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I hereby recommend that the thesis prepared under my supervision by Masson L. Robertson
entitled THE TRANSCRIPTION PROCESS IN SCHUMANN'S PIANO ETUDES
ON VIOLIN CAPRICES OF PAGANINI

be accepted as fulfilling this part of the requirements for the degree of Doctor of Musical Arts

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THE TRANSCRIPTION PROCESS
IN SCHUMANN'S PIANO ETUDES
ON VIOLIN CAPRICES OF PAGANINI

A Thesis Presented to the Faculty
of the
Graduate Division
of the
University of Cincinnati

In Partial Fulfillment
of the Requirements for the Degree
Doctor of Musical Arts

By
Masson L. Robertson

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Fort Wayne, Indiana
December, 1973

Masson L. Robertson

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INTRODUCTION

In the review of his Konzert-Étüden nach Capricen von Paganini, Op. 10, Schumann stated that music lovers would be free to compare the original violin caprices with his piano transcriptions, adding that " . . . the comparison would not be uninteresting."¹ Therein lies the major purpose of this thesis: to investigate the process by which Schumann transcribed two sets of piano etudes (Opp. 3 and 10) from Paganini's 24 Capricci per Violino solo, Op. 1. This process will be explained by: (1) determining possible reasons for Schumann's choice and ordering of the twelve caprices; (2) analyzing the relationship of each etude to its respective caprice in terms of all relevant musical parameters; and (3) deducing the overall principles of Schumann's transcription technique. As a corollary to this investigation, an evaluation of the technical features of the etudes will emphasize Schumann's successful adaptation of violinistic figuration to the keyboard.

Certain limitations have been imposed upon this thesis. Biographical discussion will be confined, in

¹Robert Schumann, On Music and Musicians, ed. by Konrad Wolff and trans. by Paul Rosenfeld (New York: W. W. Norton & Company, Inc., 1969), p. 256.

general, to Schumann's early career and compositions to 1835. Detailed treatment will be given only to those violin caprices that Schumann chose to transcribe. In collating each caprice with its respective transcription, emphasis will be placed on those elements that Schumann introduced to make the etudes his individual product. Examples of his alterations, additions, or deletions to the original caprices will serve to illustrate each major point.

The question of editions in the works of both Schumann and Paganini is a problematic one. On the whole, Schumann's editions are faithful to his intentions. Most of his music was published during his lifetime, and after his death, a collected edition was supervised by his widow Clara and Johannes Brahms. Despite their efforts, there are minor inaccuracies in the collected edition that have been perpetuated in modern editions. Editions of Paganini's compositions suffer from more serious problems. His desire to protect his violinistic secrets restrained him from publishing no more than a handful of his works before his death. Much of his music exists today in a variety of editions and arrangements, many of dubious quality. A critical collected edition of Paganini's music has yet to be undertaken.

An Urtext edition by Georg Schünemann of Paganini's 24 Capricci came into being as a by-product of the first publication of Schumann's piano accompaniments to

the caprices. Since Schumann did not copy the violin part into his manuscript, Schünemann edited Paganini's manuscript and published it as the violin part to the accompaniments. While this faithful rendering of the violinist's autograph fills a gap in Paganini bibliography, it does not necessarily present the exact text Schumann used when transcribing the caprices. It will be shown that Schumann used either the first edition of the caprices (Milan: G. Ricordi, 1817-20) or a Breitkopf & Härtel reprint as his text. Both the Urtext and the first edition have been referred to in this study.

Considerable inconsistencies exist between the two editions of Schumann's Paganini etudes that were supervised by Clara Schumann. In general, the etudes appearing in the collected edition, Robert Schumann's Werke (1881-93), provide a literal presentation of Schumann's manuscripts and first editions. In the other edition, Sämtliche Klavierwerke, she freely added many personal ideas in regard to tempos, fingering, expression, and pedaling. Although other editions of these etudes are available (by Adolf Ruthardt, Harold Bauer, and Emil Sauer), those of Clara Schumann remain the most reliable.

This thesis stems from the lack of interest shown by many biographers and critics in these etudes and the superficiality of research into the transcription problems presented by them. It is hoped that pianists will use these etudes in their teaching and add them to their concert repertoire.

CHAPTER I

THE BIOGRAPHICAL BACKGROUND

Paganini's Influence on Schumann's Life and Compositions

On Easter Sunday, 1830, Robert Schumann, with a group of friends from Heidelberg, drove to Frankfurt am Main to attend a concert given by Paganini. He had been eager to hear the great violinist, as a letter to Friedrich Wieck (November 6, 1829) reveals:

. . . You heard him four times, did you? Four times! Good heavens, the idea of you hearing him four times makes me completely wild!¹

There is no record of the selections Paganini programmed in Frankfurt. In contradiction to Kathleen Dale, who contends that he played the caprices, Geraldine de Courcy argues that Paganini played only his "popular numbers" on this occasion; furthermore, she doubts that he ever performed the caprices in public.² Whether or not Schumann heard the caprices, however, is not of great importance. Since they had been published since 1820, they were accessible to Schumann, and he obviously knew them very well. The effect this performance had on Schumann

¹Robert Schumann, Early Letters, tr. by Mary Herbert (London: George Bell and Sons, 1888), p. 82.

²Geraldine de Courcy, Paganini the Genoese (Norman: University of Oklahoma Press, 1957), I, 74.

influenced the next few years of his life. Certainly it made him all the more determined to give up his law studies and to pursue a career as a virtuoso pianist. Unfortunately, that career was denied him because of the self-inflicted crippling of his right hand in 1832; as a result, he decided to concentrate on composition.

Several of Schumann's earliest compositions (in addition to the two sets of Paganini etudes, Opp. 3 and 10) were based on or inspired by Paganini's music and personality. Schumann's first composition in this vein was a set of four variations for piano (with orchestra) based on the finale, "Rondeau à la clochette," to Paganini's Violin Concerto No. 2 in B Minor. Although these variations exist only as sketches, Schumann adapted two of them in the Allegro, Op. 8 (1831), and the Intermezzi, Op. 4 (1832, originally Pièces fantastiques, Op. 3).¹ The Allegro, evidently the first movement of a proposed sonata in b minor, employs material in its introduction and coda derived from one of these variations.² The sixth intermezzo (also in b minor) would seem to have benefited from the same source.³

¹Kathleen Dale, "The Piano Music," in Schumann: A Symposium, ed. by Gerald Abraham (London: Oxford University Press, 1952), p. 17.

²Ibid., p. 43.

³Gerald Abraham, "Modern Research on Schumann," Proceedings of the Royal Musical Association, LXXV (1948-49), 67.

While it is clear that Schumann used Paganini's music as a point of departure for the development of his own compositions, the violinist's personality also stimulated his talent for musical characterization. In Carnaval, Op. 9 (1835), Schumann depicted Paganini with syncopated, skipping figures reminiscent of spiccato bowing. Schauffler points out the resemblance of this section to the broken octaves in the a-flat major caprice (No. 12).¹ Occasionally, certain figurations in Schumann's early piano music, such as those found in the third etude of the Symphonische Étüden, Op. 13, take on a special significance when related to Paganini. Schumann may well have been thinking of the string-crossings in the e major caprice (No. 1).

There is no doubt that Paganini's influence on Schumann was an enduring one. In his last years (1853-55), Schumann supplied piano accompaniments to all twenty-four caprices (except the first, which was composed by Clara).² By comparing the Opp. 3 and 10 etudes with their respective accompaniments, one can trace significant interrelationships, particularly in the c minor caprice (No. 4). To avoid the impression that Schumann was completely under Paganini's

¹Robert Haven Schauffler, Florestan: The Life and Work of Robert Schumann (New York: Henry Holt and Company, 1945), p. 283.

²Niccolò Paganini, 24 Capricen für Violine allein, Op. 1: Klavierbegleitung von Robert Schumann, ed. by Georg Schünemann (Frankfurt: C. F. Peters, 1941), foreword.

sway, however, two points need to be made. While Schumann held Paganini in high regard as an instrumentalist and artist, he had reservations about the violinist's compositional technique, which he found to be careless in many respects. Also, even in his most difficult compositions, Schumann never adopted the more superficial aspects of Paganini's virtuoso style.

Schumann and the Piano Etude

By studying and performing contemporary piano etudes in his youth, Schumann soon recognized their vital role in developing a polished technique. The etudes of Cramer, Clementi, and Moscheles, and to a lesser extent, those of Czerny, Bertini, Herz, et al., were fundamental in molding his conception of etude style and structure. Summarizing his beliefs in this regard, Schumann wrote:

In a broad sense every piece of music is a study, and the simplest is oftentimes the most difficult. In a narrower sense we require a special purpose to the study; it must develop technique in a special phase and lead to the mastery of some particular difficulty of technique, rhythm, expression, presentation, or what not.¹

Schumann's interest in the composition of piano etudes can be traced to his sketch-books of 1829-33, particularly the fifth book.² This volume contains etudes and technical exercises intended for a proposed Piano-Schule. It is a fair assumption that this enterprise found at least a partial

¹Schumann, On Music, p. 67.

²Dale, "Piano Music," p. 15.

realization in the preface to his Op. 3.¹ Except for the Studien für den Pedalflügel, Op. 56 (1845), Schumann's piano etudes were composed during the years 1829-36. His first essay in this genre, Étude fantastique en doubles-sons, has a varied history. Planned in 1829 and completed in 1830, this etude was revised and transposed from d major to c major in 1832 to become the Toccata, Op. 7. Although F. E. Kirby includes the Toccata in his discussion of Schumann's sonatas, it is significant that the composer considered it an etude in double notes from its inception.² An Exercice fantastique (1832) was refused publication by both Haslinger and Breitkopf. Although Schumann mentions its publication in a letter to his mother in 1834, it is evidently lost.³ Then, in the same year as the Konzert-Étüden, Op. 10 (1833), Schumann sketched Sechs Étüden in Form freier Variationen über ein Beethovensches Thema, one of four sets of variations based on the theme of the second movement of the Seventh Symphony. These remain unpublished except for the fifth variation, which can be found as the second piece of the Albumblätter, Op. 124 (1832-45). These variations reflect many of the

¹Ibid., pp. 28-29.

²F. E. Kirby, A Short History of Keyboard Music (New York: The Free Press, 1966), p. 271.

³Gerald Abraham, "Schumann, Robert," Grove's Dictionary of Music and Musicians (5th ed.; New York: St. Martin's Press, 1955), VII, 606.

technical features found in both sets of the Paganini etudes.¹

The most successful collection of Schumann's etudes, Études in Form von Variationen (Symphonische Études), Op. 13 (1834-36), was published in two editions, the first in 1837 and the second in 1852. Except for radical alterations in the last etude, the second edition differs only slightly from the first. Of the twelve etudes, nine are variations on a theme by Hauptmann von Fricken (the guardian of Schumann's early love, Ernestine). Three etudes are not based on this theme: the third etude has already been mentioned;² the ninth is a study in staccato chords and octaves; and the last etude (marked "Finale" in the second edition) is based on a melody from H. A. Marschner's opera, Der Templer und die Jüdin.³ In the second edition Schumann clarified the relationship of the individual movements to the theme by entitling them either "etude" or "variation."⁴ Five more etudes based on the same theme are included in the supplement to the collected edition.

¹Dale, "Piano Music," pp. 23-24.

²See supra, p. 6.

³Frederick Niecks, Robert Schumann, ed. by Christina Niecks (London and Toronto: J. M. Dent & Sons, Ltd., 1925), p. 183.

