ROBERT SCHUMANN'S SYMPHONY IN D MINOR, OP. 120:

A CRITICAL STUDY OF INTERPRETATION IN THE

NINETEENTH-CENTURY GERMAN SYMPHONY

Jean Marie Hellner, B.A., M.M.

Dissertation Prepared for the Degree of

DOCTOR OF PHILOSOPHY

UNIVERSITY OF NORTH TEXAS

May 2003

APPROVED:

John Michael Cooper, Major Professor
Lester Brothers, Minor Professor and Chair of the
    Division of Music History, Theory, and
    Ethnomusicology
Deanna Bush, Committee Member and Program
    Coordinator for Music History
Joseph Klein, Committee Member and Chair of
    Composition Studies
James C. Scott, Dean of the College of Music
C. Neal Tate, Dean of the Robert B. Toulouse
    School of Graduate Studies

Hellner, Jean Marie, <u>Robert Schumann's Symphony in D Minor, Op. 120: A Critical Study of Interpretation in the Nineteenth-Century German Symphony</u>.Doctor of Philosophy (Musicology), May 2003, 436 pp., 7 diagrams, 4 tables, 26 figures, 81 musical examples, 139 titles.

Robert Schumann's D-minor Symphony endured harsh criticism during the second half of the nineteenth century because of misunderstandings regarding his compositional approach to the genre of the symphony; changes in performance practices amplified the problems, leading to charges that Schumann was an inept orchestrator. Editions published by Clara Schumann and Alfred Dörffel as well as performing editions prepared by Woldemar Bargiel and Gustav Mahler reflect ideals of the late nineteenth century that differ markedly from those Schumann advanced in his 1851 autograph and in the Symphony's first publication in 1853. An examination of the manuscript sources and the editions authorized by Schumann reveals that he imbued the Symphony with what he called a "special meaning" in the form of an implied narrative. Although Schumann provided no written account of this narrative, it is revealed in orchestrational devices, particularly orchestration, dynamics, and articulation, many of which have been either altered or suppressed by later editors. A reconsideration of these devices as they are transmitted through the authorized sources permits a rediscovery of the work's special meaning and rectifies long-standing misperceptions that have become entrenched in the general literature concerning Schumann in general and the D-minor Symphony in particular.

ACKNOWLEDGMENTS

TABLE OF CONTENTS

PART 1
The Historical Context

Chapter

PART II
The Musical Narrative

Chapter

LIST OF DIAGRAMS

LIST OF TABLES

LIST OF MUSICAL EXCERPTS[1]

---

[1]Unless noted otherwise, excerpts are taken from S2.

INTRODUCTION

Substantial changes in performance practices and aesthetics of orchestral music
have prompted conductors, performers, editors, critics, and scholars since the second half
of the nineteenth century to level harsh criticisms at Robert Schumann's Symphony No. 4
in D Minor, Op. 120 (1841, revised 1851). These criticisms reveal extensive
intertwinings between issues of performance practices and aesthetics. The nature and
extensiveness of these intertwinings are emphatically revealed through changes
introduced into the D-minor Symphony by Robert Schumann himself, as well as by Clara
Schumann, Alfred Dörffel, Woldemar Bargiel, and Gustav Mahler. Unfortunately, the
latter editions to Schumann's Symphony were borne of enduring misconceptions
concerning his intentions in composing, revising, and orchestrating the work, rather than
of any intrinsic deficiencies. The subsequent dissemination of these changes has
perpetuated the specious argument that Schumann was an inept orchestrator who was ill
at ease in symphonic composition. Similar inquiries have already been undertaken, with
considerable success, concerning other sectors of the eighteenth- and nineteenth-century
repertoire,[1] but Schumann's symphonies have largely eluded scholarly attention in this
field.

---

[1]See, for example, A. Peter Brown, *Performing Haydn's "The Creation":
Reconstructing the Earliest Editions* (Bloomington: Indiana University Press, 1986) and
Richard Maunder, *Mozart's Requiem: On Preparing a New Edition* (New York: Oxford
University Press, 1988).

Negative responses to Schumann's orchestration, his ability as a symphonist, and

his conducting capabilities that have been advanced by authors ranging from Felix

Weingartner to more recent authors Gerald Abraham, Donald Francis Tovey, and Ronn

Cummings,[2] exemplify common opinion concerning Schumann's symphonic

compositions. In his discussion of the 1851 version of this Symphony, Abraham argues

that the orchestration and texture are "typically Schumannesque in [their] thick

unnecessary doubling produced by the composer's constant playing for safety in a

medium where he never felt particularly happy."[3] Tovey attributes this "thick

unnecessary doubling" not only to Schumann's alleged inadequacy in the symphonic

medium but also to his supposed ineptness as a conductor. Bernard Shore not only

essentially supports the views of Abraham and Tovey, but propagates another myth by

---

[2]For more information, see Felix Weingartner, *On Conducting*, trans. Ernest Newman (Scarsdale, New York: Kalmus, [1905?]); Gerald Abraham, "The Three Scores of Schumann's D Minor Symphony," in *Slavonic and Romantic Music* (New York: St. Martin's Press, 1968), 281-287; Donald Francis Tovey, "Symphony in B Flat Major, No. 1, Op. 38," in *Essays in Musical Analysis: Symphonies*, 6 vols. (London: Oxford University Press, 1935-1939): II:45-52; Donald Francis Tovey, "Symphony in D Minor, No. 4, Op. 120," in *Essays in Musical Analysis: Symphonies*, 6 vols. (London: Oxford University Press, 1935-1939), II:56-62; and Ronn Cummings, "Analysis of the Re-orchestrations of Robert Schumann's Four Symphonies Employed by Felix Weingartner, with Four Recitals of Selected Works by Schumann, Beethoven, Tchaikovsky, Poulenc, Bizet, Rossini, and Chabrier," (D.M.A. diss., The University of North Texas), 1997.

[3]Gerald Abraham, "The Three Scores of Schumann's D Minor Symphony," 281.

considering Schumann to be foremost a composer of songs and piano compositions and only secondly a symphonist.[4]

Due to the numerous complaints concerning Schumann's orchestration, other composers and especially conductors, such as Gustav Mahler, have made substantial changes to Schumann's orchestration. Mosco Carner and Erwin Stein,[5] in their discussions of Mahler's retouchings of Schumann's symphonies, provide useful categorizations of Mahler's alterations; unfortunately, however, neither author discusses Mahler's changes in the context of performance practices, Schumann's aesthetics, or his intentions in the work. Likewise, Asher Zlotnik discusses several conductors' opinions of the composition, particularly concerning orchestration, but he makes no attempt to place their comments in the context of changes in performance practice.[6]

Otto Karsten and Jon Finson advance more positive views. Karsten argues that Schumann's orchestration is unique to his musical disposition and contends that his

---

[4]Bernard Shore, "Schumann's Symphony in D Minor," chap. in *Sixteen Symphonies* (London: Readers Union, 1950; reprint, Westport, Conn.: Hyperion, 1979), 99.

[5]Mosco Carner, "Mahler's Re-scoring of the Schumann Symphonies," *The Music Review* 2 (Feb.-Nov. 1941): 97-110; reprint, *Of Men and Music: Collected Essays and Articles* (London: Joseph Williams, 1944), 111-114. Erwin Stein, "Mahlers Instrumentations-Retuschen," *Pult und Taktstock* (November/December 1927): 117-122; reprint, "Mahler's Re-scorings," in *Orpheus in New Guises: The Music of Mahler, Schoenberg, Webern, Berg, Britten* (London: Rockliff, 1953), 25-30.

[6]Asher Zlotnik, "Orchestration Revisions in the Symphonies of Robert Schumann," 2 vols. (Ph.D. diss., Indiana University, 1972).

approach is one that is not readily understood by the general public.[7] Finson argues for

the significance of Schumann's symphonic works in his oeuvre, the importance of his

creative process in the composition of these works, and the aesthetics that are an integral

part of the creative process.[8] Although Finson's main concerns for the D-minor

Symphony are Schumann's orchestration, his familiarity with the symphonic medium,

and his ability as a conductor, several scholars have presented other issues that pertain to

the work. For example, Hugo Riemann describes the Symphony primarily in terms of

thematic material, evidently in the interest of the layperson rather than scholar;[9] by

---

[7]Karsten states that "the style and method of Schumann's orchestration is somewhat unusual. Schumann follows neither the typical or individual instrumentation developed by the classical composers, nor [does he emulate] the rather easy-flowing orchestral treatment of Mendelssohn. One can find sporadically – concerning the orchestral sound – a relationship more akin to Schubert. In the works of the following period, these singular colorings are always plainly [and] clearly marked; they are not created, however, to immediately warm and to captivate the majority of the general public." "die Art und Weise wie er instrumentiert ist eine etwas ungewohnte. Schumann schliesst sich darin weder der vom Typischen zum Individuellen sich entwickelnden Instrumentation der Klassiker an noch etwa der leichtflüssigen, durchsichtigen Orchesterbehandlung eines Mendelssohn. Man könnte – was den Orchesterklang betrifft – schon eher stellenweise eine Verwandtschaft mit Schubert konstatieren." He continues: "In den Werken der Folgezeit prägt sich diese eigentümliche Farbengebung immer deutlicher aus; sie ist aber nicht dazu angetan, die Masse des Publikums gleich zu erwärmen und gefangen zu nehmen." Otto Karsten, "Die Instrumentation Robert Schumanns" (Ph.D. diss., University of Vienna, 1922), 1. Unless otherwise noted, all translations are my own.

[8]Jon Finson, "Robert Schumann: The Creation of the Symphonic Works," (Ph.D. diss., The University of Chicago, 1980).

[9]Hugo Riemann, *Robert Schumann: Vierte Symphonie in D-moll*, Der Musikführer (Berlin: Schlesinger, n.d.).

4

contrast, Martin Just's analysis[10] is intended for the professional musician and scholar. In his discussion of the first version, Just asserts that because Schumann and composers of his generation lived in the shadow of Beethoven's symphonies, they were pressured by a societal demand for an individualized approach to the genre. While this thesis is valuable, Just does not address the confluence of performance practices and aesthetics, nor does he relate his ideas to other editors' revisions of the Symphony. Maria Rika Maniates discusses the role of the fantasia in both versions of the Symphony and, more broadly, how ideas pertaining to the fantasia played a role in nineteenth-century aesthetics.[11] Finally, in her discussion of both the 1841 and 1851 versions of the Symphony, Linda Correll Roesner advocates a reconsideration of the 1841 version because of orchestration considerations and other subtle details that seem to be lost in the 1851 version.[12]

There are three fundamental reasons for the extensive amount of negative consideration that Schumann's D-minor Symphony has received. The first is that the symphony as a genre during the second half of the nineteenth century differed greatly from that of Schumann's time and consequently was subject to a different set of

---

[10]Martin Just, *Robert Schumann Symphonie Nr. 4 D-moll* (Munich: Wilhelm Fink, 1982).

[11]Maria Rika Maniates, "The D Minor Symphony of Robert Schumann," in *Festschrift für Walter Wiora zum 30. Dezember 1966*, ed. Ludwig Finscher and Christoph-Hellmut Mahling (New York: Bärenreiter, 1967), 441-447.

[12]Linda Correll Roesner, "Ästhetisches Ideal und sinfonische Gestalt: die d-moll Sinfonie um die Jahrhundertmitte," in *Bericht über das 3. Internationale Schumann-Symposion am 15. und 16. Juni 1988 im Rahmen des 3. Schumann-Festes, Düsseldorf*, ed. Bernhard R. Appel (New York: Schott, 1993), 55-71.

compositional procedures and performance practices. (During Schumann's lifetime, the

prototypes for the symphony were those from Beethoven's so-called middle period,

particularly the Third, Fifth, and Sixth Symphonies, whereas by the second half of the

nineteenth century, Beethoven's Ninth symphony had become the most revered and

influential.[13]) The second reason is that the symphony orchestra as a medium changed

considerably during the second half of the nineteenth century. Not only did the physical

construction of instruments continue to change, but the number of instruments and the

placing of families of instruments differed from earlier practice. Thus, proportions among

the families not only changed but also influenced composers' compositional decisions.

Finally, the complicated genesis of Schumann's Symphony itself has fostered

considerable negative criticism.

---

[13]Evidence for this can be found in the similar beginnings of the Ninth
Symphonies of Beethoven and Bruckner. Furthermore Wagner regarded Beethoven's
Ninth Symphony as an essential part in the evolution of music drama. For more
information concerning Beethoven's posthumous influence, see Joseph Kerman and Alan
Tyson, "Beethoven, Ludwig van," *The New Grove Dictionary of Music and Musicians*,
edited by Stanley Sadie, 20 vols. (London: Macmillan, 1980), 2: 354-414, especially 392-
394.

For these reasons, Clara Schumann (1882),[14] Alfred Dörffel (1890-1899),[15]

Woldemar Bargiel (1880),[16] and Gustav Mahler (ca. 1900)[17] offered re-interpretations of

the Symphony through publications of the work and through changes to existing scores.

Most of the changes introduced by these individuals do not take into account

performance-practice issues, aesthetic considerations of the symphony as a genre during

the first half of the nineteenth century, and Schumann's compositional approach in this

work.

   Schumann incorporated an implied narrative into his D-minor Symphony, which

is discovered by his choice of movements and his approach to orchestration. The themes

in Schumann's D-minor Symphony function as conveyors of the narrative dimension. The

most prominent evidence for his implied narrative is found in the second movement,

which he designated a Romanze. This movement is the only one of the four for which he

---

[14]Robert Schumann, *Vierte Symphonie*, ed. Clara Schumann, *Werke*, ser. 1, *Symphonien* (Leipzig: Breitkopf & Härtel, 1881-1893; reprint, Farnborough: Gregg Press, [196?]).

[15]Robert Schumann, *Vierte Symphonie: Introduction, Allegro, Romanze, Scherzo und Finale in einem Satze für grosses Orchester*, ed. Alfred Dörffel, *Robert Schumann's Sämmtliche Werke* (Leipzig: C.F. Peters, [1890-1899?]).

[16]Robert Schumann, *Symphonie No. IV, D moll: Introduction, Allegro, Romanze, Scherzo und Finale in einem Satze für grosses Orchester* (Leipzig: Breitkopf & Härtel, 1853). Notations by Woldemar Bargiel. Düsseldorf, Heinrich-Heine-Institut.

[17]Robert Schumann, *Vierte Symphonie: Introduction, Allegro, Romanze, Scherzo und Finale in einem Satze für grosses Orchester*, ed. Alfred Dörffel, *Robert Schumann's Sämmtliche Werke* (Leipzig: C.F. Peters, [1890-1899?]). Revised additions and changes by Gustav Mahler. The James M. and Marie-Louise Osborn Collection, Beinecke Library, Yale University, Osb Music MS 530.

specified a vocal genre prototype, one that involves a rich literary and musical tradition,

and one that insinuates relationships among characters within the narrative. The

orchestration of the movement suggests discrete instrumental personae, and as the music

unfolds it becomes evident that one of the personae is female. Thematic connections with

each of the other movements reveal that issues in the past and future are part of the drama

within her psyche, which is also understood in the third movement.

To understand Schumann's D-minor Symphony, then, is to contemplate the means

by which he integrated this narrative. The methodology to accomplish this involves

techniques in narratology, or the study of narrative, advanced by scholars such as Edward

Cone,[18] Anthony Newcomb,[19] Lawrence Kramer,[20] Jean-Macques Nattiez,[21] Carolyn

Abbate,[22] and Fred Everett Maus.[23] This methodology derives from ideas based on

---

[18]Edward Cone, *The Composer's Voice* (Berkeley: University of California Press, 1974).

[19]Anthony Newcomb, "Once More between Absolute and Program Music: Schumann's Second Symphony," *19th-Century Music* 7, no. 3 (1983-4): 233-250 and "Schumann and Late Eighteenth-Century Narrative Strategies," *19th-Century Music* 11, no. 2 (fall 1987): 164-174.

[20]Lawrence Kramer, "'As if a Voice Were in Them:' Music, Narrative, and Deconstruction," in *Music as Cultural Practice, 1800-1900* (Berkeley, 1990), 176-213.

[21]Jean-Jacques Nattiez, "Can One Speak of Narrativity in Music?" *Journal of the Royal Musical Association* 115, part 2 (1990): 240-257.

[22]Carolyn Abbate, *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century* (Princeton, N.J.: Princeton University Press, 1991).

[23]Fred Everett Maus, "Music as Narrative," *Indiana Theory Review* 12 (spring and fall 1991): 1-34 and "Narrative, Drama, and Emotion in Instrumental Music," *Journal of*

literary narratology, the requirements for which include events, characters, interaction between the two to create a narrative, and, usually, a narrative voice or voices.

Schumann's deft ensemble writing suggests that he himself is the narrative voice. Schumann's orchestration in the outer movements of this Symphony differs from that of the inner movements. In the outer movements, the narrator recounts events in the story, but in the inner movements, he probes into the psychological state of the protagonist, giving the auditor insight into her emotional responses to the events that have unfolded in the course of the Symphony. But Schumann does not comment on the events; he simply relays them, leaving commentary for other characters or observers. If Schumann has a distinct voice, it seems to reside in the collective ensemble, the voice of everyone, and the means by which the plot is set (in the first movement) and the telling of the results of the strife from the middle movements (in the fourth movement). Thus, in the outer movements of the Symphony, the "public" movements, the narrator exists, but as a collective body in which the situations of these movements are described. In the inner, "private" movements, on the other hand, the auditor hears individual voices and specific characters, namely the protagonist. Thus, the discussion regarding Schumann's method of incorporating this implied narrative will begin with the second movement, and then proceed to the third, first, and fourth movements respectively.

The narrative proposed in this dissertation, then, uses functional elements, primarily thematic transformations and their orchestration, but because the thematic

Aesthetics and Art Criticism, lv (1997), 293-303.

material is woven into the structures of the Symphony, formal organization of the work is also taken into account. Transformations of thematic material that occur in all the movements is another agent by which Schumann incorporates his implied narrative. Certain orchestrational devices, such as dynamics and articulation help to delineate secondary characters, particularly in the second and third movements.

Some scholars, such as Abbate and Nattiez, indicate skepticism regarding the application of narrative elements to "absolute" instrumental music.[24] Nattiez believes that "the narrative exists only on a potential level,"[25] as evidenced by his experiment with having 300 first- and second-grade school children listen to Dukas's *L'apprenti sorcier* without telling them the pre-existing story. Instead, the children were to create their own stories. No two were alike; in fact, they ranged from warlike settings to chivalric stories to adventures and sentimental plots.

Abbate's and Nattiez's misgivings, however, are irrelevant to Schumann's approach to what he called the "special meaning" of instrumental works; in fact, they astutely reinforce the argument for Schumann's approach to the narrative in his D-minor Symphony (see Chapter 1). Thematic and motive connections among the movements and their orchestration provide the material necessary to discover this special meaning. Their

---

[24]Abbate argues that music cannot be narrative but can "possesses moments of narration, moments that can be identified by their bizarre and disruptive effect." For her, part of the problem of narrative in music is that music has no past tense, one of the elements of literary narratives. Abbate, *Unsung Voices*, 29.

[25]Nattiez, "Can One Speak of Narrativity in Music?" 246.

recurrence and relationship, such as the return of the introductory theme in the second and third movements, quickly reveal that each section of every movement in the Symphony is part of the implied narrative.

No two persons will interpret the implied narrative of the D-minor Symphony the same. Schumann probably would have invited a variety of narratives,[26] which, presumably, is the reason he did not provide a written narrative himself. He would not, however, have welcomed alterations to the details that inspired these narratives. Thus, the changes that Clara, Dörffel, Bargiel, and Mahler introduced altered the source from which the narratives are to be developed.

That Schumann was concerned with including an implied narrative in the D-minor Symphony is revealed in a comparison between his 1851 manuscript[27] and the first publication of the score in 1853.[28] The manuscript includes many more details in orchestration, particularly various types of articulation, than does the published score. The details that Schumann retained make their effect more prominent, particularly with

---

[26]From his experiement with *L'apprenti sorcier*, Nattiez concluded: "The narrative, strictly speaking, is not *in* the music, but *in the plot imagined and constructed by the listeners* from functional objects." Nattiez, "Can One Speak of Narrativity in Music?" 249.

[27]Robert Schumann, *Symphonische Phantasie für grosses Orchester*, manuscript score, 1851, Staatsbibliothek zu Berlin – Preußischer Kulturebesitz, Mus. ms. autogr. Schumann 17.

[28]Robert Schumann, *Symphonie No. IV. D moll: Introduction, Allegro, Romanze, Scherzo und Finale in einem Satze für grosses Orchester* (Leipzig: Breitkopf & Härtel, 1853).

discrepancies occurring between instruments that double. Because Schumann reserved such details for key moments within the Symphony, the auditor is more likely to contemplate these special occurrences rather than dismissing them as mere inconsistencies. Thus, these details are an intentional, integral element of the special meaning of this Symphony; orchestration, particularly instrumentation, dynamics, articulation, expressive indications, and notation, serve as agents for expressing the emotion of particular personae and the drama of the narrative.

A detailed study of the manuscript and editions of Schumann's Symphony in D Minor, as in Part II, will facilitate a better understanding of the composer's intentions in this work, his ideas concerning the genre of the symphony, and the changes of perception pertaining to not only the Symphony itself but also the genre, medium, and his communication with his auditors. It also will clarify the reasons for the decidedly differing perceptions of eminent individuals who have offered their interpretations through their editions, changes, and criticisms. On a broader level, a detailed study of this Symphony will provide greater understanding of the changes in performance practices of the symphony orchestra and the German symphony from the mid-nineteenth century to the early twentieth century.

PART I: THE HISTORICAL CONTEXT

CHAPTER 1

SCHUMANN'S AESTHETICS OF INSTRUMENTAL MUSIC

Our understanding of Robert Schumann's aesthetics concerning instrumental music derives from no formal treatise, but instead has come down to us from incidental comments in his writings. His ideas regarding the symphony as a genre and the orchestra as a medium, as well as his observations of other composers' symphonies, are disclosed through his criticism and comments found primarily in letters, essays, and articles in the *Neue Zeitschrift für Musik*, later compiled in the *Gesammelte Schriften über Musik und Musiker* (1854). In these sources, Schumann reveals reasons for the high regard he held for the symphony as a genre and the orchestra as a medium, and he offers certain criteria that he considered essential to create a symphony suitable to the genre.

Schumann's aesthetics are intricately bound up with his cultural milieu. The society in which Schumann initially developed his ideas was one in which music was closely tied to literature and imagination. The audience, whether musical or literary, engaged in a highly individualized aesthetic contemplation of individual works. For music, this contemplation, allied to meditation of the tangible elements of a given composition, transcended the language of words and common feelings; the musical language of a work was beyond language itself, having nothing in common with the external world of the senses. Thus, instrumental music, especially when independent of a

13

verbal prescription of an extramusical dimension, became a sublime world in itself, one that transcended everyday actuality.

To aestheticians such as Wilhelm Heinrich Wackenroder and Ludwig Tieck, the purpose of a literary work or musical composition was to direct the reader or listener into a completely new world of infinite imagination and emotion. Just as a reader of a great novel is channeled into the plot and becomes infused with the emotional substance of its characters, an auditor of a musical composition could, through its meaning, become subsumed in an exalted world. Through this higher meaning, instrumental music especially became the aesthetic tool by which the auditor entered the realms of infinite expression. An auditor could enter this higher world only through deep contemplation of the musical elements themselves, using one's imagination to experience the boundless imagination and spirit of this higher realm in much the same way that Wackenroder described in his "Die Wunder der Tonkunst" from *Phantasien über die Kunst für Freunde der Kunst*:[1]

Whenever I so very fervently enjoy how a beautiful strain of sounds suddenly, in free spontaneity, extricates itself from the empty stillness and rises

---

[1]Several writers, including Wilhelm Heinrich Wackenroder, Jean Paul Richter, Ludwig Tieck, Anton Friedrich Thibaut, and E. T. A. Hoffmann, influenced Schumann's critical writings and compositional approaches. For a detailed discussion of their impact on Schumann, see Edward Lippman, "Theory and Practice in Schumann's Aesthetics" in *The Philosophy and Aesthetics of Music* (Lincoln: University of Nebraska Press, 1999), 136-178 and Thomas Alan Brown, *The Aesthetics of Robert Schumann* (New York: Philosophical Library, 1968), 11-23.

up like sacrificial incense, floats gently on the breezes, and then silently sinks

down to earth again; – then so many new, beautiful images sprout forth and flock

together in my heart that I cannot control myself out of rapture. – Sometimes

music appears to me like a phoenix, which lightly and boldly raises itself for its

own pleasure, floats upwards triumphantly for its own gratification, and pleases

gods and men by the flapping of its wings. – At other times it seems to me as if

music were like a child lying dead in the grave; – one reddish sunbeam from

heaven gently draws its soul away and, transplanted into the heavenly aether, it

enjoys golden drops of eternity and embraces the original images of the most

beautiful human dreams. – And sometimes, – what a magnificent fullness of

images! – sometimes music is for me entirely a picture of our life: – a touchingly

brief joy, which arises out of the void and vanishes into the void, – which

commences and passes away, why one does not know: – a little, merry, green

island, with sunshine, with singing and rejoicing, – which floats upon the dark,

unfathomable ocean.[2]

---

[2]"Wenn ich es so recht innig genieße, wie der leeren Stille sich auf einmal, aus freier Willkür, ein schöner Zug von Tönen entwindet, und als ein Opferrauch emporsteigt, sich in Lüften wiegt, und wieder still zur Erde herabsinkt; – da entsprießen und drängen sich so viele neue schöne Bilder in meinem Herzen, daß ich vor Wonne mich nicht zu lassen weiß. – Bald kommt Musik mir vor, wie ein Vogel Phönix, der sich leicht und kühn zu eigner Freude erhebt, zu eignem Behagen stolzierend hinaufschwebt, und Götter und Menschen durch seinen Flügelschwung erfreut. – Bald dünkt es mich, Musik sei wie ein Kind, das tot im Grabe lag – ein rötlicher Sonnenstrahl vom Himmel entnimmt ihm die Seele sanft, und es genießt, in himmlischen Äther versetzt, goldne Tropfen der Ewigkeit, und umarmt die Urbilder der allerschönsten menschlichen Träume. – Und bald – welche herrliche Fülle der Bilder! – bald ist die Tonkunst mir ganz ein Bild

Music therefore became "a language beyond language, . . . capable of intimating the 'inexpressible.'"[3]

The images that instrumental music in particular created stem from a composer's originality; through this, music was freed from imitation of earlier works. Once emancipated, music had the potential to create its own poetry, a poetry of images that reached beyond the realm of normal human experience. Poetic music denoted the philosophical idea that instrumental music, when independent of any pre-existing text or other extramusical source, itself became poetry. That poetic content was not fixed; rather, the content resulted from the individual auditor's meditation of the musical elements of the work – timbre, melody, harmony, rhythm, form, texture – and how those elements worked together and were transformed throughout the composition. In this way, the auditor was not confined to a specific meaning or to a superficial feeling that may be expressed verbally. Instead, the meaning was revealed through a work's own poetic content that was understood only through profound consideration of the musical elements.

---

unsers Lebens: – eine rührend kurze Freude, die aus dem Nichts entsteht und ins Nichts vergeht – die anhebt und versinkt, man weiß nicht warum: – eine kleine fröhliche grüne Insel, mit Sonnenschein, mit Sang und Klang – die auf dem dunkeln, unergründlichen Ozean schwimmt." Wilhelm Heinrich Wackenroder, *Werke und Briefe*, ed. Friedrich von der Leyen, 2 vols. (Jena: Eugen Diederichs, 1910), 1:163. Translation from Edward A. Lippman, ed., *Musical Aesthetics: A Historical Reader*, Aesthetics in Music, vol. 2, no. 4 (Stuyvesant, N. Y.: Pendragon Press, 1988), 10.

[3]Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley: University of California Press, 1989), 96.

In this view, the poetry inherent in instrumental music received its inspiration from nature or from a higher spiritual being. According to Johann Gottfried von Herder (1800), the source for musical composition already existed; the duty of the composer was to make that source audible and meaningful:

Thus everything that sounds in nature is music; it has its elements in itself; and demands only a hand to draw them forth, an ear to hear them, a sympathy to perceive them. No artist has invented a tone or given it a power that it did not have in nature and in his instrument; he has discovered it, however, and with a sweet power has forced it forth. The composer has discovered progressions of tones, and forces them on us with a gentle power. Not "externally are the sensations of music produced," but in us; from the outside there comes to us only the universally moving sweet tonal sonority, which, harmonically and melodically excited, also excites harmonically and melodically whatever is susceptible of it.[4]

---

[4]"Alles also, was in der Natur tönt, ist Musik; es hat ihre Elemente in sich; und verlangt nur eine Hand, die sie hervorlocke, ein Ohr, das sie höre, ein Mitgefühl, das sie vernehme. Kein Künstler erfand einen Ton, oder gab ihm eine Macht, die er in der Natur und in seinem Instrument nicht habe; er fand ihn aber und zwang ihn mit süßer Macht hervor. Der Kompositeur fand Gänge der Töne, und zwingt sie uns mit sanfter Gewalt auf. Nicht 'von außen werden die Empfindungen der Musik erzeugt,' sondern in uns, in uns; von außen kommt uns nur der allbewegende süße Klang, der, harmonisch und melodisch erregt, was seiner fähig ist, auch harmonisch und melodisch reget." Johann Gottfried von Herder, *Sämmtliche Werke*, 48 vols. (Stuttgart: J.G. Cotta'scher, 1830), 19:8. Translation from Lippman, *Musical Aesthetics*, 35.

Just as composers served as intermediaries between nature and their earthly

compatriots, they also had the power to unite human beings. Jean Paul Richter asserted:

Indeed, music is the echo from a distant harmonious world; [it] is the sigh of the

angel within us. When the word is silent, and the embrace, and the eye, . . . and

when our silent hearts lie lonely behind the ribcage of our chest, then it is only

through music that they [people] call to each other in their dungeons and unite

their distant sighs in their wilderness.[5]

Schumann, too, believed in the spirituality of music, its capacity to move human

emotions, its ability to unite human beings in an incorporeal sense, and its power to

transcend individual experience:

Tones are the finest matter which our spirit contains, because for one thing, no

graphic representation can be made of them. Also, they alone are the greatest gift

of the deity, because they can be so easily understood and universally

comprehended, notwithstanding their spiritual essence. . . . Music is the great

---

[5]"Ja, die Musik ist der Nachklang aus einer entlegenen harmonischen Welt, ist der Seufzer des Engels in uns. Wenn das Wort sprachlos ist, und die Umarmung, und das Auge, . . . und wenn unsre stummen Herzen hinter dem Brust-Gitter einsam liegen, dann ist nur sie es, durch welche sie sich einander zurufen in ihren Kerkern und ihre entfernten Seufzer vereinigen in ihrer Wüste." Paul Moos, *Die Philosophie der Musik von Kant bis Eduard von Hartmann* (Berlin: Deutsche Verlags-Anstalt, 1922), 114-115.

invisible bond, which unites all souls, because in all spirits a harmonic accord

prevails, and because in music harmony is the companionable union of tones.

Music is the ability to express emotions audibly; it is the spiritual language of

emotion, which is hidden more secretly than the soul; but one interwoven with the

other dwells in the innermost region. The soul must first perceive pain and joy –

just as at the clavier the keys must be touched before they sound; it is only then

that the emotion communicates with the slumbering realm of tones. Thus music is

the spiritual dissolution of our sensations. Not until we have experienced a pain or

a joy in its entirety, does it excite us deeply – the spiritual realm of tones becomes

alive, however, it becomes deeper and brighter in the soul. . . . Whoever possesses

tones, does not need tears, both are equivalent – dissolved sensations of the soul.[6]

---

[6]"Töne sind der feinste Stoff, welchen unser Geist in sich schließt, schon darum,
weil man sich keine bildliche Darstellung von denselben machen kann. Allein sie sind
auch die höchste Gabe der Gottheit, weil sie, ungeachtet ihrese geisterhaften Wesens,
doch so leicht verstanden und so allgemein begriffen werden. . . . Musik ist das große
unsichtbare Band, welches alle Geister vereint, weil unter allen Geistern ein
harmonischer Einklang vorwaltet und in der Musik der Harmonie der gesellige Verein
der Töne ist. Musik ist die Fertigkeit, laut zu fühlen, sie ist die Geistersprache des
Gefühls, welche, verborgener noch als das Gemüt, aber diese mit diesem verwoben im
Innersten wohnt. Das Gemüt muß Schmerz und Freude zuerst empfinden – wie beim
Klavier die Tasten berührt werden, ehe sie klingen, dann erst teilt sich das Gefühl dem
schlummernden Tonreiche mit. So ist die Musik die geisterartige Auflösung unserer
Empfindungen. Erst, wenn wir einen Schmerz oder eine Freude in seinem ganzen
Umfange empfunden haben, dann erst regt sich es in der Tiefe, – das Geisterreich der
Töne wird lebendig, im Gemüt aber wird es stiller und heller. . . . Wer Töne hat, braucht
keine Träne, beide sind gleich viel – aufgelöste Empfindungen des Gemüts." Wolfgang
Boetticher, *Robert Schumann: Einführung in Persönlichkeit und Werk* (Berlin:
Hahnesfeld, 1941), 114-115. This quote is found in Schumann's *Die Tonwelt*, a writing
on musical aesthetics that he worked on with the novels *Selene* and *Juniusabendende und
Julitage* from 1826 to 1828. Translation from Brown, *The Aesthetics of Robert*

For Schumann, to create music that is "the spiritual language of emotion," the composer had to write music that was both imaginative and original. But to be original did not mean that composers needed to dismiss music of the past; on the contrary, Schumann regarded composers of his day as part of a continuum that included Johann Sebastian Bach, Ludwig van Beethoven, Franz Schubert, Felix Mendelssohn Bartholdy, and (eventually) the young Johannes Brahms, asserting that every composer "must be able to account for himself before the entire history of his art."[7]

Without knowing procedures used by previous composers, Schumann held that current composers would have no means by which to assess their originality. Furthermore, older music inspired new creations, as Schumann's own fugal works attest. Compositions such as his *Sechs Fügen über den Namen Bach*, op. 60, unquestionably used Bach's fugues as a model, yet Schumann's own voice is evident in the melody, harmony, rhythm, and texture.[8] Finally, without having an understanding of earlier music and its distinct features, current composers had little sense of the profundity of music.

Schumann, 25.

[7]"Und es ist doch so nötig, daß ein Künstler von der ganzen Geschichte seiner Kunst sich Rechenschaft zu geben vermag." Eugenie Schumann, *Robert Schumann: Ein Lebensbild meines Vaters* (Leipzig: Koehler & Amelang, 1931), 302.

[8]Schumann's esteem for the composer prompted him to propose a new edition of Bach's works, singling out the *Well-tempered Clavier* as an especially important work for this project. Robert Schumann, "Aelter Claviermusik: Domenico Scarlatti – J. Seb. Bach," in *Gesammelte Schriften über Musik und Musiker*, 2 vols. (Leipzig: Georg Wigand, 1871), 2:76-79. (1839)

Without producing something recondite, composers failed to reach the emotions; they fell short of carrying the auditor into new realms:

> Music is the latest of the arts to have been developed; its beginnings were simple moods of joy and sorrow (major and minor). Indeed, those less cultivated can hardly believe that it can convey specialized emotions, thus their difficulty in understanding individual masters (Beethoven's, Fr. Schubert's). Through deep penetration into the secrets of harmony, evidence of deep the secrets of harmony is acquired.[9]

Although Schumann and other writers of his time aspired to create transcendent works, in no way did they advocate that music should exist separately from everyday life. Rather, music was an integral part of worldly events. Schumann himself declared in a letter to Clara Wieck from 13 April 1838 that everything in the world he experienced affected his compositional thought, the results of which are subsumed into his music in a highly innovative manner:

---

[9]"Die Musik ist die am spätesten ausgebildete Kunst; ihre Anfänge waren die einfachen Zustände der Freude und des Schmerzes (Dur und Moll), ja der weinger Gebildete denkt sich kaum, daß es speciellere Leidenschaften geben kann, daher ihm das Verständniß aller individuelleren Meister (Beethoven's, Fr. Schubert's) so schwer wird. Durch tieferes Eindringen in die Geheimnisse der Harmonie hat man die feineren Schattirungen der Empfindung auszudrücken erlangt." Robert Schumann, "Die Contrapunktischen," in *Gesammelte Schriften*, 1:25. (1834)

Everything that takes place in the world affects me: politics, literature, people. In my own way, I contemplate everything that strives to find an escape through the joy that music gives. For this reason, many of my compositions are too difficult to understand because they are connected to distant interests that are often significant because everything noteworthy captures me. And then I must express it again musically.[10]

The cultural milieu in which Schumann advanced most of his aesthetics involved a multifaceted web of elements belonging to the tangible world and to a highly spiritual, imaginative realm. These elements consisted of music and literature on the one hand and highly individualized spiritual concepts on the other. Schumann viewed current composers as part of this environment who were essential in realizing the dichotomies inherent in the philosophical and practical aspects of the creation of a musical work. Furthermore, he regarded composers of his time as part of an evolutionary continuum which also included the past composers he deemed most worthy to be the best to serve as models.

---

[10]"Es afficirt mich alles, was in der Welt vorgeht, Politik, Literatur, Menschen; über Alles denke ich nach meiner Weise nach, was sich dann durch die Musik Lust machen, einen Ausweg suchen will. Deshalb sind auch viele meiner Kompositionen so schwer zu verstehen, weil sie an entfernte Interessen anknüpfen, oft auch bedeutend, weil mich alles Merkwürdige der Zeit ergreist, und ich es dann musikalisch wieder ausprechen muß." Robert Schumann, *Jugendbriefe*, ed. Clara Schumann (Leipzig: Breitkopf & Härtel, 1885), 282.

I. THE SYMPHONY AS A GENRE

Schumann considered the symphony to be an especially important genre because of the great potential it offered to composers, their audience, and society. Due to its large dimensions, the symphony provided ample opportunity for creativity and originality. Part of the creative process could even be associated with literature: the symphony was frequently compared to prose and poetry. Its sizable dimensions also disclosed a particular ambition on the part of the composer, one that reflected the composer's level of success in articulating his or her originality on a large scale in a prominent, highly esteemed, established genre. As a public genre, the symphony served as an effective vehicle for promoting contemporary ideals. Finally, the symphony belonged to a rich musical heritage, one that was identifiably German, and one that could continue the legacy established by earlier composers: Haydn, Mozart, and especially Beethoven.

After Beethoven's death, the symphony in German-speaking countries faced a dubious future; even the prospect of writing a symphony involved challenges that seemed insurmountable to most composers. The legacy of Beethoven's symphonies proved to be the primary difficulty. Mark Evan Bonds has suggested that Beethoven's achievements in the symphonic genre prompted composers to follow his legacy in three different ways: considering the symphony to be a defunct genre; composing orchestral music in genres other than the symphony (such as the concert overture); or writing symphonies, thereby

directly confronting the challenge of composing a symphony.[11] Schumann opted to accept

this challenge by composing four completed symphonies and by reviewing contemporary

symphonies primarily in letters and in articles published in the *Neue Zeitschrift für*

Musik.

Like his contemporaries, Schumann recognized the problem of composing a

symphony in the post-Beethovenian era. In Schumann's mind, the symphony and

Beethoven were synonymous: "When the German speaks of symphonies, he speaks of

Beethoven; the two names are one and inseparable to him; [they] are his joy, his pride."[12]

The impact of Beethoven's symphonies was so great that most composers looked to other

instrumental genres to compose new orchestral works. Even before Schumann composed

his four completed symphonies, he feared in 1835 that Beethoven had exhausted the

symphony. In an 1835 discussion of Mendelssohn's role in symphonic music, Schumann

noted:

> Mendelssohn, an eminent artist in his production as well as in his reflectiveness,
>
> must have realized that nothing more could be gained on this path and followed a

---

[11]Bonds proposed that composers who wrote symphonies "misread" Beethoven in their quest for individuality. Mark Evan Bonds, *After Beethoven: Imperatives of Originality in the Symphony* (Cambridge, Mass.: Harvard University Press, 1996), 5.

[12]"Wenn der Deutsche von Symphonieen spricht, so spricht er von Beethoven: die beiden Namen gelten ihm für eines und unzertrennlich, sind seine Freude, sein Stolz." Robert Schumann, "Neue Symphonieen für Orchester: G. Preyer – C.G. Reißiger – F. Lachner," in *Gesammelte Schriften*, 2:102. (1839)

new one that Beethoven, nevertheless, had prepared in his great *Leonore* overture.

With his concert overtures, in which he condensed the idea of the symphony into

a smaller sphere, he achieved the crown and scepter over all the instrumental

composers of the day. It was to be feared that the name symphony belonged to

history only from then on.[13]

Despite doubts concerning the future of the symphony, not all composers,

including Schumann, regarded the symphony as a genre completely defunct. However, in

Schumann's opinion, most attempts at symphonic composition were failures primarily

because most composers were uncertain about how to write effective, original

symphonies in the post-Beethovenian era. Many composers, according to Schumann,

imitated early works by Beethoven; thus, these composers failed to express their own

voice in accordance with the aesthetics of their time.

Since then the creations of the master [i.e., Beethoven] have been intimately

bound up with our hearts. Several of the symphonic works even have become

---

[13]"Mendelssohn, ein productiv wie reflectiv bedeutender Künstler, möchte einsehen, daß auf diesem Wege nichts zu gewinnen sei, auf dem ihm allerdings Beethoven in seiner großen Leonorenouverture vorgearbeitet hatte. Mit seinen Concertouverturen, in welchen er die Idee der Symphonie in einen kleineren Kreis zusammendrängte, errang er sich Kron' und Scepter über die Instrumentalcomponisten des Tages. Es stand zu fürchten, der Name der Symphonie gehöre von nun an nur noch der Geschichte an." Robert Schumann, "Symphonie von H. Berlioz," in *Gesammelte Schriften*, 1:69-70.

popular so that one should believe they must have left deep vestiges behind that were manifested in the works of the same kind of the succeeding period. That is not so. We, no doubt, find imitations, curiously, however, mostly only in the early Symphonies of Beethoven, as if each one needed a certain time before it would be understood and copied.[14]

Most contemporaries of Schumann, therefore, seemed to have understood Beethoven's works and musical language up to the end of the middle Vienna period (i.e., 1803-1812) only, leaving the majority of his later works shrouded in incomprehension.[15] The understanding of only part of Beethoven's oeuvre compounded the problem of determining the future path of the symphony.

---

[14]"Wie nun die Schöpfungen dieses Meisters mit unserm Innersten verwachsen, einige sogar der symphonischen populär geworden sind, so sollte man meinen, sie müßten auch tiefe Spuren hinterlassen haben, die sich doch am ersten in den Werken gleicher Gattung der nächstfolgenden Periode zeigen würden. Dem ist nicht so. Anklänge finden wir wohl, – sonderbar aber meistens nur an die früheren Symphonieen Beethoven's, als ob jede einzelne eine gewisse Zeit brauchte, ehe sie verstanden und nachgeahmt würde." Robert Schumann, "Neue Symphonieen für Orchester," in *Gesammelte Schriften*, 2:102. (1839)

[15]Maynard Solomon, Joseph Kerman, and Alan Tyson proposed dividing Beethoven's compositions into four periods rather than the traditional tripartite division. Kerman and Tyson subdivide each of these periods into two subperiods. The so-called middle Vienna period constitutes the third period. Its first subperiod, 1803-1808, features heroic works of an experimental nature such as the Third Symphony while pieces belonging to its second subperiod, 1809-1812, exhibit a more settled style in which Beethoven firmly expresses his own compositional technique and voice. Maynard Solomon, *Beethoven*, 2nd ed. (New York: Schirmer, 1998). Joseph Kerman et al., "Beethoven, Ludwig van." *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie and John Tyrrell, 2nd ed., 29 vols. (London: Macmillan, 2001), 3:95-96.

In the same article, Schumann discussed the approach several contemporary

composers took in writing their symphonies. His description offers a useful explanation

of the methods these composers used, and of his own aesthetic values in symphonic

composition:

The more recent symphonies fall into the style of the overture for the most part,

the first movements in particular. The slow movements are there only because

they must be included. The scherzos are in name only. The last movements do not

know any longer what the previous ones contain.[16]

In Schumann's view, a successful symphony had to offer transcendent qualities such as

those prescribed by Tieck and Wackenroder. To achieve this, musical elements of the

symphony on both a large and small scale needed to reflect the premises of what Anthony

Newcomb has described in terms of narratology.[17] Narratology, in the context of an

extended musical work such as a symphony, deals with methods of evaluating the

meaning of units such as a movement or a phrase in relationship to the entire work in

---

[16]"Die neueren Symphonieen verflachen sich zum größten Theil in den Ouverturenstyl hinein, die erste Sätze namentlich; die langsamen sind nur da, weil sie nicht fehlen dürfen; die Scherzo's haben nur den Namen davon; die letzten Sätze wissen nicht mehr, was die vorigen enthalten." Robert Schumann, "Neue Symphonieen für Orchester," in *Gesammelte Schriften*, 2:102. (1839)

[17]Anthony Newcomb, "Schumann and the Late Eighteenth-Century Narrative Strategies," *19th-Century Music* 11, no. 2 (fall 1987): 164-174.

much the same way that various elements of a novel create a sense of association resulting in some sort of meaning. Whether that meaning is derived from an episodic or chronological dimension (i.e., a story created from a succession of particular events) or from a configurational or non-chronological dimension (i.e., a significant whole derived from scattered events) is irrelevant; rather, the meaning of the musical events and especially how they relate to each other in the context of the whole is of utmost importance. Thus, the way in which the events of a musical composition relate to each other reveals the meaning of a particular work. That meaning in itself must be powerful enough to move the auditor's imagination into that higher realm of boundless emotion and expression in much the same way that elements of Jean Paul Richter's novels affected Schumann's imagination. In this way, the auditor should share an experience similar to what Wackenroder described to Tieck in 1792:

> When I go to a concert, I find that I invariably enjoy the music in two different ways. Only one of these ways is the right one: it consists in alert observation of the notes and their progression, in fully surrendering my spirit to the welling torrent of sensations, in removing and disregarding every disturbing thought and all irrelevant impressions of my senses.[18]

---

[18]"Wenn ich in ein Konzert gehe, find' ich, daß ich immer auf zweierlei Art die Musik genieße. Nur die eine Art des Genusses ist die wahre: sie besteht in der aufmerksamsten Beobachtung der Töne und ihrer Fortschreitung; in der völligen Hingebung der Seele in diesen fortreißenden Strom von Empfindungen; in der Entfernung und Abgezogenheit von jedem störenden Gedanken und von allen

Schumann addressed issues concerning the symphony primarily for two reasons: first, his belief in the importance of the genre; and second, his faith that composers had the potential to continue writing symphonies that cultivated new ideas and individuality. As late as 1854, Schumann implied that instrumental music held more importance than vocal music,[19] even after having composed more than one hundred Lieder and several works for chorus and orchestra. With symphonies, the opportunities were considerable for composers to express a wealth of ideas on a large scale while simultaneously demonstrating their genius. When Schumann discussed form in his critique of Berlioz's *Symphonie fantastique*, he stated that, due to its great dimensions, the symphony presented challenges that only composers of great thought can meet: "Form is the vessel of the spirit. Greater spaces demand greater spirits to fill them. By the title 'symphony,' one refers to the largest proportions as yet attained in instrumental music."[20]

In a letter to Carl Debrois van Bruyck of 8 May 1853, Schumann explained the difference between composing small- and large-scale works. When one composes in

---

fremdartigen sinnlichen Eindrücken." Wackenroder, *Werke und Briefe*, 2:11. Translation from Dahlhaus, *Nineteenth-Century Music*, 95.

[19]Schumann wrote to Breitkopf and Härtel on 3 January 1854 about a catalogue of his works: "I will place the instrumental music before the vocal. It always looks well for symphonies to open the ball." Robert Schumann, *The Life of Robert Schumann Told in His Letters*, trans. May Herbert, 2 vols. (London: Richard Bentley, 1890), 2:276. Herbert's source is the only that includes this information.

[20]"Die Form ist das Gefäß des Geistes. Größere Räume fordern, sie zu füllen, größern Geist. Mit dem Namen 'Symphonie' bezeichnet man bis jetzt in der Instrumentalmusik die größten Verhältnisse." Robert Schumann, "Symphonie von H. Berlioz," in *Gesammelte Schriften*, 1:69. (1835)

large forms or genres, a deeper mental capacity is required than that necessary for the

composition of small forms or genres.[21] For this reason, Schumann encouraged other

composers to attempt writing larger works. In a letter to Johann Georg Herzog of 4

August 1842, Schumann urged him to compose either a toccata or a fugue rather than

continuing with smaller genres; new experiences in these larger genres, he submitted,

will sharpen the mind, stimulate the imagination, and unlock potential.[22]

There is also a practical reason for composing in larger genres. Symphonies,

operas, and oratorios are public, established genres. Many composers and audiences alike

assumed that these genres required greater creative powers than those necessary for

composing works in the smaller genres. Thus, the alleged intellectual challenge promoted

these genres to a higher level of prestige, one in which presumably only the most gifted

composers could engage successfully. On 28 October 1841, Schumann advised Karl

Koßmaly to compose pieces in larger genres: "write larger pieces – symphonies and

---

[21]"I would hope that you would have the opportunity to hear my large orchestral
compositions. For whenever I create in smaller forms with the same serious-mindedness
as in the larger ones, as I can no doubt attest, there is still an entirely different
summoning of one's strength when one has to work with bigger dimensions." "Ich
wünschte, daß Sie auch meine größeren Orchestercompositionen zu hören Gelegenheit
hätten. Denn wenn ich auch, wie ich wohl sagen kann, in kleineren Formen mit
demselben Ernst schaffe wie in größeren, so gibt es doch noch ein ganz anderes
Zusammennehmen der Kräfte, wenn man es mit Massen zu thun hat." F. Gustav Jansen,
Robert Schumanns Briefe: Neue Folge (Leipzig: Breitkopf & Härtel, 1904), 372.

[22]"At least do not write too many small things and try larger forms such as the
fugue, the toccata, etc. in which Bach set the highest standard." "Schreiben Sie
wenigstens nicht zu viel kleine Sachen und versuchen sich in größeren Formen, in der
Fuge, der Toccata u. s. w., von denen ja Bach die höchsten Muster aufgestellt." Jansen,
Robert Schumanns Briefe, 217.

operas. You are able to do it. It is difficult to get attention with small [pieces]."[23]

Furthermore, the symphony especially was an effective tool of propaganda; by creating a

symphonic work which is independent of text or any other extramusical association and

that reflects the aesthetics of the time, composers could simultaneously express their

originality while promoting the ideals of their age. Finally, composers would continue a

traditional genre that was beloved especially to the German musical heritage. In

Schumann's own words: "after Beethoven's death [we] are summoned to advance [the

symphony] in new forms. Long live the German symphony and may it blossom and

flourish anew."[24]

II. The Orchestra as Medium

Although Schumann discussed the virtues of the symphony throughout his career,

he offered little, if any, information about his views on the orchestra as a medium. One

can infer that he valued the orchestra by the advice he gave to composers, through his

criticism of other composers' orchestral works, and by composing symphonies for full

orchestra and other works with orchestra. His commentaries and compositions suggested

that composing for the orchestra presented challenges that only the most gifted

composers could confront.

---

[23]"Sodann schreiben Sie größere Stücke, Symphonien, Opern. Sie können es. Mit Kleinem ist schwer durchdringen." Jansen, *Robert Schumanns Briefe*, 208.

[24]"[N]ach Beethoven's Hinscheiden [die Symphonie] in neuer Norm aufzustellen beschieden ist. Es lebe die deutsche Symphonie und blüh' und gedeihe von Neuem." Robert Schumann, "Neue Symphonieen für Orchester," in *Gesammelte Schriften*, 2:108. (1839)

That Schumann was abreast of the latest developments in orchestration is evident in a letter of 7 March 1843 to Raimund Härtel in which Schumann inquired about the possibility of publishing Hector Berlioz's *Treatise on Instrumentation*: "Do you have any inclination to publish something by Berlioz? . . . The brochure on instrumentation is highly ingenious. It will be widely read."[25] Not only did Schumann bring this seminal treatise to the attention of a major German publisher, but he also demonstrated prowess in recognizing a work whose influence would be significant to later composers and even to students of orchestration today.

Schumann apparently valued originality in orchestration in much the same way that he appreciated singularity in the composition of symphonies. In his letter to Clara in which he expressed his enthusiasm of Schubert's newly discovered "Great" C-major Symphony, Schumann described Schubert's instruments as sounding like "human voices." He then commended Schubert's orchestration for being "extremely ingenious," adding "and such instrumentation in spite of Beethoven."[26]

Schumann's awareness of the nuances involved in the art of orchestration is seen in his comments on Mendelssohn's *Ouvertüre zum Mährchen der schönen Melusine*. Rather than discussing Mendelssohn's orchestration procedures in general, Schumann

---

[25]"Hätten Sie keine Lust, etwas von Berlioz zu verlegen? . . . Die Brochüre über Instrumentation ist höchst geistreich; die wird viel gelesen werden!" Jansen, *Robert Schumanns Briefe*, 436.

[26]*The Complete Correspondence of Clara and Robert Schumann*, ed. Eva Weissweiler, trans. Hildegard Fritsch and Ronald L. Crawford, 2 vols. (New York: Peter Lang, 1994), 2:513.

instead described one event in the piece in which Mendelssohn's orchestration affected

the tone of the entire work: "From among the particular instrumental effects we still hear

the beautiful B♭ of the trumpet (near the beginning), that builds the seventh chord – a

tone from ancient times."[27] In more general terms, Schumann, in his appraisal of

Mendelssohn's A-minor Symphony, op. 56, noted the "attractive instrumental effects"[28]

as one of the attributes of this piece.

In contrast to the excellent orchestration Schumann found in the works of

Schubert and Mendelssohn, he deplored the orchestration of Georges Onslow's

Symphony in A. Specifically, Schumann did not understand the reason for the thick

instrumentation. The thickness, instead of enhancing the Symphony, obscured the various

melodic lines:

> I see, on the one hand, that the instruments stick too close together and are piled
>
> on top of one another too indiscriminately; on the other, the melodic strands –
>
> both principal and secondary subjects – emerge so strongly that I am at a loss to
>
> reconcile their clarity with the thick instrumentation. There is some governing

---

[27]"Von einzelnen Instrumentaleffecten hören wir noch das schöne B der Trompete (gegen den Anfang), das die Septime zum Accorde bildet; – ein Ton aus uralter Zeit." Robert Schumann, "Ouverture zum Mährchen von der schönen Melusine von F. Mendelssohn Bartholdy," in *Gesammelte Schriften*, 1:139. (1836)

[28]"an reizenden Instrumentaleffecten" Robert Schumann, "Symphonieen für Orchester," in *Gesammelte Schriften*, 2:332. (1843)

circumstance here that I cannot explain because it remains an undisclosed secret to me.[29]

Schumann obviously considered orchestration one of the most effective means by which the composer can communicate the intention of the piece. For this reason, the composer must carefully select instrumental combinations so that the imagination of the auditor is inspired to a higher level.

III. SCHUMANN'S CRITICISMS OF STYLISTIC FEATURES OF OTHER COMPOSERS' SYMPHONIES

In his criticisms on current symphonic works, Schumann provided a wealth of practical and philosophical information concerning symphonic composition. He posited that a musical composition needed to be crafted well, adding that the composition through its artfulness had to evoke a special spirit reflective of the ideals characteristic of romanticism. Schumann offered insights into those ideas through his observations and comments about contemporary symphonies.

Schumann explicitly stated the criteria he used for judging a musical composition in his well-known article on Berlioz's *Symphonie fantastique*. He explained that tangible

---

[29]"Denn einestheils seh' ich, wie die Instrumente noch zu sehr an einander kleben und zu verschiedenartige auf einander gehäuft sind, anderntheils fühlen sich dennoch die Haupt- wie Nebensachen, die Melodieenfäden so stark durch, daß mir eben dieses Aufdrängen des letztern bei der dicken Instrumentencombination sehr merkwürdig erscheint. Es waltet hier ein Umstand, über den ich mich, da er mir selbst geheim, nicht deutlich ausdrücken kann." Robert Schumann, "Schwärmbriefe: An Chiara," in *Gesammelte Schriften*, 1:117. (1835)

elements of a work such as form and harmony needed to be assessed. Ethereal factors, the special idea that the composer presented in the piece, and the spirit of the work also required evaluation. These elements together provided the tools necessary to judge the merit and originality of a given composition:

The diverse material that this Symphony offers for consideration could too easily lead to confusion if discussed in sequence. Therefore, I prefer to discuss them in separate parts [despite] how often they borrow from one another in their explanations; namely, according to four points of view with which a musical work can be analyzed: that is, according to the form (the whole, the individual movements, the period, the phrase), the musical composition (harmony, melody, voicing, craftsmanship, style), the special idea that the composer wanted to present and the spirit that governs the form, substance, and idea.[30]

As part of his ideals concerning the craft of musical composition, Schumann emphasized the importance of form; without adequate structure, the meaning of the music

---

[30]"Der vielfache Stoff, den diese Symphonie zum Nachdenken bietet, könnte sich in der Folge leicht zu sehr verwickeln, daher ich es vorziehe, sie in einzelnen Theilen, so oft auch einer von dem andern zum Erklärung borgen muß, durchzugehen, nämlich nach den vier Gesichtspunkten, unter denen man ein Musikwerk betrachten kann, d. i. je nach der Form (des Ganzen, der einzelnen Theile, der Periode, der Phrase), je nach der musikalischen Composition (Harmonie, Melodie, Satz, Arbeit, Styl), nach der besondern Idee, die der Künstler darstellen wollte, und nach dem Geiste, der über Form, Stoff und Idee waltet." Robert Schumann, "Symphonie von H. Berlioz," in *Gesammelte Schriften*, 1:68. (1835)

is lost. This is one of the reasons Schumann valued the unification of the disparate

movements of a symphonic work so highly: musically joining the movements of a

symphony created an overarching unity. Furthermore, each movement still maintained its

own character while simultaneously bearing a meaningful relationship to the other

movements. Schumann explained this best in his discussion of Mendelssohn's A-minor

Symphony:

> Mendelssohn's Symphony is distinctive because of the intimate relations among
>
> all four movements. Even the melodic direction of the main theme in the four
>
> different movements is related. This is discovered in an initial cursory
>
> comparison. Thus, more than any other symphony, it is built as a tightly-woven
>
> whole. Character, tonality, [and] rhythm digress from each other only rarely in the
>
> various movements. The composer wishes that the four movements be played one
>
> after the other without a long pause, as he states in a prefatory notice.[31]

---

[31]"In der Grundlage zeichnet sich die Symphonie Mendelssohn's noch durch den innigen Zusammenhang aller vier Sätze aus; selbst die melodische Führung der Hauptthema's in den vier verschiedenen ist eine verwandte; man wird dies auf eine erste flüchtige Vergleichung herausfinden. So bildet sie denn mehr als irgend eine andere Symphonie auch ein engverschlungenes Ganze; Charakter, Tonart, Rhythmus weichen in den verschiedenen Sätzen nur wenig von einander ab. Der Componist wünscht auch selbst, wie er in einer Vorbemerkung sagt, daß man die vier Sätze ohne lange Unterbrechung hinter einander spiele." Robert Schumann, "Symphonieen für Orchester," in *Gesammelte Schriften*, 2:332. (1843)

In the case of this Symphony, unity of spirit prevailed throughout the various movements. Mendelssohn accomplished this through shared melodic, tonal, and rhythmic elements in the movements, thereby maintaining a similar tone throughout the work.

