

L'ANALISI LINGUISTICA E LETTERARIA

FACOLTÀ DI SCIENZE LINGUISTICHE E LETTERATURE STRANIERE
UNIVERSITÀ CATTOLICA DEL SACRO CUORE

3

ANNO XXVIII 2020

L'ANALISI
LINGUISTICA E LETTERARIA

FACOLTÀ DI SCIENZE LINGUISTICHE
E LETTERATURE STRANIERE

UNIVERSITÀ CATTOLICA DEL SACRO CUORE

3

ANNO XXVIII 2020

PUBBLICAZIONE QUADRIMESTRALE

L'ANALISI LINGUISTICA E LETTERARIA
Facoltà di Scienze Linguistiche e Letterature straniere
Università Cattolica del Sacro Cuore
Anno XXVIII - 3/2020
ISSN 1122-1917
ISBN 978-88-9335-766-1

Comitato Editoriale

GIOVANNI GOBBER, Direttore
MARIA LUISA MAGGIONI, Direttore
LUCIA MOR, Direttore
MARISA VERNA, Direttore
SARAH BIGI
ELISA BOLCHI
GIULIA GRATA
CHIARA PICCININI
MARIA PAOLA TENCHINI

Esperti internazionali

THOMAS AUSTENFELD, Université de Fribourg
MICHAEL D. AESCHLIMAN, Boston University, MA, USA
ELENA AGAZZI, Università degli Studi di Bergamo
STEFANO ARDUINI, Università degli Studi di Urbino
GYÖRGY DOMOKOS, Pázmány Péter Katolikus Egyetem
HANS DRUMBL, Libera Università di Bolzano
JACQUES DÜRRENMATT, Sorbonne Université
FRANÇOISE GAILLARD, Université de Paris VII
ARTUR GAŁKOWSKI, Uniwersytet Łódzki
LORETTA INNOCENTI, Università Ca' Foscari di Venezia
VINCENZO ORIOLES, Università degli Studi di Udine
GILLES PHILIPPE, Université de Lausanne
PETER PLATT, Barnard College, Columbia University, NY, USA
ANDREA ROCCI, Università della Svizzera italiana
EDDO RIGOTTI, Università degli Studi di Perugia
NIKOLA ROSSBACH, Universität Kassel
MICHAEL ROSSINGTON, Newcastle University, UK
GIUSEPPE SERTOLI, Università degli Studi di Genova
WILLIAM SHARPE, Barnard College, Columbia University, NY, USA
THOMAS TRAVISANO, Hartwick College, NY, USA
ANNA TORTI, Università degli Studi di Perugia
GISÈLE VANHESE, Università della Calabria

*I contributi di questa pubblicazione sono stati sottoposti
alla valutazione di due Peer Reviewers in forma rigorosamente anonima*

© 2020 EDUCatt - Ente per il Diritto allo Studio universitario dell'Università Cattolica
Largo Gemelli 1, 20123 Milano | tel. 02.7234.2235 | fax 02.80.53.215
e-mail: editoriale.dsu@educatt.it (*produzione*); librario.dsu@educatt.it (*distribuzione*)
web: www.educatt.it/libri

Redazione della Rivista: redazione.all@unicatt.it | *web:* www.analisinguisticaeletteraria.eu

Questo volume è stato stampato nel mese di dicembre 2020
presso la Litografia Solari - Peschiera Borromeo (Milano)

INDICE

Un glossario greco-latino inedito (Paris, Bibliothèque Nationale, Lat. 18556) <i>Alessandro Re</i>	5
The mediatization of femicide: a corpus-based study on the representation of gendered violence in Italian media <i>Lucia Busso, Claudia Roberta Combei, Ottavia Tordini</i>	29
Cortesía e amorevolezza nei <i>Promessi Sposi 1840</i> <i>Annick Paternoster</i>	49
“Shakespeare ist mir noch lieber”: Schumann’s Bard in the <i>Novellette</i> op. 21 n. 3 <i>Enrico Reggiani</i>	69
<i>As Painting Poetry Shall [Not] Be: An Intellectual History of Word and Image Rivalry in British Culture</i> <i>Paola Spinozzi</i>	87
Les mêmes et pourtant autres, « comme reviennent les choses dans la vie ». Odette de Crécy : prototype du personnage sériel proustien <i>Ilaria Vidotto</i>	105

RECENSIONI E RASSEGNE

Recensioni	121
Rassegna di Linguistica generale e di Glottodidattica a cura di Giovanni Gobber	127
Rassegna di Linguistica francese a cura di Enrica Galazzi e Michela Murano	135
Rassegna di Linguistica inglese a cura di Maria Luisa Maggioni e Amanda C. Murphy	143
Rassegna di Linguistica russa a cura di Anna Bonola e Valentina Nosedà	153
Rassegna di Linguistica tedesca a cura di Federica Missaglia	159
Indice degli Autori	165
Indice dei Revisori	167

“SHAKESPEARE IST MIR NOCH LIEBER”: SCHUMANN’S BARD IN THE NOVELLETTE OP. 21 N. 3*

ENRICO REGGIANI

UNIVERSITÀ CATTOLICA DEL SACRO CUORE

“Were Romantic composers as little concerned with the traditions of musical craftsmanship as their detractors in the 19th century (and the 20th) have suggested?” In Schumann’s case, Plantinga’s question meets an easily predictable negative answer. However, not so predictable is the cultural-musicological and compositional role of Shakespeare, whom Schumann celebrated as a “Universalgenie” (1830), considered as “noch lieber” than Jean Paul (1851), and entrusted with the task to support his life-long, characteristically Romantic make-it-original creative practice and theoretical (musicological and poetological) reflections: “wer Shakespeare [...] versteht, wird anders komponieren, als der eine Weisheit allein aus Marpurg sc. hergeholt” (1843). This essay examines the relationship between Schumann and Shakespeare in the Novellette op. 21 n. 3 by joining the scientific tools and hermeneutic resources of musico-literary analysis and cultural musicology.

Keywords: Robert Schumann, William Shakespeare, music and literature, Cultural musicology

Shakespeare [...] immer tanzt und *die Welt*
durch andre Gläser ansah.¹

1. Schumann and “alte Musik”

“Were Romantic composers as little concerned with the traditions of musical craftsmanship as their detractors in the 19th century (and the 20th) have suggested?” Leon Plantinga asked this question in a well-known essay on *Schumann’s View of ‘Romantic’*, published in

* This is the third and final version of an essay whose first and sketchy one was presented at the XIX Colloquio di Musicologia dell’Associazione Culturale *Il Saggiatore musicale*, Università degli Studi di Bologna, 20-22 novembre 2015. Afterwards, a second and more elaborate version was accepted at the 11th Conference on Word and Music Studies, organized by the International Association for Word and Music Studies (WMA) and hosted by the Department of English and the Centre for Intermediality Studies in Graz (CIMIG), Karl-Franzens-Universität Graz, May 30-June 1st, 2019.

¹ R. Schumann, *Tagebücher. Band I, 1827-1838*, hrsg. George Eismann, Veb Deutscher Verlag für Musik, Leipzig 1971, p. 230 (italics mine).

The Musical Quarterly in 1966², and answered negatively (with qualifications omitted here because they are irrelevant to the present discussion). At the start of the 1980s, his negative answer found a prestigious confirmation in Carl Dahlhaus's variation on the same theme³:

We have no cause to speak of a profound opposition to the past in musical Romanticism. [...] This at once close and problematic relation to the musical past [...] was apparently linked with the emergence in the nineteenth century of a strange jumble of trends, toward intimacy, monumentality, and virtuosity.

Alessandro Serpieri's semiotic portrait of the Romantic artist may help us (re)organize Dahlhaus's "strange jumble of trends" as the result of the self-referential and self-modeling Romantic world-model⁴:

Scoprendosi centro con un nucleo oscuro, accerchiato da un'elusiva circonferenza, il romantico misura il suo spazio interno ed esterno secondo coordinate analogiche più che logiche. Il suo viaggio fantastico è molto spesso un viaggio nel sé, figurato nelle forme del fuori di sé [...]. L'uomo centro è solo, sconosciuto nel profondo, circondato dal cerchio, confortato soltanto dalla possibile presenza di Dio nel sé.

