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# The Schumannian *déjà vu* – Special Strategies in Schumann's Construction of Large-Scale Forms and Cycles

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**Abstract:** The Schumann's sonata form (or sonata form-like) compositions little can be explained from the standpoint of tradition. Instead of classical dramatic contrasts, thematic action develops towards a definite goal. This type of musical narration often lasts to the end of the coda, in other cases the constant evolution of a thematic thought or the continual transformation of a motif receives the leading role. In order to obscure the essential events of the works or of the movements Schumann often employs "traditional" formal gestures. One of the most interesting is the repetition of a longer section in different keys, reminding of the exposition-recapitulation duality. The *déjà vu* feeling was generally one of the starting-point in Schumann's workshop to move away from traditional sonata procedures. Influenced by the *narrative content* of the works, various strategies were elaborated by him to excite the *déjà vu*, or to relive musical moments.

**Keywords:** Robert Schumann, sonata form, musical analysis

While listening to Schumann's works I often have the impression – and I suppose others have had this impression, too – that what is being experienced has happened before, that the present moment has already been "pre-lived". This special phenomenon may be traced in the large-scale forms and cycles composed before the early 1840s: in movements reminiscent of the traditional sonata form or stemming from the sonata principle. This phenomenon which I call *Schumannian déjà vu* is perceived in a different way from the central aesthetic moment of the classical sonata form: the double return, or the dualism of the exposition and recapitulation. In order to ease the dramatic tension created by preceding passages the recapitulation paraphrases the themes and materials of the exposition and creates or re-establishes the equilibrium of the closed tonal framework. The recapitulation is not merely a repetition of the exposition after the development and the retransition but a re-invocation of the musical action: the musical material of the first part of the movement is presented with a different function and a different quality. Naturally, the phenomenon referred to as Schumannian *déjà vu* is also more than mere repetition.

This study attempts to reveal the complexity of the Schumannian *déjà vu* and its difference from the traditional dualism of the exposition and recapitulation and from the double return through the analysis of a number of works. The essence of this difference may best be described by the word *ambiguity*: Either the earlier occurrence of a musical passage is uncertain, or the structural frames become ambiguous, or the function of structural units fades away. The Schumannian *déjà vu* constantly raises questions about time, location, reason, and manner. In contrast, the classical era, and the sonata form in particular, signifies security. Its dramatic contrasts, thematic structuring, tonal structure, and balanced proportions formulate clearly defined solutions and answers.

Schumann's *déjà vu* technique operates primarily on two levels: the thematic and the structural – this article focuses on the latter. On the thematic level *déjà vu* is created by various quotations and themes with similar melodic or rhythmic elements, or with similar tone, orchestration or character. Schumann had a unique gift for developing a delicate system of interrelationships between motifs and themes.<sup>1</sup> Quotations usually refer to a secondary meaning and may originate from another composer or another piece or movement of Schumann's. Moreover, quotations often interact with other themes within the piece, for instance the relationship between the quote of the Beethoven song and the other themes in the first movement of the Fantasia in C major.<sup>2</sup> Quotations in the Schumann oeuvre and their meanings have been extensively analysed; therefore I shall discuss a lesser known case. The melody in the Second Group of the last movement of the *Spring Symphony* (mm. 43 ff) (*Example 1a*) may be found in an earlier work: in two movements of the *Kreisleriana* cycle (covertly, as a kind of pre-figuration in No. 3 and in the final movement, in No. 8). (*Example 1b*) Although according to the first edition the *Kreisleriana* cycle was dedicated to Chopin, it had originally been written for Clara. A letter written to her in April 1838 reads:

Denke, seit meinem letzten Brief habe ich wieder ein ganzes Heft neuer Dinge fertig. "Kreisleriana" will ich es nennen, in denen Du und ein Gedanke von Dir die Hauptrolle spielen, und will es Dir widmen – Ja Dir wie Niemandem anders – da wirst Du lächeln so hold, wenn Du Dich wiederfindest".<sup>3</sup>

<sup>1</sup> For further reading see Dieter Conrad's study on Schumann's construction of themes in Piano Quintet Op. 44. Dieter Conrad: "Zu Schumanns Klavierquintett", *Musik-Konzepte*, Munich, 1981, pp. 343–356.

<sup>2</sup> John Daverio: "Schumann's 'Im Legendenton' and Friedrich Schlegel's *Arabesque*", *19th-Century Music* XI/2, 1987, p. 157; Anthony Newcomb: "Schumann and Late Eighteenth-Century Narrative Strategies", *19th-Century Music* XI/2, 1987, p. 170; Nicholas Marston: "'Im Legendenton': Schumann's 'Unsung Voice'", *19th-Century Music* XVI/3, 1993, pp. 227–241.

