A Deleuzian and Guattarian Reading of Robert Schumann's Instrumental Variations

A DISSERTATION

SUBMITTED TO THE FACULTY OF MUSIC

UNIVERSITY OF MINNESOTA

BY

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IN PARTIAL FULFILLMENT OF THE REQUIREMENTS

FOR THE DEGREE OF

DOCTOR OF PHILOSOPHY (MUSIC THEORY)

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August, 2022

ἐξ ὧν δὲ ἡ γένεσίς ἐστί τοῖς οὖσι καὶ τὴν φθορὰν εἰς
ταῦτα γίνεσθαι κατὰ τὸ χρεών· διδόναι γὰρ αὐτὰ δίκην
καὶ τίσιν λλήλοις τῆς δικίας κατὰ τὴν τοῦ χρόνου τάξιν

"Whence things have their origination, thence must they also
perish, according to necessity; for they must pay retribution and
be judged for their injustices, according to the order of time."

(Anaximander)

Acknowledgements

Abstract

Robert Schumann's handling of the variation form—for which Brahms coined the term "fantasy variations"—bears witness to his idiosyncratic approach to the form's cyclical and recursive nature, a process via which the emphasis is not on the return of the same (the embellishment of the theme) but the generation of new materials and expressive states. This "digressive" variational trajectory is epitomized by a contrasting finale variation that stands as the affective antithesis to the opening theme, instead of, as typical in many Classical variation sets, restating the theme at the end as a recapitulation. Drawing on Gilles Deleuze's ontology of difference and transcendental empiricism, and his later works on territorialization and stratification in collaboration with Félix Guattari, Schumann's aesthetics of variations can be brought into relief through their philosophical lenses, which deem identities as emergent from, and contingent upon, a more fundamental field of empirical difference. When viewed along the same vein as Deleuze's personal take on Nietzsche's idea of eternal recurrence, variations as a cyclical process, is no longer considered as a return of the original theme (as an identity) but a reappearance of the entire field of difference that opens up to the immanent flows of the chaosmos, which is differentiated in each individuated variation as a singular event.

An overview of the existing scholarly literature on variations, Schumann, and Deleuze is offered in Part 1 (Chapter 1 to 4) of this dissertation. I will present two detailed analyses of two of Schumann's compositions in variation form—*Études symphoniques*, Op. 13 and Adagio and Variations, WoO 10—based on Deleuze's philosophical concepts and ontological perspective. With regard to the former (Part 2, Chapter 5 and 6), the piece is revealed to suggest a rhizomatic network of motivic interrelations that brings together the variations in the form of a constellation. Part 3 (Chapter 7 to 9) of my dissertation examines the interplay of different temporalities

within the second piece, giving rise to a rhizomatic time or what Deleuze calls a "crystal of time." The final chapter (Chapter 10) places Schumann's individual approach to variations in a broader context: how it offers a different conception of musical form (a "dispersive" process), as well as how it correlates with Romantic ideas of the fragment, the infinite, and sublime beauty in the writings of Jean Paul, Schlegel, and Novalis.

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Part 1

1810: Variations upon Variations

Chapter 1 Schumann and Variations

Eusebius entered the room, rather surreptitiously, a mysterious smile on his lips, one hand brandishing a pile of documents reminiscent of a musical score, announcing enthusiastically to the other two persons present in the room, Florestan and Julius, "Hats off, gentleman, a genius!"[1] The notes of the score reveal to them "eyes of flowers, basilisks, peacocks, maidens"[2]—a potpourri of images of imaginations and affects. The piece turns out to be Chopin's Variations on "Là ci darem la mano" (Op. 2), a theme drawn from Mozart's opera *Don Giovanni*; and the genius Eusebius has previously referred to turns out to be Chopin, a contemporary of Schumann, both born in the same year of 1810. This set of variations seems to portray several disjointed dramatic scenes within the opera, one variation portraying "two lovers [who] were chasing each other and laughing rather more than usual," while another bathed in "moonlight and fairy-magic"; the Adagio suggests the "moral admonition to the Don" in tandem with the "first amorous kiss" in the dreamy key of D♭ major (the chromatic upper third of B♭ major); the last variation, in the style of a mazurka, while not aligning with the opera's finale, is suggestive of "popping champagne corks and clinking glasses—with Leporello's voice intruding, and the vengeful, pursuing shades, and Don Giovanni in full flight![3]" With all of these images from Mozart's opera conjured up his mind, this is foreseeable that Florestan has a hard time sleeping: "Chopin's variations […] keep going through my head. Certainly, it's all dramatic, and it's all Chopin."[4]

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1. Robert Schumann, *Schumann on Music: A Selection from the Writings* (New York: Dover Publication), "An Opus 2."
2. *Ibid*.
3. *Ibid*.
4. *Ibid*.

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Schumann's first publication as a music critic is an essay framed in an imaginary *soirée* gathering involving Eusebius, Florestan, and Julius, published in the *Leipzig Allgemeine Musikalische Zeitung* in 1831, three years before he founded his own journal *Neue Zeitschrift* für *Musik*. This essay testifies to Schumann's admiration of the music of Chopin, with whom Schumann later had several occasions to meet personally (the two contemporaries even had a mutual dedication of their compositions: Schumann dedicated to Chopin his *Kreisleriana*, Op. 16, the latter returning the favor by dedicating his Ballade No. 2, Op. 38, to Schumann). Schumann's enthusiasm for this particular variation set by Chopin is palpable from his words: besides attaching imaginary scenes to individual variations, Schumann proceeds to analyze the work in detail, sometimes measure by measure. This manner of music criticism, in combining detailed musical analysis with extra-musical associations and poetic imagery, continues to characterize his later journalistic writings, most notably his renowned essay on Berlioz's *Symphonie fantastique*. As Schumann's first publication in music criticism, this variation by Chopin must have resonated with certain of his aesthetic predilections, especially with respect to the succession of poetic images that the individual variations evoke, and the dramatic potentiality of music to be suggested by the repetition-based process of theme-and-variations.

Schumann had various encounters with the genre of variations earlier in his life as a pianist. According to Schwarz, in his teenage years of 1821–28, Schumann played four-hand variations by Pleyel, Leutzsche's variations on "Liebes Mädchen, hör mir zu," Cramer's Introduction and Variations, Ries's Fantasy, Op. 92 no. 2, and Variations on "Bekränzt mit Laub," Keller von Payer's Variations on a Polonaise, Weber's *Aufforderung zum Tanz*, Moscheles's Variations for piano with violin and cello, Kalkbrenner's Concerto in D major Op. 62, and Herz's Variations on "Ich war

ein Jüngling."[5] In 1828 Schumann attempted to compose a variation on a theme from Ferdinand's Piano Quintet in C minor, which was presumably Schumann's first work in the genre of variations. During his study at the University of Leipzig in 1828 and later at Heidelberg in 1829, Schumann familiarized himself with works by Schubert, such as his variations, four-hand piano works, and various chamber pieces (notably his piano trios). Aspiring to be a virtuoso pianist, Schumann was well acquainted with Moscheles's Variations on *La Marche d'Alexandre*, Op. 32, which became one of his showpieces in public performance[6] (Schumann performed this piece in Heidelberg on 24 January 1830).[7] It is likely that his familiarity with both Moscheles's and Chopin's variations became the impetus for the genesis for his first published work, Variations on the name "Abegg," composed in Heidelberg during the winter of 1829–30.[8] This variation was originally conceived for piano and orchestra ("*Variationen über Abegg, eigentlich für Orchester*"),[9] the same instrumental combination as Moscheles's Alexander Variations and Chopin's *Don Giovanni* Variations (Schumann even adopts the same key as Moscheles's—both in F major). The original version, similar to the two former works, also bears a thematically unrelated introduction that leads up to the presentation of the main theme.[10] Schumann rewrote the variations for solo piano and later published by Kistner in 1831 under the title "*Theme sur le nom Abegg varie pour le pianoforte*, op. I," which in its final form comprises only half of the variations that Schumann had previously produced.[11] The

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5. Schwarz, "*Robert Schumann und die Variation mit Besonderer Berücksichtigung der Klavierwerke*," in Acta musicologica 5/4 (1933), 12.

6. Schwarz, "*Robert Schumann und die Variation*," 13.

7. Henle Verlag Edition, Vol. 1, "Preface," XIV.

8. Henle Verlag Edition, Vol. 1, "Preface," XIV.

9. Robert Dale, "The Piano Music," in *Schumann: A Symposium*, ed. Gerald Abraham (Westport, Conn.: Greenwood Press), 19.

10. Henle Verlag Edition, Vol. 1, "Preface," XIV.

11. Dale, "The Piano Music," 19.

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Abegg variation has certain innovative characteristics that set this piece apart from its two predecessors; for example, the theme itself is already a variation upon the five-note motif, A-B-E-G-G, a musical representation of the last name of *Pauline Comtesse d'Abegg*, whose actual identity remains a mystery (some believes that the name refers to Meta Abegg, a young lady from Mannheim,[12] and, according to Schwarz, Schumann met her in a ball).[13] This motif is repeated in different transpositions and, in the second half of the theme, set in retrograde, a technique not unlike the manipulation of tone rows by the Second Viennese School. This musical cipher of the Comtesse's last name acts as an impetus for the subsequent generation of musical materials, and, according to Daverio, Schuman extracts a segment of the cipher (A-B♭) for recombination rather than reiterating in its entirety the five-note "Abegg" motif in later variations. Even though most of the subsequent variations follow the same harmonic framework outlined in the opening theme, this manner of motivic manipulation and fragmentation plays a prominent role in Schumann's approach to the variation genre. Another distinguishing feature of this work is the oft-commented thematic presentation in the form of an absence, an uncanny event happening towards the end of the finale over the prolonged dominant. Here the motif is presented not by attacks but by the releases of the respective keys, prompting Dahlhaus to name this a "Romantic paradox" by means of "a sonority that is not only unrealizable but unimaginable"[14] (perhaps we can hear the motif again if the passage is played backward in time through memory). In contrast with the conventional

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12. Henle Verlag Edition, Vol. 1, "Preface," XV.

13. Schwarz, *Robert Schumann und die Variation*, 13; "das Urbild dieser „Comtesse" ist die Verehrte eines seiner Freunde, Fräulein Meta Abegg, die am 16. April 1810 geborent Tochter eines Kaufmanns und Stadtrates zu Elbing, der in den 20er Jahren nach Mannheim bergesiedelt war, wo Schumann sie auf einem Balle kennengelernt hat."

14. "It is an essentially Romantic paradox that the primacy of sound in Romantic music should be accompanied, and even announced, by a sonority that is not only unrealizable but unimaginable." Dahlhaus, *The Romantic Generation*, 11.

practice of bringing back the main theme at the end of a variation cycle as a way to "wrap things around,"[15] Schumann's treatment here renders the motif from its initial being as a presence into an absence, as if it is lost in the midst of time, itself completely imperceivable in sound by only through imagination, which is "not only unplayable as conceived but unimaginable."[16] What takes the place of a thematic return is a fantasia ("Finale alla Fantasia") that spins out brilliant and virtuosic passages from the closing gesture, whose melodic materials are borrowed heavily from the first variation. Evident already in Schumann's first published variation set is a formal *becoming* within the process of variation, such that the opening theme (or motif) gets drastically transformed and even obliterated into a state of complete absence. Dale points out two elements that become emblematic of his later compositional style, namely the "frequent cross-rhythms, syncopations, and irregular accentuations," as well as the "employment of musical letters as the nucleus of the theme."[17] The virtuosic figurations and complex pianistic texture pervading the entire variations also prefigure his later compositions that combine the procedure of variations with the genre of piano etudes.

His next work in the genre of a variation set, *Impromptus sur une Romance de Clara Wieck*, Op. 3, shows substantial traces of Bach and Beethoven, the two composers whom Schumann held high regard. Schumann was particularly obsessed with the music of Bach at the time of the composition of the *Impromptu*, on whom he wrote: "Most of the time I busied myself with Bach; such was the inspiration for the Impromptus op. 5, which may rather be regarded as a new form of variations."[18] The influence of Bach

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15. Charles Rosen, *The Romantic Generation* (Cambridge, Mass.: Harvard University Press), 11.

16. Rosen, *The Romantic Generation*, 10.

17. Dale, "The Piano Music," 21.

18. Henle Verlag Edition, Vol. 1, "Preface," XVIII. Also quoted in Becker, "A New Look at Schumann's Impromptu" ("Die meiste Zeit fast [from 1831–34] eschäftigte ich mich mit Bach; aus solcher Anregung entstanden die Impromptus op. 5."), 568.

not only manifests itself in the contrapuntal arrangement of the opening bass motif in the form of a fugue, but is also testified by an implicit quotation of the B-A-C-H motif within the fugal texture in the original orchestral sketch of a similar passage from his unfinished G-minor Symphony.[19] The employment of contrapuntal passages within a variation set is likewise an outcome of his private study with Heinrich Dorn during 1831–32, and "Schumann had been avidly dissecting fugues from the *Well-Tempered Clavier* and composing fugues of his own, as well as experimenting with and tabulating potential fugue subjects."[20] Besides Bach, this work also bears witness to an attempt to imitate Beethoven's Eroica Variations, Op. 35, which, concerning its formal design, is cast in what is sometimes called a "double variation" or a variation with two themes, both alternatively appear in subsequent variations—a melodic line that can be harmonized by an ostinato bass line. Similar to the model by Beethoven, Schumann announces the bass theme at the forefront, unadorned by the left hand itself, where the melodic theme, a theme borrowed from Clara Wieck's *Romance variée,* Op. 3, enters afterward and superimposes in harmony over the stately bass line, as if the two themes suddenly come into a realization that they are destined to couple with one another. As discovered by Becker, the theme is not originated from Wieck herself, but was previously composed by Schumann at first, as evident in a fragment of the theme written down in his journal (*Tagebuch* 5). In Becker's speculation, Schumann "gave the brief idea to the young Clara, who extended and developed it into her 'Romanza.'"[21] Through a circuitous exchange of ideas, Schumann's original idea cycles back into his own hands via Wieck's variations, ultimately becoming the melodic theme of his *Impromptu*. The bass theme, on the other

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19. Claudia Stevens Becker, "A New Look at Schumann's Impromptu," in *The Musical Quarterly* LXVII (1981), 576.

20. Becker, "A New Look at Schumann's Impromptu," 574.

21. Becker, "A New Look at Schumann's Impromptu," 571.

hand, has a different origin, an idea that emerges out of his mind after he kisses a "Dutch girl," as described by himself in his *Leipziger Lebensbuch*:

> This evening I dashed through six Bach Fugues with Clara Wieck at sight with four hands. I gave the Dutch girl a gentle, sweet kiss, and when I came home around nine o'clock I sat down at the piano and it was as though virtual flowers and gods issued from my fingers, the idea poured forth so. That was the idea CF.GC.[22]

This leaping motto is then elaborated into a sketch for the unfinished fourth movement of his Symphony in G minor, scored initially as a keyboard sketch to be arranged for an orchestra. Schumann later gave up finishing the symphony in its four-movement format. Upon noticing that the C-F-G-C motif can be combined with the melodic line from Clara's *Romance*, Schumann proceeds to combine the two themes, a bass theme that begins and ends with the same C-F-G-C motif, and a melodic theme that is drawn, with slight modification, from Clara's variations. He was then able to recycle the entire fugal passage into the finale of the *Impromptu*. As a result, Clara's melodic theme is nowhere to be found in much of the finale except at the very end, where it is restated but fragmented without a conclusive closure, as if she reappears as an ephemeral reminiscence that is gradually fading away. This poetic (and rather idiosyncratic) ending of the *Impromptu* in its first edition seemed too bizarre when Schumann engaged in the work's revision in 1850, where he substitutes for this "incomplete" ending a more "proper" and conclusive closure to Clara's theme. Schumann's struggle with writing a proper ending reflects the issue of balancing the two themes within the variation process,

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22. "Abends riss ich mit Clara [Wieck] sechs Bacchische [*sic*] Fugen ab, vierhändig a vista prima. Der Holländischen Maid gab ich einen leisen, schönen Kuss u. als ich nach Haus kam gegen neun Uhr, setzt' ich mich an's Klavier u. mir war's, als kämen lauter Blumen u. Götter aus den Fingern hervor, so strömte der Gedanke auch fort. Das war der Gedanke CF.GC." Quoted in Becker, "A New Look at Schumann's Impromptu," 573.

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one of which (Schumann's bass ostinato) is foreground while the other (Clara's melodic line) recedes to the background as the piece proceeds from one variation to the next. The employment of two themes within one variation set, albeit not entirely Schumann's own invention, as both Haydn and Beethoven had composed their double variations in a similar manner, may be what prompted Schumann to proclaim he had found a "new form of variations" in the *Impromptu*.

Schumann saw a certain stylistic affinity between the form of variation and the genre of études, the latter featuring passages based upon a set of figurations as a virtuosic embroidery to the underlying harmonic background. For Schumann, an etude "must develop technique or lead to the mastery of some particular difficulty."[23] He attended a concert by Paganini in Frankfurt am Main on 11 April 1830, and the Italian violinist left a lasting impression upon the aspiring young pianist, as recounted in his diary: "Paganini in the evening—doubts about the ideal in art and his lack of grand, noble, priestly artistic repose […] tremendous delight—me in the loge […] Happily to bed and gently to sleep."[24] Schumann painted a macabre image of Paganini in his later recollection: "a picture that made a shocking impression—Paganini in a magic circle—the murdered wife—dancing skeletons and a train of dim, mesmerizing spirits."[25] Schumann was particularly enchanted by Paganini's Caprice, Op. 1, a set of virtuosic showpieces that stretch the limit of the instrument's performative capability, which "kindle the driest formulaic exercises into the language of Pythias" and embody "the ideal of technical accomplishment and expressiveness."[26] The result is two sets of variations for solo piano based on various pieces from the Caprice, *Études pour le pianoforte d'apres les*

23. John Daverio, *Robert Schumann: Herald of a New Poetic Age* (New York: Oxford University Press, 1997), 142.
24. Henle Verlag Edition, Vol. 1, "Preface," XVI.
25. Daverio, *Robert Schumann*, 94.
26. Henle Verlag Edition, Vol. 1, "Preface," XVI.

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Caprices de Paganini, Op. 3, published in 1832, and *VI Études de Concert . . . d'apres des Caprices de Paganini*, Op. 10, published three years later (1835). These twelve studies are the piano adaptation of a selective subset of the twenty-four violin pieces by Paganini, the first sets are based on *Caprice* Nos. 5, 9, 11, 13, 19, and 16 while the second on *Caprice* Nos. 12, 6, 10, 4, 2, and 3. The transcription of the violin pieces into a different medium provides opportunities for the young composer to experiment with a wide range of piano techniques and figurations with a pre-existing harmonic and melodic framework. The focus on technical display in these studies is evident in the introduction to the first set, which features rapid wide-sweeping arpeggios up and down the keyboard that projects rather blatantly the opening A-minor tonic triad. (Dale noted that the second set is preceded by an introduction that is more of a "highly imaginative and perceptive essay,"[27] yet I cannot locate this introduction passage from the score.) Instead of aiming at accurately reproducing the sonority of the original piece by Paganini, Dale suggests that Schumann approached the individual violin pieces rather flexibly and with much artistic license, "scanning the given material for the principal points of interest and then upon enhancing them without restriction.[28]" She noticed that in certain pieces in Op. 10 set, "Schumann did allow himself a little latitude occasionally in revising Paganini's formal structure."[29] This "latitude" manifests itself in the form of certain omissions or extensions of certain passages "in order to secure greater unity and a more logical balance."[30] The publisher's announcement of the second set (Op. 10) also emphasized the artistic freedom in the supposedly literal adoption: the composer "has taken a very free, independent direction in these caprices, in that he—always keeping his eye on the depth and poetry of

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27. Dale, "The Piano Music," 29.
28. Dale, "The Piano Music," 29.
29. Dale, "The Piano Music," 29.
30. Dale, "The Piano Music," 30.

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Paganini—has formed the skeleton into a more beautiful body that completely eschews the violin part." An ironic turn of fate happened shortly after the first set of the Paganini études (Op. 3) was accepted to be published by Hofmeister (via the help of Friederich Wieck), a composition that establishes the composer's foothold in combining virtuosity and expressivity, that Schumann discovered that his middle finger has gone completely rigid and immobile ("Third finger completely rigid"[31]), perhaps from his over-practicing with the aid of the *Chiroplast* contraption invented by Johann Bernard Logier[32], hence cutting short his intended career as a virtuoso performer. The two sets of Paganini Études (Op. 3 and Op. 10) differ informal design as compared with the "Abegg" variation or the Impromptu, inasmuch as the former are variations on separate pieces from Paganini's Caprice in the form of adaptation, whereas the latter is in the traditional sense of a variation form—a series of variations based on the opening theme(s) as its origin of genesis. We can say that it is the variation *process* that provides the means by which the études are composed, without adhering to the conventional variation *form* for its overall structuring. (The organization of the six études within each set—whether they consist in a serial connection or simply a mixture of pieces—is debatable, as I have yet encountered any discussion on this aspect of the works in the existing literature.) The Paganini Études represent a different manner of composing variations, one that is likened to paraphrasing an existing piece of music. Rather than developing musical materials, these pieces provide ample opportunities for Schumann to experiment with composing pieces with technically demanding passagework and figurations.

Apart from studies of the two Paganini Études, Schumann also composed three collections of variations on the opening theme from the slow (second) movement of

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31. Henle Verlag Edition, Vol. 1, "Preface," XVII.

32. Perrey, "Schumann's lives, and afterlives: an introduction," from *The Cambridge Companion to Schumann*, ed. Beate Julia Perrey (Cambridge: Cambridge University Press), 11.

Beethoven's Symphony No. 7. Schumann originally intended to publish the third set

of seven variations, which bears the title "*Exercices*" in the manuscript, completed

around the same time as his *Études symphoniques*, Op. 13 (Anh. F39).[33] Two preliminary

versions of the Beethoven studies exist prior to the fair copy. The first version, consisting

of eleven variations, appears in his *Skizzenbuch* IV, which bears the title "*Etuden in*

Formfreier Variationen über *ein Beethoven'sches Thema*." The second version shows a

higher degree of correspondence to the fair copy, entitled "*Etudes basées sur un Theme*

de Beethoven / composées pour le Pfte /et dediées à mon amie Clara Wieck." These two

earlier versions contribute to the fair-copy version that was intended for publication, yet,

for reasons unknown, Schumann abandoned this set of variations and never returned to

it later in his life (Schumann commented years later that he found these studies to be an

"ungrateful idea"[34]). Snippets from Beethoven's other works were embedded within the

studies, such as the second movement of Beethoven's Symphony No. 7 and the opening

gesture of Symphony No. 9.[35] These Beethoven studies are more in the style of the two

sets of Paganini Études than in his earlier variation cycles, for they, instead of inventing

or generating new musical materials in each subsequent variation, mostly elaborate over

the harmonic and melodic framework of the theme with extravagant passageworks and

demanding figurations.[36] Yet it is hard not to notice that the pathos of Beethoven's theme,

which is in the style of a funeral march, shares a certain affective affinity with the Baron's

theme in his *Études symphoniques*.

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33. Henle Verlag Edition, Vol. 6, "Preface," XXII.

34. Daverio, *Robert Schumann*, 98.

35. Henle Verlag Edition, Vol. 6, "Preface," XXII.

36.   Dale, "The Piano Music," 23. Dale proposes a similar viewpoint that "Schumann was more interested in resolving the thematic material into a type of decorative texture suitable for pianoforte studies than he was in using it as a basis for the development of fresh musical ideas as was his wont in earlier sets of variations."

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Schumann's relatively flexible approach to variations (Brahms's even deemed it as "fantasy-variation"), as evident in his "Abegg" variations and his *Impromptu*, is fused with the technical prowess of the piano, as in his previous Paganini études and the Beethoven studies, emerging as one of his major accomplishments in the genre of variations: *Études symphoniques*, Op. 13. The theme of this set of variations is an original melody for flute composed by Baron Ignaz Ferdinand von Fricken, the father of his secretly engaged Ernestine von Fricken, for whom Schumann also composed the *Carnaval* (Op. 9) using the four letters of her birthplace A-S-C-H as the opening motif of the character pieces. The Baron sent the theme with several variations, scored for flute (most likely) with piano accompaniment, to Schumann in hope of soliciting his opinion about his own composition. After writing back to the Baron, expressing his view that his variations were too similar to the opening theme in terms of style, Schumann, probably as a means to demonstrate his compositional skills in writing variations as well as to return the favor to the Baron for entrusting his daughter to him, composed his own set of variations that combines the technical demands of piano etudes with the formal structure of a variation cycle. In the earliest surviving autograph, known as the Berlin sketch, the individual pieces within the work are titled "variations" rather than "études" as in the first published version[37], suggesting that the entire work was intended to remain closer in conception to the variations (similar to the "Abegg" variations or the *Impromptu*) than the loose assemblage of pieces in the Paganini Etudes. In a letter to Haslinger, Schumann called this work the "*Davidsbund Etudes*" and then "*Etuden im Orchester Character, von Florestail und Eusebius*[38]," probably a companion to the *Davidsbundertänze* composed around the same time. From this title, we can speculate that Schumann probably intended the individual variations to be arranged as "an alternation of Florestinian and Eusebian

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37. Henle Verlag Edition, Vol. 3, "Preface," XI.
38. Dale, "The Piano Music," 25.

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variations.[39]" The Eusebian variations, as already composed in the Berlin sketch, was

later abandoned in the subsequent reworking of the pieces (the first edition of the piece

contains only one slow variation alongside other eleven virtuosic ones). One reason

for the removal of the Eusebian variations from the first sketch may come at a later

decision of Schumann to transform this work into a series of etudes, and the slow and

subdued variations seem less fitting to incorporate brilliant passagework in the style

of pianistic studies. This generic shift from simply a variation cycle into a hybrid of

etudes and variations may be a result of Schumann's meeting with Chopin in September

1835 and September 1836,[40] a time when Chopin had already published his first set of

Études (Op. 10) in 1833 (it may be more than a coincidence that both Chopin's and

Schumann's works contain twelve etudes). Certain variations from the first sketch are

abandoned, and new etudes were composed in the Vienna manuscript in a style more

appropriate for virtuosic display. Schumann wrote in 1836: "Composed etudes with great

pleasure and excitement. Spent the entire day at the piano."[41] The title for each variation

was then changed to "etudes" in the engraver's copy to the first edition (published by

Haslinger). Different from the set of etudes by Chopin, in which each piece can be

played independently, the twelve etudes in the *Symphonic Etudes* are more interwoven

with one another (certain variations, such as No. 4 and 5, succeed one another without

pause) and suggest a more unified design with a continuous trajectory linking all twelve

variations. One can readily observe this large-scale formal design from the last variation

(the last variation from the Berlin sketch is also titled "Finale," an incomplete fragment

that later became the first variation in the published version). Schumann conceived this

finale to be structurally and expressively substantial with respect to the entire work,

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39. Daverio, *Robert Schumann,* 142.
40. Henle Verlag Edition Vol. 3, "Preface," XI.
41. Henle Verlag Edition Vol. 3, "Preface," XII.

as he encountered difficulty in composing something stylistically different as a formal marker for the end of the cycle: "I'm still stuck in the finale of my variations. I'd like to elevate the funeral march bit by bit into a triumphal march and, moreover, instill some dramatic interest, but I can't escape the minor mode; and in the act of creation, an 'intention' often causes one to stumble and become too material.[42]" The theme in the Berlin sketch was given the label "Terna quasi marcia funebre," a resemblance to the theme from Beethoven's Symphony No. 7 on which Schumann had already composed a set of variations. Schumann's intention to compose the last variation (i.e., the finale) to be something stylistically and topically marked may suggest that all twelve etudes should be conceived of as a whole, with a clear sense of formal beginning and ending, rather than an assemblage of bravura pieces as in the case of Chopin's. Daverio also claims that the entire piece is set in a "symmetrical structure" centering around the sixth etude[43], a variation that closely resembles the opening theme like a medial recapitulation. Other variations display various degrees of departure from the melodic and harmonic framework of the theme, some of which are even termed by Brahms "fantasy variations" owing to their loose relationship with the structural model of the theme (Daverio identifies four etudes as representative of the fantasy variations—Etudes 3, 5, 7, and 9 from the first edition).[44] Even though there exists a sense of formal unity bringing together the twelve etudes, performance of selected pieces from the set was still a common practice in concerts (Clara Wieck in her recital at Leipzig in 1837 selected three pieces out of the twelve for public performance[45]).

While the Impromptu was completed in just a few days, the *Études symphoniques*

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42. Henle Verlag Edition, Vol. 3, "Preface," XI.

43. Daverio, *Robert Schumann*, 142.

44. Daverio, *Robert Schumann*, 143.

45. Henle Verlag Edition, Vol. 3, "Preface," XII.

underwent several revisions before Schumann produced the fair copy for engraving. The original intended dedication of the piece to the mother of Ernestine von Fricken ("Madame la Baronne de Fricken née Comtesse de Zedtwitz") was changed to William Sterndale Bennett, an English pianist who studied at the Leipzig Conservatory in in 1836–1837.[46] In 1850 after acquiring the copyright from the original publisher, Schumann revised the work for the second edition with the remark "Edition nouvelle revue par l'Auteur." In this revised edition, two etudes (Nos. 3 and 9) from the first edition were removed and the finale was revised to weed out certain passages deemed extraneous (the first return of the rondo refrain, in particular, was cut short). The title of the work was also changed to "Études en forme de Variations," removing the word "symphoniques" and bringing into relief the formal significance of the variational design of the piece. Another edition of the work was published in 1862 with the two etudes (Nos. 3 and 9) reinstated into the revised (1850) edition. The abandoned variations from the Berlin sketch were later published by Brahms in the Supplementary Volume of Schumann's Complete Works in 1893, all of which share the "Eusebian" character that originally made up the "Davidsbund Etudes" in Schumann's first conception of the work. The *Études symphoniques* represent Schumann's unique undertaking in reconciling the technical display of etudes with the formal process of variations, a feat that bears witness to Schumann's innovative take on preexisting musical forms and generic conventions, a characteristic in his compositional aesthetic that persists throughout his entire career.

Besides the hybridization of combining variations with etudes, Schumann also brought together the reiterative tendency of the variations with the generic norm of the four-movement sonata—in the slow movement of the Piano Sonata in F minor, Op. 14, where its opening brooding theme bears the title "Andantino de Clara Wieck." This

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46. Ibid., XII.

sonata exists in two versions, one published in 1836 titled "Concert sans Orchestre," and the other in 1853 under the titled "Grande Sonate." This theme gives rise not only to the four variations to follow, but also gives birth to the primary motivic materials across the other three movements of the sonata: the first movement is based on the descending-fifth motif from the Andantino theme and the fourth variation with its characteristic upward leap of a minor ninth followed by a descending line, which is picked up and expanded in the scherzo (second) movement; the fourth movement is based upon the second half of the second variation, which is an elaboration of the second half of the Andantino theme, a transitional passage that steers the theme away from the gravity of the tonic to an open-ended half cadence (m. 24). In a nutshell, the entire sonata seems to be born out of the Andantino theme of the Clara motto, which is then burgeoned in the form of its subsequent four variations that make up the third movement, the motivic content of which are tightly interwoven with the other three movements of the sonata. The sonata is rather like a variation of the Andantino theme—a two-dimensional variation structure from the outset; and the third movement not only reflects upon (retrospectively) the first two movements, as if a reminiscent of a tune from a distant past, but also prepares for and launches itself (prospectively) into the last movement—a "temporal fusion"[47] in the moment of the Andantino. It is obvious that Clara Wieck stands as the source as well as the main idea behind all four movements, for he writes to her: "I wrote a concerto for you— and if this does not make clear my love for you, this one sole cry of the heart for you in which, incidentally, you did not even realise how many guises your theme assumed (forgive me, it is the composer speaking)—truly you have much to make up for and will have to love me even more in the future!"[48] This work was composed during a

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47. For discussion on the idea of temporal fusion in Mahler's symphonic works, see Richard Kaplan, "Temporal Fusion and Climax in the Symphonies of Mahler," in *The Journal of Musicology* 14/2 (1996), 213–32.

48. Henle Verlag Edition, Vol. 3, "Preface," XIII.

time when Schumann, after the breakup with Ernestine, developed an affection towards Clara, yet the couple endured an enforced separation from her father in 1836. Compared with his earlier works in variation form, this sonata centers around an extra-musical idea that is closely intertwined with the composer's personal life. If we consider the entire work as a series of variations upon this idea of Clara, then the most overt presentation of it does not manifest itself until the third movement, featuring a descending-fifth motif probably derived from "Notturno" from her *Soirees musicales,* Op. 6, which is originally scored in F major and how transposed into the tragic mood of F minor. The virtuosic display that undergirds much of Schumann's piano works, the Paganini Etudes in particular, is not completely absent in this sonata, as the title "Concert sans Orchestre" attests, which seems to pay tribute to Clara as a technically proficient concert pianist. The miniature scale of this movement notwithstanding (two variations were removed from the original manuscript), it stands as a testimony to Schumann's experimenting with generic fusion, here bringing together variations with the genre of a keyboard sonata, as well as his idiosyncratic approach of placing the main idea—Clara's theme—in the middle movement of the sonata, a temporal interplay that may have been influenced by Schubert's "Wanderer" fantasy, where the melody only emerges in full in the second movement.

Besides the above-mentioned works or movements that have explicit reference to the genre of variations, the process of variation, often in the manner of interrelated motivic correspondences, plays a substantial role in other pieces by Schumann that do not indicate an overt connection with variations. This is the case with *Papillons*, Op. 2, the first sketch of which, according to Dale, was labeled "Variationen."[49] His later set of character pieces, *Carnaval* Op. 9, is organized around the two permutations of four

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49. Dale, "The Piano Music," 33.

pitches (A-S-C-H), labeled as the "sphinx" in the middle of the score, that begins every

but two of the individual pieces. Hence we may consider the *Carnaval* as a variation

upon the four-note motif rather than a full-fledged theme. Reti points out the myriad

motivic interrelations in Schumann's *Kinderszenen*, Op. 15, and Eigeldinger even

suggests that this set of character pieces is in the form of a variation cycle[50]. Schumann

also composed variations upon various themes but left incomplete; these include the four

unfinished variations, with an orchestral introduction, upon the theme of the Rondeau à la

clochette from Paganini's B minor Concerto; Variations on an Original Theme, Andante

in G; Variations on Schubert's *Sehnsuchtswalzer*; and three variations on Chopin's

Nocturne in G minor, Op. 15, No. 3 (1834-5)[51]—all of these incomplete set of variations

were composed before 1835. His obsession with writing variations at that time might be

attributed to the rising popularity of salon variations that rose in number from the 1790s

and lasted till much of the early nineteenth century. This rising popularity of variations,

according to Sisman, gave birth to an "explosion of independent sets of variations"[52] that

were tailor-made for private entertainment in homes and salons. It remains speculation

as to the reason behind Schuman's intent in composing variations early in his career, but

it is obvious that variation, and his idiosyncratic innovation on this musical form, leave a

significant trace in his compositional style. Summing up cogently by Dale:

> How Schumann treated variation-form is historically of some moment. How
> his preoccupation with the writing of variations influenced his whole art of
> composition is a matter which is of sufficient interest to stimulate investigation,
> and which must form an essential prelude to the study of his style as a composer

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50. Jean-Jacques Eigeldinger, "Kinderszenen Op. 15 de Schumann: Entre variations et cycle," in
     Musurgia 1/1 (1994), 53–65.

51. Schwarz, *Robert Schumann und die Variation*, 12.

52. Sisman, *Haydn and the Classical Variation* (Cambridge, Mass.: Harvard University Press,
     1993), 77.

of piano music. […] The conception of variation in its widest sense, however, exerted a powerful influence upon his imagination, conditioning his use of musical material and even becoming a habit of mind.[53]

Schumann's last composition, commonly known as "*Geistervariationen*" and titled "*Thema mit Variationen für das Pianoforte,*" (Anh. F39) dedicated to Clara Wieck, is a set of five variations on the theme, which, as the composer claimed, was sung to him during his sleep by angels. Composed in February 1854, this piece was composed when Schumann claimed he was surrounded by ghosts and hearing voices from both angels and demons, who promised him "the most magnificent revelations" as well as to "cast him into Hell."[54] The theme, as Schumann claimed, was offered to him by the angelic voices coming from Schubert and Mendelssohn, which he wrote down promptly. According to Chernaik, this theme may have been originated from Schumann's earlier works, for it shows a certain resemblance to the slow movement of his Violin Concerto,[55] while Tunbridge notices certain traces of similarity exist between this theme and the middle section of "Vogel als Prophet" from his *Waldszenen*, Op. 82.[56] Schumann began composing the variations on a single leaf of paper, but was interrupted by the incident of his suicide attempt: according to Rupert Becker's account, Schumann "snuck out of his bedroom at two in the afternoon (wearing felt slippers) and headed straight for the Rhine, jumping into the river from the middle of the bridge!"[57] He was rescued by several fishermen along the river, and eight of them escorted him back to his house; on the next

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53. Dale, "The Piano Music," 12–13.

54. Henle Verlag Edition, Vol. 6, "Preface," XXIII.

55. Judith Chernaik, *Schumann: The Faces and the Masks* (London, UK: Faber and Faber, 2018), 279.

56. Tunbridge, "Piano works II: afterimages" in *The Cambridge Companion to Schumann*, ed. Beate Julia Perrey (Cambridge: Cambridge University Press, 2007), 99.

57. Daverio, *Robert Schumann,* 548.

day, he continued working on the variations and sent the finished manuscript to Clara, to whom the piece was dedicated. This autograph was later kept by Clara Schumann, who was reluctant to get it published and "jealously guarded the manuscripts of this piece […] as if they were sacred relics."[58] This piece eventually got published in 1939 after her death. The solemn chorale-like theme, as suggested by Tunbridge, "no longer predicts the future, but is a reminder of the past," and the five variations thereafter seem to offer a way to relive that past in various shades and hues. As a piece composed during his mental breakdown, this set of variations nevertheless bears witness to Schumann's masterful handling of intricate contrapuntal texture (Variation 2) and innovative pianistic sonority (Variation 5). The variation form in this work, rather than as a vehicle for incorporating virtuosic figurations in the style of etudes, becomes more of a process of rumination, by which the "angelic" theme is reflected and meditated upon. In addition, all of the five variations recall the theme in its entirety with minimal incidental alterations: embellishment with the addition of voices (Variation 1), in the style of canonic imitation (Variation 2), thematic migration into the bass (Variation 3), or transposition up a third into G minor (Variation 4). Rather than treating the variation process as a means to generate new materials, where it ultimately attains culmination in the finale, this late work of Schumann constantly looks back upon the theme, as if trying hard to hold fast to this fading memory for fear of it vanishing forever. Pervading throughout this variation is a pervasive mood of retrospection and nostalgia, and it may be more than mere coincidence that Schumann returned to the form of variation in his last work, the form that shapes his very first publication (the "Abegg" Variations) and plays a substantial role in his entire compositional career.

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58. Henle Verlag Edition, Vol. 6, "Preface," XXIII.

Chapter 2 Analytic Approaches to Variations

Variations, as a musical form, defies traditional modes of analysis, which typically seek to reveal the underlying coherence of a musical work. The emphasis on unity based upon the aesthetic ideal of organicism undergirds many aspects of our traditional means of analysis, which compels Joseph Kerman to claim that "analysis exists for the purpose of demonstrating organicism, and organicism exists for the purpose of validating a certain body of works of art."[1] Variations seem to be located at the fringe of music-theoretical and systematized analytical systems, for its manner of composition—as an assemblage of various transformations of the theme—resists any totalizing synthesis that seeks to impose an order or an organic unity that ties together all the individual variations. We can even say that the *being* of variations is a paradox—it is both a *unity* and a *multiplicity*. Any piece titled "variations" is paradoxical inasmuch as it implies both a *plurality* with respect to its constituent components and a *singularity* in terms of the concept of a musical work. The same dilemma occurs when one asks the question, "What *is* a set of variations?" or "What *are* variations?"—the first question emphasizes the way that the assemblage of variations congeal and form a single piece of work, whereas the second concerns with each variation as a different instantiation of the theme. If variations still participate in the organicist thinking in the sense that the main theme functions like a seed that "germinates" into subsequent variations, this organicism differs from the conventional conception in that a piece in variation form does not presuppose a fixed and predetermined formal boundary *a priori*, and the sense of a complete and unified musical work, as to a body *with* organs, only emerges after the last variation is sounded. In this sense, the form of a variation set is *cumulative* rather than *linear* (as in the discursive

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1. Joseph Kerman, "How We Got into Analysis, and How to Get Out," in *Critical Inquiry* 7/2 (1980), 315.

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aspect of Hepokoski and Darcy's sonata theory, in which the form is shaped by two teleological trajectories to certain structurally important cadential goals) or *hierarchical* (as in Caplin's categorization of different formal-functional units). Another perspective is also possible concerning variations: we can conceive of the piece as being already over by the end of the opening theme, and each variation that comes afterward reiterates that theme (akin to the idea of the rotational form), giving rise to a kind of musical redundancy that seems unworthy of warranting much analytical attention. Whichever perspectives one adopts, variations as a musical form or genre is situated at the "twilight zone" between the overarching totalization of formal unity (the oneness of being)—based upon necessary connections and hierarchical organization between the parts and the whole—and the aggregation of disparate musical units that, on the one hand, are based upon the opening theme as their model, while, on the other hand, deviate from it via various techniques of transformations and substitutions that become part and parcel of the variational process.

I will in the following pages provide an overview of the existing scholarship on variations from three perspectives: (1) categorization of variations into five general types based upon the variational techniques utilized in each variation, as well as the stylistic preponderance of different composers across multiple historical periods; (2) the internal relations between or across multiple variations that bring them together into certain groupings and serial connections; sometimes variations may convey particular formal functions that help articulate certain salient formal locations within the large-scale design of the cycle; (3) the existence (or suggestion) of certain overarching unifying principles or narrative-dramatic discourse across the entire variation cycle. I will in the following sections provide an overview of these perspectives whereby previous scholars have approached the genre of variations, in order to draw attention to certain of their concepts and observations that are of particular relevance to my present research.

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Chapter 2

Variation Processes

The division of variations into general types (*Variationstypen*) is a slippery and intractable endeavor. It is not only the ontological dubiousness of any identity that imposes a boundary and a universal determination upon the underlying empirical multiplicity that the identity seeks to dominate and stands as a superior tyrant. It is also the nature of variation and variation form *per se* that defies any straightforward categorization. Three problematizing features of the variations, as far as I am concerned, subsist in formulating variation types in comparison with other musical forms (such as the ternary or sonata forms). First is the issue concerned with the technique of variations and their manifestation in actual musical passages. As opposed to modulation of a theme, which is a process from one tonal area into another, variation of a theme often involves alterations and elaborations in multiple musical dimensions: for example, an increase in surface rhythmic activity may go in tandem with alterations in the bass line or substitution of certain harmonies. The designation of a particular variation type to any variation will ineluctably end up disregarding other variational modifications in favor of the most dominant one. The second issue, as related to the first, concerns the conceptual overlap among the various variational types. As these types are defined by those aspects of musical texture that are preserved *vis-à-vis* those that undergo modifications, this segregation of musical parameters into clear-cut categories often fall apart when engaging in analysis, inasmuch as various components in tonal music—melody, harmony, bassline, rhythm, and phrase structure—are so intricately intertwined that any modification in one aspect will bring about ramifications in others. The move of the thematic melody into the bass line (as typical of the cantus firmus variation) will inevitably result in different supporting harmonies; the same may happen when the bass line (which may occur in basso ostinato variation) moves to the upper voice. The third problematizing aspect

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Renaissance (1500–1650)	Baroque (1650–1750)	Classical (1750–1800)	Romantic (1800–1900)

Free (fantasy) variations

Basso ostinato

passaccaglia, chaconne, ricercar, etc.

basso ostinato (19th-century)

Cantus firmus → *chorale variations*

(preserve motives)

(preserve bass line)

(preserve melody)

thematic transformation

variations on dances or songs

Melodico-harmonic

ornamental variations

(bravura variations)

(preserve harmony)

Harmonic

figured-bass variation

character variations

involves the distinction between variation techniques employed in each variation and that employed across the entire variation cycle. It is seldom the case that a variation cycle utilizes only one variation technique throughout, and the best an analyst can accomplish is to label the cycle according to the most prevalent and salient variation technique. This categorization of the entire variation cycle into distinct types is particularly questionable, especially with respect to one with a grander formal scale such as Bach's Goldberg Variations or Beethoven's Diabelli Variations. That these three issues may be causes for suspicion should not deter one to engage with variations with certain preexistent conceptual categories, especially when these categories are utilized as conceptual and linguistic tools, rather than as essentializing generalizations, that allow us to describe and analyze the individual components with a certain degree of analytical precision. Each typological distinction illuminates certain aspects of the variation technique, and enables one to observe certain stylistic affinities and continuity across historical periods.

The following diagram is a summary based upon prior studies concerning variations, notably Nelson (1948), Fischer (1955), and Sisman (1990 and 1993). These variation types (labeled in blue) are arranged according to the historical periods in which they are the most preponderant; the actualization of these variation types in certain musical genres is likewise shown in italicized (labeled in brown). In the following, I will outline the distinguishing features of the five variation types, as well as the connections, or discontinuities, among these variations across the historical periods in relation to the changing musical styles.

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I. Cantus firmus (or contrapuntal) variation

The name "cantus firmus variation" is borrowed from Fischer and Nelson, while Sisman refers to the same type as "contrapuntal variations." The use of the cantus firmus technique is common in variations on secular songs and dances in the sixteenth and early seventeenth century in Spain and England, as well as contrapuntal chorale arrangement (i.e. chorale variations) in Germany from the 16th to the 18th century.[1] A thematic melody (i.e. the cantus firmus) is preserved in one of the voices of the variations, which may also be slightly modified by embellishing tones and figurations. The theme for the cantus firmus may be drawn from popular songs (before 1650), an original melody (after 1650), or conventional dance tunes (such as pavane, galliard, allemande, passemezzo, saraband, minuet, and gavotte).[2] Other aspects of musical texture are then subjected to change, such as the harmony, rhythm, meter, and sometimes with an additional contrapuntal voice. The cantus-firmus variation hence displays much freedom and flexibility in incorporating harmonic changes[3] and introducing new materials into the texture, given the thematic melody is preserved largely intact in one of the voices. The principal means of modification occurs in the accompanying contrapuntal voices,[4] which often are not modeled upon the respective voices from the theme. The cantus firmus functions rather like the backbone for the construction of the variations, itself receding to the background as it migrates into the inner voices or acts as the bass line, while the accompanying voices

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1. Kurt Fischer, *Die Variation* (Köln: AVolk), 3.

2. Robert Nelson, *The Technique of Variation: A Study of the Instrumental Variation from Antonio de Cabezón to Max Reger* (Berkeley: University of California Press), 32.

3. Nelson, *The Technique of Variation*, 32. Nelson notices that "considerable degree of harmonic change is possible" within this type of variation.

4. Nelson, *The Technique of Variation*, 13.

"may intrude themselves to such an extent as to reduce the original melody to a mere shadow."[5] According to Leichentritt, "the cantus firmus (the chorale melody) is often treated differently several times in succession, in accordance with the different stanzas of the chorale text, so that the character of the music is altered according to the mood content of the single stanzas."[6] D'Indy describes this variation type as extrinsic, for it is in the accompanying voices that the variation process takes place: "In this polyphonic state of the variation the theme subsists intrinsically; it does not change; the variation revolves around it, draws inspiration from it, comments on it, and imitates it, without affecting or penetrating it: the variation becomes purely extrinsic."[7]

In Nelson's description, the cantus-firmus variations are characterized by the four aspects: (1) unaltered preservation of the formal structure of the cantus firmus, sometimes also keeping its general musical affect; (2) an emphasis upon contrapuntal manipulation and its partial dependence upon modal harmony; (3) the occasional use of baroque figuration; (4) the incorporation of scales, syncopations, sequences, repeated notes, trills, broken chords, imitations, suspensions, and cross-rhythms.[8] The Baroque figurations are mostly introduced in the accompanying voices, leaving the cantus firmus by and large unmodified. These figurations manifest themselves in one of the two ways: imitative and linear.[9] Imitative figuration passes through different voices in the manner of motivic imitation, whereas linear figuration resides within one voice throughout the variation; the former is more prevalent among the two for the cantus-firmus type. Although harmonic substitutions are commonplace against the cantus firmus, cadential articulation at the end

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5. Nelson, *The Technique of Variation*, 14.

6. Nelson, *The Technique of Variation*, 14.

7. Nelson, *The Technique of Variation*, 15.

8. For details about these four stylistic characteristics, see Nelson, *The Technique of Variation*, p. 28.

9. Nelson, *The Technique of Variation*, 36.

of each phrase is often observed, a characteristic that stands in contrast with the basso ostinato type (discussed below) where cadences are sometimes downplayed or even denied.[10]

An example of the cantus firmus variations is William Byrd's *Walsingham*, a set of 22 variations based on the Walsingham tune composed in the 1570s–1580s. The cantus firmus, first presented in the opening four measures, consists of two subphrases, and each is articulated by a cadential caesura: an intermediate ending on the mediant (B♭ major) in m. 2 and a final ending on the tonic (G minor) in m. 4. Its first statement at the beginning is disjointed in register, alternating between the two registers an octave apart; this juxtaposition of registers persists into the second variation, in which the last measure of the cantus firmus occurs in the inner voice. It is only in the third variation do we obtain a straightforward presentation of the cantus-firmus melody in the top voice. Hereafter the cantus firmus moves into the inner voice (variation 4) and the bass (variation 5). The upper voice, instead of introducing new figurations, derives fragments from the cantus firmus as in the manner of imitation. For example, in the first two measures of variation 4, the upper voice outlines the arch-shaped motif (B♭-C-D-C-B♭), derived from the first five pitches of the cantus firmus, here juxtaposed against the main melody with a delayed entry of half a measure. Harmonic substitution is also necessitated by the voice interchange of the cantus firmus. The beginning of variation 5, for instance, is supported by a B♭-major triad instead of the original G-minor triad, probably owing to the D in the bass line, which may result in a second inversion of the G-minor triad in the middle of the first measure. Rhythmic acceleration is evident in the subsequent portion of the variation cycle, with the introduction of sixteenth notes figurations (variation 15) and running

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10. Nelson also proposes that "[b]ecause the cadences are ordinarily preserved more tenaciously than any other portion of the harmony, most variations which exhibit conspicuous harmonic departures tend to do so at the beginnings of phrases rather than at phrase endings." (Nelson, *The Technique of Variation*, 40)

Example 1. William Byrd, Walsingham (variations 1 to 4).

eighth-note triplets (variation 16). The last variation (variation 22) is characterized by a thickening of texture by the addition of voices in some chordal articulations. A short passage, comprising mostly of non-thematic passagework in a contrastive homophonic texture, is appended at the very end that functions like a coda and breaks away from the insistent succession of variations with cyclical reiterations of the cantus firmus.

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The cantus firmus technique continues to surface in the Classical and later variation cycles, such as Beethoven's *Diabelli* Variations, Op. 120, and Schumann's *Impromptus*, Op. 5. With the rising dominance of the major-minor tonality by the turn of the seventeenth century, the cantus firmus type gave way to the melodica-harmonic type, gaining in much popularity in the Classical ornamental variations and the bravura variations in the early nineteenth century.

II. Basso ostinato variations

The basso ostinato variations can be considered an offshoot of the cantus firmus type, for here the recurring thematic line stays in the bass rather than migrates among various contrapuntal voices. As the same bass line exists in every subsequent variation as the support for each harmonic entity, harmonic changes or substitutions are less common than in the cantus-firmus type.[11] The ostinato bass lines are often based on certain dances and songs popular in the sixteenth and seventeenth centuries, although sometimes these recurring bass melodies, instead of replicating exactly these dances, retain only certain structural tones from the original dance melodies.[12] (Fischer lists out five bass patterns frequently employed as ostinato bass line, termed "Passamezzo antico," "Passamezzo moderno," "Romanesca," "Folia," and "Ruggiero."[13]) The basso ostinato variations gains in prominence in the seventeenth and early eighteenth century, usually titled under one

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11. Nelson observes that "[i]n distinction to the true cantus firmus theme, which tends to encourage harmonic change, the basso ostinato, through its implication of fixed chord roots and progressions, tends to restrict and limit the harmony." (Nelson, 15)

12. Fischer, *Die Variation*, 3.

13. Fischer, *Die Variation*, 3.

of the five different names: ground, folia, bergamask, passacaglia, and chaconne.[14] The *ground* is mostly used by English composers such as John Blow and Henry Purcell, and the name at first may refer to both the cantus firmus variations and the basso ostinato type.[15] The basso ostinato variations superseded the former in popularity later in the seventeenth century, represented most notably by Purcell's aria "When I am laid in earth" from his opera *Dido and Aeneas*. The *folia* is originally a dance tune from Portugal;[16] it is based on a sixteen-measure recurring ostinato bass, divided into two equal parallel halves analogous to an antecedent-consequent pairing of a period. The *bergamask* is originally an Italian dance, and the variations written upon this dance tune are mostly confined to Italy;[17] the bergamask bass line spans four measures in length, and alike the folia comprises two parallel halves, both of which end on the tonic. The *passacaglia* and the *chaconne* are the most prevalent ostinato basses among the five in the Baroque period, the majority of which were composed in Germany. These two types of variations share many similarities and generic overlaps that it remains contentious to distinguish one type from the other.[18] A few stock bass lines are available to both of these types, one of which is the descending tetrachord from tonic to dominant (it is sometimes complemented by an ascending version, a stepwise pentachord from tonic up to dominant). The bass line only retains a slight relationship with the original dance tunes, mostly in their rhythm rather than the melodic line.[19] A wide variety of possible bass lines notwithstanding,

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14. Nelson, *The Technique of Variation*, 66.

15. Nelson, *The Technique of Variation*, 66.

16. Nelson, *The Technique of Variation*, 66.

17. Nelson, *The Technique of Variation*, 67.

18. Nelson, p. 67. In Nelson's words, "[m]usic theorists and historians have long attempted to distinguish between them but their results show little agreement."

19. Nelson, p. 67. "The connection between these types and their dance ancestors is slight, for unlike the folia and bergamask variations, which conserve the basses of the early dances quite strictly, the passacaglia and chaconne maintain this relationship only in a rhythmical sense."

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they are often in triple meter and possess a "neutral, sometimes even a drab effect,"[20] for

they usually proceed in slow tempo and functions in most of the times as the harmonic

support, hence lacking their own individuality and vitality as in the other types of

variations. (Nelson hints at a Marxist interpretation of this variation type: the ostinato

bass is the material base upon which different harmonic superstructures are grounded and

actualized.[21])

Although the basso ostinato variations can be considered as a subtype of the

cantus firmus variations in which the recurring melody always remains in the bass, it sets

itself apart from the other in one crucial aspect—the basso ostinato variations are mostly

continuously composed, without any break or repeat of each variation, forming "an

unbroken chain of movement"[22] from beginning to end. This property of inter-variational

linkage manifests itself most clearly when the ending cadence is elided melodically

with the beginning of the following variation, such that the formal break is obscured or

covered up. This melodic bridging across cadences helps bind the individual variations

together to form a continuous structure. The basso ostinato variations often bear witness

to the process of progressive rhythmic diminution (or progressive animation), a notion

referring to the deployment of shorter and shorter note values as the variations unfold,

begetting to the entire variation cycle a sense of overarching progression. Internal

groupings among variations are also common, sometimes introducing a contrasting

portion in the form of a three-part design. Harmonic substitutions are available above the

20. Nelson, *The Technique of Variation*, 68. "One of the most striking characteristics of the basso ostinato theme is its lack of melodic individuality. As the result of its slow speed, its prevailingly conjunct movement, and its quietly monotonous rhythm, the ostinato bass has a neutral, sometimes even a drab effect."

21. Nelson, *The Technique of Variation*, 68.

22. Nelson, *The Technique of Variation*, 69.

Example 2. J. S. Bach's Passacaglia and Fugue in C minor, BWV 582.

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(Cont.)

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(Cont.)

ostinato bass, and they often introduce striking expressive effects;[23] yet harmonic changes are less flexible than the cantus firmus type, for the theme itself always has to function as the harmonic support for the associated progression.

One of the most representative basso ostinato variations is J. S. Bach's Passacaglia and Fugue in C minor, BWV 582. The piece begins with an unadorned statement of the passacaglia bass line, one that suggests a half-cadential closure on the dominant midway (m. 4) followed by a more satisfactory ending on the tonic (m. 8). Besides this blatant statement at the very beginning, the ostinato bass recurs twenty times before the entrance of the fugue, the subject of which is derived from the first four measures of the passacaglia bass line. The twenty variations can be grouped into three unequal portions: the expositional group (var. 1–10) displays an overall progressive rhythmic diminution from one variation to the next; the contrasting group (var. 11–15) breaks away from the basso ostinato procedure by moving the passacaglia bass line into the top and middle voices, hence aligning more closely with the cantus firmus technique; and finally the recapitulatory group (var. 16–20) brings back the ostinato into the bass while at the same time leads to a point of apotheosis via the accumulation of additional voices, the rhythmic acceleration of running figurations, or a stretto-like effect among different contrapuntal lines. Even though the variations follow one another without any discernible break, each variation is defined intrinsically by its own characteristic figuration (for example, variations 1 and 2 involve a dotted rhythm on the first beat; variation 3 features scalar passages in quarter notes; variation 4 utilizes the dactylic rhythm in its three upper voices, which turns into octave leaps in variation 5, ascending tetrachordal motion in variation 6, and the descending version in variation 7.) Harmonic substitutions are rare but does happen here and there, sometimes with the introduction of chromatic pitches: the E♭

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23. See Nelson, *The Technique of Variation*, 75–77.

bass in variation 2, previously supporting a tonic chord in the first inversion, here acts as the root of the E♭ dominant seventh chord (E♭-G-B♭-D♭), resolving into the following F-minor chord reminiscent of a deceptive resolution (V-VI) in A♭ major. The ostinato bass line may sometimes be embellished by figurations (such as in variation 9), yet its presence in each variation is unmistakable. The migration of the passacaglia theme from the bass to the top voice in variation 11, coupled with an abrupt reduction in the number of voices from four to two, is particularly striking, indicating a formal departure from the ongoing basso-ostinato norm. The ostinato theme is then transposed to the inner voice in variation 13 and then dissolves into a succession of arpeggiations in the following two variations. This thematic liquidation renders the reappearance of the ostinato bass in variation 16 more pronounced. The marked formal contrast is also abetted by the sudden increase in voices, which reaches an unprecedented total of five voices in addition to the bass.

III. Melodico-harmonic (or melodic-outline) variations

Scholars have come up with different terms to refer to this type of variation, which reached their most archetypal manifestation in the Classical period. Sisman refers to the variations that retain both the harmony and the melodic outline as the "melodic-outline variations,"[24] specifically to those that were "written between Bach and Beethoven."[25] Fischer uses a more elaborated term—"melodic variation with constant

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24. Elaine Sisman, *Haydn and the Classical Variations* (Cambridge, Mass.: Harvard University Press), 66.

25. Sisman, *Haydn and the Classical Variations*, 67.

harmony" (*Melodie-Variation mit konstanter Harmonik*)[26]—hence highlighting the preservation of both melody and harmony from the theme. The terminology that I employ here—"melodico-harmonic variations"—was borrowed from Nelson, a label that he uses to refer more to the general variation technique (i.e. the retainment of both the melodic and the harmonic framework) than to the actual musical works composed during the Classical period, the latter of which is called the "ornamental variations."[27] Here I would likewise employ the term "melodico-harmonic variations" to refer to the particular musical features of those variations, while the body of variation works, predominantly those composed in the eighteenth and nineteenth century, that often utilizes this variation procedure would be called "ornamental variations" instead. Melodico-harmonic variations were not a new musical genre in the Classical period; it has its lineage to the song variations in the Renaissance and even earlier periods, which has its basis in improvisational practices, such as French *doubles* and *diminutions* from the seventeenth and eighteenth century, Spanish instrument pieces for lute and keyboard, as well as in English virginal music.[28] The Classical period witnesses a resurgence in popularity of this type of variations, a rather restricted way of composition that was partly influenced by the predilection for elegance and simplicity in expression and the growing market of pieces written for amateur performers. Some of these pieces were intended for the showy display of the performer's technical and improvisational prowess, and they were often based upon well-known themes to gain the audience's appeal.[29] Both borrowed and original themes are common in this variation type: borrowed themes were usually dance

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26. Fischer, *Die Variation*, 4.

27. Nelson, *The Technique of Variation*, 80.

28. Fischer, *Die Variation*, 4.

29. Nelson, *The Technique of Variation*, 80. "Many of the late eighteenth- and early nineteenth-century keyboard variations originated as pieces d'occasion, some the result of showy improvisations upon well-known themes."

pieces, popular songs, or excerpts from operatic arias, while composers increasingly chose to write their own theme for variations (Schumann's only variations that are explicitly based on a borrowed theme are his two sets of Paganini studies, opp. 3 and 10).

As the name suggests, the structural tones of the melody, the harmonic progression, and the phrase structure of the theme are retained in the subsequent variations. Alterations are usually introduced by means of "*Melodie-Umspielung*" (playing around the theme), such as the embellishment of the theme with shorter note values ("*Diminuierung*") and recurring figurations ("*Figurierung*"), while sometimes, though this is less common, the theme is simplified through reduction ("*Dekolorierung*" or "*Vereinfachung*").[30] Change of tempo and dynamics are also utilized to demarcate certain significant formal locations within the variation cycle. While the harmony is supposed to stay the same in each variation, harmonic substitutions may occur sporadically,[31] especially switching between different inversions of the chords. Certain formal protocols also became conventionalized in the Classical variation sets, such as progressive rhythmic diminution, minore variations, and the climatic allegro variation, double variations,[32] and alternating variations (these will be discussed in more detail in the next section of this chapter). Composers also seek ways to merge the concatenations of individual variations with other formal paradigms such as the ternary form (such as the slow movement from Haydn's Symphony No. 94, "Surprise") and rondo form. While earlier variations are often independent works, ornamental variations in the Classical period began to be incorporated within larger genres such as the symphonies or keyboard sonatas.[33]

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30. Fischer, *Die Variation*, 4.

31. Nelson, *The Technique of Variation*, 83.

32. Nelson, *The Technique of Variation*, 81.

33. Nelson, *The Technique of Variation*, 81.

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The elaborations within melodico-harmonic variations are similar to Schenker's idea of composing-out (*Auskomponierung*), in which passing tones, neighboring tones, and consonant chordal leaps are inserted between the structural tones of the theme, mostly in the top voice and occasionally in the bass. The main interest of the ornamental variations resides in the contrastive texture and figurations that are made possible given the relatively restrictive framework of the theme. Consider one of Mozart's keyboard variations—Variations for Piano in E flat major, K. 354—as an illustration. Composed in 1778 when the composer was in Paris, this work underscores his technical mastery of the piano both as a composer and a performer. The theme was based on the second couplet from the song "Je suis Lindor" composed by the French composer and violinist Antoine-Laurent Baudron, who had provided music for the stage play *Le barber de Séville* and later for *Le mariage de Figaro*. The binary theme, the second half of which is expanded via repetition of the last five measures (mm. 13–17 and mm. 18–22) with a slightly faster surface rhythm of sixteenth notes, articulates a rather simplistic harmonic framework: the first half ends on an HC in m. 8, completed by an IAC in m. 17 and then by PAC in m. 22, achieving both harmonic and melodic closure at the very end of the theme. Even though the two halves bear little similarity with respect to their underlying harmonies, certain melodic structural tones recur across the two halves: F-A♭-G in mm. 9–10 recalls those in mm. 3–4, while the oscillating E♭-D in mm. 5–6 is replicated in mm. 13–14 with an appendix going down to B♭ accrued to the latter. We can therefore consider the second half as a "sub-variation" (or a "subrotation" from Hepokoski and Darcy) of the first half. Both the structural tones of the right-hand (highlighted in yellow) melody and the large-scale harmonic progression (labeled in blue) will be maintained in the subsequent variations—a melodico-harmonic technique typical in Classical variation sets.

Variations 1 and 2 are set in a mirroring (*Spiegelung*) pairing (discussed in more detail in the next section), where the sixteenth-note running figuration that first appears

VAR. III

VAR. IV

VAR. V *(octave leaps: r.h.)*

*Mirroring
(Spiegelung)*

VAR. VI

(octave leaps: l.h.)

Character change : minuet style

VAR. VIII
Tempo di Menuetto

44

Character change : cantabile (singing) style

Reprise of Thema

in the right hand migrates into the left hand. Mozart however does not simply switch the two hands in the manner of an invertible counterpoint. The structural tones of the theme remain in the upper line, and the left hand provides the harmonic backdrop. These initial pair of variations also brings to bear the technique of progressive rhythmic animation (*Bewegungszug*), by which the steady quarter-note progression of the theme is quickened into a stream of sixteenth notes. This engenders a rhythmic intensification along with the variational discourse. Variations 3 and 4 display certain liberty in handling the structural tones of the theme: registral displacement occurs in mm. 5–6 of variation 3, whereby the E♭-D dyad is coupled in two registers. In variation 4, the structural notes are embedded within the arpeggiating inner voice, only surfacing into the upper stratosphere in mm. 5–6 (E♭-D). The next pair of variations (variation 5 and 6) is also in a mirroring relationship, where the octave leaps in the right-hand get transferred into the left hand (also noteworthy is that the chromatic ascending line in m. 3 of variation 5 is also replicated in the following variation in the left hand).

Variation 8 is the first instance in this work to introduce a character and meter change—transforming the theme into the minuet style. This variation is also formally marked, for the phrase scope of the theme gets extended by a repetition of the ending cadential progression that is much expanded. Presumably ending in m. 30, the variation pushes onward to articulate the cadence one more time, in a more emphatic and a tortuous manner—the pre-dominant (II⁶) is prolonged by a descending cascading line in mm. 36–39, which also projects a grouping dissonance via the trills (reminiscent of the hemiola). The arrival of the cadential six-four is also greatly expanded, interpolated within which an applied seventh chord in mm. 41–42, followed by a bravura passage over the cadential six-four chord in mm. 33–35. This formal extension and harmonic expansion signal a "loosening" of the melodico-harmonic framework that the previous variations have so far adhered to. What comes after is a plunge into the opposite affective

end—a *minore* variation set in the parallel mode. The "learned style" suggested by the opening imitative opening also evokes a certain *serioso* character contrastive to the light-heartedness of the opening theme, whereas the melodic line is also cast in a plaintive and dolorous shade suggestive of the sensibility (*Empfindsamkeit)* style: the hocketing gesture in m. 7 is redolent of the "sobbing" (*pianto*) gesture.[34]

The next two variations (variations 10 and 11), also a mirroring pair, return to the major mode, with a constant ringing of the octave in thirty-second notes. The "constant-trill" variation (here modified into oscillating broken octaves) is often employed to foreshadow the impending ending of the variation set, since it "homes in on" the dominant scale degree, as if anticipating the imminent return to the tonic as a formal resolution. The next variation (variation 12) presents the denouement, a languid and much-elaborated variation in cantabile (singing) style. The melodic line is here adorned with a plethora of embellishing tones and running passages, expanding internally the formal scope of the theme. The character reframing into the cantabile style may also be intended to hark back to the operatic origin of the opening theme, where the melodic line in this variation imitates the coloratura singing style. Being the most expansive variations among all, this particular one stands as a point of culmination within the formal trajectory of the entire work. Mozart afterward recapitulates the opening theme at the very end, here functioning more like a recollection than an actual conclusion, at the same time bringing the variation cycle back to its beginning.

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34. Raymond Monelle, *The Sense of Music: Semiotic Essays* (Princeton: Princeton University Press, 2000).

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IV. Constant-harmony (or harmonic) variations

The term "constant-harmony variations"[35] is coined by Sisman, the same species of variation is referred to as "harmonic variations" by Nelson. The harmonic variations can be generally conceived of as a formal "loosening" (*Lockerung*) of the melodico-harmonic type, by way of which the melodic structural tones are less rigidly followed and even abandoned, leaving behind only the harmonic scaffolding of the theme.[36] The harmonic variations first emerged as "figured-bass variations" (*Generalbaß-Variationen*) in the seventeenth and the first half of the eighteenth century (J. S. Bach's *Goldberg Variations* is a prime example of the harmonic type).[37] This harmonic type may have its origin in the improvisational practice of performing different passages over the same figured bass.[38] The texture of these earlier variants of harmonic variations is largely contrapuntal and imitative in texture, deploying figurations that pass among multiple voices.[39] The nineteenth-century resurgence of the harmonic technique comes as a consequence of the penchant for greater freedom of expression and range of stylistic diversity, for the adherence to both the melodic and harmonic structure of the theme seems too restrictive to composers at the turn of the nineteenth century. Nelson credits Beethoven, particularly referring to his Diabelli Variations, for the renewed interest in the harmonic technique, stating that "[t]he gradual reappearance of the harmonic technique

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35. Elaine Sisman, "Tradition and Transformation in the Alternating Variations of Haydn and Beethoven," in Acta Musicologica 62/2 (1990), 153.

36. Nelson, *The Technique of Variation*, 48. In Nelson's own words, "the harmonic plan is the only one in which the outlines of the melodic subject are completely disregarded."

37. Fischer, *Die Variation*, 4.

38. Fischer, *Die Variation*, 4. "Seinen Ursprung hat dieses Verfahren in der improvisatorischen Ausführung des Generalbasses."

39. Nelson, *The Technique of Variation*, 48.

can be plainly traced in the character variations of Beethoven."[40] Because individual variations no longer require to adhere to the structural tones of the theme, they are now free to encompass a wider range of divergent musical styles and expressive state. A. B. Marx devises the term "character variation" to designate that which "changes the form of the theme, sometimes into a character piece (i.e., a march or dance) but also into a rondo, sonata form, or fugue."[41] The suggestions of character pieces in individual variations are often indicated by labels such as "alla marcia," "menuetto," "siciliana," or "ouverture." Marx pits "character variations" against "formal variations," the latter "var[ies] melody, modulation, accompaniment, mode, rhythm, and form."[42] Marx's nomenclature is however unfortunate, just as Schoenberg expresses the terminological problem critically: "A distinction is often made between formal variations and character variations. But there is no reason to suppose that a variation can be so formal as not to possess character."[43] According to Marx's definition, character variations do not necessarily imply only the procedure of the constant-harmonic technique, as it can also involve some kind of motivic treatment from the theme, which is the defining characteristic of the fantasy (or free) variations. Yet it is useful to reserve the term "character variations" for the kind of variations composed in the nineteenth century, in comparison with those constant-harmony variations in the Baroque and earlier periods where contrasts in character are relatively subtle. These two labels also carry different terminological emphasis: the name "character variations" brings into relief the stylistic diversity within the variation cycle, whereas "constant-harmony variations" refer more to the technical side of the musical construction. Marx's neologism also hints at an important trend in nineteenth-century

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40. Nelson, *The Technique of Variation*, 95.

41. Sisman, "Tradition and Transformation," 154.

42. Sisman, "Tradition and Transformation," 154.

43. Arnold Schoenberg, *Fundamentals of Musical Composition* (London: Faber and Faber), 172; quoted in Sisman, *Haydn and the Classical Variations*, 67.

Example 3. Beethoven, 33 Variations on a waltz by Anton Diabelli, Op. 120 (theme).

Example 4. Beethoven, 33 Variations on a waltz by Anton Diabelli, Op. 120 (Var. 12).

music: the intrinsic *formal* dimensions of music, such as the adherence to a constant harmonic progression or the manipulation of motivic fragments from the theme, were taken as means to achieve *stylistic* purposes instead of being an end in itself, as in the portrayal of divergent musical characters in these variations, a trend that is concurrent with the shift in emphasis on subjective expression as opposed to prior Classical

Example 5. Beethoven, 33 Variations on a waltz by Anton Diabelli, Op. 120 (Var. 20).

objectivity (*Sachlichkeit*).[44]

   Certain of Beethoven's Diabelli Variations, Op. 120, are written with constant harmony technique. The harmonic underpinning of variation 12 is modeled closely on that of the theme. The first half of the small-ternary (or rounded-binary) theme, one that was composed Anton Diabelli, is structured in the form of a compound sentence, begins with an 8-measure presentation phrase (mm. 1–8) in a statement-response (i.e. a tonic version followed by one on the dominant) relationship, followed by a continuation phrase (mm. 9–16) featuring fragmentation (i.e. shortening of grouping units) and sequential repetition (i.e. the ascending applied-chord sequence evocative of the Monte

44.   For discussion on eighteenth century aesthetics, see Wye J. Allanbrook, *The Secular Commedia: Comic Mimesis in Late Eighteenth-Century Music* (Berkeley, CA: University of California Press, 2014).

schema). All of the harmonic features from the theme are preserved in this variation: the prolonged tonic (mm. 1–4) and dominant (mm. 5–8), followed by an ascending sequence embellished with applied chords, ending with an authentic cadential progression in the dominant key, which retrospectively acts the medial dominant within the entire small ternary structure. The melody or even its structural tones from the theme does not return in this variation; instead, the musical surface is permeated with a motivic fragment derived from the first four pitches from the theme, D-C-B-C (the first D is a grace note). Here the two halves of the motif are switched in the order (B-C-D-C) and the first two pitches repeated (B-C-B-C-D-C), and then subject to imitative treatment (left hand enters first and then the right hand). The original melodic line makes a momentary reappearance in the bass in mm. 12–13 (G♯-A-C followed by B-C-E), which corresponds to the top voice of the theme in mm. 9–12. Besides these two motivic derivations from the theme, this variation offers a totally different "superstructure" from the theme while prescribing to the same harmonic framework.

Beethoven sometimes incorporates daring harmonic writing even under the constraint of sticking to the theme's harmonic progression. In variation 20 of the Diabelli Variations, the harmonies are so distorted to the verge of being unrecognizable. The tonic and dominant pairing, as belonging to the theme's presentational statement-response, is still discernible in the opening portion of this variation, amidst the interweaving of contrapuntal lines (the opening figure, C-G-G-A-G, like a portmanteau word, is made up from two fragments from the theme—the opening downward leap of a fourth, C-G, combining with inversion of the neighbor-note motion, C-B-C). Two chords from the ascending sequence as chosen to stand as a reminder: the applied chord to IV in m. 11, C-E-G-B♭ (the C♯ on the downbeat resolves to the following C♮ while the A♯ can be heard as an enharmonically respelled B♭), and that leading to V in m. 13, D-F♯-A-C. The sequence is then cut short and this dominant becomes the half-cadential closure of the

phrase. Here in this variation we only get a vestige of the original harmonic framework, yet it is still faintly present in the background as a foil to react upon.

V. Fantasy (or free) variations

The nineteenth century bears witness to increased freedom in variation writing by breaking free from the melodico-harmonic framework that binds together individual variations as typified in the Classical period. This freedom may come in the form of the invention of new melodic materials while holding onto the preexistent harmonic structure (the constant-harmony type as discussed earlier); another way is by manipulating and recombining motives derived from the theme, while leaving the harmonic framework largely behind. This latter type is first termed "fantasy variations" by Brahms, and it is used synonymously with a more neutral label "free variations," a term favored by Nelson. According to Brahms's view, the fantasy-variations should not be regarded as a proper variation, though he does not elaborate or offer a more precise definition of the former genre, except that it was popularized by composers such as Schumann, Herzogenberg, and Nottebohm.[45] It is rather clear that this new type of writing, a nineteenth-century invention, combines both the recursive property of variations and the extemporizing

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45. Brahms, *Briefwechsel*, vol. I, ed. Max Kalbeck (Berlin, 1907), 7–8; quoted and translated by Sisman in "Brahms and the Variation Canon": "If I were again able to have the pleasure of conversing with you, and then could say something other than total praise … [t]hen I would perhaps go on about variations in general, and that I would wish people would distinguish between the title Variations and something else, possibly Fantasy-Variations, or however we would otherwise want to call almost all the newer variation works. I have a singular affection for the variation form, and believe that this form still compels our talent and ability. Beethoven treats it [with such] extraordinary severity, he can even justly translate [the title Variations as]: alterations [*Veränderungen*]. What comes after him, by Schumann, H[erzogenberg], or Nottebohm, is something else. I have, of course, as little against the method as against the music. But I wish people would also distinguish by name what is different in the method."

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tendency of the fantasia genre, the latter characterized by various phrasal expansion,

interruptions, and digressions that produce the effect of formal freedom while still

evoking certain suggestions of conventional form-functional implications.[46] Hence for

Brahms, the fantasy-variations are a hybrid genre that draws upon both the generic

and stylistic conventions of both fantasias and variations, a generic transduction (i.e.

the transference of genetic materials from one species to another) that was particularly

favored by Schumann, such as his combination of variations and etudes in *Études*

symphoniques, or sonata form with the song-form of a character piece in the *Fantasie*,

Op. 17. Fischer identifies certain fantasia-like elements in variations in the earlier periods,

manifesting themselves in the form of fantasy-like expansions in the last variation or

insertion of intermediary parts between the individual variations.[47] The lineage can be

further drawn to Baroque chorale fantasy, or the free improvisational practices in the

sixteenth and seventeenth century, in which performers may intermittently "go off the

tangent" from the structure of the original song and spin out some fantasy-like flourishes.

The fantasy-variations are generally defined by two primary characteristics:

motivic transformation and renunciation of the structural plan. The reliance on motivic

transformations in successive variations was first recognized by Vincent d'Indy in his

Cours de Composition Musicale published in 1912. This type of variation based upon

motivic manipulation was named "*variation amplificatrice*" (amplifying variation), in

which the intrinsic motivic materials of the theme, in the form of fragments, are explored,

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46. According to Caplin, the Classical fantasias attain "a fine balance between the formal freedom of the improvisational impulse and the formal conventionality of the standard composed genres seems to be the underlying aesthetic of the fantasia genre." Caplin, "Fantastical forms: formal functionality in improvisational genres of the Classical era" from *Musical Improvisation and Open Form in the Age of Beethoven*, ed. Gianmario Borio (New York: Routledge, 2018), 112. These play with conventional formal functions includes form-functional omission, form-functional substitution, interpolation of new material, form-functional obscuration, and form-functional incipience.

47. Fischer, *Die Variation*, 4.

transformed, and recombined, while at the same time the formal structure and proportion

of the theme are often greatly expanded far beyond that of the theme.[48] This new type

of variation is like an interpretation of or a commentary on the theme, each bringing

into relief certain motives laying dormant within the theme while breathing life upon

them such that they flourish into a new musical entity. The "variation amplificatrice"

is characterized by the technique of "*l'amplification thématique*,"[49] a technique

of variation which he places side by side with the other two means of variation—

rhythmic-melodic ornamentation and polyphonic (or contrapuntal) ornamentation, the

former an "intrinsic" variation (i.e. alteration of existing materials) and the latter an

"extrinsic" variation (i.e. the addition of new materials that are not found in the theme

itself).[50] Nelson uses the term "*thematische Arbeit*" (thematic working-out) to refer

to the transformation and manipulation of motives derived from the theme.[51] Nelson

enumerates five techniques of motivic transformations as found in the fantasy-variations:

embellishment, simplification (or reduction), inversion, expansion (introduction of new

material; spinning out of the chosen fragment) and change of meter.[52] Through these

transformations, the individual variations can achieve divergently different characters

and formal construction, at the same time retaining certain subtle (and often subliminal)

connections with the original theme—freedom through motivic working-out. This

musical freedom from the motivic process, according to Fischer, shares much affinity to

the idea of metamorphosis (*Metamorphosen*)[53] that is increasingly favored by twentieth-

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48. Cummings, *Large-scale coherence in selected nineteenth century piano variations*, 9.

49. Nelson, *The Technique of Variation*, 23.

50. Cummings, *Large-scale coherence in selected nineteenth century piano variations*, 310–11.

51. Nelson, *The Technique of Variation*, 96.

52. Nelson, *The Technique of Variation*, 98–100.

53. Fischer, *Die Variation*, 4. "Zum uralten und ewig gültigen Gesetz der Variierung im weitesten Sinne des Wortes bekennt sich Hindemith durch den Titel seines Werkes Metamorphosen."

century composers such as Hindemith and Ligeti.

The fantasy-variations gained in popularity in the nineteenth century into the first half of the twentieth century, employed by composers such as Schumann, Grieg, Dvořák, Franck, d'Indy, Elgar, Strauss, and Reger. While variations incorporating the transitional formal schema and those that are formally discontinuous and do not carry programmatic elements continue to be composed well into the twentieth century, the fantasy-variations gradually attains a more continuous formal constitution via the elimination of formal divisions between individual variations, ultimately "approximating that of the fantasia, rhapsody, and symphonic poem."[54] This formal continuity often goes hand in hand with certain programmatic content that functions as an overarching connection threading through the disparate sections. Motives derived from the theme, by consequence of this programmatic underpinning, began to acquire extramusical associative meanings akin to Wagnerian leitmotifs.[55] Toward the end of the nineteenth century, the leitmotif practice began to merge with fantasy-variations, most notably in Richard Strauss's *Don Quixote*, a tone poem with the subtitle *Phantastische Variationen* über *ein Thema ritterlichen Charakters* (Fantastic Variations on a Theme of Knightly Character). Leichtentritt singles out this piece to be the prime example of employing motivic transformations within a variation: "The individual variations are completely self-contained character pieces, which are connected with the variation form only so far as the motives of the theme are woven into every single variation."[56] We can observe this motivic technique in the lyrical passages in the third variation, which depicts the conversation between Don Quixote

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54. Nelson, *The Technique of Variation*, 113.

55. Bribitzer-Stull, *Understanding the Leitmotif from Wagner to Hollywood Film Music* (New York: Cambridge University Press, 2015), 10. According to Bribitzer-Stull, Wagnerian leitmotives are characterized as "bifurcated," "developmental," and "contribute to and function within a larger musical structure."

56. Leichtentritt, *Musikalische Formenlehre*, III Auflage (Leipzig, Breitkopf und Härtel, 1927), 332; quoted and translated by Nelson, 25.

Example 6. Richard Strauss, *Don Quixote* (Knightly theme).

Example 7. Richard Strauss, *Don Quixote* (Var. 3).

and his follower Sancho Panza, dreaming about the quixotic love of an imaginary lady whom he will seek to rescue. This idealized realm of F♯ major comes into existence through a bewitching transformation of harmony—a triple semitonal (and parsimonious) slides between two chords in a hexatonic relation, D minor and F♯ major. The prolonged phrase, with a gradual rise in register and thickening of orchestral texture, is evocative of the incessant yearning (*Sehnsucht*) typical in Romantic music. The entire phrase is built from the first two measures of the theme of Don Quixote, labeled "the Knight of the Sorrowful Countenance" that is first presented by the solo cello in the opening section (the turning figure at the end is reminiscent of the ending of Sancho's theme). This motive is incrementally transposed up by thirds or fourths, albeit slight changes in the intervallic relationships between the pitches in conformance with the harmonic flow. The last phrase, finally bringing forth the authentic cadence concluding the elongated phrase, is expanded via internal repetition of a certain melodic fragment, and the drive towards the end is further assisted by a shortening of rhythmic values, ultimately yielding a completion of the palpable 3-2-1 descent in the melody (also noteworthy is the hint of the head motif from the knightly theme in m. 17 near the final cadence, appearing as A♯-B-G♯-C♯-E♯ in sixteenth notes). Here Strauss weaves a melody of spiritual transcendence that rises from the lower A#3 in m. 1 of the example up to the A♯6 in m. 14, spanning the immense range of three octaves. This melody is composed, in a rather insistent manner, by means of concatenating the opening two-measure motive from the Knightly theme, while inventing anew both the harmonic progression and phrase structure. This illustrates the formal freedom that becomes available in composing variations by means of the *amplification thématique* technique as proposed by d'Indy and recognized by later theorists.

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The discussion above offers a broad overview of the five species that fade in and out of prominence across different historical periods. The majority of variations composed in the nineteenth century, despite their predilection for greater freedom in form and diversity in expression, found their precedence of variational techniques in the earlier song variations from the Baroque or even the Renaissance period. Only the fantasy (or free) variation is truly a romantic invention, as the newfound reliance on motives as agents of expression reverberates across different genres of music, from Berlioz's *idée fixé* and Liszt's thematic transformation to Wagner's leitmotif technique. Certain of Schumann's character pieces also bear witness to the idea of variations based upon motivic cells, such as his *Carnaval*, Op. 9, titled "Scenes mignonnes sur quatre notes," are connected by two different permutations of the A-S-C-H motif, the birthplace of his would-be wife, Ernestine von Fricken (it is rather surprising that he refrained from using an acronym of his name, S-C-H-A, which are listed as one of the three permutations of the "Sphinx"); either of these two motives is used to begin all but two (*Paganini* and *Reconnaisance*) character pieces within the set. Just like Schumann himself, musical genres in the nineteenth century were increasingly sexually licentious—they cross-bred with each other to give birth to offspring that is generic hybrids, Frankensteinian creations that cropped up on multiple occasions across many genres of Schumann's compositions.

Chapter 2

Formal Protocols in Classical Variation Sets

Variations during the Classical period consolidated a number of formal protocols that are widely adopted by later composers, as either stylistic norms that one subscribes to or as formal markers that articulate internal divisions and inter-variational groupings within the cycle. We may draw a parallel between these protocols and those formal functions typically found in other genres of Classical instrumental music,[1] most notably concerning sonata form. One of the primary differences is the discontinuous structure of the variation—while Classical formal functions are largely determined by harmonic progression and thematic-developmental process, the discontinuous construction of the variation sets often does not rely on these two aspects for its formal shaping. Instead, formal markers within variation sets are *marked* generic conventions—marked in terms of its musical departure from its framing variations, such as in mode, tempo, or character, or to put it more generally, musical features that bring about a substantial departure from the theme. As harmony (or tonality) ceases to be the organizational principle of the disjointed musical surface, which resembles more a constellation or a potpourri than a continuous unfolding analogous to organic growth of a plant, other means of connections were utilized by Classical composers to relate two or more variations together. Another means is to impose another organization drawn upon preexistent formal schemata, such as the ternary or the rondo, resulting in a two-dimensional form that engages with both structural principles.[2] In the following, I will provide an overview of the various

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1. See William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), for more details.

2. The idea of two-dimensional form is borrowed from Steven Vande Moortele. See his *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg and Zemlinsky* (Leuven: Leuven University Press, 2013) for a more detailed discussion.

formal markers and organization principles that became conventional norms in Classical variations.

1. Double variation

Mozart's approach to double variation is discussed in much depth by Salzer in relation to Mozart's Divertimento, K. 563.[3] As defined by Salzer, a double variation is "an overlapping combination of two distinct variations"[4] in such a way that "the components of what could have been two separate successive variations appear as if rearranged to form an overlapping combination,"[5] resulting in an "overlapping combination of two variations."[6] The double variation is a product of a two-part theme in which each part is repeated, and, instead of using a repeat sign, the repetition is written out in full and varied accordingly, yielding a structure of AA'|BB'. Usually, the alterations in the repeated parts are minor and resemble closely the first A and B section;[7] yet sometimes a marked contrast is found between A and A' (and likewise between B and B') such that, instead of hearing a varied repeat of the two halves, the entire variation seems to consist of two different variations interlocking with one another (i.e. A and B forming one variation and A' and B' forming another). Salzer uses the term "subvariations" to refer to these internal

3. Felix Salzer, "The Variation Movement of Mozart's Divertimento K. 563," in *The Music Forum*, Vol. 5 (New York: Columbia University Press), 1980.

4. Salzer, The Variation Movement of Mozart's Divertimento K. 563," 290. "I suggest that the term 'double variation' be restricted to those instances in which an overlapping combination of two distinct variations takes place."

5. Salzer, "The Variation Movement of Mozart's Divertimento K. 563," 291.

6. Salzer, "The Variation Movement of Mozart's Divertimento K. 563," 268.

7. Salzer, "The Variation Movement of Mozart's Divertimento K. 563," 264. Salzer calls these repeats with minor changes "varied repeat": "It is characterized by a more or less literal repeat of the theme, often in an inner voice, while the elements of variation are provided by the counterpoints. One or several new counterpoints may modify the character of the theme, sometimes very markedly."

interlocking variations within the repeating scheme of the binary theme. To reinforce the identity of two contrasting subvariations, the figurative patterns and texture in A' and B' stay the same such that one can hear a clear connection between the two sections across the intermediary B section. This double variational schema, as discussed by both Salzer and Nelson, is commonly employed by Mozart in his instrumental variation sets.

2. Mirroring (*Spiegelung*)

The term mirroring (*Spiegelung*) variations was first coined by Mies in his 1937 survey of Mozart's variations sets and movements.[8] According to Mies, mirroring is a relationship between two consecutive variations where some elements, most often certain fast running figurations (*Bewegungsform*), in one variation is moved to another voice in another variation, while other aspects of the music remain more or less the same between the two. Mirroring is a means by which two variations are coupled together as a pair, one being the counterpart of the other. Besides the type of mirroring happening between two separate variations, Mies also expands the purview of mirroring to include the kind of figurative parallelism as happened within double variation, i.e. A' is a mirror version of A and B' a mirror version of B within a AA'|BB' formal scheme. More local mirroring is also found in some of Mozart's variations, in which figurations between the left and right hands are switched back and forth multiple times within one variation. We can hence distinguish between *external* mirroring (*Außenspiegelung*) that binds together two separate variations and *internal* mirroring (*Innenspiegelung*) that operates within one variation. While the latter type is more of a figurative play between textural lines, the former variant becomes a form-structuring principle since a clear sense of continuity

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8. Paul Mies, "W. A. Mozarts Variationenwerke und ihre Formungen," in *Archiv für Musikforschung* (1937), 466–495.

can be discerned between the coupling variations. Schumann employed the technique of mirroring in a double-variation design in his *Andante and Variations*, Op. 46, where the two piano parts are switched during the repeats.

3. Alternating variation

The term "alternating variation" (*abwechselnde Variation*) was formulated by Sisman in her seminal works on variations by Haydn and other Classical composers.[9] Alternating variation operates on a much more global dimension than mirroring—the alternation persists through the entire variation set. This alternating scheme involves two contrasting themes, A and B, which are often placed in opposite modes, one major and the other minor, resulting in "alternated variations on a major and a minor theme."[10] Sisman notices that even though the two are contrasting in character and mode, there exists a "close relationship between the two themes: when they share melodic contour or rhythmic pattern, the second takes on the aspect of a reaction to or interpretation of the first, and the two seem welded into a single musical unit";[11] sometimes the two themes are closely connected such that the B theme sounds like a variation of A: "[t]he two themes are often closely related in melody or rhythm, giving to the second the aspect of a reaction to or interpretation of the first, and welding the two into a tighter musical unit."[12] Two formal schemes of the alternating variations are common: the "alternating rondo variation" (*abwechselnde Rondo-Variation*) of ABABA, which ends with a return of the

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9. Elaine Sisman, "Tradition and Transformation in the Alternating Variations of Haydn and Beethoven" in *Acta Musicologica* 62/2 (1990), as well as in *Haydn and the Classical Variation* (Cambridge, Massachusetts: Harvard University Press, 1993).

10. Sisman, "Tradition and Transformation," 158.

11. Sisman, *Haydn and the Classical Variation*, 158.

12. Sisman, "Tradition and Transformation," 161.

opening A theme, and the "alternating strophic variation" (*abwechselnde strophische Variation*) of ABABAB, which ends with a return of the subordinate B theme. In either of these two schemes, the second theme is usually varied less than the first and the entire cycle tends to end more often in major mode than in minor; sometimes a lengthy coda is appended to the end to bring back motives from both themes as a conclusion. An overarching forward drive is sometimes overlaid on top of the alternating scheme, often in the form of an increase in dynamics, thickening of texture, and a gradual rhythmic diminution (i.e. acceleration of surface rhythm). The two themes, according to Sisman, may implicate the rhetoric of *antithesis* in dialectics, and the conclusion of the variation set brings about a *synthesis* of these two contrasting theses as a denouement.[13] We can observe certain characteristics of the alternating variations in Schumann's *Impromptu*, Op. 5, in which two themes, a melody borrowed from Clara's *Romance variée* and a bass ostinato based on the head motif from the fugue in his incomplete Symphony in G. Although the subsequent variations do not display a consistent alternation between the two themes as in the case of Haydn, the existence of two themes within one variation set, and the highlighting of either one of the two themes in successive variations, is highly suggestive of the alternating design as employed by the Classical composers. This hinting of the Classical scheme should not come as a surprise, as the piece was modeled upon the alternating design in Beethoven's Eroica Variations, Op. 35, a work that, stated by Beethoven himself, was composed "in a genuinely completely new way."[14]

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13. Sisman, *Haydn and the Classical Variation*, 159–160.

14. Quoted in Stefan Kunze, "Die 'wirklich gantz neue Manier'; in *Beethovens Eroica-Variationen op. 35*, 124: "beyde sind auf einer wirklich gantz neuen Manier bearbeitet, jedes auf eine andere verschiedene Art."

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4. Progressive rhythmic animation/diminution (*Bewegungszug*)

Progressive rhythmic animation (or diminution) is a common characteristic in many of the variations across different historical periods. As Schenker points out, "[a] set of variations can be unified most naturally by means of a gradual increase in motion, that is, progressing from larger to ever-smaller note values."[15] The German term "*Bewegungszug*"[16] implies a process of chaining together passages within a variation set via a gradual increase in rhythmic activity and a shortening of note values from one variation to the next. Ratner uses the term "division variations" to describe this kind of variational process, in which the original note values from the theme are *divided* up into patterns and figurations are set in smaller note values; Ratner found precedents for this practice as early as in the Renaissance period.[17] This progressive process "create[s] an immediate sense of excitement, an exhilaration for the listener because of the quickening pace."[18] Sometimes these gradual "animations" go hand in hand with other contextual intensification in other parameters, such as an expansion in register or thickening of instrumental texture. The discourse of progressive rhythmic animation rarely occurs continuously without any interruption, and this interruption often comes in the form of a minore or maggiore variation set in the opposite mode on the same tonic (discussed below), resulting in an abrupt and momentary decrease in movement (*Bewegungsrückgang*) within the overall trajectory of rhythmic diminution

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15. Heinrich Schenker, *Free Composition: Volume III of New Musical Theories and Fantasies (Der freie Satz)* (Hillsdale, NY: Pendragon Press, 2001), 131.

16. This term is used by Mies in his essay "W. A. Mozarts Variationenwerke und ihre Formungen."

17. Leonard Ratner, *Classic Music* (New York: Schirmer Books), 256.

18. Ratner, *Classic Music*, 256.

(*Bewegungszug)* across the entire variation set.