The hermeneutic usefulness of Serpieri's quotation is confirmed by Plantinga's answer concerning Schumann, which, though all-too-brief and indirect, emphasizes the latter's predictable cultural-musicological self-centeredness: "Schumann's understanding of musical history was strongly conditioned, no doubt, by his own artistic interests"⁵. However, by romantically articulating – spatially – "coordinate analogiche più che logiche" and – temporally – "un fascio di omologie che si strutturano su un grande paradigma"⁶, his understanding of musical history was never merely encyclopedic and phylogenetic, since, as Nicholas Marston has perceptively written, "for Schumann the past mattered above all to the extent that it paved the way for a future music that it was the duty of his generation to cultivate"⁷.

Some paradigmatic and chronological references from Schumann's writings may help be more precise about Robert Schumann's case than Plantinga's approach. In May or June 1830, he annotated in his *Tagebücher* that "die Zukunft soll das höhere Echo der Vergangenheit sein"⁸, where the comparative "höhere" can be understood only by bearing in mind the dialectics between "die hohen Alten (Händel, Gluck, Lotti, Durante, Mozart u. Haydn)" and "die neue Schule (Beethoven, Schubert, Spohr)" he had written about in

² L. Plantinga, *Schumann's view of "Romantic"*, "The Musical Quarterly", 52, 1966, p. 222.

³ C. Dahlhaus, *Nineteenth-century music*, University of California Press, Berkeley/Los Angeles/London 1989, p. 24.

⁴ A. Serpieri, *Retorica e immaginario*, Pratiche, Parma 1986, p. 303.

⁵ L. Plantinga, *Schumann's view of "Romantic"*, p. 230.

⁶ M. Pagnini, *Il Romanticismo*, Il Mulino, Bologna 1986, p. 19.

⁷ N. Marston, *Schumann's heroes: Schubert, Beethoven, Bach*, in *The Cambridge Companion to Schumann*, B. Perrey ed., Cambridge University Press, Cambridge 2007, p. 248.

⁸ Schumann, *Tagebücher. Band I*, p. 308.

January of the same year⁹. Five years later, in 1835, Schumann (almost) inaugurated the heroic enterprise of the *Neue Zeitschrift für Musik* with the following clear-cut attack on “die *letzte* Vergangenheit” in the name of “eine junge, *dichterische* Zukunft”¹⁰:

In der kurzen Zeit unseres Wirkens haben wir mancherlei Erfahrungen gemacht. Unsere Besinnung war vorweg festgestellt. Sie ist einfach, und diese: *die alte Zeit und ihre Werke* anzuerkennen, darauf aufmerksam zu machen, wie nur an so reinem Quelle neue Kunstschönheiten gekräftigt werden können – sodann, die *letzte* Vergangenheit als eine unkünstlerische zu bekämpfen, für die nur das Hochgesteigerte des Mechanischen einigen Erfuß gewährt habe – endlich *eine junge, dichterische Zukunft* vorzubereiten, beschleunigen zu helfen.

In February 1837, Schumann was still fighting his personal battle against “die *neuen* Ausrufer alter Musik” and their obsession for counterpoint¹¹:

Die *neuen* Ausrufer alter Musik verstehen es meistens darin, daß sie gerade das versuchen, worin unsre Vordern allerdings stark waren, was aber auch oft mit jedem andern Namen, als mit dem der ‘Musik’ belegt werden muß, d.h. in allen Compositions-gattungen, die in die Fuge und den Canon gehören, und schaden sich und der guten Sache, wenn sie die innigeren, phantastischeren und musikalischeren Erzeugnisse jener Zeit als unbedeutender hintansetzen.

After a decade, in the final years of the 1840s, Schumann adopted an almost identical approach to “alte Musik” when, in one of his unpublished *Haus- und Lebensregeln*, prescribed the following rule to his readers, with an emblematic and typically Schumannian parallelism between music and the verbal arts: “Glaube nicht, daß die alte Musik veraltet sei. Wie ein schönes wahres Wort nie veralten kann, ebenso wenig eine schöne wahre Musik”¹².

What did Schumann mean by “alte Musik” in all these quotations? The composer himself answered this question by saying that, whereas “die *letzte* Vergangenheit” was what he fought against, however, not only the in-depth analysis of “das Werk Bachs” was at the core of his “Studium der Alten”¹³, but also the investigation of the “[ältere] Musik (vor Bach’s Zeiten)”¹⁴, which included “die alten Italiäner, Niederländer, [...] Deutschen”¹⁵ and, more specifically, the “alten ital. Kirchencomponisten” and the “Niederländern”¹⁶. For ex-

⁹ *Ibid.*, p. 281.

¹⁰ R. Schumann, *Zur Eröffnung des Jahrganges 1835*, “*Neue Zeitschrift für Musik*”, 2, 1835, p. 3 (italics mine).

¹¹ R. Schumann, *Ältere Claviermusik*, “*Neue Zeitschrift für Musik*”, 6, 1837, p. 40 (italics mine).

¹² H. Erler, *Ein ungedruckter Canon für vier Männerstimmen und sechs ungedruckte musikalische Haus- und Lebensregeln Robert Schumanns*, “*Die Musik*”, 5, 1905/1906, p. 108.

¹³ G. von Dadelsen, *Robert Schumann und die Musik Bachs*, “*Archiv für Musikwissenschaft*”, 14, 1957, p. 46.

¹⁴ R. Schumann, *Tagebücher. Band II, 1836-1854*, G. Nauhaus hrsg., Veb Deutscher Verlag für Musik, Leipzig 1982, p. 177.

¹⁵ *Ibidem*.

¹⁶ *Ibid.*, p. 515.

ample, of particular interest in this respect are “the historical allusions in his music”¹⁷ to Palestrina’s *stile antico* and the cultural-musicological approach to Schütz as “Begründer neuer Musikgattungen” and to his *Symphoniae Sacrae* as the “Reformationswerk deutscher Tonkust”¹⁸ that Albert Schiffner (1792-1873) delineated in a contribution published by Schumann in his *Neue Zeitschrift für Musik*. Though very demanding and challenging, Schumann’s “Studium der Alten” was so compositionally fecund that, as Kristina Muxfeldt has noted, the composer “would later learn how [...] to trigger sentiment by invoking musical styles laden with [...] distorted *stile antico* counterpoint”¹⁹.

2. Schumann and Shakespeare

However, without lessening the relevance of such *musical* “Studium der Alten” in the attempt to answer Plantinga’s initial question, one cannot help emphasize that, when referred to Schumann, Plantinga’s question is somehow ill-posed, since, with the genius from Zwickau, it was never merely a matter of *musical* “traditions” inherited or broken, or of *compositional* “craftmanship” restricted to a domain univocally definable as *musical*. Which amounts to saying that, also in his approach to “Alte Musik”, Schumann – often short-sightedly defined as “torn between disciplines”²⁰ – confirmed his “youthful musico-poetics”, his “evolving notion of music as a kind of literary activity”, and, more generally, his “outlook on music as a form of literature”²¹. Coherently with such a perspective, though perhaps surprisingly for the hyperindividualized anthropological and hyperspecialized hermeneutical categories of today, Schumann always stressed the creative and cultural-musicological role of an intermedial model that he defined as a “Universalgenie”²² in 1830 and qualified as “noch lieber” than Jean Paul more than two decades later²³: William Shakespeare. Music scholars predictably agree that Robert Schumann can be considered as one of the most constant and coherent European protagonists of the cultural-musicological approach to and of the compositional reception of Shakespeare’s thought and work, but this superficial agreement often reflects nothing more than commonplace generalizations,

¹⁷ R.L. Todd, *On quotation in Schumann’s music*, in *Schumann and his world*, R.L. Todd ed., Princeton University Press, Princeton 1994, p. 97.