⁴In her edition Clara Schumann preferred to entitle each piece "etude," with "variation," where applicable, indicated only parenthetically.

The Composition of the Paganini Etudes

During the spring of 1832, Schumann had completed the major portion of his first set of Paganini etudes, reaching the final stages by early summer. Although this set was published as Op. 3 by Friedrich Hofmeister of Leipzig in 1833, Schumann had originally thought of it as Op. 2.¹ Schumann affixed an informative title to Op. 3 in both French and German:

Études pour le Pianoforte d'après les Caprices de Paganini, avec doigter, exercices préparatifs et avant-propos sur le but que l'éditeur s'y propose.
--Studien für das Pianoforte nach Capricen von Paganini bearbeitet, mit Fingersatz, vorbereitenden Uebungen und einem Vorwort über ihren Zweck von R. Schumann.²

At the time of its composition and for several years afterward, Schumann mentioned Op. 3 in his letters. On April 25, 1832, he wrote to his former composition teacher, Heinrich Dorn, "I have missed your help very much in adapting Paganini's Caprices for the pianoforte, as the basses were often doubtful, but I overcame the difficulty by choosing the simplest."³

¹Abraham, "Schumann," p. 629. As is well known, Papillons was assigned Op. 2 upon its publication in 1832, a year before Op. 3 appeared. The chronological order of Schumann's compositions does not necessarily coincide with their published opus numbers, particularly in his early works. He habitually juggled opus numbers from one work to another or supplied different numbers to revisions of the same work.

²This title is drawn from a contemporary review of Op. 3 by G. W. Fink. See infra, p. 12.

³Robert Schumann, The Letters of Robert Schumann, ed. by Karl Storck and trans. by Hannah Bryant (London: John Murray, 1907), p. 74.

Evidently setting limits on his fertile imagination was also a problem. Schumann told Friedrich Wieck, his piano teacher: "I work easily and rapidly, but in working it out I am always trying all sorts of experiments, which almost make me despair."¹ In the same letter, Schumann asked Wieck to negotiate the sale of some of his compositions, including Op. 3, to Hofmeister, apologizing: "I am not good at that sort of thing, and am too shy to make offers."² That Schumann was particularly concerned with the preparatory exercises in the preface to Op. 3 is shown in another letter to Wieck: "The preface will be finished in about three days. I have got such a quantity of materials for it that I cannot be slow and careful enough about making my choice."³ This would seem to indicate that Schumann had been composing and collecting technical exercises for some time, probably dating back to his sketches for a Piano-Schule of 1829.⁴

Although he considered himself inexpert in financial matters, Schumann did not hesitate to call his works to the attention of the leading music journals. In a request for a review of Op. 3 to Ludwig Rellstab, editor of Iris im Gebiete der Tonkunst (1830-41) in Berlin, Schumann summarized his attitude toward his work:

Please give my work your kind consideration, and grant me your powerful help. Though I am pleading for an

¹Schumann, Early Letters, p. 173. ²Ibid.

³Ibid., p. 174. ⁴See supra, p. 7.

adopted child, yet I have reared it with care and pleasure, and not without some selfish interest either, for it is to be a test for the critics of what I can do in theory. Seriously, the work was delightful, but not altogether easy, as the harmonies are often vague and ambiguous (and even incorrect), and many of the caprices are by no means perfect in form and symmetry. When one first plays through this sort of movement for a single instrument, one feels as if one were in a stuffy room, but afterwards, when one has grasped the fine spiritual threads running through it, everything grows light and beautiful, and the strange genius is made clear. But I would rather write six of my own than again arrange three of anybody else's.¹

He thus apologizes for his dependence on Paganini's music, but rationalizes (perhaps with tongue in cheek) that the transcription process was a challenge to his compositional skill. His criticism of Paganini's "incorrect" harmonies and formal imperfections betrays a pedantic streak that surfaced occasionally in the Neue Zeitschrift für Musik (NZfM).² Rellstab, a conservative journalist, chose not to review Op. 3. At least two reviews appeared, however, one in the Allgemeiner musikalischer Anzeiger of Vienna (No. 10, 1833) and the other in G. W. Fink's Allgemeine musikalische Zeitung (September, 1833). Schumann quotes the conclusion of the Anzeiger's favorable review in a letter to his mother:

"The importance of the work must be the excuse for this long notice. The problem was one of endless difficulty, but it was begun with equal affection, perseverance, and care, and now it is concluded in

¹Schumann, Early Letters, p. 187.

²The NZfM was a music journal founded by Schumann and a group of other musicians in 1833 to advance the cause of modern music. Schumann directed and contributed to the journal until 1844.

a way that will give all pianists true pleasure and much enjoyment, and ought to make them feel very grateful to the composer."¹

Fink's review was much less enthusiastic. Belittling Schumann's originality, he recalled a group of etudes based on Paganini's caprices contained in Friedrich Kalkbrenner's Piano-Schule.² He also took exception to Schumann's suggestion that advanced players, rather than limiting themselves to composed exercises, improvise technical "fantasias."³ Although he had published Schumann's famous review of Chopin's Op. 2, Fink cared little for the progressive tendencies Schumann exhibited. One can be sure that Fink's carping alienated the young composer; consequently, both Fink and Rellstab became objects of Schumann's criticism in the NZfM for several years. In addition to these reviews, Schumann received further recognition by the inclusion of Op. 3 in Karl Czerny's Art moderne du doigter. The etudes appeared as No. 10 of Czerny's collection with this title:

Six Amusemens en forme d'Études pour le Pianoforte
d'après les Caprices de Paganini, dédiés aux

¹Schumann, Early Letters, p. 197.

²Méthode pour apprendre le piano à l'aide du Guide-mains, Op. 108 (1830-31). In his review (1842) of Liszt's Paganini etudes, Schumann reminded the reader of his own transcriptions, but conveniently forgot the arranger of " . . . several of them /caprices/ published in Paris . . . " (Schumann, On Music, p. 152).

³Leon B. Plantinga, Schumann as Critic (New Haven and London: Yale University Press, 1967), p. 37.

professeurs avec avant-propos et Exercices préparatifs
par Robert Schumann.¹

Although Schumann had resolved not to arrange any more caprices, he transcribed a second set of Paganini etudes in 1833 (completed in July), which were published by Hofmeister in 1835:

Six Études de Concert pour le Pianoforte d'après des Caprices de Paganini, Op. 10. Sechs Konzert-Étuden komponiert nach Capricen von Paganini für das Pianoforte, Op. 10.

The assignment of Op. 10 to this set was an afterthought on Schumann's part. He had tentatively attached this number to Scènes musicales, an unpublished set of variations on Schubert's Sehnsuchtswalzer.² In a review (1836) of the Konzert-Étuden, Schumann explained his rather unusual reasons for transferring the opus number:

I added an opus number to the . . . etudes because the publisher told me they would "go" better; a reason before which my manifold objections had to yield. In secret, however, I considered the tenth (for I have not yet arrived at the ninth muse) as the symbol of an unknown quantity, and the composition as a genuine work by Paganini except for the basses, the denser German middle parts, the greater fullness of harmony in general, and here and there the smoother finish of the form.³

Since Carnaval, Op. 9, his "ninth muse," was not to be published until 1837 (two years after Op. 10), Schumann designated the Konzert-Étuden as Op. X, the better to characterize the "unknown quantity" of his tenth work. Because Schumann did not include self-criticism in the NZfM as a rule, the lengthy review of Op. 10 is unique.

¹Dale, "Piano Music," p. 29.

²Ibid., p. 40.

³Schumann, On Music, p. 254.

Perhaps he rationalized its publication by considering it a review of the Paganini caprices. To a limited extent, this review serves the same purpose as the preface to Op. 3. It is especially valuable as Schumann's retrospective evaluation of both sets of etudes:

When once before I had published a book of studies after Paganini, I copied--perhaps only to its detriment--the original almost note for note, and merely enriched the harmony a little. But in the present case I broke loose from the pedantry of the literal transcription and strove to give the impression of an original pianoforte composition which, without sacrificing the underlying poetic idea, permitted one to forget its origin in the violin. It must be understood that to accomplish this I was obliged to alter, entirely eliminate, or add--especially in regard to harmony and form; but it was all done with the consideration demanded by so powerful and honored a spirit as is Paganini's. . . . With the epithet de concert I sought to make a distinction between these etudes and those I had formerly arranged; besides, because of their brilliancy the present ones lend themselves to public performance.¹

It would seem that Schumann considered Op. 3 to be a trial essay in transcription, redeemed, however, by its pedagogical merits and thus made appropriate to the teaching studio and the development of piano technique. On the other hand, in Op. 10 he felt that he had, in effect, recomposed Paganini's caprices for the piano. Certainly Op. 10 constitutes a challenge to the virtuosity of any pianist and properly belongs in the salon or recital hall.

Schumann mentioned Opp. 3 and 10 in the NZfM on at least two other occasions. In a comprehensive review (1836) that attempted to categorize significant etude collections according to their technical features, he wrote:

¹Ibid., p. 256.

" . . . he who desires the most difficult will find it in the Paganini etudes of the undersigned."¹ In making this claim, Schumann included Chopin's Études, Op. 10, along with etudes by Clementi, Cramer, Moscheles, Hummel, Czerny, and a host of lesser-known composers. In another review (1842) comparing his Paganini etudes to those of Liszt, Schumann remarked: "If Schumann's arrangement was intended to bring out the more poetic side of the composition, that of Liszt, without having sacrificed the former, rather aims to stress the virtuoso side."²

Summary

Robert Schumann's piano etudes based on Paganini's violin caprices were a product of his first five years of serious composition. While he constantly sought a highly personal style, he found discipline in the transcription of pre-existing pieces that allowed him to develop his compositional technique without being unduly concerned with originality. The combination of several factors led Schumann to compose these etudes: (1) his emulation of the virtuoso pianists of the day; (2) his instinct for piano pedagogy; (3) his desire to make a significant contribution to the contemporary literature of the piano etude; and (4) his admiration for Paganini.

¹Robert Schumann, Music and Musicians, Essays and Criticisms, trans. by Fanny Raymond Ritter (London: William Reeves, n.d.), II, 360.

²Schumann, On Music, p. 153.

CHAPTER II

THE TRANSCRIPTION PROCESS

Schumann's Selection of Paganini's Caprices for the Piano Etudes

From Paganini's 24 Capricci per Violino solo, Op. 1, Schumann chose twelve caprices to transcribe for his two sets of piano etudes, Opp. 3 and 10. In order to discover Schumann's reasons for selecting certain caprices, it is necessary to examine his writings as well as to draw conclusions from study of the compositions involved. Schumann's preface to Op. 3, his review of Op. 10, and his critical essays indicate that his choices hinged on the adaptability of each caprice as a potential piano etude. Certainly one of his first considerations was to select caprices possessing technical features that would be highly effective on the piano. In the preface to Op. 3, Schumann's references to the scale passages in Paganini's fifth caprice, the double notes in Nos. 9 and 13, the dynamic contrasts in No. 19, and the sudden cross accents in No. 16 partially reveal the varied criteria he used for his selection. The character and style of certain caprices were also vital factors influencing his decisions. The unpretentious lyricism of No. 11 captured his interest, although he considered the fast middle section

of the same caprice unpianistic. Of the fourth caprice, which reminded him of the funeral march in Beethoven's Third Symphony, Op. 55, he remarked, "This entire number is filled with romanticism."¹ In regard to No. 6, a tremolo study, he was most enthusiastic:

I consider this number especially tender and lovely and sufficient in itself to assure Paganini's position as one of the first among modern Italian composers. Florestan says: "Here he is an Italian river which reaches the sea across Germany."²

Relationships of key, tempo, meter, and formal structure were further considerations (See Table 1). Most of the caprices Schumann chose for Op. 3 are in major keys, while the majority of those he used in Op. 10 are in minor keys. The distribution of these keys indicates Schumann's preference for natural and flat keys, $\flat$ minor being particularly favored. That Schumann desired variety of tempo and mood can be seen in the parity of caprices in slow and moderate tempos to those in fast tempos. Schumann chose six caprices in either simple duple ($\frac{2}{4}$) or quadruple (C or $\frac{4}{4}$) meters, and three caprices in simple triple ($\frac{3}{4}$) meter; he selected only three caprices in compound duple ($\frac{6}{8}$) meter. Several of these caprices incorporate changes of key, tempo, meter, or combinations of these factors in their contrasting sections (e.g., Nos. 3, 11, and 19). In terms of formal structure, Schumann's selection reflects the predominance of binary and ternary forms found in the twenty-four caprices.