Unity blended with variety created a higher meaning that is absent in symphonies containing completely dissimilar movements. By maintaining some sort of interconnection among the movements, the meaning of the musical argument unfolded. Schumann explained this theory in his discussion of Schubert's "Great" C-major Symphony when he compared the length of the work to a novel in four volumes by a writer such as Jean Paul Richter.[32] With sufficient length in a unified work, the auditor had ample opportunity to cultivate a highly personal, ethereal experience that Schumann apparently savored when he first heard this Symphony. Schumann's viewpoint reflected Wackenroder's premise that "symphony movements" offered an entire world of emotion and drama:

And yet, I cannot refrain from extolling, in addition, the latest, highest triumph of musical instruments: I mean those divine, magnificent symphony movements (brought forth by inspired spirits), in which not one individual

---

[32]"And this Symphony's heavenly length, like a thick novel in four volumes perhaps by Jean Paul who can never end namely for the best reason: to allow the reader to think it out afterwards [for himself]." "Und diese himmlische Länge der Symphonie, wie ein dicker Roman in vier Bänden etwa von Jean Paul, der auch niemals endigen kann und aus den besten Gründen zwar, um auch den Leser hinterher nachschaffen zu lassen." Robert Schumann, "Die Cdur-Symphonie von Franz Schubert," in *Gesammelte Schriften*, 2:141. (1840)

emotion is portrayed, but an entire world, an entire drama of human emotions, is radiated.[33]

Schumann also regarded form as a means of linking the present with the past. His analysis of the first movement of Berlioz's *Symphonie fantastique* serves as an example. In his discussion of the form, Schumann provided a diagram and compared it to a generic form commonly used by earlier composers. Schumann's diagrams reveal that Berlioz maintained the use of two themes with their contrasting tonal regions and the basic symmetry inherent to the basic form (Diagram 1.1). Berlioz's preservation of certain fundamental elements while altering the basic form most likely appealed to Schumann. Instead of introducing the thematic material from the onset of the movement, Berlioz framed the basic form with an introduction and a coda.[34] Berlioz also elaborated in those sections in which the second theme is heard, thus affording variety to the basic structure. Instead of including a middle period that separates the initial statement of the first two
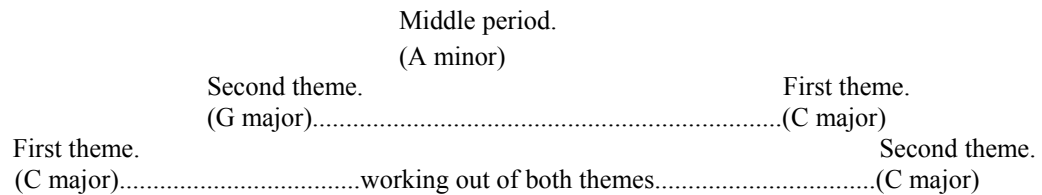
---

[33]"Und doch kann ich's nicht lassen, noch den letzten höchsten Triumph der Instrumente zu preisen: ich meine jene göttlichen großen Symphonische Stücke (von inspirierten Geistern hervorgebracht), worin nicht eine einzelne Empfindung gezeichnet, sondern eine ganze Welt, ein ganzes Drama menschlichen Affekten ausgeströmt ist." Wackenroder, *Werke und Briefe*, 1:192.

[34]Schumann would have liked the introduction especially because of its numerous connections with the Allegro that follows. In a negative review of Christian Gottlob Müller's Third Symphony (1835), Schumann noted Müller's superficial obeisance to tradition by composing an introduction in that has no connection to the ensuing section. See Robert Schumann, "Die dritte Symphonie von C. G. Müller," in *Gesammelte Schriften*, 1:67-68.
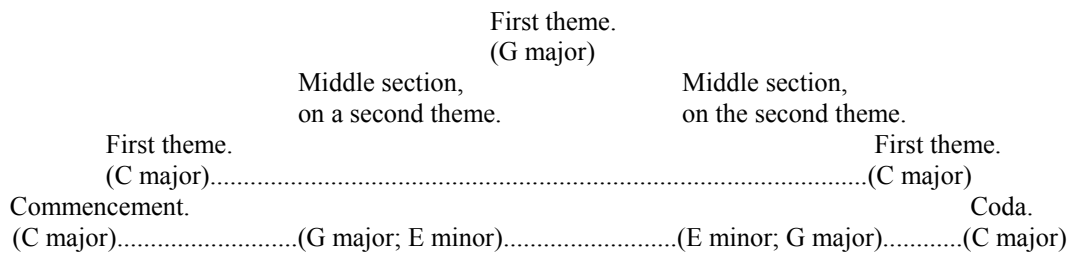
themes and their return, Berlioz restated the first theme, thereby integrating ritornello-like elements. By doing so, he created a seven-part symmetrical structure both thematically and harmonically in contrast to the three-part symmetrical construct of the original model whose symmetry is faulted by the return of the first theme in the tonic key. Through his innovative treatment of the traditional model, Berlioz preserved essential elements while simultaneously achieving unity and variety. In Schumann's remarks on the form of the first movement of this work, he clearly revealed his

Diagram 1.1. Comparison of the Forms between the General Sonata Form and the First Movement of Berlioz's *Symphonie fantastique* in Schumann's "Symphonie von H. Berlioz"[35]

Older model

                                                    Middle period.
                                                    (A minor)
                        Second theme.   First theme.
                        (G major)...(C major)
            First theme.   Second theme.
            (C major)...................................working out of both themes................................(C major)

Berlioz, *Symphonie fantastique*, movement 1

                                                    First theme.
                                                    (G major)
                        Middle section,   Middle section,
                        on a second theme.   on the second theme.
            First theme.   First theme.
            (C major)...(C major)
Commencement.   Coda.
(C major).........................(G major; E minor).........................(E minor; G major)...........(C major)

---

admiration for Berlioz's ingenious innovations: "We do not know in what respect the earlier form may be considered superior to the later one in variety and unity of treatment, but we wish we possessed the magnificent imagination necessary to compose either one."[36]

Just as a symphony should have a meaningful connection among and within movements, harmony also needed to be a significant part in expressing the intention of the work. Without that meaning, the harmony risked becoming superficial regardless of its complexities. Using Christian Gottlieb Müller's Third Symphony as an example, Schumann discussed the pointlessness of Müller's four-part harmony:

> Then I would like to shade over some four-voice passages for wind instruments because it always sounds like they wanted to say, "Listen, we are playing four-part harmony now," not to mention a certain embarrassment of the audience which keeps its eye on the tacit violins.[37]

---

[36]"Wir wüßten nicht, was die letzte vor der ersten an Mannichfaltigkeit und Uebereinstimmung voraus haben sollte, wünschen aber beiläusig, eine recht ungeheure Phantasie zu besitzen und dann zu machen, wie es gerade geht." Robert Schumann, "Symphonie von H. Berlioz," in *Gesammelte Schriften*, 1:73. (1835)

[37]"Dann würde ich einzelne vierstimmige Sätze für Blasinstrumente irgend schattiren; denn es klingt solches immer, als wollten sie sagen: 'horcht, wir blasen jetzt vierstimmig,' eine gewisse Verlegenheit des Publicums nicht zu bedenken, welches sehr auf die pausirenden Violinisten aufpaßt." Robert Schumann, "Die dritte Symphonie von C.B. Müller," in *Gesammelte Schriften*, 1:68. (1835)

Indeed, complicated harmony did not necessarily make a good composition.

Instead, effective harmony was brought about by assuredness on the part of the composer

who created a harmonic language that complemented the melody and, more broadly, the

spirit of the work. Schumann described the harmony in Berlioz's *Symphonie fantastique*,

as distinguished by "a variety of schemes which he creates with little material through a

certain simplicity; at any rate, through a soundness and terseness such as one encounters

– certainly much more moulded – in [the works of] Beethoven."[38] Even when Schumann

regarded Berlioz's harmony as being too sparse, he attributed this to the nature of the

melody, whose folk-like qualities called for a simple harmony:

> If one wished to reproach Berlioz, it would be for the neglected middle
>
> voices. However, a mitigating concern I have observed with few other composers
>
> stands contrary to this. His melodies distinguish themselves namely by such
>
> intensity of each tone that they, like many old folk songs, often require no
>
> harmonic accompaniment at all. For this reason, [they] would suffer in tonal

---

[38]"[S]eine Harmonie zeichne sich trotz der mannichfaltigen Combinationen, die er mit wenigem Material herstellt, durch eine gewisse Simplicität, jedenfalls durch eine Kernhaftigkeit und Gedrungenheit aus, wie man sie, freilich viel durchgebildeter, bei Beethoven antrifft." Robert Schumann, "Symphonie von H. Berlioz," in *Gesammelte Schriften*, 1:75. (1835)

quality. Therefore, Berlioz harmonizes them mostly with a static ground bass or with the chords in which the idle upper or lower fifth is idle.[39]

Schumann proposed that a work should contain evocative ideas or melodies, independent of any specific extramusical source, that are not only memorable but also bear a profound essence.[40] Through originality instead of the use of a program, the piece would evoke a spirit that reaches the depths of human understanding, emotion, and empathy. That spirit will affect each auditor differently; the psychological impact of a given work varies for each auditor. Due to the limitations of verbal communication, Schumann resisted supplying verbal descriptions.[41] When descriptive titles or other

---

[39]"Wollte man Berlioz einen Vorwurf machen, so wär' es der der vernachlässigten Mittelstimmen; dem stellt sich aber ein besonderer Umstand entgegen, wie ich es bei wenigen andern Componisten bemerkt habe. Seine Melodieen zeichnen sich nämlich durch eine solche Intensität fast jedes einzelnen Tones aus, daß sie, wie viele alte Volkslieder, oft gar keine harmonische Begleitung vertragen, oft sogar dadurch an Tonesfülle verlieren würden. Berlioz harmonisirt sie deshalb meist mit liegendem Grundbaß, oder mit den Accorden der umliegenden Ober- und Unterquinten." Robert Schumann, "Symphonie von H. Berlioz," in *Gesammelte Schriften*, 1:79. (1835)

[40]Schumann's concept of melody parallels that of Anton Reicha who offered the following definition of a desirable melody: "In a good melody we find a spirit, or an emotion, or a succession of sounds so well linked that our ear is delighted and captivated." Anton Reicha, *Treatise on Melody*, trans. Peter M. Landey (Hillsdale, N.Y.: Pendragon, 2000), 13.

[41]For a detailed discussion of symphonies by Mendelssohn and Schumann that demonstrate qualities associated with both absolute and program music, see Ludwig Finscher, "Zwischen absoluter und Programmusik," *Über Symphonien: Beiträge zu einer musikalischen Gattung*, ed. Christoph-Hellmut Mahling (Tutzing: Hans Schneider, 1979), 103-115.

verbal explanations are given, the auditor is expected to experience the ideas and the

emotions of the program as they are communicated in the music; no room is left for the

auditor's own impressions. Therefore, Schumann found fault with Ludwig Spohr's Fourth

Symphony, *Die Weihe der Töne*, because of its programmatic references:

> If one could find a listener, not advised about the poem and about the titles of the
>
> individual movements of the Symphony, [who] could give an account of the
>
> pictures which are suggested to him, it would be a test if the poet achieved his
>
> purpose. Unfortunately, I already knew the intent of the Symphony in advance
>
> and was forced against my will to see only too clearly the figures of the music
>
> that are forced upon me, to overturn the true raiment of Pfeiffer's poem.[42]

Rather than composing works with specific titles, Schumann encouraged

composers to write works that evince a spirit, one that cannot be explained by musical

terminology or through the text of a program. This spirit takes the auditor to realms of

---

[42]"Ließe sich ein Zuhörer finden, der, von dem Gedicht und von den
Ueberschriften zu den einzelnen Sätzen der Symphonie nicht unterrichtet, uns
Rechenschaft von den Bildern, welche sie in ihm erweckt, geben könnte, so wäre das eine
Probe, ob der Tondichter seine Aufgabe glücklich gelöst habe. Leider wußte auch ich
schon vorher von der Absicht der Symphonie und sah mich wider Willen gezwungen,
den Gestalten der Musik, die sich mir nur zu deutlich aufdrangen, das noch materiellere
Gewand der Pfeifer'schen Dichtung umzuwerfen." Robert Schumann, "'Die Weihe der
Töne,' Symphonie von Spohr," in *Gesammelte Schriften*, 1:63-64. (1835)

emotional experience that have not yet been reached. Schumann explained this concept

best in his review of Schubert's "Great" C-major Symphony:

[O]ne likes to believe that the outside world, bright today, dark tomorrow, often

penetrates to the spiritual recesses of the poet and musician, and to hear such a

symphony as this is to concede that it carries hidden away within it more than

mere lovely song, more than mere joy and sorrow expressed in conventional

musical terms. It is to concede that it guides us to a new realm.[43]

The spirit of a composition can be educed only through creating original works.

Originality to Schumann meant creating distinctive works that are independent of the

influence of Beethoven, programs, and eclecticism. One of the problems that Schumann

found in symphonies of his contemporaries is that they attempted to combine

characteristics of music from other countries. Schumann disdained this practice primarily

because the resulting works exhibited no distinctive style and certainly bore no special

ideas or spirit. Using the example of Franz Lachner's "Prize" Symphony, a work that had

---

[43]"Aber daß die Außenwelt, wie sie heute strahlt, morgen dunkelt, oft hineingreist in das Innere des Dichters und Musikers, das wolle man nur auch glauben, und daß in dieser Symphonie mehr als bloßer schöner Gesang, mehr als bloßes Leid und Freud', wie es die Musik schon hundertfältig ausgesprochen, verborgen liegt, ja daß sie uns in eine Region führt, wo wir vorher gewesen zu sein uns rirgends erinnern können, dies zuzugeben, höre man solche Symphonie." Robert Schumann, "Die Cdur-Symphonie von Franz Schubert," in *Gesammelte Schriften*, 2:141. (1840) Translation from Robert Schumann, *Schumann on Music*, trans. and ed. Henry Pleasants (New York: Dover, 1965), 165.

recently won the Vienna *Concert Spirituels* competition, Schumann explained his

premise:

> Clearly, the symphony is without style, assembled from German, Italian, and
> French [elements], as the romance languages are. For the beginnings [and]
> canonic imitations, Lachner uses German, for the cantilena style, [he uses] Italian,
> for the transitions and closings, [he uses] French. Where this is compiled with so
> much skill, often in rapid succession as with Meyerbeer, one still hears it with a
> softer voice. Where one is cognizant of this until sheer boredom, as seen on the
> faces of the Leipzig audience, then only the patient critic can do nothing [but]
> reject [it] immediately.[44]

According to Schumann, by communicating special ideas and a particular spirit in

an original work, the composer will have created a poetic work, one that creates a world

of imagery and ideas that have not been experienced by the auditor. A composition

bearing these qualities involved intellectual challenges to achieve full comprehension;

---

[44]"Mit klarerem Worte, die Symphonie ist styllos, aus Deutsch, Italienisch und Französisch zusammengesetzt, der romanischen Sprache vergleichbar. Von deutscher Weise benutzt Lachner zu den Anfängen, zu canonischen Nachahmungen, von italienischer zur Cantilene, von französischer zu den Verbindungssätzen und Schlüssen. Wo dies mit so viel Geschick, oft Schlag auf Schlag, wie bei Meyerbeer, compilirt ist, mag man es bei milder Stimmung noch anhören; wo man sich dies aber bis zur Langeweile bewußt wird, wie es auf dem Gesicht des Leipziger Publicums zu lesen war, so kann nur die nachsichtsvollste Kritik nicht geradezu verwerfen." Robert Schumann, "Die Preis Symphonie," in *Gesammelte Schriften*, 1:135. (1836)

most people required more time and greater exposure to understand the intentions of the composer. Once a member of the general public has been challenged, he or she will become a richer individual intellectually and spiritually. Composers, therefore, cannot be concerned with the immediate reception of the general public. Schumann noted:

> German composers usually fail in their intention of wanting to please the public. However, if one of them once would give [us] something individual, simple, [and] deeply spiritual, entirely from within, he will see for himself whether he does not achieve more [favor]. Those who always cater to the public with outstretched arms ultimately will be habitually looked down upon. Beethoven moved with bowed head and folded arms. The crowd timidly yielded to him and gradually became familiar with his unusual style.[45]

The composer also will be awarded with longevity; those composers who possess deeper meaning will be remembered and appreciated by future generations. In a discussion on originality within a musical composition, Schumann observed:

---

[45]"Die deutschen Componisten scheitern meistens an der Absicht, dem Publicum gefallen zu wollen. Gebe aber nur einmal einer etwas Eigenes, Einfaches, Tiefinnerliches ganz aus sich heraus, und er soll sehen, ob er nicht mehr erlangt. Wer dem Publicum immer mit ausgebreiteten Armen entgegenkommt, den gewöhnt es sich endlich über die Achsel anzusehen. Beethoven ging mit gesenktem Kopf und untergeschlagenen Armen einher, da wich der Plebs scheu auseinander, und nach und nach wurde ihm auch seine ungewöhnliche Sprache vertrauter." Robert Schumann, "Deutsche Opern," in *Gesammelte Schriften*, 2:293. (1842)

Thus it often occurred that those who were not understood and wanted to be against the stream, had to continue their way lonely and without approval, while those who compromised, soon gave up loftier aspirations, swam in the stream with hundreds of others and disappeared completely.[46]

Schumann's critical comments reveal his high regard for the symphony as a genre and for the orchestra as a medium. This esteem shows that he sought to maintain the prestige of this established genre through aesthetic and practical remarks, especially through criticism and advice concerning the works of others. As disclosed in the following chapters, Schumann put his aesthetic goals into practice in varying degrees in his D-minor Symphony.

---

[46]"So kam es oft, daß, die das nicht begriffen und wider den Strom wollten, einsam und beifalllos ihren Weg fortsetzen mußten, während, die sich accommodirten, bald von höherem Streben ablassend, mit den hundert Andern im Strome mitschwammen und spurlos verschwanden." Robert Schumann, "Trio's für Pianoforte mit Begleitung," in *Gesammelte Schriften*, 2:179-180. (1840)

CHAPTER 2

THE COMPOSITION, PERFORMANCE, AND NINETEENTH-CENTURY

CRITICAL RECEPTION OF SCHUMANN'S D-MINOR SYMPHONY

I. Beginning of the History of the Symphony: The 1841 Version

"Now I am absolutely immersed in symphonic music. For me, the utmost

reception with which my First Symphony met has completely set me on fire."[1] Thus was

Robert Schumann's state of mind when he began composing the D-minor Symphony. By

then, he had completed one symphony, numerous Lieder, and many innovative piano

compositions, making him confident that his next orchestral projects, the *Overture,*

Scherzo, and Finale, op. 52, and the D-minor Symphony, op. 120,[2] would bring even

more favorable recognition. With both of these works programmed for the 6 December

1841 Leipzig Gewandhaus concert – the *Overture, Scherzo, and Finale* opening the first

part of the concert and the D-minor Symphony beginning the second part – Schumann's

expectations were anything but unreasonable.

---

[1]"Jetzt bin ich ganz und gar in die Symphonienmusik gerathen. Die für mich höchst ermuthigende Aufnahme, die meine erste Symphonie gefunden, hat mich ganz ins Feuer gebracht." This is an excerpt from a letter of 26 September 1841 written by Schumann to Dr. Eduard Krüger. F. Gustav Jansen, ed., *Robert Schumanns Briefe: Neue Folge* (Leipzig: Breitkopf & Härtel, 1904), 207. The encouraging reception to which Schumann referred may have come from an impressive review in the *Allgemeine musikalische Zeitung*. See Jon Finson, *Robert Schumann and the Study of Orchestral Composition: The Genesis of the First Symphony, Op. 38* (Oxford: Clarendon, 1989), 1.

[2]At this time, the D-minor Symphony was known as his Second Symphony.

Not only were Schumann's expectations for this concert high, but those of the audience were as well. Reporting on this concert, a critic for the *Allgemeine musikalische Zeitung*[3] described the anticipation he and others felt upon experiencing these new works by Schumann and also noted how these expectations were fulfilled in this concert:

> When we heard his First Symphony at the beginning of this year, which we reported in detail in these pages . . . , we praised on those very pages, above all, and with complete justice, the natural, wholesome direction of taste as well as the startling technical confidence and skill for a first orchestral work. Even if we could not yet call the invention precisely rich and creatively distinct, there was sufficient reason not to build insignificant hopes in what he has already achieved. Since this time, Schumann has written two extensive orchestral works and thereby demonstrated that he was lacking neither the inner impulse for composition nor sufficient diligence and ingenuity to fulfill it.[4]

---

[3]The author of an earlier review of the concert in the 13 December 1841 issue of the *Allgemeine musikalische Zeitung* commented on Clara's performance and a provided a short commentary on individual works, namely Mendelssohn's *Capriccio*, Bach's Prelude and Fugue, Bennett's piece, and Chopin's etude. At this point, no commentary had been made about Schumann's D-minor Symphony. "Nachrichten," *Allgemeine musikalische Zeitung* 45, no. 50 (15 December 1841): col. 1068-1076.

[4]"Als wir Anfangs dieses Jahres seine erste Sinfonie hörten, über welche von uns in diesen Blättern (unterm 8. April d. J. Bl. 15 und 16 d. J.) ausführlich berichtet worden ist, rühmten wir an derselben vor Allem, und mit vollem Recht, die natürliche, gesunde Richtung des Geschmacks, so wie die für ein erstes Orchesterwerk überraschende technische Sicherheit und Gewandtheit. Wenn wir auch die Erfindung noch nicht eben sehr reich und entschieden originell ausgeprägt nennen konnten, so war doch Grund

Anticipation of this concert was high not only due to these new works being performed, but also (perhaps primarily) because Clara Schumann, Robert's wife, performed as a soloist on this concert. Special attention was given to the Schumann family in the advertisement for the concert[5] and on the program itself:[6] Clara, who was identified by the prestigious title of Oesterreichische Kammervirtuosin,[7] received top billing – even ahead of Franz Liszt, who served as both a composer and as a pianist in this particular concert.[8]

---

genug vorhanden, um auf das bereits Geleistete nicht unbedeutende Hoffnungen zu bauen. Herr Schumann hat nun seit dieser Zeit zwei umfangreiche Orchesterwerke wieder geschrieben, und dadurch bewiesen, dass es ihm weder an innerem Drange zur Komposizion, noch an Fleiss und Gewandtheit, demselben zu genügen, fehlt." "Nachrichten," *Allgemeine musikalische Zeitung* 43, no. 51 (22 December 1841): col. 1100.

[5]*Leipziger Zeitung*, 4 December 1841, 4492.

[6]Clara Schumann, Programm-Sammlung, Nr. 186, Robert-Schumann-Haus Zwickau, Archiv-Nr.: 10463-A3.

[7]To date, Clara had been the only female musician granted this title.

[8]A writer for the *Leipziger Zeitung* noted the extraordinary situation (by nineteenth-century standards) of a married couple represented in the same concert and the dilemma the audience faced in such a situation: "Exceptional for this reason: because the performance of the concert giver who is connected with Robert Schumann as a creative artist and who formed an ensemble in such a way, the listener remains dubious as to which person he should direct his greater interest." "Außerorderntlich deshalb, weil mit den Leistungen der Concertgeberin die von Robert Schumann als schaffenden Künstlers sich verbanded, und auf solche Weise ein Ensemble gebildet wurde, welches zweifelhaft erscheinien ließ, nach welcher Seite hin das größere Interesse der Höhere sich gewendent habe." "Wissenschaftliche und Kunstnachrichten," *Leipziger Zeitung*, 13 December 1841, 4597.

The positive tone that preceded this concert was continued by several critics after who expressed favorable comments on numerous aspects of the Symphony. Among those features they regarded with admiration include: originality, the character of the work in general, formal structure, and instrumentation. The same writer for the *Leipziger Zeitung* who noted the significance of the Schumanns' relationship in this concert commented that the character of both symphonic works "as with all others, is boldly original, carried through to the highest striving."[9] Comparing the two works, he described the Symphony as expressing "a more serious voice" and being "filled with more beautiful and singular traits in accordance with the content as well as the form."[10] While the reader wishes that this writer would have defined the "more beautiful and singular traits," the very fact that he recognized unique features in the Symphony especially illustrated his understanding of Schumann's approach in composing this work.

Commenting on the form specifically, Anton Wilhelm von Zuccalmaglio, in his review significantly entitled "Concert von Clara Schumann," praised the "facility and naturalness" in following the formal structure of both the *Overture, Scherzo, and Finale* and the Symphony, thus implying that these works could be understood readily upon first hearing. Zuccalmaglio even suggested that Schumann's pioneering efforts in regard to

---

[9]"Kühne Originalität, getragen durch ein dem Höchsten zugewendetes Streben, ist, wie aller übrigen, so das Eigenthum auch dieser Compositionen Schumann." "Wissenschaftliche und Kunstnachrichten," *Leipziger Zeitung*, 13 December 1841, 4597.

[10]"Die Symphonie spricht eine ernstere Simmung aus, und ist voll schöner und eigenthümlicher Züge, dem Inhalt sowol wie der Form nach." "Wissenschaftliche und Kunstnachrichten," *Leipziger Zeitung*, 13 December 1841, 4597.

structure may serve as a model for composers of symphonies in the future: "new symphonic forms appear to exist in both works, [forms] which are found to be easy and natural, perhaps themselves able to blaze a trail."[11]

In his explanation of the structure of both of Schumann's symphonic works, Zuccalmaglio compared and contrasted Schumann's compositional approach, noting that the movements of the *Overture, Scherzo, and Finale*, while having thematic connections, are autonomous, whereas those of the Symphony are interdependent:

The *Overture, Scherzo, and Finale* form a whole in the manner that even several motives of the overture turn up completely in other movements. On the other hand, the various movements, however, appear so isolated that they also are performed individually or can be played separately from one another at different intervals of time. Not less inferior in form is the Symphony, which treats the familiar original form in one single framework; that is, all four movements are tied together without interruption. This suffices in these pages to bring attention to these new compositions; the best characterizes itself through itself.[12]

---

[11]"[N]eue symphonische Formen aufgestellt scheinen, die leicht und natürlich gefunden, sich vielleicht Bahn brechen dürften." Anton Wilhelm von Zuccalmaglio, "Concert von Clara Schumann," *Neue Zeitschrift für Musik* 15, no. 50 (21 December 1841): 199.

[12]"Die Ouverture, Scherzo und Finale bilden ein Ganzes, in der Art, daß sogar einige Motive der Ouverture in den andern Sätzen vollständig wieder zum Vorschein kommen; andrerseits erscheinen die verschiedenen Sätze aber auch in sich so abgeschlossen, daß man sie auch einzeln aufführen oder von einander getrennt in

Zuccalmaglio's observations clearly demonstrate his correct understanding of Schumann's intentions. In the case of the Symphony, one of Schumann's goals was to incorporate progressive compositional techniques into an established genre.

A critic for the 9 December 1841 issue of the *Leipziger allgemeine Zeitung* also noted the formal construction of the Symphony by specifically acknowledging Schumann's efforts to connect the movements. In addition, the critic admired Schumann's instrumentation, particularly in the second and third movements:

The second part began with Schumann's Second Symphony, which forms a whole in five parts, but without the hitherto customary pauses between the individual movements. This leaves one undecided whether one is to admire more the power of the invention or the championship in the instrumentation, in particular in the romance and the scherzo.[13]

---

verschiedenen Zwischenräumen spielen könnte. Nicht minder neu in der Form ist die Symphonie, die die bekannten Grundformen in einem einzigen Rahmen einschließt, d. h. alle vier Sätze schließen sich ohne Unterbrechung an einander. Dies wenige genüge in diesen Blättern, auf diese neuen Compositionen aufmerksam zu machen; am besten charakterisiren sie sich durch sich selbst." Zuccalmaglio, "Concert von Clara Schumann," 199.

[13]"Der zweite Theil begann mit Schumann's zweiter Symphonie, welche in fünf Theilen ein Ganzes bildet, doch ohne die bisher üblichen Pausen zwischen den einzelnen Sätzen, und die unentschieden läßt, ob man mehr die Macht der Erfindung oder die Meisterschaft in der Instrumentirung, namentlich in der Romanze und dem Scherzo, bewundern soll." *Leipziger allgemeine Zeitung*, 9 December 1841, 36.

The latter remark is noteworthy especially because Schumann's 1851 revision of the Symphony later would be heavily criticized regarding the instrumentation.

Although comments in these reviews proved favorable, the critic for the 22 December 1841 article in the *Allgemeine musikalische Zeitung* offered mixed opinions about certain aspects of the Symphony, leaving the reader somewhat uneasy about the quality of the work overall. For example, in his comparison of the *Overture, Scherzo, and Finale* and the D-minor Symphony, he noted excellent attributes common to both works that are found in specific movements. But most noteworthy are his mixed opinions concerning Schumann's orchestration, thematic ideas, and his approach to composing the work. Using the Overture of op. 52 as an example, the critic complimented Schumann's orchestration in the Overture, which he described as "delicate and tasteful," as opposed to that of the Finale, which he claimed was orchestrated "without pleasant shading."[14] The critic likewise expressed mixed feelings about Schumann's treatment of motivic ideas in this work. While having admired Schumann's approach to motivic and thematic composition in the Overture and Scherzo, he cited failings in the Finale: "The Finale, however, is full of tumult, quite adorned from the beginning to the end and orchestrated

---

[14]"[D]ie Ouverture ohne allen Zweifel sehr schön, ausserordentlich fliessend geschrieben, fein und geschmackvoll instrumentirt . . . das Finale [ist] ohne wohlthuende Schattirung instrumentirt." "Nachrichten," *Allgemeine musikalische Zeitung* (22 December 1841): col. 1100.

without pleasant shading, desecrating, moreover protruding, lightly imprinted motives and, therefore, can hardly work advantageously in its present state."[15]

Having used the *Overture, Scherzo, and Finale* as a point of departure for his comparison with the D-minor Symphony, the critic maintained similar views with the Symphony:

Almost the same circumstances exist with the Second Symphony whose movements (like what Mendelssohn established very successfully in his Symphony-Cantata [Op. 52]) are connected directly, flowing into one another so to speak. In all the movements good ideas are found. The construction is successfully devised throughout and marked with taste. Indeed, it presents truly splendid details, fluently and successfully. However, one also asks for these excellent details precisely because of the higher perfection in content and form in which all the movements carry rich seeds.[16]

---

[15]"[D]as Finale aber voll Unruhe, vom Anfang bis zum Ende sehr gedeckt und ohne wohlthuende Schattirung instrumentirt, entbehrt noch überdies hervortretender, sich leicht einprägender Motive und kann daher in seiner jetzigen Gestalt kaum vortheilhaft wirken." "Nachrichten," *Allgemeine musikalische Zeitung* (22 December 1841): col. 1100.

[16]"Fast dieselben Verhältnisse sind auch bei der zweiten Sinfonie vorhanden, deren Sätze (was Mendelssohn schon in seiner Sinfonie-Kantate sehr glücklich eingeführt hat) unmittelbar zusammenhängen, so zu sagen einer in den andern übergehen. In allen Sätzen finden sich gute Gedanken, die Anlage ist überall glücklich erfunden und mit Geschmack gezeichnet, ja es kommen fertige und gelungene Einzelheiten vor, die wirklich vortrefflich sind, aber auch hier verlangt man eben dieser trefflichen Einzelheiten wegen noch höhere Vollendung in Gehalt und Form, zu der alle Sätze reich

In his concluding remarks, the critic reassured the reader of Schumann's talent and ingenuity as a composer. Yet, he reiterated his foremost complaint: the way in which Schumann presented his ideas. In both the *Overture, Scherzo, and Finale* and in the Symphony, Schumann needed to work out his ideas more thoroughly and consciously by approaching these works from the standpoint of the craft of musical composition rather than from improvisation. Indeed, Schumann's skill and inventiveness in symphonic composition were praised; however, his greatest flaw, according to this critic, is that he had not taken enough time to craft the work. While ideas themselves are thoughtful and representative of his talent, the manner in which they are presented reflects spontaneity and Schumann's penchant for composing in a style that mimics his piano improvisations instead of producing a thoroughly worked-out musical essay:

> However much this is indisputable proof of real talent, at the same time the danger lies very near of becoming hasty in workmanship and one-sided in taste, for the passion for creating makes too easily inaccessible for shaping influences from the outside and lessens the strictness of self-criticism which alone is able truly to further even the most talented person in his compositions. Mr. Schumann seems to have not entirely escaped these dangers in these new orchestral works. They are not without good intentions. One sees throughout that the composer

Keime in sich tragen." "Nachrichten," *Allgemeine musikalische Zeitung* (22 December 1841): col. 1100-1101.

desires meaning, also that the power would not have failed to carry it out, but the

true good appears to be more a lucky throw than a fully realized success. It fails

to bring forth in its entirety a safe demeanor, a peaceful, clear treatment of

thought. Everything is so dense and amassed and appears to be more of a rich

design than a complete construction; in a word, something that is still not

finished. This is the entire impression.[17]

The critic argued that with more diligent working out of the musical substance,

not only would the meaning of the work would be more perceptible to the audience but

also greater appreciation of Schuman's artistry would be achieved:

These new orchestral works of Schumann lack not in substance and content but in

successful treatment of those things; not in talent, but in diligence on the finishing

---

[17]"Wie dies unstreitig ein Beweis wirklichen Talents ist, so liegt aber auch zugleich die Gefahr sehr nahe, flüchtig in der Arbeit und einseitig in der Geschmacksrichtung zu werden, denn der Eifer zum Schaffen macht nur zu leicht unzugänglich für bildende Einflüsse von Aussen und mindert die Strenge der eigenen Kritik, die doch allein auch den Begabtesten in seinen Leistungen wahrhaft zu fördern vermag. Dieser Gefahr scheint Herr Schumann in diesen neuen Orchesterwerken nicht ganz entgangen zu sein. Sie sind nicht ohne gute Intenzion, man sieht überall, dass der Komponist Bedeutendes will, dass auch die Kraft nicht fehlen würde, es auszuführen, aber das wirklich Gute scheint mehr ein glücklicher Wurf als ein vollbewusst Gelungenes zu sein; es fehlt im Ganzen eine sichere Haltung, eine ruhige, klare Verarbeitung der Gedanken; Alles ist so gedrängt und gehäuft und scheint mehr ergibiger Entwurf als vollendete Ausführung, mit einem Worte, etwas noch nicht Fertiges zu sein. Dies der Totaleindruck." "Nachrichten," *Allgemeine musikalische Zeitung* (22 December 1841): col. 1100.

touches that sort out everything once again here and there. After Schumann's First

Symphony, we could not deny that we are willing to meet these compositions

halfway with significant expectation and partiality. And if we find our

expectations to be not entirely satisfied, then our preference for his output

remained the same, because we still always strongly hold the belief that his talent

enables him exceptionally. His sense and aspiration are truly artistic and worthy.

Therefore, we expressed only our opinion here so candidly.[18]

The critic for the 22 December 1841 article in the *Allgemeine musikalische*

Zeitung may have addressed some of the reasons for what Schumann perceived to be the

audience's cool reception of the Symphony despite Zuccalmaglio's observation that both

of Schumann's orchestral works were received with "lively applause."[19] In a letter of 8

January 1842 to Carl Koßmaly, Schumann himself surmised two reasons for the

---

[18]"Es fehlt diesen neuen Orchesterwerken Herrn Schumanns nicht an Stoff und Gehalt, sondern an glücklicher Verarbeitung desselben, nicht an Talent, sondern an Sorgfalt, an der letzten Hand, die noch einmal Alles genau sichtet, hier davon und dort dazu thut. Wir können nicht läugnen, dass wir diesen Komposizionen Herrn Schumanns, in Folge seiner ersten Sinfonie, mit bedeutender Erwartung und Vorliebe entgegengekommen sind, und wenn wir auch unsere Erwartung nicht ganz befriedigt finden, so ist doch unsere Vorliebe für seine Leistungen dieselbe geblieben, denn immer noch halten wir die Ueberzeugung fest, dass sein Talent ihn ungewöhnlich befähigt, sein Sinn und Streben wahrhaft künstlerisch und würdig sind. Deshalb auch nur haben wir unsere Ansicht hier so offen ausgesprochen." "Nachrichten," *Allgemeine musikalische Zeitung* (22 December 1841): col. 1101.

[19]"Die heute aufgeführten Orchestercompositionen von Robert Schumann waren sämmtlich neu und erfreuten sich lebhaften Beifalls." Zuccalmaglio, "Concert von Clara Schumann," 199.

reception.[20] The first is that were there simply too many pieces performed that evening.

There were, in fact, eleven pieces performed.[21] However, with Schumann's orchestral

works opening each of the two parts of the concert, neither work should have been

negatively received because of audience fatigue as he seemed to have implied.

Schumann's second postulation for the cool reception was somewhat more plausible,

although he admitted it probably was not major factor: Ferdinand David conducted in the

absence of Mendelssohn. Although David was not the polished conductor that

Mendelssohn was, David certainly was competent to conduct this concert and

undoubtedly knew the orchestra intimately through his position as concert master.

Despite the mixed reception of the 1841 version of the D-minor Symphony,

Schumann remained undaunted in composing extensive orchestral works, and he

maintained that one day the Symphony would be understood. In the concluding remarks

about the concert in his letter to Koßmaly, Schumann stated: "I know the pieces are by no

---

[20]"Die beiden Orchesterwerke, eine zweite Symphonie [D moll] und eine Ouvertüre, Scherzo und Finale, die in unserm letzten Concert aufgeführt worden, haben den großen Beifall nicht gehabt wie die erste. Es war eigentlich zu viel auf einmal – glaub' ich – und dann fehlte Mendelssohn als Dirigent. Das schadet aber alles nichts." Jansen, *Robert Schumanns Briefe*, 212.

[21]The other pieces performed were: Mendelssohn's *Capriccio* for Piano and Orchestra, an *Aria* by Mozart, Liszt's *Phantasie* on a Theme from *Lucia di Lammermoor*, a Prelude and Fugue by J. S. Bach, Bennett's *Allegretto* from the Four-handed Diversions, an Etude by Chopin, Schumann's *Die beiden Grenadiere*, Liszt's *Rheinweinlied*, and a duet for two pianos played by Liszt and Clara Schumann.

means inferior to the first and will be accepted sooner or later in their own way."[22]

Schumann set the D-minor Symphony aside and waited until 1851 to determine whether this prophecy would come true.

II. SCHUMANN'S REVIVAL OF THE SYMPHONY: THE 1851 REVISION

In 1851, Schumann apparently believed that the time had arrived when the public was ready to accept the Symphony. He had acquired much more practical experience in the symphonic genre, having composed his C-major Symphony and having procured a conducting post in Düsseldorf in which he directed the subscription concerts and music for some of the Catholic church services. In addition, Schumann finished a project that was a decided anomaly in his work: on 2 December 1851, he completed the orchestration of a Scherzo from a Symphony by Norbert Burgmüller. On 12 December, Schumann returned to his own D-minor Symphony in order to revise it.

Schumann conducted the successful premiere of the 1851 revision at a benefit concert that took place on 3 March 1853. A critic for *Signale* hailed the beauty of the Symphony and considered it to be on the same level as that of the highly esteemed B-flat Major Symphony.[23] Although reviews of this concert were few in number, the

---

[22]"Ich weiß, die Stücke stehen gegen die 1ste keineswegs zurück und werden sich früher oder später in ihrer Weise auch geltend machen." Jansen, *Robert Schumanns Briefe*, 212.

[23]"The Symphony captures the musical spirit through its beauty; one places this new work by the side of the B-flat Major Symphony." "Die Symphonie hat durch ihre Schönheit die musikalischen Gemüther sehr für sich eingenommen; man stellt das neue Werk der B dur-Symphonie an die Seite." *Signale für die musikalische Welt* 11, no. 15 (31 March 1853): 116.

performance at this concert may have attracted the attention of the committee members of

the Lower Rhine Music Festival. The members asked Schumann to program the

Symphony for the upcoming three-day festival. In a letter to Johann Verhulst on 3 May

1853, Schumann expressed his amazement – in a decided state of humility – at having the

Symphony performed, acknowledging improvements he made to it:

> That the old Symphony, which you probably still remember, I would not have
>
> thought, when we heard it in Leipzig, would appear again on such an occasion. It
>
> is almost against my will that it be performed. However, the gentlemen of the
>
> committee, who recently heard it, had pushed me so much that I could not resist. I
>
> have, by the way, newly reorchestrated it entirely. It is, I confess, better and more
>
> full of effects than it was earlier.[24]

---

[24]"Daß die alte Symphonie, deren Du Dich vielleicht noch erinnerst, bei solcher Gelegenheit wieder zum Vorschein kommen würde, hätte ich damals, als wir sie in Leipzig hörten, auch nicht gedacht. Es ist beinahe gegen meinen Willen, daß sie aufgeführt wird. Aber die Herren vom Comité, die sie vor kurzem gehört, haben so in mich gedrängt, daß ich nicht widerstehen konnte. Ich habe die Symphonie übrigens ganz neu instrumentirt, und freilich besser und wirkungsvoller, als sie früher war." Jansen, *Robert Schumanns Briefe*, 372. In a later letter to Verhulst of 28 July 1853, Schumann recounted the committee's request in conjunction with the difficulties he faced in having the *Konigssohn* performed at the Festival, giving a much more severe tone in this letter. "Then the gentlemen of the committee stormed me – I would prefer the 'Symphony' in D minor be performed." "Dann bestürmten mich die Herren vom Comité, ich möchte lieber die 'Symphonie' in D moll auffürhen." Jansen, *Robert Schumanns Briefe*, 377.

That the committee members asked Schumann to have this Symphony

programmed was a very high honor. The Lower Rhine Music Festival was an annual,

high-profile public event shared among the towns of Düsseldorf, Cologne, Aix-la-

Chapelle, and Aachen. The festival, founded in 1818, was previously directed by

esteemed persons such as Ferdinand Ries, Louis Spohr, and Felix Mendelssohn

Bartholdy. By the time of Schumann's tenure, this event had acquired notoriety

throughout Europe.[25]

Articles published prior to the 1853 festival in the *Düsseldorfer Journal*

undKreis-Ballat and *Signale* attest to the festival's popularity. In an effort to pique the

interest of the readers, a reporter for the *Düsseldorfer Journal* included a quotation about

[25]In an article of 22 May 1853, a reporter for the *Revue et Gazette Musical* described the social and political significance of this festival in his review of the 1853 event: "The town of Düsseldorf has rightly deserved musical art again this year. The festival, which took place on Pentecost, resumed the series of these musical festivals of the Prussian Rhine that the revolutions had interrupted [at] one time.
    These solemn ceremonies, that are established on a kind of artistic association between the towns of Cologne, Düsseldorf, and Aix-la-Chapelle, were founded in 1818 and have acquired, under the direction of Ries, Spohr, and Mendelssohn successively, European fame."
    "La ville de Dusseldorf a, cette année encore, bien mérité de l'art musical. Le festival vraiment splendide, qu'elle vient de donner à la Pentecôte, a renoué la chaîne ces fêtes musicales annuelles de la Prusse rhénane, que les révolutions avaient un moment interrompues.
    Ces solennités, qui reposent sur une sorte d'association artististique entre les villes de Cologne, Dusseldorf et Aix-la-Chapelle, ont été fondées en 1818, et ont acuis, sous la direction successive de Ries, de Spohr, de Mendelssohn, une célébrité européenne.""Correspondance," *La Revue et Gazette musicale de Paris* 20, no. 21 (22 May 1853): 188.

the festival from a foreign journal, *Independence Belge*.[26] In addition to providing an

approximate number of performing forces involved, this reporter named some of the

composers, both deceased and living, and listed their works to be performed. In his

discussion of the deceased composers, he suggested that an important cultural heritage

would be part of the upcoming festival, namely through the performance of Handel's

[26]That appreciation of our great musical festival is found in foreign countries is shown in the following place of the *Independence Belge*: "The great Lower Rhine Music Festival will be celebrated this year on Pentecost and the two days thereafter in Düsseldorf. The preparations promise marvelous things. The choir will consist of at least 400 persons, the orchestra of 60 first and 24 second violins, plus 24 basses, with the remaining instruments in the same proportion. The two commanding generals of this musical army are Ferdinand Hiller, the famous director of the Cologne Conservatory, who was called in from Paris where he momentarily lives, and Robert Schumann, the music director of Düsseldorf. . . . Only masterworks will be performed – on the first day, *Messiah* by Handel, on the second, the Ninth Symphony of Beethoven with choir and soloists; the third day brings an assortment of new and old musical works. In addition to those works of the 'Immortals,' current works of living composers will also be brought to the performance: a Symphony by Schumann and a large-scale Psalm for choir and large orchestra by Ferdinand Hiller. One sees that it is not lacking in high musical enjoyment."

"Welche Würdigung unser großes Musikfest auch im Auslande findet, zeigt folgende Stelle der *Independence Belge*: 'Das große Rheinische Musikfest wird in diesem Jahre (am Pfingstsonntag und den beiden folgenden Tagen) in Düsseldorf gefeiert werden. Die Vorbereitungen versprechen Großartiges. Der Chor wird aus wenigstens 400 Personen bestehen, das Orchester aus 60 ersten und 24 zweiten Violinen, 24 Baßgeigen und den übrigen Instrumenten in demselben Verhältnisse. Die beiden kommandirenden Generale dieser musikalischen Armee sind Ferdinand Hiller, der berühmte Direktor des Cölner [*sic*] Conservatoires, der eigends von Paris, wo er sich augenblicklich aufhält, berufen wurde und Robert Schumann, der Musikdirektor von Düsseldorf. . . . Es werden nur Meisterwerke ausgeführt – am ersten Tage der *Messias* von Händel, am zweiten die 9. Symphonie von Beethoven mit Chören und Soli's, der dritte Tag bringt eine Auswahl von neuen und alten Tonwerken. Außer jenen Werken der 'unsterblichen' werden auch Werke jetzt lebender Componisten zur Aufführung gebracht; eine Symphonie von Schumann und ein großer Psalm für Chor und großes Orchester von Ferdinand Hiller. Man sieht, daß es an musikalischen Hochgenüssen nicht fehlt." "Aus Düsseldorf," *Düsseldorfer Journal und Kreis-Blatt* 12, no. 112 (11 May 1853).

Messiah and Beethoven's Ninth Symphony. The reporter considered these two composers immortals, ones who have paved the way for living composers, in this case, Schumann and Ferdinand Hiller. He also used the term masterworks to clearly label the *Messiah* and the Ninth Symphony, but the context is unclear whether he also intended on including under this rubric those works by Schumann, Hiller, and others as well. After all, he did state that "only masterworks will be performed,"[27] implying that every work programmed belonged to this category. Regardless, the reporter of this article assured his readers that musical enjoyment is not scarce in the selection of pieces.[28] A writer for *Signale* simply reported that preparations for the festival were "intensely underway." Having listed the pieces scheduled to be performed and the names of conductors and soloists who had accepted the invitation to perform, he simply provided this information to sell the festival to his readers.[29]

---

[27]"Es werden nur Meisterwerke aufgeführt," "Aus Düsseldorf," *Düsseldorfer Journal und Kreis-Blatt* 12, no. 112 (11 May 1853).

[28]"Man sieht, daß es an musikalischen Hochgenüssen nicht fehlt.""Aus Düsseldorf," *Düsseldorfer Journal und Kreis-Blatt* 12, no. 112 (11 May 1853).

[29]"In Düsseldorf, preparations for the great Rhineland Music Festival, which will take place there on Pentecost, are intensely underway. On the first day of the festival the performance will be conducted by Robert Schumann: the Symphony in D Minor by R. Schumann and the *Messiah* by Handel. The second day will be conducted under Hiller's direction: Overture to *Euryanthe* by Weber, the first act of *Alceste* by Gluck, and the Ninth Symphony by Beethoven. On the third day, for which the program has not yet been determined, Schumann and Hiller will both conduct. The following solo singers have accepted the invitation: Clara Novello from London, Fräulein Scholtz, Fräulein Hartmann. Whether Herr Osten und Tichatscheck accepted the invitation, however, has not yet been assured."
"In Düsseldorf ist man stark mit den Vorbereitungen des großen rheinischen

Several reviews of the performance of the D-minor Symphony at the Lower Rhine

Music Festival, along with favorable reception on the part of the audience and the

performers, attest to Schumann's assertion to Koßmaly in 1842 that the work would be

accepted one day.[30] A writer for the *Kölnische Zeitung* described the Symphony as "a

---

Musikfestes beschäftigt, welches zu Pfingsten dort stattfinden wird. Am ersten Feiertag kommen unter R. Schumanns Leitung zur Aufführung: die Sinfonie in D moll von R. Schumann und der Messias von Händel. Am zweiten Tag wird unter Hillers Leitung aufgeführt: Ouverture zu Euryanthe von Weber, der erste Act der Alceste von Gluck und die neunte Sinfonie von Beethoven. Am dritten Tag, für welchen das Programm noch nicht festgestellt ist, dirigiren Schumann und Hiller gemeinschaftlich. Den Solosängern haben zugesagt: Clara Novello aus London, Fräulein Scholtz, Fräulein Hartmann, Herr von der Osten und Tichatscheck, ob der letztere kommen kann, ist indeß noch nicht ganz sicher." "Dur und Moll," *Signale für die musikalische Welt* 11, no. 17 (14 April 1853): 132.

[30]Although the majority of comments offered by critics concerning the Symphony was positive, particularly in regard to its originality and freshness of ideas, the reviews of Schumann's conducting at the 1853 festival were not as favorable. A critic for the *Kölnische Zeitung* noted that several of the nuances were not heard not because they are absent from the Symphony but because Schumann failed to bring them out: "The realization of the Symphony by the orchestra was fairly well rounded. One could hear that the music appealed to the musicians, and they played it with freshness and warmth. The pianos could have been brought forth more, the elegance could have emerged more; generally, there could have been more light and shade. This flaw lies with Schumann himself. He is not exactly in the first tier of conductors in the first place, and his conducting of the piece at this festival did not do much to refute this opinion." "Die Ausführung der Symphonie seitens des Orchesters war ziemlich abgerundet, man hörte, den Musikern gefiel die Musik, und sie spielten sie mit Lust und Liebe. Die Piano's hälten mehr hervortreten, die Feinheiten mehr herauskommen, überhaupt hätte mehr Licht und Schatten sein können. Dieser Mangel liegt an Herrn Schumann selbst. Man will ihm als Dirigenten nicht eben den ersten Platz zugestehen, und seine Leitung der Musikstücke auf diesem Feste hat nicht viel dazu beigetragen, diese Meinung zu entkräften." "Das einunddreitzigste Niederrheinische Musikfest," *Kölnische Zeitung*, 21 May 1853. For George W. Pratt's comments on Schumann's conducting of *The Messiah* at this festival, see George W. Pratt, "Düsseldorf Music Festival," *The Musical World and New York Musical Times* 6, no. 7 (18 June 1853): 100.

simple, clear, fresh piece of music that is appealing at first hearing," suggesting that these

attributes prompted the audience to receive it "with lively applause.[31] Another mentioned

that the entire orchestra "wholeheartedly [joined] in with the applause."[32] Schumann was

also presented with a laurel wreath by Joseph Joachim, an honor that is reserved usually

for exceptional occasions only. One commentator, noting this custom, objected, not to

Schumann having received this honor, but to the timeliness of the award:

> After the Symphony a laurel wreath was presented to Schumann by one of
>
> the members of the orchestra. Schumann's fame as a composer is firmly

---

[31]"The Symphony by Schumann opened the festival in a most favorable way. It was generally pleasing and received with lively applause. It is a simple, clear, fresh piece of music that is appealing at first hearing." "Die Symphonie von Schumann eröffnete das Fest auf die günstigste Weise; sie gefiel allgemein und wurde mit dem lebhaftesten Beifalle aufgenommen. Sie ist ein einfaches, klares, frisches Musikstück, das schon bei dem ersten Hören anspricht." "Das einunddreitzigste Niederrheinische Musikfest," *Kölnische Zeitung*, 21 May 1853.

[32]"The orchestra, combined with excellent artistry, in particular the string section, played the piece with genuine enthusiasm considering who created it. This twofold effect, achieved through the beauty of the work as well as through the spirited performance, made inevitable the sweeping success displayed by those present who gave repeated applause at the end of the Symphony; the entire orchestra also wholeheartedly [joined] in with this applause." "Das Orchester, zusammengesetzt aus vorzüglichen Künstlern, namentlich was das Streichquartett angeht, spielte mit wahrhafter Begeisterung dies Stuck angesichts dessen, der es erschuf. Diese Doppelwirkung, hervorgerufen durch die Schönheit des Werkes, sowie durch die schwungvolle Ausführung, konnte es nicht fehlen lassen, daß ein durchgreifender Erfolg beim anwesenden Publikum sich zeigte, der am Schlusse der Symphonie durch den allgemeinsten wiederholten Beifall sich kund gab, in den auch aus vollem Herzen das ganze Orchester mit einstimmte." "Das 31. Niederrheinische Musikfest zu Düsseldorf," *Signale für die musikalische Welt* 11, no. 24 (2 June 1853): 186.

established. Whether or not he earned this laurel could not be disputed by myself

or someone else, but, [nevertheless], this ovation was somewhat premature. The

laurel is the highest honor that can be given to an artist, and such honor was not

applied with the necessary thriftiness. At the conclusion of a successful festival,

an honor like this for the conductor would have been appropriate; after the first

concert number, it was somewhat too early.[33]

Concerning the qualities of the Symphony, several critics commented on its

originality, the themes and Schumann's treatment of them, and the movements

themselves. George W. Pratt considered this Symphony to be "generally more acceptable

to musicians than some of his later productions"[34] primarily due to its clarity,

intelligibility, spirit, and originality. Among the original elements are the "extraordinarily

---

[33]"Herrn Schumann ward nach der Symphonie sellens eines Mitgliedes des Orchesters ein Lorberkranz überreicht. Herrn Schumann's Ruf als Componist ist zu fest gegründet, als daß ich oder ein Anderer es ihm absprechen könnte, den Lorbe[e]r verdient zu haben; aber diese Ovation war doch etwas zu früh. Der Lorbe[e]r ist die höchste Ehre, die einem Künstler widerfahren kann, und derlei Ehrenbezeugungen fallen im Preise, werden sie nicht mit nöthiger Sparsamkeit angewandt. Am Schlusse eines gelungenen Festes hätte dem Leiter desselben eine Auszeichnung gehührt, nach der ersten Concert-Nummer war sie etwas zu früh." "Das einunddreitzigste Niederrheinische Musikfest," *Kölnische Zeitung*, 21 May 1853.

The symbolism of the laurel dates to ancient Greece when it first became associated with both poetic inspiration and immortal renown. Later, the laurel acquired other specific associations with glory, victory, pride, and luck. For a detailed account of the symbolism of the laurel, see Ernst and Johanna Lehner, *Folklore and Symbolism of Flowers, Plants and Trees* (New York: Tudor, 1990), 67.

[34]George W. Pratt, "Düsseldorf Music Festival," *The Musical World and New York Musical Times* 6, no. 7 (18 June 1853): 100.

attractive" themes[35] or motives, as another critic called them, and their development. This latter critic also summed up general attributes of the Symphony:

The Symphony is a flourishing, youthfully fresh, and highly attractive creation. It delights the spirit to such a degree though the clarity of the performance, as well as through the striking originality of the motives and their development.[36]

For some reviewers of the performance of the Symphony at the Lower Rhine Music Festival, one of the appealing elements of this version was its new orchestration. A critic for *Signale* praised the changes Schumann had made, comparing their effects to those of the 1841 version:

He presented a Symphony for the performance that, I admit, originated in an earlier time but was only recently newly orchestrated throughout, thus

---

[35]"The themes are extraordinarily attractive and, moreover, decidedly new and original." "Die Themen sind außerordentlich anmuthig und dabei entschieden neu und originell." "Deutschland," *Allgemeine Zeitung* 46, no. 145 (25 May 1853): 2306.

[36]"Diese Symphonie ist eine blühende, jugendfrische und höchst anmuthige Schöpfung; sie erfreut das Gemüth eben so sehr durch die Klarheit der Darstellung, als durch die frappante Originalität der Motive und deren Entwickelung." "Das 31. Niederrheinische Musikfest zu Düsseldorf," *Signale für die musikalische Welt* 11, no. 24 (2 June 1853): 186.

demonstrating that [it] was splendidly ornamented in a new garb by the reliable

hand of the master.[37]

His comments in this review also strongly suggest that in 1853, at least, Schumann was

considered a proficient orchestrator.

The Romanze and Scherzo movements of the Symphony especially appealed to a

writer for the *Kölnische Zeitung*, as did the Finale. The observations he made about the

Romanze and Scherzo are significant: these are the movements several later critics

admired most. Other comments, however, reveal that he did not understand the

Symphony entirely, particularly concerning the number of movements: "[e]specially

noteworthy among these five movements are the Romanze and the Scherzo. Also, the

Finale is of a great vigor and liveliness."[38]

Apparently this writer for the *Kölnische Zeitung* was not alone in either

misunderstanding the general layout of the Symphony or in finding the structure

challenging. A critic for the *Allgemeine Zeitung* liked the form of the work but viewed its

construction to be quite complicated: "the manner in which multifaceted combined forms

---

[37]"Er hatte eine Symphonie zur Aufführung dargegen, die zwar in einer früheren Zeit entstanden, aber vor Kurzem erst durchweg neu instrumentirt ist, mithin sich in einem neuen Gewande, das durch sichere Meisterhand glänzend geschmückt ward zeigte." "Das 31. Niederrheinische Musikfest zu Düsseldorf," *Signale für die musikalische Welt* 11, no. 24 (2 June 1853): 186.