5. *Minore* or *maggiore* variation

The *minore* or *maggiore* variation is an important formal marker in a variation set, in which the change of mode signifies an interruption within the course of the overarching progressive rhythmic animation. As observed by Mies, "[a] large form favored by Mozart consists in inserting a contrast into a movement before its highest increase in movement, which then usually has the key as the variant."[19] The *minore* or *maggiore* variation by and large "emphasizes harmonic subtleties rather than rhythmic movement."[20] The minore variation, in particular, shows a preference for the sensibility (*Empfindsamkeit*) style, sometimes set in a complex contrapuntal texture, to evoke a heightened pathos. One variation in parallel mode is common, while two or more of these contrastive episodes are also possible, as in Beethoven's Eroica variation, Op. 35, which includes two minore variations—one in C minor (Var. 6) and the other in E♭ minor (Var. 14). In this particular piece, Beethoven labels the following variation that returns to the major mode (Var. 15) by the title "*Maggiore,*" despite that the original theme is in major. Besides being an interruption, the *minore* or *maggiore* variation functions as a formal marker that breaks up the variation set into two halves: the first half features progressive rhythmic diminution whereas the second half often displays a greater departure from the theme and brings in associations with various musical genres and character pieces such as minuet, siciliano, or aria (or the cantabile style). The placement of the contrasting-mode

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19.   Mies, "W. A. Mozarts Variationenwerke und ihre Formungen," 487. "Eine beliebte Großform bei Mozart besteht darin, daß einem Bewegungszug vor seiner höchsten Bewegungssteigerung ein Kontrast eingeschoben wird, der dann meist die Variante als Tonart hat.'

20.   Nelson, *The Technique of Variation*, 81.

variation often has a direct bearing on the structuring of the entire variation set.

6. The French scheme (*Adagio-Allegro* pair)

The French scheme, as defined by Rosen, is a pair of closing variations that are typically found in Classical variation sets. According to Rosen, "the penultimate variation, a very slow one filled with brilliantly florid coloratura, was followed by a fast and extended virtuoso finale like a fantasy on the theme."[21] Nelson refers to the similar formal strategy as an "*adagio-allegro* pair." This pair of closing variations display a stark contrast in tempo, as if the penultimate variation functions like a foil that catapults the work to the brilliant finale. Although the adagio-allegro pairing is not a formal necessity in Classical variations, Nelson observes that the penultimate adagio is "common in the clavier variations of Mozart and is used occasionally by other composers."[22] The finale, such as in many of Mozart's variations described by Mies, is a distinguished formal event that marks the end of the variation cycle, a contextual intensification in tempo, note values, and dynamics. This "finale effect" (*Finalewirkung*)[23] is present in all of Mozart's variations, and this presence of finale is the first-level default in the formal design of his variation sets. Nelson identifies two features that are customary in the finale: a change of meter (from duple to triple or vice versa) and an expansion of formal proportion via "the addition of extensions, interpolated free cadenzas, or a short coda."[24] The moment

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21. Rosen, *The Classical Style*, 438.

22. Nelson, *The Technique of Variation*, 81.

23. Mies, "W. A. Mozarts Variationenwerke und ihre Formungen," 489. "Ich spreche in diesem Falle von Finalewirkung. Reine Reihenformen ohne Finalewirkung gibt es bei Mozart nicht."

24. Nelson, 81.

of formal extension and expansion[25] is often a salient and expressively charged event. If the finale stands as a climax within the variation cycle, then the appended coda that follows often possesses the quality of a reminiscence—a "reminiscing coda" as termed by Salzer.[26] This "reminiscing" quality of the coda is usually projected through a petering out of rhythmic motion by reverting to longing note values, thematic recalling of parts of the theme (often in the form of fragments or motive cells), and a return of the original character.[27]

Take Mozart's Piano Variations on "Ein Weib ist Das Herrlichste Ding," K. 613, as an example. The finale comes after a cantabile Adagio variation, which features elaborate running passage in the melodic line suggestive of the type of coloratura singing style in operatic arias. The meter changes from the original triple (3/4) to duple (2/4), engendering a sense of metrical (or hypermetrical) acceleration. This finale unfolds in much the same manner as the original theme, following closely to the preexistent melodic and harmonic framework. An unexpected event occurs just before the final cadence—the mode suddenly changes to minor (m. 60) and this sets off a digressive modulation to ♭VI (D♭ major), Mozartean "purple patch"[28] redolent of an idyllic and nostalgic sentiment. The appearance of the flatted third degree (A♭) brings the music to a sudden halt, as if one is at a loss for the proper way to escape this never-never land. The music also seems to luxuriate in the comforting embrace of D♭ major, vacillating back and forth between tonic and dominant chords in the modulated key. The return to the tonic key

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25. Caplin distinguishes formal expansion from extension in which the former occurs internally within the boundary of a complete phrase, whereas the latter occurs externally by introducing foreign materials to the musical discourse.

26. Salzer, "The Variation Movement of Mozart's Divertimento, K.563," 310.

27. Salzer, "The Variation Movement of Mozart's Divertimento, K.563," 310.

28. The term "purple patch" was devised by Tovey and quoted in James Webster, "Schubert's Sonata Form and Brahms's First Maturity," in *19th Century Music* 2/1 (1978), 20.

(F major) is achieved via a semitonal shift from D♭ into D, transforming a major chord (D♭-F-A♭) into a diminished one (B-D-F-A♭). The "arrival" cadential six-four in m. 78 connects back to the previous point of disjuncture (m. 59), as if the intervening passage (mm. 60–77) is simply interpolated extraneously and can be removed without changing the predominant harmonic structure.[29] This interpolation is an external phrase extension, one that inserts itself from without; the resolution of the cadential six-four (m. 78) into an active dominant seventh (m. 87) is subjected to an internal phrase expansion, since it is attained via the prolongation of the existing harmonies. The arrival of the dominant in mm. 89–90 triggers a formal interruption (in the Schenkerian sense), after which the fantasy-like coda is appended at the end to bring back the introductory phrase of the theme in the original 3/4 meter. From this example, we can observe that the finale allows for great creative freedom for the Classical composers to incorporate various expansion and extension techniques that break loose from the tyrannical confinement of the melodic-harmonic framework prescribed by the theme. These expansions of the phrasal proportion also postpone the final denouement of the theme, creating a heightened sense of suspense and anticipation that are not found in other variations of the set, while at the same time functioning as a formal marker that the cycle is about to come to an end.

7. Formal hybrids: ternary-variation and rondo-variation

Mies describes the variation form as a kind of serial form (*Reihenformen*), in which individual variations follow one another in a line (*Reihe*). This loose organization enables Classical composers to overlay other formal schemes on top of the variational

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29. Davis calls this interruption-interpolation technique "internal anachrony," as opposed to "external anachrony" where the interpolated passage gradually merges with the primary musical discourse. See Davis, *Sonata Fragments: Romantic Narratives in Chopin, Schumann, and Brahms* (Bloomington, Indiana: Indiana University Press, 2017).

procedure as a higher-level formal determination. Two such formal schemes are particularly common: the fusion with the ternary or the rondo. The impression of the three-part design in a variation cycle can be engendered by two means: the return of the original theme in the last variation (or in the coda) and the insertion of a *Fortspinnung* developmental passage in the central variation. Both of these techniques can be found in the slow movement of Haydn's "Surprise" Symphony, Op. 94. This movement consists of an opening theme and four variations, the second of which (i.e. the central variation among the five sections) starts in the opposite mode and, in the second half, spins off into an ascending sequential repetition that ends on a prolonged dominant chord (Caplin's "standing on the dominant" or Hepokoski and Darcy's "dominant lock"), features that are highly suggestive of the development section in a sonata form. The last variation (Var. 4) is a culmination of the entire movement, involving the entire orchestral ensemble that reaches *fortissimo* at the end. The initial character of the opening theme is only brought back at the coda, which appears over a tonic pedal like an evanescent recollection. The symmetrical structure of this variation ($A\,A^1 \mid A^2 \mid A^3\,A^4$ coda) lends itself easily to a three-part design that is typically found in other instrumental and vocal genres.

The interbreeding between variation and rondo is based on the alternating-variation scheme discussed earlier. Sisman makes it explicit that one should distinguish between rondo-variation and variation-rondo—the former is "a variation movement with *Zwischenperioden*" whereas the latter "a rondo with incidental varying—primarily that involving changes in the accompaniment and the occasional melodic embellishment-in the refrains."[30] In other words, the variation-rondo has in its core the essence of a rondo with incidental characteristics of variation, whereas the vice versa is true for rondo-variation—the rondo scheme is superimposed on top of the foundational variational

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30. Elaine Sisman, *Haydn and the Classical Variation* (Cambridge, Mass.: Harvard University Press), 72.

structure. The alternating variation can lend itself readily to a rondo design, where the first theme takes the place of a rondo-refrain and the varied repetition of the second theme acts like the contrasting episodes. Sometimes the episode variations may "modulate to the dominant" or "'open out' into developmental episodes,"[31] further enhancing the contrast between the two themes. The consummated union of the two formal paradigms, either with the ternary or the rondo, offers to Classical composers a means to project a large-scale structuring to the reiterative structure of variation.

These formal conventions for variations gradually became generic norms during the Classical period. The variation form was subject to various degrees of experimentation and deformation in the hands of Beethoven, from his earlier "Prometheus" Variations in F major, Op. 34 (linkage of variations via third-related key relations) and the "Eroica" Variations in E♭ major, Op. 35 (a "double" variation consisting of a melodic theme and a bass line), to his later attempts such as the thirty-two variations in C minor, WoO 80 (a basso-ostinato variation based on a chromatic lament bass line), and the extraordinary Diabelli Variations, Op. 120, a set of thirty-three on a par with Bach's Goldberg variations in both proportion and status, itself encompassing a wide range of musical styles and characters. In a certain respect, Schumann's approach to variations bears witness to a certain significant departure from the melodico-harmonic prototype of the Classical counterpart; for example, even in his first published composition (the "Abegg" variations Op. 1), the first variation abandons the original melodic theme, commencing instead with a new upper line, consisting of several motivic fragments from the theme, over the same background harmonic progression. Yet amidst this tendency towards greater freedom in the spirit of the fantasy variations, Schumann

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31. Sisman, *Haydn and the Classical Variation*, 106.

still utilizes certain formal protocols in order to articulate certain important structural locations within the overall formal design. The mirroring technique can be observed in Variation 2 of the "Abegg" Variations, where the bass melody is moved up to the upper register as a melodic line. The French scheme of the Adagio-Allegro pair appears in the "Abegg" Variations, the *Impromptus* Op. 5, *Études symphoniques* Op. 13, and in a certain respect the Andante and Variations, Op. 46. The finale effect (*Finalewirkung*) became more structurally substantial, standing as a significant point of conclusion to the entire variation set; formal expansions and the suggestion of other formal schemes (i.e. the rondo) are common practices in Schumann's finale. Key changes are not restricted to parallel mode, but also to other closely related keys (often outlining the tonic *Stufen* of the original key), and the foreign-key variations are often accompanied by contrasts in tempo, dynamics, and expressive characters (e.g., the *maggiore* variation in Schumann's Op. 1 displays a marked contrast to its neighboring variations, even disbanding the phrase structure of the theme). Along the same vein as Hepokoski's notion of dialogic form, a "form in dialogue with historically conditioned compositional options,"[32] Schumann's idiosyncratic handling of the variation form can be viewed as a dialogue, or a negotiation, between the inherited conventions from his predecessors (his immediate contemporaries includes Chopin's Variations on "Là ci darem la mano," Op. 2, and Moscheles's Alexander Variations for Piano and Orchestra, Op. 32) and his incessant impulse for formal freedom and personal expression. I will in the following propose that variation form in the hands of Schumann becomes a means of thematic invention and an exploration of divergent affects, by leaving behind the structural framework of the theme (*Ursatz*) and using it as a springboard to generate novel materials in each individual

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32. William Caplin, James Hepokoski, and James Webster, *Musical Form, Forms & Formenlehre: Three Methodological Reflections* (Leuven: Leuven University Press, 2009), 71–72.

variation into ever-renewing *Satz* (*E-R-Satz*). Each *Ersatz* is phenomenologically superior to the original theme in the sense that it exists in the present while the original theme is lost, as part of our memory, in the past.

Chapter 2

Aspects of Formal Unity

Any conception of musical form cannot escape the claim of formal unity. Mies describes the existence of a certain will to form (*Formwillen*)[1] that pervades the entire variation set and renders it into a coherent musical work. The search for formal unity or any kind of governing logic behind the sequence of variations within a set is more problematic with regard to variation than in other musical forms (such as ternary or sonata form), for the former is not determined by a single prolongational structure. The serial construction of the variation set also throws into question the idea of formal unity, for the last variation, besides much expanded in proportion and complexity, seems to only indicate the end of the cycle just by incidental surface features rather than itself bringing certain foregoing musical processes to a satisfactory completion as a way of "wrapping up" the entire cycle. This conundrum concerning the issue of formal unity in variation sets is noticed by Drabkin in his review of Salzer's analysis: "To my knowledge, there has not been a published study of variations which gives a convincing explanation of why a series of tonally 'complete' variations should be arranged in a particular order, and how a movement so formed can be seen to develop as a single organism.[2]" Yet this intractable formal problem does not deter theorists in claiming (or revealing) the underlying unity within variation sets—Cavett-Dunsby's dissertation on Mozart's variations uses the word "organic" and its variants 48 times; Marston's essay on Beethoven attempts to "demonstrate how the variation set which concludes Op. 74 may be perceived as an

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1. Paul Mies, "W. A. Mozarts Variationenwerke und ihre Formungen," in *Archiv für Musikforschung* (1937), 482: "Das können nicht alles zufällige Erscheinungen sein, sondern ein tiefer Formwillen spricht sich darin aus." The idea of *Formwille* can be likened to Schenker's idea of the will of the tones (*Tonwille*) or Adorno's idea of the spirit (*Geist*) of an artwork.

2. William Drabkin, "Review of The Music Forum V," in *Music Analysis* (1982), 206–7.

organic whole";[3] and Cumming's dissertation seeks, in his discussion on Brahms's Schumann variations, to show "how Brahms creates unity and coherence amidst all this diversity."[4] It seems that the obsession with formal unity is too much of an intellectual episteme in music theory to be readily dispensed with altogether.

Here I find it necessary to distinguish several terms that are often used synonymously: "unity," "coherence," "continuity," and "organicism." According to the Oxford English Dictionary, unity refers to "the fact or quality of being single or unitary; oneness, singleness. Also: that quality which makes something an individual entity or unitary whole; identity, individuality." In other words, a being (e.g., an object, a musical work, or a human being) achieves a state of unity if its parts can be reduced to and summarized by one single essence or principle. In order to impose such a unifying principle over a vast territory, unity is often abetted by a hierarchical (or bureaucratic) structure such that a higher authority imposes commands onto its subordinate components. In the Schenkerian sense, the musical surface can be reduced into multiple middle structures, which is subsumed within the background *Ursatz* based upon the chord of nature (i.e. the tonic triad)—this single entity encapsulates and justifies every harmonic and melodic differentiations throughout the entire piece, hence reducing the entire piece into one single entity, i.e. its essence. As such it is fitting to claim that the goal of Schenkerian analysis is to search for unity that underlies the musical work. Unity is often coupled with the idea of organicism, yet the two have slightly different denotations. In the dictionary definition, "organicism, traditionally known as objective idealism, is the world hypothesis that stresses the internal relatedness or coherence of things," and the word organic is "relating to, or characterized by connection or coordination of parts into

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3. Nicholas Marston, "Analysing Variations: The Finale of Beethoven's String Quartet Op. 74," in *Music Analysis* 8/3 (1989), 320.

4. Craig Campney Cumming, "Large-scale Coherence in Selected Nineteenth Century Piano Variations" (diss., 1991), 224.

a single, harmonious whole; organized; systematic." An organic work is not necessarily a *unity* but can also be a *multiplicity*, as long as its parts are "coordinated" into some kind of a "harmonious whole." We can hence differentiate between *organic unity* on the one hand (the sort of unity presented by Schenkerian analysis) and *organic multiplicity* on the other (the coordination of parts via bilateral relationships that results in a network structure). It is also worth bearing in mind that the word "organic" carries a strong naturalistic connotation, which, since the Romantic period, is privileged and idealized over anything artificial and manmade. As such, I will in my following discussion simply use the term "multiplicity" to avoid any unintended implications of organicism. "Coherence" means "the action or fact of cleaving or sticking together; cohesion"; hence there exists coherence in both unity and multiplicity, the former imposed from above (and from without), and the latter emerges from below (or from within). Coherence within unity is *a priori*—the manner or the principle in which this coherence manifests itself presupposes its actualization; in contrast, coherence in multiplicity is *a posteriori*—it emerges out of the myriad relations that compose the multiplicity, and they are prone to disconnection and reconnection based upon the desiring impulses of the pre-individual singularities. Continuity is defined as "the state or quality of being uninterrupted in extent or substance, of having no interstices or breaks; uninterrupted connection of parts; connectedness, unbrokenness." By corollary, continuity is not coterminous with unity, but does land itself to some kind of coherence—we can call it "linear coherence."[5] This character of linear coherence, or simply continuity, can occur across discrete surfaces, as in the case of the variation sets, as long as there exists a certain uninterrupted connection of parts across the discrete entities. We can even claim some existence of continuity

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5. This idea of linear coherence bears certain resemblance to Edmund Gurney's idea of musical concatenationism, explicated and elaborated in Jerrold Levinson, *Music in the Moment* (Ithaca, N.Y.: Cornell University Press, 1997).

albeit intermittent interruptions—the "interrupted continuity" (*continuité interrompu*)—in contrast with the smooth continuity without any interruption—the "pure continuity" (*continuité pure*).

I will focus in this section on the existing literature that analyzes variation sets with a view to some notion of large-scale formal unity, summarizing their viewpoints and approaches in three broad categories: tonal-prolongational structure, linkage technique,[6] and the presence of certain processual or narratological trajectory. Common to all of these approaches is their penchant for certain logic of organization that seeks to grasp the totality of the work by a singular idea or principle, as if the entire duration of the work (*Überblick*) is condensed into one single moment (*Augenblick*), making possible an insight (*Einblick*) into the essence of the work as a whole. We have already discussed another manner to impart large-scale organization upon a piece—the intercourse between variation and other formal schemes, such as the ternary or the rondo. Sonata form also sometimes shows vestiges of variational processes, in which, as elucidated by Hepokoski and Darcy, the three (or two) primary rotations within a sonata-form trajectory are akin to three variations on two themes. The large-scale formal constructs provide a definite sense of beginning, middle, and end that are lacking in variation form, in the way that everything happening within the work partakes in, and is subsumed under, this overarching discourse. This merging of two different formal processes, one recursive and the other discursive (as proposed by Ivanovitch),[7] results in a two-dimensional formal design that transcends beyond the reiterative nature of the variations. Here I will focus on other ways of formal transcendence of the variation, drawing upon relevant literature to

6. The serial connection via linkage technique may not beget the same kind of unity as the other two types, yet I include it here for the series of linked variations results in a single chain of necessary (or causal) relationships.

7. Roman Ivanovitch, "Recursive/Discursive: Variation and Sonata in the Andante of Mozart's String Quartet in F, K. 590," in *Music Theory Spectrum* 32/2 (2010), 145–64.

show how different theorists engage with this unique musical form.

1. Tonal-prolongational structure

The reliance on tonal-prolongational structure seems like a futile analytical pursuit, for most variations have discrete structures and the harmonic-linear processes are already brought to a close at the end of the theme. It is therefore a bit of a stretch to claim that all the subsequent variations as post-cadential prolongation of the tonic. Drabkin states this issue explicitly, "the basic stepwise descent of the melody, e.g., 3-2-1, is over by the end of the theme, and is indeed repeated in each succeeding variation."[8] It seems untenable to claim any kind of large-scale fundamental structure spanning the entire span of the variation set. This is especially the case with the ornamental variations in the eighteenth century, in which both the melodic outline and the harmonic progression of the theme remain largely intact in every variation thereafter. Even in those nineteenth-century variation sets examined by Cumming, "[t]he basic formal model is retained throughout the variations. The harmonic outline, while at times stretched to its limits, is retained as well."[9] Given the reiterative property that retains the structure of the theme, Forte even suggests that "in sets of variations where the key of the theme is preserved throughout—as was the standard practice in the Baroque and Classical periods—it is generally valid to let a background sketch of the theme stand for the entire piece or movement, and to presume that those factors that change from variation to variation will be at the middleground and foreground levels."[10] The overall form of a variation set is

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8. Drabkin, "*Review of The Music Forum*," 206.

9. Cumming, "Large-scale coherence in selected nineteenth century piano variations," 286.

10. Allen Forte and Steven Gilbert, "Variation Form and Structural Levels" from *Introduction to Schenkerian Analysis*, 320.

not represented by a Schenkerian background graph, but instead by a table with arrows showing relationships in surface phenomena such as recurrence of the same cover tone, dominant pedal, motivic overlap, and double counterpoint, giving rise to "a complex of connections that binds the parts into a coherent whole."[11]

The discrete nature of the prolongational structure and its multiple recurrences is regarded by some as the defining feature of a variation set. Cavett-Dunsby, in her dissertation on Mozart's variations, defines variations in terms of the variation structure and the variation form, most likely drawing on Schenker's delineation between the inner structure and outer form. The former (i.e. variation structure) is "a repetition which retains the same middleground and the same proportions as the original model."[12] The variation structure is defined by the repeated return of the same prolongational structure of the theme, such that each of the variations brings forth its own linear descent and syntactic closure. It should be pointed out that Cavett-Dunsby bases this reiterative scheme on the *middleground* structure, while leaving open the possibility of an existence of a different *background* propagation that may instill form-functional differentiations to its constituent units. Still, a variation cycle is defined intrinsically by this rotational aspect of the middleground structure, each an independent component within the assemblage. The variation form (*Variationsform*) is an outer construct that embodies the variation structure (*Variationsstruktur*), in which "a piece (or 'theme') is followed by several discrete pieces (or 'variations'), the variations retaining the proportions and the middleground structure of the original."[13] The variation structure within a variation form displays a *local* configuration, for the prolongational structure succeeds one another

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11. Forte and Gilbert, 346.

12. Esther Cavett-Dunsby, "Mozart's Variations Reconsidered: Four Case Studies (K. 613, K. 501, and the Finales of K. 421 (417b), and K. 491)" (1989), 259.

13. Cavett-Dunsby, "Mozart's Variations Reconsidered," 62.

consecutively. Yet the repetition of the middleground structure may be non-contiguous, as in the case of the rondo (separated by episode) or the sonata form (separated by the development).[14] Hence variation structure does not lead necessarily to variation form but can be actualized into the latter by embodying its immediate repetitional scheme. Cavett-Dunsby summaries this distinct by this statement: "All variation forms consist of a series of variation structures, but variation structure is not specific to variation form."[15] (She also deems the variation structure as *organic* and the form *inorganic*, yet I will not pursue this distinction any further.) Her delineation of the two ideas seems sound and convincing, yet it does not address how a background prolongation structure can evolve out of the middleground. In fact, her description of the background structure in her dissertation suggests that the background is shaped by the manner in which the middleground structure does *not* replicate exactly from one variation to the next, hence displaying some sort of functional differentiation among parts. For example, with regard to the finale of Mozart's String Quartet, K. 421, an inter-variational process of "gradual elimination" is created by a progressive disappearance of certain harmonic elements (e.g., Neapolitan chord and harmonic sequence), such that each subsequent variation deviates (and departs) incrementally from the theme. In her analysis of the finale of Mozart's Piano Concerto in C minor, K. 491, a functional differentiation among variations occurs in those in a different key (modulation to VI) and opposite mode (parallel major), giving rise to a large-scale structure analogous to a five-part rondo with two episodes (she also claims that the modulation to VI is an enlargement of the opening bass line from the theme, C-A♭-G, in which the A♭ receives tonicization in its corresponding variation).

The possibility of considering variations in secondary keys as local linear prolongations are demonstrated by Au in her article on Brahms's Schumann Variations,

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14. Cavett-Dunsby, "Mozart's Variations Reconsidered," 62.

15. Cavett-Dunsby, "Mozart's Variations Reconsidered," 62–63.

Op. 23. Concurring with Cavett-Dunsby, Au considers variations in secondary keys to be structurally distinguishable from those in parallel mode (i.e. *minore* or *maggiore* variation), because the former does not "requir[e] any voice-leading connection with other variations surrounding them," whereas it is the rhythmic function that is performed by the latter, one that "typically interrupts the rhythmic acceleration set up in the previous variations and initiates another cycle of rhythmic acceleration that leads to the climactic finale.[16]" The secondary-key variation connects with its neighboring ones through voice-leading connections such that it is subordinated within the large-scale tonic prolongation across the entire work.[17] In her analysis of the Brahms's variations (with the main theme in E♭ major), the three secondary-key variations in ♭VI (C♭ major), III (G minor), and VI (C minor) all prolong the principle *Kopfton* ^3 (G or G♭).[18] The *Kopfton* of the original theme is prolonged through the secondary-key variation, within which a secondary linear descent from a different (local) *Kopfton* supports that tonicization,[19] and, as a consequence, the prolongational structure of the secondary-key variation may differ substantially from that of the original theme.[20]

Other theorists have also adopted the same principle of tonal organization for imparting large-scale unity in variation sets. Forte maintains that "the freer the

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16. Hiu-Wah Au, "The Prolongational Function of Secondary-Key Variations in Brahms's Variations for Four Hands on a Theme of Robert Schumann, Op. 23," in *Intégral* 25 (2011), 8.

17. Au, "The Prolongational Function," 8: "Variations in secondary keys, however, derive their significance from neighboring variations. Their function lies in their long-range harmonic and voice-leading connections with other members of the set. […] their harmonic and contrapuntal subordination to their tonic-key counterparts gives them a middleground prolongational function."

18. See Example 20 in Au, "The Prolongational Function," 35.

19. Au, "The Prolongational Function," 9. Au argues that the "secondary-key variations function as composed-out secondary *Stufen* that prolong the *Kopfton* of the theme."

20. Au, "The Prolongational Function," 36. "Contrary to Schenker's belief that variations should conform to the theme's *Ursatz*, the differences in background scheme of the secondary-key variations in this composition do not undermine the organic nature of the variation set as a whole. Instead, they support a deep middleground prolongation of the *Kopfton* over the course of the composition."

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relationship between theme and variation, the greater the chance for the deeper structural

levels to be affected.”[21] One manner of this formal freedom manifests in the form of

secondary-key variations, in which “[v]ariations in keys other than the tonic will tend

to constitute middleground prolongations within the background structure of the set

of variations as a whole.”[22] Marston comes up with a prolongational structure (with

respect to the variational movement in Beethoven’s String Quartet, Op. 74), not in terms

of linear-contrapuntal relationship but registral connections—the proper resolution of

the *Urlinie* (i.e. melodic closure) only happens towards the end of the coda, where the

descent to the tonic becomes completed in the obligatory register. The intermediary

variations function to hold the descent from ^3 *Stufe* in abeyance, while locally

presenting their own secondary linear descent from a different *Kopfton*.

2. Linkage technique

Schenker’s analysis of Brahms’s Variations and Fugue on a Theme by Handel,

Op. 24, often relies on linkage technique to put forth the claim of causal necessity

between individual variations. Owing to the high degree of parallelism across variations,

elements of linkage are not restricted to only the end of one unit and the beginning of

the next, may also happen between corresponding locations within each variation. For

example, the lower neighboring embellishment to the main structural tone of the melody

in variation 1 (B♭-A-B♭) is restated in the same register under a slightly different rhythm

in variation 2; this prompts Schenker to claim a certain “continuity between the two

21. Allen Forte and Steven Gilbert, “Variation Form and Structural Levels” from *Introduction to Schenkerian Analysis* (New York: Norton), 321.

22. Forte and Gilbert, “Variation Form and Structural Levels,” 321.

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variations."[23] Linkage can also manifest itself in the form of melodic continuity across sections[24] (e.g., the octave descent from Var. 2 to Var. 3), repetition of the same pitch (e.g., the repeated articulation of D^4 in Var. 3 and Var. 4),[25] or the reappearance of the same registral span (e.g., the ending four-note chord in Var. 4 recurred in the same register, albeit with a modal change, at the beginning of Var. 5).[26] For Schenker, connections across the variational boundary are evocative of "blossoming new life out of everything," which demands "the vivacity of an artistic imagination"[27] from a genius like Brahms. Schenker furthers this analogy of creative generation through the notion of genealogy:

> But their ordering, too, comes to him from creative love. For the variation images do not simply glide by like scenes in a panorama, from one bell signal to the next; nor are they based only on the linking effect of opposites or of increasingly intense movement: to him the variations become literally a sequence of generations, as one could say in the genealogies of the Old Testament: and the first begat the second, the second the third, the third the fourth, and so on. For him, nothing in this process is too small, too insignificant, that it might not be called upon for a new act of procreation.[28]

The procreation from one variation to the next proffers an unbroken lineage from the original theme to the last variation, such that the first becomes the common ancestor

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23. Heinrich Schenker, *Der Tonwille, Volume II: Pamphlets in Witness of the Immutable Laws of Music Volume II.*, tran. William Drabkin (New York: Oxford University Press), 79.

24. Schenker, *Der Towille* 2, 84. "The final run of the second variation concludes with the first two eighth notes of the third variation."

25. Schenker, *Der Tonwille* 2, 85. "The third variation closes, in accordance with the requirements of its diminution technique, with the repeated ^3 of the left hand, d1, in the seventh eighth note of the last bar. In the same register, the right hand now begins the fourth variation."

26. Schenker, *Der Tonwille*, 87. "[T]he arpeggiation of the octave D♭–D♭^{2} from the first to the third quarters of bar of the fifth variation is related to the octave span in bar 1 of the fourth variation."

27. Schenker, *Der Tonwille* 2, 85.

28. Schenker, *Der Tonwille* 2, 105–06.

of all. (Schenker further describes how this procreative urge in the variations builds up into a "carnal force," a "highly inflamed desire with downright animalistic force," that erupts in the form of the fugue, which sounds as if a "jubilant to the heavens."[29]) Here Schenker presents a view of variation as if it is a cogent line of thought, unified by a necessity and even causality that leads from one thought to the next. A succession of closely linked variations necessitates the work be composed in the same order as it appears in the published edition, and it is therefore hardly found in pieces where the composer removes some variations or rearranges them at a later time, such as Schumann's "Abegg" variations or his Symphonic Etudes. Yet there indeed exists a strong sense of coherence when "the first begat the second, the second the third, the third the fourth," a series of procreation that forms a unified line of genealogical lineages.

3. Processual or narratological trajectory

A typical technique of projecting continuity across variations is by progressive rhythmic animation (*Bewegungszug*), where the note values get shorter and shorter from one variation to the next, and it often takes place by way of diminution technique (à la Schenker) in relation to the structural tones. Schenker also refers to this technique to unite a piece of variations: "[a] set of variations can be unified most naturally by means of a gradual increase in motion, that is, progressing from larger to ever-smaller note values."[30] An opposite transformative process—one of gradual elimination and liquidation of certain structural features—can also achieve a similar sense of formal continuity, as proposed by Cavett-Dunsby in her discussion of the finale variation in Mozart's String

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29. Schenker, *Der Tonwille* 2, 106.

30. Heinrich Schenker, *Free Composition: Volume III of New Musical Theories and Fantasies (Der freie Satz)* (Hillsdale, NY: Pendragon Press), 144.

Quartet, K. 421.[31] In particular, there is a gradual reduction (and elimination) of the chromatic passing-tone motion from the original theme through the fourth variation. This transformative process suggested by incremental changes across variations brings the discrete formal units together under an overarching procedure.

The large-scale process can also take the form of a conflict-resolution paradigm. The initial theme may possess some degree of structural ambiguity that allows for multiple interpretations of its structure, and the subsequent variations may clarify the "correct" reading by bringing that structure into sharper relief: "A correct background reading of the theme will be reinforced by the variations, while an incorrect reading will be refuted."[32] The entire variation set hence presents a trajectory from an initial problem to a later state of structural clarity. Jackson puts forth contrasting rhetoric—one from an apparent clarity of the theme to its problematization in the subsequent variations. Adapting from Saussure, he distinguishes *synchronic* transformation, which stems from "the application of logical, recursive operations," and *diachronic* transformation, a distortion from a conceptually previous state to a different end state.[33] The former corresponds to the elaboration of the *Ursatz*, where each instant actualizes the same voice-leading framework in different ways, whereas the latter refers to a distortion of the fundamental *Ursatz*, such that each instant deviates further and further from the model. We can say that in the case of synchronic transformations, only the superstructure changes over a stable harmonic-contrapuntal base; while everything may be subject to alteration in the case of the diachronic transformation. The former implies an identity across multiple instants of the *Ursatz*, whereas the latter "create[s] a duality of previous

31. Cavett-Dunsby, "Mozart's Variations Reconsidered," 168–178.

32. Forte and Gilbert, "Variation form and Structural Levels," 321.

33. Timothy Jackson, "Diachronic Transformation in a Schenkerian Context: Brahms's Haydn Variations," in *Schenker Studies 2*, ed. Carl Schachter and Siegel Hedi (New York: Cambridge University Press), 239.

state and endstate and, from a single synchronic perspective, distortion, and paradox"[34]—
the *Ursatz* is in the process of becoming; the variations, in turn, erode or deconstruct the
identity of the structure of the theme. In Jackson's analysis of the Brahms's St. Anthony
Variations, the theme suggests two readings of the Ursatz, a contextually "correct" one
and a latent "potential" one; the correct reading is affirmed in the earlier variations, yet
the potential one emerges as the primary voice-leading structure in later variations. Here
there exists a process of transformation from a previous state (an original *Ursatz*) to an
end state (a distorted *Ursatz*), resulting in a paradoxical situation when one attempts to
behold the entire work as a singular identity. In contrast with Forte's proposition that
the "correct" reading of the *Ursatz* is affirmed while the "incorrect" one is abandoned in
subsequent variations, Jackson's transformative reading likewise implicates a large-scale
trajectory from one state to another, bringing together the discrete constitution of the
variational structure.

The theme analyzed by Jackson is complete in itself, yet paradoxical in nature as
it projects two different yet equally valid contrapuntal readings. Marston, in his analysis
of the finale of Beethoven's String Quartet in E flat, Op. 74, reveals how the theme is left
incomplete, and its fulfillment is deferred to its later variations. This particular theme is
untypical for Classical variations, as the melodic line reaches up at the end to another
register, hence failing to resolve to the tonic in the obligatory register (Marston also
points out how the chordal seventh of the penultimate dominant fails to resolve down
by step but rather to the one in an octave below). The structural tones in the theme are
disjointed in register: $\hat{5}$ in the middle register, $\hat{4}$ and $\hat{3}$ are in the higher range, whereas
$\hat{2}$ and $\hat{1}$ are embedded in the lower register. It is until variation 2 are scale degrees $\hat{2}$
and $\hat{1}$ brought back to the middle register, while $\hat{4}$ and $\hat{3}$ continue their descent in the

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34. Jackson, "Diachronic Transformation," 240.

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upper register to ^1 in variation 4. A complete five-line descent is outlined in the first half of the coda, and in the second half, the obligatory register is restored. Marston reveals an overarching rhetorical process from a problematic state (in the theme) into its resolution (at the end of the variation set), a narrative much akin to that of the sonata form.

Chapter 3 Philosophical Perspectives on Variations

Variations are paradoxical in nature. On the one hand, absolute conformance between the theme and variations—such that, in the extreme case, all variations are exact duplicates of the theme—would hardly succeed in creating an interesting musical work; on the other hand, if the variations share nothing in common with the theme (i.e. maximum difference), then the work also fails to be conceived of as a set of variations. Hence variations vacillate between the two extremes: complete sameness and complete dissimilarity. Nelson raises this formal property to be the aesthetic for variations in general, calling it the "principle of balance." In Nelson's formulation, any alterations in one or more musical dimensions should be compensated by holding constant other musical dimensions, such that the variation overall can strike a balance between too much monotony and a random potpourri of short utterances.[1] Goodman, in his "Variations upon Variation, or Picasso back to Bach," also stresses the interplay between sameness and difference for something to be considered as a variation. Yet that it simply shares certain similarities with the theme would not necessarily qualify it as a variation (we can imagine the case where the first movements from two symphonies, one by Mozart and the other by Beethoven, albeit both in sonata form, would hardly compel us to conceive of one as a variation upon the other). Goodman claims that in order to be a variation it must satisfy two conditions: a *formal* condition and a *functional* one.[2] The formal condition refers to the degree of similarity between their respective musical aspects, or in his own words, "a

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1. Nelson, *The Technique of Variation*, 124. "The melodic subject and the harmonico-structural frame are complementary phenomena: alterations of the melodic subject are balanced by a relatively close adherence to the harmonico-structural frame; conversely, the literal retention of the melodic subject is offset by harmonic departures within the harmonico-structural frame, as well as by figural or contrapuntal involvement of the supporting voices."

2. Goodman, "Variations upon Variation, or Picasso back to Bach," 170.

passage must be like the theme in certain respects and contrast with it in certain others."
Hence the eligibility to be a variation can be gauged by simply comparing the degree
of similarity it shares with the theme. Goodman's functional condition depends on his
notion of *exemplification*—"[t]o function as a variation, an eligible passage must literally
exemplify the requisite shared, and metaphorically exemplify the requisite contrasting,
features of the theme, and refer to it via these features,"[3] and "[t]o exemplify is to bring
out, call attention to, but not necessarily to stress a feature; a significant feature of the
theme may be quite subtle, or somewhat hidden by changes made in a variation, so that
exemplification emerges only after repeated listening."[4] In a certain sense, a variation can
exemplify the theme by bringing into relief a particular feature of the latter, such that the
variation can be heard as referencing back to the theme via that feature. Goodman likely
conceives of this functional condition of variation through the lens of Picasso's studies
of Velazquez's *Las Meninas*, which he discussed toward the end of his article. In the case
of Picasso, the forty-four variations highlight certain portions of the original painting,
hence bringing that part into sharper relief. Hence his notion of exemplification suggests
the idea of extracting a part from the whole (of the model) and then bringing that part
into greater prominence. The part (or a particular feature from the whole) needs not to
reappear in its original shape or form, and at times it can be referred to by its opposite
character ("contrastive exemplification").[5] In short, Goodman's idea of exemplification,
as one of the two defining criteria for being a variation in the first place, hinges upon
extracting a part or feature from the whole and bringing it into greater clarity through
its re-presentation. This definition of variation ties in with his distinction between

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3. Goodman, "Variations upon Variation," 170.

4. Goodman, 169.

5. Goodman, "Variations upon Variation, or Picasso back to Bach," p. 172. "A variation upon a painting is another work referring to it by exemplification of certain shared features and contrastive exemplification of certain differing features."

allographic and autographic art.[6] For the former (i.e. allographic art), the reproduction of the same work—its copies—are equal instances of the work; for example, "several performances of a work are not variations upon but rather constitute the work."[7] Autographic art, on the contrary, has only one original and its replicates, as either reproductions or imitations, are variations of that original as their model. Goodman's conception of variation, by and large, is grounded heavily upon the distinction between the sanctity of the original model and the relatively inferior status of variations that depends on the model as their *raison d'être*, reproducing a certain portion or feature from the original for it to be a variation.

Goodman indeed provides an illuminating, albeit a bit restricted, definition of variation from a philosophical standpoint. Yet there exist other ontological perspectives through which we comprehend a set of variations. In the following, I will elucidate two philosophical orientations, one informed by Martin Heidegger's analysis of Being, and the other by Gilles Deleuze's conception of Idea and rhizome, with an emphasis on the latter in my subsequent music analyses. My preference for Deleuze as opposed to Heidegger in my dissertation is not because one is better or more theoretically valid than the other; it is rather due to the fact that the Deleuzian philosophical orientation—the creation of the new through repetition—is more congenial to Schumann's approach to his own variations (as well as his works in other genres), a stylistic predilection that continued to resonate throughout his compositional career. In addition, there exists much overlap between the two philosophical enterprises, and a lot of fundamental ideas in Deleuze can be traced back to Heidegger.[8] Heidegger's enormous influence

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6. Goodman, 172.

7. Goodman, 167.

8. For a comparison and an examination of the philosophical lineage from Heidegger to Deleuze, see Gavin Rae, *Ontology in Heidegger and Deleuze: A Comparative Analysis* (Hampshire: Palgrave Macmillan, 2014).

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on contemporary and later philosophers, in particular in France, could not have been left unnoticed by Deleuze and it is beyond doubt that Deleuze absorbed Heidegger's philosophy during his student years in the *Ecole Normale Supérieure*. Even though Deleuze is critical of certain aspects of Heidegger's thought, and never produced any extended readings on his philosophy (in comparison with his other published titles on some "non-mainstream" philosophers such as Bergson, Spinoza, and Leibniz), his ontological investigation reveals his conceptual and intellectual inheritance from Heidegger, an ontology that concerns with the nature of beings and how they come into their particular modes of existence. Indeed, many concepts from Deleuze bears traces of Heidegger, such as the virtual field and pure difference (Heidegger's Being of beings), chaosmos (the Nothing), deterritorialization, and experimentation (*ek-sistence*), and the three syntheses of time (temporality). It is therefore conducive here to have a basic understanding of Heidegger's thoughts concerning the nature of Being in the first place, and take it as a springboard to get into the ontological groundwork of Deleuze. That basic understanding will shed light upon the way Deleuze extends upon Heidegger's philosophical system and enriches it with his interpretation of Nietzsche, Spinoza, Kant, and (negatively) Plato and Hegel. Ultimately, Deleuze steers Heidegger's philosophy towards a different path—from a "dwelling" upon Being as an authentic way of existing to the creation of the new, the interesting, and the remarkable.

Chapter 3

Being and the Nothing

The entirety of Heidegger's philosophical writings can be said to center around the question of *Being*, from his early magnum opus *Being and Time* (1927) to his late work "The End of Philosophy and the Task of Thinking" (1969). The main purpose of Heidegger's investigation in *Being and Time* is twofold: firstly, to rethink the common-sense notion of beings as *presence* (i.e. being in the present), as things "present-at-hand" (*vorhanden*) or "ready-to-hand" (*zuhanden*), and secondly to establish a "fundamental ontology" that takes into account the nature of Being that grounds beings, in order to "destruct" the traditional ontology that traces back to Kant, Descartes, and Aristotle. Heidegger employs two different terminologies to distinguish everyday beings (*Seiende*)—objects or living beings that exist here and now (as a presence in the present) and can be experienced through our senses—and Being (*Sein*)—the nature or ground of their existence, or the way or manner that they exist, or are conceived of, as things and entities. In Heidegger's words, Being (*Sein*) is "that which determines beings as beings, that in terms of which beings have always been understood no matter how they are discussed."[1] Being therefore cannot be separated from its actual manifestation (i.e. beings), and Heidegger prefers to emphasize this connection by using the phrase "Being of beings" in his later writings to refer to the manner of existence of worldly objects.[2] Being and beings are also mutually dependent, not only in the sense that Being—the nature of existence—determines how a being comes into existence, but also that, in order to get at the structure of Being that a being possesses, one has to interrogate the being

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1. Heidegger, *Being and Time*, "Introduction," 46.

2. Heidegger, Being and Time, "Introduction," 50. Heidegger, in his *Being and Time*, also claims that "Being is always the Being of beings."

itself in order to reveal its Being[3]—"[t]hus to work out the question of Being means to make a being—he who questions—perspicuous in his Being."[4]

The Being of beings, according to Heidegger, cannot be examined simply by pure contemplation or propositional argumentation. As opposed to Kantian transcendentalism in which objects are structured and interpreted through our mental construct, the Being of beings can only be found (or investigated) in the objects themselves, when we allow them to reveal themselves to us in their true nature. Hence Being is not an idea or concept formulated by our mind, but is "found in thatness and whatness, reality, the being at hand of things [*Vorhandenheit*], subsistence, validity, existence [*Dasein*], and in the "there is" [*es gibt*]."[5] The method that he employed to get at the nature or meaning of Being is phenomenology, a term that combines both "phenomenon"—"established as what shows itself in itself, what is manifest" or "the totality of what lies in the light of day or can be brought to light"[6]—and "logos"—a speech that "make[s] manifest 'what is being talked about' in speech" in order to "lets us see […] what is being talked about."[7] In other words, the phenomenological method, as defined by Heidegger, heeds how a being reveals itself to us and presents that "experience" or "encounter" in the form of speech (or words), such that one, upon reading, can "see" or even relive that experience. In a certain sense, Heidegger's phenomenological investigation on Being relies heavily upon our intuitive apprehension of the ways existence presents itself to, as well as is experienced by, us.

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3. "Insofar as Being constitutes what is asked about, and insofar as Being means the Being of beings, beings themselves turn out to be what is interrogated in the question of Being. Beings are, so to speak, interrogated with regard to their Being." Heidegger, *Being and Time*, "Introduction," 47.

4. Heidegger, *Being and Time*, "Introduction," 47.

5. Heidegger, *Being and Time*, "Introduction," 47.

6. Heidegger, *Being and Time*, "Introduction," 78.

7. Heidegger, *Being and Time*, "Introduction," 78.

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The meaning of Being, in general, is difficult to get at directly, as different beings have their own and unique ways of Being. Heidegger proceeds with recourse to a particular kind of being that is most intimate from us and to which the issue of Being becomes the most problematic—human being (*Dasein*) itself.[8] The unique nature of Dasein, as compared to other beings, is that its being concerns about its very Being (or it is conscious of its self), and this concern, which Heidegger calls "care" (*Sorge*), determines how we orientate ourselves in the world. As he puts it succinctly, "Dasein is a being that does not simply occur among other beings. Rather it is ontically distinguished by the fact that in its Being this being is concerned about its very Being."[9] Hence for Dasein, the meaning of Being is both ontic (contributing to how it comes to be), ontological (the ground of its being), and pre-ontological (the foundation of all ontologies). The issue of Being for Dasein, as having been "thrown" (*geworfen*) into the world, is particularly problematic because its existence consists in its ek-sistence (*Ek-sistenz*)—itself always standing-out and going beyond itself rather than closing upon itself. This standing-out involves two dimensions, one spatial and one temporal. In the spatial sense, Dasein, as Being-in-the-world (*In-der-Welt Sein*), finds itself with other people such that its thinking gradually loses its own voice amidst the "idle talk"(*die Gerede*) of the They or the anonymous mass (*das Man*). Heidegger refers to this character of Dasein as "fallenness" (*Verfallenheit*)—it "falls" from being its own self. Dasein also stands out in the temporal dimension, extending its concern for its Being into the past and the future. Being thrown into the world that inevitably bears the burden of the past, Dasein finds out that the world is revealed in a certain way (*Befindlichkeit*) that suggests

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8. Heidegger, *Being and Time*, "Introduction," 49. "This guiding look at Being grows out of the average understanding of Being in which we are always already involved and which ultimately belongs to the essential constitution of Dasein itself."

9. Heidegger, *Being and Time*, "Introduction," 53. The term "ontic" refers to beings themselves, as here-and-now and ready-at-hand. This word stands in opposition to "ontological," which means the foundation or ground of its being there, i.e. its Being.

to itself a particular mood (*Stimmung*). The nature of the world into which Dasein is thrown is the "facticity" (*Faktizität*) of its Being. Dasein also reaches out into the future in the form of "understanding" (*Verstand*)—it seeks to take hold of its impending future by formulating certain facts of the world from prior observations. Fallenness, throwness, and understanding constitute the three temporal dimensions of Dasein—present, past, and future—with the past and future contributing to, and informing, the way of being in the present. In his manner of Being, the existence of Dasein is always at issue—in the sense that it finds its ownmost existence falling away. Not only is this due to the way Dasein is prone to the common opinions of the They (*das Man*), its ability of understanding also makes it recognize the absolute certainty of its own death (the "possible impossibility of its existence"). Cognizant of its own unavoidable demise, hence the finitude of its existence, the "not-Being" of its Being reveals the Nothing (*das Nichts*). This realization of the not-Being casts its Being under different light and shifts the ontological priority from Being into the Nothing, which stands as the ground of Being. Dasein now realizes that its Being is actually a Being-towards-death (*Sein-zum-Tode*), and this looming of this not-Being manifests itself in the form of anxiety (*Angst*), and the fact that its Being can never be complete and adequately defined until its moment of death, while paradoxically it also ceases to exist, produces the feeling of the Uncanny (*Unheimlichkeit*), in the way that its own Being can never be identical to itself and continuously incomplete (*eine ständige Unabgeschlossenheit*). This existential angst and the feeling of uncanny is experienced by Dasein in its everydayness, revealing to itself the true nature of its Being. To put Heidegger's line of thinking in a nutshell, his analysis of Dasein focuses on its three dimensions of existence—present, past, and future—and its temporalizing character of its Being reveals the Nothing as something not simply its antithesis but also always accompanies Being, as part of its Being. This in turn throws a different light upon its Being such that Dasein realizes that it needs to take heed of its own Being, i.e.

living in an "authentic" way, rather than letting it get lost or misguided by the They. This care (*Sorge*) of its Being necessitates Dasein's taking into account its past and future as it relates to the present, as "ahead-of-itself-already-being-in as Being-alongside"(*Sich-vorweg-schon-sein-in als Sein-bei begegnendem Seienden*)[10], including recognizing its own death that reveals the Nothing.

In *Being and Time*, Heidegger focuses primarily on the analysis of Dasein (the Being of human), while the turn of his philosophical concern (*die Kehre*) towards the nature of Being in general, an intention that he had laid out in his introduction to *Being and Time*, was further explored and elaborated in his later writings. Already in his analysis of Dasein, Heidegger presents a tripartite ontological structure of being (*das Seiende*), Being (*das Sein*), and the Nothing (*das Nichts*). Roughly speaking, being is that which we perceive and get hold of, a thing or a body that exists here and now. Yet when we situate this being at the intersection of the broader horizon of space (the context in which it interacts with the world) and time (its past and future), this being ineluctably tends towards its not-being and reveals the Nothing, and this realization of the reciprocal determination between being and the Nothing constitutes the Being of its being. While the Nothing surfaces in *Being and Time* as something revealed to Dasein as it confronts its ultimate death, it receives a renewed significance after his turning to Being of beings in general. The Nothing, for Heidegger, is not emptiness in the physical sense, but a state in which beings are concealed in mystery. As he puts it, "the nothing is the negation of the totality of beings; it is nonbeing pure and simple.[11]" This revealing of the Nothing is not simply a negation of being, as something that ceases to exists and appears as an absence (e.g., the death of a person is mourned as an absence); instead it is more original and fundamental than being (i.e. the Nothing exists prior to a person's

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10. Heidegger, *Being and Time*, 293; quoted in Lüdemann, *Politics of Deconstruction*, 11.

11. Heidegger, "What is Metaphysics?", 95.

birth). Heidegger's motto in Latin puts this primordial identity of the Nothing succinctly: *ex nihilo omne ens qua ens fit* ("from the nothing all beings as beings come to be").[12] The Nothing is the original dimension of all beings, the former always intruding upon beings and seeking to "nihilate" them—the Nothing nihilates (*das Nichts nichtet*)[13]. Always coupled with its being, the Nothing is paradoxically the dialectical opposite of being, as the other that inheres within its Being, in such a way that being reveals a sense of strangeness (*Umheimlichkeit*) in its being.[14] In everydayness of existence, the Nothing conceals itself by the profusion of beings, such that we, as Dasein, forget (or choose to forget) the Nothing that lies beneath worldly substances. This forgetfulness of the Nothing incites in us (*Dasein*) two different moods (*Stimmung*): boredom and joy. We are confronted with the feeling of boredom when we "find ourselves stationed in the midst of beings that are revealed somehow as a whole"[15] such that we encounter "beings as a whole" (i.e. the whole of its being as it manifests itself to us in the present) with "remarkable indifference."[16] The other mood in which we are oblivious to the Nothing is joy, the pleasure that we are "in the presence of the Dasein—and not simply of the person—of a human being whom we love." In this communal belongingness with other human beings, we find ourselves situated within the mood of being ("*die Befindlichkeit*

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12. Heidegger, "What is Metaphysics?", 108.

13. "This wholly repelling gesture toward beings that are in retreat as a whole, which is the action of the nothing that oppresses Dasein in anxiety, is the essence of the nothing: nihilation." Heidegger, "What is Metaphysics?", 103.

14. Heidegger, "What is Metaphysics?", p. 103. "[A]s repelling gesture toward the retreating whole of beings, it discloses these beings in their full but heretofore concealed strangeness as what is radically other—with respect to the nothing."

15. Heidegger, "What is Metaphysics?", 99.

16. "Profound boredom, drifting here and there in the abysses of our existence like a muffling fog, removes all things and human beings and oneself along with them into a remarkable indifference. This boredom reveals beings as a whole." Heidegger, "What is Metaphysics?", 99.

being (das Seiende)

ek-sist

space

Being (das Sein)

time

clearing (Lichtung)

The Nothing
(das Nichts)

"das Nichts nichtet"
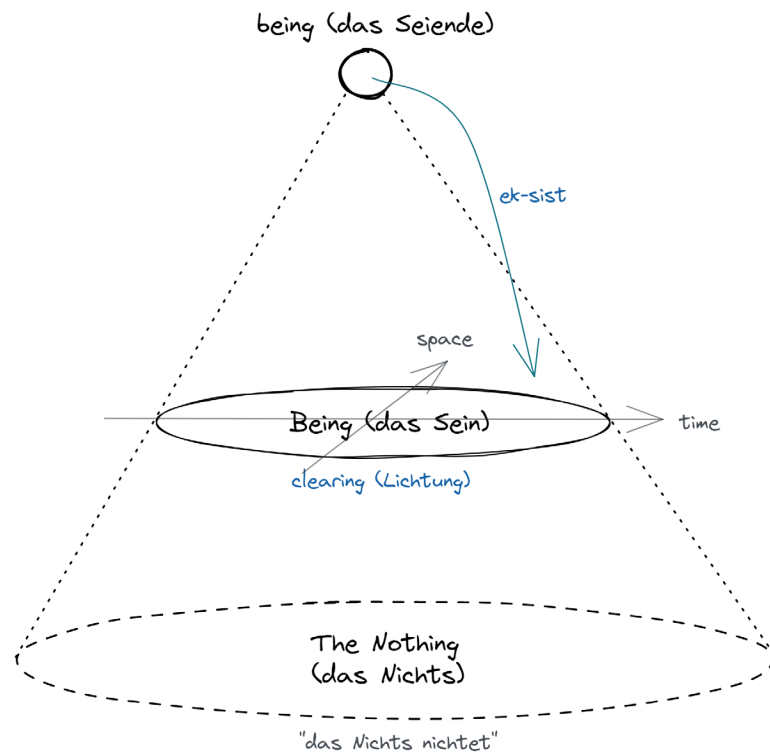
Example 8. Illustration of Heidegger's ontological framework.

der Stimmung"[17]), bringing us "face to face with beings as a whole."[18] Both boredom and joy in human beings conceal the Nothing and thus its Being of beings. One way, as Heidegger explicates in *Being and Time*, that the Nothing can be palpated is through the recognition of our own death, the moment when our being turns into not-being, in such a way that our death reveals the Nothing as the primordial state of our existence. The projection of our own death surfaces, rarely or occasionally, as the feeling of anxiety

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17. Heidegger, "What is Metaphysics?", 100.

18. Heidegger, "What is Metaphysics?", 100.

(*Angst*), a "fundamental mood" of our existentiality.[19] Anxiety is a feeling of uncertainty

and indeterminateness, as if the solidity of the ground has the possibility of suddenly

giving way to a void.[20] As we tend to take comfort in our dwelling within beings, in

which we feel at home (*heimlich*) within the world, the anxiety in face of the Nothing

renders this being as something unfamiliar and strange ("*es ist einem unheimlich*"[21]).

The "receding of beings" from us, and via which the Nothing is revealed to us, is the

condition of our existential angst, as our certainty to hold onto our existence is slipping

away.[22] Heidegger likens this anxiety to "hovering," an unstable state of our Being that

always already vacillates between the concreteness of being and the Nothing.[23] This

reciprocal interplay between being and the Nothing constitutes the Being of its being: "in

anxiety the nothing is encountered at one with beings as a whole."[24] To interrogate Being

means to take into consideration both its being and the Nothing in which it takes shelter.

The revelation of the Nothing in Dasein's existential anxiety not only reveals its own

Being but also brings the Being of other beings into light, such that "[o]nly on the ground

of the original revelation of the nothing can human existence approach and penetrate

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19. Heidegger, "What is Metaphysics?", 100. "This [an attunement in which man is brought before the nothing itself] can and does occur, although rarely enough and only for a moment, in the fundamental mood of anxiety."

20. Heidegger, "What is Metaphysics?", 101. "Anxiety is indeed anxiety in the face of ..., but not in the face of this or that thing. [...] The indeterminateness of that in the face of which and for which we become anxious is no mere lack of determination but rather the essential impossibility of determining it."

21. Heidegger, "What is Metaphysics?", 101.

22. Heidegger, "What is Metaphysics?", 101. "Rather, in this very receding things turn toward us. The receding of beings as a whole that closes in on us in anxiety oppresses us. We can get no hold on things. In the slipping away of beings only this "no hold on things" comes over us and remains. Anxiety reveals the nothing."

23. "In the altogether unsettling experience of this hovering where there is nothing to hold onto, pure Da-sein is all that is still there." Heidegger, "What is Metaphysics?", 101.

24. Heidegger, "What is Metaphysics?", 102.

beings."[25] In the Being of beings, the Nothing is not simply a negating force, but an agent that "makes possible the openedness of beings as such."[26] This openedness in Being is the clearing of its many possibilities of existing—the "clearing" (*Lichtung*) of Being that it is situated in the world. To put it more crudely, we can regard the Being of beings as a realm of possibilities that a being can make manifest in its different modes of existence, and the source of these possibilities originates from the not-beingness of the Nothing, which nihilates the certainty of beings and opens it up to unfamiliar (*unheimliches*) territories. We can say that the Nothing is the condition for beings to acquire their myriad modes of existence.[27]

The understanding of a being as it stands in its Being that reaches out into the Nothing, is, for Heidegger, the truth (*Wahrheit*) of its existence. In his pithy statement in his appendage to his essays "On the Essence of Truth," he claims that "the essence of truth is the truth of essence"—meaning that the defining property of truth is the revelation of the Being (its essence) of one's being, how it stands in relation to the Nothing and manifests in different multifarious possibilities. The revelation of its Being, as disclosedness (*Erschlossenheit*) or unconcealment (*Unverborgenheit*), requires its being to remain free from any intervention or manipulation, such that it can explore and realize its myriad possibilities that the Nothing makes possible for its existence. To put it in the opposite way, any fixation on any identity or function of a being restricts it from its openedness to other possibilities, and thus its Being is concealed, leads to what Heidegger calls *erring*—the turning away from Being and resort to what is readily available for the

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25. Heidegger, "What is Metaphysics?", 103.

26. Heidegger, "What is Metaphysics?", 104.

27. The issue of whether these possibilities are realized by being itself (as it seizes upon its Being as in the case of Dasein) or passively acquired and constituted from the outside, remains contestable as Heidegger abolishes the idea of subjectivity in his later writings.

sake of our understanding, or our equipmental grip upon, the thing itself.[28] The Being

of being conceals in the Nothing as the *untruth*, which paradoxically "is most proper to

the essence of truth" (the *untruth*, from which truth emerges, is the ground of *truth* and

therefore belongs to truth as its foundation). The Nothing, from this view towards truth,

acquires the meaning of mystery, which is simultaneously "the concealing of what is

concealed,"[29] "the primordial nonessence of truth,"[30] and "the still unexperienced domain

of truth of Being."[31] Heidegger articulates this coupling of truth with untruth explicitly:

"The proper nonessence of truth is the mystery. […] Nonessence is here what in such a

sense would be a pre-essential essence. […] the nonessence remains always in its own

way essential to the essence."[32] The letting-be of being in its Being is the "resolutely

open bearing" (*das entschlossene Verhältnis*) from which truth can be obtained.[33] To put

it simply, to allow truth to be revealed is to let it be in its Being and to heed its manifold

ways of existence in its realm of possibilities. In the clearing (*Lichtung*) of Being, truth

shines forth to us while at the same time it incessantly tends towards concealment ("the

clearing that shelters"), of hiding itself within the mystery of the Nothing.

Heidegger's ontological framework offers us a way to comprehend a variation set

as the realization of the Being of the opening theme (i.e. its multiple forms of existence

as possibilities). To follow Heidegger's formulation, the existentiality of the theme—the

way the theme *IS*—consists in the reciprocal interaction between its actual being and

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28. Heidegger, "On the Essence of Truth", 133. "Man's flight from the mystery toward what is readily available, onward from one current thing to the next, passing the mystery by—this is erring."

29. Heidegger, "On the Essence of Truth", 130.

30. Heidegger, "On the Essence of Truth", 131.

31. Heidegger, "On the Essence of Truth", 131.

32. Heidegger, "On the Essence of Truth", 130–31.

33. Heidegger, "On the Essence of Truth", 131. "As letting beings be, freedom is intrinsically the resolutely open bearing that does not close up in itself."

the Nothing (not necessarily silence but a "not-theme"). The Being of the theme, similar to Dasein, does not reside only in the present (as a *presence*), but we also have to take into consideration its wider horizon of temporality (*Zeitlichkeit*)—how it changes and transforms through time to realize its potentialities of existing, and how each individual variation bears the burden of its past and projects itself towards the future. Hence a variation set is deemed not as a theme (being) that undergoes transformations (becoming), but as a Being that returns each time as a whole in various configurational interplay between mere being and the Nothing. Hence the Being of a theme is trans-temporal—it takes upon itself the various modes of existence through time. This manner of conceiving of a variation set resonates with Swinkin's notion of "retroactive disposition"[34]: the theme itself possesses "abstract potentialities which are actualized by the variations,"[35] or "a malleable construct whose identity devolves on the variations,"[36] such that it remains understated and nebulous at first but "attains the status of a full-fledged feature only after it has been varied."[37] To rephrase his argument, the theme in its first appearance is complete in its being (existing in the mode of the present), but its Being of being is left unexplored. The variations that follow realize those possibilities that reside in the clearing of the theme's Being, re-emerging as the Being's potentiality. As Swinkin's put it, the theme "acquires a stable identity [i.e. its Being], paradoxically, only by being deviated from (varied, embellished or permuted) in some respect."[38] As such "the theme not as an *a priori* entity but as something whose identity is contingent upon the processes to which

34. Swinkin, "Variation as Thematic Actualisation: The Case of Brahms's Op. 9," 40.

35. Swinkin, 40.

36. Swinkin, 42.

37. Swinkin, 79.

38. Swinkin, 79.

it is subjected."[39]

The Being of the theme is that which gets reiterated and re-instantiated in each variation. As such, listening to a set of variations is akin to the revelation of the Being of the theme as it stands in its clearing, letting us interrogate this Being as truth. The variations therefore always harken back to the theme as arising from its realm of potentialities. Swinkin draws a parallel between this mode of thinking and Freud's notion of *Nachtraglichkeit*, which describes a psychotic situation where "a memory is repressed which has only become a trauma by deferred action."[40] The theme, analogous to a repressed memory of an event, possesses certain latent features that reside in the background of the musical surface, as something only hinted at but not announced; the later variations bring those latent features in the original theme to the fore by emphasizing them in certain salient manners.[41] Swinkin calls this process "actualization," the manner via which "a variation concretises an otherwise obscure thematic feature by rendering it more salient at the level of the foreground or more structurally consequential at that of the middleground."[42]

Hence from the perspective of Heidegger's fundamental ontology, the Being of the theme, what the theme *is*, therefore perpetually redefined and reshaped by each occurrence of the variation. To put this in Heideggerian terms, the theme *ek-sists* in its existence ("ek-sist" in the sense of going beyond its first presentation and explores its myriad possibilities); and each variation is always "ahead-of-itself" (looking forward to its end in anticipation) and "already-being-in" (inheriting all that came before itself) as

39. Swinkin, 37.

40. Swinkin, 42.

41. Swinkin, 38. "The variations, in other words, manifest latent features of the theme, features of which we might not otherwise be aware. Put more strongly, the variations retroactively define what the theme in fact is."

42. Swinkin, 43.

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"Being-alongside" (the formal protocol of variations as generic norms). By taking into account the temporal dimension of a variation set, the theme is made to explore its Being of being through recurrences, each time re-instantiating itself in a different shape and form. The potentiality for the theme to be varied and transformed cannot be thought of except in the reciprocity between being and the Nothing in which Being is situated. This Heideggerian perspective shares a great deal of similarities with Deleuzian transcendental empiricism as formulated in his magnum opus, *Difference and Repetition*, to which we will turn in the next section.

Chapter 3

Refrain and Rhizome

In the previous section, we had a glimpse of the three components that make up Heidegger's ontological framework: (1) the Nothing (*das Nichts*), which reveals itself as the groundlessness of every existence; (2) the being itself (*das Seiende*), which exists in the present as an empirical presence; and (3) the Being of beings (*das Sein*), which is the horizon (or clearing) where the being is free to realize its potentials and possibilities to exist in different modes or manners. Many post-structuralist philosophers after Heidegger, including Derrida and Foucault, seek to destabilize the unquestioned concreteness of beings, identities, and concepts, with resort to the similar ontological orientation as Heidegger's, whether it is deconstructed through language (Derrida) or critiqued with respect to the evolving cultural discourses from the perspective of history (Foucault). Deleuze's philosophical project concerns primarily with ontology itself— which he calls the *ontology of difference*—that intends to react against the ontology of identity that has long been the dominant way of thinking in most of our contemporaneous philosophical and scientific discourses. Deleuze's elucidation of "difference in-itself" (or "pure difference"), which is the ontological and phenomenological *a priori* basis (one that is characterized by a multiplicity of pre-individual singularities) upon which any identity is conditioned and founded (itself as a point of convergence of that intensive field), bears a certain resemblance to Heidegger's conception of Being (*Sein*), whereas the concept of the Nothing (*das Nichts*) finds its counterparts in the chaos, cosmos, or, in Deleuze's neologism, *Chaosmos*. While Heidegger provides a detailed analysis of Dasein from a phenomenological perspective in his *Being and Time*, the general nature of Being itself—how this Being is constituted and in what various modes of existence it becomes manifest—remains rather nebulous, and he largely elucidates this Being in terms of its spatial and temporal dimensions and its reach into the Nothing. Deleuze's

ontological project across his four major works (the latter two in collaboration with Félix Guattari)—*Différence et répétition* ("Difference and Repetition," published in 1968), *Logique du sens* ("The Logic of Sense," published in 1969), *Capitalisme et Schizophrénie 1. L'Anti-Œdipe* ("Capitalism and Schizophrenia 1: Anti-Oedipus," published in 1972), and *Capitalisme et Schizophrénie 2. Mille Plateaux* ("Capitalism and Schizophrenia 2: A Thousand Plateaus," published in 1980)—aims at scrutinizing this general notion of Being by investigating it with respect to the transcendental faculty of the mind, signs and language, and the material-social world. One crucial difference with respect to their philosophical approach that separates Deleuze's ontology substantially from that of Heidegger is that the concept of identity still figures rather prominently in the latter's *Being and Time*, for example, in Dasein's "ownmost" existence and its "authenticity" towards its Being as a way to achieve its own freedom; furthermore, the revelation of the Being of Dasein is grasped only by way of a phenomenological analysis of the everydayness of human existence (the questioning of the ontic characteristics of the human *being*) in the first place. Deleuze overturns the primacy of identity over difference and instead conceives of identities as evolving out of an ontologically prior field of difference—the field of pure difference (or sometimes he calls the virtual field). Deleuze later recasts (or real-izes) this notion of difference in materialistic terms, formulating terms such as *rhizome*, *machine*, *multiplicity*, *assemblage*, *schizoanalysis*, and *nomadology*: these concepts or ideas aim at capturing the internal constitution or the emergent properties (or expressions) of a being's Being—its nature, character, and mode of existence prior to any fixed identity. The shift in emphasis from transcendental empiricism in Deleuze's earlier works to rhizomatic materialism in his *Thousand Plateaus* represents a line of philosophical orientation that completely disbands with any notion of *transcendence*—a top-down approach in which ideas and concepts exist independent of its material existence; instead, he proposes a kind of philosophizing

that is based upon pure *immanence*, in which everything resides or evolves out of the
material world itself. In this philosophy of immanence, beings (objects, human beings,
or language) emerge from the chaosmos via a combinatorial process into assemblages,
and these assemblages may manifest themselves in various modes and configurations:
some are loosely organized and therefore prone to dissolution or transformation
(*deterritorialization*), whereas others are cohered tightly that can converge to a singular
point that is its identity (*territorialization*). In comparison, Heidegger's notions of the
Nothing and Being of beings still bear the burden of transcendence, in the sense that they
stand as metaphysical concepts without first being predicated upon the material world.
With a view from Heidegger, we can conceive of Deleuze's philosophy as a *grounding* or
further elaboration of the former's ontology from the material and empirical perspective,
and, instead of asking how a being is situated in relation to its Being that reaches into the
Nothing, Deleuze starts from the Nothing (the chaosmos) and proceeds to explore the
mode of beings in their Being, hence prompting him to formulate various concepts such
as rhizomes, multiplicities, machines, and assemblages.

A set of variations is a kind of being that is characterized by multiplicity; its
mode of composition is combinational rather than discursive or hierarchical, and
the individual components are laid out on the surface rather than organized in depth.
This formal multiplicity can be best explained by resorting to Deleuze's discussion of
territory and territorialization in *A Thousand Plateaus* (in particular the chapter "1872:
On the Refrain"). A set of variations is a series of refrains—passages that resemble the
theme recur in later times. Deleuze defines the refrain (*ritornelle*) as "any aggregate
of matters of expression that draws a territory and develops into territorial motifs and
landscapes.[1]" Matters of expression can be conceived of as those emergent properties

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1. Deleuze and Guattari, *A Thousand Plateaus*, 323.

that arise from the coming-together of pre-individual singularities (the *molecular*), in such a way that within the aggregate compound (the *molar*) those matters of expression gradually possess a certain degree of *consistency* to be taken as one entity (an *individual*) that is delineated somehow by a *territorial* border; at the same time, those matters of expression (as signs, signatures, or marks) begin to consolidate themselves into motifs, counterpoints (landscapes), and styles, which in turn take upon themselves the role of defining the "identity" of the organized mass. A refrain is not a single entity, but always involves the process of repetition or the existence of multiple replicates (simulacra), and when their internal properties and characters achieve a certain degree of consistency among one another, the pre-individual singularities then begin to congeal together, drawing a territory and forming a mass. As such a refrain is like a *fold* of space-time, or as Deleuze puts it, "*Glass harmonica*: the refrain is a prism, a crystal of space-time.[2]" Just as a glass harmonica brings itself and its surrounding air molecules into sympathetic vibrations, such that a single tone is emitted from this musical machine, a refrain "acts upon that which surrounds it, sound or light, extracting from it various vibrations, or decompositions, projections, or transformations,"[3] drawing all of those *intensities* into its territory and allowing them to vibrate in relation to another in a manner much akin to synchronized oscillations of its parts and the surrounding air molecules of a glass harmonica. The refrain, as a "crystal of space-time," not only oscillates because the singularities possess similar natural frequencies in themselves, but these vibrations can also be animated (or stimulated) by the mere fact of the presence of an oscillator in the first place, such that others are induced to vibrate with it in more or less synchronization. Deleuze refers to this property as the "catalytic function" of the refrain: "not only to increase the speed of the exchanges and reactions in that which surrounds it, but also

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2. Deleuze and Guattari, *A Thousand Plateaus*, 348.

3. Deleuze and Guattari, *A Thousand Plateaus*, 348.
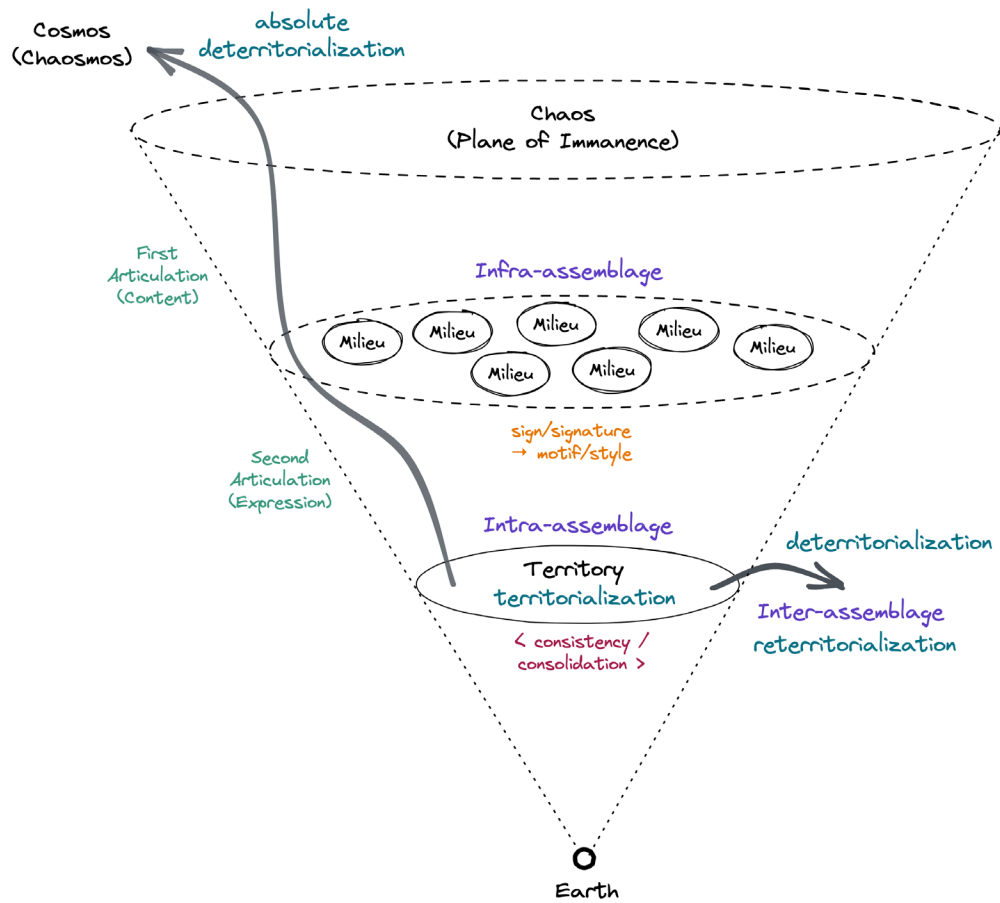
Example 9. Illustration of Deleuze and Guattari's ontological framework.

to assure indirect interactions between elements devoid of so-called natural affinity, and thereby to form organized masses."[4] The refrain, therefore, does not possess any pre-existent "form or correct structure imposed from without or above but rather an articulation from within, as if oscillating molecules, oscillators, passed from one heterogeneous center to another."[5] The emergent "form" of a refrain is composed of

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4. Deleuze and Guattari, *A Thousand Plateaus*, 348.

5. Deleuze and Guattari, *A Thousand Plateaus*, 328.

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"packets of relations steered by molecules" and the myriad "interaction or coordination" among themselves.[6]

Although the role of the refrain is to establish a territory, it is always in a state of, and subject to, the process of becoming, and its consolidation into a territory is only a result of a high degree of consistency among its matters of expression therein. Deleuze frames this process of becoming with respect to an increasing horizon of various condensations. Located at the top of the chaos of the cosmos (*chaosmos*); it is the "source" of everything, where molecules exist as pre-individual singularities, each of which does not possess any form to be identified or any name to be called. Deleuze here puts a different spin to Heidegger's notion of the Nothing, which has the sense of non-being (no beings can be identified) or before-being (the ground for the existence of other beings) rather than its literal semantic connotation of emptiness. In other places, Deleuze calls this ground of existence the *plane of immanence*, which possesses the highest degree of intensity (i.e. molecules moving haphazardly in multifarious ways) for aggregates and substances to emerge out of it. Aside from its potential to give rise to beings, the chaos is also an "immense black hole"[7] into which beings get "sucked back" and dissolved into their molecular constituents. The originary plane of existence is a "nonlocalizable, nondimensional chaos, the force of chaos, a tangled bundle of aberrant lines."[8] The first stage (or aspect) of the refrain attempts to fix a center within this plane of chaos: "it jumps from chaos to the beginnings of order in chaos and is in danger of breaking apart at any moment."[9] The refrain, like a crystal, is at its most incipient stage of existence, which it tries to "tame" the random crisscrossing of molecules by drawing "a rough sketch of a

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6. Deleuze and Guattari, *A Thousand Plateaus*, 328.

7. Deleuze and Guattari, *A Thousand Plateaus*, 312.

8. Deleuze and Guattari, *A Thousand Plateaus*, 312.

9. Deleuze and Guattari, *A Thousand Plateaus*, 312.

calming and stabilizing, calm and stable, center in the heart of chaos."[10]

This "rough sketch" emerges in the form of a *milieu*. Within a milieu, molecules begin to resonate with one another in similar frequencies, such that the purview of that milieu becomes "a block of space-time constituted by the periodic repetition of the component"[11]—elements begin to attain a certain degree of consistency therein. In addition, as without any definite territorial boundary, multiple milieus overlap with, and "morph into," one another such that one milieu can easily slide over into another by a slight change of its interior properties (or vibrations). Those properties that vibrate in a relative consistency is referred to as the *code* of the milieu:

> Every milieu is coded, a code being defined by periodic repetition; but each code is in a perceptual state of transcoding or transduction. Transcoding or transduction is the manner in which one milieu serves as the basis for another, or conversely is established atop another milieu, dissipates in it or is constituted in it. The notion of the milieu is not unitary: not only does the living thing continually pass from one milieu to another, but the milieus pass into one another; they are essentially communicating. The milieus are open to chaos, which threatens them with exhaustion or intrusion. (*A Thousand Plateaus*, 313)

To put this in musical terms, the elements in the chaosmos are the pure sounds, frequencies, and silence that make up what can be heard (or even what lies beyond our audible range). We can conceive of these milieus as various parametric layers (or dimensions) of music, each layer circumscribing a particular set of properties that remain common across the refrain: for example, the *pitch* milieu consists of a certain set of individual pitches out of the infinite span of frequencies, the *rhythmic* milieu is composed of a different combination of note values related by certain ratios (division

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10. Deleuze and Guattari, *A Thousand Plateaus*, 312.

11. Deleuze and Guattari, *A Thousand Plateaus*, 313.

by two or three), or the *timbral* milieu is made of various superposition of frequencies with overtones. Milieus can be formed in more complex ways that may involve multiple milieus: the *tonal* milieu entails pitches in various consonant and dissonant relations, the *whole-tone* milieu encompasses six particular pitch classes equidistant from one to the next, and the *dodecaphonic* milieu involves pitches organized in a certain pre-defined order. A milieu by itself is a "sub-song" of a full-fledged song, acting as a background upon which the song is built. Each milieu circumscribes a certain range of basic characters, musical content, and acoustic properties around which the full song is located. Milieus are situated between the molecularizing forces of chaos and the consolidating forces of territory that it may eventually emerge into; hence it is always "open to chaos," dissolving the milieu into the chaosmos. (Deleuze uses the distinction between meter and rhythm as an analogy: meter is a result of a certain level of consistency in the grouping of beats, whereas rhythm is the "in-between—between two milieus, rhythm-chaos or the chaosmos" that passes from one milieu to the next without settling down upon one particular repetitive scheme: "In this in-between, chaos becomes rhythm."[12])

A theme is grounded upon multiple milieus—melodic, harmonic, tonal, rhythmic, timbral, etc.—inasmuch as the theme, even when standing by itself, is already restrict itself to a certain range of materials out of the infinite possibilities from the chaos (i.e. rather than a random assortment of pitches and rhythm). As a theme achieve an internal consistency in itself (as one musical entity), it establishes a *territory*, and Deleuze referred to as *territorialization* the process via which milieus coagulate into a musical complex—a theme. A territory is formed through the process of *consistency* or *consolidation* (a term Deleuze borrowed from Eugène Dupréel), a transformational process from a *fuzzy* to a *discrete* set:

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12. Deleuze and Guattari, *A Thousand Plateaus*, 313.

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The first question to be asked is what holds these territorializing marks, territorial motifs, and territorialized functions together in the same intra-assemblage. This is a question of *consistency*: the "holding together" of heterogeneous elements. At first, they constitute no more than a fuzzy set, a discrete set that later takes on consistency.[13]

Elements within a milieu form a fuzzy set, themselves related by certain relationships of similarity but not yet being altogether equivalent to each other. The evolution from a fuzzy set to a discrete set involves the imposition of a boundary that segregates one set distinctly from others. Territorialization partakes in this evolutionary process from fuzzy to discrete, from a statistical distribution to an organization based upon identity and organicist structure. Consistency is attained when certain heterogeneous elements that have previously been loosely related are now bonded together more strongly, hence holding them tightly within the boundary of the territory. The former relations are called by Deleuze *discernment* or *discrimination*, for example, in the manner that two entities (or ideas of these entities) are related by analogy rather than causal necessity; this weak relations between entities are comparable to the "indirect, noncovalent, machinic and nonmechanical, superlinear, nonlocalizable bonds,"[14] such as the Van der Waals forces that keep pulling and pushing among atoms and molecules. Another type of bond is the "covalent, arborescent, mechanical, linear, localizable relations subject to chemical conditions of action and reaction or to linked reactions,"[15] and it binds two atoms together into the tight-knit structure of a molecule. The molecule displays a definite form and shapes through this covalent bonding, and this aggregate becomes a territory that possesses its own identity (that which can be named)

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13. Deleuze and Guattari, *A Thousand Plateaus*, 323.

14. Deleuze and Guattari, *A Thousand Plateaus*, 335.

15. Deleuze and Guattari, *A Thousand Plateaus*, 335.

and chemical properties. Territorialization is therefore much like the condensation of water vapor into liquid, which may then be crystallized into icicles or solid ice. During the process of consolidation, "heterogeneities that were formerly content to coexist or succeed one another become bound up with one another through the 'consolidation' of their coexistence and succession," and through this qualitative change, the loosely formed aggregate gradually evolves into an independent and self-contained territory cohered by well-defined bonds and linkages. The consolidation of a territory can occur spatially (the grouping together of several objects of simulacra) or temporally (the recurrence of similar events much akin to Deleuze's reinterpretation of Nietzsche's eternal return); hence the "territorial assemblage is a milieu consolidation, a space-time consolidation, of coexistence and succession,"[16] in which space and time are folded (or "implicated") within the territory via the refrain.

A territory draws upon and combines several milieus, bringing them into the *body* of the theme:

> The territory is in fact an act that affects milieus and rhythms, that "territorializes" them. The territory is the product of a territorialization of milieus and rhythms. [...] A territory borrows from all the milieus; it bites into them, seizes them bodily (although it remains vulnerable to intrusions). It is built from aspects or portions of milieus. It itself has an exterior milieu, an interior milieu, an intermediary milieu, and an annexed milieu.[17]

A theme (or territory) is defined by *matters of expression* or *qualities*: it may be composed in a rounded-binary structure, periodically articulated by cadences, tonally closed throughout, and set in a particular meter. In other words, abstract properties within

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16. Deleuze and Guattari, *A Thousand Plateaus*, 329.

17. Deleuze and Guattari, *A Thousand Plateaus*, 314.

a particular musical parametric layer begin to organize themselves (and to be identified) as different musical "objects"—as territorial marks or signatures (*placard*).[18] Musical properties and features that have been in the milieus are now identified as belonging to the theme itself (as a body) and thus become *expressive* (i.e. can be referred to, or labeled, by signs or words) rather than *functional* (i.e. constituting the material content of the theme). For Deleuze, expression is one of the defining features of the territory:

> There is a territory precisely when milieu components cease to be directional, becoming dimensional instead, when they cease to be functional to become expressive. There is a territory when the rhythm has expressiveness. What defines the territory is the emergence of matters of expression (qualities).[19]

> The refrain is rhythm and melody that have been territorialized because they have become expressive—and have become expressive because they are territorializing.[20]

A territory is the most concrete manifestation of the refrain, within which the relationship between the theme and the fundamental musical properties (as signs) is changed: before a territory is formed, those signs are the condition upon which a territory may emerge; once a territory is formed, it acquires an ontological presence, much akin to a transcendent idea, while rendering the former signs subordinate to itself—its properties.[21] Wagner's leitmotif is an example of such territorial signs. Deleuze, reacting to Debussy's critique of the use of leitmotifs in Wagner's music drama functioning much

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18. Deleuze and Guattari, *A Thousand Plateaus*, 315.

19. Deleuze and Guattari, *A Thousand Plateaus*, 315.

20. Deleuze and Guattari, *A Thousand Plateaus*, 317.

21. Deleuze and Guattari, *A Thousand Plateaus*, 315. "A milieu component becomes both a quality and a property, *quale* and *proprium*."

like "posters" (*placard*) that signal the entrance of certain characters or objects, proposes

that these motifs acquire independence from the dramatic actions insofar as their

recurrences within the course of the music drama (as refrains) elevate them as entities

in themselves (rather than as "servants" to the plot). In addition, leitmotifs are also

signifying (or *expressive*): they now possess the ability to "refer to" certain characters or

objects in the drama, even when they do not appear on the stage.

A territory not only is a fusion of multiple milieus but also possesses a center,

which Deleuze calls the Earth:

> The earth is this close embrace. This intense center is simultaneously inside
> the territory, and outside several territories that converge on it at the end of an
> immense pilgrimage […] Inside or out, the territory is linked to this intense center,
> which is like the unknown homeland, terrestrial source of all forces friendly and
> hostile, where everything is decided.[22] (321)

The Earth is a symbol of unity—the Oneness—within a territory. It is "an intense

center at its profoundest depths" as well as the "point of convergence" of everything

within a territory, and also the point of convergence of different territories (we can think

of Schenker's "chord of nature" as the Earth that generates the tonal system and all

musical works composed in this idiom).[23] As a territory, a theme is unified and takes up a

body akin to an organism, its entirety seemed to be generated from a center, which may

take the form of, for example, a Schenkerian *Ursatz* or Schoenbergian *Grundgestalt*. This

center of convergence is particularly intense, for everything is folded within this monad

of space-time. Different territories may share the same intense center of convergence,

much in the same way that different tonal passages may possess the composing-out of

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22. Deleuze and Guattari, *A Thousand Plateaus*, 321.

23. Deleuze and Guattari, *A Thousand Plateaus*, 325–26.

certain fundamental structures.[24] The point of convergence (the Earth), originally emerged as the product of the "surplus value" of the territory, takes over as the point of origin for the genesis of the territory, as if the latter is derived from that singular point—an origin that Deleuze termed the *Natal*. As multiple territories converge into the singularity of the Natal, it becomes a *point-fold* that envelops an increasing number of milieus and territories, which may ultimately implicate within itself the entire Cosmos: "The natal stretches from what happens in the intra-assemblage all the way to the center that has been projected outside; it cuts across all the interassemblages and reaches all the way to the gates of the Cosmos."[25]

The territory, albeit its consolidated connections and well-determined organization, is not impervious to change or dissociation. A territory may undergo decoding in the form of *deterritorialization*, in which its internal bonds and relations are reconfigured and its boundary gets enlarged or reduced.[26] Deterritorialization may pass from one configurational state into another, "pass[ing] from the intra-assemblage to interassemblages,"[27] in the case of which the *deterritorialization* is followed by *reterritorialization* into another assemblage; in an extreme circumstance, the assemblage may undergo *absolute deterritorialization* such that elements within the territory escape the territory and return to the chaos of the Cosmos. Deleuze characterizes this metamorphosis of territory from one state to another, and even to its death, as "play," inasmuch as "it fosters the entry of new dimensions of the milieus by releasing processes

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24. Deleuze and Guattari, *A Thousand Plateaus*, 325–26. "[T]he territory has an intense center at its profoundest depths; but as we have seen, this intense center can be located outside the territory, at the point of convergence of very different and very distant territories. The Natal is outside."

25. Deleuze and Guattari, *A Thousand Plateaus*, 333.

26. Deleuze and Guattari, *A Thousand Plateaus*, 326. "The territory is inseparable from certain coefficients of deterritorialization."

27. Deleuze and Guattari, *A Thousand Plateaus*, 326.

of discernibility, specialization, contraction, and acceleration that open new possibilities, that open the territorial assemblage onto interassemblages."[28] While *territorialization* is a becoming of a territory, *deterritorialization* is its reverse—the becoming-not of a territory, the non-identity of its identity. Deterritorialization involves the interplay among the territorial assemblage, its constituent milieus, and the chaosmos that lies in the background. Hence nothing is added or subtracted during territorialization or deterritorialization; the whole (the *real*) remains the same but actualized in different configurations of the virtual and actual. This prompts Deleuze to claim that "[i]t is the same 'thing' that appears first as a territorialized function taken up in the intra-assemblage, and again as a deterritorialized or autonomous assemblage, as an interassemblage."[29] In other words, deterritorialization is part and parcel of the territory and territorialization, just like our death is part and parcel of our being born.

In *absolute deterritorialization*, "[t]he assemblage no longer confronts the forces of chaos, it no longer uses the forces of the earth or the people to deepen itself but instead opens onto the forces of the Cosmos."[30] It represents a "cosmic breakaway" originating from the "centrifugal forces" of deterritorialization.[31] The assemblage becomes molecularized in this process, and by way of this molecularization the forces of the Cosmos are released and made palpable as "forces, densities, [and] intensities."[32] These molecules then possess maximum intensities, free to form linkages and aggregates with one another (this is much akin to the state of maximum entropy of a thermodynamic system); or as Deleuze explains in his later writing (*What is*

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28. Deleuze and Guattari, *A Thousand Plateaus*, 326.

29. Deleuze and Guattari, *A Thousand Plateaus*, 326.

30. Deleuze and Guattari, *A Thousand Plateaus*, 342.

31. Deleuze and Guattari, *A Thousand Plateaus*, 337.

32. Deleuze and Guattari, *A Thousand Plateaus*, 343.

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Philosophy?), the "[c]haos makes chaotic and undoes every consistency in the infinite."[33]
In music, deterritorialization is analogous to the technique of *liquidation* in the thematic-
motivic dimension as proposed by Schoenberg: "The technique of liquidation, i.e. by
gradually depriving the motive-forms of their characteristic features and dissolving them
into uncharacteristic forms, such as scales, broken chords, etc."[34] Just as a territory is
characterized by matters of expression, a theme is likewise characterized by its motivic,
harmonic, and phrasal features. Liquidation, as a mode of thematic deterritorialization,
destructs the territorial assemblage and "dissolves" those defining features into non-
expressive units of matter—molecules that cease to define a thematic character. These
"uncharacteristic forms" (as pure sonorities), for Deleuze, may take the form of "a pure
and simple line" or "a simple figure in motion and a plane that is itself mobile."[35] These
cosmic lines, shapes, and planes gradually merge with the non-lines, non-shapes, and
non-planes of the Cosmos (the ultimate plane of immanence), the dissolving of the
territory into the primordial chaos. The absolute deterritorialization is a character of the
modern artist, who interacts directly with the forces that are encapsulated within the
material itself (as "material-forces"), which are derived from the forces of the Cosmos.[36]
The modern artist is indeed a "cosmic artisan: a homemade atomic bomb"[37] who
harnesses the nuclear forces lying dormant within its material, releases those forces and

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33. Deleuze and Guattari, *What is Philosophy?*, 42.

34. Schoenberg, *Fundamentals of Musical Composition*, 152.

35. Deleuze and Guattari, *A Thousand Plateaus*, 344.

36. Deleuze and Guattari, *A Thousand Plateaus*, 342. "The essential relation is no longer matters-forms (or substances-attributes); neither is it the continuous development of form and the continuous variation of matter. It is now a direct relation material-forces. A material is a molecularized matter, which must accordingly "harness" forces; these forces are necessarily forces of the Cosmos. There is no longer a matter that finds its corresponding principle of intelligibility in form. It is now a question of elaborating a material charged with harnessing forces of a different order: the visual material must capture nonvisible forces."

37. Deleuze and Guattari, *A Thousand Plateaus*, 345.

renders them visible to the perceiver's eyes.

A theme and its variations are territories, and, as a whole, they constitute a larger territory (or meta-territory) in the generic form of a theme-and-variations. From the view of the Deleuzian ontology regarding the interplay among the chaos, milieus, territory, and the Earth, a theme is an assemblage of multiple milieus, such as the *melodic* or *motivic* milieu, the *harmonic* milieu, the *accompaniment* or *figural* milieu, the rhythmic or *metric* milieu, as well as the *phrase-structural* milieu. A theme (or variation) therefore emerges as an independent musical entity insofar as these milieus are brought together and each demonstrates a certain degree of consistency with respect to its internal properties. The entire work of a variation is subject to an evolving transformation of these milieus—as *flows* that continually decode and deterritorialize the thematic territory (these flows are represented in the diagram as the horizontal arrows). These background musical flows function like desiring-production—the desire of producing something new by drawing together different flows and their resultant surplus values. We can think of these flows are continual changes that the theme is subject to within the course of the overarching variational process. Each variation interrupts these continual flows and presents a slice of the evolving musical complex. We can imagine each variation is produced by a *machine* that is plugged into these musical flows, which allows certain alterations to occur in a milieu whereas keeping other milieus more or less intact; as such we may call this "mechanism" of production the *variation machine*. This variation machine does not induce changes or transformations to the theme, but instead draws upon certain of these potential alterations afforded by the theme while at the same time blocking (or rejecting) other possibilities to manifest. In other words, the variation machine turns the (horizontal) flows circulating in the milieus into successive (vertical) *strata* of the individual variations, as if they are "slices" of these continual flows. This function of "slicing" from the flows is the first character of the Deleuzian machine, which he calls "*coupures-*
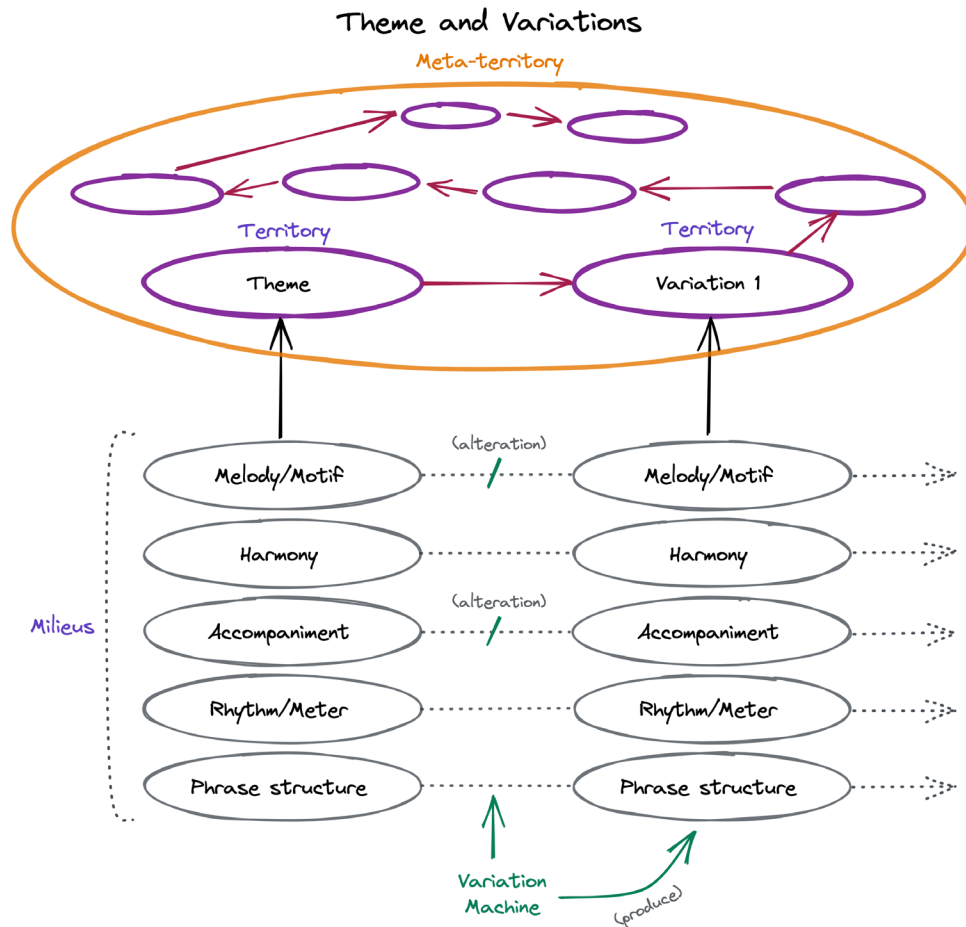
Example 10. Variations as territorialization, flows, and machinic assemblage.

prélèvements" (a cut that slices off).[38] The machine in this sense functions like a "ham-slicing" machine that cut off a slice out of the entire whole:

> A machine may be defined as a *system of interruptions* or breaks (*coupures*). [...] Every machine, in the first place, is related to a continual flow (*hylè*) that it cuts into. It functions like a ham-slicing machine, removing portions from the

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38. Deleuze and Guattari, *Anti-Oedipus*, 36.

associative flow.[39]

Deleuze defines the term *hylè* as "the pure continuity that any one sort of matter ideally possesses."[40] Happening in the Real (i.e. the material world), these Heraclitean flows (*hylè*) as movements and directions may not make itself known, but "must be seen as an ideal thing, an endless flux"[41] in much the same way that the Cosmos is always in flux. Similarly, the continuity of the musical flows within a theme-and-variations, happening in the multiple milieus, is only implicated by the slices (i.e. the individual variations) that cut off from the variation machine. The injection of a variation machine within the continuous musical flows and the slicing-off of these flows constitute the first phase of a machinic assemblage—its *connective synthesis*.