¹⁸ A. Schiffner, *Für die Geschichte der königl. Capelle zu Dresden*, “Neue Zeitschrift für Musik”, 13, 1840, p. 107.

¹⁹ K. Muxfeldt, *Schubert’s songs: the transformation of a genre*, in *The Cambridge Companion to Schubert*, C.H. Gibbs ed., Cambridge University Press, Cambridge 1997, p. 137.

²⁰ B. Perrey, *Schumann’s lives, and afterlives: An introduction*, in *The Cambridge Companion to Schumann*, p. 3.

²¹ J. Daverio, *Robert Schumann: herald of a new poetic age*, Oxford University Press, New York 1997, pp. 44.

²² R. Schumann, *Tagebücher. Band I*, p. 230. Cf. H-G. Kemper, *Deutsche Lyrik der frühen Neuzeit. Band 6.2: Sturm und Drang: Genie – Religion*, Max Niemeyer, Tübingen 2002, p. 197: “der Dichter repräsentiert als «Universalgenie» in seiner Individualität und mit seiner Bildersprache zugleich die Totalität von Natur und Geschichte, er wird zum *Koinzidenzpunkt der Kommunikation seiner Epoche*, wie das Homer oder *Shakespeare* jeweils auch für ihre Epochen gewesen sind” (italics mine).

²³ R. Schumann, *Briefe. Neue Folge. Zweite vermehrte und verbesserte Auflage*, F.G. Jansen hrsg., Breitkopf und Härtel, Leipzig 1904², p. 347.

musicological inefficiencies, and intermedial unawareness. Here are three examples of such inadequate interpretive attempts and strategies.

Firstly, there is still general consensus even on what the German pianist and musicologist Joachim Draheim wrote in a useful though time-worn essay published in 1981, which “möchte die wichtigsten Zeugnisse zu Schumanns Shakespeare-Bild, soweit zur Zeit zugänglich, vorstellen, ordnen und in knappen Zügen erläutern”: according to Draheim, though “Schumanns Verehrung für den Dichter Shakespeare ist in der Literatur immer wieder konstatiert und betont worden”²⁴, his

Begegnung mit Shakespeare hat weder in die Nähe einer Identifikation geführt, wie es bei Jean Paul und Byron der Fall war, noch eine schöpferischen Niederschlag von dem Umfang und der Qualität wie bei Goethe, Heine, Eichendorff oder Rückert gefunden²⁵.

The commonplace generalization that the encounter between Schumann and Shakespeare can be defined neither as “identification” (“Identifikation”), nor as “creative expression” (“schöpferischer Niederschlag”) should have been more carefully tested against data available after accurate and integrated textual analysis, also – last but not least – in order to give cultural-musicological relevance to the two definitions, otherwise exceedingly ambiguous, employed by Draheim.

Secondly, some scholars’ exceedingly “knappe Züge” often show musicological inefficiencies too evident to be neglected. On the one hand, some of these inefficiencies are of a merely biographical kind, as when Eric Frederick Jensen observes that “by the 1850s, as maturity supplanted the enthusiasm of his youth, Shakespeare became his favourite author”, in perfect coincidence “with a rediscovery and reevaluation of Shakespeare’s work during the first half of the nineteenth century”²⁶ (the latter remark adding simplistic literary details to the former biographical approximations). On the other hand, there are musicological inefficiencies that derive, instead, from the inability to cope with Schumann’s idiosyncratic conception of a *literary-musical* language: it may be such inability that made, e.g., a surprised and incredulous Luigi Ronga state that, “in uno *strano accostamento di romantico entusiasmo*, [Schumann] propone al musicista di foggiare il proprio linguaggio mediante lo studio di Shakespeare e di Jean Paul”²⁷.

Thirdly, there are scholars afflicted by what may be called “intermedial unawareness”. This is the case of those who opt for mere literature/music juxtaposition against their lit-

²⁴ J. Draheim, *Schumann und Shakespeare*, “Neue Zeitschrift für Musik”, 3, 1981, p. 237.

²⁵ Not surprisingly, Draheim (*Ibid.*, p. 244) applied both definitions not to Shakespeare, but to some German protagonists of the (long) transition between the 18th and the 19th century, i.e. to writers approximately contemporary with the composer, who could easily both ‘identify’ with Jean Paul (1763-1825) and Byron (1788-1824) and give ‘creative expression’ musically to his being ‘in tune’ with Goethe (1749-1832), Heine (1797-1856), Eichendorff (1788-1857), and Rückert (1788-1866).

²⁶ E.F. Jensen, *Schumann*, Oxford University Press, Oxford 2001, p. 55.

²⁷ L. Ronga, *Prefazione*, in R. Schumann, *La musica romantica*, L. Ronga ed., Einaudi, Torino 1950, p. ix (italics mine).

erary-musical integration and/or for patchworks in single-work analyses against the search for literary-musical continuity within them. Though authoritative and reliable as to many other *Schumanniana*, Jon W. Finson is a (prestigious) case in point here. When he introduced his bird's-eye view of Schumann's contribution to "nineteenth-century 'Shakespeareomania'" by writing that "Shakespeare's plays ultimately provided little material for Schumann's published works"²⁸, he seemed to imply that such "little [published] material" was the only legitimate final evidence that should be taken into account to weigh Schumann's *Shakespeareana*. However, a bit further on, incongruously enough, he also mentioned the Saxon composer's "two surviving [unpublished] drafts of a Sinfonia per il Hamlet"²⁹, while totally excluding the *Intermezzo* of the third *Novellette* op. 21 with its (originary) motto from Shakespeare's *Macbeth* that was dropped in its final version, which will be examined later on in this essay. Also for these inconsistencies, Finson's opening remark that Schumann's "occasional use of Shakespearean material betokens a wider familiarity with the plays"³⁰ sounded and still sounds ambiguous, superficial, and inconclusive like his juxtaposition of Schumann and "contemporary composers, among them Berlioz, Nicolai, Weber, Mendelssohn, and Verdi", whose literary-musical approach to and compositional reception of Shakespeare had incomparable roots and incompatible results.

Instead, it was precisely Shakespeare whom, in 1832, Schumann entrusted with the task of feeding his compositional vision with intermedial nourishment: "Warum sollte es keine Opern ohne Text geben; das wäre eben dramatisch. In Shakespeare giebts viel für dich"³¹. It was Shakespeare who provided him with basic cultural-musicological premises: as he wrote in an 1843 article on "Pianofortemusik", "wer Shakespeare and Jean Paul versteht, wird anders komponieren, als der eine Weisheit allein aus Marpurg usw. hergeholt"³². Finally, it was Shakespeare's model who sustained and nourished Schumann's characteristically Romantic make-it-old theoretical (i.e. musicological and poetological) reflections and creative practice. However, since Schumann was more a mythologist than a philologist like Brahms, his Bard was no mere privileged interlocutor from a past epoch that he may have intended to, e.g., philologically rediscover, creatively re-fertilize, or merely celebrate: his Shakespearean-oriented "make-it-old" was in fact a "make-it-original", urged by the intermedial search for the "ganze Wahrhaft-Ganze"³³ of "eine junge, dichterische Zukunft"³⁴. As Ulrich Tadday has far-sightedly observed³⁵,

²⁸ J.W. Finson, *Schumann and Shakespeare*, in *Mendelssohn and Schumann: essays on their music and its context*, J.W. Finson – R.L. Todd ed., Duke University Press, Durham 1984, p. 125.

²⁹ *Ibid.*, p. 129.

³⁰ *Ibid.*, p. 125.

³¹ R. Schumann, *Tagebücher. Band I*, p. 411.

³² R. Schumann, *Pianofortemusik*, "Neue Zeitschrift für Musik", 18, 1843, p. 13.

³³ R. Schumann, *Jugendbriefe nach den Originalen mitgeteilt von Clara Schumann*, Breitkopf und Härtel, Leipzig 1886, p. 82.