¹Schumann, On Music, p. 257.

²Ibid.

TABLE 1

SCHUMANN'S SELECTION OF PAGANINI'S CAPRICES FOR THE PIANO ETUDES

SCHUMANN OP. 3	PAGANINI OP. 1	KEY	TEMPO	METER	FORM
1	5	a-A	Agitato	C	rounded binary with developmental bridge (prelude and postlude)
2	9	E	Allegretto	$\frac{2}{4}$	five-part song
3	11	C	Andante (Presto)	$\frac{3}{4}$ $\frac{2}{4}$	ternary
4	13	B ^b -g	Allegro	$\frac{6}{8}$	compound song
5	19	E ^b -c	Lento Allegro assai- Minore	C	ternary (with introduction)
6	16	g	Presto	$\frac{3}{4}$	binary
OP. 10					
1	12	A ^b	Allegro	C	binary
2	6	g	Lento	$\frac{3}{4}$	rounded binary with codetta
3	10	g	Vivace	$\frac{6}{8}$	rounded binary
4	4	c	Maestoso	$\frac{2}{4}$	modified sonata
5	2	b	Moderato	$\frac{6}{8}$	rounded binary
6	3	e	Sostenuto Presto	C- $\frac{3}{8}$	rounded binary (prelude and postlude)

The binary forms ordinarily open with a repeated section that presents the basic thematic material; in the second section (not repeated), a developmental bridge generally leads to a concise return of the opening material followed by a brief codetta. The ternary forms often involve a prelude and a postlude enclosing a contrasting section in binary form. Other chosen caprices are cast in compound song form (No. 13), five-part song form (No. 9), and a modified sonata form (No. 4) involving a recapitulation that eliminates a return of the opening theme. Although he left Paganini's forms intact in most cases, Schumann did not hesitate to amend the structure of the caprices as he saw fit.

It is conceivable that Schumann would not have demanded that his etudes be performed in the manner of a sonata, i.e., in a prescribed sequence at one sitting. Nevertheless, he took pains to order the etudes so that such a performance would not be impracticable. Several factors unifying both sets of etudes can be cited. Etudes in fast tempos generally alternate with those in slow to moderate tempos. Metric variety is provided by the emphasis on compound meter in Op. 10, as contrasted with the predominantly simple meters in Op. 3. While key relationships from one etude to the next are not always close, they are usually only a few accidentals apart. The progression from sharp to flat keys in Op. 3 and the converse progression in Op. 10 produce a sense of direction. This feeling is

heightened by the fifth relationship existing between the keys of several etudes (e.g., in Op. 3, the fifth caprice in a minor is followed by the ninth caprice in E major).

The Method of Comparison

It speaks well for Schumann's integrity as a musician that, in transcribing Paganini's violin caprices for the piano, he amplified and enriched the musical substance without losing sight of the original conception. Generally, those alterations Schumann did impose involved: (1) solutions to problems encountered in adapting the violin line to piano technique; (2) formal and theoretical adjustments to Paganini's roughhewn compositional procedures; and (3) stylistic suggestions to clarify performance of the music. Many of these alterations are readily apparent. To look beyond these superficial refinements and to discover the procedures of transcription Schumann developed are the goals of this study.

In order to reach the conclusions set forth in this chapter, a detailed comparison was made of each caprice with its respective transcription. The basic musical parameters (melody, rhythm, harmony, form, etc.) were taken into account as well as significant stylistic elements. To carry out this comparison accurately, it was necessary to determine which edition of the violin caprices Schumann used when he transcribed them. In all likelihood, he used the first edition of the caprices published in 1820 by G. Ricordi (hereinafter

designated as R).¹ Evidence to support this claim can be seen in the thirteenth measure of Schumann's Op. 3, No. 5 (Fig. 1). The compound appoggiatura embellishing b-flat has four notes in both Schumann's etude and in R (Fig. 2).

Schumann: Op. 3, No. 5, m. 13.

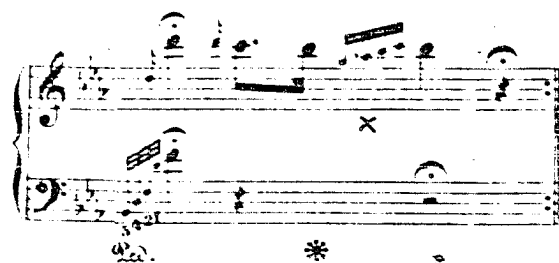


Fig. 1

Paganini: Op. 1, No. 19, m. 13.



Fig. 2

¹It is also possible that Schumann used a reprint of the Ricordi edition published by Breitkopf & Härtel, which was advertised in the November, 1820, issue of the Allgemeine musikalische Zeitung. In 1833, when G. W. Fink reviewed Schumann's Op. 3, he used this edition to make a somewhat perfunctory comparison (see supra, p. 12).

In the Urtext of the caprices,¹ the ornament has three notes and resembles an inverted turn (Fig. 3). This and other

Paganini: Op. 1, No. 19, m. 13.

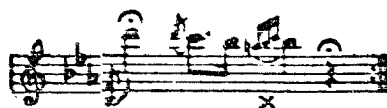


Fig. 3

eccentricities of pitch, rhythm, etc., found only in R, and carried over into Schumann's transcriptions, would seem to confirm R as the textual model. Further evidence is found in Schumann's mention of R in his review of Op. 10:

. . . the caprices were written at different hours and places, and the MS. sent by Paganini to his friends immediately. When Ricordi the publisher proposed to have the whole set published together, P. hastily wrote them down from memory.²

The edition of Schumann's piano etudes chosen to be compared with R was that of the seventh series of Robert Schumann's Werke (RSW), which was found to be more authentic than Clara Schumann's Sämtliche Klavierwerke (SK). For its information regarding contemporary performance practice, however, SK proved to be of considerable value.

¹See supra, p. 6.

²Schumann, Music and Musicians, I, 359.

The Transcription of the Melodic Line

In this and subsequent discussions, it should be postulated that Schumann substantially retained Paganini's melodic line in his transcriptions. Schumann's many alterations, deletions, and elaborations will then be placed in truer perspective. Four distinct categories of changes arose from comparison of the respective melodic lines: pitch alterations, octave displacements, rhythmic alterations, and structural changes. By determining Schumann's procedures within each category, it will be unnecessary to cite every instance of alteration. Examples illustrating these procedures therefore represent many such instances involving similar techniques.

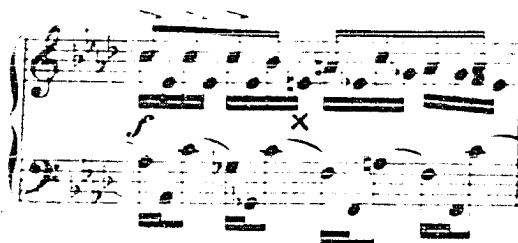
Pitch Alterations

The most significant procedures Schumann used involving pitch alteration are: (1) heightening voice-leading tendencies by chromaticism and enharmonic respelling; (2) strengthening harmonic progressions, often with the intent of improving them; (3) facilitating technical execution by varying melodic contours; (4) elaborating static and sequential passages; and (5) creating greater thematic and contrapuntal interest by slight melodic adjustments.

A clear example of chromaticism used to heighten voice-leading tendencies as well as to add harmonic color

can be found in S:10/1,11 (Fig. 4).¹ Schumann raised the e-flat in the violin line to e-natural, thereby implying a secondary dominant-seventh chord embellishing the succeeding chord. A similar voice-leading effect can be

Paganini: Op. 1, No. 12, m. 11.²



Schumann: Op. 10, No. 1, m. 11.

Fig. 4

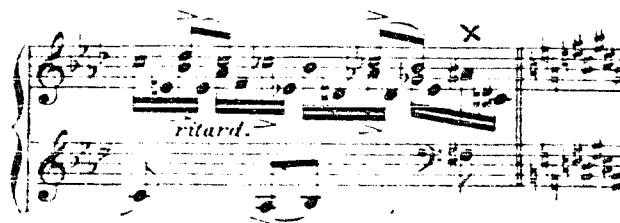
produced (at least theoretically) by enharmonic respelling. Schumann respelled many individual pitches in the caprices, particularly those included in diminished-seventh chords (e.g., S:3/1,12). A somewhat more involved process occurs

¹An abbreviated form of reference to the many pieces under consideration has been adopted. For example, the symbol S:10/1,11 refers to the eleventh measure of the first etude in Schumann's Op. 10. As a rule, each reference to a Schumann etude will correspond to the identical location in the Paganini caprice transcribed. Because of Schumann's structural changes, however, certain sections of an etude will have varying locations in the corresponding caprice. To indicate this, the following symbol will be used: S:10/5,67 = P:1/2,58. This signifies that the sixty-seventh measure of Schumann's Op. 10, No. 5, coincides with the fifty-eighth measure of Paganini's Op. 1, No. 2.

²The Urtext edition will be used for all Paganini examples unless otherwise noted.

at the end of S:10/1,31 = P:1/12,33. Schumann respells the last two pitches of the measure to imply the dominant chord of B major (Fig. 5). Schumann then proceeds to substitute five sharps for the prevailing key of A-flat major. These alterations should be construed as efforts

Paganini: Op. 1, No. 12, m. 33.



Schumann: Op. 10, No. 1, m. 31.

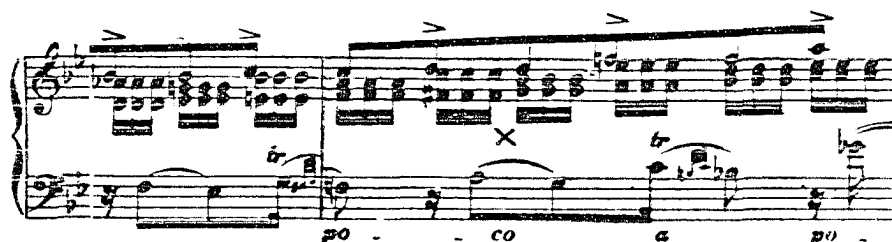
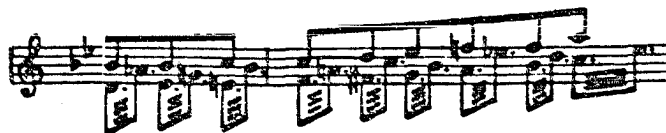
Fig. 5

on the part of the transcriber to correct minor errors on Paganini's part, thus improving the notation and, conceivably, the performance of the music.