The entire variation set is made up of a theme followed by multiple variations that evolve out from it. As these slices succeed one another in a series, they result in a "signifying chain" (*chaînes signifiantes*).[42] Yet there is a qualitative difference between the implicit musical flows, which stand as the conditions for the continual transformations and alterations of the materials, and the series of individual variations, each of which now displays a code of its structural organization and material composition:

> [E]very machine has a sort of code built into it, stored up inside it. This code is inseparable not only from the way in which it is recorded and transmitted to each of the different regions of the body, but also from the way in which the relations of each of the regions with all the others are recorded.[43]

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39. Deleuze and Guattari, *Anti-Oedipus*, 36.

40. Deleuze and Guattari, *Anti-Oedipus*, 36.

41. Deleuze and Guattari, *Anti-Oedipus*, 36.

42. Deleuze and Guattari, *Anti-Oedipus*, 38.

43. Deleuze and Guattari, *Anti-Oedipus*, 38.

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The machine, in drawing off the flow in different manners, imposes a code upon the variations, each of which displays different organization and musical content therein. These codes (or their internal constitution) are what is perceived by the listener—in the manner of expression. Passing from material to signification, the ideal continual musical flows become disjunctive in the signifying chain of variations, as if they are a succession of images or paintings presented one after the other. As a chain, it can never to continuous or homogenous, but rather as disjointed and heterogeneous fragments that are put together in a series: "No chain is homogeneous; all of them resemble, rather, a succession of characters from different alphabets in which an ideogram, a pictogram, a tiny image of an elephant passing by, or a rising sun may suddenly make its appearance."[44] In the condition of schizophrenia, one thinks in these heterogeneous segments that are connected disjunctively as a series without themselves organized, or synthesized, into any singular Signifier of expression; as Deleuze puts it, "[s]chizzes have to do with heterogeneous chains, and as their basic unit use detachable segments or mobile stocks resembling building blocks or flying bricks."[45] Variations within a set are akin to these "blocks and bricks," as fragments that are referred to more formally by Deleuze as the "partial objects."[46] These partial objects emerge out of the material flows as a "primordial totality" onto which the machine is plugged, while at the same time they elicit a series of expressions in the form of individual variations that are disjunctive and heterogeneous. The form of theme-and-variations, when viewed as a meta-territory that consists of individual territories, each of which is a fusion of multiple musical milieus, appears as a body with disparate parts that are presented temporally as a series. This drawing-together of disparate parts is the second phase of the variation machine—the *disjunctive* synthesis.

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44. Deleuze and Guattari, *Anti-Oedipus*, 38.

45. Deleuze and Guattari, *Anti-Oedipus*, 39–40.

46. Deleuze and Guattari, *Anti-Oedipus*, 42.

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Something miraculous may happen as a side-effect from the prior connective and disjunctive synthesis—there stands a possibility of the emergence of a subject, one that is produced "alongside the machine, functioning as a part adjacent to the machine."[47] This subject is the potential point of convergence of the meta-territory of the entire work, akin to the idea of "spirit" by Adorno or the "will" by Schenker, in such a manner that the entire work seems to project a single idea or intention. As opposed to our common usage of the subject, the *subject* by Deleuze is a residual product from the coming together of the individual territories (i.e. the opening theme and its variations), which is different in nature from the passive *selves* that are contingent upon our passive syntheses of time. The Deleuzian subject is not the center of agency or an origin that organizes the entire variation set by proffering certain principles to each individual territory; instead, the subject emerges from the surplus value elicited by the combination of territories (i.e. variations), as a center of gravity that these territories seem to vibrate around. This side-product of the territory is the third stage of the variation machine, referred to as the "residual break" (*coupure-reste*), a residuum that is drawn off from the machinic assemblage of the theme-and-variations. This newly-emerged subject is not a static "being," but continually evolves and transforms itself in relation to the territories and milieus that it synthesizes. It is in this sense that the subject "consumes and consummates each of the states through which it passes, and is born of each of them anew, continuously emerging from them as a part made up of parts, each one of which completely fills up the body without organs in the space of an instance."[48] With the emergence of a subject, the work of theme-and-variations is now be seen as a "being" (étant)—as one musical entity that occupies a single duration (*duré*). This variation *subject* enables one to grasp the entire work as a whole, within which thought travels at infinite speed, passing from

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47. Deleuze and Guattari, *Anti-Oedipus*, 40.
48. Deleuze and Guattari, *Anti-Oedipus*, 41.

one territory to the next, or from one milieu to another, without implying any fixed identity in itself that renders it into an Aristotelian substance (*hypokeimenon*). (The ontological priority of multiplicity, which he calls "pure difference" or "difference in itself," over identity receives its fullest articulations in his magnum opus, *Repetition and Difference*, in which he frames the issue in transcendental terms.) It is worthy to note here that this subject is a prerequisite for a theme-and-variations to exist; it only emerges if the territories attain a certain degree of consistency among themselves when congealed as a meta-territory, and this subject can be "schizophrenic" when the territories fail to converge into a single focal point of intensity, but instead coalesce into multiple heterogeneous series (composed of several "sub-territories" instead of a single "meta-territory").

The variation machine participates in three modes of operations: (1) *connective* synthesis, by which it plugs itself into the continual flow (*hylè*) of musical changes across milieus, extracting various stratum out of it in the form of variations; (2) *disjunctive* synthesis, where the territories of the variations become expressive instead of material, and form chains of signifying series that seek to draw together the heterogeneous elements across the multiple variations; and (3) *conjunctive* synthesis, in which a subject is formed alongside the coming-together of territories as a point of convergence—an overlook (Überblick) of the entire work in a moment (*Augenblick*). Permeating the overarching mechanism of the variation machine is a pervasive *desire* to produce— "desiring-production"—to ever generate something new, remarkable, and interesting. In this sense, the opening theme is "thrown" (*geworfen*) into the chaos of sound as a point of stabilization, to circumscribe certain milieus and horizons into which the variation machine is plugged, the latter then generating new territories in the following variations. From the Deleuzian perspective, the theme ceases to be the center around which all the subsequent variations revolve, but merely as a point of entry (or a moment of inception)

that "ignites" the variation machine and starts off the engine of the variation process. As such the theme-and-variations always commences in the middle (*in medias res*) of chaos and then spiral off into more remote territories and milieus.

The form of a variation set, as a refrain that immediately succeeds one another, gives rise to an assemblage that is isomorphic to "a prism, a crystal of space-time."[49] Within this prism or crystal, heterogeneous elements (or territories) are related to one another in a rhizomatic manner—a system of relations analogous to the structure of taproot in nature, which displays a "more multiple, lateral, and circular system of ramification, rather than a dichotomous one."[50] Deleuze contrasts this rhizomatic organization to that of a root-tree (the arborescent structure), within which the elements are hierarchically organized. Our traditional conception of a sonata form bears witness to this arborescent organization: the top level form branches off into three separate sections (exposition, development, and recapitulation), and each section is further subdivided into themes or theme-groups (primary, secondary, and closing). The arborescent system is characterized by one center that continually bifurcates into branches and subspecies: "Arborescent systems are hierarchical systems with centers of signifiance and subjectification, central automata like organized memories."[51] The arborescent structure is bureaucratic or socialist, its direction of command passing from top to bottom, in which "[t]he channels of transmission are preestablished: the arborescent system preexists the individual, who is integrated into it at an allotted place."[52] By contrast, the rhizome is a radicle system with fascicular roots, "an immediate, indefinite multiplicity

49. Deleuze and Guattari, *A Thousand Plateaus*, 348.

50. Deleuze and Guattari, *A Thousand Plateaus*, 5.

51. Deleuze and Guattari, *A Thousand Plateaus*, 16.

52. Deleuze and Guattari, *A Thousand Plateaus*, 16.

of secondary roots grafts onto it and undergoes a flourishing development."[53] Opposed

to the hierarchical organization of the tree, the rhizome is flat, with roots growing out on

the surface and connecting one territory to the next through a succession of horizontal

linkages: "[a]ll multiplicities are flat, in the sense that they fill or occupy all of their

dimensions: we will therefore speak of a plane of consistency of multiplicities."[54] The

theme, in this rhizomatic viewpoint, does not possess a privileged status with respect to

its subsequent variations, or as the origin upon which the latter is derived; instead, the

theme is only one entity among the many that occupy the body of the variation set, all of

which lay on the same surface with a flat topology. Because the rhizome is not organized

around a definite center, it does not lend itself readily to a single signifier, concepts

like "sonata form" or Schenkerian "*Ursatz*," under which everything is subsumed and

coordinated; instead the rhizome as "*[f]lat multiplicities of n dimensions* are asignifying

and asubjective"[55]—existing merely as an assemblage of heterogeneous elements without

any concern for transcendence (as Platonic Ideas) or essence. It does not follow that a

rhizome cannot have a unity, but that this unity does not preexist the rhizome *a priori* but

emerges as a property *a posteriori* contingent upon the singularities, as the heterogeneous

elements get consolidated into an increasing degree of homogeneity. Hence a rhizome

cannot be apprehended by a single framework of mind or according to a single

principle: "We do not have units (*unités*) of measure, only multiplicities or varieties of

measurement."[56]

A rhizome is defined not by each constituent element by itself, but by the

connections that bridge those heterogeneous units into various organizational

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53. Deleuze and Guattari, *A Thousand Plateaus*, 5.

54. Deleuze and Guattari, *A Thousand Plateaus*, 9.

55. Deleuze and Guattari, *A Thousand Plateaus*, 9.

56. Deleuze and Guattari, *A Thousand Plateaus*, 8.
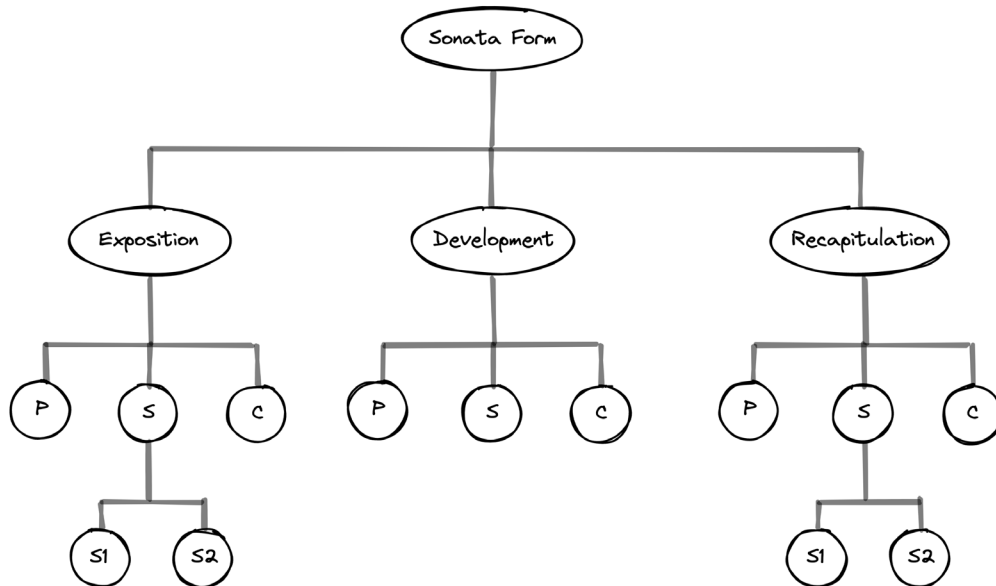
Example 11. Arborescent conception of musical form.

configurations.[57] These connections are *alliances* instead of *filiations* in an arborescent structure:

> The tree is filiation, but the rhizome is alliance, uniquely alliance. The tree imposes the verb "to be," but the fabric of the rhizome is the conjunction, "and … and … and …" This conjunction carries enough force to shake and uproot the verb "to be."[58]

As connections can grow (bringing in elements outside the territorial boundary) or die off (elements leaving the rhizome in the form of deterritorialization), a rhizome

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57. Deleuze and Guattari, *A Thousand Plateaus*, 7. "A rhizome ceaselessly establishes connections between semiotic chains, organizations of power, and circumstances relative to the arts, sciences, and social struggles."

58. Deleuze and Guattari, *A Thousand Plateaus*, 25.
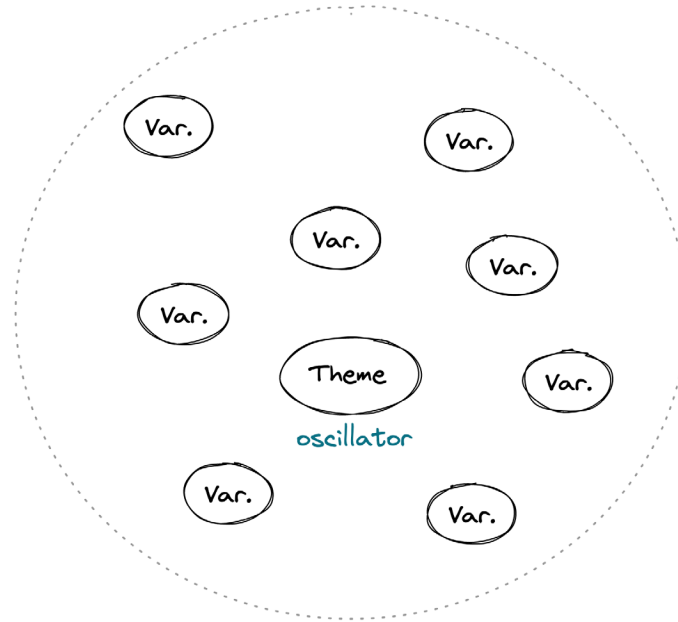
Example 12. Variations as a rhizome.

is never a static and eternal entity but always subject to change, alteration, expansion, and dissolution—much like a crystal that can potentially grow or dissolve back into its surrounding milieu (the saturated solution). Williams distills Deleuze's philosophical thinking into two principles—connecting and forgetting[59]—which are particularly pertinent to the character of the rhizome: it grows by establishing connections with disparate elements outside of its boundary, and it is prone to *decentering* by losing (or forgetting) some of its elements within its domain of influence. A rhizome, therefore, "changes in nature" when it increases (or decreases) in dimensions, which is a *qualitative* change that is contingent upon the *quantitative* change in the plane of immanence. This

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59. James Williams, "Gilles Deleuze's Difference and Repetition: A Critical Introduction and Guide," 1–13.

process of forgetting, via which the rhizome is always susceptible to change and to become its not-self, parallels Deleuze's repudiation of any sort of thinking that is fixed in identities that are taken to be universally true. Hence the rhizome possesses a positive valence—it can break open any fixed identities and enables certain elements to leave the rhizome via the *line of flight*:

> Every rhizome contains lines of segmentarity according to which it is stratified, territorialized, organized, signified, attributed, etc., as well as lines of deterritorialization down which it constantly flees. There is a rupture in the rhizome whenever segmentary lines explode into a line of flight, but the line of flight is part of the rhizome.[60]

The potential of a rhizome to "spin off" along the line of flight is referred to by Deleuze as "asignifying rupture"—a moment of breakout in the rhizomatic structure that allows its internal elements to leave and to connect with a different rhizome. This kind of rhizomatic interaction commonly occurs amidst aparallel evolution, a kind of "evolution of two beings that have absolutely nothing to do with each other"[61] in such a way that one rhizome undergoes *deterritorialization* (a unit or a code leaving its territory via a line of flight) and is captured by another rhizome in the form of *reterritorialization*. As such, a set of variations, such as in the case of Schumann, may break away from the enclosed crystal of the variational rhizome and "spin off" into a divergently different structure in the finale, as if the crystal is erupted from which emerges something new as a breakthrough.

Because a rhizome is characterized by connections, "[t]here are no points or positions in a rhizome, such as those found in a structure, tree, or root. There are only

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60. Deleuze and Guattari, *A Thousand Plateaus*, 9.

61. Deleuze and Guattari, *A Thousand Plateaus*, 10.

lines."[62] These are the lines of connections, or passageways, that one can travel from one location within the rhizome to another (Deleuze brings in Glenn Gould's piano playing as an illustration of the underscoring of lines over points, as he speeds up certain passages to bring into relief the former over the latter). As a consequence, when encountering a rhizome one need to travel along those lines in order to "map out" the terrains and the rhizomatic connections, as Deleuze puts it: "[t]he rhizome is altogether different: *a map and not a tracing*."[63] As opposed to the common saying "seeing the forest for the trees," a rhizome has to be traversed by passing from one tree to the next, meandering through the passageways between those trees to plot out the land occupied by the forest:

> It's not easy to see things in the middle, rather than looking down on them from above or up at them from below, or from left to right or right to left: try it, you'll see that everything changes.[64]

Deleuze does not dispense altogether with the forest in favor of only the trees themselves but instead asks us to be cautious about any presupposition of a forest (i.e. the imposition of an ideal structure) without examining each individual tree in the first place. Cartography across the rhizomatic space is "oriented toward an experimentation in contact with the real,"[65] the real as pure immanence for the emergence of the larger whole (the forest). A *mapping* assumes that the whole is not given *a priori*, and there is always something more to be explored and experimented with by traversing new lines along the plane of immanence. This stands in contrast with *tracing*, which already assumes in the first place a well-defined shape and form of the whole, transforming it into

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62. Deleuze and Guattari, *A Thousand Plateaus*, 8.

63. Deleuze and Guattari, *A Thousand Plateaus*, 12.

64. Deleuze and Guattari, *A Thousand Plateaus*, 23.

65. Deleuze and Guattari, *A Thousand Plateaus*, 12.

an image that can be reproduced or replicated. Tracing obliterates all features that are non-essential to the structure of the whole while deeming those features that remain as "essential" to its identity; as such tracing is selective and reductive. In contrast, mapping pays attention to every feature of relations that may potentially connect one to another, hence it "fosters connections between fields, the removal of blockages on bodies without organs, the maximum opening of bodies without organs onto a plane of consistency."[66] Listening to a theme-and-variations is akin to this process of mapping, which requires the listener to pass from one tree (variation) to the next, each of which occupies a particular space within the body of the musical work, each moment exploring a new terrain that is opened up by the individual variation (this mapping-out of the variational space is further elucidated in **Part II** of this dissertation). The rhizomatic mode of listening engages with short-term rather than long-term memory, for "short-term memory is of the rhizome or diagram type, and long-term memory is arborescent and centralized (imprint, engram, tracing, or photograph)"[67]—as we experience the variations one after the other, fragments of those variations already heard in the past are recalled as auditory images (as internal audition) in our short-term memory, which is then compared with one another and to the present variation, forming a network of connections with various strengths and relational properties. Listening to a theme-and-variations in a rhizomatic manner relies upon forming these one-to-one relationships, which Deleuze terms "reciprocal determination," between one musical feature to another, without appealing to any overarching or totalizing organizational principles in the first place. Deleuze believes that our brain is a probabilistic system where the neurons form "a multiplicity

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66. Deleuze and Guattari, *A Thousand Plateaus*, 12.

67. Deleuze and Guattari, *A Thousand Plateaus*, 16.

immersed in its plane of consistency,"[68] whereas our long-term memory consolidates these assemblages of brain cells into certain "arborescent and centralized" structures. On the one hand, these arborescent systems of thought enable one to gain competence in their everyday engagement with the real world, yet they stifle desires, because in the absence of any rhizomatic substructure appended to the tree, or "[o]nce a rhizome has been obstructed, arborified, it's all over, no desire stirs; for it is always by rhizome that desire moves and produces."[69] In other words, the arborescent structure obstructs the operation of desiring-production so that nothing new will be generated; everything needs to gravitate toward the center of the tree. On the other hand, the rhizome promises freedom and experimentation, the creation of the new, the discovery of the remarkable, and the circulation of desires within the Body without Organs (BwO). Hence mapping is an act of discovery, exploration, an action to "palpate the unknowable";[70] it "has to do with performance, whereas the tracing always involves an alleged 'competence.'"[71]

It is worth mentioning that the rhizome and the tree (or the map and the tracing) should not be conceived of as two opposing and incompatible modes of organization; they often interact with one another in which one is grafted onto the other:

> the root-tree and canal-rhizome are not two opposed models: the first operates
> as a transcendent model and tracing, even if it engenders its own escapes; the
> second operates as an immanent process that overturns the model and outlines a
> map, even if it constitutes its own hierarchies, even if it gives rise to a despotic

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68. Deleuze and Guattari, *A Thousand Plateaus*, 15. "The discontinuity between cells […] makes the brain a multiplicity immersed in its plane of consistency or neuroglia, a whole uncertain, probabilistic system ('the uncertain nervous system.')"

69. Deleuze and Guattari, *A Thousand Plateaus*, 14.

70. Todd May, *Gilles Deleuze: An Introduction* (Cambridge: Cambridge University Press, 2005).

71. Deleuze and Guattari, *A Thousand Plateaus*, 12.

channel.[72]

A tree may extend itself horizontally over a larger territory by way of a rhizome, while a rhizome can burgeon into a tree-like structure by having established a fixed center (akin to a despot)—"Trees may correspond to the rhizome, or they may burgeon into a rhizome."[73] Similarly, the form of a theme-and-variations may display a rhizomatic network of construction (such as in the form of motivic or figural relations), while it may also project a centralized and hierarchical organization, such as ternary or rondo design. One should therefore guard against any totalization or identification of a piece with a particular formal scheme, and always be mindful that the rhizome always subsists in a tree, awaiting the opportunity to branch off into different territories. We can think of the interaction between the rhizome and the tree as an assemblage—"very diverse map-tracing, rhizome-root assemblages, with variable coefficients of deterritorialization. There exist tree or root structures in rhizomes; conversely, a tree branch or root division may begin to burgeon into a rhizome."[74] Just as the tree is defined by a center and fixed identity and the rhizome by a network of interrelations and multiplicity, a "map-tracing, rhizome-root" assemblage is simultaneously centralized and relational, unified and heterogeneous (like the "Duck-Rabbit Figure" that allows for the coexistence of two perspectives within one image). To put it in another way, any identity or concept is always already subject to be deconstructed, while the disparate fragments have the potential to coalesce around a certain point of convergence to be consolidated as an identity—a becoming-tree of the rhizome and a becoming-rhizome of the tree:

There are knots of arborescence in rhizomes, and rhizomatic offshoots in roots.

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72. Deleuze and Guattari, *A Thousand Plateaus*, 20.

73. Deleuze and Guattari, *A Thousand Plateaus*, 17.

74. Deleuze and Guattari, *A Thousand Plateaus*, 15.

Moreover, there are despotic formations of immanence and channelization specific to rhizomes, just as there are anarchic deformations in the transcendent system of trees, aerial roots, and subterranean stems.[75]

Given the ambiguous or complex nature of this arborescent-rhizomatic assemblage, James Webster's notion of the "multivalent analysis" may be particularly conducive to tease out the complex interplay of identity and multiplicity, via which the musical work "is understood as encompassing numerous different 'domains': tonality, musical ideas, rhythm, dynamics, instrumentation, register, rhetoric, 'narrative' design, and so forth."[76] Rather than offering a single view of the musical form, Webster's multivalent analysis attends to every musical domain that participates in projecting any sort of formal relations and articulations. Also relevant is Webster's distinction between "*Form*" and "*Formung*": the former refers to "formasshape (balance, symmetry, proportions, architecture)" whereas the latter to "formasprocess (the dynamic development of musical ideas through time)."[77] These two ideas about form also suggest other dichotomies: "form as structure vs. form in time; surface design vs. organic deep structure; synoptic comprehension vs. immediate apprehension."[78] Here we can conceive of the tree as corresponding to "*Form*" as structure or architecture, whereas the rhizome is likened to "*Formung*" as the underlying process of giving rise to a structure as the piece unfolds in time. I would like to propose that listening to a variation set reflects this latter way of apprehension—meandering through the formal territory as we proceed from one variation to the next, paying attention to each particular element and musical features

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75. Deleuze and Guattari, *A Thousand Plateaus*, 20.

76. William Caplin, et al, *Musical Form, Forms, and Formenlehre: Three Methodological Reflections*, 128.

77. Caplin, et al, *Musical Form*, 123.

78. Caplin, et al, *Musical Form*, 124.

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and heeding how they relate to each other in the form of a complex network.

Viewing the theme-and-variations as a refrain, this crystal of rhizomatic space-time, a product produced by the variation machine that inserts itself into the *hylé* of musical flows, grows in size as more and more variations are appended after the opening theme in a series, while the rhizomatic assemblage is concomitantly decentered as it encompasses different territorial domains. As the variation unfolds through time, the formal assemblage is always in the process of becoming, growth, and evolution. We can conceive of these rhizomatic becoming in relation to two Deleuzian ideas: *epistrata* and *parastrata*. An *epistrata* is a state within the evolving process, a cross-sectional view of the continual flow, the intermediate states that are superimposed over one another in much the same way that the variations are modeled upon the theme. Viewing the variations are a series of epistratum, the entire work then consists of: "an outgrowth and multiplication of intermediate states […] These intermediate states present new figures of milieus or materials, as well as of elements and compounds. […] We will use the term epistrata for these intermediaries and superpositions, these outgrowths, these levels."[79] An epistratum is comparable to a certain state of a substance (*hypokeimenon*) that are subject to continual transformations, such that one stratum is "piled one atop the other, and form new centers for the new peripheries";[80] these new centers are a consequence of the subsequent stratum that deviates in various degree from the centricity of the theme. The epistratum is therefore characterized by a succession of *deterritorialization* (of the previous strata) and *reterritorialization* (in the following strata)—in other words, certain elements within the theme (or a variation) may be altered or abandoned whereas new materials get incorporated into a new stratum. As such, within a theme-and-variations "[t]

79. Deleuze and Guattari, *A Thousand Plateaus*, 50.
80. Deleuze and Guattari, *A Thousand Plateaus*, 52.

he organization of the epistrata moves in the direction of increasing deterritorialization,"[81] a trajectory away from the opening theme. This brings us to the second view of the "*formung*" of a variation—with respect to its *parastrata*. A parastratum concerns any new milieu that gets incorporated into the previous state of the strata via associations. The parastrata divide the entire territory into different zones of influence, where "the central belt fragments into sides and 'besides,' and the irreducible forms and milieus associated with them."[82] Just as epistrata is understood as rates or differential relations, a parastratum refers to population, some clustering around certain central points while others dispersed across more distant realms.[83] Each variation within a series defines (as well as refines) the previous parastrata by incorporating the new entity into the present one, hence redrawing a new boundary that brings it into the territorial domain. The unfolding of a theme-and-variations corresponds to an ever-enlarging series of parastrata, circumscribing an increasingly vaster span of formal space. As a parastratum gets expanded, this internal formal organization is also redefined accordingly—a process that Deleuze refers to as *decoding*, in such a way that the new "code" of the variation gets integrated into the existing organization of the rhizome, as if a "side-communication" is established between the rhizome and the new entity and the enlarged parastrata is a consequence of the "surplus value" from this integration.[84] Viewing the theme-and-variations in terms of epistrata and parastrata enables one to be cognizant of the unfolding of the work (its "*Formung*") and the continual transformation of the work's identity (as a network of reciprocal relations among various musical elements). The overall "form" of a variation

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81. Deleuze and Guattari, *A Thousand Plateaus*, 53.

82. Deleuze and Guattari, *A Thousand Plateaus*, 52.

83. "[F]orms or types of forms in the parastrata must be understood in relation to populations, and degrees of development in the epistrata as rates or differential relations." Deleuze and Guattari, *A Thousand Plateaus*, 52.

84. Deleuze and Guattari, *A Thousand Plateaus*, 53.

set is therefore an emergent property rather than a conventional formal scheme or an architectural framework that exists *a priori*.

Variations, in Deleuze's conception, are fundamentally a *deterritorializing* procedure. The nature or quality of the theme upon which the variation is based is of little importance; as Deleuze puts it, even a "bad or mediocre" theme, functioning like a "springboard," is still capable of generating interesting and novel materials via the variational process:

> It is odd how music does not eliminate the bad or mediocre refrain, or the bad usage of the refrain, but on the contrary carries it along, or uses it as a springboard. "*Ah, vous dirai-je maman*", "*Elle avait une jambe de bois*", "*Frère Jacques*."[85]

Schumann's choice of themes for his variations may sometimes border on excessively repetitive, as in the case of the "Abegg" variations, which consists of an incessant succession of the five-note motto (A-Bb-E-G-G) in different transpositions and/or retrograde (in the second half). The theme for his *Études symphoniques* is also not the kind that bursts with melodic extravagance: set in the style of a funeral march, the theme is brooding and tragic in mood, moving at a steady pace and confined within a narrow registral range. Schumann seems to take great interest in employing a rather plain and mediocre theme, using it as a foil to generate innovative materials upon it; the more reticent a theme is in the first place, the more his newly created materials are brought into sharp relief. (Beethoven's *Diabelli* variations offer an excellent demonstration of this contrastive opposition, in which Beethoven takes the "child-like" theme composed by Diabelli into thirty-three variations of increasing complexity and variety.) We can imagine that the theme is thrown into existence amid the flows of the variational process,

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85.   Deleuze and Guattari, *A Thousand Plateaus*, 349.

Epistrata

Parastrata

Example 13. Parastrata and epistrata in a variation set.

establishing, on the one hand, a set of milieus upon which the later variations will draw

upon, and, on the other hand, a "home" (*Heimlichkeit*) or a "clearing" (*Lichtung*) that

opens up a horizon of potentialities (or the virtual field). In this sense, a theme-and-

variations involve two processes: *territorialization* of the territorial refrain (the theme)

followed by *deterritorialization* in the subsequent variations, the materials of which may

ultimately be liquidated, molecularized, and merged with the cosmos—the ideal of a

"cosmic variation":

> what needs to be shown is that a musician requires a first type of refrain,
> a territorial or assemblage refrain, in order to transform it from within,
> deterritorialize it, producing a refrain of the second type as the final end of music:
> the cosmic refrain of a sound machine.[86]

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86. Deleuze and Guattari, *A Thousand Plateaus*, 349.

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The notion of a variational theme is like "planting a new seed" into the plane of the chaosmos, which, instead of burgeoning into a tree with roots supporting a centralized trunk, grows like vines or rhizomes that spread across an increasingly vaster stretch of space, its tendrils continuously seeking connections in remote lands (e.g., cast in different modes or meters), and by way of this process the singularity of the seed (its "being") is always put under erasure (*sous rature*), its oneness therefore pluralized into a rhizomatic assemblage of immanent multiplicity:

> in many directions refrains will be planted by a new seed that brings back modes, makes those modes communicate, undoes temperament, melds major and minor, and cuts the tonal system loose, slipping through its net instead of breaking with it.[87]

Deleuze once refers to this deterritorializing tendency of variations as *deformation*: "[d]eformations destined to harness a great force are already present in the small-form refrain or rondo."[88] This "great force" is the centrifugal force of deterritorialization, the incessant continual flows that always undermine any identities or territories, subjecting them to decentering or even the eventual annihilation of their very existence. Hepokoski's notion of sonata-form deformation is not far from the Deleuzian sense. He defines deformation with respect to the dialogic relationship between the composer/listener and the generic norms of a certain musical formal scheme: "the composer has chosen not to do any of the normative things at that moment of the piece" in order to create something "extravagantly uncommon, something strikingly unusual," in such a way that the form is treated with "increasing expansiveness and freedom."[89] This

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87. Deleuze and Guattari, *A Thousand Plateaus*, 349.

88. Deleuze and Guattari, *A Thousand Plateaus*, 350.

89. James Hepokoski, *A Sonata Theory Handbook*, 6.

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sonata-form deformation is, in fact, a deterritorialization of the formal scheme, a series of variations on those generic norms, as it is repeatedly utilized by composers through time, via which the new, the interesting, and the remarkable are brought into relief—hence shifting the focus from the reproduction of the old to the creation of the new.

Ivanovitch, in his article "What's in a Theme? On the Nature of Variation," has hinted at certain characters of the theme-and-variations along the Deleuzian lines. He proposes that the listening experience of a set of variations is based upon reciprocal relations immanent to the materials themselves, as the listener brings one passage to bear upon another: "At root, the basic act of construing variation is a comparative one: the task of a listener is to relate two stretches of music, to hear one passage 'in terms of' another."[90] And this comparison entails the participation of memory, either voluntary or involuntary recollection, such that the newly presented can be compared to the already-heard in the past.[91] This comparative process in the local scale gives rise to a network of correspondences in multiple musical dimensions—melodic, harmonic, textural, and phrase-structural; in other words, listening to a theme-and-variations is fundamentally a *rhizomatic* experience. The theme, according to Ivanovitch, affords a range of possibilities and potentialities for the creation of variations: "a theme is not a static arrangement of structural elements. Rather, it stands in a complex and reciprocal relationship to the variations: it bequeaths to them a set of expectations about how they might proceed, and yet exists as a *mutable collection of possibilities or potentialities* to be activated and reshaped by the course of the variations themselves."[92] To put this in Deleuzian terms, the theme encompasses both the actual and the virtual, and each

90. Roman Ivanovitch, "What's in a Theme? On the Nature of Variation," 3.

91. "Once sounded, the theme is never again literally present for the listener: temporally extinct, it must be revived anew each time." Roman Ivanovitch, "What's in a Theme? On the Nature of Variation," 3.

92. Ivanovitch, "What's in a Theme? On the Nature of Variation," 3 (emphasis mine).

variation thereafter *actualizes* certain aspects of the virtual field, which appear as various possibilities and potentialities afforded by the theme that are waiting to be *realized*. The interplay between the actual and the virtual enables the theme to undergo transformations in each iteration of the variational procedure—each time representing a return of the virtual field actualized in different configurations. Ivanovitch likens the process of variation to an "auditory alchemy,"[93] by which the theme metamorphoses from one material state into a different one. This alchemical transformation entails a qualitative (internal) change in the nature of the substance, revealing its potential to create new substances via its molecular arrangement. It is the new that is sought after in the alchemy, in much the same way that a set of variations is a process for generating something novel and extra-ordinary (in the sense of going beyond the ordinary). Listening to a set of variations calls for a description rather than a prescription, a peripatetic rumination rather than a pedantic elucidation. Hence Ivanovitch invites us "to think like a composer," "to begin hearing details, quirks, possibilities"[94] that the piece continues to unfold the virtual field, actualizing the pure differences instigated by the theme itself. Subjecting a theme to variation is akin to penetrating the black hole of its being, groping into the open field of the virtual, and palpating the plane of immanence upon which the theme is actualized, at the far end of which lies the egg of the world.

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93. Ivanovitch, "What's in a Theme?", 5.
94. Ivanovitch, "What's in a Theme?", 5.

Chapter 4 Deleuze in Music Scholarship

Deleuze's ontology of difference, as a continual process of becoming that mediates between, on one side, the plane of consistency (i.e. the chaos of the cosmos) and, on the other, the emergence of beings as multiplicities and assemblages, is reflected in music by way of a particular property of music, namely the refrain (*la ritournelle*) which itself traces a path (*la tournée*) that constantly turns (*retourner*) back upon itself, as a result forming of a crystal of space-time that is constantly subjected to forces of territorialization, deterritorialization, reterritorialization, and absolute deterritorialization. Deleuze himself showed a certain interest in contemporary works and had a personal encounter with Pierre Boulez in the *Institut de Recherche et Coordination Acoustique/ Musique* (IRCAM) in Paris in 1978, where he presented a paper entitled "Why Us, Non-musicians?" commenting on five works to address the issue of tempo and musical time. Yet Deleuze never produces any extended philosophical treatise on music, in contrast with his books on film (*Cinema 1: The Movement Image* and *Cinema 2: The Time-Image*), painting (*Francis Bacon: The Logic of Sensation*), and literature (*Logic of Sense and Proust and Signs*). In addition, as noticed by scholars alike, Deleuze's commentary on music remains elusive at best, touching upon the broader aesthetic issues without providing any prescriptive account on the technical aspects of composition. Yet the interconnected aggregate of Deleuzian concepts—rhizome, schizoanalysis, the image of thought and Idea, stratification, Body without Organs, micropolitics, nomadology, striated and smooth space—offer music scholars creative ways to rethink certain presumptions and ideological biases that we normally take for granted, hence enabling one to go beyond (or critique) the status quo and to explore other ways to engage with music that not only concern with the musical texts themselves but also take into account the participation of the social, economic, cultural, material, and technological aspects within

the entire activity of music production (or what Christopher Small called musicking).[1]
On the perceptive side, these concepts by Deleuze open up new modes of listening that
can be juxtaposed with, or even replace, the majoritarian mode that emphasizes structural
unity and discursive coherence. Music becomes a creative play of sonic materials and
performing bodies, where conformance to preexistent identities are downplayed in
favor of the emergence of the new, an event that demarcates a break with the past. In
this section, I will provide an overview of the existing scholarly writings that make
use of Deleuze's philosophical concepts and ideas to rethink certain aspects of music
creation and reception. These writings encompass studies in aesthetics, musicology,
ethnomusicology, and music theory, and their approaches may be descriptive, theoretical,
or meta-theoretical (or critical).

Christian Asplund's essay "A Body without Organs: Three Approaches—Cage,
Bach, and Messiaen" (1997) is one of the earlier writings on music that is informed by
Deleuze's philosophical thoughts. Commenting on the transcendent musical experience
when listening to the music by the three composers, this study intends to comment on
music's potential to invoke the feeling of communion between oneself and other spiritual
entities.[2] This communion is attained by turning oneself into a Body without Organs
(BwO) such that "[t]he self travels a line to the 'plane of consistency,' where the BwO
is released from the tyranny of strata, of the striated, and joins the chorus of multiplicity,
the smooth, which is the continuous flow of intensities."[3] Through this transformative
power of music, the identity of the self as a self-determining subject is annihilated and
merged with the higher spiritual powers: Cage offers a way for the listener to "focus your

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1. Christopher Small, *Musicking: The Meanings of Performing and Listening* (Hanover: University Press of New England, 1998).

2. Asplund, "A Body without Organs: Three Approaches—Cage, Bach, and Messiaen," 171.

3. Asplund, 174.

attention on the mind, the intellectual self, and to tune out the emotional and sensual selves";[4] Bach subjects the listener to a musical journey of emotional extremes, from an initial innocent realm of peace and awe to a moment of the distress and terror, as a way of purging these emotions and pave the way for a line of flight, "whereby you 'gently tip … over to the side of the plane of consistency' and can be in a space where communion is possible";[5] and Messiaen invites the listener to focus on the pure sonorities of his music, as "Sound-color and Dazzlement," such that one can focus on this "perpetual dazzlement, an eternal music of colors, an eternal color of musics" and tune out "the intellectual and subjective" side of our mind, hence experiencing a feeling of joy in this spiritual communion.[6] Asplund study renews the Pythagorean tradition of considering music as something in harmony with the rest of the universe, as a kind of "Music of the Spheres," and he frames this spiritual communion on the side of the listener's emotional experience rather than on the basis of a speculative metaphysics based upon mathematical or philosophical explanations. He also poses an important question that has largely been absent in mainstream music-theoretical writings: "What is the purpose of music?"[7] Even though the author provides a simple answer for this question ("the goal of music is to achieve the BwO" and to "seek the same destination: the plane of consistency"[8]), this Deleuzian-informed phenomenological rumination suggests other potential avenues for further inquiries into the broader aspects of music creation and its functions in the psychological, social, political, and even the spiritual sense (for example, "What is the purpose of music for Schumann?" or "What kind of emotional, transformative, or

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4. Asplund, 176.

5. Asplund, 178.

6. Asplund, 179–181.

7. Asplund, 175.

8. Asplund, 176.

spiritual experience can we obtain when listening to his variations?")

Ronald Bogue's book *Deleuze on Music, Painting and the Arts* engages with all of the three artforms from a Deleuzian perspective. Akin to the former study by Asplund, Bogue, in his discussion on music, provides an account of how music can be conceived to be intimately related to, and imbricated in, its surrounding natural and human environment, as well as how the act of music creation is both expressive and functional, both mental and biological, both aesthetic and natural. His musical/philosophical inquiry about music is framed by Deleuze's idea of the univocity of beings, a notion that every being in existence, natural or biological, share the same mode of existence—the emergence from the chaosmos into actual beings, the actuality from the virtual to the actual, the territorialization from milieus to bounded territory, or the stratification from molecular to molar. Bogue's investigation expands the Being of music in both spatial and temporal dimensions: he implies a kind of "musical cosmology" where "music is an open structure that permeates and is permeated by the world,"[9] much in resonance with music-cosmic relations claimed by the ancients such as Anaximanderian πέρας (*apeiron)*, Pythagorean cosmic order, and Boethian tripartite ranking of music; temporally Bogue, here drawing upon Deleuze's writing on the classical, romantic, and modern style, tries to recast music history as a series of breakthroughs and innovations via the interventions of composers and their compositions, rather than a linear progression of evolving styles and influences, a constellation of free-floating *Aions* rather than a continuous *Chronos*. In a certain sense, Bogue's exegesis is similar in principle to Heidegger's in his *Being and Time*, in the sense that music's mode of existence (i.e. its Being) is embedded in its natural and social milieus, as well as situated in the flow of historical forces (to put this in another way, music is both in history and outside history, for it reacts to the

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9. Bogue, *Deleuze on Music, Painting and the Arts*, 14.

past and speaks to the future).[10] From this ontology of music, Bogue turns to his most ambitious claim that music serves a more biological (and natural) ends: as music is embedded within milieus and history and human beings are likewise situated in and closely intertwined with different facets of the world, music should therefore be more appropriately considered as a natural phenomenon rather than a creative endeavor stemming from any subjective or willed human agency. This view on music's situatedness will be fruitfully brought to bear on my analysis of Schumann's variations, placing the pieces in dialogue with their respective cultural and historical forces operative in the composer's milieus, as well as with the evocative potential into the cosmic dimension.

Ian Buchanan and Marcel Swiboda's book *Deleuze and Music* is a collection of essays on music from predominately philosophical and cultural standpoints. Nick Nesbitt's chapter "Deleuze, Adorno, and the Composition of Musical Multiplicity" makes a comparison between the negative dialectics of Adorno and Deleuzian ontology of difference. Without siding with either thinker, Nesbitt points out that both ways of thinking have merits on their own terms: Adorno's dialectics emphasizes "an ethical relation to others"[11] while the Deleuzian viewpoint conceives of music "from within" as a "selfsame musical entities" or a "windowless interiority, resonate outward across, time and space, culture."[12] Likewise, we can look at individual pieces of variations as reactions or negotiations against the contemporaneous historical forces and cultural baggage (bringing to mind Hepokoski's notion of "dialogic form" or Kristeva's formulation of "intertextuality"), while it is also appropriate to behold each piece in

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10. Bogue, 38. Bogue proposes a view of music history as an *antihistory*: "Thus the history of music is always also an antihistory, an account of the various chronological moments in which composers have found means to create sonic blocks of floating time.

11. Nick Nesbitt, "Deleuze, Adorno, and the Composition of Musical Multiplicity," in *Deleuze and Music*, p. 68.

12. Nesbitt, 68 and 72.

itself, heeding the myriad interrelationships that put into play and apprehending how the multifarious musical sounds draw a territory (or several territories) of durational span. Jeremy Gilbert's essay "Becoming-Music: The Rhizomatic Moment of Improvisation" examines the issue of improvisation based on personal observations of a gig performed by the London Musicians' Collective. In this performance setting, "[t]he lines between composers, producers, performers and audiences are all deliberately blurred in these contexts, and the relationship between authorial intention and sonic product is radically destabilised,"[13] such that "[m]usic [is] made through a non-hierarchal process of lateral connections between sounds, genres and musicians, which aims always to open onto a cosmic space."[14] Improvisation, as the author claimed, is by its nature rhizomatic and deterritorializing, in which composers/performers are free to combine materials and transform them at their will. It may not be too far-fetched to think of a certain improvisatory character even in the variation process, in the sense that composers break free from the theme, transforming it and introducing new materials therein. The affinity between variations and improvisation became more evident in what Nelson called "free variations" in the late nineteenth and early twentieth century, such as those by Strauss and Franck, where motivic fragments are freely recombined and juxtaposed that continually spin out into extended *unendliche* melodies. Phil Turetsky's essay "Rhythm: Assemblage and Event" examines the haka performance of the Maori from an ethnomusicological perspective informed by Deleuze's three syntheses of time. Turetsky highlights the important role played by rhythms, which "operate to augment the intensity of a haka's power" and "group heterogeneous material elements together."[15] The haka, on the one

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13. Jeremy Gilbert, "Becoming-Music: The Rhizomatic Moment of Improvisation" in *Deleuze and Music*, 118.

14. Gilbert, 124.

15. Phil Turetsky, "Rhythm: Assemblage and Event," in *Deleuze and Music*, 141–43.

hand, is like a ritual that seeks connections with the past through repeated performances, while, on the other hand, its increasing rhythmic intensity during the performance towards a limit suggests an opening into the future, a breakthrough for something new to emerge. Turetsky's description is insightful for thinking about variations, for each variation similarly recalls the past and opens up further possibilities for the future; or put it another way, each variation is like a monad that resonates with all the other monads (or future monads), itself, therefore, a fold of space and time. As opposed to the predominant view that the Deleuzian mode of listening (or musical style) is predicated on its pure sensual and affective aspects, Turetsky shows that music can be historically and socially conceived in the sense of Deleuze's idea of the rhizome and passive synthesis. Marcel Swiboda, in his chapter "Cosmic Strategies: The Electric Experiments of Miles Davis," explores the deterritorializing character of Miles Davis's recordings ("de-stratify musical conventions—harmonic, melodic, rhythmic, textural—and open up new ways of connecting bodies together"[16]), which also acts as a kind of political force that calls into question the status quo. The author notices a cosmic dimension in his music that correlates with certain connotations of the Agharta myth. The quality of the cosmic dimension can also be found in Schumann's variations, in which the process of variation functions like deterritorialization that reaches out into remote regions of the musical universe—a feeling of the cosmic sublime that is extensive (on the surface) rather than intensive (in depth).

 Perspectives of New Music in 2008 features four essays centered around Deleuze's *A Thousand Plateaus*, all of which are diverse in their subject matter. Boretz's article "Rainyday Reflections" consists of an assemblage of interrelated ruminations on a fundamental issue of music analysis, in particular, "the slippery interstice between

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16. Marcel Swiboda, "Cosmic Strategies: The Electric Experiments of Miles Davis," in *Deleuze and Music*, 205.

the verbal and the nonverbal"[17] (or between the "world of aesthetic" and the "world of

analytic structure") when someone tries to describe a piece of music through words.

He poses two insightful questions informed by his reading of Deleuze and Guattari's

A Thousand Plateaus: "Are the ontologies of understanding structures intercompatible

with the ontologies of experiencing-episodes?" and is aesthetic perception distinct from

extra-aesthetic perception, that is, from what I might call analytic perception?"[18] Based

on the concept of haecceity (that-which-is) as discussed in Duns Scotus, Rosencrantz,

and Deleuze, Boretz points out that the world of aesthetics is qualitatively diverse

whereas analysis "is ineluctably bound to a commitment to unity—that is, to descriptive

coherence."[19] He subsequently proposes that the goal of analysis is to offer "a mindset

for hearing" in order to "produc[e] an ontologically distinct 'new' music."[20] That analysis

should get at "what music *can be*" (i.e. introducing new ways of listening) rather than

"what music *is*" (i.e. revealing the "essence" of a musical work) resonates with my

underlying analytical predilections in the following chapters—a way of engaging with

music that is creative rather than determinative, informative rather than essentializing.

Michael Gallope's title of his article "Is There a Deleuzian Musical Work?" is a

contradiction in itself, because a musical work is an identity whereas Deleuze is a

philosopher of difference, yet it is precisely this contradiction that Gallope notices in

Deleuze's writing on music—between the non-locatable, non-definable sensual bloc of

sounds that best exemplifies Deleuze's characterization of music's ontological nature (i.e.

a refrain or assemblage that reaches into the field of the virtual or the world of chaos) and

the notion that modern music, especially those by Boulez, should possess an aesthetic

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17. Boretz, "Rainyday Reflections," 62.

18. Boretz, 63.

19. Boretz, 68.

20. Boretz, 78.

autonomy that has its *raison d'être* in the immanence of sonority itself. Insightful though this observation may seem to be, it is sometimes difficult to differentiate what Deleuze thinks what music "should be" from what it "can be," since the dominant tone of the ethical side of his overarching philosophy lies in creative experimentation with various possibilities rather than prescribing a fixed set of rules and ideals to follow. I tend to read Deleuze's championing of Boulez's music as one of these possibilities that music can be made to open up itself to the forces of the virtual (and their meeting in person may result in Deleuze mentioning Boulez more than any other composers in his writings). Yet I concur with Gallope that there exists a certain "conservatism" (or even Eurocentrism) in Deleuze's preference for contemporary Classical music as opposed to other styles and genres. This shortcoming has largely been remedied by the various scholarly writings after Deleuze that engage with pop, jazz, and other "minoritarian" genres of music. John Rahn's article "'Mille Plateaux,' You Tarzan: A Musicology of (an Anthropology of (an Anthropology of 'A Thousand Plateaus')) investigates the parallels and differences between Deleuze's idea of machinic assemblage and the anthropologist Gregory Bateson's system-based model of social change, which is based upon the three "schismogenesis": symmetrical, complementary, and reciprocal.[21] Rahn then proposes that relations within music can be similarly conceived as a system such as Lewin's transformational networks and Klumpenhouwer networks (K-Nets), while also allowing for the possibility of a line of flight for individual elements to leave the system and reterritorialize into a different one. Rahn's conception of musical relations as networks is particularly illuminating for my analysis of Schumann's variations, which are modeled as open rhizomatic networks. Martin Scherzinger's article "Musical Modernism in the Thought of Mille Plateaux, and its Twofold Politics" explores

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21. John Rahn, "'Mille Plateaux,' You Tarzan: A Musicology of (an Anthropology of (an Anthropology of 'A Thousand Plateaus')), 82–84.

Chapter 4

Deleuze's modern/postmodern aesthetics toward music from a plethora of perspectives—
the synthesizer (both as a musical instrument and a philosophical concept), machine,
rhizome, smooth or striated space, and the plane of consistency, with a view to certain
compositional strategies of Boulez. The author defines two moments in Deleuze: first,
the *being* (or territorialization) of a rhizomatic or machinic assemblage, and second
the deterritorialization as an act to break open the assemblage to harness the forces of
the cosmos. The first moment is affirmative, a coming-into-being from the plane of
immanence; the second is a negation, the annihilation or dissolution of a field of intensity.
The two moments, as claimed by Scherzinger, correspond to the modernist and post-
modernist aesthetic ideals respectively. His observation on these two moments helps
throw light on Deleuze's somewhat incongruent stances between music's ontological
nature and its material constitution—a continual vacillation between forming and *de*-
forming.

  Sounding the Virtual: Gilles Deleuze and the Theory and Philosophy of Music,
edited by Brian Hulse and Nick Nesbitt, offers a collection of essays from music
historians and theorists, in which they seek novel and non-normative ways to approach
music informed by Deleuzian philosophical ideas.[22] In the chapter "The Image of Thought
and Ideas of Music," Christopher Hasty illustrates with an analysis of the opening of
Chopin's Scherzo for Piano in E Major, Op. 54 how one can get away from the dogmatic
image of thought (based on good will, standup thought, and our reliance on recognition
in order to represent the phenomena in a concept) to conceiving of musical relations as
Ideas—a multiplicity that is not fixed but always in the process of becoming and subject
to the forces of transformation. Hasty demonstrates this Deleuzian view with respect to
our determination of durations in performance, on which he claims that our perception

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22.   Brian Hulse and Nick Nesbitt, *Sounding the Virtual: Gilles Deleuze and the Theory and Philosophy of
     Music* (2010).

of durations is conditioned by all the other durations at its surroundings, such that an alteration in one may have a rippling effect upon the rest of the piece. Hasty considered meter not as a grid that divides time, linear and chronological, into equal portions, but as a concatenation of durations that forms a "heterogeneous durational whole," which still possesses a hierarchical structure but each duration therein has its own distinctive time-span and internal character, resulting in a music process that is "genetically or generatively promiscuous."[23] I find Hasty's conception of meter as a heterogeneous assemblage intriguing, for it can be fruitfully brought to bear on introducing subtleties into musical performances, where one can expand or contract time while still being "perceived" as within the same metrical framework. Brian Hulse's essay "Thinking Musical Difference: Music Theory as Minor Science" points out the similarity between Hasty's conception of meter and Deleuze's ontology, in which both seek to overturn the traditional privileging of meter (as identity) over rhythm (as difference). Hulse extends Hasty's critique on music theory's ingrained fixation on identities over difference, and in turn proposes the notion of a "global music theory," a rhizomatic view of music where "musical flows also link up with other sorts of flows—political, social, biological, cosmic, and even ecological."[24] Instead of viewing music as a self-sufficient and self-contained artifice, the author proposes that it should be put back into a wider context in terms of "process, connection, and improvisation" to "explore music along lines of increasing connections, rather than increasing specialization and isolation."[25] This ecological view of music is particularly apt in relation to Schumann's music (and for many composers in the

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23. Christopher Hasty, "The Image of Thought and Ideas of Music," in *Sounding the Virtual*, ed. Brian Hulse and Nick Nesbitt, 21. "If we think of this staged concrescence as a durational hierarchy, it will be as a genetic or evolving hierarchy—that is to say, a truly durational, rather than a spatialized wholeness—one in which "levels" are fully heterogeneous and intricately mixed."

24. Brian Hulse, "Thinking Musical Difference: Music Theory as Minor Science," in *Sounding the Virtual*, ed. Brian Hulse and Nick Nesbitt, 45.

25. Hulse, 48.

nineteenth century), for he often drew upon influences from literature (such as Jean Paul), his musical predecessors and contemporaries (such as Chopin, Mendelssohn, and Liszt), politics (German nationalism), and personal circumstances (relationships with his family members, Clara and Friedrich Wieck). In the chapter "A Deleuzian Noise/Excavating the Body of Abstract Sound," Sean Higgins explores the notion of noise from a Deleuzian perspective. If music is organized sound, then noise will be sounds that are unorganized and incomprehensible to our ears ("sensibility presents to itself that which it cannot grasp but is still accessible to the senses"[26]). Rather than considering noise as the antithesis of music, Higgins instead conceives of noise as a "violence against common sense" and "forces [our mind] to pose a problem." In suspending our habitual way of recognition, noise compels us to attend to the sensibility of the sonic medium, such that "each and every real sound carries the difference and accident of the media."[27] Although noise is not a musical element utilized by Schumann, the cumulative and fragmentary quality of his music engenders a similar destabilizing effect to the traditional teleological and discursive logic of composition.

Michael Gallope's chapter "The Sound of Repeating Life: Ethics and Metaphysics in Deleuze's Philosophy of Music" explicates two different aspects of Deleuze's thinking on music in *A Thousand Plateaus*: the metaphysical-ontological foundation (what music is) on one hand and the ethical-aesthetic practice (how one create music) on the other. Gallope explains Deleuze's metaphysics with respect to the latter's concept of repetition and, in particular, the refrain (*la ritournelle*), which "harbor[s] the immanent potential for infinite connectivity and heterogeneity";[28] and this repetition-based ontology

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26. Sean Higgins, "A Deleuzian Noise/Excavating the Body of Abstract Sound," in *Sounding the Virtual*, ed. Brian Hulse and Nick Nesbitt, 62.

27. Higgins, 76.

28. Michael Gallope, "The Sound of Repeating Life: Ethics and Metaphysics in Deleuze's Philosophy of Music," in *Sounding the Virtual*, ed. Brian Hulse and Nick Nesbitt, 87.

is an exemplary model for life ("Music is life; life is music"[29]). Gallope observes

that Deleuze's ethical-aesthetic philosophy of music contradicts somewhat with his

metaphysics, especially that, as Deleuze brings into his discussion certain works by

composers such as Varèse, Messiaen, and Boulez, music should engage directly with

the immanent materiality of the artwork in three respects: (1) the autonomous musical

processes and transformations, (2) sobriety or simplicity of materials in order to purify

"sensation, perception, and affect into their immaterial essences,"[30] and (3) the creation

of intensity and sensation to harness the forces of the virtual. Gallope's observations

on these three conflicting aspects of Deleuzian musical thoughts are enlightening,

especially that Deleuze focuses almost exclusively on contemporary Classical music as

exemplars for this "diagonal" and "cosmic" music. Here I would like to offer two points

to his arguments. First, even though Deleuze's metaphysics is similar in character to

the Derridean move that it seeks to overturn the binary opposition between identity and

difference, hence placing the latter in an ontologically *a priori* position, he does not reject

all territories and arborescent thoughts as pernicious and detrimental (in the chapter "Of

the Refrain" from *A Thousand Plateaus*, Deleuze considers Classical, Romantic, and

modern music on equal footing as different manifestations of the refrain). His preference

for contemporary Classical music as an embodiment of deterritorializing forces functions

more of a remedy that reacts against the immense territoriality of the Romantic music

(grounded in the depth of the Earth) and, more broadly, the long tradition of thoughts that

is fixated on identities as transcendent ideas. Hence I do not read Deleuze's championing

Boulez's music as the *only* way to write music but rather one of the *infinite* possibilities

that the refrain of music can be rendered permeable to the virtual forces of the cosmos.

Second, the *form* of the refrain (a process that unfolds in time) is different in nature from

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29. Gallope, 89.

30. Gallope, 97.

the *substance* of music materials (sonorities, sensations, and affections). Deleuze, in the

chapter "The Geology of Morals," discusses the process of double articulation in relation

to the process of stratification: the first articulation is a becoming where molecular units

(*substance*) gives rise to connections (*form*), while the second articulation establishes

a stable structure (*form*) that actualizes, as a *being*, the molar compound (*substance*).

In both of these two stages, form and substance are interconnected and always go hand

in hand with one another. In a similar sense, sensations and affects based on music's

materiality correspond to the molecular substance in the first articulation, which is

subject to the "formal" process of the refrain—repetition, transformations, expansions,

or dissolution. Deleuze's recommendation for sobriety and molecularization invites an

approach to music that seeks to rediscover the first articulation of molecular aggregation,

which in turn makes the process of the refrain (or eternal return) operative again, for

the musical materials are no longer under the tyrannical domination of the overarching

formal scheme and free to connect with one another to form various aggregates. Hence,

I tend to conceive of Deleuze's metaphysics and his musical aesthetics on sensations not

as contradictory but complementary, the two working in tandem in the process of artistic

creation.

Martin Scherzinger's chapter "Enforced Deterritorialization, or The Trouble

with Musical Politics" examines the discrepancy between Deleuze's aesthetics on music

and Boulez's compositional styles, particularly his serial technique. Scherzinger notices

that, as opposed to the nomadic and free-associative process in line with Deleuze's

conception of multiplicity, Boulez's serialism is a kind of "enforced deterritorialization"

where an order is imposed from without to induce deterritorialization of the materials.[31]

This tension between compositional discipline and creative freedom is also noticeable

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31. Martin Scherzinger, "Enforced Deterritorialization, or the Trouble with Musical Politics," in *Sounding the Virtual*, ed. Brian Hulse and Nick Nesbitt, 123.

in Schumann's music. Amy Cimini, in her chapter "Gilles Deleuze and the Musical

Spinoza," attempts to rethink Deleuze's aesthetics of music from the perspective of

Baruch Spinoza—the individuation of the whole into various attributes and modes of

existence. Cimini then proposes a way of listening that engages with these two aspects

of music: "A Deleuzian listening must somehow be able, on the one hand, to account

for the infinite concatenation of matter whose movement continually affects and

conditions any sonic or musical event, while, on the other, attend to the sonorous bodies

whose differential micro-movements produce form as an emergent property."[32] The

form of variations also necessitates similar modes of listening, where we attend to the

succession of individual passages as an assemblage as well as to the overall shape of the

entire piece that the series of variations gives rise to. Marianne Kielian-Gilbert's essay

"Music and the Difference in Becoming" offers a number of short analyses informed by

the Deleuzian ideas of difference and becoming. In her analysis of the second minuet

from Bach's Solo Cello Suite in G major, BWV 1007, Kielian-Gilbert highlights two

interacting lines of topical transformation: the descending lament bass line and the four-

bar grouping of the minuet.[33] Similar to a paradigmatic view, the movement is divided

into three recurrences of parallel descending tenths supported by the lament bass line,

each successive statement "deterritorializes" the tenths into more obscure configurations.

Her analysis is illuminating in the way that she takes heed of the recursive aspects of

music (its quality of *ritournelle*) and how differences in repetition have a direct bearing

upon the expressive and narrative trajectory of the piece (such as the correlation of

music and drama in "El tango de Roxanne" from *Moulin Rouge!*). Bruce Quaglia's

chapter "Transformation and Becoming Other in the Music and Poetics of Luciano

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32. Amy Cimini, "Gilles Deleuze and the Musical Spinoza," in *Sounding the Virtual*, ed. Brian Hulse and Nick Nesbitt, 144.

33. Marianne Kielian-Gilbert, "Music and the Difference in Becoming," in *Sounding the Virtual*, ed. Brian Hulse and Nick Nesbitt, 208–210.

Chapter 4

Berio" examines the parallels between Berio's compositional style and certain Deleuzian concepts, focusing in particular on the former's techniques of musical collage and his idea of "self-analysis." Berio's music draws upon the past and creates something new from these rhizomatic connections through his collage-like process. Quaglia then points out that Berio's rhizomatic engagement with musical materials in the past allows for a minoritarian compositional approach that opposes the dominant trends of relying upon a systematized method of organization such as serialism. The author then points out that Berio's view of music is collective rather than unitary, always allowing for "a polyphony of subjectivities" to exist as an assemblage of collective enunciation.[34] Quaglia's bringing together Berio and Deleuze is particularly apt, revealing one of the ways that the rhizome can be made manifest in music. This idea of the collage is also informative to my understanding of variations, for the latter also consists of a set of fragments that are combined within the body of a work. The final chapter of the book, Ildar Khannanov's "Line, Surface, Speed: Nomadic Features of Melody," is also illuminating in that the author approaches lines and harmonic progressions from a nomadic, rather than deterministic, perspective.[35]

Edward Campbell's book, *Music After Deleuze*, identifies the points of intersections between various Deleuzian concepts and various styles and practices in contemporary Classical music.[36] On the topic of difference and repetition, Campbell points out three ways that music engages with repetitions: listening to the same recording, different performances of the same piece, and the internal repetition of musical materials. He then surveys a number of composers that deal explicitly with the issue of repetition:

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34. Bruce Quaglia, "Transformation and Becoming Other in the Music and Poetics of Luciano Berio," in *Sounding the Virtual*, ed. Brian Hulse and Nick Nesbitt, 246–48.

35. Ildar Khannanov, "Line, Surface, Speed: Nomadic Features of Melody," in *Sounding the Virtual*, ed. Brian Hulse and Nick Nesbitt.

36. Edward Campbell, *Music after Deleuze* (London: Bloomsbury Publishing, 2013).

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Schoenberg's technique of developing variations, Webern's unity through a single idea, Boulez's employment of athematicism, open form, accumulative development, and heterophony, improvisation in jazz, and Beethoven's underlying idea as an organizational principle. These various compositional practices engage with, and mediates between, the sameness of identity and differences induced by repetition. Concerning the Deleuzian concepts such as the rhizome, assemblage, and refrain, Campbell refers to composers such as Ivanka Stoïanova, Pascal Dusapin, Heiner Goebbels and Olga Neuwirth, and Bernhard Lang to explore the myriad ways that music is created from the rhizomatic manner, such as the notion of musical enunciation, impulsion-text, gesture-action-music-theatre, the use of graphic score. The smooth and striated space is discussed with regard to the division of musical space into modes and scale collections, as well as various systems of tuning and temperament, on which modernist composers such as Carrillo, Partch, Ligeti, and Xenakis devise novel ways to go beyond the twelve-tone equal temperament, hence opening up the striated pitch space onto a plane of smooth space. Deleuze's distinction between Chronos and Aion and his three syntheses of time is explained in terms of the innovative ways that contemporary composers approach rhythm in music, notably Messiaen's non-retrogradable rhythms, Elliott Carter's metric modulation and temporal multiplicity, and Grisey's multiplicity of musical times. Lastly, Deleuze's philosophy on language and signs receives a musical treatment in Campbell's book from the view of the ways that modernist composers, such as Lachenmann, Aperghis, and Levinas, molecularizes words into individual vocal sounds, hence depriving their signifying power and transforming them as pure sonorities and sensations. Campbell's book offers a historical overview of certain practices in twentieth-century music that also resonate with particular philosophical concepts of Deleuze, and as such, even though it does not devise any new ways and non-normative approaches to music analysis, the lucid writing of Campbell provides an accessible entry point to both

Chapter 4

Deleuze's ideas and the diverse landscape of twentieth-century concert music.

Michael Gallope's book, *Deep Refrains: Music, Philosophy, and the Ineffable*, explores the subject of the ineffable in the writings of Ernst Bloch, Theodor Adorno, Vladimir Jankélévitch, and Deleuze and Guattari. Particularly relevant to my present study is his discussion on the refrain in the chapter on Deleuze, in particular his commentary on Schumann's piano piece "*Warum*" from *Fantasiestücke,* Op. 12. Gallope points out the "relational, connective" quality of the "woven exchange of motifs and counterpoints" in this movement, at the beginning of which a contrapuntal line emerges *ex nihilo* from the previously inconspicuous dotted notes in the inner voice; Schumann's music thus opens into zones of indetermination, inviting a hearing "that is experientially grounded, incessantly in motion, and loosened from a narrowly teleological history into the connectivity of mobile affective couplings,"[37] and the title "Warum," according to Gallope, "invites meaning while offering no exact answer beyond sensory extension."[38] Another aspect of Schumann's music is its rhizomatic relationships—intertextual or extramusical—outside of the text itself, on which Gallope claims that "Deleuze and Guattari hear in Schumann connections to a wide variety of nonsonic others, a diverse set of figures who are taken to be resistant to those of a normative, patriarchal society: an animal, a child, a woman, a minor literature, a madness."[39] As far as I am concerned, this is the first analytical attempt to engage with Schumann's music from the Deleuzian viewpoint, and it indeed reveals several of its idiosyncratic and defining musical characteristics across Schumann's oeuvre. Yet his analysis largely remains in verbal descriptions of surface phenomena and falls short of eliciting hitherto unnoticed musical relations therein. Perhaps my dissertation can elaborate on a question that Gallope voices

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37. Michael Gallope, *Deep Refrains: Music, Philosophy, and the Ineffable*, 238.

38. Gallope, *Deep Refrains*, 238.

39. Gallope, *Deep Refrains*, 233.

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in his book: "Why, then, does Schumann appear at the apex of their 'cosmic' theory of the *ritournelle*—indeed, at the absolute conclusion of both chapters of *A Thousand Plateaus* that discuss music?" In other words, why is Schumann singled out at the very end of these chapters, one who best exemplifies Deleuze's metaphysical and aesthetic predilection concerning music, and one who is placed alongside other composers of modern music such as Boulez and Varèse? Perhaps the answer to this question requires a rethinking of our existent analytical methodologies so as to approach Schumann's music from a verily Deleuzian perspective.

A collection of essays, *Musical Encounters with Deleuze and Guattari*, edited by Pirkko Moisala, Taru Leppänen, Milla Tiainen, and Hanna Väätäinen, offers a (re) examination of music as creative and performative acts that are conditioned by, and intimately intertwined with, the social, historical, and cultural contexts in which music takes place as events. Milla Tiainen's chapter "Singing Non-Human-Centric Relational Futures—The Algae Opera as an Assemblage" proposes a "rhizomusicology" in relation to her discussion of the Algae Opera, which endows performance with the potential to form a rhizomatic assemblage consisting of the environment (algae), technology (suit), and the human body (singer). Pirkko Moisala, in her essay "A People to Come' in Himalayan Village Music—A Deleuzian-Guattarian Study of Musical Performance" looks at music as events, "an entanglement of a multiplicity of heterogeneous elements and relations between them."[40] Through the event of music performance, women from Ama Samuha (Mothers' Society) of Tamu village act out their changing social situation in the form of multiple flows, revealing "the powerful agency possessed by the women performers and their musicking, singing, dancing and drumming female bodies."[41]

40. Pirkko Moisala, "'A People to Come' in Himalayan Village Music—A Deleuzian-Guattarian Study of Musical Performance," in *Musical Encounters with Deleuze and Guattari*, ed. Moisala, Pirkko, Leppänen Taru, Milla Tiainen, and Väätäinen Hanna (New York: Bloomsbury Academic, 2017), 131.

41. Moisala, 141.

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Michelle Duffy's chapter "Listening Assemblages: Re-sounding Place and Mapping the Affects of Sound" inquires into the creation process of the *Images of Home* project by the students and teachers of Officer Primary School[42], demonstrating that music-making is able to forge "relations between the body, affective states and sound mediates affect and is significant to the constitution of a sense of place."[43] Hanna Väätäinen, in her essay "Forming Common Notions in a Kinetic Research Collaboration," borrows the idea of "kinecepts" from Eleanor Metheny and adapts it to her collaboration with a dance through bodily signs and gestures, a kind of "theoriz[ing] through using movement in ethnographic encounters."[44] She then illustrates this mode of bodily knowledge creation by the splintered (*tikkuinen*) movement, which refers to "experienc[ing] a sense of hostility."[45] These collections of essays offer a myriad of stimulating avenues for rethinking and recentering musical thinking that engages with and accounts for the various forces and influences in the music's surrounding milieus—the material and social world.

A more explicit application of Deleuze's philosophy on music analysis can be found in Michael Klein's article "Debussy's *L'Isle joyeuse* as Territorial Assemblage."[46] It presents a hermeneutic reading of Debussy's *L'Isle joyeuse* informed by a myriad of associations: with reference to Watteau's painting (*Le Pèlerinage à l'Isle Cithère*) that some believe to have inspired the Debussy's work, the author recognizes a multiplicity

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42. Michelle Duffy, "Listening Assemblages: Re-sounding Place and Mapping the Affects of Sound," in *Musical Encounters with Deleuze and Guattari*, ed. Moisala, Pirkko, Leppänen Taru, Milla Tiainen, and Väätäinen Hanna (New York: Bloomsbury Academic, 2017), 192.

43. Duffy, 199.

44. Hanna Väätäinen, "Forming Common Notions in a Kinetic Research Collaboration," in *Musical Encounters with Deleuze and Guattari*, ed. Moisala, Pirkko, Leppänen Taru, Milla Tiainen, and Väätäinen Hanna (New York: Bloomsbury Academic, 2017), 208.

45. Väätäinen, 213.

46. Michael Klein, "Debussy's *L'Isle Joyeuse* as Territorial Assemblage," in *19th Century Music* 31, no. 1 (2007): 28–52.

of time and space juxtaposed within the same setting of the painting, hinting at a potential play of disjunctive materials within the Debussy's work. Similarly, by drawing a comparison with Chopin's *Barcarolle*, the author correlates the narrative strategy of apotheosis between the two works that brings about a sense of finality and an exultant celebration of achievement. The juxtaposition of modes and key center are interpreted through Deleuze's idea of territorialization and deterritorialization, where the modes are likened to different milieus and the change of key center is analogous to a decentering of that milieu. This deterritorialization of modes throughout the piece culminates into an exuberant chordal trill at the end of the piece, suggestive of a line of flight that opens up the piece into the cosmic expanse.

<div style="text-align: center;">**Chapter 4**</div>

Methodology

Deleuze, in his *A Thousand Plateaus*, highlights Schumann's music as it embodies *par excellence* the deterritorializing tendency of the refrain, via which the musical materials are subject to the forces of the cosmos and ultimately merge with it. The overall musical movement is deterritorializing rather than territorializing, centrifugal rather than centripetal:

> In a concerto [Schumann's Cello Concerto in A minor, Op. 129], Schumann requires all the assemblages of the orchestra to make the cello wander the way a light fades into the distance or is extinguished. In Schumann, a whole learned labor, at once rhythmic, harmonic, and melodic, has this sober and simple result: deterritorialize the refrain.[1]

Lines of movement, lines of deterritorialization, lines of flight—all of these lines undermine any consolidated aggregates and render them permeable to erosion and eventual decomposition. Yet this loss of identity and concreteness should not be something to mourn about: Schumann's music is a cosmic phenomenon, enabling one to come face-to-face with the ephemerality, the finitude, and the uncertainty of every, including our very own, existence. The cello, as a subject, a figure of autonomy and individuality, is always under erasure, itself vulnerable to being succumbed to the deterritorializing forces of the orchestra. The refrain is a crystal that never ceases growing or decomposing; it stretches itself across space and time while concomitantly losing itself in the process. For Schumann, as well as for Deleuze, repetition is never the recurrence of the same, but the return of difference ("difference in-itself"), which in each repetition

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1. Deleuze and Guattari, *A Thousand Plateaus*, 350.

opens "the assemblage onto a cosmic force,"[2] transforming discrete motifs, phrases, and sections into lines, movements, and intensities. The cosmic force is not appended to the assemblage, as if the theme is put under the variational process; it is rather that those forces are already part and parcel of the theme itself, residing in the milieus and the plane of immanence that condition its existence: "the cosmic force was already present in the material, the great refrain in the little refrains, the great maneuver in the little maneuver."[3] A refrain is, at its core, cosmic in nature, for its recurrence always entails the appearance of something new and different.

Based on this Deleuzian perspective on variations, I will in the following two chapters analyze two pieces by Schumann that are set in the form of a theme-and-variations: the Symphonic Etudes (*Études symphoniques*) for solo piano, Op. 13; and Adagio and Variations for two pianos, two cellos, and horn, WoO 10. (It may be a curious coincidence that the year of publication of the Symphonic Etudes, 1837, is identical to the year in the chapter concerning the refrain in *A Thousand Plateaus*, "1837: Of the Refrain.") I will, regarding *Études symphoniques*, focus on motivic interrelations across variations, whereby they give rise to a network structure in the form of a rhizome, characterized by formations of certain clusters and aggregates. Form, under this view, ceases to be linear-discursive but relational-connective, such that variations are here considered less like language but as images that are recalled, voluntarily or involuntarily, through associations and reminiscences. While the form of Symphonic Etudes is analyzed with respect to a rhizome in the *spatial* dimension, I will, in the Adagio and Variations, turn to the analysis of a *temporal* rhizome—a "crystal of time"—that is coined by Deleuze in *Cinema 2: The Time-Image*. A crystal of time is a folding of multiple temporalities within the body of an artwork, while these disjointed temporalities are

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2. Ibid., 350.

3. Ibid., 350.

coagulated, or crystalized, with recourse to the variational process. Within this work, certain passages appear as recollections of the past, while also providing a glimpse of a future breakthrough from the crystal. I will illustrate how this piece invites an interpretation of a time-crystal—a Deleuzian rhizomatic conception of multiple temporalities.

My analytical approach is rhizomatic and emergent, focusing more on relations between entities rather than their intrinsic identities and formal functions. Yet I do not intend to pit the rhizomatic approach to musical form against the hierarchical or linear-discursive perspectives that are operative to a great extent in other formal types. As Deleuze already noticed, tree and rhizome often intertwine with one another in such a way that the rhizome may burgeon into a tree whereas the tree may seek out new territories by rhizomatic linkages. As we will see in later chapters, traditional formal types (as trees with sectional divisions) are still evident not only in the organization of the theme itself, but also in the structuring of the finales of the variation sets, which often incorporate within itself a more elaborated formal organization. The entire work of theme-and-variations, moreover, can sometimes insinuate a hierarchical structure that is superimposed on top of the rhizomatic network of the assemblage. This orientation in formal analysis resonates in a certain respect with Webster's notion of "multivalent analysis," by which "a musical work is understood as encompassing numerous different 'domains': tonality, musical ideas, rhythm, dynamics, instrumentation, register, rhetoric, 'narrative' design, and so forth."[4] These multiple domains, which are referred to as milieus when considered when the Deleuzian light, do not necessarily correspond or synchronize with one another to engender a "unified" formal structure; any *a priori* preconceptions of musical form is temporarily suspended, instead, we are invited to be

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4. Caplin et al., *Musical Form, Forms, and Formenlehre: Three Methodological Reflections*, 128.

sensitive to the conglomeration of musical materials, stylistic features, and other sonic characteristics as they are unfolded in their respective musical domains through time, to illuminate "the richness and complexity"[5] of the various stratum within the musical texture. Just as the multivalent analysis is more of a method than a theory that "erects no typologies or grand categorizations,"[6] the rhizomatic approach adopted here, one that is informed by Deleuze's philosophical thoughts, is only to present a particular perspective of the musical complex. Yet in confronting a set of variations, the rhizomatic viewpoint, in my opinion, seems more conducive to elicit the inner workings and relations within the multiplicity instead of the unitary or hierarchical perspective.

My choice for a rhizomatic network analysis of musical time does not intend to downplay the role of a long tradition of variation writings that Schumann had long been exposed to in learning the piano during his youth. In fact, the formal protocols that become generic conventions in Classical variations are still at the back of his mind when he composed his own, adopting formal devices such as *minore* or *maggiore* variations (those set in the parallel mode), Adagio-Finale pairing of the French scheme, and, in a lesser degree, progressive rhythmic animation across consecutive variations. Nevertheless, Schumann's aesthetic orientation is divergently different from his Classical precursors: while Classical variations, by and large, tend to gravitate around the opening theme as the center of the entire work, Schumann's overturns this centric conception and instead replaces it with a *decentering* tendency, the opening theme now acting like a springboard whose purpose is to catapult the ensuing variations into different formal and stylistic trajectories. For this reason, I hesitate to bring in Hepokoski and Darcy's conception of "dialogic form" to analyze Schumann's variation in relation to the Classical norms, for his compositional aesthetic is more a subversion rather than simply

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5. Caplin et al., *Musical Form*, 128.

6. Caplin et al., *Musical Form*, 128.

a deformation (or deviation); we may even say that Schumann strives towards a new path in the genre of variations. Newcomb's observation that late eighteenth-century (and also many of nineteenth-century) forms sometimes attempt to explore ways of "questioning (or defamiliarizing, to use the term of the Russian formalist critics) paradigmatic plots by standing their conventional situations on their heads"[7] may not be completely applicable to Schumann's variations, for the deterritorializing tendency therein becomes an aesthetic goal in itself rather than a reactive critique of those Classical normative procedures. By overhauling the centripetal rotational forces around the center (an identity) of Classical variations, Schumann achieves a different "style type" of variations that takes the centrifugal force as its primary organizing principle. Hence we might regard Schumann's approach to the variation form as a paradox: the assemblage is organized by being continually de-organized, decentered, and deterritorialized, traversing a path that departs further and further away from the gravitational pull of the opening theme—certain of his deterritorializing variations, like satellites, already attains the escape velocity and breaks off from the orbit of the theme. Schumann hence turns the theme-and-variations into a musical ruin, decomposing the theme and transforming it into something extraordinary and remarkable. As a deterritorializing line, there is no end goal to be achieved in a variation; the finale appears more like a plateau, an extended musical section where, like a celebratory moment of accomplishment, the entire work has eventually come to a point of fruition. As we observe in the following chapters, Schumann's finales are often stylistically, formally, and aesthetically diametrically opposite to that of the theme, the only relations being the recurrence of certain fragments or motivic materials from the latter. Schumann takes the listener onto a journey in the middle of a forest, meandering from tree to tree and stopping when the dense foliage opens into a clearing wherein the

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7. Newcomb, "Schumann and Late Eighteenth-Century Narrative," 169.

rays of sunshine illuminates something magnificent and grandiose—an old oak tree towering over the rest.

Most journeys have a well-defined beginning and ending. A set of variations is, in its foundation, a recursive process, where the ending of one leads into the beginning of the next such that the cyclical process is renewed again—a musical ouroboros. For this reason, the form of variations does not elicit the same kind of formal functionalities (or temporal functions) described by Caplin. A musical unit within a Classical work, according to Caplin, projects a temporal process in terms of five formal functions: before-the-beginning, initiation, medial, ending, and after-the-end.[8] These formal functionalities are predicated on the intrinsic characteristics of the musical units, in such a way that they are differentiated in formal functions: at lower levels of formal organization, formal functions are suggested by the harmonic progression and grouping structure; whereas tonality performs a bigger role when one goes up the formal hierarchy.[9] The general idea of formal functionality parallels to a large degree the paradigm of "rest-motion-rest" by A. B. Marx: the initial stage of musical organization represents a moment of stability, followed by certain departures or digressions from that stasis, the entire musical adventure returning to its prior state of stability at the very end. Variation sets may sometimes exhibit an overarching trajectory of this kind via the use of different keys (as in Beethoven's Six Variations on an original theme in F major, Op. 34, in which successive variations are related by keys in descending thirds) or, more trivially, via a return of the opening theme as a reprise. Variations in Schumann's hands become more of an event than an utterance, more material than rhetorical, in which the formal functions of beginning, middle, and end get intermingled with the recursive process of variations. We may locate certain formal functions within a theme or a certain rhetorical continuity on

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8. Caplin et al., *Musical Form*, 25.

9. Caplin et al., *Musical Form*, 33–34.

the level of the entire variation set; however, a set of variations is scarcely organized in a functionally differentiated manner, such that some of the variations are more tight-knit or tonally closed while other are not. It is rather the case that each variation in Schumann's sets is a self-contained and stylistically distinguished entity, organized like the succession of images in a cinematographic montage.

Now let us embark on a rhizomatic journey through Schumann's variations…

Part 2

1837: *Études symphoniques*, Op. 13

Chapter 5 Striated Space

Theme

Composed by Baron Ignaz Ferdinand von Fricken, the father of Schumann's secretly engaged Ernestine von Fricken (who also plays a significant role in the genesis of Schumann's *Carnaval*, Op. 9), the theme originally belongs to a set of variations written for flute, probably with piano accompaniment. Schumann commented on Baron's composition rather critically with respect to its conservative approach to variations. Schumann's dismissive attitude towards the baron's composition is also evident from his annotations on the theme in the first (1837) edition: "*Les notes de la mélodie sont de la Composition d'un Amateur*." Schumann takes this seemingly lackluster theme as the opening theme for his own set of variations for solo piano, to display his compositional ingenuity in composing variations as well as to return the favor to the baron for entrusting his daughter to him for marriage. Schumann took the flute melody from the theme and rearranged it for solo piano (it is likely that Schumann also altered some of the pitches from the Baron's melody, testified by the differences amongst various versions of the theme in his sketch, manuscripts, and engraver's copy[1]). We can also notice a difference between the Baron's melody and Schumann's piano arrangement regarding the separation of the upper voice from the chordal accompaniment, for, as evident in the first (1837) published edition, all the melodic notes are stemmed upward and the note-heads for the accompaniment are reduced in size in order to give more emphasis to the melodic voice.

The theme was labeled "*Marcia funebr*e" in the autograph, suggested by the

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1. Mark Douglas Madson, "A Comprehensive Performance Project in Piano Literature with an Essay on Robert Schumann's Symphonic Etudes, Op. 13" (diss. 1980), 25–29.

Example 14. Formal structure of the opening theme of Schumann's *Études symphoniques*, Op. 13.

overall gravitas and tragic sentiment of the chordal piano arrangement. While there is

no evidence that the Baron's version of the theme is also labeled a funeral march, the

tragic quality is already readily palpable in the melody by itself, since it largely circles

around the lower register of the flute's instrumental range (around C^4 to C^5) and it even

reaches the lowest possible pitch of the instrument ($B\sharp^3$) in m. 11. The dotted rhythm

in m. 2 (and its diminution in m. 7) is suggestive of the fanfare, whereas the trill in mm.

11–12 evokes the tremolos and snare rolls of French revolutionary funeral marches and

infuses the theme with an *ombra* quality. The descending motion of the opening arpeggio

over the tonic harmony (C$\sharp$-G$\sharp$-E-C$\sharp$) in quarter notes evokes a sense of desolation and

solemnness, for it is expressively marked to begin a piece with a precipitous plunge

to a tonic; the downward motion persists throughout the entire first phrase (mm. 1–4),

outlining a linear descent of the structural tones from ^5 (G$\sharp$ in m. 2) to ^2 (D$\sharp$ in m. 4).

This plunging motif is restated and transformed in m. 6, here inverted into an upward

arpeggiation of an A-major triad, as if insinuating a willful striving towards a higher

register, underscored by the *forte* dynamic, escaping from the pervasive tragic mood of

C$\sharp$ minor. Yet this fleeting respite in the relative major during the second phrase (mm.

5–8) turns out to be merely a phantasmagoric apparition, since it fails to function as

the predominant harmony to tonicize on the relative major; instead, it is undercut by a

poignant vii^{o7} in the opening minor key on the last beat of m. 6—a denial of unfulfilled

hope. This sense of undercutting is reinforced by the dissonant leap in the bass of an

augmented second from A to B$\sharp$, announcing potently the leading tone of the minor key

(it is rather curiously that Schumann ends the previous slur on E^5 and begins the next

slur on the first A^5, hence obscuring the sense of harmonic disjuncture). The feeling of

frustration is turned into a moment of crisis in a corresponding passage in m. 14, where a

seventh is added to the A-major triad in sforzando and the former acclivitous arpeggiation

is condensed into an exclamatory octave leap. This chord is bifocal, either a German

Example 15. Harmonic structure of the opening theme of Schumann's *Études symphoniques*, Op. 13.

augmented-sixth chord (when hearing tonally in the key of C♯ minor) or a dominant seventh on its way to D major (in terms of the spelling as G♮ rather than F double sharp). Yet both of these two expected paths of resolution are undermined, for not only does it not modulate to D major (as we would expect after a V^7 on A), the quintessential voice-leading for an augmented sixth chord, the contrary half-step resolutions from A and G to G♯, is nowhere to be found. Instead, the chord seems to come to an impasse as if transfixed (prolonged by an added fermata), standing at a precipice and gaping down at the terrifying depth of a crevice. The theme, albeit its rather unadventurous melodic line, is pervaded by a disquieting scar and a turbulent thought that, while lurking in the unconscious and recurrently being repressed, is always on the verge of erupting from within. Schumann's theme for this variation set is an encapsulation of pathos suppressed under an unperturbed musical surface, a latent emotional excess that cannot be contained but spills over into the rest of the variations.

Chapter 5

The rounded binary of the opening theme consists of four phrases, each articulated by a cadence of different syntactical strengths. The first half (mm. 1–8) is constructed in a modulating period (from I to III) with a parallel antecedent and consequent structure. The contrasting middle (mm. 9–12) vacillates between the dominant and the tonic, eventually cadencing on the dominant in preparation for the return of the A section. The recapitulation (mm. 13–16) brings back the opening phrase and tries to cadence on the tonic, yet its expected conclusion is denied by the bass that holds steadfastly to G♯ (first beat of m. 16). The construction of the theme shows a high degree of cyclicality, inasmuch as the first, second, and the fourth phrase begins with the same arpeggiation motif followed by a neighboring motion to scale degree 6. Just as these three phrases are similar in design, their differences, therefore, come to the fore as expressive signs. For example, the neighbor note ^6 (A) is supported by different harmonies in the three instances: a diatonic IV chord (F♯-A-C♯) in m. 2, a VI chord (A-C♯-E) in m. 6; and a German augmented sixth chord (A-C♯-E-G) in m. 14. This technique of beginning each phrase with a similar motivic idea gives rise to a musical anaphora, effecting a sense of parallelism across multiple phrases. (This internal repetition within a rounded-binary theme brings to mind the tessellation of the "Abegg" motif, in a rather obsessive manner, as found in Schumann's Op. 1.) The contrasting middle differs both harmonically and motivically from the other three phrases, prolonging the dominant while an inner line emerges in counterpoint with the melody. Because this phrase is predominantly a contrapuntal expansion of the dominant, later variations take this as an opportunity to incorporate more adventurous harmonic digressions and peregrinations therein, so long as the phrase ends on the dominant in anticipation of the tonic arrival at the start of the fourth phrase.

I identify four motifs that are of particular structural importance throughout the variation set, ones that get developed and elaborated in the ensuing variations. These

Example 16. Four primary motives in the opening theme of Schumann's *Études symphoniques*, Op. 13.

four motifs are characterized and labeled as follows: arpeggiation (motif A), neighbor-note (motif B), third-progression (motif C), and reaching-over (motif D). These motifs are chosen based on their saliency throughout the rest of the variations, and as such some of these motifs are "latent" in the theme, appearing as inconspicuous embellishing tones or figurative gestures. (For example, the third progression is nothing but a stepwise motion connecting two chord tones, whereas the reaching-over motif makes its first appearance in the middle voice of m. 8.) The relative importance of these latent motifs only comes to the fore gradually as the piece unfolds from one variation to the next, in which these motifs will be foregrounded by taking some of them as the main thematic materials or accompanimental patterns for that variation. While a motif can be considered simply as a sequence of pitches with a particular contour, it is beneficial to regard them simultaneously as performative gestures—its rise and fall in contour as representative of the ebb and flow of a musical wave, embodied by the performer as certain bodily motions across the instrument. These motifs and their stylistic qualities are therefore closely associated, each of which invokes distinctive expressive potentials in itself.[2]

The tonic outlining of the arpeggiation motif (motif A), first appearing in m. 1 (C♯-G♯-E-C♯), expresses a tragic solemnity suggestive of the stately procession of a funeral march. Its inverted version in m. 6, as discussed earlier, is analogous to a willful striving into the upper register. A truncated version of this motif can be found in m. 9, here over a G♯ triad. This arpeggiating motif recurs in nearly every variation thereafter, manifesting itself as part of the thematic line or as accompaniment figurations (such as in Variation 3). The neighboring motif (motif B), first appearing in m. 2 (A–G♯), is an expressive gesture in and of itself—an emphatic accented 6–5 incomplete neighbor

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2. For discussion on musical gestures and related performance issues, see Robert Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert. Musical Meaning and Interpretation* (Bloomington, IN: Indiana University Press, 2004), and *A Theory of Virtual Agency for Western Art Music* (Bloomington, Indiana: Indiana University Press, 2018).

evocative of a musical sigh. Its first appearance in m. 2 seems to be complemented

by a mirror image of itself, a rising semitonal ascent in the inner voice of the same

measure (B♯–C♯). This motif is inextricably connected with the sixth scale step, which

is of crucial significance in the structural framework of the theme. The complementary

ascending version of this motif (B♯–C♯) is akin to a gesture of yearning and desire. The

superimposition of both versions of the motif here in m. 2 hints at an affective admixture

of frustration and hope. There are three occurrences of the neighbor-note motif in this

theme, each is supported by a different harmony: a subdominant (F♯–A–C♯) in m. 2, a

major VI chord (A–C♯–E) in m. 6, and a German augmented sixth chord (A–C♯–E–G)

in m. 14. From a Deleuzian perspective, which views repetitions as essentially a return

of pure difference, the threefold restatements of the 6–5 motif carry with them more and

more striking harmonies in three intensifying stages.

The other two motifs can be aptly called "latent," since they are tightly

interwoven within the texture and do not stand out from the background as independent

musical entities. For example, motif C, a passing motion between two chord tones, only

acquires structural significance when it is employed repeatedly in several of the later

variations. It first reveals itself unobtrusively in m. 7 (D♯-C♯-B), as a third progression

prolonging the dominant. A more pronounced instance of this motif can be found in

m. 9 (A-G♯-F♯), here engaged in a voice exchange with the inner voice (F♯-G♯-A).

A variant of this motif appears in m. 15, where the ascending version is concatenated

with a descending one (C♯-D♯-E-D♯-C♯), forming an arch-shape contour that brings

the theme to a conclusion. This motivic variant will acquire much prominence in later

Chapter 5

Major-minor opposition	Dominant-subdominant opposition

Minor	↔	Major		Dominant	↔	Subdominant

Tragic	↔	Triumph		Heroic	↔	Pastoral

(unmarked)   *(marked)*   *(unmarked)*   *(marked)*
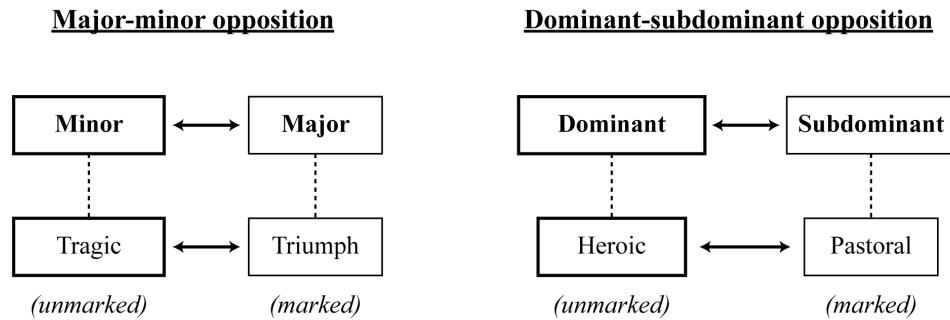
Example 17. Binary oppositions in the opening theme.

variations.[3] The reaching-over motif (motif D) only makes itself heard clandestinely in the opening theme, as an embellishing motion in the melody. The first instance of the motif in m. 8 (A-C♯-B) does not appear in the melodic line but rather in the inner voice, a momentary oasis where the other voices are held in place. It later recurs in m. 11, which sounds nothing more than a little kink over the cadential six-four chord. These two motifs conceal themselves on the plane of immanence, as lines and movements that are non-motivic and non-expressive. They only emerge in later variations as a returning of something uncanny—different but familiar.