[38]"Besonders hervorzuheben von diesen fünf Sätzen ist die Romanze und das Scherzo. Auch das Finale ist von großer Frische und Lebendigkeit." "Das einunddreitzigste Niederrheinische Musikfest," *Kölnische Zeitung*, 21 May 1853.

are produced, show throughout the solid learned master who is never and nowhere in the habit of taking it easy for himself."[39]

The performance of the Symphony at this festival served as the earliest effective venue for introducing it to a broad audience. Until this festival, the Symphony remained largely unknown. A writer for the *Kölnische Zeitung* even provided some wrong information about its history. Obviously not knowing about the 6 December 1841 and the 3 March 1853 premiere of the first and second versions respectively, this writer believed the performance of the work at the festival to be the first. He was correct in stating Schumann had revised, rather than merely reorchestrated, the Symphony but was wrong to suggest the revision was for this music festival: "This Symphony is said to be an older work of Schumann that, up to now, has not yet been performed. It was revived by him for this music festival and was newly revised."[40] A few people, however, were aware that an earlier version existed approximately ten years earlier, but neither that version nor the 1851 version had been published. Lamenting this fact, one critic stated that the delay in

---

[39]"die Art und Weise wie sie vielfältig combinirte Formen gewonnen haben, zeigt überall den gediegenden gelehrten Meister, der es sich nie und nirgends leicht zu machen pflegt." "Deutschland," *Allgemeine Zeitung* 46, no. 145 (25 May 1853): 2306.

[40]"Diese Symphonie soll ein älteres Werk Schumann's sein, das, bisher noch nicht aufgeführt, von ihm für dieses Musikfest hervorgesucht und neu bearbeitet worden wäre." "Das einunddreitzigste Niederrheinische Musikfest," *Kölnische Zeitung*, 21 May 1853.

publishing was unnecessary "because the work bubbles with unusual freshness and vivacity."[41]

In general, the audience, critics, and performers at the 1853 Lower Rhine Music Festival regarded the Symphony highly, mentioning few negative observations. Its reception prompted the critic of the *Allgemeine Zeitung* to assert that because "the work was so warmly received from all sides that it undoubtedly will popularize the name of this composer even more"[42] and the writer of the *Kölnische Zeitung* to hope Schumann has similar works awaiting performance: "[i]f Schumann still has more of such works in his file, then he should be inclined to produce them. By doing so, he will win the thanks of the public."[43]

III. Recognition of the Symphony: Performance History and Critical Assessment after the 1853 Lower Rhine Music Festival

Subsequent performances following that of the Lower Rhine Music Festival indeed popularized Schumann's name and the Symphony. Between October 1853 and the end of 1894, there were at least sixty-five performances that took place in various

---

[41]"In der That war hier ein nonum prematur in annum überflüssig, denn das Werk sprudelt von ungewöhnlicher Frische und Lebendigkeit." "Deutschland," *Allgemeine Zeitung* 46, no. 145 (25 May 1853): 2306.

[42]"wurde das Werk von allen Seiten so freundlich aufgenommen daß es gewiß dazu dienen wird den Namen der Componisten noch mehr zu popularisiren." "Deutschland," *Allgemeine Zeitung* 46, no. 145 (25 May 1853): 2306.

[43]"Wenn Herr Schumann noch mehr solcher Werke in seiner Mappe hat, so möge er dieselben doch hervorholen, er wird sich den Dank des Publicums damit erwerben." "Das einunddreitzigste Niederrheinische Musikfest," *Kölnische Zeitung*, 21 May 1853.

municipalities throughout Europe and the United States (Table 2.1). Performances in

European countries other than Germany included: Austria (Vienna and Salzburg),

Czechoslovakia, England, and France. By the end of the nineteenth century, the

Symphony was widely known throughout Germany and was performed in at least five

foreign countries.

Table 2.1. Nineteenth-Century Performances of Schumann's D-minor Symphony, 1851
     Version

Date	City	Conductor	Hall/Concert Series
3 March 1853 (premiere)	Düsseldorf	Schumann	Geislerschen Salle, 7
15 May 1853	Düsseldorf	Schumann	Music Festival
May 1853	Düsseldorf	Schumann?	Subscription Concert
27 October 1853	Leipzig	David	Abonnementconcert
8 November 1853	Cologne	Hiller	Gesellschaftsconcert
December 1853	Kassel	Spohr[44]	
3 January 1854	Bremen	Barbieri	
January 1854	Berlin	Taubert	
21 January 1854	Hannover	Joachim	
1854	Berlin		Royal Capelle

[44]Several dates of these performances were recorded by Robert and Clara in two columns – one in Robert's hand and one in Clara's – on a piece of paper that prefaces the four-hand version of the Symphony. (Robert-Schumann-Haus Zwickau; R. Schumann Handexemplar Bd. 23; Archiv-Nr.: 4501 Bd. 23-D1/A4). Both Robert and Clara recorded a performance that took place in Kassel in December 1853. Clara added that the concert was conducted by Spohr, but Robert did not note the conductor's name. Presumably, this is a double entry, and one concert, under the direction of Spohr, took place at that time.

Table 2.1–*Continued*

Date	City	Conductor	Hall/Concert Series
1854	Leipzig	Riccius	Euterpe
November 1854	Weimar	Liszt	
4 November 1854	Rostock	Schulz	
11 November 1854	Elberfeld	Schornstein	
30 November 1854	Leipzig	Rietz	Abonnementconcert
15 March 1855	Düsseldorf	Tausch	
18 November 1856	Leipzig		Euterpe
1857	Boston	Zerrahn	Philharmonic
1859	New York		Philharmonic
1860	Vienna	Eckert	Philharmonic
1 March 1860	Cologne	Hiller	
1860	Salzburg	Schaubelt	
1860	Munich[45]		
1861	Frankfurt am Main		6th Museumsabend
1861	Jena	Stade	Institut der academischen Concerte
30 January 1862	Königsberg		Theatercapelle
16 February 1862	Vienna		Hofoperntheater (Second Philharmonic Concert)
1862	Oldenburg	Dietrich	Concerten der Hofcapelle
1862	Königsberg	Ehlert	Last concert of the second cycle
1862	New York		Philharmonic
15 November 1862	Vienna	Dessoff	Hofoperntheater
15 October 1863	Leipzig		Gewandhaus

[45]A very brief review of this concert is in "Nachrichten," *Deutsche Musik-Zeitung* 1, no. 53 (31 December 1860): 420.

Table 2.1–*Continued*

Date	City	Conductor	Hall/Concert Series
21 November 1863	London		Crystal Palace, Winter Concerts
27 November 1863	London	Mann	Crystal Palace
14 December 1863	Dresden	von Bunscut (sp.)	Abonnementconcert
10 March 1864	Kassel		
1863-1864 season	Leipzig		Gewandhaus
1864	Leipzig	Bilse	Hotel de Bologne
1864	Erfurt	Golds	Soller Music Society
1864	Leipzig		Euterpe
1864	London	Manns	Crystal Palace
29 November 1864	Stuttgart	Eckert	Abonnementconcert
1864	Düsseldorf	Tausch	Abonnementconcert
21 February 1865	Cologne	Hiller	
6 November 1866	Cologne	Hiller	
1867	Prague		Philharmonic
1867	London		Crystal Palace
1867	Leipzig		Gewandhaus
6 December 1870	Cologne	Hiller	
1869	Paris		Concerts populaires de musique classique
1871	Bremen		Abonnementconcert
1872	Leipzig		Twelfth concert
1872			Memorial concert for Schumann
17-19 August 1873	Bonn		Memorial concert for Schumann
1873	Paris		Concerts populaires de musique classique
19 April 1874	Aachen	Schradrock	

Table 2.1–*Continued*

Date	City	Conductor	Hall/Concert Series
1874	Paris	Deldevez	La Société des Concerts
1874	Paris	Deldevez	La Société des Concerts
1874	Paris	Deldevez	La Société des Concerts
10 December 1874	Leipzig		Gewandhaus
23 November 1875	Leipzig		Euterpe
16 October 1877	Leipzig	Treiber	Euterpe
25 November 1881	Leipzig		Gewandhaus[46]
December 1881	Munich		Abonnementconcert
1891	London	Manns	Crystal Palace
22 February 1894	London	Henschel	London Symphony Concerts
1894	London		Richter Concerts

Some of the performances in Germany took place in large cities, such as Berlin.

Others took place in cities where Schumann lived and worked, such as Leipzig.[47] On 18

November 1856, shortly after his death, Schumann was honored in Leipzig in the second

concert of the Euterpe in which only his works were played, including the D-minor

---

[46]This was a concert to celebrate the opening of the Gewandhaus on 25 November 1781. (The program reads: Jubelfeier zur Erinnerung an die Eröffnung des Concertsaales im Gewandhause zu Leipzig am 25. November 1781). Zettelsammlung, Standort: Universitätsbibliothek Leipzig Signature: Hist. Sax. 1146.

[47]Performances in Leipzig were programmed in both the Gewandhaus and in the Euterpe concert series

Symphony, which opened the concert.[48] It also opened a memorial concert in honor of

Schumann that took place in Bonn in 1873. Franz Gehring, a critic for the *Allgemeine*

musikalische Zeitung, took issue with its placement in a concert that was intended to

celebrate Schumann's accomplishments because of the character of this work:

> If one, however, decided on the two even-numbered Symphonies, it still is
>
> nevertheless entirely incomprehensible how the entire Festival can begin with the
>
> D-minor Symphony and, moreover, could have placed it right before the delicate
>
> and tender beginning of the excellent *Paradies und Peri*.[49]

---

[48]"Dur und Moll," *Signale für die musikalische Welt* 14, no. 48 (20 November 1856): 540.

[49]"Wenn man sich aber für jene beiden geradzahligen (zweite und vierte) Symphonien entschied, so bleibt es immerhin noch völlig unbegreiflich, wie man mit der Dmoll-Symphonie das ganze Fest beginnen und ausserdem dieselbe dem durch duftigen und zarten Anfang ausgezeichneten 'Paradies und Peri' unmittelbar voranstellenkonnte." "Gedächtnissfeier für Robert Schumann in Bonn, 17.-19. August 1873," *Allgemeine musikalische Zeitung* 8, no. 37 (10 September 1873): col. 578-579. Gehring's remark reflects his concern for the problems a committee faces when choosing works for an all-Schumann concert in general. Comparing the process for a similar concert commemorating Beethoven, for example, Gehring argued: "Whereas one could select every composition by Beethoven for the Beethoven festival and could justifiably expect to honor the master through them (while the personal taste of those who organized the festival had wide latitude), the boundaries of the selections by Schumann had to be set much more narrowly. For however extensive the diversity of Schumann's creativity is, the artistic worth of the various compositions, which of course belong to different periods, is no less great. Indeed, there are many among them that would have been [considered] harmful rather than useful for the objectives of this festival. Moreover, one must keep in mind that to arrange a festival for a large audience, the exclusive pursuit of those works by Schumann during several days must be as little fatiguing as possible [so] that with one word Schumann's popularity would be patronized throughout the festival." "Während man bei dem Beethovenfeste getrost jede Composition von Beethoven wählen

Apparently either the fame of the Symphony, curiosity about it, or Schumann's reputation as a symphonist prompted its performances in municipalities where new works generally were not performed. Königsberg was one such city. Prior to a concert on 30 January 1862 in which the Symphony was performed, a notice appeared in *Signale* in which this performance was advanced as "a musical event because new, great works of significance are very seldom heard in our region."[50] Fortunately, the Symphony was played "on the whole with the most possible favorable success."[51]

By the 1860s, the Symphony enjoyed repeated performances in specific cities. Theodore Hagen, a correspondent for *Signale*, pointed out that Schumann's compositions,

---

konnte und mit Recht hoffen durfte, dadurch den Meister zu ehren, während also dort der individuelle Geschmack derjenigen, welche das Fest ordneten, einen weiten Spielraum hatte, mussten die Grenzen der Auswahl bei Schumann viel enger gesteckt werden. Denn so gross die Mannigfaltigkeit des Schumann'schen Schaffens ist, nicht minder gross ist die Verschiedenheit des künstlerischen Werthes der Compositionen, welche den verschiedenen Epochen angehören: ja, es finden sich viele unter ihnen, durch deren Aufführung man dem Zwecke der Feier eher geschadet als genützt hätte. Man musste ausserdem im Auge haben, dass man die Feier für ein grosses Publikum arrangirte, dass also die ausschliessliche Beschäftigung desselben mit Schumann während mehrerer Tage möglichst wenig ermüden durfte, dass mit einem Worte Schumann's Popularität durch die Feier gefördert wurde." "Gedächtnissfeier für Robert Schumann in Bonn," *Allgemeine musikalische Zeitung*, col. 577.

[50]"[D]ies würde ein musikalisches Ereigniß genannt werden können, weil bei uns neue große Werke von Bedeutung so sehr selten gehört werden." "Dur und Moll," *Signale für die musikalische Welt* 20, no. 4 (16 January 1862): 57.

[51]"In dem neu begonnenen zweiten diesjährigen Cyclus von acht Orchesterconcerten der Capelle kam am 30. Jan. Schumanns Dmoll-Symphonie zum ersten Mal zur Aufführung und zwar im Ganzen mit möglichst günstigem Erfolge." "Dur und Moll," *Signale für die musikalische Welt* 20, no. 8 (6 February 1862): 105.

with the exception of *Genoveva*, were widely known in New York City, and his D-minor

Symphony had enjoyed several performances in the past:

>   This evening is the last Philharmonic Concert. Schumann was once again
>
> represented with his D-minor Symphony. This work is a true favorite of the local
>
> public as the Schumann muse has been established more here, by far, than, for
>
> example, in France, England, or in any of the German regions. His symphonies,
>
> chamber music, and Lieder are frequently heard [and] have become a large part of
>
> our better dilettantes. Only his opera is still an unknown masterpiece in New
>
> York.[52]

The Symphony was also performed several times in Leipzig for both the Gewandhaus

and Euterpe series. Reviewing a 23 November 1875 Euterpe Concert, a critic for the

Allgemeine musikalische Zeitung noted that both the Symphony and Richard Wagner's

---

[52]"Heute Abend ist das letzte philharmonische Concert . . . Schumann war wieder einmal mit seiner Dmoll-Symphonie vertreten. Dieses Werk ist ein wahrer Liebling des hiesigen Publicums, wie denn überhaupt die Schumann'sche Muse hier bei Weitem mehr eingebürgert ist, als z. B. in Frankreich, England, oder im irgend einem nicht deutschen Lande. Seine Symphonien, seine Kammermusik, seine Lieder sind oft gehört und sind zum großen Theil Eigenthum unserer besseren Dilettanten geworden." "New Yorker Briefe," *Signale für die musikalische Welt* 20, no. 29 (12 June 1862): 354.

overture to *Faust* were familiar due to previous performances by both Leipzig orchestras.[53]

Many of these concerts often were conducted by well-known persons such as Wilhelm Taubert, who served as the court Kapellmeister in Berlin when the Symphony was performed there in 1854. In other concerts, some of the most notable persons (many of whom were friends and colleagues of Schumann) who conducted the Symphony were Julius Rietz, chief conductor of the Gewandhaus orchestra in 1854, Ferdinand Hiller, Joseph Joachim, Franz Liszt, and Julius Tausch. Certainly one of the most famous was Gustav Mahler, who not only conducted the work for the fifth Philharmonic concert (New York) that took place on 14 January 1900, but also made numerous emendations to it.

Several of the performances in Germany that followed that of the Lower Rhine Music Festival seem to have assured success of the Symphony. One of the first known performances following the Festival proved so favorable that the reviewer remarked: "No greater composition by Schumann has received such a heartening, general applause the

---

[53]Reviewing the Third Euterpe Concert that took place on 23 November 1875, the critic noted: "The two orchestral works of the evening – a *Faust* Overture by Richard Wagner and Symphony Nr. 4 in D minor by Robert Schumann – are sufficiently familiar partly from earlier performances by the Euterpe orchestra itself, partly by the Gewandhaus and the Symphony Concerts of the Buchnerian Kapelle here." "Die beiden Orchesterwerke des Abends: Eine Faust-Ouvertüre von Richard Wagner und Symphonie Nr. 4 in D-moll von Robert Schumann sind dem Orchester von früheren Aufführungen theils in der Euterpe selbst, theils in den Gewandhaus- und den Symphonie-Concerten der Büchner'schen Kapelle her geläufig genug, als dass überhaupt ein Misslingen derselben anzunehmen gewesen wäre." "Berichte. Nachrichten und Bemerkungen," *Allgemeine musikalische Zeitung* 10, no. 50 (15 December 1875): col. 796.

first time as has this Fourth Symphony."[54] This review as well as others that covered

early performances such as the one for the 8 November 1853 concert in Cologne, in

which the critic observed that the Symphony was received "with cheering applause,"[55]

pointed toward a promising future for the Symphony.

The Symphony quickly acquired a high position among the new musical works of

its time. One critic, reviewing the 8 November 1853 concert in Cologne, regarded the

work as "a very fortunate acquisition in the symphonic repertoire."[56] The same critic

believed that the Symphony will elevate the reputation of Schumann as a symphonist and

even convert opponents to his music: "We believe . . . that this new work of Schumann

will acquire friends everywhere even where voices have been raised against him."[57]

---

[54]"Keine größere Composition Schumanns hat gleich das erste Mal einen so aufrichtig allgemeinen Beifall erhalten, wie diese vierte Sinfonie." "Viertes Abonnementconcert," *Signale für die musikalische Welt* 11, no. 43 (3 November 1853): 338.

[55]"Die Sinfonie wurde mit Beifalle aufgenommen." "Zweites Gesellschafts-Concert im Casinosalle," *Niederrheinische Musik-Zeitung* 1, no. 20 (12 November 1853): 159.

[56]"Trotz dieser ehrlich ausgesprochenen Austellungen, die nur beweisen, daß Referent nicht zu den blinden Verehrern der Schumannischen Musik gehört, gestehen wir gern, daß wir diese neue Sinfonie für eine sehr glückliche Bereichrung des Sinfonie-Repertoires halten, und daß wir ihr immerhin eine sehr hohe Stellung unter den Tonschöpfungen der Neuzeit einräumen." "Dur und Moll," *Signale für die musikalische Welt* 11, no. 46 (16 November 1853): 366.

[57]"[W]ir glauben übrigens, daß dies neue Werk Schumann's sich überall Freunde erwerben wird, selbst da, wo man sich bis dahin gegen ihn gestemmt hatte." "Dur und Moll," *Signale für die musikalische Welt* 11, no. 46 (16 November 1853): 366.

Voicing similar sentiments as the critic for *Signale*, a writer for the *Düsseldorfer Journal* prophesied a most promising future for the Symphony:

> Everywhere, even in places where the performance of Schumann's orchestral works is still thought of with a certain anxiety and where one does not yet want to come to a decision, as shown by the general public, one should be certain of the great success of the Symphony.[58]

Many of the remarks discussed above suggest that the Symphony helped elevate Schumann's reputation as a composer. At the very least, the Symphony was held in high esteem. As early as 1854, approximately two years before his death, Schumann was regarded by some as a national icon of German music, with the D-minor Symphony being an exemplary work:

> When one calls Robert Schumann the German of the German composers, in our opinion, one does not do so unjustly: the depth of the combinations, the dreamy immersion and jubilant shouts for joy, the "joyfulness and the sorrowfulness, and suspension and anxiety" in all his works is understandable for the most part to us

---

[58]"Ueberall und auch da, wo man noch immer mit einer gewissen Aengstlichkeit an das Aufführen von Schumann's Orchesterwerken denkt und sich noch nicht so recht entschließen will, dieselben dem größeren Publikum vorzuführen, darf man des großen Erfolges dieser Sinfonie gewiß sein." "Wochentlicher Kunstbericht: Musik und Theater," *Düsseldorfer Journal* 15, no. 276 (19 November 1853).

Germans. For this reason we also believe that the entirety of the features of Schumann are not open to the French, for example . . . The D-minor Symphony by Schumann named above automatically calls for these short, introductory remarks; however, a thorough discussion of this fresh and splendid work is warranted.[59]

Several accounts of later performances attest to the esteem and success of this composition. Reviewing a concert on 6 November 1866, a critic for *Signale* noted that the D-minor Symphony "according to both its content as well as its entirely first-rate, stirring performance, constituted the crowning achievement of the concert."[60] A reviewer for a 15 December 1881 concert in Munich, in which Clara was the featured soloist, "regarded it [the Symphony] as the most original and perfect [work] of the master."[61]

---

[59]"Wenn man Robert Schumann den deutschesten der deutschen Componisten nennt, so thut man, unserer Meinung nach, nicht unrecht: die Tiefe der Combination, das träumerische Versenken und jubelnde Aufjauchzen, das 'Freudvoll und Leidvoll und Hangen und Bangen' in allen seinen Werken ist zumeist uns Deutschen verständlich. Darum glauben wir auch, daß die Totalität der Erscheinung Schumann's den Franzosen z. B. nicht aufgehen wird . . . Diesen kleinen einleitenden Excurs hat die oben genannte Dmoll-Sinfonie von Schumann unwillkürlich hervorgerusen, er deine statt einer eingehenderen Besprechung dieses frischen und glänzenden Werkes." "Achtes Abonnementconcert," *Signale für die musikalische Welt* 12, no. 50 (7 December 1854): 401-402.

[60]"Unbestritten bildete das letztgenannte Werk sowohl seinem Inhalte als seiner ganz vorzüglichen schwungvollen Ausführung nach die Krone des Concerts." "Dur und Moll," *Signale für die musikalische Welt* 24, no. 48 (16 November 1866): 824.

[61]"Ich halte sie für die originellste und vollendetste des Meister, und auch mit der Aufführung konnte man im Ganzen zufrieden sein." The critic added: "It received, like

And, as late as 1891, a critic for *The Musical Times*, pointing out Schumann's renown as a symphonist, considered the D-minor Symphony as "the fourth and last of these noble efforts of genius of this particular form of expression associated with his name."[62] Some critics were so enamored by the D-minor Symphony that they deliberated the possibility of placing it on a higher level than that of the highly esteemed B-flat Major Symphony.[63]

Why did the D-minor Symphony enjoy such apparent popularity? Plausible reasons include its playability and comprehensibility. In a 5 December 1864 performance in Stuttgart, the Symphony was played so well that the audience applauded it warmly, despite prior opposition to the composer:

> The D-minor Symphony by Robert Schumann, whose masterwork was played
> excellently by our court orchestra in all respects and was received by the audience
> with obvious love and unanimous applause, made up the second part.
> Hofcapellmeister Eckert has, moreover, absolute merit; he broke the path, despite

---

all the remaining numbers, lively applause on the part of the very numerous members of the audience." "Tagebuchblätter aus dem Münchener Concertleben des Jahres 1881/82," *Allgemeine musikalische Zeitung* 17, no. 11 (15 March 1882): col. 170.

[62]"Crystal Palace," *The Musical Times* 577, no. 32 (1 March 1891): 151.

[63]"In fact, the newer time can be justly proud of this work whose artistic value is assessed perhaps even higher than that of the B-flat Major Symphony of the same master." "In der That kann auch die neuere Zeit mit Recht auf dieses Werk stolz sein, dessen künstlerischer Werth vielleicht noch höher anzuschlagen ist, als derjenige der *B-dur*-Sinfonie desselben Meisters." "Musicalische Zustände in Leipzig," *Niederrheinische Musik-Zeitung* 15, no. 11 (16 March 1867): 85.

multiple oppositions to Schumann, and slowly made himself at home. Schumann, who was despised here not long ago, was heard with interest in all respects and understood by the audience.[64]

These qualities seem to have attracted conductors and performers alike. A critic for the *Allgemeine musikalische Zeitung* noted how well the conductor and orchestra united in the spirit of the work in a performance in Aachen:

[T]he D- minor Symphony by Schumann, who seems to be growing in the heart of the indigenous musical world especially, was excellently [performed] at the end of the concert. It was a true joy to see how the conductor and orchestra were a complete one and how the excellent orchestra followed its conductor gladly and with success.[65]

---

[64]"Den zweiten Theil bildete die Dmoll Sinfonie von Rob. Schumann, welches Meisterwerk von unserer Hofcapelle in jeder Beziehung trefflich gespielt und zur Freude der Verehrer Schumanns vom Publicum mit sichtlicher Liebe und einstimmigem Beifalle aufgenommen wurde. Hofcapellmeister Eckert hat dabei das unbedingteste Verdienst; er hat trotz vielfacher Anfechtungen Schumann die Bahn gebrochen und ihn factisch einheimisch gemacht. Der vor nicht langer Zeit hier verpönte Schumann wird allenthalben mit Interesse angehört und vom Publicum verstanden." "Dur und Moll," *Signale für die musikalische Welt* 22, no. 51 (9 December 1864): 965. Critics for other concerts reported similar favorable performances, including one in Düsseldorf conducted by Julius Tausch, Schumann's successor ("Dur und Moll," *Signale für die musikalische Welt* 22, no. 51 (9 December 1864): 966; see also "Berichte. Nachrichten und Bemerkungen," *Allgemeine musikalische Zeitung* 7, no. 5 (31 January 1872): col. 82).

[65]"Ebenso war die Wiedergabe der D moll-Symphonie von *Schumann*, die der hiesigen musikalischen Welt ganz besonders ans Herz gewachsen zu sein scheint, am

Reporting on a Gewandhaus concert that took place on 10 December 1874, a writer for the *Allgemeine musikalische Zeitung* observed the following demeanor of the orchestra during a performance of the Symphony:

Besides this *Rhapsodie* [by Raff], Beethoven's *Coriolan* Overture and Schumann's D-minor Symphony were performed. The first two instrumental works went with such precision. Schumann's Symphony experienced an especially fiery rendition throughout; it was, as if the orchestra had been happy to be able to go now once again into a prosperous and inspired representation after having tired of the long, dry, tones of the Suite of last week.[66]

Specifically, the organization of the musical ideas seemed to have been one of the most accessible elements of the Symphony. In addition, the musical ideas themselves

---

Schluss des Concertes eine ganz ausgezeichnete." "Musikbericht aus Aachen," *Allgemeine musikalische Zeitung* 9, no. 22 (3 June 1874): col. 346.

[66]"Ausser dieser Rhapsodie gelangten noch *Beethoven's* Coriolan-Ouvertüre und *Schumann's* D moll-Symphonie zur Aufführung. So präcis auch die ersten beiden Instrumentalwerke gingen, so erfuhr doch Schumann's Symphonie eine ganz besonders feurige Wiedergabe; es war, als hätte sich das Orchester – des langen trockenen Suitentons der letzten Wochen müde – gefreut, nun wieder einmal so recht ins Volle gehen zu können, so schwunghaft und begeistert kam dieselbe zur Darstellung." "Breichte. Nachrichten und Bermerkungen," *Allgemeine musikalische Zeitung* 9, no. 51 (23 December 1874): col. 811. A critic for *The Musical Times* similarly noted an exceptional performance of the Symphony: "a remarkably vigorous and stirring rendering was given of Schumann's fine D-minor Symphony (No. 4)." "London Symphony Concerts," *The Musical Times* 35, no. 614 (1 April 1894): 240.

offered a poetic quality that, for some critics, was close to the literary world of Jean Paul Richter. Having noted the "clarity and clearness of the course of ideas," a critic for the Philharmonic Concert provided other reasons for the Symphony's appeal despite the audience's apprehension of Schumann's Symphonies in general:[67]

[T]he clarity and clearness of the course of ideas, the rich, melodic life and weaving [of the melodies] that prevails in the four connected movements as a whole, to which every period the poet alludes, arose, by way of comparison, with the exuberant vitality and productive atmosphere that overflows in the B-flat Symphony. The work captivates our interest in general and in all its details from the beginning until the majestic closing – from the bubbling life of the Allegro, of the Scherzo, especially in its first part [where] the divided Romanze, so fraught with meaning, stands out [from] the unfamiliar and strangely poetic, that [one] does not think about the eventual arbitrariness or even about the mere fortuitousness of absolute music, [and] of the finale [which is] just as poetic with its grandiose rounding of the whole as one had expected. The performance of this Symphony is not easy and demands a scrupulous, devoted preparation in

---

[67]The critic described the general reception of Schumann's Symphonies as follows: "The largely instrumental [ones] met with the greatest hostility under the leadership of the public opinion which partly averted them [and partly] listlessly adopted [them]." "[D]ie großen instrumentalen, begegneten den größten Anfeindungen unter den Führern der öffentlich Meinung, theils abwehrender, theils apathischer Aufnahme unter dem Publicum." "3. philharmonisches Concert," *Bohemia* 40, no. 60 (3 October 1867): 705.

agreement with our musical "Jean Paul" himself. Nevertheless, as we see it,

because the distinct performance now and then, probably as a result of the popular

measure of time, indeed also the purity, leaves much to be desired; the novelty

exercised an impression and received an enlivened, acclaimed applause.[68]

Comments made by this critic reveal that not only did he understand the form and

organization of this work, including the number of movements (perhaps aided by a

program), but he also understood the distinct character of each of the movements, even

hinting at the special meaning Schumann imbedded in the Symphony.

---

[68]". . . würden die Klarheit und Uibersichtlichkeit [*sic*] des Ideenganges, das
üppige melodische Leben und Weben, das in den zu einem Ganzen vereinten vier Sätzen
herrscht, auf jene Periode des Dichters hinweisen, in der die vergleichsweise von
strotzender Lebenskraft und Productionsluft überströmende B-dur-Symphonie enstanden.
Das Werk fesselt unser Interesse von Anfang bis zum imposanten Schluß im Ganzen und
in allen seinen Details. Von dem sprudelnden Leben des Allegro, des Scherzo, zumal in
dessen erstem Theil hebt sich fremdartig und doch poetisch anmuthend die eingetheilte
Romanze so prägnant ab, daß an einen etwaige Willkürlichkeit oder gar an die bloße
Zufälligkeit absoluter Musik nicht zu denken; des Finales als einer eben so poetischen,
wie grandiosen Abrundung des Ganzen wurde schon gedacht. Daß die Aufführung auch
dieser Symphonie nicht leicht seh und eine eben so gewissenhafte wie aufopfernde
Vorberreitung verlange, versteht sich bei unserm musikalischen 'Jean Paul' von selbst.
Trotzdem, daß, wie uns schien, der Vortrag hie und da an Deutlichkeit, wahrscheinlich
zufolge dem beliebten Zeitmaße, ja auch an Reinheit zu wünschen übrig ließ, übte die
Novität eine große Wirkung und erhielt animirte Beifallsbezeigungen."
"Philharmonisches Concert," *Bohemia* 40, no. 60 (3 October 1867): 705-706. A
correspondent for the *Deutsche Musik-Zeitung* also stated that although the Symphony
found only partial favor, "the work certainly does not belong to the incomprehensible
[oeuvre] of the master." "Die Symphonie von Schumann Nr. 4, D-moll, welche die erste
Nummer des sechsten Musik Concertes bildete, fand nur theilweise Anklang, obwohl die
Ausführ recht brav war, und das Werk gewiß nicht zu den unverständlischstem dieses
Meisters gehört." "Correspondenzen," *Deutsche Musik-Zeitung* 2 (13 April 1861): 119.

Another writer praised Schumann's compositional technique and also acclaimed the distinct character that defines each movement:

> Clarity and decisiveness of technique, solid, decidedly pronounced and therefore unmistakable character of every movement, remarkably diverse and interestingly realized main themes are the undeniable merits of this first-rate work.[69]

But despite these pensive and favorable comments, other critics showed less enthusiasm regarding the comprehensibility or lack thereof of the Symphony. While acknowledging "deep moments," a reviewer for an 1870 concert in Prague placed the D-minor Symphony on a lower level than that of the B-flat Major and C-major Symphonies, arguing that the D-minor was not as comprehensible as the First Symphony especially:

> The third concert brought Robert Schumann's D-minor Symphony, even if [it is] not as comprehensible as the B-flat Major nor as excellent as the C Symphony, though rich in considerably deep moments, but also in overly delicate difficulties

---

[69]"Klarheit und Entschiedenheit des technischen Organismus, festgehaltener, bestimmt ausgerägter, und darum unverkennbarer Charakter jedes Satzes, bedeutende, mannichfaltig und interessant durchgeführte Hauptgedanken sind die unbestreitbaren Vorzüge dieses trefflichen Werkes." "Viertes Abbonementconcert," *Signale für die musikalische Welt* 11, no. 43 (3 November 1853): 337.

whose conquest could be overcome so splendidly only under so suitable

circumstances of artistic preparation.[70]

In an effort to avert permanently labeling the Symphony as incomprehensible, a

correspondent for *The Musical Times*, who acknowledged Schumann's genius, asserted

that multiple hearings are required to understand not only the D-minor Symphony but

also Schumann's other Symphonies. Their depth of thought especially makes

comprehension upon the first hearing challenging:

We are glad to perceive that Herr Manns perseveres in presenting Schumann's

Symphonies to an English audience. A mind so original as this composer's has a

right to be judged by persons who have learned to think for themselves; and the

constant hearing of his works is the best antidote that can be thought of for the

adverse criticism so unsparingly used by those who would desire to guide the

public mind by their own conventional standard of taste.[71]

---

[70]"Das dritte Concert brachte Rob. Schumann's D moll-Symphonie, wenn auch nicht so eingänglich wie die B dur-, nicht so grossartig wie die C-Symphonie, doch reich an tiefbedeutsamen Momenten, aber auch an überheiklen Schwierigkeiten, deren Besiegung nur unter so günstigen Umständen künstlerischer Vorbereitung so glänzend überwunden werden können." "Aus Prag. Mai 1870 (Das Conservatorium)," *Allgemeine musikalische Zeitung* 5, no. 21 (1870): 166.

[71]"Crystal Palace," *The Musical Times* 11, no. 262 (1 December 1864): 419. Maurice Cristal also recommended several performances by the Paris Conservatoire so that the audience will embrace the work wholeheartedly. "C'est une oeuvre à fouiller de nouveau aux répétitions. En l'étudiant avec plus de patience et de sincérité, les

Critics also disagreed about the position of the Symphony in relationship to that of Schumann's B-flat Major and C-major Symphonies and to Beethoven's symphonies. In 1860, Selmar Bagge acknowledged the surprising positive reception given by the Viennese audience at a Philharmonic Concert but nevertheless regarded the D-minor Symphony as inferior to Schumann's B-flat Major and C-major Symphonies. Furthermore, Bagge measured the Symphony against those of Beethoven, a practice in which numerous critics engaged during the second half of the nineteenth century especially:

> The Symphony in D by R. Schumann, a composer who appeared for the first time in the life of these concerts, was played with excellent precision and won an unexpected, lively applause. . . . What concerns us is that this Symphony seems to us to be not as significant as the C-Major and the B-flat Major even though we find in this Symphony much that is attractive, pretty, and interesting. Compared with Beethoven's work of this sort, however, it appears to be perhaps situated like a romantically furnished villa with all the appeal against a royal palace.[72]

concertants du Conservatoire se prendront à aimer cette musique tendre det délicieuse, et alors le public n'approuvera pas de sa seule bonne volonté, il applaudira avec son coeur." Maurice Cristal, "Revue des concerts," *La Chronique musicale* 4, no. 21 (1 May 1874): 121.

[72]"Die Symphonie in D von R. Schumann, welcher Componist zum ersten Male, seit diese Concerte überhaupt in's Leben traten, daselbst erschien, wurde mit ausgezeichneter Präcision gespielt, und errang einen unerwartet lebhaften Beifall. . . . Was uns betrifft, so finden wir zwar in dieser Symphonie des Reizenden, hübschen und

Bagge's comparison of the D-minor to those by Beethoven reveal the values that some critics placed on symphonic composition during the second half of the nineteenth century. Clearly, Bagge expected composition of symphonies to follow the path that Beethoven had paved, particularly in the area of grandeur. With his comparison, Bagge imposed an evolutionary continuum of symphonic composition that was only one of the many aspects of symphonic composition that Schumann espoused. Furthermore, Schumann perceived that continuum differently from Bagge as discussed in Chapter 1.

Other critics took issue with the content of the Symphony. A writer for the *Niederrheinische Musik-Zeitung* offered some reasons for the "indifferent" reception of a performance on the part of the audience.[73] To be sure, part of the reason is that new works often encounter such reactions simply due to unfamiliarity. In the case of the D-

---

Interessanten Viel, aber als 'Symphonie' erscheint sie uns nicht so bedeutend, wie die in C-dur und B-dur. Gegen Beethovens Werke dieser Gattung aber erscheint sie etwa wie eine romantisch gelegene, mit allen Reizen versehene Villa, gegenüber einem Dogenpalast." "Concerte," *Deutsche Musik-Zeitung* 7 (11 February 1860): 55. Other critics noted allusions or references to Beethoven in the Symphony. Commenting on an episode in the last movement, a critic for *Dwight's Journal of Music* compared the character of it to that of the Adagio movement of Beethoven's Ninth Symphony. "Concerts," *Dwight's Journal of Music* 26, no. 23 (2 February 1867): 391. Noting reminiscences of Beethoven, a critic for *La Chronique musicale* believed Schumann was paying homage to the older composer, a gesture that certainly would have been characteristic of the historically-minded younger composer. (See Maurice Cristal, "Revue des concerts," *La Chronique musicale* 4, no. 21 (1 May 1874): 121, who also noted that Schumann should not serve as a substitute for Beethoven; rather, he should be considered individually with a distinctive character in his own right).

[73]"[D]ie Aufnahme von Seiten des Publieums war sehr lau." "Berliner Briefe," *Niederrheinsche Musik-Zeitung* 2, no. 6 (11 February 1854): 44.

minor Symphony, however, the writer argued that the very nature of the work caused this response:

One part of the blame must lie, however, with the Symphony itself, which is so excellent in its formal connections but lacks quality of ideas. It lies somewhat feeble, weak, and at the expense of external means, cannot substitute for the scarcity that we encounter here and there. Without firm concentration of feeling a true art work does not seem possible to us, and this appears to be the failing of the newest Symphony by Schumann.[74]

Although the comments offered by the writer of the article in the *Niederrheinische Musik-Zeitung* are vague, those discussed by a reviewer for *The*

---

[74]"Ein Theil der Schuld mag aber auch an der Sinfonie selbst liegen, die, so vortrefflich sie auch in formeller Beziehung ist, doch des Markes der Gedanken entbehrt; es liegt etwas Mattes, Abgeschwächtes darin, und der Aufwand an äusseren Mitteln, dem wir hier und da begegnen, kann diesen Mangel nicht ersetzen. Ohne entschiedene Concentration der Empfindung dünkt uns ein wahres Kunstwerk nicht möglich, und diese scheint der neuesten Sinfonie Schumann's zu fehlen." "Berliner Briefe," *Niederrheinische Musik-Zeitung*, 44. Other critics reported either neutral or absolutely negative reception of the Symphony despite excellent performances. In Munich, Schumann's Symphony and Niels Gade's overture, *Im Hochland*, "did not receive any special approval." "In München errangen sich R. Schumann's Symphonie in D-moll, und Gade's Ouverture 'Im Hochland' keine besondere Anerkennung." "Nachrichten," *Deutsche Musik-Zeitung* 53 (31 December 1860): 420. In another concert in Kassel conducted by Louis Spohr, "the masterful performance . . . left [us] rather cold." "Im zweiten Concert fand die Fest-Ouverture in Adur von Rietz verdienten Beifall, dagegen ließ die vierte Sinfonie von Robert Schumann trotz der meisterhaften Ausführung unter Spohrs Leitung, ziemlich kalt." "Dur und Moll," *Signale für die musikalische Welt* 12, no. 5 (26 January 1854): 37.

Musical World (New York) provided specific criticism of the Symphony. He found

problems with the melodic qualities of the Symphony, arguing that they upset the

character of the work. The distress this reviewer (who argued against the *Signale*

correspondent for the 27 October 1853 Gewandhaus concert in Leipzig who found merits

in Schumann's melodies as discussed above) experienced prompted him to assert that

Schumann either "despised melody or was ignorant of it."[75] Despite his reproach of the

qualities of the melodies in the Symphony, the critic liked other technical aspects of the

work, including modulations, transitions, and the harmony.[76]

One of the most distinctive features of the Symphony is that the movements are to

be played successively without a break. Like the Symphony itself, this aspect generated

controversy. On the one hand, a writer for the *Niederrheinsche Musik-Zeitung* argued that

uninterrupted connection of the movements was not only unnecessary but also

---

[75]Specifically, the critic argued: "At first view, it would seem that, in order to steer clear of anything like the melodies and treatment of the grand quartet of composers who preceded him, Handel, Haydn, Mozart, and Beethoven – he studiously accepted of such common phrases as would undoubtedly have been rejected by them or by any other lovers of legitimate melody, and by virtue of superior knowledge of contrapuntal and orchestral secrets, he elevates these stiff, wooden passages into comparative dignity and respectability. Music, according to Haydn's kingly complacency, is 'melody;' but this modern German light, it would seem, possessed a power back of the throne. This power we readily grant him; but he cannot occupy the throne itself, because he is not a legitimate successor in the line of living, moving melody." "The Philharmonic Society," *The Musical World* (New York) 21, no. 8 (19 February 1859): 116.

[76]"In the employment of modulations, transitions, and imitations in harmony; in knowledge of the quality and marked characteristics of instruments; in an intuitive perception of combination, and consummate ability in the employment of dynamic means, he is unquestionably a great master." "The Philharmonic Society," *The Musical World*, 116.

inadvisable.[77] On the other hand, Bagge appreciated the continuous flow of the

movements, having noted that their relatively short length is conducive to the

uninterrupted flow of the Symphony as a whole.[78] A critic for *Signale*, being somewhat

neutral in his assessment, argued: "That all movements are combined with one another

does not disrupt the effect but also does not enhance it," and immediately added: "No

inner need for this was evident."[79]

Interestingly, none of these critics noted the thematic recurrences in successive

movements as a determinant in playing the Symphony without interruption. Does this

---

[77]"The taciturn connection of the four movements is, on the whole, theoretically
observed, but not necessarily useful from a practical standpoint." "Die unmittelbare
Verbindung der vier Sätze zu einem Ganzen ist, theoretisch betrachtet, nicht nothwendig,
vom praktischen Standpunkte aus aber nicht rathsam." "Berliner Briefe,"
Niederrheinische Musik-Zeitung, 44.

[78]"The idea – an entire symphony given in a single continuous movement,
interrupted only by a short pause – is to be accepted as an exceptional one, just as
Beethoven's Sonatas were written in this manner. Also the brevity of the individual
movements is suitable for this endeavor. We would like to refer to this treatment as
something not worthy of imitating at any price and therein recognize progress. Give to
the emperor what is the emperor's and to this symphony its respectable four movements."
"Die Idee, eine ganze Symphonie in einem einzigen fortlaufenden Satz, nur durch eine
kurze Pause unterbrochen, zu geben, ist als eine ausnahmsweise hinzunehmen, wie ja
auch Beethoven Sonaten in dieser Weise geschrieben hat. Auch ist die Kürze der
einzelnen Sätze diesem Versuche günstig. Doch möchten wir um keinen Preis diese
Behandlungweise als eine nachahmungswerthe bezeichnen, und darin einen 'Fortschritt'
erkennen. Gebt dem Kaiser was des Kaisers ist, und der Symphonie ihre ordentlichen vier
Sätze." Selmar Bagge, "Concerte," *Deutsche Musik-Zeitung* (11 February 1860): 55.

[79]"Daß alle Sätze mit einander verbunden sind, that der Wirkung keinen Abbruch,
erhöhte sie aber auch nicht. Es machte sich keine innere Nothwendigkeit dabei
bemerkbar." "Viertes Abonnementconcert," *Signale für die musikalische Welt* 11, no. 43
(3 November 1853): 337.

mean that the critics simply did not understand the Symphony? Even if all the critics completely understood the Symphony, the more significant issue is that none chose to surmise reason(s) why Schumann believed the movements needed to be played as such. Schumann never explicitly offered any explanation, but he seems to have been trying to communicate some sort of narrative among the movements through their thematic connections via transformation in subsequent appearances. Critics either shied away from an explanation or simply chose to remain silent about the significance of thematic connections and transformations.

IV. Responses to the Orchestration of the D-minor Symphony

Richard Wagner, who would have recognized the thematic connections among the movements, condemned the work as well as Schumann's other symphonies, finding their meaning to be nothing less than superficial. In a letter to Hans von Bülow of 3 March 1855, Wagner wrote:

> But I took another close look at Schumann's symphonies with the honest hope of finding them beautiful and worth propagating. Well, I have now made up my mind about them and am fully convinced that it is *not* worth troubling myself with them: they are simply another kind of jargon which has the appearance of being *profound* but which, in my own opinion, is the same sort of empty nonsense as Hegel's philosophic rubbish, which is always at its most trivial where it seems most profound. Wherever there is a glimmer of light or a real melody, it is

95

Beethoven to the letter, who reveals himself as father and mother in one. May I be

spared all further dealings with this stuff![80]

If Schumann intended a special meaning in this Symphony, which he undoubtedly did,

Wagner obviously did not recognize it.

Significantly, Wagner wrote nothing to von Bülow about Schumann's

orchestration; yet, orchestration proved to be another debatable topic among the critics

early in the history of the Symphony. Like many critics from the later nineteenth and

twentieth centuries, critics in the 1850s argued about the quality of Schumann's

orchestration. A reviewer for *The Musical World* (New York) argued for Schumann's

orchestration, contending that Schumann was knowledgeable in "the quality and marked

characteristics of the instruments."[81] Like many of the later critics who negatively

criticized Schumann's orchestration, however, one complained that, despite the

thoroughly sonorous instrumentation, "one primary color is too prevalent."[82]

---

[80]Richard Wagner, *Selected Letters of Richard Wagner*, trans. and ed. Stewart Spencer and Barry Millington (New York: W.W. Norton, 1987), 327.

[81]"The Philharmonic Society," *The Musical World* (New York) 21, no. 8 (19 February 1859): 116.

[82]"Die Instrumentation ist durchaus wohlklingend, aber wie in allen seinen Orchestercompositionen zu vorherrschend in einer Hauptklangfarbe gehalten." "Viertes Abonnementconcert," *Signale für die musikalische Welt* 11, no. 43 (3 November 1853): 337.

Were the lack of various levels of shading due to the orchestration or to performances? In an 1853 Cologne performance conducted by Hiller, a critic praised the different colors, attributing this to the careful preparation the conductor underwent prior to this concert: "Hiller thoroughly studied the composition of his friend with special love so that all shades came to light splendidly, and it is not able to possible to imagine a more perfect performance."[83]

Although this question can be answered based on conjecture only, specific comments were made particularly about Schumann's use of the wind instruments. Herbert Oakeley, who had written about the Schumann Festival that took place in Bonn in 1873, noted an orchestration peculiarity in the Symphony: "in almost every measure from the first to the last a wind instrument is found."[84] Despite Oakeley's observation, a critic for an 1862 performance in Königsberg found the instrumentation "very diverse."[85] Both Bagge and a correspondent for *Dwight's Journal* negatively criticized Schumann's use of the brass instruments. Bagge described the brass so stifling as to "infringe on the light

---

[83]"Hiller hat die Composition seines Freundes mit besonderer Liebe einstudirt, so daß all Nüancen vortrefflich zum Vorschein kamen, und man eine vollendeteren [Kunste] leistung nicht zu denken vermag." "Wochentlicher Kunstbericht: Musik und Theater," *Düsseldorfer Journal* 15, no. 276 (19 November 1853).

[84]"Eine andere gleichfalls sehr seltene Eigenthümlichkeit der Schumann'schen Dmoll-Symphonie ist, dass fast in jedem Takte von dem ersten bis zum letzten ein Blasinstrument angetroffen wird." Herbert Oakeley, "Ein Engländer über deutsche Musikaufführungen und Werke deutscher Meister," *Allgemeine musikalische Zeitung* 8, no. 45 (5 November 1873): col. 715.

[85]"[U]nd die Instrumentation sehr mannigfaltig ist." "Dur und Moll," *Signale für die musikalische Welt* 20, no. 6 (6 February 1862): 105.

character of the work."[86] Bagge's comment seemed to apply directly to the score, whereas the correspondent for *Dwight's Journal* apparently blamed the problem on the performance. Complaining about the brass, the critic noted that there simply was not enough "real musical tone."[87] On the other hand, a critic for *The Musical Standard*, commenting on the first movement, found that: "the scoring, especially for the brass, is masterly."[88]

In 1872, when Piotr Ilyich Tchaikovsky had written his *Musikalische Erinnerungen und Feuilletons*, certain values concerning what constitutes good orchestration seemed to have infiltrated this art. Specifically dealing with instrumentation, contrasts of light and dark and the exploration of various instrumental colors were especially espoused. But by this time, the orchestra itself had changed to such an extent that the contrasts heard in Hiller's performance were no longer audible. As a result, Tchaikovsky discussed the problems he and his contemporaries faced with the Schumann Symphonies in general, blaming these problems solely on Schumann's alleged inadequacies as an orchestrator:

[86]"The many stifling brass (especially trombones) seem to us to infringe on the light character of the work, and it comes about by this means in a certain affectation in the entire work." "Das viele erdrückende Blech (besonders Posaunen) erscheint uns gegen den leichten Charakter des Werks verstoßend, und es kommt dadurch in das Ganze eine gewisse Geschraubtheit." Bagge, "Concerte," *Deutsche Musik-Zeitung* (11 February 1860), 55.

[87]"Concerts," *Dwight's Journal of Music* 10, no. 20 (14 February 1857): 159.

[88]"Crystal Palace, Winter Concerts," *The Musical Standard* 2, no. 33 (1 December 1864): 137.

Schumann did not succeed in orchestration especially. He did not

understand how to elicit contrasting effects of light and shade nor the sequence of

separate groups that exist in the planned mixtures in the art of orchestration. The

colorlessness and massive density of his instrumentation weaken the effect of the

great beauties of his instrumental works in many cases; they sometimes rob the

possibility to value these beauties, specially for the little developed and ill-

prepared listeners.[89]

Frederick Niecks, writing in 1882, proved to be one of the most profound critics

of Schumann's orchestration. While noting faults, Niecks also provided an explanation

for Schumann's singular approach to instrumentation, arguing that it served as an integral

element in the meaning of Schumann's music:

It is with Schumann's orchestral as with his pianoforte style – both are at times

awkward and ineffective, but his instrumentation is so inseparably bound up with

---

[89]"Die Koloritlosigkeit und massive Dichtheit seiner Instrumentierung schwächt nicht nur in vielen Fällen den Eindruck grosser Schönheiten in seinen symphonischen Werken ab, sondern raubt zuweilen, besonders den wenig entwickelten und nicht durch vorhergehendes Studium vorbeireiteten Zuhörern jede Möglichkeit, diese Schönheiten zu würdigen." Peter Ilyich Tchaikovsky, *Musikalische Erinnerungen und Feuilletons*, ed. Heinrich Stümcke (Berlin: Harmonie, 1899), 82.

the character of his thoughts that the one cannot be altered without denaturalising

– nay, perhaps even in part destroying – the other.[90]

To support his point, Niecks discussed reasons for the darkness of Schumann's

instrumentation as it is found in much of the D-minor Symphony. Reiterating his thesis,

Niecks argued for the effectiveness in communicating the musical ideas of a given work,

ideas that are inseparable from Schumann's mien:

In connection with this point we must not overlook the fact that the lack of

brilliance and transparency is for the most part attributable to and in keeping with

the character of the underlying thought – is, in fact, as far as interpretation goes, a

felicitous effect, not a disastrous defect. Schumann's personality as reflected in his

works may not always be absolutely pleasing; but, as in life so in art, we must

---

[90]Frederick Niecks, "Schumann's Instrumentation, and His Position as a Symphonist," *The Musical Times* 23, no. 473 (1 July 1882): 367. Furthermore, Niecks was absolutely opposed to either retouching or complete revising Schumann's orchestral works: "I should tremble were the greatest instrumentators of our time, Wagner and Liszt, to reproduce his symphonies according to their own notions; I should fret were the more conservative Raff to subject them to a thorough revision; and I should grieve even were Brahms or some other disciple of the master's to retouch them with a reverent hand." Otto Karsten echoed Niecks's remarks, asserting: "Schumann's instrumentation is a mirror of his inner nature." "Die Instrumentation ist eben bei Schumann ein Spiegel seiner inneren Natur." Otto Karsten, "Die Instrumentation Robert Schumanns" (Ph.D. diss., University of Vienna, 1922), 177.

respect individual singularities if we wish not to suppress individuality altogether, and level humanity to one vast expanse of tedious uniformity.[91]

Like comments concerning orchestration, observations regarding the Romanze and Scherzo surfaced early in the history of the 1851 revision. In some performances, these were the only movements that received virtually unanimous favorable acclaim. A critic for the 1 March 1860 Cologne performance, under Hiller's direction, noted that:

[O]nly the two middle movements met with obvious good response. The two other [movements] failed because they did not have wonderful effects and captivating thoughts.[92]

Other critics preferred these movements because of their symphonic character, which arguably was absent in the outer movements:

[91]Niecks, "Schumann's Instrumentation," *The Musical Times*, 367.

[92]"Schumann's *D-moll*-Sinfonie wurde recht gut gespielt, auch mit Schwung, indessen sprachen doch nur die beiden Mittelsätze an, wiewohl es auch den beiden anderen nicht an grossartigen Effecten und ergreifenden Gedanken fehlt." "Neuntes Gesellschafts-Concert in Köln," *Niederrheinische Musik-Zeitung* 8, no. 10 (10 March 1860): 86. Critics for *La Chronique musicale* and *La Revue et Gazette musicale de Paris* also noted that the middle movements and also the last movement received enthusiastic applause. See Maurice Cristal, "Revue des concerts," 4, no. 21 (1 May 1874): 121; "Concerts et Auditions musicales," *La Revue et Gazette musicale de Paris* 41, no. 8 (22 February 1874): 61; "Concerts et Auditions musicales," *La Revue et Gazette musicale de Paris* 41, no. 9 (1 March 1874): 69.

The two middle movements, Romanze and Scherzo, are, undoubtedly without

question, the most outstanding because the need for a symphonic breadth of ideas,

on which count the entire Symphony is lacking, is least perceptible here. The trio

in the Scherzo exerts a truly magical effect in its violin solo, which occurs already

in the Romanze.[93]

Some commentators appreciated the orchestration of the Romanze especially. Niecks, in

his assessment of Schumann's orchestration, singled out this movement and the trio of the

Scherzo as exemplary evidence of Schumann's effectiveness as an orchestrator:

[B]esides comparatively ineffective passages there are others where the composer

shows himself a master in this particular branch of his art, and in not a few even

an originator of novel effects of the greatest beauty.[94]

---

[93]"[A]m bedeutendsten sind wohl ohne Frage die beiden mittleren Sätze, Romanze und Scherzo, weil der Mangel an sinfonischer Breite der Ideen, an dem die ganze Sinfonie leidet, hier am wenigsten fühlbar wird. Von wahrhaft zauberischer Wirkung ist das Trio im Scherzo, welches als Violinsolo bereits in der Romanze auftritt." "Dur und Moll," *Signale für die musikalische Welt* 11, no. 46 (16 November 1853): 366.

[94]Niecks, "Schumann's Instrumentation," *The Musical Times*, 367.

The merit of the middle movements, in fact, was so high that Bagge attested that their

quality caused disparity with that of the outer movements.[95] A critic for *The Musical*

Standard offered similar observations to those of Bagge but added a suggestion that

became a misnomer about Schumann's ability to compose in large forms:

> [T]he shorter movements illustrate the composer's happiest mood, and in writing
>
> short pieces he was more frequently happy than otherwise. The *Romanza* has
>
> about it a quaintness and a graceful charm which are irresistible, while there is in
>
> the *Scherzo* (the *trio* especially) an elegance of treatment which deserves the
>
> heartiest recognition.[96]

---

[95]"Regarding purely musical [aspects] we find in the first and last movements an incongruity between the content and the summoning middle ones." "Rein musikalisch betrachtet finden wir im ersten und letzten Satz ein Mißverhältniß zwischen dem Inhalt und den aufgebotenen Mitteln." Bagge, "Concerte," *Deutsche Musik-Zeitung* (11 February 1860): 55. Bagge also noted that the Romanze was not repeated regardless of most fervent applause. "Der kleine romanzenartige Mittelsatz wurde sogar nach nicht endenwollendem Applause wiederholt!" Nevertheless, the Romanze was encored in Vienna during a Philharmonic concert. "Cherubini's attractive Overture to *Abencergen* was played very finely and charmingly and found spirited applause. This is also true of Schumann's D-minor Symphony whose Romanze had to be played again." "Cherubini's reizende Ouvertüre zu den 'Abenceragen' wurde sehr fein und graziös gespielt und fand lebhaftesten Beifall. So auch Schumann's D-moll Symphonie, deren Romanze wiederholt wurde." "Locales," *Deutsche Musik-Zeitung* 3 (1 March 1862): 71.

[96]"Crystal Palace Concert," *The Musical Standard* 6, no. 135 (2 March 1867): 138.

The D-minor Symphony met with mixed reception during the nineteenth century. While some critics hailed the 1851 version for qualities such as its comprehensibility, playability, and imaginative construction, others condemned it for those same aspects. Although criticism was mixed, the Symphony had acquired notoriety within many regions of Germany and in foreign countries by the end of the nineteenth century. Significant also is that during the second half of the nineteenth century, both Schumann and the Symphony faced mixed criticism regarding its orchestration. While some commentators found Schumann to be a good orchestrator, others reprehended his technique. Still others, such as Niecks, chose a more diplomatic road, arguing that Schumann's orchestration was an element inherent to the meaning and expression of the music, whether the technique itself was good or bad.

In any case, several of the elements – melodic, rhythmic, harmonic, dynamic, and instrumentation – were regarded by some as so inadequate that certain changes needed to be made in order to produce an effective performance. While some alterations, such as several made by Clara Schumann and Alfred Dörffel, were moderate – in the realm of retouchings – others bordered on revision. Those made by Gustav Mahler to the 1851 version and the "conflation" of the 1841 and 1851 versions realized in an edition by Johannes Brahms and Franz Wüllner undoubtedly belong to the second category. Details regarding changes – both retouchings and revisions – and the effect they made on the Symphony will be treated extensively in Part Two.

