A SCHENKERIAN APPROACH TO TEXT-MUSIC RELATIONS IN SELECTED LIEDER BY ROBERT SCHUMANN

by

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Abstract

This is an analytical and interpretive study of selected songs by Robert Schumann. In it, I showcase some of the possible ways that concepts in Schenkerian analysis can reveal interesting, hidden, or new text-music relations. These relations, in turn, allow for new and imaginative interpretative possibilities. I demonstrate how specific Schenkerian analytical findings resonate with structures, imagery, and meaning in the poetic text of seven songs.

Three songs are presented as individual case studies and each exemplify how a musical structure can take on the status of musical metaphor for a feature in the text. In “Sängers Trost” (Op. 127, no. 1), I show how tension and release in the poetry correspond to rising and falling linear progressions and that a motive introduced in the accompaniment is transformed at the vocal highpoint. In “Frühlingslust” (Op. 125, no. 2), I show how the binary opposition between freedom and imprisonment—respectively represented by a butterfly and love in the text—is dramatized in the song’s tonic-dominant polarity, and how voice-leading techniques (superposition, cover tone, and register transfer) characterize the butterfly’s carefree flight. In “Die Meerfee” (Op. 15, no. 3), I investigate how an exotic chromatic voice-exchange, within what is revealed to be a dramatic elaboration of a middleground neighbour note figure, captures the wonder and confusion experienced by a young boy who witnesses a sea fairy.

In a chapter on the Vier Husarenlieder Op. 117, I discuss how the four songs in the collection cohere poetically and musically. A reaching-down gesture (Untergreifung) in “Der Husar!” provides access to a solemn facet of the Hussar’s personality and contrasts with his cultivated bravura. In “Der leidige Frieden,” an octave transfer of 2/V embodies the role-reversal between the Hussar and his saber. I discuss how the Hussar’s conflation of civilian and military life relates to the song’s formal organization in “Den grünen Zeigern.” Lastly, I show how the transference of the Urlinie from the voice to the accompaniment resonates with the image in the text of the Hussar galloping away on horseback.
Preface

This work is original, unpublished, and independent work by the author, Alexander Martin.

Analysis was conducted using the musical scores from Robert Schumanns Werke, Serie XIII: Für eine Singstimme, mit Begleitung des Pianoforte, ed. Clara Schumann (Leipzig: Breitkopf und Härtel, 1879–1912). These scores are in the public domain and are available free for download at the International Music Score Library Project (www.imslp.org/wiki).

It is assumed that the reader has a general knowledge of Schenkerian terms and principles. Readers wishing to review terms and graphic notational practices may wish to consult a textbook, such as Analysis of Tonal Music: A Schenkerian Approach by Allen Cadwallader and David Gagné (listed in the bibliography).

All voice-leading sketches were type-set using Sibelius music notation software and are the property of the author, Alexander Martin.

All translations are by the author, unless otherwise noted. Where possible, I have tried to maintain the word order of the German original; elsewhere I have taken greater liberty with the text and opted for a more colourful rendering. Additional footnotes are provided in cases where subtle nuances of meaning are relevant to a full understanding of the poem, a word or expression is archaic and requires further explanation, or more information is otherwise warranted.

An earlier version “Consolation in Song” (see Chapter 2) was presented at the 2013 Pacific Northwest Music Graduate Student Conference at the University of Victoria before becoming part of Chapter 2 of the present work.

My analysis and interpretation of “Der Husar, trara!” and “Der leidige Frieden” (see Chapter 3) was presented at the 2013 Vancouver International Song Institute’s Song Scholarship Program as part of the Student Roundtable: Schenkerian Approaches to Lied Analysis.
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I would like to express my enduring thanks to the academic and social community of Green College at the University of British Columbia, where I have had the pleasure of living these past two years. To my fellow residents, I am, and shall forever remain, yours in ideas and friendship.
To my grandma Dot
1 Chapter: Introduction

1.1 Aim and Scope

The primary aim of this thesis is to demonstrate that concepts in Schenkerian theory can enrich song scholarship by revealing interesting, hidden, or new types of text-music relationships. These in turn invite new interpretive possibilities, with respect to the poem and the song. In order to show this, I will discuss several Lieder and show how specific Schenkerian analytical findings can resonate with structures, imagery, and meaning in the poetic text. Events in the music thus take on the status of musical metaphors for what happens in the text. In determining what kind of metaphors can be developed for a given song, a Schenkerian analyst preparing to examine and interpret a piece of music might, for instance, ask some of the following questions: How does the trajectory of the Ursatz (fundamental structure) align with structures in the poem? Is the structural descent of the Urlinie (fundamental line) in any way connected to what transpires in the text? How are linear motives elaborated and transformed in relation to the textual narrative? How might specific voice-leading techniques such as superposition, motion from an inner voice, reaching over, or register transfer relate to moments in the text? How, specifically, are structural harmonies prolonged—or avoided—and what consequences does this have for our interpretation of the poem and the song? Are musical elements coordinated with the text in such a way as to reinforce a textual meaning, or to subvert it (i.e. musical irony)? These questions will guide my analysis and interpretation of several songs in the discussion ahead.¹

For the purpose of this study, I have chosen to concentrate on Lieder by Robert Schumann (1810–1856). Schumann’s songs and song cycles are, alongside Franz Schubert’s, among the most celebrated in the Lied genre. However, Schumann’s Lied aesthetics differ slightly from Schubert’s practice. In Schumann, as John Daverio sees it, the role of the piano accompaniment assumes greater prominence; the purpose of the piano preludes and postludes is to comment on and provide greater nuance to the music in the vocal line.\(^2\) Schumann’s settings of German Romantic poetry usually respond to the shape of the text, such that modified strophic and tripartite (ABA) forms are preferred.\(^3\)

However, we shall soon discover that Schumann thwarted expectations when it suited his expressive needs. This is especially evident in his unique harmonic language. Departures from convention typically occur at climactic moments in the poem, or else respond to unusual features of the text; Schenkerian analysis emerges as a powerful tool for examining and accounting for these fracture points, in that it elucidates how Schumann’s harmonic vocabulary operates within a background diatonicism. As compact and sensitive settings of poetry, Schumann’s songs therefore provide a suitable milieu for the work here undertaken.

The more famous collections of songs, such as *Liederkreis* Op. 24 (‘Heine’), *Myrthen* Op. 25, *Liederkreis* Op. 39 (‘Eichendorff’), *Frauenliebe und -leben* Op. 42, and *Dichterliebe* Op. 48, were all composed during Schumann’s famous 1840 *Liederjahr* (year of song) and have been the subjects of several books and articles.\(^4\) Since so much has already been written about

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\(^3\) Ibid., 206.

\(^4\) Books and articles on these collections are too numerous to list here. Contributions that are particularly germane to this study will be cited in due course, and listed in the bibliography. For a general orientation of published analyses pertaining to these works, please refer to relevant entries in D. J. Hoek, *Analyses of Nineteenth- and Twentieth-Century Music, 1940–2000* (Lanham, Md.: Scarecrow Press and Music Library Association, 2007), 237–40. See also listings from Daverio’s bibliography in John Daverio, *Robert Schumann: Herald of a “New Poetic Age”*. 
them by eminent scholars, I intend to focus mainly on songs that comprise Schumann’s later opus numbers. The field of musicology has seen a renewed interest in Schumann’s later works, with several recent books and collected essays covering his “late style” (generally regarded as including works composed after 1850). However, these songs have hitherto received little to no attention from music theorists. I hope that my analysis of these hidden gems will convince the reader that the more obscure songs merit our appreciation and enjoyment as listeners and analysts every bit as much as the more familiar works.

In Chapter 2, I present my analysis and interpretation of three songs: “Sängers Trost” (Op. 127, no. 1), “Frühlingslust” (Op. 125, no. 2), and “Die Meerfee” (Op. 125, no. 3). As individual case studies, these three analyses each exemplify either how a Schenkerian reading can illustrate how a musical structure is made to function as a metaphor for a feature of the text, or how a specific Schenkerian analytical detail embodies or enacts a feature of the text. I will discuss what I mean by “metaphor,” “embody,” and “enact” as these ideas arise during my examination of these songs.

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5 Because of the complicated publication history, a high opus number does not necessarily correspond to a late work. For example, songs such as “Mein Wagen Rollet Langsam,” “Lehn’ deine Wang,” “Es leuchtet meine Liebe,” and “Dein Angesicht,” though originally written in 1840 and considered for membership in Dichterliebe (Op. 48), were only later published as part of Fünf Lieder und Gesänge (Op. 127) Vier Gesänge (Op. 142), published in 1854 and 1858 respectively. Of the seven songs examined in the present study, only one has a similar history: “Sängers Trost” (Op. 127, no. 1) was written in 1840 and originally composed to belong to the Kerner Liederreihe (Op. 35).


In “Sängers Trost,” Schumann’s practice of tonal pairing between the third-related keys of B♭ major and G minor—a hallmark of his musical language—captures the tension in this song between the protagonist’s doubts about death and the possibility of his finding consolation in nature. Tension and release in the lines of the poetry that juxtapose the ephemeral world of mankind with the eternity of nature are shown to coincide with rising and falling linear progressions in the music. Lastly, the pervasive motive F–F♯–G is traced from its first appearance in the bass-line of the accompaniment to its appearance in the final strophe, where it leads to the vocal highpoint. A truly transcendent moment, the climactic mention of Mondenlicht—a word which occupies a prestigious significance in Romantic poetry—marks the end of a progression in the text from the mundane to the celestial, and is coordinated with a rising linear progression that implies the parallel minor key by respelling the F♯ as G♭.

In “Frühlingslust,” I explore how the primary dichotomy established in the poetry between freedom and imprisonment—represented respectively by the figures of the butterfly and love—is captured in the song’s unusual privileging of dominant harmony within tonic-dominant polarity. The voice-leading techniques of superposition, cover tone, and octave-transfer are shown to be acting in cooperation with or in opposition to this dynamic, which is in turn dictated by the action in the text. Lastly, specific pitch classes come to be associated with particular concepts or characters in the text: for example, G♯ (associated with freedom) is persistently

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employed as a substitution for G♭ (associated with imprisonment). My analysis traces the interplay between these tonal problems and discusses their outcome.

In “Die Meerfee,” the sudden shift in focus in the poem from the supernatural fairy to the young boy who witnesses her fantastical presence initiates a singular, wildly chromatic episode in the musical setting. In my analysis, I demonstrate how the chromatic voice-exchange that characterizes this episode is a dramatic enlargement of a middleground chromatic neighbour-figure within a prolongational span of the structural dominant by showing a possible, step-by-step, derivation for it. Following this passage, the structural descent of the Urlinie occurs rapidly and is shown to resonate effectively with the poem’s concluding lines. In anticipation of the song’s conclusion, I discuss how elements in the music leading up to the climactic final strophe help to foreshadow the tonal disorientation that occurs there, and how the sixteenth-notes in the piano postlude serve as an after-image to the text.

The focus of Chapter 3 is to examine how the four songs in the Vier Husarenlieder (Op. 117) cohere both poetically and musically to form a unified collection. The songs are essentially about what it means to be a soldier during wartime and peacetime. While at times jovial in reflection of merriment during peacetime, Schumann’s wartime soundscape is dark and foreboding. I trace how recurring motives form links between adjacent songs, and how the organization of key centers projects a long-range tonal argument.

In “Der Husar, trara!” I discuss how the primary dichotomy between wartime and peacetime is established and how the poetic themes in each of the three stanzas are tied—explicitly or obliquely—to the remaining three songs in the collection. With respect to the music, I show that a reaching-down gesture is coordinated with a sudden change in harmony, accompanimental texture, and use of rhythm, to provide access to a solemn inner world that
exists in stark contrast to the superficial, lighthearted showboating that characterizes this song and is represented in the normative descent of the *Urlinie*.

In “Der leidige Frieden,” I explore the gradual role reversal between the Hussar and his saber, and how this is embodied in the musical structure. The process is completed in Schumann’s setting of the music in the final strophe, where the penultimate structural tone of the *Urlinie* completes a transfer of register into a lower octave at precisely the psychological moment when the Hussar realizes that he has traded joys with his sword.

“Den grünen Zeigern” compares and contrasts the soldier’s experiences of life before and after he adopted his profession. The two walks of life, represented by the keys of E♭ major and G minor within ternary form (ABA’), are linked in interesting ways in the music, and are synthesized in the A’ section, which boasts a more active and overtly martial accompaniment. The potential significance of this procedure is evaluated on the basis of temporality, key relations, and with respect to the reaching-over gesture that occurs towards the piece’s structural descent of the *Urlinie*.

In the final song, “Da liegt der Feinde,” I discuss how Schumann’s setting of the music juxtaposes horrendously bleak imagery of death and suffering against ironic praises for the Hussar’s virtues, and I examine how the structural descent of the *Urlinie* is problematized in the vocal line through unusual processes of prolongation in the piano accompaniment. In the concluding strophe, a shift to the tonic major (as V/iv) foreshadows the otherwise unexpected *Tierce de Picardy* that closes the cycle. What are we to make of this “happy ending?” The final section concludes with a discussion of interpretative issues related to this, namely, how to account for the sudden change of mode within the context of structural closure that is achieved only in the piano postlude.
1.2 Literature Review

Before presenting my own analyses, I will review selected publications of Schenkerian analyses of Lieder by Schubert and Schumann. In this survey of the relevant extant literature, my goals are to highlight some traditions that have emerged in Schenkerian song scholarship, and to establish precedents for my own interpretative approach by examining some of the interpretive strategies that other authors have already proposed.

1.2.1 Heinrich Schenker and His Commentators, Mimesis in “Ihr Bild”

The review takes as its starting point Schenker’s own writings on the subject. Although analytical sketches for three Schumann songs are to be found in Der freie Satz (1935), Schenker provides no discussion of the poetic text. To find commentary on the relation of word and tone, we must turn to Schenker’s earlier essays on Schubert. Published in Der Tonwille I in 1921, Schenker’s essay on “Ihr Bild” (Schwanengesang D. 957, no. 9) predates the fully-fledged theory of the Ursatz explored in Der freie Satz and the late graphic sketches. This article provides a general orientation that is important for the present study because it opens the doorway for

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9 The songs are all from Dichterliebe Op. 48: “Im wunderschönen Monat Mai” (no. 1) is used to exemplify a III♯–V–I auxiliary cadence (see §244, Fig. 110, c2); “Aus meinen Tränen spriessen” (no. 2) is used to discuss the interruption framework of a 3-line (see §88, Fig. 22, b); and “Wenn ich in deinen Augen seh” is an example of an undivided form (see §307, Fig. 152, 1).

10 For a general history of Schenker’s evolving thought concerning the theory of the Ursatz, see William Pastille, “The Development of the Ursatz in Schenker’s Published Works,” in Trends in Schenkerian Research, ed. Allen Cadwallader (New York: Schirmer, 1990), 71–86. Schenker also devoted an essay to “Gretchen am Spinnrade” in Der Tonwille II, but it is more of an exercise in manuscript study. As such, it has not generated the same scholarly response as his more analytical exploration of “Ihr Bild,” so I omit it from the present literature review.
imaginative interpretations for how structural elements in the music can be related to the meaning of the text.

In this essay, Schenker walks the reader through the song and points out the clever ways in which Schubert set Heine’s poem. He begins with the terse statement that the three-part form of the music corresponds to the three strophes of the poem and then turns his attention to the two Bs that introduce the song. What, he asks, is the significance of repeating this note? Is it to orient the singer for an entrance? Most importantly, he asks, why repeat the note when he could have held it through? To be sure, this is a good question, in answer to which Schenker proposes (rather forcefully) that the repetition is a mimesis: “we stare with the note.”

He follows this with several observations about how features of the musical foreground partake in mimesis of the text: the augmented fourth C–Gb which appears in the melody he identifies with the staring eye itself, the unison opening up into a third (Bb to Gb entering into the B section) represents the lips of the beloved opening in a smile, and the shift to Bb major to set the second half of the first strophe he claims is due to the strong inner cause of the illusion of the beloved’s presence.

Schenker debates the desirability of adhering strictly to the prosodic setting of the text and discusses how Schubert’s setting of und das geliebte Antlitz (and the beloved countenance), which places the article, das (the), on the downbeat, is counterbalanced in the measures that

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follow, remarking how: “if the poet thought it advisable that the meaning-accentuation should bring the definite article into prominence, then Schubert is merely doing exactly the same.”

This reveals Schenker’s ideological position concerning the relationship between text and tone. The composer is meant to follow the poet, which implies that the poem is ontologically prior to the music. Yet, as we shall see, the song can sometimes say more than the poem can on its own, suggesting a poem can be, in a sense, incomplete without a musical setting. In the reprise, Schubert recapitulates the turn to B♭ major to set the second half of the strophe, but doubles back to B♭ minor in the piano postlude. “Has he lost her, as long as he still feels this way?” Schenker asks on behalf of the major mode. “Yes,” comes the reply in the accompaniment.

Schenker’s essay is an important starting point because of the scholarly responses it has generated. Indeed, several authors have taken Schenker’s comments on “Ihr Bild” as a springboard for more in-depth analyses. For example, Joseph Kerman—fascinated by (if skeptical of) Schenker’s account of the Augenpaar B♭s—traces the historical development of Schubert’s piano introductions in order to demonstrate that the two B♭s are an “exoskeleton” of a pattern for establishing the tonic. Carl Schachter takes up Schenker’s descending fourth motive and discusses the implications that the foreground suppression of D♭ as 3 has for our understanding of and ability to intuit a minor mode background. He concludes that Schubert’s

13 Ibid., 5.


15 Joseph Kerman, “A Romantic Detail in Schubert’s Schwanengesang,” The Musical Quarterly 48, no. 1 (January 1962): 38 and 43–44. The pattern is described as X–T, where X “may be thought of as a plagal cadence, or appoggiatura chord, or as a stressed auxiliary chord,” resolving to T, the tonic.
strategy “results for the listener in a possible (though temporary) sense of uncertainty as to the primary mode: will major (life) or minor (death) prevail?”\textsuperscript{16}

Christopher Wintle’s hermeneutic approach seeks to match the motions of the song’s protagonist with the stages of mourning outlined by psychologist John Bolby.\textsuperscript{17} He also addresses rhythmic profiling, historical descriptions of key qualities and the meaning behind specific key relationships (notably the irony between B\textsubscript{♭} major and minor), and Schubert’s use of rhetoric (e.g. $b\hat{6}–\hat{5}$ as a figure of distress). Wintle’s response to Schenker is noteworthy for its rigorous, interdisciplinary approach, but limited in its applicability to a single song. As a precedent for my project, it demonstrates the value of selecting on a case-by-case basis a hermeneutic framework that is well-matched to a given song.

Schenker’s observations demonstrate text-music relations at different structural levels: the mimesis of the opening B\textsubscript{♭}s is a foreground element; the Auskomponierung (composing-out) of falling fourth motive can be located in the middleground; and the question of whether the piece is ultimately major or minor (addressed by Schachter) pertains to the background. This stands as an important precedent for my project, since it enables connections between the poetry and different structural levels. However, there are two aspects that I find problematic with his approach. First, Schenker is oftentimes cryptic in his edicts (for example, there is no explanation for why C–G\textsubscript{♭} must be identified with the staring eye itself). For that reason, I endeavour to explain my reasoning as clearly as possible whenever making claims about specific text-music relationships. I do not expect the reader to take anything I say on faith, but rather to consider my


arguments critically. And second, unlike Schenker, I do not intend to argue on behalf of a preconceived notion about the “correctness” of Schumann’s prosody (as opposed to, say, Hugo Wolf). As Wintle has already stated, “the pressure to choose rather than differentiate is no longer with us, and our perception of even older traditions […] in any case alters our view of prosody itself.”

1.2.2 David Lewin, Background Readings

In *Studies in Music with Text* (2006), David Lewin, too, takes up “Ihr Bild.” He compares Schenker’s *Tonwille* graph with several background readings—including a rhythmic reduction and what he calls an “extreme” B♭ minor reading based on an unpublished sketch by William Pastille. When confronted with the study of an unfamiliar song, Lewin’s suggested in-roads are as follows: 1) read the poem; 2) listen to the music; 3) away from the text/score, write up a précis for what transpires in the piece; 4) check the written précis carefully against the score and take note of any discrepancies; these may be used as entry points for further study of the piece. In the case of “Ihr Bild,” the discrepancies lead Lewin to focus his attention on the grammatical tenses employed in the poem.