It is worth noticing that certain binary oppositions are also at play that has repercussions throughout the variation cycle. The major and minor modes stand in

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3. The four principal motives discussed here possess prototypical status owing to their frequency of recurrence and the relative distinctiveness of motivic identity in their multiple instantiations. Derivatives are deemed more incidental and short-lived within the context of the work, often display a wider degree of variety and divergence from one another. The relationship between prototypes and derivatives are based more on conceptual *differentiation* than empirical *differenciation*, and their mutual affiliation often requires reciprocal reinterpretation when listening through the entire variation cycle, sometimes compelling us to overturn our existing recognition concerning motivic identities. Sometimes the derivatives play a substantial role in the growth of motivic content through the variation cycle, in the way that they will take on a prototypical status within the context of individual variation, akin to Hatten's idea of "style growth" where a shift of expressive significance occurs that elevates the status of a type into a token.

Example 18. Dominant-subdominant opposition in measure 2 of the opening theme.

opposition with one another, in which the minor is the privileged term of the two, given that the opening theme itself sets the tragic background at the forefront, against which the appearance of the A-major chord in mm. 6 and 14 attempts to, albeit unsuccessful, usurp the primacy of the pervasive minor sonority. Another pair of expressive opposition also plays itself out between dominant and subdominant. The tension between the two functional opposites can be observed in the bipolar harmony in m. 2. The subdominant-charged *agent* [4] (A) in the top voice first occurs over IV as part of a plagal progression. The entrance of the leading tone (B♯) in the inner voice, as the *agent* of the dominant harmony, disrupts the subdominant-to-tonic discharge. The situation is rendered more problematic given the dissonant interval of a diminished seventh formed between the agents of the two chords (A against B♯). This intervallic tension compels the subdominant agent to resolve down to G♯, akin to a 9–8 suspension over an imaginary G♯ fundamental

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4. Daniel Harrison, *Harmonic Function in Chromatic Music: A Renewed Dualistic Theory and an Account of Its Precedents* (Chicago: University of Chicago Press, 1994). Harrison's functional theory is adapted by Kevin Swindon in his article "When Functions Collide: Aspects of Plural Function in Chromatic Music," in *Music Theory Spectrum* 27/2 (2005): 249–82.

Example 19. The appendage of an overhang at the end of the opening theme.

bass. Now G♯ takes up the role as the *base* of the dominant harmony, and, as it joins with its *agent* B♯, effects a strong dominant presence *vis-à-vis* the subdominant bass (also the *base*). Here on the second beat of the measure, the harmony splits itself into two divergent functional components—a "schizo" harmony. This interplay between subdominant and dominant also plays itself out in other portions of the theme. In an earlier version such as the one in the Berlin sketch, the PAC ending both halves (in mm. 8 and 16) are withdrawn by itself denying to resolve in the bass, replaced instead by an appended plagal progression immediately thereafter.[5] The concluding *Überhang* (overhang) in m. 16, like an afterthought appended to the purported arrival of a PAC, places the IV chord in root position while invests the ultimate V into the first inversion, throwing the half-cadential arrival into question. The dominant-subdominant binary opposition functions like a "promissory" situation,[6] a symptom that foreshadows a more

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5. Madson, "A Comprehensive Performance Project," 25, and Damien Ehrhardt, *La variation chez Robert Schumann : Forme et* évolution. *Musique, musicologie et arts de la scène* (Université Paris-Sorbonne, 1997), 154.

6. Edward T Cone, "Schubert's Promissory Note," in *19th-Century Music* 5, no. 3 (1982), 233.

elaborate confrontation in the later course of the piece.

The accretion of an overhang after an abandoned PAC on the downbeat of m. 16 is expressively significant. The HC sounds like it is tacked on after the proper ending of the theme as if a narrative voice intervenes from beyond the affective realm of the self-contained song-form of the theme. This two-chord appendage puts an end to the prior cyclical (or mystical) time suggested by the periodic phrasing, while announcing the commencement of a narrative (or historical) time of the transformative becoming in the form of the ensuing variational process; this signifies a shift of temporality from a recursive to discursive time.[7] This inauguration of narrative time is further buttressed by the *crescendo* and *ritardando* over the overhang figure, putting the theme in a state of heightened anticipation and suspense. While the self-contained funeral march occupies a temporal state beyond the chronological time, like an eternal presence or a legend from a bygone era, this inclusion of a half-cadential ending is hermeneutically meaningful, for it signifies a narrative turn from a cyclical to linear time and in turn kicks off the entire body of the variational machine.

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7. Roman Ivanovitch, "Recursive/Discursive: Variation and Sonata in the Andante of Mozart's String Quartet in F, K. 590," in *Music Theory Spectrum* 32, no. 2 (2010): 145-64.

Chapter 5

Retrogressive variational trajectory

The half cadence at the end of the theme launches forth the process of eternal recurrence. The entrance of the new imitative subject in Etude 1 (E1) sounds rather jarring after the opening theme, for, at first hearing, we are at a loss at fathoming any direct motivic relation with the opening theme.[1] On closer inspection, one can hear the first measure of this variation as the retrograde of the structural tones in the first phrase of the opening theme. For example, the leaps of fourths in m. 4 of the theme becomes the similar figure at the beginning of the first variation; the descending contour in the theme (mm. 2–4, A-G♯-F♯-E-D♯) is restated in retrograde (C♯-D♯-E-F♯-(A)-G♯). This variation begins with a fugato-like passage, sounding as if four voices enter one after the other. (The harmonic deployment differs from the convention of fugal exposition, where Schumann adopts largely the same chord progression as that of the theme's first phrase, except for the lack of predominant chord in the variation.)

At the very beginning of this variation, only a single melodic line announces itself in *pianissimo* and stays in the low register, bringing to mind a sense of incipiency and sounding as if this passage emerges *ex nihilo* from silence. A sense of discrepancy can be discerned across the formal break, akin to what Orosz called a "musical seam"—a formal disjuncture that breaks the continuity of discursive unfolding, often employed for

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1. The new opening march-like idea in Etude 1 is first repeated imitatively in the style of a four-part fugal entry. In m. 5 this one-measure idea is superimposed by a restatement of the opening theme in the right hand. This calls into question which of the two ideas should be regarded to be more primary for this variation. This pitting of new materials against the old corresponds to the variation technique of *periphrasis* described by Sisman (1993), a procedure of substituting of new materials in the place of the original theme. Here thematic status between the old and the new is interchanged: the new idea announces itself first at the beginning of the variation, after which the descending arpeggio from the opening theme arises out of the texture.

Example 20. The opening of the first variation (Etude 1).

expressive or poetic purposes.[2] As such the half-cadential ending of the theme functions

as an interruption, from the Schenkerian sense, where the dominant chord relates back

to the opening tonic, after which another phrase begins anew after the interruption in

2. Jeremy Orosz, "Schumann's Musical Seams: The Expressive Logic of Disruption," in *Indiana Theory Review* (2018), Vol. 35, 1/2, 1–25.
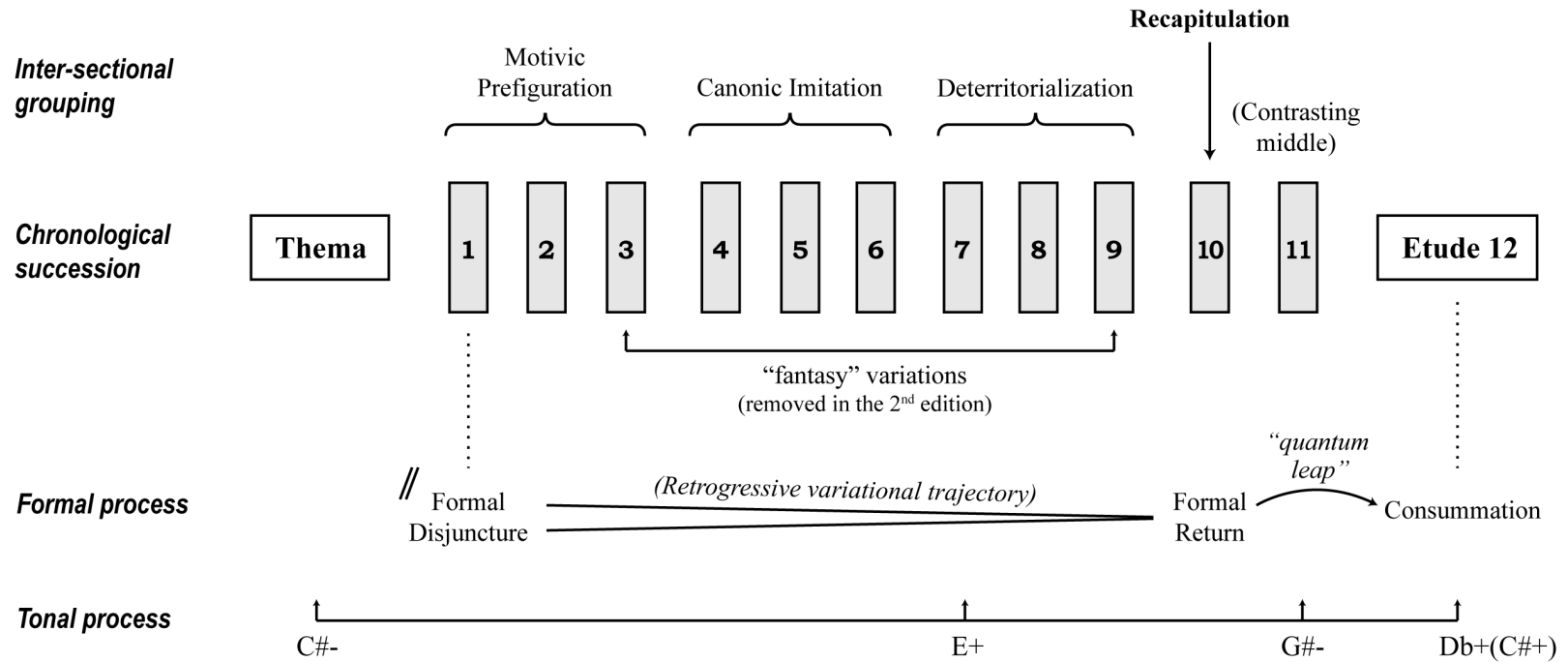
Example 21. Formal layout of *Etudes symphoniques*, Op. 13

order to bring forth an authentic cadence to effect a satisfactory conclusion. The first variation, beginning with a markedly different thematic material, seems to abandon the harmonic implication of the previous unfulfilled dominant ending, pointing forward to an immense dramatico-narrative space where the ghostliness of the expected tonic remains lost in memory (the theme can therefore be thought of as sounds from a bygone past—*Im Legendenton*).

The arrangement of the variations in the first and second editions differs substantially from the formal conception that Schumann had in his first sketch. The genesis of this musical work underwent a series of reworking and reordering of the variations. In the earliest surviving autograph (now housed in the *Ôsterreichische Nationalbibliothek* in Vienna), the first variation was placed in the position of the finale of the entire work, which Schumann labeled "Finale. Marcia.").[3] Regarding this earliest surviving version of the finale (now Etude I), Schumann wrote:

> I'm still stuck in the finale of my variations. I'd like to elevate the funeral march [the theme was called Marcia funebre in the earliest autograph] bit by bit into a triumphal march and, moreover, instill some dramatic interest, but I can't escape the minor mode; and in the act of creation, an "intention" often causes one to stumble and become too material.[4]

It is evident from the quote above that Schumann was dissatisfied with this earlier version of the finale, deeming it not contrastive enough to the funeral march character of the opening theme; instead, Schumann intends to turn the finale into a "triumphal march" that "escape the minor mode," a procedure that finds its precedence in Beethoven's Symphony No. 5. (The use of a triumphant conclusion at the end of a set of character

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3. Ehrhardt, *La variation chez Robert Schumann,* 132.

4. Henle Critical Edition, Vol. 3, XI.

Arrangment in the sketches
(* translated from Ehrhardt 1997, p. 132)

Theme, quasi marcia funebre

Variation 1	=	posthumous variation IV
Variation 2	=	posthumous variation III
Variation 3	=	**Etude X** (1837 edition)
Variation 4		(unpublished piece)
Variation 5	=	posthumous variation I
Variation 6	=	**Etude V** (1837 edition)
Variation 7		(unpublished piece)
Variation 8	=	posthumous variation V
Variation 9		(unpublished fragment)
Variation 10	=	**Etude II** (1837 edition)
Finale. Marcia.	=	**Etude I** (1837 edition)

Example 22. Schumann's sketch of *Etudes symphoniques* in the Marioment manuscript.

pieces can also be found in Schumann's other musical works, such as *Papillons* Op. 2, *Impromptu* Op. 5, and *Carnaval* Op. 9.) The first version of the finale, which later becomes the first variation in publication, indeed starts off in a march-like rhythm while still preserves the minor mode of the theme, in contrast with the later version of the finale that sounds like an unabashed celebration of victory over the tragic minor mode. It is worth noting that this stylistic and modal opposition between the opening theme and the finale is unconventional with respect to the Classical procedure of variations, and Schumann here intends to trace a discursive trajectory from tragic to triumphant, a narrative paradigm much akin to the romance archetype.[5]

Even though Schumann was not fully satisfied with the first version of the finale (which now stands as Variation 1), its former status as a potential finale nevertheless

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5. Almén, Byron, "Narrative Archetypes: A Critique, Theory, and Method of Narrative Analysis," in *Journal of Music Theory* 47 (2003), 1–39.

Example 23. Parallelism between the subject in Etude 1 and the opening of the primary
theme in the finale (Etude 12)

indicates a certain formal distance from the opening theme.[6] Why then did Schumann

later move this original finale-marcia to the first variation right after the opening theme,

instead of appending another major-mode finale right after it? Schumann indeed rearrange

the variations in the first sketch in reverse order as in the published edition, resulting in

a unique formal procedure that can be called a *retrogressive variational trajectory*. In

the Berlin sketch, Etude 1 stands as the finale in Schumann's earliest conception of the

variation set. Three other pieces that are later preserved in the first (1837) edition were

arranged in reverse order: Etude 10 is originally located at the third position in the sketch,

Etude 5 in the sixth, and Etude 2 is placed in the eighth and ninth position, one showing

the rhythmic pattern while the other outlining the melody. In this original arrangement

of the first sketch, the variations bear witness to increasing deviations from the opening

theme, progressing incrementally towards the finale-marcia. For example, Etude 10

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6. I am making the assumption that Schumann already had the evolution of musical character spanning the
    entire cycle in mind, as expressed in the quotation above, during his creative process in the autograph,
    an assumption which I find unlikely to be otherwise.
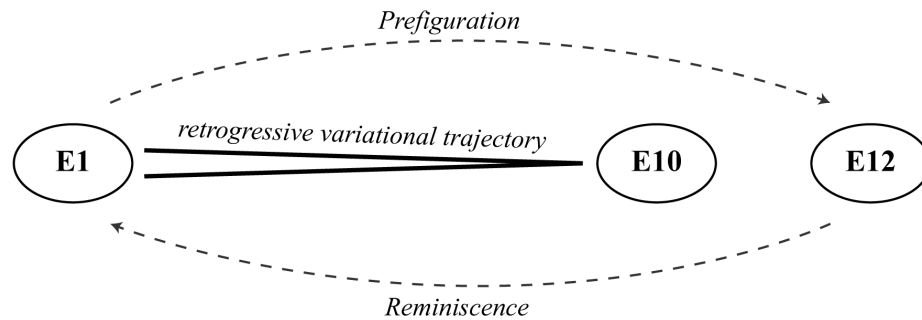
Example 24. Connections between the first etude and the finale.

stands closest to the theme with its explicit presentation of the theme in the top voice (only embellished slightly with neighboring notes); Etude 5, the next variation in the order of composition in the first edition, is set in a canon between the two hands, and the theme is further embellished with third progressions; the top melodic line of Etude 2 is replaced entirely by a new melody, which unfolds in counterpoint with the opening theme placed in the bass, here acting like a *cantus firmus* (and as a consequence of this new bass line, the harmonic progression of this variation differs drastically from that of the theme). The published edition instead projects a reversed variational trajectory: the piece seems to dive in the deepest end in Etude 1 and only swims its way back to shore in Etude 10. As such Etude 1 should sound like a moment of perplexity rather than an innocent embellished version of the opening theme, eliciting an astonishment that intends to throw the listener off-balance.

Etude 1, a formal contrast and disjuncture, also performs a large-scale motivic function, where the fugato subject will be picked up and transformed into the primary theme of the finale. It is likely that Schumann, by placing the earlier version of the finale as the first variation, intends to create a subliminal link of motivic connection

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across the entire variation cycle, in which an inconsequential motivic figure is turned into a full-fledged thematic idea. This manner of covert thematic prefiguration, akin to a "reminiscent motif,"[7] can also be found in Schumann's *Fantasie*, Op. 17, as a structural-defining procedure: the self-contained *Im Legendenton* is prefigured in the modulatory transition of the exposition; in addition, the quotation of Beethoven's song "An die ferne geliebte*,"* appearing in full at the end of the first movement, is in turn foreshadowed in multiple locations within the *Im Legendenton* section.[8] Another instance can be found in his *Davidbündertänze*, Op. 6, in which the second to the last movement, titled "Wie aus der Ferne," brings back a substantial portion of the second movement ("Innig") of the piano cycle, hinting at a melancholic recollection of some sentiments from the past that can only be relived in memory. This interplay of memory, recollection, and reminiscence finds its most powerful expression via thematic prefiguration and recall, a technique, common in a number of Schumann's compositions, that sets up a long-ranged temporal distance within the works. In the *Etudes symphoniques*, the subtle motivic link between Etude 1 and the Finale is analogous to a musical *déjà vu,* in which the latter sounds unheard of yet peculiarly familiar, its thematic lineage defying any immediate recognition owing to its temporal and formal distance separating these two sections. This uncanny feeling feeds upon the precariousness of our memory, an unheimlich encounter of a trace left behind by the erosion of time. Schumann here creates a journey of a special kind, one of remembrance and transfiguration, that can only be apprehended through the dialectics between our chronological and subjective time.

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7. Matthew Bribitzer-Stull, *Understanding the Leitmotif: From Wagner to Hollywood Film Music* (Cambridge: Cambridge University Press, 2015).

8. See Nicholas Marston, *Schumann: Fantasie, Op. 17* (New York: Cambridge University Press, 1992) and "'Im Legendenton': Schumann's 'Unsung Voice'," in *19th Century Music* 16, no. 3 (1993), 227–41.

Departure

Located approximately halfway through the cycle, Etude 7 is the first tonal digression leaving the purview of C♯ minor, stationing in the mediant key of E major. This represents a deterritorializing movement away from the tonal region of C♯ minor, which persists from Etude 1 through 6. The tonal move to the relative major is nothing unreasonably out of the ordinary, for most Classical sonata-form minor-mode movements favor the relative major as their first-level default for the secondary-theme zone. This major mediant within a variation set however is generically unorthodox, for the central contrastive variation tends to be in parallel, rather than relative, mode. Even more, this modulation to E major represents a double departure in terms of both the mode (minor to major) and pitch centricity (C♯ to E).

From a motivic point of view, the transposition to the mediant is part of a composing-out of the opening arpeggiation motif in inversion—C♯ (Theme), E (Etude 7), G♯ (Etude 11), and D♭, the enharmonically respelling of C♯ (Etude 12). This ascending version of the motif outlined by the four keys seems to react against the tragic descending arpeggiation at the very beginning of the theme, implicating an overarching narrative of tragic to triumphant across the span of the entire work, an expressive genre that possesses a specific dramatic-expressive meaning in certain of Beethoven's music.[1] Here the mediant signals the first departure away from the gravitational pull of the governing C♯ minor.

Besides the shift to a new tonal plateau, Etude 7 also displays, for the first time in the entire set, a divergence from the theme's phrase organization, a looser formal

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1. Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation*, (Bloomington: Indiana University Press, 2004).

Example 25. Composing-out of the arpeggiation motive across variations

organization compared to the tight-knit construction of the opening theme[2]. The theme

bears witness to a tight-knit periodic organization of 4+4+4+4 phraseology, with each

phrase articulated by a cadence at the end. Etude 7, in contrast, departs from this formal

paradigm via the addition of internal expansion, interpolation, and post-cadential framing

segments. The expected half cadence at m. 4 is nowhere to be found, replaced by a

modulating progression to the lowered submediant of C major, which elaborates the

melodic neighbor note ^6 that is chromatically inflected—a chromatic third relation[3].

Only in m. 8 do we get a proper half cadence, marking the end of the continuous

harmonic progression lasting through mm. 1–8. The first half, unlike the theme that

modulates to the mediant, remains in the key of E major, ending with a half cadence

instead of a PAC in the mediant (the expectation for the upper mediant seems to be

compensated in m. 11 by a similar harmonic motion to G major, which functions as an

applied chord leading to VI). The second half is greatly expanded in formal proportion,

exceeding the length of the first half. The two formal functions within the second half of

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2. William Earl Caplin. *Analyzing Classical Form: An Approach for the Classroom* (New York: Oxford University Press, 2013), 203.

3. David Kopp, *Chromatic Transformations in Nineteenth-Century Music* (Cambridge: Cambridge University Press, 2002).

Example 26. Harmonic structure and cadential articulations in the opening theme

the rounded binary can still be discerned amidst the formal expansion: contrasting middle in mm. 9–18 (expanded from 4 mm to 10 mm in duration) and recapitulation in mm. 19–30 (expanded from 4 mm to 12 mm).

The expansion of the two sections is achieved by different means. The contrasting middle employs a more tortuous harmonic path than the theme to target the half-cadential dominant: unlike the rocking-back-and-forth between the tonic and dominant in the theme, this phrase retraces the same harmonic progression (I–VI–V) as in the first half, with an additionally applied chord leading up to the VI chord. The hypermeter also deviates from the symmetrical four-measure grouping, shortened into groups of three measures in mm. 13–18, creating an acceleration of phrase rhythm (indicated by the

Example 27. Formal loosening in the contrasting middle of Etude 7

Example 28. Extension of the final cadence in Etude 7

encircled numbers between the staves). The phrase extension in the recapitulation (mm. 19–30) occurs towards the end by means of a series of cadential evasion and "one more time" technique.[4] This multiplication of cadential pattern is a consequence of the failed attempt in bringing forth a PAC at m. 26, where the bass lands on the chordal seventh (A) of the dominant that ineluctably resolves to a first-inversion tonic, as such evading a satisfactory closure articulated by a PAC. The same cadential evasion happens again in m. 28, during which the upper line lands on ^5 (hence eluding melodic closure as well) as

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4. Janet Schmalfeldt, "Cadential Processes: The Evaded Cadence and the 'One More Time" Technique," in *Journal of Musicological Research* 12 (1-2): 1–52.

Example 29. Harmonic structure of Etude 8

it continues its ascending motion towards the next cadential goal. Only on the upbeat to

m. 30 does the bass leap up to the proper dominant (B) to initiate a satisfactory authentic

cadence that brings the recapitulation to an end. These multiple attempts of the final

cadence also bring about a series of hypermetric renewals, from which the third and the

fourth hyper-measures reiterated themselves again and again in a two-measure group. All

in all, this variation shows a form-functional loosening from the tight-knit construction of

the opening theme.[5]

The tonal, formal, and harmonic departures as found in Etude 7 signal the beginning of a group of three deterritorializing variations (E7–E9) that inclines to leave the melodic-harmonic framework of the theme. As a comparison, Etudes 1 to 6 adhere to the four-measure grouping as in the theme; even the "free" variation of Etude 3 confines itself to the same symmetrical tight-knit construction. Etudes 7 to 9 however deviate from the symmetrical phrasing by incorporating within themselves internal expansions and extrinsic phrase extensions, which also alters the regular hypermeter as a result.

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5. The formal extension of the second half, by enlarging the formal proportion of the contrasting middle and recapitulation, gives the impression of a tripartite division corresponding to a large ternary form.

Example 30. Harmonic structure of Etude 9

Harmonically the three deterritorializing etudes also diverge substantially from the theme, tracing a different harmonic path before anchoring itself back again to the four cadential goals. The harmony in mm. 14–18 of Etude 8, for example, instead of employing the same progression from the theme, is modified so as to project an emphatic descending bass line beginning at the subdominant F♯ in m. 14, plunging to the registrar depth in m. 17 reaching the dominant G♯.[6] Etude 9 bears witness to an even greater degree of formal deviation. The three formal functions of the rounded binary are preserved: exposition (mm. 1–16, totaling 24 measures if we take into account the repeat signs in mm. 9–16),

6. This linear progression of a seventh can be regarded as an inversion of a second, bridging harmonic motion from IV to V.

contrasting middle (mm. 17–32, totaling 16 measures) and the recapitulation (mm. 33–40, totaling 8 measures). While the number of measures in the first half (24 mm) balances that of the second half (16+8 = 24 mm), each half now consists of three phrases instead of two—the second phrase (mm. 9–16) is repeated and the dominant-prolonging third phrase (mm. 17–32) is internally expanded via an omnibus wedge-like semitonal progression (mm. 21–28). In addition, an elaborate appendix (mm. 41–79) is inserted after the *syntactic* ending of the variation, hammering out the 6–5 (A-G♯) neighbor-note motif.[7] The asymmetrical grouping structure, coupled with a relative redundant functional efficiency and non-compliant harmonic framework, characterize the looser formal construction characteristic of the group of deterritorializing variations in Etudes 7 to 9. These three etudes are like parenthetical insertions, interpolating themselves as a group of deterritorializing variations within the predominant retrogressive variational trajectory from E1 extending all the way to E10. As regard to Schumann's compositional process as evident in existing sketches and manuscripts, these three deterritorializing variations were absent in the earlier sketch, the Mariemont manuscript, or the Vienna manuscript, and they were likely to be added in at a later time by the composer as found in the Düsseldorf manuscript, which was then consulted for the engraving of the first edition.[8] Etude 7 hence represents an internal digression in the course of the variation process, interpolating a group of deterritorialization that acts as centrifugal forces in an attempt to escape the despotic regime of the tragic minor mode.

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7. This auxiliary post-cadential appendix, seeming extraneous at first, indeed provides a subtle motivic linkage to the following etude by incorporating the A-G♯ figure into the otherwise rather straightforward restatement of the theme.

8. Ehrhardt, *La variation chez Robert Schumann*, 138–140.

Chapter 5

Contrast

The retrogressive variational trajectory spans across E1 to E10, interrupted in the middle by a group of deterritorializing variations from E7 to E9.[1] Etude 11, situated midway between the formal return of E10 and the jubilant finale of E12, functions as a contrasting slow interlude between two energetic variations. This variation stands out from the others since it is the only slow variation out of the twelve etudes. The modulation to G♯ minor signifies a departure from the tragic key of C♯, and this tonal shift to the dominant minor is mediated by the retention of the highest pitch G♯ across the movement boundary, where E10 ends on a melodic apex of G♯^{6}, which is taken up by a G♯^{5} an octave lower at the beginning of E11 (this common-tone linkage is accompanied by a transformation of scale-degree qualia, in the sense that G♯ as ^5 in E10 becomes ^1 in E11 while holding onto the same pitch class as a common tone).[2] This subtle pitch connection aside, the stark contrast in character is hard to miss when E10 crosses over to E11, as if stepping over a crevice into another affective space. In the first edition of this etude, a measure of accompanimental introduction is placed before the start of the main theme, which was removed by Schumann in the second edition. This one-measure introduction, in which the right hand is not playing temporarily while the left hand insinuating a murmuring utterance, further sets apart the two variations.

Apart from viewing these three variations as constituting a minuscule symphonic work in themselves, E11 is comparable to a contrastive *minore* variation typically found in the middle of Classical variations, which is like a "point of furthest remove"[3]

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1. Etudes 4 to 6 also suggest another internal grouping of variations, related by their canonic imitation between the two hands with a gradually shortening of their separation.

2. Steven Rings, *Tonality and Transformation* (New York, Oxford: Oxford University Press, 2011).

3. Leonard Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer Books, 1980).

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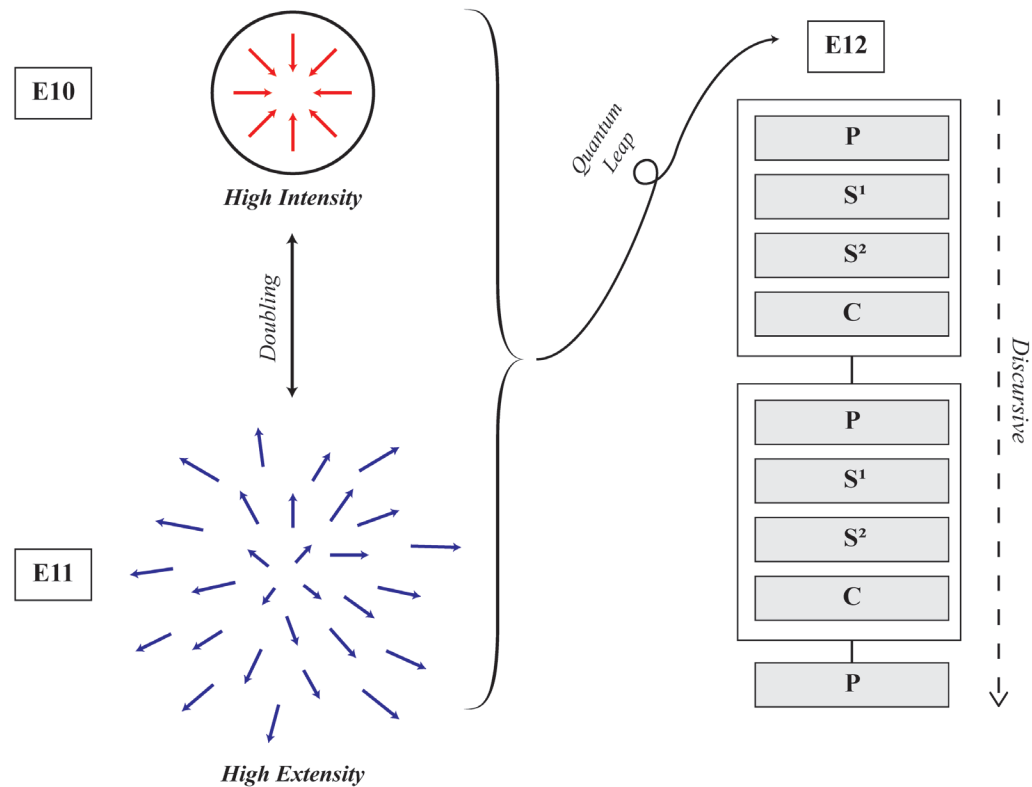
Example 31. Stylistic contrasts between Etude 10 and 11 leading into the finale

where the mode and character are drastically altered. The slow *minore* variation is often employed as an important formal marker around the middle of the work, delineating the two halves of the variation cycle—progressive rhythmic diminution of *gradatio* in the first half, followed by parametric substitutions (in the manner of character variations) of *paraphrasis* in the second. By applying the same formal convention of Classical variations to the group of variations from E10 to E12, we can imagine the middle section as comparable to the contrastive *minore* variation. E11 also acts like a catapult that launches the piece via a "quantum leap" into the Finale (E12), as if taking flight into another dimension. The tonicization on the dominant key in E11 is transformed back into

an active dominant chord at the beginning of E12, in preparation for the return of the tonic key in C♯.

The stylistic contrast between E10 and E11 is hard to miss. If E10 is a monad of great intensity, E11 transports the listener to a space of great extensity. The stark contrasts in style, dynamics, tempo, and tonality give rise to an immense distance between the two variations; paradoxically these two variations are closely connected in terms of thematic and motivic similarity, as two sides of the same coin, the opposite persona of Florestan and Eusebius, the intensity of the subject and the extensity of the body without organs. This pair of twin variations, genetically the same but stylistically different, bring entire variation to point of a paradox,[4] a simultaneity of both unity and multiplicity, continuity and disjuncture, insistent and reflexive. This paradox between identity and difference gives rise to a para-sense, via which the funeral-march topoi of the opening theme is split into two affective poles, one agitated and the other melancholic, a "schizo" perception of multiple realities. This dichotomy of qualitative difference foreshadows the two stylistically orthogonal thematic groups in the Finale—the primary theme (P) and the secondary theme zone (S^1 and S^2)—the former spirited and bombastic while the latter thoughtful and consolatory. The affective tension between two contrastive variations (E10 and E11) engenders a polarization of positive and negative charges, and this cumulation of potential energy eventually discharges, via a quantum leap, into the elaborated formal scope of the Finale (E12).

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4. Gilles Deleuze, *The Logic of Sense*, tran. Mark Lester and Charles Stivale, (New York: Columbia University Press, 1990).

Intermezzo 1

Tracing and Mapping

In the previous chapter, we have examined the organization of *Études symphoniques* from a perspective in accordance with the linear succession of variations as they unfold chronologically in time, which has a clear beginning and ending that function as the frame of the entire musical work. This notion of a frame can be conceptualized in terms of the Deleuzian idea of the *Body without Organs* (BwO). This body is characterized by a negation "without," signifying that, in order to create a BwO, one has to deterritorialize (or empty out) the organs that are already present in the body, and as a result returns this body to the plane of consistency where everything gets molecularized and exists in pure intensities and differentials. Analyzing a piece as a composition—in the sense of placing (*poser*) together—of functionally differentiated parts instead akin to conceiving of the piece as a Body *with* Organs, where the individual variations are distributed and arranged with a predetermined expressive purpose. Once the frame of the work (i.e. both of its beginning and ending) is in view in our formal conception, the variations and their formal-spatial arrangement become subordinated to the block of duration (in the sense of Bergsonian *durée*) that defines the musical work as a coherent whole. Likewise, all variations within this body divide up this duration into various temporal portions, each with its own durational span and locations in the work. Everything is organized (*organ-ized* or becoming-organs) according to a divine plan, each possessing a predestined fate of beginning, middle, and end in the flow of historicity.

This representation of musical form is what Deleuze called tracing, a procedure of comprehending an object by first circumscribing it with a well-defined border that

Tracing

Mapping

Territory

Rhizome
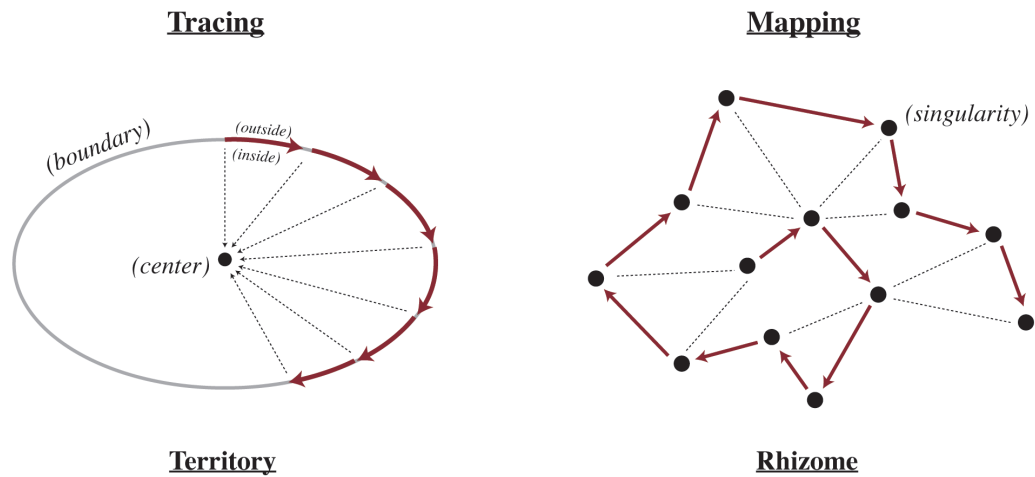
Example 32. Tracing and mapping

separates an entity from what it is not. It seeks to establish a well-defined and decisive boundary, via which things get compartmentalized into separate blocks and occupy different territories within the body of the work. Each variation functions like an organ, similar to a Leibnitzian monad; the analyst's job is to dissect the body into separate parts, and then analyze each of them in relation to each other and to the body, so as to understand the different functions and purposes thereof. Even if a set of variations is a manifestation of a coalescence of multiple flows across different milieus (as described in the introductory chapters), the method of tracing cut up (*découper*) these flows into a succession of snapshots, each presenting a slice of the continuous processes as an atemporal image, and each image a duration that composes the entire body of the work. This interruption on the incessant flows of becoming renders each variation as an individual entity that possesses its own beginning and end. Yet the quality of autonomy and self-identification of each variation is illusory, for it is only justified in relation to the

whole (in the Hegelian proposition that "the true is the whole").

The formal representation of tracing can be conceived with respect to the different syntheses of time.[1] The first synthesis of time converges the past towards the present as in habitual thinking; the past corresponds well to the present in a perfect continuity (for example, the manner in which objects fall does not differ in Newton's time and in our present time), such that we can act habitually based on our experience form the past. This type of habitual synthesis of time can be represented by the variational process of *gradatio*, in which one variation continues "naturally" into another with the identity of the theme remaining clear in the mind of the listener. The second synthesis of time also seeks to bring the past with the present, yet this past does not congeal itself into a coherent continuity. Instead, the past consists of disjointed images of memory, each exists on its own without any necessary causal relationship to relate them into a singular habitual thought. Here differences reign, but our mind still attempts to grasp the entire duration of this past as one continuous line. The second synthesis of time brings together different images of memory under the temporal frame of duration, organizing and arranging them according to their causality and contiguity. Here differences are harmonized and coordinated within the frame of duration, on the body of which are inscribed the images that become distributed in a systematic manner. This results in a tension between the pure differences among the images of memory and the totality imposed by the body: the latter tries to tame those differences and bring them under its domination.[2] The procedure of tracing corresponds to this second synthesis of time, in the way that the individual variations, like images of memory, are brought under the circumscription of the temporal frame of the work, in an attempt to get hold of

1. Gilles Deleuze, *Difference and Repetition*, tran. Paul Patton (New York: Columbia University Press, 1994).

2. The body will eventually become fatigued as more and more differences are subjugated and regulated within the body, ultimately leading to a drive towards death and stagnation.

this multiplicity of differences within a formal scope of the work. The use of a formal

diagram indeed corresponds to the method of tracing—the opening theme and the twelve

variations are arranged and distributed linearly according to chronological time; each

is contained within its temporal block and acquires its own unique formal identity and

functions. The analyst is like a tyrant who imposes an ordering or an organizational

schema upon the individual parts, a way of comprehending the entire piece from the

position of a god. The body of the work is demarcated by organs; flows and processes

get domesticated in these delineated blocks. Within this Body *with* Organs, everything is

determined and preordained; the end of a work is already conceived even before it begins,

and every component therein plays its part according to a kind of divine predestination.

This may lead to a fatal consequence: all entities and processes within this organized

body become ossified, and becoming is downplayed in preference for beings. In order

to preserve the unity and coherence of the body, differences are reduced or distilled in

conformance with the organizational principle of the overarching body. As Deleuze and

Guattari put it, "Once a rhizome has been obstructed, arborified, it's all over, no desire

stirs; for it is always by rhizome that desire moves and produces. Whenever desire climbs

a tree, internal repercussions trip it up and it falls to its death; the rhizome, on the other

hand, acts on desire by external, productive outgrowths."[3]

I am here proposing a different formal perspective of variations—what Deleuze

calls the method of mapping, which correlates with the structure of a rhizome. As

opposed to the closed, arborescent, and hierarchical structure given by tracing, the

rhizome begotten by the technique of mapping is an open structure, amicable to further

connections and associations. Tracing *reproduces* the tree, whereas mapping produces the

rhizome. Tracing *overcodes* reality with determined concepts and structure, segregating

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3. Deleuze and Guattari, *A Thousand Plateaus*, 14.

the parts from the whole and subjugating them an idealized pre-established ordering. In contrast, mapping traverses along lines of connections, revealing a growing structure without the aid of a centralized agent of totalization and unification. Tracing reaches into the ideal; mapping makes contact with the real.[4] The former is a *semantics*, correlating signifier with its signified; the latter is a *pragmatics*, experimenting with new ideas and creative word formations. Tracing *reduces* reality into paradigms and syntagms; mapping produces a multiplicity of states, with lines of flights connecting and escaping these states. The resulting rhizome corresponds to both the physical reality and a mental representation thereof, whereas a tree orders things into singular, unified identities to form an arborescent system. The rhizome is not a generic form, but a dynamic forming[5]— the structure of the rhizome only comes *a posteriori*, with each component functioning like an automaton that joins with one another based on their propensity and intrinsic inclination. Every step in the process of mapping is reaching into the unknown, seeking out what lays outside of the existing rhizome, and bringing it into its purview. If tracing demarcates the smooth surface of an egg (i.e. the body) with axes and organs into well-defined grids of latitudes and longitudes, mapping deterritorializes those divisions by those axes and those individuations of the organs, drawing connections between distant identities and consequently opening the egg onto a plane of consistency.[6]

In mapping, the analyst is like a cartographer or a nomad, exploring new lands at each step of their journey. The purveying of each new piece of new introduces a disruption to the existing configuration of the rhizome, compelling it to reorganize and re-center itself to attain another metastable state. Listening in a rhizomatic manner

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4. Gilles Deleuze and Guattari Félix, *A Thousand Plateaus: Capitalism and Schizophrenia*, tran. Brian Massumi (Minneapolis: University of Minnesota Press, 1987), 12.

5. William Earl Caplin, James A Hepokoski, and James Webster, *Musical Form, Forms & Formenlehre: Three Methodological Reflections*. ed. Pieter Bergé (Leuven: Leuven University Press, 2009).

6. Deleuze and Guattari, *A Thousand Plateaus*, 12.

involves free associations between musical entities, without any *a priori* principle of tonal and formal organization. In contrast with the one-dimensional view as represented in the formal diagram, which traces the beginning and end of each musical entity as they succeed each other in time, the rhizomatic structure of a map extends out into the nth-dimensions, for each new component introduces a new dimension of possibility to the existing configuration, a new state that overlays on top of the existing ones. The map of the rhizome corresponds to the neural network inside our brain, inasmuch as "the discontinuity between cells, the role of the axons, the functioning of the synapses, the existence of synaptic microfissures, the leap each message makes across these fissures, make the brain a multiplicity immersed in its plane of consistency or neuroglia, a whole uncertain, probabilistic system."[7] It models the functioning of short-term memory, which is "of the rhizome or diagram type," as opposed to the long-term memory, which is "arborescent and centralized."[8] What characterizes the short-term memory is free association, acting on percepts and affects at a distance "under conditions of discontinuity, rupture, and multiplicity.[9]" The resulting structure from this short-term memory is not a line of contiguous succession or causation, but a constellation of distinct entities that are freely congregated. The rhizome is not a universal and stable structure; it is instead contingent and metastable: contingent in the sense that the entities are arranged according to the actuality happening on the plane of immanence (i.e. their intrinsic properties and mutual associativity), and metastable in the sense that different arrangements of the entities are possible with respect to different ways of mapping, and

7. Deleuze and Guattari, *A Thousand Plateaus*, 15. "The discontinuity between cells, the role of the axons, the functioning of the synapses, the existence of synaptic microfissures, the leap each message makes across these fissures, make the brain a multiplicity immersed in its plane of consistency or neuroglia, a whole ncertain, probabilistic system ('the uncertain nervous system'). Many people have a tree growing in their heads, but the brain itself is much more a grass than a tree."

8. Deleuze and Guattari, *A Thousand Plateaus*, 16.

9. Deleuze and Guattari, *A Thousand Plateaus*, 16.

the rhizome is amicable to restructuring itself in response to any changes and additions.

Mapping of the rhizome reaches into the plane of consistency, and as such it deconstructs any notion of beginning and end. The work itself is unbounded and without a formal frame, because even the last step of the cartography does not preclude the possibility of further extensions and connections. What defines the method of mapping are lines: lines of associations, lines of becoming, and lines of flight. The frame of the work is a boundary that imposes externally upon the open structure of the rhizome, delineating from without the point of inception and its termination. From this perspective, a work always begins *in medias res*, arising from the plane of consistency as sound emerging from silence. It also stops *in medias res*, taking flight away from the realm of the work as opposed to arriving on any denouement or conclusive end. The notions of beginning and ending only occur when an arborescent thought comes into play and imposes itself upon the rhizome. As such, mapping can start out in any location and admits of "multiple entryways":[10] the end of one line becomes the beginning of another line, and one can traverse a line in either direction. Listening in a rhizomatic manner invites one to focus on the uniqueness (or the non-identity) of every single moment in time, and to be sensitive to everything new, different, and unheard-of. The form of the variation is fundamentally a rhizome, with each individual variation seeking out new territory, experimenting with different characters, tempi, meters, and textures. The variational process can be extended into the infinite, covering all possible melodic and harmonic configurations and drawing on all possible musical styles, therefore reaching into the plane of consistency. Variation as a work extracts from this infinite line of becoming a subset thereof, imposing upon it a body that delimits its beginning and end. This frame of the work also introduces an arborescent structure upon the open rhizome,

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10. Deleuze and Guattari, *A Thousand Plateaus*, 12. "Perhaps one of the most important characteristics of the rhizome is that it always has multiple entryways."

in the sense that what comes first (the opening theme) and last (the finale) often receive privileged status as compared to the rest.

It would be a misunderstanding that mapping is superior to tracing; instead, the rhizome coexists with the tree as the other side of reality—the tree reduces the complexity of reality into distinct identities, the rhizome confronts directly with this underlying chaos in order to apprehend its multiplicities and interconnectedness. Trees and rhizomes are both valid representations of reality, and one can readily be intertwined with another like two sides of the same coin: "[t]here exist tree or root structures in rhizomes; conversely, a tree branch or root division may begin to burgeon into a rhizome."[11] The formal diagram from tracing (as shown earlier) and the motivic network from mapping (as shown later) should not be taken as two incompatible representations based on diametrically opposed ontological presuppositions. Instead, one can integrate one into the other, just as atemporal ordering in long-term memory interacts with the free associations in short-term memory. The Schenkerian-informed readings, as presented in the previous chapter, elucidate the arborescent structure within the theme and its variations—the rounded binary form, the antecedent-consequent pair of the progressive (or modulatory) period at the beginning, and the articulation of the formal closure of each section via a PAC at the end. Beside the formal structure, each section is also tonally closed, revealing a two-part interrupted voice-leading structure (with a back-relating dominant at the end of the contrasting middle). At the same time, the arborescent structure of each section—a succession of *monads*—are situated within the larger associational networks of motivic, rhythmic, and topical correspondences across variations—a diasporic migration of *nomads*. These networks of connections *across* multiple variations, which will be examined in the next chapter, brings together

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11. Deleuze and Guattari, *A Thousand Plateaus*, 15.

the seemingly self-contained musical sections into a field of intensity (within the entire work of the variation set). The formally and tonally closed units are here "burgeon into a rhizome" in the form of a network of associations, without subjugating everything under any fixed identity. The Schenkerian method of analysis in the previous chapter and the network analysis in the following chapter should not be taken as two incongruent and incompatible views of the variational form; instead, it is more appropriate to consider each of them as a way of revealing two intrinsic properties of the form—the monadic construction of each individual section and the nomadic deterritorialization in the process of a rhizomatic mapping. The tree and the rhizome are therefore complementary to each other—the tree representing the coherence *within* each variation, whereas the rhizome representing connections *across* variations; the former can be revealed by a Schenkerian method of analysis, while the latter via a paradigmatic and network analysis. In other words, the entire variation set can be regarded as consisting of an assemblage of a series of tight-knit formal and tonal structures, which is subject to the underlying flows of deterritorialization.

In my following analysis of *Études symphoniques*, I will focus on the motivic aspect of the piece to map out the formal distance among variations. My reasons for choosing motifs as opposed to other musical parameters are informed by Schumann's idiosyncratic approach to writing variations.[12] As opposed to the standard techniques such as *melodic-outline* (an embellishment of the theme) or *constant-harmony* (complying with the same harmonic structure as the theme) that are commonly found in Classical variations, Schumann's approach to writing variations can be termed *motivic-*

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12. My preference for motif as a means to map out the variations does not imply that other parameters are formally insignificant or irrelevant. I here provide one of many different perspectives in constructing a constellational network of this work, and future research may provide other representation of the associational network from other aspects of the musical texture, hence arriving at a more "multivalent" view of the piece.

generative: several motifs are extracted from the theme that will be subjected to various manipulations, altered and recombined with one another, creating new thematic materials that are taken as the main thematic ideas for the individual variations. This *motivic-generative* technique of variation was recognized by Brahms as hybridization between the stricter approach of variation and the free imagination in fantasy, a new style of variation which he called "fantasy-variation."[13] These fantasy-inflected variations rely upon the exploration of "a melody, a motif" as exemplified by Schumann's *Études symphoniques*.[14] Despite Brahms's dismissive attitude towards this type of "newer variational works," which is "something else" from Beethoven's models,[15] his recognition of Schumann's idiosyncratic approach to variations reveals further the novelty in his compositional method. Schumann's reliance on motifs as the generative elements for the entire work can be witnessed in other compositions as well: the opening theme of the "Abegg" Variation, Op. 1 is grounded upon a five-note motif that spells out the name "Abegg" in musical letters; the entire piano cycle of *Carnival*, Op. 9 is based upon two permutations of the letters "ASCH" (the birthplace of Ernestine von Fricken), which are utilized as the starting pitches for most of the character pieces therein; and the three movements of the *Concert sans Orchestre*, Op. 14 are linked together by the recurrences of the "Clara" motifs—a five-note descending line that references Clara Wieck's the opening theme in "Notturno" from her *Soirees musicales*, Op. 6. This technique of motivic recurrences and manipulation is also evident in *Etudes symphoniques*, in the way that motifs from

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13. Elaine Sisman, "Brahms and the Variation Canon," in *19th-Century Music* 14/2 (1990), 134. "Observe then Beethoven's variations, and, if you wish, mine. I believe you will find your variations only in Schumann (and imitators without [their own] ideas). But could we not make a distinction between variations and fantasies on a melody, a motif? (Look at the *Etudes* [*symphoniques*].) Fantasy-variations. Unfortunately, its cause is that I too cannot be strict with myself [Doch leider hat es seine Ursache, daß ich auch mir gegenüber keine Strenge gebrauchen kann]."

14. Sisman, "Brahms and the Variation Canon," 134.

15. Sisman, "Brahms and the Variation Canon," 135.

the theme become independent entities that can freely transpose, transform, expand, and adapt themselves to various musical contexts. Brahms's labeling of this work as a "fantasy-variation" is better taken as a hint for its unique character and formal design than as a new genre, inasmuch as many of the variations in this piece still bear witness to many conventional techniques of melodic elaboration within the harmonic structure as defined by the theme (such as Etudes 5 and 10). The novelty in Schumann's variational style manifests itself most conspicuously in those variations that deviate most from the theme, such as Etudes 3 and 9 from the first edition, and the posthumous Etudes 1 and 5, edited by Clara Wieck in 1873, first appeared in the Mariemont manuscript as variation 5 and 8). It is instead more appropriate to consider a multiplicity of variational techniques at work in various variations. Still, the motivic-generative process pervades the entire work, especially with respect to the elaborate finale that departs substantially from the formal or harmonic structure of the theme.

Intermezzo 1

Motivic Segmentation and Selection

The selection of motifs involves a subjective evaluation of their 1) perceptual saliency, 2) degree of markedness, and 3) form-structuring significance. *Perceptual saliency* concerns how a motif stands out from other musical entities as a foreground musical event. There are many factors contributing to perceptual saliency, such as texture, dynamics, and formal location. Texture and dynamics are rather straightforward: a motif that occurs in the top or bottom voice is perceptually more conspicuous and textually more prominent than one embedded in an inner voice, and those that are hammered out more forcefully possesses tends to draw the listener's attention. On the issue of formal location, motifs appearing at the beginning of a musical unit (e.g., a phrase or a section) are generally more memorable than those in the middle or the end. This is partly due to a rhetorical conception that listeners normally bring to bear on musical discourse—an argument is presented forefront, which is then elaborated and enriched in subsequent passages. The beginning, in other words, acts as an anchor point upon which the rest of the argument is hinged. The fourth factor that comes under our consideration of motivic saliency is the number of recurrences. Here only those recurrences found within the same variation are taken to be pertinent to saliency, as those happening across variations will be considered under the category of form-structuring significance. motifs that are pervasive in the musical texture, especially in circumstances where the motif is employed as repeating ostinato figuration or the subject of a contrapuntal elaboration, will be regarded more salient than those that occur only once or twice.

Markedness is a concept where the marked term out of a pair of binary opposition carried a more specific "phonological, grammatical, or conceptual information" than the other more general unmarked term. A motif can be marked when it stands out from the surrounding, granting to itself a more unique and special status compared to others.

Intermezzo 1

Markedness is relational, for it depends on the degree of which it stands out from other features taken to be general and normative.[1] Markedness is different from saliency in that the former depends on the general-unique distinction and the latter refers to the readiness of that motif to draw our attention. Hence in a passage with insistent *forte* dynamics, a measure of abrupt *piano* dynamics will be especially marked as it stands out from the general as something distinctive and exceptional. Furthermore, markedness needs not arise from the intrinsic characteristics of the motif *per se*; the context around which the motif appears can also have a bearing upon its markedness. This is what Hatten called "markedness assimilation," a principle that he adopted from Battistella: "marked elements tend to occur in marked contexts while unmarked elements occur in unmarked contexts."[2] Just as the minor mode (a marked musical feature) often correlates with the portrayal of the tragic (a marked affective character), a marked musical environment can endow a marked status to the musical motif therein. A motif will be rendered marked when it happens within an equally marked dynamic level, from loud to soft or vice versa.[3]

The third criterion for motivic selection is its form-structuring significance. It refers to the perceptual prominence of certain relationships between motifs across variations. A motif that is a part of a dense and intricate associational network throughout the entire musical work tends to possess greater form-structuring significance. This criterion depends on two aspects of motivic relationship: (1) its *quantitative* aspect, depending on the number of similar recurrences across the variations, and (2) its

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1. We can also say that *saliency* is grounded upon musical properties that are in-itself (*en-soi*) regardless of context, whereas *markedness* is based on properties that are for-itself (*pour-soi*) in its participation within its surrounding musical environment, the former intrinsic whereas the latter relational.

2. Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 2004), Chapter 3.

3. Take the first movement of Haydn's Symphony No. 104 as an example, the more subdued dynamics of the thematic statements of both the main and subordinate theme (both are the same albeit their difference in key) will be rendered a marked happening compared to the overall context of a more energetic and insistent background.

qualitative aspect, referring to the degree of similarity with other motivic instances. In other words, a motif that repeats many times and those repetitions bear a close resemblance to the former is deemed to be more structurally significant and hence warrants our analytical attention. The analytical process in determining the form-structuring significance of a motif involves a dialogic negotiation between the part and the whole, in the sense that the formal significance of a motif is only revealed from bird-eye view of the entire piece. This dialogic view of motivic interpretation resonates with what Cone calls the "Third Reading," a way of experiencing music that combines the temporal unfolding of musical events with the atemporal bird-eye view of the entire work.[4] While Cone's exegesis concerns with musical narrative, we can apply the same framework to our cognitive experience of motifs, where the whole (motivic structure) informs the part (a single motivic instance) whereas the part gives rise to the whole.[5]

Here I would like to draw a distinction between the *intra*- and *inter*-variational motivic relations. The former refers to motivic recurrences that occur *within* a theme or a variation, whereas the latter concerns the relations *across* multiple variations. *Intra*-variational relations may manifest itself in the form of *Durchführung* ("followed through") within a variation, by which a motif is repeated, developed, or fragmented as part of the process of phrasal continuation. We can regard these *intra*-variational recurrences as a refrain to bring about the *territorialization* of that variation, giving it a sense of consistency as a formal unit while setting it apart from other variations. We can

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4. Edward Cone, "Three Ways of Reading a Detective Story—or a Brahms Intermezzo," *The Georgia Review* 31, no. 3 (1977), 554.

5. The part-whole dialectics may seem susceptible to the fallacy of circular reasoning, in which no ultimate foundation can be claimed to ground the reasoning. Yet this issue only arises when we proceed with logical reasoning based on Aristotelian syllogism, whereas the Deleuzian notion of "thinking" involves the grasping the zone of intensity (the assemblage of individual ideas) as a whole, in which the whole of the rhizomatic structure and the parts of the molecularized elements informs one another in a continual state of negotiation.

say that the function of *intra*-variational relations is to achieve a sense of cohesiveness to that musical unit, like a sign (*placard*) that expresses its distinctiveness and in turn defines its identity. The cognitive faculty that is utilized in apprehending the *intra*-variational relations is primarily based on habits, a passive synthesis that Deleuze refers to as the first synthesis of time. This habitual way of synthesizing seeks to erase all differences and brings all the repeated motivic instances as manifestations of one ideal form.

The motivic analysis, as will be explain in the next section, concerns with motivic repetitions that occur *between* or *across* multiple variations. This *inter*-variational relation is more diverse, and bears witness to a wide range of differences, when compared with the previous type. Here the differences between motivic instances are brought into sharp relief: motifs do not simply resemble each other but also differs substantially from one another in order to give each variation its distinctive character. This *inter*-variational relation is reflective of the process of *deterritorialization* from one variation to the next. Form ceases to be a static structure of hierarchically arranged formal entities, but rather as a process (*formung*) that each return of the theme, as its variation, differs from its previous selves, forever decentering and redefining its identity and character.[6] The aural perception of the *inter*-variational relations entails what Deleuze calls the third synthesis of time: when listening to the piece as it unfolds in time, each motivic instance recalls other motifs back in time and affords a field of possibilities for further motivic changes in the future, the present being the moment of creative generation. The assemblage of motifs seems like different fragments of time coming together in the form a crystal, coagulating into a cluster of diverse elements. In a nutshell, we can say that *intra*-variational

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6. A term "forming" is borrowed from Kurt Westphal and adapted by James Webster in William Earl Caplin, James A. Hepokoski, and James Webster, *Musical Form, Forms & Formenlehre Three Methodological Reflections* (Leuven: Leuven University Press, 2009).
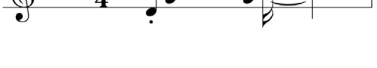
repetitions contribute to the *being* of one variation, whereas *inter*-variational repetitions their *becoming*.

Segmentation and selection of motifs is hardly an objective act that can be accomplished mechanically (a task that can be computed by a computer alone) without the mediation of the human perceiver. It is instead a *subjective* mental endeavor that is grounded on our musical understanding and we our ability to recall earlier motifs from memory. My method of motivic analysis proposed in the following section will attempt to model that mental process of memory and recognition the way one perceives in the piece. This emphasis here is crucial: the selection of salient motivic associations is subjective, and the resulting network is particular to the listener in question. Hence the rhizomatic analysis of motifs should not be taken as *the* definitive analysis of the work (i.e. what the piece *is*), but *an* analysis of motivic connections that is afforded by the intrinsic properties of motifs on one hand and structured by our precognitive (or transcendental) faculty of the mind on the other (i.e. what the piece *can be*). Other than striving for objectivity in the scientific way, my analytic method is a representation of our cognition of motivic structure, which in turn provides a visualization of our intuitive sense of the formal distance between variations as a constellation. Motivic network analysis seeks to model this transcendental object of the motivic structure as an *Idea*, within which our mind grasps their differentials at an infinite speed.[7]

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7. My use of the word "transcendental" is originated from the Kant, referring to the pre-conceptual action of our mind that brings certain structure so that we can experience and make sense of the empirical world. Deleuze's "transcendental objects" are *Ideas*, singularities that possess intensive difference (or multiplicities) within themselves held together in a state of discordant harmony.

Intermezzo 1

M0A1

M0B2

M0A4

M0A6

M0C9

M0D11

M0C15

M1A1

M1A5

M1C7

M2A1R

M2A1L

M2A3

M2C6

M3D1

M3C5

M3D8

M3C9

M4A1

M4C6

Intermezzo 1

Intermezzo 1

Rhizomatic Motivic Analysis (RMA)

As opposed to the paradigmatic approach of motivic analysis, which treats the first instance of the motifs as the standard against which other related motifs are compared, here the comparison is pairwise—a selected motif can be compared to any other motif earlier or later in the piece. The pairwise comparison is not antithetical to the traditional paradigmatic analysis undertaken by Ruwet and Agawu; instead, it seeks to do away with the conceptual baggage of the model and its copies in conventional thinking of motifs. Sometimes we may end up with a similar collection of motifs as in paradigmatic analysis by collating them into a group. Yet this group is not structured in the form of a tree, where various motivic variants related to a model at the center; the resultant collection of motifs is rather akin to a cluster (or a zone) of closely related motivic instances, in which its center is held questionable or undefinable. Framing it in Deleuze's terms, this clustering of motifs forms a "zone of intensity," each motif within which is a simulacrum without the necessity to postulate any identity of a model. I attempt to propose here a method of modeling the rhizomatic associations of motifs throughout a musical work, which stands in contrast with, but also complementary to, the traditional way of thinking that a motivic model, representing the most perfect instantiation of that motivic form, is followed by multiple transformations or derivations thereof. My analytical approach, along a similar vein as Deleuze's philosophical orientation, eschews any prioritization of one motif as an ideal form among other motivic variants. This pairwise comparison is also similar in kind to our mental process of recognition, in the way propounded by Bergson.[1] A present motif may act as a catalyst that recalls a previously heard motif as a mental image from our memory and bring it to the fore of our

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1. Henri Bergson, *Matter and Memory* (New York: Zone Books, 1988).

consciousness. This is what is referred to by Bergson as an intrusion of the *virtual* field of past memory into our *actual* bodily engagement with the physical surroundings. Hence comparison of motifs, as perceived in time rather than out of time, inevitably presupposes the participation of our memory, inasmuch as no two motifs may sound at the same time to allow for an unmediated one-to-one comparison between corresponding motivic components. The "rhizomatic motivic analysis" (RMA) that I am proposing here is grounded upon a pairwise comparison between an actual instantiation and a mental image of a prior one retrieved from our memory, a process of recognition that is pre-conscious and involves both our intuition upon the sensible phenomena of the actual present and the participation of memory in the virtual field. The difference between two motifs is taken to be primary (as difference in-itself) rather than secondary (by first assuming that they belong to the same ideal motivic form, then deeming their difference as deviance of one from the other).

The pairwise comparison between two motifs, a relation that parallels what Deleuze terms "reciprocal determination" or "differential" occurring on the surface of the plane of consistency, is defined here as the degree of similarity (DoS) in RMA— how much two motifs resemble each other with respect to certain musical parameters. Here I employ the technique of "cosine similarity" to determine the degree of similarity between two motifs, and I will focus primarily on the aspect of pitch for this comparison. The basic premise of this method is the more pitches can be mapped onto each other under comparison, the more similar the two motifs are to each other and the closer they are related. For convenience, I will use the term "*comparand*" to refer to the motif to which we would like to compare and "*comparanda*" for the motif that we bring to our comparison. In a typical paradigmatic analysis, the original motivic prototype is compared against multiple instances of similar motifs later in the piece, hence the earlier one is the *comparand* and the later variants are the *comparanda*. My approach to motivic

Intermezzo 1

Step 1: select two motifs as *comparand* and *comparanada*

Etude 1

comparand
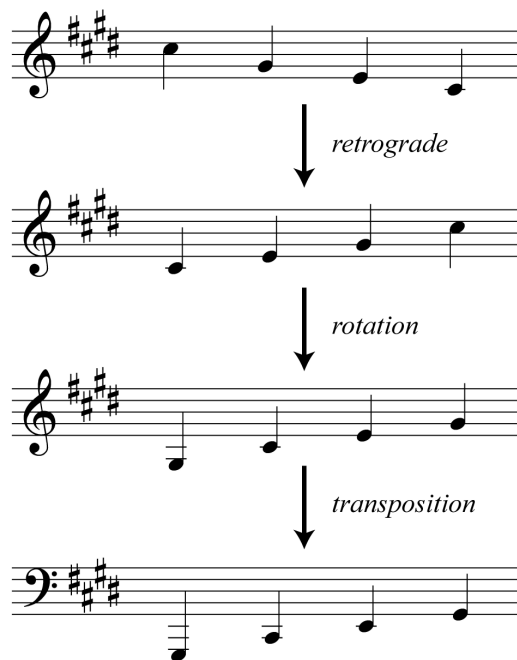
Theme

comparanda

Step 2: transform the *comparanda* to best fit the *comparand*

retrograde

rotation

transposition

Step 3: count the number of "matches" between the two motifs

exact match: "2" in both motifs
correspondence (altered pitch): "2" in the first motif, "1" in the second motif
no match (pitch missing): "1" for the pitch, "0" for the missing pitch

Step 4: arrange the numbers into two motivic vectors

$$\mathbf{V(x)} = [1, 2, 2, 1, 2, 1, 1, 2, 1, 1]$$
$$\mathbf{V(y)} = [0, 2, 2, 0, 2, 0, 0, 2, 0, 0]$$

Step 5: compute the angle between the two vectors using the formula

$$\cos\theta = \frac{V_{(x)}}{\left\| V_{(x)} \right\|} \cdot \frac{V_{(y)}}{\left\| V_{(y)} \right\|} = \frac{\Sigma_t\, w_{V(x),t}\, w_{V(y),t}}{\sqrt{\Sigma_t w^2_{V(x),t}}\ \sqrt{\Sigma_t w^2_{V(y),t}}}$$

$$\text{Degree of Similarity} = DoS = \frac{\theta}{\pi/2}$$

analysis reverses this relation: the old is compared to the new, hence the *comparand* refers to the multiple variants whereas the *comparanda* is an earlier motivic instance.

To put this mathematically, given two motifs X and Y such that X is followed by Y in time, the degree of similarity (DoS) takes a *comparand* motif Y and compare it against the earlier motif X. We can interpret the function DoS(Y,X) as "how much Y resembles X," and the degree modifier that we obtain from the output of this DoS function stands for how closely related Y is with X. I should note that my method of determining the degree of similarity between two motifs are always reflexive (that is, the value of DoS by pitting Y against X or X against Y is exactly the same, for similarity relation is reciprocal), even though I differentiate between *comparand* and *comparanda* for the sake of explanatory purpose as well as accounting for the temporal ordering of the motifs as they are perceived in time. Let us illustrate this procedure with two motifs taken from *Étude symphoniques*: the opening measure of Etude 1 (as the *comparand*) and the opening arpeggiation of the opening theme (as the *comparanda*). The two motifs do not need to have the same number of pitches therein, as in the present example.

Before computing the maximum number of matches between the two motifs, the *comparanda* is first subject to certain "equivalence" transformations, such that we can arrive the "best fit" between the transformed *comparanda* and the *comparand*. These equivalence transformations include diatonic or chromatic transposition, inversion, retrograde, rotation, modal mixture, or a combination thereof, those that are commonly employed in common-practice music. Among all the possible choices under the equivalence transformations, we then pick the one that will give us the *maximum* number of common tones (or matches) between the two motifs. My consideration of these transformations under the broad term "equivalence" should not be interpreted that these transformations are insubstantial and inconsequential. Instead, these common transformations of motifs are so familiar to our musical perception that we can grasp

them intuitively. My inclusion of these five transformations as "equivalence" is open to debate, depending on one's personal preference and musical judgment. The essential idea is that these transformations have to be applied to the entire motif, not just part of it (hence alterations of individual pitches, removal or interpolation of pitches, and various recombination of motifs should not be included). In the example above, the *comparanda* (a downward arpeggiation of a C♯-minor triad) undergoes three operations: inversion, rotation, and transposition (two octaves down). These transformations ensure that the comparanda will *maximally* fit with the *comparand* while preserving the motivic identity of the *comparanda* intact.

After determining the "best fit" for the *comparanda*, we then count up the number of "matches" in pitches between the two motifs. Three are three possible cases: a perfect match (same location and same pitch), pitch correspondence (same location but different pitch), and no match (missing pitch in either motif). In the first case (i.e. a perfect match in pitch), I will accrue the value of "2" to that common tone for both motifs. In the case of a pitch correspondence (i.e. sounding as if that pitch is altered), the *comparand* will receive a value of "2" whereas the *comparanda* will have a value of "1". The value "0" is accorded to any missing pitch.

These numerical values are then arranged into a linear fashion to form two vectors, V(x) and V(y). It is worth pointing out that these two vectors always have the same cardinality (in this case n=10). Conceiving of these two vectors geometrically, they exist within an n-dimensional space, with n being the cardinality. The similarity between the two motifs is defined by the angle between the two MC vectors—the smaller the angle between two vectors is, the closer together the two vectors are located in the n-dimensional space, hence implying a higher degree of similarity between the two motifs. This angle can be calculated by taking the inner product of these two vectors, which will give us the cosine of the interior angle.
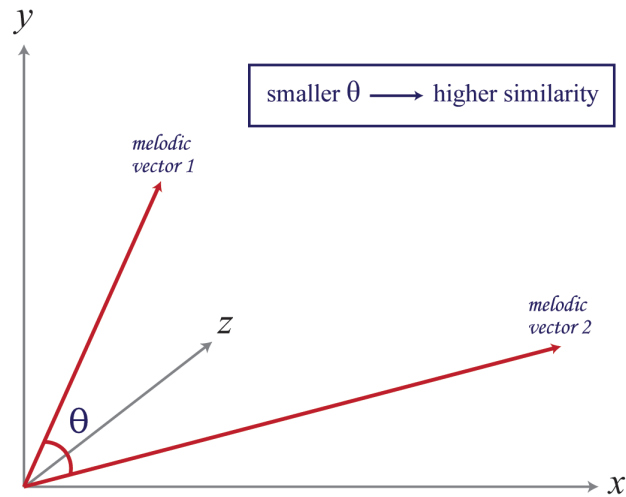
Example 33. Angle between two vectors

In order to transform the angle (ranging from 0 to 90 degrees) to a value between 0 and 1 for the purpose of our DoS comparison, the angle that we have obtained from the previous step is divided by a right angle (the right angle corresponds to the maximum degree of difference between any two motifs). The resulting value will stand for the degree of similarity (DoS) between the two motifs, ranging from 0 to 1 with 0 representing maximum difference and 1 for maximum similarity (or equivalence).[2]

My method of motivic comparison concerns primarily with the pitch component. Here I do not intend to diminish the contribution of other musical parameters to our listening and recognition of motifs. My focus on pitch matching only reflects one of

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2. In cases of maximum difference, the two motifs will have no correspondence at all between any pitches, and thus the inner product becomes zero and the in-between angle is a right angle. In cases of maximum similarity, the pitches of the two motifs exactly match with one another in both location and actual pitch height, and thus the two MC vectors lay on top of one another in the n-dimensional space and the in-between angle is zero.

the numerous ways that one can adopt in comparing motifs, and it is for me the most intuitively and musically appropriate to approach Schumann's music. I consider that the mathematical operations I devised earlier is based upon a kind of musical intuition of motivic hearing. Hence my analysis does not aim to be comprehensive or exhaustive to account for all the possible musical parameters that define a motif. This exhaustiveness is not desirable, for it may introduce a great degree of arbitrariness in accruing different weights to those musical parameters in the mathematical formulation. Hence my method of motivic comparison attempts to reflect certain musical intuition about motivic similarity, and the mathematical formulation lay forth this intuition in more explicit terms.

One of the advantages of adopting a rhizomatic rather than an arborescent approach to motivic analysis is in circumstances where a motif may bear the characteristics of two or more motivic prototypes, hence defying any strict categorization into any one pre-existing motivic group. From the traditional model-copy conception, motivic hybrid (or can be called "troping"[3] or "cross-fertilization"[4]) may potentially throw our presupposed motivic models into doubt, hence bringing about what Deleuze calls an encounter which "suspends our habitual relations of recognition with being and allows us to call these structures into question."[5] The motivic hybrid, therefore, disturbs the well-formedness and self-containment of motivic groups based upon a fixed identity, a process of deconstruction whereby the identity is gradually decentered, obscured, and eroded. RMA sidesteps this essentialization of any motif as belonging to one distinct identity, allowing for any motivic hybrid to be compared freely with multiple other

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3. Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 2004).

4. Edward Cone, "On Derivation: Syntax and Rhetoric," in *Music Analysis* 6, no. 3 (1987), 239.

5. Levi Bryant, *Difference and Givenness: Deleuze's Transcendental Empiricism and the Ontology of Immanence* (Evanston: Northwestern University Press, 2008), 13.

motivic instances. In this sense, the hybrid is defined not by its motivic *identity*, which is based upon our preestablished generalization, but by its *haecceity* ("that which is"), determined by its immanent properties standing in direct relation to any other motifs within our phenomenological horizon. Yet one should not interpret this as a claim that identity is illusory and false whereas haecceity and pure difference are real and true. The generalization into distinct motivic groups, defined by their respective prototypes as the most typical and representative member of that group, is produced by those differences between and among the haecceity of individual motifs—a more fundamental process of apprehension that grounds (and simultaneously ungrounds) our conceptualization, a field of *signifiance* prior to any *signification*. A motivic "identity" may emerge from a field of pure difference so long as the motivic instances (seen as repetitions among themselves) all share a set of common characteristics amid their external differences. In a nutshell, in a rhizomatic analysis of motifs, difference is given primacy over any claim of identity, and the latter is always contingent upon the former as its ground.[6]

Another advantage of RMA concerns with motivic growth. Imagine three motifs X, Y, and Z: motif Y follows motif X in time such that one perceives Y as a motivic transformation (or derivation) of X (here denoted as X→Y), and Y is followed by Z such that Z is seen to be derived from Y (Y→Z). Let us assume that X is composed of two abstract parts [A|B]. Y is related to X by preserving the second part of the motif (B) while altering its first part into something new (from A to C), hence Y = [C|B]. Likewise, motif Z is related to Y by retaining the first part of Y (i.e. C) while changing the first part from B to D, hence Z = [C|D]. Cone calls this a "chain of derivation," in which a copy of an

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6. I should point out that the "fuzzy sets" approach to motivic membership, as discussed by Ian Quinn, does not sidestep the issue, for once the identity of a set is determined and fixed, identity will reign over difference and difference is then regarded as a negative quality, a deviance from the "correctness" of the norm, which is represented by the "degree modifier" appended to an equivalent relation.

earlier motif in turn functions as a model for its following motivic variants.[7] If we adopt

the traditional way of motivic comparison by considering X as a model and the other two

motifs as its variants, then we can notice that Z: [C|D] has nothing in common with X:

[A|B]. Generally speaking, during the linear development of a motif, there is no guarantee

that the resulting motifs from a chain of derivation will still bear any resemblance to

the original motif; instead, it is likely that a totally different motif can be created via a

series of small alterations from one motif to the next. This motivic lineage is a kind of

affiliation, thereby one can trace in time how one can get from one to the next in the form

of a series. Deleuze contrasts this with *alliance*, a lateral connection between brothers,

friends, and various social groups. Affiliation is feudal and hereditary, alliance fraternal

and democratic. These two forms of relations are not contradictory but complementary

(or supplementary), inasmuch as any motif within a chain of derivation can potentially be

related to those in another series. What matters, for my purpose and for Deleuze, is the

degree of emphasis between the two: if one sees only lineage of motivic derivation, then

one misses the myriad possibilities of relating motifs in other interesting ways.

With RMA, one can easily model a chain of derivation without sacrificing the

potential for other possible motivic associations. Given three motifs X, Y, and Z. We can

determine the degree of similarity (or difference) between each pair of motifs (X and Y,

Y and Z, and X and Z), which are represented as spatial distance between the respective

motifs (d1, d2, and d3) on a two-dimensional plane, as shown in the diagram. The three

motifs may be arranged in two different scenarios. In a "cumulative" transitive relation,

the motivic distance between X and Z is much larger (d3>d1) than that between X and

Y. As a result, the nodes will line up in a linear fashion, where the third node Z continues

the trajectory traced by X and Y. In this cumulative relation, motif Z diverges further

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7. Cone, "On Derivation," 242.

Intermezzo 1
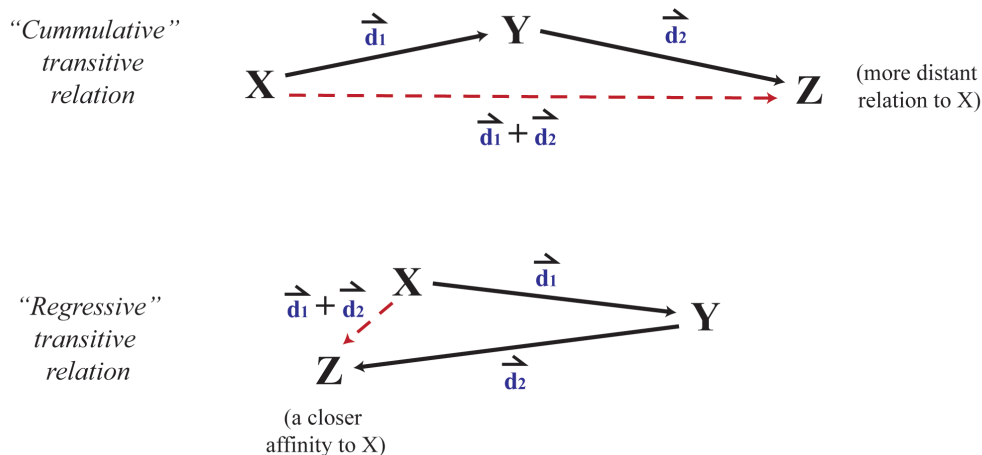
Example 34. Cummulative and regressive transitive relations

away from the original node X and bears a higher degree of difference from X than

Y. In another scenario, which I term the "regressive" transition relation, the distance

between X and Z is smaller than that between X and Y (d3<d1). In this case, the direction

of the second link reverses its direction, and motif Z now lies closer to X than Y, thus

representing a higher degree of affinity between X and Z. Many other possibilities

of transitive relations exist between any two pairs of nodes, and RMA can model the

myriad motivic relations that have been downplayed by the model-copy paradigm in

the paradigmatic analysis or the progenitor-successor paradigm in the transformational

analysis. RMA can offer a richer and more nuanced interpretation of motivic structure

within a musical work, where motifs are arranged in the smooth space of an intensive

rhizome rather than in a striated space of motivic categories. In this relational point of

view, any two motifs, however difference they are with each other, are always related

on this smooth plane of rhizomatic structure (possessing a very dissimilar yet still

Intermezzo 1

some tenuous relationship), inasmuch as both motifs are products of territorialization happening on the same plane of consistency, which are made up of various pre-motivic elements such as molecularized pitches, rhythmic motifs, and timbral characteristics. By arranging motifs on the same conceptual plane, motivic identities cease to be taken *a priori* but are constructed via the reciprocal determination between motifs (here defined by DoS) and the emergent rhizomatic structure with various zones of intensity (or clusters). Hence RMA presupposes that all motifs are *univocal* that they all have their origination in the smooth plane of immanence.

Intermezzo 1

Table of Degrees of Similarity (*Etudes Symphoniques*)

M1A1	C#	G#	C#	D#	E	F#	A	G#	F#	E	
M0A1	-	G#	C#	-	E	-	G#	-	-	-	cos θ = 0.8528 DoS = 0.6502
M0A4	C#	G#	C#	-	-	-	-	-	-	-	cos θ = 0.7947 DoS = 0.5847
M0C9	-	-	C#	D#	E	F#	-	G#	F#	E	cos θ = 0.8944 DoS = 0.7048
M0B2	-	-	-	-	-	-	A	G#	-	-	cos θ = 0.7071 DoS = 0.5000

M2A1R	C#	D#	G#	C#	E	D	C#	
M0A1	C#	(E)	G#	C#	-	-	-	cos θ = 0.9037 DoS = 0.7183
M0B2	-	-	-	-	C#	D	C#	cos θ = 0.8944 DoS = 0.7048
M0C9	-	-	-	C#	E	D	-	cos θ = 0.8660 DoS = 0.6666

M3D1	G#	A	A#	C#	B	
M0D11	-	-	A#	C#	B	cos θ = 0.9258 DoS = 0.7532

M3C5	B	C#	D	C#	C	B	
M0D11	B	C#	D	C#	-	B	cos θ = 0.9759 DoS = 0.8600

Intermezzo 1

M4C6	A	B	C#	B	A	G#	F#	
M0C15	A	B	C#	B	A	-	-	cos θ = 0.9535 DoS = 0.8051

M5A1	C#	D#	E	G#	A	B	F#	G#	A	E	F#	G#	
M0A1	C#	-	-	G#	-	-	(E)	-	-	(C#)	-	-	cos θ = 0.9487 DoS = 0.7952
M0C9	C#	D#	E	G#	A	B	F#	G#	A	E	F#	G#	cos θ = 1 DoS = 1

M5C11	F#	G#	A	G#	G	F#	
M0C15	F#	G#	A	G#	-	F#	cos θ = 0.9759 DoS = 0.8600

M7A13	C	G	E	B	C	
M0A1	C	G	E	-	C	cos θ = 0.9701 DoS = 0.8439

M8A1	C#	E	F#	G#	A	G#	F#	E	E	C#	C#	
M0A1	C#	E	-	G#	-	-	-	-	-	C#	-	cos θ = 0.7826 DoS = 0.5722
M0C9	-	E	F#	G#	-	G#	F#	E	-	-	-	cos θ = 0.9097 DoS = 0.7274
M0B2	-	-	-	G#	A	G#	-	-	-	-	-	cos θ = 0.7746 DoS = 0.5641

M9A1	**C#**	**B**	**A**	**G#**	**F#**	**E**	**D#**	**C#**	**B#**	**C#**	
M0A1	C#	-	-	G#	-	E	-	-	-	C#	cos θ = 0.8528 DoS = 0.6502
M0C9	C#	B	A	G#	F#	E	D#	C#	B#	-	cos θ = 0.9864 DoS = 0.8949
M0B2	-	-	-	-	-	-	-	C#	B#	C#	cos θ = 0.7947 DoS = 0.5847

M10A1	**C#**	**C#**	**C#**	**A**	**G#**	**F#**	**E**	**C#**	
M0A1	C#	-	-	-	G#	-	E	C#	cos θ = 0.8944 DoS = 0.7048
M5A1	C#	-	-	-	G#	F#	E	-	cos θ = 0.8944 DoS = 0.7048

M10C1	**E**	**F#**	**Fx**	**G#**	
M0C9	E	F#	-	G#	cos θ = 0.9608 DoS = 0.8212

M11A2	**G#**	**D#**	**C#**	**B**	**A#**	**G#**	
M0A1	G#	D#	-	B	-	G#	cos θ = 0.9438 DoS = 0.7836
M5A1	G#	D#	C#	B	-	-	cos θ = 0.9438 DoS = 0.7836

Intermezzo 1

M12A1	Ab	F	Ab	-	Db	Eb	-	F	Eb	Db	
M0A1	-	F	Ab	-	Db	-	-	F	-	-	cos θ = 0.8444 DoS = 0.7048
M0C15	-	-	-	-	Db	Eb	-	F	Eb	Db	cos θ = 0.9325 DoS = 0.7648
M1A1	(Bb)	F	(Bb)	C	Db	Eb	Gb	F	Eb	Db	cos θ = 0.8682 DoS = 0.6694

M12A37	Bb	Eb	Bb	Ab	Bb	Ab	G	
M5A1	-	Eb	Bb	Ab	-	-	G	cos θ = 0.9428 DoS = 0.7836

Chapter 6 Smooth Space

From Molecular to Molar

A number of salient motifs are chosen from the opening theme and its subsequent variations. Concerning the length of my motivic segmentation, Caplin conceives of a typical 8-measure *theme* (a period or a sentence for example) as made up of two 4-measure *phrases* (antecedent and consequent in a period; presentation and continuation in a sentence), each of which can be further divided into two two-measure *ideas* (basic idea or contrasting idea). Motifs, a musical entity that does not receive much attention in his form-functional theory, is considered to be equal in length or shorter than a two-measure idea, situated at the bottom stratum of the formal hierarchy. The lack of discussion on motifs in Caplin's formal-function theory is understandable, for their function is more of an option rather than a necessity for effecting the formal discourse of beginning, middle, and end (or to put it in Hatten's terminology, motifs perform more of a *stylistic* than a *strategic* function, suggesting various musical topics and affective characters). The motifs that I have selected in my analysis likewise reside at a level lower than that of the four-bar ideas (i.e. shorter than two measures in length). Most of the motivic instances in this list are within a one-measure span, occasionally spanning two measures in length at the most. This theoretical formalism governing the length of motifs may seem a bit dogmatic, especially that Deleuze in his discussion of refrain does not differentiate repetitions of motifs from other melodic refrains. My intention is to separate *motivic* becomings from *thematic* transformations, the latter has more historical baggage that reaches back to the compositions of Liszt, a technique that alters a theme in its entirety by changing its tempo and style, such that it appears in a totally different

guise. Here I intend to treat motifs as partial objects as a molecular substratum, which is free to coagulate and combine among themselves into larger molar aggregates and strata, forming territories of various sizes such phrases, themes, and larger variation groups. Thematic transformation is also redundant in the consideration of variation form, since each individual passage embodies a single theme and each variation, therefore, is already a thematic transformation in itself.

The motifs above are then compared with one another and their pairwise similarity is computed. The resulting network is shown in the following diagram, using a forced-directed layout algorithm, which places connected nodes closer together as if a force is exerted across the link between the nodes (like an elastic band pulling them together). The links in this diagram are weighted, determined by the degree of similarity between the two nodes. Hence the more similar the two motifs are, the stronger the pull exists across the link, bringing the two nodes closer together. The links are also directed, meaning that they point from one node to another. The direction of the link refers to the way comparison is made—from *comparand* to *comparanda*—where the new motif is brought under comparison with the old. The use of a directed link is more for the purpose of visual representation to model our mental processing of these relationships, yet I will in my following analysis treat them as undirected links, because similarity is an involution relationship (i.e. A→B implies B→A) and also the additional consideration of link direction does not enrich my analysis in any significant way.

From a cursory glance, the nodes tend to aggregate into several *clusters*, where they are more closely packed together. We can hence divide the network into different *subnetworks*, defined simply as a subset of the nodes and their associated links between them. Five subnetworks are highlighted by different colors in the diagram. While we can form any subnetwork by picking a random collection of nodes, these here are of a special kind: they tend to coagulate around a certain node, called a *hub*, to which other
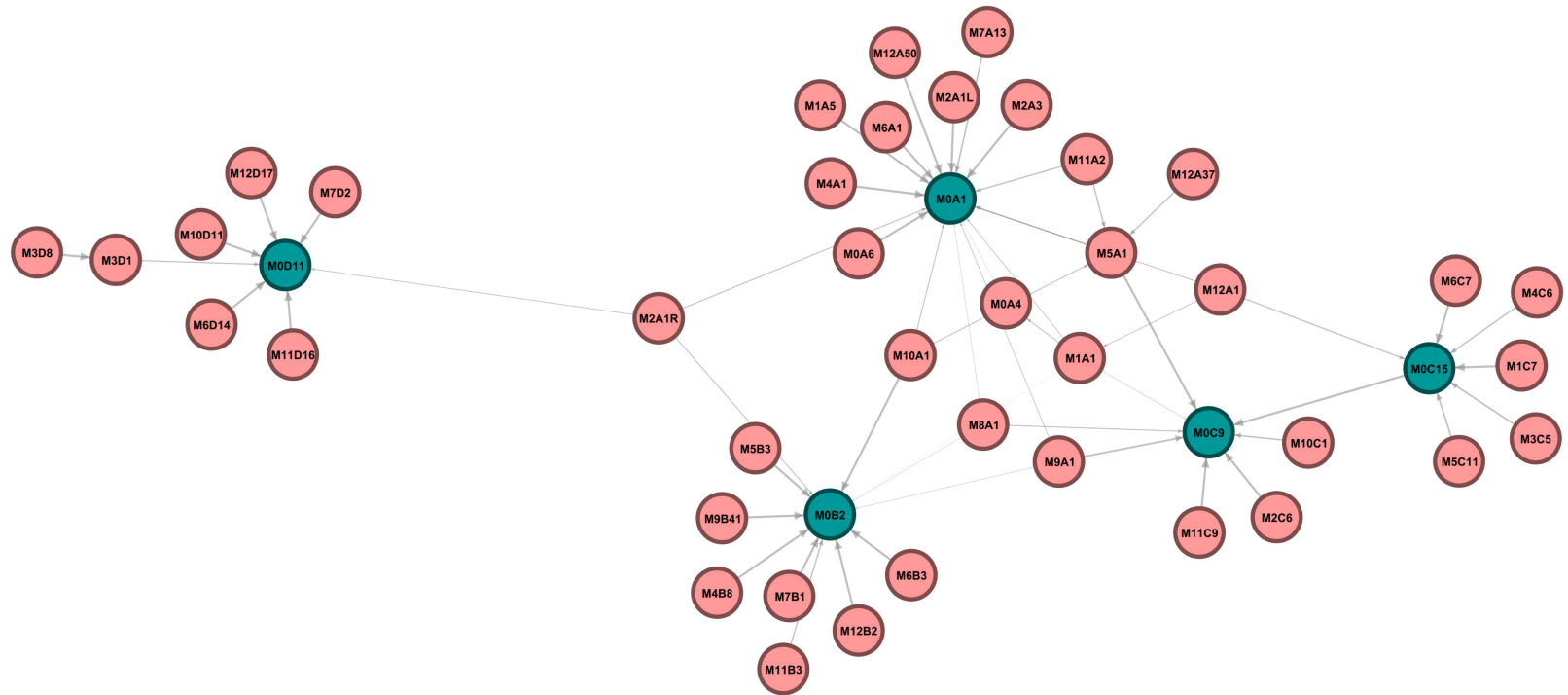
Example 35. Motivic network of *Etudes symphoniques*

nodes are related. These hubs correspond to what we commonly call motivic *prototype*, a formally significant *token* that possesses high typicality among similar motivic instances that are subsumed under the same *type*. It seems appropriate then to label these five *subnetworks* according to the naming of the central *hub*, from motif A to D. motif C spans across two subnetworks, labeled C and C', the latter is the "arch-shape" variant of the third progression motif (a combination of an ascending and a descending version), which reappears in many of the later variations. This motivic variant is reminiscent of the concept of "style growth" proposed by Hatten, in which a *token* turns into a new *type* for the generation of other *tokens*).[1] Each of the subnetworks shown here is similar to what we commonly call *ego networks*, which is a subnetwork consisting of a chosen node (in our case this node is the *hub*) and its immediate neighbors.

In addition to examining the hubs that possess a high *degree of centrality*, we can also look at how close one node can reach other nodes within the network—its *closeness centrality.* The hub node of subnetwork A (motif M0A1) has a higher degree of closeness centrality, for it can reach other nodes in the network within a limited number of steps. The hub node of subnetwork D (motif M0D11), in contrast, possesses a relatively low closeness centrality in relation to the rest of the network, for it is separated off from subnetwork C and C' by a large distance. This closeness centrality of a node is correlative to its readiness in combining with other motifs: in the case of motif A, for example, it is often joined with motif B (as in Etude 10) and motif C (as in Etude 5). On the contrary, motif A is absent in the variation that makes heavy use of motif D (i.e. Etude 3), hence the low connectivity between these two subnetworks. Viewing the amalgamation of motifs from the idea of *transduction* from Simondon (this concept is adopted by Deleuze in *A Thousand Plateaus* in the explanation of the formation of the

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1. Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 1994).

Example 36. Subnetworks within the motivic network

organic strata via the process of double articulation), the closeness centrality corresponds to a motif's amiability to entangle with other motifs and to make its territorial boundary permeable to the outside. motifs that have a high transductive potentiality often bear witness to an intermediary region between two networks; the nodes lying within these regions share elements with both of the subnetworks. A number of these *hybrid* motifs are circumscribed by dashed lines in the diagram; they occupy the transitory region between subnetworks A and C and connect with nodes from both subnetworks. Nodes from one of the subnetworks can be transformed into those in the other subnetwork by the composition of connections across the hybrid nodes. For example, to associate M0A1 with M0C15 requires taking the path from M0A1 to M12A1, the *hybrid* node, which is then linked with M0C15. This connecting of nodes between seemingly unrelated aggregate resembles the kind of free association in a dream state, in which images stored up in our memory are brought up and linked up with one another in a haphazard manner, as if the train of thought is granted the freedom to go offtrack and travel in any direction. Sometimes a single hybrid motif functions as a *bridge* between different subnetworks (such is the case for motif M2A1R), a hybrid node that forms a subtle link bringing all three subnetworks together, without which the entire network would decompose into separate *component* subnetworks. We can therefore postulate that Etude 2 (the Etude from which M2A1R are drawn) performs an important function across the entire variation set, linking three independent motivic types (A, B, and D) together so that one subnetwork can "communicate" with any other ones. Analogically speaking, the *bridge* is an ambassador that mediates between the territorial monarchs, bringing their differences in contact with one another; the common *hybrids* between subnetworks A and C are like a diaspora of the population that enters another motivic territory, crossing the boundary that is otherwise impervious and walled-up in their own identities.

It is worth pointing out that the ideas of assortativity and homophile that

are usually properties of social or biological networks, do not apply to this motivic network. Assortativity refers to the way that similar nodes tend to have a higher degree of relatedness, sometimes forming a cluster like a social or political group (for example, friends connected via Facebook tend to share similar professional or political affiliations). In contrary to the conventional view that relationship implies similarity, my motivic analysis presupposes that similarity is the determining factor for relations (this is like we intentionally create a network of friendship based on similarities in their personalities and intrinsic properties). As such similarity in the motivic domain does not necessarily correlate with other domains of similarity such as tempo, dynamics, texture, topics, or character. Quite the contrary (along the same vein as Liszt's thematic transformations), similarity in motifs often combines with contrasts in other domains such that a restatement of a motif is often accompanied by differences in other musical parameters, such that similarity and difference are always acting in a dialectical manner (in the Deleuzean sense each repetition of the motif is never a return of the same but an actualization of its internal difference). We should therefore consider this associational network of motifs as representing only one dimension of the work), over which other dimensions interact in multitudinous ways with the motifs, kaleidoscopic permutations of varying degrees of similarity and difference.

