The tonality is not remote, and the beginning and end of the piece are convincingly
linked to the rest through attacca markings and transitions, so that the piece may be
heard as a loosely related digression rather than as a total departure. It sounds
like an interlude within this succession of interludes, a digression from digressing,
a typical Jean-Paulian structural ploy; however, thematic links to earlier passages and a coda that is almost, but not quite, comfortingly final provide some coherence.

With the fifth Intermezzo, we return to the scherzo- "Alternativo" framework of the first three pieces. This piece is perhaps the most regular, or perhaps normalized, of the six in terms of phrase lengths and rhythm, though a two-against-three passage in mm. 32 ff. is the only rhythmic anomaly in the cycle that Joan Chissell mentions in her biography. 33 Four-measure phrases dominate both the main section and the "Alternativo". This regularity puts the harmonic complexity of the piece into relief. Jean Paul had a similar sensitivity to the tools of his craft: his bewildering plot-twists are presented in relatively plain language, while his experiments with sentence structure and vocabulary tend to appear during love scenes, where the basics of plot are clear, and digressions, where the plot has been temporarily abandoned. A good example is the contrast in Hesperus between the Fifth Leap Day, in which Jean Paul the author/character rhapsodizes about various words beginning with the letters K through T, and the subsequent Twenty-first Dog-Post-Day, in which the hero Viktor is unwillingly entangled in a web of courtly intrigue. 34 The Leap Day combines plotless whimsy, absorption in the imaginative moment, with linguistic


extravagance; the narrative chapter is written in less colourful language, though it does not lack far-fetched metaphors. Similarly, in Schumann's fifth Intermezzo, one artistic element—rhythm—is relegated to the background in favour of harmony and melody, which play out a plot of their own; the third Intermezzo, more rhythmically complex, is much more straightforward in its harmonic and melodic aspects.

Example 2-21: Intermezzi, no. 5, mm. 1-11

The "plot" of the fifth Intermezzo involves a war between the keys of F major and D minor, and between traditional tonal stability and suggestion or implication of a key. The opening sonority is a concatenation of the perfect fifth F#-Db(C#) and the diminished fifth E-Bb, which might initially be heard as a dominant seventh chord F#-A#-C#-E, the dominant of B major. The D-flat and F-sharp turn out to be
chromatic neighbour notes which resolve inwards to C and G; the chord is now the second-inversion dominant seventh of F major. The D-flat –C natural resolution is heard in the treble; the descending semitone echoes the motto opening of the cycle (D descending to C sharp), and the tonal duality of this piece also recalls the first Intermezzo, which played on the ambiguities of A major and f-sharp minor. In m. 5, the dominant seventh of F resolves not to an F-major chord, but to a dominant seventh of B-flat major. Again the treble note is approached by a chromatic neighbour note, this time a B-natural resolving upwards to C; the B-natural, heard against the open fifth F-C in the bass, sounds like it has been borrowed from the whole-tone scale. The continuation of the melody consists of three more ascending semitones, accelerated in rhythm, and of ascending sixths played by the pianist's left hand. These upper notes are really octave transpositions of a doubled inner voice, but the first, a C natural, re-emphasizes the central melodic note of the passage. The supporting harmony prolongs the dominant seventh of B-flat, first heard in measure 5. The tonic chord of B-flat is heard in measure 7, not as a resolution, but as a harmonization of the melodic passing note D, itself decorated with a chromatic neighbour note. This astonishing opening thus consists of a series of non-resolving dominant seventh chords and a single prolonged melody note, C natural, decorated with two levels of chromatic appoggiaturas. The dominant seventh, as the most consonant chord in the phrase, replaces the tonic triad as home base. Yet this web of chromatic harmonic and melodic elements is superbly integrated in an almost Classical fashion, so that when the opening chord of the piece returns at m. 9, it sounds completely natural. The rhythmic and textural
regularity of the passage makes it relatively easy for the listener to follow the harmonic-melodic complex.

The second half of the piece's opening paragraph proceeds once again from the dominant seventh of F major (m. 9) to that of B flat (m. 11); the root of this chord, F, is now decorated by G flat, the same note used to approach the previous chord (F# served as lower neighbour note to the bass, G). These microlevel redefinitions of notes operate on the same level as Jean Paul's numerous homonyms, metonyms, and allegorical subordinate clauses: they defamiliarize the relatively simple surface level of the discourse. This time the chain of dominant sevenths is extended to include a third, that of E-flat major, again decorated with chromatic appoggiaturas. The chain could conceivably continue indefinitely, but it is cut off by the transformation of the final dominant seventh into an augmented sixth chord. Schumann's choice of chord here is perhaps motivically determined: the dominant seventh of E-flat (Bb, D, F, Ab/g#) could have served as a German sixth leading to the dominant of D minor (a, c#, e); but the French sixth appears instead, so that the F in the dominant seventh chord of m. 13 falls to an E in m. 14. The falling semitone, heard in an inner voice, has of course been an important decorative melodic device in the piece, and is now made structural.

The dominant of d minor, an A-major triad in m. 15, is the first structural root-position triad in the piece, leaving aside the decorative B-flat-major triad in m. 7. This triad is given a performative emphasis: the pianist is directed to play the
next several bars *sempre ritenente*, arriving finally at an *Adagio* marking in m. 18. When a new idea arrives, *a tempo*, in the next measure, it seems to bear little relation to what has preceded it. Based on a descending scale, the new theme in mm. 20-28 contains a sixteenth-note figure that resembles the string-crossing of a Baroque concerto, or an Alberti bass. It prefigures the left-hand accompaniment of m. 29, and also recalls the rhythmic profile of the "Alternativo" of the first Intermezzo, but preserves a distinct character. The harmony is now almost entirely diatonic, though the melody still circles around one note (D). The one superficially obvious feature shared by the two sections of the piece is the prominence of the descending semitone, heard in mm. 26 and 28 in the treble; now, however, it has a straightforward harmonic context. The two paragraphs, then, are diametrically opposed in most respects: is one a digression from the other? Which one is structurally more central to the piece? Perhaps neither: it is possible that they share one further deep connection -- the first section explores the descending semitone, the second a descending diatonic scale. These are the two motivic components of the fugato subject in the first Intermezzo, and the opening of the fifth might be considered a meditation on these two contrasting elements. This underlying unity, like those in Jean Paul, is carefully concealed and confused by multilevel surface digressions, to the point where the unity of the piece is called into question.

I have already mentioned one possible allusion to past musical styles in the d minor portion of the piece, the concerto-like "sawing" figure beginning in m. 20. In
m. 29, another evocation of "alte Musik" appears: a minor-mode phrase sounding very much like the "Großvateranz" heard in the last of the *Papillons*, op. 2. This theme, apparently well-known among Schumann's circle, appears also in the finale of *Carnaval*, where it is designated "Thème du XVIIᵉ siècle". Within the fifth Intermezzo, the theme is given a first and second ending, which imply that this small section might suffice as the opening of yet another piece. In the repeat of the Intermezzo proper, the repeat is omitted -- another gesture to convention. By this time, d minor has been fully established as the tonic key. The combination of harmonic clarity with allusions to older, more traditional musical styles suggests that unambiguous tonality is a thing of the past. Schumann's multiple usage of the "Großvateranz" to signify tradition has a parallel signifier in Jean Paul: the closed-minded bureaucrats who generally thwart the unconventional views and intentions of the young heroes. Oefel in *Die unsichtbare Loge*, Fraischdorfer in *Titan*, the Minister Le Baut in *Hesperus*, and the testators in *Flegeljahre* are, to a certain extent, placeholders for a generalized character that is inimical to democracy, youth, romance, and other positively-charged values held by the younger characters, who are almost invariably more interesting and attractive as well as more liberal in their political views. Schumann contrasts a colourful, harmonically indeterminate, memorable opening paragraph with a stilted, harmonically stable continuation, and invests this latter section with echoes of the past. It is not difficult to extrapolate that the earlier, less conventional section might represent music of the present or even -- *pace* Liszt -- the future. Such topical
dualities, so central to the effect of Jean Paul's writing, thus make themselves heard in a musical guise.

The second ending of the "Großvaterfan2" episode hangs on the dominant of F major, the same sonority which, in a prolonged form, opened the Intermezzo. The piece continues from here with a sequential modulation through g and a minor in which the rhythm is already more complex than it was in the "two-against-three" passage a few moments earlier. A rising chromatic motive (based on chromatic semitones, like the main motive of the piece's opening) dominates these eight measures, which lead not to a reprise of the "Großvaterfan"--as internal expectations, and the double barlines, might suggest--but to a recapitulation of the harmonically indeterminate opening section. This is repeated in its entirety, although without the ritardando at the end, and a four-measure summary of the d-minor section brings the first part of the piece to a close. The form of the Intermezzo proper is thus ambiguous:

Table 2-1 - Formal design of Intermezzl, op. 4, piece no. 5, outer sections

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
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<tbody>
<tr>
<td>A, mm. 1-19</td>
<td>Opening, on the dominant of F major</td>
</tr>
<tr>
<td>B, mm. 20-28</td>
<td>Pseudo-Baroque section in d minor</td>
</tr>
<tr>
<td>C, mm. 29-36</td>
<td>&quot;Großvaterfan&quot; opening</td>
</tr>
<tr>
<td>D, mm. 37-44</td>
<td>Modulation back to A</td>
</tr>
</tbody>
</table>
As symmetrical as this looks on paper, it is not balanced in practice; the B, D, and B' sections last only a few measures, and do not balance the A and A' sections. The idea of duality, which permeates the harmonic and melodic aspects of the piece, is maintained in its formal design, which teeters between tradition and anarchy. Jean Paul's pervasive dualism, which constantly reinterprets or reconciles opposing concepts, is here given musical incarnation.

If the implied listener now hopes for renewed Classical symmetry in the "Alternativo", there is not much to be found, though the Intermezzo continues to create its own rules. The key, B flat, is closely related to both F and D minor, and could even be construed as a resolution of the dominant sevenths of the opening. The establishment of the key in the first period, however, is not a matter of course. The melody consists of a five-note snippet, based again on a descending scale, which is then echoed in two inner voices; this is repeated up a tone, in harmonic sequence. The repetition is followed by an unexpected turn towards the dominant of e minor, a tritone up, where it remains until returning to B flat through what Joan
Chissell calls a "clumsy and ineffective" modulatory passage in mm. 79-84.\(^{35}\) This modulation makes clever use of the descending-semitone motive in the bass, alternating B and C natural until the C, instead of returning to B, descends to F and the dominant of the original B flat. Another motive from the Intermezzo proper returns in the "Alternativo": the sawing figure heard in the bass at m. 71. Motivically and harmonically, then, the "Alternativo" contains similar material to that of the Intermezzo proper, but it is used without the tonal and stylistic conflicts that marked the earlier section. The "Alternativo" thus lowers the tension level set by the Intermezzo's opening, and fulfils in this way the traditional function of a scherzo's trio.

As the piece continues, more distinctive features of the Intermezzo proper are reordered and redefined. The opening period is repeated without alteration. In m. 101, it appears that the opening phrase will be heard a third time; however, a turn to the dominant of G-flat thwarts that expectation and leads through a diminished seventh to the ubiquitous dominant of F major (m. 105), presented again with handcrossings and descending melodic semitones. This sonority is once again left unresolved and contrasts with the dominant of d minor at m. 107. This is followed by a "two-against-three" section, using the same rhythmic elements as the consequent to the "Großvatertanz" episode at m. 32, and also a similar ascending sequence (mm. 108-112). A transitional passage leading back to B-flat

major recalls the tessitura, hand-crossing, and melodic/harmonic chromaticism of the piece's opening (mm. 115-118). One more harmonic novelty of the Intermezzo returns after the repeat of the opening section: the augmented sixth chord, prolonged in the penultimate three measures of the section and stressed through a ritardando marking (mm. 132-134). This chord leads once again to the dominant of d minor, which then immediately recreates its duality with F major through its juxtaposition with the return of the Intermezzo proper.

The key of d minor ends the fifth Intermezzo, though it does not define the harmonic framework of the piece. The sixth Intermezzo starts with fortissimo unison arpeggios in b minor; the ambiguities in this piece are not harmonic, but melodic and textural. There is little ambiguity in the opening two measures, with their arpeggios and descending semitones, but the next two are problematic melodically.

Example 2-22: Intermezzi, no. 6, mm. 1-7
How does the pianist choose which voice is to be given prominence? The first two measures seem to lead to the A# in the bass; yet the notation suggests that the treble E is equally important, and it leads to a continuation of the arpeggio figuration. On the second beat and following, the tenor voice, starting on C#, seems most melodic, but Schumann has given the accent to the E directly above it; the bass leap from A# to F# might also be heard as a "Hauptstimme". The sforzando marking on the third beat suggests that the treble figuration should dominate the texture. The same problems recur in the fourth measure. Descending "two-against-three" arpeggios fill out the rest of the period, and they are equally nebulous melodically.

Two firmly-held Classical ideals of melody and texture are deconstructed here. First, the division between melody and accompaniment must generally be respected, and the decision as to what is melody and what is accompaniment should most often be clear in the score and not a matter of perception by the performer or listener. This is not to say that ambiguities do not occur in the textures of Haydn and Mozart, but these textures tend to preserve at least the impression of clarity; Schumann's invite confusion. Secondly, the role of virtuosic piano figuration should be restricted to accompanimental or other structurally subordinate roles, and should not replace the establishment of the tonic key and the exposition of primary thematic material, much less call into question what that thematic material is. I do not mean to suggest that Haydn, Mozart, and other Classical and
Classicizing composers do not subvert or circumvent these principles; Schumann, however, questions their existence.

Perhaps to show that he was aware of how such ideas about melody and accompaniment operated, Schumann continues with a section in which melody and accompaniment are firmly divided.

Example 2-23: Intermezzi, no. 6, mm. 11-20

The transition to this passage (mm. 9-11) combines the descending and ascending semitones that permeate the cycle with an implied duple rhythm, destroying the meaning of the passage's barlines. By contrast, the melody at m. 12, marked teneramente, disrupts expectations by its very regularity. By m. 18,
however, the soprano and bass voices have equal claim to prominence, and by m. 20, the ambiguous treble figuration has returned. The phrasal divisions also become unclear in the transition back to b minor, and when the tonic key returns, it is once again established with a flurry of concerto-like sequential "filler".

An intertextual allusion at m. 44 may be a clue to the structural significance of all this ambiguity. Having stopped on the Neapolitan triad, C major, at m. 43, Schumann now introduces, at pitch, the first five notes of his op. 1, the "ABEGG" Variations.

Example 2-24: Intermezzi, no. 6, mm. 43-46.

That work is dedicated to the imaginary "Comtesse d'Abegg", and uses the five letters of her name as the opening pitches of the main theme. Texturally and rhythmically imaginative, these variations conform to the conventional standards in terms of formal structure. The sixth Intermezzo, however, is like an "Abegg" Variation turned inside-out. Its arpeggio figuration, rhythmic games, and clear harmonic structure make it sound like a variation, but the identity of the theme
remains an enigma. This paradox is congruent with the nature of the cycle as a whole: a set of intermezzi, interludes, or Beiwerke within some imaginary larger work, or no work at all. If the larger work could be imagined, it might contain not only the source of the motivic interrelationships between the movements, but also the theme which the sixth Intermezzo varies -- just as Jean Paul's Komischer Anhang is best understood in conjunction with the larger novels from which its characters and concepts are borrowed.

Example 2-25: Intermezzi, no. 6, mm. 54-57

The "Alternativo", linked to the Intermezzo proper by means of two cadences and a pivot note, is an effective foil: a dance with a charming melody and an "oom-pah" accompaniment. The role of the arpeggio is purely decorative here (third beats of mm. 55-56). When melodic material appears in the bass, it is clearly demarcated, and returns quickly to the treble. A slightly more technically difficult "filler" passage at m. 62 refers ironically to the key of b minor, the key of the main Intermezzo where filler and theme are identical; even here, the theme is easy for
the pianist to locate and project. This middle section is almost a catalogue of the conventions that Schumann has already deconstructed in the piece's opening section. It is not even especially disturbing to hear the dance melody being gradually picked apart, rhythmically shifted, and finally reduced to a descending semitone in the last twelve measures of the piece.

The cycle ends with the repeat of the opening section of this Intermezzo, its final cadence altered to feature the mediant rather than the tonic atop the last chord. Schumann chose to end the work with the most harmonically stable single piece, but there is no other generic reason why the cycle should end this way. Many of Jean Paul's novels end in an unsatisfactory manner, with the hero in prison (Die unsichtbare Loge) or marrying the wrong woman (Titan); some end with a prosperous marriage, but there is no resolution of other loose ends in the plot (Hesperus, Siebenkäs). In their ending as well as in many other aspects of their design, the Intermezzi show that Schumann had now absorbed the idiosyncratic structural procedures of Jean Paul. In this work Schumann created a critique of the boundaries of late-eighteenth- and early nineteenth-century musical convention, and in critiquing these he also called into question the tenets of the musical establishment (including the dedicatee, Kalliwoda) that brought them about. Despite their continuing neglect in performance and scholarship, the Intermezzi remain a watershed in Schumann's compositional development. They set the stage for much of his later work for the piano, including his best-known and most frequently-performed cycle, Carnaval.
Chapter 3: Carnaval

Although the *Intermezzi* had been described by Schumann as "longer *Papillons*", this epithet might have been even more suitable for his next cycle. Completed in 1835¹ and published by Breitkopf and Härtel in 1837, *Carnaval* was popularized by Liszt from 1840 onward² and has become a stock-in-trade of the concert pianist in this century. The cycle was Schumann's longest, most thorough treatment of the "waltz-chain" topos to date, to be surpassed only by the two books of *Davidsbündlertänze*. Like *Papillons* and *Intermezzi*, *Carnaval* starts from the premise of the Schubertian dance-series, but defamiliarizes it from the outset. The term "defamiliarization", or *ostranenie*, coined by the Russian Formalist literary theorist Viktor Shklovskii, refers to the revelatory effect of literature on familiar, everyday objects and concepts. These ordinary phenomena - human relationships, common objects, conventional actions and beliefs, anything with which the implied reader may be familiar - become "strange" when an author applies literary devices to their representation.³ Schubert's waltz suites would

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have been an everyday musical object for Schumann, whose early *Acht Polonaisen* for piano duet closely emulate Schubert's dance style.¹ The preceding chapter of this dissertation mentioned these polonaises, and also examined the relationship of the *Papillons* and *Intermezzi*, earlier Schumann cycles, to this style; *Carnaval* goes even further in "making it strange".

The work had originated as a series of variations on one of Schubert's *Sehnsuchtswalzer⁵*, developing later into a motivically unified chain of short pieces. Thus, the genesis of *Carnaval* suggests a quasi-Romantic mixture of genres. One of the preeminent Romantic theorists, Friedrich Schlegel, saw the ideal genre as one that contained all others as potentialities within it.⁶ This sort of work, dubbed a *Roman* or novel by Schlegel, is, in John Daverio's words, "a fantastically formed and generically ambiguous artwork"⁷, words which describe *Carnaval* very well.

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The finished work, however, suggests less a mixture of genres than a
genreless mixture, a candidate for a ubiquitous non-genre: "set of character
pieces". It seems to achieve unity paradoxically through its constant flux.
Lawrence Kramer describes this quality in terms of Bakhtin's "carnival"\(^8\); the work's
lack of structural restrictions allows for a deconstructive free play of signifiers,
including those related to gender. Teasing motivic cross-references cast a
shimmer of unity over the whole, but this unity is only an illusion; the important
thing, says Kramer, is the mobility of the gender signifiers in *Carnaval*, their
subversion of received notions about masculine and feminine in music. "The
ultimate cultural term of *Carnaval* ... is gender."\(^9\) His arguments turn almost
entirely on the colourful titles given to the pieces after they were completed.\(^10\)
These titles are indicative of the general mood of each piece, and are generally in
French, which may be a nod to the fashion of naming piano pieces at the time as
well as to Jean Paul's own self-invention as a follower of Rousseau. Kramer's

\(^8\)Lawrence Kramer, "*Carnaval, Cross-Dressing, and the Woman in the
Mirror,*" in *Musicology and Difference: Gender and Sexuality in Music Scholarship*,
ed. Ruth Solie (Berkeley: University of California Press, 1993), 304. See also
Kramer, *Music as Cultural Practice, 1800-1900* (Berkeley: University of California
Press, 1990), 210-213. Bakhtin expounds on his concept of carnival in Mikhail
Bakhtin, *Rabelais and His World*, trans. Hélène Iswolsky (Bloomington: Indiana

\(^9\)Lawrence Kramer, "*Carnaval, Cross-Dressing, and the Woman in the
Mirror,*" in *Musicology and Difference*, ed. Ruth Solie, (Berkeley and Los Angeles:
University of California Press, 1993), 304.

\(^10\) In a letter to Moscheles of 22 September 1837, Schumann says of
*Carnaval*: "Die Ueberschriften setzte ich später drüber. Ist denn die Musik nicht
immer an sich genug und sprechend?" (I put the titles in afterward. Doesn't music
always suffice unto itself and speak for itself?) In Gustav Jansen, ed., *Robert
Schumanns Briefe; Neue Folge*, 2nd ed. (Leipzig, 1904), 101-2.
arguments rely heavily on the possible programmatic meanings of the titles. "Coquette", for example, is a vital feminine response to the frustrated masculine sexuality of "Florestan", whose identity is rendered opaque through the intervention of "Eusebius". "Pantalon et Colombine" shows the female figure "appropriating the phallus" of her male adversary through the alternation of legato and staccato articulation, and through the triumph of the former over the latter. Kramer's article closes with a polemic coda; he dismisses those critics who, like Charles Rosen, assert that "the significance of the Carnaval for us today lies elsewhere" - that is, that Carnaval's main importance for present-day listeners has to do with structure and not with programmatic or extramusical issues. Kramer accuses such critics of "dehistoricizing" the music, of taking an aloof, formalist stance that is partially responsible for marginalizing the classical canon. Perhaps an even more serious accusation is the contention that such positions are both "logocentric" and "phallocentric". Very roughly defined, "logocentrism" refers, in the parlance of deconstruction, to criticism that insists upon the referentiality of signifiers, to "validation from the outside", a fixed "meaning". Kramer accuses Dahlhaus and Rosen of logocentrism precisely because they avoid talking about meaning.


12 Ibid., 321-323.

13 Ibid., 323.

In seeking to historicize *Carnaval* by relating it structurally to Jean Paul's novels, I will implicitly argue for a view that balances these two polarities. It would be pointless to assert that either *Carnaval* or, say, Jean Paul's 1800 novel *Titan* is free of subversive gender concerns. Jean Paul, as a rule, is even more openly radical about politics and religion in a general sense than many of his contemporaries, including the Romantics. Linda in *Titan*, with her independence, her refusal to take part in societal institutions such as marriage, and her eventual rejection by society, is the most obvious example of Jean Paul's sensitivity to gender issues.\(^{15}\) Linda's insistence on her own way of life is not portrayed negatively: she is portrayed as entirely sympathetic, though she ends as a victim of her own refusal to comply with societal standards. On the other hand, most of Linda's female counterparts in the novels are conventional submissives who seem to aspire only to a good marriage and a life free from sin. The careful balance of realism and subversion in these works would certainly have been upset had these female characters been less phallocentrically depicted, at least from the point of view of the average female Jean Paul enthusiast of the period.\(^{16}\) Liane in *Titan*, Lenette in *Siebenkäs*, and Wina in *Flegeljahre* are only the most prominent examples. Klotilde, the heroine of *Hesperus*, displays perhaps more independence of thought, especially in religious matters, than might have been


expected of the average German woman in the era of the French Revolution. The male characters also conform generally to received expectations of masculinity, although the affection of an Albano, in Titan, or a Viktor, in Hesperus, for his male cohorts sometimes approaches the almost sexual enthusiasm seen in the adolescent letters of Chopin and Schumann.17 Thus Jean Paul, in partially addressing gender-related concerns, never entirely departs from the patriarchal stereotypes that ensured acceptance and popularity in most societal strata of his time. Schumann's works, with their strong structural affinities to those of Jean Paul, could hardly be described as free of patriarchal overtones. Admittedly, Kramer does not argue that they are. He does suggest, however, that gender conventions are almost always revalued in the carnivalesque context of op. 9. I would add that, while gender conventions and other received ideas are partially defamiliarized and revalued in Carnaval, the structure of the piece is also dependent on the existence of conventions that are not revalued, that remain recognizable as links to the past. To deny their existence, and to overemphasize the programmatic side of Carnaval at the expense of the musically symbolic, would be to deny its connections to Papillons, to the Intermezzi, and to the Schubertian and Jean-Paulian models that gave it initial impetus: to dehistoricize the work.

The dialectic between progression and digression, between reversion and subversion, characterizes Carnaval just as it does the novels of Jean Paul and the piano cycles that preceded it. The opening movement, portentously titled "Préambule", exemplifies this dichotomy. Its mock-pompous A-flat-major opening

phrase contains the thick chords and martial dotted rhythms of a conventional sonata opening. It also displays a tonal uncertainty and slight phrasal irregularity that prefigure the vagaries of the movement to follow.

Example 3-1: Schumann, *Carnaval*, op. 9, “Préambule”, mm. 1-6

The simple rise of a whole tone that opens the melodic line in measure 1 will dominate the course of the piece and, arguably, the cycle. The ascending scale of the first phrase could be read as an expansion of this halting upward motion. The scale suggests the dominant, not the tonic; the root position chord of A-flat is heard only in passing, at m. 5.

As if to deny the validity of this ascent, the melody begins again in m. 7 with a semitone (e-flat/f-flat) instead of a tone. The resulting minor-mode inflection throws the progress of the piece into question. In m. 10, we seem to proceed towards A-flat minor, but the tonic triad is stated in an incomplete form. It could also be the tonic triad of F-flat/E major, and this implication is realised in m. 11. By m. 14, this turn to the submediant is shown to be a phrasal-level digression: not a modulation to a new key, but a temporary aberration. Here, the tonally ambiguous
opening returns. This time the subdominant implications are even more prominent, due to the sforzando reiterations of the D-flat triad on the second beats of mm. 15-16.

Example 3-2: *Carnaval*, "Préambule", mm. 7-12.

The scalar ascent that follows is now truncated, and the section closes with a half-hearted imperfect cadence on A-flat. The entire introductory section contains no statements of the tonic chord with A-flat in the soprano; tonal finality and stability are avoided.

The conventional "Introduzione" to the waltz chain, found in Schubert and in Weber's *Aufforderung zum Tanz*, is thus expanded and defamiliarized. A comparison to the numerous court processions in Jean Paul's novels suggests itself here; mock-pomposity is a topos common to these and to *Carnaval*'s opening. Perhaps the introduction of the Italian princess in *Hesperus* is the best example.\(^{18}\) She is the betrothed of the local ruler, and her appearance at court is presented in the form of a five-act comedy, with the audience chamber as a theatre.

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The usual procession of ministers, secretaries, and ladies-in-waiting ensues -- the scene is not dissimilar to the levée in the first act of Strauss's and Hofmannsthal's *Der Rosenkavalier*. Viktor, the hero of *Hesperus*, witnesses the event as if from the wings, and his point of view is repeatedly presented as a digression from the main plotline. He and a colleague are presiding over sales booths, a most "carnivalesque" addition to a formal court event. To further enhance the episode's parodic quality, Jean Paul adds an "Extrablatt"-- a term he has invented himself -- on the satirical thesis that lands ruled by despots paradoxically provide greater freedom for their subjects. This is a tongue-in-cheek passage, like many such "Extrablätter" in Jean Paul's novels; Viktor, the sympathetic hero, is a middle-class medical student of thoroughly republican sentiments. The passage merely accents the frivolity of the extended presentation ceremony. In like manner, the introductory portion of the "Préambule" satirizes the pomp of the social dance arena by setting the stage for the work in a strange, uncertain fashion. The tonal digressions from A-flat major parallel Viktor's wry, yet naïve, observations.

After this, the opening movement contains a sort of microcosm of what is to follow, like an operatic overture of the period. It is a chain of waltz-like fragments, gradually increasing in tempo and becoming less and less like the stereotypical Schubertian waltz. This pattern is itself subverted by digressions at various levels. The three-measure transition from the introduction into the first waltz section preempts the waltz proper by stating its main motive three times. The opening octave of the *più moto* section condenses the contour of the opening phrase, which traces an octave in range, into two notes. The short motives that follow contract the last phrase of the introduction; they trace the contour E-flat-F-E-flat-C-A-flat, itself an expansion of the opening two-note figure E-flat-F-E-flat-F. The
introduction, thus summarized, forms the basis for what follows, but the continued presence in the music of motives from the introduction is concealed by rhythmic and melodic conceit.

Example 3-3: *Carnaval*, “Préambule”, mm. 26-31

Similar devices dominate the frenetic dance that follows. The left-hand accompaniment threatens the hegemony of the barline from the outset, by imposing a duple metre on the usual "three-quarter" waltz time, while the repetitions of the main motive in the treble remain within a triple-metre framework. Chopin's stylization of the waltz and mazurka through subtle rubato in the right hand -- while a steady left-hand pulse is maintained -- is thus reversed. This uncomfortable metric balance is toppled every four measures by a return of the main motive first heard in m. 27, stated in canonic fashion. Once the entire passage has been repeated, this digression and its repeated affirmations of the tonic key become the norm for the piece. At the second ending in m. 35, the digression is itself subverted through an abrupt turn to the subdominant. After two affirmative measures in D-flat, the music is dragged towards the dominant at m. 37 with an ascending phrase that recalls the opening waltz of *Papillons* as well as the opening of the movement at hand. At m. 40, an apparently arbitrary chromatic
descent returns us to D-flat; similar chromatic appoggiaturas -- like Jean Paul's connective hyphens or Gedankenstriche -- will be used throughout the cycle as a loose glue binding digressions and "main plotlines" together.

Example 3-4: Carnaval, "Préambule", mm. 37-42

Gedankenstriche, in Jean Paul's syntax, are often used to contain momentary digressions from the plot. Jean Paul invents many plays on the various German words for hyphen or dash.¹⁹ It is only after the second statement of the chromatic "hyphen" at m. 46 that a conventional Schubertian waltz makes its first appearance.

The ostensible musical topic of the cycle, the waltz chain, is thus delayed to the point that it seems almost irrelevant when it first appears. The idea that the preparation for and consideration of an event are more crucial than the event itself

¹⁹An example is in Hesperus, where the hero Viktor consciously thinks in terms of hyphens instead of epithets when cursing: "Ich wollt' -- --", sagte Viktor und machte sechs Dehnzeichen darauf als Apostrophen von ebenso vielen weggelassenen Flüchen." ['I'd like to -- --', said Viktor, adding six hyphens as replacements for as many omitted curses.] Jean Paul Friedrich Richter, Werke, Vol. 1, "Die unsichtbare Loge" and "Hesperus", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 599.
is frequently encountered in Jean Paul.\textsuperscript{20} In \textit{Titan}, Albano daydreams for several chapters about Liane and Roquairol, neither of whom he has met, before they are actually introduced to the reader. The daydream characters are, of course, much more appealing than the "real" ones, although even the actual Liane and Roquairol are larger than life to Albano’s eyes.\textsuperscript{21} In the same way, the ideal waltz that has been pompously announced in the maestoso introduction and hinted at in the \textit{Più moto} is charming, but insubstantial, in comparison to what has preceded it. Perhaps inevitably, it does not last long. By m. 55 the tonality and metre of the waltz are threatened, and a descending chromatic bass line suggests that the section is no more than a transition to something yet to come. A syncopated passage on a dominant pedal at m. 63 leads momentarily back to the waltz theme, which lasts for only four measures. This time it really is a transition to something else, but only to a new and longer transition.