<sup>3</sup> *Clara und Robert Schumann Briefwechsel, Band I. 1832–1838* (Kritische Gesamtausgabe), ed. Eva Weissweiler, Stroemfeld/Roter Stern, Basel–Frankfurt am Main 1984, p. 138.

a

b

Examples 1a–b

Several scholars believe that although in the letter Schumann claimed to have portrayed Clara by quoting Clara's thoughts on music, he had in fact portrayed himself in the cycle.<sup>4</sup> An examination of the origins of this musical quotation leads us to a third person: Schumann's greatest model, Mendelssohn.<sup>5</sup> The theme always quoted in G minor by Schumann was borrowed from the second movement of Mendelssohn's String Quartet in E flat major op. 12 where it had originally appeared in G minor (*Example 2*). This reference to

<sup>4</sup> "[E. T. A.] Hoffmann hat in Schumanns schriftlichem wie musikalischem Schaffen deutliche Spuren hinterlassen; sein wunderliches Doppelleben, seine Art, das Wunderbare unmittelbar an die Welt des Alltags anzuknüpfen, schlugen in seinem Innern verwandte Saiten an. Aber in den "Kreisleriana" hat der Dichter dem Komponisten wohl wenig mehr als den allgemeinen Grundgedanken gespendet: die "Schumanniana" blicken deutlich hinter der literarischen Maske hervor." In: Hermann Abert: *Robert Schumann*, Schlesische Verlagsanstalt, Berlin 1920<sup>4</sup>, p. 73.

<sup>5</sup> Schumann wrote to Mendelssohn (22. 10. 1845): "...noch zuletzt haben wir uns in Ihre Orgelsonaten [op. 65] versenkt ... Und dabei doch überall das Vorwärtstreben, weshalb Sie mir immer als Vorbild dastehen." (Quotation according to: Gerd Zacher: "Die riskanten Beziehungen zwischen Sonate und Kirchenlied. Mendelssohns Orgelsonaten op. 65, Nr. 1 und 6", *Musik-Konzepte* 14/15, p. 34.



Example 2

Mendelssohn is further proof that Schumann identified himself with kapellmeister Kreisler from the writings of E. T. A. Hoffmann.<sup>6</sup>

An interesting example of the evocation of tone may be found in the 4th movement of the 1st Symphony. The development contains a storm similar to, but of lesser intensity than, that in Beethoven's 6th Symphony. Similarly, the middle section of the slow movement in the 2nd Symphony (*Example 3a*) besides the obvious Bachian reminiscence alludes to the introduction of the two maskers' song in Mozart's *The Magic Flute*: they are even in related keys (*Example 3b*).

Example 3a

Several Schumann pieces have an individual style of orchestration. For instance, the woodwind adds a special and memorable colour to the third and fourth movements of the 2nd Symphony – the motifs are closely related melodically (*Example 4*). Although the second theme in the first movement of the *Overture, Scherzo and Finale* is unrelated to the above-mentioned sections in terms of motif, it is similar to them in timbre and function (*Example 5*).

<sup>6</sup> The title of Schumann's cycle derived from the *Kreisleriana* section of E. T. A. Hoffmann's *Fantasiestücke in Callots Manier* (1814).

Example 3b shows a musical score for four staves: Violins I (V. I), Violins II (V. II), Viola (Va.), and Violoncello/Double Bass (Vc. e B.). The score is in 2/4 time and features a key signature of two flats. Measures 199 and 200 are highlighted. The Viola and Violoncello/Double Bass parts have a 'simile' marking. The Violoncello/Double Bass part has a 'Tutti Bassi' marking. The Violoncello/Double Bass part has a 'staccato' marking.

Example 3b

Example 4 shows two Clarinet parts. The first part is from the 2nd Symphony, 3rd movement, measure 36. The second part is from the 4th movement, measures 63 and 191. The Clarinet part for measure 191 has a 'p' dynamic marking.

Example 4

Example 5 shows a Clarinet part from the Overture, Scherzo and Finale, 1st movement (Overture), measure 59. The Clarinet part has a 'sfz' dynamic marking.

Example 5

The examples discussed thus far constitute only one segment of the Schumannian *déjà vu*. Another essential segment is the structural level. It is a well-known cliché in the literature that Schumann endeavoured to reform and reinterpret traditional large-scale forms (the sonata form, sonata-rondo, cycles, etc.) from the first decade of his creative period onwards – and frequently in a revolutionary way.<sup>7</sup> It is true that the so-called sonata form pieces of this period can, to a limited extent, be interpreted from the sonata tradition.

<sup>7</sup> On 31 May 1840 Schumann wrote to Clara: “Manchmal ist es mir doch als käme ich auf ganz neue Wege in der Musik.” (*Jugendbriefe von Robert Schumann*, ed. Clara Schumann, Leipzig, p. 315.) Linda Carol Roesner: “Schumann’s ‘Parallel’ Forms”, *19th-Century Music* XIV/3, 1991, pp. 265–266; Joel Lester: “Robert Schumann and Sonata Forms”, *19th-Century Music* XVIII/3, 1995, pp. 190–194, 204.