³⁴ R. Schumann, *Zur Eröffnung*, p. 3.

³⁵ U. Tadday, *Schumann's aesthetics of music*, in *The Cambridge Companion to Schumann*, p. 45.

Schumann’s dream, then, was of a new musical mythology, of a society that would define its identity, among other ways, by means of musical discourse, in that it would have the spirit and the time to realize an *advance* in the spirit of the time. In this sense, Schumann’s aesthetics of music is Romantic and revolutionary.

The *Novellette* op. 21 n. 3 provides a unique example of how Schumann could carry out that intermedial search in Shakespearean terms. Its musico-literary reference to the literary form of the *Novellette*, whose “middleground between short story and full-length novel [...] flourished richly” in German literature and inclined “to a narrower field and a closer view”³⁶, was also indebted to Goethe’s definition of it as “eine sich ereignete, unerhörte Begebenheit”³⁷ and contributed to give birth to a musical work that was to be experienced as “unerhört” because of its unrepeatable and unrepeated compositional symbiosis with Shakespeare’s wordlessly comic and tragic undertones and overtones. The following pages will focus on this compositional symbiosis.

3. Shakespeare’s “Komödie” in the *Novellette* op. 21 n. 3

The cultural-musicological and compositional peculiarities of the *Novellette* op. 21 n. 3 become evident in the paratextual choices that Schumann made for the innovative tempo indications of its three sections (with their agogic, dynamic and expressive implications): respectively, *Leicht und mit Humor* for its framing sections A1 (bars 1-90) and A2 (bars 216-267), and *Rasch und Wild* for its central section B (bars 91-215) – the latter integrated by the genological specification *Intermezzo*, whose ‘theatrical’ implications interrupt the macro- and micro-textual ‘narrative’ continuity of, respectively, the whole *Novelletten* and their third number.

In choosing these idiosyncratic tempo formulas, Schumann was not acrobatically adopting new terminological, verbally-oriented criteria: as he wrote to his Belgian admirer Simonin de Sire in March 1839, his controversial “Überschriften” “zu allen meinen Compositionen kommen mir immer erst, nachdem ich schon mit der Composition fertig bin”³⁸. They deserve analytical and hermeneutical attention and should not be neglected for the very same cultural-musicological reasons that Schumann advanced in 1838 (the same year in which he composed his *Novellette* op. 21) when he reacted against criticism on what was blamed as a new vogue in “die Überschriften zu Musikstücken”: as he wrote in a review³⁹ of Moscheles’s *Charakteristische Studien* op. 95 (1836-1837), whose title will be imitated by the dedicatee of Schumann’s op. 21, Adolf von Henselt (1814-1889), in his *Études Caractéristiques* op. 2 (1838)

³⁶ B.Q. Morgan, *The Novellette as a literary form*, “Symposium”, 1, 1946, pp. 34, 38, 36.

³⁷ J.W. Goethe, *Sämtliche Werke nach Epochen seines Schaffens. Münchner Ausgabe. Bd. 19*, H. Schlaffer ed., Hanser, München 1986, p. 203.

³⁸ R. Schumann, *Briefe. Neue Folge*, p. 148.

³⁹ R. Schumann, *Gesammelte Schriften über Musik und Musiker. Band III*, Georg Wigand’s Verlag, Leipzig 1854, p. 17.

tun es die Dichter, suchen sie den Sinn des ganzen Gedichtes in einer Überschrift zu enthüllen: warum sollen's nicht auch die Musiker? Nur geschehe solche Andeutung durch Worte sinnig und fein; die Bildung eines Musikers wird gerade daran zu erkennen sein.

Since “die Bildung eines Musikers” like Schumann was quintessentially Shakespearean, also his tempo indications not rarely adopt a Shakespearean approach to contribute to what Diether De La Motte acutely defined as “die Gesichtspunkte der Schumannschen kompositorischen Dramaturgie”⁴⁰. As regards the first tempo indication of his *Novellette* op. 21 n. 3, the combination of *Leicht* and *Humor* reflects an intermedial factor that was much debated in the transition between the 18th and the 19th centuries and whose focal term-concept *Humor* was strictly connected with the German reception of Shakespeare: as the theatre critic Fritz Mauthner (1849-1923) observed in 1910⁴¹,

als nun Shakespeare durch die Übersetzung Schlegels fast ein deutscher Klassiker wurde, kam das Wort Humor, dessen ironischen Anwendung man nicht bemerkte, als Bezeichnung für die komische Wunderlichkeit eines individuellen Charakter.

Direct pre-1838 evidence of such a debate is given, e.g., in February 1837, i.e., one year or so before the composition of the *Novelletten* op. 23⁴² by an anonymous writer's (the editor Schumann's?) reference to “jener Proteus, der Humor, nicht der lyrische Jean Paul's, sondern der dramatische des Shakspeare”⁴³, which also documents an instance of (the composer's) interpretive autonomy from Jean Paul in the complex domain of *Shakespeareotics*. Two years later (1839), instead, the composer appears to echo Jean Paul's remark that “Shakespeare, der Einzige” had “Witz and Humor, aber weniger Ironie im engern Sinne”⁴⁴, in his definition of “Humor” as “der die glückliche Verschmelzung von Gemüthlich und Witzig”⁴⁵ included in the same 1839 letter to de Sire mentioned above.

Other post-1838 evidence is provided, on the one hand, by what August Kahlert (1807-1864), one of Schumann's acquaintances and reviewers for *Neue Zeitschrift für Musik*, wrote in his *System der Aesthetik*⁴⁶:

in der Komödie, wenn sie sich bis zum Humor erhebt, wie wir ihn bei Shakespeare in vollen Glanz erblicken, bildet die heitere Weltanschauung [...]. Als Shakespeare in Deutschland zuerst ein ungetheiltes Entzücken verbreitet hatte, ging man in der ästhetischen Erläuterung seines Geisteschatzes zu weit, und machte den Geist des

⁴⁰ D. De la Motte, *Harmonielehre*, Bärenreiter-Verlag, Kassel 1976, p. 174.

⁴¹ F. Mauthner, *Wörterbuch der Philosophie. Neue Beiträge zu einer Kritik der Sprache. Erster Band*, Georg Müller, München und Leipzig 1910, p. 515.

⁴² M.L. McCorkle, *Robert Schumann: Thematisch-Bibliographisches Werkverzeichnis*, Schott, Mainz 2003, p. 85.

⁴³ Anon., *Musikalisches Leben in Braunschweig*, “Neue Zeitschrift für Musik”, 6, 1837, p. 70.

⁴⁴ J.-P. Richter, *Sämmtliche Werke. Band 41. Neunte Lieferung. Erster Band*, Reimer, Berlin 1827, pp. 168 and 194.

⁴⁵ R. Schumann, *Briefe. Neue Folge*, p. 148.

⁴⁶ A. Kahlert, *System der Aesthetik*, Breitkopf und Härtel, Leipzig 1846, p. 200.

Humors, überhaupt des Komischen, zur absoluten Willkühr im Gegensatze der tragischen Notwendigkeit.

On the other hand, when Carl Eduard Vehse (1802-1870) – a German historian from Saxony (like Schumann) who got involved in politico-religious conflicts mentioned in Schumann’s *Tagebücher*⁴⁷ – wrote in a 1851 study on the Bard titled *Shakespeare als Protestant, Politiker, Psycholog und Dichter* that “*der Humor* [...] heitert die Menschen auf durch die Komik” and that “das Komische ist das vorzugsweise Befreiende in der Welt, dem Menschengemüth wird dadurch *leicht* und wohl”⁴⁸, the above-mentioned association between Schumann’s formula *Leicht und mit Humor* and the German reception of Shakespeare’s compositional genology comes full circle.