The whole "Préambule" is for the most part composed of transitions. The \textit{Animato} at m. 71 and the \textit{Vivo} at m. 88 both consist mostly of chromatic ascents and descents, interspersed here and there with dominant pedals. The new melodic idea at m. 71 is essentially a combination of the chromatic ascent with octave leaps, two ideas that were introduced in the opening "maestoso". Following this, the Schubertian waltz idea (from m. 46) is transformed into a quasi-virtuosic expansion of the descending chromatic appoggiatura first heard at m. 40. This

\textsuperscript{20} On the primacy of the subjective perspective in Jean Paul, see Wolfdietrich Rasch, \textit{Die Erzähweise Jean Pauls: Metaphernspiele und dissonante Strukturen} (Munich: Hanser, 1961), 7-8.

chromatic motion can be heard in expanded form in the bass line. The Vivo section then combines ascending and descending chromatic appoggiaturas with melodic leaps that suggest several implied voices, in the manner of a Baroque countersubject.

Example 3-5: *Carnaval*, “Préambule”, mm. 83-94

Sforzandos and frequent dynamic changes enhance the instability of the passage. Within this bewildering transitional material, however, a major new motive is introduced: the famous "ASCH" idea, hidden in the bass line and disguised as A-flat-C-C-flat (As-C-Ces/H). Again the distinction between "Beiiwerk" and "Hauptwerk", terms commonly used for the main part of a Jean Paul novel and its digressive sections, is blurred. If this section is a digression, as its chromaticism and dynamic volatility might indicate, why is it here that the ASCH motive, the subject for all the variations of the following movements, is introduced? The multivalent function of the passage prefigures the intentional structural ambiguity inherent in the cycle as a whole.
At m. 102, the initial motive of the *Più moto* section recurs in a passage that bears many of the marks of the retransition in the Classical sonata style. A dominant pedal is combined with fragments of the first theme group, together with that theme's initial rhythmic confusion. Then a grandiose *ritenuto* passage in octaves (mm. 110-113) heralds a possible return to one of the motives introduced earlier in the piece. One of them does recur, but in a completely recomposed form. The syncopated scalar ascent of the *Presto* refracts the opening phrase of the movement, while the ambiguous accentuation of the accompaniment recalls the *Più moto*.

![Example 3-6: Carnaval, "Préambule", mm. 114-121](image)

The metre of the passage is confused to the extent that quadruple-metre bars may be freely introduced. Even the chromatic descending appoggiatura is implied in the melody (mm. 120-122). The coda of the piece thus synthesizes elements of all the preceding sections. Since these elements were introduced in a deliberately confusing manner, however, the listener may be left bewildered, unprepared for a conclusive ending. Bewilderment is a natural response to a basically digressive style, and one frequently reported by readers of Jean Paul. Yet the introduction of
the retransition idea into this section suggests that Schumann also wanted his listeners to sense clarification and direction. The idea is completely reinvented, and the reinvention of topoi is a central characteristic of Jean Paul's style.

Thus bedazzled by the "Préambule", listeners to the cycle are by no means coddled by the series of short, mosaic-like pieces that follow. These colourfully titled, sometimes fragmentary numbers establish the basic pattern of the work. Pieces based on the expected waltz topos are interspersed with duple-time fragments in slower or faster tempos; these defamiliarize -- in the Shklovskian sense -- the "waltz-chain" concept central to the Schubert work that was the initial impetus for this cycle. Additionally, tonal, phrasal, rhythmic, and dynamic digressions mark the pieces at both foreground and middleground levels. These digressive techniques are thus integrated into the fabric of the music more thoroughly, and at more different levels, than they were in the Intermezzi. This cycle, then, approximates Jean Paul's complex narrative strategies more closely than any of Schumann's music to date. In many respects, the composer never surpassed this closeness in his later music, although each of the succeeding cycles examines the coexistence of digression and motivic unity through a different lens.

The first of the shorter pieces to follow the "Préambule" is "Pierrot", in duple time and thus a defamiliarization of the waltz-chain concept. It is here that the famous "ASCH" cipher is first introduced in an obvious manner. The opening four measures present the distinctive interval series in one of its most common incarnations: as a-natural-e-flat-c-b-natural in the left hand. The following three
notes, e-flat-c-b-flat in octaves, are a slightly altered version of the same cipher (EsCB in the German spelling, rather than EsCH).

Example 3-7: Carnaval, "Pierrot", mm. 1-8

Both versions of the cipher resemble the descending-semitone tag in "Préambule" in that they function as floating signifiers; they are interpreted differently at each hearing. In m. 5, for example, the a-natural version of the tag appears in the soprano rather than the tenor, where it initially occurred; in m. 11, the abrupt phrase ending confirms the dominant rather than remaining in the tonic key, as it did at mm. 3-4. The next phrase, identical in every other respect, cadences deceptively in g minor, although the melody notes are again e-flat-c-b-flat. By the end of the piece, these three notes have been heard twenty-four times, articulated each time with an abrupt, seemingly inappropriate dynamic change. Finally, in mm. 43-46, the tag is extended to form an arpeggiated tonic chord with added sixth. The repetitions of this simple figure have an officious, childlike quality reminiscent of a litany or catechism. Jean Paul's "Extrablätter" and digressive passages often exhibit a similar simplicity, particularly those that mimic the self-important legalese of bureaucratic documents. The most famous example is the testament of the late Van der Kabel in Flegeljahre, which determines the
strange future of the hero, Walt. In the "2nd Clausula", each testator is addressed in turn by his official title: "[An] Herrn Kirchenrat Glanz, Herrn Hoffiskal Knoll, Herrn Hofagent Peter Neupeter" etc., etc. The titles are echoed by the "official" insults hurled at the deceased by the dissatisfied testators: "Schubjack, Narr, Unchrist usw." After the "3rd Clausula", which reveals that none of the expectant heirs will be inheriting Van der Kabel's house, a series of paragraphs describes the private thoughts and painful facial contortions of each official; each section begins once again with "Der Inspektor", "Der Frühprediger" and so on. Both Schumann and Jean Paul are resorting to the simplest of comic techniques: bald-faced repetition, combined with the parodic depiction of blatant self-importance. Perhaps the awareness of these age-old comic devices prompted Schumann to give his piece its commedia-dell'arte-inspired title.

"Pierrot" dissolves effortlessly into a series of six fragments, each with its own distinct character. The boundary lines between these pieces are unstable to the point of non-existence; it is their rhythmic character and the performer's choice of tempi that divides them, not cadential or phrasal structure. The first of these fragments, "Arlequin", is a repeating cycle of dominant-tonic progressions that never achieves harmonic or rhythmic closure. "Pierrot" was a conventional binary-form piece beginning and ending on relatively clear tonic harmonies.


23Ibid., p. 583.

24Ibid., p. 584.

25Ibid., pp. 585 ff.
although the "floating signifier" e-flat-c-b-flat disrupted the piece's flow. Its duple meter defamiliarized the waltz-chain principle of the cycle; "Arlequin" is at least in triple time, although almost every other conventional parameter in the piece is somehow subverted.

Example 3-8: Carnaval, "Arlequin", mm. 1-7

The dominant-seventh sonority that opens the waltz provides a seamless connection with the final E-flat-major chord of "Pierrot", which is thus recodified as a subdominant in the key of B-flat major. As clear as this connection is, however, it hardly lessens the strangeness of "Arlequin"'s in medias res opening. This juxtaposition recalls John Daverio's notion of "interleaving", a critical insight inspired by E. T. A. Hoffmann's novel Lebensansichten des Katers Murr.26 The novel consists of fragments from the autobiography of the musician Johannes Kreisler, whose cat, Murr, uses the torn pages of Kreisler's agonized confession as "backing and blotting" for his own memoirs.27 Admittedly, Schumann's harmonic


changes are far smoother than the abrupt transitions from human to feline confessions in Hoffmann's novel, but Daverio's comparison is still apt. His illustrations of the principle come from *Papillons* and *Kreisleriana*, but the transition between "Pierrot" and "Arlequin" in *Carnaval* is similarly constructed. "Pierrot", relatively complete in itself, gives way to "Arlequin", which the listener seems to join already in progress.

The first phrase of the fragment "Arlequin" -- the first phrase that we actually hear, and do not merely infer -- contains the ASCH cipher in its clearest form thus far. It is couched in a typical Viennese waltz rhythm which, were this a work by the younger Johann Strauss, would probably call for a slight delay in performance. (See example 3-8, above.) This popular cliché is presented in recognizable form in the first measure, but is immediately defamiliarized in the third, fifth, and seventh measures. The pianist is required to execute slightly comic-sounding leaps in the first beat of alternate measures; these grow wider as the piece progresses, making this fragment a broad parody of the waltz style. These leaps necessarily cause a disruption of the triple metre; the resulting second-beat sforzando markings also do little to promote rhythmic stability. The leaps happen so quickly that the listener's sense of harmonic flow is determined by the accented sonorities in the second beat of each measure. Thus, conventional concepts of waltz metre, rhythm, harmony, and melody are subverted within the first two measures of the piece. As if to restore order, Schumann plants a recurring descending-scale figure, played forte and in unison, at the end of each distorted phrase. Like the "floating signifier" in "Pierrot", this motto is heard slightly differently within the context of each successive phrase. When the harmony turns toward the subdominant at m. 17-19, for example, the descending-scale figure sounds even more like a judge's gavel.
than it did earlier, when the piece was already affirming tonic harmony before its entrance. Like Jean Paul's use of repetitive, bureaucratic language, discussed earlier in reference to *Flegeljahre*, this figure and the similar one in "Pierrot" reinforce the satirical character of these elusive fragments.

Only one phrase in the fragment is not followed by the unison descending scale. It begins at m. 25, where the dynamic suddenly shifts to pianissimo; here the melody, instead of repeating the two-measure pattern established thus far, repeats only the first measure of the pattern, the one containing the odd right-hand leap.

Example 3-9: *Carnaval*, "Arlequin", mm. 22-28

In the context of the unrelenting diatonic harmony of the rest of the piece, the diminished sevenths in this solitary phrase are revolutionary. Schumann underlines them with a *ritardando* marking. Only a grace note at the end of m. 28 connects this phrase with the rest of the piece, which merely repeats the opening sixteen measures. This poignant detail changes the face of the piece, suggesting a dimension beyond mere satire. A possible parallel procedure in Jean Paul might be illustrated by a detail in the penultimate chapter of *Flegeljahre*, the famous masked-ball scene which is associated with *Papillons*. The bewildering
procession of masked figures that greets the protagonist, Walt, upon his entry into
the ballroom, is briefly interrupted by a glimpse of the heroine, Wina, "who gazed
out of the darkness with starry eyes". The two exchange a sentence each before
the storm of dancing and miming continues. The flow of the scene is quickly
interrupted by a longer exchange between Walt and Wina, but this new
development only enhances the sense of something deeper beneath the
goings-on at the ball. Such tiny, significant subversions occur frequently in
Carnaval; the single phrase in "Arlequin" is only the first example. These moments
transcend the general atmosphere of parody that surround them and offer glimpses
of a different sort of subversion.

We encountered "Arlequin" in mid-flight, and it ends abruptly in a similar
fashion. The opening bass note of "Valse noble", the next piece, acts both as a
continuation of the descending scale figure in "Arlequin" and as a chromatic jolt.

\[ \text{Example 3-10: Carnaval, "Valse noble", mm. 1-6} \]

\[ \text{[Musical notation image]} \]

\] 
\[ \text{ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 1072-1073.} \]
The connection is logical, but not smooth. "Valse noble", like "Arlequin" as it began, may already have been echoing in the background before we could perceive it, another possible instance of Daverio's "interleaving". Unlike its predecessor, however, this piece is non-parodic; its waltz topos is not defamiliarized to any extent. The ASCH motto opens the melody in another typical waltz rhythm, but the contour of the phrase that follows does not satirize conventional waltz melodies. However, in its octave rise and chromatic inflections, the piece recalls the opening of the "Préambule". This phrase, like the earlier one, seems "mock-pompous", a sort of gentle parody of conventional opening fanfares and flourishes. Perhaps the "Valse noble", then, like Jean Paul's eccentric characters Schoppe (in Titan) and Leibgeber (in Siebenkäs), is a parody that rises above itself; it is "noble" despite a faint whiff of ridicule.

The librarian Schoppe's antics are vividly described in Titan. He is possessed of a passionate fear of the doctrines of the subjectivist philosopher Fichte. As a result, he spends the entire novel trying to avoid his "ich" or ego identity, a central concept in Fichte. At the moment of his death, he is attempting to escape from his reflection in a mirror.29 He could never be mistaken for an ordinary civil servant. Yet despite his incomprehensible actions, he is recognized as a great teacher by Albano, the protagonist. In the figure of Schoppe, satire becomes tribute. In this sense, "Valse noble" is a reworking of the satiric concept manifested in "Arlequin", and its gentler treatment of similar musical materials, such as the Viennese waltz-rhythm cliché, reflects this orientation. Perhaps Schumann

is gently making fun of waltz idiosyncrasies here, but, like Jean Paul's Schoppe, "Valse noble" is more an homage than a parody.

The relative stability of "Valse noble"'s opening is largely maintained in its continuation. The imperfect cadence in mm. 7-8 of the piece is far more stable than anything in "Arlequin"; the minor-inflected passage after the double bar, however, recalls the earlier piece in its ambiguity. Although the key of g minor is strongly suggested, it is never established. The melody at m. 9, a rising octave followed by a descending scale pattern, is a recomposition of the intervallic design of the waltz's opening phrase, a scalar ascent through an octave. This melody, its warm, arpeggiated accompaniment, and the molto teneramente marking at m. 13 suggest that Schumann thought of this section as an emotional high-point in the cycle thus far.

Example 3-11: Carnaval, "Valse noble", mm. 13-19

Jean Paul's moments of amorous tension are often similarly constructed. Walt's encounter with Wina, described above, is one example; another is Albano's brief conversation with Liane about halfway through Titan, after he has interrupted her playing of the glass harmonica. Liane has befriended Albano's shy sister, Rabette;
Albano, finding them together, asks after his sister and is rewarded with a near-declaration of love from Liane. This is beyond his wildest dreams, and he must flee ("er mußte entfliehen"). The language in this passage displays Jean Paul at his most flowery, almost to the point of parody. The characters tremble, whisper, and wipe tears from their eyes; their emotional states are too unstable for speech. Certainly Schumann’s short phrase at the centre of "Valse noble" does not directly conjure such images; but its repetitiveness, tonal instability, warm pianistic colour, and flowery tempo marking do suggest a moment of emotional intensity that cannot and does not last. This moment, and the similar one in "Arlequin", are glimpses of Jean Paul's "zweite Welt," moments that seem to prefigure paradise.

As in Jean Paul's scene, the transition away from this moment is unusually constituted. The last sonority of the phrase, at m. 24, is a dominant seventh in the key of g minor, with a prominently-voiced leading tone (f#, in the tenor register). This f-sharp, enharmonically respelled as g-flat, recurs an octave lower in the next measure. Its function, however, is twofold: it provides a loose connection between the molto teneramente passage and the return to the opening, but it also restates the slightly startling g-flat of the first measure of the piece. Albano's flight from Liane, although credibly motivated, is unexpected, bringing on a digression; this compact transition serves a similar dual purpose.

"Valse noble" ends with a relatively stable final cadence. The final left-hand chord, however, slides fluidly into the first measure of the next piece, "Eusebius",

thus fulfilling tonic (in "Valse noble") and dominant (in "Eusebius") functions simultaneously. Despite this ambiguity, there is no question of tonal instability in "Eusebius", although a root-position tonic chord is heard only once, in m. 24. Although the construction of this piece is extremely simple -- it is made up of two alternating four-bar phrases -- there is no conventional formal designation that fits it well. The simplicity of its harmonic and phrasal structure is contrasted with an unusual surface rhythm: predominantly seven against two or four, although sometimes the septuplet itself is varied as a quintuplet-triplet succession.

Example 3-12: Carnaval, "Eusebius", mm. 1-5

Again the molto teneramente designation surfaces in the middle of the piece, providing a fleeting textural and dynamic climax. The contrast with the waltz-chain structure is clear. One is reminded once again of Jean Paul's fleeting moments of emotional tension within the motions of conventional social situations.

The title of the piece also carries echoes of Jean Paul. "Eusebius", as is well known, was Schumann's name for the gentler, more reflective side of his critical and private personalities; the name appears often in the Neue Zeitschrift für Musik as signatory to anonymous reviews, together with the rash, boisterous "Florestan". The comparison of these two characters to Walt and Vult, the polar-opposite twins
in Jean Paul's *Flegeljahre*, has been made before.\(^{31}\) Walt, the more introverted and romantic of the two, clearly corresponds to Schumann's "Eusebius" in the critical writings. However, Walt also has artistic leanings in common with the musical "Eusebius" of *Carnaval*. Early in Jean Paul's novel, we discover that Walt has invented a new poetic genre, which he calls the "Streckvers" or "Polymeter".\(^{32}\) It consists of a single stanza with free metre and without rhyme; the verse can be lengthened at will. Essentially, the "genre" is a vehicle for Jean Paul's natural aphoristic talent and rich vocabulary. For Walt, however, it is an escape from his conventional profession -- he is studying to become a notary. Schumann's "Eusebius", with its simple underlying structure and self-conscious irregular surface rhythms, its one periodic section repeated at will, is also an escape from the more or less conventional waltzes that surround it. The piece ends, like a "Streckvers", with an arbitrary cadence that occurs when the last phrase breaks off, whether or not the supporting harmony is conventionally final.

Both Eusebius the character and "Eusebius" the character piece, then, have significant attributes in common with Jean Paul's Walt. Can the same be said of "Florestan"? Two possible approaches to this fragment might connect it with Walt's brashly confident twin, Vult. For one thing, Vult (short for "Quod Deus Vult") is a musician, a flutist, and his midnight improvisations are described by Jean Paul in terms that might well be transferred to Schumann's tonally unstable fragment:

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"Er wußte nämlich ganz allein in seinem Zimmer ein solches Kunst-Geräusch zu erregen, daß es die vorübergehende Scharwache hörte und schwur, eine Schlägerei zwischen fünf Mann falle im zweiten Stocke vor; als sie straffertig hinaufeilte und die Türe aufriß, drehte sich Quod deus Vult vor dem Rasier-Spiegel mit eingeseiftem Gesichte ganz verwundert halb um und fragte, indem er das Messer hoch hielt, verdrüßlich, ob man etwas suche; ja nachts repetierte er die akustische Schlägerei und fuhr die hineinguckende Obrigkeit aus dem Bette schlaftrunken mit den Worten an: "Wer Henker steht draußen und stört die Menschen im ersten Schlaf?" 33

Vult's unpopular musical extravaganzas reflect his eccentric character. He is hot-tempered, mercurial, and unsure of his own identity -- born moments after his brother Walt, he was christened "Quod-deus-Vult" (As God will have it) because his parents had no expectation of, or desire for, his birth. He is prone to sudden disappearances and reappearances: at the end of the novel, realizing that Walt has won the love of a girl for whom he also vied, he vanishes into thin air.34

"Florestan" gives new life to Vult's character in musical terms. It, too, is unsure of its own identity. It begins with the ASCH motto in the first four eighth-notes of the piece; its presence thus assures the listener that "Florestan" does, in some capacity, belong in this cycle. The waltz-chain topos also manifests 33 "He [Vult] was able, all alone in his room, to arouse such an artistic noise that the night watchmen passing below his window noticed it. The watchmen swore that five men on the third floor of this house were engaged in fisticuffs; as they ran upstairs, ready for a fight, and threw open the doors, Quod-deus-Vult turned around from his shaving mirror with a soapy face and asked, holding his blade high, dismissively, whether they were seeking something; - at night he repeated the acoustic hammerblows, forcing the upper classes out of their beds, drunk with sleep and staring through the windows, muttering, "Who the devil is out there rousing people from their best sleep?" Jean Paul Friedrich Richter, Werke, Vol. 2," Siebenkäs" and "Flegeljahre", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 618.

itself in a basic fashion here: triple time and an "oom-pah" accompaniment are clearly present. Yet most other aspects of the piece are unstable.

Example 3-13: Carnaval, "Florestan", mm. 1-12

It begins on a dominant minor ninth chord, presumably in the key of g minor, although this key is never affirmed. The rhythmic structure of the opening measures, like the harmonic structure, is threatened, particularly by sudden crescendi (mm. 1 and 3) and accent marks that underline the weak second and third beats of mm. 2 and 4. The melody outlines a diminished triad, which is unstable enough in itself. It is made more so through chromatic embellishments, particularly the rogue, unresolved E-flat on the last beat of m. 2. Finally, the melody loses all pretense of rationality by leaping an octave and a half on a weak beat, the last of measure 4. The "screech" here, heard with Jean Paul in mind, strongly suggests Vult the flutist's wailing high register.
A g minor chord is finally heard in measure 5, although in the weak second inversion, with the bass note in common with the four preceding measures. The g-minor triad is arpeggiated in the melody, too, but only as passage between three C's on accented weak beats. Although these C's technically resolve to the B-flats that follow them, they are likely to be heard as unresolved, since they are much louder and longer than their resolutions. A possible solution to this tonal dilemma comes in m. 7, when a new dominant seventh chord is heard: that of B-flat major. The previous bass note, D, is followed by a non-harmonic passing tone, E natural, which proceeds naturally to F; thus the entire opening passage may be re-heard as an embellishment of the dominant of B-flat. The C's, then, might be satisfactorily resolved by an affirmation of B-flat, the new tonic note. A diminuendo and a ritenuto marking also suggest relaxation here.

This long-sought resolution is never achieved. Instead, a new melodic idea marked Adagio is presented; this too is tonally dualistic, proceeding from the dominant of B-flat to a diminished-seventh chord spelled as if in g minor. (See example 3-13, above.) These two bars, then, harmonically undo all that was accomplished in the first eight measures. Melodically, they exhibit a further instability: they are a transposition of the opening of the first waltz of Papillons. As discussed in the previous chapter, Schumann connected Papillons with Jean Paul's novel Flegeljahre as an explanatory gesture for his friends and colleagues. The reading of the final ball scene from the novel, according to the composer,

could serve as a quasi-programmatic guide to the eccentric structural goings-on in the earlier cycle. *Flegeljahre* is the birthplace of Quod-deus-Vult, later reinvented as Florestan by Schumann; this subtle reference thus initiates a chain of intertextuality. A further link in this chain might be created by the observation that Vult, as an eccentric *Doppelgänger* figure, has close relatives in all of Jean Paul's major novels. Flamin in *Hesperus*, Roquairol in *Titan*, and especially Leibgeber in *Siebenkäs* are all cut from the same cloth. Leibgeber, in fact, exchanges names and identities with his best friend *Siebenkäs* before the novel *Siebenkäs* begins, and once again before it ends; they resemble one another so closely that the ruse is accepted by all the novel's other characters. Leibgeber, however, goes beyond the borders of the novel *Siebenkäs*; at the end of *Titan*, the character *Siebenkäs* reappears and reveals that his friend Leibgeber had been present all along in the later novel; *Titan*’s characters knew him as the slightly mad librarian Schoppe. Jean Paul associated the fluctuating identity of Vult/Siebenkäs/Leibgeber/Schoppe with the extreme subjectivism of the philosopher Fichte; the novelist's satirical work based on this premise is called "Clavis Fichtiana seu Leibgeberiana". Having followed this line of association thus far, the reader will see that *Papillons* and *Carnaval* are part of an intertextual chain, a sort of hypertext, linking no less than three different Jean Paul novels.

In summary, "Florestan", by quoting two measures from *Papillons* and alluding through its title to a major character in *Flegeljahre*, refers to two piano cycles, three (or more) novels, and a satirical philosophical tract. Schumann seems to have decided that this was quite enough intertextuality for one

Jansen (Leipzig: 1886), 46.
56-measure fragment. The rest of the piece expands on the material presented in the first ten measures. Most notably, the concluding section (at m. 45) begins with two repetitions of "Florestan"'s two opening measures, intensified by drone fifths in the bass. The ASCH melody is then fragmented into two-note gestures; finally, the triple metre is abandoned and the melody is stated in staccato "hammerblows" that would startle any night watchman. Like Vult, and the "Ich"-fearing Schoppe, "Florestan" finally experiences a complete disintegration of identity.

Example 3-14: Carnaval, "Florestan", mm. 44-end

Example 3-15: Carnaval, "Coquette", mm. 1-5
 Appropriately, "Florestan"'s only real ending comes with the opening of a separate fragment. Indeed, the first three measures of "Coquette" sound like an ending, and are identical in most respects to the true final cadence of this piece ("Coquette"). Lawrence Kramer, in Music as Cultural Practice, adumbrates his later study about gender identity in this cycle by noting the blurred borders between these two pieces, and by further exploring the relatedness of the masculine and feminine in "Replique" and "Sphinxes". In his interpretation, "Florestan", clearly meant to be read as "masculine", dissolves into the more obviously feminine "Coquette", which after its own reflection in "Replique" is followed by the mysterious, all-containing "Sphinxes". These aphorisms, which contain both the masculine (SCHA=Schumann) and feminine (ASCH=home of Ernestine) forms of the familiar cipher, thus break down gender boundaries altogether, in Kramer's view.

This interpretation may be pursued further. The feminine, in "Coquette", is also associated with the conventional, the normal. "Florestan" had gradually destroyed the waltz-chain topos through tempo changes, tonal instability, and final disintegration. "Coquette" begins by reintegrating the topos: it neatly provides closure to the unclosable fragment "Florestan" and continues in a rhythmically regular fashion. Although the piece is by no means free of harmonic ambiguities, it at least provides the comfort of a recognizable two-part form, an undisturbed rhythmic flow, and a clear point of closure.

This conventional outline frames the harmonic vocabulary of "Coquette", which mirrors the basic narrative style of Jean Paul, when he is not indulging in "Extrablätter" or other clearly marked large-scale digressions from the central plotline of a novel. Jean Paul tends toward digressions within a clause, sentence, or paragraph even if it is otherwise devoted to the main plotline. He says in Hesperus that he would be reluctant to remove any of the digressions:

"Ich sah, wenn ichs täte, so bliebe vom Buche (weil ich die ganze Manier ausstriche) nicht viel mehr in der Welt als der Einband und das Druckfehler-Verzeichnis."³⁷

Likewise the basic structure of "Coquette" would be very spare indeed if no harmonic digressions were allowed to remain in the piece. The opening "ending" figure could be read as a kind of digressive prelude to the piece, as a retransitive lead-in from "Florestan", itself perhaps a digression from an imagined beginning to this piece, or as the trace of one of Daverio's interleaving processes. The piece, in this case, must be understood as having begun in the background while "Florestan" or even "Eusebius" was already in progress. Paradoxically, however, this tacked-on prelude or transition is the most stable statement of the tonic key that we hear before the piece ends. If the true beginning of the piece were understood to be m. 4, then the dominant harmony might be heard as slightly jarring. However, in performance, this dominant-seventh chord is heard in relationship to the strong

³⁷ "I’ve seldom removed the "Einfälle" and the poetic flowers; I saw that if I did this, not much more of the book would remain in the world than the binding and the catalogue of printing errors." Jean Paul Friedrich Richter, Werke, Vol. 1, "Die unsichtbare Loge" and "Hesperus", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 483.
tonic cadence that precedes it, even if the fermata in m. 3 is properly observed, and thus does not seem jarring at all.

This tonic-dominant alternation is the binding of the piece, and all the other harmonic events can be heard as digressively related to it. This impression is reinforced by the unrelenting regularity of rhythm and motivic contour in the right hand. The *forte* interruptions every four (later every two) measures are at first disconcerting, but they too become a regular feature of what is to follow: what initially appears as a microlevel digression becomes expected, and we might even hear a further digression if the interruption is not heard (as in m. 17, where the rhythm also changes). The harmonic movement can be summarized thus:

**Table 3-1: Harmonic progressions in “Coquette” from *Carnaval***

<table>
<thead>
<tr>
<th>Measures</th>
<th>Harmonic Progression</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-3</td>
<td>V-I</td>
</tr>
<tr>
<td>4-5</td>
<td>V</td>
</tr>
<tr>
<td>6-7</td>
<td>I (although this is elided in m. 7)</td>
</tr>
<tr>
<td>8-9</td>
<td>Digression to E-flat begins; V(7/4)</td>
</tr>
<tr>
<td>10</td>
<td>IV (E-flat)</td>
</tr>
<tr>
<td>11</td>
<td>V(Ⅵ) in E-flat</td>
</tr>
<tr>
<td>12</td>
<td>vi (c-minor)</td>
</tr>
<tr>
<td>13</td>
<td>Chromatic passing sonority</td>
</tr>
</tbody>
</table>
The change from second to third inversion at mm. 17-19 is accomplished through passing chords, one of which is chromatic. The strong resemblance of this progression to that of the second half of the "Préambule" is heightened by the rhythmic change in the right hand; the even flow of arpeggiated treble notes and the chromatic bass line form a near-quotatıon from that earlier movement. At m. 20 a full repeat of this first section begins; a B section then begins at m. 36 with the same opening measure as that of the A section. An immediate digression to c-minor follows, with a hemiola-style rhythmic displacement complementing the harmonic shift. This is repeated in g minor at mm. 40 ff, with a diminished seventh instead of a g minor chord closing the phrase and eliding the cadence. The diminished seventh chord leads effortlessly into a recapitulation of the A section. The closure lacking there is provided by the repetition of the cadential opening at m. 57. Thus the entire piece is a kind of moto perpetuo; the jarring return to the opening of the B section in the first ending gives the impression that anything other than a return to the beginning of the piece here would be arbitrary, almost forced. The piece thus paints itself as a meditation on closure, or its impossibility.