In order to organize the temporalities presented in the poem, he charts both a “speaker’s map” and, for the music, a “singer’s map.” In his comparison of the different background readings for the music, he asks: with respect to the aforementioned maps, what does each background reading cast as the principal action of the piece? In Schachter’s major-mode reading,

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18 Ibid., 10.
20 Ibid., 136–37.
he claims, the principal action is “to make the picture come to life.” In the case of the “extreme” B♭ minor reading, it is the crashing realization that the song’s protagonist has lost his beloved: “the ‘reality’ in which the *Urlinie* [of Pastille’s reading] plunges down at the end is the ‘reality’ that says, ‘But you *have* lost her,’ the ‘reality’ that makes us somehow hear the piece as ‘really’ in B♭ minor, not B♭ major.” Lewin’s interpretation of the song hinges on how the rhythmic profile of the song’s structural descent “enacts particularly well an appropriate reading of the drama.” The relation of a song’s structural descent to the drama of the text informs my analysis of “Die Meerfee” in Chapter 2.

Lewin also writes about the relationship of background structure to poetic text in an earlier article on Schubert’s “Auf dem Flusse” (*Winterreise* D. 911, no. 7). The article begins with a meditation on the relationship between poet, composer, and song setting. He writes that the song setting should be considered a “poem on a poem-on-x,” while the relationship between composer, text, and song is “analogous to the relations of actor, script, and dramatic reading.” In other words, a song setting can tell us how a composer interpreted a given text. Lewin contends that in Schubert’s reading, the two questions posed at the end of the song are not rhetorical questions, but rather earnest questions, the answers to which the protagonist must reflect upon and ultimately determine. According to this interpretation, Schubert’s enormous

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21 Ibid., 143.
22 Ibid., 145.
23 Ibid., 146.
25 The two questions are 1) whether his heart sees itself reflected in the image of the frozen river and 2) whether, like the brook, there is still any flow underneath the frozen surface.
enlargement of the fifth stanza of the poem in the second half of the song arises out of the
tension produced by the protagonist’s contemplation of these questions.\footnote{Ibid., 50.}

By performing successive rhythmic reductions, Lewin shows a hidden E major
background structure to the song’s outer voices (piano left hand and vocal melody), but this
structure is incompatible with how we perceive the song to be in the minor mode.\footnote{Cf. Lewin’s comments above concerning modality and reality in “Ihr Bild.”} The answer
to the two questions, he argues, is located in the right hand in the piano, which insists on G, signaling the minor mode in an inner voice. Lewin’s prognosis is that the brook is \textit{not} a true likeness of the protagonist’s heart, which is frozen forever. The process of rhythmically reducing
the music, however, is fraught with difficulties and Lewin is cautious to offer up disclaimers.\footnote{One concern is that the reductions are rigid in their use of bar lines—at deeper structural levels, what is structural in Schenkerian analysis does not always coincide neatly with the meter or hyper-meter. Lewin’s technique, it seems to me, has the effect of quantizing everything around metric positions that are powers of two (at least, in this reduction), so that you end up with “clumps” on the downbeats of the hyper-meter. Schenker’s notation seems better equipped to handle flexibility at deeper structural levels. Indeed, Lewin comments on this in his appendix on page 59.} For example, he states plainly that “the aesthetic significance of a musical phenomenon in a
hierarchic tonal or metric structure should not be correlated a priori, either directly or inversely, with the depth of the structural level at which the phenomenon is manifest.”\footnote{Ibid., 54.} Unfortunately, he offers no rubric for how we \textit{should} rank such phenomena when and if they appear at different structural levels. Beyond this, he provides a step-by-step approach to his method of reduction in
an appendix, and compares his background image with a graphic analysis by Schenker, who
hears an E major \textit{Anstieg} followed by an E minor structural descent.

In summary, although Lewin’s articles are not strictly speaking Schenkerian analyses,
they provide an excellent starting point for Lied interpretation and crystallize two points with
respect to readings that are informed by Schenkerian concepts: 1) there is certainly a case to be made that the background structure (whether arrived at through Schenkerian voice-leading sketches, rhythmic reduction, or other means) can be meaningfully related to the text, and 2) different background readings can yield diametrically-opposed interpretations of the same text. Lewin’s approach opens up a wide range of possible expressive meanings to scholars, performers, and listeners.

1.2.3 Carl Schachter, Musical Motive as Symbolic Form of Poetic Imagery

Schachter begins his seminal essay on “Motive and Text in Four Schubert Songs” with a powerful statement about how “the most fascinating and greatest settings are those where the tonal and rhythmic structure, the form, and the motivic design embody equivalents for salient features of the text.” His analyses of four Schubert Lieder demonstrate the types of connection that are possible between poetic imagery and motivic design in particular, and they are organized to demonstrate increasing complexity in this respect. Schachter’s organization is for didactic purposes; following his example, Chapter 2 of the present study is organized according to similar principles. Chapter 3, however, is organized according to the order of the songs in the collection.

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30 In examining different background readings, Lewin emphasizes the importance of performance practice when he states that his intention is to “show a menu of reasonable and sensitive options available to performers, enacting and enacted by a variety of poetic readings, within which a singer and a pianist may (and must) find a location that both find satisfying for the occasion of any particular performance.” See Lewin, “Ihr Bild,” 147.


Schachter begins with a simple example, “Der Jüngling an der Quelle” (D. 300), in which Schubert creates a musical image by connecting the accompaniment with the vocal melody: “the sounds of nature become the girl’s name [in the text], and the murmuring accompaniment becomes a melodic figure of definite shape.”

Schachter explains how this is typical of Schubert’s method—a musical analogy is created in which “the musical image is, in symbolic form, what the words talk about.”

The next two examples he provides are progressively more elaborate, but exemplify essentially the same procedure. Neither requires recourse to Schenkerian analysis, however. It is only in the final example that Schachter brings Schenkerian principles to bear. In “Nacht und Träume” (D. 827), the “basic tonal pattern does not take on the form of a concrete melodic figure with a definite rhythmic shape,” nor does it occur only at the musical surface, but, as Schachter convincingly shows, it “penetrates deep into the underlying tonal structure.”

This assertion hinges on the dual identity of G♯/F♯, which is first introduced as a chromatic passing note (F♯) in the introduction at the foreground level, but which is developed throughout the course of the song in the middleground when G♯ is stabilized as a transient harmony—one that does not function linearly in its tonal context. “By combining in a single sonority [G major triad] two different and contrasting orders of musical reality, Schubert gives this song a great central image; the song embodies a musical symbol of dreams.”

To close his chapter, Schachter provides an easy-to-follow contrapuntal derivation in which a basic model (5–6 technique) is altered in

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33 Ibid., 210.
34 Ibid., 211. Emphasis in the original.
35 Ibid., 216.
36 Ibid., 217. Emphasis added.
stages until it resembles the musical passage. Following Schachter, I provide a similar break-down of a complicated passage in “Die Meerfee” in Chapter 2.

What is so powerful about this example is that one would be hard-pressed to arrive at the same elegant conclusion without recourse to Schenkerian analytical tools (specifically, the concept of a middleground): a traditional harmonic analysis would have a difficult time explaining why the ♭VI chord does not behave as expected, while a Schenkerian approach can offer not only a plausible explanation for this, but one that relates meaningfully to the poetic text. Schachter’s chapter demonstrates conclusively that Schenkerian analysis can provide a deeper understanding of art song. It is in this tradition that I will be discussing “Sängers Trost” in Chapter 2.

1.2.4 Charles Burkhart, Auxiliary Cadence as Musical Metaphor

The final two articles in this review concern Schumann Lieder. Writing about the Eichendorff Liederkreis Op. 39, Charles Burkhart observes how Schumann’s departures from convention are most often used in song to express the text. Furthermore, they can occur at different levels in the musical structure. For example, a song might begin not with the customary tonic harmony, but rather with dominant or pre-dominant harmony. The effect is something like a harmonic anacrusis, since these openings are usually used to delay the arrival of an initial structural tonic. In Schenkerian theory, an incomplete progression that ends on the tonic

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(e.g. IV–V–I) is called an auxiliary cadence. Schenker conceived of the auxiliary cadence as an incomplete transference of the form of the Ursatz, meaning that the structure typically manifests itself at structural levels closer to the foreground (i.e. not the background). In extreme cases, however, such progressions can operate in the background and be made to provide the structural basis for an entire song. The subjects of Burkhart’s essay, the songs “Mondnacht” and “Schöne Fremde,” are two such examples.

Burkhart discusses how, in “Mondnacht,” dominant harmony is prolonged throughout the first two strophes of the song. However, in the climactic third strophe, the lyrics Und meine Seele spannte/Weit ihre Flügel aus (and my soul spread wide its wings) are coordinated with the “blossoming out” of a neighbouring IV chord. The final two lines, Flog durch die stillen Lande/Als flöge sie nach Haus (flew through the quiet lands, as if flying home) regain the dominant and achieve tonic resolution, which occurs with the final word, Haus (home).

Similarly, in “Schöne Fremde” the auxiliary cadence resonates strongly with the progression in the text from the vague to the particular. Nature’s message to the poet of happiness to come is transformed across the three stanzas of the poem: it is at first imperceptible, then “confused as in dreams,” and finally “ecstatic.”

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39 Ibid.

40 Burkhart, “Departures from the Norm in Two Songs from Robert Schumann’s Liederkreis,” 147.

41 Ibid. A detail that Burkhart does not address is that the arrival at Haus at m. 59 coincides not with an actual tonic, but rather with V/IV, which, as part of a plagal cadence, precursively stands for structural tonic harmony. The true tonic arrives two measures later in m. 61 in the piano postlude.

42 Ibid., 157.
Burkhart’s article is a useful precedent for my project because it demonstrates how elements of a Schenkerian analysis, such as the auxiliary cadence, can become a *musical metaphor* for themes in the text: “The texts of both songs feature nature images that create a milieu in which the speaker moves toward a new state of being or a deepening of experience—toward union with nature in the first case, toward future happiness in the second.”43 Additionally, his analysis relates specific voice-leading intricacies to the atmosphere of the text. For instance, in his discussion of dominant prolongation via the supertonic chord in “Mondnacht,” he describes how the atypical voicing of $\hat{6} - \hat{5}$ in the top voice creates a sense of stasis, which is “precisely the effect desired” for the majority of the song.44

Burkhart’s approach provides the basis for my analysis of “Frühlinglust,” where I show how dominant-tonic polarity is employed to express the dichotomy between freedom and imprisonment that is developed in the poem. In my discussion, the voice-leading techniques of superposition, register transfer, and voice-exchange are also interpreted as musical metaphors for action in the text.

1.2.5 Kofi Agawu, *Informal Approach to Lied Analysis and Methodological Concerns*

In his article on theory and practice in the analysis of song, Kofi Agawu meditates on several methodological issues concerning our approach to song. Most theoretical systems are developed to investigate instrumental music, so the analysis of song *qua* song is problematic because it must “account for the syntax of a genre that includes two nominal semiotic systems,

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43 Ibid., 163–64.

44 Ibid., 151.
music and language.” Agawu asks: what is song? Though many would agree that song is “words and music,” the nature of the relationship between those two components is a rich subject for debate.

With the aim of comparing attempts at defining the genre, Agawu summarizes four competing models for song: 1) the assimilation model: the words are absorbed by the music (i.e. song is music); 2) the irreducible relationship model: the words and music remain equal and distinct (i.e. they “rub shoulders”); 3) the pyramid model: a hierarchical organization in which words, located at the top of the pyramid, provide access to semantic meaning, while music, as the base of the pyramid, supports the signification of the text; and 4) the overlapping model: words, music, and song (qua song) are independent, overlapping systems. It follows that a writer’s conception of the nature of song as it falls into one of the above models will necessarily shade the analysis and interpretation. Agawu also cautions us to be critical of whether the composer began the creative process with the text or the music (the chick and the egg dilemma): too often we assume priority on behalf of the text.

Agawu’s article raises an important methodological consideration: ad hoc reasoning. This is what enables us to make connections between disparate parameters (such as Schenkerian analytical techniques and poetic text) and is nearly unavoidable in the process of interpretation:

Such thinking seeks ‘outside’ or extra-dimensional corroboration for points made in an otherwise systematic investigation. Ad hoc thinking sometimes unearths ‘marriages of convenience’ between musical dimensions. Although these marriages can often seem arbitrary, arrived at by means of an uncomfortably selective process, they are of some interest on account of their putative artistic value, their rhetorical power or the degree of interpersonal resonance they achieve.

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46 Ibid., 5–8.

47 Ibid., 10.

48 Ibid., 9.
Ad hoc reasoning is valid only for a particular circumstance, and underlines Burkhart’s anticipatory comment about how “since music has no objective meaning, a good composer can use a given musical technique to portray almost anything.”

In consideration of these difficulties, Agawu outlines an informal approach to the analysis of Lieder consisting of several stages:

- **Stage 1a**: Informal data-gathering: collect as many significant musical features of the song as possible.
- **Stage 1b**: (More) formal data-gathering: use an explicit method (such as a voice-leading graph) to generate more data and to revise or reorganize previously collected data.
- **Stage 1c**: Preliminary interpretation 1): develop metaphors for ‘purely musical’ devices.
- **Stage 2a**: Develop a contextual reading of the text.
- **Stage 2b**: Preliminary interpretation 2): compare the results of 2a with those of 1a, 1b and 1c.
- **Stage 3**: Explicit interpretation: ‘Narrativize’ the various profiles and data assembled in stages 1a, 1b, 1c, 2a and 2b, adding information from ‘external’ sources, including style, biography and reception.

These stages need not be completed in exactly this order. Agawu’s approach may be seen as a framework that allows questions to be asked about musico-poetic relationships. The remainder of the article is a highly self-aware test-run of this approach using Schumann’s “Seit ich ihn gesehen” (Frauenliebe und –Leben Op. 48, no. 1) as subject. At Stage 1b, Agawu employs Schenkerian analysis as his method of choice in order to explore what kind of musical metaphors can be imagined for the text. One possibility, he shows, is to link the song’s long Anstieg (initial ascent) with the mounting tension in the poem, which presents a shift in temporality between the woman first falling in love at some point in the past and her current emotional state in the present.

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49 Burkhart, 164.


51 Ibid., 27–29.
The article concludes with four propositions that concern the application of any theoretical approach to the analysis of song:

1) Song makes possible a musical and/or a musico-poetic analysis.
2) There is no necessary relationship between the words and music of the song; the music may support, contradict, or remain indifferent to the text.
3) Any connections drawn between words and music are *ad hoc* and provisional, and should ideally be set against other possible connections.
4) If ‘song is music’ (Langer\(^52\)), then song analysis must be based on a continuous musical background against which the textual content may be explored.\(^53\)

Agawu’s article is far reaching in scope, and highlights concerns ranging from the practical task of analyzing song to philosophical questions about meta-analysis. However, the present study is more in the spirit of his section on Schenkerian poetics of song, in that I am seeking to explore possible ways that Schenkerian analysis can be employed in the development of musical metaphors for the text. I freely admit that any connections I may draw are *ad hoc* and that a different analytical system chosen at Stage 1b will necessarily restrict connections can be shown—indeed that is the point.\(^54\) The interpretations proffered in this study are therefore in no way meant to be presented as definitively true, but rather as readings among a sea of possibilities.

1.3 Methodology

Having reviewed a sampling of the relevant literature, I can now outline how I have approached my analysis of the songs presented in this study. Essentially, I have merged elements...

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\(^{52}\) Cf. model 1 on page 5.

\(^{53}\) Ibid., 30.

\(^{54}\) For an excellent criticism of how theory shapes our interpretation of song, see Suzannah Clark, “‘A Word Will Often Do It’: Harmonic Adventure in Schubert’s Songs,” chap. 2 in *Analyzing Schubert* (New York: Cambridge University Press, 2011).
of Lewin’s and Agawu’s approaches. The resulting streamlined approach is practical and straightforward. My focus rests on analytical praxis; I do not engage with broader methodological concerns or meta-analysis, though a later essay might pursue such issues.\textsuperscript{55} Furthermore, my analytical tools are limited to traditional analysis and Schenkerian analysis; I make no claims about what analytical insights might be yielded by a different theoretical framework (e.g. neo-Riemannian theory). This approach is meant to serve as a general guideline and is by no means exhaustive; the analyst should endeavour at all times follow his or her intuitions and investigate matters of interest as they arise.

Table 1.1 Streamlined Informal Approach to Lied Analysis

<table>
<thead>
<tr>
<th>Phase I: Preliminary familiarization of the song, words, and music.</th>
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</thead>
<tbody>
<tr>
<td>a) Aural familiarization with the song.</td>
</tr>
<tr>
<td>b) Reading and translation of the poetry.</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>Phase II: Analysis of the text.</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Take note of structural elements: formal division of lines/stanzas, rhyme scheme, poetic meter, etc.</td>
</tr>
<tr>
<td>b) Take note of semantic elements: recurring themes and imagery, progressions in the text, binary oppositions, etc.</td>
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</tbody>
</table>

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<thead>
<tr>
<th>Phase III: Analysis of the music.</th>
</tr>
</thead>
<tbody>
<tr>
<td>a) Traditional analysis: formal analysis, harmonic analysis (Roman numeral), and motivic analysis.</td>
</tr>
<tr>
<td>b) Schenkerian analysis: produce voice-leading sketches, trace the trajectory of the Ursatz, compare structural levels, etc.</td>
</tr>
</tbody>
</table>

| Phase IV: Compare the results of Phase II and III in order to develop ad hoc metaphors around interesting parallels between what occurs in the text and what occurs in the music. |

| Phase V: Based on information gathered in Phases I through IV, develop a contextual interpretation of the song. |

The purpose of the preliminary Phase I is to become well-acquainted with the song and the poem. In becoming aurally familiar with the song during Phase Ia, following Lewin, I take note—mentally or in writing—of any places that I find particularly interesting or attention-grabbing; these become points of interest in my analysis of both the text and the music.\textsuperscript{56} I read...
the text in the German original several times through to acquaint myself with it in Phase Ib. Next, I prepare a translation. In considering certain word choices in English, I become attuned to subtle nuances that can shade my understanding of the poem.

In Phase II, I analyze the text. At Phase IIa, I make note of important structural elements in the text: For instance, how is the poem organized into stanzas? What is the rhyme scheme? What is the poetic meter? What are the grammatical tenses, and is there a pattern to them? I then try to get a sense of the semantic content of the poem in Phase IIb: What is the Stimmung? Is there a progression in the poem from X to Y? How is it achieved? Who are the characters in the poem and how do they interact? Are there any binary opposites that emerge from the poem? What types of imagery are present in the text? Where applicable, a Lewinian “speaker’s map” could be formulated during this phase. Additionally, library research can help to verify intuitions about themes in the text. Finally, I distill my answers to questions posed at Phase IIa and b into two or three succinct statements about the poem—a compacted version of the Lewinian précis. At this stage, I have formed a preliminary impression of what the poem means as a self-standing entity.

In Phase III, I analyze the music. Phase IIIa employs traditional analytical tools that deal with form, harmony, and motive. What is the form of the song? Is it strophic, ternary, through-composed, or some modification of these? In conducting a traditional harmonic analysis using Roman numerals, I take note of any poignant non-chord elements (appoggiaturas, neighbour
notes, suspensions, etc.), as well as particularly noteworthy harmonic events. The notoriety of a harmonic event is, in my experience, usually commensurate with how much time it takes to decipher a given stretch of music. Lastly, if there are any especially salient motivic features, I make note of them.

In preparing a Schenkerian voice-leading sketch for a song in *Phase IIIb*, I prefer to begin with a foreground graph. The advantage to this approach (and to Schenkerian sketches in general) is that it forces the analyst, ideally, to make a decision about every note in the score and its position within the hierarchy of the tonal system.\(^{59}\) Additionally, beginning with a foreground sketch leaves room for background and middleground questions to come into focus gradually.\(^{60}\) For instance, it is not always immediately clear from the outset whether a piece is best described using a 3-line or a 5-line. In such cases, it is best to reserve judgment until after a foreground sketch has been drafted, and then compare the merits of different readings. In preparing my graphs, I begin to take notice of matters such as how the trajectory of the *Ursatz* compares with the trajectory of the poem’s contiguous parts, and the song’s formal division. I also highlight the specific Schenkerian techniques that my analysis uncovers. In almost all cases, within a few weeks of having drafted a preliminary sketch for a song, I will return to it and draw an entirely new graph. In comparing the new graph to the old, I am often led to new insights.

My *Phase III* is analogous to Agawu’s Stage 1. But where Agawu’s Stage 1a (informal data-gathering) and Stage 1b (more formal data-gathering) are general, my *Phase IIIa* (traditional analysis) and *IIIb* (Schenkerian analysis) are specific. *Phase IIIa* helps to contextualize my Schenkerian analysis in *Phase IIIb*. It should be noted that *Phase IIIa* and *IIIb* cannot be

\(^{59}\) Cf. Agawu, 11.