This is partly due to the fact that the term *sonata* signified a creative principle to Schumann and his contemporaries rather than a firm model or structure.<sup>8</sup> One of the consequences of these conceptual changes is that structural units and themes lose their traditional functions, their roles are often interchanged or become insignificant, structural units overlap, or the borderlines between them become indistinct. The tonality is often ambiguous due to misleading cadences, and the tonal polarity of the exposition is usually lacking. One of the most decisive moment of the classical sonata form – the double return – is reinterpreted: thematic and tonal recapitulation do not coincide and the moment of recapitulation fades away and is widened into a process (e. g. in the 1st movement of the *Spring Symphony*, see *Figure 1*). Similarly to classical dramatic contrapositions, thematic episodes also have a particular aim. This type of musical narration either lasts until the end of the coda, or is a constant development of the thematic idea, thus the constant transformation of motifs gains major significance.<sup>9</sup> A relevant example of musical narration is Schumann’s String Quartet in A, op. 41, no. 3 (1842). The search for tonal home seems to be the essence of the work as a whole. The slow introduction of the first movement begins with falling fifth over ii<sup>6</sup><sub>5</sub>, off the tonic. The musical narration reaches its goal, the realization of the home key, with the falling fifth (E–A, dominant–tonic) at the end of the movement. Similarly to the first movement, the primary driving force of the closing movement is the unde-

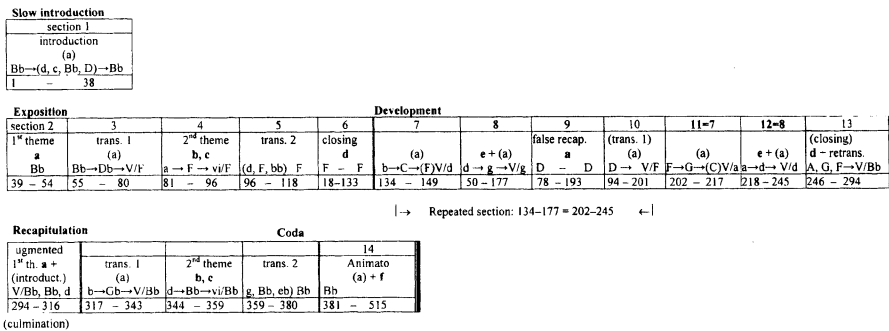


Figure 1: 1st Symphony (Spring) B flat major, op. 38  
1st movement (Andante un poco maestoso, Allegro molto vivace)

<sup>8</sup> “Mendelssohn wußte damals genau, was der Titel Sonate bedeutet. Er besagt einfach dies [...]: Sonate nicht als Schema, sondern als creatives Prinzip verstanden.” In: Gerd Zacher: “Die riskanten Beziehungen...”, p. 35.

<sup>9</sup> For this see the analysis of A. Newcomb on the 2<sup>nd</sup> Symphony and on the fourth movement of the String Quartet in A major op. 41/3 (see *Figure 2*): Anthony Newcomb: “Once More ‘Between Absolute and Program Music’: Schumann’s Second Symphony”, *19th-Century Music* VII/3, 1984, pp. 233–250; Anthony Newcomb: “Schumann and Late Eighteenth-Century Narrative Strategies”, *19th-Century Music* XI/2, 1987, pp. 164–174.

finned tonality. The fourth movement suggests, that we are in a kind of rondo form, but opposing the traditional rondo Schumann composed unstable principal theme in both metrical and tonal point of view. Schumann’s rondo theme is open in both structure and tonality. As a result it is not able to establish the key of the movement. That’s why we can hear the rondo theme as a transition between the metrically and structurally more stable episodes. Relating to the opening motive (falling fifth) of the first movement the opening and closing tonality of the rondo theme are in fifth relation (first time the rondo theme begins in A major and ends in D major). The home key (A major) is emphasized only in the last part of the movement, when the third episode (Quasi Trio) returns. After the first occurrence of the Quasi Trio in F major the whole movement is repeated a minor third higher. (Figure 2). For the second time the trio begins in E major to prepare the emphatic return to A major.

section 1	2	3	4	5	6
rondo theme	1 <sup>st</sup> episode	rondo theme	2 <sup>nd</sup> episode	rondo theme	3 <sup>rd</sup> episode
A (II <sup>6</sup> <sub>5</sub> ) → D	(A) → E	E (II <sup>6</sup> <sub>5</sub> ) → A	f# → f#	f# (II <sup>6</sup> <sub>5</sub> ) → A	Quasi Trio F → F
1 – 14	15 – 34	35 – 48	49 – 64	65 – 72	72 – 112

rondo theme	1 <sup>st</sup> episode	rondo theme	2 <sup>nd</sup> episode	rondo theme	3 <sup>rd</sup> episode	7
F (II <sup>6</sup> <sub>5</sub> ) → F	(C) → G	G (II <sup>6</sup> <sub>5</sub> ) → C	a → a	A (II <sup>6</sup> <sub>5</sub> ) → E(V)	Quasi Trio E → A	rondo th. + coda A → A
113 – 126	127 – 146	147 – 160	161 – 176	177 – 184	184 – 224	225 – 292

Figure 2: String Quartet A major, op. 41/3, 3rd movement

Another important issue is the close relationship between music and literature in Schumann’s works. Schumann often compared particular features of music he found important to literary works; his ideas on Schubert’s Symphony in C major and Beethoven’s music in general are among the most frequently quoted examples.<sup>10</sup> The following statement may thus be interpreted as his musical creed:

<sup>10</sup> In 1840 about Schubert’s C-Major Symphony Schumann wrote: *Und diese himmlische Länge der Sinfonie, wie ein dicker Roman in vier Bänden etwa von Jean Paul, der auch niemals endigen kann [...]* (Robert Schumann: *Gesammelte Schriften über Musik und Musiker. Eine Auswahl*, hrsg. Herbert Schulze, Verlag Philipp Reclam jun. Leipzig, pp. 177–178.), and extracts from Schumann’s diary, 1828: *Die Schubertschen Variationen sind Die Schubertschen Variationen sind überhaupt ein componirter Roman Göthe’s [...]* *Wenn ich Beethovensche Musick höre, so ists, als läse mir jemand Jean Paul vor; Schubert gleicht mehr Novalis, Spohr ist der leibhaftige Ernst Schulze [...]* (Robert Schumann: *Tagebücher, Bd. I, 1827–1838*, hrsg. Georg Eismann, Leipzig 1971, pp. 96–97.)



Wer Shakespeare und Jean Paul versteht, wird anders komponieren, als wer seine Weisheit allein aus Marpurg usw. Hergeholt.<sup>11</sup>

In other words, Schumann’s structural ideas and notions were not a mere reinterpretation of form but an adaptation into musical form of literary antitypes, including the Jean Paulian narrative.<sup>12</sup>

While retaining traditional formal gestures, Schumann diverts the attention from crucial events. One of the most remarkable structural dissimilarities is the repetition of longer passages in different keys and fragmentary or broken and double reprises. In the first movement of his Sonata in F sharp minor op. 11 Schumann repeats a long passage from the development (mm. 176–219 = mm. 280–323) in a different key (*Figure 3*). This sequence-like repetition is

Slow introduction

Introduzione
Un poco Adagio
ff
1 – 52

Exposition					Development				
section 1	2	3	4	5	6	7	8	9≈6	10
1 <sup>st</sup> theme	trans. 1		trans. 2	2 <sup>nd</sup> theme		false recapitul.	(introduzione)		retransition
a		b	(a)	c	(a, tr. 1, b)	a		(a, tr. 1, b)	(b)
ff → ff	ff → dh	eb	eb/dh → c# → A	A – A → ff	ff (xxx) → c#	c# → f – f	f → ab	g# (xxx) dh → ff	ff
53 – 98	99 – 106	107–122	123 – 145	146 – 175	176 – 221	222–247–267	268 – 279	280 – 323	324 – 331

↳ Repeated section: 176–214≈280–318 ←

Recapitulation

section 1	2	3	4	5
1 <sup>st</sup> theme	trans. 1		trans. 2	2 <sup>nd</sup> theme
a		b	(a)	c
ff → ff	ff → c#	c#	c# → h → ff	ff
332 – 349	350–357	358–373	374 – 392	393 – 419

Figure 3: Piano Sonata F sharp minor, op. 11  
1st Movement (Introduzione [Un poco Adagio], Allegro vivace)

often referred to as a typical Schubertian feature (e.g. the development in the first movement of Schubert’s Trio in E flat major op. 100).<sup>13</sup> Schumann, however, goes one step further: he does not construct a succession of repeated passages but separates them. An important musical moment follows in the section in between, a citation of the slow introduction. Only then does the development continue. Schumann thus arrives at the recapitulation twice, and also twice invokes a feeling of tonal recapitulation – most impressive since the theme itself is unstable in tonality (*Example 6*).

<sup>11</sup> Robert Schumann: *Gesammelte Schriften* ..., p. 243.  
<sup>12</sup> “Most characteristically, Schumann, like Jean Paul, avoids clear linear narrative through a stress on interruption, embedding, digression, and wilful reinterpretation of the apparent function of an event (what one might call functional punning). He does so in such a way as to keep us wondering where we are in what sort of pattern — in such a way as to stress the process of narrative interpretation (the listener’s part in what Ricoeur calls ‘following a story’).” Anthony Newcomb: “Schumann and Late Eighteenth-Century”, p. 169.  
<sup>13</sup> “The sequential structure of the development is the most important aspect for the nineteenth century. The sequence is enormously expanded by Schubert, a technique adopted by Bruckner.” in Charles Rosen: *Sonata Forms*, W. W. Norton & Company, New York , London 1988 (revised edition), pp. 275–276.



Example 6

The 4th movement is more complex: structurally speaking it is a blend of sonata and rondo principles. The repetition of small structural units resembles the structure of the movement as a whole (Figure 4). The first theme, the rondo theme (mm. 1–16), modulates from F sharp minor to A major in a similar fashion to that of the opening theme in the first movement. Then the 8 bar fugato transition creates a clear-cut borderline with its squarish sforzatos and staccatos, and leads from A minor to E flat major. The first episode (mm. 24–49) has

Exposition		(Development)									
section 1	2	3	4	5=1	6=2	7	8	9	10	11	
rondo theme	trans. 1	1 <sup>st</sup> episode	trans. 2	r. theme	trans. 1	quasi 2 <sup>nd</sup>	developing &	developing &	(3 <sup>rd</sup> ep.) contr.	retransition	
a-b-a	(fugato)	c-d-e		a-b-a	(fugato)	ep. d	sequential parts 1	sequential parts 2	theme e	(a)	
f# → A	a → Eb	Eb → Eb	Eb → c	c → A	eb → A	A → f#	f# → (A/E) → A	A → (f#/D/h) → f#	f#	→ f#	
1 – 16	16 – 24	24 – 44	45 – 49	49 – 65	65 – 73	73 – 85	85 – 98 – 114 – 125	126 – 142 – 148 – 159	160 – 175	176 – 189	