"Replique" is a meditation on the meditation. The first half of this fragment consists of two repetitions of the cadential phrase from "Coquette", one in B-flat, one in d-minor, each preceded by a foregrounding of the melodic tenor line from
that phrase. This forgotten melody is then given a (hypothetical?) conclusion in mm. 9-12, with a deceptive cadence; the expected repetition, where one might normally await a proper authentic cadence, ends first with a chromatically elided one, and the second time with a final deceptive shift. The second time the tenor melody's continuation is played (m. 13 ff.) it is returned to its original left-hand placement, with the right hand adopting the dotted-rhythm figuration by now familiar from "Coquette". This rereading of "Coquette"s basic elements, with its deceptive minor-mode ending, might almost be an evaluative reflection on the previous piece -- perhaps a negative one. Jean Paul's frequent authorial comments on the actions of his own characters are similar; they recast the language of the preceding events and generally contain some sort of evaluation of what has come to pass. But who is doing the evaluating: Jean Paul, as a real person, or Jean Paul, as virtual author, or some nebulous third party? Similarly, in "Replique", who is reflecting on the content of "Coquette", and who is listening to the reflection? Kramer asks "who is making the affirmation", with the intent of showing how gender conventions are deconstructed in this section of "Carnaval". Jean Paul and Schumann are also deconstructing the notions of individuality and consciousness.

This trend of metaphysical inquiry is continued with the three "Sphinxes", which may or may not have been intended to be played; Kramer suggests that they might be included or omitted at the whim of the performer.³⁸ "Réplique", while raising questions of authorial and listener identity and perspective, is still a piece of

³⁸Lawrence Kramer, Music as Cultural Practice 1800-1900, California Studies in 19th Century Music, 8, ed. Joseph Kerman (Berkeley: University of California Press, 1990), 212. There is no indication in the Gesamtausgabe as to the manner in which the "Sphinxes" should or should not be performed.
music in the nineteenth century's accepted sense; "Sphinxes" looks at first like an uproarious whim or a pretentious contrivance.

Sphinxes

No. 1

No. 2

No. 3

Example 3-16: Carnaval, "Sphinxes"

The three snippets contain the three forms of Carnaval's four-note motto that can be assigned alphabetical significance: #2 and #3 are different versions of "ASCH", the home village of Schumann's love of the moment, Ernestine von Fricken, while #1 is an anagram, "SCHA", the order of the letters given as they appear in Schumann's surname. Games and riddles like these are not difficult to find in Jean Paul. Flegeljahre has the mysterious provisions of Van der Kabel's will, which determine the further course of the hero Walt's life; Titan features a series of cryptic notes from Count Gaspard to his son, Albano, and a subsequent visit by Albano to his childhood home, where he discovers a succession of symbolic relics that are like dream-symbols of important events in his youth. The plot of Hesperus revolves around four princes who never appear in the novel, a fifth who is later revealed to be the author himself, a secret society, and a mysterious island -- as well as the novel conceit that a dog is bringing sections of the story to the author every day for 45 "Dog-Post-Days". All of these strange events are related to the plot of the novel concerned -- indeed, they all turn out to be central to the hero's further development -- but, at the time of reading, they seem
superfluous and contrived. Jean Paul has contrived to make them seem contrived, and thus forces the question: what is central to a novel's plot, and what can be considered a digression? Like the particles and waves of quantum physics, these ciphers are central plot events or digressions depending on the viewer's perspective. A further dimension of this dichotomy lies in the popular-cultural origins of such ciphers: they are a common feature of the Trivialromane from which Jean Paul freely drew in defamiliarizing the Bildungsroman topos. Schumann's procedure is different only in emphasis. The waltz idiom of many of the pieces in Carnaval, like that of Papillons, is the main element that Schumann borrows from dance music, and the digressions and riddles are his own invention, with impetus perhaps from the more eccentric works of Beethoven. "Sphinxes", then, is in some respects the central movement of the work, and certainly one of the more obvious Jean-Paulian gestures in all of the cycles. Perhaps, for this very reason, it should not be played at all. Peter Kaminsky gives a fairly complete resumé of the appearance of each Sphinx in the cycle.40

If the Sphinxes were to be performed, the third Sphinx would find itself immediately repeated in the first measure of "Papillons". As Kaminsky has noted, the foreground motivic references in this piece are to the Sphinx mottoes in m. 1 and following, and later to a chromaticized version of the reference to the cycle


Papillons that we heard in "Florestan" (m. 17, tenor voice). These fleeting references, together with the moto perpetuo quality of the piece's rhythm, may well have determined the self-referential title of this piece, "Papillons".

Example 3-17: Carnaval, "Papillons", mm. 1-4

The unrelenting rhythmic drive of the piece gives it a unity that belies its function in the cycle as a whole: that of a digression from the prevailing waltz-chain. More than many of the other digressions in the cycle, however, this one resembles one of Jean Paul's shorter "Extrablätter" -- paragraph-level digressions which are generally related in some obscure way to the main plot thread as it is being presented in a particular section of a novel. Self-referential, intertextual, and whimsical almost to a fault, these "Extrablätter" frequently present several perspectives on an issue of almost no conventional importance; this discussion is packaged as a unified philosophical disquisition. The "Elende Extrasilbe über die

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Kirchenmusik" in *Hesperus*[^42], one of the many passages which Schumann marked in pencil in his own edition of Jean Paul's works, is a relatively typical example. It is ostensibly related to a satirical depiction of a church service, led by the hero Viktor's foster-father -- itself a digression from the main train of thought, a description of Viktor's current emotional state regarding his love interest Klotilde. The "Extrasilbe" is prefaced by the observation that Viktor took great satirical pleasure in badly performed church music. Jean Paul then humbly asks for the permission of the reader to indulge in this "miserable extra syllable" and proceeds to hold forth on the stillness of congregations during a service; his own fictional experiences as a music master; the typical comic characters that people a church service; Sulzer's and Euler's definitions of dissonance; and why church music should be dissonant rather than consonant, according to this definition. He concludes by lamenting the decision of the pietistic Herrnhüter sect to abolish music from the church. All of these observations are naturally peppered with digressions, far-fetched metaphors, and doubtful references to "authoritative" sources. There is no attempt to connect this passage with the narrative thread that is subsequently resumed. Thus, the passage appears as an entirely unnecessary foray into satire -- yet Jean Paul is also enlarging Viktor's own ruminations on church music here, while at the same time developing the character of a central figure in the novel, since "Jean Paul" himself later turns out to be the solution of one of the main mysteries of the plot.

[^42]: Jean Paul Friedrich Richter, *Werke*, Vol. 1, "Die unsichtbare Loge" and "Hesperus", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 771-72. This passage was also excerpted in Schumann's "Dichtergarten", a collection of musical passages from literature that the composer compiled in his later years. It is held at the Robert-Schumann-Haus, Zwickau, and I thank its director, Gerd Nauhaus, for allowing me to examine it.
"Papillons", with its tenuous connection to the "Sphinxes" and the veiled intertextual reference to "Florestan", with which it shares common tonal ground, exhibits a similar level of connection to its surroundings. The piece is in two sections related by their common, very simple, rhythmic and harmonic structure and by shared references to the third "Sphinx" in the first and twenty-fifth measures. These two perspectives on the third "Sphinx" are complemented by a third -- the transposition of the opening right-hand figuration to the bass in m. 11. In the first two phrases, this figuration served as both antecedent and consequent, and no final cadence was reached; in the third phrase (beginning at m. 9), the "Sphinx" becomes the consequent to a new chromatic figure in the right hand, and is supported by a relatively strong cadence in the tonic key. The piece is thus a study exploring the third Sphinx from several different angles, as Jean Paul's Extrablatt explored bad church music; like the multifarious allusions in the Extrablatt, the exploration in "Papillons" is couched in a bewildering array of quick chromatic alterations and ambiguous pianistic writing. There is no very clear melodic line, no strongly articulated beginning, ending, or sectional divisions, and the piece's frequent registral changes seem designed to confuse a listener's ear, simple although the basic harmonic outline of the piece may be. It is possible, as Hermann Abert hinted in his turn-of-the-century Schumann monograph,\(^43\) that the "butterfly/Papillons/Schmetterling" image was associated with the concept of multilevel digression for the composer; one might even come to the conclusion that the cycle Papillons is really a set of "Extrablätter", if the title of this piece in

\(^{43}\)Hermann Abert, Robert Schumann, 2nd ed. (Berlin: Verlag Harmonie, 1910).
Carnaval signifies anything more than Kaminsky's and McCreless's passing motivic cross-reference.\textsuperscript{44}

The transition from "Papillons" back to the waltz chain is relatively smooth, since the closing B-flat sonority of "Papillons" blends easily with the opening dominant ninth of "A.S.C.H.-S.C.H.A.". This coded title suggests parallels with the notion of the "floating signifier", mentioned above in connection with "Pierrot". The subtitle, "Lettres dansantes", even calls to mind concepts such as the arbitrary nature of signifiers and the non-fixed nature of meaning, promulgated by Barthes, Derrida, and others.\textsuperscript{45} Just as the letter-names of Schumann's ciphers are rearranged freely to suit the piece at hand, so the definitions of "waltz", "piece", "beginning" and "ending", "final cadence", "phrase" and so on find themselves rearranged, redefined, and intentionally or subconsciously confuted here as elsewhere in the cycle. The title "A.S.C.H.-S.C.H.A." leads us to expect development and restatement of the ciphers as put forth in "Sphinxes"; instead, they appear only as grace notes in the initial measure of the piece. There is a possible hidden sense in which the ciphers are used here: the piece is ostensibly in the key of E-flat (Es, or "S"), while the note C is alternated with the note H (B natural, in the form of C-flat) in a Schubertian series of borrowings from the tonic minor scale.


"A" also appears frequently as a non-harmonic tone. Thus the "A.S.C.H.-S.C.H.A." title might refer not to the dominant intervallic patterns of the piece so much as to the general character of its chromaticism, determined by the infiltration of the cipher into the melodic course of the piece. For example, C is the first main melodic note of the waltz, but as the dissonant factor in a dominant ninth chord, it emphasizes the in medias res quality of the piece's opening and the general harmonic instability at work here. In the following measure the C resolves to the more consonant B-flat, but only through the intermediary C-flat, or H. The entire piece displays both phrasal and harmonic instability; the ASCH motive infiltrates the melody in ever subtler fashion until, when the piece finally ends after a repetition of its initial section, the weak statement of a staccato tonic six-four chord on the third beat of the measure cannot possibly provide a satisfactory sense of tonic closure. This lack of satisfaction is crucial to the success of the piece. Thus the "A.S.C.H.-S.C.H.A." motive, while not stated in an obvious form in the piece, becomes in a subtler way the main subject matter. This motivic infiltration recalls Jean Paul's general procedure of constant authorial comment and simile within the main stream of narrative in a novel -- as a waltz this piece represents part of the
main stream of the cycle, although in no other way does it function as a point of departure or repose. An eccentric “D.C. ad libitum” marking may well reflect Schumann’s realization that the subtleties of “Papillons” are difficult to grasp after only one hearing.

"Chiarina" continues the trend of redefinition, although perhaps moving in a less bizarre direction.

Example 3-19: Carnaval, "Chiarina", mm. 1-9

The rhythms, phrasal structure and accompaniment of this waltz are relatively conventional. A basic binary form, with only the second section of the piece repeated, has by now become almost a normal structure within Schumann's oeuvre, and the unvaried succession of eight-bar phrases in this piece does nothing to undermine this framework. Yet "Chiarina" is by no means constructed entirely from the Trivialmusik vocabulary. The gravitational pull of its harmonic structure is subtly shifted from the normal departure-and-return pattern of the
Classical period. Instead of veering towards the dominant and then struggling to reattain the stability of the tonic key, "Chiarina" begins with an unstable diminished seventh chord, finds its way back to the tonic in m. 4, and then takes off again for the dominant in mm. 7-8. This topsy-turvy antecedent phrase is answered by a consequent that is really an intensification: the same material is re-presented in fortissimo octaves, adorned with extra accents and crescendi. The section does end on a tonic chord, de-emphasized rhythmically although it may be. At this point, a listener may begin to wonder whether the mythical "normal" waltz, defamiliarized and deconstructed on so many levels, ever really existed.

The melodic course of this first section is an equally bewildering combination of normality and eccentricity. Rhythmically regular almost to a fault, the melody swings upward in a broad arch motion. The As(A-flat)-C-H version of the motto is clearly presented in its opening notes, although it does not permeate this piece as it does the preceding one. After the first two measures, however, the treble line begins to self-destruct: the third beat of each measure reveals itself as part of a separate scalar descent, leaving the treble line flailing in a series of seemingly secondary appoggiaturas. The consequent phrase (at m. 5) has sforzando markings on the first beat of each measure, but placed underneath the staff, so that it is clearly the scalar descent that must be emphasized by the performer. The conventionally swinging melody only exists if the listener or performer constructs it, juxtaposing the scalar descent and the upper-voice appoggiaturas. Like a typical Jean Paul sentence, the melody digresses from itself to a point where it no longer appears to exist.
This conflict does not seem to occur in the second half of the section (beginning at m. 8-9) since the held notes of the scalar descent have disappeared. However, this difference may be due only to the technical requirements of playing octaves: it would be impossible to hold the third-beat notes in this phrase for a full dotted-half-note value. Schumann provides accents on both the first and third beats of the measure, suggesting a continued struggle between the first-beat appoggiaturas and the third-beat scalar descent.

A transitional phrase at the opening of the second section (m. 17) attempts to shift the harmony towards E-flat major, unsuccessfully. Repeated A-flats in the melodic line seem to call for resolution downward to G, the mediant of E-flat major. These dissonances are not resolved immediately through appoggiaturas, as earlier ones had been. Instead, the tension of the high A-flats in mm. 18-24 remains until the final phrase, beginning at m. 33. Here, the octave version of the opening phrase is reprised. In m. 37, a top B-flat is heard, followed by an A-flat in which all the tension of the previous two phrases coalesces. This note does resolve downward to G, but this G receives only a sixteenth-note, hardly sufficient to dispel twenty measures of dissonant tension.

Example 3-20: *Carnaval*, "Chiarina", mm. 35-40
Although "Chiarina" ends on a relatively final tonic chord, it leaves a lingering aftertaste of dissonance. This conflict may partially explain the strangely complete satisfaction of hearing the following piece, "Chopin", at this point in the cycle. Its comforting A-flat tonality and rich broken-chord, pedal-inflected accompaniment seem to provide a home for the orphan A-flats of "Chiarina." It is not difficult to guess why Schumann's portrait of the adolescent Clara Wieck is so charged with rhythmic and melodic dissonance, pushing at the boundaries of convention; Schumann himself was at the time subject to the pressures of having her father as teacher and mentor. Most of Jean Paul's sympathetic heroes and heroines are also adolescents -- one thinks particularly of the seventeen-year-old Albano and the even younger Liane in Titan -- and his intensely digressive narrative style is often put to work in mirroring the psychological conflicts within and between them, all the while interrupting itself with matters of purely authorial interest. The clashing levels of meaning in Schumann's "Chiarina", especially when contextualized within Carnaval, provide a musical vision of adolescence that meshes easily with the views presented in Schumann's favourite novels.

I have mentioned that part of the satisfaction of hearing "Chopin" immediately after "Chiarina" lies in the resultant resolution of a lingering dissonance, the suspended A-flats in "Chiarina" that mesh with the tonality of "Chopin". However, the satisfactory sensuality of "Chopin" also has other roots which are more difficult to explain. How could Schumann, whose eccentrically individual style marks every other movement of Carnaval, convincingly include an imitation of another composer's style in this cycle? I will attempt to address this question by first considering a similar occurrence in Jean Paul's Hesperus. One of the major characters in that novel is Emanuel, the Indian mystic who helps bring
the main protagonists, Viktor and Klotilde, together. Jean Paul seems to have intended Emanuel as a tribute to his older contemporary and friend Karl Philipp Moritz, a novelist whose work is still perhaps underrated today. His magnum opus was a *Bildungsroman*, *Anton Reiser*, about a student whose dissatisfaction with life drives him to escape through obsessive reading. This character must have resonated deeply with the socially uncomfortable Jean Paul. This work and the later *Andreas Hartknopf* series display a digressive narrative style that impressed Jean Paul during the latter's formative years. Emanuel, however, is based not so much on Anton or Andreas (although the latter is a religious pedagogue) as on the personality of Moritz himself. A valued mentor given to metaphysical reflection on nature and wholeness, Moritz must have reminded Jean Paul of the gurus of Indian tradition, since Emanuel combines all of these qualities. Yet another influence on Emanuel's character was Jean Paul's reading of a Sanskrit play, *Sakuntala*, translated by Forster in 1791; in addition, the entire novel may be read in the knowledge that the obscure central plotline was lifted from a *Trivialroman* called *Dya-Na-Sore*, which itself had vaguely Eastern associations. Thus Moritz's personal character and his narrative style become elements in the dense network of allusion that comprises the novel *Hesperus*. The scenes involving Emanuel have an attractively timeless quality due to his reflections on metaphysics, oneness.


with nature, and acceptance of anyone who comes to hear his teachings -- and also due to the relative absence of digressions and Extrablätter. Jean Paul's sentence structure is as convoluted as ever, but he concentrates here on detailed descriptions of natural phenomena and evocations of the characters' ecstasy rather than abstruse allusions to history and science. Moritz's role in Hesperus is thus easily perceptible, but only through the mediation and modification of Jean Paul's style, not Moritz's or anyone else's.

It is in this sense that Chopin appears in Carnaval. His style is not imitated in any profound sense; it is merely alluded to. There is certainly an alteration, perhaps a simplification, of texture in "Chopin". The broken-chord accompaniment and idiomatically vocal basis for the melody are clichés of Chopin description. Other elements of his style are paraphrased: the filigree small notes in m. 10, for example, do sound intervallically like Chopin; the rising minor ninth followed by a chromaticized descent appears in many of his works.

Example 3-21: Carnaval, "Chopin", mm. 8-11

However, the "Augenmusik" of using small notes to remind the performer of Chopin disregards the rhythmic meaning of those small notes. Chopin rarely, if ever, used grace notes where regular eighth notes adequately conveyed the
intended rhythmic pattern. Perhaps the real telltale element here is harmony: Chopin's is for the most part convincingly evoked, but a key moment in the piece reveals a basic philosophical difference between the two composers where harmony is concerned. Rose Subotnik's capsule "grounding" of Chopin is relevant here:

The centre of Chopin's intelligibility, I believe, lies not in his tonal architecture but in his successfully projected and explicitly sensuous interweaving of the fragmentary and particular against a lingering background of tonal tension, which is now perceived only secondarily as a source of connection or "explanation". 49

One of Subotnik's illustrations for this explanation is the second main theme of the G minor Ballade, op. 23, which might almost be conceived as a model for "Chopin". The Ballade was completed in 1835, as was Carnaval; it is conceivable that Schumann might have heard Chopin perform an early version of his op. 23 sometime before then.

Subotnik asserts that this theme is a "self-contained fragment" that provides an effective "coloristic contrast" to what precedes it. 50 The "D.S." marking at the end of the piece is a wry acknowledgment of the self-sufficiency of the piece, which could be endlessly repeated. The rhythmic structure and chromatic inflection of the excerpt are similar to Schumann's "Chopin". Harmonically, the two also resemble one another; they both begin and end in their respective temporary tonic keys (E-flat and A-flat), and any deviation from those keys is resolved more or less immediately. There is no real expectation of development of melody or harmony;

49 Rose Subotnik, Developing Variations: Style and Ideology in Western Music (Minneapolis: University of Minnesota Press, 1991), 152.

50 Ibid., 155.
the passages are not essentially goal-oriented, and the listener focuses in each case on the sensuous momentary experience rather than the larger structure, although Subotnik's "lingering tonal tension"\(^{51}\) is surely present. However, Schumann betrays his own compositional identity: in m. 8, he begins to move toward f minor, which he reaches in a convincingly Chopinesque manner in m. 11. The chromatic bass line here, while related to the ASCH motto and other recurring chromatic descents in the cycle, is not unlike some of Chopin's; the Second Ballade is full of them, for example. Schumann does not return immediately to A-flat; where Chopin would limit himself to a single level of digression, Schumann characteristically digresses from the digression. In m. 12, he slips down to the dominant seventh chord of D major, underlining the shift with a ritardando marking. Although he returns to A-flat major after this, the sudden allusion to D-major is far too characteristic of Schumann to be totally convincing as a Chopin imitation. This slip is combined with a certain rhythmic inflexibility that is more compatible with Schumann's constant harmonic and textural digressions than with Chopin's focus on melody, sonority, and larger-scale harmonic projection. Like Jean Paul's Emanuel and his relationship to Karl Philipp Moritz, Schumann's "Chopin" is only an allusion to the personality of another artist, not a violation of Schumann's own general stylistic tendencies. It digresses from the main "plotline" of *Carnaval* in degree, but not really in kind.

"Chopin" does appear as a digression, however, when juxtaposed with "Estrella". This waltz begins as conventionally as any in the cycle, and promises a succession of well-tailored four-measure phrases. Some harmonic interest is

\(^{51}\textit{Ibid.}, 152.\)
provided in this opening by a secondary dominant chord in the second measure, itself adorned with a tonic pedal and a chromatic appoggiatura (F#) leading into the dominant sonority of m. 3. The melody is built on a chain of chromatically-embellished descending sixths (A-flat/C, G/B-flat, F/A-flat).

Example 3-22: Carnaval, “Estrella”, mm. 1-6

This ear-catching material might have sufficed to build an attractive waltz completely in four-measure phrases, with a formulaic accompaniment that would adequately support the chromaticism and inherent contrapuntal nature of the melody. Schumann chooses the rougher path of immediate defamiliarization. The second phrase of the waltz is based on material of just the same nature as the first, but it is expanded considerably. The chromatic appoggiatura of m. 2 becomes an ascending chromatic bass line, rising through more than a tenth in mm. 5-12. This foundation supports alternating dominant and diminished seventh sonorities, which at any given point threaten to veer off into some distantly related key area. Similarly, the descending sixths of the original melody are transformed into parallel rising chromatic octaves, which we hear in alternating registers. This second phrase, expanded to eight measures from the expected four, ends somewhat
arbitrarily on the dominant; after another four measures, the piece might have returned convincingly to the tonic.

Having already explored the distinctive melodic contour of his opening phrase, Schumann now abandons it altogether. This middle section is what I might by now call a "classic" digression, like Jean Paul's authorial comments on a narrative situation.

Example 3-23: *Carnaval*, “Estrella”, mm. 13-20

The dominant bass note reached in m. 12 is now repeated sixteen times. The harmony simply circles around the dominant seventh of F minor, giving way to a sort of fantasy based on the materials that were presented in the piece's opening phrase: parallel octaves in the melodic line, now stripped of its undulating contour, and chromatic ascents and descents both in the melody and in the inner voices. The rhythmic confusion latent in the opening phrase -- or in any melody based on two implied voices, as demonstrated in "Chiarina" -- is now overt, with second and third-beat accents threatening the hegemony of the dominant bass notes. As if all of these changes were not enough to signal that a digression is taking place, Schumann marks the section "più presto" and lowers the dynamic level to piano.
from fortissimo, ensuring that the calculated whimsy of the developmental process in this piece is reflected in a whimsical performative effect. After this, the return to the opening phrase in a sudden fortissimo dynamic seems harsh, especially when combined with the treble line's sudden minor-sixth descent leading into m. 29. More harsh than this is the arbitrary cutoff of the next phrase (m. 32) after four measures – the phrase-length expected at the piece's outset, but by now most likely forgotten. With this condensation, the F# Gb sonority that led into an extended chromatic ascent at m. 6 now becomes a Neapolitan triad, a dramatic harmonic strategy for such a short piece. The presence of an accented Neapolitan chord at the final cadence of a waltz suggests a slightly uncomfortable juxtaposition of the worlds of Trivialmusik and serious opera. Such a collision seems distant from the language of Schubert's, Weber's, or Lanner's dance music.  

In one sense the next piece, "Reconnaissance", is based on the same concept as "Estrella", the defamiliarization of an overly-familiar dance structure, although as a non-waltz it is itself a departure from the waltz-chain stream. The outer sections of the piece partake of a clearly different aesthetic than does the inner section. The rhythms are those of a polka, and the piano writing suggests that sort of overwrought salon music that so entranced young Victorian ladies later in the century. No doubt the average consumer of this music, faced with the title "Reconnaissance" and the initial pianissimo marking, might have interpreted the

\[52\] Though Schumann never mentions Lanner in his writings, he was certainly aware of Johann Strauss Sr., and Schubert's dance music was a major influence on his early style. C.f. John Daverio, Robert Schumann: Herald of a "New Poetic Age", (New York: Oxford University Press, 1997), 124-125.
repeated thumb notes as the fluttering of lovers' hearts when they recognize one another across a crowded ballroom. An even more frightening prospect is the idea that the young (probably adolescent) female consumers of this piece were connecting it with their own reading of Jean Paul -- indeed, by Schumann's day these novels were read primarily by a very youthful, predominantly feminine audience.  

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Example 3-24: Carnaval, "Reconnaissance", mm. 1-6

Jean Paul created numerous scenes of recognition in ballrooms or other official locations, easily interpreted as Cinderella-like fantasies amenable to any young reader. One famous example is the moment in Hesperus where a garden

concert is given by Karl Stamitz and his orchestra, whom Jean Paul had heard in Hof (near Bayreuth) in 1792. Viktor's joy in the music is bittersweet: he has fallen in love with Klotilde, who at this time is engaged to Viktor's best friend. He hopes to pass the time at the concert by glimpsing Klotilde and mentally comparing her beauty with that of the music. This opportunity arises, and Jean Paul's young readers cannot have failed to appreciate the (literally) flowery prose of this passage:

"Ach er erblickte sie auch! -- Aber zu hold, zu paradiesisch! Er sah nicht das denkende Auge, den kalten Mund, die ruhige Gestalt, die so viel verbot, und so wenig begehrt: sondern er sah zum erstenmal ihren Mund von einem süßen harmonischen Schmerz mit einem unaussprechlich-rührenden Lächeln umzogen -- zum erstenmal ihr Auge unter einer vollen Träne niedergesunken, wie ein Vergißmeinnicht sich unter einer Regenzähre beugt. O diese Gute verbarg ja ihre schönsten Gefühle am meisten! Aber die erste Träne in einem geliebten Auge ist zu stark für ein zu weiches Herz..."

This sort of prose caused writers like Robert L. Jacobs to dismiss Jean Paul as an unworthy source of inspiration for Schumann; possibly Jacobs's taste ran more


55 "Ah, he did see her! -- But too beautiful, too paradisiac! He did not see the pensive eyes, the cold mouth, the calm features, that forbade so much and desired so little: instead, for the first time, he saw her mouth drawn with a sweet harmonic pain, surrounded by an unspeakably moving smile -- for the first time he saw her eyes sinking under fully formed tears, as a forget-me-not bends itself under the weight of morning dew. Oh, this good soul hid most of all her most beautiful emotions! But the first tear in a beloved eye is too much for a too tender heart..." Jean Paul Friedrich Richter, Werke, Vol. 1, "Die unsichtbare Loge" and "Hesperus", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 777.

towards the scientific realism of his own age. It does have an overwrought quality that makes it hard going for twentieth-century readers. In this sense Schumann's "throbhing-heartbeat" polka partakes of a similar aesthetic, its only distinction from a Trivialmusik style found in the turn to the minor mode after the double bar. Yet there are qualities in Jean Paul's prose -- which is certainly not always this purple -- that are difficult to translate. There is a poetic quality in the language, a sensitivity to sound and repetition that is at times comparable to the best lyric poets of the day. In the above passage, for example, Jean Paul concentrates on initial sibilants and aspirants ("s" and "v") and on parallel syntactic structures (das denkende Auge, den kalten Mund ... mit einem Lächeln umzogen, unter einer Träne niedergesunken). Naturally the refinement of a short poem is mostly absent, but the frequent dryness of contemporary novelistic prose is entirely avoided. Jean Paul's most poetic passages, in a technical rather than a hyperbolic sense, are unsurprisingly reserved for such moments of exquisite tension between major protagonists, or within a character's mind.

"Reconnaissance" might be viewed as a quasi-programmatic response to such recognition scenes in Jean Paul, or, more plausibly, as indebted to salon music in the same sense in which Jean Paul's prose sometimes recalls tabloid literature. In either case, the difference between the outer and inner sections of the piece is instructive. The inner portion reevaluates the material of the polka much as I have just reevaluated the flowery prose style of the Hesperus passage. Transposition to B-major from A-flat reinforces the impression that the material is being seen in a new light. The melody of the polka is now subject to canonic treatment in the treble and bass lines, while the repeated notes become a syncopated accompaniment blurring the rhythmic structure in a manner that
became a defining characteristic of Schumann's style. Innumerable song accompaniments could be cited here, but one well-known one, "Intermezzo" from the Eichendorff Liederkreis, op. 39, attaches this sort of syncopated piano writing to a text that is comparable to Jean Paul's "poetic" prose here: "Mein Herz still in sich singet/Ein altes schönes Lied/Daß in die Luft sich schwinget/Und zu dir eilig zieht".

Example 3-25a: Carnaval, "Reconnaissance", mm. 17-21

Example 3-25b: Schumann, Liederkreis, op. 39: "Intermezzo", mm. 1-3

The canonic interrelation between the outer voices blurs the ends of the four-measure phrases (m. 20-21 and extends others (m. 23-24, etc.). The chromatic adornments in the otherwise simply diatonic polka melody are transformed, now infiltrating the harmonic process on every level, from the most
obvious foreground instances (m. 23, 25, 27) to the more fundamental harmonic workings of the passage. This latter type of background chromaticism occurs markedly at m. 26: three measures of secondary-dominant progression are here tied together through a sequence of seventh chords that return us to the dominant, F#. Even more significant is the chromatic sequence beginning at m. 29. Although this passage is really only a prolongation of the dominant, it combines chromatic voice-leading with development of the principal melodic motive -- the "trivial" polka -- in a manner far removed from the squareness of the piece's opening. Finally, an extended cadential passage (mm. 37-44) ends with a chromatic slide from the dominant of B to that of A-flat: in the melodic line, a chromatic adornment (B#, m. 43) is revaluated as a diatonic appoggiatura in m. 44. In this light the listener's re-hearing of the polka, beginning at m. 45, is informed with the knowledge of its developmental possibilities. In this way Schumann once again displays an attractive quality shared by Jean Paul: the ability to absorb and rework the vocabulary of different artistic strata, to appreciate the otherness of Trivialmusik and recognize its potential. The title "Reconnaissance" may thus encode Schumann's recognition and transformation of the social-dance style.

"Reconnaissance" is a digression from the waltz stream in its duple metre and internal contrast, but its Trivialmusik elements make it strongly akin to the waltz topos. "Pantalon et Colombine" is equally ambiguous in status. In Jean Paul, digressions from digressions are frequent occurrences; this piece falls at least partially into that category. It too is in duple metre, and features a clear contrast between its outer and middle sections. In these ways, "Reconnaissance" and "Pantalon" begin to form a mini-thread, a slightly extended digression unified within itself. Yet "Pantalon" also digresses from its predecessor in significant respects. It
is not a dance except in the most remote sense of the word. In its unrelenting sixteenth-note motion it suggests the *perpetuum mobile* rather than any more human sort of movement.

**Example 3-26: Carnaval, “Pantalon et Colombine”, mm. 1-4**

Although its phrases are mostly as regular as those of a dance, they are extremely short and lightning-fast. Melody and accompaniment are thoroughly fused, with the right hand playing arpeggiated chords as frequently as the left. At this speed, the harmonic subtlety of some of the other fragments is mostly lost in performance.