\(^{60}\) However, a strictly reductive approach (i.e. successive reductions of the foreground) is, in a sense, *inimical* to Schenkerian principles and does not always obtain good results. See Schachter, “Structure as Foreground: ‘Das Drama des Ursatzes,’” 302.
segregated: concepts native to Schenkerian theory will already inform my traditional analysis to a degree.\textsuperscript{61}

Having familiarized myself with the song, and having examined the text and the music individually, I am now in a position in Phase IV to compare the results of my two analyses and ask myself if there are structural elements in the music that resonate with elements in the text. If so, I develop a musical metaphor around those musical structures in keeping with the traditions outlined in the literature review section. Finally, the resonances between text and music yielded in Phase IV subsequently enable explicit interpretation of the song in Phase V. In this stage, I form a contextual interpretation of the song’s “principal action” (following Lewin). The interpretation seeks to take into consideration all of the information gathered in Phases I through IV and narrativizes it (following Agawu) under one umbrella. While Agawu’s Stage 3 invites contextual information from without (i.e. biography, reception, etc.), my interpretations here are confined exclusively to the score and the text, unless otherwise noted.

Lastly, I wish to state openly that my analysis seeks to make no claims about Schumann’s compositional intention.\textsuperscript{62} I am not so naïve as to believe that Schumann wrote any of his songs with Schenkerian principles (unconscious or otherwise) in mind. Generally, I cannot assume that he would have read the poems—and by extension, his own settings of them—as I have here, and that he may have located points of key interest elsewhere in the songs. Rather, I have taken care

\textsuperscript{61} See footnote 54 above.

\textsuperscript{62} For an overview of the intentional fallacy, particularly as it pertains to our understanding of Schoenberg’s development of 12-tone music, but also to the practice of music analysis in general, see Ethan Haimo, “Atonality, Analysis, and the Intentional Fallacy,” \textit{Music Theory Spectrum} 18, no. 2 (Autumn 1996): 167–99.
to craft statements such that they merely assert the existence of musical features or relationships, as shown by the analysis.\textsuperscript{63}

\textsuperscript{63} Ibid., 178. According to Haimo, “[t]his type of statement does not necessarily claim that the features we observe in a work are the result of compositional intent. It simply asserts that features are, in some sense, ‘there,’ making no particular claims for their cause or origin.”
2 Chapter: Three Case Studies

2.1 Introduction

This chapter presents three case studies, which are meant to showcase some of the possible ways that song study can benefit from a Schenkerian perspective. The case studies take as their subjects the songs “Sängers Trost” Op. 127, no. 1, “Frühlingslust” Op. 125, no. 2, and “Die Meerfee” Op. 125, no. 3. For each of these songs, I show how a musical structure revealed through Schenkerian analysis resonates with the text in an intuitive or remarkable way. In so doing, I develop Schenkerian structures as musical metaphors for drama in the text. The analyses are presented in increasing order of complexity and abstractness.

2.2 Consolation in Song

“Sängers Trost” is about a poet/singer who seeks to allay the existential fear of living an ephemeral and ultimately meaningless life by becoming one with nature through the power of song. Analyzing this song from a Schenkerian perspective is challenging because of tonal pairing of B♭ major and G minor in the song; I address this issue from a variety of angles and argue from the standpoint of a B♭ major background reading. Following in Schachter’s footsteps, I show how rising and falling linear progressions correspond to tension and release in the text, and how the motive F–F♯–G is expanded in the final strophe alongside a climactic outward progression in the poem.

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64 Despite their appearance adjacent to one another in *Fünf Heitere Gesänge*, the latter two songs were composed several months apart. “Frühlingslust” was composed in July 1850; “Die Meerfee” was composed the following year in February. See Daverio, 440 and 443.
2.2.1 Yearning for Oneness with Nature in the Text

The poem by Justinus Kerner, shown in Table 2.1, is organized into four stanzas. The first three stanzas each have a bipartite structure, whereby a problem or concern is outlined in the first two lines, and a counterbalance appears in the next two lines to quell it. Thus, the first two lines generate tension; the next two provide release.

Table 2.1 “Sängers Trost” Text

<table>
<thead>
<tr>
<th>German Original</th>
<th>English Translation</th>
</tr>
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<tbody>
<tr>
<td>Weint auch einst kein Liebchen</td>
<td>Even if someday no beloved</td>
</tr>
<tr>
<td>Thränen auf mein Grab:</td>
<td>Weeps tears onto my grave,</td>
</tr>
<tr>
<td>Träufeln doch die Blumen</td>
<td>The flowers still drop down</td>
</tr>
<tr>
<td>Milden Tau hinab;</td>
<td>Their gentle dew.</td>
</tr>
<tr>
<td>Weilt an ihm kein Wanderer</td>
<td>Even if no wanderer</td>
</tr>
<tr>
<td>Im Vorüberlauf,</td>
<td>Lingers there while passing by,</td>
</tr>
<tr>
<td>Blickt auf seiner Reise</td>
<td>The moon during its journey</td>
</tr>
<tr>
<td>Doch der Mond darauf.</td>
<td>Looks down upon that place.</td>
</tr>
<tr>
<td>Denkt auf diesen Fluren</td>
<td>Even if on these fields</td>
</tr>
<tr>
<td>Bald kein Erdner mein,</td>
<td>Soon no earthling remembers me,</td>
</tr>
<tr>
<td>Denkt doch mein die Aue</td>
<td>The meadow and the quiet grove</td>
</tr>
<tr>
<td>Und der stille Hain.</td>
<td>Do remember me.</td>
</tr>
<tr>
<td>Blumen, Hain und Aue,</td>
<td>Flowers, grove, and meadow,</td>
</tr>
<tr>
<td>Stern und Mondenlicht,</td>
<td>Star- and moonlight,</td>
</tr>
<tr>
<td>Die ich sang, vergessen</td>
<td>Of whom I once sang,</td>
</tr>
<tr>
<td>Ihres Sängers nicht.</td>
<td>Do not forget their singer.</td>
</tr>
</tbody>
</table>

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In the first stanza, the poet is distraught that no loved one will mourn his death, but reassures himself that flowers will serve this function in her place; in the second, he counters the concern that no wanderer will stop by his grave, but reminds himself that the moon will fulfill
this duty; lastly, he allays the fear that no one at all will remember him with the assurance that the meadows and groves will remember him. Thus, where the concern always relates to the human world, the consolation always comes from the natural world. In the concluding stanza, the natural images of the first three stanzas are recalled and the conclusion is reached that he will live on in nature’s memory.

There is also a noticeable, outward progression with respect to the seriousness of the concerns: the poet is first worried that no one with whom he shares an intimate relationship will mourn for him, next that the everyman may not happen upon his tombstone, and finally, that no one at all will ever remember him. The concerns also project progressively further into the future: the beloved would necessarily be his contemporary; the everyman we may assume to arrive generations at a remove; finally, the poem extends into oblivion with the passing of strange aeons. This last point comes closest to the heart of the matter: not to be remembered is tantamount to having never existed in the first instance. Only nature can offer the possibility of remembrance and eternity—and only song can bridge the gap between the world of nature and the intransigent world of man. Immortality takes the form of nature echoing the praises sung to it. The poet requests this in exchange for his song so that poet and nature enter into a reciprocal relationship.

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65 My interpretation for all texts in the present study is hetero-normative (e.g. I here assume a male poet/protagonist and a female beloved). The reader is free to alter this constellation at leisure and to consider how substitutions may inflect the meaning of the poem.

66 The wording here allows for at least three different scenarios, all of which are lamentable to the poet in different ways: 1) the poet never finds love and dies alone; 2) the poet has a lover (currently or in the projected future), but the relationship sours and, again, he dies alone; or 3) a faithful lover cannot mourn him, since she too has died (either before or after his passing). In addition to the poet’s reflections on his own mortality, each of the possible scenarios engage—to varying degrees—with the issues of love and loss.
2.2.2 Tonal Pairing, Linear Progression, and Motivic Transformation in the Music

The strophic form of the music maps neatly onto the structure of the poem, in that the first three strophes use the same music and the final strophe is modified, marking how the fourth stanza summarizes the preceding three and reinforces the reciprocal relationship between nature and the poet’s artistic impulses in praise of it. As with many of Schumann’s songs, there is a piano postlude in which the piano comments on and clarifies the meaning of the lyrics as understood from without, i.e. the postlude lies outside the vocalist’s perspective. To these comments, we may add that from a Schenkerian perspective, the strophic form of the piece arises from an interruption framework, whereby each strophe ends with scale degree 2 over V harmony, and the beginning of a new strophe represents a “starting-over-again”—a resumption of the descent from the Kopfton (3). The first three strophes are thus incomplete lower-level parallelisms of Ursatz, and true structural descent and tonal closure is delayed until the climactic final strophe. This musical fact fits well with the observations we just made about how the first three stanzas lead to the fourth one.

As is the case with the famous “Im wunderschönen Monat Mai” (Dichterliebe Op. 48, no. 1) the tonality here is ambiguous, in this case wavering between B♭ major and its relative minor, G minor. With tonal pairing, it is difficult to determine which is the true home key—if indeed there is only one (and not both). In my analysis, I refer to B♭ major as the home key, my justification being that despite balanced periodic alternation between the two keys, the song concludes in this key. However, the relative minor is oftentimes equal in status to the major, and

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67 See footnote 2 above. The notion of a piano persona—as distinct from the persona of the singer, poet, or composer—is explored by Edward Cone. See Edward T. Cone, The Composer’s Voice (Berkley: University of California Press, 1974).

68 Please refer to footnote 8 above for the key contributions to the theory of tonal pairing.
much of the song’s intrinsic character hinges upon the ambiguity regarding which of the two triads ultimately has tonic status. In fact, this duality extends deep into the piano postlude, as we shall see. With respect to the concepts in the poem, I interpret the B♭ major to stand for the sought-after consolation, and G minor as representative of doubt or misgivings. While the overarching tonal trajectory of the piece is best described as aiming for closure in B♭ major, G minor is a pervasive disruptive element. This would seem to suggest that doubt always threatens to overturn any reassurances the singer might find in song or nature. But since each strophe starts on G minor harmony but ultimately cadences authentically in B♭ major, the song repeatedly seeks a successful transition from doubt to affirmation.

The uncertainty of the tonality is evident from the outset. While the one-measure piano introduction begins on G minor, the music quickly initiates a turn to B♭ major in m. 3, such that we can interpret the opening progression as vi–V₇–I in B♭ major. In Schenkerian terms, this is known as an auxiliary cadence, and its effect is that we experience the piece as opening in medias res. However, this interpretation is only possible after a complete hearing of the song. A first-time listener might project that the move from G to F in the bass will be part of a step-wise descending bass motion in G minor from ̂8 down to 5. Even with the tonicized B♭ in m. 3, listeners might hear a brief foray into the relative major of a minor home key. Their suspicions may even be confirmed with the reprise of G minor harmony in m. 10.

The voice-leading graph shown in Figure 2.1 reveals three important linear progressions, which help to bring out the urgency of the text. The vocal melody moves through two rising third progressions in mm. 2–5, generating tension in relation to the concern of lines 1 and 2. These

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69 Please refer to footnote 38 above on auxiliary cadences.
third progressions are both supported by a move from tonic to mediant harmony in the tonally paired keys: first 3 to 5 over i–V/III–III in G minor, then 3 to 5 over I–V/iii–iii in B♭ major. The consolation of lines 3 and 4 comes with a longer-ranged falling fourth progression in mm. 6–9, which balances the overall shape of the vocal line and establishes B♭—provisionally—as the primary of the paired tonal centers.70

Figure 2.1 Voice-leading Sketch of “Sängers Trost” A Section

Yet, while the vocal melody undergoes a process of tension and release, other musical parameters act in opposition to this. The use of non-chord tones in the melody, for instance, is weighted in favour of the end of the line. For the most part, the vocal melody consists of consonances. In m. 2, a fleeting lower neighbour-note embellishes the note C, itself a passing note in the greater scheme of the rising third progression. However, the appoggiatura F in m. 8, further highlighted with the grace note and the accompanying dissonance in the piano left-hand, is a much more expressive dissonance.

70 A G minor Schenkerian reading is comparatively more laboured. Were I to graph mm. 1–10 in G minor, I would probably show an arpeggiation in the bass (G–B♭–D) in mm. 1–5, followed by a middleground ascent D–E♭–F–(F♯)–G in mm. 5–10. I would likely choose to show this supporting a 3-line that is embellished with an upper neighbour figure.
The harmonies presented in the accompaniment are likewise end-oriented. This is especially noticeable in the overlap between the end of the first strophe in m. 9 and the beginning of the new strophe in m. 10. At this juncture, the bass arrives on the dominant, F major, on the down-beat, but is then pulled back toward the relative minor via the $V_5^6/\text{vi}$ chord on the second half of the measure. Notice also that the voice-leading contracts markedly between these two chords, the $V_5^6/\text{vi}$ moving the voices into a lower, darker register through the running sixteenth-notes before emerging again in G minor in m. 10. Now, much more than in the piano introduction and the voice entry in m. 2, the vi chord of m. 10 is understood to be a neighbour-note to the dominant of B♭, but the effect of returning to the minor for the voice’s re-entry conveys a sense of unease which prefigures the return to earthly concerns described in lines 5 and 6 of the poem. Note the rising chromatic figure F–F♯–G that links the strophes: this motive will be significantly transformed in the piece’s climax. The ♯5–♭2 descending fourth soprano line that strengthened the sense of B♭ major in mm. 5–9 has not yet been confirmed by an authentic cadence, so the return to G minor, even with only the inverted dominant over the bass F♯, raises the possibility that B♭ major may not be confirmed in the end and G minor will prove to be the ultimate tonic for the song.

Similarly, the C minor first inversion chord that takes shape in m. 8 (echoing the root position triad heard in m. 7) might have acted as a pivot chord to return us to G minor. The B♭ chord on the downbeat of this measure is transformed to become a secondary dominant with the addition of A♭ in order to intensify the move to predominant harmony. Figure 2.1 marks this as the boundary of tonic prolongation within a B♭ major reading, but the tonal pairing admits
hearing mm. 3–8 as V/VI in G minor, which resolves—not to the expected Eb—but rather
decently to iv⁶, potentially turning us back toward G minor.

Strophes 2 and 3 are nearly identical to the material of the first strophe, with only minor
variations in declamation. For instance, in m. 12, the vocalist retains the note D on the second
 syllable of Wandrer (wanderer) through the bar line and into the downbeat of m. 13. The rhythm
then accelerates in recompense to set the words im Vorüberlauf (while passing by, line 6). A
similar operation is at work in m. 20 (bald kein Erdner mein/soon no earthling, line 10) and m.
24 (und der stille Hain/and the quiet grove, line 12), where the rhythm gains some momentum. I
would speculate that the motivation for these rhythmic adjustments has to do with the changing
number of syllables in their respective lines, or else they are to help drive the music forward
toward to the final strophe.

In m. 25, something special occurs in the bass. Whereas in previous strophes, a strong
return to tonic harmony has been thwarted with the deceptive motion to G minor, here, the
harmony remains on V⁷ throughout, so that the arrival on B♭ in m. 26 finally coincides with the
re-entrance of the singer. Whereas before, the rising third progressions had begun from the note
B♭ in the voice, the vocal line now enters a third higher on D, and the line rises chromatically
rather than diatonically.

The voice-leading sketch in Figure 2.2 shows how the rising chromatic vocal line again
consists of two rising third progressions, first D–F and then F–A♭. Taken together, these trace the
interval of a tritone in the melody, reaching the song’s high-point in m. 29. This moment
coincides with the accompaniment’s furthest gains in tonal distance from the tonic, and is also
coordinated effectively with the text.
The words used in lines 13 and 14 of the text depict an expansive progression from the earthly to the celestial. The poet begins the line with flowers, which are both earthly and intimate; then he describes the wider stretches of earth that are fields and groves; lastly, he lifts us into the heavens with starlight and moonlight. Schumann’s setting of these lines is highly sensitive. While the harmonic foundation for the mundane flowers, fields, and groves is an unfolded V\(^7\)/IV, the expected cadence is abandoned (or at least drastically postponed) with the mention of stars and moonlight, which take us into uncharted territory. Moonlight, in particular, occupies a special place in Romantic poetry. It represents the *Nachtszeit*. It stands for the *noumenal* world which is only accessible to the Romantic genius. Consequently, it is frequently accorded special treatment in song-settings. In *Sängers Trost*, Schumann sets this word as the vocal climax and supports it harmonically with modal mixture, which is used to execute the movement from the mundane to the celestial. In m. 28, the rising bass line alters its course, falling by semi-tone to D\(^\flat\), the root of V\(^7\)/VI. The move from D to D\(^\flat\) is significant because it reverses the motion that we have been accustomed to elsewhere in the piece. The pitch-class...
C#/Db first appears in m. 4 as part of an A7 chord moving to D minor (and the analogous moments in strophes 2 and 3). The only other time we encounter it is m. 27, where it appears as the bass of a half-diminished seventh sonority (spelled Ab–C#–E♭–B♭, enharmonically equivalent to B♭–Db–F–A♭) that arises through voice-leading, and resolves upward to D. While the parallel minor makes no direct appearance, the use of modal mixture in mm. 28–30 signals that it exists conceptually. Notice also how the vocal line leading to the high Ab is derived from the pervasive chromatic bass line F–F♯–G. In the vocal climax, however, the F♯ is reinterpreted to become G♭, and the line pushes F–G♭–G–A♭. In other words, it moves one semi-tone beyond to evoke the distant moonlight. If the motive F–F♯–G is meant to re-introduce doubt with the potential movement to G minor, the vocal climax expands the motive, transfiguring it to become a force for hope. Nor is the Ab obliged to resolve to G♭ as it ought to—instead, Schumann lets it hang like a pendant in the sky!

The return to B♭ major occurs through sleight-of-hand. The bVI harmony arrived at in m. 30 is expanded to become an augmented triad. Augmented chords based on ♯Ⅰ and ♭Ⅵ are enharmonically equivalent, and Schumann exploits this to arrive at iv6 on the downbeat of m. 31. This arrival finally adopts the abandoned V7/IV that has been hinted at previously in mm. 26–27 and in m. 8. Furthermore, the augmented sonority itself is reminiscent of m. 8, where a B♭ in the tenor momentarily produces an augmented triad in the left hand.71 An important parallel thus emerges between B♭ leading to iv6 of G minor in m. 8, and D leading here to iv6 of B♭ major,

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71 With the addition of the right hand’s F, the B♭–F tritone implies a secondary dominant acting as an appoggiatura to the C minor first inversion chord.
since both of these participate in inflecting B♭ major with minor mode elements. While the former does this by insisting on the relative minor, the latter appeals to the parallel minor, here in particular by casting D as a dissonance. In other words, the augmented chord destabilizes the meaning of D (3) as a diatonic element in B♭ major.

Another way to think about the passage is to consider it as an expansion of I→♭VI→IV₆→V→I, where the shift to ♭VI is part of a 5–6 elaboration of tonic harmony, albeit with modal mixture. The minor sub-dominant then passes through a German augmented sixth chord to come to a cadential six-four, which supports the structural descent of the Urlinie. The vocal line’s concluding melody is highly formulaic, serving to restore stability and balance after an episode of intense chromaticism. The use of modal mixture, in a larger sense, can be understood as a reconciliation of the ambivalence between the tonally paired keys: it shifts the balance in favour of B♭ as the tonal center while preserving the modality of G minor. Once B♭ is established as a tonal center, the minor mode can is transformed more convincingly to major in mm. 32–33.

Figure 2.3 Voice-leading Sketch of “Sängers Trost” Piano Postlude
The impulse towards G minor is taken up once again in the piano postlude, which is graphed in Figure 2.3. The bass-line, doubled in octaves, climbs up from B♭ in m. 33 in a way that strongly suggests G minor. In particular, the span D–E♭–F♯–G in mm. 34–36, with the conspicuous augmented second that appears nowhere else in the piece, strongly suggests the upper tetrachord of the G minor harmonic scale. The characteristic harmony in these measures is the diminished seventh, and by writing two of these back-to-back in m. 34, the grip held on the passage by B♭ major—whose sovereignty was all but assured with the strong arrival in m. 33—is suddenly called into question yet again. With the addition of the sinister sounding augmented second in the nether reaches of the bass register, G minor is set to stage a tremendous comeback. But the arrival of G in the bass in m. 36 turns out to be IV⁶ and V⁷ arrives on the off-beat to take us back to B♭. The piece concludes with a calming pedal-point 6/4 decoration of tonic harmony resolving to I₃. While this plagal ending is tranquil, even here, in the penultimate measure, F♯ appears as a chromatic passing tone in the right hand, a thinly veiled recurrence of the familiar motive F–F♯–G, to decorate the note G, destabilizing the home key with lingering echoes of doubt.

2.3 Metaphors for Freedom and Imprisonment in “Frühlingslust”

For the second case study, I will demonstrate how Schumann’s setting of Paul Heyse’s poem “Frühlingslust” capitalizes on three tonal processes in order to dramatize the tension in the poem between freedom and imprisonment. First, the dichotomy between these binary opposites

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72 Cf. m. 8 and m. 30, where E♭ major was denied in favour of C minor and E♭ minor, respectively. Here, the use of E♭ major harmony reinforces the stability of B♭ major.
is embodied generally in the tonal relationship between tonic as an element of stability (i.e. harmonically closed, immobile) and dominant as a liquid element (i.e. harmonically open, mobile). Second, the butterfly’s celebrated capriciousness and course through the woods is depicted in the peculiar foreground voice-leading, which employs super-positions, cover tones, and register transfer. Lastly, the figures of love and the butterfly are characterized in the interaction between specific pitch classes in the music, namely the use of G♯ as a chromaticized variant for diatonic G♮ and the enharmonic equivalency of E♯ and F♭.