Recapitulation											
section 1	2	3	4	5=1	6=2	7	8	9	10	11	
rondo theme	trans. 1	1 <sup>st</sup> episode	trans. 2	r. theme	quasi 2 <sup>nd</sup>	quasi 2 <sup>nd</sup>	developing &	developing &	(3 <sup>rd</sup> ep.) contr.	retransition	
a-b-a	(fugato)	c-d-e		a-b-a	ep. c	ep. d	sequential parts 1	sequential parts 2	theme e	(a)	
f# → A	a (Eb) C	C → C	C → a	a → Eb	Eb → Eb	Eb → c	c → (Eb/B) → Eb	Eb → (c/Ab/f) → c → bb	bb	→ eb	
189 – 205	205–213	213–227	234–238	238–254	254–262	263–275	275–288–304–315	316–332–338–350	351 – 366	367–380	

Coda	
section 1	13
rondo theme	Più Allegro
a-b-a	
d# → F#	F# → F#
380 – 396	397 – 462

Figure 4: Piano Sonata F sharp minor, op. 11, 4th movement (Finale)

an ABA structure and continues largely in E flat major until the shift to C minor at the last moment. Then the rondo theme returns in C minor and closes in E flat major (mm. 49–65). The fugato transition follows again (mm. 65–73) which leads from E flat minor to A major. The second episode is constructed from the middle section of the first one (mm. 73–85). The thematic material is then developed into a variational passage in the movement's tonic key (mm. 85–97). The passage is developed into a series of lengthy sequences or motivic sections (mm. 98–114, 114–125, 126–142, 142–148 and 148–159). This long and unstable section arrives at the tonic key of F sharp minor and a new lyrical (contrasting) theme is introduced (mm. 160–175). Then a thematic retransition follows (mm. 176–189) and with the launching of the rondo theme in the tonic key the whole monstrous movement is repeated. Apart from a few minor changes, Schumann makes a “word-for-word” repetition: the first interlude is in C major; the second return of the rondo theme begins in A minor and closes in C major. The fugato is omitted in the second return; the theme of the first interlude is reintroduced in E flat major instead (mm. 254–262) in exactly the same way as it was introduced at the beginning of the movement. The remaining sections are repeated at a distance of tritones until the introduction of the lyrical theme. The sequence preceding the lyrical theme is extended by one unit (m. 342), and as a result the theme is introduced in B flat minor. Following an enharmonic shift (E flat = D sharp) the rondo theme begins in D sharp minor and ends in F sharp major. Thus the transition (mm. 367–380) leading towards the rondo theme fulfils its function both thematically and tonally.

The movement consists of two major parts: the second part is a repetition of the first. Smaller units (e.g. the beginning of the movement and the unit formed by the rondo theme and the first interlude) are repeated in the two larger parts. Reference points, for instance the transitional fugato passage, become the centres of attention but work against the clarity of the structure as a whole because although they indicate the repetition of smaller units, the indications are not parallel in the two major parts. The themes themselves contain internal repetitions and the principle of repetition emerges on the motivic level as well. As regards the tonal plan of the movement, the tonic-dominant relation is substituted by tonalities at a distance of a minor third or tritone (F sharp – A – C – E flat). The only exception is the lyrical theme in B flat minor in the repetition.

As the analyses of the works show (see *Figures 1–10*), Schumann had a liking for re-experiencing certain musical passages, for “walking old roads”. This attitude may be detected on various levels of his large-scale forms, and determines the structure of several of his works. Furthermore, a wide range of different tonal distances is used between repeated passages: fifth, third, tritone

and major second. Certain movements are made up of one long repetitive section which includes the exposition and development of the traditional sonata. Movements of this type are called *parallel form* by Linda Carrol Roesner, who analyses 3 works in her study:<sup>14</sup> the first version of the 4th movement in *Sonata* op. 22, the opening and closing movements of *Concert sans Orchestre* op. 14 and the first and third movements of *Fantasy* in C major op. 17. In op. 14 there is an apparent symmetry between the tonal plans of the first and the fourth movements (*Figures 5, 6*): repetition is a fifth lower in the first movement and a fifth higher in the finale. Another interesting issue is the way the last movement was constructed: due to the two returns of the first theme, the two large structural units become interchangeable. In other words, the aesthetic experience is determined not by the traditional duality of the sonata form (the duality of antecedent-consequence and tension-release) but by a

Exposition				(Development)						
section 1		2	3	4	5	6	7	8	9 (cf. 5)	10
1 <sup>st</sup> theme (motto) <b>a</b> f	1 <sup>st</sup> theme <b>b</b> f → c	trans. 1 c → c	2 <sup>nd</sup> group <b>c</b> c → Eb	2 <sup>nd</sup> group (closing) <b>d</b> Eb → Eb → V/Eb	trans. 2 Eb → Ab	<b>b</b> Ab	<b>c</b> Db	<b>d</b> Ab	Ab → c	retransition (a, b) c → V/f
1 – 7	8 – 22	22–26	26 – 38	38 – 46 – 54	54 – 61	62 – 69	70 – 75	76–84	84 – 100	101–112