The diagram above represents a single-layer network, made up of one type of node on a two-dimensional plane. We can also incorporate other musical entities within the diagram to model the formal constitution of the work. I overlay two other musical components on top of the motivic stratum. The resulting diagram is composed of three different types of nodes: (1) the salient motifs that are brought under comparison with one another, (2) the individual sections (i.e. the opening theme and the twelve variations) from which the motifs are drawn, and (3) the *Idea* of the entire work as a theme-and-variation. As mentioned earlier, the *Idea* of the work is a transcendental object of thought
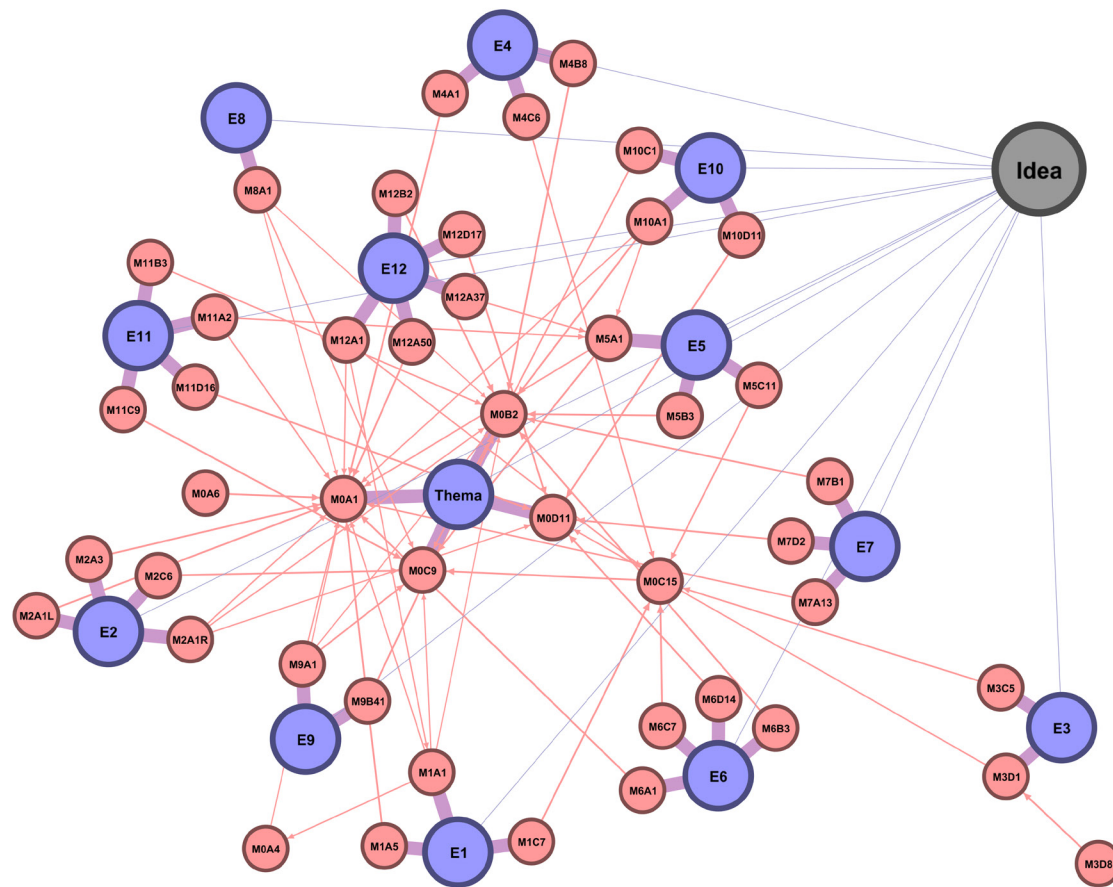
Example 37. A multi-layered network including motives, theme and variations, and the *Idea* of the work

which the lower stratum (the *molecular*) provides the material ground for the upper stratum (the *molar*), and this *molar* stratum may in turn form aggregates that give rise to another *molar* stratum above (similarly the *molecular* stratum can be further disassembled into smaller sub-molecules). Caplin defines the different strata of musical form, from the smallest motifs to ideas (2 measures), phrases (4 measures), themes (8 measures), compound themes (16 measures), to complete sections and movements. For my analysis, I will focus on the interaction between three layers that are relevant to the form of variation: motifs, sections, and the entire work. We can think of the motifs as the phonemes, the sections the morphemes, and the work a complete statement. The *molecular* entities (motifs) get combined into meaningful structures of the *molar* aggregates (variations), which are then arranged according to a certain order of succession within the work, the largest *molar* assemblage.

We can bring these three strata into relief by projecting the previous diagram onto a three-dimensional space. The *Idea* of the theme-and-variation occupies the topmost position, as a transcendental "identity" of the work as an intensive singularity. The links between individual variations and the *Idea* are a matter of our mental faculties, hence the connections are *symbolic* rather than *empirical*—they present the dynamic and static genesis between the two layers. The position of the *Idea* has no bearing upon the configuration of the layers below; the central position of the *Idea* in the top layer of the diagram is a matter of convenience rather than implying any structural "center" of the entire network—I, therefore, assign a very low value for the weight of all the links connected to this *Idea* node (shown in very faint blue lines), as if this Idea "hovers" above the entire work as a self-reflective outsider. The spatial arrangement of the middle stratum, composed of the theme and its twelve variations, is the same as that of the previous one, here however is projected onto a three-dimensional space such that the same type of nodes gets segregated into three corresponding strata. We can interpret
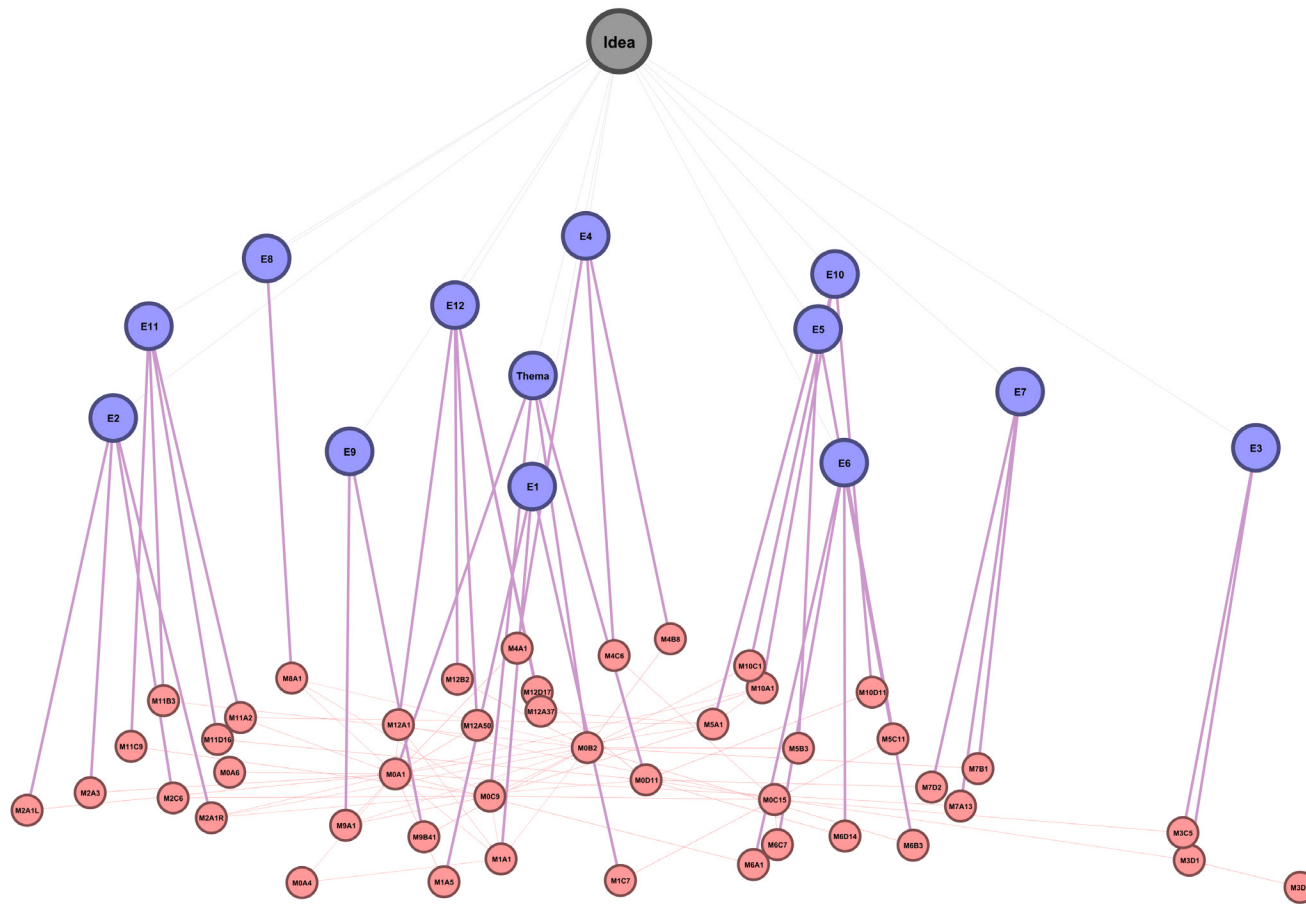
Example 38. A three-dimensional network showing the three strata of the variaiton form

the thirteen nodes in the second (sectional) layer as individuals—self-contained and
independent actualizations of the *Idea* of the work. At the same time, these nodes in
their real nature are also points along the line of chronological time, experienced as a
temporal succession one after the other. The theme repeats itself in successive variations
as Nietzschean eternal recurrence, bringing something new and different in each of its
repetitions. We can conceive of these events of the variations as different actualizations
of the immanent differences within the Idea of the work itself, an atemporal overview
of the temporal series of succession. These two complementary views of the individual
variations—temporal and atemporal—resonate with the two types of duration (in the
sense of *duré* as formulated by Bergson) that we bring to bear upon our experience of
musical time. The *duré* is a perceptual presence within which we synthesize time as
a singular continuum. We can, on one hand, conceive of the variations as *incidents* if
we constrain the *durée* (i.e. our conceptual present) to one particular variation, and the
twelve variations stand for twelve independent *durées*, arranged in a linear fashion as
past, present, and future. If we, on the other hand, conceive of the entire work as a single
durée, then all the variations will condense into a continuous series of becoming, the
being of a movement where the individual incidents are brought into relation with one
another, connected by quasi-causes of resemblance. The quasi-cause that seeks to bring
about connections among these discrete entities is based upon similarities in motivic
content. Hence the term "cause" is used here in a metaphorical sense, linking disparate
incidents as they unfold in time, a mental projection upon the pre-individual singularities,
which composes the larger event of the work. Borrowing Hume's distinction on the two
modes of causality, we can even claim that these quasi-causes are akin to the *necessary
connections* (a chain of necessity of one entity causing another to happen, like gravity
causing an apple to fall) that are asserted in place of *constant conjunctions* (two incidents
happening as a contingent coupling, like lightning and thunder). Variations are like the

Chapter 6
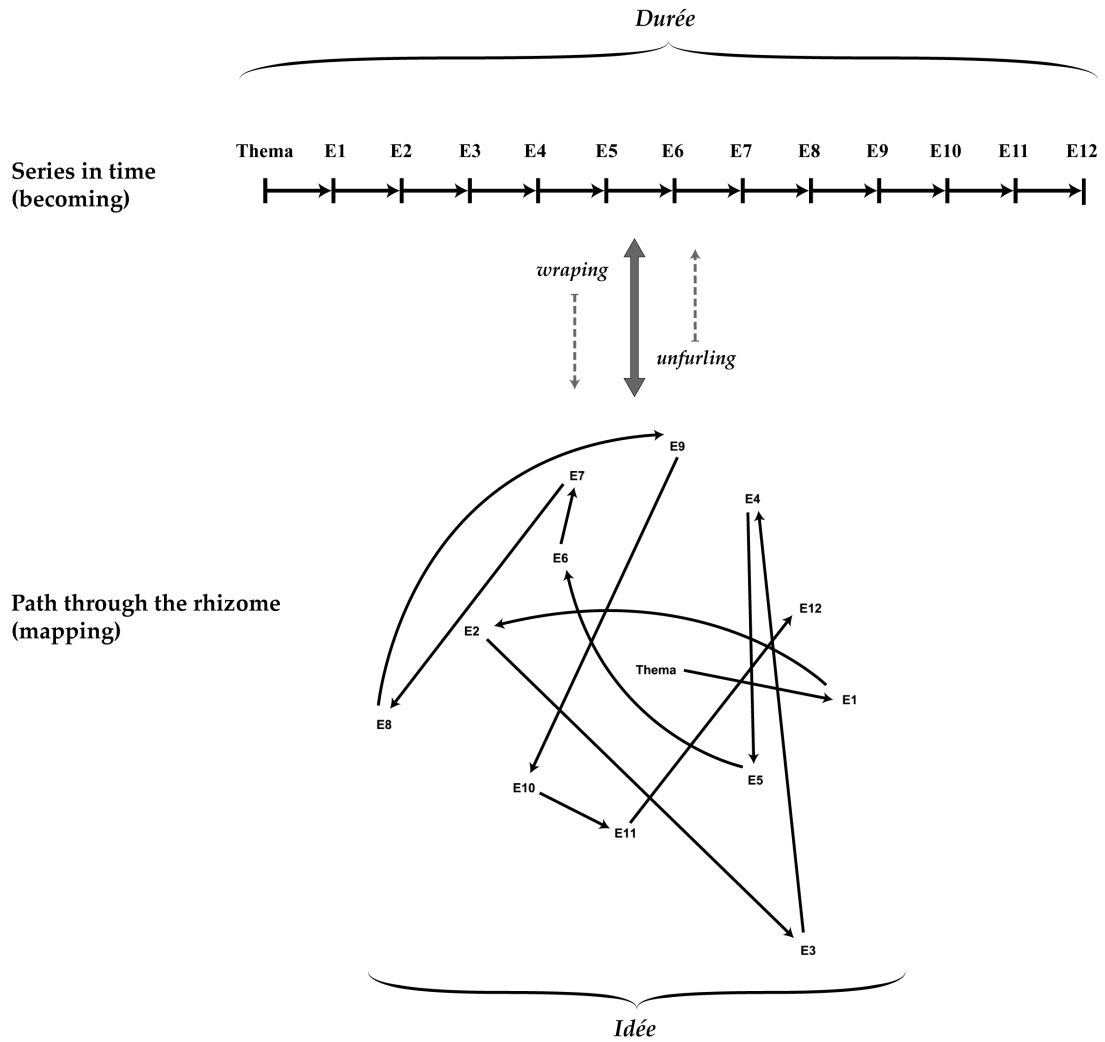
Example 39. Folding and unwraping between lines of becoming and the rhizomatic structure of variation

latter, coupled together in a chain of happenings, over which we project certain causal relationships to comprehend this succession as constituting a logical whole. Hence the theme and variations in this middle stratum should be considered both as *individuals* (or more accurately *pre-individuals* in relation to the *individual* of the entire work) and as *incidents* along the lines of their chronological succession. The two views of the

work, one temporal and the other atemporal, can be mapped onto one another as two representations of the same object: the series of incidents wraps around the Idea of the work, as a path that meanders around, and gradually converges onto, the Idea of the work. The succession of variations represents the order of steps to map out the rhizomatic structure within the work, each of which leads to a direction along the links of the network. This path of mapping around the rhizome can be "unfurled" back into a linear succession of a series, like unwinding a ball of yarn. We will undertake this "unwinding" in later sections of this chapter, unwrapping the rhizome of the network back into its constituent lines of becoming, from synoptic to diachronic.

The links between the bottom two strata refer to the subordination of motifs within each variation and theme. Deleuze calls these lines the intensive processes of *stratification*, via which the lower stratum of the molecular congeals and form the upper strata of the molar, resulting in an open system of machinic formations. The individual motifs (the molecular) function like "machines driving other machines, machines being driven by other machines, with all the necessary couplings and connections,"[3] constituting the larger machines of the theme and variations (the molar). These molar machines are constituted by the same underlying motivic strata, which Deleuze called the plane of consistency or the plane of immanence. This plane is comparable to a chaosmos, a realm of incomprehensible complexity, consisting of different lines of becoming intersecting with one another that give rise to a kaleidoscopic array of motivic instantiations (these lines of becoming will be discussed in detail later in this chapter). This complexity of the plane of consistency is captured visually by the rhizomatic structure on the bottom layer, a network crisscrossing with the motifs. At the same time, this plane of consistency enables the possibility of larger machinic formations to

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3. Deleuze and Guattari, *Anti-Oedipus*.

happen, as if people with different religious beliefs and political demands congregate into various communities and social groups (this kind of social formation stems from, according to Deleuze, the desire-production of the individuals). The motivic layer is still not the most fundamental strata in the chaosmos. The absolute plane of immanence, so to speak, makes up of individual pitches, or even frequencies and pure silence. I restrict myself to an intermediate plane of immanence of the motifs as the starting point of my analysis, focusing on the process of *double articulation* between the motivic and the sectional strata that is pertinent to our formal perception of the entire work. We should also bear in mind that these *molar* machines, rather than being independent and separated from one another, are a metamorphosis of the same opening theme in the process of serial becoming. Just as the motivic strata is regulated by intersecting lines of becoming, the molar stratum of the variations is connected by a line of becoming—the modified repetition of the theme.

Chapter 6

Formal Distance

The network shown above allows us to discern the formal distance between and among the theme and variations, as well as any localized intra-sectional grouping within the entire variation cycle. Drawing on the analogy mentioned earlier, each individual variation is akin to a step away from the previous section as well as from the theme itself. The notion of formal distance in a variation cycle is predicated upon the degree of resemblance of one variation in relation to the rest. Theoretically, the resemblance can be found in various musical domains, ranging from harmonic to rhythmic, textual, and stylistic. Here I will confine my analysis to motivic resemblance, as one of the defining features of Schumann's compositional approaches to variation form—a *schizophrenic* conception of musical materials whose differentials get actualized in their multiple repetitions. It should be pointed out that Schumann's penchant for this kind of schizophrenic writing does not preclude other possible interpretations from dynamic or narrative approaches that view the entire work as a temporal and dynamic process with a well-defined beginning, ending, and climatic apexes. Those interpretations are well-founded and reflect our listening experience of the work as it unfolds in time. The network analysis proposed here instead complements the narrative approach to musical form, offering a synoptic and "logical" view concerning the same and the differences resulting from the variation process. The network is a map of the distribution of the individual yet interrelated variations, each one plotting the territory via the lateral movement of repetition and change.

The network configuration that I adopted here, the "Force Altas 2" algorithm, presents similarity as distance: the links exert an attractive force upon the nodes and pull them closer together; the higher the weight of the link the stronger the attractive force. Nodes, on the other hand, repel each other with a constant force. Hence the links

counteract the repulsive force of the nodes and bring them together into a particular configuration. In order to avoid any bias from any prior positioning of the nodes, randomization is first applied to all the nodes so that they overlap with one another in a stack. The stack of nodes is then arranged according to the "Force Altas 2" algorithm over a two-dimensional space (a three-dimensional network diagram may be a more accurate depiction of the present set of nodes and links, yet a two-dimensional one is easier to visualize on a page, as so is employed here). From this network of nodes of links, two observations are worthy of our attention: clusters and seams. Nodes that have more links, as well as those with links of higher weight (hence stronger pull), are brought closer together into a cluster. The nodes that are weakly linked with the rest are pushed further away into the periphery. This congregation of nodes may reveal any localized connection between consecutive variations, a grouping of nodes defined by a high degree of inter-sectional similarity. Seams are relatively large distances between pairs of nodes, traversing a wide space in the network. These seams represent contrast (or lack of resemblance) between two consecutive variations, where the relationship between the two is rather distant. While the entire work can be conceived of as a continuous stream of formal and motivic becoming, these seams function like moments of formal disjuncture or digressions, inducing a sense of surprise and awe to the listener, as if the intrusion of a foreign voice "Wie aus der Ferne." Both clusters and seams are the two extremes of the network, the former being the minima and the latter maxima of the respective pairwise distance between nodes.

Before analyzing the arrangement of variations within the associational network, we need to make some adjustments to the previous diagram. Despite its clarity in presentation, all the nodes, are equally repelling each other, and it is therefore no differentiation between the links of subordination between variations and motifs and those of association between different motivic instances. One of the modifications made
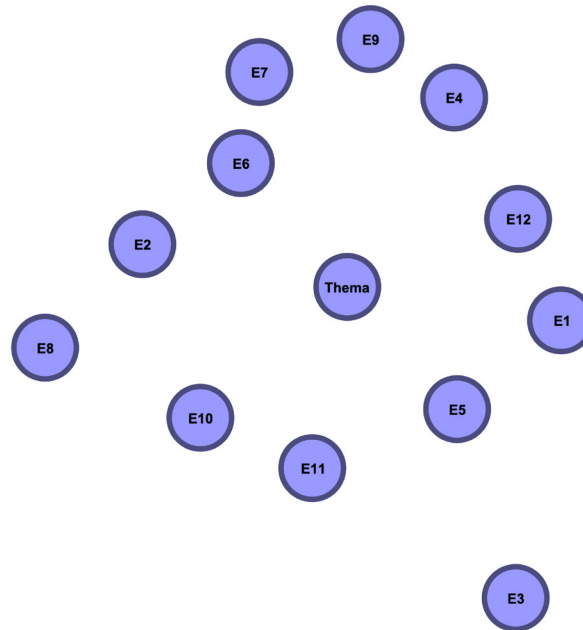
Example 40. Distribution of the opening theme and indiviual variations

to this diagram is to bring the motifs closer to their parent variations by increasing

the weight of their internal links (so as to create a stronger contrastive pull between

variations and their respective motifs). Overlap allowance is also enabled in order to

allow the nesting of motivic nodes within nodes of variations. The node for the "Idea"

is also removed from the diagram as it exerts a slight influence upon the network

configuration. The result after these modifications is shown in the following diagram. The

configuration of nodes and links are first randomized and then subjected to the "Force

Altas 2" algorithm. Here we have a more closely packed network as the motivic nodes

are pulled closer to their associated variations. The opening theme occupies the central

position within the network, a character that owes in large part to my selection of motivic

relationships (i.e. the choice of *comparanda*), in which motifs from the opening theme
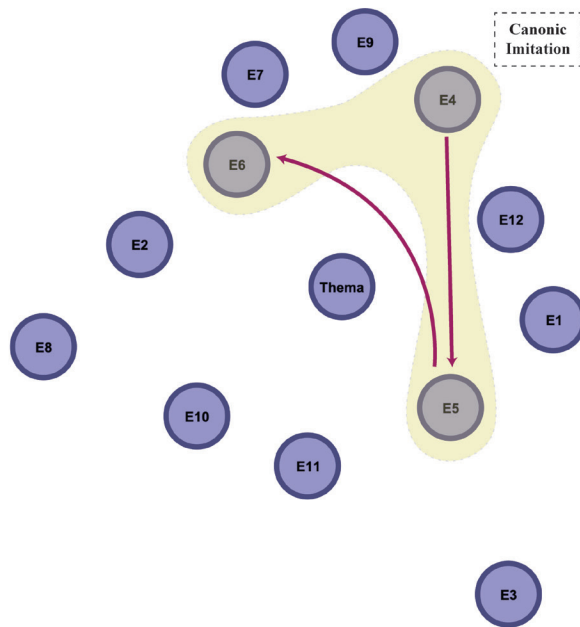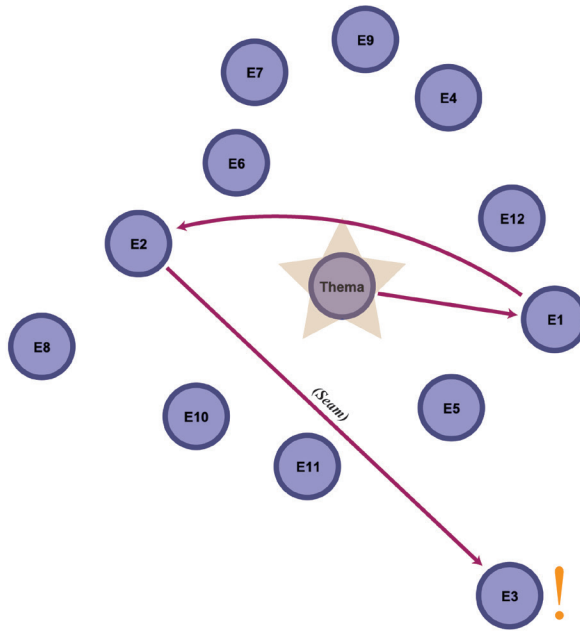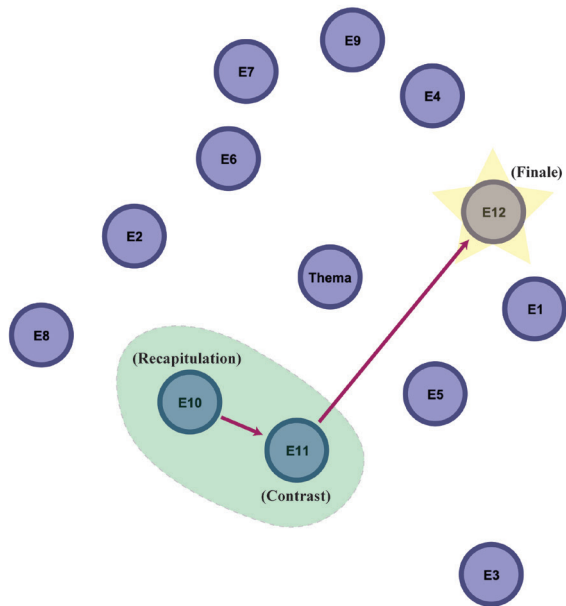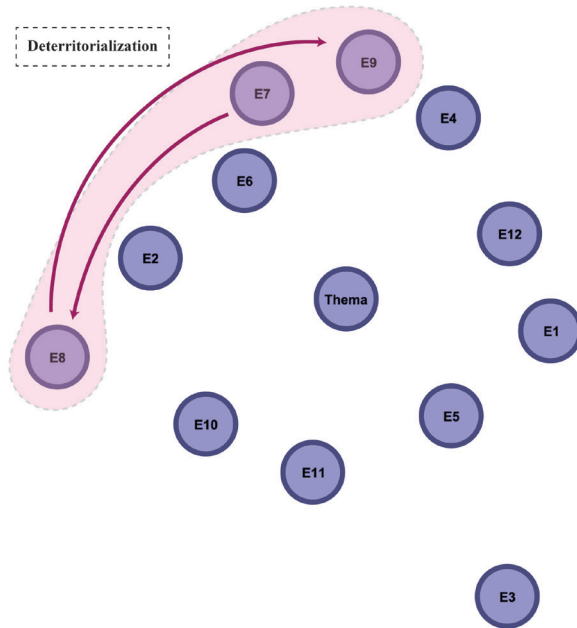
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are more readily recalled and more often brought into comparison with other motifs. One should not regard this central position of the theme as an indication of an arborescent structure with the theme generating the variations. The theme and its variations are on the same hierarchical level, connected by a network of motivic associations as its form-defining factor. Yet this atemporal logical conception of variation form indeed goes hand in hand with the temporal unfolding of its chronological form. Hence the theme does acquire a privileged status as being the first of the series, setting up the standard against which subsequent variations are measured. It is this interplay between logical and chronological (between static and dynamic) form that grants multidimensionality to its linear succession.

We can trace a pathway of succession within the network. Starting from the theme at the center, the first three variations (E1–E3) display a certain formal distance from one another, with E1 and E2 diametrically opposite to each other, whereas E3 distances itself from the others at the far reach of the network. E3 hence is like an "outsider" that relates tenuously to the main body of the network. This should not come as a surprise, for it dispenses with the signature arpeggiation motif (motif A) that underpins the opening theme and the first two variations. This motivic remoteness of E3 from its predecessor goes in tandem with a divergence from the harmonic scaffolding of the opening theme; here the opening tonic, instead of being consolidated by prolongation, is quickly eroded by a sequential progression. The formal distance of E3 from the rest of the piece is rendered visually in the network—a *deterritorializing* "fantasy variation." The next three "canonic" variations (E4–E6) all gathered more closely around the theme at the center. Yet they are not continuous in the network space, as E5 is positioned on the other side from E4 and E6. We can postulate the existence of something different in E5 from its framing variations: the contraction of the opening octave arpeggiation (C♯-G♯-E-C♯) into a sixth (C♯-G♯-F♯-E). This motif of a sixth surfaces again in E11, whose node appears

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next to E5 in the network. E5 also shows a formal affinity to E1; this may come as more than a coincidence that both E1 and E5 appear in in the Berlin sketch, whereas E4 and E6 were composed later (E4 first appears in the Vienna Mariemont manuscript and E6 in the fair copy for the first 1837 edition). Despite the relatively formal gap of E5 from its neighboring variations, the grouping of E4 to E6 reveals a tighter cohesion (covering a smaller area of triangular space, i.e. the triangle formed by the nodes E4, E5, and E6) than that of E1 to E3, and congeals more closely around the theme—both of these features are readily perceivable by listening.

The next three variations (E7–E9), a group with a deterritorializing tendency characterized by motivic recombination and imbrication, all occupy near the perimeter of the network. The affinity between E7 and E9 is in part contributed by the pervasiveness of the descending third motif (motif C), while this motif is downplayed in the subject of the imitative texture in E8. The formal remoteness of E8 is rather surprising at first sight, as it is not commonly regarded as the "fantasy variations." The subject motif of E8 bears witness to an imbrication of various motifs within the loosely-conceived arpeggiation framework that expands beyond one octave, and this introduces a degree of associational indirectness that is reflected in our measure of motivic similarity. This motivic remoteness of E8 correlates with a certain degree of deviations from the harmonic-structural framework of the theme. In particular, the recapitulation, instead of starting on the tonic, initiates a stepwise descent from G♯ in the bass of m. 13 to G♯ on the last beat of m. 17, traversing a downward sweep of an octave during the course of the recapitulation. E9, the other "fantasy variation," surprisingly shows a relatively high degree of motivic connectedness as compared to E8. The "fantasy" aspect of this variation is largely contributed by formal loosening more than motivic transformations, in which an extended coda is appended after the end of the main thematic statement proper (the after-the-end feeling of the coda is further given by the high concentration of motivic recurrences

coupled with the multiple articulations of cadential progression). Here we come across an example of what Agawu termed "parametric incongruity"[1]—the close relationship in motifs contradicts the loose correspondence in the harmonic domain. Labeling a variation as simply a type of "fantasy variation" is therefore as misleading as it is revealing, as the divergences from the theme may manifest themselves in different domains and across a variety of musical parameters. It is, therefore, crucial to be conscious of the way that music analysis only reveals certain aspects or angles selected from a large number of properties of the musical material, a representation of a particular "slice" of our musical experience rather than the whole. It would be more fruitful to consider a variation as a combination of multiple strata of parametric territories interjected with various degrees of deterritorializing tendencies on each stratum; the higher these deterritorializing forces are at work in tandem, the more "fantastical" the variation becomes.

The last three variations (E10–E12) symbolize a return or a reterritorialization after the destabilizing tendencies in the former group, crystalizing into a moment of apotheosis of the finale. They center around the theme in close proximity, with the last (the finale) located next to E1, the variation upon which the first theme of the finale is based. Modeling themselves in large proportion on the theme, E10 and E11 share a high degree of similarity in terms of motifs (in particular the outlining of the arpeggiation at the beginning of each), albeit their contrast in style and tempo—another case of parametric incongruity. This revisiting of the motifs and the return to the harmonic-formal framework of the theme counteracts the deterritorializing forces of the previous three variations. Yet this attempt at re-crystallization is only short-lived, for the theme can no longer remain the same after what it has been through under the creative forces of becoming in the earlier variations. Despite its motivic similarity, E10 resembles the

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1. Kofi Agawu, "Ambiguity in tonal music: a preliminary study," in *Theory, Analysis, and Meaning in Music,* ed. Anthony Pople (Cambridge: Cambridge University Press, 1994).

opening theme as something that is not. Various convergent and divergent differentials, tendencies of becomings and transformations, have been accumulated from earlier variations and embedded in the virtuality of E10, now is more an *Idea* than a singularity. This recapitulation of the theme is a paradox, an oxymoron, a critical point that is on the verge of rupturing and collapsing, in which the apparent stability and well-formedness of the musical foreground is only a facade, veiling the tumultuous virtual plane of intrinsic differences (i.e. lines of becoming, vectors of differentials, productive drive of the variation machine), whose throbbing rhythmic drive almost fails to contain itself at the very end of the variation, a climax that is about to overflow into the most glorious deterritorialization and reterritorialization of the finale.

Finale

Schumann encountered certain difficulties in composing the finale, which he wrote to the Baron: "I'm still stuck in the finale of my variations. I'd like to elevate the funeral march bit by bit into a triumphal march and, moreover, instill some dramatic interest, but I can't escape the minor mode; and in the act of creation, as 'intention' often causes one to stumble and become too material."[1] The composer turned the last variation in the Berlin sketch, titled "Finale marcia," into the finale that later got published in the first (1837) edition. In his second attempt at the finale (first appeared in the Mariemont manuscript), the mode is indeed switched from minor in the opening funeral march into major of the finale, for both the primary and the secondary theme group, just like what he had intended to do in his letter. Instead of simply appending the new finale at the end of the original version in the sketch, Schumann moved the original finale all the way near the beginning of the entire set—now the first variation in both editions. As suggested earlier in this chapter, this change in position creates a retrograde formal process, in which a formal disjuncture between the opening theme and E1 sets up a gulf that is gradually bridged by the ensuing variations (E2–E9), reaching the point of return in E10. Yet this temporal distance between the two attempts of the finale does not correspond to their formal distance. As revealed by the associational network, E12 is situated right next to E1, both of which are closely related to the theme (the formal distance between E12 and the opening theme may not be a fair comparison relative to other variations, as the formal proportion of the finale is much more expansive and hence possesses a larger number of motivic connections owing to its multiple theme groups). The main theme of the finale indeed shares a lot of similarities with the imitative subject of E1, with its

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1. Hanle Critical Edition, Vol. 3, XI.

outlining of the arpeggiation at the beginning followed by an arch-shaped contour (a variant of motif C), only here the theme is now transformed into major. We can even claim that the beginning of the finale is a variation of E1 instead of the opening funeral march, whose head motif (the descending arpeggiation) only made its unequivocal appearance in the closing theme of the two central sections.

Here I would like to provide a formal overview of the finale based on three perspectives: rondo, sonata, and parallel form. The alternation and recurrence of various themes suggest the structure of a rondo form. There are four thematic areas in total, labeled (in their order of the first appearance) on the second level of the diagram. These four thematic areas are arranged into two large rotations, ending with a recapitulation of the first theme as if an incomplete third rotation is cut short. From the perspective of a rondo form, the first thematic area (mm. 1–16) fits well with the typical character of a refrain—the tight-knit theme is structured in an 8+8 small ternary (or rounded binary) form, mirroring that of the opening funeral-march theme. This refrain always recurs in the tonic key of D♭ major, suggesting a sense of formal return and signaling the beginning of another rotation of themes. Despite their difference in motivic content, thematic areas II and III can be considered together as a group, owing to their similarity in character (both start off in *piano*) and sharing the same tonal region (insomuch as these two themes follows one another without a break, one can also consider theme II as the actual couplet or episode, whereas theme III functions more like a transition leading off to the closing theme at m. 50). Here in the diagram, I label these two themes as constituting an extended couplet (represented by the superscript number), or a "subordinate theme complex" as in Caplin's terminology. The couplet arrives emphatically on a PAC that is elided with the beginning of the closing zone in m. 50. The closing zone initially prolongs the cadential arrival with a bass pedal, which then gradually gives way to a drawn-out retransition (RT) that prepares the return of the refrain in m. 82 (here the arrow "=>" represents the

Measure	1	17	37	50	‖	82	110	130	143	‖	175
Thematic Area	I	II	III	IV		I	II	III	IV		I
Key	Db	Ab	(Eb)→Ab	Ab→Db		Db	Gb	(Db)→Gb	Gb→Db		Db

1st Rotation   **2nd Rotation**

5-part Rondo	Refrain 1	Couplet 1¹	Couplet 1²	C=>RT	Refrain 2	Couplet 2¹	Couplet 2²	C=>RT	Refrain 3

(subordinate theme complex/ trimodular block)   *(subordinate theme complex/ trimodular block)*

Type-1 Sonata (Type 4¹⁻ᵉˣᵖ)	Pʳᶠ	,	S¹	(,) S²	C=>RT	Pʳᶠ *(internal expansion)*	,	S¹	(,) S²	C=>RT	Pʳᶠ *(break-through)*

Exposition   Recapitulation   Coda

(↑5th)

Parallel Form	Db	Ab	-----------------------	Db	Gb	---------------------	Db

(↓5th)

Example 41. Formal layout of the finale (Etude 12)

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manner in which the closing zone "dissolves" into a retransition passage). In a typical five-part rondo, the second couplet would feature a different theme from the first couplet, sometimes as a self-contained "interior theme" in a different tonal area. The second rotation of the finale, however, restates the thematic areas in the same order, bringing back the same couplet from the first rotation, albeit in a different tonal region of the subdominant key (G♭ major). As a result, the ABACA structure of a typical rondo form becomes ABABA with two large rotations of the same succession of thematic areas.

This idiosyncrasy suggests the possibility of a sonata-form interpretation, resulting in what Hepokoski and Darcy termed a "sonata-rondo mixture." The two main rotations (AB followed by another AB) correspond to the Type-1 sonata—the expositional rotation followed immediately by the recapitulatory rotation. The refrain and couplet are now reinterpreted as the primary theme (P) and the secondary theme zone (S), the latter reminiscent of a "trimodular block" (TMB) with two thematic areas S^1 and S^2. The medial caesura in this sonata-rondo hybrid does not possess the same dramatic impulse as in a typical sonata-form movement, where it is preceded by an energy-gained transition articulated by a series of hammer blows. Here medial caesura is evoked by a gap between the end of the self-enclosed P theme and the beginning of the S theme in the following measure (this break is marked by a double barline on the score). The sense of formal disjuncture is further enhanced by the change of key signature across the sectional boundary (from D♭ to A♭ in the first rotation; to G♭ in the second rotation). The half-cadential arrival ending S^1 (m. 37) may give an impression of an "illusory" medial caesura, signaling the launch of a different theme to come. Even though the sense of a formal break in this situation is rather weak compared to the medial caesura proper (hence illusory), the ending of the pedal at m. 37 may hint at the start of something new.

There are several characteristics of this sonata-rondo mixture that distinguishes this form from a typical Type-1 sonata. While the P theme in a sonata form normally

displays a volatile and progressive tendency, here the theme is construed as a rounded binary with internal repeats of its two halves, hence the label "Prf" to refer to the "refrain-like" character of the P theme. Caplin, by tracing the divergent historical origins of the sonata and the rondo form, proposes that the sonata-rondo mixture aligns more closely to the formal convention of the rondo, which does not feature a repeat of the exposition as in sonata form. While Hepokoski and Darcy label the first theme of a sonata-rondo mixture as a P theme with certain characteristics of a rondo refrain, for Caplin it is more appropriate to call it a refrain that shares certain formal features of a sonata-form primary theme. This difference in terminological orientation nevertheless, the rounded-binary theme here defies any expectation of a typical sonata-form primary theme zone. The lack of transition between the P theme and the S zone is another factor that distinguishes this mixture form. The transition in a sonata form often features a transition after the P theme that brings about a passage of energy gain that culminates in the half-cadential arrival followed by a dominant lock and a medial caesura. This transition pits the two theme zones suggestive of a drama or a conflict, the resolution of which will be played out in the subsequent course of the sonata trajectory. Here, in the sonata-rondo mixture, no transition or energy gain is evident. The S theme zone commences peacefully right after the closure of the P theme, standing side by side rather than one leading into the other. This goes against the normal sonata-form convention and aligns more with the aesthetics of the rondo. As commented by both Hepokoski-Darcy and Caplin, another distinguishing feature of the rondo is the incorporation of an extensive retransition, which dramatizes the return of the refrain as an important formal event. The placement of retransition in the second rotation is particularly indicative of a rondo form, setting up a strong expectation for a return of the P theme instead of closing off on a satisfactory PAC in the home key. The last occurrence of the P theme (the "would-be" third rotation), rather than simply a coda that is situated outside the generic space of the sonata, becomes an important formal

event in relation to the rondo, bringing back the refrain one last time. From the discussion so far, it seems more appropriate to interpret the form of this finale as a rondo with certain sonata characteristics instead of the other way around (hence siding more closely with Caplin's view on the sonata-rondo hybrid).

The association with the generic conventions of sonata form is not only found in the two rotations of balanced thematic layout (ABABA) as opposed to the more normative ABACA scheme of a five-part rondo. The second refrain (i.e. the P theme of the recapitulatory rotation), also bears witness to an internal expansion, a procedure more typically observed in sonata-form movements as what Rosen called a "secondary development."[2] This formal expansion of the second refrain is worth exploring in more detail. The first alteration from the opening refrain happens on mm. 84–85, where the two-measure contrasting idea prolongs the supertonic (i.e. E♭ minor) instead of the dominant. This move to the supertonic is functionally normative, a pre-dominant harmony that anticipates the arrival of the dominant on the last beat of m. 85. Yet the minor sonority and the lower registrar placement is implicative of an omen, a premonition of something more sinister and deathly about to happen to the pervasive jubilant atmosphere of the major soundscape. The addition of *ritardando* above these two measures seems like a moment of doubt and hesitation in the face of something unsettling, something *unheimlich*. The chromatic inflection of the leading tone (C♭) in m. 84 further intensifies the modal pull of the minor sonority. The opening triumphal-march topic is promptly reinstated in the next four measures (mm. 86–89), proceeding in the same manner as in the first refrain as if nothing peculiar has surfaced.

What is about to come is nothing but striking. In the first refrain, this B section of the rounded binary (mm. 9–12), in the same manner as the original funeral-march theme,

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2. Charles Rosen, *Sonata Forms* (New York: Norton, 1988).

prolongs the dominant while temporarily taking refuge in the tonic midway. Here the contrasting section is a moment of crisis: the upward strive in m. 9 is rendered ineffectual, incapacitated by the sforzando diminished-seventh (vii^{o7}) chord. This undercutting of the spiritual ascension is followed by the revelation of something disquieting—the unrelenting grip of the minor mode (as in the opening funeral-march theme). The next two measures (mm. 11–12), while restating the melody from the beginning of the finale, is modally inflected into the tonic (parallel) minor, as if insinuating the pervasiveness of the minor mode (associated with the tragic) that has yet to be completely overturned and superseded by the sudden appearance of triumphal major mode in the finale. The flatted leading tone (C♭), within the downward passing motion of the inner voice in m. 11, aggravates the tragic connotation by its harmonic leaning towards the subdominant. In short, the contrasting middle of the rounded binary in the first refrain seems like a reminiscence of the minor soundscape of the funeral-march opening theme, now a distant memory that gets swept up the shore of our consciousness. The minor mode has become a wound in the finale, leaving its trace even when one tries to get over it and leaves the past behind. The past still haunts the present, resurfacing as a sign of its absence, proclaiming the assertion of "not-major" (instead of "just-being-in-minor") in the tone of a revolt.

In the second refrain, this deathly wound of the minor resurfaces prematurely (mm. 83–84) within the first A section of the rounded binary, as discussed earlier. Here the ominous apparition of minor is subsequently repressed at the start of the middle section by a willful insistence on the major mode (mm. 90–93). The modally-tinged melodic figure in the opening refrain (mm. 10–11) is now reverted back to its parallel major (m. 90) as if reacting against the earlier failure of succumbing to the disturbing thought of the tragic. Whereas in the first refrain the middle B section continues the ending dominant of the first A section, in this location the tonic is asserted strongly at the beginning. In tandem with the contrast in affective character across the sectional

Example 42. The second refrain in the finale

boundary (over the barline of mm. 89–90), the beginning of the B section seems to signal an interpolation of an interior theme—a self-enclosed theme zone delineated from its surrounding musical discourse by a prominent degree of formal disjuncture. Yet this interpretation of the interior theme is rather inchoate, because once the opening material from the last four measures of the A section is brought back afterward (mm. 98–101), we then realize that the rounded binary structure still holds sway over the interpolation, which turns out to be a transient digression rather than the beginning of a full-fledged interior theme (a comparison can be drawn with the similar contrastive middle section of the Fantasie, "Im Legendenton," a full-fledged interior theme that, according to Marston, takes place between the main theme and the transition of the recapitulation).[3] Yet the sense of affective contrast should not be downplayed as something extraneous or inessential, for what is about to happen in the next eight measures is expressively and rhetorically significant.

The first four measures (mm. 90–93) of the supposed middle section sound like repression of something disturbing and traumatic from the past, the protagonist (or the virtual agent) trying its best to tame the unnerving thoughts. Modally inflected notes in the first refrain are enharmonically modified to reflect the positive zeal. For example, the third of the parallel minor (F♭) in mm. 11–12 is now enharmonically respelled into an E♮ in m. 91, a raised second scale degree that is, due to its upward-resolving tendency, redolent of the feeling of hope and optimism. The B double flat at the end of m. 11, a chromatic passing tone resolving downward, finds its counterpart in m. 91 as A♮, even though its upward aspiring motion to B♭ fails to be attained, as the resolution is evaded by the restatement in m. 90 an octave higher. The harmonic motion is also suggestive of the upward tendency: in relation to the first A section of the rounded binary, the first

3. Nicholas Marston, *Schumann, Fantasie, Op. 17. Cambridge Music Handbooks* (Cambridge England: Cambridge University Press, 1992).

two measures (mm. 82–83) shows a motion down a third (from tonic to submediant); here in the contrasting middle (mm. 90–91) the same opening melody progresses up a third to the mediant (F major) as if anticipating the onset of the submediant, which is evaded in m. 92. The enharmonically respelled notes together with the upward harmonic motion counteract the incessant permeation of the minor mode as manifested in the first refrain. Instead of engaging directly to bring this unsettling minor into reconciliation or resolution, the passage seems as if the protagonist is trying to suppress it by the consoling comfort of the major, hiding the darker side under the facade of undisturbed utopian vision, the pain ameliorated momentarily by the caress of the feminine (this passage appeals to the character of the secondary theme) and a glimpse of a distant hope. (It may be evocative to associate this minor mode with the disease Schumann contracted early in his life—syphilis—which he wrote in his diary around 1831–2 that the wound "bites and gnaws, like a lion chewing at his meat."[4])

Yet this halcyon fantasy is short-lived. The minor mode, lurking in the subconscious like the sick rose's invisible worm, is a wound that continues to haunt the jolly major-mode soundscape. Modal mixture invades the ending dominant in m. 93, turning the chord from major to minor quality. This semitonal slide of the chordal third (i.e. From C to C♭) expunges the dominant function from the harmony, itself lost without any direction in the domain of D-major tonality. The harmonic color is further tinged with darkness in the following chord—the subtonic harmony on C♭ (or the double subdominant of D♭)—while the bass plunges to E♭. As opposed to Schubert's tragic ending in his Moment musical in A♭ (a peaceful soundscape intruded upon by an enticing "foreign element" as interpreted by Cone[5], in this finale the protagonist's will is steadfast, striving to defeat the minor once and for all. Here in mm. 94–96 the bass painstakingly

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4. Judith Chernaik, *Schumann: The Faces and the Masks*, (Faber & Faber, 2018), 26.

5. Edward Cone, "Schubert's Promissory Note," in *19th-Century Music* 5, no. 3 (1982), 233.

ascends one step at a time, as if attempting to climb itself out of the grip of the minor. This effort does not go in vain, as the music arrives at the A-flat major chord in m. 96, a corrective to the previously disfigured dominant harmony two measures earlier (m. 94). This moment of victory is capped off by an exclamation of relief in m. 97, with its varied transposition of the opening motif back to the tonic in the high register that reaches a climatic *rinforzando* B♭. A celebratory return of the A section commences in mm. 98–101, which concludes the rounded binary in the same triumphal character as before. The last 8 measures are then repeated to accentuate the despair-to-triumph expressive trajectory that is significant to this internally expanded second refrain.

We can summarize the above discussion that the internal expansion is formally "extraneous" (in the sense that it does not alter the refrain's formal function) but rich in expressive and rhetorical connotations, implications that reach back and forth across multiple refrains. Along the similar vein as Hatten, the literal repetition of the refrain is the unmarked environment, while any digression or deviation from it becomes a marked formal event, a happening that for Deleuze should be taken as internal to the refrain itself such that the difference (as divergence) is imminent to the existence of the refrain itself. The refrain hence is analogous to a subject, or a "virtual agent"[6] described by Hatten, who seems to stand behind the music as a narrator. Here the "additional" material in the second refrain is akin to the protagonist's recitative, which recounts the narrative of psychological turmoil and the eventual self-rejuvenation from the macabre funeral march topic of the opening theme. It seems like the major mode of the finale—hence the victory—was attained too hastily; it can only be rewarded after going through a process of struggle that the victory becomes well-earned and deserved.

The third refrain (starting at m. 175), which is likened to a coda from the sonata-

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6. Robert Hatten, *A Theory of Virtual Agency for Western Art Music* (Bloomington, Indiana: Indiana University Press, 2018).

Example 43. The third refrain in the finale

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form perspective, continues the narrative of a romance as discussed in Almén: the victory of the desired order (the triumphant major mode) over an undesired transgression or opposition (the minor)[7]. The first three phrases correspond exactly to the first refrain, achieving a sense of stability in relation to the "non-conforming" second refrain. The parallel-minor passage (mm. 185–6) is still repeated in full, but it now has an aura of nonchalance, functioning merely as a quality rather than a sign. This inextricable minor element can only be eliminated, not by reconciliation, but by a feat of violence—a preemptive strike rather than reactive appeasement. This formal "breakthrough" happens in mm. 188–9, a "reversed" modal-mixture submediant chord, which is transformed from minor to major. This chord is particularly uncanny, for the chromatically altered note, D♮, is the raised tonic, which, instead of functioning as an applied chord, is asserted as a chromatic substitute of the first scale degree. This "majorized" submediant chord with its altered tonic degree seems to suspend the tonic harmonic progression, propounding itself as an "absolute harmonic effect"[8] described by Kurth. The overabundance of *fortississimo* and *sforzando* markings in this passage underscores the impassioned violence in the attempt to extirpate the influence of the minor—a radical decentering of tonality. What follows is a series of cadential progressions that anchor the music firmly in the major mode, a celebratory codetta after the long-winded struggle, bringing the composer's intention of "elevat[ing] the funeral march bit by bit into a triumphal march" to a resounding success.

Minor and major in this finale can be considered as signs that are subject to interaction and mutual engagement. The dialogical relationship between the two (and between their associated connotations of tragic and victory respectively) may be

7. Byron Almén, "Narrative Archetypes: A Critique, Theory, and Method of Narrative Analysis," in *Journal of Music Theory* 47 (2003): 1–39.

8. Ernst Kurth, *Ernst Kurth: Selected Writings*, ed. Lee Allen Rothfarb (Cambridge: Cambridge University Press, 1991).

considered a kind of "troping" as discussed by Hatten, "where one expressive sign is used to modify or transform the effect of a second."[9] Each of these two signs has its associated (or correlated) connotations—as in this piece minor is correlated with tragic and major with triumph. In troping the two signs, the "two different correlations are brought together to produce a third meaning,"[10] in such a way that the two independent signs "provoke a fresh interpretation from their interaction,"[11] giving rise to "a synthetic specificity of meaning that is at the same time more complex and more peculiarly distinctive."[12] The more distant the two entities are (especially if they are expressively incompatible or even oppositional), the more novel and unexpected the third meaning can potentially emerge. While Hatten's adoption of this concept of troping from semiotics is intended to describe the interaction and fusion of two topics or expressive genres, it would be fruitful for us to consider the interplay between major and minor in this piece from a similar perspective. All of the three occurrences of the refrain embody different proportions of major and minor, and the two are combined like an emulsion within the "monad" of each refrain. In the first refrain the minor crops up in the contrasting middle like a shadow from the past, juxtaposing like a transient digression within the predominating dominion of the major. In other words, the minor stands side by side with the major, surfacing momentarily as an encounter with the Other or a recollection of the *objet petit a* (here in the finale the minor is treated as an "absence" amidst the major-mode soundscape). This trace from the past leaves a scar on the body of the finale—a presence (or existence) of something absent, the being of non-being. While in the first refrain the scar is only an innocuous sign of the past, it reifies itself into something more

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9.   Hatten, *Musical Meaning in Beethoven*, X.

10. Hatten, *Musical Meaning in Beethoven,* 166.

11. Hatten, *Musical Meaning in Beethoven,* 74.

12. Hatten, *Musical Meaning in Beethoven,* 162.

potent (and more real) in the second refrain. Here the macabre undercurrent of minor impregnates the entirety of the refrain, first being repressed into the subconscious and then emerging more potently like a mental collapse, which is overcome slowly by a steady ascent of the bass. In short, the second refrain brings the two modes into direct contact with one another, one impelling the affective realm of the other, in which the major actively tries to bring the other under control—a place of conflict, a war zone. The last refrain symbolizes the defeat of the minor and the triumph of the major. The minor makes its final appearance and is then vanquished by the fearsome blows of the *fortississimo* chords. The minor changes its expressive meaning from a presence of an absence (first refrain) into a presence (second refrain) and finally an absence of the presence (third refrain). We can observe from the discussion above that the troping of major and minor gives rise to a multitude of interpretations that are more specific and nuanced than simply tragic or triumphant. While Hatten's notion of expressive and generic troping involves a more intimate fusion of two signs or musical topics, it is also applicable for conceiving of the dialogical relationship between the two. We may even conceive of the minor as a "past" and the major the "present," and their intermingling gives rise to a "troping of temporality."[13] in which residues from the past encroach upon the present.

Going back to our earlier discussion of the sonata-rondo, the transformative trajectory of the threefold occurrences of the refrain aligns closer to the sonata-form trajectory of conflict and resolution than to the sense of stability characteristics of the return of the refrains in a rondo form. The repetition of the three primary themes traces a narrative arch of beginning, middle, and end that spans the entire finale. The coda, while in Classical works occupying a "paragenetic space" (Hepokoski and Darcy) and

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13. Hatten, "The Troping of Temporality in Music" in *Approaches to Meaning in Music*, ed. Almén Byron, and Edward Pearsall (Bloomington: Indiana University Press, 2006).

performing a "framing function" as something "after-the-end" (Caplin), is nevertheless rhetorically and dramatically significant, even effecting the most salient climax of the entire movement. In Deleuze's conception of the refrain, its repetition gives rise to a territory while escaping this territory at the same time. The territoriality of the refrain is first established by its periodicity— the theme is first divided into two halves, and each half consists of two four-measure phrases, delineated by a cadential articulation. Each of the four-measure phrases also displays a balanced structure, comprising a two-measure "statement" that is answered by another two-measure "response." This regularity in phrase structure engenders a consistency in rhythm, which in turn territorializes the refrain as a single formal entity, with the presence of formal boundary and the possession of certain defining expressive qualities such as themes, motifs, rhythms, styles, and topics. While rhythm as recurrences of similar patterns can attain consistency to establish a territory, repetition for Deleuze is ever the return of the same but a process of creating the new. We can see in the movement how the restatements of the refrain introduce alterations and divergences, transforming the territory by decoding its internal constitution. While territorialization can be suicidal, here the repetition of the refrains brings the interplay between the major and the minor from the virtual to the actual, as two series interacting with one another within the singularity of the events (i.e. refrain). The territory is reterritorialized by successfully purging the minor from the dominance of the major, via a process of internal decoding and recoding through its multiple repetitions. From Deleuze's point of view, the refrain is both a becoming-into-being and a being-in-becoming, a simultaneity of forming, formed, deforming, and reforming. Considering the three statements of the primary theme in this perspective, we can get a better sense of the dynamic trajectory of the movement that is engendered not by the continuous developmental process between the refrains but by the successive transformations within the refrains themselves.

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There is still one formal feature of this finale that remains idiosyncratic in a conventional sonata-form paradigm. It is often the case that the recapitulatory rotation brings back the secondary theme zone to the tonic and produces a PAC in the home key, bringing the entire sonata-form trajectory to a satisfactory closure. Here in this finale, the expositional rotation shows a normative procedure of taking the S-theme up to the dominant. The recapitulatory rotation however deviates from the norm— instead of transposing the S-theme back to the tonic, it is now placed down a fifth in the subdominant key. As a result, the retransition (C=>RT) has to be modified in order to prepare for the final return of the refrain in the tonic. This symmetrical deployment of tonality across the two rotations correlates with Roesner's formulation of the "parallel forms." In her definition of this formal schema, "takes the shape of a peculiar sonata-like form in which the second half of the movement is a quasi-parallel of the first half, resulting in a recapitulation of much of the 'development' section,"[14] most evident in his three piano sonatas and the *Fantasie*. In a general sense, the parallelism in Schumann's formal design arises from the return of a substantial portion of the development section after the recapitulation. With the return of the P-theme material in the coda, the alternation of P, S, and development materials in each half of the parallel form may sometimes result in a form that is "leaning instead toward a less hierarchical rondo prototype."[15] Tonality also plays a major role in parallelism. As in the case of the first movement of the *Concert sans orchestre*, Op. 14,[16] the return of the development is transposed in the opposite direction from that in the first half, resulting in an F-A♭ | F-D♭ symmetrical key scheme. Although the finale of the *Symphonic Etudes* does not feature a development section (hence it resembles more to a Type-1 than a standard Type-3 sonata

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14. Correll Roesner, "Schumann's 'Parallel' Forms," in *19th-Century Music* 14/3 (1991), 266.

15. Roesner, "Schumann's 'Parallel' Forms,"271.

16. Roesner, Schumann's "Parallel" Forms," 268-70.

form), the key relationship between the two rotations (D♭-A♭ | D♭-G♭) can be seen as a precursor to his later more full-fledged sonata-parallel hybrid. (It is also conducive to think of the two tonal motions as a wedge, the first going up a fifth followed by the second going down, which gets "resolved" in the final refrain as the ultimate point of return.) The dominant-subdominant dichotomy in this parallel tonal scheme hacks back to the ambivalent chordal formation of the V/IV complex in the opening theme (m. 2), in which the dominant-implying leading tone is superimposed over the subdominant bass.

Chapter 6

Lines of Becoming

The previous section offers a view of the dynamic becoming of the entire variation set that culminates in the triumphal march of the finale as the goal (a formal process not unlike the process of "teleological genesis"[1] by Hepokoski). The finale in Schumann's variations is more than a point of return that simply brings back the original theme as a conclusion. It is instead a significant formal event that the whole variation process burst out into a moment of metamorphosis, within which an internal narrative arch traces the dialectical interplay between the newly-attained major and the residual influence of minor. The substantial formal status of the finale is also attributed to the formal enlargement—from the symmetrically balanced rounded-binary form of the original theme into a sonata-rondo hybrid based on a number of thematic materials. The various themes within the finale, particularly in the first hearing of the piece, do not land themselves readily to a straightforward identification with earlier motivic instances, sounding as though they are newly composed that come from nowhere. Upon reflection, however, we will notice that the themes actually demonstrate vestiges from previous motifs, transformed and recombined under different guises. In this section I will discuss each of the thematic areas in the finale, examining how they bear a certain degree of resemblance to the four motivic types in the original theme. It is as though the previous motifs and themes are suddenly set free to take flight in the finale, breaking away from the harmonic-formal confines of the original theme and becoming emancipated to undergo various expansions and elaborations within the sonata-rondo space. Based on this back-to-back view of motivic connections (i.e. from the original theme to the finale), I will then trace the *lines of becoming* of various motivic instances from the associational

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1. James Hepokoski, *Sibelius, Symphony No. 5. Cambridge Music Handbooks* (Cambridge England: Cambridge University Press, 1993).

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networks we obtained earlier, now arranged according to the order of the variations.

The lines of becoming discussed in this chapter is analogous to an unravelling or a "linearization" of the rhizome across time. As discussed in Intermezzo I, the recollection of past motivic images occurs through the involuntary association in our memory. This process of recollection can happen recursively: just as a present motif recalls another motif heard in the past, the recalled memory image may in turn bring up another motivic instance further back in time, resulting in a chain of interconnected motifs reaching progressively deeper into our memory. Hence while the relations between motifs form a rhizome as modelled by our network analysis of various motifs, our recollection of motifs is like tracing a path in this rhizome; and while each motif proffers a number of associative possibilities to recall other motivic images in our memory, only one is conjured up in our consciousness that in turn acts as the seed to recall our past motivic images.

The myriad motivic resemblance is shown in the diagram below. Here only the most salient and recognizable connections are shown. The P-theme features the arpeggiation (motif A) and the arch-shape figure (a variant of motif C) in m. 1, followed by the neighbor-note alternations (motif B) in the following measure (m. 2). The arpeggiation, in its ascending form, shares a closer connection with Etude 1 than the original theme. The second half of the P-theme is reminiscent of the second half of Etude 5 in retrograde. The first part of the S-theme (S^1) foregrounds the "reaching-over" motif (motif D), which has so far been largely submerged within the musical texture inconspicuously. Only here in the finale does this motif is "thematized," making its most pronounced statement in the top voice. The second part of the S-theme (S^2) bears witness to two motivic traces—the E♭-B♭-A♭-A melodic outline correlates with the beginning gestures in Etude 5, 10, and 11, which is a variant of the arpeggiation with the addition of passing notes; the initial leap of a fourth (B♭-E♭-B♭) is also suggestive of the similar leap

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Chapter 6

Symphonic Etudes - Motivic Transformation and Teleological Formation

Arpeggiation

(4th leap)

Neighboring

(Reaching-over)

3rd-prog

(arch)

Finale (MT - 1st half)

Finale (MT - 2nd half)

Finale (ST1)

Example 44. Motivic transformation converging on individual theme zones in the finale

in Etude 2. The most unmediated recurrence of motifs from the original theme only enters in the closing theme, where the descending octave arpeggiation (motif A) makes its most emphatic pronouncement in counterpoint with the buoyant S^2 theme. We can tabulate each thematic area with its most salient motivic categories that it associates.

The arrangement of themes in the finale displays a retrograde relationship with the order of motivic deployment in the original theme. The arch-shape figure from the P-theme (D♭-E♭-F-E♭-D♭) finds its correspondence in the opening theme only at the very end (mm. 15–16). The "reaching-over" motif, taken up as the main motivic material for the first part of the S-theme (S^1), makes its first appearance in the middle of the opening theme (m. 8). The most noticeable return of the descending arpeggiation (motif A) happens in the closing theme of the finale. From these three motivic correspondences, we can notice a retrograde succession of motifs in the finale as compared with that in the opening theme, as if the finale is traversing backward from the end to the beginning—a mirror image of the former. It can hardly escape our notice when the head motif of the opening theme (i.e. the descending arpeggiation) is stated with much vehemence in the closing zone of the finale, a formal closure of ending where we begin. The finale is, therefore, a paradoxical identity: on the one hand, it stands as one of the variations from the original theme, sharing motivic materials with the opening funeral march; on the other hand, it remains opposed to the former with respect to character, style, and formal scope.

In the previous sections, we visualize the motivic associations in an atemporal "logical" perspective, examining the formal distances between the variations and the internal congregation of consecutive ones. Here I offer another perspective of motivic connections: a temporal/chronological view that the nodes are arranged according to the order of succession of the variations. The resulting diagram is shown in the diagram below. Reading it from left to right amounts to following the temporal flow of the piece,

Symphonic Etudes - Motivic Retrogration

Thema

Etude 12 (Finale)

(Main Theme)   (Subordinate Theme 1)   (Closing Theme)

Example 45. Motivic retrogration between the finale and the opening theme
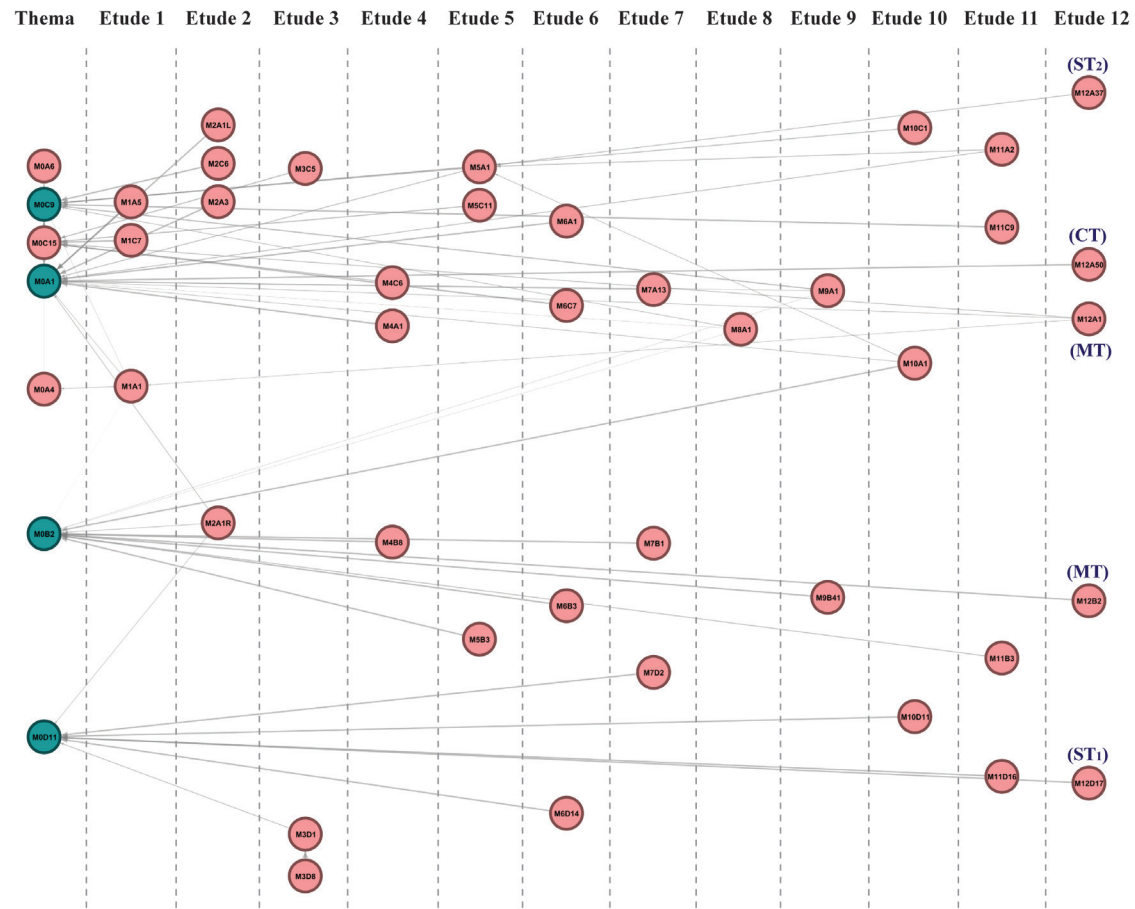
Example 46. Motivic networks laid out in chronological order
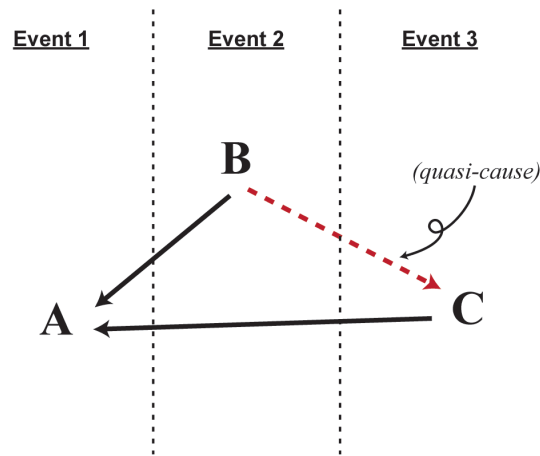
Example 47. Quasi-cause derived from assocaitive relationships

while the vertical arrangement reflects the associational network that we obtained in the

logical view. We can imagine taking the previous associational networks (with motifs

only) and filtering them into thirteen strata (corresponding to the original theme and the

twelve variations) by projecting a third dimension from the previous two-dimensional

graph. As opposed to the one-to-one comparison of motifs earlier, this chronological

view enables us to visualize the evolution of various motivic transformations from one

motivic instance to the next as they appear in time. We can hence examine different

"lines of becomings," a series of similar motivic instances related by "quasi-causes," by

tracing the existing links between pairs of motifs and interpolating a "transitive" relation

from those links. As shown in this simple illustration, we can project a quasi-connection

from the intersection of two motivic relationships: if motif B is related to motif A, and

another motif C is also related to A, then we can postulate a certain degree of relatedness

between motif B and C, which will be treated here as the quasi-cause as if motif B

"evolves" into motif C (or motif C is "derived" from motif B). While it is beyond the

scope of my inquiry to work out the exact mathematical details of this quasi-cause from
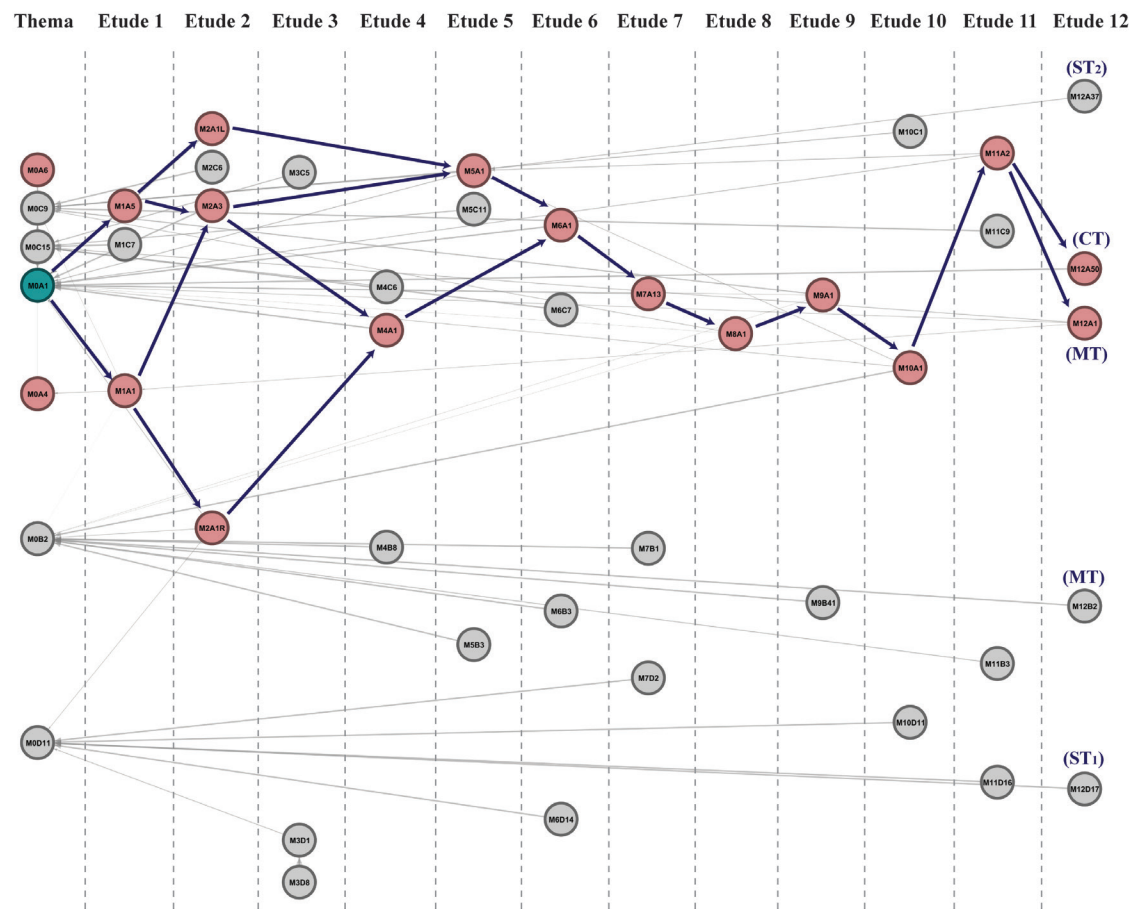
Example 48. Lines of transformation of motive A
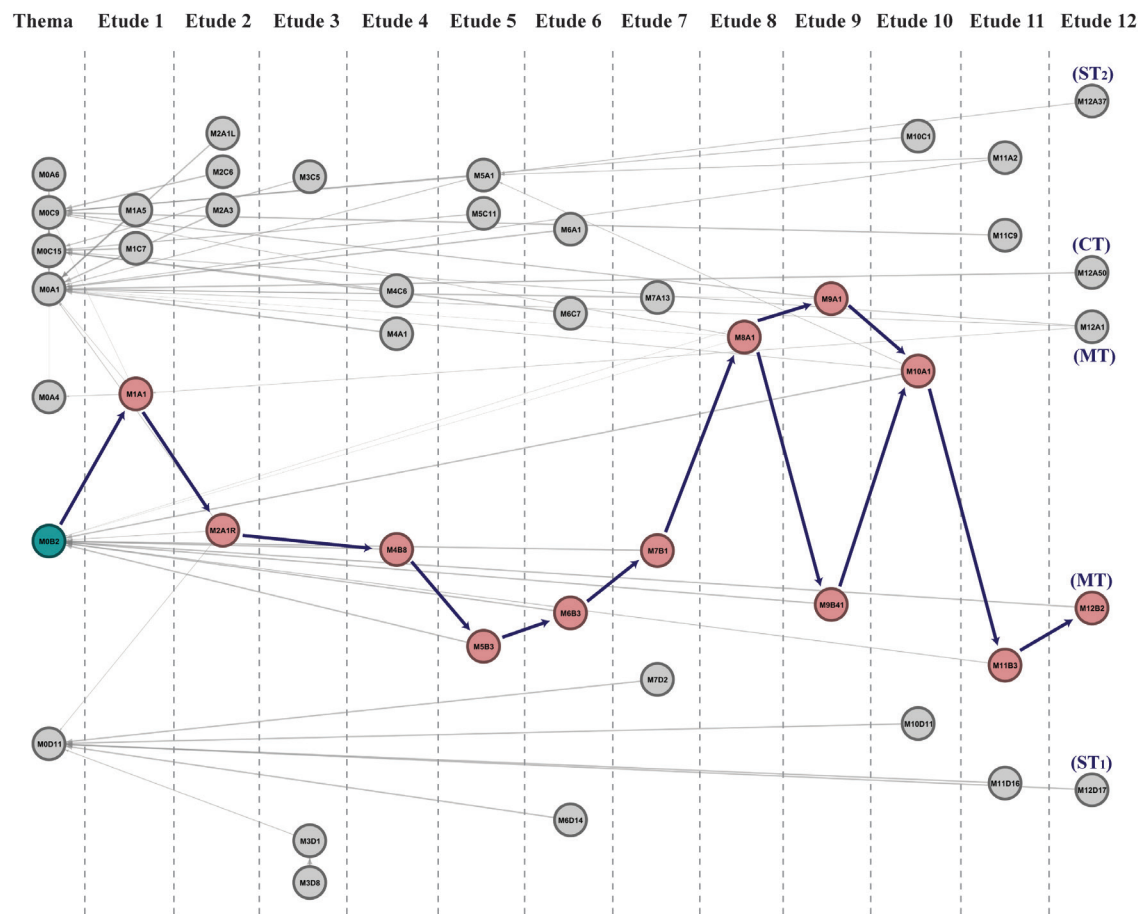
Example 49. Lines of transformation of motive B
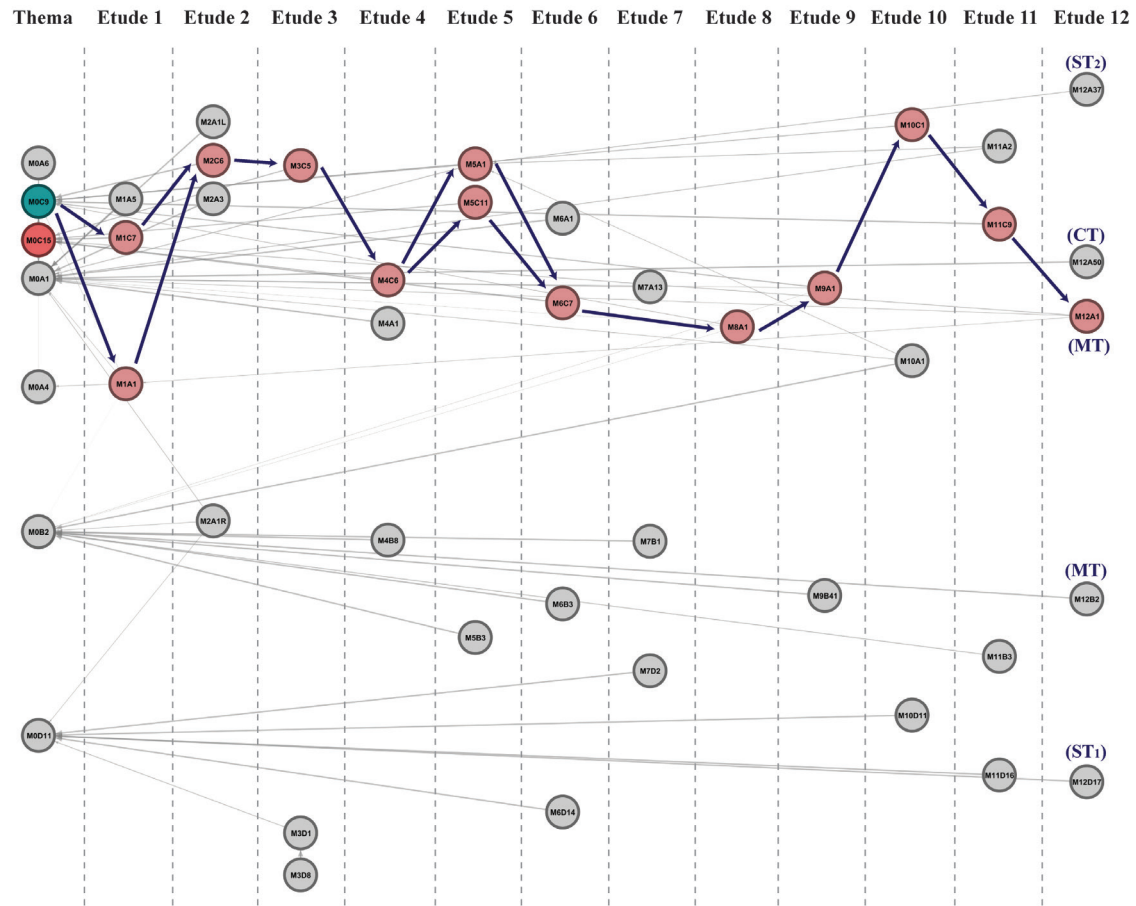
Example 50. Lines of transformation of motive C
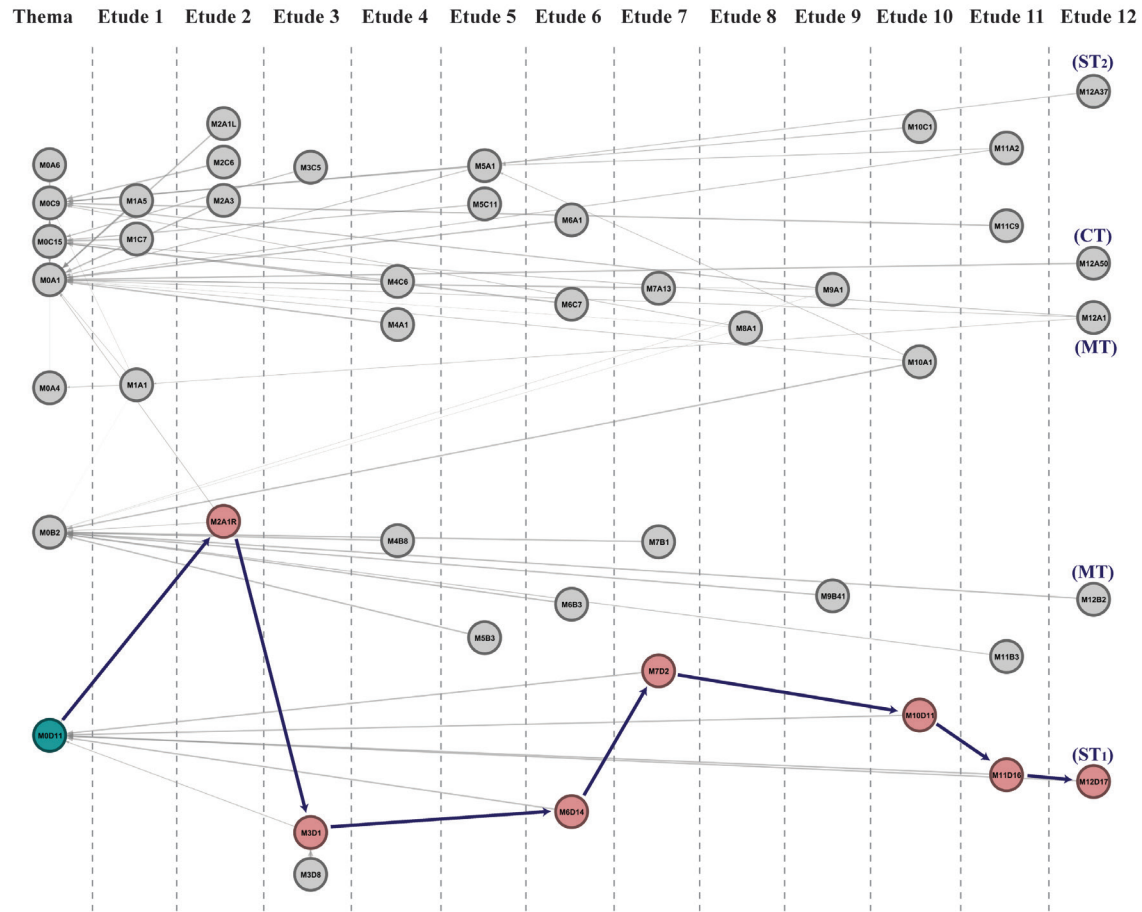
Example 51. Lines of transformation of motive D

its constituent combinational relations, it suffices here to consider these quasi-causes as a directional transformative force that our transcendental faculty of the mind applies to the understanding of the process of becoming in reality. These quasi-causes then form a chain that we can capture conceptually as different "lines of becomings." These lines are transcendental entities that our mind tries to get hold of the ever-changing and evanescent nature of reality; it is also conducive to regard them as immanent to the process of becoming in itself as if the motifs possess the élan vital to reinvent themselves in each manifestation. (One note of caution here: in this diagram and those concerning the *lines of becomings* that follow, the direction of the arrows should be read in reverse, i.e. turning backward associations into forward becomings, to better represent the transformative nature of motivic instances.)

Diagram A shows the line of becoming of arpeggiation motif (motif A) as it transforms from the head motif of the opening funeral march to the finale's P-theme, the first portion of the S-theme (ST1), and the concluding C-theme. We can observe from this diagram that this motif is present in all but Etude 3, and its presence is more diverse in earlier variations (Etude 1 and 2 in particular) and the finale (as it manifests in three different themes). motif B (shown in **Diagram B**) is also prevalent in most of the variations and makes its most salient appearance in the second measure of the P-theme. motif C (shown in **Diagram C**) is closely intertwined with different simulacra of motif A, as reflected in the spatial affinity of the two in this diagram. This motif figures in the P-theme (as an "arch-shaped" variant) and ST2 of the finale (as a stepwise descending third). motif D (shown in **Diagram D**) is the least prominent motif among the four, only sparsely distributed across the variations. Its lesser formal presence does not preclude it from being foregrounded as the main motivic material for ST1 in the finale.

Intermezzo 2

Three Syntheses of the Machine

The entire variation cycle moves from one center to another, from the opening theme (funeral march) to the finale (triumphal march), through a series of deterritorialization and reterritorialization of the theme via the transformation and recombination of motifs. These motifs participate in the process of becoming in the serial arrangement of the variations, resulting in a rhizomatic network of motivic relations that renders the whole variation set as a multiplicity—a field of intensity where pre-individual singularities (i.e. motives) are brought together in the form of an assemblage. Multiplicity or assemblage, which, on the surface, may mean a hodgepodge of discrepant entities mixed into the same work, not unlike a mixtape with a compilation of unrelated songs; yet for Deleuze, a multiplicity is always in the middle—between the absolute deterritorialized flows in the chaosmos (i.e. pure sonic substances) and solidified territories or strata that possess a well-defined organizational structure. As such, multiplicities are always in the process of becoming: becoming-territory ("to be") and becoming-nothing ("not to be"), hence Hamlet's dilemma. The unfolding of a variation set is such a becoming-territory, or what Deleuze termed "territorialization" in *A Thousand Plateaus*, a process that involves a machinic synthesis in three stages—the connective synthesis of free association, the disjunctive synthesis of identification, and the conjunctive synthesis of subjectivation. In this section, I will discuss how a set of variations can be considered as a multiplicity via the three syntheses of the machines. I will demonstrate how different types of associational and synthetic processes are put into play in a variation cycle for it to be apprehended as a singular unity—something akin to

the emergence of a subject.

Before delving into the three syntheses of the machine, it is prudent to discuss at the forefront what Deleuze means by a machine. Simply put, a machine is an organizational structure that emerges from the bottom-up rather than imposed from the top-down. In opposition to the arborescent thought (the root-tree) where everything is structured around a center of power (the trunk), the machine is a material manifestation of the rhizomatic thought—associational rather than hierarchical, creative rather than tyrannical. Machine, at its foundation, cuts into the flows of the chaosmos and instates a structure of consistency to the incessant process of becoming; in other words, it draws certain elements from these flows into its own system of synthesizing relationships.[1] When more and more elements are drawn into the associational nexus, the machine begins to take up a territory in the form of a body, which draws off a boundary and expresses itself as an identity that distinguishes itself from the surrounding field of chaos. Inasmuch as the machine is clasped onto the material flows, it is pervious to transformations, growth, and decay through time. A machine is not simply a rhizome, but a structure that reaches into the flows of the chaosmos and converges into a form of identity—yet this identity is contingent rather than transcendent, like Platonic forms. Machines are not simply a kind of existence among many; everything in the universe is a machines: machines operating in our psyche (desire-production) and those manifesting themselves in the economic and social world (social-production). In both mental and physical realms, every existence (such as self, subject, state, and capital) emerges from the synthesizing forces of the machine that inserts itself onto the material and psychic flows, seeking to establish an organizational structure from the ground up. Hence

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1. Deleuze and Guattari, *Anti-Oedipus: Capitalism and Schizophrenia*, tran. Robert Hurley (Penguin Classics), 36: "A machine may be defined as a *system of interruptions* or breaks (*coupures*). […] Every machine, in the first place, is related to a continual flow (*hylè*) that it cuts into. It functions like a ham-slicing machine, removing portions from the associative flow."

a machine, for Deleuze and Guattari, is a nomadic organization in reaction against the traditional way of thinking in terms of hierarchy and top-down organization—a totalitarian state *par excellence*. Hence a machine does not lack an identity; it acquires an identity from the constellation of its discrete entities. Yet this identity is always in flux since its existence is contingent upon its subsistent flows, subjecting the territory in the process of deterritorialization. Thinking along the lines of machines also reverses the relation between being and becoming: while the common way of thinking tends to append becoming to beings as a secondary property (a being that becomes/changes), a machine produces a being on the basis of a more fundamental becoming. Along the similar vein of Heraclitus, who conceives of the whole universe akin to the flowing of a river, Deleuze and Guattari build dams over it, creating reservoirs of desires and channeling them into various directions—thus is the genesis of desire-production.

The formation of a machinic assemblage involves three syntheses in successive stages: connective, disjunctive, and conjunctive. Lying at the bottom stratum is the *connective* synthesis of the pre-individual singularities, characterized by the form "and …" "and then … ."[2] It is at this stage that desire-production begins, where the pre-individual singularities that are drawn off from the various flows are adjoined with one another in the form of associations. In order to extract these singularities (as molecular substrates) from the continuous flows of the endless flow (the *hylè*), the machine first needs to cut into these flows, hence slicing-off a certain cross-section of the flows and bringing it into the machinic system. Hence the connective synthesis first involves this process of slicing-off (*coupures-prélèvements*), and it is only by these interruptions that the molecular elements, or what Deleuze calls the "partial objects," can escape from their continuous flux and are now free to combine with one another in novel manners. With

2. Deleuze and Guattari, *Anti-Oedipus*, 5.
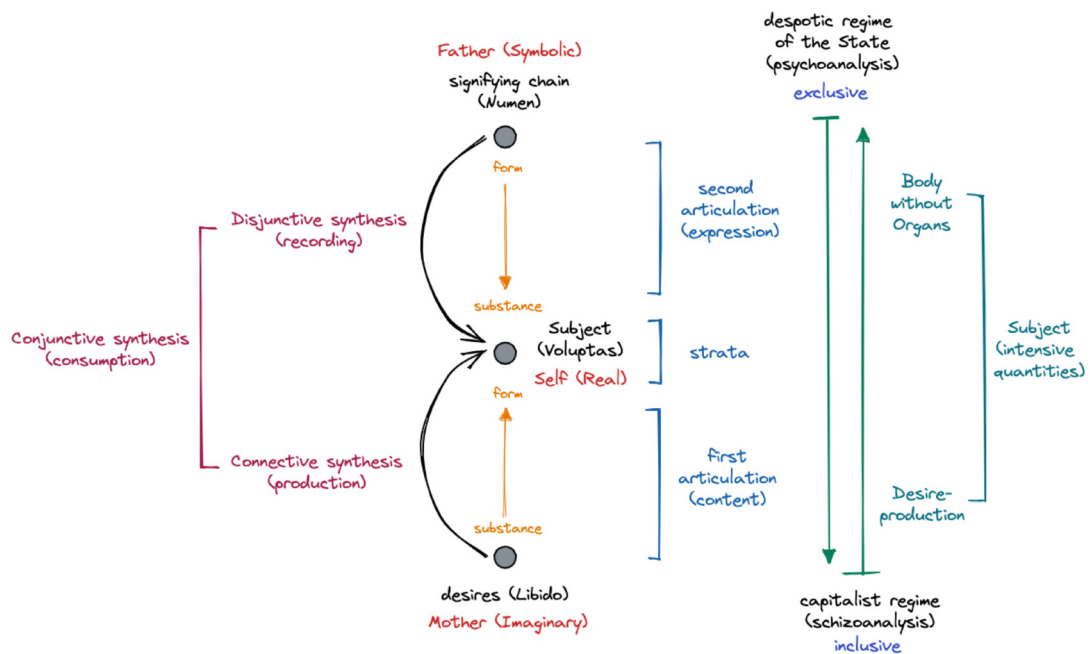
Example 52. The three syntheses of the machines and the two regimes.

respect to the constitution of the unconscious, the connective synthesis manifests itself as desiring-production. Desiring-production is Deleuze's and Guattari's reinterpretation of the libido of Fraud and the Imaginary from Lacan, all of which concern with the source of creativity and productivity in both the psychic and social realms. The connective synthesis of desiring-production is pure creativity in essence, with an infinite potentiality and an inexhaustible urge for creation and procreation.

As the primary stage of production (production of production), the connective synthesis of the machine interrupts pre-existing flows and produces other flows as a result, which may then be drained off by another machine. In other words, the product from the connective synthesis may also potentially be the subsistent flows of another

machine coupling to it, hence "machines driving other machines, machines being driven by other machines, with all the necessary couplings and connections."[3] It is, therefore, conducive to think of the connective synthesis as operating in two dimensions: the connections among pre-individual singularities to form a machine, and the connections of multiple machines to form an assemblage of machines. In the former circumstance, the molecular singularities are related via reciprocal determination, a pure differential that defines the functioning of one via the other; the conglomeration of these binary relations gives rise to a rhizomatic network, where elements gradually congeal into the logical operation of the machine. In the latter circumstance, machines couple with other machines in a hierarchical manner, yet this hierarchy is built from the ground up (an immanent ontological genesis) rather than imposed from a certain center of power above, hence it is not generative or reductive but allows for various permutations of machinic combinations. The acentered nature of the rhizome, as discussed in *A Thousand Plateaus*, primarily belongs to this connective synthesis of pre-individual singularities, where particles (substance) are combined freely to give rise to various composites (form). This formation from substance to form is referred to as the first articulation in the process of stratification, one that constitutes the content of the resultant strata.

The connective synthesis produces machines in its infancy stage, which is reified by drawing on the subsistent flows of desires. Yet the infinite potentialities of these machinic creations cannot proliferate without check, and sooner or later this process will encounter a limit inasmuch as these machines need to be actualized in the material or biological world, which are finite. This limit will reveal itself when more and more machines occupy the same space, marking off the territory within which the machinic assemblage is reified. This space is referred to by Deleuze and Guattari as a "body

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3. Deleuze and Guattari, *Anti-Oedipus*, 1.

without organs." This body, in its original state when no machine acts on it, has zero intensity, and it is, therefore, a zone of anti-production where everything resides in the virtual, waiting for any machines to bring something into the actual.[4] The body without organs is likened to an egg, a state before an organism is born. This body is both a field of potentialities as well as the limit where machines are founded, taking the forms of the earth, the tyrant, or capital. As more and more machines are created from the connective synthesis of desiring-production, one will eventually have to choose as to which machines should be actualized and which ones should be ignored. This is the second stage of the machine—the disjunctive synthesis. This disjunction refers to the tension between the productive impulse of the desiring-production and the non-productive inertia of the body without organs, a tension that results from the actualization of the machines on the body without organs that refuses to be organized and structured by those machines.[5] This tension between production and anti-production, and between infinite creativity and finite material world, characterizes the disjunctive synthesis of a machine. The pure emergence of the connective synthesis is now turned into distributions of machines over the body without organs, where the latter is segmented or compartmentalized into various coordinates and striations by the machinic formations. This corresponds to the second articulation discussed in *A Thousand Plateaus*, where the stratum (or the body) becomes expressive with respect to its internal constitution and machinic distribution.

The original state of the body *without* organs is now turned into a body *with* organs, and the machines become expressive as they perform certain differentiated functions in relation to the whole of the body. The machines cease to the individual and

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4. Deleuze and Guattari, *Anti-Oedipus*, 8. "The full body without organs is the unproductive, the sterile, the unengendered, the unconsumable."

5. Deleuze and Guattari, *Anti-Oedipus*, 9: "the *repulsion* of the desiring-machines by the body without organs [...] the desiring-machines attempt to break into the body without organs, and the body without organs repels them, since it experiences them as an over-all persecution apparatus."

self-contained entities, but now become part of, and occupy a space inside, the body. This is referred to as the process of inscription (*enregistrement*), as if the machines need to register themselves in the material substance of the body. Not every machine can get registered, and those machines that eventually get actualized on the body will define its functioning and identity as a consequence. Hence the disjunctive synthesis is a selective process of "either/or" (an exclusive use) or "either…or…or" (an inclusive use), via which machines are both selected and actualized in the material or biological world. Hence this disjunctive synthesis corresponds to "the name of the Father" (*le nom de père*) or the Symbolic by Lacan, when desires get restricted and repressed by the regulative forces of the social world: "the no of the Father" (*le non de père*).

Yet the existing world is rarely devoid of any organization as a field of zero intensity; instead, the material and social world is already organized in some manner by the pre-existing machines. As the body is finite, in order for a new machine to be created over that body, one needs to detach some elements from these existing machines and combine them in a novel way to form the new machine. Hence the disjunctive synthesis is also characterized by the process of detachment (*coupures-détachements*). This detachment can be a withdrawal of labor or material resources from the existing production chain or destabilization of certain signs within the signifying chain (*chaînes signifiantes*) that makes up the unconscious, decentering them and accruing new meanings to these signs.[6] Hence the body with(out) organs is subjected to continual composition and decomposition, combination and detachment, where new machines are formed by extracting blocks and bricks from the existing ones. The despotic regime (or the illegitimate conformist mode), based on the Oedipal mother-father-child triangulation,

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6. Deleuze and Guattari, *Anti-Oedipus*, 40. "Cutting into the flows (*le prélevement du flux*) involves detachment of something from a chain; and the partial objects of production presuppose stocks of material or recording bricks within the coexistence and the interaction of all the syntheses."