CHAPTER 3

PERFORMANCE PRACTICES AND AESTHETICS OF NINETEENTH-CENTURY

SYMPHONIC MUSIC

In his forward to Hector Berlioz's *Grand traité d'instrumentation et
d'orchestration modernes*, Richard Strauss attests that Berlioz created the modern

orchestra, which Richard Wagner later perfected, implying that changes occurred in the

orchestra as a medium between the time of orchestral works of Berlioz and Schumann

and that of Wagner's music dramas.[1] Indeed, changes did transpire in the orchestra,

namely in its number of instruments and disposition (i.e., proportions of instruments in

the orchestral ensemble and seating/standing arrangements). Orchestration itself changed

in its treatment of instruments, dynamics, and articulation. Also, notational practices

involving beaming and articulation changed. The role of the conductor expanded from

serving as a mediator in the early years of the nineteenth century to applying an

individual artistic voice in the second half. Finally, ideals of the symphony as a genre and

the orchestra as a medium were modified according to compositional approaches to the

genre and to orchestration as an art. Taken as a whole, these changes reflect a profound

aesthetic reversal: the earlier half of the century tends to favor timbral diversity within

individual works and the orchestral ensemble as a whole. But by the final decades of the

---

[1]Richard Strauss, foreword to *Treatise on Instrumentation*, by Hector Berlioz and
Richard Strauss (New York: Dover, 1991), II.

century, there was a distinct preference for blended homogeneity. Schumann's orchestration was skillfully deployed to achieve a massive sound in disclosed locations without sacrificing timbral diversity.[2] It suffered considerably when it was subjected to the orchestral performance practices of the later nineteenth century.

The changes that occurred with the orchestra and the actual performance of orchestral works had an impact on how Schumann's D-minor Symphony was perceived. Understanding these differences, then, provides insight into the interpretations offered by Clara, Dörffel, Bargiel, and Mahler and the negative criticism that the Symphony endured and Schumann's orchestration in general, during much of the second half of the nineteenth century and for most of the twentieth century.

I. NINETEENTH-CENTURY ORCHESTRAS

In the nineteenth century, the size of orchestras throughout Europe varied considerably, as it does today. Having studied the size of several orchestras active from 1847 to 1856, Daniel Koury calculated that the number of members ranged from thirty-five in some ensembles to ninety in others, for an impressive difference of fifty-five members.[3] Henry Orland surveyed sizes of more than one hundred orchestras active between 1750 and 1850 and provided an average size based on maximum and minimum

---

[2]Jon W. Finson, "Robert Schumann: The Creation of the Symphonic Works" (Ph.D. diss., The University of Chicago, 1980), 338-339.

[3]The largest was the New Philharmonic Society of London, conducted by Berlioz, and the smallest was the Leipzig Gewandhaus Orchestra. Daniel J. Koury, *Orchestral Performance Practices in the Nineteenth Century: Size, Proportions, and Seating* (Ann Arbor: U.M.I. Research Press, 1986), 161.

numbers for each ensemble (Table 3.1). Orland's results, too, suggest that sizes of

orchestras varied considerably prior to 1850. Sizes vary for several reasons, including

economic, political, and social factors, availability of musicians, sizes of concert halls,

and purposes of performances. Despite these various reasons for the diversity of the

number of musicians in orchestras, some generalities can be discussed that provide

insight into how composers orchestrated their symphonic works.

Comparing the average size of orchestras of the first half of the nineteenth century

with ideal sizes of string sections advanced by Heinrich Christoph Koch and Berlioz

reveals that diversity was part of theory as well as practice. In his *Musikalisches Lexikon*

of 1802, Koch proposed that the string section for concert music in general should be

eight violins (presumably divided into four first violins and four second violins), three

violas, three cellos, and two contrabasses. For a larger ensemble, he recommended ten

violins, three violas, three cellos, and two contrabasses.[4] In striking contrast, Berlioz

---

[4]Heinrich Christoph Koch, *Musikalisches Lexikon*, s.v. "Besetzung" (Frankfurt: 1802; reprint, Hildesheim: Georg Olms, 1964). During the first half of the nineteenth century, increases in the size of the orchestra most often affected the strings. In the Gewandhaus Orchestra from 1781-1831, for example, the number of strings gradually grew from nineteen to thirty, but the number of winds remained the same. A writer for a Boston periodical in 1839 noted: "'In well regulated Orchestras in Europe, the former [strings] amount in number to at least four times that of the latter [winds], and for such proportions the composers write their orchestral music.'" Koury, *Orchestral Performance Practices in the Nineteenth Century*, 164.

Table 3.1. Results of Orland's Survey of Orchestras from 1750 to 1850[5]

	Maximum Number	Minimum Number	Average
Flutes	7	1	2
Oboes	6	1	2
Clarinets	7	1	1
Bassoons	5	1	1
Horns	7	1	3
Trumpets	10	1	1
Trombones	3	1	1
Timpani	4	2	2
Violin I	16	2	7
Violin II	16	2	7
Violas	10	1	3
Cellos	13	1	4
Contrabasses	11	1	3

idealized a strings section of twenty-one first violins, twenty second violins, eighteen violas, eight first cellos, seven second cellos, and ten contrabasses.[6]

During the first half of the nineteenth century, sizes of most orchestras increased. Examining the 1831 size of the Gewandhaus orchestra, an orchestra with which

---

[5]Henry Orland, "Symphonic Sound Ideals from 1750 to 1850 and Their Cultural Background," (Ph.D. diss., Northwestern University, 1959), 69.

[6]Berlioz and Strauss, *Treatise on Instrumentation*, 407.

108

Schumann was intimately familiar, shows that the string section was somewhat larger than what Koch had proposed (Table 3.2). Comparing the size of the 1831 orchestra with that of 1839 indicates a slight increase in the number of strings. Indeed, each instrument except the second violins increased by one, so that now there were nine first violins and eight second violins. This increase altered the ratio between the two violin sections, with one first violin more than the second violins. The increase in the size of the string family suggested a desire for a more prominent string sound. Reasons for the change in the ratio between instruments when numbers from 1831 are compared to those of 1839 are unknown, but they may stem from a desire to increase the strength of the low strings.

The second half of the nineteenth century witnessed a considerable increase in the size of the orchestra. In the 1865 revision of Koch's treatise, the number of strings rose significantly since 1802 to twelve first violins, twelve second violins, six violas, eight cellos, and four to six contrabasses.[7] Édouard Blitz suggested in 1887 that a complete orchestra should consist of the following: two flutes, two oboes, two clarinets, two or four bassoons, four horns, four trumpets (or two trumpets and two cornets), three trombones, one ophicleide, one pair of timpani, one other percussion player for bass drum and cymbals, ten first violins, ten second violins, eight violas, eight cellos, and six

---

[7]Adam Carse, *The Orchestra from Beethoven to Berlioz* (New York: Broude Brothers, 1949(, 24.

Table 3.2. Comparison of the Size of the Leipzig Gewandhaus Orchestra, 1831 and 1839[8]

	1831	1839
Flutes	2	2
Oboes	2	2
Clarinets	2	2
Bassoons	2	2
Horns	2	2
Trumpets	2	2
Trombones	2	2
Timpani	2	2
Violin I	8	9
Violin II	8	8
Violas	4	5
Cellos	3	5
Contrabasses	3	4

contrabasses.[9] Noting that ensembles differ and that the size of the hall and the works that are to be performed should be considered, Hermann Zopff recommended that for a "medium-sized" hall with one complement of wind instruments, the string section should consist of eight first violins, six to eight second violins, three to four viols, two to three

---

[8]Alfred Dörffel, *Geschichte der Gewandhausconcerte zu Leipzig vom 25. November 1781 bis 25. November 1881* (Walluf: Sändig, 1972), 78.

[9]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 165.

cellos, and two to three contrabasses. Larger halls required that the number of strings be

increased to twenty-four first violins, twenty second violins, twelve violas, twelve cellos,

and twelve contrabasses. Large music festivals required even more instruments, and for

such events, Zopff suggested that the winds be doubled.[10]

Close analysis of the figures offered by Blitz and Zopff reveals some startling

differences not only between them but also with Zopff's numbers for medium and large

orchestras. The various opinions some writers offered indicate that proportions for the

number of woodwinds, brass, and strings differ, leaving one to question if an ideal sound

in the nineteenth-century orchestra can be determined. Koury notes that one proportion,

in fact, does not typify the nineteenth-century orchestra:

If one is seeking a working ratio for the nineteenth-century orchestra,

Zopff's figures can be even more confounding. His smaller group would yield 21

to 26 strings against about 8 woodwinds and probably 9 to 11 brass, or roughly

2:1:1. But his larger group amounts to 80:8:11 or 10:1:1 – vastly different ratios

and in conflict with Blitz's 4:1:1. Zopff's combined winds versus strings would be

about 19:26 in the smaller group or roughly 2:3, and 19:80 in the larger or 1:4.

Blitz's was 1:2. Zopff's string section varies from 8:8:4:3:3 or almost 3:3:1:1:1 to

24:20:12:12:12 or 2:2:1:1:1. Blitz's was 5:5:4:4:3. And violins versus lower

---

[10]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 166.

strings come out for Zopff 16:10 or 3:2 and 44:36 or 5:4, against Blitz's 1:1.

Certainly there is little basic agreement here.[11]

One reason for the increase, besides larger halls and audiences, was due to the increased number of wind instruments. The standard woodwind family in the first half of the century consisted of two flutes, two oboes, two clarinets, and two bassoons. In the second half, the number of these instruments generally did not increase, but composers wrote for additional woodwind instruments such as the piccolo, English horn, and double bassoon. The standard brass for German orchestras after 1850 included four horns, two trumpets, and three trombones, with the tuba being an additional instrument to this core. Additional woodwind and especially brass instruments prompted the need for more string instruments in an effort to achieve some balance among these three families. By the end of the century, many orchestras consisted of sixteen to eighteen woodwinds, eleven to eighteen brass, and approximately sixty strings (sixteen to eighteen first violins, fourteen to sixteen second violins, ten to twelve violas, ten to twelve cellos, and eight to ten contrabasses). Furthermore, five to six percussionists played a variety of instruments in addition to timpani, which had increased in number from two at the beginning, to three at mid-century, and four by the end of the century.

Most orchestras during the last quarter of the century numbered at least fifty players, with some, such as the 1885 Hallé Orchestra of Manchester, nearing 100

---

[11]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 166.

members. Several, such as the Boston Symphony Orchestra, consisted of a more modest

72 members.[12] Despite the general increase in the size of orchestras, variety in the

number of members still occurs, just as it had in earlier years of the century. Even after

his extensive study of sizes of several orchestras, Koury conceded that even at the end of

the nineteenth century, the differences continent-wide make advancing generalities about

size impossible.[13] Nevertheless, perhaps one generality can be made, and that is that the

size of the orchestra increased because audience size increased. The enlargement of both

the number of people in the orchestra and in the audiences prompted the construction of

larger concert halls.

The diversity in the number of instrumentalists in orchestras during the nineteenth

century, although widespread, was even an issue in a specific locale such as Düsseldorf.[14]

Although precise numbers are not available for the size of the orchestra that Schumann

conducted there from 1850 to 1853, it seemed relatively small in comparison to others,

even the Gewandhaus orchestra. Colin Lawson and Robin Stowell estimate that as late as

1864, the Düsseldorf orchestra consisted of approximately thirty-four players for the

subscription concert series.[15] This number, however, is not valid for the 1853 Lower

---

[12]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 161.

[13]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 162.

[14]Schumann was also intimately familiar with the Dresden orchestra, which was an opera orchestra.

[15]Colin Lawson and Robin Stowell, *The Historical Performance of Music: An Introduction* (Cambridge: Cambridge University Press, 1999), 139.

Rhine Music festival.[16] The total number of musicians involved (orchestral and chorus

members, vocal and instrumental soloists, and conductors) is 664, with 160 or

approximately 24% of that number being orchestral personnel.[17] Thus, the Düsseldorf

orchestra that performed subscription concerts and the augmented one that played the

1853 Lower Rhine Music Festival differed considerably in size, reflecting the need for

the number of musicians in relationship to a particular musical function.

Seating[18] arrangements of orchestras were just as diverse in the nineteenth century

as were the number of instruments in ensembles throughout Europe. Several plans were

proposed in theory, while others were actually practiced. Whether these plans were

hypothetical or applied, the intention of most, if not all, were designed for optimal

acoustical advantages to the audience. In 1806, I.F.K. Arnold advanced three principles

for orchestral seating arrangements:

---

[16]The performance took place in the Geislerschen Saales, an unusually large performance facility of the time. Precise measurements and seating arrangements are currently unavailable.

[17]Cecelia Hopkins Porter, "The New Public and the Reordering of the Musical Establishment: The Lower Rhine Music Festivals, 1818-67," *19th-Century Music* 3, no. 3 (March 1980): 217. The chorus and orchestra consisted of both professional and amateur musicians, but most of the soloists and conductors were professional musicians. Of the many prominent conductors in addition to Schumann was Franz Wüllner, who, with Johannes Brahms, published a conflation of the first and second versions of the D-minor Symphony for Breitkopf & Härtel in 1893.

[18]In Germany, orchestral musicians usually performed standing rather than sitting until the last years of the nineteenth century.

"(1) the 'standpoint' of the orchestra must be so chosen that neither the 'physical nor esthetic effect' of the music fails for the listener; (2) the distance between the orchestra and the audience must be 'so measured' that the music makes a 'total impression' as would a piece performed by a single man on one instrument; and (3) the position of the more powerful instruments must be so chosen that they do not 'drown out' the less powerful."[19]

To realize these principles, Arnold proposed that the orchestra should be elevated above the audience (as much as three feet), so that its tone travels above the heads of the listeners. Members of the orchestra should be arranged in four or five arcs. With four arcs, the music director is in the middle, and the first violins to his right. The second violins are located behind the first. For the next arc, the contrabasses are divided into two groups, the first of which is located at one end of the arc with the second positioned at the other end. Cellos and violas are situated between these two contrabass groups. At the foremost end of the next arc are the flutes. Clarinets are positioned toward the middle. The bassoons follow, with the oboes at the other end. Trumpets, timpani, trombones, and horns constitute the last arc.

The ideas that Arnold proposed served as the basis for those advanced by later writers. Berlioz, for example, agreed that nothing should obstruct the sound of the orchestra; therefore, the ensemble should be situated on a horizontal or inclined stage. He

---

[19]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 181.

added that the space surrounding the ensemble should be enclosed, or if that is impossible, the orchestra should be situated in the middle of the auditorium. Although his philosophy corresponds closely to that of Arnold, his ideal seating plan differs. Berlioz believed that the violas should separate the first and second violins. The flutes, oboes, clarinets, horns, and bassoons should be behind the first violins, and two rows of cellos and contrabasses should be placed behind the woodwinds. Trumpets, cornets, trombones, and tubas are seated behind the violas, and timpani are located behind the brass.[20]

Analyzing an applied plan such as that of the 1844 Leipzig Gewandhaus Orchestra (Diagram 3.1)[21] suggests that instruments belonging to a particular family were arranged together to a certain extent, but there was also an admixture of families. The violas, for example, although situated behind the contrabasses, were set apart from them and the cellos, whose part the violas sometimes played in music of this time. In fact, the violas are in the same tier as the woodwinds. The arrangement of the woodwinds themselves suggests they were considered as two subgroups, one consisting of flutes and oboes, and the other clarinets and bassoons. Instruments of the brass family constitute the most closely grouped of the families, but the pairing of the trumpets and timpani may suggest that the latter were associated with the brass family rather than regarded as independent percussion. When orchestration during the first half of the nineteenth century is considered, however, this arrangement is logical because the trumpets and

[20]Berlioz and Strauss, *Treatise on Instrumentation*, 418.

[21]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 207.

Diagram 3.1. Leipzig Gewandhaus Seating Plan, 1844[22]
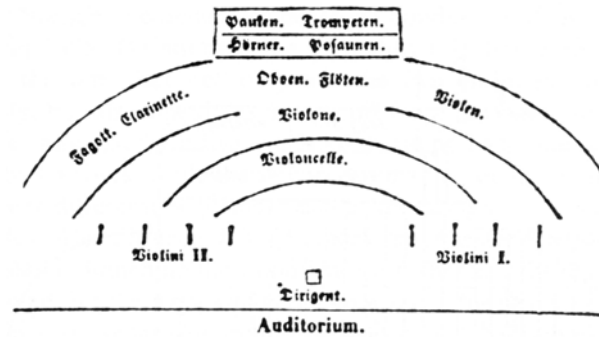
timpani were frequently cast in homorhythmic accompanimental passages that provided

emphasis to particular rhythmic elements of primary and secondary thematic material.

Arranging instruments according to families became a trend near mid-century.

Ferdinand Gassner's plan shows his preference for keeping families together, so that

smaller ensembles within a larger group can readily function together. In addition, each

member of a particular family should be able to hear its own bass as well as the

contrabasses. In 1873, F.L. Schubert upheld Gassner's theory by maintaining instruments

of a particular family should be positioned together. He argued for a plan similar to that

of many orchestras today, in which the strings are closest to the conductor, followed by

the woodwinds, brass, and percussion.

---

[22]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 207.

Comparing Berlioz's ideal plan with Blitz's design for the Rhine Festival in the 1880s suggests that in the second half of the nineteenth century, a blended sound and optimal coordination among members of families of instruments received priority.[23] Although the first violins are separated from the second violins and violas, the contrabasses behind them are divided, so that each resulting subgroup has sufficient support from the bass. The horns have an advantageous position of being between the woodwinds and brass, so that they can readily blend with either family. Whether this or another plan was used when Schumann conducted the 1853 Lower Rhine Music Festival is unknown.

Difference in plans of the first half of the nineteenth when compared to those of the second half stem from changes in the size of the orchestra and from functions of particular concerts. Equally significant is that many that pertain to German ensembles reflect a concern for a homogeneous sound during the second half of the century. This sound ideal held less importance during the first half, when many German composers explored sound qualities of specific instruments (with or without special techniques), and, to a lesser extent, sonorities from new combinations of instruments.

II. Nineteenth-Century Orchestration

Meanings of specific dynamics indications and articulation were as diverse in the nineteenth century as were the sizes of orchestras and their dispositions. Dynamics, for

_____

[23]Blitz believed his plan produced a more homogeneous sound than Berlioz's proposed seating arrangement. Koury, *Orchestral Performance Practices in the Nineteenth Century*, 181.

example, denoted a certain level of volume and could also possess accentual properties.

A particular accent could have a number of different meanings. Articulation marks not

only indicate the manner in which a note or series of notes is played, but certain ones

could also have specific accentual attributes. Compounding the problem in determining a

precise definition for a particular dynamic, accent, or articulation is the fact that theorists

often provided contradictory information among themselves and even within their own

writings. Composers, too, advanced different meanings for a particular symbol that were

contradictory, even in works dating from the same period of time. Finally, the meanings

of certain symbols changed as the nineteenth century changed; during the second half of

the century, some symbols lost certain purposes while others acquired new connotations.

Certain dynamics held several meanings during the nineteenth century. For

example, *fortissimo*, *forte*, and *subito forte*[24] denoted that a section, passage, or note

should be played very loudly, loudly, or suddenly strongly, respectively. In addition to

particular degrees of loudness, each of these could indicate accent. *Fortissimo*, when

used in the course of a loud passage, may suggest the note to which it applies should be

accented. *Forte* may be used in the same manner, but with an attack that is weaker than

that of *fortissimo*. *Subito forte*, in contrast to *fortissimo* and *forte*, seems to have been

used more as an accent than as an indicator for volume. When used in soft passages,

---

[24]Based on current research, John Michael Cooper discussed the distinction between *subito forte* and *sforzando* in a recent interview. The former means that a note or series of notes is to be played strongly; that latter implies a decay in sound after the initial attack. John Michael Cooper, interview by Jean Marie Hellner, 11 March 2003.

performers were to accent the note or notes to which *subito forte* applied, and then immediately return to the previous soft dynamic level.

Additional ambiguities of the definition of *subito forte* arise when it is compared with *sforzando* and *forzato*. That three symbols exist suggests each has a distinct meaning. Establishing that distinction, however, is nearly impossible. In his discussion of these symbols, Clive Brown suggests that *subito forte* and *sforzando* are synonymous, but distinction is still dubious in theory and practice:

> Although many writers explicitly stated that the two terms and their abbreviations were intended to convey the same thing, a small number if musicians, or perhaps only theorists, acknowledged subtle distinctions between these various terms and their abbreviations; but their conclusions . . . are often contradictory and are likely to be of dubious relevance to composers' usages.[25]

The degree of accentuation between these symbols, if any actually exists, depends on their musical context and the notation practices of the composer:

> Where a composer employed both *f* and *sf/fz* as accents, the latter will generally have implied, as the meaning of the Italian word suggests, the sharper attack;

---

[25]Clive Brown, *Classical & Romantic Performing Practice 1750-1900* (New York: Oxford University Press, 1999), 75.

however, it seems clear that *sf/fz* was sometimes intended to signify a relativel y

light accent within a piano context, whereas *fp* in piano passages is more likely, in

almost all cases, to indicate a stronger dynamic contrast.[26]

Furthermore, an individual composer's notational practices must also be considered to

determine the meaning of these symbols as well as other notational devices. Brown

pointed out that Schuman, for example, frequently used *subito forte*, which, when

compared to other types of markings that he used, is a powerful accent. But the degree of

accentuation must be determined relative to Schumann's use of *forte-piano*, hairpin

accents, and messa di voce, all of which he used in soft passages and movements.[27]

In the nineteenth century, articulation marks can also have accentual properties as

do certain dynamics. No consensus concerning these properties exists, but some

generalizations can be adduced from theoretical writings and compositions. Staccato

marks (', ·, and ▾), for example, indicated that the duration of particular notes should be

shortened or that a succession of notes marked as such should be distinctly separated

from each another. The degree and extent to which that separation should be

implemented were debated in the course of the nineteenth century. If a composer used

two or more of these symbols, determining their meaning was more certain than if only

once staccato mark was used. For example, if the stroke and dot were both used, the

---

[26]Brown, *Classical & Romantic Performing Practice*, 75-87.

[27]Brown, *Classical & Romantic Performing Practice*, 86.

stroke indicated an accent and a shortening of the value of a note, whereas the staccato simply denoted separation. By Mahler's time, the stroke primarily indicated an accent.

The hairpin accent (>) also seems to have had dual meanings. It originated from the hairpin decrescendo in the 1760s, when it was associated with volume. By 1780, it acquired accentual attributes, so that it indicated accent and volume, which continued into the early nineteenth century. In some cases, determining if this symbol indicates a diminuendo or if it denotes an accent or both is unclear. Brown points out that if this symbol indicates an accent, the degree of emphasis must be determined in relationship to other accentual symbols that a composer might use, including *subito forte*, and *rinforzando*.[28] While these issues apply primarily to the first half of the nineteenth century, they remain in the second, though less extensively. With the use of other accentual signs, the hairpin accent was viewed as being "towards the middle of a wider hierarchy of accents; but its meaning remained quite variable."[29]

Questions involving the meaning of the petit chapeau (^) are raised when the general meaning of the symbol in the nineteenth century is compared with practices of particular composers. Although the petit chapeau was considered a powerful, heavy accent by 1850, Meyerbeer and Verdi often used it as a light accent. Schumann considered it as an accent heavier than the hairpin accent but lighter than *subito forte*.[30]

---

[28]Brown, *Classical & Romantic Performing Practice*, 110.

[29]Brown, *Classical & Romantic Performing Practice*, 116.

[30]Brown, *Classical & Romantic Performing Practice*, 122.

Several accents, such as the messa di voce (<>), and the horizontal line with dot,

carry expressive meanings. Each of these held at least two meanings in the nineteenth

century. The short messa di voce is a relatively weak accent when compared with the

petit chapeau and even the hairpin accent, but it also carries agogic connotations.

Frequently occurring in lyrical passages, it implies a warm quality in which vibrato often

plays a part.[31] Agogic and accentual qualities also define the horizontal line with dot. In

contrast to the messa di voce, however, the agogic quality leans toward intensity rather

than lyricism. The intensity is achieved through holding the note in question longer than

its specified duration.[32]

Problems sometimes arise for the actual execution of certain articulation marks.

One of the most problematic symbols is dots and strokes under slurs. In addition to

determining the degree of attack for each note in question, the method of bowing must be

considered for string players. Specifically, string players must decide whether to use a

firm or bouncing bowstroke to perform passages with this articulation, since these two

methods of bowing produce different sounds, "from a pulsation with hardly perceptible

separation to a flying staccato."[33]

Similar problems arise from dots under a slur. Specific issues involve method of

execution (primarily for string players), rhythm, accentual properties, and expressive

[31]Brown, *Classical & Romantic Performing Practice*, 127.

[32]Brown, *Classical & Romantic Performing Practice*, 129.

[33]Brown, *Classical & Romantic Performing Practice*, 241.

elements. Examining nineteenth-century string methods provides little insight into these issues. Upon his study of several methods from the first half of the nineteenth century, Brown asserts that:

> Fröhlich, with no apparent sense of inconsistency, used dots under a slur in the violin method section of his *Musikschule* to mean slurred staccato, having earlier used them to mean portato. Dotzauer, in his *Méthode de violoncelle* of about 1825, used dots under a slur only in the context of the staccato, but in his later *Violoncell-Schule* of about 1836 he also described a springing staccato (whose use he did not, however, recommend except in rare instances) with the same notation. Spohr's *Violinschule* of 1832, on the other hand, ignoring springing staccato altogether, used dots under a slur for the normal string player's slurred staccato, but also indicated, though only in passing, that phrases marked in this manner might, especially in slow movements, be executed with a more gentle detaching of the notes.[34]

Apparently the debate between the methods of executing this articulation subsided. Brown notes that before 1850, most writers showed little concern for distinguishing the notation of portato, slurred staccato, springing staccato, and spiccato.[35]

---

[34]Brown, *Classical & Romantic Performing Practice*, 249.

[35]Brown, *Classical & Romantic Performing Practice*, 235.

Bowing was not only a problem with the certain types of articulation discussed above, but was also an issue with slurs. String players especially often had to determine whether a slur denotes a particular method of articulation, phrasing, or a bowstroke. In the early nineteenth century, composers such as Beethoven and Clementi frequently used long slurs to indicate that a passage should be played legato, but they did not necessarily designate its phrasing or its shaping with dynamics and accents. Problems surfaced especially for musicians in the second half of the nineteenth century who studied scores of composers earlier in the century:

> The confusion between string bowing, the employment of slurs to indicate the articulation of short figures in keyboard or wind writing, and the use of longer slurs to show the extent of a melodic phrase or simply to signify legato troubled many later nineteenth-century musicians. Their efforts to make sense of earlier composers' admittedly inconsistent practices added another layer of confusion to the situation, particularly where late nineteenth-century editions obscured the original composer's intentions by replacing short slurs on individual figures with long phrasing slurs.[36]

Compounding this problem is determining whether slurs carry accentual and dynamic meaning. In 1804, Jean Louis Adam discussed performing appoggiaturas,

---

[36]Brown, *Classical Romantic Performing Practice*, 238.

slurred pairs of notes with a particular expressive nuance through a performance method called *Abzug*. The performer shortens the value of the second note of each pair (or, by extension, the last note under any slur, so that expressive emphasis is given to the first note. Later theorists did not debate the merits of this expressive nuance, but they did argue about the method of achieving it. J.F. Reichardt argued that in string playing, the first note should be played with more pressure than the second note. The end of bowstroke itself depends on whether the *Abzug* is false (*uneigentliche*) or genuine (*eigentliche*). With the former, the bow remains stationary on the string upon completion of the figure; with the latter, the bow is lifted completely from the strings. In either case, Reichardt argued that the value of the second note should not be curtailed.[37]

A final problem, which occurs primarily in ensemble scores, is determining the performance of slurs when different patterns are used for instruments that double in a particular passage. Brown notes several examples from nineteenth-century operatic and symphonic literature in which conflicting patterns of slurring occur. In the first movement of Tchaikovsky's Sixth Symphony, for example, several unison passages of the first movement that are played simultaneously by woodwinds and strings feature different patterns of slurring. Woodwinds usually slur such passages, whereas they are not slurred by the first violins. Brown argues that these types of variants occur because of performance issues:

---

[37]Brown, *Classical & Romantic Performing Practice*, 231.

By the second half of the nineteenth century there is little doubt that in the vast majority of cases where a composer wrote separate notes with neither slurs nor staccato marks, these were meant to be played full-length in the manner of a détaché bowing. This is clearly what is intended by Tchaikovsky in the first movement of the Sixth Symphony, for instance, where he scored upper strings and woodwind in unison for extended passages, the wind with slurs, and the strings with separate bows.[38]

Notation, being a recording of a composer's compositional ideas, sends subtle but potent interpretive messages to performers and other interpreters. Irregular beamings, note-groupings or beat-subdivisions, and inconsistencies all subtly but graphically transmit irregularities and inconsistencies in the composers' assembling and coordination of ideas and motives, and thus provide valuable insights into intended differentiations that are likely obscured or obliterated when those notations are regularized. In 6/8 time, for example, performers will respond differently to a group of six written-out eighth notes on a repeated pitch (beamed as two groups of three) than they would to those same notes if they were written as three groups of two, or two groups of three eighth-notes written as dotted quarter notes with a slash through the stem; the latter, in turn, would be different than that of a dotted half note with a slash through the stem.

---

[38]Brown, *Classical & Romantic Performing Practice*, 196.

Beaming is a useful device to rhythmically define groups of notes according to the meter of a composition. In the nineteenth century, beaming also determined phrase delineation. In addition, the first of a group of notes that were beamed together was often accented, particularly if the figure in question was set contrary to the conventions of notation. Weber, Brahms, and Tchaikovsky frequently used beaming as a method of phrasing and articulation, and writers of the eighteenth and nineteen centuries discussed the advantages of beaming to show phrasing.[39]

Determining precise meanings of dynamics, articulation, and beaming proved problematic, if not impossible, during the nineteenth century. Theories abound, but many prove contradictory. Ambiguities and contradictions occur in scores themselves, creating immense challenges for the interpreter.

III. NINETEENTH-CENTURY CONDUCTING

During the first half of the nineteenth century, the duties of many conductors throughout Europe were divided between administrative tasks and performance.[40] Conductors were expected to arrange concerts, even though they may not have actually participated. If they did participate, their primary duty was to maintain a steady beat,

---

[39]Johann Georg Sulzer and Johann Abraham Peter Schulz discussed the functions of beaming in Sulzer's *Allgemeine Theorie der schönen Künste*. Brown notes that later editors, including those of critical editions, have regularized inconsistent beaming. Brown, *Classical & Romantic Performing Practice*, 41-42.

[40]According to Carl Maria von Weber's son, his father's duties as a conductor included directing the orchestra, serving as stage manager, copying the music, painting sets, and supervising costumes. Max von Weber, *C.M. von Weber: Ein Lebensbild*, 3 vols. (Leipzig: Ernst Keil, 1964), 2:215.

either as the leader of the first violins or as a keyboardist. Both of these instrumentalists, in fact, shared the duty of leading the orchestra. To keep the orchestra together, the first-violin leader often conducted beats with his violin bow, while the keyboardist provided audible rhythmic continuity and hand gestures.

For those orchestras, on the other hand, whose conductors chose to lead without the assistance of any instrument, the art of conducting expanded from time beating to cuing and indicating dynamics. Louis Spohr recounted the advantages of conducting without an instrument. As a guest conductor of a rehearsal for an 1820 concert of the Philharmonic Society of London, he recollected:

I therefore could not only give the tempi in a very decisive manner, but indicated also to the wind instruments and horns all their entries, which ensured to them a confidence such as hitherto they had not known there. . . . Incited thereby to more than usual attention, and conducted with certainty by the *visible* manner of giving the time, they played with a spirit and a correctness such as till then they had never been heard to play with. . . . The triumph of the baton as a time-giver was decisive, and no one was seen any more seated at the piano during the performance of symphonies and overtures.[41]

---

[41]Louis Spohr, *Louis Spohr's Autobiography*, translated from the German, 2 vols. (London: Longman, Green, Longman, Roberts, and Green, 1865), 2:81-82.

Mendelssohn, although discrete in his gestures,[42] brought forth dynamics from the orchestra, effectively cued entrances, and managed clean cutoffs.[43] To what extent either Mendelssohn or Spohr offered individual interpretations that called into question the composer's intention is unknown.[44] The primary purposes of the conductor, therefore, during much of the first half of the nineteenth century were to maintain a steady tempo, cue entrances, and ensure clean cutoffs.

During the second half of the nineteenth century, the role of the conductor changed considerably. The extent of this change resulted in conductors receiving top billing on concert programs by the end of the 1880s; attraction for concert-goers was not only the music and soloists but also the conductor. By the end of the century, conducting was "taken for granted as an art and a craft,"[45] and guest-conducting proved lucrative.

---

[42]For a discussion of Mendelssohn's activity, influence, and role as a conductor, including his interpretive practices, see Donald Mintz, "Mendelssohn as Performer and Teacher," in *The Mendelssohn Companion*, ed. Douglass Seaton (Westport, Conn.: Greenwood, 2001), 97-106.

[43]Ferdinand Hiller noted that Mendelssohn's movements were "short and discrete," making them barely visible to the audience, yet his conducting produced spirited and precise performances. Ferdinand Hiller, *Mendelssohn. Letters and Recollections,* trans. M.E. von Glehn (New York: Vienna House, 1972), 156-157.

[44]Wagner noted that Mendelssohn's tempos often seemed too fast. Even if they were brisker than tempos that were customarily chosen, Mendelssohn's preference was not due to interpretation, but rather to practical performance issues. He argued that faster tempos better disguise mistakes made by members of the orchestra than do slower tempos. Richard Wagner, *On Conducting: A Treatise on Style in the Execution of Classical Music*, trans. Edward Dannreuther (St. Clair Shores, Mich.: Scholarly Press, 1976), 22.

[45]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 76.

Now as sole leader of an orchestra without the obstruction of an instrument, the conductor acquired an authoritative position over virtually every aspect of an orchestral performance.

The need for a conductor as sole leader relates to changes in symphonic music and in the orchestra itself. Stylistic changes in orchestral music created complications whose resolutions were conducive to a one-leader system as opposed to the dual-leader system popular in the first half of the century. Specifically, contrasting meters, accentual displacement, multiple dynamics, dynamic fluctuation, complicated textures, coloration, and particular performance practices such as tempo rubato could be systematically addressed by one person, but two people completely agreeing on the performance of these elements proved nearly impossible.[46] The orchestra itself grew, so that during the second half of the nineteenth century, not only were more instruments required, but the placement of these instruments necessitated a space more vast than in the first half of the century, creating aural and visual problems. A central figure leading the ensemble was necessary to maintain coherence.

---

[46]Hanslick noted problems about establishing tempo under the dual system as early as 1796: "Multiple direction – especially (when no baton was used) the dual control of the violin and piano – had many disadvantages and complications for the orchestral members, for which conducting from one person is absent, [particularly] difficulties in coinciding precisely throughout. "Diese mehrfache Direction, besonder (wo keine 'Batutta' gegeben wurde) die Doppelherrschaft der Violine und des Claviers hatte viel Nachtheiliges und Verwirrendes für die Mitwirkende, welche die Einheit der Leitung vermissend, schwerlich überall genau zusammentreffen konnten." Eduard Hanslick, *Geschichte des Concertwesen in Wien*, 2 vols. (Vienna: Wilhelm Braumüller, 1869-1870; reprint, Farnborough: Gregg, 1971), 1:94.

With the role and status of the conductor having changed considerably during the nineteenth century came debates about the merit of interpretation as part of the conductor's responsibility. Although few people debated the need for a conductor, questions arose regarding how he should communicate a given composition to the audience. Opinions ranged from strict adherence to the score to actual editing. Carl Schroeder in his *Handbuch des Dirigierens*, for example, argued that the conductor serves as mediator between the composer and the audience, making it necessary for him to possess "the gift of bringing the ideas of a composer within the comprehension of the listeners through the medium of the performers and himself."[47] Verdi vehemently opposed dishonoring the composer's intention through a conductor's interpretation. Arguing for one interpretation, he asserted:

"As to conductor's inspiration and as to creative activity in every performance, that is a principle which inevitably leads to the baroque and untrue. It is precisely the path that led music to the baroque and untrue at the end of the last century and in the first years of this, when singers made bold to 'create' (as the French still say) their parts, and in consequence made a complete hash and contradiction of sense out of them. No: I want only one single creation, and I shall be quite satisfied if they perform simply and exactly what he [the composer] has

[47]Carl Schroeder, *Handbook of Conducting*, trans. and ed. by J. Matthews (London: Augener, 1889), 1.

written. The trouble is that they do not confine themselves to what he has written. I deny that either singers or conductors can 'create' or work creatively. This, as I have always said, is a conception that leads to the abyss."[48]

Although Wagner, too, agreed in theory that the conductor should honor the composer's intentions, eyewitness accounts of his performances suggest otherwise. Describing a rehearsal of Beethoven's Third Symphony with the London Philharmonic Society in 1855, Francis Hueffer noted Wagner's interpretation of this familiar work:

> . . . the orchestra and the few persons present were at once astonished and delighted at the new reading given to the familiar work, the delicacy of the nuances insisted upon, the intelligence and fire with which the melodies were phrased. After the rehearsal the musicians broke into a storm of applause such as has been seldom heard in an English concert-room.[49]

Moreover, Wagner emphasized that his approach to the role of the conductor differs from that of his contemporaries – i.e., that his views are anything but representative of the

---

[48]Frederick Dorian, *The History of Music in Performance* (New York: W.W. Norton, 1966), 7-8.

[49]Francis Hueffer, *Half a Century of Music in England, 1837-87* (London: Chapman and Hall, 1889), 49. Wilhelm Kuhe also noted that Wagner's interpretations of familiar classical works differed from conventional performances of the time. Wilhelm Kuhe, *My Musical Recollections* (London: R. Bentley, 1896).

133

contemporary performance practice that Schumann assumed would be operative in the realization of his scores.[50] Felix Weingartner, maintaining the aesthetic approach to conducting that Wagner established in his treatise, *Über das Dirigieren*, viewed interpretation as a necessity in creating a faithful performance of a composition. To achieve this, the conductor must study every detail of the score in the context of the work as a whole. The method of study in which the conductor must engage requires both intellect and feeling, and the balance between the two constitutes a successful performance; that is, one that realizes the composer's intention.[51]

For some conductors, achieving the composer's intention requires modification of the score. Berlioz, for example, advocated changes to achieve authenticity and to reflect the composer's style. Mahler, also in the nominal spirit of authenticity, introduced changes to achieve desired color and balance according to the acoustics. The arguments advanced by Berlioz and Mahler stem from changes in the orchestra. Given the increase in its size, performances of earlier works with the larger ensemble resulted in an inaccurate historical reading, not to mention problems with balance among instruments and proper execution of dynamics. Theodore Thomas abhorred such practices: "No one has a right to alter, in any particular, the work of a composer. It is the duty of the executant musician to interpret a work exactly as the composer intended that it should be

[50]Richard Wagner, *On Conducting*, 43.

[51]Felix Weingartner, *On Conducting*, trans. Ernest Newman (New York: Kalmus, [1905?]), 17.

interpreted, and he should not change or embellish it to suit the taste of another generation."[52]

With stylistic changes in orchestral music and the increase in the size of the orchestral medium came a need for a central figure to lead the ensemble in successful, coherent performances. The rise of the conductor as that central figure solved the problem of unifying the ensemble. It also raised other issues, the foremost of which is the role of the conductor as interpreter. The borderline separating the conductor as a mediator between the composer and the auditors on the one hand and the conductor as an interpreter who alters the composers intentions on the other is often blurred.

IV. IDEALS CONCERNING THE SYMPHONY AND ORCHESTRATION

One of the most prevalent problems in assessing orchestral works of the nineteenth century concerns sound ideals as they are related through orchestration. Sound ideal was not uniform; in fact, ideals changed in the second half of the century, when philosophies differed among several European countries and even within an individual country. The differences that result from these numerous ideals produced different interpretations of a given work, many of which reflect the values of a given country and period of time.

The sound ideals of the orchestra in the first half of the nineteenth century resulted from composers' exploration of individual qualities of instruments and various

---

[52]Rose Fay Thomas, ed., *Memoirs of Theodore Thomas* (New York: Moffatt, Yard, 1911), 49.

135

means by which instruments and families of the orchestra can be combined. When composers promoted the sound of a particular instrument, they usually used instruments from another family to accompany. For example, a solo woodwind instrument may be accompanied by members of the string family. In addition to this approach to orchestration, groups of instruments of related tone color are contrasted and combined with each other. Through this treatment of instruments on an individual basis and in collective situations, composers during the first half of the nineteenth century valued clarity and differentiation in dealing with colors of the orchestra.

This clarity gave way to an emphasis on homogeneity during the second half of the nineteenth century, particularly with certain German symphonic composers. Homogeneity is accomplished through a consistent combination of woodwinds, strings, and brass, resulting in a uniform sound. The Germans especially considered the string section as the core of the orchestra, with woodwinds and brass either supporting this core or lending strength to it.

Orchestration practices of certain German composers in the second half of the nineteenth century, such as Brahms, who continued the practices of Schumann, for example, cultivated the homogeneous sound that Carse criticized. To achieve this sound, woodwinds frequently double the strings, with the horns in the middle register to thicken the sound. The doubling of the woodwind and string parts often involved the woodwinds playing simplified versions of the more active strings, thereby creating a mixed sound rather than a distinctive sound among families and instruments within those families.

This approach stems from no ineptness in the art of orchestration, but from a desire to focus on the musical ideas themselves rather than their color. The craft of musical composition, then, is foremost, with orchestration being a part of the journey by which the music unfolds.[53]

This practical and aesthetic approach contrasts with that of Wagner and Berlioz, for example, who cultivated the seemingly endless possibilities of orchestral timbre. Brilliance, color, and variety of sound were at the forefront of the dramatic expression of their compositions, so much so that they inherited the theatrical orchestrational devices Carl Maria von Weber used in his operas. Possibilities for expansion of orchestral color derived from an increase in the size of the orchestra, a greater variety of instruments, and acceptance of technological advances of the instruments. With the increase in the number of instruments, the possibility of dividing instruments into small choirs, each of which could have its own color, expanded. Families of instruments were independent of each other.[54] Each of the violin sections, for example, could be divided into two or more subgroups as could the other string sections. With the use of instruments added to the "core" woodwind, brass, and strings from the first half of the century, such as the so-called "Wagner" tuba, came new sounds and greater independence of individual families

[53]According to Louis Adolphe Coerne, Brahms "considered glowing orchestral color and sensational dramatic effect of secondary importance." Louis Adolphe Coerne, *The Evolution of Modern Orchestration* (New York: Macmillan, 1908), 176.

[54]Coerne argues that: "The modern extreme development of unsupported woodwind and their numerical distribution are entirely due to Wagner." Coerne, *The Evolution of Modern Orchestration*, 177.

of instruments. Finally, the acceptance of certain technological improvements of instruments, such as the use of valves for brass, not only facilitated chromaticism, but also provided opportunities for composers to treat a given family as a four-part self-sustaining independent choir.

The diverse ideals advanced by German composers were not cultivated by composers in other European countries during the second half of the nineteenth century. In fact, distinctive trends among Russian and French composers can be discerned that are decidedly different from German approaches to orchestration. Tchaikovsky, for example, cultivated deep ranges of the orchestra to produce strikingly dark sonorities. He also experimented with unique combinations of instruments by having the horns and bassoons play a particular passage alone or the English horn play with low strings, for example. Berlioz, too, created new sonorities through new combinations of instruments, as Tchaikovsky would later do, and through extended techniques. For example, he instructed the strings to play col legno to produce a particular effect relevant to a dramatic idea, and he also explored the character of individual instruments, at times even exploiting their sound.

That the ideal of German symphonic orchestras during the second half of the nineteenth century turned toward a homogeneous sound for some composers partly results from their preference for certain instruments. The wooden flute was preferred over metal flutes, for example. Wooden flutes have a softer tone than metal ones. Furthermore, their tone tends to be dense, and they require more forceful playing and attack than metal

138

flutes. Their tone, however, seems to blend with other instruments of the orchestra, even

other woodwinds, such as the bassoon. The German bassoon, when compared to the

French, features "evenness and blending qualities of tone,"[55] which results in a smooth,

homogeneous sound. The French bassoon, on the other hand, has a nasal quality, but it

also permits more expression in its sound than the German model. The brass family, too,

produced a homogenous sound that some writers of the nineteenth century argued was

due to the invention of the valve.[56]

Diversity in the orchestral ensemble, orchestration, and related issues such as

conducting must be considered when studying a particular composition. These issues

directly affect Schumann's D-minor Symphony, for the imbroglio of interpretations

offered by several individuals during the second half of the nineteenth century not only

prove contradictory but also obscure the composer's intention. Careful evaluation of

Schumann's own performance practices will reveal that he carefully used certain

compositional devices as part of an implied narrative in this Symphony.

---

[55]Koury, *Orchestral Performance Practices in the Nineteenth Century*, 91.

[56]Blitz argued that distinguishing the valve trumpet from the cornet and the low horn from the trombone became impossible. Furthermore, additions of instruments to the brass family, such as the tuba heightened the problem because distinguishing it from the trombone was troublesome. Koury, *Orchestral Performance Practices in the Nineteenth Century*, 93.

PART II: THE MUSICAL NARRATIVE

CHAPTER 4

THE MUSICAL TEXTS

Evidence discussed in Chapter 1 reveals two of Schumann's primary requisites for writing a successful symphony: the work must be crafted well and must express a special meaning that is determined by the auditor's imagination. The two components are, for Schumann, intertwined through a poetic synthesis of the tangible and intangible elements of a composition. The tangible elements of a musical composition cannot exist for their own sake; rather, they must help to convey the special meaning of the music: the intangible elements that auditors create in their own imaginations.

Accordingly, tangible elements of Schumann's D-minor Symphony constitute a well-crafted, logical symphonic unity. To convey the special meaning of the Symphony, Schumann employed particular compositional devices such as thematic transformation and added various orchestrational devices involving dynamics, articulation, expressive indications, and instrumentation. Together these two broad classes of devices serve as the means by which Schumann explicated how the various musical events that take place in the course of the Symphony relate to each other, and how these events express the special meaning of the work.

As demonstrated in Chapter 2, the reception history of Schumann's D-minor Symphony is extremely complicated. Various aspects of the work received mixed

reviews by several critics throughout the second half of the nineteenth century. Many of the suggestions offered by these critics are reflected not only in their respective articles but also in changes to the Symphony introduced by Schumann himself in the 1853 publication (S2), in alterations made by Clara Schumann and Alfred Dörffel in each of their editions (C and D respectively), in Woldemar Bargiel's written notation of performances (B), and in Gustav Mahler's emendations (M) (Table 4.1). The variants that surface upon comparison of these sources indicate that, at the one extreme, certain details of the Symphony underwent reinterpretation based primarily on individual taste. At the other extreme are those variants that resulted from extensive editing and ultimately reflected the late nineteenth-century's changing ideals of compositional and orchestrational approaches to the genre of the symphony.

Some of the changes that were introduced by Clara Schumann, Dörffel, Bargiel, and Mahler clarified the special meaning of the Symphony, while others obscured or even destroyed it. The variants in S2, C, D, B, and M when compared to Schumann's 1851 manuscript (MS2), then, either reflect these individuals' interpretations (or reinterpretations) of the Symphony or mirror changing ideals in orchestration as they pertain to the symphonic genre. In either case, no single interpretation exists for this work; in fact, several exist. Determining which of the changes adhere to or even reaffirm Schumann's intention and which subvert it creates one of the most difficult challenges in assessing these changes.

Table 4.1. Sources and Their Abbreviations for Schumann's D-minor Symphony

Source	Abbreviation
Schumann's 1851 Manuscript	MS2
Schumann's 1853 Publication	S2
Clara Schumann's Edition	C
Alfred Dörffel's Edition	D
Woldemar Bargiel's Notation	B
Gustav Mahler's Emendations	M

Comparison of Schumann's manuscript with that of the first publication, subsequent publications by Clara and Dörffel, Bargiel's notations, and Mahler's emendations reveals various types of discrepancies. These discrepancies can be categorized as: dynamics, dynamic placement, articulation, rhythm, notation, pitch, expressive indications, and instrumentation. Evaluation of the discrepancies provides invaluable insight into the work's implied meaning. Furthermore, assessing these variants is necessary to understand the reading that best represents Schumann's intention (particularly with discrepancies between MS2 and S2), to determine reasons why later editors thought changes were necessary, and to assess the effect those changes have on the Symphony, especially with how they alter the special meaning of the work.

Grouping of discrepancies that occur by comparing these sources falls into four categories: scribal errors, regularization, ambivalent discrepancies (defying clear categorization in one of the other categories), and reinterpretations. Reconciliation of the

discrepancies belonging to the first two categories generally is neither problematic nor controversial. Many of the scribal errors involve a difference in pitch. For example, the last note of the cello part in m. 188 of the fourth movement in MS2, S2, and C is *A-sharp*, corresponding to the same pitch in the bassoon, viola, and contrabass parts, all of which play the same melodic line as the cello. In D, however, the pitch of the cello is *A* creating a dissonance with instruments playing *A-sharp* and, thereby introducing an incongruity to the melodic line. Clearly, the *A* in Dörffel's score is a mistake, making reconciliation of this discrepancy relatively easy (Example 4.1).

Several of the ambivalent discrepancies can be reconciled through regularization. For many of these discrepancies, a particular instrument may be lacking a dynamic or articulation mark when one should be included. Knowing that Schumann customarily worked with blocks of sound for an entire phrase, subsection, or even a section in orchestrating a movement,[1] the absence of a dynamic or articulation mark for an instrument that doubles another is sometimes cause for suspicion, particularly in the outer movements of the Symphony. The outer movements provide a venue for the entire orchestral body to make its "public" remarks on the internal strife of the protagonist, which is revealed in the second and third movements. On the downbeat of m. 34 in the first movement (Example 4.2), the accent that occurs in MS2, S2, and D for the first violin is absent in C. The first violin is doubled by the flutes and oboes, both of which have accents in C as well as in the other sources. The context of this measure suggests

---

[1]See, for example, mm. 57-78 of the first movement.

that the absence of the accent for the first violin part in C is an error. Because the tempo and character are lively, even vigorous, this disparity among the first violin, flutes, and oboes would make no discernable effect.[2]

Not all of the discrepancies as the ones found in Examples 4.1 and 4.2 are so easily reconciled; indeed, many permit different solutions. In some cases, Schumann was unclear in MS2, S2, or both, and oftentimes additional discrepancies occur in C and D. These inconsistencies obscure Schumann's actual intention, and notations by Bargiel and Mahler cloud the picture further. For this reason, ambivalent discrepancies and actual reinterpretations will be evaluated and assessed in detail in the next five chapters.

The following discussion of ambivalent discrepancies and reinterpretations will focus on the thematic content of the Symphony. Through various orchestrational treatments of primary themes and secondary themes and their accompaniment, Schumann provided numerous directions to guide the auditors' perception of the special meaning of the Symphony. The themes shown in Example 4.3 will be discussed in detail because these are the primary melodic ideas that Schumann used to relate his implied meaning.

Diagram 4.1 illustrates how thematic connections and subconnections are worked out in the Symphony. One of the most obvious cyclic connections involves the introductory theme. It first appears at the beginning of the Symphony and recurs for the first time, with slight modification, in the first section of the second movement.

---

[2]Also, m. 34 is a repetition of the melodic content of m. 30 in which Clara provided an accent for all these instruments.

Thereafter, the theme undergoes transformation,[3] a device that also serves another

purpose: to relay an implied story that is determined by the auditor. Details of this story,

therefore, relayed through cyclism, thematic transformation, and in various

orchestrational devices, such as instrumentation, dynamics, articulation, and notation,

stimulate the listener's imagination to create the Symphony's narrative.

Diagram 4.1. Cyclic treatment of Themes in the First Movement of Schumann's D-minor
Symphony

Introductory theme reappears in:
Movement 2, sections A and B
Movement 3, scherzos and trios
Movement 4, coda

First-Movement Theme reappears in:
Movement 4, as part of the Fourth-Movement Theme

Hammerstrokes from the development of first movement reappear in:
Movement 3, scherzos
Movement 4, as part of the Fourth-Movement Theme introductory theme

---

[3]No single definition exists for thematic transformation. For a comprehensive
discussion of various definitions that several nineteenth- and twentieth composers and
theorists have offered, see Franklin Larey, "Developing Variation, Thematic
Transformation, and Motivic Unity in the *Quintet for Piano and Strings*, op. 34, by
Johannes Brahms" (D.M.A. diss., University of Cincinnati, 1996), 1-57.

145

Example 4.1. Discrepancy Involving Pitch, Movement 4, mm. 188-189

Example 4.1a. MS2, S2, C

Example 4.1b. D

Example 4.2. Discrepancy Resolved through Regularization, Movement 1, m. 34

Example 4.2a. MS2, S2, D

Example 4.2b. C

Example 4.3. Primary Themes in Schumann's D-minor Symphony

Example 4.3a. Introductory Theme, movement 1, mm. 1-4

Example 4.3b. First-movement Theme, movement 1, mm. 29-32

Example 4.3c. Romanze Theme, movement 2, mm. 2-10

Example 4.3d. Scherzo Theme, movement 3, mm. 1-16

Example 4.3e. Fourth-movement Theme, movement 4, mm. 1-4

CHAPTER 5

THE ROMANZE THEME

I. INTRODUCTION TO THE SECOND MOVEMENT

When Schumann decided to include a *Romanze* as the second movement of his

Symphony, he contributed to a significant German legacy that reached many genres and

media, both vocal and instrumental. This designation and a number of peculiarities and

nuances in the orchestration of the movement suggest a narrative that is generated by the

individual auditor's imagination rather than by a pre-existing story.

The *Romanze* as a literary genre had been well established by the eighteenth

century, when it made its way into musical settings. Several composers active in

Germany and in Austria who set *Romanzen* to music include Johann Adam Hiller (1728-

1804), Christian Gottlob Neefe (1748-1798), Johann Friedrich Reichardt (1752-1814),

and Friedrich Wilhelm Weis (1744-1826). The efforts of these and other composers

fostered the popularity of the *Romanze* in the nineteenth century, when it was propagated

largely in the vocal genres of Singspiel[1] and Lieder, and when it was adapted to

instrumental genres that required both solo and ensemble mediums.

---

[1]Franz Schubert's "Die Vollmond strahlt" from *Rosamunde* serves as a famous
example.

The texts for many of the vocal *Romanzen* treated amorous subjects, while others dealt with topics from antiquity or exotic locales. The musical characteristics of these works featured simple melodies and harmonies as well as easily understood forms, including strophic, ABA, rondo, and through-composed. Particularly distinctive of the German *Romanzen* was the use of folk or folk-like melodies.

That Schumann recognized the importance of the *Romanze* in nineteenth-century German music is seen in his numerous vocal and instrumental works that are collectively given this title (opp. 28, 69, 91, and 94)[2] and in individual instrumental movements and Lieder that bear the title (op. 138, no. 5). Despite the various media in which Schumann set *Romanzen*, each has a narrative that is told either through the text itself, as in the vocal works, or through various compositional devices, as in the instrumental compositions. In both cases, Schumann carefully set the narrative, using highly nuanced stylistic features of the music to guide auditors' interpretations of the work.

In several of Schumann's vocal *Romanzen*, the musical elements reflect those traditional to this genre, and they serve to convey the meaning of the words and the emotions of the work's protagonist. For example, in both settings (one for solo voice and one for four women's voices) of Eduard Mörike's "Soldatenbraut," Schumann wrote melodies that move mostly by step, with occasional small leaps (Example 5.1). Most of the phrases are two measures long and often share a distinctive rhythmic pattern of a

---

[2]In addition, opp. 45, 49, 53, 64, 67, 75, 145, and 146 are vocal works for either solo or ensemble entitled *Romanzen und Balladen*.

dotted eighth note followed by a sixteenth note. Both settings are organized in an easily

understandable structure of A A^1 B A^2. The melodic content of the B section (the subject

of which deals with a bride's hopes for her impending marriage to a soldier) is lyrical

(featuring even rhythmic values of eighth notes and additionally, in the four-part setting,

sixteenth notes), foregoing the predominance of dotted rhythms in the A sections, which

reflect his role as a soldier in a war and her inner turmoil regarding that role. In both

settings, the accompaniment is unobtrusive, serving to support the melodic line and to

help set the scene.[3]

In the vocal *Romanzen*, the story is told within individual Lieder, but in those that

are instrumental, the narrative unfolds over the course of a multimovement work.[4] In

Opp. 28 and 94 – both of which consist of three movements – the narrative seems to

involve two lovers. Schumann used various compositional tools to identify each

individual, to depict their emotions, and to set the scene. In Op. 28, for example,

Schumann identified the two personae by assigning distinctive melodic features and a

distinct tessitura to each. The first movement seems to represent the woman, given the

---

[3]This is particularly true in the setting for vocal solo. The most prominent role for the piano is a short interlude between sections B and A^2, which depicts drumrolls through brief oscillating sixteenth-note octaves.

[4]Nicholas Marston has discovered that in the autograph and printer's manuscript of the first movement of Schumann's Phantasie, op. 17, (composed 1836 and published in 1839), Schumann titled the middle section of the first movement a Romanze. For narrative and biographical implications of this designation, see Nicholas Marston, "'Im Legendenton': Schumann's 'Unsung Voice,'" *19th-Century Music* 16, no. 3 (spring 1993): 227-241.

higher tessitura in the melody (Example 5.2a), whereas the second movement seems to depict the man, given the lower tessistura in the melody (Example 5.2b). To represent the anxiety of the woman, the entire first movement is played very deliberately ("sehr markiert"), with several accents (both hairpin and petit chapeau) and *sforzandi*. The accompaniment throughout is agitated, consisting of relentless triplet sixteenth-note figures. This accompaniment suggests that the female voice continues to experience anxiety, even in passages where dynamics are soft (mm. 25ff). In the third movement, then, the lovers finally meet. This interpretation is suggested by the texture: the movement opens with imitation between the bass and the treble, as if the exchange of the same melody represents a conversation between the lovers (mm. 1-24). Passages in homophonic texture (e.g., mm. 25-64) may be construed as representing their unity and happiness, and the two intermezzi within this movement (mm. 112-215 and mm. 255-300) depict episodes in their lives together (Example 5.2c).