Five years before the composition of the *Novelletten*, the Swiss Catholic priest Joseph Laurenz Schiffmann (1786-1856) wrote the following summary of the conception of “Humor” according to “de[r] [großte] [Humorist] unserer Nation”⁴⁹:

Jean Paul Richter bezeichnet das Humoristische als romantisch Komisches zum Unterschied vom romantisch Ernsthaften. In diesem herrscht die Unendlichkeit des Subjekts, worin die Objektenwelt, das Endliche, wie in einem Mondlichte, ihre Grenzen verliert; der Humor hingegen schiebt als subjektiver Kontrast die Endlichkeit der Idee unter, und statt wie im Erhabenen das Unendliche auf das Endliche anzuwenden, wendet er das Endliche auf das Unendliche an und schafft so eine Unendlichkeit des Kontrasts.

Breviter, according to Schiffmann’s summary⁵⁰, in creatively elaborating “das Humoristisches als romantisch Komisches”, the creative subject conceives the theory and the method of a “subjektiver Kontrast” to attain an “Unendlichkeit des Kontrast” that consists in adopting the bounded categories of the “Objektenwelt” as the basis of the unbounded categories of the “Idee” and applying the finite procedures of the former to the infinite ones of the latter.

How did Schumann turn his theoretical and cultural-musicological reflections on Shakespeare in dialectics with Jean Paul into creative and compositional practice? Schiffmann’s summary may be of some intermedial help here, if one interprets, in this hierarchical root-to-leaf sequence,

1. the theory and the method of “subjektiver Kontrast” as a creative contrast that is romantically determined and managed in its subjective combination of communitarian tradition and individual talent, convention and innovation, conformity and originality, heteronomy and autonomy, *et al.*;

⁴⁷ R. Schumann, *Tagebücher. Band II*, pp. 380 and 397.

⁴⁸ C.E. Vehse, *Shakespeare als Protestant, Politiker, Psycholog und Dichter. Band I*, Hoffmann und Campe, Hamburg 1851, p. 24 (italics mine).

⁴⁹ *Neues Rhenisches Conversations-Lexicon oder encyclopädisches Handwörterbuch für gebildete Stände. Band VI*, Louis Bruère, Köln am Rhein 1833³, p. 924.

⁵⁰ J.L. Schiffmann, *Lebensgeschichte des Chorherren und Professors Aloys Gügler. Band II*, Karl Kollmann, Augsburg 1833, p. 36.

2. the attainment of “Unendlichkeit des Kontrast” as the endlessness (and consequent insolubility) of the contrast between the “Unendlichkeit” of the macro-structural and thematic “Idee” and the “Endlichkeit” of the micro-structural and motivic “Objektenwelt”;
3. the adoption of the bounded categories of the “Objektenwelt” as the basis of the unbounded categories of the “Idee” and application of the “endlich” procedures of the former to the “unendlich” ones of the latter as the *humorous* overturning of the hierarchical relationship between them and their respective compositional structures, dimensions, levels, and components, *et al.*

Wolfgang Boetticher⁵¹ acutely emphasized two humorous ‘details’ in his analysis of the *Novellette* op. 21 n. 3, when he noticed how, from the motivic point of view, “in Opus 21, Nr. 3 (‘Leicht und mit Humor’) steht das Komische mit der Starrheit des Staccato-Motivs in Zusammenhang”, and, from the micro-structural point of view, “im 5. Takt erfolgt ein Festklemmen auf dem leiterfremden f, das auf 8 Takte nicht losgelassen wird, der dadurch entstehende F-Dur-Charakter löscht die harmonische Ausgangsvorstellung aus”. Boetticher’s conclusion on these localized details is coherent with Schumann’s “Überschrift” *Leicht und mit Humor* to sections A1 (bars 1-90) and A2 (bars 216-267), though with no Shakespearean implications:

man sieht sich an der Nase herumgeführt, wenn man nach den ersten vier Takten sich schon ein Urteil über das Ganze machte. Die Kurzatmigkeit des Motivs steht dabei in komischem Gegensatz zu der übergroßen Anteilnahme, mit der dieser Gedanke immer wieder hervorgekehrt wird.

However, Boetticher’s ‘humorous’ “Staccato-Motiv” (bars 0-4) is not the germinal cell of section A, as the German musicologist (1914-2002) seems to imply. On the contrary, it is itself the prolongation and elaboration of a more germinal *Grundgestalt*⁵²: its initial anacrusis five-quaver motive (bars 0-1), which could well be read as the ‘humorous’ compositional matrix of the whole section A (i.e., A1 and A2). From the micro-structural point of view, this motive – with its choral-like homorhythmic polyphony (its only emblematic exception being the dominantic double ‘f’ sharp of the anacrusis) – is used as a phraseological antecedent ($\alpha 1$) and joined with an analogous three-quaver consequent ($\alpha 2$) to form the first semi-phrase (bars 0-2) of Boetticher’s “Staccato-Motiv” (bars 0-4). Their union is asymmetric as regards both their motivic extension, since $\alpha 1 > \alpha 2$, and their tonal profile, since $\alpha 1$ is (unexpectedly) in b minor while $\alpha 2$ moves to the dominant of its major relative, D major.

To make up its first and closest derivative (i.e. Boetticher’s “Staccato-Motiv”, bars 0-4), the first semi-phrase (bars 0-2) is completed by a second semi-phrase (bars 2-4) with a near repetition of the first two bars, symmetrically made up as follows: a dominantic double ‘a’ as the accompanied anacrusis (bar 2), a fleeting two-quaver tonic triad in root position and a second-inversion subdominant triad – whose shared ‘d’ acts as a tonic pedal in bar 3

⁵¹ W. Boetticher, *Robert Schumann. Einführung in Persönlichkeit und Werk*, Hahnefeld, Berlin 1941, p. 517.

⁵² D. Epstein, *Beyond Orpheus. Studies in Musical Structure*, MIT Press, Cambridge 1979, p. 17.

– moving, in bar 4, to a two-quaver diminished seventh chord on D major leading note, ‘c’ sharp. This overall texture is also systematically characterized by a generalized articulation in *staccato*, a homogeneous elaboration of piano timbre, rarefied agogic changes through *ritard(ando)* passages, homorhythmic passing- and neighbour-notes (which, though confirming the rhythmic gait of the initial anacrusic five-quaver motive and of its first prolongation, overshadow their tonal identity) and the idiosyncratic use of intensive accents (medium accents > or *sforzando*) to emphasize tonally structural junctions in a cotextual dynamics scale graded between *pp e mf*.

When one passes from the micro-analysis of the initial anacrusic five-quaver motive (bars 0-1) to the macro-analysis of the whole section A (i.e., A1 and A2), one cannot help noticing that all the compositional features of its germinal cell are also projected on that macro-structural level. For example, once reached its full form through the junction of $\alpha 1$ and $\alpha 2$ (cf. above), Boetticher’s “Staccato-Motiv” (α , bars 0-4) acquires the macro-structural function of a quasi-refrain in a rondeau-like framework thanks to its threefold repetition in A1 (bars 0-4, 30-34, 70-74) and its twofold repetition in A2 (216-220 = 0-4, 246-250 = 30-34) with the only enharmonic change of ‘a sharp’ to ‘b flat’ in A1 (bars 33 and 73) and A2 (bar 249).

The dialectics b minor/D major, epitomized in bars 0-2 and based on a (descending) minor-third step ‘d-b’, characterizes not only that initial motive, but also the tonal relationships between section A and B of the third *Novellette* and the tonal economy of the entire *Novelletten*, where, as John Daverio wrote⁵³, “avoiding overt thematic recall between pieces, Schumann imparts coherence to his musical tales through an almost obsessive emphasis on the D tonality from the second number forward and through his recourse to a generally jovial tone throughout”. The same (innovative) tonicization based on a minor-third step (an ascending ‘d-f natural’ here) triggers Boetticher’s “Festklemmen”, i.e. the unexpectedly ‘humorous’ prolongation of the natural third degree ‘f \sharp ’ of D major (a minor-third distant from the background tonic ‘d’) that, in section A1, occupies eight *humorous* bars (4-12) of subsection β (bars 4-30), which will recur unvaried in section A2 (bars 220-246).