### 2.3.1 Love and the Butterfly in the Text

“Frühlingslust” is the second song in the Op. 125 *Fünf Heitere Gesänge*. Thematically, it picks up on the imagery of nets and captivity that is introduced in the collection’s first song, “Frühlingslied.” The poem “Frühlingslust” by Paul Heyse is shown in Table 2.2 below. The text describes how love sets snares for the carefree butterfly, which prefers to rush headlong into the woods without any cares or troubles.

The poem consists of three stanzas and Schumann’s choice of ABA’ form corresponds to this organization. The first stanza is expository in that it: 1) lays the scene (the poem’s title indicates that it is springtime), 2) introduces the actors, namely, love and the butterfly, and 3) provides a warning that love seeks to ensnare the butterfly in its net. The butterfly is associated with freedom through the adjectives schwanker (tumbling) and loser (carefree), while love is associated with captivity through the noun Netzlein. The second stanza marks a shift to the first

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73 The principal image of which is of a fly caught in a spider’s web.

74 The use of the diminutive Netzlein (little net) as opposed to Netz (net) is, at first glance, somewhat strange. The diminutive is used in German either to describe something that is literally in miniature (e.g. Brötchen/bun) or to express endearment, i.e. to make it “cute” (e.g. Schatz/deary). I would suggest that its appearance here is primarily a
person (*ich*/*I*), connects the butterfly with the poet through the use of the subjunctive mode (*ware*/*were*, *müste*/*would have to*), and strengthens the association between love and captivity (*Haft der Liebe*/*love’s prison*).

**Table 2.2 “Frühlingslust” Text**

<table>
<thead>
<tr>
<th>German Original</th>
<th>English Translation</th>
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<tbody>
<tr>
<td><em>Nun stehen die Rosen in blüthe,</em></td>
<td>Now the roses are in full bloom,</td>
</tr>
<tr>
<td><em>Da wirft die Liebe ein Netzlein aus,</em></td>
<td>Love casts out a net,</td>
</tr>
<tr>
<td><em>Du schwanker, loser Falter,</em></td>
<td>You tumbling, carefree butterfly,</td>
</tr>
<tr>
<td><em>Du hilfst dir nimmer heraus.</em></td>
<td>You will never free yourself.</td>
</tr>
<tr>
<td><em>Und wenn ich wäre gefangen</em></td>
<td>And were I imprisoned</td>
</tr>
<tr>
<td><em>In dieser junger Rosenzeit,</em></td>
<td>In this youthful time of roses,</td>
</tr>
<tr>
<td><em>Und wär’s die Haft der Liebe,</em></td>
<td>And were it the prison of love,</td>
</tr>
<tr>
<td><em>Ich müsste vergehen vor Leid.</em></td>
<td>I would surely perish from sorrow.</td>
</tr>
<tr>
<td><em>Ich mag nicht sehen und sorgen;</em></td>
<td>I do not like to look [ahead] or</td>
</tr>
<tr>
<td><em>Durch blühende Wälder schweift mein Lauf.</em></td>
<td>worry;</td>
</tr>
<tr>
<td><em>Die lustigen Lieder fliegen</em></td>
<td>My course runs through blossoming</td>
</tr>
<tr>
<td><em>Bis in die Wipfel hinauf.</em></td>
<td>woods.</td>
</tr>
</tbody>
</table>

The conflation of the characters of the butterfly and poet that is hinted at in the second stanza is completed in the third, in which the poet speaks directly as the butterfly. The third stanza emerges as an implied simile that reinforces the association between the butterfly and freedom: *like the butterfly*, I prefer to avoid the pangs of love and let nothing trouble me.

### 2.3.2 Tonic-Dominant Polarity as a Metaphor for Imprisonment and Freedom

Generally speaking, tonic harmony may be said to represent stability and harmonic closure, so it is notable that Schumann’s musical setting scrupulously avoids the tonic, or else...
problematizes these attributes when it does appear. The piano prelude (voice-leading sketch shown in Figure 2.4), for instance, delays the appearance of the tonic right up until the point at which the singer makes her entrance in the pick-up to m. 5. The first four measures prolong $V_6^{\#=5}$ over a pedal A2. At the foreground, the sixth above the bass (F$\#$) is embellished with its own diminished seventh chord (E$\#^7$) in m. 1 and 2. Meanwhile, the A4 prolonged throughout the opening stands ready to be adopted as the Kopfton by the singer, whose melody articulates the song’s Urlinie.\footnote{The graph shows that this note is prolonged in the piano prelude with neighbouring motion. The voice-leading has been adjusted to show the chords in a more normalized position—the implications of this will be discussed in the section to follow on voice-leading.}

It is easy to imagine a normative model for this prelude in which tonic harmony rather than dominant harmony is prolonged through mm. 1–3. In this hypothetical prototype, the E$\#^7$ serves as a common-tone diminished seventh to the tonic in order to prolong tonic harmony, and a $V^7$–I cadence in m. 4 concludes the gesture.\footnote{The E$\#^7$ is a vii$^7$/V, but in this (conjectural) context it preserves as a common element with I. Compare the opening of Schubert’s C major Quintet D. 956 for a similar usage of vii$^7$/V.} By including the pedal A2, however, Schumann’s setting emphasizes the instability and restlessness of dominant harmony at its outset. In Schenkerian theory, this kind of off-tonic opening is referred to as an auxiliary cadence.\footnote{Please refer to footnote 38. As described in chapter 1, Charles Burkhart has previously discussed the use of the auxiliary cadence as a musico-poetic metaphor in two songs from Schumann’s Op. 39 Liederkreis.} Though the auxiliary cadence can be employed in many different ways, its function here is what James Sobaskie calls “precursive,” in that it serves to prepare or announce tonic harmony before the structural down-beat and the beginning of the song. In a precursive prolongation, “the initially appearing subordinate elements are prefixial to the pre-eminent

75 The graph shows that this note is prolonged in the piano prelude with neighbouring motion. The voice-leading has been adjusted to show the chords in a more normalized position—the implications of this will be discussed in the section to follow on voice-leading.

76 The E$\#^7$ is a vii$^7$/V, but in this (conjectural) context it preserves as a common element with I. Compare the opening of Schubert’s C major Quintet D. 956 for a similar usage of vii$^7$/V.

77 Please refer to footnote 38. As described in chapter 1, Charles Burkhart has previously discussed the use of the auxiliary cadence as a musico-poetic metaphor in two songs from Schumann’s Op. 39 Liederkreis.
element, which functions as an anchoring object.” In this case, the anchoring object is the structural tonic, and the subordinate tonal element is the auxiliary cadence which prepares it. The piano prelude thus foreshadows the text’s appearance of the fickle butterfly by characterizing it with unstable dominant harmony precisely where we are accustomed to expect stable, tonic harmony. In other words, the opening is off-kilter; it tumbles toward a structural tonic as a butterfly might tumble through the air.

**Figure 2.4** Voice-leading Sketch of “Frühlingslust” Piano Prelude

![Voice-leading Sketch](image)

The precursive dominant pedal is resolved when the music comes to a perfect authentic cadence in the second half of m. 4. However, this achievement of the piece’s structural tonic (♭V/II) is compromised in the following ways: 1) the resolution of the prolonged dominant anacrusis falls on the weak half of the measure; 2) the resolution is coordinated with a transfer into a higher register, suggesting that the D4 that forms the root of the tonic might in actuality be a “tenor” voice over an absent bass (D3 by implication, but possibly still A2); and 3) the phrase that begins in m. 4 immediately re-opens the lower registral space with B2 supporting a

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dissonant #4 in the melody. Though the B2 in the bass suggests I\(^{5-6}\) motion, which would indicate a prolongation of tonic function, the context suggests that the chord is already functioning as a pre-dominant harmony (since G\(^{6}\) is absorbed into E\(^{7}\) as V\(^{7}/V\)). Thus, we might get the impression as listeners that the new phrase fails to latch on to the tonic securely.

**Figure 2.5** Voice-leading Sketch of “Frühlingslust” A Section

The A section in mm. 5–12 sets the first stanza of the text and is shown in **Figure 2.5**. Schumann uses similar strategies in this passage to undermine the tonic as a force for stability. Whenever it appears, it is always on the weak half of the measure, and the music never allows it more than a moment of rest before flowing into something that will lead us back to the dominant. The stretch in mm. 7–9 provides a good example. The vocal melody comes to a halt on 3\(^{\flat}\) in m. 6, but the bass—rather than dwelling on I—passes through V\(^{6}\) to vi. This motion supports a fanning arpeggio in the vocal line that moves in contrary motion to the accompanying bass line, and may be taken as a form of word painting to depict the casting-out of love’s net. During this span, tonic harmony is prolonged through the oscillation of 5–6 motion. That the submediant chord receives the accent of the downbeat we may connect with the unusual way in which the phrase begins with B2 in the bass in m. 5. By extension, I would add that the impulse to present the tonic
alongside its relative minor might be Schumann’s way of tingeing it, in an abstract sense, with the bittersweet sorrow of being caught in love’s net.\textsuperscript{79}

**Figure 2.6** Voice-leading Sketch of “Frühlingslust” B Section

![Figure 2.6 Voice-leading Sketch of “Frühlingslust” B Section](image)

**Figure 2.7** Voice-leading Sketch of “Frühlingslust” B Section Middleground

![Figure 2.7 Voice-leading Sketch of “Frühlingslust” B Section Middleground](image)

After coming to a half cadence in m. 12 (a backwards-relating dominant), we may expect that the B section in mm. 13–20 will begin with much-awaited tonic harmony. Instead, however, the dominant resolves deceptively to $V^7/IV$ in mm. 13–15 as part of a long-range trajectory that will take us to a structural dominant in m. 20 as part of an interruption structure that frames the ABA’ form (shown in Figures 2.6 and 2.7). The middleground sketch elucidates how, according to this interpretation, the beginning of the B section articulates the outermost boundary of the

\textsuperscript{79} This strategy is similar to the one encountered in “Sängers Trost,” where tonic and submediant keys are truly paired for similar effect. However, there is not enough emphasis on B minor harmony to make a claim for tonal pairing in “Frühlingslust.”
tonic’s prolongational span.\textsuperscript{80} The long stretch of D\textsuperscript{7} creates the expectation that G major will be tonicized, but instead, this harmony is resolved deceptively to E minor in m. 16. The C major chord in m. 16 stabilizes the seventh of D\textsuperscript{7} as the root of C major harmony (bVII), and functions as a precursive prolongation to E minor. Locally, it sounds like plagal G: V\textsuperscript{7}–IV–(I? no!) motion, but before the plagal resolution can occur, the C major is transformed to become a diminished seventh, intensifying the drive toward E minor, which becomes the harmonic support for \( \hat{4} \).

**Figure 2.8** Voice-leading Sketch of “Frühlingslust” A’ Section

![Voice-leading Sketch](image)

The graphs also show that the song’s ABA’ form is coordinated with an interrupted Ursatz structure. The B section ends with \( \hat{2}/V \), while A’ resumes with the second branch of the divided Urlinie. The opening of the A’ section, shown in Figure 2.8, frustrates the resumption of tonic harmony. Whereas the analogous passage in m. 4 provided a structural tonic, the reprise omits literal tonic support for \( \hat{5} \). In other words, formal ambiguity presides over the boundary between B and A’ sections. Melodically, the second branch of the Urlinie begins anew with \( \hat{5} \) in the melody as the pick-up to m. 21. The proper harmonic support is withheld until the second half of m. 22—and by this time, the Urlinie has already passed through \( \hat{4} \) to \( \hat{3} \)! This peculiar

\textsuperscript{80} Cf. mm. 3–8 in “Sängers Trost.”
state of affairs is shown in Figure 2.8, which symbolizes how $\hat{5}$ is supported conceptually by I (shown in brackets), even though this harmony does not appear literally.

**Figure 2.9** Voice-leading Sketch of “Frühlingslust” A’ Section ctd.

Tonic harmony is thwarted one final time in m. 28, at the crucial moment when the vocal melody achieves closure on $\hat{1}$ (shown in Figure 2.9 and 2.10). Rather than coordinate this closure with tonic harmony, the bass moves deceptively to a vii$^{16}/V$ to support $\hat{1}$ in the melody, delaying the appearance of the structural tonic in the bass until m. 29 in the piano postlude. Once again, this use of B in the bass to support $\hat{1}$ may here be understood in connection with the repeated use of $V/V^7$ and vi to support this scale degree in the A sections. This instance may be heard as finally accepting the secondary chord to V as a valid alternative to the tonic.
To review, the song emphasizes dominant harmony and frustrates tonic harmony. Although the music turns the tonic-dominant relationship on its head by privileging dominant harmony, this departure from the norm resonates strongly with the text. The instability of dominant harmony becomes a metaphor for the flight of the butterfly and by extension becomes associated with freedom. By the same token, stable tonic harmony becomes a metaphor for the enthrallment of love. That tonic harmony it is eschewed in favour of dominant harmony fits well with the poem’s message that it is better to live carefree. The interplay between the dominant and tonic in the musical setting thus becomes a musical symbol for the principal action in the poem.

2.3.3 Specific Voice-Leading Techniques in Relation to the Text

While tonic-dominant polarity accounts generally for the dichotomy that is established between love/captivity and butterfly/freedom, the music also employs several voice-leading techniques to express specific imagery in the text. A very good example may be found in the right hand of the piano prelude in mm. 1–4. In my voice-leading sketch in Figure 2.4, I have normalized the registers to show a 5–6–5 neighbour note motion, which relates to the vocal line in mm. 5–6. However, the musical surface alternates between A4 on the downbeats and D5 on the off-beats. In Schenkerian terms, the right hand of the piano superposes D5 above B4. The obligatory register for the D is in the tenor voice in a middleground sketch, and indeed this note moves back into the inner-voices on the downbeats in mm. 2 and 3. The musical effect is that D appears to weave in and out of the harmonic texture like a leaf on the wind—or a butterfly, for that matter! In combination with the prolonged dominant upbeat, the unusual voice-leading strengthens the image of a butterfly tumbling through the air in a carefree way.
Superposition is next taken up by the vocal line in m. 5 to decorate the word Rosen (see Figure 2.5). Once again, at a more middleground level, the D would appear as an inner voice beneath double neighbours to $\tilde{5}$ (G#4 and B4). The way in which the line $\tilde{5}\rightarrow4\rightarrow3$ is voiced is highly unorthodox. Schumann allows the G# in the vocal line to resolve upwards again to A, but the doubling in the piano’s tenor voice corrects the chromatic element with G$.^\sharp$. Rather than resolve this downward in the left hand, it resolves to F$^\#$ via upward register transference back to the vocal line.

I will return to this point momentarily, but first I wish to draw the reader’s attention to the matter that by consequence, the analogous passage in the A’ section, the Urlinie’s $\tilde{4}$ appears in the piano’s left hand (cf. Figure 2.8). The consistent emphasis on $\tilde{5}$ throughout the song strongly suggests a 5-line.\(^{81}\) I definitely hear $\tilde{3}$ prolonged in mm. 22–24, so the question is: where to locate $\tilde{4}$ if $\tilde{5}$ is already the pick-up to m. 21? The only available support for $\tilde{4}$ is the V$^7$ on the downbeat of m. 22 in an inner voice. This is why I have shown a register transfer from G#4 down to G#3 along with a transferred resolution of G$^\sharp$ to F$^\#$ in my graphs of A and A’—to show that $\tilde{4}$ is “hidden” in this unusual way.\(^{82}\) Why might Schumann have wanted the singer to avoid this scale degree? To answer this question, let us refer back to m. 18, where $\tilde{4}$ is used conspicuously to set the accented syllable of the word Liebe (love). As we already know, love is associated negatively with captivity in this poem. The unusual omission of this Stufe in the vocal line is therefore directly motivated by the line of text (ich mag nicht sehen und sorgen/I don’t like to

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\(^{81}\) Any 5-line can be interpreted as a 3-line using the techniques of superposition, reaching over, and cover tone. While an analysis of this song using a 3-line might resolve the difficulty of where to show the structural in the A’ section, such a reading would sacrifice the elegant reading of an interrupted 5-line in the B section shown in Figures 2.6 and 2.7.

\(^{82}\) The similar instances of A–G$^\sharp$–(G$\sharp$)–F$^\#$ in the first A section thus prefigure the structural descent in A’.
look ahead and worry). By avoiding $\hat{4}$ in the vocal line, the singer enacts the sentiment behind the text.

In the B section, a covering tone (C$\flat$) is used to mask $\hat{5}$ in mm. 13–15. During this span, the outer-voices are locked in parallel tenths, which resonates well with the what-if scenario of being trapped (gefangen) described in the text. The use of $b^7$ in this lock-step capacity is significant to the text, but its appearance here is also motivic: it arises as a middleground enlargement of the superposed D over A that we first heard in the piano prelude, now with contrapuntal 8–b7 elaboration (the middleground graph in Figure 2.7 shows this in the obligatory register). The covering tone does not resolve in the C4 register, but is rather transferred into the piano right hand—where the seventh is stabilized as the root of a C major chord—and resolves to the B3 in m. 16 at the moment when pre-dominant harmony arrives.

We have already seen how the use of register transfer may be employed to enliven the meaning of the text in my discussion of the concealment of $\hat{4}$ from the vocal line in the A sections. In more direct relation to the text, Schumann’s setting of the poem’s last two lines emerges as a shining example of how this technique can become a musical metaphor. The graph in Figure 2.9 shows how mm. 25–27 prolong ii through a series of voice-exchanges between the outer voices. During this span, the entire Ursatz is transferred into a higher register. Though the Urlinie concludes in this registral space, the piano postlude eventually transfers it back down to the obligatory register, but the same is not true of the bass, which remains in the treble clef after m. 28 (see Figure 2.10). This skywards transfer of register is coincides intuitively with the text: its appearance here embodies the flight of the merry songs as they soar up into the treetops.

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83 The voice-exchanges follow the progression ii–V/ii– ii$^6$ and likewise for vi (as a composing-out of ii’s upper fifth).
On a final note, the G5 used to set the word Wipfel, and that marks the highpoint in the vocal line, seems to be connected to the G4 that was earlier associated with Liebe. Its appearance may be taken as compensation for the earlier absence of this tone in the Urlinie. While G4 may connote love and imprisonment, the transformation brought about by the register transfer strikes me as positive—perhaps the butterfly has escaped. The synthesis of the descending Urlinie with the variety of rising gestures may imply that if the butterfly is to be caught anywhere, it should be in nature.

2.3.4 Pitch Substitutions and Enharmonic Puns

A salient feature in this song is the use of G♯ as a chromaticized variant of G♮. Over the course of the song, the tension between these two pitch classes can be interpreted as an extended metaphor for the butterfly’s desire to remain floating (embodied by G♯’s tendency to rise to A) and love’s attempt to ensnare it (embodied in G♮’s tendency to resolve downward by step). Indeed, G♯ is one of the first chromatic elements we hear during the piano prelude, where it forms part of an E♯7 chord that prolongs the dominant anacrusis. When the singer enters in m. 5, E♯ is lowered by semitone so that G♯ is supported by V7/V. A similar process governs the local E7 harmony in m. 17, where a rising fifth progression connects B2 to F♯3 as a tenor voice. The only time that G♮ appears is as part of the V7 in mm. 6 and 10 to set the words Blütte (bloom) and Falter (butterfly).84 G♯ appears one final time in the A section as a chromatic neighbour note to A3 in the bass at m. 12.

84 Cf. m. 22, which retrospectively associates these words with sorgen (sorrow).
In the B section’s description of the pangs of love, however, G♯ comes back into play to overturn the chromaticism of the preceding A section. In the melody, it appears prominently in setting the words Rosenzeit (time of roses) and, as discussed above, der Liebe (of love). Meanwhile, when G♯ appears fleetingly in the B section, it functions as a linking mechanism. For instance, the G♯ on the last eighth-note of m. 16 (und/and) attempts to recapture the ♯ of the A section, but succeeds only in linking the two halves of the second stanza. The G♯ in the second half of m. 19, however, leads convincingly to the dominant harmony in m. 20 which provides the retransition into A’.

Schumann is famous for his piano postludes, in which the accompaniment is often considered to comment on the events of the song. In “Frühlingslust,” G♯ has the final word over G♯, appearing in m. 28 as part of a viiº⁶/V to delay the structural tonic, and as the bass of a viiº⁷/V as pre-dominant harmony in the final measure, where it helps to provide post-cadential extension. Though G♯ is present in the right hand’s figuration in m. 29, the almost entirely chromatic context robs it of its power to compete with G♯. Finally, the penultimate chord in m. 30 omits an added seventh in favour of a less usual V⁹−⁸⁴−³ cadential decoration. Taken together, these signs in the piano postlude allude to the butterfly’s successful escape from love’s net.