The care that Schumann took to correct small details can be shown in S:10/2,14 (Fig. 6). In the violin line, a harmonic sequence of regularly resolving secondary dominant-seventh chords beginning in m. 13 is halted momentarily by a deceptive resolution in m. 14. Schumann avoids this interruption to the pattern by retaining the d on the second beat, thus carrying the sequence to its logical

conclusion. It could be said that Schumann overstepped the boundaries of proper adherence to the original conception in such cases. On the other hand, Schumann may have felt the need to strengthen the harmonic framework of the passage.

Paganini: Op. 1, No. 6, meas. 13-14.



Schumann: Op. 10, No. 2, meas. 13-14.

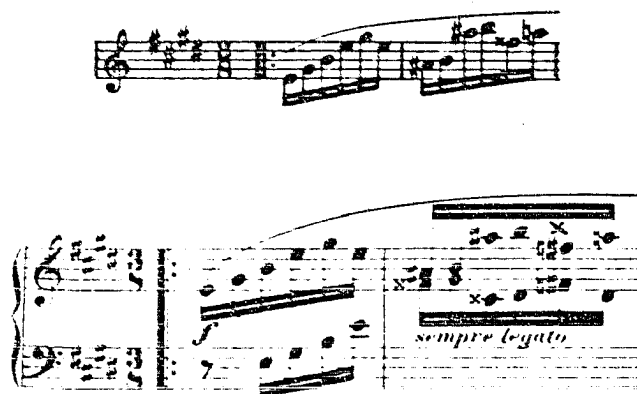
Fig. 6

Such a situation exists in S:10/6,26 (Fig. 7), wherein Schumann clarifies the dominant harmony of the two-voice counterpoint by replacing the f-double sharp in the original with f-sharp. Schumann made a special point of the difficulty he had in harmonizing this entire section.¹ Alterations of this kind perhaps eased his task.

While conceding that he made changes in adapting the violin line to the keyboard, Schumann stated that he

¹Schumann, On Music, p. 257.

Paganini: Op. 1, No. 3, meas. 25-26.



Schumann: Op. 10, No. 6, meas. 25-26.

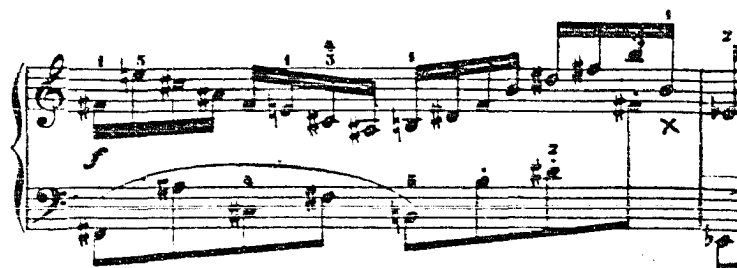
Fig. 7

" . . . never sacrificed an ingenious or characteristic turn to /achieve/ a difficult or freer fingering."¹

Although Schumann should generally be taken at his word, the seemingly contradictory examples that follow are included to point out Schumann's understanding of the pianist's technical problems. By substituting an octave at the end of the violin's ascending arpeggio in S:3/1,39, the pianist is spared from negotiating a two-octave leap (Fig. 8). The replacement of an e-natural by a sixteenth rest in S:3/6,18 produces a similar result. In S:10/4,25, a thorny double note passage is rendered more playable by substituting a g-flat for the violin's repeated f (Fig. 9), thus conforming to the prevailing fingering pattern $\begin{pmatrix} 5 & 4 \\ 2 & 1 \end{pmatrix}$.

¹Robert Schumann, Studien für das Pianoforte nach Capricen von Paganini, Op. 3, Vorwort, in Complete Works for Piano Solo, trans. by Mevanwy Roberts and ed. by Clara Schumann, I (New York: Edwin F. Kalmus, n.d.), 24.

Paganini: Op. 1, No. 5, meas. 39-40.



Schumann: Op. 3, No. 1, meas. 39-40.

Fig. 8

Paganini: Op. 1, No. 4, m. 25.



Schumann: Op. 10, No. 4, m. 25.

Fig. 9

Schumann did not fail to overlook the slightest redundancy in the caprices. To add variety in S:10/5,9, he enlivened the repeated twelfths in the violin by

arpeggiating the dominant-seventh harmony (Fig. 10).

Paganini: Op. 1, No. 2, m. 9.



Schumann: Op. 10, No. 5, m. 9.

Fig. 10

Irregular sequential patterns were also unwelcome to Schumann, and he often adjusted Paganini's patterns to his liking. This inclination can be illustrated by Schumann's treatment of S:10/3,46 = P:1/10,42 (Fig. 11). By

Paganini: Op. 1, No. 10, m. 42.



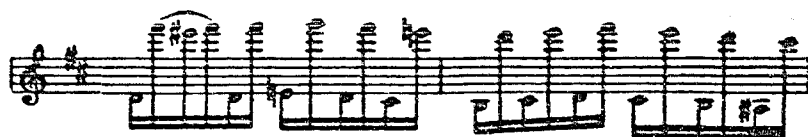
Schumann: Op. 10, No. 3, m. 46.

Fig. 11

causing the right hand in the second half of the measure to move in exact sequence with the first half, Schumann corrects Paganini's inconsistencies. The half-measure motive is usually found in a sequential pattern throughout this caprice, but occasionally Paganini disrupted the pattern with intervallic compression or expansion.

The next example reveals Schumann's ability to create textural interest by pitch alteration. An adjustment to the melodic contour in S:10/5, 73-74 produces a display of contrary motion, which is contrapuntally more desirable than the violin's parallel motion in compound thirds (Fig. 12).

Paganini: Op. 1, No. 2, meas. 64-65.



Schumann: Op. 10, No. 5, meas. 73-74.

Fig. 12

Octave Displacement

Schumann's pitch alterations subtly enhanced Paganini's melodic line in a manner that is apparent only after careful examination. More easily perceived, perhaps, is Schumann's use of octave displacement. By shifting the octave position of individual pitches, motives, and sections of the violin line, Schumann created a variety of coloristic effects (especially in the piano's low register), distributed technical demands more equitably between the hands, and reduced precipitous leaps and wide intervals to within manageable limits.

Two of many possible examples will serve to illustrate Schumann's keen ear for piano color. In S:3/5,5f., the octave position of the right-hand ostinato figure is alternated for greater variety, thus producing a brilliant, bell-like sonority (Fig. 13). Similarly, in S:10/4,33-34, the two-octave displacement downward suggests divisi cellos (Fig. 14). Although, as might be expected, the right hand assumes a dominant role in these etudes, Schumann was careful not to neglect the left hand. From this standpoint, the double thirds in this example offer a rewarding technical challenge to the left hand. Schumann's treatment of violin passages involving leaps and compound intervals is especially interesting. Not only do these passages contribute to

Paganini: Op. 1, No. 19, meas. 5-6 (from R).



Schumann: Op. 3, No. 5, meas. 5-6.

Fig. 13

Paganini: Op. 1, No. 4, meas. 33-34.

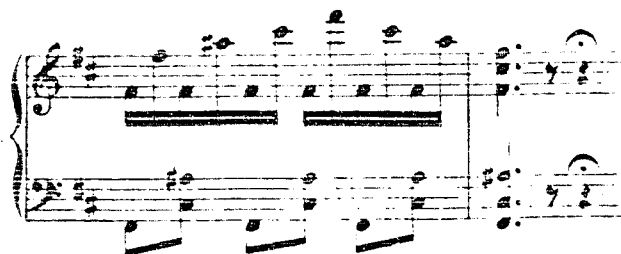


Schumann: Op. 10, No. 4, meas. 33-34.

Fig. 14

the acrobatic nature of many of the caprices, but they often imply a duet between an upper voice and its lower counterpart. Schumann adopted three basic procedures in dealing with this problem. By retaining the leaps in S:10/5,14-15 verbatim, Schumann raised a formidable hurdle for the pianist to cross (Fig. 15). Occasionally

Paganini: Op. 1, No. 2, meas. 14-15.



Schumann: Op. 10, No. 5, meas. 14-15.

Fig. 15

he kept the size of the compound intervals exact (also usually an octave lower than the original), but divided the pitches between the hands, as in S:3/6,25-26 (Fig. 16). Finally, by reducing compound intervals to within an octave, e.g., in S:3/6,45, he often tempered the potential difficulties of such passages (Fig. 17).

Paganini: Op. 1, No. 16, meas. 25-26.



Schumann: Op. 3, No. 6, meas. 25-26.

Fig. 16

Paganini: Op. 1, No. 16, m. 45.



Schumann: Op. 3, No. 6, m. 45.

Fig. 17

Rhythmic Alterations

When compared with the quantity of pitch alterations and octave displacements of the melodic line that Schumann included in these etudes, the number of rhythmic alterations is relatively small. Although there are more of the latter type in Op. 10, those appearing in Op. 3 are somewhat more conspicuous by their placement at beginnings or ends of phrases, sections, etc. In S:3/4, 28, the repetition of the double upbeat found at the beginning of the preceding phrase (m. 24) reinforces the parallel structure which Schumann evidently thought was necessary. As a consequence, Paganini's hemiola pattern is distorted (Fig. 18). Schumann often used rests to mark

Paganini: Op. 1, No. 13, m. 28.

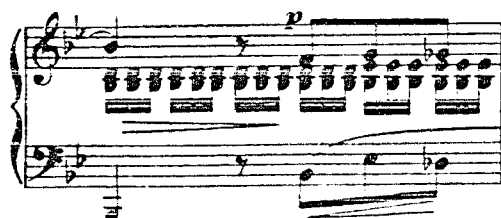


Schumann: Op. 3, No. 4, m. 28.

Fig. 18

pauses or phrase endings clearly. The eighth rest in the right hand of S:10/2,11 (the first rest in the melodic line of this etude) ends the preceding phrase and allows the following phrase to enter with more weight and definition (Fig. 19). Mention should also be made

Paganini: Op. 1, No. 6, m. 11.



Schumann: Op. 10, No. 2, m. 11.

Fig. 19

of the cadence found in S:3/6,52-53. Here Schumann expanded the violin's arpeggiated chord on the first beat of the last measure into a feminine cadence on the second beat (Fig. 20). Several other rhythmic features which are at variance with the Urtext, but in accord with R, could be cited. While these features add further support to the contention that Schumann used R as his textual model, they will not be construed as alterations in this thesis. Schumann could hardly have regarded them as such.

Paganini: Op. 1, No. 16, meas. 52-53.



Schumann: Op. 3, No. 6, meas. 52-53.

Fig. 20

Structural Changes

The foregoing discussion has demonstrated that Schumann made numerous alterations in Paganini's melodic line for various reasons. Schumann also made substantial structural changes in many of the caprices he chose to transcribe. In doing so, he endeavored to attain clarity and symmetry of form where he felt these attributes were deficient or missing altogether. These changes range from the elimination of a measure or two to the addition of entire sections.