The bars 4-30 also confirm the ‘humorous’ matrix-role of the initial semi-phrase motive (bars 0-2) of the third *Novellette* by capsizing its keyboard positions on the piano and telescopically magnifying its bounded scope on the macro-structural level. For example, its texture (bars 0-2) is turned upside down in the bass register of the piano; its left-hand pedal octaves are moved to a right-hand position; the tiny accompanying ‘d-e’ cell of bar 1 becomes the starting-point of left-hand melodic transpositions and related harmonic progressions (bars 16 ff.); the intensive accents used in bar 1 (medium accent >) and 2 (*sforzando*) to emphasize the dominants, respectively, of VI and I proliferate in bars 4-12 to stress the dominant of III natural, *et al.* The rest of subsection β (bars 4-30) applies sort of ‘Baroque-like amplification’ to these compositional features: right-hand pedal octaves on the dominant – i.e. on both its fifth ‘e’ and octave ‘a’ – of the background tonic key D major span from bars 12 to 24; a harmonic progression (bars 16-20) on the ascending ‘d-e’ cell of bar 1 is exploited by means of cadential accumulation between two framing pron-

⁵³ J. Daverio, *Robert Schumann*, p. 165.

gations of V (bars 12-16 and 20-23) and three fleeting occurrences of the tonic triad (bars 20, 22, 24); the trigger role of the submediant 'b', which characterizes the initial anacrusic five-quaver motive (bars 0-1) of Schumann's op. 21 n. 3, pops up again in the form of an ephemeral dominant seventh chord (bar 17) to ignite the harmonic progression of bars 16-20, *et al.*

After the second quasi-refrain repetition of α (bars 30-34), in subsection γ (γ^1 : bars 34-49, 74-90, 250-266; γ^2 : bars 50-70) of section A (A1: bars 0-90; A2: 216-267), Schumann's 'humorous' compositional trajectory coherently, on the one hand, keeps reducing the explicit presence of the background tonic key D major (which unmistakably resounds only in bar 46) and, on the other hand, by capsizing the b-d sequence of $\alpha 1$, emphasizes the tonally structural role of the submediant 'b', as shown in bars 34-36, 38-40, 60-70 – the latter before the third and last repetition of α (bars 70-74) in A1. It is also noticeable from the cultural-musicological point of view that the same compositional dialectics between 'b' (submediant) and 'd' (tonic), which – as seen above – *humorously* projects itself at different levels and in different forms, manifests itself also in the short imitative episode between bars 50 and 58, whose "subject" in the lower keys of the piano moves from an anacrusic 'd' on the weak second beat of the 2/4 bar to a stressed (>) 'b' on the strong first beat of the following bar, which will hold sway qualitatively and quantitatively over the following bars until the reappearance of the third quasi-refrain repetition of α (bars 70-74).

The just-documented 'humorous' features of the framing sections A1 (bars 1-90) and A2 (bars 216-267) of the *Novellette* op. 21 n. 3 are perfectly coherent not only with their tempo indication *Leicht und mit Humor*, but, more emblematically, with the 'humorous' compositional intention of the whole *Novelletten* that had taken Schumann three weeks to work on before explicating it in a letter written to Clara on February 6th 1838⁵⁴:

Da habe ich Dir denn auch entsetzlich viel componirt in den letzten drei Wochen – Spaßhaftes, Egmontgeschichten, Familienscenen mit Vätern, eine Hochzeit, hurz äußerst Liebenswürdige – und das Ganze Noveletten genannt, weil Du Clara heißest und Wiecketten nicht gut genug klingt.

Therefore, according to the cultural-musicological background of Jean Paul's conception of "Humor" and its Shakespearean implications summarized in Schiffmann's quotation above, the section A of Schumann's op. 21 n. 3 may be defined as an intermedial musicalization of Jean Paul's "Objektenwelt" (i.e., "das Endliche") that projects its bounded categories and procedures on the unbounded ones of the "Idee" (i.e., "das Unendliche"), determining what I defined above as the 'humorous' overturning of the hierarchical relationship between them and their respective compositional structures, dimensions, levels, and components, *et al.* Thus, the apparently insignificant initial anacrusic b-minor five-quaver motive becomes a compositional matrix that transforms and masks itself, a "Schattenspiel an der Wand" belonging to the domain of "das Kleinliche" and prevailing over

⁵⁴ C. und R. Schumann, *Briefwechsel. Band 1*, E. Weissweiler hrsg., Stroemfeld Verlag, Basel/Frankfurt am Main 1984, p. 90 (*italics mine*).

“das Großartige”, to quote relevant terminology from a review⁵⁵ written by Carl Mangold (1813-1889), a regular correspondent from Paris to the *Neue Zeitschrift für Musik*, and published on March 9th 1838, i.e. in the very same period when Schumann was working on his op. 21:

Der Künstler im Allgemeinen sollte die Elemente der Gefühlswelt nicht zu sehr durch einander mengen und wenn er sich in dem einen herumtreibt, nicht das andere zu nahe berühren; er sollte *das Großartige* nicht mit *Kleinlichem* untermischen. Wenn er *uns großartige Charaktere* schildert, sollte er uns mit keinem Schattenspiel and der Wand unterhalten wollen.

It is a remarkable coincidence for the (Shakespearean) purposes of this essay that the word “Schattenspiel”⁵⁶ also recurs in A.W. Schlegel’s translation⁵⁷ of Shakespeare’s comedy-world of *Ein Sommernachtstraum* (V. i, 209), in which, according to Schumann, “der romantische Geist in solchem Maaße schwebt, daß man die materiellen Mittel, die Werkzeuge, welche er braucht, gänzlich vergißt”⁵⁸.

4. Shakespeare’s “Tragödie” in the Novellette op. 21 n. 3

As just seen above, the tempo indication *Leicht und mit Humor* of sections A1 (bars 1-90) and A2 (bars 216-267) implies a compositional reference to the German reception of Shakespeare’s *Komödie* and acts as a Shakespearean frame to Schumann’s *Novellette* op. 21 n. 3. In its section B (bars 91-215), instead, the tempo indication *Intermezzo. Rasch und Wild* witnesses a different and complementary compositional reference to another Shakespearean source, the *Tragödie Macbeth*, with its “appeal of the witches’ magic mode of significance on the German stage” of the early 19th century and its “power to name the unnameable”, “unknown to the disciplined and rationalistic discourse of the Enlightenment”⁵⁹.

In fact, just as the genological term *Intermezzo* – half-way between theatre and opera – points in general terms at those “intermission entertainments” of Italian origin that “freely utilized the latest device in scenic display and in machine effects”⁶⁰ in Shakespeare’s times, so does the tempo indication *Rasch und Wild* reflect more directly two unmistakable features of the German reception of the so-called Scottish play: on the one hand, August Schlegel’s

⁵⁵ C. Mangold, *Aus Paris. Erstes Concert im Conservatoire*, “Neue Zeitschrift für Musik”, 8, 1838, p. 80 (italics mine).

⁵⁶ Not casually, this word will also come up further on in one of Schumann’s writings quoted in support of my analysis of the B section of op. 21 n. 3.

⁵⁷ W. Shakespeare, *Shakspeare’s dramatische Werke: Ein Sommernachtstraum*. A.W. Schlegel hrsg., A.F. Macklot, Stuttgart 1828, p. 358.

⁵⁸ R. Schumann, *Ferdinand Hiller. XXIV Etudes p. 1. Pfte. Oeuw. 15. Pr. 3 Th. – Leipzig, Hofmeister*, “Neue Zeitschrift für Musik”, 2, 1835, p. 43.

⁵⁹ P. Kofler, *Bewitched: German translations of “Macbeth”*, “The Shakespearean International Yearbook”, 13, 2013, p. 69.

⁶⁰ A. Nicoll, *The English Theatre: a short history*, Thomas Nelson and Sons, London 1936, p. 39.