In Op. 94,[5] Schumann used some of the same techniques to relate the implied narrative that are found in the songs of Op. 28. Again, two lovers are the main characters – one represented by the oboist and the other represented by the pianist. Instead of being apart as they were in Op. 28, they seem to encounter problems in the first two movements that are resolved only in the third. Texture is one of the clues to this interpretation. In the first movement, for example, the oboist presents the entire melody, but the pianist

---

[5]This work is entitled *Three Romances for Oboe and Piano*. Alternatively, the oboe part may be played by a violinist or a clarinetist.

accompanies that melody either in a supporting role with its own music or with only part of the melody, as in mm. 17-18 (Example 5.3a). In the second movement, resolution is forthcoming: the pianist now plays a more substantial part of the melody (mm. 16-20) that was introduced by the oboist, but the two still have largely independent roles (Example 5.3b). Simultaneous performance of the melodic line is reserved for the third movement, where both instrumental parts are equal partners in its expression (Example 5.3c).[6]

Several features of the second movement of the D-minor Symphony situate it in the tradition associated with this rich literary and (by extension) musical genre. Schumann composed a theme that embodies many of the salient features specifically associated with the German *Romanze* (Example 4.3c). The character of the theme is decidedly lyrical, featuring dotted rhythms and triplets in regular two-measure phrases. The phrases of the theme constitute a clear a a b a[1] structure (Example 5.4) with its first occurrence in mm. 2-10. All phrases share the rhythm of an initial dotted-eighth followed by a sixteenth note, a rhythmic figure that is easily identifiable and one that relates the phrases to each other. The predominantly conjunct *Romanze* theme is accompanied by pizzicato strings and by portato clarinets and bassoons, all of which share the same

---

[6]One may question the stability of their relationship in the coda (mm. 68-76), where the primary melody is played by the oboist with the pianist playing chords that support the melody. Later, in mm. 72-74, the pianist takes up a fragment of the melody from m. 5. Nevertheless, the oboist and pianist do not simultaneously play the melody in these final measures as they do throughout most of the movement.

rhythm. The accompaniment, too, is indicative of the *Romanze* genre: it resembles the sound of a Spanish guitar, which was frequently used to evoke images of foreign locales.[7]

Schumann purposely did not provide an extramusical account of the second movement of the D-minor Symphony, presumably so that auditors could envision their own story. He did, however, use various orchestrational devices – specifically instrumentation, articulation, dynamics, and expressive marks – that provide clues to the narrative of this movement, as he did in his other instrumental *Romanzen*. Using the compositional devices that Schumann did supply, this movement may be viewed as a narrative account of a story involving the love interests of three individuals. The love story is told through the *Romanze* theme, its accompaniment, a melodic tag (Example 5.5) that always follows each statement of the theme, and two occurrences of the introductory theme from the first movement of the Symphony (Diagram 5.1). In the course of the second movement, the *Romanze* theme appears three times. Changes in the orchestration of the theme, accompaniment, and tag reveal the progress of the narrative at successive presentations, specifically as it concerns the relationship between the three instrumental personae and outsiders' views of the events that have unfolded. Development of the narrative specifically pertains to changes in relationships involving

---

[7]In one of two settings of Emanuel Geibel's poem "Ebro caudolose," which Schumann entitled the fifth of his *Spanische Liebeslieder*, op. 138 *Romanze*, he wrote an accompaniment that resembles the sound of a Spanish guitar, even including an instruction for the pianist to emulate a guitar ("gleichsam Guitarre").

Diagram 5.1. Structure of the Second Movement

	A			B**	A^1
	a	b*	a^1		
Mm.	1-12	12-22	22-26	26-42	42-53

*First occurrence of introductory theme
**Second occurrence of introductory theme

two love interests and outsiders' opinions regarding these relationships. The introductory

theme returns twice, the first time in its original setting, and the second time transformed,

representing a psychological transformation for the protagonist, as discussed in

Chapter 7.

Differences that surface upon comparison of the sources in the three occurrences

of the *Romanze* theme reveal that Schumann reconsidered several details when S2 was

published, that Clara and Dörffel also reexamined certain orchestrational devices, that

Bargiel offered insight into the performance of certain expressive nuances, and that

Mahler completely rethought a variety of details that inevitably altered the implied

meaning of the movement.

II. The Romanze Theme in S2: The Revelation of an Implied Love Story

A. Introduction to the Narrative

The purpose of the first occurrence of the Romanze theme (mm. 2-12) is to

introduce the auditors to the implied narrative. Schumann's instrumentation vividly

represents characters involved in a love affair and two groups of observers of this affair.

Two lovers, represented by the first oboe and the first cello respectively, are presented

and are accompanied by one group of observers, depicted by clarinets, bassoons, violins, viola, and second cello. The other group of observers, which may be construed as a subset of the first, given their shared instrumentation, plays the tag and is represented by a bassoon, viola, and second cello.

Schumann seems to have used tessitura in this movement much the same way that he used it to identify the female and male personae in the songs of Op. 28. Here the female is represented by the oboe, and the male is depicted by the cello. The oboe and the cello play the Romanze theme simultaneously, and both are treated equally – sharing the same expressive indication of *ausdrucksvoll* and the same dynamics throughout – with two exceptions, both of which suggest that the persona represented by the oboe is the protagonist of the narrative. One entails designation of the oboe as a solo here as in the other two occurrences of the Romanze theme. The other exception involves placement of the *diminuendo* in m. 9. The oboe is the first to begin its dynamic on the second beat of the measure; dynamics for the other instruments follow on the last sixteenth note of the same beat. These exceptions also intimate conflicts in the relationship between the protagonist and her lover.

Differences among the observers concerning the relationship between the protagonist and her lover are suggested in the accompaniment to the Romanze melody. Although the accompanying instruments are set homorhythmically and frequently double one another, articulation serves as a means for conveying contention among these observers. The woodwinds play their accompaniment with a portato articulation, whereas

the strings play theirs pizzicato. The accompaniment shared by these instruments

suggests that all are observing the same situation, but the articulation seems to signify

that they have different perspectives on that situation.

On occasion, certain accompanimental instruments play a phrase or part of a

phrase from the Romanze theme. This is especially true in phrase b (mm. 6-8), where the

clarinets and bassoons parallel part of the Romanze theme in their accompaniment

(Example 5.6). The second cello, on the other hand, plays a countertheme in contrary

motion to the clarinets and bassoons. Although each of the observers represented by these

instruments shows their support of the lovers' relationship by expressing part of the

Romanze theme, the onlooker represented by the second cello does not seem to agree

entirely with the others.

In m. 10, the tag appears for the first time while the last note of the Romanze

theme is sustained. The tag consists of one phrase that, like those of the Romanze theme,

is two measures long and is characterized by the dotted-eighth-sixteenth-note figure

derived from the Romanze theme. The contour itself, particularly in phrase b, is

borrowed in the tag. First played at a *piano* dynamic level by the second bassoon, viola

(predominantly in contrary motion), and second cello, the tag affords the second group of

observers their first opportunity to comment on the relationship as it was recounted in the

Romanze theme. The use of contrary motion in the viola suggests conflict among

instruments just as it did with accompanying instruments that played part of the theme in

mm. 6-8. In mm. 10-12, the view offered by the viola is not entirely in accordance with that of the other instruments.

B. INCREASING CONFLICT

After a brief recollection of the events in the first movement, represented by the initial return of the introductory theme in mm. 12-22, the concluding phrase of the Romanze theme (a^1) returns (mm. 22-26), closing the first large section of this movement. In keeping with the general aesthetics of the period, Schumann altered the phrase, avoiding literal repetition. He introduced changes to the tonal center, melody, accompaniment, and tag that reveal more intrigue in the narrative.

A shift in tonality in mm. 22-26 is one of the most effective means by which Schumann generated intensity in this subsection. Instead of ending on E as did the first occurrence of the Romanze theme, the second occurrence ends on A. Both tonal centers are significant in that they facilitate smooth transitions to tonal centers of subsequent sections or subsections within the movement. For the first occurrence of the Romanze theme, E serves as the dominant for A, the tonal center for the introductory theme in mm. 12-22. The second occurrence ends on A, which functions as the dominant of D major, the key of the second section of the movement, where the first true transformation of the introductory theme also occurs. Thus, the tonal centers with which each of the first two occurrences end create smooth transitions, and, most importantly, prompt forward motion within the movement. This forward motion also reflects psychological changes within the mind of the protagonist.

158

To convey that a change for the protagonist has taken place, Schumann removed expressive indications. In m. 22, neither the oboe nor the cello has the *ausdrucksvoll* indication that both had in m. 2, suggesting that they no longer share the same intimacy that was part of their relationship at the beginning of the movement. In fact, their relationship has changed: the beaming and articulation in m. 22 suggest that conflict has arisen (Example 5.7). The beaming and slurring for the oboe are 4+2, both of which facilitate a clearly audible beginning of the Romanze theme when it returns on the third beat of that measure. In contrast, those of the cello are 3+3 in which the last note from the introductory theme is beamed and slurred with the first note of the Romanze theme. Thus, the respective beginning and ending of these themes, which are so obvious in the oboe, are obscured in the cello.

Disparities in dynamics in mm. 24-26 also call into question the changing relationship between the oboe and cello. While the oboe has no dynamic changes following the *piano* in m. 22 (in fact, its sound and prominence are sustained until the end of section A), this is not the case with the cello. The *pianissimo* in m. 25 (Example 5.8a), which at first glance seems misplaced in the middle of a tied note, proves more significant than the timbral change it produces. In its new context, the *pianissimo* shifts the auditor's attention away from the cello as a solo instrument to an accompanying instrument; the other stringed instruments that sustain pitches likewise do so *pianissimo*.

Changes to the accompaniment that involve instrumentation, rhythm, and dynamics also have implications for the narrative. The presence of the second oboe at the

159

end of m. 22 into the downbeat of m. 23 is a significant addition to the Romanze theme that is not present in the accompaniment for the other occurrences (Example 5.9). Here the oboe provides not only a momentary timbral change, but together with the clarinets, bassoons, horns in D, and accompanying strings, it also serves as an elision between the previous subsection (mm. 12-22) and the current one (mm. 22-26). Schumann simply could have ended the second oboe with the termination of the introductory theme on the second beat of m. 22, as he had done with the flutes and contrabass. By including the oboe as an accompanimental instrument in mm. 22-23, the transition from the recollection associated with the introductory theme into the present related to the Romanze theme is facilitated by a timbral compatibility between the two subsections.

Within the subsection of mm. 22-26, there are rhythmic and pitch variants, some of which provide significant timbral differences to these measures when they are compared with others that contain the Romanze theme. On the third beat of m. 9, both bassoons share the same rhythm as that of other accompanying instruments, that is, a figure consisting of an eighth note, sixteenth rest, followed by a sixteenth note (Example 5.10a). Its articulation matches that of the clarinets in that these instruments play this figure portato. In the analogous measure 23 (Example 5.10b), Schumann changed the rhythm of the bassoons to a quarter note, whereas the rhythm and articulation for the other accompanying instruments is the same as that of m. 9. Whether the quarter note in m. 23 is a mistake or an intentional change is unclear. Nevertheless, the sustained quality of the quarter note identifies with that of the introductory theme and

corresponds in part to the sustained pitches that accompany the tag. Thus, it may serve as a subtle link to events that precede and follow this appearance of the Romanze theme.

Variants in the accompanying string parts also constitute substantive changes to this subsection. In the upper strings, a greater frequency of double stops with wider intervals – from primarily thirds to fourths and especially sixths – mark the accompaniment in m. 23 especially. The strings in mm. 22-23, then, add greater substance and intensity to the Romanze theme in this subsection, as if the plot were thickening.

Schumann made changes to the instrumentation of the tag in mm. 24-26. Originally the second bassoon was one of the instruments playing the tag while the first bassoon sustained its pitch. Now the roles are reversed: the first bassoon plays the tag, and the second bassoon sustains. Timbral consequences will result from the players and their instruments, yet such a change is imperative to the narrative of this movement. Foreshadowing in the narrative occurs with the role reversal of the bassoons in that the first bassoon will carry much more importance in the course of events upon the final appearance of the Romanze theme.

Other changes that Schumann introduced upon the first return of the Romanze theme involve dynamics. The *diminuendo* of m. 9 is now absent in its analogous measure 23 as is the *piano* indication for the tag of m. 10 in its analogous measure 24. The absence of these dynamics and expressive indications, coupled with the changes,

161

additions, and contradictions among doubling parts, point to more unresolved issues as the narrative unfolds.

C. A NEW RELATIONSHIP

The second occurrence of the Romanze theme is succeeded by another recollection. The introductory theme returns again in mm. 26-42 but this time in a new musical context. Whereas the first (and last) large sections of this movement are in A minor, that of this middle section is in D major. Even more striking is the treatment of the introductory theme itself: it is now featured by a solo violin in a heavily ornamented version. Details concerning the treatment of this theme will be discussed in Chapter 7, but suffice it to say here that the modal shift and character change transport the introductory theme from the brooding atmosphere of mm. 12-22 into one of renewed hope and felicity.

The final return of the Romanze theme (mm. 42-52) addresses all the issues that were raised with its truncated appearance in mm. 22-26. Now the first bassoon plays the Romanze theme with the oboe and the cello. The addition of the bassoon not only creates a significant change in color, adding more robust to the final section of this movement, but it also explains the relationship between it, the oboe, and cello. If the bassoon is personified as were the oboe and cello, it would represent a new relationship – most likely a new love – for the oboe. Although these instruments play the same music, they also share the same expressive indication of *ausdrucksvoll*. The cello does not partake in this expression; rather, it is to play the melody *dolce,* as if it were but the protagonist's

162

beloved remembrance of an earlier time. Significantly, no *diminuendo* occurs in m. 49, as it had in m. 9, but here its absence suggests a positive outlook on this new relationship rather than a degeneration of a love affair, as in m. 23.

Schumann continued the types of changes to the accompaniment in the last section of this movement that he introduced in mm. 22-26. For example, now the first and second violins consistently play double stops of fifths and sixths, adding fuller body and greater emphasis to the overall sound. Previously, these intervals were either mixed with smaller intervals, such as thirds and fourths, or were assigned to particular instruments, such as the second violin of mm. 2-6. A most significant rewriting of the accompaniment occurs in mm. 46-48, where the second bassoon and second cello engage in contrary motion with the Romanze theme (Example 5.11). Earlier in mm. 6-8, only the second cello participated in this motion; the second bassoon simply accompanied the first a third below in similar motion to that of the Romanze theme. The contrary motion in mm. 46-48, reinforced by the second bassoon, now plays a greater role in the thematic content of the movement, bringing to light conflict that was introduced in the first appearance of the Romanze theme. Although one may think a resolution is achieved upon reaching the last section of this movement, especially with the major mode mm. 50-53, the dissent inherent in the contrary motion in the final measures of the Romanze theme suggests otherwise. Significant, too, is that Schumann returned to the original instrumental group for the final tag but without the *piano* dynamic that first accompanied it.

163

The ending of the movement assures the auditor of a positive outlook in the movements that follow. Once again, in mm. 50-53, a modal change from minor to major occurs. This assuredness is also revealed in the articulation of the last two measures. For the first time in the entire movement, all the instruments are clearly instructed to play the last two beats of the penultimate measure portato (with the strings playing their parts arco). This unified articulation is significant, for it suggests that now the observers represented by these instruments are unified: issues of the past seem to be resolved.

In S2, Schumann effectively related a narrative, presumably a love story, that is a significant element of the Romanze heritage. Schumann used particular techniques of orchestration to establish the setting, relay the conflict, and leave the auditors questioning an actual resolution, although by all means the relationship the protagonist shares with two other personae is clearly explained. The details, when considered in the context of the narrative, show that Schumann painstakingly orchestrated this movement, using various compositional and orchestrational devices that inspire the auditors to create their own interpretation of the movement's special meaning.

III. THE ROMANZE THEME IN MS2

Upon comparison of MS2 and S2, disparities in the notation of the Romanze theme and the tag especially reveal Schumann's careful consideration in how he chose to express the narrative to his audience, whether that audience is one that actually hears the Symphony or one that studies the score. Certain variants in expressive indications, articulation, and, to a lesser extent, dynamics reveal that the narrative told in MS2 is

164

much more involved than that of S2. Upon publication of the Symphony, Schumann or his editor put forth changes that simplified the narrative, thereby clarifying the details that remain.

Schumann carefully considered the effects of the expressive indications and articulation for each of the instruments that plays the primary melody. In m. 42, for example, the first oboe and bassoon play the Romanze theme *espressivo*, but the cello is given no expression directive in MS2. Schumann apparently rethought the role of the cello and added *dolce* at the time S2 was published, the narrative implications for which have already been addressed. Slurs in mm. 8-9 of the Romanze theme differ for the first oboe and cello (Example 5.12). For both instruments, the slurs in question begin on the third beat of m. 8. Whereas this slur encompasses only two notes for the cello, ending with the last note of the measure, the one for the oboe extends into the second beat of m. 9. Schumann wrote a second slur for the cello for the first two notes of m. 9. The slurring for the oboe in analogous mm. 22-23 is exactly the same as that of mm. 8-9, but in mm. 48-49 the slurring for the oboe and cello coincide, being that of the 2+2 scheme typically found in the cello.

Inconsistent slurring of unison or octave passages such as this occurs frequently in works of other nineteenth-century composers. Clive Brown discusses a unison passage in the finale of Beethoven's Fifth Symphony in which the composer notated two different slurring schemes for a figure played simultaneously by the first clarinet and viola in

165

mm. 64-65. The question of regularization enters concerning the treatment of this disparity. Upon examining recurrences of this figure, regularization of the slurring seems appropriate in this case.[8]

But is regularization in mm. 8-9 and their counterparts, mm. 22-23 and mm. 48-49, of Schumann's *Romanze* appropriate? After all, the triumphant spirit of Beethoven's finale is far different from the highly personal, contemplative atmosphere of Schumann's movement. Furthermore, notational practices of these composers must be taken into account. Finally, the narrative of the *Romanze* may, in the end, serve as the final arbiter for evaluating the discrepancies involved with this slurring.

Significantly, the slurring for the oboe is consistent in the first two occurrences of the Romanze theme. Important to note is the shape of the slur in mm. 22-23 (Figure 5.1). A sharp downward point in the middle of this slur suggests that it was originally two slurs that Schumann later joined. The slurring for the cello is consistent with the exception of m. 22, where the last three notes of the measure rather than the last two are slurred, the narrative implications of which have been already discussed above.

Considering that the slurring of the cello in m. 22 can be accounted for in the context of the narrative, can the slurring in the oboe part also be explained in the same manner? Taking into account the reconsideration Schumann apparently had in the slurring of mm. 22-23, the answer must undoubtedly be yes. In mm. 8-9 especially, this

---

[8]Clive Brown, *Classical and Romantic Performing Practice: 1750-1900* (New York: Oxford University Press, 1999), 237.

argument is particularly poignant: only at the end of the theme are the auditors informed that there is more to the story than what has already transpired in the previous measures, especially with the seeming agreement between the oboe and cello through uniform articulation (2+2) of the same rhythmic figure in mm. 2-3 and in mm. 4-5. The reiteration of this conflict in mm. 22-23, coupled with the obscurity of the beginning of the Romanze theme for the cello (due to its slurring with the last note of the introductory theme), provides strong evidence that Schumann intended these measures to be slurred exactly as they are notated in MS2. Unfortunately, the slurring has been regularized in S2 and in subsequent publications. Thus, a significant detail in the explanation of the narrative has been nearly lost.

The variants in slurring for the tag are more numerous than those associated with the Romanze theme and are more complicated because three (bassoons, viola, second cello) instead of two instruments are involved. Example 5.13 shows four patterns of slurring that are found when each version of the tag is examined. Given the number of variants involved, was Schumann simply being inconsistent when he notated the articulation for these instruments? Or, do the diverse patterns of slurring suggest an implied meaning? If, in fact, the patterns of slurring do signal an implied meaning, their significance in this regard must be explained in the context of the tag itself. When Schumann composed the Romanze theme, he simply could have terminated it with the final note. In every occurrence of the theme, however, a tag follows and is voiced by other instruments of the woodwinds and strings, the same families to which the oboe and

167

cello, agents of the Romanze theme, belong. The tag, then, serves as a commentary byother members of these families, members who are aware of the circumstances of the narrative. But their comments, which are really in the form of opinions, on these circumstances are mixed. Only the bassoons, by using the same pattern of slurring, maintain their opinion about the situation at hand. The viola and second cello at times express their own opinion (second cello, m. 10-12; viola, mm. 50-52), at other times adopt the opinion of others (viola, mm. 24-26) but then alter their opinion later (viola, mm. 50-52), or, on other occasions, borrow the opinion of others and maintain it (second cello, mm. 24-26, mm. 50-52).

This interpretation of the various patterns of slurring is more effective upon examining the score than in performance. In performance, the numerous patterns of slurring with the three instruments involved is aurally confusing, which is probably why either Schumann or the editor chose only one pattern for all three instruments in S2. The pattern of slurring chosen in S2 is the one notated for the bassoons in MS2 and the one that occurs the most frequently in the same MS.

Another plausible reason for uniform slurring among the instruments playing the tag may have to do with the tag itself. In each occurrence, the bassoon and second cello double at the unison. Thus, they seem to be in agreement about their opinion on the intrigue but differ on some fine points as indicated by the various patterns of slurring in MS2. The viola in each occurrence begins with parallel motion to that of the bassoon and cello but then proceeds in contrary motion, as if to offer another viewpoint on the

168

situation. By regularizing the articulation as it is in S2, more attention is paid to the two distinctive melodic contours that result from the different types of motion.

The presence of portato in mm. 42-44 in S2 (Example 5.14), particularly in the strings, is as problematic as the patterns of slurring for the tag. Schumann himself was not entirely clear in communicating his intention in MS2. The portato as it appears in MS2 and in S2 is certainly appropriate for the woodwinds, which have played this articulation throughout much of the movement, but is it appropriate for the strings? In S2, portato is notated for the strings in mm. 42-44 (Example 5.14b), and in MS2, just the solo violin has this articulation in mm. 43-44 (Example 5.14a).[9] Is this articulation for the solo violin in MS2 a mistake? If Schumann worked from the top of the system down, he may have realized that he did not want this articulation for the strings at this point; therefore, he ceased to notate it for the remaining stringed instruments.

Whether portato should be present or absent for the stringed instruments in mm. 42-44 is uncertain. Two arguments can be offered for leaving out the portato at this point.[10] The first argument deals with practical performance of mm. 42-49, the measures to which portato could be added. The strings play these measures pizzicato; no portato, therefore, is needed unless the composer found it necessary to clarify phrasing. If

---

[9]In MS2, portato for all instruments is missing for the anacrusis to m. 43, which is also the last measure of f. 29. Presumably, Schumann forgot to include articulation for these instruments in f. 29 and began notating it at the top of f. 30, which begins with m. 44.

[10]Dörffel left out the portato for the strings in his edition (Example 5.14c).

Schumann wanted portato for the strings in pizzicato passages, why, then, did he not choose to notate portato in analogous measures, such as mm. 2-9?

The second argument concerns the narrative of the movement. As seen in the discussion of various aspects of the Romanze theme and the tag, members of the woodwind family offer a perspective on the circumstances of the narrative that differ from that of the strings. The absence of portato in mm. 42-49 reinforces this conflict. Only at the end of the movement is some consensus reached: all instruments, including the horns in D in S2, which seem to serve as mediators between the two families, play the final figure portato.[11]

MS2 reveals that Schumann included many more details in expressive indications and articulation that added new perspectives to the narrative and that fostered complicated performance issues. When the time arrived for the Symphony to be published, he or the editor apparently rethought some of these details, perhaps reconsidering the actual impression they would have on the auditors while foregoing the image made on the student of the score. The result is that some of the details are indeed lost in the published editions of the second movement, but the main narrative and its conflicts remain in S2.

IV. THE ROMANZE THEME IN C AND D

Both Clara and Dörffel left the music for the Romanze theme largely untouched in their respective editions. Of the three changes they introduced, the first involves

---

[11]The portato here is necessary for the strings who are playing arco at this point.

dynamic placement that complicates interpretation of the narrative. Another deals with

dynamics and actually alters Schumann's narrative. The third, which involves

articulation, raises several questions regarding the interpretation of the narrative and the

actual performance of an accompanimental passage.

In m. 9, additional problems with dynamic placement arise when C is compared

with MS2 and S2. All three sources feature tiered dynamic placement, but the actual

placement and the instruments involved differ. S2 features a two-tiered placement in

which the oboe begins its *diminuendo* on the second beat of the measure, before the other

instruments, including the cello. The dynamic for the other instruments is placed on the

sixteenth note of the second beat (Figure 5.2b). Three tiers of dynamics occur in MS2

(Figure 5.2a), with dynamics for the woodwinds occurring first. Those for all the strings

but the second cello follow, for which the placement of the *diminuendo* constitutes the

third location.[12] Clara apparently recognized the three-tiered dynamic placement that

Schumann notated in MS2. She maintained the idea of three levels but instituted her own

order and relationships among the instruments (Figure 5.2c). For the woodwinds, she

kept the alignment of the *diminuendo* as it appears in MS2, despite the fact that

---

[12]In addition, Schumann used two abbreviations for the *diminuendo* in MS2. He abbreviated those for the woodwinds and first cello as *dimin.*, whereas those for the clarinets, bassoons, and other strings are abbreviated as *dim*. He may have used the two abbreviations to associate the first cello with the woodwinds, thereby creating a conflict within members of the string family. Such disparities would be observed by a student of the score only and go completely unnoticed by the auditor. In any event, Schumann dispensed with this disparity in S2, where he used the *dim.* abbreviation for each instrument.

placement for the clarinets and bassoons coincides with a rest. The *diminuendo* for the first cello follows, and for the third tier, she aligned the dynamics of the second cello with those of the remaining stringed instruments.

Questions concerning which reading is correct obviously arise. Originally in MS2, Schumann intended differing levels, an idea that Clara maintained. But narrative implications of both three-tiered arrangements are difficult to determine. The two-tiered arrangement in S2 and D, however, suggests the clearest extramusical explanation in which dynamic placement serves to underscore the identification of the protagonist and to hint at problems in the protagonist's relationship.

The *pianissimo* that Schumann included for the first cello in m. 25 is absent in both C and D (Example 5.8b). The dynamic is the curious one discussed above whose meaning is revealed only in the context of the narrative of the movement. Both editors presumably made their decision based on performance considerations; a change of dynamic level such as this in the course of a tied note is an anomaly in this Symphony and unusual for music of Schumann's time. In leaving out this dynamic, Clara and Dörffel not only effected a timbral change but also altered a detail of the narrative. Without the *pianissimo* in the cello, the persona represented by this instrument remains on the same level as that of the oboe. The hint Schumann provided in his edition concerning the changing relationship between the oboe and cello is missing. Now when the Romanze theme returns in m. 42, with its respective instruments and expressive

indications to explain the relationship between the three personae, this dramatic event is abruptly introduced.

The change in articulation involves the string accompaniment beginning with the anacrusis to m. 43. As observed in the discussion of variants that result from comparison of MS2 (Example 5.14a) and S2 (Example 5.14b), in S2 Schumann included portato for the first and second violins, viola, and second cello for two-note groupings that conform with that of the accompanying woodwinds. Curiously, neither Clara nor Robert included this articulation for the subsequent figures in mm. 44-49, nor did they notate portato where such two-note groupings occur in the strings at the beginning of this movement or in mm. 22-23. Dörffel perhaps thought the portato in mm. 42-44 to be a mistake and chose to leave out this articulation out (Example 5.14c).

V. THE ROMANZE THEME IN B

Some of the articulation and bowings that Bargiel notated result in changes in the performance of certain measures and alter the narrative outlined above. A change to the articulation of the first oboe in m. 22 is of special interest because this alteration calls into question the relationship between this instrument and the cello. In S2, the slurring for oboe is 4+2, whereas that of cello is 3+3 (Example 5.7), the ramifications of which have been discussed previously. Bargiel indicated that the pattern of slurring for the oboe is 3+3, conforming to that of cello. Although subtle, this change depreciates the dominance of the oboe and diminishes the intensity of the narrative.

A similar contradiction between the oboe and cello occurs in m. 3 and all its analogous measures, except m. 49. The contradiction occurs specifically with the cello: Bargiel extended each of the printed slurs into the following note. In addition, a staccato is added to the sixteenth note of b. 2 (Example 5.15). These slurs may, in fact, be bowings that show which notes are to be played in one bow stroke. The added staccato is of special interest because it seems to assure a light articulation of this note rather than to indicate a distinct separation between it and those surrounding it. A staccato for this pitch is not notated in m. 23. If this notation is correct, the lack of a staccato could result in more weight to this note, thereby reflecting the growing intensity of the narrative. The lack of this indication in the final appearance of this figure in m. 39 suggests that in the narrative, the persona represented by the cello is resigned to the current situation, being but a former love of the protagonist.

In mm. 11-12, where the second bassoon, viola, and second cello play the tag, a curious slurring change for the viola may be a mistake (Example 5.16). Instead of the slur extending into the downbeat of m. 12, as it had originally for the second bassoon and cello in S2, here it is confined to the third beat of m. 11 as it is in MS2. Bargiel did not notate such a change in analogous mm. 25 and 51.

VI. THE ROMANZE THEME IN M

Mahler's emendations to the Romanze theme involve dynamics and instrumentation. His markings reflect a concern for effective musical expression of the theme and its accompaniment. Nevertheless, the changes Mahler introduced to the

Romanze theme stem from a conductor's point of view so that performance and interpretative issues are considered exclusively, without any regard to an implied, narrative.

The changes that Mahler proposed fall into four categories according to specific purposes: expression, balance, delineation of a section, and clarification of an existing indication. Some of the ideas Mahler proposed reflect Schumann's intention, but others alter it, and in some cases actually subvert it. To the former belong most of the dynamics, but to the latter belong changes to instrumentation.

In some cases, Mahler added dynamics to emphasize the expression of the Romanze theme. For example, he added *crescendi* to the first oboe in mm. 6 and 7 that stress the third beat of these measures and that add expressive accentuation to the downbeats of mm. 7 and 8. Significantly, Mahler did not write *crescendi* in the first cello nor for any of the other instruments. The *crescendi* in mm. 6 and 7, in fact, are the first emendations he made to the Romanze theme. Does his treatment of the oboe only in this regard suggest he understood the implied narrative of the movement? Analysis of later dynamic emendations reveal this is not the case. Mahler added these *crescendi* in mm. 6 and 7 to the oboe only, probably because it is designated as a solo instrument.

Some of Mahler's dynamics serve several purposes simultaneously: to ensure balance and to delineate sections and subsections within the movement. Emendations such as these are not harmful to the narrative; rather, they often clarify it. Mahler introduced several dynamics in mm. 10-12, just before the final sonority in m. 12 of this

subsection (Figure 5.3). The *decrescendo* for the oboe, clarinets, and first cello in m. 10, with the *pianissimo* on the downbeat of m. 11, are the first to signal the end of the Romanze theme while they quiet these instruments sufficiently to assure audibility of the tag. For these reasons, Mahler added *pianissimo* to the violins in m. 11, where they simply sustain a unison e^1. Mahler also added a *decrescendo-pianissimo* sequence to the viola and second cello in m. 11, thereby matching the expression of the ending of the Romanze theme. Unfortunately, Mahler did not include the same indications for the bassoon. Although their notation is complicated by the fact that each of the bassoons functions differently – one thematic and one accompanimental – the *pianissimo* on the downbeat of m. 11 for these instruments is ambiguous. Presumably, the dynamic is intended for the first bassoon because a *piano* indication is already provided for second bassoon in m. 10. Nevertheless, care must be taken in interpreting these dynamics so that proper blending among the instruments is achieved.[13]

In one case in connection with the Romanze theme, Mahler added a dynamic that serves to clarify the original notation. He added a *pianissimo* between the clarinet and bassoon staves of m. 2.[14] This dynamic specifies the precise level to which these

---

[13]Mahler added dynamics for similar purposes in the concluding measures of other sections where the Romanze theme occurs. In mm. 24-25, he added *decrescendi* to the woodwinds that sustain pitches, and he also included the same dynamic to instruments that play the tag in m. 25. Similarly, he wrote *decrescendi* for the final sonority of the Romanze melody in mm. 51-52.

[14]Mahler placed brackets around the tied notes of the clarinet and bassoon in mm. 1-2 due to their homorhythm. The dynamic he added applies to both classes of instruments because the bracket suggests that he viewed them as a unit.

176

instruments should decrescendo. It also makes the *piano* level on the third beat of m. 2 more effective, particularly in that more attention is now given to the first notes of the Romanze theme.

Unfortunately, not all of Mahler's dynamic additions yield the same favorable results. In m. 8, he added a *pianissimo* for the first oboe to the beginning of the last phrase of the Romanze theme in this section. Had he provided this dynamic for the cello, which plays at a *piano* level, he would have intensified the implied narrative. Instead, with the *pianissimo*, he undermined the timbre of the first oboe in favor of that of the first cello, which results in a disturbance to the narrative: the first oboe no longer dominates; therefore, the tension between it and the first cello is altered.

More damaging than this dynamic are the instrumentation changes that Mahler established. Fortunately, his treatment of the Romanze melody in this regard was consistent so that similar timbral colors end each occurrence of the theme, which, in a sense, coincides with Schumann's penchant for maintaining the same color throughout a movement or a section thereof. Nevertheless, Schumann rarely, if ever, painted the color changes in this Symphony that Mahler proposed in his emendations.

Each occurrence of the Romanze theme now ends with an early tacit by the first oboe. Mahler crossed out the first oboe part in mm. 11-12 and in analogous mm. 25-26 and 51-52. This completely changes the narrative. If any instrument should be cut – which would be inappropriate in any case – it ought to be the first cello. In these measures, the point of view of the narrative changes from the protagonist to the lover.

Yet, the perspective of the narrative comes from the protagonist. Without this voice no story can be told.

From a musical viewpoint, Mahler deemed the omission of the first oboe in mm. 11-12 necessary to establish the instrumentation changes he would make at the end of the movement. In addition to crossing out the first oboe part in mm. 51-52, he also deleted the remaining wind parts in m. 53, leaving the final sonority for the strings only (Figure 5.4). The timbral change that results is completely uncharacteristic of Schumann's instrumentation practices and, needless to say, destroys the narrative of this movement.

Mahler's intentions were honorable in that he was attempting, particularly with regard to instrumentation, to introduce some variants to the general sonority associated with the Romanze theme. But in doing so, he altered the narrative of the story, he introduced color changes into Schumann's instrumentation that clearly are foreign to his vocabulary, and he detracted attention from the fine details Schumann included to relate his narrative to emphasize timbral effects. Although many of Mahler's suggestions for dynamics certainly are viable, those affecting the protagonist especially and the instrumentation changes must be questioned.

Example 5.1. "Die Soldatenbraut" from Schumann's *Romanzen und Balladen*, op. 64,
mm. 20-27

Example 5.2. Excerpts from Schumann's *Drei Romanzen*, op. 28

Example 5.2a. Movement 1, mm. 25-32

Example 5.2b. Movement 2, mm. 1-8

Example 5.2c. Movement 3, mm. 112-120

Example 5.3. Excerpts from Schumann's *Drei Romanzen für Hoboe,* op. 94

Example 5.3a. Movement 1, mm. 9-18

Example 5.3b. Movement 2, mm. 15-20

Example 5.3c. Movement 3, mm. 1-11

Example 5.4. Phrase Structure of the Romanze Theme

Example 5.5. Tag Following the Romanze Theme

Example 5.6. Romanze Theme and Countertheme, mm. 6-8

Example 5.7. Slurring and Beaming, m. 22

Example 5.8. Comparison of Dynamics in the Romanze Theme, mm. 24-26

Example 5.8a. MS2, S2

Example 5.8b. C, D

Example 5.9. Elision of Second and Third Subsections of A, mm. 22-23

Example 5.10. Comparison of Rhythm between m. 9 and m. 23

Example 5.10a. Mm. 8-9

Example 5.10b. Mm. 22-23

Example 5.11. Romanze Theme, Accompaniment, and Countertheme, mm. 46-48

Example 5.12. Comparison of Slurring in MS2, mm. 8-9

Figure 5.1. Comparison of Slurring in MS2, mm. 22-23
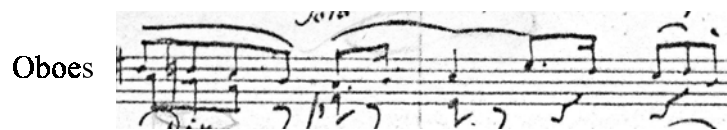
Example 5.13. Patterns of Slurring for the Tag in MS2

Example 5.13a. Mm. 10-12

Example 5.13b. Mm. 24-26

Example 5.13c. Mm. 50-52

Figure 5.2. Dynamic Placement, m. 9

Figure 5.2a. MS2

Figure 5.2b. S2, D

Figure 5.2c. C

Example 5.14. Differences in Articulation in mm. 42-46

Example 5.14a. MS2

Example 5.14b. S2, C

Example 5.14c. D

Example 5.15. Slurring for Oboe and Cello Notated by Bargiel, m. 3

Example 5.16. Slurring Notated by Bargiel, mm. 10-12

Figure 5.3. Mahler's Instrumentation and Dynamic Emendations, mm. 8-12

Figure 5.4. Mahler's Instrumentation and Dynamic Emendations, mm. 47-53

CHAPTER 6

THE SCHERZO THEME

I. INTRODUCTION

The second and third movements of this Symphony integrated specific tenets of

musical composition that Schumann advanced in his critical writings. Those in the

second movement involve a special meaning, which is determined by an implied

narrative, and feature musical elements characteristic of the Romanze, an important genre

in German music. Schumann even used this generic designation as the title of the

movement. In the third movement, Schumann established a special meaning by

continuing the implied narrative of the previous movement, and also drew on

achievements of other composers, first by calling this movement a scherzo (thereby

paying homage to Ludwig van Beethoven, who was the first to include scherzo

movements in his symphonies) and by quoting and alluding to a symphony by one of his

contemporaries, Johann Wenzel Kalliwoda (1801-1866).[1]

The form of the third movement and the thematic material that helps to define the

form continue the narrative. Rather than organizing this scherzo in a three- or five-part

---

[1]Kalliwoda was a Bohemian composer and violinist active in Germany, particularly in Donaueschingen, where, in his capacity as Kapellmeister for Prince Karl Egon II von Fürstenberg, he invited famous musicians such as Clara and Robert Schumann, Franz Liszt, and Sigismond Thalberg to perform or to have their works played. Performances of his Symphony no. 1 in F major, op. 7 (1825-1826) in Leipzig and Prague helped to establish him as an esteemed composer.

structure in which scherzo sections alternate with trio sections, Schumann created a four-part structure in which two scherzo sections are separated by two trio sections – that is, a structure of crucial importance to the narrative (Diagram 6.1).

Diagram 6.1. Structure of the Third Movement

	Scherzo I			Trio I		
Phrase:	a	b	a^1	c	d	c^1
Mm.:	1-16	17-48	49-64	65-80	81-96	97-112

	Scherzo II			Trio II		
Phrase:	a	b	a^1	c	d	c^1
Mm.:	113-128	129-160	161-176	177-192	193-208	209-224

Unlike the unusual overall structure of this movement, the subsections that constitute the scherzo and trio sections are in a conventional three-part design of a b a^1. The thematic content that delineates these subsections is infiltrated with transformations of themes from the first movement, making the content of the familiar structure of the scherzo sections uncommon and creating a complex alteration of past and present in the narrative. The germ of the theme, which is first heard in mm. 1-3, is at once an inversion of motive *a* from the introductory theme and a transformation of the rhythm and dynamics of that motive (Example 6.1). In addition, Schumann quoted the beginning of Kalliwoda's minuet from his Symphony no. 1 in F major, op. 7. Not only did he borrow thematic material from Kalliwoda's Symphony, Schumann also used his treatment

of that thematic material: in both works, the initial thematic material is set in imitative counterpoint.

To accompany the scherzo theme, Schumann used hammerstrokes like those initially heard in the development section of the first movement. In both movements, the hammerstrokes signify conflict. That conflict is intensified in the third movement by imitative texture and by Schumann's careful grouping of instruments according to differentiated personae in the narrative. The scherzo theme is first played by the oboes and first violin, the latter set in an agitated rhythm of eighth notes rather than quarter notes. Answering these instruments are bassoons, viola, cello, and contrabass (Example 6.2).

Through the thematic content, texture, and instrumentation, two conflicts develop in the scherzo theme. The first is that personae represented by specific groups of instruments disagree with one another (presumably arguing about the protagonist), as indicated by imitative texture. If they were in complete agreement, they probably would be cast in a homophonic texture. The second element of the conflict involves the protagonist. In the Romanze, she expressed her own voice, but she now has lost that ability. In both scherzos, the first oboe sometimes is doubled by other instruments, namely, the flutes, second oboe, and violins. At other times, the oboe accompanies other instruments, as in mm. 32-49, as if the protagonist has receded into the background to assume a role as an onlooker. She has also lost her inner assuredness, revealed through further thematic transformations of the scherzo theme. Whereas her rendering of the

Romanze theme remained constant in each of the three occurrences in the second movement, the thematic material of the scherzo sections undergoes constant change, particularly in the b subsections, where transformations of the thematic material are introduced in each of the four phrases (Example 6.3).[2]

In addition to his astute manipulation of thematic content and texture, Schumann also carefully selected the mode and key of this movement. He could have easily written this movement in D major, making a smooth tonal transition from the final A-major triads of the previous movement – suggesting illusory happiness in the protagonist's future – to the beginning of the third movement. Instead, he chose D minor, which is not only the key of the Symphony but is also one that, due to its mode, itself carries a certain amount of extramusical meaning.

In his "Characterization of the Keys," Schumann did not give much credence to the association of specific moods or images to particular keys,[3] but he did acknowledge inherent differences in the qualities of major and minor modes, having argued that the choice of mode more so than the selection of key must be determined upon starting the

---

[2]Here Schumann alluded to the articulation and melodic contour in mm. 24-31 of Kalliwoda's minuet. In mm. 17-24, Schumann borrowed the melodic contour of the minuet, and in mm. 33-46, he adopted the legato articulation.

[3]For Schumann's critique of Christian Friedrich Daniel Schubart's association of particular keys with specific moods and images, see Robert Schumann, *Gesammelte Schriften über Musik und Musiker*, 2 vols. (Leipzig: Georg Wigand, 1871): 1:106. (1834)

creation of a new composition. Schumann described the major mode as "the active, virile

principle" and the minor mode as "the passive, the feminine."[4]

Once a composer determines the mode, Schumann believed that choice of the

actual key depends upon its number of sharps and flats. The difficulty of keys is directly

associated with the number of sharps or flats in a given key: the greater the number of

accidentals in a key signature, the more complicated the key. Schumann took this precept

beyond the music, having asserted that the number of sharps or flats bears a direct

connection to the complexity of the feeling the music is attempting to convey:

> Simpler feelings demand simpler keys; the more complicated ones require those
>
> which are less frequently heard. Thus one might observe the rising and falling [of
>
> the temperature of feeling] in the interwoven succession of rising and falling
>
> fifths, and accept F-sharp – the middle point in the octave, the so-called tritonus –
>
> as the highest point, which again descends through the flat keys to the simple,
>
> unadorned C major.[5]

---

[4]Robert Schumann, *On Music and Musicians*, ed. Konrad Wolff, trans. Paul
Rosenfeld (New York: Pantheon, 1946), 60. "Der Unterschied zwischen Dur und
Moll muß vorweg zugegeben werden. Jenes ist das handelnde, männliche Princip, dieses
das leidende, weibliche." Schumann, *Gesammelte Schriften*, 1:107.

[5]Schumann, *On Music and Musicians*, 60-61. "Einfachere Empfindungen haben
einfachere Tonarten; zusammengesetzte bewegen sich lieber in fremden, welche das Ohr
seltener gehört. Man könnte daher im ineinanderlaufenden Quintenzirkel das Steigen und
Fallen am besten sehen. Der sogenannte Tritonus, die Mitte der Octave zur Octave, also
Fis, scheint der höchste Punkt, die Spitze zu sein, die dann in den B-Tonarten wieder zu

The key of D minor is simple, having only one flat. Thus, the mode and key of this movement, with the form of the movement, thematic transformations of the scherzo theme, texture, and instrumentation, suggest that the protagonist may be completely ambivalent to her situation.

II. THE SCHERZO THEME IN S2

Comparison of the scherzo and trio sections reveals that Schumann made many changes in the second trio but left the second scherzo largely untouched. This disparity results from the implied narrative. The thematic content suggests temporal elements in the course of this movement: scherzo sections are new transformations of the main theme and represent the present. The trios, on the other hand, represent both the past and the present. The first trio, stylistically related to the B section of the Romanze, constitutes a recollection of an earlier time, while the second trio, albeit being in the style of the first, features substantive changes that mark a psychological transformation within the mind of the protagonist and that suggest further intrigue in the narrative. The few variants that surface upon comparison of the scherzo sections involve dynamics.[6]

Despite the agreement concerning the scherzo theme among the sources, a question must be raised concerning the purpose of the *forte* in m. 1 (Example 6.2). This dynamic immediately follows the *forte* for the anacrusis to m. 1, making the same

dem einfachen, ungeschminkten Cdur herabsinkt." Schumann, *Gesammelte Schriften*, 1:107.

[6]Nominal variants in pitch occur upon comparison of m. 1 with m. 3 and m. 63 with m. 175. These variants have no effect on the implied narrative.

dynamic in m. 1 seem redundant from the viewpoint of performance. But Schumann sometimes used consecutive dynamics for accentual purposes. In mm. 67 and 156 of the fourth movement, Schumann wrote successive *forte*s that serve not so much as dynamics but rather to accentuate cadential chords that lead to the downbeats of mm. 68 and 157.[7]

The *forte* in m. 1 also seems to have narrative implications. Having had much uncertainty and numerous disagreements in the previous movement among families of instruments and even within the families themselves, everyone is in agreement about the situation at the beginning of the third movement. This is suggested by pitch and dynamics. All instruments at the beginning of the movement play the same pitch homophonically with an emphatic *forte*. The second *forte* in m. 1 is not only a reiteration, it is a reinforcement of the consensus – although one that is temporary – that is reached by all the instruments involved. That reiteration is not necessary in second scherzo. A consensus has not been reached; in fact, more drama is forthcoming, particularly in the second trio. If Schumann had included a *forte* in m. 113, the narrative would have regressed, but the absence of a *forte* dynamic actually propels forward motion.

Schumann apparently viewed the second scherzo as a more-or-less direct repetition of the first even though he wrote out all the instruments but the brass and timpani for the second scherzo in MS2. He introduced no changes to the melody,

_____

[7]Brown has analyzed various ways that Schumann used *forte*, by categorizing them as accentual, expressive, and customary dynamic. See *Classical and Romantic Performing Practice: 1750-1900* (New York: Oxford University Press, 1999), 64-66.

harmony, or texture, nor did he make any changes to the instrumentation. The difference in dynamics that occurs in mm. 1 and 113 has significant narrative implications that are perhaps more obvious to the student of the score rather than to the auditor of the Symphony.

III. THE SCHERZO THEME IN MS2

Reconciling the discrepancies in articulation and rhythm that occur upon comparison of MS2 with the other sources proves to be one of the greatest challenges in determining Schumann's true intention. The problems begin with inconsistencies that surface when MS2 and S2 are compared and continue with variants found in the published editions. Determining reasons for the discrepancies reveals that Schumann changed emphasis in the narrative in S2. In MS2, focus was on various opinions offered by individual personae, but in S2, changes in the drama itself are emphasized with less importance being placed on different perspectives of individuals within that drama.

Upon close scrutiny of the sources, mm. 25-49 and their analogous measures, mm. 137-161, constitute one of the most difficult passages regarding articulation. Specifically, the use of slurs and staccato is the main issue pertaining to the variants between MS2 and S2. The measures that constitute these passages occur within the b subsections of each scherzo. Within the b subsections, dramatic development of the music and the implied narrative is brought forth through transformation of previous melodic ideas. The transformation takes place through changes to melodic ideas and

though various types of articulation. In mm. 25-49 and their analogous measures, these changes come about in the course of three phrases: in mm. 25-32 (mm. 137-144), mm. 33-40 (mm. 145-152), and mm. 41-49 (mm. 153-161) respectively (Examples 6.3b-d).

These three phrases are distinguished by contrast to the first phrase of subsection b (Example 6.3a) and by changes in character that transpire among the phrases themselves. This subsection of the scherzo begins with a vibrant transformation of the scherzo theme (mm. 17-24), played *forte* with a *subito forte* to add special emphasis to the downbeat of m. 17. In contrast, the subsequent phrase that begins with the anacrusis to m. 25 features a five-note motivic idea that is derived from the last five notes of the primary melody in m. 22-24. Other features from the previous phrase are borrowed, including imitative texture and an eighth-note variant of the motive played by the second violin. In addition to contrast provided by the motive, the entire phrase is played *piano*. This change in dynamic level facilitates a transition from the first phrase to the last two phrases of the b subsection, both of which carry on the *piano* dynamic level in a highly lyrical, legato setting.

For the first of the three phrases that make up mm. 24-49, the most difficult problem is determining how Schuman intended to use staccato (Example 6.4). In S2, the answer seems obvious: quarter notes in the primary melody or in a fragment thereof that are not part of a slur are to be played staccato. MS2 is not nearly as clear as S2. In the manuscript, staccato marks are added to several of the quarter notes in question but not to

all. To make the problem more complicated, staccato marks are not consistently present for all quarter notes among instruments that double one another and even within a particular instrument.

Despite these inconsistencies in MS2, Schumann was consistent about one aspect of the staccato issue: he clearly intended no staccato in the first oboe[8] and the first violin, two of the instruments that play the primary melody in addition to the first flute. If he originally intended staccato for these instruments as in S2, he would have notated them as he had the slurs in MS2. Clearly in MS2, Schumann was using articulation as a means of alliance between the oboe and first violin and as a device for contention between these allies and the remaining woodwinds.

Within the woodwinds themselves is a great deal of disagreement represented by articulation and texture. In MS2, staccato is applied precariously to the first flute. At first, Schumann added staccato marks to the last quarter note of the first two occurrences of the five-note motive (mm. 25 and 27), as if this persona disagreed only slightly with the others. But in mm. 28-29, that disagreement is stronger with the addition of a staccato for the quarter-note anacrusis to m. 29. A third pattern of articulation is introduced in the final statement of the motive. A staccato is again present for the anacrusis to m. 31, but

---

[8]In MS2, Schumann originally wrote the first oboe in imitative counterpoint to the first flute and first violin, adding another layer to the disagreement among these instruments. By later placing the oboe in a homophonic texture with the first flute and first violin and by using the same articulation as the violin, Schumann created an alliance between the oboe and the violin and established some conflict through differences in articulation between these instruments and the first flute.

no staccato is provided for the third beat of m. 31, as if the persona represented by the first flute rethought the situation again.

Disagreement among personae represented by the first clarinet and first bassoon is understood through the treatment of the motive, the articulation, and the texture. Of the four occurrences of the motive for these instruments, two are fragments in which the last half note is omitted (mm. 27-28, mm. 31-32). Fragmentation here seems to signify that the personae represented by these instruments are not in complete agreement with the others. Additional evidence for this is found in the texture. The clarinets and bassoons are set in imitative counterpoint to the other instruments that play the primary melody in full. Conflict occurs between the clarinet and bassoon as well. The bassoon has a staccato on the anacrusis to m. 28 just as it has for the third beat of m. 30. In both of these measures, the clarinet has no staccato.

Determining Schumann's intention in MS2 by comparing his use of staccato in mm. 24-32 with that in analogous measures 136-144 provides little help. Schumann intended woodwind parts in mm. 24-32 to be repeated precisely in mm. 136-144: he drew a diagonal line through their staves in mm. 136-138 and another in mm. 142-144. Above both, he wrote "wie vorher." In addition, he included arabic numbers above each measure (beginning with m. 113) that indicate precise correspondence to measures in the first scherzo section. For any differences in the string parts in mm. 136-144, Schumann clearly notated them as with the octave differences for the pitches of the second violin in mm. 139-140 and in mm. 143-144.

212

The disagreement that Schumann introduced among instruments that play the primary melody in mm. 24-32 is carried on momentarily in MS2 at the beginning of the next phrase. Here the disagreement between the flute and violin is on a minor point that is represented by the slurring of the melody beginning with the anacrusis to m. 33 (Example 6.5a). The problem is that the anacrusis for the flute is included with the slur that encompasses mm. 33-34, whereas that for the violin is not included (the slur for the violin begins on the downbeat of m. 33). With the final phrase of subsection b, which begins with the ancrusis to m. 41, the articulation for both instruments in MS2 coincides: the slurs begin on the downbeat of m. 41 rather than with the ancrusis to that measure.

In S2, the articulation of the ancruses to both m. 33 and m. 41 for the flute and violin differs considerably from MS2 (Example 6.5b). Each quarter note now has a staccato in S2 that Schumann did not notate in MS2. The change in articulation in S2 in the two phrases that make up the entire passage from mm. 32-48 creates new ramifications for the perspectives each persona has on the situation. First, the combination of staccato and slurs is reminiscent of similar patterns of articulation heard in the previous phrase, particularly with the five-note motives in which the anacruses in S2, at least, were consistently played staccato. But the remaining elements of the primary theme in mm. 32-48 have changed. Now, instead of a melody made up of short motivic ideas, whose articulation is marked by strikingly frequent alterations between staccato and slurs, the primary melody is transformed into two flowing, lyrical phrases – played mostly legato – that are enhanced by a balanced arch shape. The character of these

213

phrases, combined with the occasional use of staccato from the previous phrase, suggests that some sort of agreement has been reached (through the combination of staccato and slurs) and that a momentary reprieve has been achieved through legato articulation and through the flowing nature of the melody itself.

In mm. 32-48 of MS2, this point of reprieve had been reached by different means for the various personae involved. Those represented by a secondary melody (viola in mm. 34-40 and the pairing of first bassoon and viola in mm. 41-46) vary on some minor points. First, for the viola, the anacrusis to m. 35 has a staccato that is not part of the articulation of the primary melody in these measures as it was in the previous phrase. Secondly, the pattern of slurring differs for the viola. Although the primary melody and the secondary melody are decidedly different in pitch content, they are homorhythmic, making use of the same pattern of slurring possible. In mm. 35-36, however, Schumann wrote a pattern of slurring for the viola that differs from that of the flute and violin. The pattern for the primary melody encompasses both measures, but for the viola, there are two slurs, one for each measure.

In MS2, this conflict continues in mm. 37-38, but in S2, the slurring has been regularized to one slur per measure for each instrument. The pattern of slurring for the viola differs even more in MS2 in mm. 42-44, partly to accommodate a repeated note for the first two beats in m. 43. Now, one slur is provided for all three quarter notes in m. 42 and another for mm. 43-44, beginning with the second beat of m. 43. The result is that the pattern of slurring for the viola now more closely coincides with that of the flute and

214

violin, as if the viola were beginning to agree with these instruments. In S2, this agreement is obscured. The downbeat of m. 43 is included with the slur that began on the first beat of m. 42, making a conflict in articulation with that of the flute and violin, both of which begin a new slur. In S2, then, Schumann introduced a new element of conflict between personae represented by primary and secondary themes in a passage that otherwise has regularized articulation.

Similar problems occur with the bassoons and viola in mm. 153-155 (Example 6.6). Should the anacrusis to m. 154 be included in the slur as it is in MS2? If not, should it be given a staccato as in S2? Or should it be articulated separately but without a staccato?

Schumann's use of dynamics is another way in which he introduced changes in the narrative. For the downbeat of m. 1 in MS2, all instruments play a *forte* dynamic level, whereas in S2, the oboes and first violin have an additional *subito forte*. In MS2, Schumann reserved the *subito forte* for the second scherzo, where he notated this dynamic for both instruments on the downbeat of m. 113. By reserving the *subito forte* for the return of the scherzo and by applying it those instruments playing the primary melody only, Schumann introduced a point of contention between personae represented by instruments playing the primary melody and those accompanying. Furthermore, the difference in dynamics in MS2 advances the drama; a difference in dynamic level among instruments raises conflict that must be resolved.

215

IV. THE SCHERZO THEME IN C AND D

Variants in articulation not unlike those discussed in the comparison of MS2 and S2 occur upon study of C and D. Other discrepancies in C and D add new complications in understanding the implied narrative. One of the passages in question includes measures in the b subsection of the scherzo that have already been discussed; another entails articulation of a motivic idea in the same passage but involves different instruments from those discussed above.

The articulation that both C and D notated for all instruments in mm. 24-48 coincides with that of S2. In the analogous measures, however, both Clara and Dörffel introduced changes involving staccato that are difficult to explain in the context of the implied narrative. Clara did not include staccato for the first flute on the third beat of m. 152 but did so for the flute in analogous m. 144. Similarly, Dörffel did not include a staccato for the third beat of m. 144 for the first flute. Here the quarter note serves as an anacrusis to the legato phrase that follows.[9]

Mm. 24 and 136, which involve the bassoons, cello, and contrabass, all of which play the same three quarter notes, also pose problems concerning articulation (Example 6.7). These quarter notes are part of a melodic idea from which the five-note motive that permeates mm. 24/136-32/144 is derived. In mm. 24 and 136, in which the

[9]Clara did, however, include a staccato for the first violin in m. 152. She also notated staccato for first flute and violin in analogous m. 32 and also for both instruments beginning the next phrase in m. 40 and analogous m. 152. Note that Schumann in MS2 did not include staccato for the first flute nor for the first violin in either mm. 32/144 or in mm. 40/152.

216

last three quarter notes of that motive are heard, Schumann and Dörffel drew attention to the melodic/motivic connection between mm. 16/128-24/136 and 24/136-32/144 by having the low strings play the three quarter notes of m. 24/136 in an articulation pattern of a two-note slur, staccato. The bassoons do not participate in this articulation; they are to play their quarter notes in mm. 24/136 without any special articulation as they and the other instruments had done in mm. 16/128-24/136. Clara regularized the articulation of the bassoons to conform to that of the cello and contrabass, possibly altering the narrative implications of the passage.

Bearing in mind that the bassoons had a distinctive role in the Romanze, complete with narrative implications, the same may hold true for the third movement. This disagreement in articulation between the bassoons and the low strings may be a continuation of the difference of opinion in the Romanze, and their disparity in articulation may also be quite valid: Schumann maintained the same articulation in S2 as he had notated in MS2, where he also provided none for the bassoons but notated the slur-staccato pattern in the cello/contrabass staff.

The differences in articulation in mm. 138 and 152 that involve the bassoon, cello, and contrabass clearly involve reinterpretations. Clara's addition of articulation for the bassoon in these measures reflects her intention to regularize articulation among instruments that play the same material simultaneously. The differences in articulation in MS2, S2, and D, however, indicate narrative implications that have been obviously altered in C. Other differences in articulation in C and D seem to reflect inconsistencies

217

more than rethinking of relationships between instruments as they are related to the narrative. These differences with Clara's additions in m. 138 and in m. 152 do not coincide with Schumann's intention and, therefore, must be reconsidered.