There is some relief in the middle section of the piece, which is in the major mode and bears a *meno presto* marking. This section, with its legato phrasing and scalar melodic lines, is more easily comprehensible at first hearing than the piece's opening. However, the contrast is made only gradually: the double bars in the piece are placed not before the first phrase in the major mode (m. 13) but before the repeat of the opening phrase (m. 9). Thus the "middle section" of the piece includes the end of the opening section. Also, the scalar, canonic melody of the middle section is derived from the last four notes of the preceding phrase (see mm. 12 and 13). The middle section of "Reconnaissance" had also been canonic; this
similarity may be added to those mentioned earlier in branding the two pieces a "mini-thread". By the end of this brief contrasting passage, the tonality is once again F minor, and the dynamic is fortissimo (mm. 19-20). The idea of a middle section in this piece is more a sleight of hand than an actual occurrence; in performance it can be no more than the merest lip-service to conventional dance forms.

A more perceptible digression occurs at the end of the piece. After a fifth repeat of the opening phrase, the final bar of that phrase is repeated, following which the first half of that measure is repeated in m. 34. This leads to another major-mode digression, this time in the tonic major. The phrase we hear in m. 35 seems to have started some time ago; it develops the descending whole-tone motive heard in the second measure of the piece, in subtly altered form. Marked dolce and eventually ritenuto, the phrase has a sinuous melodic contour that demands flexibility from the performer so that its curvaceous, contrapuntal nature may be perceived. The materials of the rest of the piece are here presented at one or two removes, and thus have something of the character of an authorial comment, like the ones that the character "Jean Paul" so frequently provides at any point in his narratives.

Any listener who has perceived that the main stream of this piece is a chain of waltzes must now be wondering whether that chain has entirely disappeared. "Valse allemande" fills the gap here: it presents us with a succession of elements that have been recurring in the cycle since the "Préambule". The piece begins with the ASCH motto in the opening measures, followed by an ascending scale recalling the opening of the cycle in the consequent phrase (m. 5 ff.). The second
section of this conventional rounded-binary form waltz begins with repeated E-flats similar to those that open the allegro section of the"Préambule" (m. 25 of that piece), followed by a descending scale pattern. Naturally, this tiny piece is not without digressive features. The melodic Scotch snap of the opening is revalued as an accompanimental figure in the consequent phrase, a grammatical reinterpretation similar to Jean Paul's syntactical sleights-of-hand.

Example 3-27: Carnaval, "Valse allemande", mm. 1-8

The transition from the dominant of f minor, at m. 16, back to A-flat major is really a non-transition; the single chromatic downward slip in the tenor voice recalls the "floating signifiers" of the Préambule, which accomplished tonal digressions by a shortcut method. The final fortissimo cadential passage jars not only in volume, but in harmonic content: a sudden diminished seventh chord in m. 22 suggests a possible journey to another key just when the piece should be ending. This threat is not realized, and the piece cadences exactly where it ought to, in terms of mathematical phrasal regularity.
It is also largely in mathematical terms that the wild interruption "Paganini" makes its effect. Strictly speaking, this portrait of the demonic virtuoso is just as conventional harmonically and formally as the "Valse allemande"; practically all the dissonances and rhythmic confusions are caused by the fact that the left hand is displaced by one sixteenth note. Otherwise, the piece is in the same three-period dance form as the "Valse allemande", starts in a minor key and moves first to the relative major and back again. The first phrase opens with pseudo-Baroque descending sequences reminiscent of those in actual Paganini caprices (cf. the second phrase of the famous No. 24); these are repeated verbatim in the second phrase of Schumann's piece.

Example 3-28: Carnaval, "Paganini", mm. 1-4

The major-mode section is slightly chromatic, but uses no device more complicated than rising chromatically altered 5-6 patterns in the inner voices (mm. 9-10) and a mirroring 6-5 descent in the treble (mm. 11-12). This phrase, too, is repeated verbatim. The transition back to A-flat major is accomplished very simply: an Ab-C sonority is reevaluated as part of the major key rather than the relative minor (m. 17) although some ambiguity persists through to m. 21, since no F is added to these chords until then (despite a clear f-minor sonority in mm. 18 and 20). The opening
phrase is then repeated an octave lower, and varied upon repetition to include the ASCH motto (m. 25 ff.). The repeated phrase is extended for 2 measures (mm. 29-30) and followed by a precipitous cadential phrase; this is lightly chromatic but straightforward. The virtuoso mystique, according to "Paganini", is nothing but smoke and mirrors, in the form of a miniscule rhythmic displacement. Without this illusion, the piece is structurally dependent on mere convention.

Jean Paul does not place any more emphasis on mystique in his novels. If "Paganini"'s compositions are no more than banalities clothed in double-stops, his counterpart in Jean Paul's novels might be Roquairol in *Titan*. This young man supposedly resembles the straightforward, straightlaced hero Albano to the point where they are frequently mistaken for one another, but Roquairol's actions show that he would rather not be seen as a "good boy". He is no more than about seventeen, and has seen no more of the world than Albano has, which means the principalities of Haarhaar and Hohenfließ; Albano has even been to Italy once. Yet Roquairol fancies himself a man of the world, and does everything he can to make his mundane surroundings seem dramatic and dangerous. He begins by deflowering Albano's helpless, naive foster-sister; continues by masquerading as Albano in order to share a night of passion with his friend's current love interest; and ends by writing a play about himself and his friends, having it performed for his friends, and shooting himself in front of them. Presented in everyday terms, Roquairol seems like nothing more than a troubled teenager desperate for attention. Yet Jean Paul's care with language transforms him into something more than this. Roquairol's teenage jealousy of his friend sounds scorpion-like in Jean Paul's words:

Roquairol's self-indulgence is petty and uninteresting in itself. It is Jean Paul's rich vocabulary, endless sentence structure, and comparisons with battle spectacles that make Roquairol dramatically compelling. Similarly, "Paganini" is saved from utter conventionality only by contrivances: the double stop imitations and rhythmic displacements that give the piece its basic musical interest. When the thunderous final f-minor chords give way to a dominant seventh of A-flat major that seems to have been lurking in the background, the listener can hear the repeat of "Valse allemande" in a new light. The everyday waltz with its subtle digressions is, in its own way, more innovative than the crashing chords of "Paganini." It is not unlike Jean Paul to emphasize the simple goodness of the everyday, as exemplified by Schulmeisterlein Wuz and Viktor's lower-middle-class foster parents in Hesperus, over the sleights-of-hand of the chattering classes. The repeat of "Valse allemande" finds Schumann contentedly returning to the everyday waltz from Paganini's world of illusion.

57 "The devouring poison of polyamory and polytheism ran hot in all his veins; -- he indulged in wild extravagances, gaming, debts, as far as he could go -- put his luck and life on the line -- offered his iron body to death, who would not strike him down yet -- and inebriated himself with wild mourning over his murdered life and hope, with the corpse-drink of high living; a treaty often signed at battle scenes and in large cities between lust and desperation." Jean Paul Friedrich Richter, Werke, Vol. 3, "Titan", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 730.
As much as Jean Paul valued the everyday, however, most of his protagonists seem to search beyond it for traces of something higher. "Aveu", the tiny fragment that follows "Valse allemande/Paganini", may reflect something of this search.

Example 3-29: *Carnaval, "Aveu"

Its three phrases are unified by a recurring three-sixteenth-note rhythmic pattern (see m. 1), varied and extended through syncopation (see m. 2). The accompanimental patterns are unvaried, much like a formulaic dance set-pattern, although the piece resembles a stylized ballet *pas-de-deux* more than any common social dance. The melody's rhythmic pattern is reflected in repeating intervallic patterns: descending, sigh-like appoggiaturas and rising, questioning thirds and diminished fifths. All of these elements contribute to an impression of conventional, if sincere, sentimentality. Yet the tonal structure of the piece pushes
it beyond the envelope of mere convention. The piece begins in f minor, but equal
time is given both to f minor and A-flat major: the first phrase goes from minor to
major, the second from major to the dominant of f minor, and the third and final
phrase ends in the major mode. This kind of ambiguity had been incipient in
earlier Schumann works (c.f. Papillons piece no. 7, Intermezzo no. 1), but it
appears here for the first time in a concentrated, germinal guise. In this sense
"Aveu" prefigures a much-discussed later piece: the song "Aus meinen Tränen
spriessen," from Dichterliebe. In that song, a similar tonal ambiguity between A
major and f# minor is established within a similar tempo and rhythmic structure.
The text of the song begins by asserting the relationship between the narrator's
tears and the flowers that are nourished by them; Heine, ever a master of irony and
ambiguity, implies that the fruit of sorrow is also the source of joy. Schumann
creates a tonal analogue for this observation: the distinction between the tonic
major and relative minor modes is virtually erased in this song, as it had been in
"Aveu". All three works -- Heine's poem, Schumann's song, and his earlier piano
fragment -- deal with the erasure of conventionally accepted dualities.

Such erasure is also a recurrent, underlying theme in Jean Paul's novels.
Indeed, the concept takes on an almost metaphysical quality in Hesperus, where
the protagonist Viktor and his teacher Emanuel both hope for an erasure of the
distinctions between our everyday world and a higher, better one that we
sometimes experience in transcendent moments: "die zweite Welt". The moments
where this occurs are fleeting and fragmentary in the extreme. Viktor, of course,

58See the discussion in Arthur Komar, ed., Robert Schumann: Dichterliebe,
experiences them in tandem with his beloved Klotilde, but he also manages to erase the duality at rare moments during his medical studies:

"Kurz, wenn er in seiner Himmelkugel, die auf einem Menschen-Halswirbel steht, der Ideen-Nebel allmählich zu hellen und dunkeln Partien zerfiel und sich unter einer ungesuchten Sonne immer mehr mit Äther füllte, wenn eine Wolke der Funkenzieher der andern wurde, wenn endlich das leuchtende Gewölk zusammenrückte: dann wurde vormittags um 11 Uhr der innere Himmel (wie oft draußen der äußere) aus allen Blitzen eine Sonne, aus allen Tropfen wurde ein Guß, und der ganze Himmel der oberen Kräfte kam zur Erde der unteren nieder, und . einige blaue Stellen der zweiten Welt waren flüchtig offen." 59

The key to the "second world" is Witz, the joining together of seemingly farfetched concepts and objects; Viktor seems to sense the oneness of science, art, and music, the sun seems to descend to the earth, and all his thoughts seem inextricably related. As we have seen, Carnaval is full of the joining-together of loosely related rhythms, motivic ideas, forms, genres, and musical styles; but in "Aveu", for a brief moment, the diversity appears as unity. Simplicity of texture, rhythm, and melody are joined with utter inscrutability of tonality. It is significant that pieces such as "Aveu" and "Aus meinen Tränen sprießen" are fragmentary -- in Jean Paul, such moments can only be fleeting.

Attempts at erasing tonal duality in longer segments, such as the ensuing waltz "Promenade", end either in a feeling of tension or in the victory of one key

59 "In short, when in his heavenly sphere - which rests on top of the human neck -- the fog of ideas gradually split into bright and dark sections and filled itself with ether under an invisible sun, when one cloud lighted sparks from another, when finally the shining cloud formations joined together: then, at eleven o'clock in the morning, his inner sky (like the one outside) was taken over by one sun, out of all dewdrops one torrent arose, and the whole heaven of higher powers descended to earth, and ... a few blue traces of the second world were briefly open to him." Jean Paul Friedrich Richter, Werke, Vol. 1, "Die unsichtbare Loge" and "Hesperus", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 589-590.
over the other. "Promenade" takes the latter course. Its placement immediately following "Aveu" emphasizes the impossibility of extended unity between the tonic major and relative minor modes, and its return to the waltz topos suggests a conceptual return to "the usual", or mundane existence.

Example 3-30: Carnaval, "Promenade", mm. 1-7

The major and minor modes are alternated in two-measure, fragmentary phrases, joined in part by chromatic appoggiaturas in the bass line (Gb to F), the "Gedankenstrich" device used in the "Préambule". In this way the major and minor modes are joined arbitrarily, not by the rare synthesis achieved in "Aveu". The opposing dynamic markings of the two opening phrases suggest that the two keys are colliding rather than cohering. This impression is reinforced when, after a variation on the opening phrase at m. 10 -- perhaps an attempt to attack the major-mode aspect of the piece from another angle -- the minor mode phrase once again cuts off the phrase's direction. It is this minor-mode phrase, dotted with sforzando markings, that was later quoted in the first book of Davidsbündlertänze (no. 3, m. 47) in a somewhat similar context. After this second interruption, yet another interpretation of the opening phrase is offered (m. 17) which moves to the
dominant of f minor; this time the final dominant chord of the phrase is reinterpreted as a tonic chord in the opposite (major) mode (m. 21 ff.). The digression or interruption that leads to C major is itself rudely interrupted at m. 24; in the middle of this measure a sforzando D-flat pulls the harmony back towards b-flat minor, stopping on a German sixth chord at m. 28. At this point the pull to b-flat minor is redirected towards f-minor. The attempt at transcending duality has been transformed into a war of multiple tonalities within the piece.

A transitional passage beginning at m. 33 attempts to contain the second motivic idea of the piece, the minor-mode phrase from m. 5, within a more accommodating context. The harmonic structure of the passage alludes first to B-flat major (m. 35), followed by F major (mm. 37-39); a recomposition of the phrase follows, with the melody in octaves in the bass register of the keyboard. This time it is b-flat minor and f-minor that compete for primacy. Neither of these keys wins the battle, and another chromatic appoggiatura "Gedankenstrich" (B-flat, B-double-flat, A-flat, divided between voices) at m. 45 leads to a reestablishment of D-flat major, the opening key of the piece. The minor-mode interruptions seem to begin again at m. 53, but D-flat major holds sway in the end. The closing thirty-five measures of tonic harmony, made stronger by subdominant allusions (73 and elsewhere), help to anchor the firm sense of D-flat major here, and seem necessary to counteract the combative tonal procedures of the earlier part of the piece. Perhaps significantly, the hemiola rhythms of the piece's opening are here transformed into a self-consciously popular-sounding "Schwung" (m. 58 ff.); any suggestion of transcending the mundane, such as we heard in "Aveu", is here discounted, and the everyday waltz rhythms which are defamiliarized in so much of this cycle are here affirmed as the norm. Jean Paul balances his brief moments of
transcendence, entrance into the "zweite Welt", with comic, forebearing considerations of bourgeois life; Schumann plays off passages that transcend tonal boundaries against those in which these boundaries are unsuccessfully tested.

It may have been easier for Schumann to transcend these boundaries by simply disregarding them; the return of the penultimate section of the "Préambule" under a new title, "Pause", questions formal boundaries more than tonal ones. In a sense, it is thus related to the interplay of "Florestan", "Coquette", and "Réplique". The reappearance of this music outside its original context also suggests authorial or narrative comment on some earlier occurrence in a novel. It originally appeared in the "Préambule", a long piece whose mock-pomposity clearly divided it from the rest of the cycle. Its recurrence here suggests that we are to understand the remainder of the cycle as separate from the rest; it fulfils something of the function of a fanfare, although as a conventional gesture it can be understood only within the context of the cycle and not as a universally valid signifier. The clear self-quotation here is once again reminiscent of Jean Paul's narrative comments; his appearances in his own novels are nearly always marked by a change of voice (to the first person), a change of mode (to the vocative "O!" rather than simple narration), and/or by a change of subject (Jean Paul's problems with putting together this story, the reaction of his imaginary audience, a related anecdote, and so on). These changes of attitude are always changes back to something recognizable, to a voice or mode or type of subject that Jean Paul had used earlier in the novel. Schumann's switch back to an earlier mode of expression suggests a similar sort of cue to the listener that what follows is to be understood somewhat differently.
We need a different mode of understanding in reading the final "Marche des Davidsbündler", since it plays not only with the waltz topos but with another idea not explored since the "Préambule": sonata form. The waltz, an unabashedly popular genre, is mixed with perhaps the most highbrow of idioms then in common use, with the exception of fugal and fugato writing. This mixture of "high" and "low" styles recalls Jean Paul's classification, in the Vorschule, of novels as high, middle, or low in character. He identifies these styles with national characters -- Italian, German, and Dutch respectively -- although his reasoning is not always convincing here.60 "High" novels deal with exalted subject matter and lift the reader above the concerns of everyday existence; Goethe's Die Leiden des jungen Werther, Heinse's Ardinghello, and Jean Paul's own Titan fall into this category. In the "middle" or "German" style of novel-writing, the subject matter is intermediary between high tragedy or epic and low comedy. Jean Paul says that Sterne, Fielding, parts of Wilhelm Meister, Flegeljahre, and Siebenkäs occupy this middle ground. Finally, the "low" style seems to be the home of parody and satire, although this conclusion is to be gathered more from Jean Paul's listing of novels that subscribe to it -- the works of Smollett along with Jean Paul's shorter parodic novellas such as Leben Fibels and Leben des vergnügten Schulmeisterlein Maria Wuz in Auenthal-- than from his rather sketchy description of the style in the Vorschule.

60 Jean Paul Friedrich Richter, Werke, Vol. 5, "Vorschule der Ästhetik and Levana", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 248ff. See chapter 4 of this dissertation for a further discussion of this idea.
Jean Paul acknowledges that these styles are not mutually exclusive, and that all three normally intersect within any given novel to some extent. The low style, for example, works its way into *Titan* somewhat subversively. The character of Doctor Sphex is a satirical Medikus who is the predecessor of Jean Paul's later comic protagonist Dr. Katzenberger, and who importunes the protagonists of *Titan* just at the moment in the novel when they seem to need breathing space. Jean Paul solves the Sphex conundrum in the later volumes of the novel, he says in the *Vorschule*, by driving the offending doctor out of *Titan* and into the novella *Dr. Katzenbergers Badereise*. However, such "problems" are certainly not solved, nor should they be, in many other such instances in Jean Paul's work. Comedy and high drama intersect regularly here; the digressive nature of Jean Paul's narrative is only enhanced by such juxtapositions.

The waltz/sonata mixture in the "Marche des Davidsbündler" similarly transcends the usual evaluative categories into which music of Schumann's time was, and is, normally placed. The composer seems to imply that one would have to be a Philistine to object to the culmination of this waltz-based cycle in a waltz composed in sonata form, however loosely that form may manifest itself here. In the opening section of the piece -- what might be called the movement's exposition -- another topos is clearly present. It would probably be difficult to imagine a march that is so obviously marchlike while avoiding the basic metric structure of that topos, were this piece not part of the canon of piano recital repertoire. The more military polonaises of Chopin provide a point of comparison. The gruff diatonicism,

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unsubtle accents, practically immobile bass line, and string-snapping chordal texture of this opening all form part of the syntax encoding the piece as a march.

Example 3-31: *Carnaval*, "Marche des Davidsbündler contre les Philistins", mm. 1-5

Indeed, the strength of the march idiom postpones the perception of sonata form in the piece until its military character disappears at m. 25. Schumann even limits himself to a single digressive passage: the temporary shift to C-flat major at m. 15, joined to the repeat of the opening phrase by a chromatic "Gedankenstrich" in the bass line.

A similar hyphen-like passage, mm. 22-24, connects this opening march to the *molto più vivo* section, which begins, like some of the earlier pieces in the cycle, *in medias res*. Like the opening waltz of *Papillons*, the impression here might be of a curtain lifted from a scene already in progress. The scene here is crowded with Philistines, represented by their intertextual leitmotiv, the "Thème du XVIIème siècle" (m. 51) or, more colloquially, the "Großvatertanz". We have already (in an earlier chapter) observed this theme at work in the *Papillons* and the *Intermezzi*, in both cases evoking memories of the "bad old days" or at least of things long past their time. The return of Jean Paul's crusty old bureaucrats here
(compare their appearance in the *Intermezzi*) begins with the "Großvatertanz" theme embedded in a passage of dominant preparation for c minor. This key is not reached; instead, the flow of the passage breaks off on a diminished sonority at m. 40, and a major-mode dominant preparation ensues. The four-measure phrase begun at m. 41 is repeated twice on the dominant of different keys (D-flat and E-flat); each new key is reached by way of a *Gedankenstrich*-like chromatic ascent, and the phrases eventually give way to a full bass-register statement of the "seventeenth-century" theme. This begins in imitation of the melodic figure in mm. 49-51, which adumbrates the melodic contour of the "Großvatertanz" idea.

![Example 3-32: Carnaval, "Marche des Davidsbündler contre les Philistins", mm. 51-58](image)

The full presentation of the idea at m. 51 ff. moves more completely into the region of E-flat major than the preceding dominant preparation had done. However, the theme has a one-octave range from one B-flat to another, and thus implies tonic six-four harmonization, less stable than the root-position treatment that the theme receives in the fifth of the *Intermezzi*. At m. 59, the theme is repeated in the upper register, this time over a clear dominant pedal, following which a chromatic ascent in the treble leads back to the dominant of c-minor. Thus the second thematic area in this loose sonata-style movement has little to do with the lyrical melodies and
stable harmonies of traditional codifications, but instead suggests a development or transition topos composed of constant harmonic shifts, repeated motivic/rhythmic patterns, and dominant pedals. In this respect it resembles the "Préambule", which, as noted earlier, seems to be made up entirely of transitions. That earlier piece introduces the listener to a basically digressive musical style analogous in a general sense to Jean Paul's bewildering narrative practices, and the "Marche" crystallizes the digressive style of the cycle in a similar fashion.

The similarities between the "Marche" and the "Préambule" are not only figurative, of course. After the Philistine theme has been repeated once more and expanded on the dominant of c minor (m. 68 ff.), a seamless transition ensues to an Animato section, taken verbatim from mm. 71-88 of the cycle's opening movement. This passage is based on parallel chromatic ascents and descents in both the treble and bass lines -- extended hyphens, or Gedankenstriche, as it were. This extensive hyphen-quotation may be a replacement for the development section in the sonata process or merely an extended transition; in either case it is a self-reflexive, self-allusive digression from both the opening march and the "Großvaterlantz". Like the crusty bureaucrats, or the identity crisis of Siebenkäs/Leibgeber/Schoppe, the Animato is a module that reappears in the most various of contexts, whether or not it bears any relation to those contexts. This modular quality is akin to that of the "Pause", the piece that preceded the "Marche", which is also an extended quotation from the same section of the "Préambule".

The "Pause" returns at m. 99 of the "Marche", this time in slightly altered form, with developments of the eighth-note figuration of m. 99 in mm. 101, 105, 107
and so on. Actual development is thus taking place in the "development' section, although not development of the first or second themes of the piece. This expansion of the "Pause" contains, in m. 113-117, an inner-voice near-citation of the theme of Schumann's Impromptus, op. 5. It is found in the accented notes in the tenor register. This piece, a set of variations on a theme by Clara Wieck, was composed in May 1833 and was thus contemporaneous with Schumann's first stages of work on Carnaval.62 "Clara's theme" might also be related to a descending idea appearing early in the "Préambule" (m. 8-9). The inter- and intratextuality of this movement, and by implication that of the "Préambule", is thus multilevelled, from a local, non-repeated incident -- Clara's theme -- to large, easily identifiable blocks of quoted material. The accumulation of intertextuality here contributes to the summarizing quality of the movement in general, and also to the impression that a sort of cataloguing of Jean-Paulian techniques is taking place at the end of the cycle.

Much of the remainder of the movement repeats material that has already been heard, but the ordering and tonality of this re-presentation forces us to re-hear it. After the "Clara-theme" is alluded to, a repetition of the "Philistine" material ensues. This time, the point of departure is the dominant of f-minor, leading -- after another chromatic expansion at mm. 135-146 -- to the fuller statement of the "Großvortanz" melody in A-flat major: the tonic key of the piece. The topos of transition and development is now combined with that of recapitulation in the tonic key. Thus, the concept of sonata style as an ordered sequence of events is conflated with the notions of exposition, development, and recapitulation as

momentary and deconstructible topoi. This conflation is similarly explored in *Faschingsschwank aus Wien*. Not only is the Philistine material recapitulated in the tonic key, but the whole corpus of "development" material that follows, including the extensive quotations from the "Préambule", also reappears in transposed form. The "Marche" is thus a concatenation of sonata form, truncated binary form -- since the opening march material never reappears -- and a fragmented network of quotations.

The concept of coda is added to this mixture beginning at m. 205, where a dominant preparatory passage -- full of chromatic "Gedankenstriche", such as the Eb-D-natural-D-flat-C progression in mm. 205-208 -- leads to a final tonic affirmation at m. 225. Once again, an extensive quotation is substituted for a motivically unified coda. However, since this coda is an expansion of the ending of the "Préambule", it is motivically related to the other quotations in the "Marche". The ascent through a sixth in mm. 225-229 parallels the melodic ascent in the opening bars of the cycle and the chromatic ascents in the *Animato* and *Vivo* quotations at m. 83 and 99 of the "Marche". Similarly, the D-natural/D-flat dichotomy at mm. 231-232 recalls the F#/Gb/G-natural alternations of the "Pause" and the *Vivo* section of the "Marche", both quotations from the "Préambule"; it is also analogous to the B-natural/B-flat alternation in the opening measures of the "Marche". This extended, intertextual coda thus retains the summarizing force of the Beethovenian coda model while avoiding the simple imitation of any one formal or gestural topos. The rhythmic ambiguity of the coda, also taken from the "Préambule", highlights this sense of unconventionality; a typical middle-period

-63See chapter 4 of this dissertation for a more extended discussion of this work.
Beethovenian coda, such as those of the "Eroica" or Fifth Symphony finales, would emphasize tonal and motivic completion at the expense of any rhythmic confusion. Schumann manages a final sideswipe at the coda's normal function of tonal completion by repeating his A-flat major sonority *ad absurdum*, with comically extended rests in the last few measures. The cycle has obviously not insisted on controlled tonal planning and obvious motivic unity, beyond the rather sporadic use of the ASCH motive.

An extended reaffirmation of the cycle's opening tonality is thus merely another decontextualized gesture, like the "development" and "recapitulation" ideas earlier in the movement. It recalls the rather arbitrary ending of *Titan*, in which the hero Albano marries Idoine, a woman who exactly resembles his deceased first love, and does something he swore never to do: takes over a small German principality similar to the one in which he was brought up. This ending was intended at least partially as a glance at Goethe: the carnivalesque adventures of Wilhelm Meister and his cohorts in the travelling theatre troupe are cut short by Wilhelm's somewhat disappointing decision to become a responsible bourgeois citizen, as he was always expected to do.  

Goethe's own political activities at the court of Carl August of Weimar thus receive an echo of justification and respectability from the ending of his own major prose work from the same period. Jean Paul was an admirer of Goethe -- as Schumann was of Beethoven -- but neither of them could in the remotest sense be called imitators of their admired predecessors. *Carnaval*, by far Schumann's most subtle and complex essay thus far in a genre of his own invention, ends like *Titan* with the tongue-in-cheek

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acknowledgement of the very models that come unhinged in that genre. Although the "Marche des Davidsbündler" may seem superficially very far removed from the less pompous, more fleeting inner movements of the cycle, its defamiliarization of waltz and sonata topoi is consistent with the *modus operandi* of the work as a whole. It exemplifies the patterns of digression and subversion typical of both *Carnaval* and of all Jean Paul's novels.
Chapter 4: Higher and Lower Forms

When *Carnaval* appeared in 1835, it was Schumann's most ambitious completed work to date. He had attempted a Symphony in G minor, and had had the first movement performed\(^1\); he had also completed a piano quartet\(^2\), and was beginning to sketch the three sonatas and even the Fantasy in C major. *Carnaval*, as digressive and unconventional as it was, came closest to being his current *magnum opus*. It built on the idea of the waltz chain which had already served as the foundation for *Papillons*, op. 2, and the *Intermezzi*, op. 4. *Carnaval*’s scale, by comparison with those works, is immense. The waltzes themselves tend to be longer, and digressions -- by now encompassing entire pieces, not just renegade sections within a waltz -- are longer and further-removed than ever before. Movements like "Pierrot", "Eusebius", "Paganini", and so on stretch the definition of a coherent work to hitherto unheard-of limits. Framing the work are the "Introduzione" and the "Marche des Davidsbündler", both of which are long enough to stand on their own and contain multiple levels of digression and defamiliarization. Perhaps most remarkable, for this study, is the way in which both these movements play with the signals conventional to sonata form. In *Carnaval*,

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the Introduzione mocks the pompous preambles of sonatas and symphonies; its later sections, which reappear separately as "Pause" later in the work, mimic the sequential modulations of a development section. This same topos dominates the "Marche", which starts pompously, but in triple time, and continues by developing themes that have not yet been properly introduced in the movement. The "Pause" material returns, continuing the development mode, but no recapitulation follows; instead, the movement plummets into a coda that anchors the tonality of Carnaval as a whole, and thus seems mightily out of proportion to the individual movement. Both movements exemplify the techniques of defamiliarization also displayed by Jean Paul in all of his novels, with Hesperus a particularly apt comparison. The Bildungsroman and the Trivialroman meet and collide in Hesperus just as the waltz and the sonata do in Carnaval, with both confusing and exciting results.\(^3\) With Carnaval, Schumann appears to reach the apex of his "new poetic age"\(^4\) producing an entirely original synthesis of conventions high, low, and newly established.

It is hardly surprising, then, that Schumann would continue to explore the new fusion of high and low forms that he created with Carnaval; he did this with the two


\(^4\)Schumann's own phrase about this period of his life has been used by John Daverio and Gerhard Dietel in their monograph titles.
volumes of Davidsbündlertänze, op. 6. Composed in 1837, the Davidsbündlertänze were another manifestation of Schumann's revaluation of the waltz as trivial art form. Like Carnaval, the Davidsbündlertänze alternate between waltzes, or waltz-like sections, and other pieces not so easily classified by genre, though most of them resemble duple-metre dances. The fanciful titles of Carnaval are absent; each piece bears a final inscription indicating whether Florestan [F.] or Eusebius [E.] is associated with it. In several of the pieces, both F. and E. have a role to play. As in Carnaval, one can read the non-waltzes as digressions from the larger waltz chain, and there are multiple digressive levels within each piece, much as in all of Schumann's previous published work. However, the boundaries of the individual pieces in Davidsbündlertänze are much more clearly set than in Carnaval. Only in the case of Book II, nos. 7 and 8, is there a continuity between two ostensibly separate pieces. There are no mysteries like “Sphinxes”, and no extreme miniatures like “Aveu”; the shortest piece is Book I, no. 2, which is slow in tempo and calls for extensive repetitions of the various sections of the piece. The longest pieces, like nos. 4 and 8 of book II, exceed 100 measures, which occurs only in the outer movements of Carnaval. There is thus a certain regularity of form and shape among these pieces, resulting in an increased sense of “knowing where one is” on the part of the listener. In two or more of the pieces, Schumann employs a kind of proto-sonata form, as opposed to merely evoking the various topoi associated with sonata form (as he did in the Intermezzi and Carnaval). The table below outlines the basic structure of Davidsbündlertänze and identifies the
major digressions at the level of the individual piece (under “Form/Genre”) and within each piece (under “Digressions/Defamiliarizations”).