The only major structural change in Op. 3 is

found in S:3/3 = P:1/11, wherein Schumann omitted both the caprice's presto middle section and the return to the andante. The revisions in S:10/1 = P:1/12 represent his more refined procedures in several of the Op. 10 etudes. Two measures of somewhat repetitious material (P:1/12, 12-13) are absent from the etude. Furthermore, in order to round off the caprice's binary form, Schumann replaced P:1/12, 52-57 with a bridge passage (S:10/1, 50-51) leading to a restatement of the etude's opening section (S:10/1, 52-63). From m. 64 to the end of the etude, Schumann adhered to Paganini's text (S:10/1, 64-75 = P:1/12, 58-69). In S:10/6 = P:1/3, the restatement of the allegro's opening material in meas. 93-100 serves a similar rounding function. Certainly the most involved example of restructuring appears in S:10/5 = P:1/2. After deleting P:1/2, 51-57, Schumann interpolated a developmental section based on the two motives found in S:10/5, 49-50. The violin motive (from P:1/2, 49-50) in the left hand is accompanied by a new countermotive in the right hand. At the beginning of this section (S:10/5, 51-66), these roles are reversed in double counterpoint at the octave. The section then continues with several phrases of modulatory sequential activity based on these motives and a variation in double thirds of the countermotive.

Modifications Involving Stylistic Elements
and Performance Practices

The following discussion will treat those factors that guide the pianist to a stylistic interpretation of these etudes: tempo markings; dynamic, expression, and accent markings; articulation and phrasing indications; ornamentation; and pedaling. As will be seen, Paganini provided only a bare outline which Schumann used as a point of departure, deleting, altering, or augmenting as he saw fit. Not only do Schumann's interpretive suggestions vastly increase the interest of the music, but they also portray in vivid detail the customs that characterized early-nineteenth century performance practice.

Tempo Markings

With a few notable exceptions, Schumann retained Paganini's indications of tempo in both sets of etudes. Of those tempo alterations Schumann made, several involved considerations of degree. For example, in S:10/1 = P:1/12, Schumann increased Paganini's allegro to allegro molto; in S:10/2 = P:1/6, the caprice's lento is qualified by the cautionary non troppo lento. Schumann was explicit in justifying his reduction in tempo of S:3/6 = P:1/16 to allegro molto: "Although Paganini marked the time Presto, a too quick tempo would be detrimental to the grandeur of the whole."¹ Of even greater interest are

¹Schumann, Studien, Op. 3, Vorwort, p. 30.

Schumann's suggestions regarding tempo relationships within the individual etudes. Without altering the original agitato marking in $S:3/1 = P:1/5$, Schumann pointed out: "The tempo, already quick, may be somewhat increased in the middle of the movement but must return very gradually to the tempo I^{mo} towards the end . . ."¹ Schumann probably intended that the tempo should begin to stabilize as the truncated return (m. 48) of the opening material is approached. In regard to $S:3/2 = P:1/9$, Schumann made this statement: "The 'Minore' (A-minor) . . . as in all Paganini Caprices, goes about one half slower than the 'Majore' . . ."² When this generalization is put into practice, however, it results in a heavy-handed performance that denies the section its requisite brilliance. Schumann must have realized this shortcoming when he carefully designated un poco più lento for the "Minore" of $S:3/4 = P:1/13$. On the other hand, the internal tempo modifications of $S:10/1 = P:1/12$ contribute a great deal to the effectiveness of the etude. The many indications of ritardando and a tempo help clarify the phrase structure, particularly in the developmental section beginning in m. 25. A unique interpretive effect is suggested in this etude by the markings un poco ritenente and un poco ritenuto (in meas. 18-21 and 69-72, respectively), which create a sense of relaxation that is suddenly disrupted by agitated vivace passagework (meas. 22-24 and

¹Ibid., p. 25.

²Ibid., p. 27.

and 73-75). Such interpretive gestures give indisputable evidence of Schumann's affinity for the character of the caprice.

Dynamic, Expression, and Accent Markings

In the twelve caprices Schumann transcribed, Paganini's indications for dynamics, expression, and accent are limited both in variety and frequency. Dynamic markings are usually found only at the beginning of movements or sections; they are more conspicuous, however, in passages featuring terraced or echo effects (e.g., P:1/9 and 19). Forte (f) and piano (p) are used most frequently; intermediate shadings of these levels (mf and mp) are absent. Fortissimo (ff) is used only once, and pianissimo (pp) only twice. The symbols for crescendo (<) and diminuendo (>) are found only in P:1/12. Paganini's expression markings in these caprices include dolce, smorzando, crescendo, and morendo. Dolce appears at the beginning of several caprices; the other markings are found internally with more topical relevance. By relaxing the tempo and lowering the dynamic level, smorzando is used to prepare returns of previous material (P:1/6) or to herald new sections (P:1/2). Crescendo is used in the traditional manner, i.e., to increase dynamic intensity and to initiate forward motion. Morendo is found at the end of P:1/6 in preparation for the mutated tonic chord. Paganini employed two markings in these caprices to indicate

accentuation. Light marcato accents (>) appear frequently on both strong and weak beats. In P:1/16, forzato accents (f) on individual notes are used to produce subtle metric variety (see Fig. 39).

While Schumann did not extend the dynamic range of these caprices, he utilized the intermediate shadings Paganini left out (e.g., mf, mezza voce, sotto voce) and made liberal use of the extreme dynamic levels (ff and pp). Although he included expression markings frequently, Schumann did not contribute greatly to their variety. Smorzando appears often, but markings not found in the caprices (e.g., scherzando) appear only occasionally. Schumann developed a broad and well-defined system of accentuation. In descending order of strength, Schumann's accent markings include rinforzando (rf), sforzando (sf), heavy marcato ($\wedge$), light marcato, and tenuto.

By offering only general suggestions, Paganini's markings provide the performer with a basis upon which a personal interpretation can be developed. Because of this freedom of interpretation Paganini allowed to the performer, Schumann felt constrained, on the one hand, to retain the original markings, and on the other, to amplify them in great detail. For example, while preserving virtually all the dynamic, expression, and accent markings in S:3/4 = P:1/13, Schumann contributed many other indications. The most significant of these are: (1) the strengthening of the light marcato accent in m. 12 by a sforzando accent;

(2) the inclusion of crescendo and diminuendo swells in meas. 19-23; (3) the elevation of the dynamic level from f to ff at the end (m. 38) of the middle section; and (4) the indication of delicatamente for the harmonic sequence in m. 14. Schumann's inclusion of interpretive markings runs the gamut between two extremes. In S:3/1 = P:1/5, there is hardly a measure without some indication of dynamic shading, heavy marcato and sforzando accents, or various expression markings. Since Paganini made no markings (except for articulation) in this caprice, Schumann undoubtedly felt at liberty to suggest a highly detailed interpretation. At the opposite extreme, Schumann used only one marking (smorzando in m. 50) in S:10/5 = P:1/2, which is actually fewer than Paganini used in the caprice. Schumann's reason for this seeming inconsistency is as follows:

In No. 5, I intentionally omitted the expression marks, leaving students to seek out for themselves its heights and depths. This will afford a good opportunity for testing the pupil's perceptive faculty.¹

Other indications Schumann added involved balancing the dynamic level between the hands. In S:3/5 = P:1/19 (see Fig. 13), Schumann emphasized the double sixths (f) and balanced the ostinato in the right hand (p) against the bass octaves (pp). In this way, the textural hierarchy is made clear. That Schumann purposely ignored Paganini's indications on occasion can be seen in S:10/6, 39-41. By

¹Schumann, On Music, p. 257.

means of light marcato accents, Paganini superimposed a duple meter on the prevailing triple meter. Schumann disregarded this subtle effect and accented the beat divisions instead, thus offering a rewarding technical problem (Fig. 21).

Paganini: Op. 1, No. 3, meas. 39-41.



Schumann: Op. 10, No. 6, meas. 39-41.

Fig. 21

Articulation and Phrasing

Paganini was as mercurial in his indications of articulation and phrasing as he was in his dynamic, expression, and accent markings. In many of the caprices Schumann transcribed, Paganini provided a model in the opening measures to indicate the articulation for the rest of the movement. In those caprices with several contrasting

sections, e.g., P:1/4, Paganini was more explicit. For its detailed articulation patterns involving practically every note, P:1/10 is remarkable. To the violinist, these patterns imply the bow technique proper to each passage (e.g., détaché, spiccato, flying staccato, jeté). When performed on the piano, these patterns can only be suggested by legato and staccato touches and the fine gradations that lie between them. Coherent phrasing is largely a product of the musician's instinct and intellect. Innately aware of this, Paganini did not attempt to indicate phrasing in most of these caprices. Schumann preferred to be more specific. In conjunction with his many other indications, Schumann's phrasing slurs definitely make the music more intelligible. The following will compare significant examples of articulation and phrasing in these caprices with Schumann's rendering in the piano etudes.

As part of the transcription process, Schumann found it necessary to change ". . . long continued, semi-legato violin passages into strictly legato ones."¹ An excellent example of this procedure can be seen in S:3/1. Paganini required that three detached notes in each group be played on a single bow, with the last detached note played on another bow. This difficult bowing continues through the rest of the agitato section.²

¹Schumann, Studien, Op. 3, Vorwort, p. 24.

²Many modern performers play spiccato for the entire movement.

Although Schumann specified legato in this etude as the preferred touch (tutto legato is marked in m. 20), he also indicated non legato occasionally (in meas. 2, 3, and 18), in deference to the original articulation (Fig. 22).

Paganini: Op. 1, No. 5, m. 2.



Schumann: Op. 3, No. 1, m. 2.

Fig. 22

A corollary to the above procedure is found in S:3/5,29. As could be expected, Paganini's staccato notes on the second beat are rendered legato; the original two-note slurs on the first and third beats, however, are given staccato and non legato articulations, respectively. One can surmise that Schumann had a pedagogical reason for making such an extensive revision (Fig. 23). By placing phrasing slurs throughout most of S:3/3, Schumann underscored the broad line inherent in the caprice (P:1/11). Even though Paganini's slurs imply legato, the long slur

Paganini: Op. 1, No. 19, m. 29 (from R).

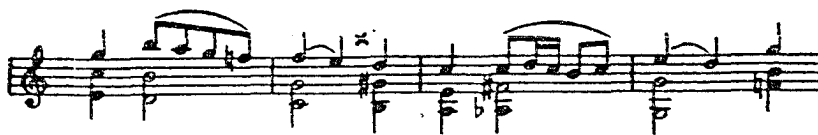


Schumann: Op. 3, No. 5, m. 29.

Fig. 23

in the etude defeats the temptation to make a caesura after the suspended resolution in the second measure (Fig. 24).

Paganini: Op. 1, No. 11, meas. 19-22.

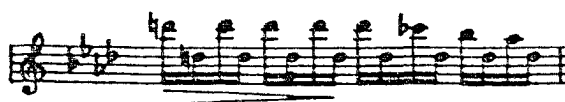


Schumann: Op. 3, No. 3, meas. 19-22.

Fig. 24

Schumann also gave attention to minor details of phrasing. In S:10/1,49 = P:1/12,51, the violin line suggests little more than diminuendo. In the etude, the slur in the right hand, reinforced by an accent, transforms the descending line into a highly expressive upbeat (Fig. 25).

Paganini: Op. 1, No. 12, m. 51.



Schumann: Op. 10, No. 1, m. 49.

Fig. 25

Ornamentation

Although many of these caprices have little or no ornamentation, several (P:1/3, 4, 10, and 19) contain a great deal. The various ornaments include trills, appoggiaturas, turns, and combinations of the three types. It is generally implied that trills should begin on the upper auxiliary; occasionally the lower auxiliary is indicated

to begin trills. In most cases, afterbeats to trills are not specified, with the exception of the trills appearing in P:1/10. The trilled octaves and unisons, unique to P:1/3, should not have afterbeats.¹ Paganini distinguished between the long and short forms of appoggiaturas in P:1/19 by using an eighth note for the former (Fig. 26) and a

Paganini: Op. 1, No. 19, meas. 1-4 (from R).