V. THE SCHERZO THEME IN B

In the scherzo theme, Bargiel notated several additional articulation marks, dynamics, bowings, expressive indications, and fingerings to the scherzo theme. Of these, the first two, articulation marks and dynamics, are the most controversial. For example, he indicated two types of accentuation marks at the beginning of this movement: a petit chapeau for the timpani to the anacrusis to m. 1 and a hairpin accent for the first violin to the downbeat of m. 1 (Example 6.8). Two issues must be addressed concerning the impact of Bargiel's notation. The first deals with the meanings of these accents in relationship to those of the dynamics Schumann included. The second addresses the effect these accentuation marks had on the sprightly atmosphere Schumann intended through the "Lebhaft" tempo mark that he wrote at the beginning of the movement.

Schumann probably would have regarded the accents Bargiel added unnecessary because dynamics and accents were combined in the *forte-subito-forte* sequence in Schumann's notational practice. The *forte* indicated a specific dynamic level, and the *subito forte* seems to have implied an accent similar to the meaning in Schuman's use of *sforzando*. Schumann sometimes combined a specific dynamic level with other indications such as *sforzando* to create a simultaneous dynamic-accentual effect. He

viewed *sforzando*, petit chapeau, and hairpin accent as a hierarchy in strength, with

sforzando being the strongest, and the haripin accents being the weakest.[10] Although

Schumann did not discuss *subito forte* as an accentual symbol, the context in which he

used this indication in this movement is similar to situations where he used a dynamic

level with a *sforzando*. If the dynamics Schumann included in the scherzo serve

simultaneous purposes of volume and accent, then the added accents that Bargiel added

are unnecessary. Furthermore, Bargiel's notations actually create contradictions when

Schumann's notation is considered: both the petit chapeau and the hairpin accent would

carry a different amount of weight than Schumann's *forte-subito-forte* sequence. Thus,

Bargiel's accents alter the heaviness Schumann intended with his *fsf*, and they change the

sprightliness of the "Lebhaft" indication.[11]

---

[10]For a discussion of the strength of various types of accents, see Brown, *Classical and Romantic Performing Practice 1750-1900*, 122. Concerning Schumann's use of dynamics Brown states: "Schumann also used *sf* quite often but, since he utilized an even more extended range of accent markings with considerable subtlety, it is probable that his intentions were more narrowly conceived although they were undoubtedly not consistent throughout his career. Schumann's *sf* seems, for the most part to be a fairly powerful accent; he was sparing of its use in piano passages, where *fp*, > and <> are more common." Brown, *Classical and Romantic Performing Practice 1750-1900*, 86.

[11]Bargiel also used bowstrokes in addition to accent marks to indicate how the character of the first and last sections of each scherzo were fashioned. The hammerstrokes that the second violin has during the first phrase of the movement, for example, are all to be played with a downbow in order to assure sufficient strength. Similarly, each of the accented half notes in mm. 9-13 and analogous measures are to be played with downbows. For the first violin, Bargiel also added fingerings to indicate in which position this phrase should be played.

Some of Bargiel's indications of dynamics are as problematic as the accents he notated. For example, to make the transition of dynamic levels between the first two phrases of the b subsection smoother and to make the beginning of the second phrase of this subsection more prominent, Bargiel noted a *decrescendo* for the bassoons, viola, and cello in mm. 23-24 that reaches a *piano* level on the downbeat of m. 25 (Example 6.9).[12] The sequence in dynamics results in a gradual decrease of sound, altering Schumann's indication of a sudden drop in volume from *forte* for the first phrase in mm. 17-24 to a *piano* beginning with the anacrusis to m. 25 and bringing the beginning of the second phrase into greater relief. Although performers of Bargiel's time may have believed the *decrescendo* in mm. 23-24 necessary to ensure audibility of the initial notes of the second phrase of this subsection, the dynamics change the effect of the elision between phrases from a subtle introduction of the second phrase to a more pronounced beginning. Schumann's dynamics in conjunction with the overlapping of these phrases suggest either ambivalence, confusion, or even inner conflict on the part of the protagonist. In any event, the overlapping of phrases may suggest evolving circumstances that are beyond the control of the protagonist.

The contrast of the phrases in mm. 24ff is also achieved through bowing and articulation of the first violin (Example 6.10). Each measure is played with one bowstroke. For every half note that occurs in this passage, Bargiel notated a tenuto

---

[12]Bargiel also included a *piano* for the bassoon on the downbeat followed by a *pianissimo* on the third beat of that measure.

marking. This mark conveyed several meanings during the nineteenth century, but here it seems to carry a dual function in which each half note is to maintain its full two beats and is to be played with more emphasis than the quarter notes that follow.

As this subsection of the scherzo acquires more lyrical tendencies, Bargiel notated more expressive indications. Among these are *espressivo* markings in mm. 33 and 41 for instruments playing the primary melody and also one for the viola in m. 42, which is playing a secondary melody. Several *crescendo-decrescendo* patterns are notated that intensify the ebb and flow of the primary melody brought about by its sequential construction. This lyrical subsection of the scherzo concludes with a *diminuendo* in m. 45 that makes the *crescendo* Schumann notated in m. 47 even more pronounced.[13]

VI. THE SCHERZO THEME IN M

The changes that Mahler made to the scherzo theme involve dynamics and the rewriting of parts. Most of his emendations seem to alter Schumann's intention rather than to intensify it.

Examples of dynamic emendations that alter Schumann's intention are found at the beginning of the movement. Here, Mahler added hairpin *crescendo-decrescendo* dynamic sequences to strings that play the melody, as with the first violins in mm. 1-2.

---

[13]In scherzo II, Bargiel wrote the same types of annotations as he did in scherzo I. He was less thorough in scherzo II, however, in that he was inconsistent about the extent to which he noted his observations. For example, in m. 154, he did not provide an *espressivo* indication for the viola as he had in m. 42. Given the number and type of indications in scherzo II that are identical to those in scherzo I, both scherzos seem to have been interpreted alike.

When this part of the theme is simultaneously played in an eighth-note version and in a quarter-note version, Mahler added a *sfzorzando* between the *crescendo* and *decrescendo* of the quarter-note version of the theme, as with the cello and contrabasses in mm. 3-4 and in mm. 7-8 (Figure 6.1).[14]

Mahler's dynamic markings may reflect performers' natural execution of these measures, given their tendency to increase volume with ascending figures and to decrease volume with descending ones. Had Schumann wanted additional dynamics, he certainly would have included them himself. Mahler's *sforzandi* on the downbeats of mm. 4 and 8 are especially problematic, given the strength inherent in this mark in Schumann's notational practice. With Mahler's dynamic emendations, the downbeats of mm. 4 and 8 are given too much emphasis, particularly in comparison to mm. 3 and 7. Furthermore, Mahler's dynamic emendations alter the relationship of these pairs of measures. With Schumann's notation, performers probably perceive each pair as on unit, but with Mahler's additional *sforzandi*, they would likely regard each measure as a unit.

By Mahler's time, performing the first two phrases of the b subsection with a smooth transition through additional dynamics (similar to Bargiel's notation) may have been common. Mahler added a *diminuendo* to the string parts (except the contrabasses) in mm. 19 and 131, four measures earlier than Bargiel's *decrescendi* in mm. 23-24. With

---

[14]In some cases, Mahler did not consistently write the hairpin dynamics for these instruments. In m. 52, for example, the *decrescendo* is missing for contrabass; in m. 56, the *decrescendo* is missing for both the cello and contrabass; and in mm. 115-116 and mm. 119-120, both the *crescendo* and *decrescendo* are missing for contrabass.

Schumann's original dynamics, the phrase that begins with the anacrusis to m. 25 is introduced with a sudden shift in dynamics, from the *forte* of the preceding phrase to the *piano* that begins the new phrase, which results in the beginning of the second phrase to be obscured. Mahler changed that effect with his *diminuendo* in m. 19. Also to be noted is that Mahler should have added this dynamic to the woodwinds, horns in D, and trumpets in m. 19. Without it, there is an uncharacteristic difference in dynamic level between the winds and strings.

The rewriting of parts that Mahler introduced to the scherzo theme are even more controversial than the dynamic emendations that he had made. Beginning with the anacrusis to m. 9, Mahler replaced the quarter rests in the second violin with pitches that double those of the first violin (Figure 6.2).[15] Here Mahler's changes alter the sound of the passage significantly. With the second violins playing on the first beat of measures beginning with m. 9, the strength of the second beat is weakened. In addition to using doubling as a means of weakening the second beat of these measures, Mahler also added petits chapeaus to the downbeat of each measure for the first violin in mm. 10-14.[16]

---

[15]Mahler rewrote the second violin in the same way in analogous passages mm. 56-57f, mm. 56-62, mm. 120-126, and mm. 168-174.

[16] He did not add these accents when this passage returns later in the movement.

Example 6.1. Motive a from the Introductory Theme and Its Transformation

Example 6.1a. Motive a from the Introductory Theme

Example 6.1b. Transformation of Motive a in the Third Movement

Example 6.2. Scherzo Theme and Accompanying Hammerstrokes, mm. 1-7

Example 6.3. Four Phrases that Constitute the b Subsection of Scherzos I and II (S2)

Example 6.3a. Mm. 16-24

Example 6.3b. Mm. 25-32

Example 6.3c. Mm. 33-40

Example 6.3d. Mm. 41-49

Example 6.4. Comparison of Articulation in mm. 24-32

Example 6.4a. MS2

Example 6.4b. S2

228

Example 6.5. Comparison of Articulation in mm. 32-48

Example 6.5a. MS2

Example 6.5a–*Continued*

230

Example 6.5b. S2

Example 6.5b–*Continued*

Example 6.6. Articulation for Bassoons and Viola, mm. 153-155

Example 6.6a. MS2

Example 6.6b. S2

Example 6.7. Articulation for Bassoons, Cello, and Contrabass in mm. 24 and 136

Example 6.7a. MS2, S2, D   Example 6.7b. C

Example 6.8. Articulation and Bowing Notated by Bargiel for the Anacrusis to m. 1

Example 6.9. Dynamics Notated by Bargiel, mm. 17-25

Example 6.10. Bowings and Articulation Notated by Bargiel, mm. 24-32

Figure 6.1. Mahler's Dynamic Emendations to the Scherzo Theme, mm. 1-9

Figure 6.2. Mahler's Rewriting of the Second Violin and Articulation Emendations to the
First Violin, mm. 8-14

CHAPTER 7

THE INTRODUCTORY THEME

I. INTRODUCTION

As shown in Diagram 4.1, the introductory theme (Example 4.3a) is one of the most prevalent themes in the Symphony. Occurring in each of the movements, this theme has specific musical and narrative functions, both of which undergo changes and development as the Symphony progresses. Through this theme, Schumann created a highly integrated musical-narrative whole among otherwise disparate movements, revealing its meaning through thematic and motivic transformations and the orchestration of those transformations.

The introductory theme serves two purposes in the first twenty-eight measures of the Symphony: to establish a specific mood, and to introduce thematic and motivic material used throughout the work. In the introduction, which is initially cast in a melancholy setting, the theme is set in slow-paced eighth notes in predominantly stepwise motion. Schumann's instrumentation adds to the darkness: the theme is first played by bassoons, second violins (initially on the fourth string only), and violas. With the theme played *pianissimo* in a rather slow tempo (*ziemlich langsam*), the auditor expects nothing but a dirge-like movement upon hearing the first ten measures of the work. As the introduction progresses, however, Schumann gradually sheds some light on the pervading darkness through changes in instrumentation, tessitura, and dynamics. He

added brighter-sounding instruments to the introductory theme, beginning with the clarinets in m. 5, followed by the oboes and first violin in m. 10, and finally with the flutes in m. 14. Coupled with these additional instruments is a gradual increase in dynamic levels, with a *mezzo-forte* in m. 10 that leads to a climactic *forte* in m. 18.

In the opening measures, Schumann introduced the thematic and motivic material on which much of the Symphony and the implied narrative are based. The theme itself is used in other movements of the Symphony, as are motive x (Example 7.1a) and motive y (Example 7.1b). Motive x, which constitutes the first five notes of the introductory theme, serves as a transition (mm. 22-28) to the first movement proper and is the basis for the first-movement and fourth-movement themes. Motive y is essentially a transformation of the descending stepwise motion in the introductory theme. In mm. 18-21, it assumes its own identity, where not only is its range greatly expanded (from a sixth in its initial appearance to a fifteenth), but where it also constitutes the climax of the introduction of the movement. Furthermore, the context in which it occurs – featuring an initial *forte* dynamic level and a high tessitura – guides the initial measures of the Symphony from gloom and bleakness into brightness and hope.

The first occurrence of the introductory theme in the *Romanze* (mm. 12-22) recalls the despondency of the opening measures of the work, suggesting that the protagonist is recollecting events of an earlier time. With its second occurrence, however, its thematic material and character undergo transformation (Example 7.2). Now in the major mode, the theme is cast in a highly florid ornamentation of triplet sixteenth notes

241

that strongly suggest optimism on the part of the protagonist.[1] The use of motive y as the

basis for these measures provides an association of hope as it was found in the first

movement.

That sense of hope continues in the first trio of the third movement, where the

first violins recall the transformation and setting of mm. 26-42 of the second movement

(Example 7.3a). But with the second trio, the joy that the protagonist apparently

experienced seems to have been averted. Although this trio begins similarly to the first

one (mm. 177-192), fragmentation of the melodic line through the introduction of rests

(mm. 193ff.) leads to actual disintegration of the thematic material (mm. 210ff.)

(Example 7.3b). This also signals an increase of intrigue in the narrative in the last

movement.

In the fourth movement, Schumann delayed the use of motive y until the coda

(mm. 188ff.). Once again, transformation occurs through expansion of the range of the

motive (a tenth), but this time that descending motion is followed by a gradual ascent

(mm. 192-196) that recalls the general contour of the introductory theme in its original

state (Example 7.4). The use of this motive affirms here that it does have implications of

---

[1]Richard Strauss, in his remarks in Hector Berlioz's *Treatise on Instrumentation*, noted the special value of the solo violin: "the effect of a solo violin is so peculiar and conspicuous that it should never be employed without a compelling poetic motive. The great masters used it exclusively as a meaningful symbol: Beethoven, in the Benedictus of his Missa Solemnis, to let a pure soul praise the Lord in a fervent song; and Wagner, in "Rheingold," to unveil the innermost secrets of a woman's heart." Hector Berlioz and Richard Strauss, *Treatise on Instrumentation*, trans. Theodore Front (New York: Dover, 1991), 58.

happiness and resolution: in the fourth movement, it is set in a highly jubilant atmosphere that reassures the auditors that conflicts from earlier movements are now resolved.

II. THE INTRODUCTORY THEME IN MS2 AND S2

A. MOVEMENT ONE

Comparison of the use of orchestrational devices for the introductory theme and its accompaniment in MS2 and S2 reveals that Schumann had different functions in mind for the first twenty-eight measures of the Symphony. In both scores, Schumann undoubtedly was trying to set a particular mood, but in MS2, he also attempted to foreshadow events in the work, such as those of the second movement.

The introduction in the first movement establishes a specific mood – in this case, one that is undeniably somber, if not austere – through tempo, rhythm, and orchestrational devices. One of the means by which Schumann created this mood was by establishing a slow tempo in which a legato sound predominates. To accomplish this in S2, he added slurring whenever possible, even when it was relatively clear in MS2. For example, in mm. 7-9 of S2, he added slurs to the first oboe and to the top notes of the first violin, both of which did not have slurs for the higher of the two notes in MS2. He also added slurs in mm. 14-15 to the second flute and clarinet, even though slurs are assumed for these parts. Finally, in m. 5 of S2, Schumann added a slur to the second oboe, although he did not include one in MS2.

Schumann began the Symphony in a somewhat unusual manner with an anacrusis to the first measure. Although the *forte* with which the anacrusis is played does attract

243

attention, the *decrescendo* that immediately follows, coupled with the tie of the anacrusis

to the downbeat of the first full measure of the movement, provides not only a sense of

temporal uncertainty in the music itself, but also a feeling of having entered into a

situation already in progress. To substantiate this atmosphere further, in the first two

phrases (mm. 1-5, mm. 5-10) of the introduction, Schumann treated the instruments as a

unit in that variants in articulation, beaming, dynamics, and dynamic placement do not

occur among instruments that double each other, a practice that he continued in S2 for the

remaining measures of the introduction.

Beginning with the third phrase of the introduction, in MS2 Schumann used

instrumentation, beaming, and articulation to foreshadow events in the implied narrative

of the second movement especially. In mm. 12-14 (Figure 7.1a), Schumann set the oboes

apart from the other instruments that play the same melodic material or a homorhythmic

countertheme. He did this by notating patterns of slurring and beaming for the oboes that

differ from those for the bassoons, violins, viola, and cello. Of the twelve eighth notes in

question, beginning with the second half of m. 12, the pattern of beaming for the oboes is

3+3+3+3, and the pattern of slurring is 6+6. Beaming for the other instruments is 3+6+3,

and Schumann used what seems to be just one slur for all twelve eighth notes.[2] By setting

---

[2]Whether Schumann intended to use slurring in MS2 as a means to differentiate
the bassoons, viola, and cello from the violins in these measures is unclear. The cello
may be interpreted to have a 9+3 pattern of slurring because the slur for mm. 12 and 13 is
positioned above the notes, whereas the one for m. 14 is written below. Examining the
bassoons and viola is of no help because Schumann used a short-hand method of notation
in these measures in which he indicated these instruments are to double the cello. The
reason for the 9+3 pattern of slurring in the cello is due to insufficient space between the

the oboe apart from other instruments that play the same or similar melodic material, Schumann foreshadowed the importance this instrument plays in representing the protagonist in the implied narrative of the second movement.

The setting of the introductory is crucial to the first movement as a whole and to the remaining three movements of the Symphony. It creates an atmosphere of mystery, anticipation, and even vagueness. The introduction also sets forth the implied narrative of the Symphony, the events of which unfold in the first movement proper and in the remaining three movements.

B. MOVEMENT TWO

The introductory theme returns twice in the second movement, and each of these appearances possesses narrative implications. For its first return (mm. 12-22), which serves as an interpolation between the first two statements of the Romanze theme, Schumann maintained the same somber atmosphere that he had created at the beginning

---

viola and cello staves. In S2, the beaming and slurring are uniform for all instruments in question, both of which coincide with the notation of the first violin in MS2 (Figure 7.1b). This leaves the differences in the countermelody played by the bassoons, viola, and cello to be the primary means of conflict between instruments in these measures.

Another problem in determining Schumann's intended slurring in MS2 occurs in mm. 16-18. Beginning with the second half of m. 16, problems with sufficient space between the viola and cello staves again caused Schumann to forego writing all the slurs for the cello. Thus, only one slur is notated for the cello, which is intended for the last three eighth notes of m. 16. The nine eighth notes that follow have no slurs, but, due to the legato character of these and the previous measures in which similar melodic figures occur, Schumann surely intended slurring to smoothly connect at least some of the eighth notes. In S2, the slurring for the cello coincides with that of the woodwinds and upper strings.

of the Symphony, one characterized by melancholy if not actual depression. The second return (mm. 26-42) not only constitutes the second large section of the movement, it also features a transformation of the theme. The transformation, cast in a lighter atmosphere due to its rhythmic lilt and florid figuration as well as a modal shift from minor to major, produces a sense of cheerfulness and optimism.

If one considers these two occurrences of the introductory theme with an eye to the Symphony's implied narrative, each represents a state of mind that the protagonist experiences. In the first, she undergoes a recollection of a painful time from the past; that is, the event with which the Symphony opened. The second also is a recollection, but the pain that the protagonist felt earlier in the movement has subsided. Instead of anguish, she now experiences optimism, perhaps in hope of establishing a new relationship, an event that, in fact, takes place in the final section of this movement (mm. 42-53).

Schumann may have had these or similar ideas in mind when he published the Symphony. Comparing MS2 with S2 reveals variants involving beaming and articulation that not only affect the actual performance of these sections of the movement, but also its implied narrative. The changes Schumann made with these orchestrational devices in S2 indicate that he rethought the function of both sections in the context of the narrative of the movement as a whole. Many involve regularization of variants in MS2 that occur among instruments that double each other. Several discrepancies in MS2 show that he wanted particular instruments to function in terms of relationships within each occurrence of the introductory theme. The fewer disparities in S2, when compared with

246

MS2, indicate a more explicit and direct method by which he presented events in the narrative. To demonstrate the evolution in Schumann's thinking, some of the changes he made in S2 will be discussed in detail.

With the first occurrence of the introductory theme in MS2, Schumann anticipated the increasing importance of the oboe in this movement by setting both oboes apart from the other instruments in MS2. He not only created a different part for them in m. 21 by interrupting the course of their melodic and accompanimental lines with two eighth rests, but he also notated a different pattern of slurring. In mm. 20-21, the slurring for both oboes originally encompassed the last three notes of m. 20 plus the downbeat of m. 21. The slur includes only the three notes of m. 20 in S2, thereby excluding the downbeat of m. 21 and making all slurs in that measure identical regardless of instrument.

In addition to distinguishing the oboes in occurrences of the introductory theme, Schumann also used articulation and beaming to differentiate particular instruments that play either a countermelody or an accompaniment, using a method similar to the one he used with the Romanze theme. Of the instruments that support the Romanze theme (either through a countermelody or accompaniment), the bassoons, viola, and second cello have specific roles in the narrative, which are determined not only by their musical content, but also by orchestrational devices, particularly beaming and slurring. In MS2, Schumann continued to use these devices in the introductory theme, presumably for the same purposes, only to reconsider and regularize them later in S2.

247

Early in the first occurrence of the introductory theme, Schumann set apart the viola through a countermelody to the primary theme, and in MS2, he also notated beaming and slurring that differed from the primary theme (Example 7.5). In mm. 13 and 15 of MS2, for example, Schumann beamed together the six eighth notes of the viola, whereas in S2, the beaming is 3+3, coinciding with that of the violins. Schumann also notated patterns of slurring in MS2 for the viola that differed from those of the violins. Beginning with the second half of m. 14, the pattern of slurring for the viola is 3+6+3 in contrast to the 6+6 pattern of slurring in the violins that Schumann customarily used for such figures in the introductory theme. In S2, the slurring for the viola conforms to that of the violins, as does the beaming. The result in S2 is that the melody of the violins and the countermelody of the viola are blended together rather than differentiated through beaming and especially articulation.

Differences in beaming and slurring similar to those in mm. 13-16 of MS2 continue in with the second half of m. 16 for both cello parts. In mm. 16-18 (Example 7.6), the cellos and contrabass have a countermelody that is related to the descending scalar figure in the countermelody for the viola in mm. 13 and 15. In MS2, Schumann differentiated their part from the woodwinds and violins not only through this countermelody but also by writing a pattern of slurring for it that differs from that of the primary melody. That of the low strings is 3+6+3, whereas the 6+6 pattern of slurring continues for the woodwinds and upper strings. In S2, rather than regularizing the beaming and slurring as he had done for the violas in the preceding measures, in mm. 16-

248

18, he maintained the same beaming for the cellos and basses as it appears in MS2 but changed the slurring so that all twelve notes in question are slurred together. That Schumann maintained these discrepancies in mm. 16-18 is significant to the narrative of the movement. Having already hinted that problems exist between the protagonist and her lover in the initial statement of the Romanze theme, the variants that occur in mm. 16-18 foreshadow more difficulties to come, especially since one of the instruments involved is the first cello.

Just as Schumann eliminated many of the differences in orchestrational devices such as beaming and articulation in the first occurrence of the introductory theme, so too did he regularize in S2 many of the disparities that occurred in the transformation. Reasons for his doing so differ, however. Regularization of disparities within MS2 for the first occurrence of the introductory theme stem from Schumann's desire to place emphasis on the recollection of the protagonist rather than to focus on differences among observers represented by other instruments. In the second occurrence of the introductory theme, Schumann regularized variants that are found in MS2 to direct the attention of the auditor to the protagonist's new state of mind.

Part of the protagonist's new state of mind is revealed in the transformation and instrumentation of the introductory theme itself. A transformation of motive y, the motive most closely associated with optimism and happiness, predominates, with figuration that characterizes it being a significant contributing factor. That the theme is played by a solo violin rather than the first oboe, as was the Romanze theme, is equally significant. The

changes from the first oboe to a solo violin signal developments in the narrative, namely

that a new event will take place in the protagonist's relationships.

Articulation in the accompanying instruments, particularly with the use of

staccato, adds to the creation of this new atmosphere. Staccato establishes an element of

lightness, which is a new attribute at this point in the movement. In MS2, Schumann first

added staccato to the last sixteenth note of m. 33 for the viola and cellos, which he

regularized in S2 by adding the same articulation to analogous measure 29. The staccato

in these measures not only add a degree of airiness to this section of the movement, but

this articulation creates a link between these instruments and the solo violin, which also

has staccato on several notes.[3] Significant in this regard, too, is the staccato that

Schumann added to the last eighth notes of m. 37 in S2. This measure is part of a passage

(mm. 35-38) that serves as a transition between phrases of the introductory theme.

Measure 37 especially is similar to mm. 33 and 41, where staccato occur on the final

sixteenth notes. Although the rhythmic values in m. 37 differ from those in mm. 33 and

41, the context is similar: each of these measures immediately precedes a cadence. The

note just prior to the cadence, then, is detached, even played lightly perhaps, so that not

too much weight is given to the cadence. Schumann added staccato in S2 in m. 37,

---

[3]Perhaps for this reason, Schumann also added a staccato for the first eighth note in m. 41 in the second violin in S2. In MS2 and C, there is not staccato. Comparing the figure for the violin in this measure with mm. 29 and 33, the articulation in m. 41 with the staccato most closely matches the portato articulation of these previous measures.

perhaps believing that this articulation on the last eighth note lends the right amount of weight for the atmosphere in this section of the second movement.

C. MOVEMENT THREE

The introductory theme constitutes the thematic material for both trio sections of the third movement, serving several purposes for the implied narrative of the Symphony. When the introductory theme is initially heard in the first trio, it constitutes another recollection of the protagonist, as in the second movement. In the first trio, the theme and its accompaniment also recall issues of the past, particularly those involving conflicts that surfaced among the protagonist, her first love, and the observers. Treatment of the introductory theme and its accompaniment in the second trio especially advances the drama of the Symphony, where at times it provides a feeling of uncertainty, and at others, a sense of resignation.

Unlike the scherzo sections, which differ little from one another, the trio sections vary considerably, even though both are based on the introductory theme. The differences stem from treatment of the thematic and accompanimental material and exist for the narrative reasons outlined above. Treatment of this material involves changes to the thematic and accompanimental material itself, articulation of that material, differences in dynamic indications, and pitch.

The protagonist's voice has been subsumed in the orchestral body through instrumentation in the scherzo sections of this movement, but her voice is not lost completely. Instead of directly hearing her perspective, however, as was the case in the

second movement, the auditors now experience her psychological state. In the first trio, being in a style similar to that of the B section of the second movement, particularly with the figuration of the theme, the introductory theme serves as a fond recollection of the Romanze. This remembrance is the principal reason why the thematic material is presented without interruption or fragmentation, as it is in the second trio, the process and significance of which are discussed below.

Although the serenity of the middle section of the second movement returns in the first trio, subtle reminders of problems that were also part of that movement return as well, primarily through articulation in mm. 105a-e. Schumann used slurring as a means of reintroducing conflicts between the protagonist and her two loves, represented by the cello and the first bassoon respectively, and those of observers from the second movement.

In the third movement, the cello, instead of being part of a relationship with the protagonist, is relegated to the status of an observer. But to retain one last particle of that romance, in mm. 105a-e, Schumann in MS2 wrote a pattern of slurring for the cello that differs from that of other instruments playing the same accompaniment, namely the flutes, clarinets, first bassoon, second violin, and viola, despite the fact that he crossed out all but one of the variant slurrings (Figure 7.2). The remaining variant occurs in m. 105d, where the slur is confined to that measure; those for the woodwinds and upper strings in both MS2 and S2 include the downbeat of m. 105e. Although the slurring in MS2 may be a mistake that Schumann did not correct until the time of S2, the

discrepancies that exist in MS2 indicate he considered the cello separate from the other instruments at one point in the compositional process.

As one other recollection of a relationship the protagonist had in the second movement, Schumann reintroduced the protagonist's second love in MS2 by notating a 3+5 pattern of slurring for the first bassoon in mm. 105a-105e that differs from the slurring in the woodwinds. In S2, Schumann regularized slurring for the bassoon to the eight-note pattern, so that now the bassoon accords with the other woodwinds.

Schumann recalled conflict among some of the original observers of the protagonist's relationships by establishing different patterns of slurring for the woodwinds and upper strings in both MS2 and in S2, an orchestrational technique that was particularly effective for these personae in the second movement. The pattern of slurring for the violins and viola in mm. 105a-105e is 3+2+3, conflicting with the slurring of all eight notes in the flutes and clarinets.

Recollection of events from previous movements is obviously an important element in the implied narrative of the third movement. Equally significant, if not more so, is advancement of the drama. For this, Schumann also used patterns of slurring. In Example 7.7, Schumann, in MS2, did not include the quarter note of the third beat of mm. 80 and 192 in a slur for the first violin that began in the preceding measures as he had in S2. In similar mm. 105g-105h, however, he did include the quarter note as part of the slur in both MS2 and S2. The articulation discrepancy in MS2 may be intentional. Schumann may have wanted a difference in articulation in mm. 105g-105h to match the

change of articulation in similar mm. 110-111, where he used staccato instead of slurs for the eighth notes in these measures. In each case where these pairs of measures occur, they mark the end of a section or subsection in the movement. Schumann may have wanted articulation in mm. 79-80 and in mm. 191-192, which terminate subsections of each trio, to differ somewhat from measures surrounding and from those that mark the end of larger sections (e.g., mm. 105g-105h and mm. 110-111), perhaps as a hint that more changes are forthcoming in the movement. In any event, Schumann regularized the articulation in S2 in mm. 79-80 and in mm. 191-192 to match the slurring in mm. 105g-105h.

In the second trio, where the introductory theme undergoes fragmentation, the happiness that the protagonist experienced in the first trio is now unquestionably dubious. Fragmentation of the introductory theme implies that the protagonist's frame of mind has changed considerably. The process begins in m. 193, where instead of a continuous series of pitches, as in analogous m. 81ff., continuity is disrupted by an eighth rest that occurs on the downbeat of every measure that involves a series of eighth notes (Example 7.8). More disintegration occurs in the final subsection of the movement. Beginning in m. 209, thematic material in the first violin is reduced to one-measure units that alternate with one-measure rests (Example 7.3b). Fragmentation also takes place in the accompaniment, where the countermelody is also broken up by rests. Whether this disintegration of melodic and accompanimental material results from the protagonist's realization that everything is not perfect in her new relationship or that she is moving on from

254

circumstances of the past must await clarification until the last movement of the Symphony.

To advance the drama in the second trio, Schumann not only fragmented the thematic material, as discussed above, he also made changes to dynamics, pitch, and slurring to particular passages that have analogous counterparts in the first trio. In mm. 201-204 in MS2, the only instruments with dynamics are the first oboe and clarinets, whereas in mm. 91-92, which are analogous to mm. 203-204, he included a hairpin *crescendo-decrescendo* sequence for all instruments (Example 7.9). The absence of this dynamic sequence for instruments other than the first oboe and clarinets in mm. 203-204 may contribute to the feeling of disintegration that occurs in these measures. As early as m. 194, Schumann in both MS2 and in S2 began a gradual process of fragmentation in the first violin by replacing the pitch on the downbeat with an eighth rest. He continued this process in the ensuing measures, so that by m. 209, only short fragments of earlier thematic material are heard. The question must be asked whether Schumann was being inconsistent in MS2, or if he intended extramusical implications with the absence of dynamics for these particular instruments in mm. 201-204. Certainly, the gradual fragmentation of the transformed introductory theme portrays despondency on the part of the protagonist. The hope heard in the scherzo sections of this movement has diminished, and in MS2, Schumann may have decided to use dynamics as another means to portray that despondency. In S2, Schumann reconsidered the effect the absence of dynamics had in mm. 201-204 – perhaps because of problems with balance – and regularized them so

that all relevant instruments have the *crescendo-decrescendo* sequence he provided for the oboe and clarinets in MS2.

Schumann used pitch as a means of recalling events from the second movement. Originally in MS2, Schumann notated double stops for the second violin on both the first and third beats of m. 213 (Example 7.10).[4] The double stops recall those of the second movement, where they were part of the accompaniment to the Romanze theme. This may be why he included them in m. 213: to suggest one last faint recollection of an earlier time. Schumann reconsidered them in S2 perhaps for performance reasons. The double stops in this measure interrupt the descending scale that began in m. 209. They also may have produced too much sound, contradicting Schumann's indication beginning in m. 209 that all instruments should gradually soften ("immer schwächer und schwächer"). In S2, then, he omitted the top notes of the double stops as he had in mm. 214-215 of MS2.

At the end of the second trio in MS2, Schumann continued the conflict between various instruments through different patterns of slurring (Example 7.11). In mm. 217-220, he notated different patterns of slurring for the members of the woodwind family. The flutes and oboes in mm. 217-220 had a 3+3 pattern of slurring, whereas all notes in these measures were slurred together for the clarinets. The bassoons in mm. 218-220 had a 2+4 pattern. Slurring for all instruments but the oboes (which maintain the 2+3 pattern from MS2) was regularized in S2 as the six-note pattern. Schumann may have chosen

---

[4]He also notated double stops in mm. 214-215 but later crossed out the top note of each. He did not cross out the top notes in m. 213, however.

originally to notate different patterns of slurring as one last reminder of the differing

views proposed earlier by various observers. When Schumann changed the focus of the

trio sections, he may, then, have thought such variants counterproductive to the goal of

the second trio especially and opted to regularize the slurring for all woodwinds but the

oboes, as if to provide one last opportunity in this Symphony to express their voice.

Perhaps for the sake of consensus, too, as well as for performance considerations,

Schumann changed the slurring in the final measures of the movement for the cello. In

both MS2 and in S2, Schumann notated two slurs for these measures, but the measures to

which each applied differed (Example 7.12). In MS2, the first slur for the cello

encompassed mm. 225-230; the second included mm. 231-232.[5] Those for the clarinets,

bassoons, and viola were for mm. 225-229 and mm. 230 (with the anacrusis in m. 229)-

232. The slur for the cello is unduly long when tempo is considered, which may be one

reason why Schumann regularized the slurring in S2 to four-measure units. Another

reason may be due to narrative implications. For melodic ideas similar to that of mm.

225-232 that occurred earlier in the trios, two significant elements were involved in their

articulation. In mm. 65-68, for example, four-measure slurring is used for the

woodwinds, but a different pattern of slurring, one that features one-measure slurring,

was used for the second violin and viola. This application of slurring continued

throughout the movement, as in mm. 81-84 and in mm. 97-100 of S2, so that a constant

---

[5]In MS2, Schumann crossed through the slur in m. 229 that perhaps indicated he
wanted a break in slurring at this point.

conflict in articulation occurred between certain members of the woodwind and string families. With regularization of slurring at the end of the movement, this conflict has subsided. Now rather than arguing, the personae represented by these instruments are consolidated, as if to lend support and encouragement to the protagonist's apparent despondency. Furthermore, the persona represented by the cello is no longer distinctive as it was in MS2.

A glimmer of hope in addition to the consensus of most instruments at the end of the second trio is found in Schumann's use of articulation in the final measures of the third movement. He added a staccato for the oboes in m. 209 that he did not originally include in MS2. The staccato matches the articulation for the woodwinds and horns in F on the third beat of m. 224, a measure similar to m. 209, and on the downbeat of m. 225. The staccato in these measures, with its inherent lightness, may suggest a flash of hope for the protagonist's future, and Schumann may have added a staccato for the oboes in m. 209 to strengthen that feeling.

D. MOVEMENT FOUR

The introductory theme in the fourth movement occurs in the coda, where it undergoes its final transformation. Here Schumann used only motive y, the descending scalar figure initially heard in m. 18 of the first movement, where it also had its earliest association with hope and happiness. In the final measures of the Symphony, this motive is transformed into an ascending figure with occasional turns of direction that give the transformation its own identity. Identity, in fact, is of crucial importance in this

movement. Now the character of the introductory theme, through various musical devices such as rhythm, tempo, dynamics, and texture, has been completely transformed from its original setting of melancholy and darkness into one of genuine jubilation. There is still some element of conflict in the coda of this final movement, but those conflicts are resolved through several of the orchestrational devices Schumann had used throughout the Symphony to introduce conflict. Some of these devices undergo transformation in meaning, so that a powerful drive to the final cadence of the Symphony is achieved.

The coda of the fourth movement is divided into two subsections. In the first (mm. 188-210), motive y is heard simultaneously ascending and descending (mm. 188-195). Following it are a jubilant triadic figure (mm. 196-203) and ominous, dissonant chords that introduced the development of the first movement. The second subsection (mm. 211-236) features a tempo change to presto and a striking change in texture. This subsection uses the introductory theme as the subject (mm. 211-226) of a passage in imitative counterpoint. Following these contrapuntal measures, which foster momentum to the end of the movement, is the triadic figure from the first subsection. The Symphony concludes with homorhythmic articulation of triads, similar to those heard at the end of the second movement, but now transformed from a select group of instruments playing them softly to the entire orchestra playing them loudly. One other difference occurs between the endings of the second and fourth movements: the uncertainty at the end of the second movement, achieved through dominant triads, is now alleviated at the end of the Symphony, where tonic, major triads are heard with definite force.

In the coda of this movement, Schumann used instrumentation to define certain

relationships between instruments involved in the implied narrative. When MS2 and S2

are compared, changes that take place within certain instruments suggest that Schumann

rethought the relationships between particular instruments. For example, Schumann

reinterpreted the role of the bassoons in mm. 192-194 in S2 (Example 7.13). In MS2, the

bassoons were affiliated with the cello and contrabass, so much so that Schumann simply

noted in the manuscript with "c. B." that the bassoons were to double the low strings. In

S2, however, the bassoons still play the same pitches as those of the low strings, but their

rhythm and articulation match those of the clarinets, horns in D, trumpets, and timpani.

Through these devices, Schumann pitted one group of instruments against another,

namely winds versus strings, yet joined them through shared pitches. True reconciliation

among these groups must await the subsequent and final subsection of the Symphony.

The same is true of the first beat of m. 223, where, in MS2, the bassoons double the low

strings. In S2, the bassoons share the same rhythm as that of the other woodwinds and

brass.

A reinterpretation that affects relationships among instruments occurs in

mm. 204-205 (Example 7.14). The rhythm of the low strings in these measures originally

matched that of the woodwinds, brass, and timpani, being that of two tied whole notes.

Schumann rethought the affect of the role of the cello and contrabass in S2, where they

play eighth notes throughout, creating a similar agitated effect the upper strings achieve

through their sextuplets. By changing the rhythm of the low strings, Schumann

accomplished two things: he created a more intense role for these instruments that differs from the sustaining rhythm of the winds, and he, by means of that role, effected a close affiliation between the upper and lower strings through their respective rhythms.

To achieve a more powerful drive to the final cadence in S2, Schumann made rhythmic and articulation changes to the timpani in m. 227 (Example 7.15). In MS2, Schumann notated the timpani as two tied half notes that are rolled throughout the measure, so that the timpani shares the same rhythmic figure with all the other instruments (except the trombones, which have a quarter-note-quarter-rest scheme throughout this measure). In S2, he notated a whole note. Whether the variant notation makes any difference in the resulting sound in this passage is debatable, but the notation has a psychological effect on the player's interpretation of this measure. In the published sources, the timpanist rolls the whole note through the end of the measure, creating a continuous sound throughout and helping to push the music into the following measures. With the notation in MS2, the timpanist would probably break up the roll in order to articulate the beginning of the second half note. The drive that is inherent in the notation in S2 is delayed in MS2 until the final five measures of the Symphony, where the vast majority of instruments have tied whole notes that, with the roll of the timpani and the repeated eighth notes in the viola, cello, and contrabass, facilitate a push forward to the final three measures of the Symphony.

III. THE INTRODUCTORY THEME IN C AND D

Changes to the introductory theme introduced by Clara and Dörffel reflect their concern about practical performance issues rather than consideration of an implied narrative. Their editorial decisions involving dynamic placement, articulation, and beaming, therefore, were made solely in the context of how each editor perceived relationships among instruments and families of instruments as part of actual performance of the Symphony.

Differences among the sources in dynamic placement in m. 13 of the first movement provides as an example of how each editor viewed relationships between instruments of the orchestra. Placement of the *crescendo* in this measure differs between MS2, S2, C, and D (Figure 7.3). In MS2, for example, placement consists of three tiers: the first for the timpani, flutes and horns in D; the second for the remaining woodwinds, first violin, cello, and contrabass; and the third for the trumpets, second violin, and viola. There are four layers in S2, with the flutes being the first to execute their *crescendo*, followed by the remaining woodwinds. The strings comprise the third tier (with the *crescendo* for the first violin being offset slightly), and the fourth consists of horns, trumpets, and timpani. With C, alignment is determined by families of instruments, with those belonging to the woodwind family playing their dynamic first, followed by the strings, and lastly the brass and timpani together. The alignment in D is relatively uniform; the slight differences that do occur are probably due to typesetting than to an intended offsetting on the editor's part.

262

Whether Schumann used dynamic placement in this measure as part of the implied narrative is unclear, because in both MS2 and S2, the groups of instruments Schumann established in the tiers are difficult to explain in relationship to the narrative. The placement in C and D clearly do not have narrative implications. The grouping in C reflects practical relationships between families of instruments, and Dörffel's more-or-less alignment of the dynamic for all instruments suggests he regarded the orchestra as a unified entity, without differentiation between families.

That Clara and Dörffel did not consider implications of the narrative in the first, third, and fourth movements of the Symphony is not surprising, considering each of these movements is headed by either a tempo indication or the name of a genre. These designations suggest absolute music, even though Schumann incorporated an implied narrative through the use of certain orchestrational devices in each movement of the Symphony. What is surprising is that the editorial decisions Clara and Dörffel made in the second movement, the *Romanze*, continue their predominant concern for practical performance rather than for literary elements that are part of this genre.

Throughout the second movement, Schumann used various orchestrational devices to identify the first oboe as the protagonist. His treatment of the elision from the end of the introductory theme and the first return of the Romanze theme in m. 22 serves as an excellent example. Of the two instruments that play the primary melody, the first oboe makes a clearer distinction than the cello between the two themes through beaming and slurring: for the oboe, the last notes of the introductory theme are beamed and slurred

together so that a new pattern can begin for the return of the Romanze theme. Beaming and slurring for the other instruments, including the first cello, is 3+3, making the elision between subsections in these instruments prominent (Example 7.16a).

Although Dörffel retained the slurring for the first oboe, he regularized the beaming. Now all instruments, including the oboe, have a 3+1 pattern of beaming (Example 7.16b). Through his regularization, Dörffel eliminated one of the devices that Schumann used to distinguish the role of the protagonist in this very crucial measure of the movement.

In the same measure, Schumann also used beaming and slurring to differentiate the viola, which represents a member of one group of observers, from the other instruments. The pattern of beaming for the first three eighth notes in m. 22 of MS2 is 2+1 instead of the usual three, but all three notes are slurred together as they are in the other instruments. In S2, Schumann beamed the three eighth notes together but changed the articulation for the top viola. Now only the first two eighth notes are slurred and the last is played staccato. Clara adopted the two-note pattern of slurring but left out the staccato. Dörffel's edition corresponds to S2.

Several questions must be asked about the meaning behind the differences in these sources. Schumann apparently intended the viola to play a role distinct from that of the other instruments, perhaps recalling the individual role it played in the tag of the Romanze theme. In MS2, the difference is subtle and would probably go unnoticed by the listener of the Symphony, particularly since the break in beaming is overshadowed by

264

the slur that joins the three notes. The articulation for the top viola part in S2 and D is more difficult to assess, particularly with the discrepancy in articulation between the top and bottom viola parts. In other measures where the violas are divisi, such variants do not occur. The only plausible explanation (other than regarding the articulation for the top part as an error, which Clara apparently did in considering the staccato and chose to leave it out) is extramusical. Perhaps Schumann wanted to introduce subtle conflict, by notating a difference in articulation within an instrument itself rather than simply using an instrument as a complete unit as an agent of conflict as he had done with beaming for both viola parts in m. 12, for example. Whether Dörffel's reason for writing articulation that corresponds to S2 bears the same narrative implications is, of course, unknown. Nevertheless, the staccato seems strange in the legato context of this passage, which may be another reason why Clara omitted it in her edition.

IV. THE INTRODUCTORY THEME IN B

In each of the four movements, Bargiel notated several different types of articulation, bowings, expressive indications, and dynamics. Several of these change certain aspects of the narrative, ranging from altering the general atmosphere of a passage or section within a movement to redefining relationships among personae represented by specific instruments.

A. MOVEMENT ONE

Changes to Schumann's slurring in the introduction to the Symphony is but one example of how relationships between instruments are redefined and how the atmosphere

of a passage within a larger section of a movement is changed. In mm. 12-14 of S2, all woodwind and string instruments playing either the introductory theme or a homorhythmic countermelody share the same pattern of slurring, suggesting an amicable relationship between these families of instruments. The uniform slurring also contributes to the establishment of the somber mood in the opening measures of the Symphony.

Bargiel indicated that slurring for the strings differed from what Schumann wrote (Example 7.17). His notations for the violins at first continue the six-note pattern of slurring from prior measures, such as mm. 1-3 and mm. 5-12, but then show a change to a three-note pattern that was already begun by the viola and cellos in m. 12. The three-note pattern of slurring continues until the climax is reached in m. 18.

Presumably, the changes in articulation as Bargiel presented them show a concern for maintaining intensity in these measures, so that the climax of the introduction in m. 18 is reached with sufficient volume. Particularly at issue are mm. 12-14, where the strings originally were required to slur twelve notes in one bowstroke while increasing volume. The changes in bowing, which are prompted by the separation of the Schumann's one slur into several shorter ones, facilitates the increased sound. This theory is supported by Bargiel's omission of portato for all the strings in the climax of m. 18, as this type of articulation may have proved to be ineffectual for orchestras of his time for the intensity this measure required.

Nevertheless, the changes in articulation that Bargiel notated create tension between members of the woodwind and string families, a kind of tension that Schumann

had considered in MS2 but later purged in S2. Bargiel's notations also affect how the climax of the introduction is reached. Instead of the instruments building toward the climax together as a sonorous unit, now the strings essentially acquire more volume through changes in bowing due to the slurring scheme Bargiel noted, which could possibly create an imbalance between the two families.

B. MOVEMENT TWO

Several of Bargiel's indications in the second movement change its atmosphere and the relationship between personae represented by specific instruments, particularly in the first occurrence of the introductory theme in this movement. In mm. 16-18, Schumann used thematic material and patterns of slurring to ally two groups of instruments. The upper woodwinds and violins play the introductory theme, while the cellos and contrabass play a homorhythmic countertheme. In S2, patterns of slurring for these two themes differ (Example 7.18a). For the twelve eighth notes involved, those for the introductory theme are set in a pattern of 6+6; all twelve for the countertheme are slurred together.[6]

The relationship between the introductory theme and countertheme seems to have been at least partially obliterated in performances during Bargiel's time. To ensure sufficient audibility of the cellos, Bargiel notated slurring for the twelve eighth notes in a pattern of 6+6, the same pattern Schumann wrote for the woodwinds and violins in S2. Bargiel also added an *espressivo* indication for both cello parts, which suggests their

---

[6]In MS2, the pattern of slurring for the countertheme is 3+6+3.

utterance of the countermelody should supersede that of the contrabass (Example 7.18b), thereby introducing an element of conflict that Schumann had never suggested in either source.

C. MOVEMENT THREE

Both trios of the third movement offer striking contrast to the Scherzo sections. Thematic contrast is one of the most obvious ways by which Schumann accomplished this. Another is through dynamics. Each scherzo ends *forte*, whereas each trio begins *piano*. These thematic and dynamic contrasts are necessary to relay the implied narrative to the auditors.

The fond recollection of an earlier time in the *Romanze* that the protagonist experiences in the first trio calls for a gentle setting, which is achieved through soft dynamics and legato articulation throughout. In S2, Schumann indicated no dynamic level louder than *piano*, other than an occasional *crescendo* that provides expressive nuances to specific figures within a thematic idea.[7] The sharp contrast between the end of the preceding scherzo section and the beginning of the trio facilitates the shift within the movement from current events, as they are revealed in the scherzo, to the protagonist's sudden memory of a former relationship.

When the first trio begins in m. 65, apparently some interpreters believed the contrast in dynamics between the end of the first scherzo and the beginning of the trio

---

[7]Examples include hairpin *crescendo-decrescendo* sequences for the beginning of phrases, as in mm. 65-66, 73-74, 81-82, and 85-86. Other sequences, such as those in mm. 91-92 and 106-108 support the tension and relaxation within a phrase.

was too strong. Bargiel indicated that the *piano* Schumann had written in m. 65 for the cello was replaced by a *mezzo-forte*. Thereafter, in m. 67, the cello assumed a *pianissimo* dynamic level.[8]

The soft dynamics and legato articulation that permeate the first trio provide a feeling of serenity. That sense is interrupted, however, in mm. 69 and 70, with hairpin accents played by the woodwinds that Bargiel notated on the downbeat of each of these measures.[9] The accents prove too powerful when the harmony of this passage is considered. Each measure begins with a subdominant triad, which is actually acting like a Neapolitan harmony to D-major and D-minor chords respectively. The harmony, then, provides the expressive nuance that the hairpin accents can also produce, but the two together in this trio provide an uncharacteristic disruption of its sound and mood.

In the final measures of the second trio, Bargiel notated similar expressive indications, most of which involve dynamics. He indicated a *pianissimo* for the flutes, oboes, and clarinets in m. 217 and the same dynamic for the bassoons and horns in F in m. 218 (Example 7.19). Although a soft dynamic level is appropriate at this point of the movement, several curiosities in his notation exist in these concluding measures. He

---

[8]Bargiel did not notate a *mezzo-forte* for the cello in analogous m. 177, but he did indicate a *pianissimo* for both the cello and contrabass in m. 179, the measure analogous to m. 67. In addition, to these *pianissimo* dynamics, he notated the same dynamic for the cello and contrabass in mm. 93 and 187. He did not include this dynamic, however, in mm. 75 and 205, measures that are analogous to 187 and 93 respectively.

[9]These accents appear in analogous mm. 181-182 and 190-191. Similar accents for the flutes, clarinets, and bassoons occur in mm. 84 and its analogous m. 196.

notated a hairpin *crescendo-decrescendo* dynamic sequence for the flute but not for the other woodwinds. For the clarinets in m. 217, he noted a *piano* dynamic level followed by an *espressivo* indication. A *pianissimo* dynamic is played by the clarinets, but not until m. 221.

The differences with dynamic and expressive indications suggest that the woodwind instruments in mm. 217-221 were not thought of as a unit as they were in previous measures. Indeed, disparities such as this in Bargiel's notations of the trios begin in m. 217. The only plausible reason for these variants relate to performance issues.[10] Perhaps these indications were the most effective means of producing the correct balance for both dynamics and expression with the orchestra of Bargiel's time.

Bargiel's notation in the second trio obviously changed the narrative. In this trio, the protagonist's state of mind changes. No longer recalling events of the past, she now faces uncertainties of the future. In S2, the orchestra as a unit voices this uncertainty, leaving the questioning itself in the fragmentation of the thematic and motivic material. Thus, singling out specific instruments at this point in the trio detract attention from the issue at hand: the insecurity the protagonist feels about the future.

D. MOVEMENT FOUR

Bargiel notated several bowstrokes and dynamics that provide information how certain parts of the coda were performed. Among the many bowstrokes Bargiel included

---

[10]Throughout the Symphony, Bargiel's notations seem to pertain solely to performance issues without any extramusical implications.

in the final measures of the Symphony, several highlight syncopated rhythms that occur throughout the coda. From the onset of the coda in m. 188, he noted downbows on the first afterbeat for all the strings except the violas. He ensured that other afterbeats were give sufficient strength in melodic lines by notating a downbow on the syncopated rhythm of the first violin in m. 192. He also noted that volume was of essence in certain accompanimental passages, most notably in mm. 196-200, where nearly every quarter note in the viola and cello staves are provided with downbow symbols. Power is particularly important in the final measures of the movement. For both violin parts of mm. 232 and 233, he indicated the tie connecting the whole notes in these measures was broken by a downbow and an upbow respectively (Example 7.20).

Sufficient power and volume are also achieved through dynamics. In mm. 204 and 208 of the timpani, Bargiel added another *forte* to the existing *fortissimo*, making a *fff*, which is uncharacteristic of dynamics of Schumann's time. Bargiel's notation here clearly reflects practices of his time, one of which is increased dynamics range to accommodate the size of the orchestra.

Although Bargiel's indications of bowstrokes and dynamics ensure a commanding ending to the Symphony, they have the potential of altering the narrative. In the coda, Schuman treated the instruments as a unit that collectively expressed the jubilant atmosphere with which the movement ends. Several, such as the downbows for the syncopated rhythms and the *fff* for the timpani, may draw too much attention to specific instruments, altering the sound mass that Schumann desired for the end of the Symphony.

271

V. The Introductory Theme in M

In each of the movements, Mahler changed instrumentation, dynamics, and rhythm that altered the sound Schumann was attempting to achieve. Some of these changes dramatically change the effect of a passage or section within a movement and the implied narrative of the Symphony.

A. MOVEMENT ONE

The changes Mahler made to instrumentation, rhythm, and dynamics in the first two phrases of the introductory theme (mm. 1-10) and in the transition to the first movement proper (mm. 22-28) alter Schumann's intention. Whereas Schumann created a sound mass that obscures clarity of the introductory theme, Mahler's emendations clarify the audibility of the theme. Although this clarification reflects Mahler's aesthetics, it destroys the ethereal atmosphere that Schumann had effectively established.

Schumann obviously wanted to create a vague beginning for this Symphony. In S2, the introductory theme is first heard in a middle register, where it is played by bassoons, second violin, and viola. Accompanying it are sustained pitches in registers above (flutes, oboes, first violin) and below (timpani, cello, contrabass) as well as in the middle register (horns in D). The theme gradually emerges from a mass of sound with additional instruments (clarinets in m. 5ff, oboes, first violin, and cello in m. 10ff.) and by increases in dynamic levels (m. 10). As more instruments play the theme, fewer instruments accompany with sustaining pitches, so that by m. 13, the theme is clearly

heard, and the sustained pitches have completely given way to a setting in which clarity is achieved.

Through changes to instrumentation, rhythm, and dynamics, Mahler achieved prematurely clarity at the beginning of the movement. Apparently believing that the introductory theme was obscured, Mahler thinned out the sound by omitting some of the accompanying instruments, such as the oboes and horns in D in mm. 1-7 (Figure 7.4).[11] His rhythmic changes add to the clarity. He changed the downbeat of m. 1 for the bassoons, second violin, and viola from a dotted quarter note to a quarter note followed by an eighth rest. The break in sound that this rhythmic change causes is remedied by another change in rhythm in m. 1 that affects the horns in F and trumpets. Mahler extended their original quarter note by tying it to an eighth note that he added. The changes Mahler made to these brass instruments create a smooth transition from the sustained notes, with which the Symphony begins, to the introductory theme, which starts within the course of the first full measure, but they obviously change the timbre. Finally, Mahler made changes to dynamics in the accompaniment that, with his orchestra, may have overpowered the introductory theme. In m. 5, Mahler changed the original *subito forte* to *forte-piano* for the flutes, oboes, horns, trumpets, cello, and contrabass.

---

[11]The oboes are omitted with two different writing utensils. Beginning with m. 1 to the downbeat of m. 4, Mahler used red pencil. Continuing with the second beat of m. 4 to the downbeat of m. 5, he used red ink. The dotted half note and half note in mm. 6-7 are omitted with red pencil. The horns in D are omitted with blue pencil.

Changes that Mahler made to the first transformation of the introductory theme in mm. 22-28 alter its sound and the relationships between instruments (Figure 7.5). In mm. 23-27, the second violins and violas originally participated in the accompaniment with the woodwinds, horns in D, trumpets, and timpani, creating a blended sound of woodwinds, brass, and strings. That blend is broken down through Mahler's omission of the strings. On the other hand, Mahler's reinforcement of the primary melody, which creates a blended sound, changes passages where Schumann explored the color of one instrument. In mm. 26-28, Mahler had the second violins play the primary melody, thereby reinforcing the first violins, which originally were the only instruments that played the melody. Mahler also reinforced the primary melody in m. 28 by having the cello double the upper strings.

Mahler's changes to the accompaniment alter the character of the measures in which the first transformation occurs. By changing the rhythm in mm. 24-26 from a dotted-eighth-rest-sixteenth-note figure that begins each of these measures to one marked by a double dotted-eighth rest followed by a thirty-second note, a higher level of agitation results than what Schumann originally instituted. Additional agitation is achieved through the addition of *crescendos* in mm. 26 and 27 that reach *forte* in m. 28, resulting in an augmented anticipation of the beginning of the first movement proper.

B. MOVEMENT TWO

Most of Mahler's changes to the introductory theme in the second movement involve dynamics. His dynamic emendations in mm. 16-18, for example, alter

Schumann's compositional practice and change the effect of the phrase. In m. 16, Mahler added a *forte* to the strings, in contrast to the *mezzo-forte* Schumann had notated for the woodwinds. Two measures later, he introduced a new set of dynamics that contrast with the *forte* he added in m. 16. In the second half of m. 18, Mahler reduced the dynamic level for instruments playing the primary melody to *mezzo-forte*. In addition, those instruments accompanying are to do so *piano* (Figure 7.6).

Schumann did not usually indicated two dynamic levels simultaneously, because contrasting dynamics destroy the homogeneous sound he was trying to achieve. That homogeneous sound can also intensify the sound of a particular passage. In mm. 16-19, for example, the woodwinds, horns in D, and strings together drive toward the *crescendo* that occurs in m. 20. Mahler's reduction in volume for strings playing the theme from *forte* in m. 16 to *mezzo-forte* in m. 18 weakens that drive, as does the *piano* in m. 18.