(1767-1845) emphasis on “Raschheit” as the Bard’s “Gänge der Handlung” in *Macbeth*⁶¹; and, on the other hand, the same doublet used by Franz Dingelstedt (1814-1881) in a stage direction of his stage translation of *Macbeth* to specify that “die Hexensprüche sind nicht langsam oder feierlich zu reden, sondern *rasch und wild*”⁶² – Dingelstedt himself being both quoted by Friedrich Hieronymus Truhn (1811-1886) in a 1839 review⁶³ in the *Neue Zeitschrift für Musik* and mentioned by Simon Williams⁶⁴ as a “key figure” of Shakespeare’s reception on the German stage,

who did much to popularise Shakespeare’s work by exploring the variety of his plays, applying the practice of ensemble performance to them and utilising light and scenery to create an attractive atmosphere for the dramatic action.

In a sense, it was the composer himself who, having intensely perused the Scottish play from 1836 to 1838, on February 2 1838, started the *Macbethization* of op. 21 n. 3 by annotating “Macbeth-Novелlette gemacht” in his *Tagebücher*⁶⁵. Three months later, though, in May 1838, he limited its *Macbethization* by placing an emblematic quotation in English⁶⁶ from *Macbeth* (I. i, ll. 1-2) as an epigraph to the sole Intermezzo – and not “in testa alla terza Novелletta”⁶⁷ – when it was published in a “Heft II” of the *Neue Zeitschrift für Musik*⁶⁸:

“When shall we meet again
In thunder, lighting, or in rain?”

These paratextual features have allowed (e.g.) Karl Heinrich Wörner (among other musicologists) to define section B of *Novелlette* op. 21 n. 3 as “das Macbeth-Intermezzo”⁶⁹, although the above-mentioned Shakespearean implications that section B shares with

⁶¹ A.W. Schlegel, *Vorlesungen über dramatische Kunst und Literatur. Zweiter Theil. Zweite Abtheilung*, Mohr und Zimmer, Heidelberg 1811, p. 159.

⁶² F. Dingelstedt, *Studien und Copien nach Shakespeare*, E.A. Hartlebens Verlags-Expedition, Pesth/Wien/Leipzig 1858, p. 102 (italics mine).

⁶³ F.H. Truhn, *Almanach und Albumschau für 1840*, “Neue Zeitschrift für Musik”, 11, 1839, p. 169.

⁶⁴ S. Williams, *Shakespeare on the German Stage. Volume 1: 1586-1914*, Cambridge University Press, Cambridge 1990, p. 153.

⁶⁵ R. Schumann, *Tagebücher. Band II*, p. 50.

⁶⁶ Why did Schumann, who had studied English, quote these lines in their original language? This choice is surprising when compared with Beethoven’s (who read Shakespeare only in German translation), Haydn’s (who composed a *Canzonetta* on Shakespeare’s original text in 1795), Schubert’s (who very rarely set the Bard to music even in German), *et al.* Therefore, this English quotation from *Macbeth* should be more accurately examined also from the cultural-musicological point of view and not reduced to the mere snobbery of a German intellectual and composer, son of a publisher who loved literature and published Shakespeare in bilingual edition (English original and German translation).

⁶⁷ R. Di Benedetto, *Storia della musica 7: L'Ottocento I*, EdT, Torino 1982, p. 111.

⁶⁸ R. Schumann, *Sammlung von Music-Stücken alter und neuer Zeit als Zulage zur “Neue Zeitschrift für Musik. Heft II”*, “Neue Zeitschrift für Musik”, 5, 1838, p. 13.

⁶⁹ K.H. Wörner, *Robert Schumann*, Atlantis, Zurich 1949, p. 119.

sections A1 and A2 of the same *Novellette* should not allow to consider it as “del tutto indipendente”⁷⁰ from those Shakespearean frames.

However, by the end of the same month of May 1838, Schumann himself thwarted such verbally mediated *Macbethization* by removing the epigraphic quotation and publishing the following elucidation and justification of “das Motto aus Macbeth” in a “Beilage” to the same “Heft II” of the *Neue Zeitschrift für Musik*⁷¹:

Den letzten Beitrag erklärt und entschuldigt das Motto aus Macbeth in einiger Hinsicht; es ist ein Bruchstück aus einem größeren Satz, wo er noch mehr als hier den Eindruck eines wilden phantastischen Schattenspiels hinterlassen mag. Der Componist wünschte nicht, daß man die Musik für eine Unterlage des angeführten Mottos hielte; es ist umgekehrt, er fand erst später jene dem Sinne der Musik nahe kommenden Worte.

Would it be reasonable, then, to search for extramusical and/or biographical intentions in such *Macbethization* – e.g., respectively, the musical transfiguration of three members of the *Davidsbündler* and/or of a *ménage à trois* (whatever its actors) that would thrill the most gossipy among Schumann’s biographers?

Not at all. This “Beilage” witnesses without a shadow of a doubt that, contrary to appearances, by quoting Shakespeare’s *Macbeth* in English as an epigraph to his Intermezzo, Schumann did not mean to ‘pre-compositionally’ subordinate music to verbal language for imitation’s or representation’s sake, but, on the contrary, to purposefully provide ‘post-compositional’ “nahe kommenden Worte” to the music’s “Sinne” with at least three strategies in mind: firstly, he employed the logical and expressive potentialities of intermedial *poiesis* in line with his innovative “creative imperative” of “rethinking [...] music as literature”⁷²; secondly, he semiotically implied a creative jump over the border of a linguistic, cultural and (*lato sensu*) compositional intermediality conceived of in national and coeval terms, and announced his exploration of the compositional strategies of a chronologically and geographically wider European horizon; thirdly, he turned his *Macbeth*-Intermezzo into an intermedial homology of a Shakespearean “wild[es] phantastisch[es] Schattenspiel” and made it as old as the “Schattenbild” in *Macbeth* (V. v, 24), to quote the synonym used by A.W. Schlegel in a relevant passage of his celebrated translation⁷³.

The latter homology is not without compositional consequence, since Shakespeare is both Schumann’s theoretical and compositional source of ‘retro-inspiration’, and the make-it-old mediator who introduces his musical interlocutors to the innovations of his creative thought. In fact, the double theatrical triad made up by the three “weird sisters” (I. iii, 30) and the three atmospheric chronotopes of their future meetings (I. i, 2: “in thunder, lightning, or in rain”), mentioned in the original quotation in English from *Macbeth* (I. i, 1-2), is an apt Shakespearean approximation (“nahe kommenden Worte”) to the economical

⁷⁰ E. Restagno, *Le tentazioni della virtuosità*, Longanesi, Milano 1997, p. 47.

⁷¹ R. Schumann, *Zur Musik. Beilage. Heft II*, “Neue Zeitschrift für Musik”, 8, 1838, p. 164.

⁷² J. Daverio, *Robert Schumann*, p. 169.

⁷³ W. Shakespeare, *Shakspeare’s dramatische Werke: Macbeth*, A.W. Schlegel hrsg., G. Reimer, Berlin 1833, p. 344.

compositional logic of Schumann's Intermezzo, whose musical "Sinne" performs a Shakespearean "wild[es] phantastisch[es] Schattenspiel".