Conjunctive Synthesis: *subjectivation*

Var. 1 **Var. 2** **Var. 3** **Var. 4** **Var. 5** **Var. 6** **Var. 7** **Var. 8**
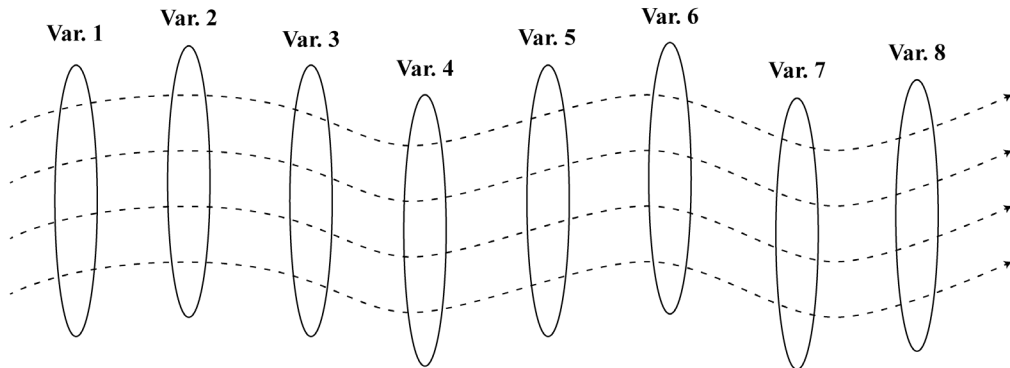
Disjunctive Synthesis: *distribution*

Period		Contrasting Middle	Recapitulation
Antecedent	*Consequent*		
(HC)	(III:PAC)	(HC)	(PAC)

Connective Synthesis: *association*

M1

M2

M3

M4
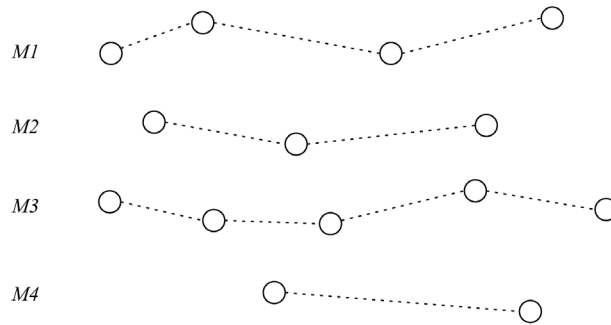
Example 53. The three machinic syntheses in relation to the variation form.

deems one particular way of organization as normative, and all constituent machines need to comply with this pre-ordained structure. As a result of this dominative regime, all desires are stifled, and creation ceases. What Deleuze and Guattari aim at in their two books of *Capitalism and Schizophrenia* is to overturn this despotic regime that asserts any transcendent notion of being, in turn allowing the creative forces of desires to continue to produce novel and interesting machinic formations over the body (the nonconformist, schizophrenic, or nomadic mode).

The constant tension between the connective synthesis (the desire for the Mother, the incessant creative impulses of the libido, or the infinite proliferation of machines) and disjunctive synthesis (the No of the Father, the selective inscription over the body without organs, or the distribution of the factors of production) calls for a reconciliation that gives rise to the formation of the subject, a process referred to by Deleuze and Guattari as the conjunctive synthesis. This reconciliation is achieved by taking into account both the body without organs and the desiring-machines while rendering the whole disjunctive complex as a field of intensity over that body. As opposed to the Freudian psychoanalytic practice of resolving any repressed desires that involuntarily disturb from time to time the operation of the conscious (ego), the tension between the connective synthesis of the libido (the productive urge of desires) and the disjunctive synthesis of the Numen (the anti-productive tendency of the body without organs) is retained in a constant tug of war, resulting in an intensive field on the body on which both the molecular elements and molar machines are always in flux. Elements in an intensive field are like points on a Cartesian plane with their respective differentials, dy/dx over the point (x, y). Hence everything in the field is always in a state of becoming, like a point moving through space defined by its differential vector. The body without organs in the third synthesis ceases to be a coupling of machines over the plane of consistency of the body without organs, but now this "organ-ized" body is considered

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as an intensive field that is able to transform and actualize itself through time. I find it conducive to think of this field of intensity of the body as a kaleidoscope, through which different patterns of lights and colors are continually transfigured within the scope of view. The analog that Deleuze and Guattari use is the egg:

> The body without organs is an egg: it is crisscrossed with axes and thresholds, with latitudes and longitudes and geodesic lines, traversed by gradients marking the transitions and the becomings, the destinations of the subject developing along these particular vectors. […] Nothing but bands of intensity, potentials, thresholds, and gradients. (19)

The various metastable states that this "egg" manifests itself are the result of the opposition between the forces of attraction of the connective synthesis and the repulsive forces of the disjunctive synthesis, both of which renders the body into a field of intensity.[7] These states become the "identity" or "essence" of the subject that emerges alongside this body, garnering the surplus value that is produced by the desiring-machines. This subject is not located at the center of the body as if the entire desiring-machines is governed by a single source of power; instead, it is always created at the circumference as if traversing at infinite speed the boundary of the intensive field. As a product of desiring-machines that emerge immanently, from molecular to molar, over the body without organs, this subject has no fixed identity, which is always unstable and in flux. Even we can speak of the subject possessing its identity as if it owns the entire body and the desiring-machines over it, this identity is always under erasure, inasmuch as the

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7. Deleuze and Guattari, *Anti-Oedipus*, 19; "the opposition of the forces of attraction and repulsion produces an open series of intensive elements, all of them positive, that are never an expression of the final equilibrium of a system, but consists, rather, of an unlimited number of stationary, metastable states through which a subject passes."

intensive field is always subject to the process of becoming.[8]

The conjunctive synthesis is not a regulative process in which irrational and unwarranted desires get resolved in order for the conscious ego to attain a stable balance with the unconscious libido; instead, Deleuze and Guattari affirm this third synthesis as a creative force that makes the emergence of the subject possible. (We can see that they do not reject the self and regard it as an illusion along the lines of certain Buddhist thinking; the subject is affirmed as a product of the desiring-production but is always contingent upon the underlying syntheses that are continually in flux.) Hence the distinction between the self and the subject: the self is the metastable state in which the body actualized itself; it results from the configuration of various machines over the body that renders it in its present state. The subject, in contrast, is defined by the whole of the intensive body that persists through various states of transformation; becoming is the eidos of this body. Hence the self endures a series of deaths and rebirths, while the subject brings this multiplicity of selves into a continuous series of becoming.[9] On the one hand, viewing from the perspective of the self, the identity of the self seems to wander around the field when the body is continually evolving and transfiguring itself given its internal intensity, and this identity vacillates from one center to another such that the self is always non-identical to its former self a moment ago. This self in this process of continual becoming is subject to both the centrifugal forces of decentering and the

8. Deleuze and Guattari, *Anti-Oedipus*, 16; "the production of consumption is produced in and through the production of recording. This is because something on the order of a subject can be discerned on the recording surface. It is a strange subject, however, with no fixed identity, wandering about over the body without organs, but always remaining peripheral to the desiring-machines, being defined by the share of the product it takes for itself, garnering here, there, and everywhere a reward in the form of a becoming or an avatar, being born of the states that it consumes and being reborn with each new state."

9. Deleuze and Guattari, *Anti-Oedipus*, 20; "the proportions of attraction and repulsion on the body without organs produce, starting from zero, a series of states in the celibate machine; and the subject is born of each state in the series, is continually reborn of the following states that determines him at a given moment, consuming-consummating all these states that cause him to be born and reborn."

centripetal force of recentering, a trajectory that shares a remarkable conceptual affinity to that of the refrain elucidated in their later collaborative work, *A Thousand Plateaus*.[10] On the other hand, viewing from the perspective of the subject that occupies at the circumference of the intensive field, which changes intrinsically and qualitatively through time, this subject exists as a residual (or a side-product) from the desiring-machines. Its "essence" is contingent upon the intrinsic machinic assemblage and hence is fortuitous rather than pre-ordained, materialistic rather than transcendent. Deleuze and Guattari here reinterpret Descartes's "cogito, ergo sum" (or in French, "je pense donc je suis") in a diametrically opposite way: for Descartes, the "donc" that connects "je pense" and "je suis" implies a logical deductive relationship, where the former is the evidence (in a phenomenological way) that proofs the existence of the latter (i.e. in order for thinking to exist, I have to exist as the ontological foundation of that activity). Deleuze and Guattari reinterpret the "donc" as a connective of causality, where "je pense" is considered the cause or condition for the existence of the self ("je suis"). This reversal of the ontological relationship between thinking and self is recast in their ontological precedence of the connective synthesis of desire (the passive synthesis of the unconscious) over the disjunctive synthesis on the body without organs (the active selective process of machinic arrangements) and the emergence of the subject as a residual in the conjunctive synthesis. As a result of this difference, Descartes deems the self as a transcendent existence (together with God's existence) upon which everything is predicated, while Deleuze and

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10. Deleuze and Guattari, *Anti-Oedipus*, 20–21. "The centrifugal forces do no flee the center forever, but approach it once again, only to retreat from it yet again: such is the nature of the violent oscillations that overwhelm an individual so long as he seeks only his own center and is incapable of seeing the circle of which he himself is a part; for it these oscillations overwhelm him, it is because each one of them corresponds to an individual other than the one he believes himself to be, from the point of view of the unlocatable center. As a result, an identity is essentially fortuitous, and a series of individualities must be undergone by each of these oscillations, so that as a consequence the fortuitousness of this or that particular individuality will render all of them necessary." (quoted from Pierre Klossowski, *Nietzsche et le cercle vicieux*)

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Guattari resort to a materialist psychological view of the subject, which hovers over a more fundamental field of intensity in which different desiring-machines get actualized. To summarize the discussion above, the three syntheses of the machine are nested processes, where the second synthesis incorporates the first and the third embodies both the first and the second.[11] Not only do mental beings (the "I") and physical beings are all machinic assemblages, the mental machines (as desiring-production) are also grounded on the immanence of the material universe and subsequently give rise to the social production that in turn transforms the physical world. Hence Deleuze and Guattari's ontological view with respect to the machine bears witness to the influence of Bergson's and Merleau-Ponty's idea of the body as mediation (or an interface) between the mental and the physical.[12]

The form of variations can be likewise interpreted as a machinic assemblage in its three stages of syntheses. The theme is a confluence of multiple contrapuntal lines—the funeral-march melody, the majestic bass line, and any other inner-voice movements. These lines are like multiple streams of melodic flows, each of which traces a line through the sonic (or pitch) space. A potpourri mixture of randomly generated melodic flows can hardly be regarded as a proper theme for variations, or even as a theme in itself. What it needs is a sense of consistency that gives it a territory, some elements that keep returning in various guises in the form of a refrain (the idea of the refrain has been discussed in Chapter 3). These recurring elements may appear in the form of meter (an alteration of strong and weak beats), rhythm (the multiple occurrences of the dotted rhythm), and harmony (the opening tonic chord in three of the four phrases). In the *Étude symphoniques*, Schumann seems to rely on motifs and their variants to engender a kind

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11. The nested structure of the three synthesis bears witness to Saussure's tripartition of signs, where a sign in a higher level encompasses all of its lower-level signs within its semantic constitution.

12. See Henri Bergson, *Matter and Memory* (New York: Zone Books, 1988); and Maurice Merleau-Ponty, *Phenomenology of Perception*, tran. Donald A. Landes (Abingdon, Oxon: Routledge, 2012).

of refrain within the theme (as well as across variations). A motif is already a machinic assemblage (at a more fundamental level) created via the operation of the refrain—its multiple recurrences, exact or transformed, in the continuous unfolding of the melody. (For Deleuze and Guattari, the molecular-to-molar double articulation, or the "double bind" of machinic assemblages, can operate recursively where the molar aggregate of one stratum becomes the molecular elements for a higher-level stratum.) The motif draws its material content from the chaosmos of molecular elements (various pitches and rhythms), which are subject to the flows of the melodic lines and attains the quality of consistency through the refrain repetition. The relation between a motif and its repetition (at a different temporal/formal location), and the refrain of motivic recurrences interacting with another, results in what Deleuze calls a "binary-linear series": *binary* because each of these relations always involves two and only two elements, and *linear* because the two constituent elements have equal importance (i.e. not arranged in a hierarchical manner).[13] Here we can consider the four primary motifs to be the molecular substrates for the territorialization of the theme. These motifs are related linearly (along the flows of the melodies) and contrapuntally (as interactions among the flows). The binary-linear relations give rise to a network of motivic correlations and transformations, generating (from the bottom-up) the dynamic structure of the theme. This is the first germinating stage of the machine—the connective synthesis. The machine cuts in the melodic flows (*coupures-prélèvements*) and extracts certain motifs as its molecular content. The theme bears witness to this connective structure given by motivic recurrence, and consequently generates flows at a different level—motivic flows in the manner of their transformation, imbrication, recombination, and liquidation. In other words, the machine from the first synthesis cuts into the melodic flows (the first-level flows), brings out various motivic

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13. Deleuze and Guattari, *Anti-Oedipus*, 5.

entities, and generates a different kind of flows out of this synthesis—the flows of motifs as various serial lines of becoming (the second-level flows).[14] Every variant of the motif (or every repetition) has the potential to divert the flows to a different direction, or even create a new trajectory of flow (much akin to Hatten's idea of "style growth"). The resultant flows are then taken up by their subsequent variations (this continuity of flows is a consequence of the conjunctive synthesis). This connective synthesis is therefore dynamic and productive, via which the machine inserts itself into the immanent flows and produces other flows as its product. The machinic assemblage resulting from the connective synthesis is multiple and heterogenous (as opposed to unified and homogenous); it is amenable to changes and alterations since its coming-into-being is contingent upon the underlying flows and ad hoc movements. The motivic machines that my previous analysis highlights a connective structure of interrelationships between motivic instances within the theme that is always in flux and at times in need of reinterpretation. New machines can also be devised in addition to the four that I mentioned, continually creating and producing novel machinic assemblages. This plastic structure of motivic associations, when framed into a Kantian way, is itself an analytic *a posteriori* judgment: *analytic* because the relations based on mutual similarity is intrinsic to the intervallic characteristics of the motifs themselves, and *a posteriori* because the resultant serial-network structure only attains its form when the motifs and their repetitions appear in a particular order and configuration in the piece. The machines created in the first synthesis, putting in Deleuzian terms, is, therefore, both *transcendental* and *immanent*—they are machines of the phenomena (empirical mental images) that are closest to the noumena (things-in-themselves); or putting it in another way, the connective machines are a product of our pre-existent mental faculty (*transcendental*)

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14. The coexistence of multiple flows resonates in a certain degree with Mikhail Bakhtin's idea of *heteroglossia*, which refers to the presence of multiple languages (or tones) operative within a text.

but is simultaneously conditioned by the actual sonic events in the material world (*immanent*), but never be considered as forms that are transcendent or ideal. These machines produce the Real, which "is the end product, the result of the passive syntheses of desire as the auto-production of the unconscious."[15] This transcendental structure created by our perceptual faculty is schizophrenic in nature, as opposed to the Kantian perspective of the transcendental, which produces perceptual and conceptual structures that are universal and absolute. According to Deleuze and Guattari, this transcendental structure made up of machines constitutes the functioning of our unconscious mind and is operative at the most fundamental level for the apprehension of any assemblage of multiplicity. It needs to be pointed out that the two authors do not regard the schizo (the pathological state of schizophrenia) as the ideal or proper functioning of a person. Their claim is rather that schizophrenic processes lay at the basis of our transcendental faculty that is situated in the unconscious, a passive synthesis that is productive through and through. The proper functioning of a person requires a self (from disjunctive synthesis) and a subject (from conjunctive synthesis) as balancing forces or reconciliation between these forces. If no further synthesis is superposed onto the primary connective synthesis of the unconscious, the psyche will be in a state of delirium and the theme will only be a hodgepodge of incongruous melodies and motifs.

These flows of motifs, as they emerge from one variation to the next, begin to circumscribe a boundary that defines the *socius* of the work as a whole—a *Body without Organs*.[16] Here I deem this body without organs in music to be the frame of silence that surrounds a certain span of passage, within which the music comes into being.[17]

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15. Deleuze and Guattari, *Anti-Oedipus*, 26.

16. Deleuze and Guattari, *Anti-Oedipus*, 9.

17. The idea of the frame in an artwork, informed by the philosophical concepts of Derrida, is explored in Richard Littlefield, "The Silence of the Frames," in *Music Theory Online*, 2/1 (1996).

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The existence of this frame of silence is uncannily paradoxical: one the one hand, it ontologically preexists the theme, in the way that sound comes out of, or intrudes upon, silence; on the other hand, we only perceive this silence as a frame that delimits the beginning and ending of a passage after we perceive the beginning and ending of the sounding passage, hence it is phenomenologically and epistemologically posterior to, or contingent on, the audible events. The body without organs, as Deleuze and Guattari elaborated upon this term from Antonin Artaud, emerges from the connective synthesis as a by-product, as a zone of intensity where multiple elements are brought together via associations; this body is then revealed to be a field of zero intensity that lies on the plane of immanence. This body without organs has no internal organization and repels any organizations that are placed on it; hence this body, as anti-production, is the antithesis of the productive urge of the desiring-machines, corresponding to Freud's idea of the death drive, a tendency of the psyche to shrug off the connective chains of machines and returns the body to its neutral state of non-production. This body is non-productive, but it acts in opposition to the unbridled connective synthesis that seeks to connect machines and flows *ad infinitum*.

The silence of the body is not a negative existence; it comes into existence when the unrestricted flows, in connecting one machine after another to form a potentially infinite flow, eventually reach a limit—a boundary, a physical constraint given by the earth, the body, the territory, or capital. The frame of the work is this body; it instates itself around the work itself, defining its beginning and ending as its physical limit. The body of silence, a negative determination by definition, gradually turns itself into a positive term when it falls back upon the machinic production in the connective synthesis of flows, as if it presupposes the former *a priori* as its precondition. The body begins to take up the image of a body, which appropriates the production lines of the motifs within

its domain. In Deleuze's words, the body without organs is a "miraculating-machine,"[18] which "serves as a surface for the recording of the entire process of production of desire, so that desiring-machines seem to emanate from it in the apparent objective movement that establishes a relationship between the machines and the body without organs."[19] The body turns the *socius* into a *territory*, with a well-defined boundary separating the surrounding context from the internal composition; and within this body, productions get inscribed upon it, so that now it seems like the body *distributes* these productive forces within itself in a *disjunctive* synthesis of "either … or … or."[20] The body attracts and miraculates the flows in such a way that they now seem to be emanated from the body itself, occupying parts of the body.

The theme is likewise framed by silence—one before the beginning and one after the end. The durational span delimited by these two silences is occupied by the "body" of musical sounds, which possesses a formal boundary. This continual flows of melodic lines and motivic recurrences are now captured by this body of duration, absorbing everything into its domain as parts within the whole. The continual *becoming* of flows is now coagulated into various *beings* of musical entities—as distinct motives, rhythmic patterns, and phrase groupings. If the connective synthesis is a production of new flows, then the disjunctive synthesis is a snapshot, or a slice, of those flows. Just as the body of the formal frame comes into being, its internal materials occupy certain coordinates within this body. The frame of the work *distributes* the individual variations into their distinct formal location, as organs within the body, in the manner of the disjunctive synthesis of "either ... or ... or" (being the first, the second, or the third among the twelve, for example). The body possesses an organization from these coordinated machines,

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18. Deleuze and Guattari, *Anti-Oedipus*, 11.

19. Deleuze and Guattari, *Anti-Oedipus*, 11.

20. Deleuze and Guattari, *Anti-Oedipus*, 12.

and the body *without* organs (the durational frame of silence) is replaced by a body *with* organs. The smooth space of free association from the first synthesis is transformed into the striated space of the rounded binary (or small ternary), which is compartmentalized into various phrases and formal groups: at the broadest level, the theme displays a symmetrical design of two 8-measure groups, the first part an exposition of a parallel period (4-measure antecedent followed by 4-measure consequent phrase) and the second part composed of a 4-measure contrasting middle and 4-measure recapitulation; and each of the 4-measure phrases is articulated by a cadence of variable strength (HC, PAC in III, or PAC in I). This structural frame acts as a plane of "recording," on which the musical entities have their particular place within this body. The encapsulation of the motivic flows by the body gives rise to the "being" of the theme—a self-contained entity that is segregated and distinct from its surrounding milieus. Yet, as Deleuze and Guattari point out, as flows are arrested by the imposition of this structural organization, tension exists between the connective synthesis (where motifs are free to associate with one another) and the disjunctive synthesis (where everything is pre-determined and pre-ordained); in other words, dynamic becoming and static being come into conflict. Phenomenologically speaking, the theme is felt to be too static and rigid; it has been ossified into a Leibnitzian monad that is resistant to any change or creative growth, or the One that Parmenides claims as universal existence.

The connective synthesis of desiring-production is a urethral machine that produces flows (of urine and sperm), and the body without organs is an anal machine that draws off and absorbs those flows (a black hole). The coupling of these two machines produces an "egg":

The body without organs is an egg: it is crisscrossed with axes and thresholds, with latitudes and longitudes and geodesic lines, traversed by gradients marking the

transitions and the becomings, the destinations of the subject developing along these particular vectors. […] Nothing but bands of intensity, potentials, thresholds, and gradients. (19)

This body is qualitatively different from the body without organs in the second synthesis. This is not a plane of zero intensity, but rather an intensive field created by the tension between the previous two syntheses. This intensity is produced by the conjunction of the previous two syntheses, between the productive urge of the desiring-machines and the anti-productive tendency of the body without organs. This "attraction and repulsion produce intense nervous states that fill up the body without organs to varying degrees."[21] It is comparable to a fertilized egg, possessing the potential for progressive growth and development. This egg is therefore a body capable of autogenesis and self-procreation; it has the *puissance* to differentiate its internal substance into various cells and organs; its entire body can rejuvenate through cycles of death and rebirth—this is a body in the process of becoming. We can think of the variations as different instantiations of this body undergoing a succession of repetitions, whereby the entire intensive field returns in its entirely, while each repetition expresses a different quality depending on the selection of machines and their configuration over it. This intensive field is referred to by Deleuze as the *virtual*, which can be *actualized* in myriad ways through the process of repetition. Each actualization is also a particular *individuation* of the body, whereby the body possesses its own expressive qualities or "essence."

Something is created on the periphery of this body as a residual of the machinic production—a subject. This is the consummation of the productive flows under the third type of synthesis—the conjunctive synthesis "so it's …".[22] This subject

21. Deleuze and Guattari, Anti-Oedipus, 19
22. Deleuze and Guattari, *Anti-Oedipus*, 16–7.

arises from the surplus-value in the combination of production and the body, in such a way that something extra emerges that is not identical to the body or the subsistent flows. During this process of conjunctive synthesis over the intensive body, where the tension between productive flows and the body is apprehended as a whole, the product of this machinic assemblage (i.e. its emergent properties) is "consumed" by a peculiar subject that is situated alongside this body—an "I" such as in the statement "I think" or "I feel." This *subject* is a "celibate machine"[23] that is born out of the "a conjunctive synthesis of consummation in the form of a wonderstruck 'So that's what it was!'"[24] As a creation alongside the body, this subject is forever "on the periphery, with no fixed identity, forever decentered, defined by the states through which it passes."[25] It "sees" the flows within the body and consummates them as part of itself, acting as an overseer who monitors the operation of the machines within the body. This subject has no fixed identity, itself always unstable and fluid, moving between different metastable states in relation to the machines that get actualized and recombined over the body. This fortuitousness of the subject and the proliferation of identities are the fundamental conditions of our psychic life and the *beings* of real-world phenomena. The subject is not synonymous with the center, which is an illusory point that is forever beyond its reach; instead, a subject is inherently schizophrenic in its genesis, a "schizophrenic experience of intensive quantities in their pure state, to a point that is almost unbearable,"[26] and one who fails to establish healthy coordination amid the oscillating states will fall prey to the mental states of delirium and hallucination.[27]

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23. Deleuze and Guattari, *Anti-Oedipus*, 17.

24. Deleuze and Guattari, *Anti-Oedipus*, 17.

25. Deleuze and Guattari, *Anti-Oedipus*, 20.

26. Deleuze and Guattari, *Anti-Oedipus*, 18–9.

27. Deleuze and Guattari, *Anti-Oedipus*, 18–9.

Intermezzo 2

If the theme at the beginning is the body (coupled with various melodic and motivic machines) in its initial state, then the subsequent variations are likened to repeated returns of that body in various states, each of which bears witness to the transformations of the machinic assemblage in various dispositions. The theme returns in each variation, yet it is not what is present in the opening theme that returns (as something that is actualized in the present), but *as a return of the entire virtual field of intensity within the body without organs*. Ontologically speaking, during the process of repetition, differences (tension and differentials within the virtual field) become primary whereas identities (sonic entities and their formal configurations) are secondary. As a consequence, the new is already latent within the virtual, as something that has not been actualized in the present (as a presence). Each variation is then an *event* that allows for different machines (motifs, melodies, rhythms, etc.) to be actualized from the virtual field.[28] Deleuze's unique perspective of repetition is informed by Nietzsche's hypothetical formulation of "eternal recurrence," an inevitable return of the same when viewed from a cosmic scale. For Deleuze, the return of identities is not the whole picture; there exists in its basis a virtual field of intensity that generates and produces not only those existing identities but also something new and remarkable in each of its later repetitions. The virtual field, and the intensive body without organs, is the source of creativity and life, the plane of immanent becoming.

The theme returns in each variation not as a reappearance of identity but as a return of the entire field of differences embodied within the egg. In each variation, the body without organs—the theme in its virtuality—is delineated by machines that are composed (in the immanent becoming from molecular to molar) in multifarious manners,

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28. Deleuze, in his earlier work *Difference and Repetition*, illustrates this notion of actualization with recourse to differential calculus: the virtual is likened to a field of vectors of differentials (dy/dx), from which a continuous function can be derived by the technique of integration.

and its surface, as a consequence, displays a different organizational pattern or formal structure. The difference between variations, which Deleuze called "difference in itself," is an affirmation of the *being* of each variation, inasmuch as it affirms the ontologically fundamental aspect of the differentials on the plane of immanence (as well as within the body without organs). Putting it another way, the alterations across variations are not deemed to be appended to the being of the theme (in the commonsensical way that "things change"—first the thing exists, then it undergoes changes); Deleuze invites us to look at those changes occurring during the variational process as originating from an *a priori* field of pure differences, and this field actualizes itself in different manners through time, resulting from the connective synthesis of the libido-machines (a confluence of desires) and the disjunctive synthesis with the body (primary repression of those desires). Repetition, in the form of variations, is *becoming* consolidated (or crystalized) into various *beings*; dynamic flows are coagulated into bodies of intensity, similar to a dam blocking off the flow of a river and forming a reservoir. This subterranean becoming (*devenir*) is not empirically observable; it is instead a metaphysical ground that we project onto the experience of change as its ontological basis—what happens in the virtual is a dice-throw, a guess (*deviner*). This virtual field of difference, permeated by continuous flows and desires (*désirer*), is sketched out (*dessiner*) by the stratifications and territorializations that are actualized therein into zones of intensity. Each variation participates within these subterranean flows and captures them into the body of the formal frame. Each is an event in which something new is created over a virtual field that persists. Hence the lines of becoming of the motifs as discussed in the previous chapter are not superimposed over the succession of variations; instead, they reside within the cosmic flows of pure differences produced by the connective machines from the first (bottom-up) synthesis. Variations are not only Hamletian, vacillating between being and not-being, but also Oedipal: the becoming of human individuals that is symbolized by
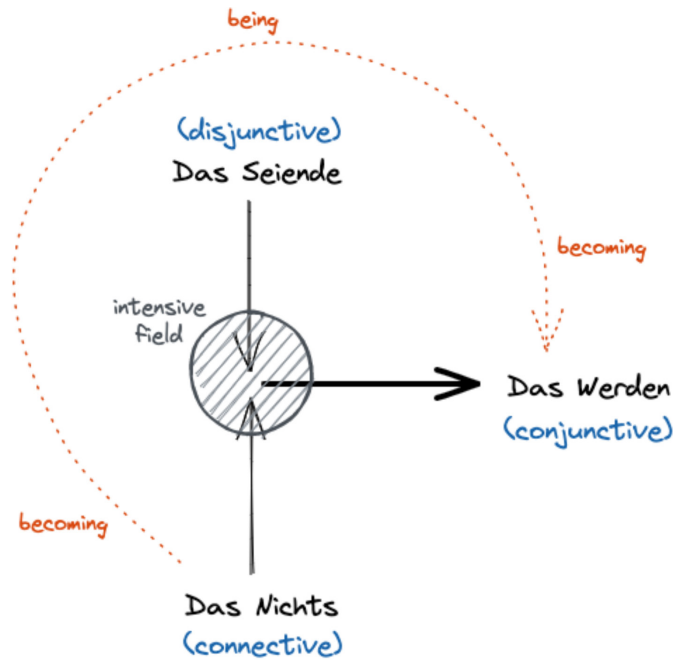
Example 54. The becoming of subject from the three machinic syntheses.

the riddle of the Sphinx. The three syntheses of the machines can be crudely summarized as a circuit: the coming-into-being of the connective synthesis (the first articulation of content), the articulation of formal structure in the disjunctive synthesis (the second articulation of expression), and becoming-other or becoming-nothing of the subject from the conjunctive synthesis (deterritorialization, reterritorialization, and absolute deterritorialization). Variations bear witness to all of these three syntheses, and the intrinsic multiplicity is pervaded by a subject (something akin to a *Seele* or a *Geist*) that subsists throughout the repetitions. This subject is always susceptible to dissolution and self-annihilation if the variations deviate from the theme too far and lose any sense of continuity from one variation to the next. As a residual emerging from the recurring (and varied) returns of the theme with various machinic combinations, this subject is therefore schizophrenic in character, manifesting different "selves" in each reiteration, while each

of these selves is composed of various "passive selves" (as larval beings) evolving out of the passive synthesis of the associative machinic assemblages.

Part 3

1843: *Adagio and Variations*, WoO 10

Chapter 7 Present/Presence

Ex nihilo

"The sound block is the intermezzo. It is a body without organs, an antimemory pervading musical organization, and is all the more sonorous"[1]—here Deleuze has Schumann's music in mind when explicating the "be-between" and "pass-between"[2] of the *intermezzo*, a character that is part and parcel of the rhizomatic structure, an "interbeing" which "is always in the middle, between things."[3] Deleuze continues his explication: "The Schumannian body does not stay in place. […] The intermezzo [is] consubstantial with the entire Schumannian oeuvre. […] At the limit, there are only intermezzi. […] The Schumannian body knows only bifurcations; it does not construct itself, it keeps diverging according to an accumulation of interludes."[4] Music comes into being from silence, and eventually recedes into nothingness. The intermezzo is a block of time, a duration, that is derived, delineated, and extracted from the continuous unfolding of time itself, the Chronos. The sound block imposes a boundary that circumscribes this duration of time, a body without organs that is coterminous with the span of the work. This duration becomes the backdrop against which sounds emerge and manifest

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1. Gilles Deleuze and Félix Guattari, *A Thousand Plateaus: Capitalism and Schizophrenia*, trans. Brian Massumi (Minneapolis: University of Minnesota Press, 1987), 297.

2. Deleuze and Guattari, *A Thousand Plateaus*, 277. "The only way to get outside the dualisms is to be between, to pass between, the intermezzo."

3. Deleuze and Guattari, *A Thousand Plateaus*, 25. "A rhizome has no beginning or end; it is always in the middle, between things, interbeing, intermezzo. The tree is filiation, but the rhizome is alliance, uniquely alliance. The tree imposes the verb "to be," but the fabric of the rhizome is the conjunction, "and… and… and….""

4. Deleuze and Guattari, *A Thousand Plateaus*, 297.

themselves, like foam arising from the ocean of water. Just as foam is ephemeral

and transient in its being, so is the sound block of the intermezzo—it surfaces out of

consciousness and memory, and returns to the plane of immanence when it ends. It

forever oscillates between the absolute universality of being and the absolute consistency

of nothingness, forever mediating between the two as an interbeing. The work is always

open to the outside; beyond the frame of the work there exists a horizon that is inaudible

yet present in the imagination of the listener, hidden behind the veil of silence. Within the

fragile monad of time, everything is brittle—it is subject to discontinuities, bifurcations,

forks and turns, divergences and digressions, interpolations and interjections, breaking

itself up into smaller and smaller fragments. The intermezzo is brought into being by a

seed that forms the ever-growing rhizome, while at the same time leaving its core and

branching out into remote spaces, diverging and bifurcating as many fragments of space.

The intermezzo individuates into interludes, just as waves broken up into smaller waves,

folds wrapped within folds. It is a fragment of fragments, localized in "a little work of art,

complete in itself and separated from the rest of the universe like a hedgehog."[5]

Such is the case of Schumann's *Andante and Variations*, Op. 46, originally written

for two pianos, two cellos, and horn, which was later revised and arranged for two

pianos, under the suggestion of Mendelssohn, and published as the "definitive version"

in 1834. Compared with Schumann's other variations composed earlier, this piece lacks

the virtuosic display that figures prominently in Schumann's early piano compositions,

each a technical *tour de force* that renders the listener "torn away without being able

to come to his senses," a sensation "of being thrown into a sea of tones whose waves

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5. Friedrich Schlegel; quoted in Charles Rosen, *Romantic Generation* (Cambridge, Mass.: Harvard University Press, 1998), 48.

break."[6] Even if this piece may pose certain technical demands to the performers, they nevertheless serve a more covert expressive purpose rather than an outward display of virtuosity for the sake of instilling awe and excitement in the audience. The work also differs from the bombastic vibrancy of his contemporaneous chamber works, such as his more well-received Piano Quintet in E-flat major, Op. 44, and his three string quartets, Op. 41, no. 1–3. Compared to these earlier "Florestan" chamber works, the Andante, in general, is more in the character of "Eusebius," especially in the way that the piece begins and ends in a subdued dynamic level as opposed to the forceful entry of the entire ensemble evident in the piano quintet. The obscurity surrounding the reception of the work nonetheless, Vincent d'Indy held great regard towards this piece, asserting that "Schumann showed in two compositions of this [variation] form the inexhaustible resourcefulness of his genius: an Andante and Variations, in B flat, for two pianos, Op. 46, and above all the admirable *Étude en forme de Variations*, in C♯, Op. 13."[7] Ehrhardt claims that this work bears witness to "an important structural overhaul"[8] to the variation form hitherto uncharted. As opposed to his approach to analyzing the "structure" of the work as a chronological succession of variations, I intend to show that this piece reveals a crystal of time, a rhizomatic interconnected assemblage of discontinuous fragmented times that are coagulated and crystalized in the body of the work, an intermezzo that is always in the process of forming and becoming. The "seed" of this crystal does not reveal itself until halfway through the piece—the appearance of the opening motif from his *Frauenliebe und Leben*, Op. 42. I will, in the following analysis, examine the original

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6. Wilhelm Joseph von Wasielewski, *Robert Schumann: Eine Biographie*, p. 154; quoted in Stefaniak, "Robert Schumann, Serious Virtuosity, and the Rhetoric of the Sublime," in *The Journal of Musicology* 33/4 (2016), 435.

7. Vincent d'Indy, *Cours de composition musicale*, p. 113; quoted in Ehrhardt, *La variation chez Robert Schumann* (translation mine).

8. Ehrhardt, *La variation chez Robert Schumann,* 187.

Example 55. Introduction of Andante and Variations, Op. 46.

version of the work, one that is scored for two pianos, two cellos, and horn, unpublished during Schumann's lifetime and later published posthumously in 1894 as WoO 10. This version of the piece, on the one hand, reflected Schumann's original impetus and originality in the piece's genesis, and, on the other hand, bears witness to Schumann's imaginative play with temporality and his innovative approach to the variation form that was largely expunged by the composer himself during his revision for the two-piano version.

The Andante commences *in medias res* as if coming into being out of the surrounding silence. It begins with a closing gesture, a progression that is suggestive of a half cadence—an initial tonic in first inversion (I^6), a pre-dominant harmony (IV), and a

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dominant (V) in root position.[9] Schenker calls this succession of harmonies an "auxiliary cadence" (*Hilfskadenz*), which omits a root-position tonic at the beginning. He describes in his *Harmonielehre* the inversional logic of this kind of harmonic progression, likening it to an analogous inversional structure in language:

> An analog can be found in the sphere of language. The sentence "Father rode his horse through the woods" makes a different impression from the other possible versions of that same sentence: "His horse rode father through the woods," or "Through the woods father rode his horse."[10]

A suspension is occasioned by the delay of the subject, "father," in the two sample sentences. This postponement of the subject is comparable to the omission of the initial root-position tonic *Stufe* at the beginning of a progression. The appearance of the subject or the tonic later in the progression "finally resolves the tension," in such a way that the question regarding what the subject of the sentence is ("Who rode his horse?" friend? foe? stranger? Acquaintance?)[11] is eventually answered. The auxiliary cadence likewise creates a sense of expectancy as that of an inverted sentence. According to Burstein, Schenker conceives of the initial I6 not representative of the tonic *Stufe*, but a variant of the III chord; as such the first-inversion tonic at the start of the Andante eludes the firm

9. For more details about cadences and cadential progressions, see William Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music," in *Music Theory Spectrum* 40/1 (2018), 1–26. "Central to my definition of the classical cadence is the idea that it is supported by a specific type of harmonic progression (Ex. 1[a]), one that features an initial tonic (usually in first inversion), a pre-dominant harmony (typically II6, but sometimes IV), a penultimate dominant in root position (often embellished by the cadential six-four), and a final tonic, also in root position. Incomplete forms of this authentic cadential progression may sometimes eliminate either the initial tonic or pre-dominant (or both), but the dominant must always first appear in root position and remain as such. […] In the case of a half-cadential progression (Ex. 1[b]), the final harmony is an ultimate dominant, which must take the form of a consonant triad in root position." (p. 1)

10. Heinrich Schenker, *Harmony*, (Chicago: University of Chicago Press, 1960), 31.

11. Schenker, *Harmony*, 32

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establishment of the tonic *Stufe* and proceeds as an auxiliary cadence. Burstein even

claims that "according to Schenker this I⁶ functions in the manner of a pre-dominant;

it does not represent the tonic *Stufe.* "[12] The complete harmonic progression, beginning

and ending on the tonic *Stufe*, is a projection of the fundamental structure (*Ursatz*)

from the background to the middleground and foreground. Along a similar line of

thought, the incomplete harmonic progression, such as one that omits the initial tonic,

is an "incomplete transferences of forms of the fundamental structure" (*unvollständige*

Übertragungen der Ursatzformen).[13] Yet Schenker does not consider this incomplete

structure as inferior to a complete one, insofar as this is the work of an artist instead of

nature: "Nature had proposed only procreation and development, an infinite forward

motion. The artist, on the other hand […] has created an artistic counterpart to Nature's

proposition."[14] Similarly, Burstein describes the auxiliary cadence as a rhetorical

and dramatic device that "give[s] rise to a sense of surprise, unrest, momentum, and

ambiguity."[15] McKee, in his discussion of this musical phenomenon with respect to the

inner and *outer* forms of a work, treats the auxiliary cadence more of an incomplete

progression than an actual cadence, preferring to call it an "auxiliary progression"[16]

instead. The auxiliary progression can straddle between phrase and sectional boundaries,

such that the arrival of the tonic may coincide or even surpass the beginning of the

next formal unit. This gives rise to a conflict between the boundaries of the harmonic

12. Poundie Burstein, "Unraveling Schenker's Concept of the Auxiliary Cadence," in *Music Theory Spectrum* 27/2, 161.

13. Burstein, "Unraveling Schenker's Concept of the Auxiliary Cadence," 161.

14. Schenker, *Harmony*, 31.

15. Burstein, "Unraveling Schenker's Concept of the Auxiliary Cadence," 183.

16. Eric McKee, "Auxiliary Progressions as a Conflict between Tonal Structure and Phrase Structure," in *Music Theory Spectrum* 18/1 (1996), 62. "I use the term auxiliary progression in a more general sense, to include all Tonic-Predominant-Dominant-Tonic progressions (abbreviated T–P–D–T below) from which the first or first two functions are omitted."

progression (its *inner* form) and the phrase structure (its *outer* form), a formal play
that contributes to the multifaceted formal perspectives left open to the listener's
interpretations. McKee also differentiates between *modulatory* and *non-modulatory*
auxiliary progression, observing that the former usually conforms with the phrase
structure whereas the latter often goes against phrase and sectional boundaries.

An auxiliary progression evokes a sense of anticipation and suspension via the
delay of the root-position tonic. It is often employed as a prefix (*per* Caplin, a "framing"
functional unit that stays outside the bounds of the syntactic discourse) that is tagged
onto the proper beginning of the work, and it can occupy a few measures or the entire
duration of an extended introduction. The auxiliary progression here in the Andante is
more than just a progression; it is suggestive of an actual half cadence, as if bringing to
a close a prior inaudible musical discourse. This feeling of a proper cadence is attributed
to the cadential schema in the bass: the succession of scale degree 3-4-5 in an ascending
motion, followed by a leap down to the tonic. This particular succession of bass scale
degrees parallels the Galant schema of *Clausulae perfectissimae*,[17] employed to articulate
the end of a phrase. Different variants of this schema aside, the rising bass line coupling
with the cadential progression of T-S-D-T is highly evocative of a cadence, a formal
articulation that possesses an intrinsic "ending" functionality. The same can be found
at the opening of the Andante: the bass in mm. 1–2 outlines the ascending motion of ^3
to ^4 and ^5, reminiscent of the *clausulae* schema. One question remains: is this a half
cadence where the dominant is the final point of arrival? Or do we expect the arrival of
the final tonic after this dominant chord? Without treading into the contentious issue of
categorization and terminological determination, it suffices here to simply point out the
open-ended character of the terminating dominant—the end is nigh; the expected tonic

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17. Robert Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press, 2007),
    141.

does not signify a new beginning, but rather a point of termination for the prior auxiliary progression, as if the work experiences a premature death before it officially begins. This cadential gesture is repeated once more in mm. 3–6, now extended by prolonging the dominant for two measures longer. This dominant is different from the first in one crucial aspect: here the dominant chord acquires a seventh (E♭) and, slightly later, a flat-ninth (G♭). These two dissonant pitches are enunciated rather vehemently by the first cello and the horn respectively: the first cello emphasizes the chordal seventh and the horn adds above it the poignant chordal ninth. This accretion of G♭ is like a *punctum,*[18] piercing through the harmonic substance like a needle into the fresh, a plaintive cry of agony from a jab of pain, a psychic torment (*Seelenschmerz*) that resists being repressed. This G♭ exceeds the syntactical necessity of the cadence; instead, it becomes an excess, an expression, a sign of a pure affect. The first triadic dominant (m. 2) possesses a certain sense of repose, one that is able to stand as a stable sonority of arrival on its own (i.e. an ultimate dominant of a half cadence). On the contrary, the second dominant chord (V^9 in mm. 5–6) pricks, stings, and bites, piercing through the harmonious soundscape like a needle sticking out from a haystack. It is charged-up with dissonances and intensities,

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18. Roland Barthes, *Camera Lucida: Reflections on Photography*, ed. Geoff Dyer (New York: Hill and Wang, 2010). The *studium* refers to the field of knowledge that the viewer brings to bear on the meaning of the photograph (or an artwork in general); comprehending the studium is akin to learning ("The studium is a kind of education"), as if the artist is trying to say something to the viewer through the artwork; hence the studium best serves a documentary purpose (like in news photography), in which the meaning, of the intention of the artist, is thereby encoded and transmitted. In contrast, the *punctum* literally means something that pricks, impels, or wounds; it is something that lies beyond the field of linguistic meaning of the stadium ("no analysis would be of any use"), a detail within an artwork that "attracts or distresses" the viewer in such a powerfully manner that it induces a strong emotional and even visceral response; the punctum is a "blind field" where the unknown or the unfathomable is revealed through the symptomatic detail; hence it necessitates thinking and reflection from the viewer, which may ultimately "overwhelms the entirety of my reading" as a different reading is revealed through the punctum.

a highly concentrated and unstable forcefield that teeters on the verge of discharging.[19]

This unstable dominant-ninth chord, in Caplin's formulation, does not lend itself to a half

cadence, insofar as its dissonant chord tones desire the imminent resolution to the tonic. It

should be instead more appropriately considered as an incomplete authentic progression,

temporarily suspended on the dominant chord as if to luxuriate in the sensuous

dissonances embodied within that harmony. Compared with the former dominant in m.

2, here the dominant-ninth chord, prolonged by a *fermata* and *ritardando*, is endowed

with a heightened feeling of anticipation, as if hovering in midair in slow motion during

its projectile motion. This dominant also terminates on scale degree 2 in the first piano,

whose resolution to the tonic becomes more urgent and imminent.

The piece is put to an end even before it officially begins. The cadential

opening is a gesture of farewell to a past that lies beyond the body of the work itself

(i.e. in the empty time before the start of the piece) but resides in the virtuality that

can only be palpated through imagination. I would therefore choose to interpret this

opening introduction more as a retrospective backward glance than prospective forward

anticipation to the following variation theme proper. In Caplin's terminology, this opening

prelude bears witness to an interplay between *intrinsic formal functionality* (an ending

function of the cadential progression) and *contextual formal location* (here a beginning

or before the beginning). Hatten considers this form-functional juxtaposition as a kind of

thematic markedness, a type of "strategic markedness by the use of material presumably

inappropriate for the location" that makes use of the "interactions between locational and

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19. As per Harrison and Swindon, the dominant ninth possesses two opposing scale-degree functions, ^5 and ^7 belonging to the dominant, while ^4 and ^6 belonging to the subdominant. We can hence consider this dissonant harmony as a "schizo" formation, composing of two sets of opposite scale-degree charges. For more detail, see Daniel Harrison, *Harmonic Function in Chromatic Music: A Renewed Dualistic Theory and an Account of Its Precedents* (Chicago: University of Chicago Press, 1994) and Kevin Swindon, "When Functions Collide: Aspects of Plural Function in Chromatic Music," in *Music Theory Spectrum* 27/2 (2005): 249–82.

material functions."[20] It is a *strategic* rather than *stylistic* markedness because the conflict manifests itself by means of the relationship between two dimensions—the *material* function (its intrinsic formal functionality) and its *location* function (its contextual formal location). Hatten distinguishes three types of function for each: for material functions, there exists thematic, developmental/transitional, cadential/closural; location functions can be categorized into presentational section, developmental/transitional section, closing section/codetta.[21] In the situation of the Andante, we can observe a *troping* of the closing function from the cadential material within the thematic (*avant-thématic*) location. This gives rise to a marked musical situation, in which the formal character of beginning and ending is turned topsy-turvy. It is as if the piece emerges from the depth of the unconscious, surfacing out of the virtual only at the moment of its closure. This work is a farewell to, and a reflective rumination of, a begone time, like Heathcliff's grievous outburst "Come in! come in!" to the ghost of Catherine.[22] A pervasive sense of melancholy permeates the entire introduction, aggravated by the twofold appearances of the 9-8 suspensions (F-E♭ over IV; G-F over V) in the melodic line.[23] I would suggest, as opposed to the anticipatory tendency typical of an auxiliary progression, that this idiosyncratic opening symbolizes a loss of an absent root-position tonic at the beginning, a signifier with an *absent* signified (which is different from a signifier *without* a signified). The piece commences with a sudden realization of this loss, an awakening to the presence of a haunting past, like a veil that overshadows the consciousness of the protagonist.

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20. Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 1994), 120.

21. Hatten, *Musical Meaning in Beethoven*, 121.

22. Emily Brontë, *Wuthering Heights*.

23. This 9-8 suspension is reminiscent of the beginning of the first movement of the *Fantasie*, Op. 17, and the ending of its last movement, both of which highlight the 9-8 suspension (A-G) as an emphatic gesture of desire and longing (*Sehnsucht*).

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The unfolding of this piece is like unraveling of this past, layer by layer peeling off the sedimentation of time, and penetrating deeper and deeper into the substrata of memory.

The past leaves its trace in the form of a scar, and this scar is a sign of a past event. In the Andante the rocking neighboring motion, F-G-F in the top voice of mm. 1–2 and mm. 3–4, inconspicuous and innocuous at first glance, makes conspicuous this trace left behind by the past. The significance of this minute undulation in contour can hardly be discerned in the first hearing, as the neighbor-note G seems to be necessitated by the harmonic move to the subdominant (such that F ceases to be a chord tone anymore). This neighboring motif is the seed of a forthcoming crystal—a crystal of time (discussed in Chapter 4.6). It is a monad, a *point-fold*, in which the past, present, and future are *infolded* and *implicated* therein like a fractal. In a certain sense, the introduction is a disturbance on the calm surface of consciousness, sending out ripples across various expanses of space (both musical and perceptual) and time (both physical/objective and phenomenological/subjective). This piece comes into being not only in the middle (*in medias res*) between the two sides of time, i.e. the past and the future, it is also situated between the subliminal and the conscious, the virtual and the actual, the obscure and the limpid. "Let us not begin at the beginning,"[24] wrote Derrida in relation to the archive— the site where memory is preserved in reaction to the death drive from the inevitability of forgetting. This work by Schumann is likewise an archive of time, an excavation of memory, a commemoration of time's irreversibility. Hence the piece does not start at the very beginning, but commences as if everything has already passed; its opening is not a lift of the stage curtain, but a gradual dissolve from a screen of white light into various indistinct shapes and forms. An *intermezzo … an incipient *mise-en-scène … a coming-into-being of dreams … an inchoate assemblage of fragments …

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24. Jacques Derrida, *Archive Fever: A Freudian Impression*, tran. Eric Prenowitz (Chicago: University of Chicago Press, 1996), vii.

Chapter 7

Flows

The beginning of the theme is an end in itself, like the dénouement of a soliloquy. The first cello and the horn in mm. 4–6 emerge out of the texture, articulating, similar to Schoenbergean *Klangfarbenmelodie*, a melodic fragment (D-E♭-E♭-G♭) that hovers over the prolonged dominant-ninth chord (see **Example 56**). Their entrance seems at first to serve merely a harmonic purpose, appending a chordal seventh and ninth to the dominant. Yet a magical motivic linkage happens across the boundary—this melodic fragment (D-E♭-E♭-G♭) is taken up by the second piano (F-F♯-F♯-A), here transposed up a minor third, an anacrusis that leads into the onset of the following thematic statement. This subtle connection via motivic recurrence offers a subtle means of linkage across the sectional division, from the ending of the introduction to the beginning of the variation theme. This practice of reusing and transforming an ending into an opening gesture is commonly referred to as "linkage technique" (*Knüpftechnik*). The immediate (sometimes delayed) repetition of the motif ties together the ending of the introduction with the beginning of the theme, like a single thread knitting together two pieces of cloth, or a symbol leading us from one thought to another. The linkage technique also engenders a transformation of formal functionality associated with two instances of the motif: in the first instance, it functions as a *cadential* gesture that hints at the impending arrival of the concluding tonic; the repetition of the motif turns itself into an *initiating* gesture (an anacrusis or a brief lead-in), which opens up the possibility for a new formal space. The linked motif brings about a disorienting shift in formal functionality, in which the ending gesture "becomes"[1] an initiation. Schenker remarks that the recurrence of motives

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1. For discussion on the issue of formal becoming, see Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (New York: Oxford University Press, 2011).

Example 56. Linkage technique between the introduction and the variation theme.

may effectuate a "magical effect of association,"[2] particularly when it occurs across the phrasal or sectional boundary, as if the motif "radiates through the separation"[3] into the beginning of the next. This "magical effect of association" is potently effective in performance, a "motivic sleight-of-hand,"[4] as described by Smith, where the same gesture

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2. Heinrich Schenker, *Harmony*, (Chicago: University of Chicago Press, 1960), 7.

3. Schenker, *Harmony*, 8.

4. Peter Smith, "New Perspectives on Brahms's Linkage Technique," in *Intégral* 21 (2007), 109.

is placed in two different (harmonic and formal) contexts. The linkage technique creates a metamorphic effect, bringing into relief a musical unmarked fragment that is seemingly insignificant at first sight, and then placing it under a different light at the start of the following section, now thematized and spun out into a full-fledged musical statement, which brings about the effect of being born out of the remnant of the previous thought, as if repetition of motif possesses, as noted by Schenker, an inherent "procreative urge."[5] There are multiple ways, as observed by Smith in his examination of linkage technique in Brahms's music, that an associative motif can be structurally reinterpreted as it occurs in two different formal-functional locales, such as a reinterpretation of the motif's metrical placement where the motif gets realigned to coincide with the metrical downbeat as a means to articulate more emphatically the start of the new formal unit. Differences and contrasts in other musical parameters often go hand in hand with the motivic repetition of the linkage technique,[6] such that the linked motif sounds simultaneously the same and different—a feeling of strangeness in things ordinary and familiar (*das Unheimliche*). From a Schenkerian standpoint, the linkage technique provides another means of continuity in addition to the voice-leading unfolding (*Ausfaltung*) of the fundamental structure (*Ursatz*)—an "extra-prolongational continuity"[7] that makes use of motivic associations and repetitions.

The "magical effect" of linkage technique goes hand in hand with a form-functional paradox at the start of the variation theme, the opening (mm. 6–7) of which sounds more like an echo of the previous introduction—it dwells on the concluding motif

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5. Schenker, *Harmony*, 6. "Thus a series of tones becomes an individual in the world of music only by repeating itself in its own kind; and, as in nature in general, so music manifests a procreative urge, which initiates this process of repetition."

6. Smith, "New Perspective on Brahms's Linkage Technique," 110. "Such is the case with linkage, where the transformation of a gesture of conclusion into one of initiation often involves structural reinterpretation."

7. Smith, "New Perspective on Brahms's Linkage Technique," 116.

as its constituent elements and trails off into a phrase that sounds more *post-cadential* than presentational. The tonic harmony is unstable at the start, with the right hand still clinging onto the previous dominant-ninth chord like a residue; only until the second beat of the following measure (m. 8) does a root-position tonic triad arrive unequivocally for the first time. The tonic pedal is more of a *becoming*-tonic rather than *being*-tonic, as if an image comes into focus by gradually adjusting the lens. The separation between the introduction and the thematic entrance is obscured by the motivic and harmonic overlap, and as such the theme seems to be in the process of beginning, a "coming-into-being" of the theme, rather than a point of inception, a musical Big Bang, that inaugurates a new beginning. The overlapping of the two phrases is also abetted by the delayed resolution of the dissonances within the dominant-ninth chord: the chordal seventh (E♭) emphasized by the first cello, and the ninth (G♭) appended by the horn in mm. 5–6. The ninth (G♭), the *incidental* dissonance, resolves shortly afterward into F in m. 6 by the piano, as a kind of displaced resolution (it is worth noting that Schumann meticulously shortens the G♭ of the horn in m. 6 into a half note instead of a dotted half as in the rest of the ensemble, such that the note of resolution on the third beat, i.e. F in the second piano, does not clash with the previous dissonance). The seventh (E♭), the *essential* dissonance, is sustained in the inner voice across m. 7, which ultimately resolves down to D on the second beat of m. 8. This delayed resolution of the chordal seventh creates another dimension of "linkage" across the division, a voice-leading connection such that the dominant harmony seems to morph itself gradually into the subsequent tonic (a similar harmonic metamorphosis can also be found at the closure of the first movement of the *Fantasie*, Op. 17, where the penultimate dominant lingers over the cadential tonic arrival in the bass, resulting in a scintillating sonority of indecision and suspensiveness). The beginning of the main theme hence lacks the decisiveness of a typical thematic entrance, sounding instead like an extension of the former introduction section. If we listen to the introduction as suggestive

of a cadential idea (given its *clausulae* bass line) of the impending closure, then the start

of the variation theme is likened to a *post-cadential* extension, a rhetorical after-the-end

passage, that prolongs the arrival tonic.

Other features also contribute to the feeling of "after-the-end" of the variation

theme. Readily discernible is the motivic fixation on the "lingering thought" from the

end of the introduction. As indicated on the score, the four pitch-classes concluding the

introduction, D-E♭-G♭-F (perhaps a reference to the last movement of Mozart's "Jupiter"

Symphony), is repeated with a pitch elision F-F♯-A-G (mm. 6–7), then transposed down

to C-C♯-E-D (mm. 7–8), inverted into A-G-E-F (mm. 8–9), and transposed as D-C-A-B♭

(mm. 9–10). This motivic saturation is suggestive of a fixated thought, an *idée fixe* that

seeks to hold fast onto a perishable memory that is about to vanish. The beginning of

the theme is like an after-thought, a fragrance left behind by someone that has gone, a

postlude to an unheard piece of music. The harmonic progression of the theme is also

rather simplistic and highly circular, rocking back and forth between the dominant and

the tonic by way of a transient major supertonic. Its T-PD-D-T schema notwithstanding,

this progression is more *prolongational* than cadential, since it lacks the strong cadential

bass line as in the introduction. The melodic line traces an overall descending motion,

dipping down to the left-hand register before rising back up to the tonic (B♭) in m. 10,

bringing about a melodic closure that is left open by the earlier dominant-ninth chord.

All in all, this opening theme is untypical of an initiating idea for a set of variations, itself

effecting a character of closure and stasis. What this theme represents therefore is not the

beginning of a cycle, but more a retrospective or introspective reflection of an event in

the past, which can only be relived through the recollection of memory. The theme does

not portray the pompous entrance of a hero or the exuberant inauguration of an epic tale;

it is instead a quiet and nostalgic rumination, suggesting the end of a linear time and the

beginning of a vertical time[8] analogous to a temporal stasis, where time wraps around the present moment into a *point-fold*. Unlike thoughts that are developed, memories proceed by association, juxtaposing one with another in a haphazard manner, not subjugated under any predetermined organization principle. The Andante hence begins as an appendix, a commentary, a reflection of a lost time …

One pitch is of particular significance, which has a form-defining role to play in the later course of the work—the chordal ninth of the suspended dominant chord, the *punctum* pitch. As mentioned earlier, this G♭, as an incidental dissonance over the dominant, is briefly resolved by the F in the piano on the last beat of m. 6. Yet the dissonance is quickly restored by the second piano within the anacrustic lead-in, F-F♯-A. Here arises the magical moment created by Schumann—the chordal ninth, G♭, is enharmonically respelled as F♯. The downward tendency of G♭ becomes the upward tendency of F♯, the latter aiming to resolve on G, which is fulfilled on the second beat of m. 7 (via a reaching-over motion to A). Yet the pitch G is hardly a point of tonal stability: it is the diatonic ninth of the dominant, or the sixth of the tonic. As such the respelling of G♭ as F♯ suspends its implied resolution and diverts it towards the sixth scale degree, hence opening up the tonal space for thematic elaboration. This *punctum* pitch acts like a *fulcrum* where the stability of the tonic is denied. The abandoned resolution of the G♭ renders it a pitch of insolubility, a moment of equivocation and ambivalence, a dissonance that rubs against the surface of tonal smoothness. Interestingly G♭ does not return throughout the opening theme, while F♯ makes multiple appearances that initiate the start of a melodic idea by repudiating the solidity of the tonic triad. This bifurcation between G♭ and F♯ is a musical paradox—a "schizo-tone" with one side facing down

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8. The term "vertical time" is borrowed from Jonathan Kramer, *The Time of Music: New Meanings, New Temporalities, New Listening Strategies* (New York: Schirmer Books, 1988), 5, He defines it as "a single present stretched out into an enormous duration, a potentially infinite "now" that nonetheless feels like an instant."

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Example 57. Main variation theme of Andante and Variations, Op. 46.

toward the Eusebius downward-resolving tendency while the other facing up like Florestan as a forward-striving urge.

Yet this serendipitous pitch is rather like a suppressed thought that is only graspable "for one who listens in secret" (*für den der heimlich lauschet*). Throughout the theme, a sense of serenity pervades like a utopian landscape. The middle section (mm. 14–18, shown in **Example** 57), where contrast and conflict are commonplace, lacks the usual dramatic quality, except in the tonicization of the dominant that momentarily displaces the grip of the tonic key. Motivically the middle section continues to dwell on the inverted version of the "linkage" motif as its main melodic material, now elaborated

slightly by a passing note that fills in the gap of a third (G-F-D♯-E becomes G-F-E-D♯-E in mm. 14–15). A gasp of astonishment seems to come from without by the leap of major ninth (F^4–G^5) in m. 16, reaching a moment of harmonic stasis over the pseudo "arrival six-four"[9] in m. 17. This moment of epiphany is accompanied by the return of the five-note descent (G-F-E-D-C) that harks back to the similar figure in m. 4 (G-F-E♭-D-C; here E♭ is altered into E♮ in accordance with the newly tonicized dominant). It may not seem too far-fetched to suggest that this five-note descending motif sounds like a subtle reference to Clara Wieck's *Soirées musicales*, Op. 6, No. 2 "Notturno," a motif that Schumann also deployed in the opening of his *Fantasie*, Op. 17, as a "deep lament" for her. The crescendo and the disjuncture in register (m. 16) transform the seemingly banal linear progression of a fifth, covertly concealed in the introduction, into a eureka moment, as if the protagonist suddenly realizes the significance of someone so endearing to him yet has long been relegated into indifference, a nonchalance of the unassuming linear progression for which Schumann has a particular predilection in his other compositions (such as the second movement of *Kreisleriana*, Op. 16, which also features a profusion of intersecting linear progressions). Rather than deeming this passage a re-emergence of the motif, it should be more appropriated called a *re*-recognition, a *re*-realization, a reversed *liquidation*—perhaps we can call it a *de-liquidation*, or condensation, a solidification— that something already present is inadvertently brought into our consciousness under a new light. The contrasting middle does not celebrate its attainment of the dominant with a firm articulation of a cadence; instead, the expected tonic arrival of the PAC in F major (mm. 17–18) is sidetracked by an elision, where the tonic of F major is transformed into a dominant seventh chord in B♭ major, "re-activated" by the accretion of a chordal seventh. This cadential evasion causes the dominant key to implode upon itself, its

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9. Michael Klein, *Intertextuality in Western Art Music* (Bloomington, IN: Indiana University Press, 2005), 66.

stored-up energy for tonal elevation seeping out like a deflating balloon. This cadence is further weakened by its metrically weak position: the expected resolution of the tonic (F-major triad) falls on the second beat of m. 18. As a result, the penultimate dominant is metrically stronger than the arrival tonic, depriving the latter of the quality of repose and stability. As a whole, we can conceive of the contrasting middle like an interlude within the theme, an intermezzo within an intermezzo, the dominant emerging from and subsequently receding back to the tonic, during which it brings into relief the opening motif—the linear progression of a fifth—from Clara's *Notturno*, here outlining a C-major triad (C as a key suggestive of Clara).[10]

The return of the A section (mm. 19–22) within the rounded binary (or small ternary) of the theme is slightly altered to bring about a stronger sense of closure: a cadential bass line derived from the *clausulae* schema is employed in mm. 20–22 to support the authentic cadence (D-E♭-E-F-B♭). This cadential formula acts as a reminder of the similar cadential bass motion in the opening introduction, accentuating its intrinsic function of a closing gesture. This cadential ending is picked up and elaborated in the following variation (Variation 1). By and large the first variation is a rhythmic acceleration and melodic embellishment of the main theme, featuring a call-and-response interplay between the two piano parts. One crucial difference is the four-measure extension that is affixed after the tonic arrival in m. 38 (**Example** 58), presenting "one-more-time" the cadential progression. The phrase extension is initiated by a negation of the tonic chord in m. 38, turning it (on the second beat) into a common-tone fully-diminished seventh chord that functions simultaneously as an applied chord leading to the dominant. The unexpected turn of event is buttressed by the *sforzando* dynamics of the entire ensemble (except for the two cellos). The extended passage starts on a

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10. Judith Chernaik, *Schumann: The Faces and the Masks*.

Example 58. Variation 1 of Andante and Variations, Op. 46, ending.

subdominant chord in m. 39, then retraces the same harmonic progression, with the bass

ascends from ^4 to ^5 by a chromatic motion (E♭-E-F) in mm. 39–40. Here the bass

line overshoots its target (^5), continuing its chromatic ascent towards G, bringing a

potential cadential progression to a deceptive resolution. Afterwards the bass backtracks

to the earlier subdominant E♭ in m. 41 (here supporting a II chord) and curtly brings

forth a PAC in m. 42 (its weak metrical position of its arrival tonic was referred to by

some earlier theorists as a "feminine cadence"). Functionally speaking, this four-measure

extension is merely appended to rearticulate once more the final cadence, thus it is

structurally extraneous to the syntactic harmonic-formal framework of the theme. Yet this passage is motivically meaningful, for it harks back to the similar ascending bass line (D-E♭-F) in the introduction. This four-measure extension is also the first appearance of a *sequential* progression so far in the piece—a progression type that is implicative of the continuation function, a sense of "being-in-the-middle" of something. This sequence can be referred to as a Monte, a succession of V-I resolution in stepwise ascending sequential steps.[11] The Monte schema begins implicitly as a converging motion between 4–3 (A♭-G) in Piano I and 7–1 (D-E♭) in Piano II across the barline of mm. 38–39. This voice-leading pair is then transposed up a step in the next measure as if tonicizing in the key of F minor, pitting B♭-A in the inner voice against E-F in the bass.[12] The Monte proceeds further on another step up, climbing (*monter*) its way to the tonicized key of G minor (C-B♭ against F♯-G). The rising bass line that is formerly used to articulate the closing cadence is now transformed into a sequential progression, a change (*Veränderung*) of progression functionality. The cadential bass line suggests a closing gesture, bringing the previous musical discourse to an end; the Monte progression, on the contrary, engenders an aspiring ascent, intensifying the forward directionality that targets the arrival tonic as the teleological goal. In nuce, the Monte grows out of the familiar cadential progression, erupting forth and giving birth to something new and different.

This cadential-transformed Monte progression at the end of variation 1 is taken up at the beginning of variation 2, a linkage via harmonic means (**Example** 59). The ascending motion of the sequence is condensed into a succession of parallel tenths delineated by the outer voices. In the extension passage of variation 1, the Monte progression encompasses three parallel tenths (from bottom to top, E♭–G, F–A, and

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11. Gjerdingen, *Music in the Galant Style.*

12.   We can observe a coupling of the Monte upper motion (Bb-A) first in the inner voice (m. 39 beat 3 to m. 40 beat 1), which is immediately echoed an octave higher in sixteenth notes (m. 40 beat 1 in Piano I and beat 2 in Piano II).

Example 59. Variation 2 of Andante and Variations, Op. 46, opening.

G–B♭); each of the tenths is embellished by an applied dominant leading up to it. The

similar parallel-tenth motion at the beginning of variation 2 is speeded up, commencing

from the bass note D in m. 42 reaching up to C on the last beat of m. 45, resulting in a

linear intervallic pattern (LIP henceforth) that spans a minor seventh, which bridges the

initial tonic with the cadential predominant (II in m. 45). This Monte-transformed LIP

grows out of the extended passage of the previous variation (in much the same manner

that the beginning of the theme is born out of the ending fragment of the introduction via

motivic linkage). The first three bass scale steps of the LIP (D-E♭-F) are also reminiscent

of the introduction, now speeded up and condensed within a one-measure span. While variation 2 does not feature an increase in surface rhythm compared to the previous variation (both establish a consistent sixteen-note pulse), the procession of parallel tenths creates an acceleration of harmonic rhythm that is readily discernible, especially when the dominant is already "evaded" in the second measure of the variation (m. 44). If the Monte progression in variation 1 suggests an upward striving tendency, here the LIP brings this sequential motion into an upward surge, taking off from the harmonic stasis of the prolongational and the cadential progressions of the main theme. Hence motivic and harmonic connections between successive variations help instil a sense of developmental motion across multiple musical units, such that the individual variations flow from one to the next like a series of related thoughts.

The rising progression is answered by a countering parallel-tenth motion in the contrasting middle (mm. 52–57, shown in **Example** 60), now a LIP traversing downward from B♭ in the bass in m. 50 to C in m. 52, spanning an interval of a minor seventh (this seems to be a response to the ascending seventh D-C of the previous ascending LIP of the first A section). The two LIPs are also similar in harmonic function, bridging the tonic with the predominant by a linear progression. In both cases, I regard the bass as the leading voice whereas the top line the coupling voice. The downward LIP in the middle section is displaced by a 2-3 suspension in the bass that is supported harmonically by a 4/2 to 6/3 chords alternatively. This LIP with delayed bass suspension also recalls the Fonte schema in its character, albeit that the sequential steps are separated by skips (thirds) rather than by steps (seconds). This Fonte progression evinces a descending drive that counterposes the ascending motion of the earlier Monte, bringing the parallel

Example 60. Variation 2 of Andante and Variations, Op. 46, middle section.

tenths back down to the bottom (*le fond*) of the register.[13] The Monte and the Fonte

become a twin pair in this variation, one figured in the exposition whereas the other in the

contrasting middle. The ascending and descending motions of the two schemata are not

only evident in the abstract pitch space, but also in the bodily movement across the piano

keyboard, as lateral motions of the performer across the low and high registers. Following

the same formal design as the theme, this variation also presents a rounded binary (small

13. It is also possible to interpret this progression as a variant of the Romanesca, with its
descending bass line supporting a series of 5/3 and 6/3 chords. Here I would prefer the
Fonte over the Romanesca because the progression is in the middle of a variation, while the
Romanesca is usually employed as an opening gesture.

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ternary) structure of AA | BA'BA'', in which the A section (as well as its variants A' and A'') is twice as long as the B section, the former consisting of 8 measures compared with 4 measures of the latter. This formal asymmetry privileges the ascending Monte to hold sway over the descending Fonte, effecting an overall sense of increasing excitement throughout the entire variation 2.

The end of variation 2 leads directly to variation 3 without pause or separated by a double barline. This variation (shown in **Example** 61) presents a different texture than what comes before, a homophony with a cantabile melodic line over the undulating arpeggios in the piano left hand derived from variation 2. At first hearing, this variation sounds rather like a continuation from the previous section, as if the running sixteen-note figurations become submerged in the accompaniment. The dotted rhythm that is foregrounded in variation 3 is also a direct offshoot from the previous variation (such as the ones in the top voice of m. 70 and m. 74). Most significantly, variation 3 draws upon the LIP and the Monte schema from both variation 2 and variation 1. The opening progression (mm. 75–78) projects a rising succession of parallel tenths: starting with the bass note D (m. 75), E♭ (m. 76), and skipping a step to G (m. 78).[14] The pace of the parallel tenths in succession is slowed down compared with the LIP in variation 2, while it simultaneously recalls the Monte schema at the end of variation 1. Here the voice relationship within the schema is switched: the bass line presents the 4-3 downward slide, while the upper (sometimes the inner) voice projects the 7-1 leading-tone resolution. From the perspective of the Monte, the parallel motion of tenths is now inverted into a succession of sixths, with the top voice spanning a fourth (B♭-C-E♭) against the bass (D-E♭-G). When the Monte reaches its apex on the subdominant chord in m. 78 (reaching

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14. The omission of the F within this parallel-tenth progression may be due to the fact that the tenth above F is the leading tone of the key, whose affinity towards the tonic denies it to stand as a stable sequential step.

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14. The omission of the F within this parallel-tenth progression may be due to the fact that the tenth above F is the leading tone of the key, whose affinity towards the tonic denies it to stand as a stable sequential step.

Example 61. Variation 3 of Andante and Variations, Op. 46, opening.

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the B♭ in Piano I), a countering descending motion of the Fonte immediately ensues, eliding with the end of the Monte by one measure (i.e. the end of the Monte in m. 78 becomes the beginning of the subsequent Fonte). In variation 3, the Monte and Fonte schemata are foregrounded while the parallel tenths of the LIP seem to recede to the background, fading in and out from the harmonic texture. There also exists a sense of symmetry between the Monte and the Fonte: just as the Monte ascends a fourth (from D to G in the bass), the Fonte descends a fourth from G (m. 78) back to D (m. 80), touching on the chromatic scale steps on its way down. Variation 3 sounds like a compression of variation 2, bringing the Monte and the Fonte in closer contact with one another—an arch-shaped structural outline happening within the first eight-measure span of this variation.

The second half of variation 3 begins with a transposed restatement of the first A section up a minor third, from B♭ major into the never-never land of D♭ major (**Example 62**). This tonal shift is prepared more subtly than a blatant direct modulation, perhaps as part of a *Steigerung*. The ending dominant (F major in m. 90) of the first A section slides into the Db-major triad in the same manner of a chromatic 5-6 shift—hence the chromatic upper-third chord sounds at first like a transformed version of the previous dominant.

(chromatic upper-third complex)

Example 62. Chromatic upper-third complex in Variation 3.

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The end of the Monte progression lands on a G♭-major triad in m. 94, which is also the chromatic lower third of B♭ major, or a 5-6 modification of the tonic B♭-major chord. View from a more global perspective, the transposed Monte creates a parallel universe between the dominant and the tonic in the form of a *chromatic upper-third complex*, as shown in **Example** 63. The point of entry and exit into and from this universe is via a transformation from the chromatic 5-6 voice-leading motion. The Monte in mm. 91–94, which is now transposed in the tonicized key of D♭ major, outlines an harmonic progression from the tonic (D♭ in m. 91) to the subdominant (G♭ m. 94). In relation to the home key of B♭ major, on the contrary, this Monte leads from a modified V in m. 91 (with a 5-6 transformation) to a modified I in m. 94 (also with a 5-6 transformation). This transformed I traverses down by thirds (B♭–G–E♭) via a Fonte progression, reaching a Neapolitan sixth chord in m. 96. The two halves of this variation are mirror images of each other, both encompass a Monte and a Fonte progression. The transposed Monte into D♭ major brings into existence a parallel harmonic discourse, a *para-world*, which also projects a vision of a *paradise*, given the harmonic distance of the chromatic third relations, touching on the melancholic flat-side key areas. Hence the rounded-binary design of the opening theme (of exposition, contrasts, and return) dissolves into the binary design of two symmetrical halves, both consisting of a pairing of Monte and Fonte schemata.

A subtle linkage exists between variation 3 and variation 4, which begins in m. 107 (**Example** 64). The bass line at the end of variation 3 presents a chromatic rising motion, E♭-E-F, which is enunciated by the two pianos in mm. 104–105 (not shown). The same motivic cell is taken up at the opening of the following variation, placed in the top voice (F-F♯-G in m. 107) and restated in a rising succession (G-G♯-A and G♯-A-B♭). This subtle motivic connection with variation 3 nevertheless, this variation also bears certain resemblance with variation 2, in particular with respect to its harmonic

Example 63. Variation 3 of Andante and Variations, Op. 46, middle section.

Example 64. Variation 4 of Andante and Variations, Op. 46, opening.

and melodic deployment: the A section (mm. 107–114) employs a slowed-down version

of parallel tenths of the former variation, with a constant succession of sequential steps

of one per measure (E♭, F, and G in mm. 107–109 respectively), while the coupling

parallel tenths in the upper voice arrive one beat later. The intervallic pattern becomes

the overriding principle for the entire phase, and the Monte schema, having been

foregrounded in earlier variations, now faded into the background, standing more as

an invisible presence that inheres behind the succession of parallel tenths. In effect, the

slowed-down LIP suggests a closer resemblance with the extended cadential progression

of Var. 1 (mm. 39–41). In the earlier case, the bass line climbs up from E♭ to G, with an

interpolation of a chromatic half step (namely E and F♯) between two diatonic pitches;

here in the fourth variation, the harmonies that support the two harmonic half steps are *unfurled*[15] into their root position, and these unfurled bass notes are connected with the previous chord via a passing motion on the second beat. Even the top voice recapitulates the structural tones of this cadential extension from Var. 1, in the form of the three-note chromatic ascent (F-F♯-G, F♯-(G)-G♯-A, G♯-A-B♭), accentuated both dynamically and metrically. The beginning of variation 4 points back to the extended ending in variation 1, the "extraneous" appendix that spins off into the subsequent variations. Yet besides this correspondence in the harmonic domain, the overall character (*più animato*) of this variation sets itself apart from the previous ones, suggesting a further departure from the nostalgic theme at the beginning.

Just as the first A section refers back to the cadential appendix in variation 1, the contrasting middle (**Example** 65) harks back to that of variation 2, recalling both of its harmonic and melodic structure that outlines a series of parallel tenths in the outer voices, which descends from B♭ (m. 114) in the bass down to D (m. 117), prolonging the tonic harmony. The interpolation of applied-chord embellishment, as postulated earlier, lends itself to the interpretation of a modified Fonte schema, which stands as the mirror image of the ascending Monte. As the two piano parts, by and large, recast the previous variation with a new rhythmic pattern while maintaining the same melodic and harmonic structure, the other instruments join in with the pianos, while at the same time smuggle in two musical elements that spin off into the next variation—the dotted rhythm in m. 122 and the elongated descending bass line, played by the second cello, in mm. 123–126. These two elements are nothing new but drawn from the rhythmic and melodic (referring to the bass line) constituents of the piano parts. In a sense, they are strata that are sublimated from the overall textural emulsion of parametric layers, selective refraction

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15. David Damschroder, *Harmony in Beethoven* (Cambridge, UK: Cambridge University Press).

Example 65. Variation 4 of Andante and Variations, Op. 46, middle section.

from the white light, a *differenciation* from a continuous musical flow. The dotted rhythm has been present since the very beginning of the piece; now the rhythmic component is extracted and highlighted by the three solo instruments as a rhetorical emphasis. The bass line does not figure in the introduction or the opening theme; it is rather an offshoot of the Fonte progression, which is the inverted version of the earlier Monte, which is, in turn, an expanded progression from the "one-more-time" appendix to the evaded cadence in variation 1, which is in turn based upon the ascending cadential bass line of the *clausulae*, appeared at the forefront in the introduction. In a word, the descending bass line is generated through a series of transformations chained in a transitive sequence; it is only in retrospect that one can apprehend how far the music has traversed from the opening.

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As Bergson proposes, "there is no perception which is not full of memories,"[16] it is only

through memory that one can unfold the chain of transformations from the cadential

bass line to the extended descending bass line here, condensing the past duration into a

moment (*Augenblick*) of epiphanic realization.

      To sum up, the series of variations from variation 1 to 4 are developed by taking

up and expanding upon motivic and harmonic elements from their previous variations,

in such a way that they follow one after the other as if in a stream of consciousness. Just

as the memory images are recollected via association, in which one image is actualized

(i.e. brought into consciousness) by another image, the linkage technique as manifested

across the sectional boundaries provides a sense of continuity across the variations, in

the form of a continual spinning-off (*Fortspinnung*). We should resist the temptation to

equate this associational relationship of the linkage technique with the logical necessity

of causality; rather it is more appropriate to conceive of the linkage technique as laying

forth a condition for the possibility for later variations. Whereas causality implicates a

linear sequence of necessary consequence, a developmental trajectory of "homing in"

on an inevitable goal, linkage technique is rather like a rhizomatic process, opening up a

myriad of possibilities that differentiates themselves from what comes before. The logical

determination of musical development is replaced here by the freedom of divergent

associational relationships, and the variations that were written down by Schumann are

only a selective portion that is actualized from the infinite virtual possibilities. Each step

of the stream of consciousness brings about something new and unexpected, introducing

differences and novelty to the previous musical discourse. This succession of variations

is like a "train of thought," a manner of thinking (*penser*) that is akin to dancing (*danser*),

with each step and each spin getting further and further from the original location while

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16. Henri Bergson, *Matter and Memory* (New York: Zone Books, 1988), 33.

at the same holding onto certain patterns of dance steps. The stream of consciousness of a rhizomatic spinning-out, rather than a teleological homing-in.

Within this succession of variations connected via linkage technique, these four variations project a formal symmetry in the manner of departure and return. As discussed earlier, variation 4 brings back residues from the appendix of variation 1 and the contrasting middle of variation 2. At the center of the symmetrical grouping, variation 3 links together the Monte and the Fonte that are foregrounded in variation 2, placing them in closer contact, even elided, with one another. The correlations across the four variations bind them together as a formal assemblage, a semi-molar aggregate. We can even postulate that variation 3 is the point of further remove within this hypothetical grouping, since it touches upon the upper mediant key of D♭ major, which does not make a return in variation 4. The variational process so far resembles the gradual rhythmic diminution (*Gradatio*); here the sense of intensification, typically an acceleration of surface rhythm, is now transposed to the other parameters such as register and dynamics, generating an overarching tendency of a gradual heightening of dynamic momentum. This momentum, as we will discuss shortly, is undercut by the variation that follows.

Chapter 7

Ruin

All that is solid melts into air. The melodic and harmonic structures that underpin the previous variations suddenly give way to a process of *liquidation*. In Schoenberg's formulation of this concept, liquidation "consists in gradually eliminating characteristic features, until only uncharacteristic ones remain, which no longer demand a continuation."[1] Through liquidation, distinct motives and individual melodies lose their identities and salient features and are transformed into pure lines and inconspicuous melodic fragments. This process is "generally supported by a shortening of phrase,"[2] and in conjunction with a cadence or a half cadence, it can suggest a sense of closure and "provide adequate delimitation"[3] of the phrase. In a Classical eight-measure phrase, liquidation counteracts "the tendency toward unlimited extension"[4] of development in the continuation, such that the musical materials lose their developmental urge, hence bringing the phrase to an impending closure. To put it in Deleuzian terms, liquidation is a kind of absolute musical *deterritorialization* in which motives and other musical identities become inconspicuous and invisible, dissolving themselves into pure lines and curves that interweave around each other in a continuous process of becoming. This absolute deterritorialization breaks up identities and reveals the foundation upon which these identities arise—this ground of absolute territorialization is the *plane of immanence* (or the *plane of consistency*). This plane is revealed when the solidity of identities is liquidated into deterritorializing lines and movements that traverse across the surface of

1. Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang and Leonard Stein (London: Faber and Faber, 1985), 58.
2. Schoenberg, *Fundamentals of Musical Composition,* 58.
3. Schoenberg, *Fundamentals of Musical Composition*, 58.
4. Schoenberg, *Fundamentals of Musical Composition*, 58.

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the plane, subjecting the consistency of identities to a kind of deconstructive motion.

Here in variation 5 previous motives and chords are liquidated into pure contrapuntal lines (**Example** 66). An elongated descending line, played by the cello and the second piano starting in m. 130, suggests a tragic overtone akin to a lament, resonating with the modal shift from major to minor that "tonicizes" the previous incidental dissonant of the chordal ninth, G♭. This descending line is prefigured in the previous variation (mm. 123–126), as a supporting bass line to the Fonte progression. This bass line is "abstracted" from the previous harmonic-schematic framework, standing by itself as a melodic element, while at the same time losing its identity as a linear progression, which spans the interval of a sixth in the earlier circumstance. Here in variation 5, this descending line seems to be unbounded by any predetermined structural tones, sliding down merely as a linear movement that stretches beyond the confine of an octave. Another element of linkage with the previous variation is the dotted rhythm in the horn, which is repeated insistently in this variation. This dotted rhythm is prefigured in the previous variation as cadential articulations (mm. 117, 122, and 125). Here this rhythm is reiterated for every measure in the horn akin to a repetition compulsion (*Wiederholungszwang*), a mental condition where a past event is unconsciously recalled and acted out repeatedly. The horn rhythm penetrates the musical texture as if announcing the fanfare rhythm of the funeral march, a musical topic that is particularly apt given the minor mode and the tragic descending line. These two elements—the descending line and the dotted rhythm—are like residues from the previous variations, abstracted such that only certain musical features are retained (the bass line in the former case and the rhythm in the latter). Even though these two elements are not absolutely "uncharacteristic," they nevertheless lose some of their definition and precision as in the previous circumstances, becoming more neutralized and transparent. In other words, the original bass line is now freed from its function as harmonic support, turning itself into a melodic and contrapuntal

Example 66. Variation 5 of Andante and Variations, Op. 46, exposition.

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phenomenon. The dotted rhythm is also dissociated from its former function as cadential articulation, now projecting itself as an independent rhythmic element suggestive of the funeral march topic. The process of liquidation, as described by Schoenberg, implicates a sense of closure by breaking up the musical materials that prohibit further development and continuation of the phrase, paving the way for the entrance of a cadence. Here instead of bringing an end to a phrase, the liquidated line and rhythm seems to bring an end to the stream of consciousness—motivic, melodic, or harmonic connections between contiguous sections—across the opening four variations; now the musical "substance" is nullified and emptied itself out, leaving aside only a few vestiges of what comes before.

The harmonic support becomes a pure line; the rhythmic motif mere ostinato. This variation offers the listener a glimpse, through its deterritorializing tendency via the technique of liquidation, of what Deleuze called a *plane of immanence*. This plane is "an unlimited One-All, an 'Omnitudo' that includes all the concepts on one and the same plane."[5] In other words, this plane encompasses all possibilities: all combinations of tones (either horizontally as melodies or vertically as harmonies) and rhythms that can potentially become manifest on this plane. Hence this plane is the "absolute ground"[6] for any phrase, section, or piece of music—the ground of pure tones and lines. This plane is populated by identities like motives, themes, chords, and cadences, acting as the condition or foundation for these identities to emerge from. This plane is not a concept or a "thing"; it can only be apprehended as an image of thought,[7] a surface upon which musical elements are made to be continuously deterritorialized, decentered, liquidated,

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5. Gilles Deleuze and Félix Guattari, *What Is Philosophy?* (New York: Columbia University Press, 1994), 35.

6. Deleuze and Guattari, *What Is Philosophy?*, 35.

7. Deleuze and Guattari, *What Is Philosophy?*, 37. "The plane of immanence is not a concept that is or can be thought but rather the image of thought, the image thought gives itself of what it means to think, to make use of thought, to find one's bearings in thought."

and mobilized. It has the feature of a fractal,[8] inasmuch as one identity reaches out to another along deterritorializing lines of becoming, consequently forming a rhizomatic network of linkages. Hence any plane of immanence that can be thought is porous:[9] it encompasses only a limited number of identities and the lines of connections among them. The plane is like a sieve,[10] a selective set of potentials and intensities, with one side confronting chaos and the other facing the consistency of concepts. The absolute plane of immanence—one where infinitely many concepts and combinations are possible, the base of all other planes—is impossible to be thought.[11] It can only be cursorily glimpsed, and its existence be implied by a certain plane, but it is the "nonthought within thought."[12] This absolute plane of immanence is analogous to a white light, in which the entire spectrum of frequencies exists therein. We can conceive of this absolute plane as white noise, in which the entire spectrum of frequencies of the sound wave, with all possible range of dynamics and combinations of overtones, can potentially or actually emerge on this plane, fading in and out from nothingness (i.e. silence) in an erratic manner. It is the absolute ground of all possible sounds, the milieu of the infinite. Movements across this plane become increasingly smoother the more deterritorialized the identities are subjected

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8. Deleuze and Guattari, *What Is Philosophy?*, 36. "Concepts are absolute surfaces or volumes, formless and fragmentary, whereas the plane is the formless, unlimited absolute, neither surface nor volume but always fractal."

9. Deleuze and Guattari, *What Is Philosophy?*, 36. "That is why every plane is not only interleaved but holed, letting through the fogs that surround it, and in which the philosopher who laid it out is in danger of being the first to lose himself."

10. Deleuze and Guattari, *What Is Philosophy?*, 42. "The plane of immanence is like a section of chaos and acts like a sieve."

11. Deleuze and Guattari, *What Is Philosophy?*, 59. "We can say that THE plane of immanence is, at the same time, that which must be thought and that which cannot be thought. It is the nonthought within thought. It is the base of all planes, immanent to every thinkable plane that does not succeed in thinking it."

12. Deleuze and Guattari, *What Is Philosophy?*, 59.

to, like the leveling of mountains and plateaus.[13] Over this smooth space, themes become malleable like wires that can readily be twisted into various shapes and curves; rhythms become ritornellos that bring about differences via repetition.

From the perspective of variation form, this variation (Var. 5) brings about a deterritorialization of the opening theme, rendering it so far removed from the theme to be at the border of indiscernibility. What remains is like the shadow of a living being, the ruin of a former structure. Vestiges of the theme and previous variations are still evident nonetheless. The ascending and descending motion of parallel tenths, as part of the Monte and Fonte schemata, reappears inverted as a succession of parallel thirds in mm. 131–134 between the first and second cello (these thirds are later inverted back into tenths in the consequent phrase, mm. 135–138). Structurally speaking, this variation still adheres to the rounded binary design of the opening theme, with a contrasting middle standing between two corresponding A sections. The harmonic framework of the middle section (mm. 139–142) deviates from that of the opening theme, borrowing instead from the corresponding middle section in variation 3, which transposed the first A section up a minor third. Here the transposition is not as literal as that of the former variation: the harmonies outline an alternation between dominant and tonic of D♭ major (an upper third from B♭ minor), while the dotted rhythm, played by both the horn and the first piano in alternation, articulates the dominant pitch (A♭) of D♭ major. What is peculiar in this situation is that the opening of the descending bass retains the same pitch level as the beginning A section, outlining the same pitches in mm. 139–140; only in mm. 141 does the bass line deviate from the earlier instance in order to stay within the tonicized realm of D♭ major.

Rosen deems the Romantic obsession with the ruins as a return to the natural

13. Gilles Deleuze and Félix Guattari, "Smooth and Striated Space," in *A Thousand Plateaus: Capitalism and Schizophrenia*, tran. Brian Massumi (Minneapolis: University of Minnesota Press, 1987).

state of being, depicted by the growth of vegetation over the dilapidated and crumbled walls, a scene where "architecture begins to recede into landscape."[14] It is a remnant of a structure whose former glory can only be conceived of through imagination. The ruin is a representation of an absence succumbed to the erosion of time; in a sense, the ruin is a signifier of the time's passage and its inevitability. The ruin evokes the past by its fragmentariness and incompleteness, inviting the perceiver to envisage its original shape in the distant past. Hence the ruins, as Rosen wrote, "induce a tragic sense of resignation, of melancholy."[15] The picture of the ruin splits time into two dimensions, one belonging to the present state of the ruin (in the actuality) while another dimension looking back towards the past (in the virtuality). Both Schiller and Novalis attempt to adapt the fragmentary nature of the ruin into a literary form,[16] in such a way that the entire work, as composed of independent yet interrelated fragments as a literary ruin, implicates a whole that is infinite and unbounded that lies somewhere outside of the work. Here in Schumann's Andante, we are presented with both the original form of the theme at the opening of the piece and the evocation of the ruin in variation 5, the latter subjected to the process of liquidation. The descending line and the dotted rhythm are like the remaining bricks and stones that are left standing in the place of a former structure as a reminder of the past. In a certain respect, this variation grows out of the fourth variation in terms of the motivic linkages, while at the same time this variation harkens back to the introduction, the theme, and all the variations that come before it, evoking them

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14. Charles Rosen, *Romantic Generation* (Cambridge, Mass.: Harvard University Press, 1998), 93.

15. Rosen, *Romantic Generation*, 93.

16. Rosen, *Romantic Generation*, 93–94. Schiller: "The real and express content that the poet puts in his work remains always finite; the possible content that he allows us to contribute is an infinite quantity (*Der wirkliche und ausdrückliche Gehalt, den des Dichter hineinlegt, bleibt stets eine endliche; der mögliche Gehalt, den er uns hineinzulegen* überlässt*, ist eine unendliche Grösse*)." Novalis: "Fragments of this kind are literary seeds. There may indeed be many a barren grain among them: nevertheless, if only a few were to sprout! (*Fragmente dieser Arte sind literarische Sämereier. Es mag freilich manches taube Körnchen darunter sein: indessen, wenn nur einiges auf geht!*)"

as images of former presence. Apart from its retrospective glance, the ruin also leans forward, like a premonition, to its impending death: a "being-unto-death" (*Sein-zum-Tode*) in the manner of Dasein—a Being-in-the-world.[17] Just like liquidation, as defined by Schoenberg, precludes further development and suggests the potential of closure, this variation, like a musical counterpart of the ruin, hints at an impending end of the former variational trajectory in the form of a stream of consciousness. Yet before commenting on the next variation, it would be aesthetically rewarding in the next chapter to make a segue into some of Deleuze's concepts surrounding the types of images in cinema.

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17. Martin Heidegger, *Being and Time*, tran. Joan Stambaugh (Albany: State University of New York Press, 2010).

Intermezzo 3

Image, Shot, Sequence

Barthes, a self-proclaimed lover of Schumann's music, reflects upon the miniature forms that are emblematic of Schumann's compositional style: "The sequence of intermezzi has as its function not to make contrasts speak but rather to fulfil a radiant writing, which is then recognizable much closer to painted space than to the spoken chain. Music, in short, at this level, is an image, not a language."[1] We will come back to the issue of "radiant writing" in our later discussion on the crystal of time. It is worthwhile here to point out that the assemblage of short pieces is comparable to a set of images, which, instead of forming a linear narrative like children's picture books, are associated with one another in such a way that they congeal into a musical structure that is rhizomatic and unbounded. Each image of the short piece is like a monad that resonates with the rest of the universe, while at the same time self-contained and self-sufficient, possessing no efficient or final causes (i.e. it is not caused to exist by others, or brings about the existence of others); yet these images relate to one another in such a manner that they are distributed in a "painted space": like a painting composed of smaller images, a collage of distinct fragments. As an image, time is frozen and immobilized, mortifying the living present while at the same time eternalizing it. In Barthes's discussion of photography, the photographic image of a living person means its Death: "Death is

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1. Roland Barthes, 'Rasch', in *The Responsibility of Forms*, ed. Franca D'Agostini, tran. William McCuaig (New York: Columbia University Press, 2010), 301-2. Also quoted in Daverio, "Piano works I: a world of images," from *The Cambridge Companion to Schumann* (Cambridge: Cambridge University Press, 2007), 70.

the eidos of that Photograph."[2] It preserves the dead such that it continues to live in the present—a living-dead that becomes immortal. An image encapsulates time as an instant (and in the case of photography, a past instant), yet it does not require time for its existence—it exists outside of time, in eternity. What the image presents has been a living reality that exists in time, yet it empties itself of any duration and any flow of time, turning itself into a skeletal remain of that reality that exists as an immortalized image. This quality of a constellation of images is evident in many of Schumann's compositions, ranging from his first published piano cycle, *Papillons*, Op. 2, to his late works such as the *Gesänge der Frühe*, Op. 133. Along a similar vein, Daverio also comments on Schumann's music as if "a world of images," and his employment of interpolation, as best exemplified by the "Im Legendenton" in *Fantasie*, Op. 17, is "almost precisely coterminous with the experiments that led to the invention of photography."[3] Just like the photograph brings back the past as it was lived once, the insertion of "Im Lengendenton" transports the listener to a different temporal realm through the tone of a legend. Daverio also turns to cinematographic images as a better metaphor for describing the succession and juxtaposition of these musical images: [Schumann's music] "is less the continuous unfolding of events in a narrative than the discontinuous succession of frames in a film."[4] The connection of frames in a film can be continuous—in the form of a continuous shot—or discontinuous—in the form of a montage, and Daverio here highlights the latter operation, their "discontinuous succession," as characteristic of much of Schumann's images. How can this discontinuity in the form of a montage (its artistic form) be reconciled with the mechanical linear sequence of frames that compose

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2. Roland Barthes, *Camera Lucida: Reflections on Photography*, ed. Geoff Dyer (New York: Hill and Wang, 2010), 15.