Recapitulation										
1 <sup>st</sup> theme (motto) <b>a</b> f → Gb	1 <sup>st</sup> th. b expanded b → c → V/f	trans. 1 f → f	2 <sup>nd</sup> group <b>c</b> f → Ab	2 <sup>nd</sup> group (closing) <b>d</b> Ab → Ab → V/Ab	trans. 2 Ab → Db	<b>b</b> Db	<b>c</b> Gb	<b>d</b> Db	(trans. 2) Db → f	retransition (a, b) f → f
113 – 119	120–142	42–146	146–158	158 – 166 – 174	174–181	182–189	190–195	96–204	204 – 220	221–226

Coda	
11	
1 <sup>st</sup> theme (motto) <b>a</b> f	(b) f
227 – 234	235–250

Figure 5: Concert sans orchestre, F minor, op. 14, 1st movement (Allegro)

Exposition				(Development)							
section 1	2	3	4	5	6	7=5	8=6	9	10(=3)	11(cf. 9)	12
1 <sup>st</sup> theme <b>a</b> f	trans. 1 f→c→Gb	2 <sup>nd</sup> theme <b>c</b> Gb → c	trans. 2 c → V/Eb	trans. 3 (b) Eb – Eb	3 <sup>rd</sup> theme <b>d</b> c → V/Bb	trans. 3 (b) Bb – Bb	3 <sup>rd</sup> theme <b>d</b> g → V/F	sequential part 1 (a) (c, g, d→bb, eb)	(2 <sup>nd</sup> theme) <b>c</b> Gb → ab → bb	sequential part 2 (a) bb, f, c → V/f	retransition V/f – V/f
1 – 9	9 – 17	17 – 37	37–46	46 – 59	60 – 74	74 – 87	88 – 102	102 – 120	120–136–144	144 – 160	161–166

Recapitulation											
1 <sup>st</sup> theme <b>a</b> f	trans. 1 f→c→Db	2 <sup>nd</sup> theme <b>c</b> Db → g	trans. 2 g → V/Bb	trans. 3 (b) Bb – Bb	3 <sup>rd</sup> theme <b>d</b> g → V/F	trans. 3 (b) F – F	3 <sup>rd</sup> theme <b>d</b> d → V/C	sequential part 1 (a) (g, d, a→f, bb)	(2 <sup>nd</sup> theme) <b>c</b> Db → eb → f	sequential part 2 (a) f → V/f	retransition V/f – V/f
167– 175	175–183	183 – 203	203–212	12–225	226 – 240	240–253	254 – 268	268 – 286	286–302–310	310 – 321	322–326

Coda	
13	
1 <sup>st</sup> theme + coda <b>a</b> f – f → F	
327	– 359

(Measure numbers according to the 2nd edition)

(Measure numbers according to the 2nd edition)

Figure 6: Concert sans orchestre, F minor, op. 14, 3rd movement (Prestissimo possibile)

<sup>14</sup> Linda Carrol Roesner: “Schumann’s ‘Parallel’ Forms”, *19th-Century Music* XIV/3, 1991, pp. 265–278.

long, maze-like musical process loaded with internal repetitions, thematic allusions and definite tonality without tonal tension. Several questions in Roesner’s analysis of the Fantasy in C major op. 17 remain open, for instance the role of the enigmatic passage, *Im Legendenton*, in the first movement (Figure 7). A Roesner-type Parallel Form interpretation of the movement is as relevant as an interpretation based on sonata form, rondo, song, or theme and variations.<sup>15</sup>

(Exposition)					(Development?)				
section 1	2	3	4	5	6	7	8	9	
1 <sup>st</sup> theme			transition 1	2 <sup>nd</sup> theme	trans. 2	2 <sup>nd</sup> theme	closing	trans. 3	
a1 (f.G) C → V/C	a2 V/C → V/c	a3 Eb	b c → g → d	c (f.G) d	d → V/f	c (f.G) F	F → (d)	d, g, c → V/C	
1 – 19	19 – 28	29 – 33	34 – 41	41 – 52	53–61	61 – 72	73 – 81	82 – 97	

10(=2)	11	12	13	14	15	16	17
1 <sup>st</sup> theme	trans. 4	1 <sup>st</sup> theme	Im Legendenton	2 <sup>nd</sup> theme	trans. 5		closing
a2 V/C → V/C	→	a2 (C) → V/C	b (f.G) b g, c, g, c → c → Db	c Gb → V/c	c → V/f	b f → V/c	(b) (c) → c
97 – 105	06–118	119 – 128	29–156 –174–181	181 – 194	95–203	204– 212	13–224

(Recapitulation?)							
3	4	5	6	7	8	9	
1 <sup>st</sup> theme	transition 1	2 <sup>nd</sup> theme	trans. 2	2 <sup>nd</sup> theme	closing	trans. 3	
a3 Eb	b (abridged) c	c (f.G) c	c → V/Eb	c (f.G) Eb	Eb → (c)	c, f → V/C	
225 – 229	230 – 233	233 – 244	245–253	253 – 264	65–273	274 – 286	