Table 4-1: Davidsbündlertänze, Book I
An asterisk indicates a piece that uses a sonata-like structure.

<table>
<thead>
<tr>
<th>Piece #</th>
<th>Tempo and Expression Marking</th>
<th>Form and Genre</th>
<th>Key(s)</th>
<th>Digressions/Defamiliarizations</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Lebhaft</td>
<td>Waltz (quick tempo) [F. &amp; E.]</td>
<td>G</td>
<td>Opening “Motto von C. W.”; phrasal, textural, and rhythmic shifts</td>
</tr>
<tr>
<td>2</td>
<td>Innig</td>
<td>Waltz (slow) [E.]</td>
<td>b</td>
<td>Begins in medias res; tension between 3/4 and 6/8 metres</td>
</tr>
<tr>
<td>*3</td>
<td>Mit Humor (Etwas hahnbüchen)</td>
<td>Waltz (fast) [F.]</td>
<td>G</td>
<td>An abrupt tempo change at m. 9; Carnaval cited at m. 47; hemiolas in this phrase confuse the rhythmic profile</td>
</tr>
<tr>
<td>4</td>
<td>Ungeduldig</td>
<td>Waltz (fast) [F.]</td>
<td>b</td>
<td>Syncopation throughout - blurs melodic line</td>
</tr>
<tr>
<td>5</td>
<td>Einfach</td>
<td>Non-waltz - duple metre, binary form, slow tempo [E.]</td>
<td>D</td>
<td>Begins in medias res, continual allusions to subdominant are unresolved</td>
</tr>
<tr>
<td>*6</td>
<td>Sehr rasch</td>
<td>Non-waltz (6/8); scherzo &amp; trio with coda [F.]</td>
<td>d</td>
<td>Sudden chromatic shifts; tonal digressions through B flat and E flat en route to a minor; duple/triple conflict in trio; Coda - unprepared N₆, elided cadences</td>
</tr>
<tr>
<td>----</td>
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</tr>
<tr>
<td>7</td>
<td>Nicht schnell [Mit äußerst starker Empfindung]</td>
<td>Slow waltz (Very stylized) [E.]</td>
<td>g</td>
<td>Begins in medias res; tonal instability; rhythmic displacement (B section)</td>
</tr>
<tr>
<td>8</td>
<td>Frisch</td>
<td>Non-waltz (almost a polka) [F.]</td>
<td>c-</td>
<td>Melody versus accompaniment distinction blurred; irregular phrasal structure</td>
</tr>
<tr>
<td>9</td>
<td>Lebhaft [Hierauf schloß Florestan und es zuckte ihm schmerzlich um die Lippen]</td>
<td>Waltz</td>
<td>C</td>
<td>Begins in medias res; V⁷ approached chromatically in contrary motion; B section - Melody split between voices</td>
</tr>
<tr>
<td>Piece #</td>
<td>Tempo /Expression</td>
<td>Form/Genre</td>
<td>Key</td>
<td>Digressions /Defamiliarizations</td>
</tr>
<tr>
<td>---------</td>
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<td>---------------------------------</td>
</tr>
<tr>
<td>*1</td>
<td>Balladenmäßig. Sehr rasch</td>
<td>Triple metre, but not really a waltz [F.]</td>
<td>d</td>
<td>3/4 vs. 6/8 tension; melody /accompaniment dichotomy unclear</td>
</tr>
<tr>
<td>2</td>
<td>Einfach</td>
<td>Non-waltz, slow tempo; ABABA structure [E.]</td>
<td>b/D</td>
<td>Tonal dichotomy similar to the first song of <em>Dichterliebe</em>; rhythmic displacement of cadences</td>
</tr>
<tr>
<td>3</td>
<td>Mit Humor</td>
<td>Non-waltz - a polka or contredanse [F.]</td>
<td>E/e/G</td>
<td>Tonal duality; tension between melody and ornamentation; formal boundaries blurred by key changes</td>
</tr>
<tr>
<td>4</td>
<td>Wild und lustig</td>
<td>Fast duple metre; dance rhythm [F. &amp; E.]</td>
<td>B/b</td>
<td>Soprano and bass fight for prominence (this is resolved in the coda)</td>
</tr>
<tr>
<td>5</td>
<td>Zart und singend</td>
<td>Waltz - slow [E.]</td>
<td>Eb</td>
<td>Soprano vs. alto (section A); harmonies elided through suspension-based progressions (section B)</td>
</tr>
</tbody>
</table>
The pieces that use elements of sonata form are not necessarily longer or more distinctive than the others, which is remarkable in itself in that the use of this old-fashioned formal scheme corresponds more naturally to the longer, more self-contained pieces here than it would to the more fragmentary movements of *Carnaval*. The first of these, book I no. 3, states its two contrasting theme groups concisely at the outset. Although both theme groups are framed within the generic
confines of the waltz idiom, Schumann uses textural and tempo contrasts to distinguish them, and also a conventional tonic-dominant key relationship (in this case, G and D major). The first theme group, in mm. 1-8, moves to b minor almost immediately; here the repeat marking needs to be observed for formal balance.

Example 4-1: Schumann, Davidsbündlertänze, book I, no. 3, mm. 1-11

The second theme group is much longer and includes considerable thematic development, including a full varied repeat of its main idea. At m. 45, where one might anticipate a development section, the second thematic idea becomes a countermelody to a quotation from "Promenade", from Carnaval.
The repetition of this reference at mm. 55 ff. shades into a passage on the dominant of G major which turns out to be a retransition to the first theme group, which reappears at m. 69. Only the first theme group is recapitulated, and a coda, starting at m. 85, substitutes for a recapitulation of the second theme group by referring to its distinctive rhythmic pattern.

Other movements which show traces of sonata form are not so clearly structured. Book I, no. 6, is outwardly a scherzo and trio, but displays many traits of sonata style. Opening in d minor, it begins to move away from the tonic at m. 9, alluding to B-flat and E-flat before repeating the main thematic idea in a minor, the dominant.
The phrase is immediately repeated in d minor, but the contours of a sonata-form exposition are unmistakable. The trio, conventionally in the major key, could be read as a sort of development since the main idea of the movement dominates here, and there is a clear retransition to the A section at mm. 40-48. Finally, there is an extended coda, so marked by the composer at m. 75, whose function, similar to Beethoven's codas, seems to be the clear finalization of d minor as the movement's tonic. It might be an exaggeration to call this movement a sonata, but its indebtedness to the form seems clear.

Similarly, Book II, no. 1 would be more accurately described as a "proto-sonata" rather than a true sonata movement. Indeed, it resembles a keyboard sonata by Domenico Scarlatti in its structural design. Measures 1-24 represent a clear, self-
contained rounded-binary form; although the music is texturally and metrically complex, it is controlled by this phrasal clarity.

Example 4-4: Davidsbündlertänze, book II, no. 1, mm. 1-8

There is no contrasting second theme; the section ends with a return to the opening material. At m. 25, tonal instability sets in and a new countermelody, at m. 29, coincides with a turn to c minor. These four unstable measures are repeated and slightly varied at mm. 32-36, and then the new countermelody returns in g minor. These basic traits — tonal instability, repetition of earlier material, and repetition on different sequential levels — mark mm. 25-40 as developmental.
Example 4-5: *Davidsbündlertänze*, book II, no. 1, mm. 25-40

In *Carnaval*, such a passage might appear out of context, but here, even the Scarlattian expanded-binary structure provides enough of a frame for the passage so that it can justifiably be likened to a development section. It is followed by a return to the initial measures of the piece; a short, plagal-inflected coda serves to strengthen d minor as tonic. The expression marking "Balladenmäßig" suggests a strophic form, and a sonata-like structure, with its repetitions of a central idea, does not diverge far from this concept. This level of structural clarity seems far removed from the carefully cultivated chaos of *Carnaval*. 
Perhaps the most illuminating example of the use of sonata-form elements in Davidsbündlertänze comes near the end of the work, in Book II nos. 7 and 8. No. 7, it will be recalled, is the one piece in op. 6 which does not end conclusively, but flows directly into its successor. A first glance at this piece reveals the expressive marking “Mit gutem Humor” and, on the following page, the heading “Trio” at m. 25; this would seem to suggest a minuet or scherzo structure, which we have seen once previously, in book I no. 6. The initial scherzo has a fairly clear rounded-binary structure, despite the defamiliarization of the first theme’s return at m. 16. Its main curiosity lies in its ending; the first pair of phrases in the piece ends, as might be expected, on the dominant (D major), but the return of these phrases is not altered to end on the tonic, as would have been customary for a Baroque movement in this form. Thus the opening of the Trio, positioned precariously on the dominant of B minor, seems to follow unusually -- seems unusually linked to the scherzo section. As the trio continues, establishing B minor firmly by m. 35, the listener may begin to suspect that the scherzo’s return will be considerably altered in order to end the piece conclusively on the tonic, since so many of the previous pieces in Davidsbündlertänze have ended this way. Instead, the trio -- which has been based on motivic material from the scherzo - ends on a protracted dominant pedal, which culminates in the opening of piece no. 8, marked “Wie aus der Ferne”. This is a memorable, lyrical melody in B major. The effect is of a first theme group (the scherzo, in G major), a transitional passage based on the first theme group
(the trio, modulating to b minor), and a contrasting second theme group (the opening of piece no. 8, in B major).

Example 4-6: *Davidsbündlertänze*, book II, transition between nos. 7 and 8

Mediant relationships in sonata form had by this time been well established by Schumann’s idol, Franz Schubert. The second theme group is of sufficient length

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and variety to balance the scherzo of piece no. 7, so that a sonata-form exposition on a moderate scale -- comparable, say, to the first movement of Schumann's own Piano Sonata in g minor, op. 22 -- results. Here the resemblance to a sonata ends, and where a development might be attempted, at m. 51 of piece no. 8, there is instead a complete repetition of Book I, piece no. 2, and a stormy coda that re-establishes B minor, one of the two keys that has been fighting for prominence throughout the cycle.  

The better part of the two pieces is devoted to an exploration of sonata form.

Clearly, then, the exploration of what Schumann called "higher" and "nobler" forms was at the forefront of the composer's mind during this period of his life. Even the Davidsbündlertänze, ostensibly a further venture into the waltz-chain structure exploited by Carnaval and several earlier works, show evidence of this preoccupation. Certainly the years 1836-38 show many other, more obvious manifestations of Schumann's engagement with the sonata, primarily the three


piano sonatas and the Fantasy in C major. He had started to sketch two sonatas in 1833, and by 1834 had completed two full sonata-form movements: the Toccata, op. 7, and the Allegro, op. 8, both of which, according to Joel Lester, show indebtedness to J. N. Hummel's Sonata in F sharp minor, op. 11. It was not until after 1835 that Schumann's most serious engagement with sonata form began.

Several events in Schumann's life may have contributed to this new preoccupation. His acquaintance with Mendelssohn, already a proven master of the symphony, began in 1835, which was also the year in which he encountered Chopin for the first time. Mendelssohn's arrival as a major musical figure in Leipzig resulted in a new prominence of Beethoven's works on concert programmes, and it was at this time that Schumann first heard all of Beethoven's symphonies performed in their original orchestral guise rather than as piano duets. By this time he also knew representative piano sonatas from all periods of Beethoven's life.

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and was introduced to the late quartets, which he found to be “Schätze, die die Welt kaum kennt”\textsuperscript{10}. Other members of Schumann’s circle, such as Ludwig Schunke and Henriette Voigt, also shared Schumann’s admiration for Beethoven,\textsuperscript{11} and the \textit{Neue Zeitschrift für Musik} was a refuge for those who saw Beethoven as a necessary antidote to the superficialities of contemporary musical culture.\textsuperscript{12}

Thus it was a natural step for Schumann to move towards the sonata form in his own compositions. Scholars such as Linda Correll Roesner and Joel Lester have contributed much fine work on Schumann’s sonatas\textsuperscript{13}; the Fantasy, perhaps Schumann’s greatest sonata-form work and certainly one of his most popular, has received extensive critical attention from such scholars as John Daverio, Nicholas

\textsuperscript{10}“Treasures that the world hardly knows.” Bodo Bischoff, \textit{Monument für Beethoven: die Entwicklung der Beethoven-Rezeption Robert Schumanns}. (Cologne, Rheinkassel: Dohr, 1994), 306.

\textsuperscript{11}Bodo Bischoff, \textit{Monument für Beethoven: die Entwicklung der Beethoven-Rezeption Robert Schumanns} (Cologne, Rheinkassel: Dohr, 1994), 263.

\textsuperscript{12}See, for example, Robert Schumann, \textit{Gesammelte Schriften}, 5th ed., ed. Martin Schoppe (Leipzig: Breitkopf & Härtel, 1914), vol. 1, p. 28: “Es ist ein Unterschied, ob Beethoven rein chromatische Tonleitern hinschreibt, oder Herz.” (There is a difference between Beethoven’s chromatic scales and [Henri] Herz’s.)

\textsuperscript{13}See note 7, above.
Marston, and Berthold Hoeckner. Schumann planned the Fantasy as a "monument for Beethoven" in conjunction with Liszt’s plans for a physical memorial at Bonn. Thematic allusions to Beethoven’s song cycle *An die ferne Geliebte*, op. 98, have obvious biographical resonance for Schumann as well, since this was the period in which he experienced protracted separations from his beloved Clara Wieck. This literature has effectively described and analyzed Schumann’s use and transformation of sonata form in these four works; Daverio, in particular, has revealed the distinctive narrative strategies of the first movement of the Fantasy, relating it primarily to Schlegel’s theories, though not ignoring Jean Paul; Roesner has noted that Schumann did not so much adapt sonata form as deconstruct it, using elements of the sonata, such as the development topos, to delineate his own “parallel” structures. Additionally, Bodo Bischoff’s thorough scholarship has illuminated Schumann’s reception of Beethoven for virtually the


17See note 7, above.
first time. Finally, Anthony Newcomb has made the important point that Schumann, encouraged by Clara and others, began during this time in his life to exhibit greater concern for the wider popularity of his works and their success in the marketplace, with several resulting compositions, and his works in sonata form, a stab at musical respectability in the eyes of Clara and her father, might also have arisen partly from this concern. But Schumann's other works of this period, including such popular concert items as the *Davidsbündlertänze*, the *Fantasiestücke*, op. 12, and *Kreisleriana*, op. 16, have not been examined in light of these trends in the composer's life, although they have begun to attract scholarly attention for other reasons. *Kreisleriana*, in particular, has spawned several examinations of E. T. A. Hoffmann's role in the composer's life, the most sensitive of them being that of Stephan Münch.

This new preoccupation with sonata form may seem at first glance to be a negation of the proposal that the digressive, defamiliarizing narrative *modus operandi* of

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Jean Paul provides an analogy and possible model for Schumann's cycles of the 1830s. Does not the coherence, the inherent unity of sonata form represent the polar opposite of Jean Paul's tangential tendencies and flights of fancy? It is possible, as demonstrated in *Carnaval*, that the various topoi of sonata form -- development, retransition, and so on -- can be used as material for a carnivalesque collage.\(^{21}\) Yet the *Davidsbündertänze* movements are neither fragmentary nor based on collage: they are self-contained, even conventional, in their structure. As Newcomb has pointed out, this new restraint may also have been influenced by marketing concerns.\(^{22}\) Has Schumann abandoned the Jean-Paul-inspired fantasies of his reckless youth?

The key to this conundrum may lie in biographical data. Schumann in no way modelled his life on that of Jean Paul. However, Schumann's newly intensified interest in the sonata tradition in 1836 has a close parallel in Jean Paul's life at the turn of the nineteenth century. From 1798 to 1800 the eccentric Bavarian lived in


\(^{22}\)See note 17, above.
Weimar, where he hoped to find kinship with the local artistic community.23

Weimar represented even then the birthplace of German literary classicism. Goethe, Schiller, and Herder were foremost among the major authors of the time who made their homes in the principality. Incidentally, Hummel, whose influence on Schumann's sonata style has already been noted, was also living in Weimar at this time. Jean Paul, who had spent most of his life in the relative isolation of Franconian towns such as Hof and Joditz, found an initially warm reception in Weimar, but his social graces proved insufficient to win him a constant place in the circle of Goethe and Schiller. He offended them both with indiscreet remarks while tipsy, inspiring a devastating poem by Goethe entitled “Der Chinese in Rom”.24 However, Jean Paul's sojourn in the city provided him with ample material for his satirical muse as well as his idealistic bent. The fruit of the Weimar stay turned out to be the novel Titan, begun in 1792 and published in its entirety by 1803.

Jean Paul had a keen interest in the Bildungsroman genre. While Hesperus, and later Flegeljahre, can be seen as a parody of the genre, in both the Renaissance and modern senses, Titan fits the model more closely. Specifically, Jean Paul had Goethe's Wilhelm Meisters Lehrjahre (1777-1785) in mind, a novel regarded by

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Germanists as the textbook example of a *Bildungsroman*, and one that Jean Paul himself read in 1795. Jean Paul wished to rewrite the *Lehrjahre* according to his own specifications, which, as he would later prove in the educational treatise *Levana* (1807), were highly developed. Goethe’s hero is brought up in a thoroughly bourgeois, unremarkable milieu. He gains considerable life experience by travelling with an itinerant theatre company, whose players include such familiar names in the German literary canon as Mignon, Lothario, and Philine. Although Wilhelm is educated in the ways of art and love during his time with the players, he ultimately decides that he is better suited to a normal middle-class bureaucratic career.

Jean Paul’s Albano, in *Titan*, although he grows up in similar surroundings, is destined for an entirely different fate. Albano learns, on the verge of adulthood, that he is not a bourgeois teenager but the son of a nobleman, who has had him raised as a commoner to instil sympathy with everyday people. As a future ruler, he must learn diplomacy and politics; as a well-educated courtier, he will need a foundation in theology and art; most importantly, as a human being, he must


experience the apex and nadir of love and friendship. To these ends, he is provided not only with a wide assortment of mentor figures, but also with multiple opportunities for romance and camaraderie. His three romantic interests, Liane, Linda, and Idoine, teach him about various admirable aspects of the female psyche, while his friend Roquairol is a negative role model who warns him of the dangers of excessive Romanticism. Roquairol ends by committing suicide during a performance of a play he has written, a clear nod in the direction of Goethe's *Die Leiden des jungen Werther*.28 After two unsuccessful love affairs, Albano considers joining the French Revolutionary cause, but is convinced in the end to take the throne of the tiny principality which is the novel's major setting. Married to Idoine, who combines the virtues of his two previous loves, he looks forward to a life of productivity as a sort of Platonic philosopher king.

Gerhert Mayer has called *Titan* Jean Paul's only true *Bildungsroman*;29 the educational plot fulfils the expectations of those familiar with Goethe's *Wilhelm Meister* and *Werther*. Crucially, Jean Paul has considerably curtailed his tendency to digress. Most of the digressive episodes planned in sketches for this novel


However, we should not infer from Mayer's comment that Jean Paul has abandoned his normal style altogether. Digressive elements do occur, and frequently. Authorial comment, letters written by the characters, footnotes, and mini-essays are all present here, although in lesser quantity than in Hesperus or Siebenkäs. Self-reflexivity is easily found; at one point Jean Paul likens the fanciful titles of the chapters in several of his books to the stages in the unhappy relationship of Roquairol to Albano's foster-sister Rabette. Perhaps the most characteristic figure in the novel is Schoppe, the eccentric librarian who turns out in the end to be Leibgeber, a character from Jean Paul's earlier Siebenkäs. Schoppe has a mortal fear of his "ich", the Fichtean construct of the ego; his death, late in the novel, is a humorous yet sad spectacle in which Schoppe encounters a man who resembles him exactly. Jean Paul's followers would recognize this man immediately as Siebenkäs, the psychic twin of Leibgeber/Schoppe; in the earlier novel, Siebenkäs and Leibgeber exchange identities in order to save Siebenkäs from an unhappy marriage. Schoppe himself believes he has finally encountered the fearsome "Ich" and dies on the spot. This deconstruction of Schoppe's identity is characteristic of the earlier Jean Paul, whose explorations of intrigue and

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mistaken identity often resulted in interesting, self-reflexive moments. The *Clavis Fichtiana*, a philosophical treatise that is part of the *Komischer Anhang zum Titan*, is purportedly written by Leibgeber/Schoppe. Overall, these disjunctions are strikingly few and far between in *Titan*. Although, as an example of the *Bildungsroman*, it wavers between Classical and Romantic ideals -- will Albano fulfil himself, like the hero of Novalis's *Heinrich von Ofterdingen*, or society's demands, like Wilhelm Meister? -- there is no mistaking the Classical structural aegis under which *Titan* labours, nor its impact on Jean Paul's general style.

Both artists thus defy the romantic stereotype: rejection of the immediate past and glorification of the distant past. Schumann was interested in Bach, but in the end his connection with the classical forms was both more immediate and more lasting. Thus, knowledge of Jean Paul's relationship with the *Bildungsroman* and with classical narrative strategies can lead to a more fully informed criticism of Schumann's later cycles, themselves more engaged with the Beethovenian sonata cycle in numerous ways.

A related issue is the prevalence of the name E. T. A. Hoffmann in Schumann criticism of works of this period. On the surface, it may be difficult to reconcile Schumann's classical preoccupations, so similar to those of Jean Paul, with his interest in this most typically Romantic writer of the second generation. This does not deny the Romantic aspects of Jean Paul's style, but suggests that his classical leanings are a more important touchstone for Schumann's works of this period.
Certainly, writers who juxtapose Hoffmann and Schumann tend to emphasize the Romantic qualities of both artists; understandably, since Hoffmann is better known internationally and is often thought of as the crucial German Romantic author. \(^{32}\) A central point of reference here is the figure of Johannes Kreisler, the protagonist of Hoffmann’s *Fantasiestücke in Callots Manier* and *Lebensansichten des Katers Murr*, and the figure alluded to in the title of Schumann’s cycle *Kreisleriana*, op. 16. Claudio Bolzan relates Schumann’s reading of the Johannes Kreisler character to seminal ideas of Novalis, Schlegel, and Schelling, centering around the essential mysticism of art, its relationship to religion, and its function as an evocation of a lost, idealized past age. Bolzan sees Schumann’s assimilation of the styles of both Bach and Beethoven as a manifestation of this idealization of the past. \(^{33}\) Stephan Münch’s reading of Schumann’s *Kreisleriana* emphasizes improvisatory style as key to the work. Kreisler’s improvisations, in Hoffmann, represent the transcendent power of music as the ultimate Romantic art, connecting the artist with the divine and thus with the lost past. The quasi-improvisatory passages in *Kreisleriana* thus evoke this quality in Hoffmann’s character. \(^{34}\) Similarly, John Daverio emphasizes


the technique of "interleaving", adapted from Hoffmann's novel "Kater Murr", in which the discarded pages of Kreisler's autobiography are used by his cat to write his own feline memoirs. Hoffmann then presents the chaotic manuscript, with its immediate, jarring juxtapositions of incomplete passages composed by both Kreisler and the cat, as an unmodified "historical document". Daverio finds evidence of similar procedures in Schumann, pointing to interleaving fragments in Kreisleriana and the Novelletten (also dating roughly from this period). All of these scholars have elucidated Schumann's work of the late 1830's, and shown that Romantic philosophy and spirit was central to his art. But it is important to acknowledge that the composer was also coming to terms with his Classical forebears at this time in his life, that this engagement resonated with his literary experience (still centred around Jean Paul), and that Schumann's status as an "arch-Romantic" does not emerge uncompromised by this stance. Even his interest in Hoffmann is not untouched by Classical ideals. Hoffmann the composer was relatively conservative; Hoffmann the critic was as enamored of Beethoven as Schumann was, although he did not emphasize Beethoven's mastery of Classical forms; and Hoffmann the writer was for a time a close colleague of Jean Paul, who wrote the preface to the first edition of the Fantasiestücke in Callots Manier.  


Schumann's interest in Jean Paul, then, does not preclude his interest in preserving and exploring classical form. Nor does the reverse apply: an interest in the sonata style would not have prevented Schumann from moulding it in his own image, which would certainly include digressions and redefinition of familiar strategies. Each of the piano cycles written between 1835 and 1839 represents a new version of this self-created genre that had originated in the dance, with *Papillons*. *Davidbündlertänze* follows the model of *Carnaval* with its strong emphasis on the waltz genre and its association with Florestan and Eusebius. Yet this cycle, among the most ambitious of Schumann's oeuvre, is far less fragmentary than *Carnaval* and contains many more "complete" movements, pieces which would be comprehensible within themselves. The tonal and motivic unity of *Carnaval* is still present, but without the obvious breakdown in boundaries which characterized the earlier cycle. Perhaps most characteristically, the sonata form manifests itself as a central concept in this work, and will do so in most of the later cycles.

The cycles with names inspired by Hoffmann, *Fantasiestücke* and *Kreisleriana*, continue these trends. Each has eight movements, none of which displays the fragmentary character of pieces like "Florestan" or "Paganini" in *Carnaval*. They still contain the digressive qualities which marked Schumann's earlier style, particularly on the phrasal level; *Kreisleriana*, especially, is remarkably innovative
in this respect, which led Münch to describe it as largely "improvisatory" in style.37

Both cycles seem to be conceived on a larger scale. At least one movement in each cycle, with small modifications, could be described as being in a clear sonata or sonata-rondo form. In Fantasiestücke, whose pieces carry evocative titles similar to those of Carnaval, that piece is "Aufschwung", while in Kreisleriana, where the pieces are simply numbered, piece no. 7 fulfills this criterion. Other pieces in the cycles, such as "In der Nacht" from Fantasiestücke and no. 5 of Kreisleriana, come close to delineating a sonata style.

**Example 4-7:** Schumann, *Fantasiestücke*, op. 12, "Aufschwung", mm. 1-8

"Aufschwung," almost astonishingly after hearing Schumann's earlier work, is a textbook example of classical sonata-rondo form. Its trappings are Romantic: the main theme of the piece begins unstably, with a b-flat-minor sonority that seems to change function kaleidoscopically. F minor, the main key of the piece, is touched on only at the beginning of the second phrase, by which time Schumann is well on his way to A-flat major, and a duality again prefiguring the first song of Dichterliebe. Phrasally and architecturally, however, the first 16 measures of "Aufschwung" are a Classical periodic structure. A second theme, or a "B" section in terms of rondo form, follows at m. 17; it is centred on D-flat.

Example 4-8: Fantasiestücke, "Aufschwung", mm. 14-20
Although the rhythmic profile of the phrases is displaced by half a measure, the section is almost four-square, with six phrases of equal length following upon one another to create a mini-ternary structure. The return of the initial theme is abrupt and foreshortened, and the dominant pedals in the bass redefine its harmony, but these surface defamiliarizations only serve to clarify the harmonic design of the theme, a prolongation of the dominant seventh chord of f minor.

Like a sonata-rondo, "Aufschwung" proceeds into an episode where the development would be in a sonata movement. The texture, here as elsewhere, is slightly obscured at mm. 61-64, but, in contrast to Schumann's earlier works, there is very little confusion between melody and accompaniment. Some sequential passages hint at what is supposed to happen in a development section, and there is an extensive, suspenseful retransition in which the initial theme returns in fragmented form before it is fully recapitulated. Again the repeat of the initial section is foreshortened, and the "B" episode or contrasting theme returns in a key more closely related to the tonic: A-flat. This procedure is reminiscent of Classical symphonic finales, and it results in a less abrupt retransition to the final statement of the main theme, which ends with a clear affirmation of f minor.

"Aufschwung" thus proceeds in an uncomplicated manner through the stages of a clear sonata-rondo structure. In this sense it is like the later cycles of Jean Paul's *Titan*, whose chapter headings are labelled "Zykeln", in that its oddities do not
disturb the course of a fundamentally conventional strategy. A representative moment in the latter half of Jean Paul's novel is the “121. Zykel”, in which Albano revisits the small town where he grew up. He has changed a great deal during the course of the novel, and he keeps his distance from all of the members of his foster-family, and from his childhood tutors. Each character is introduced in turn, and Albano's attitude toward each is clarified with minimal digression. Jean Paul, normally liberal with his own interjections, is nearly silent here, and even the customary description of the surrounding nature scenery is kept to one relatively concise paragraph. A contrast appears in the middle of the chapter when Albano’s foster-sister, Rabette, confides in him about the failure of her current love affair; it is an emotionally charged moment. Jean Paul adds virtually nothing extra to this description of the scene, which is almost naturalistic. Jean Paul's discipline in paring down his own near-chaotic style is remarkable here, and the formal clarity of “Aufschwung”, in light of Schumann's frequent excursions into fragmentation and formal redefinition, is equally astonishing.

Piece no. 7 of Kreisleriana is a further example of Schumann's formal self-discipline during this period. Perhaps the most clear-cut example of sonata form in any cycle other than Faschingsschwank aus Wien, it nevertheless uses many of the same surface defamiliarization techniques encountered in “Aufschwung.” The presentation of the first idea is made strange by its obfuscation of the piece's c-
minor tonality, though the Schenkerian 3-2-1 outline is clearly at the root of the texture. A dominant pedal underlies the entire first section, so that the establishment of the tonic - the V-I cadence at mm. 7-8 - is in process from the beginning. The driving rhythms and anapaestic pattern of the bass ensure a sense of coherence, though they are also characteristic, as Münch would point out, of a quasi-improvisatory style evocative of Hoffmann's Kreisler character. An improviser will often rely on a repetitive element such as an ostinato rhythm or broken-chord pattern in order to lend some sort of structure to her meanderings. Both are present here.

Example 4-9: Schumann, Kreisleriana, op. 16, no. 7, mm. 1-8
The second theme follows immediately, in the dominant (g minor). The texture is clearer in terms of division between melody and accompaniment, but the driving rhythms and nearly unbroken sixteenth-note patterns are similar to those of the opening.

Example 4-10: Kreisleriana, no. 7, mm. 9-14

Its harmonic pattern is opposite to that of the first section, in that its beginning is tonally unmistakable, while its ending prolongs the dominant of g minor rather than the tonic, in mm. 19-20 and 31-32. At m. 33, after the second theme has been reiterated up an octave, the opening material returns in the dominant key, thus serving both as first theme group and closing theme.