3. Daverio, "Piano works I: a world of images," in *The Cambridge Companion to Schumann* (Cambridge: Cambridge University Press, 2007), 83.

4. Daverio, "Piano works I," 71.

the film (its material nature)? Is this aesthetic quality of discontinuity a negation or absence of continuity, or does it imply a different sort of continuity that is not linear and chronological?

For now, it would be rewarding to turn to Deleuze's discussion of the cinema, *Cinéma I: L'image-mouvement* (1983) and *Cinéma II: L'image-temps* (1985), to explore in more detail the interrelationships between frames, shots, sequences, and montage in movies, in order to address the aesthetic intention of discontinuity. According to Deleuze, the frame, like an image of a photograph, requires a *framing*, "the determination of a closed system, a relatively closed system which includes everything present in the image – sets, characters and props."[5] Framing is a selective process, and thus it "is related to an angle of framing,"[6] a point of view. At the same time, it also hints at something laying outside the frame of the camera, as a diegetic presence that remains hidden from the viewer. One technique is called *deframing* [*décadrage*],[7] a method of filming from an unusual or abnormal point of view, such as a face that is half-occluded by the edge of the frame (i.e. only half of the visage is shown on screen). A person or object may be totally out-of-field [*hors-champ*], yet its presence is hinted at or made known via other means, such as sounds or characters' conversations: "[t]he out-of-field refers to what is neither seen nor understood, but is nevertheless perfectly present."[8] Framing and the out-of-field are not categorical dichotomies (as inside and outside), but rather go hand in hand together like lightning and thunder, electricity and magnetism, wisdom and evil— the frame implicates the existence of the out-of-frame, while the latter is the foundation of the former. It is in this sense of reciprocity that "[a]ll framing determines an out-of-

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5. Gilles Deleuze, *Cinema 1: The Movement-Image* (Minneapolis: University of Minnesota), 12.

6. Deleuze, *Cinema 1*, 15.

7. Deleuze, *Cinema 1*, 15.

8. Deleuze, *Cinema 1*, 16.

field,"[9] as a part to the whole. The out-of-field may even be extended from the totality of space to the totality of time, when an idiosyncratic element appearing inside the frame defies any justification of its presence within the set, and thus opens the frame onto "a duration which is immanent to the whole universe, which is no longer a set and does not belong to the order of the visible."[10]

The reciprocity between the whole and the part permeates much of Deleuze's philosophical theorization on the cinema—the whole is the condition for the existence of the parts, and the parts enfold (or implicate) within themselves the existence of the whole, as if the parts and the whole resonate with each other without one causing or being caused by the other. This philosophical underpinning is rendered more apparent in his discussion on the shot. According to Deleuze, the shot is determined by the technique of cutting: "Cutting [*découpage*] is the determination of the shot, and the shot, the determination of the movement which is established in the closed system, between elements or parts of the set."[11] Just as the frame presents objects in space, the shot presents movements in time; the frame is a selection of bodies that are put within the *mise-en-scene* via the technique of framing, a shot is a selection of the total movement of the bodies in time via the process of cutting (to put it more crudely, the shot "cuts" time into various durational spans). This movement of bodies, as represented within the shot, also hints at something laying beyond the individual movements in space. The shot brings together the multitude of movements into a larger whole of duration, in which the movements of bodies (as parts) are drawn from the totality of the whole, as different lines and strata of that universe. In Deleuze's words,

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9. Deleuze, *Cinema 1*, 16.

10. Deleuze, *Cinema 1*, 17.

11. Deleuze, *Cinema 1*, 18.

the shot, of whatever kind, always has these two aspects: it presents modifications of relative position in a set or some sets. It expresses absolute changes in a whole or in the whole. The shot in general has one face turned towards the set, the modifications of whose parts it translates, and another face turned towards the whole, of which it expresses the – or at least a – change.[12]

The shot, that is to say consciousness, traces a movement which means that the things between which it arises are continuously reuniting into a whole, and the whole is continuously dividing between things (the Dividual).[13]

The shot presents movements of individual bodies as translation in space, while those external movements also happen as intrinsic changes of the whole (i.e. the whole of reality), in which the bodies interact with one another like the tug and pull of gravitational forces in a galaxy. The shot is both heterogeneous in composition (made up of a multiplicity of movements) and singular in conception (a duration that transforms in itself). It is in this sense that the "shot is the movement-image,"[14] an image of thought that takes hold of the movements within a duration; and in order to take hold of movements as a singularity of a shot, it calls for the operation of a consciousness that synthesizes the continuous becoming of time into internal change within a duration.[15] When viewing from the perspective of the whole, bodies begin to intermingle with one another that their outlines and individualities dissolve, and what remains are pure movements—change within the whole: "the essence of the cinematographic movement-image lies in extracting

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12. Deleuze, *Cinema 1*, 19.

13. Deleuze, *Cinema 1*, 20.

14. Deleuze, *Cinema 1*, 22.

15. Deleuze, *Cinema 1*, 20. "The shot, that is to say consciousness, traces a movement which means that the things between which it arises are continuously reuniting into a whole, and the whole is continuously dividing between things (the Dividual)."

from vehicles or moving bodies the movement which is their common substance, or extracting from movements the mobility which is their essence."[16]

What happens then when a continuous shot is broken up into different shots of the same scene, or even of different scenes? It leads to the issue of the sequence-shot and the montage; the latter is further divided into a montage of the movement-image (an assemblage of shots that refer to the present and its incipient future) and a montage of the time-image (an assemblage of shots that refer back to the past). I will leave the discussion on the montage to a later section of this chapter. Concerning the continuous trajectory at the beginning portion of the Andante (from the theme to the fifth variation), it would be aesthetically enriching to conceive of their procession as comparable to a sequence shot in films. Movements in a film are rarely present themselves in a single continuous shot; this would be akin to viewing through a stationary security camera. It is instead more common for the movements to be broken up into different shots, as an aggregate of shots. This allows for the alternation of "actions and reactions" and of "near and distinct parts" of the set.[17] Within a sequence-shot, the individual shots are united in such a way that they all relate to the set as a whole: "The unity of the shot is produced here by the direct liaison between elements caught in the multiplicity of superimposed shots which can no longer be separated."[18] In other words, the sequence-shot reproduces movement as duration (a selective slice of time), which is in turn divided up into different shots from a multitude of viewpoints (a selective slice of that duration). The sequence shot guarantees the unity of movements, and the unity of movements determines the manner in which the shots succeed one another. Hence a sequence shot is different from a montage in that movement is continuous in the former while its composition is segmented. It is in

16. Deleuze, *Cinema 1*, 23.

17. Deleuze, *Cinema 1*, 26.

18. Deleuze, *Cinema 1*, 26.

this sense that "the shot indeed has a unity. It is a unity of movement, and it embraces a correlative multiplicity which does not contradict it."[19] Deleuze proposes four types of sequence-shots in films, summarized as follows:[20]

  1) *continuous*: the camera, instead of remaining stationary on a fixed point of view, continuously moves between different angles and multiple points of view

  2) *semi-continuous*: the movement of the camera is broken up into separate shots, yet "the continuity of connection constitutes the unity of the shot"[21]

  3) *depth-of-field*: a set of stationary or mobile shots that presents a scene with different levels of depth, such as a combination of long shots with close-up shots

  4) *reframing*: a set of shots that reframe a single fore-shot [*avant plan*] from different angles, resulting in a "correlative multiplicity"[22] of the same scene

These four types of sequence shots are underpinned by and give rise to a larger unity of movement, an overarching continuity that is broken up into separate shots. They presuppose the existence of a singular reality and a singular duration, which the sequence-shot reproduces and constructs from different slices of that reality. Deleuze hence distinguishes the *analytic* sequence shot that captures movement in a continuous shot (Type 1 and 2) and the *synthetic* whole of the film in the form of disparate shots (Type 3 and 4). In the former case, movement is internal to the shot as a heterogeneous change of the whole; in the latter case, the whole of movement is constituted by

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19. Deleuze, *Cinema 1*, 27.
20. Deleuze, *Cinema 1*, 26–27.
21. Deleuze, *Cinema 1*, 26.
22. Deleuze, *Cinema 1*, 27.

relationships between shots. In breaking up into separate yet interrelated shots, the whole, instead of presenting itself as a monolithic being of a single continuity (an *analytic* whole), "become[s] the synthetic whole of the film which is realized in the montage of the parts; and conversely, the parts must be selected, coordinated, enter into connections and liaisons which, through montage, reconstitute the virtual sequence shot or the analytic whole of the cinema."[23] To recast this in relation to Deleuze's ontological framework in his *Difference and Repetition*, the analytic whole is the singularity that apprehends the multiplicity of pure differences that give rise to the whole. The analytic and the synthetic should not be taken as a binary opposition, in the sense that one is the negation of the other; instead, they are opposite in the Deleuzian-dialectical sense: as two sides of the same coin, identity and difference, being and nothingness, text, and context. The discontinuities of the sequence shot and the totality of the continuous shot are different cinematographic representations of the same reality—the Whole of the universe.

The opening of the Andante can be interpreted as a sequence shot; the individual variations are comparable to the succession of discrete shots, each one scrutinizing the metamorphosis of the thematic material from a certain camera angle. The discontinuities of the formal divisions are surface phenomena, akin to the shift in camera positions; underneath these surface discontinuities is a deeper level of continuity of musical movement, contributed by the multiple motivic and harmonic linkages across the variations. These inter-variational linkages represent a series of musical flows that prolong from the opening theme up to its dissolution in the fifth variation. The discrete musical sections function like machines that, on the one hand, interrupt the underlying musical flows and, on the other hand, channels the flows into a different direction. The variations are flow-producing machines that are linked together via a

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23. Deleuze, *Cinema 1*, 27.

connective synthesis: "and …" "and then …."[24] It is in this sense that the trajectory

of variations, connected via linkage technique, is more aptly characterized by a series

of twists and turns rather than a straight line, inasmuch as the ending gestures, which

are often unrelated to the opening thematic materials, precipitates new possibilities for

the following variations. The linkage technique is creative rather than derivative, ever

generating novelties via a chain of associations. The movement of the musical flows

underlying these five variations is like a meandering river, its direction of flow directed

by the morphology of the surrounding valleys and crevices. The individual variations are

snapshots of the different segments of the river as it flows from upstream to downstream.

The camera angle of each shot is mostly stationary, given by the symmetrical design of

the rounded-binary form, which returns to the opening A section after the contrasting

middle. Implicit in these static camera shots are musical flows, continuity of movement

that thread through the variations. This movement is not only contained within the

music itself; it is also reflected in the mind of the listener, as movements of the soul

(*Seelenbewegung*), which is also embodied by the movements of the performers

(*Körperbewegung*). Music, as Schumann noted, "would be a very limited art if it offered

only sounds and neither a language nor signs for states of the soul."[25] The soul speaks

through music (as a *Seelensprache*), and movements in music similarly correspond to

movements of the soul—the flows of consciousness. The sequence shot captures these

flows of the soul through a concatenation of distinct camera angles, each reveals a

different moment of the flows as an imprint of time. Each variation is a differential, and

the duration of the sequence shot symbolizes an interior differentiation. We can notice a

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24. Deleuze and Guattari, *Anti-Oedipus*, 5. "This is because there is always a flow-producing machine, and another machine connected to it that interrupts or draws off part of this flow (the breast-the mouth). And because the first machine is in turn connected to another whose flow it interrupts or partially drains off, the binary series is linear in every direction."

25. John Daverio, "Reading Schumann by Way of Jean Paul and His Contemporaries," in *College Music Symposium* 30/2 (1990), 29.

difference in the formal organization as opposed to the *Études symphoniques*: the earlier work is largely rhizomatic in conception (or in Ehrhardt's description "kaleidoscopic"), whereas this piece, at least in the opening, bears witness to a stronger sense of linear connection that flows from one variation to the next. This change in orientation towards an accentuated emphasis on formal coherence can also be observed in other works around the same period, in particular after the composition of his first symphony in 1841 and a number of chamber pieces in 1842, notably his Piano Quintet, Op. 44.

Chapter 8 Past/Memory

Recollections

The past is a wound (*die Wunde*); "the more I strive to recall a past pain, the nearer I come to feeling it in reality,"[1] Bergson wrote in *Matter and Memory* with regard to the intermingling of past memories with present perception. It is especially those moments of the wonderful (*das Wunder*), ones that cease to be and are forever buried in the past, that become particularly poignant. Out of the murky darkness of the *minore* fifth variation emerges a fragment of musical memory: a restatement of the recursive chord progression from the opening of *Frauenliebe und -leben*, a song cycle Schumann composed four years earlier (**Example** 67). The intertextual reference to *Frauenliebe* is hard to dismiss, given that it remains in the same key (B♭ major), *piano* dynamics, and middle register as in the original. The three-chord sequence, cycling through the tonic (I), subdominant (IV), and dominant (V^7) within the span of one measure, seems musically unmarked and structurally insubstantial at first glance. Yet its simplicity is only elusive, as this opening snippet opens and closes the first song of the cycle ("Seit ich ihn gesehen") as a framing device, and it is also brought back in the postlude of the last song as a return of a significant moment in the past. The top line of the progression, a neighboring motion of F-G-F, is also articulated by the opening line of the first poem ("Seit ich ihn gesehen") as if the entire first song grows out of this opening idea like a seed. Schumann's recalling of this opening chord progression from his earlier song cycle creates an intertextual dialogue with both the musical materials and the poetic meaning as

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1. Henri Bergson, *Matter and Memory* (New York: Zone Books, 1988), 136.

Example 67. First interior theme, quotation from *Frauenliebe und -leben*, Op. 42.

depicted in *Frauenliebe*, bringing to the listener's mind the narrative of the woman's life, from her initial falling in love, marriage, pregnancy, and the final death of her husband, as portrayed in Chamisso's poems, here purveyed from a distance in the form of a reminiscence.

If the restatement of the opening gesture is like a pointer referencing the song cycle of *Frauenliebe und -leben*, it indeed points toward two disparate formal location within he cycle—the first song ("Seit ich ihn gesehen") and the postlude of the last song ("Nun hast du mir den ersten Schmerz getan"). In the first song, this cyclical harmonic

progression appears in three locations: at the very beginning (as an accompaniment introduction), in anticipation of the second stanza, and at the end (as an instrumental postlude). In all of these three instances, the progression stays in the same key of B♭ major, returns like the images of her beloved that is repeatedly conjured up in her mind like in a daydream ("schwebt sein Bild vor"). The straightforward harmonic constitution is also representative of the innocence of the female protagonist in her first encounter of romantic love, setting the background of an untroubled life that is pitted against the experience of emotional upheaval in the middle of the song (reaching a melodic apex of Eb, an accented appoggiatura on the downbeat in mm. 8 and 10, over the words "wachen Trauma" and "sein Bild"). This quality of innocence and peacefulness frames the emotional trajectory of the entire song, in such a way that the young woman's encounter with her beloved, rather than an unbridled expression of exhilaration and ecstasy, is marked by an emotional reservation and indecision, a character that is encapsulated perfectly by the recursivity of the opening idea. Hallmark describes Schumann's setting of the first song as "the most psychologically incisive and sympathetic."[2] The entire song is "reserved and pensive, and yet at the same time carries a certain restrained excitement."[3] We may consider the opening idea to function as an *index* for the semantic content of the first song, signifying its pervasive affect of emotional restraint and the woman's uncertainty with her own feeling. The recursivity of the opening idea, cycling through the three primary chords of the tonic key, is also representative of the circularity in the formal design of the first song, which ends with a restatement of the introduction, with the top voice hanging on the fifth scale degree (F), "poised as if ready to launch into

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2. Rufus Hallmark, *Frauenliebe und Leben: Chamisso's Poems and Schumann's Songs* (Cambridge: Cambridge University Press, 2014), 177.

3. Hallmark, *Frauenliebe und Leben*, 175.

Example 68. Schumann's *Frauenlieben und -leben*, Op. 42, Song 1, opening.

a third stanza—evokes a feeling of continuation, even of perpetuity."[4] The cyclicality
of the progression embodies the protagonist's obsession with her beloved, involuntarily
envisioning his image in her mind that renders her blind to her surroundings ("Seit ich
ihn gesehen, glaub ich blind zu sein.")

The opening idea (i.e. the head motif of Song 1) recurs at significant moments
in the woman's life. Its top voice, an upper-neighboring figure F-G-F, is placed at the
beginning of the vocal line in Song 5 ("Helft mir, ihr Schwestern"), which depicts a
scene of the woman's wedding. This scene, as described by Muxfeldt, is evoked through
musical sound: the piano running figurations, played always with pedal ("Immer mit
Pedal"), represents "pealing bells, suggested by the din of the hollow turning figures,"[5]
and the anacrusic appoggiatura that initiates the piano figurations "captures the effect of
a bell being struck before its full swinging momentum has been attained."[6] Nearly every

4. Hallmark, *Frauenliebe und Leben*, 166.

5. Kristina Muxfeldt, "*Frauenliebe und Leben* Now and Then," in *19th-Century Music* 25/1, 42.

6. Muxfeldt, "*Frauenliebe und Leben* Now and Then," 43.

Example 69. Schumann's *Frauenlieben und -leben*, Op. 42, Song 5, opening.

Example 70. Schumann's *Frauenlieben und -leben*, Op. 42, Song 7, opening.

phrase in this song starts off with the neighbor-note figure, as if harking back to the first song—the moment when the woman first encounters her beloved man; here in Song 5, the consummation of their love is complete. A tinge of sadness at the thought of leaving her fellow sisters ("Aber euch, Schwestern/Grüß' ich mit Wehmut") is also represented by a chromaticized version of the neighboring figure (F-G♭-F), tonicizing momentarily the upper-mediant key of D♭ major. The neighbor-note figure is transformed into a wedding march at the end of the song (from F-G-F into F-B♭-F), "a solemn wedding march as the bride begins her procession toward the altar,"[7] whose melodic and rhythmic content uncannily resembles that of Wagner's wedding march in *Lohengrin*.[8] The neighbor-note idea highlights another moment in the woman's love journey (Song 7 "An meinem Herzen, an meiner Brust"), the time when she nourishes her baby and expresses her delight and joy of having given birth to it ("Du meine Wonne, du meine Lust!"). The

7. Muxfeldt, "*Frauenliebe und Leben* Now and Then," 42.
8. Muxfeldt, "*Frauenliebe und Leben* Now and Then," 42.

neighboring motion here is transposed (D-E-D) and embellished by an initial leap of a perfect fourth (A-D). The multiple recurrences of the neighboring figure function like a mnemonic marker that highlights the significant moments—the shining points—in the woman's life, drawing them together like a thread knitting through the musical fabric.

The last appearance of the neighbor-note idea happens in tandem with the whole-sale restatement of the opening song in the postlude of Song 8 ("Nun hast du mir den ersten Schmerz getan," shown in **Example** 71).[9] After recounting the agonizing pain at the sight of her dead husband, the postlude conjures up the first song like an image

9. This postlude stands in the place of Chamisso's last poem of the cycle, "Traum der eignen Tage," which depicts a scene of the widow recounting to her granddaughter her past love for the man.

Example 71. Schumann's *Frauenlieben und -leben*, Op. 42, Song 8, postlude.

of reminiscence, traveling back in time to the moment when she first set sight upon her beloved; as described by Muxfeldt: "with the return of the accompaniment of the first song, the widow is transported back to the time she first allowed the image of her husband to rule her imagination, to the origin of her internally constructed world."[10] The postlude possesses a tinge of loneliness and desolation, for only the piano accompaniment is present while the original vocal melody is dropped out altogether. Yet we can still perceive the shadow of the absent vocal line through the piano accompaniment, as it also mirrors the vocal melody in the top voice for the majority of places; it is only around

10. Muxfeldt, "*Frauenliebe und Leben* Now and Then," 45.
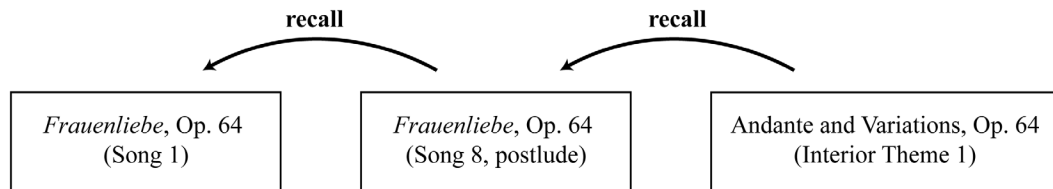
Example 72. Schumann's *Frauenlieben und -leben*, Op. 42, recollection of recollection.

the point of the climax (starting in m. 32) that the vocal line dives down an octave and conceals itself in the inner voice, and the plaintive downward leaps of a major seventh (D-E♭) in the original vocal melody disappears into the void of ineffability in m. 35. The listener is here invited to imagine the missing vocal line through recollection and imagination, with the piano accompaniment functioning like a retrieval cue while the vocal melody remains present in the virtual. The postlude is, as described by Daverio, "voiceless" and "disembodied," as if the woman, while "lost in a reverie of happier times,"[11] also loses her voice to express herself. The incomplete return of the first song is also symbolic of the fragility of memory and the inaccuracy of its recollection, an inevitability that, as Muxfeldt puts it, "imitates the perceptual mechanisms of a memory that has no hope of being revitalized by physical proximity."[12] The ending of the postlude restates the opening gesture one last time, turning the cycle back to its beginning, as if the entire journey of love and loss can be relived again in memory, setting off a perceptual cycle of joy and pain (the very end of the postlude only drops down from ^5 to ^3, as if the final song transports the listener back to the beginning of the cycle in order to relive

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11. John Daverio, *Robert Schumann: Herald of a Poetic Age* (New York: Oxford University Press, 1997), 216.

12. Muxfeldt, "*Frauenliebe und Leben* Now and Then," 47.

the woman's experience once more). We however realize that this same idea has an entirely different meaning: its appearance in the first song signifies a world of innocence untinged by the traumatic loss of her beloved, yet this innocence exists no more under the circumstance of the last song, as she cannot relive that utopian past anymore. Her childlike innocence returns only in the form of a memory, for the loss of her beloved is forever irrecuperable. The postlude is therefore a paradox, bringing back the first song both as a recollection (its presence in memory) and as a loss (its absence in reality). It is possible to hear the return of the opening gesture in the postlude as sounding differently, its expressive meaning colored by the intervening events.

It becomes clear from the previous discussion that the vacillating chordal idea, as an intertextual reference in the Andante, is semantically loaded and formally salient within the song cycle itself. If the postlude is a recollection of a past memory, then this interior theme in the Andante may, in turn, be read as a recollection of the recollection, where the memory of "Seit ich ihn gesehen" further recedes further in the past—a "hierarchy of memories" as proposed by Rosen.[13] The appearance of this interior theme cast everything earlier in the piece under a different perspective: the neighboring motion in the introduction (articulated by the piano top voice) is revealed to be the same figure as the *Frauenliebe* idea, and its harmonic underpinning, with its alteration of tonic, subdominant, and dominant chords, also parallels that from the song cycle. On the one hand, the emergence of *Frauenliebe* after the fifth variation is the outcome of the ongoing process of association, as if it is recalled fortuitously by similar motivic and harmonic materials. We can also, on the other hand, consider the introduction and entire opening portion of the work as variations of the *Frauenliebe* head motif, and their identities as derivatives of the former song cycle are only revealed in hindsight when the original

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13. Charles Rosen, *Romantic Generation* (Cambridge, Mass.: Harvard University Press, 1998), 111.

idea is stated midway into the piece. This kind of retrospective revelation creates a

moment of epiphany to the listener, who out of a sudden realizes the musical materials

presented in the forefront of the piece have their *raison d'être* in relation to earlier work.

The direction of derivation is therefore reversed: the Andante seems to be born out of

Frauenliebe as a recollection of the earlier work. This kind of retrospective revelation has

a precursor in the first movement of the *Fantasie*: the quotation of Beethoven's song *An

die ferne Geliebte* is prefigured earlier in the movement, but its most complete form only

appears at the very end, hence retrospectively casting the earlier fragmented instances

with an additional shade of meaning. (It is worth noting that the aesthetic quality of this

retrospective revelatory technique is different from that of teleological genesis explicated

by Hepokoski:[14] the former points backward in time towards a reevaluation of the past,

whereas the latter points forward in time towards an expected goal in the future, which

often manifests itself in the form of an apotheosis.)

The quotation in the Andante is a recollection of a former recollection (in the

postlude of *Frauenliebe*) of the very beginning of the woman's love journey, a song

that centers around the fixated image of her beloved (a state of obsessive recollection).

Four years after its first appearance in the song cycle, the return of the opening idea in

the Andante is now further removed from the original telling of the woman's tale. This

temporal distance shows its trace in the fragmented nature of this short interlude. The two

cellos, in the first two measures (mm. 147–8, **Example** 73) of this section, recapitulate

the corresponding location of the piano accompaniment of the first song (or the postlude

of Song 8). Yet this memory of the past is incomplete, truncated after the twofold

repetition of the cyclical chordal idea. The first piano enters in the following measure

(m. 149) with the same chord progression transposed to the dominant, sounding as if

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14. James Hepokoski, *Sibelius, Symphony No. 5* (Cambridge, England: Cambridge University
     Press, 1993).

Chapter 8

Example 73. First interior theme, formal structure.

attempting to prolong the previous memory for fear of it losing its course and coming to an abrupt end. The second piano responds similarly afterward (m. 150), restating the same idea in the subdominant. The beginning two measures are then brought back by the two cellos in mm. 151–2, outlining a symmetrical ABA design. The formal construction of this phrase is rather unorthodox: in contrast with the duplicative relationships as in a sentence (i.e. an immediate repetition of the basic idea in the presentation phrase) or the complementary relationship as in a period (i.e. the conjunction of a basic idea with a contrasting idea in the antecedent phrase), this phrase is composed out of a recursive repetition of a single idea, repeating it twice in the tonic, then in the dominant and in the subdominant, and finally back to the tonic. It is befitting to term this character of phrasal construction *corpuscular*, inasmuch as this phrase is made out of a succession of one-measure ideas in much the same way that a substance is made out of the aggregation of atoms and molecules. The corpuscular phrase hence lacks the linear necessity and form-functional directedness typically found in Classical themes: for example, the ending of the phrase, which is usually marked by a cadence, restates the same materials at the beginning of the phrase, such that the initiation and closing functions become indistinguishable. Paradoxically the absence of an ending cadence is coupled with a profusion of minuscule cadential progressions (or what Laitz called an embedded phrase model) such that every measure seems to bring forth an illusory authentic cadence on the downbeat. The phrase overall has the quality of fragmentation and disorientation, meandering in different tonal areas without a sense of direction, just like a memory gradually decays into fragments and images that become independent from any linear narrative and chronological succession. Here the opening idea hovers like a memory fragment that has become so ingrained in the mind of the protagonist that it repeatedly recurs and turns back upon itself, such that any further development of the phrase to leave this memory behind is obstructed. This interior section revels in the past, like a dreamer

who immerses herself in the virtuality, luxuriating in the memory of the first song from *Frauenliebe*, a moment when the woman is blinded by her obsession with the image of her beloved. Schumann's quotation and "re-reading" of *Frauenliebe* overlays another hermeneutic layer on top of the musical-poetic meaning of the song cycle, subjecting it to a different musical treatment and bringing about a new connotation into the original work—a musical utterance that is on the verge of deconstructing itself.

The process of deconstruction continues into the middle portion (mm. 151–6) of this ternary interior theme. In my reading of the phrase boundary, the beginning of the middle phrase overlaps with the end of the first phrase thanks to its symmetrical design. If the first phrase underscores the quality of a mind that loses track during its course of recollection, the middle phrase is tinged with an intense feeling of the tragic. The B♭-major chord is first chromatically altered into a G♭-major triad (via a PL transform) in m. 153, steering the tonality increasingly towards the "darker" flat-sided keys. The motivic cell then dives into the bottom register via a descending 5-6 (or descending third) sequence, reaching a B♭-minor triad in m. 155 (the parallel minor of the home key). This chord is semantically loaded in the last song of *Frauenliebe*, for it supports the last word of the sentence "die Welt is leer," a plaintive outcry of the female protagonist as she encounters face to face with the emptiness ("die Verlassene") of her husband's face. This chord is particularly striking in Schumann's setting of this phrase, since the B♭-minor triad (m. 9) appears as a hexatonic polar opposite to the D dominant-ninth chord two measures earlier (m. 7). The incorporation of a Bb-minor triad within the descending 5-6 sequence creates a subtle intertextual link with the last song of *Frauenliebe*, recalling the tragic overtone associated with the death of her beloved. This evocation of the tragic is also found in the top voice of the chord progression (G♭-F-E♭-D♭-C in mm. 153–5), a descending line reminiscent of the lament. The overall effect of this phrase is bleak and ghastly, delivered in most part by the poignant sound of the two cellos alone. The

Example 74. Second interior theme, quotation from *Davidsbündlertänze,* Op. 6.

Example 75. *Davidsbündlertänze,* Op. 6, opening.

Example 76. Clara Wieck, *Soirées musicales*, Op. 6 no. 5, "Mazurka."
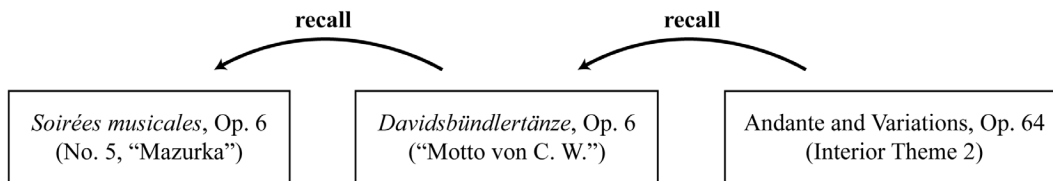
Example 77. Second interior theme, recollection of recollection.

remainder of this section recapitulates the opening phrase in its entirety, bringing the interior theme back to where it begins.

The quotation from *Frauenliebe* sounds like a "tone of the legend," yet this tone is now in the state of a ruin, its original form eroded to a point that only a few remnants remain. It is the inevitability of forgetting that the recollection of the past often carries a sense of melancholy, just as Hallmark remarks, "the act of remembering is tinged with sorrow and a realization of human finitude." This ruin of *Frauenliebe* implies a temporal distance that sets apart these two pieces: the earlier one was composed during the time of Schumann's court battle with Friederich Wieck, whereas this work was written three years into his marriage with Clara Wieck. Understandably, the *Frauenliebe* may appear to Schumann as belonging to a different eon, from an age of a bygone past. The quotation sounds more like a rumination than a vivid resurrection, one that is shadowed by an aura of sadness. Its temporal distance also infuses this quotation with a sense of emotional blankness, with its rhythmic recursivity that is bordering on monotony as well as its overall *piano* dynamics that shows no emotional upheaval; in a certain sense, the tumultuous subjective experience of the young woman in the song cycle is now transformed into an objective image of a past memory, reflected upon with much insouciance. The "becoming-ruin" of the fifth variation (via the technique of liquidation, as discussed in the previous section) leads to an actual ruin of memory, as if the reality in the present gradually dissolves into the figments of the past. Compared with the incomplete restatement in the postlude of the last song of *Frauenliebe*, an incompleteness marked by the absence of the voice, here the return of this memory is rendered decrepit and fragmentary, as if what can only be recalled from the entire song cycle is only its opening gesture.

Besides the quotation from *Frauenliebe und -leben*, Schumann also references another of his earlier composition later in this piece: the opening of his

Davidsbündlertänze, Op. 6. Coming after a recapitulation of the opening theme (mm. 164–179) and a variation thereof that features rapid sixteen-note runs (Var. 6, mm. 179–220), the quotation is announced by the horn with a fanfare motif (mm. 220–1), a leaping arpeggiation of the tonic triad. This motif outlines the same voicing of chord tones as the opening of *Davidsbündlertänze*: a perfect fifth at the bottom and a major third above. Its rhythm and articulation also resemble that of the earlier motif: a dotted anacrusis leaping up to a slurred two-note figure. Despite minor differences in rhythm and tonality between the two instances, their resemblance is hard to miss if the listener has the earlier piece in mind during listening to this section. This particular head motif embodies an autobiographical meaning—it is drawn from the fifth piece, "Mazurka" in Soirées musicales, Op. 6, composed by Clara Wieck one year before Schumann starts composing his *Davidsbündlertänze*. This quotation from Clara's work is not a covert message between the two lovers, like a cipher that the listener needs to decode to reveal its referential connection; Schumann instead makes this quotation blatantly overt by putting a label over this motif on the score, "Motto von C.W.," as if announcing that Clara was the inspiration for the entire piano cycle—"She sets the Davidsbundlertanze in motion and then recedes into the background, an enchanted listener like the rest of us."[15] The two-measure motto from Clara's "Mazurka" is answered by a contrasting idea in the following two measures, forming a typical antecedent phrase of a parallel period. In contrast, Schumann in the *Davidsbündlertänze* produced his personal response to Clara's motto, a transposed version of her motto up a major third to the chromatic mediant (B major), while at the same time transforming the downward resolving slurred motion into the opposite direction (F♯-G and A-B in the top line), suggesting a sense of opening-up of the introduction to the main section of the first piece. His response to Clara's motto

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15. Daverio, *Robert Schumann,* 159.

also leaves its mark in the Andante, implicated by the similar harmonic move from the tonic of E♭ major (mm. 220–222) up a third to the diatonic mediant of G minor (mm. 222–224). This upper-third progression, which Kaminsky called the "P" progression, is formally significant in bringing about a coherence within the piano cycle, especially because it "constitutes the only non-transposed cross-reference in the cycle, it uniquely delineates large-scale formal divisions, and it participates significantly in the overall tonal progression."[16] Given the form-defining role played by such harmonic succession, it is hence understandable that Schumann adopts the same progression for the opening phrase in this section of the Andante.

While the earlier intertextual reference to *Frauenliebe und -leben* is a self-quotation, here the reference in this section is a double quotation—it is associated with both his *Davidsbündlertänze* and Clara's "Mazurka." If *Frauenliebe* is an indirect recounting of the love story of an unnamed woman (we can imagine the singer as a narrative of the tale of an imagined female protagonist, or him/herself impersonating as the virtual character who recounts the past story about herself), the quotation of *Davidsbündlertänze* is a personal expression of the incipient love affair between the couple, a direct recollection of the composer's past, as faces to masks.[17] The piano cycle continues to be particularly endearing to Schumann as one of the most personal expressions of his soul inscribed in musical tones, as he wrote to Clara, "Many wedding thoughts are bound up with these dances, which came into being while I was in the most beautiful state of excitement I can recall."[18] The opening of the *Davidsbündlertänze*

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16. Peter Kaminsky, "Principles of Formal Structure in Schumann's Early Piano Cycles," in *Music Theory Spectrum* 11/2 (1989), 217.

17. In response to a comment of Clara who deems *Davidsbündlertänze* too similar in character to the earlier *Carnaval*, Schumann responds in the opposite: "I feel that they are quite different from *Carnaval*, having the same relation to that piece as faces do to masks." *Schumann's Complete Piano Work*, "Preface" (Henle Verlag, Critical Edition), XIX–XX.

18. Daverio, *Robert Schumann*, 158.

hence symbolizes in musical terms the union of the couple, like a succession of wedding march composed alternatively by Schumann's double personae Florestan and Eusebius.[19] The completion of the *Davidsbündlertänze* may also bring back the memory of the tumultuous time of his forced separation from Clara, a period of desperation as evident in his letter to her with an attached manuscript of the completed work: "I could think of nothing but you and your father […] Like you I spring from laughter to tears […] the pain of not being able to see you, our best years of youth to be spent apart—that torments me so."[20] While in the *Frauenliebe* the woman is filled with a pervasive sense of joy and excitement in her relationship with her beloved man (except for his death in the last song), the *Davidsbündlertänze* is both a celebration of his romantic relationship with Clara and at the same time a reminder of the obstacles that he has experienced along its course.

A subtle transformation of topical reference is introduced by Schumann in this section of the Andante. Both Clara's Mazurka and Robert's *Davidsbündlertänze* display a dance topic: Clara's title as a mazurka already indicates its evocation of the Polish dance, and the opening of the latter similarly possesses the character of a lively ("Lebhaft") dance. In contrast, the same rhythmic figure in the Andante is labeled "marcato," a performance indication that lends itself more to the style of a march than a leisurely dance. This change of topical implication, in turn, highlights the militant underpinning of the formation of Schumann's Davidsbund: a cohort composed of imaginary personas ("Florestan" and "Eusebius"), notable musical figures representative of the "new poetic era" (Mendelssohn as "Felix Meritis"), and important persons in his personal life (Clara "Wieck as "Chiara," "Chiarina," or "Zilia"; Friederich Wieck as "Maester Raro"). Invented as imaginary personas and virtual authors in his *Neue Zeitschrift für Musik*

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19. Chernaik, *Schumann: The Faces and the Masks*, 90.

20. Chernaik, *Schumann: The Faces and the Masks*, 86.

(New Journal for Music), the Davidbund was intended to be a group of artists who, via their voices in the form of musical criticism, promote the highest artistic principles and "would take arms against the Philistines ruling the European musical establishment."[21] Embracing the artistic ideal proposed by the NZfM, the Davidbund fights against musical mediocrity that Schumann observed in the musical scene, notably the trivial display of virtuosity as a means to simply appeal to or dazzle the audience. The musical setting of the Davidbund in the march topic was previously employed in the last piece of *Carnaval*, Op. 9, titled "Marche des 'Davidsbündler' contre les Philistins" (March of the Davidsbunders against the Philistines). The march topic associated with the Davidbunders is employed right at the start (mm. 1–8), delivered by majestic *fortissimo* block chords set in triple meter. This march topic later turns into an exhilarating dance in m. 25 ("Molto più vivo") that is pit against the musical representation of the Philistine, the "Großvatertanz" (Grandfather's Dance) that Schumann labeled as "Thème du XVIIème siècle" (Theme from the seventeenth century). The Grandfather's Dance is a traditional German dance used on the wedding occasion, one that Schumann also incorporated in the final piece of the Papillons, Op. 2. The progressive Davidsbündler achieve victory in the *Carnaval* against the old-fashioned Philistines, the former taking over in the triumphant conclusion of the work. Schumann's transformation of Clara's mazurka topic into a march in the Andante concomitantly engenders a shift of semantic emphasis, leaning more toward to the connotations of the former word "*Davidsbündler*" than the "*tänze*" through the intertextual link. (Chernaik also claims that dancing in the carnival also carried a political implication, promoting the "spirit of anarchy levels all social hierarchies," since the social classes of the dancers are concealed by the masks, and as such it allows "licensed revelry, freedom of expression, the celebration of a classless

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21. Chernaik, *Schumann: The Faces and the Masks*, 40.

world in which commoners could be kings."[22]) The phrase structure here also reflects the progressive character of a march: in comparison with the opening theme of the Andante, which shows a parallel periodic design consisting of two corresponding 4-measure phrases, suggesting a quality of balance and equilibrium, this theme is composed out of the *Davidsbündlertänze* motif betrays a sentential design, with an immediate repetition of the initial two-measure idea followed by a continuation characterized by an acceleration of harmonic rhythm and a progressive shortening of grouping structure (i.e. fragmentation), a forward-driven momentum that heads toward the PAC that concludes the entire eight-measure theme. In other words, the aesthetic quality of this march-like theme diverges from that of this piece's contemplative opening theme, and the formal discrepancy between the two gives rise to a sense of disjuncture from the overarching linear succession of individual variations.

If the former quotation of *Frauenliebe* is a ruin, a sign of the past subjected to the inevitable process of deterioration and fragmentation, then the Davidsbund section here is like a cocktail, intermixing different musical and contextual elements via the process of amalgamation. As mentioned earlier, Clara's "Mazurka" from her *Soirées musicales*, Robert's piano cycle of *Davidsbündlertänze*, the personal journey of love and struggle experienced by the couple, and the artistic ideal of Schumann's imaginary group Davidsbund, all of these come together in this interior theme as a web of associations. This means of semantic amalgamation is like a ripple that diffuses across the surface of an ever-enlarging milieu, the wave traversing in different directions and reaching further and further into the outermost expanses. This quotation has a similar rippling effect, spiraling out from the opening motif of the *Davidsbündlertänze*, like the drop of a stone upon a pond, sending out waves that circumscribe a larger and larger contextual surface.

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22. Chernaik, *Schumann: The Faces and the Masks*, 45.

Chapter 8

In a sense, this section is like a rhizome that seeks out connections with distant memories, images, and intertexts in a multi-dimensional associative network. The middle phrase of this section (mm. 228–235) introduces another layer of association, one that relates this interior theme back to the dominant variational discourse of the variation. This phrase is derived from the same formal location in Var. 5, a phrase dominated by a continuous descending linear progression in a constant quarter-note pulse (the start of this phrase is likewise transposed up a minor third from E♭ to G♭ major), with the rhythm of the head motif intermittently interrupting the flow of the melodic line. The march topic of the opening phrase is juxtaposed with the contrastive middle phrase drawn from an earlier variation, evocative of the opposite characters embodied by Florestan and Eusebius that make alternate appearances in the *Davidsbündlertänze*.

To put the entire section into a broader perspective, we can observe the distinction between two kinds of rhizomatic connections: *extroversive* (or inter-textual) and *introversive* (or intra-textual). These two terms are borrowed from Agawu's discussion, who in turn adapted them from Roman Jakobson for describing the construction of meanings in Classical pieces.[23] In rephrasing Jakobson's definition, *extroversive* semiosis refers to "the referential link with the exterior world" whereas introversive one means "the reference of each sonic element to the other elements to come."[24] To put these in musical terms, extroversive relationships involve extra-textual associations and cultural conventions such as musical topics, whereas introversive linkages are those that connect different elements of the piece together, such as the ones revealed by Schenkerian analysis; in Agawu's words, the "topical signs represent the world of extroversive semiosis whereas intramusical signs, such as those enshrined in the Schenkerian graph,

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23. Kofi Agawu, *Playing with Signs: A Semiotic Interpretation of Classical Music* (Princeton: Princeton University Press, 1991).

24. Agawu, *Playing with Signs*, 23.

depict the world of introversive semiosis."[25] (Hatten's terminology, the *stylistic* and the *strategic*, corresponds in certain respect to those from Jakobson and Agawu, yet Hatten's analytical inclination leans toward the topical adaptation and transformation within the context of a work's internal construction, hence the strategic is like a *token* of the broader category of the stylistic *type*.) Here I am extending the signifying realm of the two terms, introversive and extroversive, and bring them to bear on the issue of musical references and quotations. An extroversive reference is one that is derived from outside the work itself; this intertextual reference can be drawn from works by the same composer (an intra-corpus intertext) or by others (an extra-corpus intertext). An introversive reference can be simply a direct repetition of a musical phrase (or a variation thereof) within the realm of the piece; a more subtle intra-textual reference may involve only the harmonic progression or the melody's structural tones. Here the quotation of Clara's "Mazurka" motif (inter-corpus) and Robert's opening of the *Davidsbündlertänze* (inter-corpus), as well as the evocation of march topic and the formal convention of the sentential construction, belong to the realm of extroversive associations, as rhizomatic roots extending outside the original territory of the mother plant (i.e. the frame of the work). Introversive connections can be found in the contrastive middle phrase of this section, which recapitulates similar musical materials from an earlier variation within the same piece. The *extroversive* and *introversive*, as noted by Agawu, should not be considered as two distinct and incompatible dimensions of musical meanings; it is more appropriate to conceive of them intermingling and interacting with one another in such a way that the intertextual references (its extroversive aspects) are built upon musical elements that can be subjected to the musical development of the introversive process, while on the other hand the internal musical correlations (its introversive aspects) can evoke different topical

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25. Agawu, *Playing with Signs*, 23.

references and bring about quotations from other pieces—the region where the two layers overlap is termed by Agawu the work's semiotic "play."[26] The passage of *Frauenliebe* earlier in the Andante provides an apt illustration of this interplay: this section engenders both an extroversive (a quotation from his earlier song cycle) and introversive association (a transformation of the neighbor-note motion from the opening introduction). Kramer similarly proposes a similar point of view concerning the two dimensions of musical relationships:

> In both [music and poetry], the alliance of connotative and combinatory features becomes significant in two ways: intertextually, through allusion, generic affiliation, and the play of stylistic codes; and intratextually, through rhythmic design and the play of likeness and difference among particulars. Even by omission, these elements are always interlaced with each other, and what I call "play"—their suppleness, inventiveness, balletic energy—joins the sensuous and emotional satisfactions of music and poetry to the play of critical intelligence.[27]

In a typical Classical variation, "the play of likeness and difference," giving rise to a chain or a network of intratextual relationships, lays at the foundation of its generation and succession of individual variations. Schumann, with his nonorthodox and innovative compositional approach, incorporates within the work materials from beyond the text. Through this assimilation of various intertexts into the text, other contextual and autobiographical associations are concomitantly brought into play, thus constituting different strata of meanings in the work.

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26. Agawu, *Playing with Signs*, 24. "It is this overlap alone that guarantees a semiotic integration of the two modes of musical thought. What takes place in that region, and how it takes place, are what I call 'play.'"

27. Lawrence Kramer, *Music and Poetry: The Nineteenth Century and After* (Berkeley: University of California Press), 5; quoted in Agawu, *Playing with Signs*, 78.

Chapter 8

Memory and the Crystal of Time

We have discussed the sequence shot of continuous movement in the first five variations of the Andante. It belongs to the movement-image that involves both the movement of the world (as a translation of the set and a change of the whole) and movement of the camera (conceived of rather metaphorically that each variation seems to project a particular view upon the opening theme). In comparison, the two sections of quotation discussed in the previous chapter, one of *Frauenliebe* and the other of *Davidsbündlertänze*, are moments in the past that emerged as recollections. This intrusion of the past into the linear unfolding of the present (in the form of the variation process) creates juxtapositions of different planes of temporality. These fragments of the past, conjured up in the present as recollection-images, are the privileged moments (the *Kairos*) in the sense that they possess certain significance in directing or impacting the course of events. These past memories are particularly marked not only for the works' compositional ingenuity within Schumann's output, but also because they occupy significant moments in his life—one composed during his budding infatuation with Clara, and the other during the arduous court battle with Wieck.

Recollection-images take the form of flashbacks in a film. Deleuze discusses the rising prominence of temporal juxtaposition in post-war movies in his second book on this artistic medium, *Cinéma 2, L'image-temps* (Cinema 2: Time-Image). A flashback is an internal interruption of temporal flow, in which a past recollection is inserted that in certain respect resembles the events happening in the present. In a flashback, the past and the present are in the form of a circuitous relationship, where the present summons the past memory via certain associations of resemblance, and the past informs and enriches
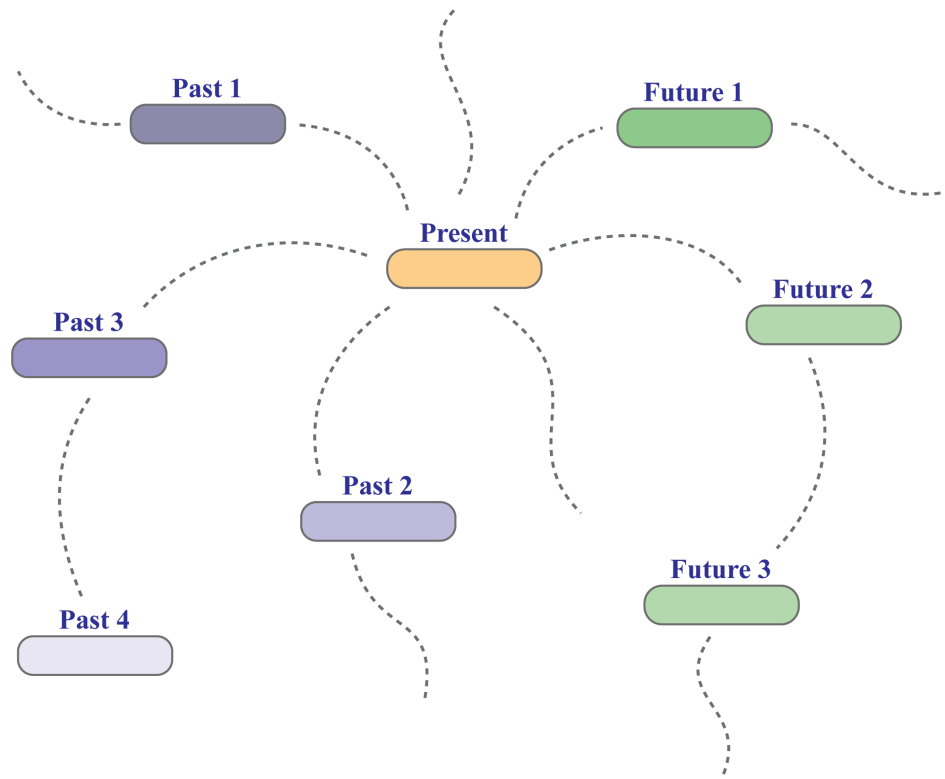
Example 78. A representation of Deleuze's crystal of time.

the perception of the present image.[1] A common technique of signaling the occurrence of a flashback in the cinematic context is through a "dissolve-link"—the juxtaposition and enmeshment of the present and past images, in such a way that the present image *dissolves* into the past image as if going through a tunnel of time. The dissolve-link is "a sign with the words: 'watch out! Recollection,'"[2] indicating to the viewer the shift of

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1. Gilles Deleuze, *Cinema 2: The Time-Image* (Minneapolis: University of Minnesota, 1989), 48. In Deleuze's own words, "The relation of the actual image to recollection-image can be seen in the flashback. This is precisely a closed circuit which goes from the present to the past, then leads us back to the present."

2. Deleuze, *Cinema 2*, 48.

temporality in the narrative and the occurrence of a flashback. We can notice the similar effect of the dissolve-link in the fifth variation, in which the melodic and harmonic materials from the opening theme are liquidated (hence dissolves) into a counterpoint of continuous lines, merging eventually into the head motif of *Frauenliebe*. Hence the dissolve-link functions as a transition between the present variational process and the recollected quotation of past memory, a wormhole that tunnels through different temporal planes. The incorporation of flashback splits time into two trajectories, the present that is suspended and the past that usurps its place. A film with flashbacks is like a "Garden of Forking Paths,"[3] in which the flow of narrative time constantly splits up by the recapitulation of the past, forming strata of temporal planes that superimpose with one another, each resonating with one another within the whole of Time. The flashbacks give rise to a "web of time which approaches, forks, is cut off or unacknowledged for centuries, embracing every possibility."[4] In other words, time is emancipated from its incessant chronological flow (with its implication of necessary causality and teleological destiny) and becomes fluid and flexible, traversing across multiple planes of temporality at will via capricious associations. Sometimes the flashback is brought about by the repetition of the same image across different times, such as, in the movie Citizen Kane, the dissolve from the image of the falling snow inside the snow-globe into the snow scene in the protagonist's childhood. According to Deleuze, the "repetitions [of the image] constantly split up any state of equilibrium and each time impose a new 'meander', a new break in causality, which itself forks from the previous one, in a collection of non-linear relations."[5] The flashback introduces a meandering of time in the way that it splits up the narrative time into two temporal planes, as if the narrator or the camera engages in a

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3. Deleuze, *Cinema 2*, 49.

4. Deleuze, *Cinema 2*, 49.

5. Deleuze, *Cinema 2*, 49.

kind of time travel. It also imposes a "break in causality" in the sense that the relationship between the present and the past image is not that of physical causality but in the form of pure association, linked up by their degree of correspondence, resemblance, and/or contiguity, hence resulting in a network of "non-linear relations" between past moments in time. In the rhizomatic relationship of temporalities, moments from the past and the present coexist on the same perceptual and artistic plane in which a narrative voice, like a spirit outside of chronological time, moves across this surface and traverses different islands of temporal points and durational spans.

The flashback, in conjuring up an image of the past, reveals something about the state of the present—how it appears the way it is. The fragments of the past do not land themselves into a linear causality such as in a reverse narrative chronology, such that the present is to be explained through the recalling of the past. It is rather a matter of narrative emphasis: it is not the present that needs to be accounted for, but the past that is shrouded in mystery and is revealed bit by bit through pieces of recollection.[6] This manner of storytelling, in which the narration points back in time and reveals something mysterious about the past, coalesces with Deleuze's elucidation of the distinction between the *tale* and the *novella*. To put it succinctly, the tale centers around the question, "What is going to happen?" whereas the novella is framed around the question, "What happened? Whatever would have happened?"[7] It is not simply that the novella tells the story in the past whereas the tale in the present; in a novella, the present "leans back upon" the past such that the past already inheres in the present, while, on the contrary,

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6. Deleuze, *Cinema 2*, 49. "There is no longer any question of an explanation, a causality or a linearity which ought to go beyond themselves in destiny. On the contrary it is a matter of an inexplicable secret, a fragmentation of all linearity, perceptual forks like so many breaks in causality."

7. Deleuze and Guattari, *A Thousand Plateaus*, 192.

the present tends toward the future in the form of executed movements in a tale,[8] such that the present and its immediate future are closely intertwined. Deleuze summaries the distinction between the two literary forms in these sentences:

> The novella has a fundamental relation to *secrecy* (not with a secret matter or object to be discovered, but with the form of the secret, which remains impenetrable), whereas the tale has a relation to *discovery* (the form of discovery, independent of what can be discovered). The novella also enacts *postures* of the body and mind that are like folds or envelopments, whereas the tale puts into play *attitudes* or *positions* that are like unfoldings and developments, however unexpected.[9] (emphasis original)

His use of the term "postures" to describe the present state in a novella is rather telling: a posture is a cessation of movement, turned into a stationary image that is subsequently subjected to analysis and unconcealment. At the same time, while a posture is the terminating of future movement, it is a culmination of past movements, and the novella seems to answer the question, "how do we get to such a posture?" As such the past is *folded* (or *enfolded*) in the present, in the form of an *envelopment*. In a tale, on the contrary, the future is *unfolded* from the present, in the form of a *development*.[10] The present circumstance is an *attitude* or *position*, possessing a potentiality that yields incessantly towards the future. In a novella, the secret of the past is revealed, whereas it is the future that is discovered in a tale. We can therefore understand how, as Deleuze

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8. Deleuze and Guattari, *A Thousand Plateaus*, 193: "the distinction is legitimate, in view of the different movements that animate the present, are contemporaneous with it: One moves with it, another already casts it into the past from the moment it is present (novella), while another simultaneously draws it into the future (tale)."

9. Deleuze and Guattari, *A Thousand Plateaus*, 193–4.

10. The concepts of the fold and envelopment receive greater elaborations in Deleuze's later work, *The Fold: Leibniz and the Baroque* (Minneapolis: University of Minnesota Press, 1993).

puts it aphoristically, "[t]he novella is a last novella, whereas the tale is a first tale."[11] As mentioned earlier, the revelation of the past in a novella is not simply a tale that is flipped around in the order of narration; the manner of storytelling of a novella implicates a sense of forgetting and the existence of something unknowable:

> the novella has little to do with a memory of the past or an act of reflection; quite to the contrary, it plays upon a fundamental forgetting. It evolves in the element of "what happened" because it places us in a relation with something unknowable and imperceptible.[12]

While the interpolation of the two musical quotations in the Andante may hardly suffice for the piece to lend itself to a reading commensurable to that of a novella, I would deem it fruitful to draw on the aesthetic qualities of the literary genre in the interpretation of the two recollection-images within the variational discourse. The quality of the tale is evident in the three variations cycles discussed earlier—the "Abegg" variations, Op. 1, Impromptu, Op. 5, and *Études symphoniques*, Op. 13—in the way that their finales, formally and texturally much-expanded, function as a point of culmination that brings the previous variations into a synthesizing apotheosis. Despite the differing variational tendencies within the cycle, the overarching trajectory of these pieces is one from a balanced rounded-binary theme in the beginning to an elaborated finale at the end, a forward-looking tendency characteristic of the tale, in which the future is discovered through the unfolding of the musical materials. We can contrast these three variations with the Andante. The work does not conclude with a triumphant finale at the very end; instead, it brings back the opening theme that trails off into a tonic-prolonging codetta (though a vestige of the synthesizing finale can still be found in the

11. Deleuze and Guattari, *A Thousand Plateaus*, 193.
12. Deleuze and Guattari, *A Thousand Plateaus*, 193.

middle of the variation cycle, as discussed later in this chapter). The notable difference is the inclusion of the two musical quotations from his earlier works, suggesting a backward-glance upon the past characteristic of the novella. The opening materials are "explicated" or "enriched" retrospectively under the light of the later appearance of the quoted passages, bearing witness to that the past always already exists with the present. Variations, in the hands of Schumann, are centrifugal movements that allow musical materials to be disengaged from the necessity of linear development and emancipates time to engage with two different temporal tendencies: the forward tendency (leaning toward the future) of the tale and the backward tendency (leaning toward the past) of the novella. This freedom of temporality owes much to the rhizomatic composition of the individual variations, which connect with one another via coalesce via thematic and harmonic associations and coalesce into a whole that reaches out across the unbounded plane of immanence (across time and space). (A formal schema best representative of the tale is the sonata form, whose "rhetorical task" is defined by the two forward-looking trajectories—the essential expositional trajectory arriving on an essential expositional closure and the essential sonata trajectory terminating on an essential sonata conclusion.[13] In a sense, even though the sonata form brings back the expositional themes in the recapitulation, its overall character of the formal schema is linear and teleological.)

How then can the past memories be recalled, and where in our mind do we retrieve those memories from? Deleuze approaches the issue of memory and time, which frame his discussion on the time-image, recollection-image, and dream-image in his second book, on the basis of Bergson's philosophy of mind and body that is addressed in his seminal work *Matière et mémoire* ("Matter and Memory") published

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13. James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-eighteenth Century Sonata* (New York: Oxford University Press, 2011), 16–18.

Time

C

Space

A   I   B

Consciousness
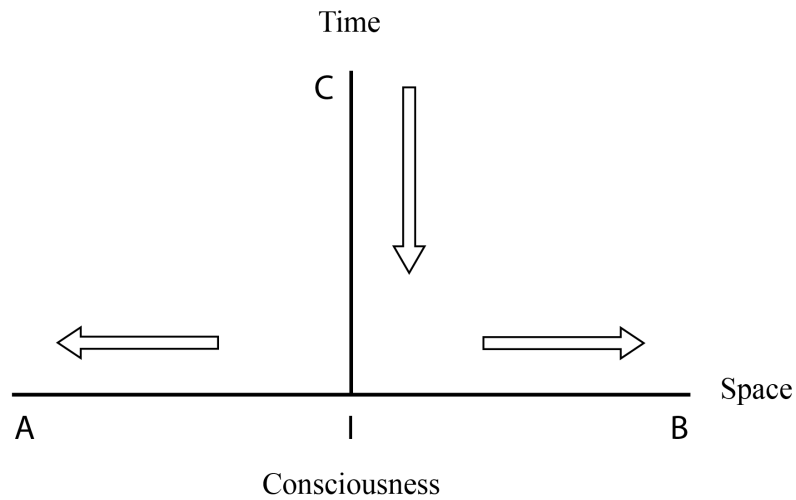
Example 79. Bergson's Figure 3 from *Matter and Memory*.

in 1896. In this early work, Bergson distinguishes between the physiology of the

brain and the psychology of the mind. The primary function of the brain is action, a

rectilinear process of sensory-motor mechanism that links up to our *perception* of the

world as images, the *selection* of the images in our brain, and the execution of *action* in

response to our previous perception. Hence our body, through which we perceive and

react to the world, is a center of action, and our brain is the center of indetermination

that allows *virtual actions* (our potential reactions) to pass through and retains that

which best serves our good and purpose, turning the virtual actions into *real action*.

Within this zone of indetermination, another dimension participates and informs the

decision of our action—the memories of our past. Bergson rejects the notion that our

memories are stored within our brains as data in a hard disk; instead, our memories

are accumulated in the virtuality of the soul (he uses the analogy of a coat hanging on

Pure memory

A   B

A′   B′

*Planes of
concentration
(general ideas)*

A″   B″

P

S

*Our representation
of the universe
in the present*

*Present perception
(intersection of perception and memory)*
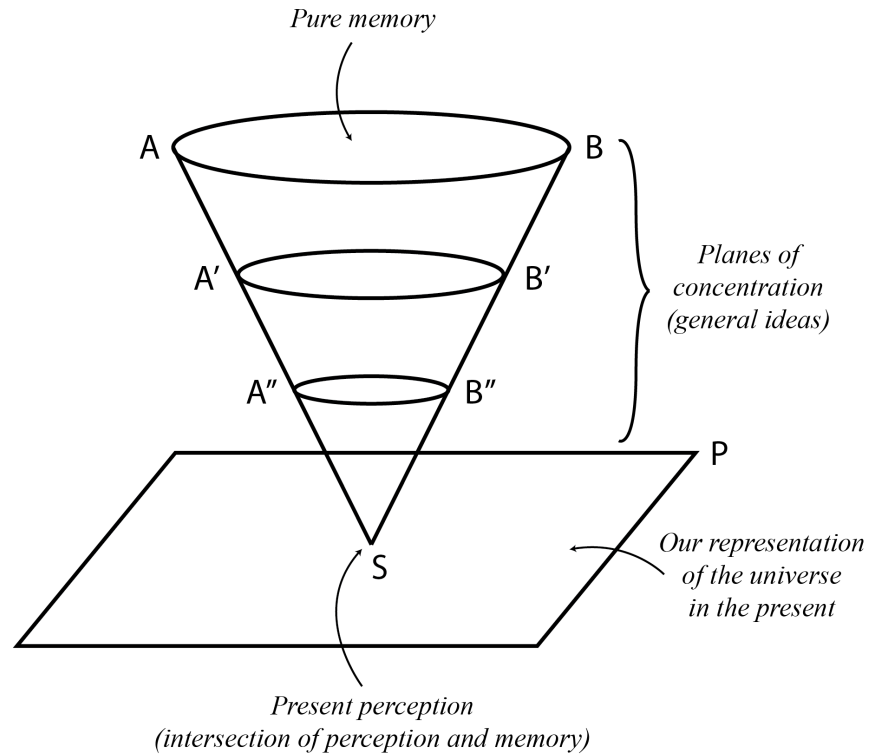
Example 80. Bergon's Figure 5 from *Matter and Memory*.

a nail to explain the relationship between the mind and the brain).[14] As our perception

and action take hold of the space of our immediate horizon, our memory brings into

our consciousness the dimension of time. Along a similar vein as Heidegger's *Dasein*

(being-there), Bergson situates our *consciousness* as the intersection between space and

time, our body occupying the center of our spatial horizon and our mind at the forefront

of our memory; in other words, we exist both spatially and temporally, responding to

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14. Henri Bergson, *Matter and Memory* (New York: Zone Books, 1988), 12. "But there is also a
close connection between a coat and the nail on which it hangs, for, if the nail is pulled out,
the coat falls to the ground. Shall we say, then, that the shape of the nail gives us the shape of
the coat, or in any way corresponds to it?"
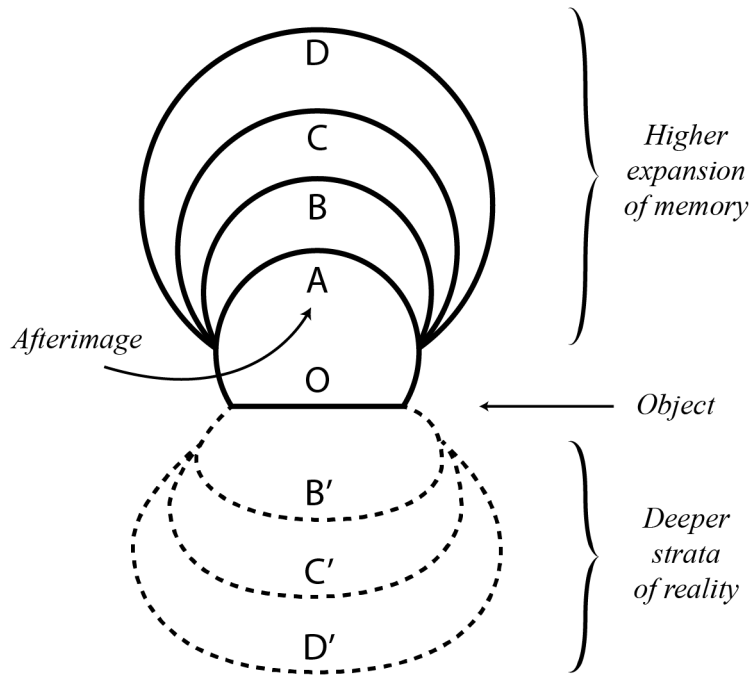
Example 81. Bergson's Figure 1 from *Matter and Memory*.

our surrounding objects and drawing upon our past memories. Our past perceptions are stored up as images in this virtual dimension; they cease to be useful in bringing about actions to our immediate surroundings since they are only images from the past, yet they interpenetrate into our zone of indetermination such that they allow us to reflect upon our present perception and participate in guiding our decision of the best possible actions. These memory-images are not stored in a linear fashion, in a manner that the retrieval of an earlier one necessitates the recalling all in the intervening past; it is rather the case that all of the past is stored on the same virtual plane, like images floating on the surface of a sea such that each can be readily recalled without the mediation of others. Bergson calls this collection of past images "pure memory." This virtual memory

needs to be actualized in order to be recalled and brought into our consciousness, hence the recollection-image differs from the memory-image in the way that the former is actualized in the present whereas the latter resides virtually in the past. We can realize that, in relation to Schumann's Andante, the recollection-images that are conjured up in our present consciousness is therefore different in nature to the pure memory-images in the past, in which the former is subjected to the process of fragmentation (as in the case of the *Frauenliebe*) or reinterpretation (as in the quotation of the *Davidsbündlertänze*). The images on this plane of pure memory congeal around the certain "dominant memories" or "shining points," like the *Kairos* of our past that is particularly marked and historically significant. These images also coalesce by means of resemblances, in which we brought them together under the process of intuitive generalization. The sea of pure memories becomes more concentrated and organized around these dominant memories and points of generalization, forming different planes that converge towards the point of our consciousness—the point of here and now. In a real perception of a present object, its afterimage calls upon another image from memory, actualizing it from its virtual existence into a recollection-image. This actualized image from memory is then reflected back upon the object itself, the pure perception and the recollection intermingling with one another to the point of indiscernibility. As such our real perception of the object, as a juxtaposition of images, is transformed in this circuit of recollection from the virtual ("the higher expansion of memory") and reflection upon the actual ("the deeper strata of reality").[15] This circuit may sometimes be broken loose, in situations like dreams and hallucination, where the recollection-image fails to reflect upon the actual perception and lends it utility to action; instead, those images, in turn, bring forth another recollection by actualizing it from memory.

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15. Bergson, *Matter and Memory*, 04.

Chapter 8

The actions executed by the sensory-motor mechanism belong to the objective world of matter; the pure past in the form of memory intersects with this bodily mechanism in our zone of indetermination, calling up similar images from the past in order to enrich our present perception of the world. This reflective rumination over the perception-image contributes to the subjective side of our existence. The movement-image in movies, claimed by Deleuze, is a representation of the sensory-motor mechanism of our body, whereas the recollection-image gives a portrayal of our soul and subjectivity: "the recollection-image comes to fill the gap [between a received and an executed movement, an action and a reaction, a stimulation and a response, a perception-image and an action-image] and really does fulfill it, in such a way that it leads us back individually to perception, instead of extending this into generic movement."[16] This gap is the zone of indetermination, the medial point in the sensory-motor mechanism where actions are chosen from all the potential ones incited by our perceptual stimulus. In a recollection-image, movement and action are temporarily held in abeyance, upon which the virtual realm of memory interrupts and transports the viewer back in time. Hence what the recollection-image depicts is subjectivity, "which is no longer motor or material [as in affection] but temporal and spiritual: that which 'is added' to matter, not what distends it; recollection-image, not movement-image."[17] The recollection-image not only sits side by side with the present image, alternating between the present and the past; it is something "added to matter" and transforms it in the process, such that the present image does not look the same to the viewer anymore. This enrichment of the present image is contributed by the infusion of our subjectivity, in the form of memory and recollection, into the material world.

We can now see, as conceived of by Bergson, how the past images are called up

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16. Deleuze, *Cinema 2*, 47.

17. Deleuze, *Cinema 2*, 47.

from the virtual and the present images are transformed as a result. What we perceive in the flashbacks, as in the case of Schumann's Andante, is not simply a link between the variation trajectory in the present and the quotations in the past, like a heteroglossia of discrepant voices, a forcefield of dissonating elements. What these recollected images beget is an image of time in its double movement, the present that passes and the past that is preserved, the actual image falling back to the virtual, and the virtual image is reified or actualized as recollection.[18] These recollection-images form with the present images a "crystal of time," a circuit between the present/actual perception and the past/virtual memories. This actual-virtual circuit in the time crystal is grounded upon Bergson's conception of memory and its role in *attentive* recognition. Bergson distinguishes two types of recognition: *instantaneous* and *attentive*. An instantaneous recognition is primarily sensory-motor; it extracts what is useful in the object so as to bring forth a bodily reaction that acts upon the object of perception (this utilitarian kind of perception resembles the similar comparison between *equipmentality* of equipment and the *thingness* of things by Heidegger).[19] This kind of recognition extends itself into movement, and, to a certain extent, the subject acts like an automaton, responding to the stimulus like an impulse. On the contrary, attentive recognition places a gap between the received perception and the executed action, such that the zone of indetermination (i.e. our mind) can draw upon the past memories to reflect upon the present image. Here it is not the utility or usefulness of the object that interests the perceiver, but rather its outlines and surfaces that attract our attention, as if the existence of that object requires perpetual interrogations and examinations. Predicated on the same idea, the crystal of time is

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18. Deleuze, *Cinema 2*, 84; "what it [the flashback] reveals at a deeper level is the dividing in two of time, which makes all the presents pass and makes them tend towards the circus as if towards their future, but also preserves all the pasts and puts them into the circus as so many virtual images in pure recollections."

19. Heidegger, "The Origin of the Work of Art," in *Basic Writings: From Being and Time (1927) to the Task of Thinking (1964)* (New York: Harper & Row, 1977).

created through the interruption of the sensory-motor pathway and the cessation of bodily action; it, in turn, brings the viewer into an analytic mode of the world by conjuring up the past images that, as in Bergson's attentive recognition, inform and enrich the actual image. The smallest form of the crystal, its seed, is originated from the afterimage of the present perception, the first image that stays in our mind once we perceive it. This mental image forms a closed circuit with our immediate sensation of the object to a point of indiscernibility, one in which we cannot tell apart its actual qualities from its representation.[20] The crystal of time is then formed from this smallest seed, growing, and extending itself into an ever-enlarging milieu:

> But this point of indiscernibility is precisely constituted by the smallest circle, that is, the coalescence of the actual image and the virtual image, the image with two sides, actual and virtual at the same time. We gave the name opsign (and sonsign) to the actual image cut off from its motor extension: it then formed large circuits, and entered into communication with what could appear as recollection-images, dream-images and world-images.[21]

The *opsign* and *sonsign* refer to the purely visual and sonic signs, their qualities detached and becoming independent from the sensory-motor mechanism. These types of signs are different from the perception-images discussed in Deleuze's *Cinema 1*, which are mostly utilized in the form of a *mise-en-scene* or a point-of-view shot. Here these two images instead possess a depth of field, as if the existence of reality is concealed by its appearance and hence shrouded in mystery. The image is not-yet-conceivable and not-yet-comprehensible, and the "function of depth is rather to constitute the image in crystal,

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20. Deleuze, *Cinema 2*, 70. "The actual image and its virtual image thus constitue the smallest internal circuit, ultimately a peak or point, but a physical point which has distinct elements […]. Distinct, but indiscernible, such are the actual and the virtual which are in continual exchange."

21. Deleuze, *Cinema 2*, 69.

and to absorb the real which thus passes as much into the virtual as into the actual."[22] In other words, the virtual and the actual images, forming a circuit, are superimposed over one another in such a way that the present image is bestowed upon a sense of depth—a *heimlichvoll* or opaque dimension. This circuit becomes wider, and the crystal becomes bigger, by bringing into itself more distant and divergent memory-images, tracing out wider circles that link up with the present image, hence the formation of recollection-images, dream-images, and world-images. Apart from endowing a depth to the present image, the crystal presents to the viewer a direct image of time—not chronological time as in a movement-image, but non-chronological time in the form of an enlarging duration, within which moments from the past and the present are related via association rather than contiguity, coexistence rather than succession. In Deleuze's words,

> Since the past is constituted not after the present that it was but at the same time, time has to split itself into two at each moment as present and past, which differ from each other in nature, or, what amounts to the same thing, it has to split the present in two heterogeneous directions, one of which is launched towards the future while the other falls into the past. Time has to split at the same time as it sets itself out or unrolls itself: it splits in two dissymmetical jets, one of which makes all the present pass on, while the other preserves all the past. Time consists of this split, and it is this, it is time, that we see in the crystal. We see in the crystal the perpetual foundation of time, non-chronological time, Cronos and not Chronos.[23]

The crystal is bipolar, inasmuch as time is split between the becoming-past of the present and the becoming-present of the past. The crystal of time is also a rhizome of time; it seeks to coagulate different moments from the past around the present image,

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22. Deleuze, *Cinema 2*, 85.
23. Deleuze, *Cinema 2*, 81.

which functions like a ritornello for the recollections to be actualized and fall back upon. It is in this sense that the crystal of time insinuates the infinite, the Whole of the cosmos: the "crystal-image has these two aspects: internal limit of all the relative circuits, but also outer-most, variable and reshapable envelope, at the edges of the world, beyond even moments of world."[24] This Whole of the world is the plane of immanence for the emergence of the crystal, its background, the depth of field, or the sea of atoms in a supersaturated solution. Images of recollection, floating like atoms in the sea of virtual memory, are crystallized by the seed of the present that grows spontaneously in multiple directions. Time is constituted in the crystal through the interplay of the present and the past.

The Andante can be considered similarly as a crystal. The short introduction commences like a seed immersed in a supersaturated solution, itself growing in size via the accumulation of successive variations. This present image of the seed is like a trace from another time, the wound of a past trauma, which possesses a certain depth of field, a nebulous past existence, that is concealed within itself and waiting to be revealed by subsequent images. The train of thoughts in the first four variations plunges into the depth of the past, represented musically by the liquidated thematic materials. Recollection-images emerge from this depth of virtuality, first through the narrative voice of the *Frauenliebe* and then through the faces of the Davidsbund. The past recollections resonate rhizomatically with the other variations, forming a hermeneutic circuit of actualization and unconcealment. We can say that the work so far has a pervasive sense of nostalgia, for the present image, at the very beginning, has a propensity toward the past instead of the future. The formal trajectory of variations is not one that spirals out in order to give birth to new musical materials; it is rather a spiritual journey into the interiority

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24. Deleuze, *Cinema 2*, 81.

of one's subjectivity—it does not extend into space but reaches back in time, bringing into consciousness a synoptic view of past as duration. Hence "with recollection-image, a whole new sense of subjectivity appears,"[25] a subjectivity constituted in time. It is the dreamer, according to Bergson, who dwells in past images and ignores the actuality of the present world. In a sense the recollection-images constituting the crystal of time symbolizes death, an opposition to life, because "[e]verything that has happened falls back into the crystal and stays there: this is all the frozen, fixed, finished-with and over-conforming roles that the characters have tried in turn, dead roles, or roles of death, the macabre dance of recollections that Bergson speaks of."[26] The time-crystal is like a capsule that is exhumed out of the grave of the past, a deathly appearance of a phantasm that always already haunts the present.

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25. Deleuze, *Cinema 2*, 47.
26. Deleuze, *Cinema 2*, 87.

Intermezzo 4

Three Syntheses of Time

The repetitional scheme of the variation, the cyclical nature of the rondo, and the linear narrative of tension and resolution—these are not merely abstract formal schemata that the listener apprehends from an outsider's position, who seeks to condense the entire work into a spatial representation, in a form similar to architecture. Musical forms also bear upon our experience of time within the scope of the work, giving rise to a different perception of time in the listener, akin to the virtual space portrayed within a painting. This temporal experience of music is often subsumed under the general term *temporality*[1]—the temporal quality implicated and enacted by its intrinsic musical content or its formal design in different sections of the work. It is generally agreed upon that music enacts a sense of time which is distinct from the physical time demarcated by the clock, as if one plunges into a different temporal plane during listening and leaves behind the other times from the ordinary world, such as the ticking of the clock, the schedule of a radio channel, the rate of our heartbeat or breathing. Selincourt asserts that "[t]he Time of music is similarly an ideal time" and that music "suspends ordinary time, and offers itself as an ideal substitute and equivalent."[2] Music leaves the ordinary time of our life in abeyance and arrests our time-consciousness fully when we are absorbed into

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1. Robert Hatten, "The Troping of Temporality in Music," in *Approaches to Meaning in Music*, ed. Almén Byron and Edward Pearsall (Bloomington: Indiana University Press, 2006), 62. "By temporality, on the other hand, I refer to the ways in which we might characterize temporal experience in music."

2. Basil de Selincourt, "Music and Duration," in *Reflections on Art: A Source Book of Writings by Artists, Critics, and Philosophers*, ed. Susanne Langer (New York: Oxford University Press, 1961), 186–7.

the temporal flow of music.[3] Langer likewise differentiates between the "clock time" of "actual happenings" and the "virtual time" of music experience, and situates the latter in terms of durations. Clock time, as described by Langer, is a "one-dimensional continuum" of an "infinite succession of moments," and the "underlying principle of clock-time is change […] 'change' from one to the other is construed in terms of their differences."[4] It is therefore coterminous with the succession of pulse and meter, which mark time with a regular interval. On the other hand, the virtual (experiential or subjective) time of music is something different; "[t]he realm in which tonal entities move is a realm of pure *duration*. […] Musical duration is an image of what might be termed 'lived' or 'experienced' time."[5] While clock time is characterized by change, musical time is defined by "passage, or the sense of transience." In other words, changes happen within duration (as a transformation of the whole) rather than between successive moments. As duration, musical time ceases to be infinitesimal points but one with "volume […] the direct experience of passage that makes it, as Bergson observed long ago, indivisible."[6] Souriau similarly contrasts the objective "time of performance," the unfolding of a piece in real-time, with the subjective "time of the work," which draws upon the events internal to the artwork—the "intrinsic time of the work." Particularly noteworthy of the differentiation among three aspects of musical time, as postulated by Souriau: "The three chief classifications of aesthetic facts relative to musical time concern (a) its dimensional extent (b) its structure, notably in the form of rhythm (c) its agogic

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3. Selincourt, "Music and Duration," 287. "Music, on the other hand, demands the absorption of the whole of our time-consciousness; our own continuity must be lost in that of the sound to which we listen."

4. Susanne Langer, *Feeling and Form: A Theory of Art* (New York: Charles Scribner's Sons, 1953), 111–2.

5. Langer, *Feeling and Form,* 109.

6. Langer, *Feeling and Form,* 112.

(tempo or speed) variations."[7] As such, musical time is not a homogenous continuity but a complex juxtaposition of various temporalities, which "become free and plastic."[8] According to Alperson, music "exploits the sense we have of movement 'through' time, it exploits a sense of movement with or against a regular temporal background, and it exploits the sense of the integration of a flux of events into a single, unified whole. In general, it makes duration an object of attention and calls upon the same faculties we employ in all time perception. All this music does in a systematic and dramatic way."[9] In other words, music has the power to manipulate the listener's perception of time, in such a way, as maintained by Kramer, "time itself can (be made to) move, or refuse to move, in more than one "direction": not an objective time out there, beyond ourselves, but the very personal time created within us as we listen deeply to music."[10] Music creates an illusion of time, in the virtual span of the work, that is rendered plastic and malleable by the composer. As a result, the continuity of temporal flow may be subjected to "temporal intercut," broken up into various "multiply-directed" spans of time, reordered with respect to its intrinsic "gestural time," or giving rise to a temporal stasis—the "moment" or "vertical" time.[11]

How then can music evoke an internal realm of temporality that is separated from the linear flow of physical time, the actual duration of the piece? Deleuze's discussion

7. Étienne Souriau, "Time in the Plastic Arts," in *Reflections on Art: A Source Book of Writings by Artists, Critics, and Philosophers*, ed. Susanne Langer (New York: Oxford University Press, 1961), 300. These three types of musical time can be reframed as (1) a succesion of durations (musical units) of various lengths, (2) the dynamic shape outlined by this succesion of durations, and (3) the fluctuations of pulse based upon entrainment.

8. Langer, *Feeling and Form,* 113.

9. Philip Alperson, "'Musical Time' and Music As an 'Art of Time,'" in *The Journal of Aesthetics and Art Criticism* 38/4 (1980), 414.

10. Jonathan Kramer, *The Time of Music: New Meanings, New Temporalities, New Listening Strategies* (New York: Schirmer Books, 1988), 6.

11. Kramer, *The Time of Music*.

of the three syntheses of time may point us to a perspective to arrive at a justifiable explanation. Kant, to which Deleuze reacts and responds, regards time as constituted by our transcendental faculty of the mind that makes possible our understanding of the empirical world, and allows for the establishment of the sense of self. Deleuze rejects the unified view of time that the transcendental faculty is able to apprehend the events happening in time through intuition and organizes them in a systematic and scientific fashion. Time, for Deleuze, is multiple and pluralistic. While Kant resorts to transcendental aesthetics to account for *universal* time, the time of Chronos that is organized and represented as a unidirectional line, Deleuze goes a step further into the direction of Kant's analytics of the transcendental and proposes the existence of a time that is *rhizomatic* or *schizophrenic*[12]—time as fragments, characterized by discontinuity, disjuncture, forks and turns, juxtaposition and superimposition. This rhizomatic time is a transcendental notion of time, a sense of time that lies underneath the time-Being of Chronos and above the ephemeral becoming of the living present. In order to get at what Deleuze means by this transcendental notion of temporality, it is necessary to understand the three syntheses of time, their nature and inherent paradoxes.

The first synthesis of time corresponds to Bergson's idea of the living present, a duration centered around the present moment where the past is contracted into the form of habits—bodily impulses acquired through prior repetitions. In Deleuze's own words:

> Time is constituted only in the originary synthesis which operates on the repetition of instants. This synthesis contracts the successive independent instants into one another, thereby constituting the lived, or living, present. It is in this

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12. Deleuze did not use these two terms to describe the third synthesis in *Difference and Repetition*, yet the same notion of time pervades and resonates with his later works on the rhizome (*A Thousand Plateaus*) and schizophrenia (*Anti-Oedipus*).
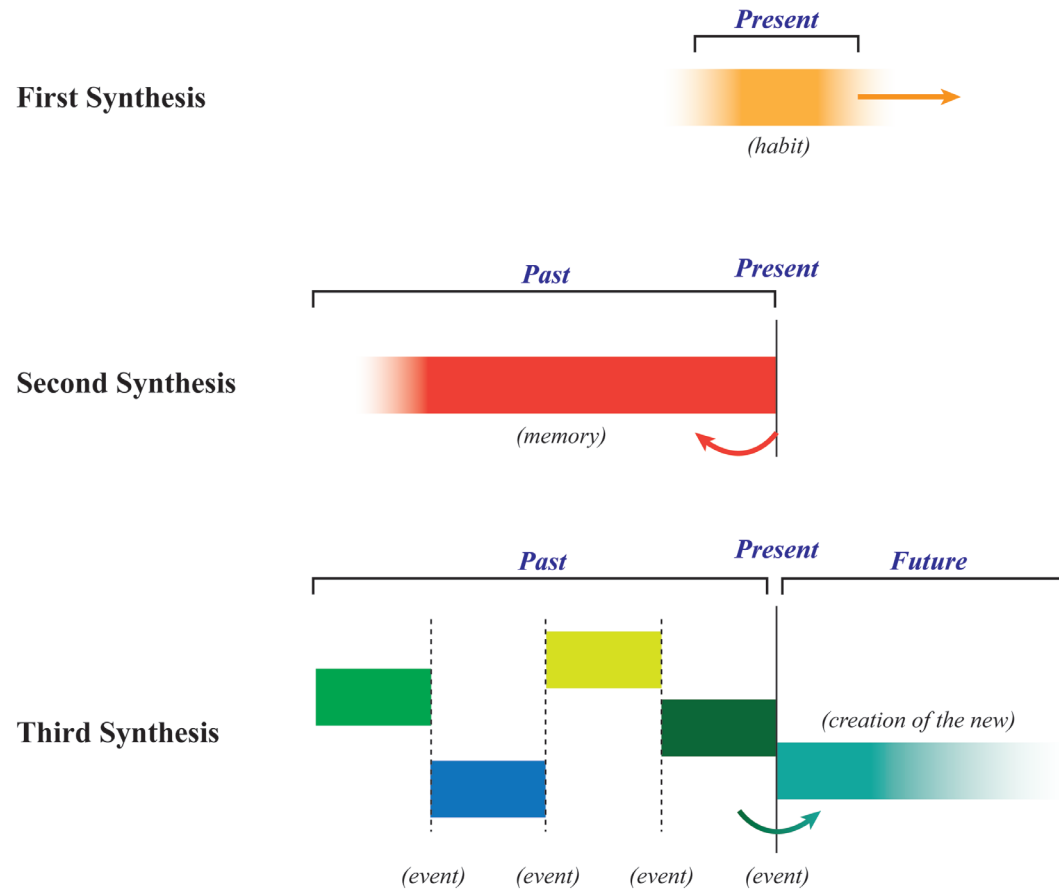
Example 82. The three syntheses of time.

present that time is deployed.[13]

This synthesis of the passing instants into the duration of the present is passive rather than active, without the participation of our conscious mind (that is, our mind grasps durations in time intuitively rather than cognitively or conceptually): "It is not carried out by the mind, but occurs in the mind which contemplates, prior to all memory and all reflection."[14] This notion of the present as duration sidesteps the paradox (such as those by Zeno) between instants and the passage of time, on how the succession or accumulation of instants (which have no duration) can constitute a continuous span of time (similarly how the summation of zeros adds up to one). Deleuze (and similarly Bergson and Kant) reframes the issue not on the side of the objective world, but in the mind of the perceiver—duration is constituted through the transcendental faculty of our mind, something that is given *a priori* and without the intervention of the thinking subject. It "constitutes time as a living present, and the past and the future as dimensions of this present."[15] In other words, by way of the first synthesis, the present exists in itself while the past and future depend on this present as the two temporal "others." The first synthesis, however, does not constitute the entirety of our time experience, as the present is not stationary but constantly moving: "It [the first synthesis of time] constitutes time as a present, but a present which passes. Time does not escape the present, but the present does not stop moving by leaps and bounds which encroach upon one another."[16] Even though this living present is fabricated by a passive operation in our mind, it is nevertheless the "actual" time that we experience here and now, one that we

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13. Gilles Deleuze, *Difference and Repetition*, tran. Paul Patton (New York: Columbia University Press, 1994), 70.

14. Deleuze, *Difference and Repetition*, 71.

15. Deleuze, *Difference and Repetition*, 76.

16. Deleuze, *Difference and Repetition*, 79.

participate in through actions. As the present continuously falls back into the past, and the present incessantly heading into the future, the living present can extend or contract, bringing more or fewer instants into the duration, and durations succeed one another in a continuous sequence, as one duration dovetailing into another. Concurring with Kant, the synthesis of time is the basis of our subjectivity, constituting our sense of the self: "Subjectivity is never ours, it is time, that is, the soul or the spirit, the virtual."[17] As the present duration constantly passes away and is replaced by a different living present, it gives rise to the existence of a multiplicity of selves and subjectivities, resulting in a "dissolved" or fractured self. This fracturing of the self into a plurality of selves (as "larval subjects" that exist passively in our conscious mind) prefigures, and provides the basis for, Deleuze's formulation of the third synthesis of time:

> These thousands of habits of which we are composed – these contractions, contemplations, pretensions, presumptions, satisfactions, fatigues; these variable presents – thus from the basic domain of passive synthesis. The passive self is not defined simply by receptivity – that is, by means of the capacity to experience sensations – but by virtue of the contractile contemplation which constitutes the organism itself before it constitutes the sensations. This self, therefore, is by no means simple: it is not enough to relativise or pluralise the self, all the while retaining for it a simple attenuated form. Selves are larval subjects; the world of passive syntheses constitutes the system of the self, under conditions yet to be determined, but it is the system of a dissolved self.[18]

The first synthesis of time invites the listener to dwell on the present and luxuriates in the evolving musical qualities of the passing moments. This focus on the

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17. Gilles Deleuze, *Cinema 2: The Time-Image* (Minneapolis: University of Minnesota, 1986), 83.

18. Deleuze, *Difference and Repetition*, 78.

present duration lends itself well to music listening as in Levinson's notion of "quasi-hearing," a mode of listening that depends on an immediate apprehension of a certain music continuity, such as a motif or a melody, in such a way that "one hears the sounding notes as belonging to a musical flow, or as contained within a musical process, of which they form a part."[19] This kind of listening brings together the present moment and the immediate past, while eliciting certain expectations about what follows.[20] It is in the present moment that the listener is invested in, who synthesizes with the immediately preceding and succeeding portions to form a temporal window of attention—the duration of the living present, consisting of "the currently unfolding musical event with its expanding and contracting penumbra."[21] In Levison's words, "[q]uasi-hearing can be conceived as a process in which conscious attention is carried to a small stretch of music surrounding the present moment, and which involves synthesizing the events of such a stretch into a coherent flow, insofar as possible."[22] This quasi-hearing does not involve the active effort of our mind to recall and reflect upon the past moments; the act of synthesis is entirely automatic and resides beyond any self-reflection or self-contemplation (Levison postulates three modes of listening of varying degrees of attentiveness and conscious involvement: (1) the indefinite listening, where "one cannot more than a tiny bit, for example, half a measure, of music at one hear time"; (2) quasi-hearing, where one has a "vivid apprehension of a musical unit, which goes beyond what

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19. Levison, *Music in the Moment*, 15.

20. Jerrold Levinson, *Music in the Moment* (Ithaca, NY: Cornell University Press, 2018), 16. "The experience of quasi-hearing can be usefully thought of as having three components or aspects. The first would be the actual hearing of an instant of music, the second would be the vivid remembering of a stretch of music just heard, and the third would be the vivid anticipation of a stretch to come. […] The width of the window of quasi-hearing, so conceived, is thus at any point a direct function of the reach of vivid memory and vivid anticipation at that point."

21. Levison, *Music in the Moment*, 25.

22. Levison, *Music in the Moment*, 18.

is strictly heard, but stops well short of merely intellectual contemplation of a recollected event"; and lastly (3) contemplating, where "one can contemplate the whole of a piece of music, in some sense, by representing it in linear fashion in one's imagination.")[23] Deleuze's first synthesis of time—as regards to the living present—goes beyond the passing instants of the present and expands toward the past and the future, yet it is in the form of habit that this synthesis occurs (the notion of habit is borrowed from the Bergson in which similar past events are condensed and converges towards the present moment, embodied as habits within our sensory-motor mechanism). For Deleuze, "[h]abit draws something new from repetition – namely, difference (in the first instance understood as generality). In essence, habit is contraction."[24] By way of this contraction, the temporal span of the living present expands while the instant of the present, the very limit of this synthesis, continuously shifts toward the future. As more and more divergent elements get synthesized, differences begin to accumulate across each instance of the simulacra, to such an extent that the mind fails to synthesize the instants further into the expanding span of the living present, giving rise to a feeling of fatigue: "Fatigue marks the point at which the soul can no longer contract what it contemplates, the moment at which contemplation and contraction come apart."[25] We may experience similar fatigue in listening to a long symphony, where we feel "lost" or "disoriented" within the unceasing flow of disparate musical events. It is at this point that one requires another mental faculty to effectuate a broader sense of time, one that involves the active recollection of memories.

Deleuze's second synthesis of time, via the participation of memory, posits the past in general, the *a priori* past. In his own words, "Memory is the fundamental

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23. Levison, *Music in the Moment*, 18–19.

24. Deleuze, *Difference and Repetition*, 73.

25. Deleuze, *Difference and Repetition*, 77.

synthesis of time which constitutes the being of the past (that which causes the present to pass)."[26] This synthesis of the pure past is a passive process, as if the past images are sedimented over the all-encompassing surface of virtuality (i.e. Bergson's pure memory). The retrieval from this pure past, however, necessitates the active recollection in the form of a mental circuit—the present image "recalls" a similar image from the past, conjuring it up from the deep virtuality of memory to form a present image in our mind. In this active synthesis, the present image joins with the past image(s) in the form of a circuit, one reflecting and enriching the other. The pure past is the ground of time, over which the live-in present, as given by the first synthesis, presses toward the future like a point moving through this time *in-itself,* while its present images fall back into virtuality once they become past:

> The first synthesis, that of habit, is truly the foundation of time; but we must distinguish the foundation from the ground. The foundation concerns the soil: it shows how something is established upon this soil, how it occupies and possesses it; whereas the ground comes rather from the sky, it goes from the summit to the foundations, and measures the possessor and the soil against one another according to a title of ownership. Habit is the foundation of time, the moving soil occupied by the passing present. The claim of the present is precisely that it passes. However, it is what causes the present to pass, that to which the present belongs, which must be considered the ground of time. It is memory that grounds time.[27]

In other words, the first synthesis allows us to perceive time as durations, whereas the second synthesis gives rise to an ideal representation of time as a continuous line, extending from the distant past up to the present moment. This representation of time is

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26. Deleuze, *Difference and Repetition*, 80.
27. Deleuze, *Difference and Repetition*.

only ideal because we cannot have an instantaneous or simultaneous view of this past in its entirety. It functions as a background in which our active recollection involves, via "the variable relations of resemblance and contiguity known as forms of association."[28] Owing to its associational nature, the recollection of past memories does not arise in us a complete duration of the past, but instead what gets recalled are fragments of the past that reflect and resemble the present. It is in this circuitous form of association ("the former present and reflection of the present present")[29] that the pure past, as an ideal continuity of time, is constituted. The existence of this pure past, as a ground beyond the reach of the active process of recollection, can only be palpated through reminiscence—the operation of involuntary memory:

> The entire past is conserved in itself, but how can we save it for ourselves, how can we penetrate that in-itself without reducing it to the former present that it was or to the present present in relation to which it is past? […] it seems that the response has long been known: reminiscence. In effect, this designates a passive synthesis, an involuntary memory which differs in kind from any active synthesis associated with voluntary memory.[30]

Reminiscence is by its nature coupled with forgetting, the "death drive" of Mnemosyne. It is this character of something lost and forgotten but suddenly appears in our mind, a memory that comes involuntarily, that gives us a hint of the existence of this ground of time—the pure past in-itself.

This representation of time as an ideal presentation of a continuous past (in the

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28. Deleuze, *Difference and Repetition*, 80. "In order to be represented the former present must resemble the present one, and must be broken up into partially simultaneous presents with very different durations which are then contiguous with one another and, even at the least, contiguous with the present present."