2	18
1 <sup>st</sup> th. a2 (abridged) V/C → V/C	closing (Adagio) ferne Geliebte” C
286–295	295 – 309

Abbreviation: f.G = motif from the quotation „ferne Geliebte”

Figure 7: Fantasie C major, op. 17, 1st movement

Furthermore, Roesner’s claim that Schumann did not compose parallel form works after the late 1830s needs careful scrutiny. Although lacking in opening movements, parallel form is present in slow movements and finales. The slow movement of the *2nd Symphony* seems to be a conventional sonata form, but it is similar in structure to the third movement of *Fantasy* in C major (Figure 8). The closing movement of *Piano Quartet* op. 47 is also unique (Figure 9): the principle of repetition is applied on several levels as in the finale of op. 11, but after the motto signalling the beginning of the recapitulation, a double counterpoint based on the contra subject of the opening fugue is introduced instead of the simple recurrence of the beginning of the movement.

The structure of the *4th Symphony* is also unconventional. The first movement (Figure 10, Example 7) is created from a single, energetic motif. The themes and transitions of the exposition and the development are all derived

<sup>15</sup> NB. A comparison of studies on this movement with a mixed structure could well form the subject of another study. Nicholas Marston: “Im Legendenton...”, *19th-Century Music* XVI/3, 1993, pp. 227–229.

**a**

section 1	2	3	4	5	6
<b>a</b>	<b>b-c</b>	<b>d-e-d-e-d-e-e<sup>+</sup>-e<sup>+</sup></b>	<b>f-f</b>	<b>e<sub>var</sub></b>	<b>g</b>
C → V/C	V/C (F, d) V/C	Ab → V/F → V/g → (F) III <sup>1</sup> /F	V/g → f	F	F → III <sup>1</sup> /F
1 - 14	15 - 29	30 - 36 - 40 - 51	52 - 59	60 - 67	68 - 71

**b**

Exposition	Development
section 1	7
1 <sup>st</sup> theme	coda (e, d)
<b>a</b>	<b>b-c</b>
c → V/Eb	(d, g) → V/F
1 - 8	72 - 86
8 - 19	87 - 93 - 97 - 102
20 - 25	103 - 110
26 - 35	111 - 118
36 - 44	119 - 122
45 - 48	123 - 142
48 - 62	
62 - 74	

**Recapitulation**

trans. 1	intensification 1	(cadence)	intensification 2	closing
(Eb) → Bb	f → (Eb, c) → Ab	Ab → Eb(I <sup>6</sup> <sub>4</sub> )	Eb → (g, Bb, d, c) → Eb	c → f → V/c
1 - 8	8 - 19	20 - 25	26 - 35	36 - 44
45 - 48	48 - 62	62 - 74		

**Coda**

quasi recap.	trans. 1	intensification 1	(cadence)	intensification 2	closing
(retrans.) <b>a</b>	(C) → G	d → (C, a) → F	F → C(I <sup>6</sup> <sub>4</sub> )	C → (e, G, h, a) → C	(a) C
V/c pedal	74 - 81	82 - 91	92 - 100	101 - 104	104 - 118
					118 - 128

Figure 8a: Fantasie C major, op. 17, 3rd movement  
 8b: 2nd Symphony C major, op. 61, 3rd movement (Adagio espressivo)

Exposition				Development					
section 1				section 2	3	4	5	6 = 5	7
motto (a)	"fugue" (b)	motto (a)		c	d	c'	(a, b)	e (a)	(a, b)
Eb	Eb → Eb	Eb		c (Eb) →	Bb → Bb	Bb	Bb → e	f → Gb → bb	eb → Eb
1 - 4	4 - 19	19 - 22		23 - 38	38 - 58	58 - 62	63 - 81	81 - 93	93 - 112
									112 - 131
									131 - 140

Recapitulation				Coda					
motto (a)	recomposed and extended (b)	c	d	c'	(a, b)	(a, d)	e (a)		(a, b)
Eb	Eb (Ab)	c (Eb) →	Eb → Eb	Eb	Eb → a	a → F	bb → Cb → eb		eb → Eb
140 - 143	143 -	191	192 - 199	199 - 219	219 - 223	224 - 242	242 - 254	254 - 273	273 - 282

Coda	
section 8	9
motto (a')	closing (a, b, c)
Eb	Eb
282 - 293	294 - 341

Figure 9: Piano quartet E flat major, op. 47, 4th movement (Finale)

from and centred around this motif. The first climax of the development occurs when the latent rhythm of this base motif is transformed into a triumphant theme anticipating the 4th movement and is responded to by a contrasting theme, a songlike melody. Tonal recapitulation begins with the contrasting theme lightened into the major key. Schumann repeats the long passage leading to the climax and the contrasting theme a minor third higher. Thus the development is lengthened to a monstrous size, tonal recapitulation is short-

Exposition					Development
section 1	2	3	4	5	6
introduction	1 <sup>st</sup> theme <b>I</b>	transition 1 <b>( I )</b>	2 <sup>nd</sup> theme <b>( I )</b>	closing <b>( I )</b>	transition 2 <b>( I )</b>
d (F)	d →	→ →	F →	→ →	xxx → →
1 – 28	29 – 42	43 – 58	59 – 67	67 – 86	87 – 100