Later in the first occurrence of the introductory theme, Mahler again changed the effect of a dynamic that Schumann had notated. On the downbeat of m. 22, Schumann wrote a *diminuendo* for all instruments (Figure 7.7). Mahler changed its placement for the strings so that now the dynamic begins in m. 21 instead. The displacement creates two problems: the woodwinds and strings no longer function as a unit as they had in previous measures of the introductory theme; and the intensity that Schumann created in mm. 20- 21 by placing the dynamic in m. 22 is alleviated too quickly with Mahler's location. A plausible reason for Mahler's change in position is that he may have thought

the original dynamic was too near the return of the Romanze theme, which begins with the third beat of m. 22.

Mahler's changes to dynamics also alter the character of the second occurrence of the introductory theme. The character of the introductory theme, which has become changed pleasing and light, reflects the tranquil state of mind the protagonist experiences at this point in the Symphony. Although the *pianississimo* that Mahler added to the strings that accompany the *pianissimo* he added to the solo violin reflects the refinement of this section of the movement, it is not appropriate to Schumann's time. Such dynamics were not necessary until the latter part of the nineteenth century, when composers such as Piotr Ilyich Tchaikovsky and Richard Strauss used them for the large orchestra of their time.

C. MOVEMENT THREE

Schumann established no substantial differences between the first sections of each trio so that gradual changes to various aspects of the thematic and accompanimental material take place in the second and especially third sections. Yet, Mahler introduced changes in the first sections of both trios that are inconsistent and that alter Schumann's intention. In addition, some of Mahler's emendations weaken the effect of disintegration in the last section of the second trio.

Despite Schumann's consistency in the orchestration of the first section of both trios, Mahler introduced changes in both that are inconsistent, thereby altering Schumann's intention. For example, he was inconsistent about the dynamics he

276

introduced. When the second trio begins in m. 177, Mahler changed Schumann's *piano* for the cello and contrabass to a *forte*, but he left the original *piano* in m. 65 untouched. Reasons for the *forte* in m. 177 are unclear.

Similar problems occur with emendations he made to rhythm. In m. 182 (Figure 7.8), for example, Mahler changed the rhythm of the cello and contrabass from a half note to a quarter note and quarter rest, which creates an effect similar to those made by the breath marks he added for comparable rhythmic figures in mm. 77-79. He did not, however, make the same change to analogous m. 70.

Mahler's changes to Schumann's instrumentation also prove inconsistent. He crossed out the second horn in F part in mm. 101-104 as he did the clarinets in mm. 65-80. Despite Mahler's attempt to "thin out" Schumann's instrumentation, his actions in doing so are questionable. The clarinets especially have a special role in the trio, being in alliance with the other woodwinds. By striking the clarinets, Mahler created an inappropriate connection – in regard to the narrative – with the oboes, which are silent throughout much of the trio sections. Furthermore, Mahler's omission of the clarinets in the first trio proves inconsistent because he did not cut the clarinets in analogous measures 177-192.

In addition to altering the consistency that Schumann instituted in the first section of each trio, Mahler also changed the affect of the disintegration that occurs in the last section of the second trio. When disintegration of thematic material begins in m. 193, Schumann introduced *pizzicato* for the cello and contrabass. At the beginning of each trio

(mm. 65, 177) and at beginning of certain phrases (mm. 73, 185), however, Mahler incorporated *pizzicato-arco* alterations for the cellos and contrabasses. *Pizzicato* adds to the feeling of disintegration because the sound fades sooner than it would with *arco*. By introducing *pizzicato* earlier in the movement, Mahler weakened its affect in the final section.

Mahler introduced one other significant change in the closing measures of this movement. In m. 221, he added an *a tempo* indication in pencil that defies explanation. The addition of this tempo change occurs while a *ritardando* that Schumann indicated (*etwas zurückhaltend*) in mm. 218-225 takes place. Reasons why Mahler believed a return to the original tempo at this point in the movement are unknown. Surely, he understood that Schumann intended a gradual slowing to the end of the movement that compliments the fragmentation of the musical material itself. The return to the original tempo here anticipates prematurely the optimism with which this Symphony concludes.

Had Mahler introduced his emendations to advance a narrative interpretation of the Symphony, new insight into Schumann's approach to this work would have been achieved. But Mahler's changes reflect performance issues only. His changes to the instrumentation and his additional *pizzicati* lighten the sound. They also introduce incongruities between analogous sections that Schumann had not intended. Finally, his changes, particularly his use of *pizzicato* and tempo indications, weaken the feeling of disintegration with which the movement ends.

D. MOVEMENT FOUR

Mahler's changes to dynamics and instrumentation alter the means by which

Schumann achieved a dynamic ending to this Symphony. That Schumann wanted an

assertive, forceful climax is indicated by the *immer forte* for each imitative entry of the

primary theme beginning in m. 211. Mahler altered Schumann's effect by replacing the

immer forte indications with a gradation of dynamics (Figure 7.9). Each of the imitative

entries that occurs in the course of mm. 211-218 is assigned a dynamic level, beginning

with *piano* in m. 211 and ending with *forte* in m. 217,[12] with each followed by a

crescendo.[13]

Other changes to dynamics alter the homogenous sound that Schumann cultivated

throughout much of the Symphony, particularly the outer movements. In m. 228, Mahler

had the brass reduce their dynamic level from *forte* to *mezzo-forte*, presumably to bring

out the primary melody played by the flutes, oboes, clarinets, and violins. Mahler also

changed the sound of the primary melody by having the second oboe play one octave

---

[12]The exact sequence of dynamics is: *piano*, *mezzo-forte*, *mezzo-forte*, *forte*. That
Mahler did not indicate that the second entry in m. 213 should be played *mezzo-piano*
instead of *mezzo-forte* is curious, particularly because the last two dynamics in mm. 215
and 217 are graduated, consisting of *mezzo-forte* and *forte* respectively. The use of
mezzo-piano in m. 213 rather than *mezzo-forte* would have created a well-balanced
graduated continuum in increased volume from *piano* to *forte*.

[13]Like the peculiar *mezzo-forte* in m. 213, the placement of the *fortissimo* for the
strings and woodwinds in mm. 219 and 220 is also curious. Reasons why Mahler wanted
to diminish the effect of a tutti *fortissimo* by having the strings and woodwinds reach that
dynamic level at different points is unknown. Of the two placements, the one in m. 219 is
more appropriate because it coincides with the beginning of another statement of the
subject.

279

lower than the first and the first clarinet play one octave higher than the second. Concern for audibility of the primary melody is found in the measures immediately following. Originally in mm. 231 and 232, the bassoons, bass trombones, and viola were the only instruments playing the primary melody. Mahler rewrote the horn parts and cello in these measures so that they, too, double the melody (Figure 7.10).

In addition to strengthening the melody in mm. 231 and 232 through his rewriting of the horn and cello parts, Mahler also brightened the sound. Originally played in a low register, now the primary melody is played in the upper register by horns, which can produce the bright sound heard in mm. 228-229, where the high woodwinds and violins play the same melodic idea. That Mahler was concerned about achieving a bright sound is also seen in two changes of register that he had made. In mm. 224-226 and in mm. 228-229, Mahler indicated that the second violins should play their parts one octave higher, resulting in a doubling with the first violins and an inherently brighter sound.

The changes that Mahler introduced in the final subsection of the Symphony alter the excitement and fervor that Schumann achieved at the conclusion of this work. The dynamic changes in m. 211ff. especially contradict Schumann's original indication of *immer forte*, and Mahler's reworking of the dynamics here and later in the final measures, namely mm. 228-236, alter the homogeneous sound that Schumann cultivated throughout the Symphony.

Example 7.1. Motives in the Introductory Theme, First Movement

Example 7.1a. Motive x, mm. 1-4

Example 7.1b. Motive y, mm. 10-14

Example 7.2. Transformation of the Introductory Theme in the Second Movement, mm.
26-30

Example 7.3. Transformations of the Introductory Theme in the Third Movement

Example 7.3a. First Trio, mm. 65-73

Example 7.3b. Second Trio, mm. 193-196 and mm. 209-216

Example 7.4. Transformation of the Introductory Theme in the Fourth Movement,
   mm. 188-196

Figure 7.1. Patterns of Beaming and Slurring, First Movement, mm. 12-14

Figure 7.1a. MS2   Figure 7.1b. S2

Example 7.5. Patterns of Beaming and Slurring, Second Movement, mm. 13-15

Example 7.5a. MS2

Example 7.5b. S2

Example 7.6. Patterns of Beaming and Slurring, Second Movement, mm. 16-18

Example 7.6a. MS2

Example 7.6b. S2

Figure 7.2. Patterns of Slurring for the Woodwinds and Strings, Third Movement, mm.
105a-e

Figure 7.2a. MS2

Figure 7.2b. S2

Example 7.7. Patterns of Slurring, Third Movement, mm. 79-80

Example 7.7a. MS2

Example 7.7b. S2

Example 7.8. Comparison of the Introductory Theme, Third Movement, mm. 81-82 and
    mm. 193-194 (S2)

Example 7.9. Comparison of Dynamics for the Introductory Theme, Third Movement,
mm. 89-92 and mm. 201-204 (MS2)

Example 7.9a. Mm. 89-92

Example 7.9b. Mm. 201-204

Example 7.10. Second Violin Part, Third Movement, mm. 209-215

Example 7.10a. MS2

immer schwächer und schwächer

Example 7.10b. S2

immer schwächer und schwächer

Example 7.11. Patterns of Slurring for Woodwinds, Third Movement, mm. 217-220

Example 7.11a. MS2

Example 7.11b. S2

Example 7.12. Patterns of Slurring for the Cello, Third Movement, mm. 225-232

Example 7.12a. MS2

Example 7.12b. S2

Example 7.13. Comparison of the Role of the Bassoons between MS2 and S2, Fourth
   Movement, mm. 192-194

Example 7.13a. MS2

Example 7.13b. S2

Example 7.14. Comparison of Rhythm between Low Strings and Woodwinds, Brass, and
Timpani, Fourth Movement, mm. 204-205

Example 7.14a. MS2

Example 7.14b. S2

Example 7.15. Comparison of Rhythm for the Timpani, Fourth Movement, m. 227

Example 7.15a. MS2   Example 7.15b. S2
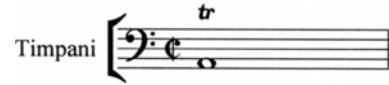
Figure 7.3. Dynamic Placement, First Movement, m. 13

Figure 7.3a. MS2   Figure 7.3b. S2

Figure 7.3c. C

Figure 7.3d. D

Example 7.16. Patterns of Beaming and Slurring, Second Movement, m. 22

Example 7.16a. MS2   Example 7.16b. D

Example 7.16c. S2   Example 7.16d. C

Example 7.17. Patterns of Beaming and Slurring Notated by Bargiel, First Movement,
mm. 12-14

Example 7.18. Patterns of Beaming and Slurring, Second Movement, mm. 16-18

Example 7.18a. S2

Example 7.18b. Bargiel

Example 7.19. Dynamic and Expressive Indications Notated by Bargiel, Third
     Movement, mm. 217-221

Example 7.20. Bow Strokes Notated by Bargiel, Fourth Movement, mm. 196-200 and
      mm. 232-233

Figure 7.4. Mahler's Emendations to the Introductory Theme, First Movement, mm. 1-7

Figure 7.5. Mahler's Emendations to the First Transformation of the Introductory Theme,
First Movement, mm. 23-28

Figure 7.6. Mahler's Dynamic Emendations, Second Movement, mm. 16-18

Figure 7.7. Mahler's Dynamic Placement, Second Movement, mm. 21-22

Figure 7.8. Rhythmic Change Introduced by Mahler, Movement Three, m. 182
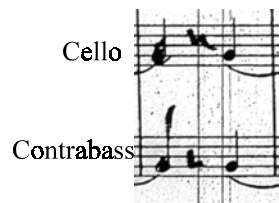
Figure 7.9. Mahler's Dynamic Emendations, Fourth Movement, mm. 211-
218

Figure 7.10. Mahler's Dynamic Emendations and Rewriting of Parts, Fourth
Movement, mm. 228-232

CHAPTER 8

THE FIRST-MOVEMENT THEME

I. INTRODUCTION

The significance of the first-movement theme is twofold: it continues the compositional tenets that Schumann established in the introduction to this movement, and it dominates the thematic material of the first movement proper. A logical musical connection exists between the introduction and the remainder of the movement because the first-movement theme is a transformation of the introductory theme, and this connection provides a means by which the implied narrative in the introduction unfolds throughout the entire movement. Thus, the narrative in the introduction and the musical devices he used to establish it continue in the "Lebhaft" section of the movement, constructing a musical-narrative whole out of two sections that are decidedly different in character.

The first-movement theme and several of its transformations consist of motives x and y from the introductory theme (Example 8.1). Adumbrating motive x in the first-movement theme is motive z, a new motive signaled by an arpeggiation of the tonic triad of D minor, the key of the Symphony. For the remainder of the theme, Schumann transformed fragments of motives x and y. The first beat of m. 30 is a fragment of the last four notes of motive x, treated sequentially, but the second half of that measure features a four-note fragment of motive y. Transformations of motive y conclude the theme,

318

including an inversion of the four-note fragment in mm. 31 and 32, and a two-note fragment for the final beat of the theme.[1] To establish a distinct character for the first-movement theme, Schumann added patterns of articulation, accents, and dynamics, which, with the motivic material itself, are transformed as the movement progresses.

The various motives that constitute the first-movement theme also help to define the form and implied narrative of the movement. The movement is cast in a modified sonata form, featuring a compact exposition and an extensive development section that is followed by a truncated recapitulation and a coda (Diagram 8.1). The design is conducive to new transformations of the theme and to continuing the implied narrative that is associated with those transformations. Particularly significant is the denial of a full recapitulation, since full resolution would have provided premature closure to the implied narrative. Only the new theme introduced in the development (m. 147) is tonally resolved to D (m. 297); other thematic elements are left unrecapitulated, and thus remain topics for treatment in the remainder of the Symphony.

Example 8.2 shows some of the transformations and their relationship to the form of the movement. Rather than transforming the entire first-movement theme, Schumann created new thematic ideas from the old by reworking individual motives, altering their intervallic content, articulation, and dynamics, fragmenting and expanding them, and recombining them. Working with motives using these various compositional and

---

[1]Like sequential treatment of motive x in m. 30, motive y is treated sequentially from the downbeat of m. 31 through the first beat of m. 32. This is followed by the two-note fragment of the theme on the second beat of m. 32.

Diagram 8.1. Structure of the First Movement Proper

Exposition: mm. 29-86

P I: mm. 29-42	Transition: mm. 43-59	S (=P^1): mm. 59-75	Closing: mm. 76-86
Subsection 1: mm. 29-32 Subsection 2: mm. 33-42	Subsection 1: mm. 43-46 Subsection 2: mm. 47-58	Subsection 1: mm. 59-66 Subsection 2: mm. 67-75	Subsection 1: mm. 76-82 Subsection 2: mm. 82-86
d:	—	F:	(F)/V - I

Development: mm. 87-312

Section I: mm. 87-100	Section II: mm. 101-146	Section III: N introduced mm. 147-174
Subsection 1: mm. 87-92 ♭ii/d minor Subsection 2: mm. 93-100 ♭ii/d minor	Subsection 1: mm. 101-116 Subsection 2: mm. 117-133 Subsection 3: mm. 134-146	Subsection 1: 147-154 (N) Subsection 2: 155-158 Subsection 3: 159-166 (N) Subsection 4: 167-174

Section II^1: mm. 175-220	Section III^1: mm. 221-248	Section IV: mm. 249-312
Subsection 1: mm. 175-191 Subsection 2: mm. 192-207 Subsection 3: mm. 208-220	Subsection 1: 221-228 (N) Subsection 2: 229-232 Subsection 3: 233-240 (N) Subsection 4: 241-248	Subsection 1: mm. 249-264 Subsection 2: mm. 265-276 Subsection 3: mm. 277-284 Retransition: mm. 285-297 I of d or D

Recapitulation: mm. 297-336   *Coda*: mm. 337-358

N	Section I: mm. 337-348	Section II: mm. 349-358
D:I$^{6-4}$-I$^{5-3}$	I	I

orchestrational devices allowed Schumann to create a complex organization of ever-changing thematic material whose relationships must be determined by the imaginations of the auditors.

By altering intervallic content within a motive as well as its articulation and dynamics, Schumann created new moods within the course of the first movement. Example 8.2a shows the beginning of the second key area. Although Schumann retained the intervallic content of motive z, he altered that of motive x by incorporating thirds that are undoubtedly inspired by motive z. Despite the intervallic affinities with the first-movement theme, the character of the theme differs in part because the original *forte* dynamic level has been reduced to *piano*, and the accents that articulated several of the initial notes of groups of sixteenth notes have disappeared. In addition to these changes, the mode has shifted from minor to major. Schumann made these changes to provide a striking musical contrast, and he most likely produced them to inspire extramusical ideas in the imaginations of the auditors.

The tranquil quality of Example 8.2a characterizes the new theme when it is first heard in mm. 147-150 (Example 8.2g). The triadic elements of motive z are combined with motive x to create a highly lyrical transformation. This transformation is arguably one of the most effective examples for demonstrating how dynamics, expressive indications, and articulation can contribute to creating a different mood. Played *piano* and *dolce*, with slurring predominating, this transformation offers a sharp contrast to those

surrounding it, which are played *forte* or *fortissimo* with occasional *subito forte* and with frequent staccato (e.g., mm. 135-146 and mm. 155-158).

Fragmentation of the first-movement theme is one of the most effective compositional tools Schumann used in this movement because it varies the thematic material and connects the different sections of the movement. One of the first significant examples of fragmentation occurs in m. 79 (Example 8.2b). This fragment, which involves motives z and x only, is an important part of the closing measures of the exposition. To emphasize the vibrant ending of the first main section of the movement, Schumann indicated that the first note of this transformation is to be played *subito forte*. Furthermore, the slur with which the first two notes of the second beat were originally played at the beginning of the movement have been changed to staccato, providing a specific character to this transformation. This character apparently seemed suitable to Schumann as a conclusion to major sections of the movement: it marks the closing of the exposition, and it occurs in m. 265 in the last section of the development.

That fragmentation is a significant compositional device is also supported by the final thematic transformation in m. 349, a measure in the last section of the coda (Example 8.2l). Here Schumann took another step in fragmentation, where beginning in m. 350, only the last four notes of motive x are heard, significantly in the same pattern of slurs and staccato which these notes were initially set in m. 29. Although this articulation suggests a reversion to the beginning of the movement, the fragmentation of the first-movement theme and the addition of *subito forte* that marks the first note of each

fragment does not. In fact, the transformation in Example 8.2l suggests further intrigue, much like the fragmentation of the thematic material at the end of the introduction to the movement and at the end of the third movement.

Expansion of motivic material serves as another means of transformation. Whereas fragmentation tends to occur at the end of major sections within the movement (with the possible exception of Example 8.2f, which occurs in the course of the development), expansion abounds at the beginning and in the course of major sections. Example 8.2d features an expansion of motive x. The expansion begins with a sequential extension of the motive in m. 102, followed by a descending fragment of motive y similar to m. 93 (Example 8.2c). Expansion, like fragmentation, is also a means of linking transformations. In Example 8.2e, Schumann retained the idea of sequencing a motive from Example 8.2d by expanding it by two and one-half measures through sequential repetition. Likewise, Example 8.2k is created from the same principle, but with articulation that differs from Example 8.2e.

The practice of altering intervals within motives is also a prevalent aspect of transformation in this movement. The transformation in Example 8.2h begins with the intervallic content of motive z but uses slurring from the first half of the motive for articulation in mm. 157-158. Mm. 157-158 undergo additional transformation in that the minor thirds associated with motive z are altered into diminished triads consisting of two-note fragments set in an overall descending motion.

323

The motivic content of the first-movement theme and the transformations of those motives serve as the substance for this movement. The transformations create connections among other transformations at various measures within the movement. Both expansion and fragmentation of motives create suspense throughout the movement. The pronounced fragmentation at the end of major sections within the movement propels the narrative forward, suggesting that the complete story has not been told and that more intrigue is to come. Transformation of motives, then, reflects the ever-changing circumstances of the implied narrative and the conflicting, evolving situations that the protagonist faces in the second and third movements of the Symphony. Finally, the transformation that creates the first-movement theme itself contributes to the musical unity of the Symphony and to the implied narrative that propels its drama.

II. THE FIRST-MOVEMENT THEME IN S2

When compared to the middle movements, the treatment of thematic material in the outer movements differs considerably, reflecting public expression as opposed to the private utterances that are revealed in conflicts prevalent among individual personae represented by specific instruments in the second movement especially. Thus, the focus in the outer movements of the Symphony is on the public expression of the narrative itself and the drama that arises in the course of the movement, disclosed through the transformations of thematic material.

Subtle discrepancies in various instruments' presentations of the thematic material occur in all movements, but in the outer movements, these variants serve a different

purpose than they do in the middle movements. The variants in the first and last movements contribute to the narrative and exist for practical performance of specific musical figures rather than for the representation of individual conflicts and viewpoints in the events that have unfolded. In m. 32, for example, the flutes, oboes, and violins play the first-movement theme simultaneously. Initially, no variants in orchestrational devices occur, but in the second half of m. 32, Schumann indicated that the violins (and accompanying viola) play tremolo against staccato in the woodwinds, cello, and contrabass (Example 8.3). The discrepancy between the woodwinds and strings does not suggest conflict as it could in the middle movements; rather, the staccato-tremolo combination intensifies this measure, which leads to the first cadence of the first movement proper in m. 33. Thus, the strings and woodwinds together strive for the same goal – a forceful drive to the first cadence – despite their different means of accomplishing this.

From the beginning of the first movement proper, Schumann introduced many of the devices he would use later to achieve thematic transformation. That the focus of this movement is on the first-movement theme and its transformations is seen immediately in the first key area of the exposition (mm. 29-42). This key area consists of three phrases, the first of which (mm. 29-32) establishes the thematic material for the remaining measures of the movement. In the next two phrases (mm. 33-37 and mm. 38-42), on the other hand, rather than simply restating thematic material for the second phrase, Schumann interrupted the theme in mm. 35 and 37 with a distinctive accented,

325

syncopated figure played by the violins and viola. The second and third phrases are connected by m. 38, which at once elides the two phrases and their conflicts. The thematic content for this measure is the same as that of mm. 33 and 39, the first measures of the second and third phrases respectively. The articulation is the same as that of m. 39, but the dynamic is identical to that of m. 33, so that determining to which of the two phrases this measure belongs is unclear. Schumann could have easily made each of the three phrases in mm. 29-42 four measures long, but by interpolating m. 38 between the second and third phrases, Schumann devised another means of suggesting uncertainty and irregularity in this movement.

In the second and third phrases, Schumann changed articulation as well as the thematic content. For the second beat of m. 36, he replaced the original slur-staccato articulation sequence with staccato for each note. This is the articulation he used for mm. 38-39 as well, reserving further changes for the second and third measures of the last phrase of the first key area. In mm. 40-41, the woodwinds forgo any special articulation, and the violins revert to tremolo that they first played in the second half of m. 32.

The changes to the thematic content in the first key area not only have important implications to Schumann's treatment of thematic material for the remaining measures of the movement, but also establish the elements of the conflict for this movement in the implied narrative of the Symphony. Conflict in the outer movements of the work – the "public" movements – is presented differently than it is in the "private" inner movements.

326

In the second and third movements, conflict involves individual personae or small groups of personae. In the outer movements, conflict is an element of transformations of the themes. The differences in how thematic material is articulated by the woodwinds and strings in measures such as 35, 37, and 39-41, then, is that conflict between the woodwinds on the one hand and the strings on the other provides a catapult for mounting tension within the thematic content itself.

In S2, the narrative of this movement is told by the entire orchestral body as a unit. The narrative itself unfolds through thematic transformation, which is supported by counterthemes and accompanimental material, the meaning of which is determined by the auditors as it is in the second and third movements of the Symphony. By confining variants for practical performance purposes, Schumann presented the first movement as a public event rather than a series of individual conflicts characteristic of the middle movements.

III. THE FIRST-MOVEMENT THEME IN MS2

Examining details involving transformations of the first-movement theme, counterthemes, and accompaniment in MS2 reveals startling differences upon comparison with S2. Variants involving Schumann's use of specific orchestrational devices, such as articulation, notation, and dynamics, seem to result from his different perspective in the actual compositional process of this movement and the purpose it serves in this Symphony as a whole. In S2, Schumann clearly intended the movement as a "public" expression, one made by all members of the orchestral body, whereas in MS2,

327

he focused on three facets. Orchestrational devices that are part of the transformations of the first-movement theme have specific roles in the structure of the movement. Differences involving these devices among instruments doubling each other suggests foreshadowing of future difficulties involving instruments representing individual personae, as is the case with the inner movements in both MS2 and in S2. Finally, the way in which Schumann used orchestrational devices in MS2 suggests an implied narrative in this movement in which conflict that occurs among individual personae at the onset gradually wanes toward the end, making way for the protagonist's plight in the second movement.

Transformations of the first-movement theme in S2 occur only gradually over the course of the movement, making them somewhat easier to understand when compared to those in MS2. One reason is that often only one transformation occurs within a section or subsection in S2. In MS2, several can occur within a section, sometimes even in successive phrases within a section. Another reason is that transformations in S2 usually are played uniformly, regardless of doubling (when it occurs). In contrast, frequent transformations and variants in the performance of them in MS2 require a more complicated evaluation of the role a particular transformation plays in the movement.

The first key area of the exposition (mm. 29-42) illustrates Schumann's complicated transformation process and use of orchestrational devices in the theme and its accompaniment in MS2. The first key area consists of three phrases, the first of which features the first-movement theme in its entirety (m. 29-32). In the next two phrases

328

(mm. 33-37 and mm. 38-42 respectively), however, the theme is fragmented. With the second phrase, only the first two measures of the theme are heard due to an interruption created by a new, heavily accented rhythmic figure in mm. 35 and 37.[2] In the third phrase, only the first two measures of the theme are heard again but in a new context. Each of the measures is immediately repeated, so that the first measure of the theme is heard successively in mm. 38 and 39, and the second measure is heard in mm. 40 and 41.

In MS2, articulation plays a significant role as do other, sometimes more obvious devices, such as fragmentation and interpolation. In the first phrase, every sixteenth note of the theme that is not part of a slur is played staccato. Already in the second phrase (mm. 33-37), pronounced changes involving staccato especially and accents to a lesser degree affect how the theme is performed. In m. 33, the first violin[3] no longer plays the last two sixteenth notes of the downbeat staccato, yet those in subsequent beats are marked as such. By the third phrase, the theme is played almost without staccato and

[2]Conflict among instruments playing the thematic material occurs in both sources. Perhaps the most pronounced instance is in the rhythm of mm. 35 and 37, the measures in which the initial interruption of the first-movement theme occurs. The rhythm for the woodwinds, bass trombone, cello, and contrabass consists of four eighth notes, whereas that of the violins and viola features a contrasting syncopated figure. That the cello and contrabass do not participate in the syncopated figure creates another conflict within the string family itself: the lower strings double the bassoons and bass trombone rather than the upper strings. Through the instrumentation of these measures, Schumann foreshadowed conflicts among families of instruments that will occur in later movements of the Symphony

[3]Presumably the same articulation applies to the flutes and oboes, which Schumann indicated via a shorthand method of notation (c. Viol 1. in 8va, and c. Viol I. respectively) double the first violin.

accents. Schumann's use of staccato in the three phrases of the first key area accomplishes a relatively subtle, but quick, transformation of articulation for the first-movement theme, with the second phrase serving as a link between the first and third, given the use of staccato for some notes.

The process is not that simple, however, when all instruments that play the theme are considered, for there are important discrepancies among these instruments. In m. 36, the oboe plays each sixteenth note without staccato, but the flutes and first violin play the second half of the first beat with staccato. The same type of variant occurs in mm. 38 and 39, where the second violin and clarinets respectively are the only instruments to play the last two sixteenth notes of the first beat staccato.

Variants in articulation occur with accompanying instruments as well. In an accompanimental part played by the bassoons, cello, and contrabass in m. 32, for example, the bassoons are the only instruments to play their notes staccato. Likewise, for the last two sixteenth notes of m. 34, the viola and cello have no special articulation, even though the bassoons have staccato. Application of accents also proves to be inconsistent: in mm. 35 and 37, the bass trombone is the only instrument to not have accents, and the bassoons, cello, and contrabass lack accents for the downbeat of m. 37 as well.

Differences in the notation of parts that are doubled were part of Schumann's compositional process and the meaning of this movement from the onset. As early as m. 29, he used beaming as a device for contention between the oboes on the one hand and the flutes, first violin, and viola on the other (Example 8.4). In MS2, beaming for the

sixteenth notes of the first-movement theme and its transformations varies between a 2+2 pattern of beaming and a pattern in which all four notes are beamed together. Whereas the first four sixteenth notes are beamed together for the flutes, first violin, and viola, those for the oboe are set in a 2+2 pattern. The variant sets the oboes apart from the other instruments, which may foreshadow the role the first oboe plays in the second movement of the Symphony especially.

Admittedly, the 2+2 pattern of beaming in m. 29 may be a convenience of notation rather than a point of contention in the implied narrative. The stems for the first two sixteenth notes are upward, whereas those for the last two are downward, making a 2+2 pattern of beaming clearer than four-note beaming. Variants that occur later in MS2 reveal that Schumann did not necessarily use different patterns solely for notation conveniences, however. In m. 61, for example, the bassoons and viola have a 2+2 pattern of beaming that conflicts with the four-note beaming in the second violin. While the viola has the same mix of stem direction that the oboes had in m. 29, stem direction for the bassoons is consistent, suggesting that the beaming for the bassoons has an extramusical meaning. Schumann may have intended to ally the bassoons with the violas against the second violins. Thus, patterns of beaming may serve a dual function in MS2: as a convenience of notation and as a device for conflict among particular instruments.[4]

_____

[4]Variants in beaming of the first-movement theme and its transformations, such as those in mm. 29 and 61 of MS2, have been regularized in S2 to four-note beaming, with one exception. In S2, Schumann reserved the 2+2 pattern of beaming for fragmentation of motive z, which first occurs in m. 85 and later in mm. 157ff. The fragmentation involves splitting up the four notes of the motive into two-note groups. Schumann seems

Although the transformation process and the number of variants among instruments that double seem to be unduly complicated to the point where one may argue that Schumann was simply being inconsistent, examination of later sections of this movement suggests that he intended these variants. In contrast to the numerous variants in the first key area, those in the second key area (mm. 59-74) are fewer in number, particularly in the first phrases of this section of the exposition. The conflicts in the first key area contribute to tension that subsides in the second key area. Set in the relative key of F major with a *piano* dynamic level, the most prevalent variants in MS2 involve beaming, which would attract the attention of the student of the score but less likely that of listeners of an actual performance. In m. 61, for example, a difference in beaming the theme occurs in which the four-note beaming of the second violin differs from the 2+2 pattern of beaming for the bassoons and viola. In addition to this conflict, Schumann introduced another element to the developing events by introducing a 2+2 pattern of beaming for each of these instruments for the second beat of the measure, only to revert to the four-note beaming in the second half of m. 65, a repetition of m. 62 (Example 8.5).[5]

---

to have used the 2+2 pattern of beaming for this fragmentation as a means of clearly articulating the first note of each pair of two-note groups, thereby focusing on the transformation process itself rather than conflicts within the presentation of the transformation.

[5]The 2+2 pattern of beaming for the second half of m. 61 may anticipate the same pattern of beaming for fragmentation of motive z (in both sources) that begins in m. 85 and recurs in m. 157ff. In these measures, thirds are beamed together, but whether

Schumann's use of staccato as a device for transformation in the second key area is one of few instances in MS2 where he uses this articulation. The sporadic use of it in the closing of the exposition (mm. 83-85) recalls the contention it caused in the first key area (Example 8.6). The cello and contrabass play their countertheme staccato, but for the homorhythmic first-movement theme, this articulation is reserved for the last two sixteenth notes of m. 83 (flutes, oboes). The contention also propels the movement forward, despite the upcoming final cadence of the exposition in m. 86.

Another instance where Schumann uses staccato as part of a transformation is in mm. 155-156, mm. 167-168, and analogous mm. 229-230 and mm. 241-242. Fragments of the first-movement theme frame the first phrase of the lyrical transformation (mm. 157- 166 and mm. 231-240) that occurs in the second section of the development. Due to the *piano* dynamic level of this theme, which recalls that of the second key area of the exposition, and to its tranquility, Schumann may have used staccato to lighten the transformation surrounding this lyrical transformation, thereby paralleling the character of these transformations.

In addition to using staccato as a means of lightening the sound of specific passages and linking adjacent transformations, he also used staccato in the last section of the development to recall an earlier transformation, much like he did in the closing of the exposition. The transformation in mm. 249-264 is closest to the initial appearance of the

Schumann intended the beaming in m. 61 as a device for foreshadowing in MS2 is unknown.

first-movement theme: the first two measures of this transformation is simply the first-movement theme transposed up a fifth (Example 8.2i). Measures 251-252 of the transformation recall the ascending scalar figure of mm. 31-32. The slur-staccato articulation of this transformation provides a lightness with which the first-movement theme began. Together, they contrast with articulation of the fragment that follows beginning in m. 255 and with the weightier transformations of the coda in which no staccato occurs in MS2.

When transformations of the first-movement theme in the coda are reached, conflicts among instruments have largely subsided. In the transformation beginning in m. 337, for example, the woodwinds and strings share the same patterns of beaming and articulation. One exception occurs in the accompaniment: the cello and contrabass have no hairpin accents in mm. 345-348 as do the bassoons, clarinets, and viola. By m. 350, Schumann seems to have been striving for an almost uniform sound. Variants in articulation are non-existent, leaving one difference in beaming on the downbeat. The cello and contrabass have a 2+2 pattern of beaming, whereas all four sixteenth notes are beamed together for the bassoons.

Comparison of Schumann's use of specific orchestrational devices in MS2 and S2 reveals that he had different goals in mind for these two sources. Several variants in MS2 involving articulation and beaming among instruments that either double or are set homorhythmically suggest that one of the most prevalent goals he initially advanced was conflict among families of instruments and within families themselves. These conflicts

are particularly prevalent at the beginning of the movement and subside as the movement progresses, leaving essentially no substantive variants among instruments that double or are set in homorhythmic passages by the end of the movement.

The variants that occur among instruments and Schumann's careful use of articulation, particularly staccato, have dramatic implications to the movement. Differences among instruments may be construed as a device for foreshadowing similar disparities that are prevalent in the inner movements of the Symphony. The gradual infrequency of these variants makes way for the protagonist's conflicts in the second movement. Finally, Schumann's sparing use of staccato in the transformations provides contrast with those transformations without staccato. Furthermore, the absence of staccato for the majority of transformations in MS2 results in a greater heaviness in the performance of the movement than in S2.

The changes that Schumann introduced in S2 include regularization of beaming and articulation – particularly staccato, slurs, and accents – so that thematic and accompanimental material generally is articulated uniformly by the various instruments, especially those of the woodwind and string families, making for a "public" and more-or-less uniform expression of the musical substance of the movement. Furthermore, regularization, as it is found in S2, allows for undivided attention to be placed on the unfolding of the movement, which is part of the transformation of the first-movement theme.

IV. THE FIRST-MOVEMENT THEME IN C AND D

Variants involving dynamics, expressive indications, articulation, and rhythm in certain measures of the exposition and in the development section of the first movement raise issues about how Clara and Dörffel perceived particular passages and, in some cases, how they regarded the role those passages play in the context of the movement as a whole. Some of their emendations also indicate how they viewed relationships among particular instruments. Regardless of how their changes affect the movement – whether they are local or global – those discussed below are reinterpretations.

Clara offered three changes to this movement that prompt controversy concerning how she perceived relationships between instruments and how she regarded the way progress in this movement is achieved. In m. 85, Clara changed the rhythm of the trumpets so that they play on the first and second beats of the measure rather than on the afterbeats as they do in MS2, S2, and D (Example 8.7). From m. 79 to the end of the exposition, the rhythm of the trumpets corresponds in certain measures to that of the horns in D, trombones, and timpani. The rhythm in C for the trumpets in m. 85 breaks this relationship. In fact, none of the brass or the timpani plays on the second beat of the measure, and only the horns in F, which have a completely different accompanimental part than the other brass, play on the downbeat. If Clara's reading is a reinterpretation and not an error, reasons for her rewriting the rhythm of the trumpets in m. 85 are unclear.[6]

_____

[6]This may be an error in Clara's edition. Measure 86a clearly contains an error for the viola on the afterbeat of the first beat, which has no staccato as do the other

336

Clara's inclusion of tremolo for the contrabass in m. 172 is questionable (Example 8.8). In each of the other sources, only the viola and cello play the second beat of this measure tremolo; the contrabass simply plays the sixteenth notes of this measure unadorned. For each source in analogous m. 246, the contrabass has tremolo for the second beat, as do the viola and cello.[7] Schumann may have intended to reserve the tremolo for the contrabass as he did in MS2 and S2 because of the context in which these measures occur in the movement, that is, near the end of each of the larger sections that comprise the second section of the development. Reserving tremolo for the contrabass in m. 246, then, adds intensity to the concluding measures of the second section, preparing for the dramatic final section of the development.

One of the most curious of Schumann's dynamic/expressive indications in MS2 occurs in m. 52. He indicated that the horns in F are the only instruments to play their part, which is accompanimental, *piano* and *dolce*. In S2, he added this indication to the first oboe and first clarinet, instruments playing the primary melody in mm. 57 and 58. Clara's markings in m. 57 are consistent with S2, but Dörffel added the *piano-dolce* indication to the first flute and bassoons, so that all members of the woodwind family

---

instruments. A staccato is provided in m. 86, however, whose first beat is identical to that of m. 86a.

[7]Note that Schumann used a different procedure of notation in MS2 for the cello and contrabass (which share one staff) in these measures. In m. 172, these instruments are notated separately, as indicated by different stem direction for each instrument, whereas in m. 246, they are notated together so that no differentiation is made for the two instruments as it was in the previous measure.

have the same dynamic/expressive indication (Example 8.9). His addition for the first flute is somewhat appropriate, because this instrument plays a fragment of the primary melody in the second half of both measures. The bassoons, however, play an accompaniment. Given Schumann's original indication in MS2 that the accompanying horns in F were the only instruments to have this indication, Dörffel's addition for the bassoons does not seem entirely inappropriate.

Examining the accompanimental layers in mm. 57 and 58, however, urges additional assessment of Dörffel's interpretation. The accompaniment in the bassoons differs from that of the horns in F. That for the bassoons is also played by the cello, and a similar accompaniment that the horns in F play is heard in the second violins. One must wonder, then, why Dörffel did not add the same dynamic/expressive indication to the second violin and cello in m. 57. Perhaps in leaving out this plausible addition, Dörffel viewed the predominance of the woodwinds over the strings, thereby prioritizing families of instruments over melodic content in this particular passage.

Another reinterpretation offered by Dörffel also creates some problems. For the sixteenth notes comprising the second beat of m. 81, Dörffel changed the articulation of the bassoons from staccato to a two-note slur, two-note staccato sequence (Example 8.10). Measures 79-85 feature a one-measure transformation of the first-movement theme played throughout by the bassoons and by the viola, cello, and contrabass at various times. Rhythmically, the transformation occurs two different ways, resulting in pairing of measures according to where the transformation appears within a

338

9easure. In mm. 79 and 81, for example, the transformation begins on the downbeats, but starting in m. 83, it begins on the second beat of the measure and extends into the downbeat of the next. The pairing of measures according to where the transformation begins suggests that perhaps articulation should be treated the same for each of the two pairs, as it is in S2 and C.

Dörffel made another controversial change in articulation that involves a countermelody in mm. 125 and 126 and their analogous mm. 199 and 200 (Example 8.11). Comparing the sources raises questions about precisely which notes of the countermelody, played by the flutes, oboes, and clarinets, should be slurred. In S2 and C, all notes of mm. 125 and 199 are slurred together, leaving the downbeats of mm. 126 and 200 to be articulated separately – a gesture whose importance is underscored by the early and mid-nineteenth century views that the last note under a slur was always to be short, and thus emphatically detached from the following note. This articulation is also clear in mm. 125-126 of MS2, but not for mm. 199-200. Here the flutes have the same articulation as the first pair of measures, but for the oboes and clarinets, only notes belonging to the first beat of m. 199 are slurred together. All others are articulated separately. Dörffel's reading differs from all the sources. He indicated in both sets of measures that the downbeats of mm. 126 and 200 are included in slurs begun in the preceding measures.

A final questionable reinterpretation offered by Dörffel occurs in m. 175. With mm. 175-248 being a restatement of the material in mm. 101-174, one must consider the

339

regularization of dynamics. In m. 101, each of the sources provides a *subito forte* for the downbeat of the theme, which is played by the first violin. When this transformation of the theme occurs in later measures of this subsection of the development, each downbeat is played with a *subito forte*. The one exception occurs in m. 175, the first measure of the repetition of mm. 101-174. In MS2 and C, there is a *subito forte*, as in m. 101, but in S2 and D, there is none (Example 8.12). The only plausible reason for the absence of a *subito forte* in m. 175, other than error, is that playing the downbeat of m. 175 without special emphasis makes the beginning of the repetition of the previous subsection of the development less noticeable.

Most of these changes introduced into this movement by Clara and Dörffel are controversial. Those in C, such as in mm. 85 and 172, may be regarded as errors or inconsistencies and not reinterpretations at all. The dynamic emendation Clara made in mm. 115 and 189, on the other hand, reflects her desire to provide an edition that offers clear indications in passages where some ambiguity exists. Dörffel's articulation emendations in this movement especially involve reinterpretation of certain melodic material, and they reflect how he believed instruments related to each other.

V. THE FIRST-MOVEMENT THEME IN B

Bargiel notated several articulation marks, bowings, dynamics, expressive indications, and tempo changes that reveal how the first movement was interpreted. These notations not only show how transformations of the first-movement theme and its accompaniment were perceived, but also illustrate Bargiel's view of the interrelationships

340

among certain transformations. His markings depict relationships for instruments that double each other and for families of instruments. They also reveal an emphasis on various repetitions of particular sections of the movement.

Staccato, bowings, and dynamics with the transformation beginning in m. 249, which also marks the first measure of the last section of the development, demonstrate that this transformation received special treatment (Example 8.13). The transformation is accompanied in part by the second violin and viola featuring a distinctive rhythmic pattern of an eighth note followed by two sixteenth notes, which Bargiel notated were played staccato. Part of this transformation features melodic sevenths that were played staccato according to Schumann's notation. Bargiel indicated that the two notes that comprise this interval in mm. 251 and 255 were played with one bow stroke. Whether those in mm. 259 and 263 were also played with one bowstroke is unclear. Thus, the sixteenth notes making up the seventh in mm. 259 and 263 were probably played separately, making a change in execution of a distinctive part of the theme, and a practice in which Schumann did not engage in this movement. The *crescendo-decrescendo* dynamic sequence that Bargiel notated for this transformation in mm. 251-252, 255-256, and 259-260 is equally uncharacteristic of Schumann's compositional practices in this movement.

In this passage, Bargiel notated bowing indications and staccato, which result in a lightness that Schumann did not indicate at this point in S2. The *crescendo- decrescendo* sequences also seem peculiar because throughout the movement, Schumann did not

indicate such dynamic nuances in the first-movement theme and the transformations most closely related to it (in articulation, rhythm, and, to a lesser extent, intervallic content). He did, however, include sequences in more distant transformations, that is, those in which the rhythmic content especially differs significantly – as in mm. 73-74, which comprise a lyrical extension of a phrase that begins in m. 70 – with a more direct relationship to the first-movement theme itself. With Bargiel's dynamic specifications in mm. 249ff., a foreign relationship is created between Schumann's application of this dynamic sequence to more lyrical elements of a transformation and to the rhythmically energized motives x, y, and z.

Addition of staccato to a countermelody played by the flutes, oboes, and second violin in mm. 59-64 and by the clarinets in mm. 65-66 also raises concerns (Example 8.14). This addition matches staccato Schumann included for a variant of this countermelody in mm. 70-72, played by flutes and oboes. Since the countermelody in these latter measures is a variant of the countertheme in mm. 59-64, Schumann may have intended articulation as a means of drawing attention to differences in this theme, much as he did in the first key area of the exposition. This practice also coincides with his use of articulation as a device for transformation of the first-movement theme. Thus, Bargiel's notation may undermine the transformation process Schumann used throughout this movement.

The addition of dynamics and staccato in these passages provides special emphasis to certain elements of a transformation, countermelody, or accompaniment. In

the exposition, Bargiel indicated similar devices for achieving attention to certain details. For the syncopated figure in mm. 35 and 37 that occurs between fragments of the first-movement theme, Bargiel noted that the last two notes of these measures were played with a tenuto-staccato articulation sequence in one bowstroke (Example 8.15). This sequence suggests the following: the last two notes of each measure should receive special emphasis in addition to the hairpin accent that Schumann had provided; and, the staccato for the last sixteenth note of each measure ensures separation from notes surrounding it.

Bargiel indicated elsewhere that bowings were often used for the same purpose of special emphasis. In m. 42, the last measure of the first key area, each of the last two eighth notes were played with downbows, allowing for separation of the notes and sufficient weight to achieve a sense of finality to this section of the movement. The second and third eighth notes of mm. 86a and 86, which constitute the final cadence of the exposition, were also played with successive downbows. Bargiel's notation here may reflect Schumann's intention. In both measures of S2, each eighth note is written separately instead of beamed together as are the first two eighth notes for several instruments in each of these measures in MS2.[8] The absence of beaming or the separate notation of each note is a means that Schumann used to indicate clear separation of particular beats or parts thereof. Separate beaming also suggests equal weight for each

---

[8]These instruments include woodwinds, horns, trumpets, timpani, cello, and contrabass.

note, whereas beaming often implies the first note receives more emphasis than the other(s). In this regard, Bargiel's successive downbows seem to reinforce Schumann's intention.

Some of the indications that Bargiel notated could result in an imbalance among families of instruments. In m. 47, he added a *piano* to those already printed for the woodwinds. He also noted a *piano* above the first violin staff, which seems to suggest it was applied either to accompanying violins and contrabass or to all the strings (Example 8.16).[9] If applied to accompanying strings only, the additional *piano* for these instruments and for the woodwinds leaves the viola and cello, which play the primary melody, to dominate. Thus, Bargiel's notation could suggest that certain strings dominate over the woodwinds, particularly the first bassoon, which also plays the primary melody, altering the blend that Schumann implied through uniform dynamics for woodwinds and strings in favor of the viola and cello.

Articulation in mm. 76-78 yields similar problems to issues involving dynamics (Example 8.17). Here, Schumann indicated uniform slurring for the first flute, first oboe, first clarinet, and first violin, all of which play the primary melody. Originally, these measures were played with two slurs, one beginning in m. 76, ending with the first half of m. 77, and the second beginning with the second half of m. 77, ending with the second

---

[9]Similarly, an additional *piano* to one for the bassoons was added above the staff. Its meaning is unclear. Another *piano* above the first violin staff occurs in mm. 59 and 103. They, too, may suggest an addition to the existing *piano*, so that the strings play this passage *pianissimo*.

beat of m. 78. Bargiel notated that the slurring was broken up in the strings, so that now four slurs instead of two are heard in this passage. The original slurs were broken up into two each according to motivic content of the primary melody, but Bargiel's notation reveals additional subdivision for the first violin. His slurring scheme is practical for the first violin, especially when large leaps of fifths and sixths, which are now divided by the new slurs, are considered.

Finally, designations of solo for one but not all instruments that play the same melodic line is another way in which relationships between instruments are changed. The bass trombone in m. 265 is designated as a solo whereas the horn in F, which plays the same primary melody, does not have this designation. Bargiel's notations suggest that the trombone is the primary instrument, and the horns in F play a secondary role. Designations such as this are uncharacteristic of this and the fourth movement, but are appropriate to the second movement, where individual personae express their own voices.

In addition to altering balance among families of instruments, some of Bargiel's notations change how one passage relates to another in subsequent sections of the movement. A *crescendo* in m. 117 for the horns presumably extends until the *fortissimo* in m. 121. The horns play an animated accompaniment, consisting of a repeated pattern of one eighth note followed by two sixteenth notes. The *crescendo* with this rhythmic pattern builds intensity, but equally intense are tremolo sixteenth notes of the theme, which are supported by sustained pitches in the woodwinds. In this passage, Schumann

345

perceived each instrument as part of a complete unit. Just as all instruments reach

fortissimo on the downbeat of m. 121 together, a *crescendo* for each (which probably

occurs naturally) seems appropriate in mm. 117ff (Example 8.18).[10]

Tempo indications constitute other controversial notations made by Bargiel. The

ritardando in m. 131 and its analogous m. 205 are not entirely appropriate, by they do

show how repetitions of sections were treated (Example 8.19). In these measures, the

gradual decrease in tempo adds a dramatic element to the end of the subsection of the

development, which takes place in mm. 132-133 and analogous mm. 206-207. The

ritardando, however, lessens the impact of the fermata which ends this subsection. The

animato added by Bargiel in m. 337 is also problematic because it may distract attention

from the transformation, the beginning of which coincides with the *animato*. Thus, it may

negate the emphasis on the changes to the first-movement theme that have occurred

throughout the movement and focus instead on a temporal change that has not been an

important aspect of this movement.

Several of the notations that Bargiel introduced alter the character the

transformations. Others change the relationships between families of instruments and

even relationships of instruments within families. Tempo alterations detract attention

---

[10]Upon examining the analogous passage beginning in m. 191, Bargiel indicated a *crescendo* for the horns as he did in m. 117. In addition, he indicated that the violins, too, were to play this passage with a *crescendo*. The notations he made upon the repetition of the passage beginning in m. 189 suggest that the *crescendo* is applicable to all instruments, at least in the latter occurrence of this passage, and continues until the *fortissimo* on the downbeat of m. 194.

from thematic transformation, the central point of this movement. Together, most of the articulation, bowings, dynamics, expressive indications, and tempo alterations change the meaning of the movement as a whole from one in which transformations are expressed by the orchestral body as a unit to occasional points where individual members offer opposing interpretations of the same melodic material.

VI. THE FIRST-MOVEMENT THEME IN M

Mahler introduced several changes to the first-movement theme, countertheme, and accompaniment; these changes involve dynamics, instrumentation, and articulation. Some of these changes alter the character of elements within a phrase or subsection of the movement; others change the attributes of larger sections, ultimately affecting the dramatic gesture of the movement as a whole.

From the beginning of the first movement proper, Mahler used dynamics to draw attention to particular elements within a phrase of the primary melody. With the syncopation in mm. 35 and 37, for example, he called attention to this distinctive rhythm by adding *fortissimo* to each instrument on the downbeat of m. 35, matching the dynamic Schumann provided for the downbeat of m. 37. Separating this *fortissimo* is a *forte* for the strings in m. 36 (Figure 8.1).[11] With these amended dynamics, Mahler singled out

---

[11]The *forte* Mahler wrote on the downbeat of m. 29 is somewhat unclear. Presumably, it is an addition to the printed *forte*, so that the entire dynamic level is *fortissimo*. This applies only to the strings and marks a proclamatory beginning to the first movement proper.

measures of the phrase, and he introduced sudden changes in dynamic levels that are foreign to this movement.

In addition to changing dynamic levels in mm. 35-37, Mahler also introduced changes to instrumentation, apparently because he found it imperative to strengthen the primary melody – another instance of an editorial intervention made necessary not by Schumann's skills as an orchestrator, but by unfavorable changes in performance practices that occurred after his death. Mahler indicated that the second violin should double the first violin in mm. 35 and 37, leaving the viola to assume the original second violin part. He rewrote the violin parts in m. 37 as well, so that they double each other. Unfortunately, Mahler's emendations here change relationships within the strings as well as the sound of this passage. With Schumann's instrumentation, conflict occurs on two levels: first, with the difference in rhythm between the upper and lower strings, and second, with conflict among the upper strings themselves. In m. 35, the upper strings share the same rhythm but differ in melodic contour; that is, each instrument plays independent melodic ideas that work together harmonically but create divergent melodic ideas. In m. 37, the violins are more distinct, having separate musical ideals altogether. Mahler's doubling diminishes these aspects of conflict.

Equally foreign are other changes in instrumentation that Mahler proposed. In mm. 101-102, for example, the first violin is the only instrument playing the primary melody. Presumably concerned about balance, Mahler had the second violin and viola also play the primary melody, leaving the horns to be the only instruments playing a

distinctly rhythmical accompaniment (Figure 8.2). The careful blending of horns and strings that Schumann instituted is changed in Mahler's reinstrumentation, where the horns are pitted against the strings. This change also affects the measures surrounding mm. 101-102, in which various blends of winds and strings are achieved through doubling of both primary and secondary parts.

In addition to instituting changes within a phrase, some of Mahler's emendations also alter relationships between adjacent sections of the movement. To make the beginning of the second key area distinctive, Mahler added a *piano* dynamic indication, thereby changing the existing level of *piano* – the same dynamic level with which the transition ended – to *pianissimo* (Figure 8.3). He also added staccato (<) to the countermelody, played by the flutes, oboes, and second violin, presumably to clearly distinguish its articulation from that of the primary melody, particularly those notes that are played staccato.[12] Mahler's emendations to the second key area must be reconsidered in regard to Schumann's intention. The changes to dynamics especially create a distinctive break with measures immediately preceding this section of the exposition, drawing some attention away from the newly established key and the transformation of the first-movement theme.

Other changes to dynamics in the second key area, such as the *pianissimo* and *crescendo-decrescendo* dynamic sequences beginning in mm. 67ff., anticipate nuances that Schumann reserved for the closing measures of this section (Figure 8.4). Schumann's

---

[12]Mahler added the same articulation for an accompaniment in mm. 101-102.

compositional approach in this section of the exposition was first to establish the new key, the transformation, and the countermelody. Only gradually did he introduce specific expressive indications, first with a *crescendo* in m. 69 and then with a highly expressive *crescendo-decrescendo* dynamic sequence in m. 73, both of which add intensity as this section progresses. Beginning in m. 67, however, Mahler added a *crescendo-decrescendo* dynamic sequence to each three-note segment, not unlike the one Schumann wrote for mm. 73ff. Mahler's early introduction of this dynamic sequence admittedly is a distinctive nuance, but one that detracts from Schumann's similar use of this nuance at the end of the second key area.

Mahler changed Schumann's compositional approach in the second key area in several ways. He not only added dynamics prematurely, but also changed the relationship between this section and the transition between the two key areas. His changes to the dynamic level and articulation at the beginning of the second key area detract focus from the establishment of the new key and from the transformation of the first-movement theme itself. His later dynamic emendations in mm. 67ff. blur the logic and nullify the intensity of this section by anticipating Schumann's distinctive nuances in mm. 73ff. and by lessening the impact of the *crescendo* in m. 69. The way in which Schumann presented the material of this movement shows his concern for the auditor's comprehension. He clearly focused on thematic material when it is first introduced by assigning the same or similar dynamic levels to all instruments, by avoiding conflicts in articulation, and by reserving changes later within a section, such as the *fortissimo* in m.

39 (from a *forte* in m. 29) and the *crescendo-decrescendo* nuances in mm. 73-74 at the end of the second key area. The ensemble, then, works as a unit to present the musical material and to create intensity at key points throughout the movement.

Mahler changed some of the methods by which Schumann introduced drama in the movement. In the closing section of the exposition, Mahler rewrote some of the parts in an effort to reinforce the primary melody. In mm. 79 and 81, he instructed the cello to double the bassoons and viola. In these measures, he also changed articulation for the viola, with slur-staccato patterns of articulation that replace the tremolo Schumann had originally notated.[13] By changing the articulation, Mahler redefined the means by which intensity is achieved.

Mahler also modified the means by which Schumann achieved intensity in mm. 83-85, the last measures of the exposition (Figure 8.5). He cut the tremolo for the violins in mm. 83-84, and he replaced sustained half notes in the viola by having this instrument double the cello. He also reinforced the rhythm of the horns in F by having the horns in D double their material. Mahler's changes place emphasis on rhythmical drive to the final cadence of the exposition, while Schumann's orchestration emphasized sound mass to a certain extent, most notably through the half notes in the viola and most certainly with consistent tremolo in the upper strings, which also served as an element of transformation of the first-movement theme.

---

[13]Similarly, in mm. 80 and 82, to increase volume Mahler had the second violin double the first violin and had the viola play the original second violin part.

Other changes that Mahler introduced in the first movement reflect his concern for an obvious variety of instrumental color. In mm. 133-144, for example, he deleted the trumpets but had the horns in D, which were originally tacit, double the horns in F (Figure 8.6). When this passage returns beginning with m. 207, Mahler had the trumpets play the part Schumann had written, but at a reduced dynamic level from *fortissimo* to *piano*. He also had the horns in F, which originally rested as early as m. 197, double the horns in D, presumably at another reduced dynamic level from *fortissimo* to *mezzo forte*.[14] By altering the role of the trumpets in these passages, Mahler introduced a distinctive timbral change than Schumann had written in which his more subtle change in the role of the horn parts featured the most prominent timbral modification.

Clearly, most of Mahler's changes reflect a concern for balance among the instruments of the orchestra and especially for variety in sound in the late nineteenth-century orchestra, whether this is achieved through changes to dynamics, instrumentation, or articulation. Unfortunately, his changes did not always coincide with Schumann's intention, which, in this and the fourth movement, focuses on a clear communication of the thematic material and how that material defines the drama of these movements. For this reason, Schumann reserved nuances toward the end of sections, which, in some cases, also serve dramatic purposes. Mahler frequently introduced such nuances earlier within a section, causing unnecessary changes to the thematic material,

---

[14]Mahler did not notate a dynamic level for the horns in F as he had done for the other instruments.

relationships between sections, and, most significantly, creating a distinctive sound and interpretation to the movement that differs considerably from Schumann's compositional approach.

Example 8.1. First-Movement Theme and Its Motives (mm. 29-32)

Example 8.2. Examples of Transformations of the First-Movement Theme in S2

Example 8.2–*Continued*

Example 8.2j. Coda, Section II

Example 8.2k. Coda, Section II

Example 8.2l. Coda, Section III

Example 8.3. Articulation of the First-Movement Theme, mm. 29-32

Example 8.4. Patterns of Beaming for the First-Movement Theme in MS2, m. 29

Example 8.5. Patterns of Beaming in the Second Key Area in MS2, mm. 61-65

Example 8.6. Staccato for the First-Movement Theme and Countertheme in MS2,
   mm. 83-85

Example 8.7. Rhythm of the Brass and Timpani, mm. 79-85

Example 8.7a. MS2, S2, D[1]

Example 8.7b. C

[1]Variants in articulation occur with MS2. They, however, have no effect on the rhythm of this passage.