A secondary tonal argument that is developed throughout this song is the opposition between E♯ and its enharmonic equivalent F♯. As with the G♯/G升降 duality, the E♯ is aligned with the butterfly in its desire to resolve upwards, while the F♯ appears characteristically as a

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85 Note also that G♯ is used to as an accented neighbour note in the right hand’s lead-in figure in this measure.
86 Please refer to footnote 2 above.
87 Cf. my comments about the music’s acceptance of G♯ toward the end of the piece in Section 2.3.2.
foreboding element in association with love’s sorrows. For example E♯ features prominently in the piano prelude and serves to prefigure mention of the butterfly in the text. As a melodic note, it appears poignantly as an appoggiatura to the F♯ on the second half of m. 14 to set the critical word gefangen (trapped), signifying the butterfly’s desire to wrest itself from the lockstep of the outer voices in mm. 13–15. Later in the B section, however, E♯ is reinterpreted darkly as F♯ as part of the G♯º7 that sets the negative word vergehen (perish), thus enacting the very fading away that is feared to result from being ensnared.

The tonal pun returns twice more in the piano postlude: in the right hand, E♯ decorates ♯ as a lower neighbour note in m. 29, but in the left hand, we encounter F♯ across the bar-line in mm. 29–30. What is the meaning of F♯ in this context? Examination of the left hand’s upper voices hints at ♭–♭–♭, suggesting that the parallel minor is lurking in the shadows. While a range of meanings can be attributed to this element, I will conjecture that the appearance of F♯ in the piano postlude is akin to Gertrude’s reminder to Hamlet: “thou knows’t ‘tis common: all that lives must die, passing through nature to eternity.” Yet, in this context, the message is a mix of lighthearted optimism and sage advice: life is short—it is better to spend it singing merry songs than weeping bitter tears!

2.4 Fantastical Moments in “Die Meerfee”

In the final case study in this chapter, I continue to explore how musical structures can serve as metaphors for depicting crucial turning points in the text. In “Die Meerfee,” the
climactic fourth strophe is set apart from the rest of the song through a marked shift away from diatonic and goal-directed harmony toward intensely chromatic and characteristically disorienting harmony in the piano accompaniment. I examine how this moment is anticipated in the earlier strophes through harmonic and motivic elements. The final strophe is further highlighted with an embellished chromatic voice-exchange that captures a profound moment of introspection accompanying the shift in focus in the text from the sea fairy to the young seafarer. Finally, I show that the rapid structural descent of the song’s Urlinie resonates with the text’s description of the waves carrying away the apparition.

2.4.1 The Sea Fairy and the Young Boy Who Witnesses Her

The poem by Julius Buddeus is shown below in Table 2.3. It is organized into four stanzas with an alternating abab rhyme scheme. The first stanza focuses primarily on the sounds that announce the fairy’s imminent appearance; the second stanza develops the auditory imagery further and introduces the fairy herself; and the third stanza activates the visual and olfactory senses with imagery of dancing light and lilting scents.

While the first three stanzas focus on the sea fairy and the auditory, visual, and olfactory signs that accompany her presence, the fourth stanza changes perspective to center attention on the young boy who witnesses her appearance. To him, the spectacle is mesmerizing, but before there can be any further reflection, the apparition vanishes and the poem ends. It is unclear whether anyone else aboard the ship saw the fairy, or whether it was all in the young lad’s imagination. At the crux of this poem is the issue of what it is like to experience something that is normally withheld from our everyday perception. Read in this way, the poem is a fantasy that appeals to the Romantic Sehnsucht, or yearning for the infinite, for what is beyond.
Table 2.3 “Die Meerfee” Text

<table>
<thead>
<tr>
<th>German Original</th>
<th>English Translation</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Helle Silberglöcklein klingen</em></td>
<td>Bright little silver bells ring</td>
</tr>
<tr>
<td><em>Aus der Luft vom Meer</em></td>
<td>Out from the sea breeze</td>
</tr>
<tr>
<td><em>Leise Mädchenstimmen singen</em></td>
<td>The soft singing of maiden’s voices</td>
</tr>
<tr>
<td><em>Fröhlich rings umher</em></td>
<td>Happily sounds around</td>
</tr>
<tr>
<td><em>Und auf leichtem Perlenwagen</em></td>
<td>And on delicate pearl coach</td>
</tr>
<tr>
<td><em>Fährt die Fee</em></td>
<td>The Faery passes by</td>
</tr>
<tr>
<td><em>Von der lauen Luft getragen</em></td>
<td>Carried by the warm breeze</td>
</tr>
<tr>
<td><em>Wallt der Melodei</em></td>
<td>The melody flutters</td>
</tr>
<tr>
<td><em>Lichte Funken rings umglühten</em></td>
<td>Luminous sparks glow around</td>
</tr>
<tr>
<td><em>Sie im heitern Spiel</em></td>
<td>Her in merry play</td>
</tr>
<tr>
<td><em>Düfte wie von Rosenblüthe</em></td>
<td>Scents as from rose blooms</td>
</tr>
<tr>
<td><em>Weh’n vom Mast zum Kiel;</em></td>
<td>Waft from mast to keel</td>
</tr>
<tr>
<td><em>Und der Knabe sieht es träumend</em></td>
<td>And the youth sees this, dreaming</td>
</tr>
<tr>
<td><em>An des Schiffes Bord</em></td>
<td>On the ship’s deck</td>
</tr>
<tr>
<td><em>Doch die Wellen tragen schäumend</em></td>
<td>But the waves carry</td>
</tr>
<tr>
<td><em>Die Erscheinung fort.</em></td>
<td>The foamy apparition away.</td>
</tr>
</tbody>
</table>

2.4.2 Elements of Foreshadowing in the First Three Stanzas

Unlike the other songs presented in my study, “Die Meerfee” is through-composed. Harmonically, the supertonic receives a great deal of emphasis as an intermediary harmony, appearing both diatonically and chromatically as V/V. Frequently, the ii chord receives added

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89 In potential connection, the titular magic horn from the famous Des Knaben Wunderhorn collection of German folk songs (Achim von Arnim and Clemens Brentano) is said to have been a gift from a sea fairy. The archetype for the appearance of gift-giving sea fairies can be traced back to old Arthurian legends. See Edmund Kurt Heller, “The Story of the Magic Horn: A Study in the Development of a Mediaeval Folk Tale,” Speculum 9, no. 1 (January 1934): 38–50. I am indebted to Susan Youens for bringing this added dimension to the poem to my attention at the 2013 Vancouver International Song Institute’s Song Scholarship Program.

90 Though clumsier in English, a word for word lines reads “But the waves carry, foaming/the appearance away.”
intensification with the use of an applied dominant (usually $V^7/\text{ii}$). The compact piano prelude, shown in Figure 2.11, serves as a prime example: ii is approached by $V^7/\text{ii}$, expanded from root position to first inversion (with the help of a passing $V^4/\text{ii}$), and chromatically altered to become $V^6_5/V$ before passing to V in m. 3. These and similar elaborations of the ii chord are salient in the first three stanzas and help to unify them.

**Figure 2.11** Voice-leading Sketch of “Die Meerfee” Piano Prelude in mm. 1–4

As we shall see, several features that first appear in the piano prelude will be developed during the course of the song. For now, let us note the $\tilde{5}–(#\tilde{5})–\tilde{6}–\tilde{5}$ in the top voice (where #5 is a chromatic passing note) and that of the twelve chromatic pitch classes, the piano prelude supplies eleven—the only absentee being C♯. As $\tilde{3}$, this important pitch is slated to become a harbinger of the parallel minor that opens up during the final strophe.

**Figure 2.12** Voice-leading Sketch of “Die Meerfee” First Stanza

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As we shall see, several features that first appear in the piano prelude will be developed during the course of the song. For now, let us note the $\tilde{5}–(#\tilde{5})–\tilde{6}–\tilde{5}$ in the top voice (where #5 is a chromatic passing note) and that of the twelve chromatic pitch classes, the piano prelude supplies eleven—the only absentee being C♯. As $\tilde{3}$, this important pitch is slated to become a harbinger of the parallel minor that opens up during the final strophe.
The singer adopts the \( \hat{5} \) established in the prelude in the pick-up to m. 4. In Schumann’s setting of the first stanza (shown in Figure 2.12), the playful use of \textit{staccato} notes in the vocal part is obviously motivated by the text’s description of \textit{silber Glöcklein} (silver bells), while in mm. 9–11, the singing switches back to \textit{legato} to evoke the \textit{Mädchenstimmen} (maiden’s voices). These couplets are joined together by a fanning sixteenth-note arpeggio in the accompaniment across mm. 7–8. Variations on this figure reappear most often in the accompaniment as a linking mechanism between couplets (see for example mm. 15–16, 23–24, and 26–27). The graph in Figure 2.12 shows that the longer vocal line to be an elaboration of the \( \hat{5}–\hat{6}–\hat{5} \) neighbour figure from the introduction. Likewise, the first stanza employs many of the same strategies for the deployment of the supertonic chord: it is approached by \( V^6_{5}/ii \) in m. 8, expanded by voice-exchange in m. 9, and modified to become an applied dominant to V.

**Figure 2.13** Voice-leading Sketch of “Die Meerfee” Second Stanza

At the beginning of the second stanza (shown in Figure 2.13), the vocal line adopts the arpeggio figure that was first introduced in mm. 7–8 to set the line \textit{und auf leichtem Perlenwagen} (and on delicate pearl coach). In another instance of traditional word painting, the shape of the
arpeggio is no doubt meant to portray the waves on the water. As before, the supertonic is lavished upon in new and interesting ways. After a pedal point over A in mm. 13–14, the ii chord is briefly tonicized by the progression in mm. 15–17 before moving to the dominant in m. 18. The latter is then expanded by the use of the ii chord as its upper fifth in mm. 18–19, a heretofore unseen use for the ii chord that points forward to the chromatic fourth stanza and the eventual structural descent.

**Figure 2.14 Voice-leading Sketch of “Die Meerfee” Third Stanza**

The third stanza (shown in **Figure 2.14**) supplies for the first time the missing pitch class that completes the aggregate in m. 22. However, its latent power to open up the possibility of modal mixture as C♭ (♯3) is not tapped into at this time. Rather, this pitch class appears here in enharmonic guise as a passing B♯, connecting 2 and 3. The use of B♯ as a pitch that has been withheld within the framework of the music we have heard up until this point signals to us that it may be functioning as what Edward Cone calls a “promissory note.” Such notes suggest an

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91 This portrayal has a graphic component in the way that Schumann has beamed his sixteenth notes in pairs—an aesthetic by-product of setting two notes to a syllable. Paired sixteenths reappear in the piano postlude to paint the foamy waves.

obligation to function a certain way, but then fail to discharge that obligation. Here, the omission of C♯ from the three stanzas suggests that the fourth stanza will compensate by emphasizing it—and indeed, that is what occurs. The appearance of B♯ in m. 22 thus serves as a preview for what lies ahead.

The graph in Figure 2.14 also shows the continued development of the supertonic chord. Of particular interest is the chromatic line in mm. 23–24. The A♯ that forms the bass of a viiº/ii chord bypasses B as the root of a ii chord (Bracketed in the graph) and proceeds directly back to A as the bass of ii♯. Schumann’s setting of the word Düfte (scents, or perfumes) at precisely this moment is superb. In this context, A♯ is denied its tendency to resolve upward to B; instead, it is forced to function more like B♯ by slipping back down to A. This augurs the later appearance of the parallel minor and the use of ♭II. The Neapolitan chord is the chromatic counterpart to the recurring emphasis on the supertonic elsewhere in the piece and provides maximum contrast. The third stanza concludes with the description of fragrances wafting from mast to keel, captured in the turn decoration about ♯5 in mm. 26–27. The double-neighbour notes, ♭6 and ♯♯5, will be chromaticised further in the fourth stanza.

2.4.3 Daydreams and Chromatic Voice-Exchange

The fourth stanza is set apart from the rest of the song through a marked contrast in text, harmony, and timbre. The arrival of the word träumend (dreaming, adv.) initiates an

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93 Ibid. 235.

94 Cf. Schubert’s “Das sie hier gewesen” (D. 775). Carl Schachter’s comments on this in “Motive and Text in Four Schubert Songs,” 213.

95 Note the indication Ohne Verschiebung (without soft pedal) in the piano.
extravagant long-range chromatic voice-exchange in the accompaniment, developed over mm. 31–34. In some respects, the progression is similar to a classical omnibus progression: the outer voices diverge, a voice-exchange occurs between two third-related pitches, and the functionality of the individual chords is momentarily suspended. In this case, the upper voice ascends, mostly chromatically, from F#4 to A5, while the lower voice descends, again mostly chromatically, from A2 to F1.

**Figure 2.15** Chromaticized Voice-Exchange in “Die Meerfee”

There are several notable differences from a classical omnibus progression. In a classical omnibus (running through a full cycle of four major-minor seventh chords, and returning to the initial one), the long-range voice-exchange occurs between 5 and 7 and serves to prolong dominant harmony. Here, the wedge is not entirely chromatic and the exchange occurs between 6 and 1, which serve to prolong a neighbour harmony nested within a dominant prolongation. This is shown in the voice-leading diagram in Figure 2.15. Additionally, the singer’s F#4 in m.

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96 For a comprehensive introduction to the classical omnibus progression, see Paula Telesco, “Enharmonicism and the Omnibus Progression in Classical-Era Music,” *Music Theory Spectrum* 20, no. 2 (Autumn 1998): 242–79. Telesco discusses the history and practice of the omnibus progression through its beginnings as a way of harmonizing a chromatically descending bass-line, to its customary uses in Classical repertoire, and finally to its more idiosyncratic uses in nineteenth-century repertoire.
31 is transformed to become F♭1 in the left hand of the piano in m. 34 such that 6 emerges as modally inflected at the end of the sequence.

The first hints of the parallel minor mode arise on the downbeat to m. 28, where C§ appears above E in the bass as part of a cadential six-four decoration that might otherwise be expected to progress directly to the tonic minor. Instead, however, Schumann moves to a B♭ chord in first inversion at the pick-up to m. 29. From the context of a dominant prolongation in A major (presently minor), this is the Neapolitan chord. But what follows makes it clear that it is being reinterpreted as the subdominant of F major. The outer voices are expanded outward chromatically, yielding an Italian sixth that moves to C7 in m. 30.

Table 2.4 Implicit Tonality in “Die Meerfee” mm. 29–34

<table>
<thead>
<tr>
<th>m.</th>
<th>29</th>
<th>30</th>
<th>31</th>
<th>32</th>
<th>33</th>
<th>34</th>
</tr>
</thead>
<tbody>
<tr>
<td>F:</td>
<td>IV–Iit₃–V⁷–viι⁰⁴₃–(I⁶? no!)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>g:</td>
<td>viι⁰⁶₃–I⁶–viι⁰⁴₃–viι⁰⁴/IV</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>C:</td>
<td>viι⁰⁴₃–I⁶–V⁴₃–(I? no!)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>F:</td>
<td>viι⁰⁴/I–viι⁰⁶₄–I⁶–V⁴₄–(I? no!)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>A:</td>
<td>bVI</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

However, a strong arrival on F major never obtains. This is what Deborah Stein calls “implicit tonality.”⁹⁷ Instead, the cadence is abandoned as the dominant moves through a passing motion in the bass (C–B♭–A = ♯5–4–3 in F) to what we expect to be I⁶ in F major. But in a special

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⁹⁷ The notion of “implicit” tonality (to which Table 2.4 refers) is currently being developed and explored by Deborah Stein in a working paper entitled “The Lied as Fragment: Text and Tonal Fragmentation.” Implicit tonality is operation when a key is hinted at, but never confirmed. Stein’s paper considers how such an implied key might function.
deceptive technique, we arrive on the correct scale degree in the bass, but it is used to support a
diminished seventh that in turn propels the music forward toward a new key (3 in F becomes 2 in
g). The chart in Table 2.4 shows a traditional Roman numeral analysis and reveals how
diminished seventh chords are used at key junctures in this passage, either as pivot chords (in m.
32), or as deceptive motions (in mm. 31 and 33—the anticipated chord is show in brackets).98

The chart shows how, after hinting at F major, the passage tilts at G minor and C major
before returning to F major again. Together, these keys form an enlarged I–ii–V–I progression
within F major, which in turn is bVI within the global key of A major. At m. 34, #4 is added to
transform bVI into a German augmented sixth chord, allowing for a return of A major tonality.
Structurally, this passage is an exotic middleground elaboration of 5/V through the use of
chromatic neighbour notes. Though it is occurring in both structural voices, it makes sense to
prioritize it as an element in the treble voice, since this connects it more meaningfully to the 5–
6–5 motion we saw earlier in the song. The use of bII, bVI, and Gr as substitutes for chords
based on 2 and 6 (i.e. V(7)/ii, ii, and V(7)/V) stands in maximum contrast to the sharp-side
emphasis on ii elsewhere in the song.

One possible derivation for this middleground is shown in Figure 2.16. In this prototype,
the germ for this passage consists of the dominant six-four prolonged with the help of a double-
neighbour figure in the bass, supported by bII6 moving to bVI (becoming Gr). In the next stage,
the interval between the two neighbour notes in the bass is inverted such that the third D3–F3
becomes a sixth, D3–F2; the new interval is then filled in using passing tones and harmonized. In

98 See also Charles J. Smith, “The Functional Extravagance of Chromatic Chords,” Music Theory Spectrum 8
(Spring 1986): 94–139. Smith uses a similar style of charts in his analyses in his article.
the final stage, the deceptive motions and additional keys are introduced to expand the stepwise descent in the bass by a further octave (cf. Figure 2.15).

**Figure 2.16 Prototypes for Chromatic Voice-Exchange**

If I have dwelt for so long in my discussion of this passage, it is only because I wish to drive home that the mention of word *träumend* (dreaming) in the text is coordinated with an extreme gesture of otherworldly obfuscation of the deep musical structure. The discombobulating chromatic extensions which occur in the music are outwardly expansive, yet symbolize a moment of profound introspection: their utter removal form the ordinary world of the background structure captures the awe, confusion, and daydream-like awareness that the boy experiences as he sees the vision vanishes before his eyes. The diminished seventh chord on the downbeat of m. 31 is fantastically remote from the background structure: locally, it tonicizes G minor, which in turn forms part of a ii–V–I progression in F major in the middle-ground, which in turn functions as a neighbour bVI to a structural cadential six-four at the middle-background, which in turn is modally inflected to suggest the parallel minor. This is the musical equivalent of the innermost Petrushka doll!
2.4.4 Foamy Waves and Structural Descent

What is almost as astounding is the rapid structural descent that takes place in mm. 35–37, which resonates exceptionally well with the text’s descriptions of the waves carrying the apparition away. This is shown in the voice-leading sketch for song’s conclusion in Figure 2.17.

The graph shows that the majority Urlinie is supported by dominant harmony, with the exception of 5 (which is initially supported by I in the first three stanzas) and the closing 1. Ordinarily, this would be too much strain on a single harmony, but here, extra harmonic support for 4, 3, and 2 is provided by foreground harmonies, namely an elaboration of ii as V’s upper fifth: ii is expanded to ii⁶ within V via a voice-exchange with the help of a passing vii°⁴ chord.

Figure 2.17 Voice-leading Sketch of “Die Meerfee” Showing Structural Descent

Figure 2.18 Voice-leading Sketch of “Die Meerfee” Piano Postlude
The piano postlude (shown in Figure 2.18) shares much in common with the prelude, but with some notable variations. Much of the emphasis on the supertonic has now been absorbed into a prolongation of the dominant in mm. 39–40; echoing the structural descent of the *Urlinie*, these ii chord function as chords based on the upper fifth of V. In mm. 41ff, the staccato eighths in the top voice of the right hand are decorated with flowing sixteenth notes in lower voice. The graph in Figure 2.18 shows the harmonies that collect from the flotsam and jetsam. The viiº/Vs are not at all out of place given the preoccupation with the supertonic, but it is interesting that B♭ appears as part of a viiº/IV to articulate 3–2→♭2→♭1 in the closing measures, especially since the only other time IV appears is during a pedal point six-four decoration of the tonic during the description of the sea fairy’s first appearance. These moving sixteenths recall vocalist’s adoption of the linking arpeggio in mm. 12–13 and, in my interpretation, are meant visually to depict the foam on the waves—or perhaps, through the young boy’s eyes, the pearl coach disappearing on the crests of the waves as the ship sails into the sunset.