Fig. 26

sixteenth note for the latter (see Fig. 13). The inverted turn appears both as an elaboration of single notes (see Fig. 3) and as a prefix to trills (Fig. 27).

Paganini: Op. 1, No. 11, m. 13.

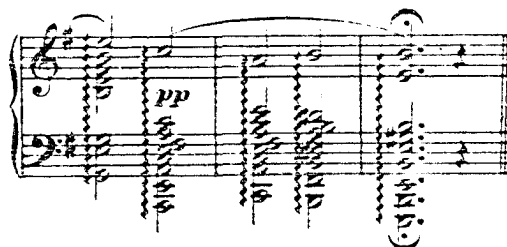


Fig. 27

¹In the copy of R used in this thesis (from the Hirsch Library, British Museum), the admonition Triller ohne Nachschlag appears in handwriting at the beginning of P:1/3.

In his transcriptions, Schumann seldom deleted any of the original embellishments, but more often either clarified or added to them. One significant omission is notable, however. In S:10/6, Schumann substituted arpeggiated chords for the octave and unison trills in the violin (Fig. 28). To insure his conception of sty-

Paganini: Op. 1, No. 3, meas. 22-24.



Schumann: Op. 10, No. 6, meas. 22-24.

Fig. 28

listic performance, Schumann usually provided trills with afterbeats (see Fig. 6). When necessary, he wrote out the trills completely (Fig. 29). From this example it can be seen that, in accordance with early-nineteenth-century fashion, Schumann was accustomed to beginning trills on the main note. Trills also play a significant role in the accompaniment to the melodic line. By adding a descending series of trills in S:10/2,16, for example, Schumann created an avalanche of sonority (Fig. 30).

Paganini: Op. 1, No. 10, m. 17.



Schumann: Op. 10, No. 3, m. 17.

Fig. 29

Paganini: Op. 1, No. 6, m. 16.



Schumann: Op. 10, No. 2, m. 16.

Fig. 30

Although he suggested that the appoggiaturas in S:3/5 (see Fig. 13) should be played as short trills in the da capo,¹ Schumann cautioned against overelaboration: "It is hardly advisable to add any more ornaments than those indicated . . . But . . . no limitations need be directed to a cultivated taste."²

Pedaling

The markings for the damper pedal are more detailed in the Paganini etudes than in any of Schumann's other piano music through Op. 10. One reason for this special attention was to increase the etudes' pedagogical value. Even in the etude designed to test students' musicianship (S:10/5), Schumann supplied a modicum of assistance. Schumann's pedaling achieved two basic goals. First, as an aid to fluency, the pedal facilitates legato, especially in passages involving wide leaps. Second, the pedal permits exploration of the piano's coloristic possibilities. When wide-ranged, arpeggiated passages are sustained by the pedal, for example, the resulting sonority is truly massive. Two unusual examples of pedaling should be mentioned. At the final return of the main theme in S:3/2, the pedal is directed to hold through each measure, thereby negating the indicated articulation (Fig. 31).

¹Schumann, Studien, Op. 3, Vorwort, p. 30.

²Ibid., p. 28.

Schumann: Op. 3, No. 2, meas. 95-96.



Fig. 31

At the beginning of 3:3/5, a quasi-impressionistic effect of distant bells is produced by sustaining the echo-like octave passage until the allegro assai (Fig. 32). Although

Schumann: Op. 3, No. 5, meas. 1-4.



Fig. 32

una corda is never specified, it probably should be used, for example, in densely scored pianissimo passages in the low register (see Fig. 28). Schumann's pedal markings should be modified somewhat in performance, owing to the greater sustaining power of the modern grand piano.

The Construction of the Accompaniment

A primary point of comparison in this thesis has been between the melodic line in Paganini's caprices and Schumann's treatment of it in the piano etudes. It is also necessary to focus attention on the accompanimental material found in the works under discussion. It would be well to recall here that Paganini's caprices are self-contained units; that is, they combine both melody and accompaniment in a single line. In those caprices that Schumann transcribed, the accompaniment patterns usually involve chords in multiple stops, arpeggiated figures, pedal points, and scale passages. In constructing the accompaniment to the etudes, Schumann had a challenging task. Certainly his first decision concerned the preservation and possible enrichment of the original accompaniments. Further deliberation led him to include additional material based on the original accompaniments and to compose entirely new accompanimental material.

There is hardly an aspect of Paganini's caprices that does not bear Schumann's mark in the etudes. It should not be surprising, therefore, that in retaining the original accompaniments, Schumann enriched them as he saw fit. To achieve this, he not only doubled chord tones for increased sonority, but also distributed them in various registers between the hands. Both procedures can be seen in S:3/2. Although the melodic line is preserved, the accompanying chords appear an octave lower

in the left hand, with doublings that increase each chord's density. Attention should also be called to Schumann's successful mimicry of the violin's bow-crossings in the arpeggiated chords (Fig. 33). With some harmonic coloration

Paganini: Op. 1, No. 9, meas. 17-18.



Schumann: Op. 3, No. 2, meas. 17-18.

Fig. 33

added, a similar procedure, involving doubling and redistribution of chord tones, is found in S:3/3 (see Fig. 24). In S:10/2, Schumann provided another perspective to the accompaniment: "In No. 2, I selected a different accompaniment, as I thought the tremolo of the original would too greatly fatigue player and hearers."¹ Throughout this etude, the repeated triplet sixteenths in the right hand are remarkably faithful to Paganini's harmonies (Fig. 34).

¹Schumann, On Music, p. 257.

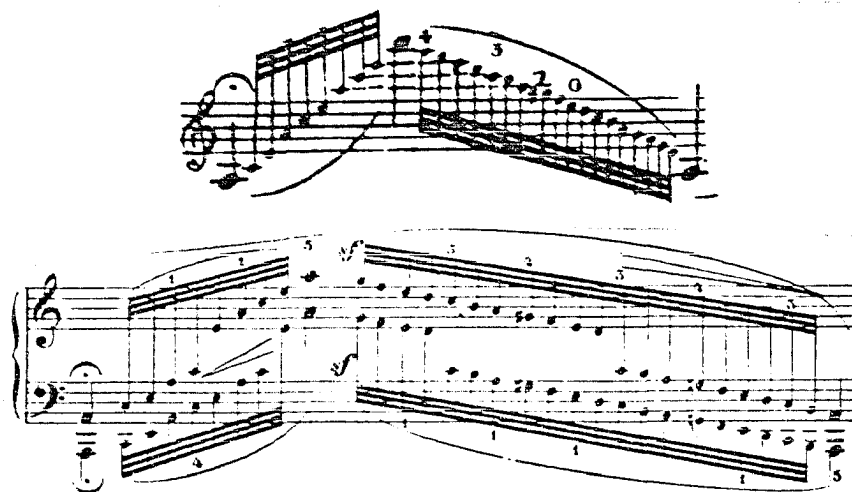


Schumann: Op. 10, No. 2, m. 1.

Fig. 34

Schumann's additional accompaniments are either derived from the violin line or composed to complement it. Such a derived accompaniment can be seen in the prelude of S:3/1. The melodic line (placed an octave lower than the original) is doubled at the octave below, thus increasing sonority and taking advantage of nearly the entire range of the piano (Fig. 35). A similar doubling at the sixth below occurs in S:3/2, 70-72. Octave doubling often influences the technique of the etude (e.g., S:10/3). Another type of derived accompaniment is achieved by sustaining some melodic tones so that a new voice emerges. In S:3/6, 30-31, this technique performs the simultaneous function of emphasizing structural melodic motives and creating heterophonic counterpoint between the two interrelated

Paganini: Op. 1, No. 5, m. 1 (from E).



Schumann: Op. 3, No. 1, m. 1.

Fig. 35

voices (Fig. 36). Perhaps the most interesting of these accompaniments are those involving more extended contrapuntal

Paganini: Op. 1, No. 16, meas. 30-31.



Schumann: Op. 3, No. 6, meas. 30-31.

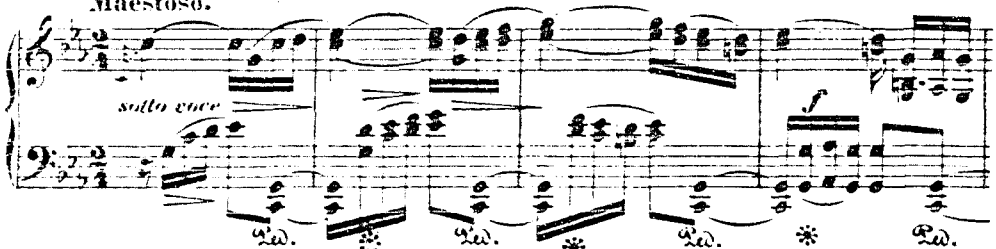
Fig. 36

techniques, such as imitation and canon. For example, the beginning of S:10/4 has a canonic dialogue over a tonic pedal point. Here the left hand anticipates the melodic line's sixteenth-note motion in the right hand by one beat (Fig. 37). The two-voice counterpoint

Paganini: Op. 1, No. 4, meas. 1-4.
Maestoso



Maestoso.
sotto voce



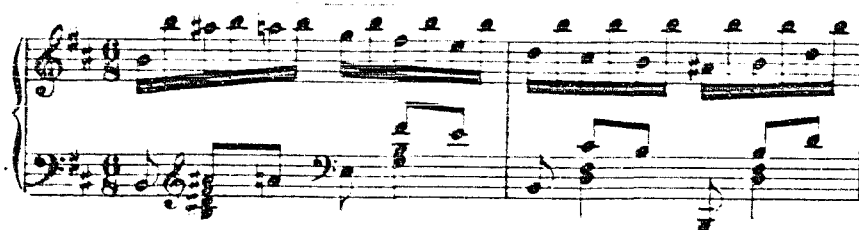
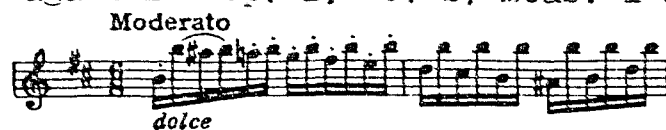
Schumann: Op. 10, No. 4, meas. 1-4.

Fig. 37

in S:10/6 (see Fig. 7) begins in imitative fashion, but suffers later from too much dependency on the melodic line.

The composed accompaniments to the violin line range from a skipping bass line with chordal afterbeats to well-defined and extended counter melodies. An example of the skipping-bass accompaniment can be seen in the left hand of S:10/5; an added feature is the doubling of the melodic line an octave lower by the top notes of the chords (Fig. 38). Counter melodies are another

Paganini: Op. 1, No. 2, meas. 1-2.

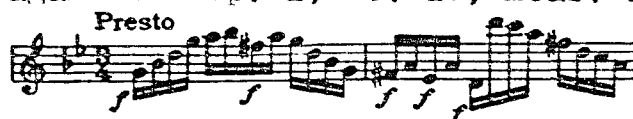


Schumann: Op. 10, No. 5, meas. 1-2.

Fig. 38

significant type of composed accompaniments. The most important of these are found throughout S:3/6 (Fig. 39) and S:10/2 (see Fig. 34). Less extended counter melodies

Paganini: Op. 1, No. 16, meas. 1-2.



Schumann: Op. 3, No. 6, meas. 1-2.

Fig. 39

are often encountered in Op. 10, particularly in S:10/1, 4, and 5.