Example 8.8. Rhythm for Contrabass, m. 172

Example 8.8a. MS2, S2, D

Example 8.8b. C

Example 8.9. Dynamic and Expressive Indications, mm. 57-58

Example 8.9a. MS2, S2, C

Example 8.9b. D

Example 8.10. Articulation of a Transformation of the First-Movement Theme,
　　　mm. 79-85

Example 8.10a. MS2, S2, C

Example 8.10b. D

Example 8.11. Articulation of a Countermelody, mm. 125-126

Example 8.11a. MS2, S2, C

Example 8.11b. D

Example 8.12. Dynamics for the Downbeats of mm. 101 and 175

Example 8.12a. MS2, C

Example 8.12b. S2, D

Example 8.13. Articulation, Bowings, and Dynamics Notated by Bargiel, mm. 249-260

Example 8.14. Articulation for a Countermelody Notated by Bargiel, mm. 59-64

Example 8.15. Articulation and Bowings Notated by Bargiel, mm. 35 and 37

Example 8.16. Dynamics Notated by Bargiel, m. 47

Example 8.17. Articulation of a Transformation of the First-Movement Theme Notated
by Bargiel, mm. 76-78

Example 8.18. Dynamics for Horns Notated by Bargiel, mm. 117-121

Example 8.19. Tempo Indication Notated by Bargiel, mm. 131-133

Figure 8.1. Mahler's Dynamic Emendations, mm. 34-37

Figure 8.2. Mahler's Reinstrumentation, mm. 101-102

Figure 8.3. Mahler's Dynamic and Articulation Emendations in the Second Key Area, mm. 59-64

Figure 8.4. Mahler's Dynamic Emendations in the Second Key Area, mm. 66-68

Figure 8.5. Mahler's Changes to the End of the Exposition, mm. 82-86

Figure 8.6. Mahler's Instrumentation Changes, mm. 133-144

Figure 8.6–*Continued*

CHAPTER 9

THE FOURTH-MOVEMENT THEME

I. Introduction

The fourth movement continues the compositional techniques established in the

first movement. The "Lebhaft" sections of the first and fourth movements transform

previous thematic and motivic material, resulting in new thematic ideas, which in turn

help to define the structure of each movement. As shown in Examples 4.3b and 9.1a, the

first-movement theme[1] is a reworking of motivic material from the introductory theme;

similarly, the fourth-movement theme uses material from the first-movement theme.

Thus, the fourth movement proper is essentially a continuation of the first movement.

The fourth-movement theme (Example 4.3e) combines hammerstrokes initially

heard in the development section of the first movement with a distinct rhythmic figure of

a dotted eighth note followed by a sixteenth note, a figure which also resembles the

thematic idea in mm. 121 and 123 of the same development section. This rhythmic figure

will become part of later transformations of the theme (Examples 9.1c and 9.1d). It also

is part of the lyrical theme in the coda (Example 9.1e), where it is notated in

augmentation (mm. 172 and 174). In addition to beginning the fourth movement proper

---

[1]In the fourth movement, the introductory theme must await the final sections of
the coda, where it is completely transformed to create a jubilant, triumphant atmosphere,
as discussed in Chapter 7.

with recurrences of thematic ideas from the development section of the first movement, motives z and x from the first-movement theme also reappear. Both motives are combined with hammerstrokes, so that an unmistakable recollection of the first movement begins the fourth movement proper (Example 9.1a).

Although Schumann used the same basic compositional principles in the first and fourth movements, the results differ because of his approaches to the transformation process. In the fourth movement, portions of each transformation can be traced back to one of the principal motives of the first-movement theme, but the relationship between the original motives and their transformations are more distant in the fourth movement than they are in the first movement. With the transformation of the thematic material in mm. 27ff. (Example 9.1b), for example, Schumann used the arpeggiation associated with motive z, but changed the order of intervals that initially defined that motive as well as its rhythm and articulation. An octave, which constitutes the range of motive z initially, is heard first, followed by other members of the arpeggio. Successive sixteenth notes are replaced by longer note values, and slurs predominate instead of staccato. This transformation leads to the next (Example 9.1c), which also begins with an ascending octave, but then proceeds with dotted rhythms from the fourth-movement theme.

Other transformations are achieved through similar compositional techniques. Although some share rhythmic figures, such as Examples 9.1c and 9.1d, other connections are more abstract. Further comparison of Examples 9.1c and 9.1d reveals

382

that motive y, which returns at the end of Example 9.1c, also is part of Example 9.1d, but in the latter, repeated notes and dotted rhythms nearly obscure this motive.

Although the transformation process in the fourth movement yields decidedly different results when compared to that of the first movement, other similarities exist between the movements that define their close relationship. Transformations help to articulate the first-movement design in which each movement is set. Diagram 9.1 and Example 9.1 show the relationship between the thematic content of the fourth movement and its design. Like the first movement, the fourth movement has an exposition, development, and coda. In contrast to its predecessor, however, the fourth movement has a recapitulation. The recapitulation begins with the transformation associated with the transition in the exposition rather than the one associated with the first key area. Beginning the recapitulation with material from the first key area may have inappropriately recalled earlier issues associated with the content of that transformation. At this point in the movement, transformations beginning with Example 9.1b have assumed a character completely different from that of transformations in the first movement and from that in mm. 17-26 of the fourth movement.

Reasons for the differences in design as well as for the different approaches to transformation in these movements derive from considerations involving the implied narrative of the Symphony. As argued in Chapter 8, a recapitulation in the first movement unnecessarily halts progress of the drama. In the fourth movement, this is not

Diagram 9.1. Structure of the Fourth Movement Proper

Exposition: mm. 17-77

P I: mm. 17-26	Transition: mm. 27-38	S (=P¹): mm. 39-58	Closing: mm. 59-77
Subsection 1: mm. 17-20 Subsection 2: mm. 21-26			Subsection 1: mm. 59-66 Subsection 2: mm. 67-77
D:	—	A:I	I

Development: mm. 78-114

Section I: mm. 78-93	Section II: mm. 94-114
—	—

Recapitulation: mm. 115-167

Transition: mm. 115-128	S (=P¹): mm. 129-148	Closing: mm. 149-167
		Subsection 1: mm. 149-156 Subsection 2: mm. 157-167
f♯:	A:	D:

Coda: mm. 168-236

Section I: mm. 168-187	Section II: mm. 188-210	Section III: mm. 211-236
—	D:I	I

an issue because conflicts that define the drama earlier in the Symphony have been resolved. Resolution is suggested by the predominant major mode of the fourth movement and by the transformations themselves. The abstract transformations in the

384

fourth movement (when compared to those in the first movement) suggest that issues

associated with transformations in previous movements are resolved, making way for

new ideas and events that are more closely associated with resolution. In terms of the

implied narrative, the problems faced by the protagonist and addressed by the observers

in the first three movements of the Symphony have been resolved by the fourth

movement. This resolution calls from new transformations that redefine former motives

and the fourth-movement theme itself. It warrants a recapitulation, as if the exuberance

that all are experiencing must be experienced twice, with the second occurrence serving

as a confirmation to the auditors.[2]

In addition to thematic content and formal affinities between the first and fourth

movements, tonal relationships help to strengthen their relationship. The first movement

ends in D major, the parallel key of the Symphony and the key of the fourth movement.

Although D major at the end of the first movement provides an effective link into the

second movement, it also affords an efficient passage into the fourth movement proper.

Thus, D major essentially acquires narrative implications: in the first movement, it

symbolizes hope, and in the fourth movement, it signifies resolution.

---

[2]The idea of the protagonist and observers moving on from earlier issues in the fourth movement may explain the presence of the lyrical theme in the coda as well (mm. 172-175). This theme, which involves a transformation of motive y, the motive most closely associated with joy, may be another signal that all have reached a resolution to earlier conflicts. At the very least, motive y in this theme serves as an effective link between each subsection of the coda.

II. The Fourth-Movement Theme in S2

The lesser number of transformations of thematic material in the fourth movement, when compared to the first movement, suggests that the focus of the implied narrative has shifted from the unfolding of dramatic events to resolution of the conflicts that emerged from those events. Indeed, conflicts involving orchestrational devices are nearly as minimal in the fourth movement as the number of transformations; nevertheless, those that do occur are significant. As in the first movement, discrepancies either emphasize part of the thematic material or intensify a particular figure. Furthermore, in the fourth movement, conflict serves as a last reminder of issues from the past rather than signifying problems in need of resolution.

In the second key area of both the exposition and recapitulation of the fourth movement, differences in the scoring of the theme emphasize part of that material rather than suggesting conflict among personae represented by specific instruments. In mm. 39-41, for example, the first flute, first oboe, and first violin play the primary theme (Example 9.2a). In this passage, the woodwinds play on the downbeat, whereas beginning in m. 40, the first violin rests until the second beat. With the first violin resting on the downbeat, more volume and emphasis result on the second beat of the measure. Furthermore, a connection is created between this part of the second key area and the next (mm. 43-48), where the second beat is also accented in mm. 45-47 through the same method of instrumentation, but now with the hairpin accent replaced by *subito forte-piano* (Example 9.2b). Finally, the instrumentation of mm. 39-47 recalls importance of

386

the second beat in the scherzo theme, where, in passages such as mm. 9-14 of the third movement, the second beat of each measure receives emphasis through a hairpin accent and with the second violin entering on the second beat.

Differences in the application of orchestrational devices can also be used to intensify a particular figure. In mm. 114, 116, 118, and 120 (Example 9.3), woodwinds, brass, and strings forcefully reiterate a two-note figure that is dramatic, with dissonance occurring on the first beat, followed by a consonant resolution on the third beat. All instruments except the upper strings play this figure with a slur. The upper strings, on the other hand, play it in measured sixteenth notes to intensify the sound. Schumann's approach to dramatic intensification is not unlike mm. 38-39 of the first movement, where, beginning with the second half of m. 38, the woodwinds play the primary theme staccato, whereas the strings play tremolo for intensification in these measures, which lead to the final cadence of the first key area.

A surprising variant in articulation occurs for instruments playing the lyrical theme simultaneously in the first section of the coda. Articulation of the eighth notes in the first half of mm. 173 and 175 of Example 9.4 (and in other occurrences of this theme) vary between the woodwinds and strings. Whereas all four eighth notes are slurred together for the woodwinds, those for the strings have an articulation pattern of a two-note slur followed by two staccato. Occurring in the coda of the final movement of the Symphony, this conflict in articulation seems peculiar because resolution of all issues is expected at this point. Here the conflict seems to serve three purposes: (1) it reminds the

auditors that conflict among instruments and families was a significant element in the implied narrative of the Symphony, (2) conflict in articulation at this point in the work seems to suggest that personae represented by the instruments involved can coexist peacefully despite differences, and (3) the fact that no conflicts occur among instruments doubling each other in the final two sections of the coda (mm. 188-236) implies that true resolution must await the introductory theme, which has now come to denote resolve, peace, and fruition.

III. THE FOURTH-MOVEMENT THEME IN MS2

Comparing Schumann's application of orchestrational devices in MS2 with S2 provides clues concerning how he perceived the musical relationship between the first and fourth movements and the continuation of the narrative in these movements. Differences between these sources also demonstrate how he rethought the character of certain passages and sections within the fourth movement. Like the orchestration in the first movement of MS2, that of the fourth movement produces a greater number of variants concerning orchestrational devices when compared to S2, some of which offer relatively simple explanations while others defy an absolute understanding.

The thematic material – motives z and x combined with hammerstrokes – with which the fourth movement proper begins creates an obvious connection with the first movement. Whether this connection is a continuation of events from the first movement, (making the second and third movements an interpolation), or if it is a flashback is debatable. Consideration of articulation for motives z and x in MS2 and S2 offers some

insight into how Schumann regarded this connection. In MS2, the articulation of this figure is identical in both movements, suggesting that he regarded the fourth movement either as a flashback to the first movement or as a resumption from the point at which the first movement ended (Example 9.5a). In S2, he seems to have viewed the fourth movement as a continuation of the first. The motives in the fourth movement are essentially another transformation due to articulation, which replaces the slur-staccato sequence for each beat of the figure as found in the first movement with continuous staccato following the initial slur in the fourth movement (Example 9.5b).

Consideration of variant patterns in beaming of this thematic material in MS2 also recalls Schumann's use of this device as an element of conflict among instruments in the first movement. Like patterns of beaming in the first movement, those in the fourth movement fluctuate between 2+2 and all four notes beamed together. For the first movement, variant patterns of beaming were often a convenience of notation and a device for conflict among specific instruments. In the fourth movement, conflict among instruments still is an issue, but the meaning of that dissent seems to have changed. With the exception of m. 17, where the viola has a four-note pattern of beaming and the cello and contrabass both have a 2+2 pattern, the wavering between the two patterns seems to not only recall the same situation in the first movement, but it also suggests uncertainty within a particular instrument itself. In mm. 17 and 20, for example, the cello and contrabass have a 2+2 pattern of beaming, whereas in the intervening mm. 18-19, all four sixteenth notes are beamed together (Example 9.6).

The uncertainty within a particular instrument is carried over into the fourth-movement theme. The portion of this theme first heard in m. 18 that features a rhythmic pattern of a dotted-eighth, sixteenth, and two eighth notes initially fluctuates between all four notes beamed together and a 2+2 pattern of beaming (mm. 18-21) in MS2.[3] The first two occurrences of this figure in mm. 18 and 20 use the 2+2 pattern of beaming, but beginning with the next phrase in m. 21, the conflict between this pattern (in the flutes, oboes, cello, and contrabass) and the four-note beaming (in the violins, timpani) begins. The 2+2 pattern of beaming in the fourth movement was regularized in S2 to all four notes beamed together as it was in the first movement. The variants in MS2 gradually give way to the four-note pattern of beaming, as if the aforementioned conflicts are gradually resolved in the course of the fourth movement in much the same way as they are in the first movement.

In S2, Schumann rethought some of the nuances in particular passages, such as the closing measures of the exposition. The changes he made in S2 suggest that he desired a more emphatic ending, achieved through accents and sound, than what resulted from his orchestration in MS2. He added petits chapeaus to the third beats of mm. 67-72 to instruments lacking them in MS2.[4] He rewrote the second violin part in mm. 73-75.

[3]Conflicts with these two patterns of beaming also occur among instruments that double. In m. 23 of MS2, the 2+2 pattern of beaming in the cello and contrabass conflicts with the four-note beaming in the primary theme (first violin) and a homorhythmic accompaniment (bassoons, timpani, second violin, and viola).

[4]Accents missing for instruments in MS2 that were added in S2 include: oboe and second violin on the third beats of mm. 68 and 70; clarinet on the third beat of mm. 67,

Originally, the lower part of the divisi second violin had double stops, and the upper part had single notes. This may have caused an imbalance that he rectified in S2 (Example 9.7). Now both parts have double stops through the downbeat of m. 75. One variant in this passage, however, is problematic. In m. 73, both sources indicate that the timpani is to roll to the downbeat of m. 74. In MS2 and D, there is no tie connecting the whole note of m. 73 with the downbeat of m. 74 as there is in S2 and C.[5] The absence of the tie indicates that the downbeat of m. 74 be articulated separately, adding to the vibrant nature of this passage. With the tie, less emphasis results from an instrument that can contribute to a powerful downbeat for this measure.

Articulation is also a source for a difference in character for the lyrical theme that begins in m. 172. In mm. 172 and 173, Schumann originally wrote one slur per measure for the clarinets and bassoons, contradicting the 2+2 pattern of slurring for the viola beginning with the second half of m. 172. In S2, Schumann changed the articulation in m. 173: the woodwinds have a 4+2 pattern of slurring, and the viola has staccato for both eighth notes of the second beat. His changes cause the woodwinds and viola to articulate the third beat together, and the staccato adds an element of lightness that did not occur in MS2.

Although the differences between MS2 and S2 are few, they are significant. Some provide insight into how Schumann perceived the relationship between the first and

___

69, and 71; and viola on the first beat of m. 72.

[5]This is the most substantive difference in C and D when compared with S2.

fourth movements of the Symphony; others suggest how he regarded the character of certain passages in the movement. Collectively, the differences between MS2 and S2 result in two different readings, both of which reflect a sense of resolution in the narrative, albeit through different means.

IV. THE FOURTH-MOVEMENT THEME IN B

Bargiel notated several bowings, dynamics, articulation marks, expressive indications, and tempo changes that reveal how the fourth movement was interpreted just as he had done for the first movement. The bowings, dynamics, and articulation marks especially demonstrate how certain thematic and accompanimental material was performed and, in some cases, how thematic material from the fourth movement relates to that of the first. Some of his marks, including those that indicate changes in tempo and expression, offer reinterpretations that are questionable in that they change Schumann's intention.

Bowings in several passages throughout the fourth movement indicate that certain notes in either a primary theme or an accompanimental part were interpreted with regard to the amount of sound with which certain notes should be played. Upbows for a fragment of the first-movement theme played by the viola in mm. 17-20 seem surprising at first notice, especially when the *subito forte* with which each fragment begins is considered (Example 9.8).[6] Each fragment was played with an upbow, probably to ensure

---

[6]Presumably, the same bowing would be applied to the cello and contrabass, which also play the same fragment of the first-movement theme with the viola.

that the last sixteenth note of the figure is also played with an upbow instead of a downbow, thereby avoiding too much emphasis for what should be a weak-sounding pitch.[7] Consecutive upbows for an accompanimental passage played by the violins in mm. 172-173 and mm. 180-181 may have served a similar purpose (Example 9.9). The upbow naturally produces less forceful sound than the downbow or an alteration between the two bowstrokes would. Whether these measures were bowed in Schumann's time as Bargiel indicated is unknown, but they reflect one way in which certain figures were interpreted.

In some passages, bowing combined with articulation lends special emphasis to particular notes within a thematic idea. The articulation and bowing of the fourth-movement theme played by the violins in mm. 18-26 reveal that special emphasis was given to the dotted eighth notes of the first and, beginning in m. 21, third beats of each measure (Example 9.10). Each dotted eighth note received a tenuto mark followed by staccato for the following notes. Pairs of notes were bowed together. This combination of articulation and bowing results in an alteration between heaviness for the beginning of each half of the measure and a lightness for the remainder. Furthermore, this bowing-articulation scheme recalls a similar figure in the first movement (mm. 136, 140, 210, 214) that Bargiel indicated was played with the same articulation and bowing. Thus, interpreters of Bargiel's time seem to have realized the relationship between these two

---

[7]When this fragment occurs in m. 350-352 of the first movement, it begins with a downbow. The articulation of this figure, which differs from that of the fourth movement, results in the last sixteenth note being played with an upbow.

figures and chosen to play them with the same bowing and articulation, thereby using these devices as another means of bringing the relationship between the two movements to the attention of the auditors.[8]

Some of Bargiel's articulation in this movement change an effect that Schumann specifically notated. In mm. 27, 29, and 31, Bargiel indicated that the first violin played the entire measure with one slur, negating the slurring that Schumann had specified (Example 9.11). Bargiel's notation here not only changes Schumann's slurring, but also affects the articulation of the intervening measures and m. 32, where all notes in these measures are slurred together. Schumann, therefore, had intended alternating patterns of articulation in this passage, in which some measures had two slurs (mm. 27, 29, and 31), while others had just one (mm. 28, 30, 32). With Bargiel's changes to mm. 27, 29, and 31, in which notes of the entire measure are slurred together, no alteration exists.

Notations of certain dynamics yield similar controversial results. In m. 59, Bargiel notated an additional *piano* to the one already written for the woodwinds and horns in D, so that the level has been changed from *piano* to *pianissimo*. Because he did not notate the same change for the strings, which also play at a *piano* dynamic level, the balance between the winds and strings is changed. This dynamic indication is similar to m. 47 of the first movement, where he also notated *pianissimo* for the woodwinds but made no change to the *piano* dynamic level for the strings. Also problematic is Bargiel's notation

---

[8]Bargiel notated the same bowing-articulation scheme when this figure returns in mm. 59-76 and 82-113.

of the regularization of dynamics. In m. 91, Schumann had indicated only those instruments that have the primary theme – the flutes and first violin – play the downbeat with *subito forte-piano*, leaving the accompanying instruments without this special dynamic indication. Thus, Schumann seems to have intended this dynamic as a special nuance for the primary theme. With the regularization that Bargiel notated, in which all instruments play the downbeat *subito forte-piano*, the special attention to the primary theme has been shifted to the downbeat of the measure as a whole (Example 9.12).

Equally problematic are the tempo and expressive indications Bargiel notated. In m. 39, which marks the beginning of the second key area, Bargiel noted that this section begins *animato*. This indication is problematic for two reasons. First, it changes the character of this section and contradicts the *dolce* indication that Schumann had notated. Second, tempo and character changes associated with *animato* are reserved in this movement for the coda, where an increased tempo begins first in m. 187 (*Schneller*) and later in m. 211 (*Presto*). Thus, the *animato* in m. 39 destroys the fervor with which Schumann had ended the Symphony.

The *tranquillo* that Bargiel notated in m. 82 seems to be contradictory with regard to the character of the passage (Example 9.13). Measure 82 marks the beginning of the development of the fourth-movement theme. Given that this passage is part of the development section of the movement, drama and turmoil play significant roles. Here, Schumann achieved tension by indicating that each entrance of the theme be played *subito forte-piano*. The context in which this passage occurs, with its dramatic progress

395

and the dynamics that Schumann had provided, make Bargiel's *tranquillo* a curiosity at the very least.

V. THE FOURTH-MOVEMENT THEME IN M

Mahler introduced several changes to the fourth-movement theme and accompaniment that involve dynamics, instrumentation, and articulation, just as he had to the first-movement theme. Like those of the first movement, some of these changes in the fourth movement alter the character of elements within a phrase or subsection of the movement; others change the attributes of larger sections, ultimately affecting the temperament of the movement as a whole.

At the beginning of the fourth movement proper, Mahler altered the sound of the first-key area by changing existing dynamics and by striking the trumpets in certain measures. Instead of each instrument of the orchestra beginning the first key area with *fortissimo*, Mahler indicated that the brass should play *forte* instead (Figure 9.1). Execution of these dynamics with orchestras of Mahler's and Schumann's times may produce the same results, but Mahler's change nevertheless alters the relationship between families of instruments. By indicating the same dynamic level, Schumann clearly desired a blended sound created by the entire orchestral body, without one family dominating over another.

That Schumann perceived the orchestra as a unit functioning together is seen in his instrumentation. Throughout the first key area, one sound dominates because each instrument Schumann chose to use plays continuously until the final cadence of this

396

section (m. 25).[9] Mahler changed the continuity of the sound mass Schumann created by having the trumpets rest in mm. 18 and 20. Because the trumpet is a prominent-sounding instrument, its silence in mm. 18 and 20 creates a fluctuation within the sound mass that was not suggested by Schumann.[10]

Mahler's concern for the sound of particular passages is seen in similar changes he made in the second key area. He strove for a very hushed sound by reducing the dynamic level from *piano* to *pianissimo*. Furthermore, he omitted the oboes in mm. 39-41 and indicated that the violins and viola are to play "Griffbrett" (Figure 9.2). Mahler certainly meant the strings to play on the fingerboard (omitting the "am" in the phrase "am Griffbrett"), which produces a flute-like effect. The instrumentation change he made with this special instruction for the strings results in a synthetic flute-like sound created by the flutes and upper strings, which replaces the woodwind-string blend that Schumann composed and one of the sounds that he used throughout much of the first and last movements especially. Mahler's emendation in these measures, in fact, is peculiar because in no other passages in the Symphony did he (or Schumann, for that matter) attempt to artificially replicate the sound of one particular instrument through special techniques of certain instruments.

---

[9]One exception involves a full-measure rest for the timpani in m. 19. Because the timpani marks rhythm rather than contributes to the overall timbre, its silence in this measure does not greatly affect the overall sound of the passage.

[10]Mahler circled the trumpet, trombone, and timpani parts in mm. 21-24, which suggests that he contemplated changes to these parts. He may have considered cutting them as he had the trumpets in the previously aforementioned measures.

Other changes that Mahler made to the second key are also curious. In m. 40, he moved the hairpin accent for the first flute from the second beat to the first beat. Reasons for this are unclear, particularly because one of the distinctive features of the theme is an accent on the second beat. He also added *pianissimo* dynamics in mm. 45 and 47 that follow Schumann's *subito forte-piano* indications on the second beat of both of these measures. With Schumann's dynamics, presumably the third and fourth beats of these measures are played *piano*, but with Mahler's added *pianissimo*, this change in dynamics results seems peculiar in this lyrical passage.

Several of the instrumentation and dynamic changes that Mahler introduced to this movement result in an interpretation that is uncharacteristic of the character of the thematic ideas themselves and also of the Symphony as a whole. Also problematic are articulation marks that Mahler added. Beginning in m. 59 and later in mm. 82-113, he noted that the theme is played with an ambiguous staccato mark (<) (Figure 9.3).[11] Whether Mahler suggested that these passages be played with each note clearly detached or with special accent on each note (or perhaps both) is unclear. What is clear is that the articulation of the notes in these passages is to be distinct from other instances where the same rhythm occurs, such as in mm. 25-26.

In addition to making emendations to specific thematic ideas in this movement, Mahler also offered ideas for how the climax of certain sections of the movement should

---

[11]In m. 82, Mahler transposed the downbeat of the bassoons up one octave so that now they and the cello play the theme entirely in unison. He also changed Schumann's *piano* on the downbeat of the measure to *pianissimo*.

be reached. In both the closing sections of the exposition and the recapitulation, Mahler indicated that all instruments should crescendo in mm. 73 and 163 respectively, attaining a *fortissimo* level in the ensuing measures. The *crescendos* themselves are relatively unproblematic because the purpose and temperament of this passage calls for an increase in volume. The placement of the *fortissimo* on the second beats of both mm. 74 and 164 is problematic, however (Figure 9.4). This beat marks the first chord of an authentic cadence, the second chord for which occurs on the downbeats of mm. 75 and 165. The *fortissimo*, therefore, seems more appropriate for the downbeats of mm. 75 and 165, because the actual climax of the closing section is reached with the resolution of this cadence.[12]

Mahler changed the sound of the fourth movement through emendations involving instrumentation, performance indications, dynamics, and articulation. Some alter relationships between instruments as well as the sound of particular passages. Others change the character of specific thematic ideas, although, in the case of mm. 59ff and mm. 82ff, the meaning of the symbols Mahler used is not entirely clear. Through his use of dynamics, Mahler also marked climaxes of sections within the movement, and with them, offered an interpretation that is questionable.

---

[12]Mahler added similar *crescendo-fortissimo* dynamic sequences in mm. 178-179 and 186-187. In both cases, the *fortissimo* occurs on the second beat of the latter measure, the harmony for which is not a tonic chord, making placement of this dynamic identical to that of mm. 74 and 164. Playing the dynamic on the downbeats of the measures that follow does not work because of either a new melodic idea (m. 180) or a new section (m. 187). Mahler, then, was consistent about the placement of his dynamic emendations in passages that are similar.

Example 9.1. Examples of Transformations of the Fourth-Movement Theme in S2

Example 9.2. Orchestration and Instrumentation of the Theme in the Second Key Area

Example 9.2a. Mm. 39-41

Example 9.2b. Mm. 45-47

Example 9.3. Intensification of a Cadential-Like Figure, mm. 114, 116, 118, 120

Example 9.4. Articulation of the Lyrical Theme in the Coda, mm. 172-175

Example 9.5. Comparison of Articulation of Motives z and x

Example 9.5a. MS2

Movement One, m. 350

Movement Four, m. 17

Example 9.5b. S2

Movement One, m. 350

Movement Four, m. 17

Example 9.6. Patterns of Beaming for the First-Movement and Fourth-Movement
Themes, mm. 17-20

Example 9.6a. MS2

Example 9.6b. S2[1]

[1] As noted in Chapter Nine, the *f* for the viola in m. 19 of S2 is probably an error.

Example 9.7. Rewriting of the Second Violin, mm. 73-75

Example 9.7a. MS2

Example 9.7b. S2

Example 9.8. Bowings for the Fourth-Movement Theme Notated by Bargiel, mm. 17-20

Example 9.9. Bowings for an Accompanimental Passage Notated by Bargiel, mm. 172-173, 180-181

Example 9.10. Articulation and Bowing of the Fourth-Movement Theme Notated by
Bargiel, mm. 17-26

Example 9.11. Slurring or Bowing Notated by Bargiel, mm. 27-32

Example 9.11a. S2

Example 9.11b. B

Example 9.12. Regularization of Dynamics Notated by Bargiel, m. 91

Example 9.13. Expressive Indication Notated by Bargiel, m. 82

Figure 9.1. Mahler's Changes to Dynamics and Instrumentation, mm. 17-21

Figure 9.2. Mahler's Dynamic Emendations and Special Performance Instructions,
mm. 39-41

Figure 9.3. Mahler's Articulation Emendations, mm. 82-83

Figure 9.4. Mahler's Dynamic Emendations, mm. 73-74

CONCLUSION

Robert Schumann's D-minor Symphony faced a mixed reception and much misunderstanding during the second half of the nineteenth century. Changes in nineteenth-century aesthetics and performance practices decisively informed much of the criticism, and these issues further complicated the work's subsequent reception. Although awareness of the mixed and negative criticism may have prompted Schumann's revision of his 1851 manuscript for the 1853 publication, perceptions of shortcomings in the Symphony endured. Most of these criticisms involved its orchestration, which prompted Clara Schumann, Alfred Dörffel, and Gustav Mahler to offer their own interpretations through emendations and reinterpretations to Schumann's score. Notations by Woldemar Bargiel, which purported to preserve changes introduced in actual performances, provide insight into the differences between Schumann's intention and how the Symphony was actually interpreted during the second half of the nineteenth century.

The aesthetics of the symphony as a genre reflected philosophical trends current in the nineteenth century. Because a musical composition transcended language, it had to have special meanings that transport the auditor into an unknown world of imagination and emotion. For Schumann, that special meaning derived from the auditor's imagination. To stimulate that imagination and, by extension, the special meaning, the composer had to approach symphonic composition from the standpoint of originality. That is, the work had to be free from earlier models, because that freedom inspires the creation of the

work's special meaning. Thus, the composition could rely neither on borrowed ideas nor on an explicit program, for both would interfere with the auditor's individual understanding of the work.

An implied narrative serves as the special meaning for Schumann's D-minor Symphony. Clues concerning this narrative are found in the Symphony's large-scale form, its themes and transformations, and its orchestration. Each of the four movements is to be played successively without breaks. With thematic connections among the four movements and transformations of those themes throughout the Symphony, a musical-narrative whole results.

The implied narrative of the Symphony is created from the themes and their orchestration. The introductory theme, first stated at beginning of the Symphony, sets the atmosphere for much of the work; transformations over the course of the work create a drama that moves from despondency in the first movement to jubilation in the last. Emotions of hopelessness, joy, and uncertainty fluctuate in the middle movements.

Schumann conveyed these emotions through his treatment of thematic material and through orchestration. In the second and third movements of the Symphony, the "private" movements, the auditor is introduced to the specific personae, the most significant being a female protagonist. In the second movement, the Romanze, the protagonist expresses her own voice through instrumentation and articulates the psychological effects of two of her relationships (suggested by instrumentation of the Romanze theme) through thematic transformations of the introductory theme. Although

419

her voice is subsumed with others in the third movement, her emotions are not: additional transformations of the introductory theme especially take the auditor through moments of joy and uncertainty.

In addition to the protagonist's voice, voices of observers are heard. In the second movement, they comment on the protagonist's relationships, whereas in the third movement, they function as a collective body in moments of happiness via the scherzo theme.

The first- and fourth-movement themes occur in the outer, "public" movements of the Symphony. Motives for both derive from the introductory theme. Thus, the introduction to the first movement and the first movement proper are linked through shared motives that recur in the fourth movement. The orchestration of these motives and themes suggests that in these movements, Schumann incorporated his narrative voice through observers of the protagonist's relationships who express their collective views of the drama in the first movement and partake in her celebration in the last movement. Schumann scored these movements predominantly for combinations of woodwind and string instruments, thereby creating a homogeneous sound and suggesting a uniform outlook on the protagonist's situation. His scoring in these outer movements stands in especially sharp contrast to that of the second movement, where specific patterns of articulation and dynamics entrusted to different instruments suggest variant opinions on the dramatic events.

The interpretation of Schumann's D-minor Symphony offered in this dissertation, then, is firmly rooted in the musical substance and in the composer's aesthetics. Regarding interpretation of Schuman's works, Frederick Dorian proposed a comparable general approach on which this interpretation is based:

Let us now summarize Schumann's statements for the guidance of his performer of today. Clearly, in rendering musical ideas of poetic or pictorial background, the interpreter must inquire into the sources of the fantasies. Yet in no wise must the fantasy-provoking heading of the piece be confused with an extraneous story of the music. Then again, Schumann's score script, being more detailed than that of his predecessors, sets down specifically what he wants conveyed in tones. Even so, no amount of verbal indications, which from now on join specific musical directions, can cover the whole ground, and it is here that room is left for the personal contribution of the performer. The true Schumann interpreter, portraying the author's world of dreams and fantasies on an instrument, does more than simply outline the score. He first makes the hidden poetic idea of the work his own, then he retraces the musical structure of the score in utmost loyalty.[1]

---

[1]Frederick Dorian, *The History of Music in Performance* (New York: Norton, 1942), 228.

Unfortunately, many of the Symphony's detractors during the second half of the nineteenth century failed to understand Schumann's compositional approach. Reviews of the Symphony were mixed and, at times, contradictory. Whereas some critics admired Schumann's orchestration, for example, others, particularly in the latter years of the nineteenth century, denounced it. Furthermore, changes to the D-minor Symphony made by Clara, Dörffel, Bargiel, and Mahler also indicate misunderstanding. The changes they introduced in dynamics, articulation, and instrumentation not only alter its sound, but they also modify relationships between instruments, which, in turn, obliterate the special meaning of the work.

Reasons for mixed criticism and for posthumous changes to the work's orchestration stem above all from changes in performance practices. During the second half of the nineteenth century, the size of the orchestra grew considerably in terms of the number of instruments and the construction of the instruments involved. Although no uniform disposition exists, these changes adversely affected the Symphony in that a thick, muddy sound resulted, obscuring Schumann's artfully nuanced orchestration. In an effort to avert this situation, later interpreters substantially reworked its instrumentation, dynamics, and articulation. Misunderstanding the implied narrative, some editors also regularized significant but effective inconsistencies.

Conductors as well as editors altered the Symphony. The role of the conductor changed considerably during the course of the nineteenth century. In the first years, the primary function of conductors in a performance was to beat time; during the course of

422

the century, this function evolved into interpretation. The line between realizing the composer's intention and interpretation was often blurred, so much so that interpreters such as Mahler believed their emendations reflected Schumann's intention, yet resulted in obscured interpretations.

During Schumann's time, mixed reviews of the Symphony may have prompted him to revise his 1851 manuscript for the 1853 publication. Many of his changes seem to clarify the implied narrative. For example, he regularized variants in articulation, dynamics, and beaming in the outer movements, which resulted not only in creating a uniform execution of the thematic and accompanimental material, but also in clarifying the "public" function of these movements. The "private" middle movements still feature some variants in instruments that double, but Schumann regularized those that appear to have had secondary implications. These changes clarify details of the implied narrative and augment the significance of the variants that remain.

Unfortunately, many of the changes introduced by Clara, Dörffel, Bargiel, and Mahler obscured this narrative. Their emendations, in fact, suggest that they regarded the Symphony as a purely instrumental work that carried no implied meaning. Their omission of certain peculiarities of Schumann's score, such as the *piano* for the cello in m. 25 of the second movement, the regularization of dynamics and articulation, and the reinstrumentation of certain passages most likely derive from such incognizance. Yet, their emendations are a product of their time. The symphony as a genre and the orchestra as a medium changed considerably from the mid-nineteenth century to the beginning of

the twentieth century. These changes prompted critics, editors, and conductors to reconsider the effects of symphonies composed in the earlier part of the century. Thus, emendations to works such as Schumann's D-minor Symphony reflect practices of their time instead of a historical awareness that recaptures, in the case of the Symphony, its special meaning. Emendations, then, offer valuable insight into how later nineteenth-century musicians, critics, and editors perceived earlier music, and they demonstrate performance practices and aesthetics of symphonic literature during the last decades of the nineteenth century.

Close scrutiny of Schumann's aesthetics and his application of them invites auditors to investigate the special meaning in his compositions. Through his acute compositional practice and orchestrational technique, Schumann transported the auditors into a new world. In the case of the D-minor Symphony, that new world encompasses an implied narrative, which is inspired by a musical-narrative association whose drama unfolds in the auditor's imaginations.

Contrary to common belief, Schumann was a competent, if not excellent, orchestrator who clearly understood the potential of individual instruments and the effects of using the orchestra as a unified entity. Furthermore, his orchestration is intricately bound to the implied narrative he advanced in the D-minor Symphony. Thus, this dissertation concurs with Frederick Niecks's argument that Schumann's orchestration is an integral element in the meaning of Schumann's music.

This interpretation of the implied narrative in Schumann's D-minor Symphony offered here is but one of many. Methodology used to discuss this narrative could be reapplied to this Symphony, offering new insights into its special meaning. It can also be used for Schumann's other symphonic works to discover their special meanings. Reevaluating Schumann's aesthetics and his approach to symphonic music, then, will reveal a myriad of special meanings, creating a variegated world of infinite implied narratives inspired by boundless imagination.

REFERENCE LIST

Published Sources

Unpublished Sources

Published Sources

I. General Studies

Brown, A. Peter. *Performing Haydn's "The Creation": Reconstructing the Earliest Editions*. Bloomington: Indiana University Press, 1986.

Hiller, Ferdinand. *Mendelssohn. Letters and Recollections*. Translated by M.E. von Glehn. New York: Vienna House, 1972.

Kerman, Joseph and Alan Tyson. "Beethoven, Ludwig van." *The New Grove Dictionary of Music and Musicians*, edited by Stanley Sadie. 20 vols. London: Macmillan, 1980). 2:354-414.

Lehner, Ernst and Johanna. *Folklore and Symbolism of Flowers, Plants and Trees*. New York: Tudor, 1990.

Maunder, Richard. *Mozart's Requiem: On Preparing a New Edition*. New York: Oxford University Press, 1988.

Spohr, Louis. *Louis Spohr's Autobiography*. Translated from the German. 2 vols. London: Longman, Green, Longman, Roberts, and Green, 1865.

Tchaikovsky, Peter Ilyich. *Musikalische Erinnerungen und Feuilletons*. Edited by
    Heinrich Stümcke. Berlin: Harmonie, 1899.

Thomas, Rose Fay, ed. *Memoirs of Theodore Thomas*. New York: Moffatt Yard, 1911.

von Weber, Max. *C.M. von Weber: Ein Lebensbild*. 3 vols. Leipzig: Ernst Keil, 1964.

Wagner, Richard. *Selected Letters of Richard Wagner*. Translated and edited by Stewart
    Spencer and Barry Millington (New York: W.W. Norton, 1987).

II. Reviews/Advertisements

"Achtes Abonnementconcert." *Signale für die musikalische Welt* 12, no. 50 (7 December
    1854): 401-402.
"Aus Düsseldorf." *Düsseldorfer Journal und Kreis-Blatt* 12, no. 112 (11 May 1853).

"Aus Prag. Mai 1870 (Das Conservatorium)." *Allgemeine musikalische Zeitung* 5, no. 21
    (1870): col. 166-167.

"Berichte. Nachrichten und Bemerkungen." *Allgemeine musikalische Zeitung* 7, no. 5
    (31 January 1872): col. 81-86.

"Berichte. Nachrichten und Bemerkungen." *Allgemeine musikalische Zeitung* 9, no. 51
    (23 December 1874): col. 810-813.

"Berichte. Nachrichten und Bemerkungen." *Allgemeine musikalische Zeitung* 10, no. 50
    (15 December 1875): col. 793-799.

"Berliner Briefe." *Niederrheinische Musik-Zeitung* 2, no. 6 (11 February 1854): 44-46.

"Concerte." *Deutsche Musik-Zeitung* 7 (11 February 1860): 55.

"Concerts." *Dwight's Journal of Music* 10, no. 20 (14 February 1857): 158-159.

"Concerts." *Dwight's Journal of Music* 26, no. 23 (2 February 1867): 390-392.

"Concerts et Auditions musicales." *La Revue et Gazette musicale de Paris* 41, no. 8 (22
    February 1874): 61-62.

"Concerts et Auditions musicales." *La Revue et Gazette musicale de Paris* 41, no. 9
    (1 March 1874): 69-70.

"Correspondance." *La Revue et Gazette musicale de Paris* 20, no. 21 (22 May 1853): 188-189.

"Correspondenzen." *Deutsche Musik-Zeitung* 2 (13 April 1861).

Cristal, Maurice. "Revue des concerts." *La Chronique musicale* 4, no. 21 (1 May 1874): 117-125.

"Crystal Palace." *The Musical Times* 577, no. 32 (1 March 1891): 151-152.

"Crystal Palace Concert." *The Musical Standard* 6, no. 135 (2 March 1867).

"Crystal Palace, Winter Concerts." *The Musical Standard* 2, no. 33 (1 December 1864).

"Deutschland." *Allgemeine Zeitung* 46, no. 145 (25 May 1853).

"3. philharmonisches Concert." *Bohemia* 40, no. 60 (3 October 1867): 705-706.

"Dur und Moll." *Signale für die musikalische Welt* 11, no. 15 (31 March 1853): 115-118.

"Dur und Moll." *Signale für die musikalische Welt* 11, no. 17 (14 April 1853): 132-134.

"Dur und Moll." *Signale für die musikalische Welt* 11, no. 46 (16 November 1853): 366-368.

"Dur und Moll." *Signale für die musikalische Welt* 12, no. 5 (26 January 1854): 36-38.

"Dur und Moll." *Signale für die musikalische Welt* 14, no. 48 (20 November 1856): 540.

"Dur und Moll." *Signale für die musikalische Welt* 20, no. 4 (16 January 1862): 55-58.

"Dur und Moll." *Signale für die musikalische Welt* 20, no. 8 (6 February 1862): 103-108.

"Dur und Moll." *Signale für die musikalische Welt* 22, no. 52 (9 December 1864): 961-968.

"Dur und Moll." *Signale für die musikalische Welt* 24, no. 48 (16 November 1866): 821-831.

Düsseldorfer Journal und Kreis-Blatt 12, no. 112 (11 May 1853).

"Das einunddreizigste Niederrheinische Musikfest." *Kölnische Zeitung* (21 May 1853).

"Das 31. Niederrheinische Musikfest zu Düsseldorf." *Signale für die musikalische Welt* 11, no. 24 (2 June 1853): 185-188.

"Gedächtnissfeier für Robert Schumann in Bonn, 17.-19. August 1873." *Allgemeine musikalische Zeitung* 8, no. 37 (10 September 1873): 577-581.

Leipziger allgemeine Zeitung (9 December 1841).

Leipziger Zeitung (4 December 1841): 4492.

"Locales." *Deutsche Musik-Zeitung* 3 (1 March 1862): 70-71.

"London Symphony Concerts." *The Musical Times* 35, no. 14 (1 April 1894): 240.

"Musicalische Zustände in Leipzig." *Niederrheinische Musik-Zeitung* 15, no. 11 (16 March 1867): 84-87.

"Musikbericht aus Aachen." *Allgemeine musikalische Zeitung* 9, no. 22 (3 June 1874): col. 344-347.

"Nachrichten." *Allgemeine musikalische Zeitung* 45, no. 50 (15 December 1841): col. 1068-1076.

"Nachrichten." *Allgemeine musikalische Zeitung* 45, no. 51 (22 December 1841): col. 1098-1102.

"Nachrichten." *Deutsche Musik-Zeitung* 53 (31 December 1860): 420.

"Neuntes Gesellschafts-Concert in Köln." *Niederrheinische Musik-Zeitung* 8, no. 10 (10 March 1860): 86.

"New Yorker Briefe." *Signale für die musikalische Welt* 20, no. 29 (12 June 1862): 353-355.

Oakeley, Herbert. "Ein Engländer über deutsche Musikaufführungen und Werke deutscher Meister." *Allgemeine musikalische Zeitung* 8, no. 45 (5 November 1873): col. 714-715.

"The Philharmonic Society." *The Musical World* (New York) 21, no. 8 (19 February 1859): 115-116.

Pratt, George W. "Düsseldorf Music Festival." *The Musical World and New York Musical Times* 6, no. 7 (18 June 1853): 100-101.

"Tagebuchblätter aus dem Münchener Concertleben des Jahres 1881/82." *Allgemeine musikalische Zeitung* 17, no. 11 (15 March 1882): col. 169-173.

"Viertes Abonnementconcert." *Signale für die musikalische Welt* 11, no. 43 (3 November 1853): 337-338.

von Zuccalmaglio, Anton Wilhelm. "Concert von Clara Schumann." *Neue Zeitschrift für Musik* 15, no. 50 (21 December 1841): 198-199.

"Wissenschaftliche und Kunstnachrichten." *Leipziger Zeitung* (13 December 1841): 4597.

"Wochentlicher Kunstbericht: Musik und Theater." *Düsseldorfer Journal* 15, no. 276 (19 November 1853).

"Zweites Gesellschafts-Concert im Casinosalle." *Niederrheinische Musik-Zeitung* 1, no. 20 (12 November 1853): 159-160.

III. Schumann's Life and Works

Boetticher, Wolfgang. *Robert Schumann: Einführung in Persönlichkeit und Werk*. Berlin: Hahnesfeld, 1941.

The Complete Correspondence of Clara and Robert Schumann. Edited by Eva Weissweiler. Translated by Hildegard Fritsch and Ronald L. Crawford. 2 vols. New York: Peter Lang, 1994.

Finson, Jon. *Robert Schumann and the Study of Orchestral Composition: The Genesis of the First Symphony, Op. 38*. Oxford: Clarendon, 1989.

———. "Robert Schumann: The Creation of the Symphonic Works." Ph.D. diss., The University of Chicago, 1980.

Jansen, F. Gustav. *Robert Schumanns Briefe: Neue Folge*. Leipzig: Breitkopf & Härtel, 1904.

Schumann, Eugenie. *Robert Schumann: Ein Lebensbild meines Vaters*. Leipzig: Koehler & Amelang, 1931.

Schumann, Robert. *Jugendbriefe*. Edited by Clara Schumann. Leipzig: Breitkopf & Härtel, 1885.

———. *The Life of Robert Schumann Told in His Letters*. Translated by May Herbert. 2 vols. London: Richard Bentley, 1890.

IV. Scores

Schumann, Robert. *Drei Romanzen, Op. 28*. Edited by Clara Schumann. *Werke*. Ser. 7, *Für Pianoforte zu 2 Händen*. Leipzig: Breitkopf & Härtel, 1881-1893. Reprint, Farnborough: Gregg Press, [196?].

———. *Drei Romanzen für Hoboe, Op. 94*. Edited by Clara Schumann. *Werke*. Ser. 5, *Für Pianoforte und andere Instrumente*. Leipzig: Breitkopf & Härtel, 1881-1893. reprint, Farnborough: Gregg Press, [196?].

———. *Romanzen und Balladen, Op. 64*. Edited by Clara Schumann. *Werke*. Ser. 13, *Für eine Singstimme, mit Begleitung des Pianoforte*. Leipzig: Breitkopf & Härtel, 1881-1893. Reprint, Farnborough: Gregg Press, [196?].

———. *Symphonie No. IV, D moll: Introduction, Allegro, Romanze, Scherzo und Finale in einem Satze für grosses Orchester*. Leipzig: Breitkopf & Härtel, 1853.

———. *Vierte Symphonie*. Edited by Clara Schumann. *Werke*. Ser. 1, *Symphonien*. Leipzig: Breitkopf & Härtel, 1881-1893. Reprint, Farnborough: Gregg Press, [196?].

———. *Vierte Symphonie: Introduction, Allegro, Romanze, Scherzo und Finale in einem Satze für grosses Orchester*. Edited by Alfred Dörffel. Leipzig: C.F. Peters, [1890-1899?].

V. Studies in Narratology

Abbate, Carolyn. *Unsung Voices: Opera and Musical Narrative in the Nineteenth Century*. Princeton, N.J.: Princeton University Press, 1991.

Cone, Edward. *The Composer's Voice*. Berkeley: University of California Press, 1974.

Kramer, Lawrence. "'As if a Voice Were in Them:' Music, Narrative, and Deconstruction." In *Music as Cultural Practice, 1800-1900*. Berkeley, 1990.

Marston, Nicholas. "'Im Legendenton': Schumann's 'Unsung Voice.'" *19th-Century Music* 16, no. 3 (spring 1993): 227-241.

Maus, Fred Everett. "Music as Narrative." *Indiana Theory Review* 12 (spring and fall 1991): 1-34.

———. "Narrative, Drama, and Emotion in Instrumental Music." *Journal of Aesthetics and Art Criticism* lv (1997): 293-303.

Nattiez, Jean-Jacques. "Can One Speak of Narrativity in Music?" *Journal of the Royal Musical Association* 115, part 2 (1990): 240-257.

Newcomb, Anthony. "Once More between Absolute and Program Music: Schumann's Second Symphony." *19th-Century Music* 7, no. 3 (1983-4): 233-250.

———. "Schumann and Late Eighteenth-century Narrative Strategies." *19th-Century Music* 11, no. 2 (fall 1987): 164-174.

VI. Studies of Performance Practice and Aesthetics

Berlioz, Hector and Richard Strauss. *Treatise on Instrumentation*. Translated by Theodore Front. New York: Dover, 1991.

Brown, Clive. *Classical & Romantic Performing Practice 1750-1900*. New York: Oxford University Press, 1999.

Brown, Thomas Alan. *The Aesthetics of Robert Schumann*. New York: Philosophical Library, 1968.

Carse, Adam. *The Orchestra from Beethoven to Berlioz*. New York: Broude Brothers, 1949.

Coerne, Louis Adolphe. *The Evolution of Modern Orchestration*. New York: Macmillan, 1908.

Dörffel, Alfred. *Geschichte der Gewandhausconcerte zu Leipzig vom 25. November 1781 bis 25. November 1881*. Walluf: Sändig, 1972.

Dorian, Frederick. *The History of Music in Performance*. New York: W.W. Norton, 1942.

Karsten, Otto. "Die Instrumentation Robert Schumanns." Ph.D. diss., University of
Vienna, 1922.

Koch, Heinrich Christoph. *Musikalisches Lexikon*. Frankfurt: 1802. Reprint, Hildesheim:
Georg Olms, 1964.

Koury, Daniel J. *Orchestral Performance Practices in the Nineteenth Century: Size,
Proportions, and Seating*. Ann Arbor: U.M.I. Research Press, 1986.

Lawson, Colin and Robin Stowell. *The Historical Performance of Music: An
Introduction*. Cambridge: Cambridge University Press, 1999.

Lippman, Edward. "Theory and Practice in Schumann's Aesthetics." In *The Philosophy
and Aesthetics of Music*. Lincoln: University of Nebraska Press, 1999.

Mintz, Donald. "Mendelssohn as Performer and Teacher." In *The Mendelssohn
Companion*, edited by Douglass Seaton. Westport, Conn.: Greenwood, 2001.

Niecks, Frederick. "Schumann's Instrumentation, and His Position as a Symphonist." *The
Musical Times* 23, no. 473 (1 July 1882): 367-369.

Orland, Henry. "Symphonic Sound Ideals from 1750 to 1850 and Their Cultural
Background." Ph.D. diss., Northwestern University, 1959.

Porter, Cecelia Hopkins. "The New Public and the Reordering of the Musical
Establishment: The Lower Rhine Music Festivals, 1818-67." *19th-Century Music*
3, no. 3 (March 1980): 211-224.

Reicha, Anton. *Treatise on Melody*. Translated by Peter M. Landey. Hillsdale, N.Y.:
Pendragon, 2000.

Schroeder, Carl. *Handbook of Conducting*. Translated and edited by J. Matthews.
London: Augener, 1889.

Wagner, Richard. *On Conducting: A Treatise on Style in the Execution of Classical
Music*. Translated by Edward Dannreuther. St. Clair Shores, Mich.: Scholarly
Press, 1976.

Weingartner, Felix. *On Conducting*. Translated by Ernest Newman. New York: Kalmus,
[1905?].

VII. Studies of Romantic Music

Bonds, Mark Evan. *After Beethoven: Imperatives of Originality in the Symphony*. Cambridge, Mass.: Harvard University Press, 1996.

Dahlhaus, Carl. *Nineteenth-Century Music*. Translated by J. Bradford Robinson. Berkeley: University of California Press, 1989.

Finscher, Ludwig. "Zwischen absoluter und Programmusik." *Über Symphonien: Beiträge zu einer musikalischen Gattung*. Edited by Christoph-Hellmut Mahling. Tutzing: Hans Schneider, 1979. 103-115.

Hanslick, Eduard. *Geschichte des Concertwesen in Wien*. 2 vols. Vienna: Wilhelm Braumüller, 1869-1870. Reprint, Farnborough: Gregg, 1971.

Hueffer, Francis. *Half a Century of Music in England, 1837-87*. London: Chapman and Hall, 1889.

Kerman, Joseph, et. al. "Beethoven, Ludwig van." *The New Grove Dictionary of Music and Musicians*. Edited by Stanley Sadie and John Tyrrell. 2nd ed. 29 vols. London: Macmillan, 2001. 3:73-140.

Kuhe, Wilhelm. *My Musical Recollections*. London: R. Bentley, 1896.

Larey, Franklin. "Developing Variation, Thematic Transformation, and Motivic Unity in the *Quintet for Piano and Strings*, op. 34, by Johannes Brahms." D.M.A. diss., University of Cincinnati, 1996.

Lippman, Edward, ed. *Musical Aesthetics: A Historical Reader*. 3 vols. Aesthetics in Music, no. 4. New York: Pendragon Press, 1988.

Moos, Paul. *Die Philosophie der Musik von Kant bis Eduard von Hartmann*. Berlin: Deutsche Verlags-Anstalt, 1922.

Newcomb, Anthony. "Schumann and the Late Eighteenth-Century Narrative Strategies." *19th-Century Music* 11, no. 2 (fall 1987): 164-174.

Schumann, Robert. *Gesammelte Schriften über Musik und Musiker*. 2 vols. Leipzig: Georg Wigand, 1871.

———. *On Music and Musicians*. Edited by Konrad Wolff. Translated by Paul Rosenfeld. New York: Pantheon, 1946.

434

———. *Schumann on Music*. Translated and edited by Henry Pleasants. New York: Dover, 1965.

Solomon, Maynard. *Beethoven*. 2nd ed. New York: Schirmer, 1998.

von Herder, Johann Gottfried. *Sämmtliche Werke*. 48 vols. Stuttgart: J. G. Cotta'scher, 1830.

Wackenroder, Wilhelm Heinrich. *Werke und Briefe*. Edited by Friedrich von der Leyen. 2 vols. Jena: Eugen Diederichs, 1910.

VIII. Studies of Schumann's Symphonies

Abraham, Gerald. "The Three Scores of Schumann's D Minor Symphony." In *Slavonic and Romantic Music*. New York: St. Martin's Press, 1968.

Carner, Mosco. "Mahler's Re-scoring of the Schumann Symphonies." *The Music Review* 2 (Feb.-Nov. 1941): 97-110. Reprint, *Of Men and Music: Collected Essays and Articles*. London: Joseph Williams, 1944.

Cummings, Ronn. "Analysis of the Re-orchestrations of Robert Schumann's Four Symphonies Employed by Felix Weingartner, with Four Recitals of Selected Works by Schumann, Beethoven, Tchaikovsky, Poulenc, Bizet, Rossini, and Chabrier." D.M.A. diss., The University of North Texas, 1997.

Just, Martin. *Robert Schumann Symphonie Nr. 4 D-moll*. Munich: Wilhelm Fink, 1982.

Maniates. Maria Rika. "The D Minor Symphony of Robert Schumann." In *Festschrift für Walter Wiora zum 30. Dezember 1966*, edited by Ludwig Finscher and Christoph-Hellmut Mahling. New York: Bärenreiter, 1967.

Riemann, Hugo. *Robert Schumann: Vierte Symphonie in D-moll*. Der Musikführer. Berlin: Schlesinger, n.d.

Roesner, Linda Correll. "Ästhetisches Ideal und sinfonische Gestalt: die d-moll Sinfonie um die Jahrhundertmitte." In *Bericht über das 3. Internationale Schumann-Symposion am 15. und 16. Juni 1988 im Rahmen des 3. Schumann-Festes, Düsseldorf*, ed. Bernhard R. Appel. New York: Schott, 1993.

Shore, Bernard. "Schumann's Symphony in D Minor." Chap. in *Sixteen Symphonies*. London: Readers Union, 1950. Reprint, Westport, Conn.: Hyperion, 1979.

Stein, Erwin. "Mahlers Instrumentations-Retuschen." *Pult und Taktstock* (November/December 1927): 117-122. Reprint, "Mahler's Re-scorings." In *Orpheus in New Guises: The Music of Mahler, Schoenberg, Webern, Berg, Britten*. London: Rockliff, 1953.

Tovey, Donald Francis. "Symphony in B Flat Major, No. 1, Op. 38." In *Essays in Musical Analysis: Symphonies*. 6 vols. London: Oxford University Press, 1935-1939. II:45-52.

———. "Symphony in D Minor, No. 4, Op. 120." In *Essays in Musical Analysis: Symphonies*. 6 vols. London: Oxford University Press, 1935-1939. II: 56-62.

Zlotnik. "Orchestration Revisions in the Symphonies of Robert Schumann." 2 vols. Ph.D. diss., Indiana University, 1972.

Unpublished Sources

Cooper, John Michael. Interview by author. Denton, Texas. 11 March 2003.

Schumann, Robert. *Robert Schumann's Sämmtliche Werke. Symphonie für Orchester*. Edited by Alfred Dörffel. Leipzig: C. F. Peters, [1890-1899?]. Revised additions and changes by Gustav Mahler. The James M. and Marie-Louise Osborn Collection, Beinecke Library, Yale University, Osb Music MS 530.

———. *Symphonie No. IV, D moll: Introduction, Allegro, Romanze, Scherzo und Finale in einem Satze für grosses Orchester*. Leipzig: Breitkopf & Härtel, 1853. Notations by Woldemar Bargiel. Düsseldorf, Heinrich-Heine-Institut.

———. "Symphonische Phantasie für grosses Orchester." Manuscript Score. 1851. Staatsbibliothek zu Berlin – Preußischer Kulturebesitz, Mus. ms. autogr. Schumann 17.