### 2.5 Concluding Remarks

In the preceding three case studies, I have provided examples of how a Schenkerian approach can enrich song analysis and interpretation. Specific musical structures revealed by Schenkerian analysis were shown to resonate with the meaning of the text in interesting and noteworthy ways. In “Sängers Trost,” I showed how the tension between the paired keys of B♭ major and G minor responds to the protagonist’s growing concerns about mortality as weighed against the consolation of eternal union with nature through song, how rising and falling lines in the poetry are echoed by rising and falling linear progressions in the music, and how, in the climactic final strophe, the skyward trajectory in the poetry from the earthly to the heavenly is
coordinated with a chromatic extension of the ascending third progression established by the first three strophes, leading to a vocal highpoint that is supported by harmonies that arise from modal mixture.

In “Frühlingslust,” I argued that the dichotomy established in the text between the freedom (in association with the figure of the butterfly) and entrapment (in association with love) is embodied generally in the song’s unusual emphasis on the dominant. I show how, throughout the song, dominant harmony is privileged for its inherent mobility, while the tonic is compromised in various ways in solidarity with the poem’s message about how it is better to live carefree like the butterfly and avoid the pangs of love. I argued that the Schenkerian voice-leading techniques of superposition and register transfer may be seen to evoke the butterfly’s flight through the air and escape up into the treetops at the song’s end. Lastly, I show how pitch substitutions and enharmonic respellings partake in the poetry’s characterization of the butterfly and love—namely, in how G♯ (♯4) constantly appears as means of keeping the music aloft in association with the butterfly, while G♭ (♭4) is avoided as a marker of love’s prison because of its natural tendency for downward resolution.

Finally, in “Die Meerfee,” I show how the first three strophes anticipate the mesmerizing chromatic episode that takes place in the final stanza. This is achieved in the following ways: first, through a constant emphasis on the supertonic via V(7)/ii, ii, and V(7)/V, which are starkly contrasted in the final stanza with flat-side substitutes; second, by developing ♭5–♭6–♭5 neighbour motion; and third, by excluding of the chromatic note C♯, which forecasts the climactic shift to the parallel minor. The exotic chromatic voice-exchange that is initiated with the pivotal word träumend (dreaming) is analyzed in detail and shown to be functioning as part of a dramatic expansion of middleground chromatic neighbour tones to the structural dominant six-four that
underlies the passage. The disarming effect of the chromaticism and dizzying array of implicit harmonies captures the wonder and mystery that the young boy experiences at witnessing a vision of the supernatural. Finally, the rapid structural closure of the song’s Ursatz within the span of a single measure functions as a musical metaphor for the poem’s final line about the apparition parting with the waves.
3 Chapter: Vier Husarenlieder Op. 117

3.1 Introduction

War—I know it well, and the butchery of men. Well I know, shift to the left, shift to the right my tough tanned shield. That’s what the real drill, defensive fighting means to me. I know it all, how to charge in the rush of plunging horses—I know how to stand and fight to the finish, twist and lunge in the War-god’s deadly dance.

—Hector
Homer, The Iliad, 7.275–81

The Husarenlieder are about the experience of leading a soldierly life, and Schumann’s brooding musical settings respond primarily to the grim imagery in Lenau’s poetry. The poems introduce several dualities that are held in juxtaposition across the whole: wartime versus peacetime, bravura versus solemnity, and civilian life versus enlisted life. The meaning of Schumann’s setting emerges in the way that his music responds to the balance of these elements in the text. While these elements achieve a state of volatile equilibrium in the opening song, the remaining songs depict the Hussar’s failure to escape from the darker side of his profession through drink (no. 2), the memory of happier times (no. 3), and self-praise (no. 4). Ultimately, I contend that in Schumann’s reading, it is the bleak reality of war that prevails over the Hussar’s consciousness.

In this chapter, I discuss how songs in an entire collection cohere through their use of poetic and musical elements. I begin by discussing the implications of the key relations across the four songs and by presenting the primary motives that link them together. In my discussion of the text, I examine how the poetic themes outlined in the first of the four cavalry songs are subsequently taken up in turn in the remaining three songs. In my discussion of the music, I will argue in favour of an interpretation in which the inner workings of these four songs reveal a
somber facet to the Hussar’s character, which is contrasted against the bravura, heroism, and naiveté that appears on the surface. The tension between these two personalities is often revealed in specific musical structures and gestures.

Practically speaking, the *Husarenlieder* present a challenge to Schenkerian analysis: how do you graph a song written for a baritone? If the sketches presented in this chapter appear comparatively strange-looking, it is because I have opted to show the vocal line at its literal pitch level (i.e. in the bass clef and not in the treble clef). Since it stands out from the piano timbrally, we are predisposed to hear the vocal line as the main melody, even when it is not actually the highest sounding line.⁹⁹ For this reason, it is usually—though I am quick to caution, not always!—advisable for the analyst to privilege the vocal line when considering possible candidates for structural tones, even when this leads to situations in which the *Urlinie* appears, uncharacteristically, in the bass clef as a “tenor” voice. The “inner” voices in the treble clef thus appear in these graphs to float above the slur markings, though conceptually, they must be considered to be bound by them. Naturally, circumstances arise in which the structural tones of the *Urlinie* cannot be placed in the vocal line (e.g. songs nos. 2 and 4). These cases inevitably require further analytical commentary.

### 3.2 Elements of Cohesion in the *Husarenlieder*: Key-Relations and Motives

Examination of the tonal centers in the *Husarenlieder* reveals several patterns of symmetry in the cycle’s tonal trajectory. These are clarified in Figure 3.1 below, which shows

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⁹⁹ Allen Cadwallader and David Gagné address this issue in their analysis of Schubert’s “Gute Nacht” (*Winterreise* D. 911, no. 1): “In listening to an accompanied song, our attention is usually given primarily to the vocal melody. As a rule, therefore, the vocal line will be heard as the principal melody, even if the accompaniment lies in a higher register than the voice.” See Allen Cadwallader and David Gagné, *Analysis of Tonal Music: A Schenkerian Approach*, 3rd ed. (New York: Oxford University Press, 2011), 142–43.
two pairs of keys related by the neo-Riemannian *Relative* transformation (R), namely B♭/g and E♭/c, and two interlocking fifth-related pairs, B♭/E♭ and g/c. Additionally, the inner songs are related by the *Leittonwechsel* transformation (L), and the final song concludes with a *tierce de Picardy*, which I have shown with a *Parallel (P)* transformation. The cycle thus capitalizes on each of the primary neo-Riemannian transformations, plus the “dominant” transformation (D).

**Figure 3.1 Husarenlieder Key-Relations**

My invocation of neo-Riemannian labels serves to reveal that the cycle is primarily unified through third-relations, while traditional fifth-relations provide a secondary dimension to the overall organization. This in turn affects the over-arching narrative of the songs in subtle, but effective ways. Songs nos. 1 and 3 are in major keys; they are light-hearted in tone and effectively deflect the darker facets of the Hussar’s character. Songs nos. 2 and 4 are in minor keys; they are darker in tone and engage more forthrightly with difficult subject matter.

The songs are also interconnected via motivic development. **Figure 3.2** shows the three main *Husarenlieder* motives. Motive x, a falling fourth motive, first appears in song no. 1 and is

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101 The cycle can be understood more elegantly as a region of the tonal space defined by successive operations of the diatonic mediant (M) transformation, which will generate all 24 major and minor keys. See Julian Hook, “Uniform Triadic Transformations,” *Journal of Music Theory* 46, no. 1/2 (Spring–Autumn 2002): 57–126. Hook cites the sequence in Beethoven’s Ninth Symphony, second movement (mm. 143–71) as an example of this cycle on page 90.

102 Cohn notes that Lewin’s “DOM” transformation is the same as Hyer’s “D” transformation. Both are defined as a transposition of five semi-tones (T₅). See Cohn, “Introduction to Neo-Riemannian Theory: A Survey and a Historical Perspective,” 169–72.
developed further in no. 2. Motive \( y \) is derived from motive \( x \) in the following way: 1) it is prefixed with a rising arpeggio of a first inversion triad, 2) the descending fourth is contracted to become a falling third, and 3) it is transposed up a fourth. Motive \( y \), which appears for the first time in song no. 2 (mm. 10–11), also features in song no. 3. Lastly, motive \( z \) consists of an upper-neighbour note which is embellished with a chordal skip. It appears at the opening of song no. 3, where it is expanded to include a lower neighbour that rises chromatically back to the starting pitch (shown in brackets). Motive \( z \) also features prominently in song no. 4, where it appears without the lower neighbour. These motives thus wind their way through the collection in ways that connect adjacent songs according to the pattern \( x: xy: yz: z \).

Figure 3.2 Husarenlieder Motives

It is interesting to note that the four tonal centers of the four songs articulate a C minor seventh chord (\( C–E_b–G–B_b \)) when taken together. From an analytical standpoint, it would be fortuitous if \( C_{\text{min}}^7 \) (or more generally the minor seventh sonority at any pitch level\(^{103} \)) were developed as a “motivic harmony.”\(^{104} \) It is not the case in the Husarenlieder, however, that the minor seventh is unusually emphasized as a verticality in any of the individual songs. But there \( is \) a horizontal connection: these are the primary notes of motive \( y \) (if we consider the fourth note to be a passing tone) which, after all, links the two central songs together. These are transposed

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\(^{103}\) Or even more generally, the \([0358]\) pitch-class set in any context.

\(^{104}\) This is Peter Smith’s term for a verticality that acquires a characteristic identity comparable to a Wagnerian \( \text{Leitmotiv} \). For three case studies, see Peter H. Smith, “Brahms’s Motivic Harmonies and Contemporary Music Theory: Three Case Studies from the Chamber Music,” \textit{Music Analysis} 28, no. 1 (2009): 63–110.
in song no. 2, where the motive articulates Gmin\(^7\), but appear at the literal pitch level in song no. 3 (as shown above in Figure 3.2).

3.3 “Der Husar, trara!”

3.3.1 Dichotomies in the Text

Lenau’s poem, shown in Table 3.1, has a tripartite division. Each of the three stanzas begins with the same boasting description of the Hussar. In each case, the first line announces the Hussar; the second line is an onomatopoeic exclamation in imitation of a trumpet call; and the third line mockingly inquires “what is the danger?” The latter is, on the surface, most easily explainable as a rhetorical question, as if to say: wherever there is danger, you shall find the Hussar, who bravely faces it at every turn. I will return to this line in my analysis of the music, where I advance the argument that Schumann reads this line with a very different tone and degree of seriousness.

The stereotypical Hussar had a reputation for being brash, a womanizer, and a drunkard. Indeed, Lasalle’s famous quote about the appropriate Hussar life expectancy speaks volumes about the Hussar image: “Mon ami, tout hussard qui n’est pas mort à trente ans est un jean-foutre.”\(^{105}\) The quality of brashness is taken up in the unvaried first three lines in each stanza, while womanizing and drinking are taken up in the varied material in the first and second stanzas, respectively. To this list of admirable qualities in a human being, Lenau contributes that the Hussar enjoys oversleeping in the third and final stanza.\(^{106}\)

\(^{105}\) “My friend, any Hussar who is not dead by the age of thirty is a blackguard [read: scoundrel].” The quote is attributed to Antoine Charles Louis de Lasalle, who was a general in the French army under Napoleon. He died at the age of 34. The quote appears in Paul Thiébault, Mémoires du Général bon. Thiébault Vol. III (Paris: E. Plon, Nourrit et Cie, 1895): 230–31.

\(^{106}\) The logic here is impeccable: the Hussar’s fondness for sleep surely follows from his propensity for sexual exertion and hard drinking.
Table 3.1 “Der Husar, trara!” Text

<table>
<thead>
<tr>
<th>German Original</th>
<th>English Translation</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>Der Husar,</em></td>
<td><em>The Hussar,</em></td>
</tr>
<tr>
<td><em>Trara!</em></td>
<td><em>Ta-da!</em></td>
</tr>
<tr>
<td><em>Was ist die Gefahr?</em></td>
<td><em>What is the danger?</em></td>
</tr>
<tr>
<td><em>Sein herzliebster Schatz!</em></td>
<td><em>His heart’s favourite dear</em></td>
</tr>
<tr>
<td><em>Sie winkt, mit einem Satz</em></td>
<td><em>She beckons, with a word</em></td>
</tr>
<tr>
<td><em>Ist er da, trara!</em></td>
<td><em>He is there, ta-da!</em></td>
</tr>
<tr>
<td><em>Der Husar,</em></td>
<td><em>The Hussar,</em></td>
</tr>
<tr>
<td><em>Trara!</em></td>
<td><em>Ta-da!</em></td>
</tr>
<tr>
<td><em>Was ist die Gefahr?</em></td>
<td><em>What is the danger?</em></td>
</tr>
<tr>
<td><em>Sein Wein; flink! flink!</em></td>
<td><em>His wine; swift! swift!</em></td>
</tr>
<tr>
<td><em>Säbel blink! Säbel trink!</em></td>
<td><em>Saber flash! Saber drink!</em></td>
</tr>
<tr>
<td><em>Trink Blut! trara!</em></td>
<td><em>Drink blood! ta-da!</em></td>
</tr>
<tr>
<td><em>Der Husar,</em></td>
<td><em>The Hussar,</em></td>
</tr>
<tr>
<td><em>Trara!</em></td>
<td><em>Ta-da!</em></td>
</tr>
<tr>
<td><em>Was ist die Gefahr?</em></td>
<td><em>What is the danger?</em></td>
</tr>
<tr>
<td><em>Sein herzliebster Klang,</em></td>
<td><em>His heart’s favourite sound,</em></td>
</tr>
<tr>
<td><em>Sein Liebgesang,</em></td>
<td><em>His favourite song,</em></td>
</tr>
<tr>
<td><em>Schlafgesang, trara!</em></td>
<td><em>Lullaby, ta-da!</em></td>
</tr>
</tbody>
</table>

Of special importance is the conflation of the images of wine and blood in the middle of the poem. This duality, so clear even in its brief introduction here in the first song—and developed more fully in the second song—opens up a hermeneutic window.107 Is it possible that the other themes in the neighbouring stanzas also partake in some duality? What other dualities are at play? And is there a commonality or syllogism that exists between successive dualities?

In pursuing this line of reasoning, we have only to ask ourselves what else the *Schatz* (dear) of the first stanza and the *Schlafgesang* (lullaby, lit. sleep-song) of the third stanza might be taken to mean. In the case of the lullaby, I propose that it is entirely reasonable—obvious

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107 The term was coined by Lawrence Kramer. See Lawrence Kramer, *Music as Cultural Practice 1800–1900* (Berkeley: University of California Press, 1993), 12.
even—that in this context it might be considered a death-trope.\textsuperscript{108} As for the beloved, I suggest that she might be a surrogate for the Hussar’s country. My reasoning here is that as the Hussar is, albeit to his pleasure, at the beck and call of his lover, so too is he duty-bound to fight for his country in times of war.

An overarching dichotomy thus emerges between \textit{peacetime} and \textit{wartime}: the ideas of the beloved, wine, and sleep are all associated with the theme of peacetime, while the ideas of nation, blood, and death are all associated with wartime. Furthermore, while peacetime activities are all depicted as pleasurable, wartime activities are all shaded with pain. As we shall see, this dichotomy partakes in an overarching narrative for the whole collection.

### 3.3.2 Reaching-Down Coinciding with Dramatic Shift in Tone

Schumann’s setting is strophic, reflecting the structure of the poem, and makes only minor changes to accommodate the rhythm of the text. A voice-leading sketch, however, serving for each of the three strophes cannot always do justice to these subtle changes. For instance, the use of sixteenth-notes to set the word \textit{Säbel} (saber) in mm. 21 and 22 is no doubt meant to paint the image of a saber blade slashing quickly back and forth and, likewise, the tremolo at the conclusion of each strophe in the piano is certainly meant to evoke a drumroll.

The piece opens with a fortissimo arpeggio figure emanating from the contra octave in the piano. This figure is prevalent throughout the first song and, as a motivic parallelism, helps to structure the middleground. Figure 3.3 is a voice-leading sketch of the first strophe until the structural close of the \textit{Urlinie} in m. 10. The voice enters in m. 2 to articulate the notes of the

\textsuperscript{108}Cf. Schubert’s “Der Lindenbaum” from the \textit{Winterreise} song cycle. A more extreme case occurs in Mahler’s “Die zwei Augen blau,” the final song in his \textit{Lieder eines fahrenden Gesellen} cycle.
tonic triad, constituting a brisk initial arpeggiation from $\hat{5}$ up to Kopfton $\hat{3}$. The emphasis on tonic harmony, rising arpeggio figures, and use of low register and loud dynamics, entreat us to characterize the first two measures as heroic and courageous, and work well to set the opening lines of the poem.

**Figure 3.3** Voice-leading Sketch of “Der Husar, trara!” A Section

![Voice-leading Sketch of “Der Husar, trara!” A Section](image1)

**Figure 3.4** “Der Husar, trara!” Reduction Clarifying Motion from an Inner Voice

![Reduction Clarifying Motion from an Inner Voice](image2)

The bravura of the opening is immediately contrasted in the following two measures. Hard on the heel of the articulation of the Kopfton, we are wrenched into the realm of the relative minor with the deployment of D major (V/vi) in m. 3 and, in the second half of this measure, the vocal line reaches down to an inner voice at a lower register—where it will in fact remain until
the resumption of the *Urlinie* in m. 9 (shown in Figure 3.4).\(^{109}\) This sudden destabilization of the initial tonic is coordinated with the rhythmically dissonant duplets in the second half of m. 3, creating a rising fourth in the voice (D–E♯–F♯–G). Taken together, the reaching down to an inner voice, stuttering use of rhythm, and turn to the relative minor all suggest that the heroic B♭ major opening is a front for a more solemn interior world. The clincher comes when the accompaniment “answers” the singer’s question with a topical horn call in m. 4, which acts as the lead-in to the next vocal entry: in contrast to the opening material in the accompaniment, this minor version appears in the treble and descends.

These opening measures pass so quickly that it is difficult to appreciate the dramatic change in character between the opening bravura and the somberness that attends *was ist die Gefahr?* (what is the danger?). These two facets to the character of the Hussar are represented by the obligatory register of the *Urlinie* descent and its counterpart in the reaching-down to a lower register, respectively. I suggest that the brief plunge into the abyss represents a slipping of the mask for our hero. The cultivated swagger is a costume he wears to protect himself from confronting the darker nature of his line of work: a defense mechanism. When one has no reason to expect a long life, one sees no harm in living recklessly. The frivolous life he sings about aims to blunt the knowledge that death is only a battle away.

Beginning with the anacrusis to m. 5, the singer softens to *piano* to introduce what I have designated motive *x* in my analysis: a descending fourth progression, B♭–A–G–F.\(^{110}\) It begins on

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\(^{109}\) See Schenker, *Free Composition*, §135 Motion from the Inner Voice (*Untergreifung*). This technique suspends the original register until it is regained by the motion from the inner voice. Here, the register of the *Urlinie* is abandoned with the reaching down to D3 in m. 4, only to be regained with the ascent back up to .

\(^{110}\) The falling fourth is reminiscent of Schumann’s setting of the text *und die halb-versunkenen Mauer* (and the half-sunken wall) from “Schöne Fremde” (Op. 39, no. 6). Burkhart comments on the unusual prosody of this line; see Burkhart, *Departures from the Norm*, 162.
B♭, occupies a tessitura midway between the braggadocio opening (about D) and the grim relative minor (about G); the text that appears here is the varied text in each of the three stanzas which can be seen from either the perspective of war or peace. The harmonic support for motive \( x \) is somewhat unusual and deserves closer inspection. In mm. 5–6, the motive connects vi back to I. The profile of the bass line pattern strongly suggests a sequence of descending fifths (\( \hat{6} \rightarrow \hat{2} \rightarrow \hat{5} \rightarrow \hat{1} \) suggests vi–ii–V–I). However, a vii\(^{6}\) chord appears in place of the expected ii chord, precursively prolonging V. The use of V\(^{7}\) to support \( \hat{6} \) in the vocal line (doubled in the right hand), though idiomatic to Schumann’s harmonic language, is likewise unusual in this context.

On the second pass in mm. 7–8, the motive moves from V to iii in m. 8, where the martial arpeggio figure from the opening appears transposed up a third. The music then moves through an applied V\(^{7}\) chord to ii, which connects to the structural close of the Ursatz, which sees a return to the brash tone of the opening.

The bass line in m. 9 contains the notes C2 and F2, this time supporting the expected ii–V\(^{7}\)–I progression that was absent in mm. 5 and 7. The vocal line presents two options in mm. 9 and 10, with the high E♭ route the preferred choice.\(^{111}\) Incidentally, the higher line leads to a situation in which \( \hat{1} \) is avoided in favour of \( \hat{3} \) at the moment of structural close. The bracketed B♭ in the graph shows that \( \hat{1} \) is achieved at this moment conceptually. Echoing this, the vocal line leaps from F up to D to conclude the piece in the post-cadential prolongation of the tonic (not shown in Figure 3.3). Though the right hand of the accompaniment settles to B♭, that the singer

\(^{111}\) The Husarenlieder were written specifically for the baritone singer Hermann Behr. See Jon Finson, Robert Schumann: The Book of Songs, 185. Behr would have had no difficulty performing the higher of the two versions; the alternative was probably included to accommodate amateurs.
should linger on 3 creates a sense of melodic openness. This in turn helps to ease the transition between the first two songs, but it also partakes in a more sophisticated process.