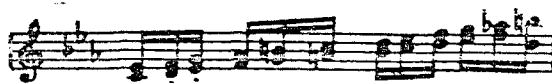
Harmonic Materials

Paganini's harmonic vocabulary in these caprices includes a full roster of diatonic triads and seventh chords (dominant, non-dominant, and diminished types). Chromatic chords include embellishing dominant/diminished triads and seventh chords, several augmented sixth chords, and an occasional Neapolitan sixth. Harmonic succession is tonally oriented, although nonfunctional progressions of passing chords and chromatic sequential activity are not infrequent. Modulations usually remain within one or two accidentals of the tonic key. The distant modulations that do occur are generally transitory in nature. For example, in S:10/3, the long series of modulations by third relation is notable: $g--B^b / (E^b \ c \ A^b \ f \ D^b \ b^b \ G^b \ e^b \ E \ c^{\#} \ A \ f^{\#} \ b) \ G--g$. Although this tonality scheme is unique to this caprice, it should be stated that Paganini, like Mozart, was more adventurous in minor keys.

In the etudes, Schumann had to decide whether to retain the harmonies Paganini implied or to superimpose new harmonies on the original framework. When the harmony was clearly expressed by chordal writing, Schumann used it as a point of departure, adding chromaticism, altering inversions (usually to root position), and expanding individual chords (e.g., from triad to seventh chord or

from seventh to ninth chord). When the harmony was ambiguous (for instance, in passages of linear activity), he often supplied pedal points to provide a harmonic foundation. Schumann mentioned several problems he had in harmonizing the etudes. In regard to S:10/4,17, he stated: "The chords . . . are in the original merely the runs in thirds of the upper voices. I knew of no other solution to make them presentable."¹ The result is a textbook example of regularly resolving, sequential, embellishing dominant-seventh chords (Fig. 40). He took pride in his

Paganini: Op. 1, No. 4, m. 17.



Schumann: Op. 10, No. 4, m. 17.

Fig. 40

treatment of a distant modulation later on in the same etude: "The sudden transition from B to C . . . cannot but have a striking effect."² Paganini effected the

¹Robert Schumann, Neue Zeitschrift für Musik, IV (1836), 135, cited and trans. by Plantinga, Schumann, p. 261.

²Ibid.

modulation by chromatic inflection of d-sharp to d-natural, producing a diminished-seventh chord. Schumann expanded the latter into a ninth chord by placing a trilled g in the bass to function as the chord's root (Fig. 41).



Fig. 41

One must marvel at Schumann's sensitivity to his task, for in most cases his harmonizations give a lasting impression of immutable rightness.

Summary

This chapter investigated the procedures Schumann used in transcribing twelve of Paganini's violin caprices for the piano. These procedures involved Schumann's choice and ordering of the caprices, his treatment of the melody and accompaniment of each caprice, and his influence on the

etudes' interpretation based on his understanding of contemporary performance practices. Although Schumann mentioned some of these procedures in his writings, most of them had to be deduced from study of the music. No special effort has been made in this chapter to isolate the two sets of etudes. Roughly an equal number of examples are cited from each set. It is true that Schumann made much of the differences between the two sets, emphasizing the liberties he took in Op. 10 in regard to harmony and formal structure.¹ While it is agreed that the second set does show evidence of Schumann's greater maturity and technical control, it does not alter our contention that the transcription procedures discussed in this chapter are essentially appropriate to both sets of etudes.

¹See supra, p. 15.

CHAPTER III

THE TECHNICAL FEATURES

Several examples in the preceding chapter have referred to the alterations of the violin line that Schumann made for reasons involving piano technique (e.g., fingering, articulation, and ornamentation). In this chapter, detailed treatment of these and other technical features will be undertaken. Discussion will center on what Schumann expressed in his writings to be the primary technical demands in both sets of etudes. Other significant features that were not mentioned by Schumann will also be discussed, along with remarks on studying, teaching, and performing these etudes.

The Op. 3 Etudes

The first technical problems that appear in Op. 3, No. 1, are arpeggios and scales (see Fig. 35). The arpeggios are all in root position; the fourth finger of the left hand is wisely indicated to take the third of the chord. In regard to the scales, Schumann recommended that ". . . the same fingering should be used both in ascending and descending."¹ He also made special note of the fingering for the

¹Schumann, Studien, Op. 3, Vorwort, p. 26.

chromatic scale:

The rule is easy: the third finger on $F\sharp$ and $C\sharp$ in the right hand, and on E^b and B^b in the left hand. In such matters, the student should decide for himself on the one or the other method as soon as possible, as otherwise his progress would be checked later on.¹

This fingering avoids the fourth finger, and thus has the advantage of control and strength (Fig. 42). The alter-

Schumann: Op. 3, No. 1, m. 1.



Fig. 42

nate (or "Chopin") fingering, which uses the fourth finger, can be recommended more for speed and lightness. The agitato of this etude involves broken-chord figuration (see Fig. 22), for which Schumann insisted on ". . . the correct raising of the fingers."² Whereas such finger action is required for the broken thirds in meas. 56-57 (Fig. 43), judicious use of forearm rotation will prove, on the whole, to be less taxing throughout the etude. To insure steadiness, Schumann also suggested an inconspicuous stress on the strong beats of the measure. The preparatory exercises Schumann appended provide useful

¹Ibid.

²Ibid., p. 25.

Schumann: Op. 3, No. 1, meas. 56-57.



Fig. 43

scale practice in contrary motion, with crossed hands, and with accompanying figures.

In the second etude of Op. 3, Schumann emphasized double notes for the right hand, with the left hand dealing with wide skips (Fig. 44). He urged that care be taken to

Schumann: Op. 3, No. 2, meas. 1-2.



Fig. 44

play the intervals cleanly together, without allowing the fingers to become rigid: "This is learnt more easily and comfortably by continuous playing, than by overpracticing

different groups."¹ In this case, he evidently favored a total approach to practicing over an approach emphasizing fragmentary repetition. At the e minor section (see Fig. 33), Schumann pointed out that the upper notes of the left-hand arpeggios should be connected to the lower notes of the right hand to produce a counter melody. The thick doublings in the left hand also provide extension practice between the fourth and fifth fingers. The a minor section (meas. 53-94) contains such contrasting technical features as scales and trills in sixths (Fig. 45). The most challenging section in this

Schumann: Op. 3, No. 2, meas. 74-76.

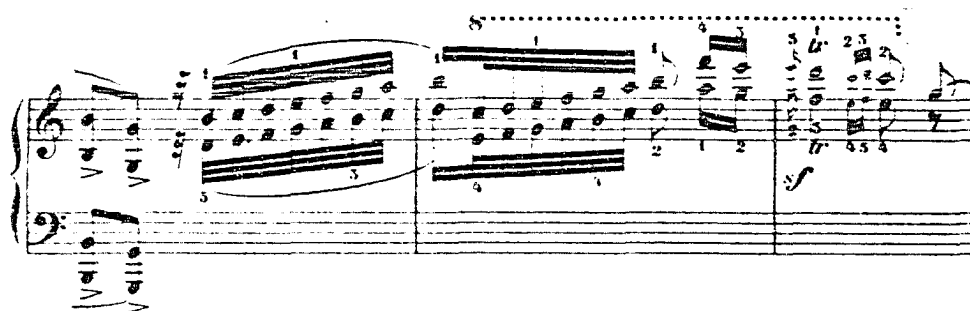


Fig. 45

etude appears just before the final return of the main theme. Here the overlapping hands create a quasi-imitative dialogue (Fig. 46). For scales in double notes, Schumann suggested repeated groups of the fingering pattern $\begin{smallmatrix} 3 & 4 & 5 \\ 1 & 2 & 3 \end{smallmatrix}$ in the right hand, and $\begin{smallmatrix} 3 & 2 & 1 \\ 5 & 4 & 3 \end{smallmatrix}$ in the left hand.

The third etude of the first set is a study in

¹Ibid., p. 27.

Schumann: Op. 3, No. 2, meas. 83-84.



Fig. 46

finger substitution for the right hand. This ordinarily involves adjacent pairs of fingers (2-3, 4-5), with the pattern 3-4-5 used once. Schumann pointed out that this ". . . silent change of fingers on the same key . . . often produces a beautiful effect in adagio movements."¹ He also intimated that this effect (perhaps related to the Baroque Bebung) is less successful in the andante of this etude (Fig. 47). While leaving the pedaling in general

Schumann: Op. 3, No. 3, meas. 1-4.

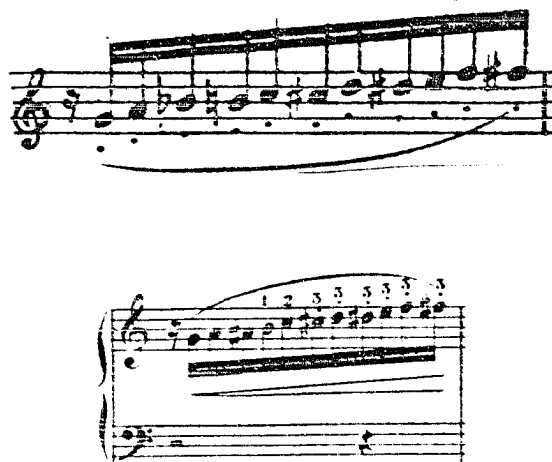


Fig. 47

¹Ibid., p. 28.

". . . to the discretion of the thoughtful player,"¹
Schumann carefully marked the pedaling for the left-hand arpeggios in meas. 16-17. In m. 18, the violin's detached notes on one bow are suggested by a portamento articulation by using only the third finger on the last six notes (Fig. 48).

Paganini: Op. 1, No. 11, m. 18 (R).



Schumann: Op. 3, No. 3, m. 18.

Fig. 48

Among the appended exercises are examples substituting adjacent fingers in scales, changing hands silently on the same chord, and reducing a chord distributed between the hands note by note until a single note remains (cf. the end of Papillons, Op. 2).

The fourth etude of Op. 3 is another study in double notes. The descending chromatic thirds in the right hand are indicated to be played only by $\frac{4}{2}$ (Fig. 49).

¹Ibid.

Schumann: Op. 3, No. 4, m. 17.



Fig. 50

the same fingering for each repeated group (Fig. 51).

Schumann: Studien, Op. 3, Vorwort, p. 30.

Fig. 51

The allegro of Op. 3, No. 5, involves leaping groups of repeated notes in the right hand with double notes and broken octaves in the left hand (see Fig. 13). Schumann emphasized the structural importance of the three levels of dynamics (f, p, and pp), adding that these levels ". . . in crescendo or diminuendo, must increase or

decrease in proportion."¹ The "Minore," with its leaps of up to a twelfth in the right hand, accompanied by narrower leaps in the left hand, is an especially hazardous section (Fig. 52). Schumann did not include any exercises for this etude.

Schumann: Op. 3, No. 5, meas. 27-28.



Fig. 52

The sixth etude of Op. 3 bears a certain resemblance to Chopin's Étude, Op. 10, No. 12, with its arpeggiated figures in the left hand and the dotted rhythms of the chordal right hand (see Fig. 39). This etude has a wide variety of technical problems: broken tenths, chromatic scales, crossed-hand passages, and repeated notes. Schumann stated that this "extremely difficult" etude demands careful fingering in order to be performed with the necessary virtuosity.² He also insisted that legato be maintained in spite of the many sforzando accents. To help overcome the difficulties this entails,

¹Ibid., p. 30.

²Ibid.

he included scale exercises with accents on different parts of the beat and on different scale tones (e.g., the dominant). Other exercises involve sustained tones within busy accompanimental figures. Certainly this is the most strenuous etude of Op. 3 and, although brief, could be classed with the concert etudes of Op. 10.