Development (continuation: repeated central section)

7	8	9	10	11	12
<b>( I )</b>	triumphant theme	contrasting theme: <b>II</b>	<b>( I )</b>	<b>II</b>	closing of the section <b>( I )</b>
eb → e... →	Db (...) Db →	F → d	d → a →	A → f# →	f# → →
101 – 120	121 – 146	147 – 154	155 – 158	159 – 166	167 – 174
<b>( I )</b>	triumphant theme	contrasting theme: <b>II</b>	<b>( I )</b>	<b>II</b>	closing of the section <b>( I )</b>
# → g... →	E (...) E →	Ab → f	f → c →	C → a →	a → →
175 – 194	195 – 220	221 – 228	229 – 232	233–240	241 – 248

Development (continuation)

Quasi recapitulation

13	14	15	16	17	18
<b>( I )</b>	transition 3 <b>( I )</b>	retransition 1 <b>( I )</b>	retransition 2 <b>( II )</b>	<b>II</b>	closing <b>I</b>
a → g → f	f → →	f → d (V)	D (V) → →	D → →	D → D
249 – 264	265 – 276	277 – 296	297 – 311	312 – 336	337 – 358

Figure 10: 4th Symphony, 1st movement

1st theme (I)



Triumphant theme



Contrasting theme (II)



Example 7

ened, and thematic recapitulation becomes pointless because of the numerous repetitions of the base motif of the opening theme. The contrasting theme emerges in the musical narration which reaches from D minor to D major among the swirling keys. Whether the musical process might have a different outcome and whether further versions of the base motif of the first movement might arise is revealed in the final movement.<sup>16</sup> The slow introduction of the 4th movement follows the 3rd movement (*attacca*) directly. In the succeeding quick section the rhythmic theme of the development of the 1st movement alternates with the base motif in D major and a series of lighter themes emerge from them. Thus the musical moment is “re-experienced” but the direction of motion is different. In other words, the *déjà vu* becomes “inter-movemental” and the tonal parallelism of repeated passages is refined into being parallel to an earlier state.

A similar thematic sublimation can be observed in the finale of *Symphony No. 2*. The first part of the movement conforms to the formal requirements of the sonata-rondo; the first episode (mm. 63 ff) contrasts a songlike, arched, legato melody in the dominant with a powerful, dynamic, rhythmic rondo theme. Then an extensive development evolves from the introductory scale and cadential harmonic progression following the restatement of the first part of the rondo theme. Remnants of the rondo theme recur later in equal note values followed by the inversion of the episode theme in G minor and the process finally fades away and is closed in C minor. The new theme (mm. 280 ff) emerging from motivic fragments of earlier actions is introduced in C minor (harmonized in E flat major) following the general pause (*Example 8*). After an over 50-bar-long retransition the lyrical theme created through a minor melodic transformation in the development is restated in C major instead of the restatement of the rondo theme and leads to the triumphal close of the piece. This lyrical theme (mm. 394 ff) belongs to Schumann’s allusions with double reference. The primary is to the last song of Beethoven’s song cycle *An die ferne Geliebte*, the secondary is to Schumann’s previous allusion to Beethoven’s song in his *Fantasy* op. 17.<sup>17</sup>

<sup>16</sup> Since connecting all of the movements *attacca* the whole work is regarded as a great fantasy-like sonata form in four sections: slow introduction and Allegro di molto = exposition, Romanza and Scherzo = development, Largo = retransition, Finale: Allegro vivace = recapitulation. For this see the original title of the autograph (*Symphonistische Phantasie für grosses Orchester*), and the title page of the first edition of 1853 (*SYMPHONIE N°. IV. D moll Introduction, Allegro, Romanze, Scherzo und Finale in einem Satze für großes Orchester*). Robert Schumann *Thematisch-Bibliographisches Werkverzeichnis*, ed. Margit L. McCorkle, G. Henle Verlag, München 2003, pp. 505–512.

<sup>17</sup> Anthony Newcomb: “Once More . . .”, p. 246; Richter Pál: “Bitematikus stratégiák szonáta formájú tételekben” [Bithematic Strategies of Sonata Form Movements], *Magyar Zene* 39/2, 2001, pp. 161–162.



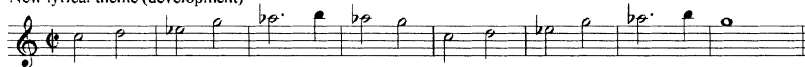
## Rondo theme



## Episode theme



## New lyrical theme (development)



## New lyrical theme (recapitulation)



## Example 8

In conclusion, although my inquiry was based on perception and subjective experience, the examples discussed above are characteristic of Schumannian composition. The phenomena I call Schumannian *déjà vu* are products of the same technique: a latent interrelationship of themes and a sequential repetition of a long and complex musical process in various keys. In this way, the internal order, tonal structure, the hierarchy of structural units and the traditional dramatic structure of the so. nata is altered. Departing from the classical sonata principle, Schumann thus created a novel concept of sonata composition in terms of both content and structure.