In coordination with the resumption of I in the bass in m. 6, the piano initiates an ascending sixth progression $3-4-5-6-7-8$. This stepwise ascent in the accompaniment—beginning with D4, the voice’s Kopfton no less!—complements the descent of the 3-line in the vocal part, and is only apparent when the doubling of the vocal part in the right hand is removed. In other words, the ascent happens “underneath” the descent, in spite of the register.\textsuperscript{112} The duality between ascending and descending lines maps neatly onto the aforementioned dichotomy between wartime and peacetime established in the text: acoustically, we hear rising lines as mounting in tension, while descending lines we hear as dissipating tonal energy. In conjunction with my earlier association of Urlinie descent with the mask of bravura and the motion from an inner voice with the somber facet of the Hussar’s character, the simultaneous presence of two diverging progressions from $3$ to $1$ (=8) creates a powerful narrative. That the rising motion from an inner voice to regain $2$ in the voice should become “internalized” by the piano accompaniment suggests that the Hussar’s true inner nature admits a darker acknowledgement of the Schatz (beloved), Wein (wine), and Schlafgesang (lullaby) in the text.

3.4 “Der leidige Frieden”

The second song moves down a third to G minor, retaining the piano’s right-hand B♭ as a common tone. Instinctively, there is a sense that “Der leidige Frieden” will shed some light on the more somber facet of the soldier’s psyche, since the relationship between tonal centers mirrors the initial move from B♭ major to G minor that was highlighted in the first song at was ist

\textsuperscript{112} Please refer to footnote 99.
die Gefahr? (what is the danger?). Though song no. 2 begins and ends definitively in G minor, the first three strophes seek to avoid this key, first by a disorienting sequence of ascending fifths, and then by standing on the dominant of the relative major, B♭ major. The latter key, though implied, is never strongly confirmed. Motivically, song no. 2 derives much of its melodic material from motive \(x\) (B♭–A–G–F) introduced in the first song. This motive is developed the same way in the first three strophes, but the pattern breaks off in the climactic fourth strophe to assist with the return to G minor.

The text of the second song expands upon the duality between wine and blood in the second stanza of the first song. More broadly, the poem, shown in Table 3.2 below, chronicles the soldier’s experience of transitioning between peacetime and wartime. This transition is dramatized in the gradual reversal of the song’s two characters: the soldier and his sword. My analysis reveals that this reversal is embodied in the music’s register transfer of the Urlinie’s \(\hat{2}\) over dominant prolongation, which marks the rhyme between Blut (blood) and Glut (fervour).

### 3.4.1 Role-Reversal of Soldier and Sword in the Text

The poem begins with the soldier lamenting the tedium of peacetime. During this time, he occupies his days drinking at the local wine cellar, while his sword remains inert on the wall. In the first three stanzas, the soldier is active while the sword remains passive. The soldier is associated with wine, and—though not mentioned directly in the poem—the words Keller (cellar) and Wein (wine) strongly imply the word kuhl (cool). In this context, coolness is associated with activity during peacetime, but in the fourth stanza, this state of affairs is overturned with the heat of battle (heiß Streit, fiery clash), which contrasts with the coolness of
### Table 3.2 “Der leidige Frieden” Text

<table>
<thead>
<tr>
<th><strong>German Original</strong></th>
<th><strong>English Translation</strong></th>
</tr>
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<tbody>
<tr>
<td><em>Der leidige Frieden</em>&lt;br&gt;<em>Hat lange gewährt,</em>&lt;br&gt;<em>Wir waren geschieden,</em>&lt;br&gt;<em>Mein gutes Schwert!</em></td>
<td>The boredom of peacetime&lt;br&gt;Has lasted too long,&lt;br&gt;We have been separated,&lt;br&gt;My good sword!</td>
</tr>
<tr>
<td><em>Derweil ich gekostet</em>&lt;br&gt;<em>Im Keller den Wein,</em>&lt;br&gt;<em>Hingst du verrostet</em>&lt;br&gt;<em>An der Wand allein.</em></td>
<td>While I savoured&lt;br&gt;Wine from the cellar&lt;br&gt;You hung rusting&lt;br&gt;On the wall alone.</td>
</tr>
<tr>
<td><em>Von Sorte zu Sorte</em>&lt;br&gt;<em>Probiert 'ich den Wein,</em>&lt;br&gt;<em>Indessen dorste</em>&lt;br&gt;<em>Das Blut dir ein.</em></td>
<td>From brand to brand&lt;br&gt;I sampled the wine&lt;br&gt;Meanwhile the blood&lt;br&gt;Dried upon you.</td>
</tr>
<tr>
<td><em>Ist endlich entglommen</em>&lt;br&gt;<em>Der heiße Streit,</em>&lt;br&gt;<em>Mein Schwert, und gekommen</em>&lt;br&gt;<em>Ist deine Zeit.</em></td>
<td>Finally smouldering over&lt;br&gt;The fiery clash,&lt;br&gt;My sword, your time&lt;br&gt;Has come.</td>
</tr>
<tr>
<td><em>Ich geb' deiner Klingen</em>&lt;br&gt;<em>Den blanken Schliff,</em>&lt;br&gt;<em>Ich lasse dich singen</em>&lt;br&gt;<em>Den Todespfiff.</em></td>
<td>I sharpen your edge&lt;br&gt;To a shine,&lt;br&gt;I let you sing&lt;br&gt;The death-whistle.</td>
</tr>
<tr>
<td><em>Im Pulvernebel</em>&lt;br&gt;<em>Die Arbeit rauscht,</em>&lt;br&gt;<em>Wir haben, o Säbel,</em>&lt;br&gt;<em>Die Freude getauscht.</em></td>
<td>Through cannon-fog&lt;br&gt;Our work rushes,&lt;br&gt;We have, oh Sabre!&lt;br&gt;Traded our joys.</td>
</tr>
<tr>
<td><em>Im brausenden Moste,</em>&lt;br&gt;<em>Mein durstiges Erz,</em>&lt;br&gt;<em>Betrinke dich, koste</em>&lt;br&gt;<em>Von Herz zu Herz.</em></td>
<td>In the thunderous must&lt;br&gt;My thirsty steel,&lt;br&gt;Drink up, sample&lt;br&gt;From heart to heart.</td>
</tr>
<tr>
<td><em>Derweil du kostet</em>&lt;br&gt;<em>Das rote Blut,</em>&lt;br&gt;<em>Ist mir eingerostet</em>&lt;br&gt;<em>Der Hals von Glut.</em></td>
<td>While you savour&lt;br&gt;The red blood,&lt;br&gt;My throat has parched&lt;br&gt;From the fervour.</td>
</tr>
</tbody>
</table>

113 The “death-whistle” Lenau refers to is a distinct phenomenon in saber-fighting. In high-speed saber combat, the strokes can actually become audible. The whistling sound is produced when the tip of the saber breaks the sound barrier. I am indebted to Brett Lapeyre, instructor for the University of British Columbia Fencing Club, for sharing this insightful bit of information with me.
the wine and the cellar as the soldier proclaims that it is now time for the sword to take the role of being active.

The fifth stanza is what is known as an arming sequence. What is noteworthy about Lenau’s sequence is that ordinarily it is the hero who is armed, whereas here the sharpening and death-whistle present a situation in which it is the sword itself that is primed. This serves to ascribe greater prominence to the sword, as it attains greater agency.

Table 3.3 Role-Reversal of Soldier and Sword

<table>
<thead>
<tr>
<th>Soldier</th>
<th>Sword</th>
</tr>
</thead>
<tbody>
<tr>
<td>Wine (active)</td>
<td>Rust (passive)</td>
</tr>
<tr>
<td>Cool (Keller and Wein)</td>
<td>Warm (heiße Streit)</td>
</tr>
<tr>
<td>Thirst (passive)</td>
<td>Blood (active)</td>
</tr>
</tbody>
</table>

The last two stanzas complete the reversal: the sword takes on the active role of drinking blood, while the soldier’s throat goes dry from exertion. Table 3.3 summarizes the trajectory of relationships between soldier and sword. In personifying his sword, the Hussar externalizes his warrior facet, displacing it onto the sword such that it takes on the status of a full and separate character. As a rhetorical figure, the sword functions as something between a synecdoche and metonymy. In reality, however, the saber is quite literally an extension of the Hussar’s arm; the two characters are one. It is the tool the Hussar requires for his work (and survival) on the battlefield, and stands as a symbol and metaphor for his martial prowess. By gifting it with a life unto its own, the Hussar abnegates personal ownership of any carnage that he would otherwise

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114 Such sequences are ubiquitous in the Homeric tradition, especially in the Iliad (quoted at this chapter’s outset). For an overview of the arming sequence, see section 2.4 in Mark W. Edwards, “Homer and Oral Tradition: The Type-Scene,” Oral Tradition 7, no. 2 (1992): 284–330. Incidentally, Lenau’s reference to fighting in the midst of gunpowder as Arbeit (work) is also strongly reminiscent of the Homeric tradition, which frequently describes the din and clamour of war in terms of work, either directly (through the Greek word ergon), or through the use of metaphor (hunting, fishing, shepherding, etc.). See Bernard Knox’s introduction to Homer, The Iliad, trans. Robert Fagles (New York: Penguin, 1990): 26–29.
be forced to bear responsibility for committing. Therefore, it also functions to shield him from the psychological burdens of war—another defense mechanism. In sum, if at the beginning of the poem, the soldier pined to be reunited with his sword in battle, by the poem’s end the reunion appears to bring him no joy.

3.4.2 Role-Reversal of Soldier and Sword Embodied in Register Transfer of Urlinie ̂

Schumann’s setting of “Der leidige Friede” is strophic (A A’ A” A’”). The eight stanzas of the poem are divided into four groups of two; the first three of these are set almost identically, while the fourth is modified. Figure 3.5 shows the first half of the first strophe, and may be taken to represent strophes 2 and 3 with only small adjustments.

Figure 3.5 Voice-leading Sketch of “Der leidige Frieden” A Section

![Voice-leading Sketch of “Der leidige Frieden” A Section](image)

The piano prelude establishes G minor as the home key, but this is quickly destabilized with a sequence that will eventually lead to a dominant pedal in the relative major. The first leg of the sequence appears in mm. 2–4 with the familiar motive x in the vocal line, only re-harmonized from its appearance in song no. 1. The harmonic support is now an unfolded supertonic chord (iiº–iiø7) in m. 3 moving to the dominant minor in m. 4, which is itself embellished with a third progression in the right hand of the accompaniment. The vocal melody in mm. 5-7 then presents motive x beginning on F, and the sequence is repeated in D minor, this
time landing on the dominant minor (A minor) in m. 7. The intervals of motive x are preserved exactly with the use of the E♭ in m. 6. This will be overturned in the final strophe.

The use of the dominant minor in conjunction with the ascending sequence of fifths inhibits goal-directed tonal motion and gives the music a searching quality. The downcast trajectory of Schumann’s vocal line and aimless harmonic progression suggest that the Hussar takes little pleasure in drinking. I propose that the Hussar may be suffering from what we now call post-traumatic stress disorder and that he is drinking to alleviate involuntary traumatic flashbacks and the discomfort of culture shock. Feelings of redundancy and loss of self-worth are common among soldiers returning from a tour of duty. For the Hussar, these feelings take the form of an obsession with having been separated from his weapon, which defines his identity as a soldier.

**Figure 3.6** Voice-leading Sketch of “Der leidige Frieden” A Section continued

![Voice-leading Sketch](image)

The second half of the strophe (mm. 9–16) consists entirely of a prolonged V/III, as shown in **Figure 3.6**. The F chord is first embellished with a $\frac{6}{4}$ pedal point decoration in m. 10 that moves through $V^4_3/V$ before resolving back to root position in m. 12. These measures
support the motive \( x \) in the voice. The profile of the unharmonized, syncopated descent \( F-E_b-D \) in mm. 12–14 is suggestive of a progression where the dominant moves through \( I^6 \), usually to evade a cadence. Note that the addition of this third progression to motive \( x \) links \( B_b \) down to \( D \): this is a descending version of the sixth progression one octave higher in song no. 1. Here, it serves to link to another statement of the fourth motive, this time supported by a half-cadence in mm. 14–15 (still within a prolongation of \( V/III \)).

Following the \( V/III \) pedal, subsequent strophes (A’ and A’”) begin with a \( B_b \) major anacrusis (rather than the \( G \) minor piano introduction in mm. 1–2). It is not until the fourth and final strophe beginning in m. 45 that \( G \) minor stages its surreptitious return. Motive \( x \) in m. 48 is modified to include \( E_b \) (diatonic to \( G \) minor) in the place of \( E_b^\# \) (cf. m.6 in Figure 3.4), curtailing any possibility of tonal wandering and overturning the impulse toward the relative major.

The \( A^\# \) in m. 49 (\( vii^\# \) in \( B_b \) major or \( ii^\# \) in \( G \) minor) is chromatically altered on the last sixteenth of the bar to become a secondary dominant (g: V/V), and, as with the previous strophes, what follows is a lengthy dominant pedal—this time in the home key. The voice-leading sketch shown in Figure 3.7 shows how the Kopfton \( \hat{3} \), which has been prolonged throughout the first three strophes, falls to \( \hat{2} \) in m. 54, coinciding with the word \( Blut \). This structural tone of the Urlinie is then transferred into a lower octave via a descending fifth progression (\( D-G \)) in the melody in mm. 55–57. In my interpretation, this octave transfer of \( \hat{2} \) over the dominant is the musical embodiment of the role-reversal of the soldier and the sword in the poetry, and serves to underscore the rhyme between the sword’s thirst for \( Blut \) (blood) and the soldier’s throat going dry from \( Glut \) (fervour). This effect is cast into relief by a more

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\(^{115}\) This also marks the first appearance of motive \( y \) (in mm. 10–11).
conventional word-painting effect: the change in vocal timbre. The singer’s descent into the song’s melodic nadir enacts the coarseness of a parched voice.

**Figure 3.7** Voice-leading Sketch of “Der leidige Frieden” A’’’ Section

![Voice-leading Sketch of “Der leidige Frieden” A’’’ Section](image)

The vocalist is denied structural closure that attains \( \hat{1}\)/I, echoing the soldier’s loss of agency to his bloodthirsty saber. Closure does not arrive until the *sforzando* in the piano m. 62 (not shown in the graph above). Although one might consider placing structural closure in m. 59, or even the last eighth-note of m. 58, I believe these to be apparent tonics that serve to prolong the dominant span. They appear in metrically weak positions and both serve to embellish \( \hat{2} \) with an upper neighbour figure in the right hand. As with the first song, a sense of full closure is never reached—the piece ends concludes with a statement of the tonic that is on the up-beat of the measure, and which has \( \hat{5} \) in the soprano.

3.5 “Den grünen Zeigern”

Song no. 3 in the *Husarenlieder* collection is in the key of Eb, but as with the two previous songs, the key of G minor features prominently. Motivically, it is linked to the previous song through motive \( y \), an ascending arpeggio followed by a falling third, and looks ahead to song no. 4 with the introduction of motive \( z \), a neighbour-note figure.
Lenau’s third *Husarenlied*, shown in Table 3.4, seeks to establish parallelisms between the soldier’s former life as a carefree youth and his life as a soldier. The subject matter of the first stanza aligns it obliquely as an outgrowth of the first (and second) stanza of “Der Husar, trara!”, though certainly the images of hopping from tavern to tavern allow us to make connections also to “Der leidige Frieden,” since it also features wine prominently. Schumann’s ternary setting (ABA’) results in a repeat of the first stanza. How are we to interpret this? It seems an odd choice, given that he could easily have written a through-composed or strophic setting. Why does Schumann’s setting revisit the past? I argue that the A’ section represents a synthesis of past and present and connect this to the trend in the previous song where the Hussar attempts to downplay the more visceral and violent imagery through various means. Although there are no exemplary Schenkerian structures that take on the status of musical metaphor in this song, Schenkerian principles inform and aid in my discussion of the unusual re-transition area that links G minor with E♭ major.

### 3.5.1 Recasting the Present through the Past

As with first two songs in the collection, the poem juxtaposes images of peacetime with wartime. Each of the peacetime images presented in the first stanza find their wartime counterpart in the second stanza: the green branches used to indicate the availability of home-made wine has its mirror in the cap’s green hackle\(^\text{116}\); the red cheeks (presumably a result of drinking wine) appear in battle when the soldier pummels his enemies\(^\text{117}\); and, lastly, the jolly

\(^{116}\) A hackle is a clipped feather plume worn as part of a military headdress. The colour varies from regiment to regiment.

\(^{117}\) This indicates that the wine/blood metaphor is still open. Alternatively, the “red cheeks” may be taken as a reference to womanizing, hence my earlier statement that the poem obliquely refers to the first song’s first stanza. This conclusion yields a hardcore reading, in which sexual lust has its counterpart in the thrill of battle.
fiddlers are replaced with the sound of cannons roaring. The green branches thus become a symbol for the soldier’s circumstances: just as the branches are cut off from the tree to make wreath, so too is the soldier cut off from the merrymaking days of his youth.

Table 3.4 “Den grünen Zeigern” Text

<table>
<thead>
<tr>
<th>German Original</th>
<th>English Translation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Den grünen Zeigern,</td>
<td>The green branches,[^118]</td>
</tr>
<tr>
<td>Den roten Wangen,</td>
<td>The red cheeks,</td>
</tr>
<tr>
<td>Den lustigen Geigern</td>
<td>The jolly fiddlers</td>
</tr>
<tr>
<td>Bin ich nachgegangen</td>
<td>Have I pursued</td>
</tr>
<tr>
<td>Von Schenk’ zu Schenk’,</td>
<td>From tavern to tavern</td>
</tr>
<tr>
<td>Solang ich denk’.</td>
<td>For as long as I recall.</td>
</tr>
</tbody>
</table>

Am Tschako jetzt trag ich
Die grünen Äste,
Rote Wangen, die schlag ich
Den Feinden auf’s beste,
Kanonengebrumm
Musiziert herum.

On my shako[^119] I now wear
The green branches,
Red cheeks, I strike
The enemy as best I can,
Cannon-fire
Makes music all around.

3.5.2 Conflation of Past Memories with Present Experience in A’

As I mentioned before, Schumann’s setting is ternary (ABA’), with the return of the A section reprising the first stanza of the poem. Furthermore, the B section appears in the unusual key of G minor (iii in E♭), which by this point in the cycle has taken on darker associations. As a result of Schumann’s approach, a map of the song’s temporalities begins by remembering the past, moves to the present, and concludes by recollecting the past yet again.

The A strophe begins with a neighbour-note figure, motive z, in mm. 1–2, and then recalls motive y (cf. song no. 2, mm. 10–11) in mm. 3–5. Although this song could be analyzed

[^118]: In parts of Austria and Germany, fir leaves (Buschen) are traditionally hung outside of taverns to indicate that fresh wine is in season.

[^119]: The shako is a military headdress worn by the Hussars.
using a 5-line, I have opted for a 3-line on the basis that the main vocal melody seems anchored around 3. However, this necessitates an explanation of mm. 7–10, in which the vocal lines leaps up into a higher register, through the gesture of reaching over, shown in Figure 3.8. In this passage, it will be noted that the merry setting of von Schenk’ zu Schenk’ (from tavern to tavern) transposes motive y up a third. The graph also shows that the A strophe prolongs the Kopfton ̂3 in the background while, at the foreground, a lower-level transference of the Ursatz leads to a PAC in m. 11 to close.

**Figure 3.8** Voice-leading Sketch of “Den grünen Zeigern” A Section

On the other hand, however, the close of the A section is elided with the B section, which transitions into the key of G minor through the aid of an auxiliary cadence (g: iv–V7–i), with m. 12 as a pivot area. The elision is effected in the right hand of the piano, where motive z appears on F at the pick-up to m. 11. The Kopfton G, formerly ̂3 of E♭, maintains its status as an important structural tone throughout the B section, now as ̂1 of the local G minor tonic.

The B section is shown in two graphs below (Figure 3.9 and 3.10) and consists of two parts. In the first part, the voice re-enters at the pick-up to m. 13 and sings two falling fifth progressions. The first of these is prefixed by an incomplete neighbour (g: b6) and embellished
through the register transfer of D₃ up to C₄, while the second, descending through a diminished fifth, leads to a lengthy dominant prolongation that spans mm. 16–20. The leap of a seventh is a striking feature that may be heard as an expression of grief. The appoggiatura A♮ that draws out the word *trag’* (wear, lit. carry) on the downbeat of m. 14 reinforces this interpretation.