The development section, beginning at m. 41, is like some of Mozart’s in that it does not initially seem to develop any of the material from the exposition. However, its fugato character marks it as developmental, and its rhythmic and textural profile does not diverge greatly from the preceding sections. Harmonically, too, it expounds on the c-minor/g-minor axis of the exposition.
Example 4-11: *Kreisleriana*, no. 7, mm. 38-47

An extended sequence, which is a developmental signal in some of Schumann's other work, begins at m. 53 and touches on F, B-flat, and E-flat before returning to an intensified version of the fugato's opening at m. 61. This repetition is underpinned by a dominant pedal (the dominant of the main key, c minor) which transforms the passage into a retransition. Cleverly, Schumann chooses a reverse recapitulation here, with the second theme appearing in the tonic at m. 69. Since this theme seemed more stable harmonically in its original incarnation, its reappearance intensifies the feeling of arrival at the recapitulation. A repetition of the first idea in its original form rounds out the piece.
Example 4-12: *Kreisleriana*, no. 7, mm. 89-end

Schumann does not end here, but adds a mysteriously reassuring coda in B-flat (later E-flat) which lays bare the basic rhythmic profile of the opening, stripped of its furious textural garb. Like the “Im Legendenton” in the first movement of the *Fantasie*, op. 17, this coda is digressive on a surface level but intimately related to the movement on a deeper plane. Like the *Komischer Anhang zum Titan*, this coda is a repository for Schumann’s digressive urges, which are here postponed to the completion of the sonata form’s course. The digressive passages in *Titan* are
shunted to the appendix, as they are in the coda of piece no. 7 of *Kreisleriana*. The
dichotomy between structure and improvisation also has its Jean-Paulian
counterpart. In the earlier part of *Titan*, when Albano is involved with his first love
affair, he expends his passion by improvising at the keyboard. With minimal
digression, Jean Paul describes Albano's fiery fantasizing, which nearly destroys
the delicate instrument.

In der Leidenschaft (sogar im bloßen Feuer des Kopfes) greift man weniger
nach der Feder als nach der Saite; und nur in ihr gelingt das musikalische
Phantasieren besser als das poetische.39

Thus Jean Paul comments on Albano's impulse in what is less a digression than
an explanation. Only when the sympathetic author has finished describing the
scene does he allow his own remarks to be heard.

Und noch dazu, beglückter Albano! Du weißt, wer dich hört.--Die Morgenluft
der Hoffnung umflattert dich in Tönen -- das wilde Jugendleben schreitet mit
rüstigen Gliedern und lauten Schritten vor dir auf und ab...40

Jean Paul's comments frame a description of a musical fantasy which is
undisciplined in character, but relatively formalized in structure. Like the coda of

39"In the throes of passion (even when it is merely one's head that is on fire),
one tends to reach for the keys instead of the pen; and only in this passion does
musical fantasy succeed more than the poetic sort." Jean Paul Friedrich Richter,

40 "And now forward, fortunate Albano! You know who is listening. -- The
morning breeze of hope floats around you in the form of music -- life, wild and
youthful, strides back and forth before you with strong limbs and loud steps ..." See
Hanser Verlag, 1975), 288.
the *Kreisleriana* excerpt, they provide a distanced perspective on a whirlwind event that is as well-organized as a classical sonata movement.

Emphasizing the formally self-contained nature of most of the movements of this period in Schumann's career does not discount the networking of the cycles, particularly tonally and motivically. *Davidsbündlertänze* works with a wide-ranging tonal plan based on the dual relationship of G major and b minor; the "Motto von C. W." that opens the work can be traced through much of the rest.41 Similarly, *Kreisleriana* works on a tonal plan centred around g minor, and is laced with motives based on a rising scalar pattern.42 John Daverio has convincingly shown a related structure in the *Novelletten*, op. 21, which perhaps represent Schumann's most ambitious attempt at a piano cycle in the sense that the pieces are both closely interrelated and individually large in scale.43 Here, too, several of the movements follow a quasi-sonata-rondo structural plan, particularly nos. 1 and 6:


### Table 4-3: Novellette no. 1

<table>
<thead>
<tr>
<th>Novellette no. 1</th>
<th>Measure</th>
<th>Tonal centre</th>
<th>Events</th>
</tr>
</thead>
<tbody>
<tr>
<td>&quot;Theme Group 1&quot;</td>
<td>1</td>
<td>F</td>
<td>Martial theme</td>
</tr>
<tr>
<td>Development of theme group 1</td>
<td>5</td>
<td>Modulates from F to A</td>
<td>Based on this theme</td>
</tr>
<tr>
<td>&quot;Theme Group 2&quot; (Trio)</td>
<td>21</td>
<td>F</td>
<td>Contrasting lyrical theme presented in a ternary structure</td>
</tr>
<tr>
<td>Return of Theme Group 1, truncated</td>
<td>49</td>
<td>F</td>
<td>Ended more conclusively at m. 57</td>
</tr>
<tr>
<td>Development /episode</td>
<td>61</td>
<td>D-flat</td>
<td>Contrapuntal (as in Kreisleriana no. 7) and based on an inversion of part of the opening theme</td>
</tr>
<tr>
<td>Return of theme group 1 (false recap)</td>
<td>82</td>
<td>D-flat</td>
<td>truncated</td>
</tr>
<tr>
<td>Recapitulation of theme group 2</td>
<td>86</td>
<td>A</td>
<td>Ternary structure preserved</td>
</tr>
<tr>
<td>Recapitulation of theme group 1</td>
<td>114</td>
<td>F</td>
<td>As opening</td>
</tr>
<tr>
<td>Coda</td>
<td>125</td>
<td>F (Neapolitan emphasized)</td>
<td>Based on motives from opening</td>
</tr>
</tbody>
</table>

The first Novellette (op. 21/1) follows a similar sonata-rondo structure to "Aufschwung", from the Fantasiestücke, op. 12, and in its developmental episode uses the contrapuntal devices familiar from the Kreisleriana excerpt discussed earlier. Perhaps the formal clarity of this movement has made it popular as an
individual piece with performers such as Sviatoslav Richter. As Daverio points out, Schumann would have preferred a performance of the complete cycle.\textsuperscript{44} The composer took pains to isolate the sixth Novellette as a piece that should not be performed out of context, and Daverio's careful motivic analysis explains why; but it, too, is easily analyzed in terms of sonata-rondo form:

\textit{Table 4-4: Novellette no. 6}

<table>
<thead>
<tr>
<th>Novellette no. 6</th>
<th>Measure</th>
<th>Tonal centre</th>
<th>Events</th>
</tr>
</thead>
<tbody>
<tr>
<td>Theme Group 1</td>
<td>1</td>
<td>A</td>
<td>Dominant seventh as initial sonority</td>
</tr>
<tr>
<td>Theme Group 2</td>
<td>17</td>
<td>F</td>
<td>Rhythmically related to theme group 1; presented in ternary form</td>
</tr>
<tr>
<td>Return of theme group 1</td>
<td>65</td>
<td>F</td>
<td>Truncated, as in Novellette no. 1</td>
</tr>
<tr>
<td>Development</td>
<td>73</td>
<td>D-flat</td>
<td>Juxtaposes theme group 2 with a new melodic idea at m. 77, in the bass</td>
</tr>
<tr>
<td></td>
<td>95</td>
<td>G-flat</td>
<td>New, lyrical theme relates motivically to theme group 1 and rhythmically to theme group 2</td>
</tr>
<tr>
<td></td>
<td>111</td>
<td>f#, A</td>
<td>Development of new theme</td>
</tr>
<tr>
<td>Episode C</td>
<td>135</td>
<td>C</td>
<td>New, martial thematic idea, related motivically to new theme and developed</td>
</tr>
</tbody>
</table>

\textsuperscript{44}\textit{Ibid.}, 77-78.
The dominant-seventh-based opening of the sixth Novellette and the weak cadence, decorated with an appoggiatura, at the end may have been part of Schumann's reasoning in declaring that the piece should not be performed out of context. This is hardly comparable to the fragmentary moments in Carnaval and Papillons, where context is actually necessary for the listener to be able to follow the work. Its sonata-rondo structure is not quite as clear-cut as that of the first Novellette. It does display the tripartite layout of a sonata, with its characteristic thematic repetition and tonal resolution; it also contains the episodic qualities of a rondo, with its multiplicity of melodic and textural profiles. The melding of this sort of recognizable structural plan with the motivic and tonal continuity of the larger cycle characterizes Schumann's style of the late 1830's. Jean Paul's Titan, with its clear
Bildungsroman layout coloured with eccentricities of character and narrative, provides a comparative touchstone for this period. One further example of this style deserves consideration, at least partially because it represents the fruit of Schumann's extended stay in Vienna, the city of his musical idols, Beethoven and Schubert. It was their use of sonata and rondo form that provided Schumann with models for these works.\textsuperscript{45} In \textit{Faschingsschwank aus Wien}, op. 26, originally entitled "Grande Sonate", Schumann produced perhaps the most characteristic example of his concern with Classical form in the late 1830's.

\textit{Faschingsschwank} was composed during Schumann's ill-fated visit to Vienna in 1839.\textsuperscript{46} His mission was to find a new publisher for his journal, the \textit{Neue Zeitschrift}. The all-pervasive artistic conservatism that he found in the imperial capital was to prove inimical to his purposes. Schumann's failure disappointed him bitterly. Vienna had been the source of almost all the music that was most important to him, Beethoven's piano sonatas and Schubert's dances and four-hand music for the piano most of all. Schumann assimilated the Schubertian dance idiom for his own devices. \textit{Faschingsschwank}, particularly on the levels of the large section and the work as a whole, might be considered a reflection of


\textsuperscript{46}For more on this period in Schumann's life, see chapter 5.
1830's Vienna, as symbolized by Beethoven's sonatas and symphonies, through Schumann's concave mirror.

To begin with, the work has an extra movement: the "Intermezzo", which distorts the traditional allegro-slow movement-scherzo-finale pattern of the Classical sonata. This pattern was defamiliarized numerous times by the Classical composers themselves. By 1839, musicians such as Adolf Bernhard Marx were already canonizing the sonata as an inviolable tradition governed by sacrosanct rules.\(^\text{47}\) This additional piece was published before the rest of the work, billed as an excerpt from the forthcoming \textit{Nachtstücke}, op. 23.\(^\text{48}\) Its insertion into the \textit{Faschingsschwank} was by no means haphazard, however, since its basic motivic cells are essentially the same as those of the first movement.


\(^{48}\text{Kurt Hofmann, Die Erstdrucke der Werke von Robert Schumann (Tutzing: Schneider, 1979), 388.}\)
Example 4-13a: *Faschingsschwank aus Wien*, no. 1, mm. 1-10

Example 4-13b: *Faschingsschwank aus Wien*, no. 1, mm. 25-7; no. 4, opening
This initial theme becomes the basis for a movement that, ironically enough, is itself in an incipient sonata form, or "aria" sonata form. A modulation to the dominant minor at m. 9 heralds a slight variation on the first theme that might be called a second theme group. There is no development, and the recapitulation of these two sections follows, with the second section in the tonic key. The coda begins with a Schubertian false recapitulation of the first theme group in the subdominant, which allows it to conclude in the tonic with a canonic cadential passage. The ideas of first and second theme group, recapitulation, false recapitulation, and coda thus receive reevaluated meanings here. The cycle's Beiwerk contributes decisively to its theme: the exploration of the concept of sonata form.

The first movement's exploration of this idea is entirely oblique. It is not in sonata form at all, but in rondo form -- the Classical structure that lends itself best to a digressive mode of organization, and perhaps more normal to Schumann, all in all, than the stricter sonata ideal. Schumann's Arabeske, op. 18, is itself an imaginative extension of the rondo principle. Within the rondo structure of the first movement of op. 26, other topoi are alluded to or explored. The ritornello is organized like a minuet and trio on its initial appearance, with the trio in a minor key and receiving a slower metronome marking (m. 25). When the initial thematic material returns after the trio, the material originally heard in c minor at m. 9 is now

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49I am grateful to Profs. Mary Ann Parker and Caryl Clark for suggesting the applicability of Charles Rosen's term here.
heard in g minor, up a fifth, at m. 71; this transposition is reminiscent of sonata-form recapitulations, though the gesture is entirely out of context. In addition to such gestural revaluations, phrasal digression is prevalent: the unexpected shift to the remote keys of A-flat f-minor at m. 39 is a prominent example. The first episode, at m. 87, is based on the cell marked "z" in the example above; its syncopations, and some of its melodic features, recall the first movement of Beethoven's Op. 101 piano sonata, another unorthodox opening movement that announced a new, often misunderstood period in that composer's career.

Example 4-14: *Faschingsschwank aus Wien*, no. 1, mm. 87-92; Beethoven, Sonata op. 101, i, mm. 41-45

The section is in a sort of ternary form, but the A' section at m. 110 is more a recomposition of the opening material than a recapitulation -- another
Jean-Paulian technique. The return of the ritornello following this section is also reevaluated: because the entire episode had been syncopated, the listener is uncertain which beats the ritornello's two opening chords are articulating. Following the ritornello, a second episode appears which is also indeterminate structurally. Although we expect an episode after each appearance of the ritornello, the material that appears at m. 151 is once again in g minor and bears a new metronome marking. Is it the trio to the ritornello, or is it an independent episode? It turns out to be not only an episode, but a mini-rondo seventy-one measures in length. The ritornello appears again at m. 229, and is followed by a long episode that tropes the development-retransition concept found in many first movements. It begins with a Schubertian waltz, a kind of intertextual allusion not only to its fundamentally Viennese idiom but also to Schumann's own earlier cycles. Then, at m. 269, a fanfare-like sequence prefigures the famous triple-time version of the "Marseillaise" appearing at m. 293: the French anthem was prohibited in Vienna at the time.\(^5^0\) The allusion is followed by a further sequence; its tonal instability, caused by its lack of cadences, tropes the development section idea, while the "Höchst lebhaft" at m. 325, with its prominent statements of cell "x" followed by arpeggiated chords, leads us to expect a retransition to the ritornello. The section concludes in the tonic key, only to be followed by new material in E-flat that clearly refers to the Trio section of the third movement of Beethoven's Piano

Sonata, op. 31/3, one of the three that Beethoven called indicative of "entirely new paths" in his compositional development.\(^{51}\)

![Example 4-15: Faschingsschwank aus Wien, no. 1, mm. 341-347; Beethoven, Sonata op. 31/3, III, mm. 17-24](image)

J. A. Fuller-Maitland thought that this reference was probably unconscious\(^{52}\), but in view of the work's general design as a "near-sonata", an allusion to Beethoven -- reminiscent of the ones in the C major Fantasy -- is almost de rigueur. This section, too, is a mini-rondo, with several sequential transitions separating statements of the Beethovenian idea. It concludes with a modulatory coda (mm. 409-440) that is followed abruptly by yet another statement of the ritornello. The movement's coda contains four reminiscences of earlier material: it begins by recalling the second

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episode. Secondly, it continues with a nearly exact quotation from the fourth movement of *Kreisleriana*, op. 16 -- one of Schumann's least-performed works up to that time, and probably the one least likely to be accepted by the Viennese public.

**Example 4-16:** *Faschingsschwank aus Wien*, no. 1, mm. 494-507; *Kreisleriana*, no. 6, mm. 7-8

Thirdly, another sequential passage follows, this time elaborating a motivic cell heard in passing at m. 109 as an ornamented cadential figure; and, finally, the movement ends with the retransitional episode from m. 325, this time revaluated as a large-scale cadential passage. The accented, syncopated G-flats in the final measures are a small-scale phrasal digression, but their finality gives them a
special significance: they summarize the course of the entire movement, which has
been almost entirely digressive and allusive in substance.

The other movements of the cycle are simpler in structure, still continuing
to play with the concepts of traditional sonata form. The "Romanze" rethinks the
idea of song-form slow movements, particularly in its central section, which, though
motivically related to the first, is utterly different in metre, tessitura, and character.
The return to the first section is entirely unexpected: at m. 19, a cadential figure on
the dominant of C major leads us to await a return of the C major theme heard at m.
13; instead, the final note of the measure is used as a pivot to return us to the
opening material, which itself opens on the subdominant, confusing matters further.

Example 4-17: Faschingsschwank aus Wien, no. 2, mm. 17-20

The "Scherzino", like the first movement, plays with the topoi "development" (m.
17 ff., a series of sequential passages based on the first measure of the movement)
and "false recapitulation" (m. 49, in A instead of B flat). Neither of these practices
are typical of a scherzo, and it is not surprising to see an allusion to another
famous "non-scherzo" in this movement's coda: the second movement of
Additionally, the "Scherzino" is not in scherzo-trio form, but is episodic, like a rondo, in construction. One major phrasal digression occurs at m. 96, the transition from the final statement of the ritornello to the movement's coda: the rhythmic propulsion of the piece comes to a halt, and touches on a dominant seventh of A major before returning to B-flat. This passage recomposes the false recapitulation in A major at m. 49, mentioned above.

Only the "Finale" is relatively conventional; it is the only movement of this "grand romantic sonata" that is in sonata form, and Fuller-Maitland, that
arch-conservative, concedes it to be "quite successful". After hearing the work, Fuller-Maitland thought that it might "pass for a sonata"; this is a measure of the Finale's success, because although its normalcy might lull listeners into thinking they have just heard a sonata, the Fasingischwank is clearly something quite different: a disquisition -- a long digression, perhaps -- on the sonata tradition.

Fasingischwank, then, is perhaps the clearest analogue in Schumann to the spirit of Jean Paul's Titan, which bears the marks of its author's stay in Weimar, the classical bastion of its time. Schumann felt as ill-at-ease in Vienna as Jean Paul did in Weimar, if not more so. This was not a result of his lack of admiration for the Viennese musical heritage, but a condemnation of their current superficial musical culture. Like Jean Paul, Schumann found artistic means for the expression of this conflict in exploring and deconstructing its formal elements. Both authors, however, also reacted to their collisions with Classicism in other ways, the most remarkable being the creation of idyllic oases.

One further work of this period remains to be considered: Kinderszenen, op. 15, of 1838. (Some minor works, such as the Nachtstücke, op. 23, the Romanzen, op. 28, and the Scherzo, Gigue, Romanze, and Fughetta, op. 32, have not been addressed in this discussion, because they represent smaller-scale incarnations of

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the trends displayed above all in the *Kreisleriana*, *Fantasiestücke*, and *Novelletten.* At first glance, *Kinderszenen* appears to return to the fragmentary style of *Papillons*. Yet despite their brevity, these pieces really belong to the generic category exemplified by the works discussed in this chapter, for they are relatively self-contained, with the possible exceptions of "Bittendes Kind", whose closing dominant seventh illustrates the pleading quality of the piece, and "Kind im Einschlummern", whose unfinished final sentence is a picturesque depiction of a youngster who has descended into sleep. The independence of these pieces has been felt by many performers, who frequently excerpt "Von fremden Ländern und Menschen", "Wichtige Begebenheit", and above all, "Träumerei", perhaps the one Schumann movement from the 1830's that has attained household status. Several analysts, beginning with Rudolph Réti in the 1950s\(^\text{54}\), have examined the motivic interconnection of these pieces, emphasizing most notably the rising sixth that opens "Von fremden Ländern und Menschen" and reappears in "Bittendes Kind" and "Träumerei", among others. In their self-sufficiency and motivic interconnection, *Kinderszenen* parallels most of the other major works of this period, and certainly stand beside them in originality.

It would be difficult, however, to speak of *Kinderszenen* as a musical analogue to a work like Jean Paul's *Titan*, which, after all, approaches 1200 pages of dense late eighteenth-century prose. More specifically, the individual movements of

\(^{54}\text{See Rudolph Réti, } \textit{The Thematic Process in Music} \text{ (New York: Macmillan, 1951).} \)
Kinderszenen are too small in scale to approximate any classical form in the way that Titan redefines the Bildungsroman. Instead, there is an equally typical Jean-Paulian mode of expression comparable to that of Kinderszenen: the aphorism. Jean Paul began collecting other writers' aphorisms in a Zettelkasten (box of slips of paper) as a teenager, and shortly thereafter began writing his own. Witty one-liners and terse essays were the core of Jean Paul's early style, resulting in such formative works as "Auswahl aus des Teufels Papieren" and "Grönländische Prozesse". He never abandoned the aphorism, and they are easily found as digressive devices throughout his mature works.

"Noch über einen Engel ist zu lachen, wenn man der Erzengel ist" says Jean Paul in an aphoristic moment in the Vorschule der Ästhetik. In the preface to Hesperus, he justifies its unusual plotline with an original proverb: "Das Werk ist wie meine Hose ... woran eine einzige aufgehende Masche des rechten Schenkels das ganze Gestrick des linken aufknüpft." Later in this novel, the hero, Viktor, is given a series of aphorisms that he is meant to remember for educational purposes. "Es ist die gewöhnlichste und schädlichste Täuschung, daß


man sich allzeit für den einzigen hält, der gewisse Dinge bemerkt." The one-liner could stand alone, but as a collection the proverbs are meant to show how Viktor, a possible ruler of the city-state in which he lives, is surrounded by mentor figures that provide him with the wise advice he needs to perform his duties. The section thus relates to the larger educational theme of the novel as a whole.

These aphorisms are part of the fabric of the novel, and relate thematically to its larger threads, but to comprehend them a reader must temporarily suspend his absorption in the plot in order to appreciate their meaning. Schumann himself appreciated aphorisms, collecting those of other writers in the Dichtergarten, where he amassed excerpts from his favourite writers on the subject of music. His most famous aphorisms are the "Musikalische Haus- und Lebensregeln" (traditionally translated as Rules for Young Musicians), which provide insight into his approach to musical pedagogy. They also shed light on his characteristic prose style. Here are two examples:

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57"It is the most common and most harmful of deceptions that a man thinks himself to be the only one that notices certain things." Jean Paul Friedrich Richter, Werke, Vol. 1, "Die unsichtbare Loge" and "Hesperus", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 665.

“Alles modische wird wieder unmodisch, und treibst du’s bis in das Alter, so wirst du ein Geck, den niemand achtet.”

“Von Sängern und Sängerinnen läßt sich manches lernen, doch glaube ihnen auch nicht alles.”

Schumann may have written eloquently about the “heavenly lengths” of both Schubert and Jean Paul, but he also appreciated their capacity for dense brevity. The Kinderszenen, in their self-contained innocence, illustrate in musical terms the spirit of the aphorism. They compress into a few phrases the world of experience that Schumann amassed during this decade of his life.

“Fast zu ernst” is a compelling example. Its five phrases last less than a minute in performance, but the piece contains many features of Schumann’s mature style. The opening phrase fills in the rising sixth that connects many of the movements motivically, both in the first measure and in the rise from G# to E in mm. 3-6. The melodic thirds that characterize the melody also echo this sixth. The phrase illustrates the subtlety of Schumann’s characteristic rhythmic displacements, and also modulates elegantly from g# minor to B major. The second phrase modulates again, this time to D# -minor. A retransitive phrase follows (mm. 17-21) and

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59 "All faddish things become unfashionable again, and if you cling to a fad until you grow old, you will be a fop, and no one will pay any attention to you." Robert Schumann, Gesammelte Schriften, 5th ed., ed. Martin Schoppe (Leipzig: Breitkopf & Härtel, 1914), vol. 2, p. 166.

suffices as a return to the opening, without further development; the piece is motivically unified to the point that no self-conscious development is necessary, foreshadowing the "developing variation" of Brahms. The final phrase (mm. 21-33), in its first incarnation, succinctly unites all three tonalities (g# minor, B major, and D#) while returning stylishly to the second phrase after the first ending. The piece's last cadence provides a satisfying conclusion simply by echoing the rising-sixth motive as a final gesture, without breaking the rhythmic or motivic continuity of the piece (mm. 34-38).

"Fast zu ernst", like all of *Kinderszenen*, exemplifies the stylistic mastery that Schumann had achieved by this point in his career as effectively as the longer movements in *Kreisleriana* or *Faschingsschwank aus Wien*. His rebellion against received tradition, as postulated by *Papillons* and *Carnaval*, was over, although his style certainly did not lack innovative qualities in the late 1830's. However, the unusual, digressive, defamiliarizing characteristics of his early style did not disappear in these later works, even though they were at times contained within a more clearly delineated formal framework. Probably they represent an intermediate stage between the footloose Schumann of "*Carnaval*" and the respectable, middle-aged composer of the Second and Third Symphonies.

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Admittedly, as Anthony Newcomb has pointed out, the Second Symphony is itself a paradigm of unusual narrative strategies.\textsuperscript{62} At any rate, the style of Jean Paul still provides useful points of comparison in attempting to grapple with Schumann's works of the late 1830's, and the composer's letter of 1839 to Simonin de Sire still extols Jean Paul:

"Kennen Sie nicht Jean Paul, unseren großen Schriftsteller? Von diesem hab' ich mehr Kontrapunkt gelernt als von meinem Musiklehrer."\textsuperscript{63}


Chapter 5: Schumann's and Jean Paul's Idyllic Vision

Schumann's sojourn in Vienna, beginning in the fall of 1838, and the months that followed his return to Leipzig in the spring of 1839 were dismal times for the composer.¹ In September 1837, he had proposed marriage to Clara Wieck, but her father had brutally rejected the proposal and forbade contact between the two. Wieck rushed Clara off on yet another extended concert tour, which included a long and very successful stay in Vienna. In an attempt to salvage his engagement despite Wieck's objections, Schumann planned to move himself and his music journal, the Neue Zeitschrift für Musik, to Vienna and to take Clara with him. In the fall of 1838, Schumann left Leipzig and began to explore musical life in the imperial city.

Schumann's hopes were quickly dashed. Although he made a number of musical friendships and immersed himself in Vienna's rich concert life, he failed to make much of an impression on the local artistic community. His attempt to re-establish the Neue Zeitschrift had to be aborted, as the Austrian censors, headed by one Count Joseph Sedlnitzky, insisted that Schumann would have to

adopt Austrian citizenship in order to be allowed to publish a periodical in Vienna.\(^2\)

He had also found Vienna a very unpromising environment for his musical ideas -- too conservative and fickle. Though concerts and operas were given in abundance, the choice of repertoire was too old-fashioned or faddish for Schumann's taste. As he wrote to Clara, "Man erschrickt vor der Flachheit, wie sie so ohne alles Urtheil Welt, Menschen und Kunst nehmen ... Wien ist ein Krähwinkel gegen Leipzig."\(^3\) Schumann harboured grave self-doubts and suffered from bouts of severe depression. To make matters worse, he was suddenly called away from Vienna in April 1839 with the news that his eldest brother, 40-year old Eduard, lay on his deathbed in Zwickau.\(^4\)

Schumann's musical output in 1838 reflects his turbulent emotional state. *Kreisleriana* evokes the unstable atmosphere of E. T. A. Hoffmann's Kapellmeister Johannes Kreisler, whose sanity is usually in some question. Kreisler's work habits involve a Schumannesque alternation between feverish labour and equally intense debauchery and lust. Other works of this period are also fraught with


\(^3\) "One recoils from the superficial way in which [the Viennese] react to the world, people, and art, with no sense of good judgment ... Vienna is a hole in the wall compared to Leipzig." Clara Schumann and Robert Schumann, *Briefwechsel: Kritische Gesamtausgabe, Vol. 1: 1831-1838*, ed. E. Weissweiler et al. (Basel: Stromfeld/Roter Stern, 1987), 331.

turmoil: the f minor and g minor sonatas, despite their conventional title and pretensions, both evoke a turbulent mood and test the boundaries of their formal structures, while the *Faschingsschwank aus Wien* brings a comic-ironic twist to this generally serious approach to musical style. A major exception to this trend is *Kinderszenen*, op. 15, which returns to memories and fantasies of childhood, not all of which are entirely benign. Even this work exhibits a gentle subversion similar to the tactics used in *Kreisleriana* and *Carnaval*; pieces often end ambiguously or are indeterminate tonally, and Schumann’s by-now-familiar elided phrases and ambiguous rhythmic patterns are everywhere in evidence.

The months in Vienna, however, brought a new or seemingly new side to Schumann’s output. After almost a decade of fragmented, multi-unit works (among which might also be counted the so-called Sonatas and *Fantasie*), he now produced three pieces in one long movement each (despite multiple headings in the score, the mini-movements in these works lack even the independence of character and structure found in the earlier cycles). The *Arabeske*, op. 18, *Blumenstück*, op. 19, and *Humoreske*, op. 20, are not complete departures from Schumann’s earlier style; indeed, in this chapter they will provide us with an opportunity to re-examine all of the techniques that we observed in his previous cycles. However, they contain their subversive aspects within a clearly delimited framework. Why would Schumann, whose whole musical personality appeared to be devoted to smashing the boundaries of artistic convention, now devote himself to purposeful limits and self-containment? Several possible answers present
themselves: these works represent the beginnings of Schumann's personal “neo-classicism” which was to fully manifest itself in the chamber music, concertos, and symphonies of the 1840's and 50's. Schumann, in an attempt to achieve respectability and to quell the envy he felt for his friends Mendelssohn and Liszt, turned to the favoured forms of Mozart, Beethoven, and Mendelssohn to achieve his aims. His efforts produced symphonies, string quartets, and other works designed to earn a solid reputation for himself as a musical craftsman. The *Arabeske, Blumenstück, and Humoreske* represent a halfway mark in this journey towards relative popularity and accessibility.

In a related effort, Schumann was also trying to prove that he was indeed a suitable husband for Clara, and started to write more “understandable” and popular pieces for piano as she had been urging for years.

Höre Robert, willst Du nicht auch einmal etwas Brillantes, leichtverständliches componieren, und Etwas das keine Überschriften hat, sonder ein ganzes zusammenhängendes Stück ist, nicht zu lang und nicht zu kurz? ich möchte so gerne Etwas von Dir haben öffentlich zu spielen, was für das Publikum ist. 6


6 "Listen, Robert, won't you compose something brilliant and easy to understand for once, something with no titles, one whole coherent piece, not too long and not too short? I would so love to have something of yours to play in public, something that's written for the audience." Clara Schumann and Robert Schumann, *Briefwechsel: Kritische Gesamtausgabe*, Vol. 2: 1839, ed. E. Weissweiler et al. (Basel: Stromfeld/Roter Stern, 1987), 469.
Opp. 18, 19, and 20 could well be a direct response to such a request, although only the *Arabeske* has attained the sort of ubiquity one might expect from such pieces. Carl Koßmaly, in a general review of Schumann’s piano compositions, praised the *Arabeske* and *Blumenstück* as melodious and enjoyable, if not particularly original.⁷

Racked by the desire for respectability and containment, Schumann certainly dreamed of an idyllic life with Clara, whether or not a stable income contributed to it. Writing of their future together, he asks:


Elsewhere he writes to his fiancée: "Haben wir uns nur einmal, dann wird es schon

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⁸ "Will my Clara’s tastes remain simple? Won’t she think sometimes: it would be nice if we had this or that? And will she want to hide this from me and make me sad? Poverty is bearable; one doesn’t have to be ashamed of accepting gifts. But to maintain and not exceed a certain middle status, where one just makes ends meet and can’t ask for the help of others, is almost harder than living day to day on what one has just earned. I think about this often." Clara and Robert Schumann, *Briefwechsel: Kritische Gesamtausgabe*, Vol. 1: 1831-1838, ed. E. Weissweiler et al. (Basel: Stromfeld/Roter Stern, 1987), 272-273.
These three works, the Arabeske, Blumenstück, and Humoreske, ideally mirror Schumann’s longing for a simple, contented existence. They all combine idyllic self-containment with subversion, defamiliarization, intertextuality, and other forms of self-reflexivity observed in the earlier cycles; thus, they parallel the competing drives toward rebellion and compliance that are apparent in Schumann’s behaviour.