Such logic is immediately evident in the compositional strategy applied to the "shadow-play" enacted by its three tonal subsections based on three different, tonally related scalar sets: B1 in b minor ("framing" bars 91-114 and 185-215), B2 in B flat major (bars 115-150), and B3 in B major (bars 151-184). The subsection B2 is a very emblematic tonally structural "Schatten": if its tonic B flat is read enharmonically as A sharp, it can be interpreted not only micro-structurally as the sharpened viith degree of B1 and B3 in section B, but also macro-structurally as the same degree of the ephemeral and shadowy b-minor start of section A – which always acts as a transitional "Schatten" within section A (cf. bars 0-1, 30-31, 70-71, 216-217, 246-247) – and as the sharpened leading tone in the perfect cadence on the F-sharp dominant (bars 215-216) that marks the final return from section B to the b-minor re-start of section A. Thus, in the third *Novellette* op. 21, the shadowy background tonal connection between its two main sections, established by the elusive B2 subsection of its Intermezzo, is coherent with the "Schattenspiel" enacted by their Shakespearean tempo indications, analysed above from the cultural-musicological point of view, and, last but not least, with their metronomic indications, which show a destabilizing oscillation between acceleration and deceleration of the same basic pulse:

A: 2/4, quarter → B: 6/8, dotted-quarter → A: 2/4, quarter = 138

Schumann also performs an analogous compositional "Schattenspiel" in the transitional passages among the above mentioned three subsections, where the Intermezzo of his *Novellette* op. 21 develops through a linking procedure that may be defined as "compositional imbrication"⁷⁴, i.e., which employs compositional features literally or partially literally anticipated by the preceding subsection or echoed by the following one. Thus, the central bars 99-106 of B1 anticipate the left-hand tonic pedal and the right-hand syncopated chordal melody of B2; the bars 145-148 and the final 149-150 of B2, respectively, elaborate the initial 91-92 of B1 and anticipate the systematic writing in parallel-hand triplets of B3; the conclusive bars 180-183 of B3 propose a harmonically modified echo of the bars 145-148 from B2, before the literal return of B1 (185-204) and its cadential coda on the F-sharp dominant of b minor (205-215), which leads to the final transition from section B to the re-start of section A.

⁷⁴ "Compositional imbrication" echoes "tonal imbrication", which manifests itself when "past tonal areas and structural harmonies linger associatively in subsequent regions, even as those regions anticipate key areas and *Stufen* still to come" (P. Smith, *Associative Harmony, Tonal Pairing, and Middleground Structure in Schumann's Sonata Expositions: the Role of the Mediant in the First Movements of the Piano Quintet, Piano Quartet, and Rhenish Symphony*, in *Rethinking Schumann*, R. Kok – L. Tunbridge ed., Oxford University Press, Oxford 2011, p. 258).

5. Conclusion

Plantinga’s question, which has inaugurated this essay, was not wrong in itself when applied to Robert Schumann’s thought and work. It was its focus and stress on mere “musical craftsmanship” that was inadequate to deal with the holistic personality and transdisciplinary formation of an intellectual/composer who, already at twenty-one, had adopted the Romantic features of the self-centered and holistic “Naturalist”, mentioned in his letter⁷⁵ to Johann Nepomuk Hummel of August 20, 1831⁷⁶: “*als blinder Naturalist ging ich ohne Führung meinen Weg fort; Vorbilder konnt’ ich in einer kleinen Stadt nicht haben, in der vielleicht selber als eines galt*”⁷⁷.

When considered against this backdrop, Schumann’s *Novellette* op 21 n. 3 was not a retro-phenomenon *stricto sensu*, based on the cultural-musicological maxim “make it old” and compositionally inspired by the influence of retro forms and styles. Thanks to its Shakespearean humorous “Schattenspiel” and tragic “Schattenbild”, Schumann looked back intermedially to move forward, since “wer lesen kann, der hält sich nicht mehr bei dem Buchstabiren auf; *wer Shakespeare versteht, ist über den Robinson*⁷⁸ *hinüber*; kurz der Sonatenstyl von 1790 ist nicht der von 1840: die Ansprüche an Form und Inhalt sind überall gestiegen”⁷⁹. Thus, in 1838, he confirmed to belong to the community of those “Künstler, die nicht allein eines oder zwei Instrumente passabel spielen, sondern *ganze Menschen* [sind], die den Shakespeare und Jean Paul verstehen”⁸⁰. His actualization of the Bard in the *Novellette* op 21 n. 3 was clear evidence of compositional craftsmanship based on intermedial sensibility, intelligence, and competence, and may be interpreted as a direct

⁷⁵ R. Schumann, *Briefe. Neue Folge*, p. 30 (italics mine).

⁷⁶ Once again, translators and translations do not help understand the original meaning of Schumann’s words and turn out to be more a hindrance than a help in cultural-musicological research: for instance, the passage “als blinder Naturalist ging ich ohne Führung meinen Weg fort” is inadequately rendered by May Herbert as “I went on my way without guidance, a blind follower of Nature” (R. Schumann, *The Life of Robert Schumann told in his letters*, F.G. Jansen ed., Bentley and Son, London 1890, p. 34); by Hannah Bryant as “I was [...] left to follow my own instincts without guidance” (R. Schumann, *Letters of Robert Schumann*, K. Storck ed., John Murray, London 1907, p. 65); and – more recently, though not less mistakenly – by Francesco Bussi as “cieco, incolto naturalista: [...] senza guida e direzione” (A. Edler, *Robert Schumann*, Ricordi/LIM, San Giuliano Milanese 2016, p. 12).

⁷⁷ Cf., on Schumann “als blinder Naturalist”, E. Reggiani, “Blinder Naturalist [...] ohne Führung”: Schumann’s op. 127 n. 5, *Shakespeare, and the 19th-century “wanderer trope”*, in *Turismo musicale: storia, geografia, didattica / Musical Tourism: History, Geography and Didactics*, R. Cafiero – G. Lucarno – R.G. Rizzo – G. Onorato eds., Patron, Bologna 2020, pp. 91-102.

⁷⁸ Schumann may be thinking of Defoe’s *Robinson Crusoe* (cf. R.H. Schauffler, *Florestan: the life and work of Robert Schumann*, Holt, New York 1945, p. 13). Another and more acrobatic identification, though perhaps more relevant to the gist of Schumann’s words, may refer to Ralph Robinson (1520-1577) and to his *An English Grammar or, a plain Exposition of Lilies Grammar in English* (1641): “Robinson’s grammar was one of the most competent adaptations of Lily in the seventeenth century” (L. Mitchell, *Grammar Wars: Language as Cultural Battlefield in the 17th and 18th century England*, Routledge, London/New York 2001, p. 86).

⁷⁹ R. Schumann, *Neue Sonate für das Pianoforte*, “Neue Zeitschrift für Musik”, 14, 1841, p. 27.

⁸⁰ R. Schumann, *Briefe. Neue Folge*, p. 144.

and piqued answer to Plantinga's question, not unlike the one he gave "An den Candidaten J.N." in a letter dated 1851⁸¹:

Und sollten Ihnen meine Compositionen, namentlich die größeren, nicht hier und da beweisen, daß ich einige Bekanntschaften mit Meistern gepflogen habe? Bei diesen weiß ich und wußte ich mir immer Rath zu erholen, beim einfachen Gluck, beim complicirteren Händel, beim complicirtesten Bach! [...] Sollte Ihnen auch das nicht aus meiner Musik klar geworden sein, daß es mir noch um etwas anderes zu thun, als Kinder und Dilettanten zu amüsiren? [...] Als ob nicht jedes Kunstwerk einen anderen Gehalt haben müsse und mithin auch eine andere Gestalt! Also, ich gebe Ihnen Hrn. O. von Redwitz⁸² hundertmal hin für Jean Paul, und *Shakespeare ist mir noch lieber*".

⁸¹ *Ibid.*, p. 347 (italics mine).

⁸² Oskar Freiherr von Redwitz (1823-1891) was a German poet and professor of literature and aesthetics.

FACOLTÀ DI SCIENZE LINGUISTICHE E LETTERATURE STRANIERE
L'ANALISI LINGUISTICA E LETTERARIA

ANNO XXVIII - 3/2020

EDUCatt - Ente per il Diritto allo Studio Universitario dell'Università Cattolica
Largo Gemelli 1, 20123 Milano - tel. 02.72342235 - fax 02.80.53.215
e-mail: editoriale.dsu@educatt.it (produzione)
librario.dsu@educatt.it (distribuzione)
redazione.all@unicatt.it (Redazione della Rivista)
web: www.educatt.it/libri/all

ISSN 1122 - 1917



9 788893 357661