The Op. 10 Etudes

Although he did not supply a preface to or exercises for the Op. 10 etudes, Schumann offered valuable insights concerning their performance and study in the NZfM.¹ The first etude of this set is unique in that Schumann did not choose to comment on it. Perhaps because of this etude's single-mindedness of purpose, he did not feel so inclined. Almost the entire etude deals with broken intervals, mainly in octaves, and often in wider intervals up to a twelfth. As such, it provides an excellent opportunity to develop endurance in forearm rotation (Fig. 53). Some variety is afforded by hand-crossing in meas. 40-41 and by the intricate melodic web in the right hand of meas. 73-75. Special mention should be made of the powerful countermelody in the left hand of meas. 13-14, which invites a trombone-like declamation (Fig. 54).

¹See supra, pp. 14-16.

Schumann: Op. 10, No. 1, meas. 1-2.



Fig. 53

Schumann: Op. 10, No. 1, meas. 13-14.



Fig. 54

The main technical objective in the second etude of Op. 10 is to promote finger independence by placing both melody and accompaniment in the right hand. The melody is ordinarily played by the upper fingers (3, 4, and 5), with the accompaniment played by the lower fingers (1, 2, and 3). The hand is thus divided into two parts,

each with a distinct function. Throughout most of the etude, the left hand has a wide-ranging arpeggiated accompaniment that is often punctuated by syncopation and trills (see Figs. 30 and 34). At the Un poco più moto (beginning in m. 19), both hands have broken octaves and smaller intervals, which call for a well-controlled forearm rotation. In meas. 32-36, the left hand has staccato leaping sixteenths that lead to a climax of rapid repeated octaves (Fig. 55).

Schumann: Op. 10, No. 2, meas. 35-36.



Fig. 55

Referring to Op. 10, No. 3, Schumann said:

The effectiveness of No. 3 does not appear to be in proportion to its difficulty; but he who has vanquished this has conquered many things along with it.¹

The two significant technical demands in this etude are the fast staccato octaves in the right hand and the many trills with afterbeats for both hands. Especially difficult are the trills in the left hand, which are preceded by

¹Schumann, On Music, p. 257.

octave leaps. At the rapid tempo indicated, the grace note and the first note of the trill should be played simultaneously, followed by a rapid contraction of the hand to perform the trill (Fig. 56). Such demands on

Schumann: Op. 10, No. 3, meas. 13-14.



Fig. 56

the left hand are typical of the care Schumann took in Op. 10 to develop the technical capabilities of both hands. This can also be seen in the first two measures of this etude, wherein the violin line is divided between the hands (Fig. 57).

Besides being the most dramatic of both sets of etudes, the fourth etude of Op. 10 contains a wide variety of technical features. In addition to Schumann's statement that it requires a "full grasp and quick change of chords"¹ (see Fig. 40), one could also point to the abundance of double notes for both hands (mainly in intervals of thirds and sixths) throughout the etude. Legato octaves and passages of leaping octaves are also frequently encountered.

¹Schumann, Music and Musicians, II, 362.

Paganini: Op. 1, No. 10, meas. 1-2.



Schumann: Op. 10, No. 3, meas. 1-2.

Fig. 57

In the development section (beginning in m. 57), the hands are divided into various functional levels by means of hand-crossing, octave doubling, and trills, thereby creating an impressive orchestral texture (see Fig. 41). Other technical features include trills with accompanying figures in the same hand, which are usually found at important cadence points (e.g., m. 106). The quiet codetta makes subtle demands on the performer's skill in balancing several lines. An arpeggiated figure in the left hand provides a foundation for two lines in the right hand, one the melodic line, and above it, an accompanying chromatic line (Fig. 58).

It will be recalled that the fifth etude of Op. 10

Schumann: Op. 10, No. 4, meas. 113-14.



Fig. 58

was considered by Schumann as a test for the student. Other than an occasional accent, there are practically no guides for interpretation or fingering. The omission of fingering should not, however, be considered unusual. In sharp contrast to the carefully detailed fingerings in Op. 3, there are virtually no such indications in Op. 10, with the exception of a 5-5 slide in the left hand of Op. 10, No. 2 (see Fig. 34). This etude, in company with many of the other etudes, is a study in forearm rotation for both hands, with broken intervals ranging from minor seconds to two-octave leaps. At the beginning of this etude, the leaps in the left hand often exceed two octaves (see Fig. 38). Passages of double notes in thirds in the left hand often act as a foil to the broken intervals in the right hand (Fig. 59). In this etude, Schumann advocated a "delicate touch," with quiet finger action to

Schumann: Op. 10, No. 5, meas. 57-58.

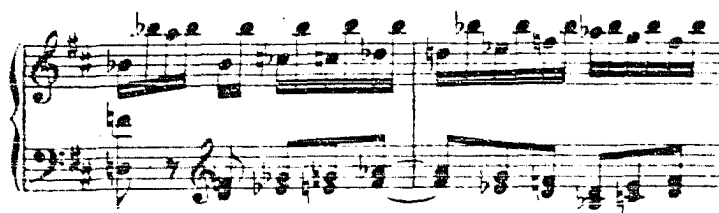


Fig. 59

develop "rapidity and lightness."¹

In Op. 10, No. 6, there are two basic technical problems: arpeggiated chords and two-voice counterpoint. Of the chords in the Sostenuto, Schumann wrote:

I may mention that the left hand, crossing the right (excepting the twenty-fourth bar), has but one key to strike--that of the highest upward-pointing note. The chords sound fullest when the crossing finger of the left hand sharply meets the fifth of the right hand.²

It should also be pointed out that the chords are most effective when arpeggiated in ascending order from the lowest tone to the highest, rather than arpeggiated simultaneously in both hands. The legato octaves in the right hand of this section demand considerable skill in distributing the weight of the hand and arm in order to

¹Ibid., p. 360.

²Schumann, On Music, p. 257.

produce the indicated cross accents (Fig. 60). Schumann

Schumann: Op. 10, No. 6, meas. 1-5.



Fig. 60

characterized the technical features of the contrapuntal allegro as "difficult contrary motion, interlacing the fingers, and crossing the hands."¹ In addition, there are double-note passages reminiscent of Chopin's Étude, Op. 10, No. 3 (Fig. 61). The cadence in e major at the

Schumann: Op. 10, No. 6, meas. 46-48.



Fig. 61

end of this etude provides a peaceful conclusion to the entire set.

¹Schumann, Music and Musicians, II, 361-63.

On Studying, Teaching, and Performing
the Paganini Etudes

At the end of the preface to Op. 3, Schumann cautioned:

The Editor does not consider it adviseable to study these Caprices, or indeed, any lengthy pieces, one after the other. It is better to lay them aside from time to time; to work on special passages selected from them, then to play these connectedly; then to begin again, gradually filing away the difficulties, until it is felt that the moment has come for applying the finishing touches to the work.¹

It is clear that Schumann was aware of the problems that could result from prolonged study of the Op. 3 etudes. Assuming that he would have had similar reservations about the Op. 10 etudes, it could be said that such concentrated study of both sets would probably not be as fruitful as the study of individual etudes. Because many of the etudes have similar technical features (e.g., double notes and broken intervals), it might be suggested that study should begin with those etudes that have unique technical features (e.g., Op. 10, No. 3, with its octaves and trills; and Op. 3, No. 1, with its energetic passagework). Other etudes could then be studied, depending on the particular needs and resources of the pianist. In spite of the wealth of musical qualities these etudes contain, it would probably be wise to follow Schumann's counsel of moderation in the choice and study of these etudes.

¹Schumann, Studien, Op. 3, Vorwort, p. 32.

Piano instructors would do well to consider Schumann's Paganini etudes as possible alternatives to the better-known studies of Chopin, Liszt, and Brahms. In fact, several pieces in Op. 3 are well within the reach of those students who might not be ready to study these more difficult etudes. Students on the intermediate level, for example, could benefit from the third etude of Op. 3. Although it avoids technical display, this etude requires well conceived and expressive playing (see Fig. 47). The fourth and fifth etudes of Op. 3 demand some agility, especially in their central sections; on the whole, they could be managed by students on the lower advanced level. The remaining etudes of Op. 3 (Nos. 1, 2, and 6) should be given to more advanced students. The etudes of Op. 10 should be reserved for pianists possessing the maturity to perform such large Schumann works as Carnaval, Op. 9, and the Symphonische Étüden, Op. 13.

Whether these etudes should be performed on recital programs is another important consideration. Although Schumann evidently had some doubts about the Op. 3 etudes in this regard,¹ it would seem that the more interesting and demanding pieces of this set (Nos. 1, 2, and 6) would not be out of place in the concert hall; the remaining etudes probably should be used only as teaching pieces. As for Op. 10, there is no question of Schumann's intent.

¹See supra, p. 15.

By calling them Konzert-Étuden, he testified to their suitability for public presentation. It would probably not be necessary, or even desirable, however, to present Op. 10 in its entirety on one recital. A well-chosen group of three etudes would perhaps be more effective. A lyrical or dramatic grouping could include Nos. 1, 2, and 4; for a brilliant grouping, Nos. 3, 5, and 6 could be suggested. Depending on the nature and scope of the program, other combinations are certainly possible. In conclusion, an intriguing remark Schumann made on the performance of the Op. 10 etudes should be cited:

. . . as most of /the etudes/ begin quite brusquely in the middle of things--something to which a mixed concert audience is unaccustomed--they had best be introduced with a free, brief, appropriate prelude.¹

Such preliminary improvisation would probably be unacceptable to modern audiences. If, however, a pianist would feel more at ease by doing so before essaying a difficult etude, he would be justified by historical precedent.

Summary

In describing the technical features of the two sets of Paganini etudes, Schumann's assessment of the basic goals of each etude has been assigned first priority. Of secondary interest were those features that provide

¹Schumann, On Music, pp. 256-57.

further challenges to the pianist, but upon which Schumann did not comment. Taken as a whole, these etudes do not represent a compendium of piano technique; instead, they involve similar technical problems approached from various perspectives. The pianist is thus allowed considerable latitude in choosing studies to meet his individual needs. While Schumann's advice on studying and performing these etudes is excellent, further guidance has been included in this chapter to aid the modern performer.

It has not been within the scope of this chapter to detail fully the relationships existing between the techniques of violin and piano playing. Although several obvious correlations come to mind (e.g., violin double stops resulting in double notes on the piano, or string-crossing effects resulting in broken intervals), it must be admitted that the technique for performing even the most fundamental operations, such as scales and arpeggios, is basically quite different on the two instruments.

SUMMARY

In this thesis, the two sets of Paganini etudes have been placed in perspective in relation to their position in Schumann's piano works; in relation to his aspirations as a composer, critic, teacher, and pianist; and in relation to his interest in Paganini as a musician and artist. A systematic presentation has been made of the principles that guided Schumann in transcribing Paganini's violin caprices for the piano. These principles were deduced from Schumann's writings and from detailed comparison of the works involved. Many examples have illustrated the varied facets of Schumann's transcription process. In addition, a discussion of the technical features contained in both sets of etudes has been included to clarify Schumann's pedagogical goals. This discussion also provides assistance in studying, teaching, and performing these etudes.

Although the process that culminated in Schumann's transcriptions has been at least partially revealed, it is still difficult to determine exactly how Schumann regarded his own actions. It may well be asked: Was his hand guided by inspiration or by craftsmanship alone? This will perhaps never be known or understood. Nevertheless

it is hoped that, through the dissemination of the information presented in this thesis, these etudes will become of interest to many students of the piano.

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