Not surprisingly, there is a clear model in the works of Jean Paul for this idyllic turn in Schumann’s oeuvre. During Jean Paul’s lifetime, and for many decades afterwards, some of his most popular works were, understandably, the shorter ones, which could be contained within a few reading sessions. However, these “idylls” became so symbolic of Jean Paul to later readers, particularly post-Bismarck readers, that he was stereotyped as a fantasist who spent too much time dreaming of unrealizable bucolic ideals. This view represents a superficial judgment which glosses over the immense subtlety and oddity of Jean Paul’s style, just as the view of Schumann or Chopin as miniaturists glosses over most of their stylistic innovations. It does contain a grain of truth, and it is in the idyllic Jean Paul

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9 "Once we have each other the world will be bearable." Clara Schumann and Robert Schumann, Briefwechsel: Kritische Gesamtausgabe, Vol. 1: 1831-1838, ed. E. Weissweiler et al. (Basel: Stromfeld/Roter Stern, 1987), 311.

of these shorter works that we can find the clearest literary parallels to Schumann's three one-movement works of 1839.

Jean Paul's idylls came at the high point of a centuries-old literary tradition. The idyll appears in Western literature with Theocritus, a Greek poet of the third century B.C., and reaches its classical nexus with Virgil's *Eclogues*. Many of the key characteristics of the genre are already defined here: a pleasant pastoral setting, or *locus amoenus*; a limited, straightforward plot or no plot at all, emphasizing scenery and uncomplicated character interaction rather than dramatic dialogue; an extended poetic framework. With the exaltation of Classical literature in the sixteenth century, the idyllic poetry of Theocritus and Virgil became a touchstone for modern writers. The Renaissance pastoral preserved the bucolic setting and severely limited expressive framework of the Classical models: Giovanni Battista Guarini comes to mind as a leading exponent. French and German litterati of the seventeenth century, such as Martin Opitz, were inclined to use the idyll as an opportunity for didacticism and allegory.

With the dawn of the Enlightenment came a reaction against unadulterated

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nostalgia and artificiality in the genre. Johann Christoph Gottsched, among others, attacked the idyll as a dangerous trend which emphasized unreality.\(^{13}\) His influence as a critic and the general tenor of the times resulted in a newly streamlined version of the idyll in the German-speaking lands. Foremost among the mid-eighteenth-century proponents of the idyll was the Swiss writer Salomon Geßner, whose Hirtenidyllen of 1756 achieved enormous popularity.\(^{14}\) These short, bucolic prose scenes were set in antiquity, still displayed Rococo ornamentation, and were dismissed as boring trivia by some contemporary critics. A response to Geßner's style was Johann Heinrich Voß's Luise, the first important modern idyll of the eighteenth century. Its setting was contemporary and thus more realistic than Geßner's nostalgic poems, yet country life was still depicted here without the grinding poverty and illness that generally characterized the life of a real German peasant.\(^{15}\)

Goethe, Schiller, and Herder recognized that this whitewashed aesthetic was essential to the idyll as a genre. Rather than transforming it into a realistic mode of social criticism, the Weimar classicists used the idyll as a model for an ideal


existence, a compromise solution to the real problems of life in late eighteenth-century Germany. Goethe's *Hermann und Dorothea* (1798) put these ideas into literary practice. Labelled "idyllisches Epos", this extended verse epic combined the bucolic setting and restricted action of the classical and rococo idyll with realistic bourgeois details and dialogue. Schiller would have called this a "sentimental" work\(^\text{16}\): its readers are aware of its artificiality, but they accept it as a model of what their existence might ideally become if they were to live according to Enlightenment principles. Though the harsh criticism of Hegel and others forced the idyll out of the spotlight in the nineteenth century, its vogue produced works that have achieved canonic status.\(^\text{17}\)

At the margin of the German literary canon, but at the centre of its author's output, stand Jean Paul's works in the idyllic tradition. Long enough to be novels, but far shorter than Jean Paul's main works in that genre, his idylls reflect not only his generally idiosyncratic aesthetic sense, but also a specific notion of the idyll's purpose and character. The *Vorschule der Ästhetik* spells this notion out in Jean Paul's typical mode of clear yet idiosyncratic expression. His basic definition of the idyll as a genre runs as follows: "[eine] epische Darstellung des Vollglücks in der


\(^{17}\)For Hegel's criticism, see Renate Böschenstein, *Idyll* (Stuttgart: Metzler, 1967), 14.
By “epic” he means not excessive length or a particularly broad canvas; rather, he uses the term to indicate a clearly narrative or novelistic presentation. “Vollglück” is a relatively attainable state which can be achieved despite multiple levels of “Beschränkung” (limitation). It does not require wealth, worldly knowledge, nor sophisticated urban life, -- “Gewalt der grossen Staatsräder” in Jean Paul’s memorable phrase -- or elevated class status; nor does it have as a prerequisite the idealized life of Geßner’s shepherds. Indeed, Beschränkung applies not only to the life circumstances of the principal characters in the idyll, but also to the length and scope of the narrative work itself.

Jean Paul defines his own idylls as closest to the Dutch stream (“niederländisch”) in terms of his national system of generic classification. A high-flown, idealistic work such as Titan is “italienisch”, while a work like Flegeljahre that features


middle-class, everyday characters and a healthy satirical component Jean Paul classifies as “deutsch”.22 “Niederländisch”, a term possibly meant to conjure the healthy bawdiness of Hieronymus Bosch, designates works in which satire and buffoonery -- albeit in gentle guises -- are central thematic elements.23 None of Jean Paul's major novels fall into this category, though some secondary episodes, often presented in digressions or prefaces, display its characteristics. His idylls, though, probably inspired Jean Paul's invention of the term “niederländisch”, with their endearingly inept heroes and bucolic surroundings.

Generically the Jean-Paulian idyll, since it is neither a novel nor a miniature form, is an offshoot or close relative of longer narratives. Jean Paul mentions the term “Nebenzweig” (neighbouring branch or offshoot) and immediately goes even further, dismissing "Nebenzweig" and substituting "Nebenblüte" (neighbouring blossom).24 However, as Johannes Krogoll points out, idyllic elements are not restricted to independent narratives, but can be found within the major novels as


well: Viktor's village in *Hesperus* is quintessentially idyllic.\(^{25}\)

In their insistence on the sufficiency of the ordinary, Jean Paul's idylls display something akin to a Biedermeier spirit.\(^{26}\) This bourgeois contentedness irritated the realist novelist Gottfried Keller, according to Georg Lukács.\(^{27}\) However, groundedness and satire are not their only moods. Angels and other "impossible objects" (to use Lawrence Kramer's phrase)\(^{28}\) must be permissible as well, and dream sequences or scenes in which the characters approach Jean Paul's elusive "zweite Welt" -- the heaven on earth attained by enraptured lovers or religious devotees -- occur regularly in the idylls. This unusual combination of earthiness

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and spirituality left its mark on nineteenth-century conceptions of the genre.\textsuperscript{29} Jean Paul was actively concerned with the classical aesthetic of balance and Voltairean contentment with the status quo in his idylls; what could be further from the ideals of the Jena Romantics?

One reason for the popularity of Jean Paul's idylls with contemporary readers may have been their comparative brevity. Jean Paul's novels are, in general, dauntingly long and extremely dense linguistically, and although the idylls conform, on the whole, to their author's prose style, they hold to his idyllic principle of \textit{Beschränkung}. \textit{Leben des vergnügten Schulmeisterlein Maria Wuz in Auenthal} (to be referred to as \textit{Maria Wuz}) and \textit{Leben des Quintus Fixlein} (\textit{Quintus Fixlein}) consistently demonstrate this principle. There are several other idyllic works, including \textit{Leben Fibels} and \textit{Dr. Katzenberger's Badereise}, but these two, \textit{Maria Wuz} and \textit{Quintus Fixlein}, have a number of characteristics that set them apart: they are related intertextually to the major novels, in the case of \textit{Maria Wuz} published together with them, and Schumann's edition of Jean Paul's works shows that the composer was familiar with these two works in particular.\textsuperscript{30}

Both Maria Wuz and Quintus Fixlein are typical "niederländisch" \textit{idyll} heroes. They are extraordinary in their very ordinariness. Their livelihood comes from extremely

\textsuperscript{29}Helmut J. Schneider, ed., \textit{Deutsche Idyllentheorien im 18. Jahrhundert}, Deutsche TextBibliothek 1 (Tübingen: Gunter Narr Verlag, 1988), 203.

\textsuperscript{30}Information gathered during the author's visit to Zwickau in 1995.
poorly-paid civil service positions, in the clergy or in education, such as Jean Paul himself held during his salad days as a copious producer of bitter satires. Ambition is not foremost among their personal traits; they wish only for a roof over their heads, a family, marriage, and a position well-paid enough to allow them to pursue their scholarly studies. These are eccentric, to say the least. Maria Wuz is too poor to afford to buy the important books of the day; all he knows of them is their titles, which he learns from trade-fair catalogues. Wuz's solution is to write books which bear the same titles, such as his Confessions, *pace* Rousseau.31 The result is an impressive-looking library authored entirely by its owner. Fixlein, on the other hand, is devoted to Biblical minutiae such as the numbers of vowels and consonants in any given canonical book; he also studies typographical errors in other books that he encounters.32 These idyllic heroes pursue their scholarly quests with unequalled zeal and industry. It is easy to trace the influence of Jean Paul's *Essigfabrik* days on these characters; vain scholarly effort had always lent itself well to his lampooning. The repetitive, insane efforts of Wuz and Fixlein find their counterparts in Schumann's "idyllic" piano pieces.

Though Wuz and Fixlein represent a similar character type, however, their lives take differing courses. Not all that much happens to Maria Wuz; his life is like a


long, tranquil poetic scene. His attitude exemplifies Jean Paul's idyllic mode: no matter what happens during the day, Wuz is always able to curl up in bed at night and forget his troubles.\textsuperscript{33} Childhood objects provide him with comfort and security, as they do for Fixlein, who has saved all his toys from his younger days.\textsuperscript{34} At times, Wuz is able to transcend his meagre surroundings and experience nature and love on a level comparable to the heroes of the great novels, like Viktor and Albano. The "zweite Welt" finds a place in Wuz's life, however limited.\textsuperscript{35} In this sense he personifies "Vollglück in der Beschränkung". Although he experiences only a fraction of the kind of life led by a heroic figure like Albano, his range of emotional experience is, in the end, just as wide.

Fixlein also has his share of limited idyllic moments, but his life is considerably more eventful than Wuz's. The Novelle -- it is over 200 pages long -- describes his struggle to obtain the position of pastor in his tiny hometown, Hukelum. Only after he has attained it will he be permitted to marry his beloved Thiennette and start a family. By mistake, he is awarded a far more important position in the court centre of Flachsenfingen, also the scene of much of \textit{Titan}, but he yearns to return home.


A certain Hans von Füchslein (note the pronunciation) is also in contention for the Hukelum pastorate; the Füchslein/Fixlein confusion results in the fulfillment of Quintus Fixlein's dream. His marriage and fatherhood follow soon afterward.

Fixlein's life is complicated by two strange situations. Firstly, he is haunted by the superstition that he will die at age 32, as his father and brother did. Since he does not know his exact birthdate, he goes through mortal terror once every year, but always survives. Incidentally, Fixlein receives a job in Flachsenfingen earlier in the Novelle because the authorities there also believe he could die any minute and are thus relieved of any responsibility for him. Secondly, he is pursued by a certain Jean Paul, who wants to write his biography. Eventually Jean Paul becomes his closest friend and godfather to his first child, little Jean Paul Fixlein.


Naturally, this conceit presents the author with numerous opportunities for solipsism and self-referentiality. Throughout the work, Jean Paul insists that Fixlein really existed and that his work is a factual biography. Fixlein’s visions of death closely resemble Jean Paul’s famous experience of his own mortality (the “letter of Nov. 15”) 42, and his mother plays as important a part in the novel as Jean Paul’s did in his own life. The connection between the author, the “author”, and the work’s hero is seamless.

Clearly, then, self-referentiality and intertextuality are central to the basic plots of both idylls. 43 Their structure, too, is determined by intertextual concerns. Fixlein is organized into mini-chapters dubbed “Zettelkästen” or note-files, which were Jean Paul’s personal method of organizing his ideas and quotations. Jean Paul promises in Quintus Fixlein to “tell [the reader] ... in this book ... what a Zettelkasten is” (“Beiläufig, wie ich zu allem diesen gekommen bin, was Zettelkästen sind ... das soll ... überliefert werden, und das noch in diesem Buche.”) 44 Indeed, Jean Paul, as a character in Quintus Fixlein, appears more fully developed than Fixlein himself. His role as biographer and benefactor of Fixlein is crucial to the plot, but

42 Timothy J. Casey, ed., Jean Paul: A Reader (Baltimore: Johns Hopkins University Press, 1992)


his musings as omniscient author provide much of the idyll's interest to literary scholars. The "Geschichte meiner Vorrede zum Quintus Fixleirf", or "History of my Preface ..." appears in lieu of an introduction to the second edition, and explains in intricate detail just why Jean Paul was unable to complete his planned preface.45
The preface is itself interrupted by the appearance of Fraischdörfer, an annoying art critic who would later become the personification of aesthetic Philistinism in Titan. Fraischdörfer thwarts Jean Paul's concentration on his preface at every turn, taking the opportunity to debunk his creator's artistic attitudes as rubbish.46 As it turns out, both Fraischdörfer and Jean Paul are in hot pursuit of Pauline, an attractive young woman who is also present in the preface to the later Siebenkäs. Thus, the "History of my Preface" turns out to be both an exposition and an example of Jean Paul's brand of intertextuality and digressive narration.

Later sections of the idyll also shed light on Jean Paul's narrative practices. The "Lebensregeln" set out in the final chapter of the work read like an idyllic credo:

"Kleine Freuden laben wie Hausbrot immer ohne Ekel, große wie Zuckerbrot zeitig mit Ekel." 47


“Jede Minute, Mensch, sei dir ein volles Leben!” 48

“Verachte das Leben, um es zu genießen.” 49

Jean Paul purportedly learns these rules of life from the Quintus himself, who teaches them to his parish children both verbally and by example. Yet Fixlein does not exist solely on this humble plane of existence; his visions of his own death are thematically linked to Jean Paul’s famous revelatory moment of 15 November 1790, the day when he first realized his mortality and poured out his thoughts in a visionary essay.50 The Leben des Quintus Fixlein ends with a “zweite Welt” moment in which Jean Paul, reflecting on the humble yet exalted life of the Hukelum pastor, experiences the simple joy of the “Äols-Harfe der Schöpfung” in the palace gardens near Fixlein’s village, and wishes for a similar peace in the rest of the world -- particularly Paris, which is suffering the ravages of revolution:

48 "O man, let every minute be a full life to you!"  Ibid.

49 "Despise life in order to enjoy it."  Ibid.

"Ach, blutiger Krieg, weiche wie der rötliche Mars, und, stiller Friede, komme wie der milde zerteilte Mond!"51

As restricted as the idyll is in length and subject matter, in Jean Paul's hands it retains a paradoxical universality. The physical isolation of Quintus Fixlein and his cohorts does not prevent Jean Paul from realizing their spiritual connection with much of the rest of his world. Wuz and Fixlein are thus characteristically Romantic in their fragmented openness to multiple interpretations, but remain philosophically akin to aufklärerisch and Biedermeier notions of "Vollglück in der Beschränkung" -- full contentment within limits.

Schumann's Arabeske, op. 18, is perhaps the most straightforward example of Jean Paul's idyllic mode in musical manifestation. Though there is no evidence that Schumann directly connected the Arabeske to any of Jean Paul's works, its title has Jean-Paulian associations. Friedrich Schlegel, in a well-known essay, adopted the term "Arabeske" as symptomatic of a new Romantic approach to structure and genre.52 An arabesque, in Schlegel's estimation, is that most


Jean-Paulian of literary devices: a digression. Through the arabesque, a system of fragments can be perceived holistically, and an organic structure supersedes the artificially rigid strictures of Baroque and Classical theory. Daverio calls the arabesque a “deliberately planned moment of negativity in modern art.”

But Jean Paul, according to Schlegel, goes much too far even for the Jena Romantics. Schlegel calls Jean Paul’s digressions “leaden arabesques in the Nuremberg style”. Indeed, both Maria Wuz and Fixlein, works occupying hundreds of pages, can be seen as arabesques, since they are intertextually linked to larger works (Hesperus and Titan). Thus Schumann, in adopting the title Arabeske, implies that his work is fundamentally digressive from something larger.

Daverio uses the arabesque concept brilliantly in his analysis of the C major fantasy, op. 17, but dismisses the Arabeske itself:

It is worth pointing out that Schumann’s own Arabeske, Opus 18 is a delightful but slight work whose simple ABACA rondo form knows nothing of the asymmetry of the Schlegelian Arabeske.


There is more to this “slight” work than might appear evident at first glance; though its simple, repetitive mode of expression seems to place it close to the realm of salon music, its structural features, both on a small and large scale, betray a close kinship with Schumann’s more self-consciously eccentric works -- and thus also with Jean Paul.

The opening bars of the Arabeske suggest a lightweight salon atmosphere with their regular phrase lengths, uncomplicated texture and simple broken-chord accompaniment.

Example 5-1: Schumann, Arabeske, mm. 1-4.

Unlike much of Schumann’s piano music, there is a clear cantabile melody that only rarely confuses itself with the accompaniment. But there is more to this
opening than its idyllic surface. For one thing, the opening chord of the piece is a second inversion dominant seventh chord, a sonority that rarely appears unprepared in nineteenth-century Western music. This odd opening chord occurs on the weak beat of the bar, and although it helps to prepare the general C major simplicity of the work’s tonality, it is initially unsuccessful: the piece is in d minor by measure 3. Similarly, it is the dissonant appoggiaturas in the placid melody that are emphasized more than their resolutions, and the first section of the piece ends inconclusively on a G (^5) tied over from the preceding measure. Though the supporting harmony is that of a perfect cadence, this stability lasts only a moment as an abrupt harmonic shift to e minor takes place.

Example 5-2: Arabeske, mm. 15-19

The minor sonority is only a stepping stone en route to the dominant, but combined with the unusual rhythmic and melodic profile of the opening, its emergence is striking. The topos of this opening is indeed placid, even idyllic, but the idyll’s limits are apparent from the start.
The piece continues with a new section labelled “Minore I”, a designation suggesting the norms of the Classical theme-and-variation genre. “Minore” suggests the expected, an amateur whiling away the hours by sight reading variations by Mozart or Beethoven, likely to be caught off guard by a key signature change. The simplicity of the section’s rhythmic profile and the mini-ABA structure also promise more of the same. But the subtle transformation of the opening theme -- compare measures 41-42 with measures 16-19 -- carries with it an essential redefinition: the new version of the theme suggests a division between two voices.

Example 5-3: Arabeske, mm. 41-48

The voice leading becomes even more complicated at m. 65, where the harmony shifts toward G major. Where the opening phrase’s part-writing had been defined by the octave doubling of the melody, here the distinction between melody and accompaniment is far less clear. At m. 67, the doubled tenor voice shifts first to a simple homophonic accompaniment, then suddenly to an echoing countermelody at m. 68. The changes are so subtle as to be easily glossed over on casual
hearing or playing, but they are there, nonetheless, just as Jean Paul's digressions and self-reflexivities exist within his much-maligned idyllic novellas.

If we continue to look for the expected in this section, we will seek out a return to the e-minor contrasting theme -- and we will find it, but not before Schumann has presented it in a-minor, at m. 73. Here the theme, a sort of subdominant recapitulation à la Schubert, serves as transition back to the main theme -- a structural conceit perhaps out of proportion to the scale of the section, involving a Neapolitan pivot chord that shifts upward by a semitone to lead back to the original key (mm. 79-80). A three-measure crescendo heralds the main theme, now presented in fortissimo as if it were the recapitulation of the opening movement of Beethoven's ninth symphony. Jean Paul's apostrophes to Wuz and Fixlein are on a similarly lopsided scale: both artists realize that their work will be taken lightly, and their self-conscious rhetoric provides an eccentric interest that takes the works beyond the realm of the trivial.
Finally, instead of the expected cadence in e minor -- this theme has never come to a full cadence in any of its repetitions -- Schumann slips into a parallel realm. The D# leading tone in m. 88 is reinterpreted as an E-flat, the seventh of a chord implying the key of B-flat, a tritone away. The new melodic idea here is the falling five-note motive\textsuperscript{56} that is predominant in the first movement of Schumann's

\footnote{56}Eric Sams's "Clara-theme"; see Eric Sams, \textit{The Songs of Robert Schumann} (London: Methuen, 1969) for his somewhat eccentric theories on Schummann's use of musical ciphers.
C-major Fantasy. The dynamic falls to piano, and Schumann directs the performer to slow the pace every few measures. The new idea is repeated a half-tone lower -- in a minor, a key related to the earlier part of the section -- but still seems part of an entirely different world. At m. 97, a variation on this new idea leads toward g minor, but is abruptly repeated on the Neapolitan chord of the main key of the work, C major. Hidden in this dreamlike passage are references to the main rhythmic motive of the piece’s opening theme, at mm. 91, 95 (in the melody), 99 and 103 (in the bass). The combination of the five-note descending theme, the otherness of the harmony, the dynamic and textural change, and the strange tempo directions forms a distinctive topos that has occurred several times before in Schumann’s music. In Carnaval, Kreisleriana, Faschingsschwank aus Wien, Kinderszenen, and several other works, Schumann uses this topos as a reflective/reflexive moment of distance from the often overwrought emotional positioning of the bulk of a piece. A work of this “slightness” should not require such an intensive point of transition -- yet Schumann provides it, and the rondo-like return to the main theme at 104-105 seems transformed by its intensity.

Indeed, several questions are raised by the exact repetition of the refrain at this point. Why does Schumann choose to repeat the entire 35-measure opening section without any change even in dynamic or tempo indication? It is not like

57See chapter 4 for references.
Schumann to indulge in complete repetitions simply for reasons of formal or structural balance. In *Kreisleriana*, there are rondo-like structures where the repetitions are marked, even disfigured, by what precedes them. Nor does his music lend itself well to exact repetition stylistically; it is so laden with digression and surprise that its repetition, in some cases, would seem to miss the point. In Beethoven's *Leonore no. 3* overture, if the magic trumpet call had been the transition to the second theme group in the exposition and was recapitulated in a different key later on, the piece would sound silly. How much more difficult is it to hear Schumann's solipsisms twice?

It is the idyllic philosophy behind the *Arabeske* that makes its exact repetitions tolerable. Just as Wuz is able to curl up in bed the same way every night regardless of what strange things occur during the day, so the *Arabeske* can repeat its main, lulling theme multiple times despite weird, questioning transitions like the one at mm. 89-104. Perhaps it is this transition that makes possible the coexistence of the Minore I, with its minor mode, perpetual motion, and heavy accentuation, with the C-major refrain. In any case, by the time the refrain closes for a second time at m. 140, a balance has been achieved that goes beyond the simple notion of ABACA... form. The disjunctions within the refrain, more obvious on first than on second hearing, have themselves been balanced by the more potent ones in the Minore I and its retransition.
Once this balance has been achieved, the appearance of the "Minore II" section resembles a déjà vu experience. The heading "Minore II" suggests both the drearily expected and the subtly new. Though "Minore" had been a common designation in Classical *teme con variazioni*, "Minore II" is Schumann's invention, reminiscent of Jean Paul's tendency to invent conventional formal designations. Certainly the twist is borne out in the music.

Example 5-5: *Arabeske*, mm. 145-154

A change in tempo is expected here, but probably not an "etwas langsamer". Incidentally, many interpreters try to play this section faster than the previous one. The iambic anacrusis, so familiar from the refrain, reappears here, but as in the transition after the Minore I, it is divorced from its original melodic context.

The syncopated melody that follows has a certain rhythmic consistency with the one that begins in m. 89. The main difference is that the anacrustic figure retains
its introductory function here, perhaps in a more normally introductory manner than in its original, slightly offbeat appearance at the opening of the work. Schumann’s dynamic markings, however, offset this normalization, offering an anacrusis played forte while the melody proper occurs in subito piano. Again the combination of normalcy and disjunctiveness is striking.

The second half of this short section begins with a recognizably consequent figure, but there is a tonal shift to F major, and the syncopated melody this time takes second place to the sequential walking bass, which concludes the section in e minor. Like the Minore I, the Minore II ends with a repetition of its initial phrase in the new key, but this conclusion is even less ceremonious than the last; after a pause on the final e-minor chord, in which the final sounded note is an almost misplaced-sounding sixteenth, the refrain simply begins again. This time the repetition of the refrain sounds almost obsessive; the Minore II’s 22 measures are overbalanced by the refrain’s 40. As Wuz and Fixlein labour intensively to maintain their idyllic poverty -- Wuz at creating the impressive library, Fixlein at his study of the Biblical errors -- so the Arabeske labours to achieve rondo-like balance and, rather attractively, fails.

This lovely, unbalanced piece ends with a self-reflexive digression. To close ("Zum Schluß"), Schumann adopts a new tempo and a poignant harmony based on a supertonic seventh chord.
The syncopated melodies of the Minore I and II sections find a sort of apotheosis here, as they are fragmented and reduced to their minimum terms. But the appoggiatura e-d, repeated and embellished throughout the section, also ruminates on the initial anacrustic figure of the piece. After the in medias res beginning, so unstable harmonically, the first root position chord of the section is heard at m. 217: a d-minor chord clearly on its way to some other key. As the harmony works itself out, the initial anacrusis reappears one last time, and the piece comes to a satisfyingly idyllic conclusion. This fragmented yet peaceful closing section is encoded as self-reflexive not only by its sidewarding relationship to the rest of the piece, but also by the rhetorical turn-and-triplet figure in m. 214.
This is a near quote from “Der Dichter spricht” in *Kinderzagen*, quoted also in #4 of *Kreisleriana*, the famous postlude to *Dichterliebe* and very similar to the septuplet figure in “Eusebius” from *Carnaval*.

*Example 5-7:* *Kinderzagen*, “Der Dichter spricht”, mm. 1-8; *Kreisleriana*, no. 4, mm. 1-2; *Dichterliebe*, song 16, postlude.

Thus the *Arabeske* ends with an arabesque of its own, and as Jean Paul takes care to entwine his idylls with his novels, deliberately making his artistic presence felt through allusion, so Schumann interweaves this “lightweight” piece with his whole *œuvre*. 
The *Blumenstück*, op. 19, is usually classed with the *Arabeske* as one of these more lightweight works. Yet it, too, displays a subtle level or levels of digression and defamiliarization that make it possibly more interesting than it appears on the surface. For Jean Paul readers, the title *Blumenstück* is an important clue. The subtitle of Jean Paul's novel *Siebenkäs* is "*Blumen-, Frucht- und Dornenstücke*", which sets up the novel as a series of episodes from the protagonist's life, of varying emotional colour depending on their status as "flower", "fruit" or "thorn-pieces". "*Blumenstück*" is also used by Jean Paul to designate a digressive subsection in the novel, one of those meditative episodes that usually has some connecting tissue in common with the main work. One of these is perhaps the most famous digression in Jean Paul, the "*Rede des toten Christus*". Thus the term "*Blumenstück*" is a near-synonym for "*Arabeske*": a digression that has elucidatory status for the rest of the work, often with self-reflexive or authorial overtones.
The overall structure of the *Blumenstück*, too, connects it to the *Arabeske*. It, too, is rondo-like, but its relationship to traditional rondo form is more oblique than that of the *Arabeske*. Both pieces are constructed in a modular fashion, with each subsection partaking of a neat rounded binary or ternary form. Whereas Op. 18 has a clear opening refrain section which returns several times, the refrain of op. 19 is not its opening section, but the second one. The opening section is in the tonic key, D flat major, but the actual refrain, both in its initial and recurring appearances, is in the dominant. Thus the *Blumenstück* is somewhat off-balance from the start.

Example 5-8: Schumann, *Blumenstück*, op. 19, mm. 1-8

The opening of Jean Paul's first novel, *Die unsichtbare Loge*, is also deceptive. It is a lengthy description of the meeting of Ernestine and the Rittmeister, whose destiny as husband and wife is settled by a game of chess. The two opening
chapters are devoted to these two characters, who turn out to be the parents of the novel's protagonist Gustav and are scarcely heard from again. Yet Jean Paul makes his readers very comfortable with the pair, and an entirely different novel centring on these two characters might well have followed the first pages. Similarly, in the Blumenstück, section I might have served as the basis for an entire composition, but plays a secondary role as it stands.

As the piece continues, new sections, keys, and melodies are introduced, but the whole is connected by a tissue of intratextual references that mark the work as typical 1830's Schumann, despite its comparative harmonic and textural simplicity. Thus the Blumenstück, like the Arabeske, combines the idyllic topos -- repetitive, lulling accompaniments, simple cantabile melodies, and harmonic straightforwardness -- with the disjunctive touches that keep the listener engaged.

The first section of the piece serves as a topical model for the rest. It would be easy to transform the homophonic opening into a song, which would then resemble many of the folklike melodies in Schumann's own song cycles, opp. 24 and 25. The only hint of digression in this section comes at mm. 13-14, where the intention seems to be to modulate back to Db from b flat minor, but the process is interrupted on a dominant chord. This phrase also disrupts a largely four-square phrasal structure, and establishes the notion of subtle digression from an idyllic

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environment. The topos continues in the second section, which proves later to be the refrain of this rondo-like structure. Again, periodic phrases are the norm, and the attractive melody is related to its predecessor by their shared use of descending tetrachords. But the slight instability in mm. 13-14 of section I takes a larger role here. Second beats (m. 25) and anacruses (mm. 27 ff.) are often accented, and an extra phrase with an implied turn to f minor is inserted at m. 30. More seriously, the melody's repetition in E major at mm. 33-36 threatens to dissolve altogether into the accompanimental texture, creating an interesting voicing challenge for the pianist. Every other bar, the melody simply vanishes like the Cheshire Cat in *Alice in Wonderland*, leaving only the syncopated accompaniment as a trace.

![Example 5-9: Blumenstück, mm. 33-34](image)

The dissolution is averted through a chromatic pivot tone (D) at the end of measure 36, which leads to a chromatic sequential modulation back to A-flat. This technique is not unlike the chromatic shifts that permeated *Carnaval*, and, like them, resembles Jean Paul's frequent sideslips into solipsism or self-revelation, often demarcated by *Gedankenstriche*. However, a repetition of the main theme of
the section restores the idyllic atmosphere, and a short coda which will reappear at the end of the work rounds off this slightly unbalanced rounded binary structure.

In the third section, the unmitigated regularity of the accompaniment continues, and the exactitude of the mini-ternary form is complete. Here again, the disjunctions are subtle: the main theme of the section is a chromatic cadential figure, and the consequent phrase, not the antecedent, contains a truly melodic idea. In the second half of the double period, the cadential phrase is inverted. The B section of III is unbalanced with the outer sections due to its brevity, but makes up for this asymmetry in topical interest. It is a statement of the first melodic idea of the preceding section (II) that takes three measures to get past the first two notes: a bit of a musical stutter.