Motivically, I connect the lament in mm. 13–14 to the A section passage in mm. 4–6. Both passages share several common elements: the descending third E♭–D–C, the directed motion of the line toward G₃, and the embellishment of G by an upper dissonance (appoggiatura on m. 14 versus suspension into m. 6). In the context of E♭ major, these gestures are jolly, but they are transformed within the purview of G minor to express dolour.

*Figure 3.9 Voice-leading Sketch of “Den grünen Zeigern” B Section*

The dominant prolongation in mm. 16–20, shown in *Figure 3.10*, constitutes the second half of the B section. It is expanded and tonicized through the use of subsidiary chords.

Particularly noteworthy is the use of an E minor chord to set the word *Feinden* (enemies) in m. 19: in the local context, the chord is functioning as ii of D major, but in the global context of E♭ major it is the minor Neapolitan chord (♭ii). The odiousness of the enemy forces is thus captured by the musical principle of double-mixture. Formally, this dominant preparation signals that a re-
transition is imminent. However, we are standing on the “wrong” dominant—V/iii, not V! Schumann navigates this dilemma via the unusual re-transition in mm. 21–23, which hinges on the dual identity of E♭ and F♯ as 6 and 7 of G minor and 1 and #2 in the home key of E♭ major, respectively. In the unharmonized passage, the piano leads and the voice follows. It is precisely at this point that the music is in-between keys: without full chords, we can hear either V–VI in G minor, or V(65)–I in E♭.\textsuperscript{120}

\textbf{Figure 3.10} Voice-leading Sketch of “Den grünen Zeigern” B Section, continued

\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{image1}
\caption{Voice-leading Sketch of “Den grünen Zeigern” B Section, continued}
\end{figure}

\textbf{Figure 3.11} Voice-leading Sketch of “Den grünen Zeigern” A’ Section

\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{image2}
\caption{Voice-leading Sketch of “Den grünen Zeigern” A’ Section}
\end{figure}

\textsuperscript{120} This is possible because motive z has already prepared V\textsuperscript{5}–I\textsuperscript{65} moving to I in mm. 2–3.
Rather than arrive in G minor, the A’ returns us to the home key of E♭. In the reprise, shown in Figure 3.11, the vocal line remains almost exactly the same; alterations are only made to allow for structural descent of the Urlinie in m. 34. The accompaniment, however, becomes much more boisterous, particularly in the bass. How are we to interpret this?

I contend that the key scheme and reprisal of the first stanza in the poetry support a reading in which the Hussar overlays his memories of happier times onto the harrowing experience of the present battle, presumably as a means of exerting control over his fear and the rush of adrenaline. According to this interpretation, the merry recollections of the vocal line are juxtaposed against the battle, which rages in the accompaniment. Seen in this light, it is not difficult to hear in the stepwise bass descent in mm. 25–28 the plunging charge of horses into the enemy lines. The call and answer passage in mm. 21–23, by extension, becomes the rally cry for the charge into A’. The topical horn calls in the piano postlude (not shown in the figures above) that conclude this song corroborate this story, and suggest that the battle ends in victory. However, the Hussar is not yet free to resume his carousel of taverns—the battle may be won, but the war continues unabated.

3.6 “Da liegt der Feinde”

The final song in the Husarenlieder collection is the bleakest of the four. Its primary images are of blood and death. In this song, the Hussar confronts war and the butchery of men more directly than in any of the previous songs. At times, both the poetry and the music strain to countenance the raw destruction that is witnessed: this comes through in the poem’s naïve repetitions and in the music’s ironic turns to the relative major, which strain in vain against the strong force of the home key.
From a Schenkerian perspective, the most interesting aspect of this song is the disconnection between the voice and accompaniment during the structural descent of the *Urlinie*. While the voice does conclude its melody on $\ddot{1}$, this is not coordinated with the harmony in the accompaniment to produce the expected point of structural closure. Rather, it emerges as a deceptive motion, and the closure we seek comes only later in the piano postlude. The stormy means by which structural closure is postponed lends itself well to the text’s description of the Hussar galloping away on his horse.

### 3.6.1 Blood and Trembling in the Text

Foreshadowed in the *Schlafgesang* (lullaby) in the final stanza of “Der Husar, trara!,” the latent concept of death finds its fullest and most explicit expression in the collection’s final poem. The text is divided into three stanzas, as shown in Table 3.5. Rhythmically, each stanza concludes laconically, with the fourth line containing only two accented syllables as compared with the prevailing pattern of four accents per line in the preceding three lines. The first stanza lays the scene and contrasts brutal images of the battlefield with laudatory remarks about our hero, the Hussar; this pattern of contrasting “us and them” is repeated in the second stanza. In the final stanza, the rally cry carries the Hussar off to more bloodshed.

Particularly vivid are the many images of spilled blood: in the first stanza, the enemy troops lay blood-soaked and dying; in the second stanza, blood is alluded to through the colour red; and in the third stanza, blood stains both the Hussar’s sword, and his horse’s hooves. Equally evocative are the images of death in the second stanza, where the souls of the Hussar’s vanquished foes congregate around the feather in his cap.
### Table 3.5 “Da liegt der Feinde” Text

<table>
<thead>
<tr>
<th>German Original</th>
<th>English Translation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Da liegt der Feinde gestreckte Schar,</td>
<td>There lies the enemy regiment in tatters,</td>
</tr>
<tr>
<td>Sie liegt in ihrem blutroten Blut.</td>
<td>They lie in their blood-red blood.</td>
</tr>
<tr>
<td>Wie haut er so scharf, wie haut er so gut,</td>
<td>How fiercely he strikes, how well he strikes,</td>
</tr>
<tr>
<td>Der flinke Husar!</td>
<td>The nimble Hussar!</td>
</tr>
<tr>
<td>Da liegen sie, ha! so bleich und rot,</td>
<td>There they lie, ha! so pale and red,</td>
</tr>
<tr>
<td>Es zittern und wanken noch, husch! husch!</td>
<td>Still trembling and staggering, hush! hush!</td>
</tr>
<tr>
<td>Ihre Seelen auf seinem Federbusch;</td>
<td>Their souls around his hackle;</td>
</tr>
<tr>
<td>Da liegen sie tot.</td>
<td>There they lie dead.</td>
</tr>
<tr>
<td>Und weiter ruft der Trompetenruf;</td>
<td>And onward calls the trumpet,</td>
</tr>
<tr>
<td>Er wischt an die Mähne sein nasses Schwert,</td>
<td>He wipes his wet sword on his horse’s mane,</td>
</tr>
<tr>
<td>Und weiter springt sein lustiges Pferd</td>
<td>And onward bounds his merry horse</td>
</tr>
<tr>
<td>Mit rotem Huf.</td>
<td>With blood-stained hoof.</td>
</tr>
</tbody>
</table>

Lenau’s monomaniacal diction, exemplified in the naïve descriptions *blutroten Blut* (blood-red blood) and *ruft der Trompetenruf* (calls the trumpet-call), to my mind does more to express the indescribable horror being witnessed than a more variegated description could ever hope to convey. In other words, the scene is so visceral that the best description of the omnipresent blood that the Hussar can muster is to artlessly describe it as, well, blood-red. This reading is reinforced in the frequent direct repetition of words, such as *liegen* (conjugated variously), *wie haut er* (how he strikes), *husch* (hush) and *weiter* (and onward), which similarly creates a stammering effect. In my interpretation, this is symptomatic of the shock from seeing such atrocities firsthand, and resonates with my statement about the Hussar suffering from post-traumatic stress disorder in song no. 2.
3.6.2 Ironic Outbursts in the Relative Major

Schumann’s C-minor setting is in bar form (A A’ B). The song opens with the rumbling of broken chords in the piano accompaniment that are offset rhythmically from the bar line by an eighth-note. These support the singer’s opening melody, a modified statement of motive z from the previous song (now without the lower neighbour-note). The conclusion of this gesture is further highlighted by the rhythmically dissonant duplets, which are reminiscent of the duplets in song no. 1. In m. 3, the Kopfton $\hat{5}$ is transferred into a lower register—the deepest the vocal line has reached since the end of song no. 3. The harmonic support in this measure tonicizes of G minor, but because of the rhythmically offset triplets in the accompaniment, the secondary dominant (on D) is altered to become an augmented triad.

Figure 3.12 Voice-leading Sketch of “Da liegt der Feinde” A Section

The voice-leading graph of the A section in Figure 3.12 above shows that at the downbeat of m. 4, the music is momentarily in-between keys. We expect that the downbeat will conclude the cadential gesture in m. 3 and arrive at a PAC in G minor, but instead Schumann writes a unison G on the downbeat, and with a sudden octave leap in the voice, we are launched into the relative major rather than the dominant. The Kopfton G, formerly $\hat{5}$ of C minor, is here
interpreted as $\hat{3}$, and the music in mm. 4–6 is structured around an interruption structure in Eb major ($\hat{3}–\hat{2}$ ||). The graph shows how this structure is expanded through modified direct repetition in mm. 4–5.

Thus, Schumann has responded to the juxtaposition of the stanza’s two halves by casting them in different modes. The first two lines observe the destruction and the bleak landscape. These are set to ominous broken chords that are minor (or dissonant), contain instances of rhythmic dissonance, and appeal to the singer’s lowest range and softest dynamics. By contrast, the lines about how well the Hussar strikes appear in the major mode, with steadier and more energetic rhythms, and appear in a higher register at a louder dynamic. However, these hymnal outbursts of self-praise are savagely curtailed in m. 6 when a French augmented sixth chord shatters the delicate framework of the interruption structure in Eb, wrenching us back into the gloom of C minor, and the A’ section. This supports a reading in which the passages in Eb may be heard as ironic. If the narrative thrust of the opening song was to show a somber facet that lay behind the veneer of machismo, here the situation is reversed. The mask of bravura is now insufficient protection in the wake of such destruction on the battlefield.\footnote{There is also something darkly comedic about these outbursts. I am reminded of the scene in Coppola’s Apocalypse Now, in which Colonel Kurtz expresses outrage at the hypocrisy that airmen were forbidden from painting expletives on their bombers on the grounds that it was profane—as if there were nothing profane about using the bomber to napalm droves of people.}

3.6.3 Transference of the Urlinie from the Vocal Line to the Accompaniment in the Postlude

The B section begins in m. 13 with a turn to the parallel major, C major. There are several explanations for this change, but the most immediate is that it responds well to the text’s trumpet calls, which are external to the protagonist (i.e. they are heard by him in the distance).
Locally, C major functions less as a tonic major and more as a secondary dominant to iv. On a more background reading, therefore, the change to C major demarcates tonic harmony’s outermost boundary, and by extension, the prolongation of $\hat{5}$ in the Urlinie.\footnote{Cf. similar prolongational boundaries in “Sängers Trost” and “Frühlingslust.”} Lastly, it foreshadows the tierce de Picardy at the conclusion of the song.

**Figure 3.13** Voice-leading Sketch of “Da liegt der Feinde” B Section

![Voice-leading Sketch of “Da liegt der Feinde” B Section](image)

The graph in Figure 3.13 shows $\hat{4}$ in an unusually deep register. Though unintuitive and resulting in an extremely disjunct *Urlinie*, this is in keeping with the mandate to privilege the vocal line wherever possible.\footnote{Please refer to footnote 78.} An argument could be made that it would be expedient to show F4 in the right hand of the piano as $\hat{4}$, which would connect linearly with my declared $\hat{3}$ and help to smooth the contour of the *Urlinie*. However, the F4 in the graph is an artifact of harmonic reduction. For the majority of m. 14, both hands in the piano double the vocal line: the left hand in unison, and the right hand at the octave. As a doubling, I cannot consider the F4 a proper candidate for the status of structural tone in the *Urlinie*. The choice, therefore, is whether to give $\hat{4}$ to the downbeat (F2) or the third beat of the bar (F3). I have opted for the former, though it
results in the most unusual case in which 4 appears in unison with the bass that supports pre-dominant harmony, before being transferred back into its obligatory register with the ascent through the F minor melodic scale in the voice.\textsuperscript{124}

\textbf{Figure 3.14} Voice-leading Sketch of “Da liegt der Feinde” Piano Postlude

Some analysts might be tempted to interpret m. 15 as the arrival of the structural dominant, but my graphs show it to be part of a larger third progression in the bass (F–G–Ab) that transforms iv into a German augmented sixth chord.\textsuperscript{125} It follows that dominant harmony is achieved in m. 16, but this creates difficulties in interpreting the placement of the \textit{Urlinie} descent. The cadential six-four decoration of the dominant creates the expectation that Eb3 will appear in the vocal line as a structural 3. Instead, however, the vocal line trails off in the middle of m. 16 without ever touching on this note. Accordingly, I have shown this transferred into the right hand of the piano. Its profile in m. 16 is more in accordance with the shape of a bassline at a cadence (I–2–5–1), and the arrival on 1 is supported in the accompaniment by a deceptive

\textsuperscript{124} Alternatively, we consider the low F2 downbeat as a “precursory” prolongation of F3 as for the sake of a more conjunct \textit{Urlinie}.

\textsuperscript{125} Incidentally, the vocal line’s angular vaults from D3 up to C4 in this measure are an excellent example of traditional word painting on \textit{springt} (bounds). Also, cf. song no. 3, m. 13, where this same leap is made.
motion to a dissonant French augmented sixth chord. The graphs in Figure 3.13 and 3.14 show how the cadential six-four is extended to encompass mm. 16–17 via a tonicization of G major (G: iv–V–I). The structural ̂2 is then transferred into a yet higher voice with the ascent up to D in m. 18, and essential structural closure is finally achieved in m. 19, with mm. 19–21 as post-cadential expansion.

The unusual procedure of transferring the Urlinie into the piano accompaniment occurs precisely at the moment in the text when the Hussar is called away to the next battle. The music responds to this by having the vocal line abdicate its claim on the structural descent of the Urlinie and leaving the accompaniment—which takes on the persona of the horse galloping away in the postlude126—to provide tonal closure.

As I have mentioned before, the piece ends with a change to C major. This is not unexpected, since it was foreshadowed in m. 13, but it does require some explanation. As with m. 13, I think the readiest explanation is that the topical horn calls in this final measure are exterior to the song—literally aus der Ferne. Combined with the chilling low tremolo in the nether regions of the piano, the ending is bittersweet and inconclusive. Is the war over? Has the bloodshed stopped? Or does that angel of death, the Hussar, hurtle headlong towards the next battle, to twist and lunge in the war god’s deadly dance?

126 Especially through the topical use of triplet rhythms, which connote the destrier, or war-horse. For a general overview of the “noble horse” topos, especially within a martial context, see Raymond Monelle, “Topic and Leitmotif,” chap. 3 in The Sense and Music: Semiotic Essays (Princeton N.J.: Princeton University Press, 2000).
Chapter: Conclusion

Throughout the course of this study, my concern has been to showcase some of the many ways that a Schenkerian approach can benefit song scholarship by elucidating interesting, hidden, and new types of text-music relations. The basis for my approach was primarily informed by the analytical writings of such theorists as Heinrich Schenker, Carl Schachter, David Lewin, Charles Burkhart, and Kofi Agawu. Following in the tradition of examining Lieder using Schenkerian analysis as established by these authors, it was hypothesized that structures revealed by a Schenkerian approach to song could be shown to interact with the meaning of the text in a convincing manner and in ways that cannot be described efficaciously by other analytical systems. Generally, unusual or otherwise noteworthy departures from convention in the songs examined in this study most typically occur in conjunction with climactic moments or dramatic turns in the text. Schenkerian analysis emerges as a powerful tool for examining these fracture points within the context a tonal hierarchy (i.e. structural levels). The relationships uncovered by my analysis of the songs in Chapters 2 and 3 were then used as a springboard for imaginative interpretation. While Chapter 2 focused on the analysis of individual songs in isolation in three case studies, Chapter 3 concentrated on how songs within a collection cohere in terms of their musical and poetic dimensions in order to show the long-range psychological journey of the protagonist.

Several of my findings are closely aligned with the extent literature on Schenkerian analysis as applied to song study. My analysis of “Sängers Trost,” for instance, follows mainly in the tradition of Carl Schachter’s “Motive and Text in Four Schubert Songs,” in that I trace the balance between rising and falling linear progression and the development of the motive F–F♯–G
through until its transfiguration at the vocal climax, where it is extended to reach A♭ in coordination with the word Mondenlicht (moonlight). Charles Burkhart’s article on the use of auxiliary cadences in two songs from Schumann’s Eichendorff Liederkreis forms the basis for my assertion that the instability of the dominant characterizes the poetic figure of the butterfly and emerges as a privileged aspect within the tonic-dominant relationship in “Frühlingslust.” Lastly, David Lewin’s comment about how the descent of the Urlinie in Schubert’s “Auf dem Flusse” enables my comments about the structural descent in “Die Meerfee” and its relationship to the poem’s description of the waves carrying the vision away. Thus, in light of the current knowledge surrounding the application of Schenkerian analysis to text-music relations, my analysis engages with and builds upon the findings of previous authors by uncovering similar instantiations of them in the compositions examined in my study.

However, the present study has also sought make original contributions to the field of music theory by developing metaphors around musical structures native to Schenkerian analysis which—to the best of my knowledge—have not been covered in the literature. My new and original contributions to knowledge include: positing tonal pairing as a metaphor for doubt versus consolation in nature in “Sängers Trost”; conceiving the use of superposition and cover tone as voice-leading techniques that may be understood as metaphors for the butterfly’s desire to stay aloft and avoid being trapped by love in “Frühlingslust,” and the discussion of register transfer at the song’s conclusion in connection with the butterfly’s flight up into the treetops as described in the poem; my in-depth analysis of the structural layering and disorienting chord progressions during the chromatic voice-exchange in the fantastical episode in “Die Meerfee,” which I view as a musical way of engendering the peculiar awe and wonder experienced by the boy in the poem; the reaching-down gesture, in coordination with marked contrast in harmony
and declamation, as a slipping-of-the-mask to reveal a somber facet to the Husar’s character in “Der Husar!”; the octave transfer of the Urlinie’s 2 in the voice as embodying the role-reversal between the Hussar and his sword that takes place in the final strophe of “Der leidige Frieden”; and my discussion of the transference of the Urlinie from the voice to the piano accompaniment as occurring in response to the text’s description of the Hussar bounding away on his horse for the next battle in “Da liegt der Feinde.”

My research is relevant because it enables future analysts to look for similar instances of Schenkerian text-music relations in works, and because it will be applicable to the analysis of a wide variety of music with text by a wide selection of composers. Furthermore, my work is pertinent to the study of Schumann’s music in particular because I have elected to analyze lesser-known songs from the later opus numbers; as I mentioned in my introduction, the songs in the present study have received little attention from music theorists. In the future, my research into these songs may be brought into closer contact with late-style studies that are currently popular in the sister-field of musicology.

My methodology streamlines Kofi Agawu’s informal approach to the analysis of Lieder, while borrowing elements of Lewin’s approach in *Studies in Music with Text*. The strength of this approach is that it is specifically tailored for the application of Schenkerian analysis to song, which, as this study has demonstrated, can reveal noteworthy resonances between Schenkerian structures and the drama or structures in the text. However, as I explained in the introduction (see section 1.3), my approach is limited to traditional analysis (Roman numeral analysis, motivic analysis, etc.) and Schenkerian analysis to the exclusion of other analytical approaches (for example, neo-Riemannian theory, theories of rhythm and meter, or theories of form, etc.). The present study makes no claims as to the analytical insights that might be yielded by other
approaches. Future studies may wish adopt a multi-faceted approach in order to compare the interpretations that are made possible by different analyses.

Concerning the Husarenlieder, one possibility for the future would be to investigate the possibility of revisiting them with the aim of developing my ideas about the representation of post-traumatic stress disorder and emotional scarring from the standpoint of a disabilities study model. This project might take as its starting point recent scholarship on music and disability by Joseph Straus and engage more critically with concepts in psychology.\textsuperscript{127}

In the future, the current study might be used as the basis for a project of considerably broader scope. This project might be limited to a stylistic period (e.g. nineteenth-century Lieder) or to a single composer (for example, Schubert or Brahms). I envision it as striving towards establishing a catalogue of musical metaphors by mapping as wide a selection of Schenkerian text-music relations as possible. The goal of this project would be to discover whether any overall patterns emerge within the wide range of possible interplay between text and certain musical structures. In the event that certain patterns do emerge, these might well be organized into a system that establishes norms and deformations, in the spirit of Hepokoski and Darcy’s work on sonata theory.\textsuperscript{128} For instance, a researcher might be interested to know whether there are any trends in how (if at all) the rhythmic profile of the Urlinie in Schumann relates to the text as it does, for example, in “Die Meerfee.” This would allow music theorists to make wider claims about the kinds of structures that are likely to be encountered in a musical setting when the text has certain features.


\textsuperscript{128} See James Hepokoski and Warren Darcy, \textit{The Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata} (New York: Oxford University Press, 2006).
Bibliography