Example 5-10: *Blumenstück*, mm. 43-46

The energy required for the theme to get off the ground seems to exhaust itself, and there is a ritardando marked at the theme proper. This brief twist on the notion of a contrasting theme is reminiscent of the troubles Jean Paul has in writing his *Vorrede* to *Quintus Fixlein*; rather than actually publish the *Vorrede*, Jean Paul
narrates, at great length, his troubles in getting started, his distractions (a beautiful woman and an annoying art critic, who turns out to be Fraischdörfer from *Titan*), and the scenery he encounters on the short Franconian journey that he had intended as a working voyage.\(^{59}\) Like this “history of a preface”, section III’s stutter replacing a B section is a humourous stand-in for an expected formal component.

As if to balance this non-B section, Section II itself makes a partial return following section III. Like a minuet and trio, it returns without repeats, but the minuet-and-trio reference is purely abstract; there is no dance-like character, no simple ternary form, and the repeat of II occurs within a larger, indeterminate formal context. However, the topos and character of the idyll are maintained.

Like section III, section IV begins with harmonic instability, but also returns to the purported main key of the piece, D flat major. The theme of section I makes its only repeat appearance here, and is hidden in the tenor countermelody. Thus the expected dominance of section I in a pseudo-rondo form is again teasingly alluded to. The section is in a clear rounded binary form, and the retransition at mm. 85-88 continues the disjunctions by emphasizing anacrustic beats with ritardando markings and by eliding both the dominant and tonic chords that one would expect at a retransition.

Similarly, Jean Paul's idylls lack key elements expected at crisis points: Quintus Fixlein and Thiennette, for example, never really attain the moments of ecstasy common with Jean Paul's new lovers, and the birth of their child seems secondary to Jean Paul's own appearance in the story as the child's godfather. The section ends with a transition into the next section, which itself is interrupted: the dominant chord of D flat major is celebrated with a ritardando, a crescendo, and a new melodic figure, but section V begins not with the tonic chord but with the dominant chord of yet another key, e flat minor. Thus the idyllic opening section is transformed into a locus of unstable elements -- tonal, melodic, and textural.
Section V is geographically, and in a sense spiritually, the centre of the piece, and this centre is very unstable indeed. It plays on the opening leap in the piece's main melody, transforming it from a conventional fourth into a wider, wilder minor seventh. The melody appears only on offbeats, blurring its appearance into the general texture. In the third phrase of the section, at m. 101, the accompanimental figure with which the melody is blended appears in an inverted form, takes complete precedence over that melody, and begins to migrate across the keyboard, necessitating some awkward hand-crossings for the pianist. The inverted accompaniment is rudely interrupted by forte and fortissimo repetitions of the section's opening phrase; here, as in a corresponding passage in Carnaval, only a transparently artificial formal gesture seems to keep the section from wandering off into the netherworld. Jean Paul often cuts his digressions off with a personalized interjection: "Aber zurück zur Geschichte!"\(^{60}\) and Schumann's loud interruptions at the anacruses of mm. 103 and 107 serve a similar function.

The instability of section V is answered by a repetition of the refrain (section II, part I) which reflects that instability through its minor mode and lack of a clear final cadence. In this piece the refrain's repetitions are unpredictable, and now the key, mode, and length of the repetitions have also changed, leaving the rondo form an almost vestigial presence in the work. However, the lulling accompaniment and

thematic interrelationships continue here, so that the idyllic sameness of the piece is maintained. An exact repetition of section IV follows, continuing the pattern of sameness and accomplishing the final transition to the tonic key, ensuring a tonally satisfying ending. Yet section IV itself is based almost entirely on transitory elements such as dominant and secondary dominant chords and tonic pedals, so that it seems almost perverse to repeat it for the sake of structural stability. Nonetheless, stability is what the repetition paradoxically achieves, and the second appearance of section IV leads seamlessly into the final, tonic-key appearance of the refrain (section II).

The forte dynamic and intensified keyboard texture of this final repetition give it a mock-pompous quality, as in "Wichtige Begebenheit" in Kinderszenen or the opening of Carnaval. This quality has appeared many times in both Jean Paul's and Schumann's work. In a self-consciously idyllic piece, a pompous ending has a comic quality brought about by its incongruence with the preceding sections. Schumann emphasizes the incongruity, but avoids the pall of a comic ending by adding a short, reflective coda. This passage finally repeats part of the second half of section II, the part that has been ignored so far in the piece's network of allusion, a frequent occurrence for readers of Jean Paul. The two melodic fragments from section II reduce the dynamic, temporal, and textural intensity of the pompous final refrain and underline the subtle level of digression that has persisted throughout the piece. Jean Paul's final comments in Quintus Fixlein present a close parallel with these final measures. He reflects to himself on
the events of the idyll and alludes subtly to the French Revolution as the starkest possible contrast with Fixlein's life, which happens in the Revolution's shadow but betrays no knowledge of it. Schumann's soft repetitions of phrases from the refrain suggest a self-reflexive reference to the piece's idyllic, tuneful nature. The Blumenstück, like the Arabeske, has no pretensions to grandeur, other than passing comic ones, but it is crucially affected by the fragmentation and defamiliarization that have now permeated the composer's style since Papillons.

The Humoreske, on the other hand, is equal in length to Schumann's longest piano cycles. Nonetheless, there are several reasons to categorize it alongside the much shorter Arabeske and Blumenstück: unlike long cycles like Kreisleriana and Fantasiestücke, it is tonally unified; Schumann did not visually separate the sections of the work with titles and piece numbers; certain aspects of the "idyllic" style established in the Arabeske and Blumenstück manifest themselves in the Humoreske in a way that is absent from earlier works. The result, like most of Schumann's oeuvre of the 1830's, is a generic hybrid, but it is a hybrid of genres invented by the composer, not of conventionally recognized forms. Somewhere in the no-mans-land between the multimovement cycle of fragments and the single-movement idyllic digression lies the Humoreske, which nonetheless preserves a remarkable degree of coherence despite its length and generic uncertainty.

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Schumann establishes the kinship of the *Humoreske* to the other idyllic works at the outset. Its opening, marked “Einfach”, is akin to the openings of opp. 18 and 19 in its phrasal and textural simplicity, its primacy of melody, and its reflective character.

![Example 5-12: Schumann, *Humoreske*, op. 20, mm. 1-8](image)

Though the continuation of the work will be marked by extreme variance in character, texture, and technical difficulty, this complexity is not overtly suggested by the work’s opening section. Jean Paul’s *Quintus Fixlein* establishes itself as an idyll in a similar manner: it is introduced by two reflective, almost ghostly stories that touch on the supernatural and on Jean Paul’s esoteric ideal, the “zweite
Welt”. Though these stories are not directly related to the plot of *Quintus Fixlein*, they foreshadow the themes of family and simple contentedness that pervade the main work, and they also develop the character of “Jean Paul” himself, since his authorial comments are everywhere present. “Der Mond” tells a weirdly compelling story of a young family preparing for death, whereas the other piece, “Der Tod eines Engels”, paints a surrealistic picture of an angel who wants to experience human death. Like the protagonist of Wim Wenders’s “Wings of Desire”, the angel witnesses all sorts of transcendent moments in human life and takes each of them to be death. The supernatural elements in these stories produce an almost Brechtian alienation on the part of the reader; although the events are very dramatic for the protagonist, the reader witnesses them with lyrical detachment. Similarly, Schumann’s introduction, though it opens on an intensely dissonant sonority and digresses frequently from its B-flat tonal centre, gains idyllic serenity from its continuity of texture, phrasing, and dynamic. A slight intensification at the end of the section resembles an authorial comment on what preceded it. Its basic chromatic sequence, rhythmic syncopations, and frequent self-conscious ritardandi vary the preceding thematic material while not affecting its basic character.

In *Quintus Fixlein*, Jean Paul follows the deaths of the young family members in “Der Mond” immediately by plunging his readers into the bucolic, eccentric world of

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the small-town schoolteacher, who has just been appointed to teach the fifth form in his tiny town. In the *Humoreske*, this extreme example of Jean Paul's *Witz*—"teilweise Gleichheit, unter größere Ungleicht versteckt"—is paralleled by the abrupt transition from the ethereal introduction into the boisterous, almost polka-like second section, marked "Sehr rasch und leicht".

Example 5-13: *Humoreske*, mm. 37-48

This section is an odd combination of the conventional and the digressive. As Bernhard Appel, in his excellent thesis on the *Humoreske*, has pointed out, there is a thematic continuity between the introduction and this section -- indeed, between all the sections of the work. The polka itself boasts the regular phrasing and undulating metre of a folk dance, but the fourth measure of each four-measure phrase is a Haydnesque subito-forte shock. Yet these shocks are not arbitrary insertions; their harmony generally determines the course of the phrase that follows them. By m. 45, we have almost accepted this weird phrasal design as normal, but Schumann foils us again by shifting the shock by one measure in the first ending (m. 49). The digressive measure in the section thus assumes a controlling importance, just as Quintus Fixlein's little accidents of life determine the course of his existence. Indeed, it is this digressive idea that is developed in the second half of the section and which results in a brief digression to D-flat major at mm. 52-55. Fittingly, the section's coda combines a rhythmic distortion of this idea with the chromatic descent that marks the opening measures of the work's introduction; serendipitous meetings of ideas and musical characters mark this work as they do Jean Paul's idylls.

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The conventional and the digressive come to an uneasy truce in this section; as it continues, however, digressive elements come slowly to the fore. The polka-like rhythm and foursquare phrasing continue unabated, but the trochaic rhythms that dominated the melody to this point have now lost their melodic character altogether. After m. 80, an accompaniment appears which accompanies precisely nothing: a kind of weird karaoke precursor.

Example 5-14: *Humoreske*, mm. 80-84

As the harmony moves from g minor to F major at mm. 88-90, this accompaniment gains in textural complexity what it has lost in melodic clarity. Schumann's eighth notes, notated with stems up, indicate a sort of rudimentary melody, but it is not much more than an arpeggiation of the tonic chord. Finally, at m. 105, this arpeggiation, half texture, half melody, is transformed into a strongly martial melody in the central key of B-flat major. Just as Quintus Fixeln finds his true calling through confusion and accident, so this theme discovers its strongest character through textural chaos. There is a humourous codetta, in Jean Paul’s sense of *Humor*, at mm. 118-119 that repeats the rhythmically distorted scalar passage from the end of the previous section.
No sooner has the *Humoreske* found martial reaffirmation in its central key than it drifts off suddenly into harmonic and textural uncertainty. The section beginning at m. 120 is a sequential passage based on harmonically indeterminate dominant sevenths which never reach their most obvious goals. Nor does Fixlein, for that matter, reach his goal in the Novelle. B-flat major is rediscovered at m. 136, but it is unclear whether the tonic key is being reaffirmed or simply passed through. The distinction between *Hauptwerk* and digression is effectively blurred here. A sequential chromatic progression at m. 148 raises tension momentarily, particularly since the left and right hands are out of sequence with one another by a measure; the harmonic and rhythmic confusion seems to be resolved at m. 172 when a clear b-flat-minor profile emerges, but this leads only to a temporary reestablishment of g minor at m. 180. Here Schumann repeats the “accompanimental” idea first heard at m. 80. The semblance of a rudimentary A-B-A structure is thwarted as a mysterious e-flat minor passage leads back to a recapitulation of the B-flat major polka section. Formally, then, this section is an implied ternary form within an explicit one, and both the smaller and larger forms are distorted by harmonically and texturally indeterminate digressions. Although the concepts are relatively straightforward on paper, the experience of listening to the piece is more bewildering than enlightening, just as Fixlein’s prosaic trajectory through life is as unclear to him as it is predictable to his distanced readers. Schumann’s listeners, too, gain reflective distance as the ethereal introductory passage of the work is heard once more at m. 240, ending with a new Neapolitan-inflected cadential
phrase that echoes an operatic recitative, not so much in rhythmic profile as in cadential formula. As frequently in Schumann (Kreisleriana, Kinderszenen), and in late Beethoven (the piano sonata op. 110 and the string quartet op. 130), recitative here signals an "unsung voice" providing structural and emotional delineation and distance. It thus serves a similar function to Jean Paul's authorial interjections, which are more frequent in the idylls than in his larger works.

Example 5-15: Humoreske, mm. 246-250

Authorial conceit also plays a prominent role in the next section, in which an "Innere Stimme", notated on a third staff but not meant to be played, is implied in the texturally complex meanderings of the right hand. This literally "unplayed voice" is then developed and expanded upon before dissolving into pure texture at m. 275.

Example 5-16: *Humoreske*, mm. 251-262

This dissolution does not mean the disappearance of the “Innere Stimme”, however; the descending pattern that controls it appears in ornamented form at m. 281. How can something unheard be recognized in an ornamented version? An eccentric “Wie außer Tempo” marking leads to a new configuration of ideas in which the “Innere Stimme” theme, hidden in a textural haze, becomes the
accompaniment to a new "melody" consisting of only one note (m. 306 ff.). The monotone idea and its complex textural accompaniment are then developed, even celebrated, as the harmony leads back to the central key of B-flat major and then reaffirms it at disproportionate length. It is as if the section has been crowned with an outsize Beethovenian coda (mm. 321-357).

Such outsize proclamations are frequent in Jean Paul, usually indicating an ironic distance in perspective between the author and his characters. The idyllic atmosphere lends itself especially well to this sort of distancing move, since the protagonist's life achievements tend to be miniscule by the standards of the world at large. When Quintus Fixlein, for example, is mistakenly appointed Konrektor at court (due to a misreading of the name of the real candidate, Hans von Füchslein), he is given an opportunity to make several longwinded speeches, which themselves serve as digressions from the already convoluted plot. The pomp and circumstance of the court, a tiny principality, provide a humourous backdrop for Fixlein as he transforms himself into a renowned Lutheran theologian for a day. As the speech concludes, the messenger who mis-announced Füchslein's appointment cannot bear to retract his statement, and Fixlein ends up with the job. He announces his victory publicly, to the chagrin of Füchslein, who is in the audience. 66 Clearly the appointment is a life-changing event for Fixlein, but Jean Paul's attitude throughout is distanced and satirical. Similar "important events"

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(wichtige Begebenheiten; c.f. Kinderszenen) occur throughout Jean Paul's work and indeed elsewhere in Schumann. With its larger scale, however, the Humoreske alone can provide an appropriate context for a mock-pompous celebration of an innocuous, even inaudible, melodic idea. Lest it seem that the idyllic continuity of the work has by now been lost because of its huge variation in texture, harmony, and dynamic, I should note that the basic B-flat/g minor alternation, the tempo established after the introduction, and the work's basic rhythmic profile have all been preserved for the first 350 measures of the piece.

Further formal confusion results in m. 358, when the martial rhythm of the coda becomes the basis for what looks suspiciously like a sonata-form development section. A catalogue of Beethovenian tropes is assembled here: chromatic sequences combined with quasi-canonic motivic development, followed by a reduction of the rhythm, at m. 416, to a simple iambic pattern. Schubert uses a similar procedure in the last movement of his C-major symphony, which Schumann had recently discovered in Vienna. A dominant pedal, at m. 423, suggests a retransition, though the listener is by now completely disoriented as to what might be expected at the end of the retransition. As it turns out, the entire passage, with its gradual and massive accumulation of tension, has been merely a long digression from the "Innere Stimme" section that we have just heard. At m. 447, this unheard inner voice is laid bare, with all of its textural trappings removed; like the "Sphinxes" in Carnaval, the passage achieves an arcane mystery.
We may not even recognize this hymnlike passage as the "Innere Stimme" until it returns in its original form at m. 483. After the section reaches its previous non-conclusion at m. 499, Schumann fragments the idea into halting phrases before digressing once again into the sort of recitative-like phrase that he has used so many times before as a meditative conclusion. These digressive, reevaluative procedures are typical of Schumann; what makes them specifically idyllic in the Jean-Paulian sense is their peculiar uniformity of rhythm, phrasing, and tonality.
The basic duality between B-flat and g-minor is never lost, and the almost oppressively regular 2/4 rhythm continues in approximately the same tempo established at m. 37. The boundaries of the idyll -- "Vollglück in der Beschränkung" -- are pressed to the limit, but never exceeded.

The slower passages that follow are also idyllic in the sense of limitation, and digressive only in that the minor mode takes precedence over the major and a slower tempo prevails. Motivically, the new melodic idea at m. 514 is derived from the work's opening, in which a rising semitone and descending tetrachord also prevail, and the regularity of texture and rhythm of the earlier sections continues. A rondo-like structure, in which the key of B-flat now plays a secondary role, provides a veneer of formal regularity, but B-flat, the tonic key of the work as a whole, constantly threatens to take over. It is not so much the mediant chord itself but the dominant seventh of B-flat that frequently reappears; particularly at m. 534, this chord begins a buildup of harmonic tension that is not really resolved. At m. 536, the harmony moves abruptly toward C minor, while at m. 540 there is an equally sudden move back toward B flat. The journey is finally cut off by an almost arbitrary reassertion of G minor at m. 542. The relative major, then, serves both as a contrasting secondary key and as a reminder that the section is fundamentally digressive. In this way Schumann uses tonal structure as a self-reflexive marker of the work's larger formal design, camouflaged by the self-conscious, idyllic regularity of the individual sections.
An "Intermezzo" returns to the quick, duple, dancelike topos of the earlier "Sehr rasch und lebhaft", and also its B-flat major tonality.

The designation "Intermezzo" implies a digression from the slow, meditative g-minor section preceding it, but this slow section is itself a Beiwerk in the context of the work as a whole. Thus, while the Intermezzo digresses from its local surroundings (and returns to them at m. 615), it also marks a return to the main topos and tonality of the Humoreske; this functional duality may be enormously confusing to the listener. The section contrasts with the preceding slow passages not only in tempo and tonality, but also in harmonic rhythm. Schumann here creates the illusion of feverish activity through the perpetual-motion sixteenth-note runs that canvass the entire keyboard numerous times. Yet there are no modulatory passages; fundamentally, the harmony of the section can be reduced to a series of dominant-tonic alternations. In the section beginning at m. 577, the harmony superficially traverses F, B-flat, g minor, E-flat, and c minor, but there is no clear harmonic destination and the result, at m. 601, is a return to the static B-flat
major of the section's opening. As the perpetual-motion machine winds down at m. 615, the slow movement returns almost unchanged. Schumann may well have been parodying the sound and fury of contemporary virtuoso salon music here, which suggests parallels with Jean Paul's parodic technique. In *Quintus Fixlein*, and in other idylls as well, the scenes of feverish motion and colour, often court or city tableaux, are generally also those most devoid of satisfaction for the protagonist and full of easy satiric targets for the author.

A similar balance is established in the section marked "Innig" (mm. 643 ff.), in which a quick, texturally complex passage is flanked by slower, more reflective sections. This time, the home tonality of B-flat is more clearly central, but disjunctive elements are still present throughout the passage. A tied-over anacrusis and minor-mode inflections put the section slightly off-balance from the beginning, despite the lulling, regular rhythms. The digressive "Schneller" section subverts the primacy of melody over texture much as previous sections had done, while also undermining tonal stability. The interruption here is brief but decisive: the repetition of the slower material is no longer exact, and a harmonically unstable section in G-flat (m. 667 ff) now detracts from the passage's idyllic predictability. The section's coda synthesizes all of these elements: generally static in harmony, its surface is decorated with chromatic appoggiaturas and syncopations that deny the section a purely restful conclusion. This short passage (mm. 683-692) is quintessentially idyllic in Jean Paul's sense: it combines rhythmic regularity and

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harmonic solidity with slight but striking surface deviations. Schumann's fundamentally digressive style is still present, but in a more limited incarnation.

There follows a passage whose function can be compared to that of the "Pause" in *Carnaval*. Unlike "Pause", it is not really a repetition of anything from earlier in the work. It begins *in medias res* on a Neapolitan sonority; the tempo change and lack of a clear melody are also sudden.

![Example 5-19: Humoreske, mm. 693-700](image)

The figuration, tonality, and chromatic inflections are almost a variation on a passage from the second piece in *Kreisleriana*, written the previous year; that passage was also designated as an "intermezzo". All of these elements initially mark the passage as transitional, but at m. 709 the idyll returns with the key of B-flat and a static harmonic profile resembling the perpetual motion Intermezzo heard earlier. Again, the superficial impression of chaos is maintained, as melodic
fragments wander from inner to outer voices and the bass line obfuscates the
passage's rhythmic profile. Fundamentally, however, we are listening to another
immense prolongation of tonic harmony.

At m. 741, a succession of almost unrelated dominant and diminished seventh
chords restores the transitional topos. Schumann layers a number of disjunctive
elements here, including syncopation, sudden dynamic and textural change, and
melodic uncertainty. This is a classic example of a medium-level digression,
comparable to Jean Paul's convoluted commentaries within a narrative. These
frequently take up several paragraphs but are not demarcated as "Beiwerke", and
are common in the idylls, where digression is kept within limits. The static harmony
returns at m. 757 and at m. 769 is transformed into a retransitive state: a dominant
pedal underlies repetitions of the previously heard material in several keys. The
coda effect is drawn out for dozens of measures, as an "immer lebhafter" section is
followed by a stretta, both based on dominant and tonic pedal effects. At m. 827,
the anticipated ending seems to arrive, with a fortissimo cascade of broken tonic
chords followed by a grand pause. Like Jean Paul, however, Schumann's vivid
sense of parody does not allow him to fulfil the expectations which he has so
carefully constructed.
The section marked "Mit einigem Pomp" is entirely parodic. Even the tempo marking suggests satire or sarcasm. All the martial trappings of a solemn procession are here: military rhythms, simple homophonic textures, and a straightforward bass line. But no substance is presented within the pompous display. There is no melody to speak of, and the humdrum harmonic sequences -- g minor, c minor, E flat -- go nowhere. A melody tries to emerge at m. 842, but its
progress is cut off by a return to the section's opening. A pianissimo coda, at m. 854, reduces the pompous display to a simple dominant chord, reminiscent of the story of the "emperor's new clothes" and preparing for the work's actual conclusion ("Zum Beschluss").

This is a more extended coda which is similar to, but more expanded than, the coda of the Arabeske. As in that work, Schumann uses the free recitative style, as he learned it from Beethoven's late works, to gain distance from the rest of the work and to provide a sort of authorial commentary. The turn figure is part of Schumann's code for this process, and it appears also in the Arabeske, Kreisleriana, and Kinderszenen ("Der Dichter spricht") at similar points. The recitative proceeds in a harmonically sequential fashion, thus recalling much of the earlier developmental style of the work; the sequences are circular and constantly return to the tonic key. The Arabeske itself is recalled at mm. 868 ff -- a sort of intertextual generic signal, marking this huge Humoreske as the same type as the earlier, shorter piece.

Example 5-21: Humoreske, mm. 868-872
Extensive use of invertible counterpoint also suggests a voice of reason speaking at the end of the work. The recitative/turn figure is extensively developed, and also fragmented (as at m. 937 ff); at m. 943, it is also rewritten so that it does not imply a move away from the tonic key. The last thirty measures of the piece consist of cadential and tonic-pedal passages, with the final Allegro a mock-Baroque celebration of the key of B-flat. Similar parodies of Bach's French-overture style, with dotted rhythms and unmarked triplets, appear in *Kreisleriana* and *Waldszenen*.

Schumann's extensive, self-reflexive ruminations here are like a direct echo of Jean Paul's monologue at the end of *Quintus Fixlein*. His job, as it were, has thus far been to chronicle Fixlein's life and loves; now he has become a personal friend of the family and godfather to Fixlein's son. He must leave the family and return to his home, but he does so reluctantly, knowing he is leaving the best kind of idyllic setting: one he has created himself.

einschlafender Blumen ausmessen, deren Kelche, ach! vor uns Armen von Stunde zu Stunde zufallen.-68

Even the thought of ending his visit inspires lengthy reflection, which gives rise to “witty” comparison and obscure allusion. He continues:


Jean Paul not only shares his self-talk with us; he tells us what he wanted his self-talk to be as opposed to what it actually was, and addresses himself with his usual allusiveness. The friends share tearful goodbyes, and Jean Paul proceeds

68As I thought to myself that I would say farewell to them, all the future trials, corpses, and wishes of this beloved team appeared in my heart, and I thought that only slumbering flowers of joy commemorated their days (like mine and everyone’s). Yet it is lovelier if they measure their years not by the falling tears of a water-clock, but by a flower-clock whose flowers would go to sleep hour by hour before us poor creatures. [footnote: Linnaeus constructed a flower-clock in Uppsala that told time by the hours at which different types of flowers would go to sleep.] Jean Paul Friedrich Richter, Werke, Vol. 4, "Kleinere erzählende Schriften", ed. Norbert Miller (Munich: Carl Hanser Verlag, 1975), 190.

69Just now -- as I can still remember how I stood over the two lovers with streaming eyes, as if I was standing over corpses -- I wanted to address myself, saying: much too tender Jean Paul, whose chalk is always copying nature onto the field of melancholy, harden your heart as you stiffen your body, so that you will not rub against [aufreiben] others. But why should I do this, why should I not confess immediately what I said to the two in tender commotion?" ibid.
to wander aimlessly through nearby landscapes, reflecting on his inner state. Every detail of nature comes alive for him, and he has one of his frequent "zweite Welt" spiritual experiences:

Da fing die Äols-Harfe der Schöpfung an zu zittern und zu klingen, von oben herunter angeweht, und meine unsterbliche Seele war eine Saite auf dieser Laute... eine ewige Reihe zieht sich hinauf und hinüber und hinunter, und alles ist Leben und Glut und Licht, und alles ist göttlich oder Gott ...\(^\text{70}\)

The novella ends with a topical allusion to the post-revolutionary chaos in France, and seems to hold up Fixlein and his simple life as an antidote to bloody revolution:

"Ach, blutiger Krieg, weiche wie der rötliche Mars, und, stiller Friede, komme wie der milde zerteilte Mond! --"\(^\text{71}\)

The final sentence of *Quintus Fixlein* ends with a Gedankenstrich -- an implication that the story continues somehow for Jean Paul and for his readers. The *Humoreske* ends more finally, but its concluding ruminations, digressive yet static, self-reflexive and allusive, reveal the presence of Edward T. Cone's "composer's voice".\(^\text{72}\) Both passages are essentially digressive; Jean Paul's thoughts are not necessary to the conclusion of the plot, nor are Schumann's recitative-like passages anything but a tonic-based appendage to the rest of the work, which

\(^\text{70}\)Ibid., 191.

\(^\text{71}\)Ibid.

could have ended convincingly at m. 831. But both Jean Paul and Schumann have different definitions of formal necessity than their contemporaries or predecessors. Their works deconstruct and redefine contemporary topoi and conventions, and in many ways they point to works of art created a century later. The idyllic works are no exception, but their self-imposed limitations of scope, complexity, and sometimes length make them microcosmic representations of Jean Paul's and Schumann's styles. Indeed, it was the idyllic novellas of Jean Paul, such as Wuz and Fixlein, that introduced many a reader to his eccentric style, and they still are the most frequently anthologized of his works today. Schumann's idyllic works of 1838-9, possibly excepting the Arabeske, are nowhere near as prominent in his output, possibly because they contravene the notion of Schumann's piano oeuvre as sets of small, independent, separable pieces. The Humoreske, in particular, is not easily carved into programmable nuggets. Seen in the context of Schumann's output, however, the Arabeske, Blumenstück, and Humoreske signal a new paradigm for their understanding -- the notion that these three pieces are on a smaller, not a larger, scale than Carnaval and Kreisleriana. Although this chapter has digressed from the preceding ones, it also serves as a recapitulation, and in some sense an introduction to works that have been somewhat neglected. Considering Schumann's style as it exists within limitations ("Beschränkung", in Jean Paul's terminology), will facilitate placing all of his work in its historical and cultural context, and comprehending why Jean Paul played such a crucial role in Schumann's artistic self-development.
Epilogue/Zum Schluß

Jean Paul's digressive style, his novel attitudes to form and genre, and his fluid notions of the artwork, beyond uniqueness and self-containment, represent important concepts for much nineteenth- and twentieth-century art. In this study, I hope to have demonstrated the extent to which these concepts permeate the piano music of Schumann, whose personal connections to Jean Paul's work are easily shown. Yet Jean Paul could prove to be an important model for further musical investigations. There is a strong continuity of style, particularly on a small-scale level, between Schumann's piano music and his other works. His songs, chamber music, symphonies, and large-scale vocal works all bear the hallmarks of his individuality. Schumann's peculiar approach to music was developed for the first time in his piano works, but there is no reason to doubt that Jean Paul's sensibilities could be traced in Schumann's later output. The reinvention of concerto form in the Piano Concerto, op. 54, the generic hybrid that is Das Paradies und die Peri, and the cyclic, self-referential symphonic model of the Symphony no. 4 all suggest themselves as structurally and spiritually akin to the radical early works, and thus, by analogy, to Jean Paul.

Another possibility is that the work of other writers with whom Schumann was familiar might provide useful models for the stylistic analysis of his music. Thus far, the most extended treatments of Schumann's relationship with individual writers have dealt with vocal music. Eichendorff and Heine have received serious consideration
with respect to major works of Schumann. However, the literary styles of Jean Paul’s contemporaries would also yield useful insights into Schumann’s instrumental music. E. T. A. Hoffmann’s style has received some initial scrutiny in this regard, but more extended study of his and others’ works in relation to Schumann would be welcome.

A familiarity with the work of Jean Paul and its resonance with Schumann might also prove useful in considering later music. It was recently suggested to me that the music of Brahms, who was an avid reader of Jean Paul throughout his life, could fruitfully be examined in light of Jean Paul’s innovations. Clara Schumann’s work, so strongly shaped by interaction with her husband, may also reveal Jean Paul’s traces. Biographers such as Constantin Floros and Henry-Louis de La Grange have

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3 Personal communication from George Bozarth, meeting of the American Musicological Society, Boston, 1998. I thank Prof. Bozarth for his enthusiastic response to my work and for his suggestions regarding possible applications of my approach to the music of Brahms.
documented Mahler's reading of Jean Paul. One might dare to go further and explore the works of composers who are not directly linked with Jean Paul, though such endeavours would obviously require careful forethought. Schoenberg could be linked with Schumann through the mediation of Brahms, with whose style Schumann's has such direct connections; might he also be linked with Jean Paul through Stefan George, who wrote so enthusiastically about his literary predecessor?

The success of such attempted connections would depend on many factors. However, the main point of examining the works of Jean Paul is the elucidation of Schumann's compositional style, which, by extension, might well illuminate the work of others. My main hope is that the connection between Jean Paul and Schumann, two unparalleled artists, will clarify Schumann's work for listeners and scholars, and that through this clarification my readers will be reminded of Schumann's uniqueness and importance in the history of nineteenth-century music.

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5George, Stefan, "Lobrede auf Jean Paul", in Werke (Düsseldorf/Munich: Helmut Küpper, 1968), vol. 1, pp. 511-514.
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