29. Deleuze, *Difference and Repetition*, 91.

30. Deleuze, *Difference and Repetition*, 84–5.

form of a timeline) correlates with the architectonic view of musical form. Under this view, the being of the piece—the way its components parts give rise to a structure—can only be fully apprehended after the piece has ended. It is only through contemplation and reflection (by going back in time to recall our past memories of the piece heard earlier) that we have achieved this architectonic view of a piece. Levison also deems this architectonic contemplation of musical form to be fundamentally different from the perspective of listening: "Architectonic contemplation of musical structure, whenever it might occur, is an experience of music in quite a different, and rather more etiolated, sense than that involved in a listener's active weaving together of the strands of a musical fabric when quasi-hearing its moment-by-moment progression."[31] We can illustrate this difference between the two modes of listening by an example with regard to harmony: the claim of "a subdominant on its way to the dominant" involves the listener's active immersion in the present moment (from the first synthesis of time), and project the expectation of a dominant as its viable successor; compared this with another claim—"a subdominant within an *Ursatz*"—here the subdominant is situated in certain temporal location (a being-in-the-middle) within the span of the fundamental structure, which is here represented as a transcendent ideal and underlies as a ground for the occurrence of the bass arpeggiation. The pure past from the second synthesis extends far beyond the span of the *Ursatz*, yet their principle of time representation is the same—as a stretch of time extending from the past to the present. Theories on musical forms and tonality often rely upon this ideal representation of time to account for happenings within the music: Caplin's ideas about formal functions are predicated upon the temporal location of beginning, middle, and end, as three portions of a complete musical utterance; Hepokoski and Darcy's "essential expositional trajectory" and "essential sonata trajectory" conceives

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31. Levison, *Music in the Moment*, 19.

of a section or a movement projects a narrative that "begins at the beginning […] and go on till you come to the end: then stop."[32] The linearity of time as the music unfolds is represented spatially as one dimension (often from left to right) demarcated by its points of beginning and end. It is only in contemplation in hindsight can this pure past be conceived.

These two modes of listening, one focusing on the present moment and its surrounding duration, whereas the other arranging the past happenings along a chronological continuity as a line, misses the middleground or the "transcendental" form of time, one that conditions and is correlated with the ideal representation of chronological time from the second synthesis. Deleuze's notion of the third synthesis is a step beyond Bergson's conception of time as duration. This lays above the transitoriness of the first synthesis (the passing present) and below the idealization of a linear-chronological time (the past in-itself). The third synthesis makes possible the conception of "the empty form of time" or a time "out of joint."[33] This synthesis of time is *schizophrenic* rather than totalizing, *rhizomatic* rather than continuous. As Deleuze describes:

> time out of joint means demented time or time outside the curve which gave it a god, liberated from its overly simple circular figure, freed from the events which made up its content, its relation to movement overturned; in short, time presenting itself as an empty and pure form. Time itself unfolds (that is, apparently ceases to be a circle) instead of things unfolding within it (following the overly simple circular figure). It ceases to be cardinal and becomes ordinal, a pure order of time.[34]

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32. Lewis Carroll, *Alice in Wonderland*, ed, Donald Gray (New York: W.W. Norton, 1971).

33. Deleuze, *Difference and Repetition*, 88.

34. Deleuze, *Difference and Repetition*, 88.

Intermezzo 4

The third synthesis gives rise to "an empty and pure form" of time, a "demented time" or "time outside the curve" (a curve that is smooth and continuous, the motion of which can be described algebraically as a function). This is a time that is not subordinated to movement, but one that attributes the sense of time to movement (i.e. its temporality), or as Deleuze puts it, "[t]ime itself unfolds […] instead of things unfolding within it." Deleuze does not mean that we can structure time however we prefer, but there exists a certain degree of freedom and uncertainty in the transcendental faculty of our mind that does not readily lend itself to a totalizing continuity of chronological time. One of the factors that contributes to its discontinuity may come in the form of a "unique and tremendous event, an act which is adequate to time as a whole" in such a way that the "image [of the event] itself is divided, torn into two unequal parts."[35] Just as history itself is broken up by significant events that change its course (for example, the event of the French Revolution splits the history of modern Europe into two, itself turning away from the feudal and aristocratic social structure of the medieval and paving the way to a modern society based on political ideas by Rousseau, Montesquieu, and Locke). The "tremendous event" engenders a caesura to the linear unfolding of time, rendering it discontinuous and fractured: "We can define the order of time as this purely formal distribution of the unequal in the function of a caesura."[36] While the living present from the first synthesis may expand or contract and the pure past from the second synthesis can encompass various degrees of contractions or concentrations surrounding the shining points of memory, the pure form of time from the third synthesis is composed as an order, such that time "ceases to be cardinal" (i.e. the various lengths of duration) "and becomes ordinal" (i.e. independent spans of time are ordered in relation to one another). The future and the past are not situated at either side of the living present, but as attributes that we

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35. Deleuze, *Difference and Repetition*, 89.
36. Deleuze, *Difference and Repetition*, 89.

project into the various spans of time: "the future and the past here are not empirical and dynamic determinations of time: they are formal and fixed characteristics which follow a priori from the order of time, as though they comprised a static synthesis of time."[37] In other words, the past and future are like qualities or aspects of time (similar to McTaggart's conception of the B-series of time, which relates durations as earlier or later, and is therefore by its nature discontinuous and associational), properties that we bring to bear upon the disjointed spans of time that are truncated by caesuras of time. Hence the third synthesis of time is heterogenous, pluralistic, and deterministic; it is also transcendental in the sense that time is not given to us by movements in the world but rather we structure time in order to get hold of the movements and their inherent disjunctures and breaks. Inasmuch as the synthesis of memory, *à la* Bergson's, gives rise to the sense of self, the transcendental time that is split up by caesuras "constitutes the fracture in the I (the caesura is exactly the point at which the fracture appears)."[38] As opposed to the continuity of the self in the first synthesis that is dictated by habits and impulses within the moving window of the living present, or to the *being* of the self in the second synthesis that brings together all the past memories as its own identity, Deleuze through the third synthesis proposes a fracturing of the Self that is composed of a multiplicity of selves, ones that are passive and predicated upon this synthesis of time undercut with caesuras. This profusion of selves is the consequence of the transcendental notion of time given by the third synthesis:

> It is as though the I was fractured from one end to the other: fractured by the pure and empty form of time. In this form it is the correlate of the passive self which appears in time. Time signifies a fault or a fracture in the I and a passivity in the self, and the correlation between the passive self and the fractured I constitutes the

37. Deleuze, *Difference and Repetition*, 89.
38. Deleuze, *Difference and Repetition*, 89.

discovery of the transcendental, the element of the Copernican Revolution.[39]

Different from Kant's transcendental ego that seeks to combine divergent intuitions and sensibilities into a unified whole, one that provides the foundation of universality for our understanding (*Verstand*) of the empirical world, Deleuze's adaption of the notion of the transcendental instead reaches into the pure differences that are characteristic of our intuition or our *sense* of the world, eliciting its intrinsic paradoxes and multiplicities residing within our presumed unity of the self. Just as time is not always continuous but broken up by caesuras and breaks, our self is not a unified identity but composed of a plurality of passive selves (as "larval subjects"), each is determined by our passive synthesis of time as durations.[40] We should not confuse these durations from the third synthesis, upon which our passive selves are predicated, from the other two syntheses of time. As opposed to the present duration of the first synthesis, which is constantly displacing itself when the present passes, or the duration of the pure past from the second synthesis, which is all-encompassing, universal, and totalizing—the One of the Chronos, the individual durations from the third synthesis are instead static and pluralistic, a conception of time that is bordering on schizophrenia. Deleuze sees in Kant the emergence of the fractured self, a philosophical consequence that Kant has evaded and sidestepped in his critique but is pursued further by Deleuze with resort to the pure differences inherent in the logic of our sense[41]—the self is a singularity rather than an identity, a subject constituted by a profusion of passive selves rather than a

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39. Deleuze, *Difference and Repetition*, 86.

40. Deleuze, *Difference and Repetition*, p. 86. "To 'I think' and 'I am' must be added the self – that is, the passive position (what Kant calls the receptivity of intuition); to the determination and the undetermined must be added the form of the determinable, namely time."

41. Deleuze, *Difference and Repetition*, p. 87. "This is what Kant saw so profoundly in the Critique of Pure Reason, at least at one point: the manner in which the speculative death of God entails the fracture of the I, the simultaneous disappearance of rational theology and rational psychology."

unified idealistic ego that rules over our intuitions and imposes orders and identities with a view to empirical objectivity. The fractured subject is a *sub*-self, the *sub*-stratum below our self-consciousness gets hold of as the apparent unified subject that we commonly called the *I*. (It is interesting to note that Aristotelian substance, ὑποκείμενον (*hypokeimenon)*, is an underlying thing that holds the divergent properties of that object together, a conceptual point of ontological unification of empirical observations; as for Deleuze the underlying foundation of human subject, the *sub*-stance of its *being*, is, however, non-unified and dispersive, consisting of a conglomeration of passive selves resembling the symptoms of schizophrenia.) The existence of the *I* is not imaginary or illusory, but rather it is an idealization that ignores or gleans over its intrinsic incongruent multiplicities composed by the passive selves. The idealized *I* exists upon the condition from these passive selves, a subject that possesses differences in itself and remains constantly decentered and displaced. Hence Deleuze's transcendental subject is in between the "I think" (the synthesis of time) and "I am" (the *being* of I), one that exists prior to any notion of identity, lineage, or well-defined quality:

> In this manner, the I which is fractured according to the order of time and the Self which is divided according to the temporal series correspond and find a common descendant in the man without name, without family, without qualities, without self or I, the 'plebeian' guardian of a secret, the already-Overman whose scattered members gravitate around the sublime image.[42]

As mentioned earlier, the fracturing of the self is contributed by the caesuras of the "unique and tremendous event," due to which time is split into two asymmetrical portions, a past that does not continue into the future and a future that does not resemble the past. At the same time, this event brings about something new and unprecedented,

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42. Deleuze, *Difference and Repetition*, 90.

setting apart the future from the past. We should think of the event as purely ideational

rather than actual. It is not the case that the physical laws of causation cease to apply

at the moment of the event; rather the event represents a limit in our mental faculty to

synthesize time, or history, in a continuous and linear fashion, giving rise to an image of

this disjuncture that encapsulates both the before and the after of the event. It, therefore,

defies any attempt to explain it based on habits, or to subjugate the event under the

broadest duration of the Chronos. The event engenders a caesura in time, fracturing

it into separate durations that are ordered in a serial fashion and associated by static

relations of "before" and "after." The present, in which the event happens, is a moment

of metamorphosis, a transformation that leaves behind the burden of the past and heads

toward the future.[43] This creation of the new, in the form of a metamorphosis in the

present, does not occur in a vacuum, dissociated from any influence of our habits (first

synthesis) or the past (second synthesis); it is rather the case that the past inheres in the

present only as *conditions* for action, whereas the action that we engage in the present is

carried out by the *agent*, one that embodies the habits.[44] In other words, we draw from

the past in order to act in the present: "Repetition is a condition of action before it is a

concept of reflection. We produce something new only on condition that we repeat – once

in the mode which constitutes the past, and once more in the present of metamorphosis."[45]

Yet both the *conditions* from the past and the *agent* of habits, instead of being simply

repeated, are reacted upon and even repudiated in search for the new and the novel.

The past and the habits are like the negative valence that the present seeks to forget and

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43. Deleuze, *Difference and Repetition*, 90. "The past itself is repetition by default, and it prepares this other repetition constituted by the metamorphosis in the present."

44. Deleuze, *Difference and Repetition*, 93. "We see, then, that in this final synthesis of time the present and future are in turn more than dimensions of the future: the past as condition, the present as agent."

45. Deleuze, *Difference and Repetition*, 90.

supersede—the past is therefore simultaneously repeated and denied. Deleuze correlates this transformed repetition of the past and habits with Nietzsche's notion of eternal return:

> Eternal return, in its esoteric truth, concerns – and can concern – only the third time of the series. Only there is it determined. That is why it is properly called a belief of the future, a belief in the future. Eternal return affects only the new, what is produced under the condition of default and by the intermediary of metamorphosis. However, it causes neither the condition nor the agent to return: on the contrary, it repudiates these and expels them with all its centrifugal force. It constitutes the autonomy of the product, the independence of the work. It is repetition by excess which leaves intact nothing of the default or the becoming-equal. It is itself the new, complete novelty. It is by itself the third time in the series, the future as such.[46]

Under the eternal return, copies are turned into simulacra, the ideal model into a pre-individual singularity without identity, coherence, and fixity. If the exact repetition is a series of cycles around a stationary center, the eternal return in the third synthesis of time is akin to cycles that are constantly *displaced*, and the originary center of that cycle is forever *disguised* by each new recurrence. Repetition in the Deleuzian sense is always associated with the creation of pure difference among the terms, in such a way that each term differs in-itself from all the others, and it is only in the form of *disguise* (the repeated terms appear differently from the ideal model) and *displacement* (the new dislocates the original center of the cycle into a different direction) that repetition in time should be conceived.[47] As a corollary, eternal return does not assume the permanence of the object under repetition; rather it presumes its destruction in the future under the

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46. Deleuze, *Difference and Repetition*, 91.

47. Deleuze, *Difference and Repetition*, 105. "Repetition is constituted only with and through the disguises which affect the terms and relations of the real series, but it is so because it depends upon the virtual object as an immanent instance which operates above all by displacement."

process of transformed repetition, as if the totality of object is always already subject to dissociation and fracturing prior to it being repeated: "It [eternal return] does not allow the sun to return, since it presupposes its explosion; it concerns only the nebulae, for which alone it moves and from which it becomes indistinguishable."[48] The Platonic dichotomy between the ideal world of forms and the actual world of illusions are dispelled and undergoes a Copernicus revolution: here the ideal representation, in the form of a model, becomes an illusion and the multifarious instantiations of that model, in the form of copies that imitate the model, takes precedence as simulacra that introduce something new and novel through the act of repeating—an event in every instance. In the Platonic conception, copies differ further and further from the ideal form in each instantiation, up to the point of indiscernibility—a continual deferral from the model and differing from the center; Deleuze sees in each moment of its existence the emergence of the new, even if this novelty is manifested as its death and destruction: "in the infinite movement of degraded likeness from copy to copy, we reach a point at which everything changes nature, at which copies themselves flip over into simulacra and at which, finally, resemblance or spiritual imitation gives way to repetition."[49] This is the repetition on the plane of immanence, a repetition for-itself (*pour-soi*). The third synthesis of time is a novel proposition by Deleuze that extends Nietzsche's eternal return into the realm of metaphysics and ontology, one that also bears upon Deleuze's subsequent philosophical explorations regarding language, sense, psychology, capitalism, and social structure. It also provides the ground upon which pure difference is made to manifest, in which differences emerge by means of each repetition; instead of differences (as a negative notion) as deviations from resemblance, they are the new (as a positive notion) that are brought about through the action of repeating—differences in-itself (*en-*

48. Deleuze, *Difference and Repetition*, 91.
49. Deleuze, *Difference and Repetition*, 128.

soi). In other words, difference resides not as representations in our mind but manifested within the object of repetition, or as Deleuze put it, "[d]ifference is not phenomenon but the noumenon closest to the phenomenon"[50]—it is the things-in-themselves and the transformations thereof that bring into relief the observable differences as phenomena.

This disguised and displaced repetition of the third synthesis somehow resonates with the Romantic predilection for fragments and what Davis called the "temporally multidimensional works"[51] regarding the narrative and temporality in 19th-century piano sonatas. The pure form of time under the third synthesis renders time amicable to bending, elongation, or fracture at some critical moments; in a similar manner, Romantic music bears witnesses to frequent occurrences of discontinuity and fragmentation that break up the musical surface and the linear unfolding of musical time. Davis observes that "Romantic musical narratives comprise multiple levels or streams, where some of these streams are temporal […] but others of them are atemporal."[52] He then delineates, which he adapts from Genette's ideas concerning structural narratology, two modes of time references—*anachrony*, where "an event or passage in the narrative may refer forward or backward, to a time later than or earlier than its actual location in the story," and *achrony*, where the narrative is "stripped of any explicit temporal reference."[53] In other words, time in the former case displays a disjuncture by referring backward and forward to a different time that is by and large determinate; in the latter case, the shift in temporality does not lend itself to a clear sense of when it should have happened, giving rise to a sense of being out of time or "durational atemporality" in which certain passage within a piece may digress "from the theme's first-narrative, temporal level and into an

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50. Deleuze, *Difference and Repetition*, 222.

51. Andrew Davis, *Sonata Fragments: Romantic Narratives in Chopin, Schumann, and Brahms* (Bloomington, Indiana: Indiana University Press, 2017), 13.

52. Davis, *Sonata Fragments*, 14.

53. Davis, *Sonata Fragments*, 37.

atemporal stream,"[54] depicted through an internal expansion of a phrase and the resultant hypermetrical prolongation. Davis also identities two modes of anachrony within music: the external anachrony, where the initial point of disjuncture (or the "moment of interruption") can be connected with the point of return (or the "moment of resumption") in such a way that the "interpolated material can thus be more or less neatly removed and the material that remains stitched back together, without disturbing the larger outlines of the narrative form as a whole,"[55] and internal anachrony, in which the passage of digression gradually rejoins the primary narrative discourse as if a retransition is inserted to connect the two temporal levels. In these three modes of temporal play in Romantic sonatas described by Davis (durational atemporality, external and internal anachrony), time is rendered elastic and malleable, even fragile and brittle, free from the necessity of causality and chronicity of our ordinary time. This temporal juxtaposition does not imply that ordinary time, or clock time, is abandoned or annihilated, as the unfolding of the piece still happens in actual time from beginning to end; it is rather the case that another layer of a temporal plane is projected, one that is akin to an underlying *story* that is distinct from but grounded upon the telling of the story (its *discourse*) itself, in which the latter implies the former. The temporal disruptions and digressions as found in Romantic music occur in the gap between these two levels of temporality: the actual telling of the story as happening in actual time in dialogue with the implied time of the story itself, even though the latter may remain somewhat nebulous and obscure. The moment of temporal disruption, one that fractures time in fragments, is often depicted by certain marked contrasts in music, be it harmonic, dynamic, textural, or phrase-structural. Time, as opposed to a line, is stratified into distinct planes, which are related to one another by means of association, an ordering that is supplied by the interpretive faculty of the

54. Davis, *Sonata Fragments*, 85.
55. Davis, *Sonata Fragments*, 113.

listener. The moment of disjuncture opens up the infinite possibility into the whole of time, taking flight from its earthly chronicity and bringing up another time at will. As such the juxtaposition of distinct temporal planes happening within the discursive unfolding of a piece, which Hatten called "the troping of temporality,"[56] one that necessitates the reader's interpretation, often corresponds to a more subjective mode of listening. Hatten identifies three kinds of temporal juxtaposition of passages with disparate *aspectual* perspectives (its intrinsic temporal references) facilitated by a negation of certain surrounding *temporal* perspectives (the normative and expected linear succession of musical elements): 1) the reordering of formal functions, such as the substitution of a closing gesture at an initial formal location; 2) reminiscence or foreshadowing, the latter suggestive of an "evolving themes" or "cumulative form," or a combination of both (an idea resonates with Kaplan's notion of "temporal fusion");[57] and 3) interruptions (in the form of disruptive silence) that breaks up the musical surface into fragments with distinct temporal evocations.[58] This temporal troping highlights the existence of other temporal planes that are separated from the primary narrative level and thus are interpolated associatively under the purview of the living present, such that the piece as a consequent suggests more to the form of a crystal than a line. (It is interesting to note that this juxtaposition of temporalities as found in Romantic music is further exploited with greater significance in Proust's writings, best known for his use of the *moment bienheureux*, a felicitous moment via which the sensual qualities of the present image recalls a past lying deep within the memory of the protagonist and conjuring up the

56. Hatten, "The Troping of Temporality in Music."

57. Richard Kaplan, "Temporal Fusion and Climax in the Symphonies of Mahler," in The Journal of Musicology: 14/2 (1996), 213.

58. Hatten, "The Troping of Temporality in Music," 66–68.

buried past as an involuntary recollection like a flood of images.)[59] All of these strategies mentioned above seek to manipulate time, one that is actively constructed within the mind of the perceiver via the act of interpretation, as if time itself can be molded and reordered. This manner of listening, afforded by the particularly marked points of discontinuity, parallels Deleuze's conception of the third synthesis—the pure form of time, a time (or "times" to be exact) that is prone to fracturing and being rendered out of joint. This is a transcendental, hence subjective, notion of time, one that does not lend itself readily to the idealized time of linear chronology. If the time of the Enlightenment is characterized by a totalization via which "what has been coalesces in lightning like fashion with the Now," an image "at a standstill" that brings into opposition temporal *becoming* and the monumental *being* of the artwork,[60] an *Augenblick* that subsumes time under the act of unification, music in the nineteenth century repudiates this obsession with total systematization (one can relate this aesthetic ideal in the claim of total systematization in Kant's *Critique of Pure Reason*, in which every proposed principle has to provide an adequate answer to every possible questions that they raise)[61] and turns toward the *possibility* of the whole of time by means of, rather paradoxically, implicative potentials of its fragmentation. The caesura between the fragments, rather than a failure in

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59. For discussion on Proust's *moment bienheureux*, see Allan Pasco, "Proust's Reader and the Voyage of Self-Discovery," in *Contemporary Literature* 18/1, 20–37; Michael Puri, "Memory, Pastiche, and Aestheticism in Ravel and Proust," in Deborah Mawer, ed., *Ravel Studies* (Cambridge England: Cambridge University Press, 2010); and Steven Rings, "*Mystère limpides*: Time and Transformation in Debussy's *Des pas sur la neige*," in *19th-Century Music* 32/2, 178–208.

60. Benjamin, *Gesammelte Schriften* 5.1, p 578; quoted in Hoeckner, *Programming the Absolute: Nineteenth-Century German Music and the Hermeneutics of the Moment* (Princeton: Princeton University Press, 2002), 17.

61. Preface (2nd version) from Immanuel Kant, *Critique of Pure Reason,* trans. Paul Guyer and Allen W. Wood (Cambridge: Cambridge University Press, 1998), 101–2. "In fact pure reason is such a perfect unity that if its principle were insufficient for even a single one of the questions that are set for it by its own nature, then this [principle] might as well be discarded, because then it also would not be up to answering any of the other questions with complete reliability."

effecting a continuous and coherent thought, is instead suggestive of a moment of breakthrough (*Durchbruch*), a signifier of the ineffable that the artworks "wrest themselves free of the internal unity of their own construction, to introduce within themselves caesuras that no longer permit the totality of the appearance […] this breakthrough is the moment of *apparition*,"[62] an ephemeral appearance of the whole that is suggested by means of those very fragments. As such the total duration of the pure past from Deleuze's second synthesis does not exist a priori; it is rather the case that it is given by the third synthesis as a transcendental idea, which is, but not necessarily, idealized as a linear representation. This ideal time, as one of the products of the transcendental faculty of our mind, is then projected back as an objective reality, as the pure ground of time; hence Deleuze defines time as "pure virtuality which divides itself in two as effector and affected, the affection of self by self"[63]—time is first constituted in our mind (as in the third synthesis) and then reified as an objective reality of the pure ground of time (as in the second synthesis). Romantic fragments embody this transcendental notion of time in the course of its coming into being, vacillating between the atomistic moments of instantaneous attention and the total unification of duration, and, in turn, bringing into relief a subjective realm of temporal representation that captures the discontinuities located at the limit of our passive synthesizing capability. If Beethoven seeks to capture the infinite whole within a finite duration of his pieces and capture that whole in an image of the pregnant moment, Romantic composers turn their gaze toward the cracks and caesuras that give us a glimpse of that infinity, albeit merely a transient and ephemeral *apparition*.

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62. Adorno, Ästhetische *Theorie*, 137, quoted in Hoeckner, *Programming the Absolute*, 16.

63. Deleuze, *Cinema 2*, 83. "Subjectivity is never ours, it is time, that is, the soul or the spirit, the virtual. The actual is always objective, but the virtual is subjective: it was initially the affect, that which we experience in time; then time itself, pure virtuality which divides itself in two as effector and affected, 'the affection of self by self' as definition of time."

Intermezzo 4

Time under the third synthesis, if we follow its unfolding "through time," is likened to an ordering of a series,[64] a succession of distinct spans of time with their intrinsic temporal properties of "before" and "after." In a piece of music, it is often the case that the phenomenal present is upheld as the primary narrative discourse within which other temporal strata are interpolated (Davis called this the "primary temporal stream"[65]). This dimension of the present acts as a ritornello (i.e. a point of reference or return) into which other times are folded, hence turning the linear ordering of the series into the rhizomatic structure of a crystal—a crystal of time. As Deleuze describes succinctly: "And what do we see in the perfect crystal? Time, but time which has already rolled up, rounded itself, at the same time as it was splitting."[66] Time is splintered into fragments within the crystal, yet they coagulate into a structure via the means of pure association. Every moment resonates with the whole while the entire structure is determined *a posteriori* by each individual fragment—this is Deleuze's dialectical stance concerning the whole and the individual. Schumann's *Adagio and Variations*, Op. 46, is a crystal of musical time *par excellence*, employing the reiterative recursion of the variation as well as the ritornello return of the rondo as means to bring about the transformed repetition characteristic of the eternal return, while at the same time invoking memories from earlier compositions to incorporate within the crystal other planes of temporality as constituents of its crystalline structure. The crystal also opens up towards the future as if through a crack, happening during the G-minor finale, signifying the potentiality of a breakthrough, or a line of flight, from the crystal. The crystal of time is not a self-enclosed structure; it is always in the process of growing or

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64. Deleuze, *Difference and Repetition*, 89. "[T]ime is defined not only by a formal and empty order but also by a totality and a series."

65. Davis, *Sonata Fragments*, 37.

66. Deleuze, *Cinema 2*, 84.

decomposing—always in a state of *intermezzo*. At the same time, it is immersed within a milieu as its presumed background—a milieu of all conceivable times, memories, and future possibilities. This background—a universe of the whole of times—is akin to the supersaturated solution in which the crystal can be formed. As such the crystal is a selective assemblage of all of these infinite number of temporalities, while at the same time implicating the latter's existence as a pure background of the whole of time. In Deleuze's words:

> The crystal-image has these two aspects: internal limit of all the relative circuits, but also outer-most, variable and reshapable envelope, at the edges of the world, beyond even moments of world. The little crystalline seed and the vast crystallizable universe: everything is included in the capacity for expansion of the collection constituted by the seed and the universe. Memories, dreams, even worlds are only apparent relative circuits which depends on the variations of this Whole.[67]

The quotations from *Frauenliebe* and *Davidsbündlertänze*, as well as the breakthrough in the finale, are the "apparent relative circuits" within the crystal itself, a circuit between the opening theme (which acts as the "seed" of the resultant crystal) and the multiple foreign temporalities conjured up in these passages. Beyond these apparent circuits reside "the vast crystallizable universe"—a universe of "memories, dreams, and even worlds." The crystal is a paradoxical existence: it is a part of the whole, yet it implicates the whole. (An analogy can be made between a *text* and its *context*—the context informs and influences the text, while the text, in turn, reflects its surrounding context.) The crystal hence possesses two boundaries: an inner boundary that envelops only the crystal itself with "all the relative circuits," and an outer boundary that extends

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67. Deleuze, *Cinema 2*, 81.

beyond the all conceivable beings and all imaginable times, lying "at the edges of the world, beyond even moments of world." This is the sublime infinite insinuated through fragments—a glimpse of the infinite through the gaps and distances between these scattered fragments.

Chapter 9 Future/Line of Flight

Crack

Some crystals may not be perfect, and sometimes a crack occurs, something erupting from within and overflowing from the crystalline structure. Deleuze enumerates four types of time-crystal in cinema: a perfect crystal, crystal burst open by a crack, crystal in the process of formation, and crystal in decomposition. In a perfect crystal, actual and virtual images relate to one another in a closed circuit, in which the past always relates back to the present image without the latter extending into future movement.[1] This perfect crystal is like a "prism, the lens where the split image constantly runs after itself to connect up with itself."[2] Sometimes "a failing, a point of failing, a flaw"[3] may occur in a crystal that cracks it open from the inside. This crack brings into being a line of flight that escapes from the crystal into the depth of the virtual (i.e. its plane of immanence).[4] Deleuze likens the relationship between the crystal and its underlying depth to a ship on the sea, where the ship is supported by the buoyancy of the water, while at the same time it is at the mercy of the sea, its mere existence may be

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1. Gilles Deleuze, *Cinema 2: The Time-Image* (Minneapolis: University of Minnesota, 1986), 83; "the actual image and the virtual image coexist and crystallize; they enter into a circuit which brings us constantly back from one to the other; they form one and the same 'scene' where the characters belong to the real and yet play a role."

2. Deleuze, *Cinema 2*, 83.

3. Deleuze, *Cinema 2*, 85.

4. Deleuze, *Cinema 2*, 85; "something is going to slip away in the background, in depth, through the third side or third dimension, through the crack."

Expositional rotation		***Developmental rotation***				***Recapitulatory rotation***	
291	307	323	339		387	403	419
A	**B**	**A**	**B**	*(cont)*	**B'**	**A**	**B**
g-	*B♭*	*g-*	*B♭*		*D♭*	*g-*	*B♭*

(progressive rhythmic diminution)

Example 83. Formal outline of the G-minor finale.

readily engulfed by the merciless waves.[5] In other words, the pre-individual singularities on the plane of immanence (like atoms in the sea) are crystallized by the seed, forming an associational structure of a rhizome; at the same time, this structure is subjected to deterritorialization and dissolution, turning the crystal back to the sea of atoms. The depth of the sea is both the crystal's birth and its perdition, Kronos who creates and devours his children. This sea is the crystal's emancipation from the closed circuit of the constant reflection between the present and past images, where the present passes into the past and the past is preserved in the present, "the macabre dance of recollections"[6] of the frozen past. Through the crack in the crystal, something new comes out from it, a line of deterritorialization that seeks to escape the territorializing hold of the crystal.

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5. Deleuze, *Cinema 2*, 73. "Seed impregnating the sea, the ship is caught between its two crystalline faces: a limpid face which is the ship from above, where everything should be visible, according to order; an opaque face which is the ship from below, and which occurs underwater, the black face of the engine-room stokers."

6. Deleuze, *Cinema 2*, 87.

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Example 84. Expositional rotation (Theme A and Theme B) of the G-minor finale.

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The breaking-through of the crack "emerges from the scene and launches itself towards a future, creates this future as bursting forth of life."[7] In opposition to the death of the crystal, the crack symbolizes the emergence of life and the becoming of the future: "We are born in a crystal, but the crystal retains only death, and life must come out of it, after trying itself out."[8] This crack is like "a leap towards the future, an opening of the future" such that "the real will be created."[9]

Death and depth give way to future and freedom; seed and sea to life and liberty. This crack in the time-crystal occurs in the relative key of G minor (beginning in m. 291), following the post-cadential codetta of variation 7. The codetta is functionally unmarked (prolonging the tonic after the final PAC) but semantically marked—it hints at the denied cadential closure in the first song of Frauenliebe. After sinking back into the past, the G-minor episode emerges from this desolate depth like a breakthrough, the opening up of an envisaged future. The formal design diverges substantially from the opening theme, akin to the finale in Schumann's earlier variation cycles: it is structured around three formal rotations of two themes: an expository 16-measure theme A (mm. 292–307) in the form of an expanded sentence, followed by a complementary 16-measure theme B (mm. 307–322). Each of the two sections is similarly constructed in the form of a sentence, illustrated in the example below, metrically reduced in a proportion of two notated measures into one real measure in the graph (R=2N). In the first theme, the presentation phrase consists of two compound basic ideas in a statement-response relation (an opening I–V progression of the first is answered by a complementary V–I progression of the second), outlining a two-voice pattern evocative of the "Meyer" schema. This presentation phrase is succeeded by a continuation phrase featuring a departure from the

7. Deleuze, *Cinema 2*, 87–88.
8. Deleuze, *Cinema 2*, 86.
9. Deleuze, *Cinema 2*, 88.

previous tonic prolongation to its relative major (III) as well as a quickening of harmonic rhythm afterward. As rather common in a Classical-style sentence, this theme concludes with a half cadence instead of an authentic cadence. This open-endedness of theme A is responded by the tonicizing theme B, which is similarly structured as a 16-measure sentence. The presentation is basically a transposition of the "Meyer"-like progression in theme A, up a minor third to the relative key of B♭ major. The continuation similarly touches momentarily on its upper third within a descending-third sequential progression, rounded off with a PAC in the tonicized key of B♭ major. Compared with the rounded-binary form of the variation theme, the two themes composing the first rotation of the G-minor pseudo-finale display a parallel structure, with theme A in the key of G minor while theme B to a large extend transposing the former up to its relative major. Hence the formal function of closure of theme B's ending is paradoxical: on one hand, it brings forth a syntactically strong authentic cadence in response to the open-ended half cadence of theme A, while this closure, on the other hand, is in the relative major and hence tonal closure in the opening key of G minor fails to materialize. This paradox is extended to another formal dimension: with a view to the "home" key of the entire composition, this PAC(III) actually brings back B♭ major and resolves the tonal departure introduced at the start of this finale.

Upon the first hearing of this expositional rotation, it remains rather obscure as to its thematic and harmonic relationship with the opening theme. At most are we able to postulate certain motivic similarities with the former: for example, the lower-neighbor-note motion (B♭-A-B♭) in mm. 291–2 can be considered to be an inversion of the upper-neighbor figure in the opening introduction (F-G-F), and the échappée figure that follows (B♭-C-A) in the finale may correlate to the retrograde of the *übergreifen* motion at the beginning of the variation theme (F♯-A-G in m. 7). Other than these subliminal motivic linkages, this finale theme is divergently different from what comes earlier.

Its expansive formal proportion also does not lend itself to the conventional *minore* variation, a contrasting medial variation that is generally slow and cast in the tonic rather than relative minor. The expansiveness of this finale section is a consequence of its three rotational formal schemes—an initial expositional rotation, a developmental rotation with an elaborative *Ausspinnung* passage, and a recapitulatory rotation that returns to the original parallel 16-measure design (this sonata-inflected formal scheme resembles the finales from the "Abegg" Variations, Op. 1, and Impromptu, Op. 5, discussed in the earlier chapters). The developmental rotation (mm. 322–403) preserves the same order of theme A and B, with the former largely unaltered, only a slight acceleration in surface rhythm introduced by the duplicative eighth notes in the two cellos. Theme B remains the same except in the last two measures (mm. 352–3), where the opening melody from the variation theme intrudes as a cadential gesture over the original cadential progression (II^7–V^7–I). This unexpected intrusion of the opening material instigates a passage of *Ausspinnung* (spinning-out), an offshoot that stems out from the *Darstellung* of the self-enclosed themes. A new thematic unit, in the form of an expansive sequential passage, evolves out of this cadential idea, whose immediate repetition in mm. 355–8 inaugurates the "development" theme that takes this ending idea as a developmental core into various transpositional levels. We can observe here the operation of a formal "becoming"[10] akin to the character of a fantasy, where the post-cadential function of the repetition of the cadential gesture becomes the formal initiation of the new theme, a "form-functional substitution"[11] described by Caplin. The development theme (mm. 355–386) is divided into two halves, each made up of a core (in B♭ major) and its transpositions up two major

10. Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-century Music* (New York: Oxford University Press, 2017).

11. William Caplin, "Fantastical Forms: Formal Functionality in Improvisational Genres of the Classical Era," in *Musical Improvisation and Open Form in the Age of Beethoven*, ed. Gianmario Borio (Milton Park, Abingdon, Oxon; New York, NY: Routledge, 2018).

Example 85. Transpositional relations in the developmental rotation

third—first tonicizing in D minor, then in F major—outlining the chord members of the Bb-major triad. Amidst the spinning-out character of this development theme, which dwells upon the same cadential gesture in its various manifestations, there is still a trace of a sentential conception underlying its musical surface related by transpositional means. The developmental rotation continues into a transposed repetition of theme B (mm. 387–402), moved up a minor third to tonicize on the key of Db major, prepared by a chromatic 5-6 motion over the dominant chord (this transposition to the upper chromatic third recalls similar situations in Variations 3 and 5). This transposed B theme ultimately closes in Bb major, thus complementing the half-cadential closure of the previous development theme.

The recapitulatory rotation (mm. 403–435) returns to the thematic and formal design of the exposition, and reverts the tonality back to G minor without preparation (notice the abrupt juxtaposition of Bb major and G minor in m. 403). Its recapitulatory function notwithstanding, this rotation features a further increase in surface rhythm compared to the previous two rotations—a running triple-eighth notes alternating between the two cellos. The entire G-minor finale, therefore, demonstrates a teleological tendency that progresses in parallel with its ternary formal design, one that engenders

a sense of forward momentum from the progressive rhythmic diminution across the three rotations. This forward drive, largely absent in the earlier course of the work, is an attribute of the line of flight that seeks to escape the deathly presence of past memories, an opening up of a future by way of the crack of the time-crystal. The transpositionally related progression (in ascending thirds) in the development theme and the tonal digression into the tritone-related key (D♭ major) at the beginning of the B' section breaks away from the secluded structural confinement of the opening theme and suggests a kind of energizing rejuvenation and procreative vitalism. The finale also foregrounds the march topic ("ma marcato") with a consistent quarter-note pulse and a bombastic chordal texture, as if recalling the militaristic character in the earlier quoted passage of the *Davidsbündlertänze*, deriving the potency of the past recollection into the present action of an expressive breakthrough (the use of march topic in the finale of a piano cycle has its precedence in Schumann's Carnaval, "Marches des Davidsbündler contre les Philistins"). This invigorating energy of the march is in contradistinction to the melancholic self-indulgence of the lyrical theme, a binary opposite of expressive affects in which the former stands as a marked divergence in relation to the normativity of the latter. Yet, as opposed to the finale of the *Impromptu*, Op. 5, or the *Études symphoniques*, Op. 13, the march here does not lead into a triumphal apotheosis as in the narrative archetype of a romance, which empathizes the "victory of a desired order over an undesired transgression or opposition.[12]" Here the melancholic past impregnates the entire variations and even infiltrates within the pompous finale: the inclusion of the melodic idea from the variation theme, first appearing in mm. 352–3 and recurs through the developmental rotation, implies a troping of the two stylistic types—the lyrical and the march—as well as an interpenetration of two temporalities—the past and the future.

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12. Bryon Almén, "Narrative Archetypes: A Critique, Theory, and Method of Narrative Analysis," in *Journal of Music Theory* 47/1 (2003): 1–39.

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The two contrastive musical ideas are placed in dialogue with one another, in which the insistent march rhythm is elated to allow for the expression of lyricism, while at the same time the inwardness ("*Innigkeit*") of the lyrical melodic line is pumped up ("con anima") in its interaction with the march topic. In a certain sense, the two topics undergo a process of coevolution within the formal biome of the finale, bringing the past into the forward momentum towards the future. Yet this topical coevolution remains an attempt or a utopian vision, and fails to bring forth a burgeoning new state in the future, for the recapitulatory rotation reinstates the original state of affairs despite the promissory attempt in the development. This narrative trajectory of the finale mirrors that of the irony or the satire, where the new order of the future is denied by the originary transgressive forces of the past. The crack in the time-crystal, by resorting to the depth via the line of flight, turns out to be a vain attempt to bring forth life and future, a mirage that forever lays beyond our reach.

The G-minor/B♭-major tonal bifurcation (similar to the "double tonic complex"[13] discussed by Bailey) in the finale is reconciled in the codetta-like variation thereafter (Var. 8, mm. 435–451). This variation commences at the beginning like a codetta affixed to the end of the finale, functioning as if to dissipate the rhetorical energy accumulated from its rhythmic propulsion and chordal articulation. The first half of this variation prolongs the ending tonic of the finale, underpinned by an extended pedal point on B♭. Only when this pedal sinks to G at the start of the second half (m. 444) do we realize that a new variation is already underway, compelling us to retrospectively reinterpret the codetta-like portion as part of the binary design of this variation—a form-functional *becoming* from a post-cadential codetta to an initiating presentation.[14] This evocation

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13. Robert Bailey, "An Analytical Study of the Sketches and Drafts." In *Wagner: Prelude and Transfiguration from Tristan and Isolde*, ed. Robert Bailey (New York: Norton, 1985), 113–46.

14. Schmalfeldt, *In the Process of Becoming*.

Example 86. Motivic similarity between the finale and the opening theme.

of G minor is functionally "tamed" as a division in thirds of the descending fifth (from B♭ to E♭), here becoming merely an intermediary chord bridging the tonic and the subdominant, recalling the similar harmonic motion in the previous return of the opening theme in mm. 171–5. Rhetorically speaking, this variation is like a catharsis that releases the propulsive energy in the previous finale, while at the same time bringing the work back to the ethereal realm of B♭ major, the key of the Frauenliebe. This variation also undertakes another crucial thematic function: it sheds like upon the main motivic materials of the previous finale. The first two three-note figures of the finale (B♭-A-B♭ and B♭-C-A), as commented earlier, can be deemed to be derived from the opening introduction or the variation theme under inversion or retrograde. These motives attain a different *raison d'être* from the perspective of this codetta-like variation. The main motivic material throughout this variation is not derived from the first half of the opening theme (mm. 7–14) but rather from its contrasting middle (mm. 14–18), a section that receives little attention so far in the cycle. Here the same melodic figuration, despite a small difference in the ordering of the first two pitches (G-F into F-G), recurs with the

same melodic contour and metrical placement (where mm. 435-6 corresponds to mm. 14–5 from the opening theme); the dotted rhythm of the earlier instance also recurs with rhythmic augmentation at the beginning of this variation. The elaboration of this six-note motif becomes the basis from which the opening six notes of the finale are derived. This presentation of the motivic material from the opening contrasting middle brings about a formal revelation, a "eureka" moment that allows for a reinterpretation of the previous contrastive and motivically disparate finale section, which is associated not only with the first half but also uncannily with the second half of the opening theme. The reversal of the order of the opening two pitches also foregrounds the neighbor-note motif from the opening of the Frauenliebe, an upper-neighbor version (F-G-F) followed by its inverted counterpart (E♭-D-E♭), the latter doubled by the two cellos a third apart (a rhythmically augmented version of the neighbor-note figure is also found in the top voice of the piano, for instance, B♭-A-B♭ in mm. 435–7). If the G-minor finale is a crack in the time-crystal that hints at a possible future, its conclusion with this codetta-like variation seems as if to seal up the crack, turning the line of flight back to the seed of the crystal. In this work, the promise of the future is only illusory, the breakthrough only apparent. In the end, the crystal is reestablished, and time remains complicated within its folds.

Three-dimensional rondo

The formal layout of the entire work is presented in the example below. Simply titled "Andante and Variations," this piece nonetheless betrays a form that is more complex and intricate than a straightforward succession of independent variations. Three types of musical content can be discerned from the sections: the wholesale restatement of the opening variation theme (labeled "Theme" in the circle) which remains largely unaltered; the figurative variations based on the opening themes that feature various rhythmic patterns and affective characters (labeled with the shorthand "Var."); and the interpolation of contrastive episodes that deviates substantially from the melodic-harmonic framework of the opening theme (namely the two interior theme, IT1 and IT2, and the G-minor finale section, their labels inscribed within rectangular boxes). On the one hand, the threefold recurrence of the opening theme functions like anchor points within the variational structure, a ritornello upon which the lines of becoming fall back. The threefold appearance of the variation theme suggests a rondo-like structure, a formal scheme generally characterized by "[a] principal thematic idea—the 'rondo refrain' or 'theme'—alternates regularly with two or more contrasting passages, variously termed 'couplets,' 'episodes,' or 'digressions.'"[1] Hepokoski and Darcy similarly define the "unmixed" rondeau as "a structure built primarily by the juxtaposition of discrete sections," within which "the recurrence of a tonic-key refrain (or "rondo theme") separating the appearances of differing or contrasting episodes (or "couplets"), which are often, though by no means always, in nontonic keys."[2] The two authors also comment

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1. William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (New York: Oxford University Press, 2013), 642.

2. James Hepokoski and Warren Darcy. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), 388.
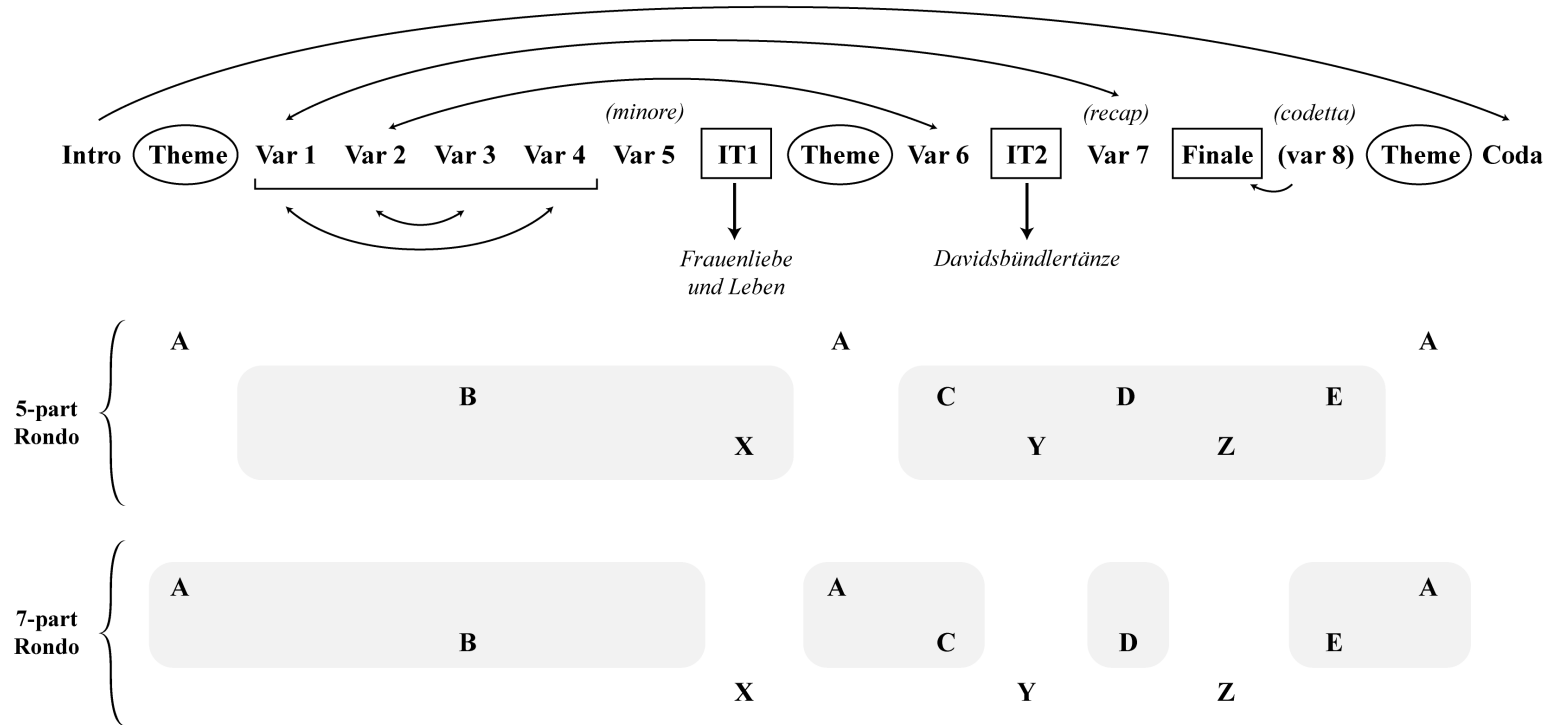
Example 87. G-minor finale of Andante and Variations, Op. 46, 5-part and 7-part rondo structure.

upon the rotational aspect of the rondo form, which can be generally categorized as a four-rotation structure (AB–AC–AB'–A+coda) or a three-rotation structure (AB–AC–A).[3] The opening theme, occupying the beginning, middle, and end of the entire variation cycle, may also be considered as a refrain from the perspective of the rondo, between which differing and contrastive materials are introduced. These contrastive materials, conventionally structured either as a subordinate-theme complex (a relatively expansive thematic area consisting of a modulating transition, subordinate theme (group), closing section, and retransition) or as an interior theme (a self-contained formal unit usually in the formal plan of a small ternary),[4] is spread out over a zone composed of the embellishing variations as well as the two interior themes and finale (this zone of contrastive materials is enclosed in grey in the formal diagram). From this five-part rondo scheme, the entire work is then partitioned into two almost equal halves: the first half targets the first interior theme (IT^1) with the quotation from *Frauenliebe*, while the second half leads up to the climax of the finale. We can also observe a certain correspondence between respective variations across the two halves. For example, the harmonic progression in the contrasting middle of Var. 6 harks back to that in the corresponding location of Var. 2, and the entire melodic-harmonic framework of the first variation is retained and recapitulated in Var. 1, which is modeled on the opening theme. The central thematic return is analogous to the Schenkerian notion of interruption: after plunging into the past via the recollection of the *Frauenliebe*, the unprepared return of the opening theme seems an intervention from without, as if bringing an end to the gradual descent into the depth of the past, wiping the slate clean, and starting the variation afresh—a line of becoming ultimately escapes the encapsulation of the time-crystal through the crack in the finale, albeit a vain attempt.

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3. Hepokoski and Darcy, *Elements of Sonata Theory*, 390.

4. Caplin, *Analyzing Classical Forms*, 643.

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Another formal interpretation arises from the three formal interpolations—the musical "outsiders" that intrude upon the steady stream of variations. These three dissonating sections are namely the interior themes, one referencing the song cycle *Frauenliebe* and the other hinting at the opening of *Davidsbündlertänze* or Clara's Mazurka, and the spirited finale. These formal units are structurally and expressive marked, for their divergently different material content sets them apart from the main variational discourse, standing like "dissonating" elements that resist being fully subjugated under the domination of the opening theme. We can hence regard the three sections are formal digressions, departures from the principle materials of the variation theme comparable to the couplets or episodes in a rondo schema. We can postulate a seven-part rondo based on the alternation of the main variational elements and the differing musical materials of the contrastive sections (here the main theme and its variations thereof are combined as one formal zone, represented by the grey boxes in the formal diagram). This seven-part rondo should not be confused with the seven-part structure of the sonata-rondo (ABACABA), the latter a more common formal schema in the Classical period. Caplin deems the seven-part rondo (ABACADA) as an enlargement of the five-part rondo, rather than, say, a deformation of the sonata-rondo form. The seven-part structure, instead of projecting a balanced symmetry between the two halves as in a five-part rondo design, bears witness to a formal "acceleration," a quickening of the alternation between the refrain material and the contrastive couplets. The first refrain, or a "refrain-zone" so to speak, consists of the opening theme (A) and its ensuing variations (B). Subsequent refrains are gradually shortened in formal proportion: the second refrain comprises two sections, the return of the theme (A) and Var. 6 (C), whereas only one formal section (D) composes the third refrain. This formal acceleration endows a quickening of pace, or a sense of urgency, in the second portion of the work's overall trajectory, one that culminates on the G-minor finale as a moment of

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Example 88. First half of variation 7.

accomplishment.

Vande Moortele devises the term "two-dimensional form" to refer to the interplay between hierarchical formal levels.[5] Here the two readings of the rondo that I proposed earlier may give rise to the conception of a "bivalent form" (*zweiwertige forme*), a term adapted from Webster's "multivalent analysis"[6] of musical form. From this bivalent view, a piece may accommodate two (or more) equally compatible formal interpretations. As opposed to the plurality of interpretations promulgated by post-structuralist critical theorists, these alternative readings are instead intrinsic to the formal and material properties of the piece itself, an emergence of two parallel formal designs from the music's temporal organization—in other words, the bivalent form arises from within rather than is imposed from without. The formal situation is rendered more complicated given that the piece is titled a variation. This implies that underlying the apparent rondo structure, whether it is five-part or seven-part, the recursive character of the variational process predominates, and thus the interpolation of the "outsider" elements should be viewed in light of this variational process. This amalgamation of different formal influences may be simply regarded as a formal hybrid, where the "gapped repetition" as part of the rondo return is infused within the "immediate repetition" of the variation form"[7] or we may employ Hepokoski's idea of deformation, viewing Schumann's idiosyncratic formal design in this Andante as a "deformed" counterpart to the orthodox

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5. Steven Vande Moortele, *Two-Dimensional Sonata Form : Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven: Leuven University Press, 2009), 14.

6. William Caplin, James Hepokoski, and James Webster. *Musical Form, Forms, and Formenlehre Three Methodological Reflections*, ed. Bergé Pieter (Leuven: Leuven University Press, 2009), 121–139.

7. Margulis, "Repetition" in *The Oxford Handbook of Critical Concepts in Music Theory,* ed. Alexander Rehding and Steven Rings (New York, NY: Oxford University Press, 2019), 199. These two terms, "gapped repetition" and "immediate repetition," are borrowed from Sisman 1993.

(or normative) formal archetypes of a pure variation or a pure rondo schema. Rather than interpreting Schumann's novel formal design as impure or inferior, here I would opt for Hatten's idea of "style growth"[8] to conceptualize the play and interplay among different formal schematic properties as found in the Andante. While Hatten's original use of the term refers to the creative evolution of topics and expressive genres from the conventional and universal types to unique and particular tokens, we can transpose this idea to conceptualize the growth of formal paradigms and the creation of new formal constructs. In the Andante Schumann elevates the variation form to a new dimension—it projects a hierarchy of repetitional scheme by combining the immediate repetition of the individual variations with the gapped repetition of the rondo refrain. The resulting form is analogous to a fractal, in which the smaller repeating cycles are nested within a larger one, rotations within a larger rotation, eddies within a vortex.

Intersecting with these recursive tendencies exists a long-range trajectory of delayed fulfillment. This trajectory plays out as a dialogic relationship between a pair of musical elements that change their identities over the course of the piece, bringing about an overarching narrative that threads through the entire variations. This conflictual relationship is founded upon the "schizo-tone," or the dissonating *punctum*, discussed earlier in this chapter—the enharmonic (or scale-degree) ambiguation between F♯ and G♭. As a chromaticized variant of the upper-neighbor figure correlative of the opening of *Frauenliebe*, the flat-sixth scale degree (G♭) is more at home in the key of B♭ than the upward-yielding counterpart (F♯). Yet the expected downward resolution of G♭ is thwarted at the end of the introduction (m. 6), itself turned into a passing F♯ on its way up to scale degree 6 (G), and the former ceases to reappear for the remainder of the opening theme. In the *minore* fifth variation, the modal shift to the tonic minor brings back G♭ as

8. Robert Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 1994).

a domesticated scale degree, yet it is deprived of its neighbor-note identity and appears as part of a linear progression that locally prolongs the subdominant, articulated at the start of the variation (observe the downward descent from B♭ to E♭ in the second cello and piano in mm. 130–131, with the G♭ metrically emphasized as a harmonic tone). We can, *à la* Schenker, call this G♭ in this circumstance a dissonant note (i.e. an upper neighbor to the fifth of the "chord of nature") with consonant support (i.e. belonging to the subdominant harmony of E♭ minor)—a "consonant dissonance." The neighbor-note figure returns in the following section, the interior theme with a quotation from *Frauenliebe*. Here both versions of the neighbor note make their appearances, first a tonal version (i.e. F-G-F in m. 147–8) followed by a chromatic version (i.e. F-G♭-F in m. 153). This conversion from major to minor scale degree brings about, in Kurth's terminology, a darkening of harmonic color from luminescence to tinting.[9] This shadowy G♭ is restored later in the passage with the return of the opening major tonic passage. A further attempt in "embracing" the G♭, while at the same time warding off the intrusive F♯, is manifested in the middle of the second interior theme (one with a reference to the opening of *Davidsbündlertänze*). Here the G♭ is further "domesticated" via a local tonicization (i.e. G♭ major) in mm. 228–231. Here any enharmonic respelling as an F♯ (as a raised leading tone) is virtually impossible in this context. We can observe so far that the *heimlich* G♭ dominates over the *unheimlich* F♯ in the two passages that refer back to the past, one restoring its originary identity as an upper neighbor while the other solidifying it as a *bona fide* tonic. The dialectical relationship between the two enharmonically equivalent pitches seems to have settled in favor of G♭ over F♯; yet the latter reemerges during the later course of the work as a return of the repressed libido.

A premonition to F♯'s usurpation of G♭'s primary status lurks in the codetta

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9. Ernst Kurth, *Ernst Kurth: Selected Writings*, ed. Lee Allen Rothfarb (Cambridge: Cambridge University Press), 103.

that leads up to the G-minor finale (mm. 280–291). This prefiguration comes in the form of a quotation from *Frauenliebe*, a passage from the conclusion of each of the two stanzas (mm. 14–16 and mm. 30–32). Particularly striking is the appearance of the F♯ in the piano bass line, a passing tone connecting the cadential dominant (V^7) with the following deceptively-resolved submediant chord (VI). This accented passing tone results in a chord that is highly ambivalent—an augmented triad (F♯-B♭-D), a symmetrical chord that equally divides the octave into three major-thirds. This combination of three pitches allows for three competing interpretations. In terms of its enharmonic spelling, B♭ should be taken as the root and the F♯ an altered tone from the tonic chord (B♭-D-F). From the point of view of a deceptive resolution, two interpretations are possible: either the cadential dominant resolves to a diatonic submediant (i.e. G-minor triad) in which the arrival of the chord root G is temporarily delayed by one quarter beat, or we can imagine a resolution to a modally-inflected chromatic variant of the submediant (i.e. Gb-major triad) where the F♯ is functionally acting as G♭, and the D is a suspended pitch that is expected to resolve down a semitone to D♭. Whether any of the hearings is more musical "logical" or "reasonable" cannot deny its experiential ambiguity when encountered in time, the moment when the augmented triad immediately follows the cadential dominant, as if the deceptive resolution is rendered even more "deceptive" than the normative types. In the *Frauenliebe* the failed cadential resolution instigates another attempt, a "one-more-time" technique,[10] by the piano that echoes the ending of the vocal line, eventually bringing forth a PAC to conclude the foregoing stanza. This denial in the first occasion of cadencing, and the substitution in the place of the expected tonic a highly ambiguous augmented triad, hints at a moment of doubt and uncertainty of the protagonist when she first encounters her beloved, a mixture of awe

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10. Janet Schmalfeldt, "Cadential Processes: The Evaded Cadence and the 'One More Time' Technique," in *Journal of Musicological Research* 12/1-2 (1992), 1–52.

and bewilderment as if she is blinded by her fixation on his image ("Seit ich ihn gesehen,/ Glaub ich blind zu sein").[11] This F♯ augmented chord is not only ambivalent but also paradoxical: on the one hand, the dissonant sonority suggests an unsettling undercurrent that destabilizes the overall restrained tonal and emotional landscape; on the other hand its upward resolving tendency, continuing the foregoing bass ascent from E♭ (^4) in m. 13 and overshooting the dominant up to G (^6), hints at a simultaneous feeling of joy and exhilaration. Hallmark argues that the sharp-sided keys in the song cycle correspond to the "feminine experiences of pregnancy and motherhood," as in Song 6 "Süßer Freund, du blickest" set in G major and Song 7 "An meinem Herzen, an meiner Brust" in D major; the flat-sided keys, like the B♭-major key of the first song, is associated with "the male-oriented texts," such as the woman's infatuation with her beloved in Song 1 and 2 (B♭ and E♭ major) and his confession of love in Song 3 (C minor).[12] I would like to pursue this semantic mapping a step further, proposing in addition that the sharp-sided keys are the actualization of the upward tendency embodied by the F♯ (both G major and D major "domesticate" F♯ as one of their diatonic scale degrees), whereas the flat-sided keys go hand in hand with the downward tendency of G♭, suggesting the original state of the protagonist who is yet unperturbed by the tumultuousness of her love encounter. In other words, the F♯ functions like a digressive agent that pulls the music (also the woman) away from the originary B♭ major into the joyous sharp-sided keys. We can also propose that the flat-sided keys refer to the subjective realm of love ("Liebe") and the sharp-sided keys to the objective world of life ("Leben"). This musical-poetic association is also supported by explicit instances of word-painting. In Song 3 "Ich kann's nicht

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11. The expression of uncertainty and confusion parallels the reading of this song by Rufus Hallmark, even though she does not refer to this appearance of F# within the deceptive cadence. See Rufus Hallmark, *Frauenliebe und Leben: Chamisso's Poems and Schumann's Songs* (Cambridge: Cambridge University Press, 2014).

12. Hallmark, *Frauenliebe und Leben*, 230.

fassen, nicht glauben," F♯ intersects with the word "berückt" (m. 7), an enthralling feeling of enchantment when she hears the man says to her "I am yours forever" ("Ich bin auf ewig dein"). In contrast, G♭ often appears in conjunction with the opposite poetic meaning. In the wedding scene of Song 4 ("Helft mir, ihr Schwestern"), the woman's farewell to her fellow sisters, accompanied by a sense of sadness ("Wehmut"), is underscored by a momentary tonicization on G♭ major, when she delivers the lines "Aber euch, Schwestern, / Grüß' ich mit Wehmut." An unequivocal expression of elation and jubilation in Song 7 "An meinem Herzen, an meiner Brust," in which the woman is overjoyed ("überglücklich") by having given birth to her child, and when the singer delivers the last line of the poem "You my delight, you my joy!" ("Du meine Wonne, du meine Lust!") the piano replies, as if in a state of ecstasy, with a postlude that reaches up to a sforzando F♯ at the apex of the melodic line (hearing this far-reaching connection between this F♯ in Song 6 and the same pitch class in Song 1 may seem impossible at first hearing, yet we cannot exclude the possibility of a certain compositional intent by Schumann, who, by highlighting this F♯ at the point of emotional overflow in Song 7, sets up a dramaturgical transformation, as well as in relation to the woman's life, from the initial uncertainty and hesitation of romantic love (symbolized by the F♯ augmented triad in Song 1) to a sense of fulfillment and content of becoming a mother. In the final song (Song 8 "Nun hast du mir den ersten Schmerz getan") an expressive reversal is imminent. The death of her husband (as according to the poem) deprives all of her joy ("mein verlornes Glück") and renders her life empty ("Die Welt ist leer"). This stark affective opposition with the previous song is accompanied by a concomitant turning-away from the exuberant F♯: this upward-resolving pitch appears as part of the applied dominant-ninth chord (V^9 of IV) in mm. 7–8; while this pitch does resolve up to G in the second half of m. 8, the same chord (with the root D missing) recurs soon after in m. 9, yet this time the F♯ is enharmonically respelled as G♭, transforming the chord's harmonic

function into an applied chord to B♭ minor, which arrives in the next measure (m. 10). This abandonment of F♯ and eventual restoration of G♭ goes in tandem with the narrative arch of the woman's life, whose only form of consolation is through the recollection of moments from the past (as delivered by the piano postlude). From these observations above, the change of identities between F♯ and G♭, as well as the transformation of their dialogical relationship throughout the song cycle, traces a narrative discourse that parallels that of the woman's emotional journey of love and life, the two seemingly insoluble pitches coalescing into a schizo-monad that resonates with the overall musical and poetic context of the song cycle.

This narratively and semantically imbued monad from *Frauenliebe* is incorporated into the Andante at the very beginning, one that is problematized in the introduction as a G♭ of the chordal ninth over the dominant that is transformed shortly thereafter into an F♯, which inaugurates the opening theme proper. A similar depressive mood, akin to the one in the last song of *Frauenliebe*, recurs in the first interior theme (the one with a quotation from the song cycle) in the form of a chromatic shift from G to G♭ (i.e. the original neighboring figure F-G-F becomes modally-inflected into F-G♭-F), as if a reminder of the similar expressive reversal in the final song of *Frauenliebe*. The codetta prior to the G-minor finale brings back the closing passage from Song 1 of the song cycle—here F♯ is reinstated as a passing tone in the ascending bass line (F-F♯-G), which uncannily resembles the very beginning of the variation theme (F-F♯-A-G). Here the F♯ bass note, rather than supporting an augmented triad, brings about a fully-diminished seventh chord that acts as an applied dominant to the submediant G-minor triad. (Schumann creates a cunning effect on the downbeat of m. 286 by prematurity resolving the A, the leading tone of the applied chord, up to B♭, resulting in an apparent minor triad, spelled as F♯-B♭-E♭, an illusory consonant sonority in which all of the chord tones, except for the already resolved B♭, are supposed to be tendency tones.)

Chapter 9

The melody in the horn that is superimposed over this ascending bass motion (F-B♭-E♭-A-B♭) is also reminiscent of that from the corresponding passage in *Frauenliebe* (F-B♭-C-A-B♭). (Despite the richness in musical associations of these references to *Frauenliebe*, it is curious that Schumann removes both passages in the published version of the work, written for two pianos, presumably under the influence of Mendelssohn's recommendations.) Compared to the sense of desolation and loneliness throughout the first interior theme, the codetta here is embraced within the warmth of a sonorous harmonic texture with the participation of the entire ensemble. The piece up till this point seems to parallel the formal discourse of the first song of *Frauenliebe* writ large: the neighboring motif (F-G-F) performs an initiation function in both pieces, and the closing codetta correspondingly brings about a conclusive end to the foregoing formal trajectory. Other rhetorical factors also contribute to the feeling of closure in this location, such as the *ritardando* leading up to the end of the section (mm. 287–290) and the fermata over the last chord (m. 291). Even the inclusion of a codetta at the end of a variation is unprecedented so far in the piece, and the only other instance of a "framing function" (Caplin) or a "parageneric space" (Hepokoski and Darcy) occurs at the very beginning—the short introduction that leads into the variation theme proper. This variation seems to signal the end of an epoch and the beginning of a new stage of history. The codetta hence elicits two paradoxical functions: intrinsically it rounds off the variation and rearticulates the final cadences as a rhetorical emphasis; at the same time, the return of F♯, as part and parcel of the quoted passage, creates a crack in the time-crystal and opens up the possibility of something new, like a fork at the end of a path. This passage is both becoming-end and becoming-beginning, an overlap of two formal boundaries—a "schizo-codetta."

The shockwave of the unsettling F♯, which begets a denied cadence via a deceptive resolution, ripples across the formal division into the G-minor finale. This

cross-sectional correspondence is subtle yet telling: the F♯ supporting an applied chord to G minor (mm. 285–6) is here tonicized as dominant and tonic chords within the key of G minor. By way of this tonicization is the upward-resolving tendency of F♯ reified in the finale, now acquired the status of the leading tone of G minor. If the transformation from G♭ to F♯ represents a parallel expressive shift in the narrative discourse from the obsessive pondering of the past to the opening-up of the future, this sense of renewed hope and upward aspiration is fulfilled in the finale, which, with regard to both its formal design and harmonic structure, turns away from the opening theme and creates something new on its own terms. This finale engages in a *deterritorialization* that escapes, albeit temporarily, from the self-enclosed crystal structure of the prior variational discourse. Yet this deterritorializing impetus does not settle down into a new formal identity, in the form of a *reterritorialization*, such as the emergence of a new theme, inasmuch as the finale is irresolute in its deployment of thematic materials and tonal planes, equivocating between G minor and B♭ major and incorporating within itself (midway into this section in m. 352) melodic fragments from the variation theme. The two tonal areas between the first phrase in G minor and the second in B♭ major problematizes the dominance of the F♯ as the leading tone of the former key, which is subverted by F♮ in the latter tonal area. The modulation to D♭ major in the middle of the finale (starting in m. 387), a key that stands a tritone apart from G minor, reestablishes G♭ as a diatonic member of the key, seemingly negating any possibility of including F♯ within this tonal context. In this finale we witness three different manifestations of the chromatic deployment of pitches F and G, undergoing a process akin to the "signature transformations" described by Hook[13]: they first appear as F♯ and G in the context of G minor, then as F and G in B♭ major, finally as F and G♭ in relation to D♭ major. The finale is a site of equivocation and

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13. Julian Hook, "Signature Transformation" from *Music Theory and Mathematics*, ed. Jack Douthett et al. (Rochester, NY: University of Rochester Press, 2008).

uncertainty, where different tonal areas and thematic elements are brought together in the relationship of a forcefield. The insurrection by F♯ against the structural predominance of G♭ seems short-lived, and the fervent revolutionary spirit brought about by the finale's deterritorializing forces ends up merely as a transient phantasmagoria.

The recalcitrant F♯ in the opening theme is ultimately restored back to G♭ in the ending coda of the entire piece. As mentioned earlier, G♭ in the introduction, as the chordal ninth of the dominant harmony in mm. 5–6, is clandestinely switched into F♯, which stays as the raised fifth scale degree through the entire variation theme, as such the G♭ and its expected resolution to F is abandoned and left unfulfilled. The same opening theme is restated at the end as a final recapitulation (starting at m. 451), yet its ending is disrupted: the original PAC is denied by an uninvited appearance of F♯ in the bass (m. 467), obstructing the arrival of the final tonic. After a stretto-like concatenation of the initial melodic fragments from the opening theme (mm. 469–472), the F-F♯ dyad is transformed into F-G♭ on the last beat of m. 472, the latter pitch returns to its initial harmonic function as the incidental dissonance over the dominant harmony (here over a tonic pedal). In both versions of the tonic-prolonging concluding passage (labeled "Erster Schluss" and "Zweiter Schluss"), the tendency tone G♭ ultimately resolves down to F in m. 475, as it is expected to have befallen at the end of the introduction, and this resolution is re-articulated multiple times to hammer in the sense of denouement. The G♭ is also restored back to its diatonic counterpart (G♮) at the very last moment of the coda (m. 482) appearing within the sixteen-note runs by the two pianos, a semitonal move that corresponds, as well as reverses, the same chromatic inflection in the introduction (between F-G-F and F-G♭-F).

The metamorphosis surrounding the enharmonically related pitches, F♯ and G♭, engenders a narrative stratum that is superimposed upon the recursive rotational character of the two-layered rondo structure. More significantly these two pitches

are semantically and dramatically loaded in the song cycle *Frauenliebe und -leben*,

which is referred to explicitly in one of its interior themes. To put it in other words, the

signification and narrative implication of these two pitches goes beyond the boundary

of the work (its introversive dimension) and incorporates into itself the narrative arch

of another piece. Reframing the notion of "dialogic form" proposed by Hepokoski, an

idea that he refers to as "a processual dialogue between any individual work (or section

thereof) and the charged network of generic norms, guidelines, possibilities, expectations,

and limits provided by the implied genre at hand,"[14] here the dialogue happens between

the present work and former work, one constantly harking back to the previous piece,

either to draw upon the other's expressive and musical content a borrowing or to

reinterpret them in such a way the original expressive meaning and narrative contour is

developed or transformed. It is only by taking into account this intertextual interaction

that a satisfactory understanding of this variation's idiosyncratic formal design can be

attained. The intertexts are like the *supplément*,[15] one that, on the one hand, remains

outside the boundary of the work itself, but, on the other hand, provides much of the

expressive and semantic meaning to the piece. Schumann in this Andante engages with

an experimentation with the variation form, one that intersects with both the gapped

recurrence of the rondo refrains as well as the dialogical intertextuality of other works.

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14.   William Caplin et al, *Musical Form, Forms, and Formenlehre Three Methodological Reflections*, 71.

15.   Jacques Derrida, *Of Grammatology*, tran. Gayatri Chakravorty Spivak (Baltimore: Johns Hopkins University Press, 2016), 66–77.

Part 4

1856: Cosmic Variations

Chapter 10 Cosmic Variations

A conclusion to any thought is antithetical to Deleuze's philosophical stance, for it implies that one has already come up with the most sufficient solution to the problem that we posed at the beginning, and hence forecloses further thinking and exploration. This dogmatic image of thought is that which Deleuze opposes ardently in *Difference and Repetition*, and he proposes that *real* thinking "should find within itself something which it cannot think, something which is both unthinkable and that which must be thought."[1] So instead of treating this section as a conclusive end to my dissertation, one that offers a definitive "answer" to the question about Schumann's treatment of variation form, I will trace several lines of flight that issue from the "machinic assemblage of enunciation" presented in the previous chapters, and propose different vectors or linkages pointing to other uncharted fields of inquiry, potentially extending the rhizome to connect to other plateaus or zones of intensity. I would also like to approach this conclusion section as the "surplus value" created by the combination or confluence of those chapters, subsidiary thoughts that emerge from the counterpoint of terrains. Along the same vein described by Deleuze, this surplus value takes up the appearance of a subject that was created miraculously from the underlying assemblage, a byproduct that is always contingent upon its underlying constitutive elements.

In the previous chapters, I have examined two of Schumann's variation sets from two perspectives informed by Deleuze's concepts of the refrain, territory, rhizome, and his three syntheses of time. *Études symphoniques*, Op. 13, evinces a rhizomatic structure of motivic relations, which are arranged spatially via the technique of network analysis. This rhizomatic conception of motives differs from the traditional view, by

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1. Deleuze, *Difference and Repetition*, 192.

which the individual variations have to "exemplify" the theme by drawing from (i.e. deriving) certain elements from it; instead, new motives can be introduced in the middle of a variation set, or a transformed motif (a token of its motivic type from the theme) can become the model for further transformation in later variations (hence changing its function from a token to a type). Or rather, from a Deleuzian point of view, the distinction between type and token dissolves entirely such that every instance of the motif is itself a simulacrum in and of itself (i.e. a copy without an original), each defined by its haecceity of an event, or instances of individuation, on the plane of consistency, which is constituted by a potpourri of pitches and silence. The overall "form" of the variation set, rather than viewed as a Platonic schematic ideal that defines *a priori* the functional differentiation of its parts, emerges from the rhizomatic organization of motives, among which some are more closely related to each other and congregated into clusters and hubs, while others are more remotely related. The rhizomatic *formung* of a variation embraces the heterogeneity of its constituent parts, while at the same time giving rise to intensive singularity as a whole much akin to a constellation, within which the listener, in experiencing the unfolding of the variation set, traces a path through the assemblage of individual events of the variations, a musical journey with twists and turns along a zig-zag path.

In the Adagio and Variations, WoO 10 (Op. 46), I interpret the piece as a rhizome of different temporalities, informed by Deleuze's discussion of the three syntheses of time and the crystal of time, the latter an allegorical representation of an assemblage of disjointed temporalities. By way of quotation and intertextual allusion, the piece creates different temporal planes akin to fragments of memories being recalled through certain subliminal associative linkages. The refrain (i.e. repetitional scheme) of the variations possesses a crystalizing power that draws within its milieu various moments in time that do not necessarily succeed one another in a chronological order (*Chronos*); instead, these

temporal moments are like fragments of time (*Aion*) that congeal under the centripetal forces within the variation process. What this piece intimates is not the movement-image of "any-instant-whatevers"[2] but a rhizomatic assemblage of *Kairos*, privileged instants that stand out from the idealized continuity of the chronological time. The form of this piece does not elicit a discursive linearity of the flow of rhetoric; rather we move back and forth between different temporal planes much like Proust's *moment bienheureux*—an opening up of time into the past and the future.[3] Time becomes fluid, free to juxtapose with one another in the form of a crystalized coagulation of variations.

Discursive, Recursive, and Dispersive

By harnessing repetition and its associated intrinsic difference (i.e. difference in-self), the variation process is like a vortex whose *centrifugal* force reaches out across musical space (as in *Études symphoniques*) and musical time (as in Adagio and Variations), while at the same time variational refrain (*ritournelle*) as part of the repetitional scheme exerts a *centripetal* force that draws all of these diverse sections together under the process of Nietzschean eternal return. Yet this eternal return does not bring back sameness and identities, but rather difference and the virtual field. Or to put it differently, each repetition actualizes the chaosmos in a slightly different configuration, where new musical entities, such as motives and rhythmic patterns, get individuated

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2. Gilles Deleuze, *Cinema 1: The Movement-Image* (1986), 3–8.

3. Michael Puri points out that Proust's *moment bienheureux* emerges from "the momentary encounter with a past sensation [that] is all the more extraordinary, taking the narrator by surprise and compelling him to devote full attention to it by suspending physical movement, turning his mind inwards and clearing it of distracting thoughts and sensations." Michael Puri, "Memory, pastiche, and aestheticism in Ravel and Proust," p. 68. Steven Rings, in his article, "*Mystère limpides*: Time and Transformation in Debussy's *Des pas sur la neige*," describers this idea as "memories arrive in a moment of no temporal extension."

Chapter 10

Architectonic

Discursive

antithesis /
middle

thesis /
beginning

synthesis /
end

Recursive
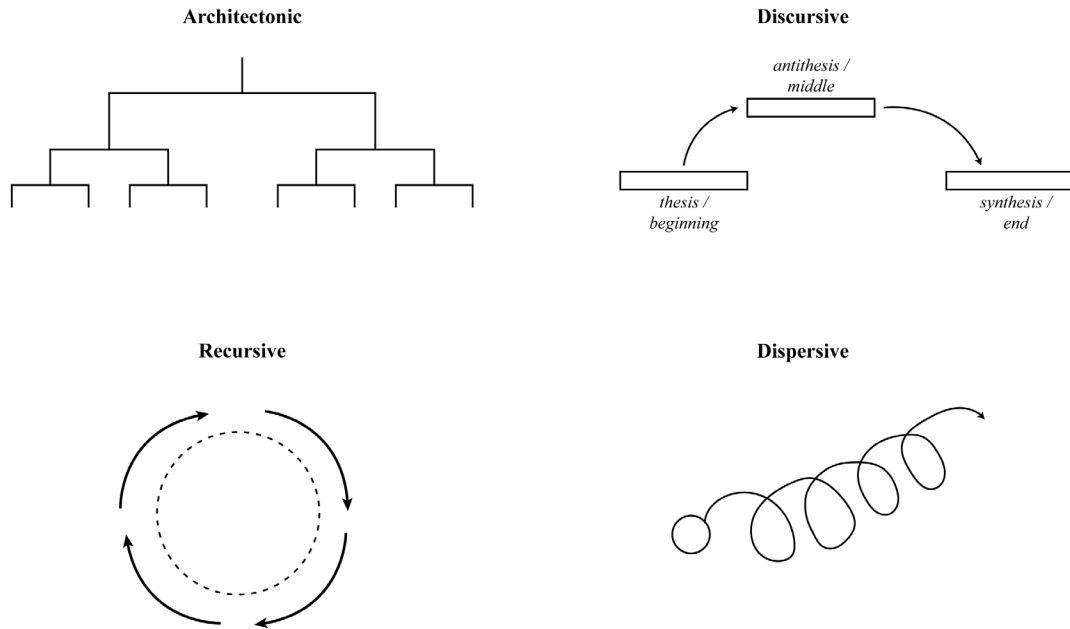
Dispersive

Example 89. Four formal schemata (architectonic, discursive, recursive, and dispersive).

from the plane of immanence. According to this view *à la* Deleuze, variations are not only a *recursive* process but should more appropriately be considered as a *dispersive* one, where materials are generated that continually diverge from its source (or from any of its predecessors), for repetition is fundamentally a process of differing and creating.[4]

The dispersive quality of a set of variations stands in contrast with the other three modes (or schemata) of formal conception, namely the *architectonic*, *discursive*, and *recursive*. The architectonic schema divides the entire piece into sections and themes, and it subsumes one under another in the form of a hierarchy. Within the *architectonic*

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4. The Derridarian concept of "*différance*" is similar to but not completely equivalent to the Deleuzian notion of difference; the former connotes both differing and deferring, referring specifically to the unreconcilable gap between the signifier and the signified. Deleuze instead claims that we can apprehend the signified (or the "thing-in-itself" in the Kantian sense) through the faculty of our sense: "Difference is not phenomenon but the noumenon closest to the phenomenon." Deleuze, *Difference and Repetition*, 123.

view everything is coordinated, parts acquire their functions and meanings from its highest level of organization in view of the whole. The *discursive* schema is analogous to speech and rhetoric, where arguments get unfolded from one to the next in a linear fashion; certain aspects of Caplin's form-functional theory and Hepokoski and Darcy's sonata theory, by and large, bear witness to this schema. The *recursive* process, which stands in contrast with the discursive trajectory, is brought into relief by Ivanovitch in his exegesis on Mozart's variation cycles (Hepokoski's idea of "rotational form" also evokes characteristics of recursivity). In the recursive mode, elements succeed one another in the form of a cycle, in such a way that the end leads back to the beginning and the entire cycle is renewed once more. The formal distinction between the discursive and recursive schema is also associated with the opposition between the linear (or chronological) time and cyclical (or mythical) time. The recursive mode is, simply speaking, repetition in music; it is the quintessential property of the refrain in a nutshell. What the recursive mode precludes are the underlying differences that emerge in each reiteration, since each instantiation always differs somehow from that which comes before (even if the same passage is exactly repeated, our memory of its previous happening will have an impact on our perception of its subsequent occurrences). Reinterpreting the idea of the eternal return from Nietzsche, Deleuze's repetition is a continual process of decentering, reorientation, and becoming-other; it is the return of the virtual field of difference—as a ground or an *Ur*-plane— that is actualized and individuated differently. Hence this *dispersive* form fuses together the linearity of the *discursive* and the cyclicality of the *recursive* mode, tracing a path of succession that is continually diverging and deviating from what comes before. There is no end to this dispersive peregrination; everything is *in medias res* on the vast plane of immanence, where each variation sounds like a *bona fide* intermezzo within the continual flux of cosmic becoming.

Chapter 10

Still, these four formal schemata should not be taken as opposing or conflicting. Caplin's form-functional theory can be modeled in both architectonic and discursive ways, whereas Hepokoski's sonata theory utilizes both the discursive mode of rhetoric (exemplified by his formulation of the two formal trajectories underpinning a typical sonata form, namely the "essential expositional trajectory" and the "essential sonata trajectory") in conjunction with the recursive character of rotational form. The form of the variations is highly adaptive and flexible, for any of the four formal schemata can be readily applied to the formal shaping of a variation set as a whole. The previous two analyses of Schumann's variations seem to suggest that the composer tends to treat the variation form as a *dispersive* process, via which new materials are invented and different affective states are evoked. Once the theme is thrown (*geworfen*) into existence at the start of a variation set, the dispersive process then takes over to deterritorialize the theme and open up the self-enclosed monad to the plane of immanence—the chaosmos of pure sounds and frequencies. Each variation represents a *deterritorialization* of the former territories and concomitantly a *reterritorialization* over different milieus and of a different material (or machinic) composition. The formal trajectory of Schumann's variations is centrifugal, vertiginous, and even disorienting, bequeathing to the listen the imaginative freedom to traverse along the lines of becomings or lines of flight from one variation to the next, where each variation is one specific actualization of the virtual. This ceaseless becoming indeed aligns with the aesthetic ideal for the Romantics, as Schlegel claims in his *Gespräch* über *die Poesie* that modern (Romantic) poetry is characterized by a continual progression rather than being locked with a self-enclosed cycle:

> Modern poetry therefore does not have to return to itself "like a circle," but is capable of eternal progress, of an infinite approximation to the ideal: the old form is – as corresponds, for example, to Herder's philosophy of history – cyclical. The

modern form is – consistent with Kant's idea of infinite progress, which he had developed from the Enlightenment's belief in progress – progressive.[5]

Romantic Fragment, the Infinite, and Sublime Beauty

A set of variations consists of an assemblage of fragments that are coagulated into the form of a constellation. From one variation to the next, the assemblage incrementally extends its formal space and reaches outward to more remote regions and milieus. The theme and variations, like a rhizome that incessantly seeks out new connections and terrains, trace a path designed by the composer across the infinite plane of pure immanence—the chaosmos of pure sounds and silence. Each variation is a fragment within this smooth space, each occupying slightly different milieus and bringing together different elements into its intensive field. Yet this space is not completely saturated by the fragments themselves, but rather it is spanned by their formal distance (or gaps) between those fragments, visualized in the network diagrams of the previous rhizomatic motivic analysis. Hence, we can postulate that the more diversified the fragments appear to be, the vaster the formal space the theme and variations seem to implicate in our imagination.

The suggestion of an unbounded (*grenzenlos*) plane of immanence by way of an assemblage of fragments, each of which is like a windowless monad (*fensterlose Monade*) seemingly secluding itself from the others by a formal boundary, is a quintessential formal ideal of Romantic artworks. As Schlegel puts this wittily, "A fragment, like a miniature work of art, has to be entirely isolated from the surrounding world and be complete in itself like a porcupine."[6] Schlegel's porcupine, as a metaphor,

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5. Friedrich Schlegel, *Gespräch* Über *Die Poesie*.

6. Friedrich Schlegel, *Athenaeum Fragments* (trans. Peter Firchow), 45.

hints at a signification more nuanced than Parmenides's idea of being or Leibnitz's notion of the monad—the quills of the porcupine, protruding out of its body, points outward into the surrounding space like antennas. Likewise, each fragment instigates a forcefield (*Kraftfeld*) around itself that vibrates across the plane of immanence, interacting with another fragment at a distance (*actio in distan*). In other words, the fragment is defined not only by its internal composition but also by the empty space (i.e. pure difference) across multiple fragments in the form of a constellation. Hence the Romantic fragment, according to Rodolphe Gasché, always partakes in a dialectics with the infinite whole, in which the fragments insinuate the whole in the minds of the perceiver, whereas the whole, in turn, becomes the ontological ground upon which the fragments are situated. For the Romantics, the fragmentary form is quite dissimilar to the modernist negative critique of traditional forms and artistic practices, by turning them on their heads or throwing them into questions. This incomplete form instead "is the only possible presentation they could conceive of the system."[7] In a rather paradoxical sense, "fragmentation constitutes the properly Romantic vision of the system,"[8] a system that is self-produced, arising out of the ensemble of fragments themselves whose connections between the individual singularities give rise to a system of relations: "these fragments, complete in themselves as individualities, yet incomplete at the same time in that they are only embryos of developing systems—isolated and yet striving at a whole—are not simply without all systematic relation."[9] The incompleteness of the fragmentary form is the way by which the Romantics arrive at the ideal of the infinite whole: "As fragment, totality occurs. After all, the Romantic fragment conceptualizes an incompletion that is a

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7. Rodolphe Gasché, "Foreword: Ideality in Fragmentation," from Friedrich Schlegel, *Philosophical Fragments* (trans. Peter Firchow), x.

8. Gasché, "Foreword: Ideality in Fragmentation," xiii.

9. Gasché, "Foreword: Ideality in Fragmentation," xi.

consequence of presentation as self-production."[10]

The Romantic fragment became an ideal art form for the *Frühromantik* (or Jena Romanticism) in early nineteenth-century Germany. It is characterized not only by an incomplete form that requires the reader to fulfill it via the mental faculty of imagination, its very incompleteness also stands as a perfect symbol for the ungraspable and imperceptible whole—the idea of the *absolute* or the *infinite*. Schlegel maintains that artworks are like fragments that replicate the infinite whole of the world in a finite form. Hoeckner points out that "[b]oth Novalis and Schlegel sought to contain the unmanageable 'universe' in the form of the literary fragment, a masterful miniature of pithy prose."[11] Kant's *Critique of Pure Reason* (1781) draws a boundary between empirical knowledge based on sensation and understanding as structured by the transcendental faculty of our mind and those that are posited by the systematizing desire of our reason, such as free will, things-in-themselves, and God. Likewise, Schlegel's essay "On the Limits of the Beautiful" (1794) discusses the infinite complexity of the natural world that lies beyond the limit of our capacity for full comprehension. The way one can have a sense of this infinite whole, be it nature or the cosmos, is, for Schlegel, through intuition, just as Stone rephrases his argument: "If we do grasp these phenomena [of nature] as unities, then, we must do so in some way not subject to the conditions of discursive, conceptual knowledge; that is, we must directly, intuitively grasp a unity pervading all the parts of these phenomena."[12] In other words, the infinite whole cannot be grasped in its entirety given its complex heterogeneity and our limited perceptual and mental capacity; instead, we can only have a glimpse of this universe piece by piece, object by object, from which we intuit the existence of the infinite whole through the

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10. Gasché, "Foreword: Ideality in Fragmentation," xxx.
11. Berthold Hoeckner, "Schumann and Romantic Distance," 58.
12. Alison Stone, "The Romantic Absolute," 512.

conglomeration of these disjointed parts. This is a whole that emerges *a posteriori* from the bottom-up, rather than is posited *a prior* in a top-down conceptualization. Unlike Kant, the beautiful and the sublime for Schlegel is not contrasting but complementary, as argued by Stone, where "beauty in its highest form includes the sublime,"[13] and Schlegel refers to this "highest form of beauty as 'sublime beauty.'"[14] Jean Paul uses the term "beautiful infinity" to get at something that lies beyond our phenomenological horizon but is still present in our mind through the power of imagination—an absent presence of something far away in space or in time:

> The Romantic is beauty without limit, or beautiful infinity, just as there is a sublime infinity …. It is more than an analogy to call the Romantic the undulating hum of a vibrating string or bell, whose sound waves fade away into ever greater distances and finally are lost in ourselves, and which, although outwardly silent, still sound within. In the same way moonlight is both image and instance of the Romantic.[15]

Daverio highlights three "spirits" that characterize Jean Paul's literary works—feeling (*Gemüth*), humor (*Humor*), and wit (*Witz*), the last of which constitutes the "fantastic" coherence that arises out of the ensemble of fragments.[16] Neatly summarized by Daverio:

> For Jean Paul, it is the power which, proceeding with the rapidity of a flash of lightning, discovers remote similarities between apparently incommensurable terms. Chiefly a function of the imagination, it holds out the possibility for poetry

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13. Stone, "The Romantic Absolute," 513.

14. Stone, "The Romantic Absolute," 513.

15. Jean Paul, *Vorschule der* Ästhetik, in *Sämtliche Werke*, ser. 1, vol. 11 (Weimar: Hermann Böhlaus Nachfolger, 1935), 77; quoted in Hoeckner, "Schumann and Romantic Distance," 60.

16. John Daverio, "Reading Schumann by Way of Jean Paul and His Contemporaries," 37.

to demonstrate that the most disparate entities are mystically related, if only the sensitive reader can fathom their relationship.[17]

Relationship replaces discursive logic; discovery replaces passive reception. Jean Paul's digressive interpolation and fragmentary presentation invite the engagement of the reader to notice various subtle connections between its constituent parts. Instead of unfolding and developing from one part to the next, the Romantic form necessitates the associative power of our mind to make sense of the fragments and to forge a sense of coherence to the entire aggregate. This coherence is of a different nature from that of organic unity as postulated by Goethe's conception of a plant; it only coheres because it opens up to the ideal of an infinite whole, where each fragment is only a part of that absolute whole.[18] What the fragmentary form tries to gain access to is not a "harmonious unity" but a "heterogeneous totality," one that preserves the differences among fragments as individuals while all of which coexist on the same infinite space of the universe.[19] Or as Daverio puts it, the Romantic form of the fragments became "a cipher for the infinite."[20] Hence Jean Paul's "kombinatorische Witz" is along the same vein as Schlegel's intuition, both of which *apprehend*, rather than *comprehend*, the infinite indirectly in the aesthetic or metaphysical dimension.

It is hard not to notice the similarities between Deleuze's ontology and the Romantic aesthetic ideal regarding the fragments and the infinite. Just as fragments relate to one another with the imaginative power of our wit and intuition, entities (physical or musical) are always subject to the deterritorializing forces of the chaosmos, in a state

17. Daverio, "Reading Schumann by Way of Jean Paul and His Contemporaries," 41.

18. "[T]he faculty that allows the creative mind to fashion subtle interrelationships and the imaginative beholder to perceive them, ensure the system's inner coherence." John Daverio, *Nineteenth-Century Music and the German Romantic Ideology*, 54.

19. John Daverio, *Nineteenth-Century Music and the German Romantic Ideology*, 53.

20. John Daverio, "Reading Schumann by Way of Jean Paul and His Contemporaries," 30.

of continual becoming and, in certain extreme circumstances, on the verge of potential
dissolution, negating its very existence. Because the whole can never to attained but
only be implicated or imagined, the Romantic artwork always stands like a *ruin*, its
very incompleteness constituting its missing portions of its overall essence. The artwork
itself is always striving to grasp aesthetically the ideal of the complete whole—an
Augenblick of the *Grenzenlos*—yet paradoxically its finite existence can never fully attain
the comprehension of the whole except in our imagination, evoking an infinite longing
and an unending (*unendliches*) feeling of loss. As Schlegel remarks that modern (i.e.
Romantic) works are progressive rather than cyclical, a continual striving towards the
infinite:

> Modern poetry therefore does not have to return to itself "like a circle," but is
> capable of eternal progress, of an infinite approximation to the ideal: the old form
> is – as corresponds, for example, to Herder's philosophy of history – cyclical. The
> modern form is – consistent with Kant's idea of infinite progress, which he had
> developed from the Enlightenment's belief in progress – progressive.[21]

> Romantic poetry is still in becoming; this is its real essence, that it can only
> forever become, never be completed fully. It cannot be exhausted by any theory,
> and only a divinatory criticism would dare attempt to characterize its ideal. It
> alone is infinite as it alone is free, and this recognizes as its first law that the poet's
> arbitrariness does not suffer any law over itself. The romantic type of poetry is the
> only one that is more than type, and at the same time poetry itself: for in a certain

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21. "Die moderne Poesie müsse also nicht „wie ein Zirkel" in sich selbst zurückkehren,
     sondern sei eines ewigen Fortschritts, einer unendlichen Annäherung an das Ideal fähig:
     Die alte Bildung ist - wie das etwa Herders Geschichtsphilosophie entspricht - zyklisch. Die
     moderne Bildung ist - im Einklang mit Kants Idee des unendlichen Progresses, den er aus
     dem Fortschrittsglauben der Aufklärung entwickelt hatte - progressiv." Friedrich Schlegel,
     Gespräch Über Die Poesie, ed. J. B. Metzlersche. (translation mine)

Chapter 10

sense all poetry is or should be romantic.[22]

This incessant striving for the infinite whole, which always falls short of itself, also incarnates in the feeling of longing (*Sehnsucht*), a theme pervades in Romantic artworks. Wurth, in his discussion of the sublime, describes the Romantic *Sehnsucht* as "as a vehicle to intimate the infinite in terms of radical indeterminacy."[23] It is particularly telling that Schubert's *Sehnsuchtswalzer*, the theme of which was borrowed by Schumann for the composition of his own set of variations, albeit left incomplete in his lifetime, is closer to the ideal of fragments than a typical theme-and-variation form of the Classical period. In the Schubert's piece for solo piano, the miniature waltzes, each consisting of sixteen measures in length, subtly relate to one another without any sense of a linear developmental succession, each one of which sounds like an extemporization at the piano where rational conceptualization is kept in abeyance. The entire cycle, a potpourri of waltzes that resonate with one another, seems like it could continue from one to the next indefinitely without ever coming to an ultimate closure by itself. The Romantic artworks are hence obsessed with the sense of absence, for they posit the whole as an impossibility that is forever out of reach of our rational conceptualization, a lost unity that can only be glimpsed at by means of our imagination. Žižek refers to this Romantic evocation of loss as a "loss of a loss," suggesting that "the Romantic loss is the loss of what one never

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22. "Die romantische Dichtart ist noch im Werden; ja das ist ihr eigentliches Wesen, daß sie ewig nur werden, nie vollendet sein kann. Sie kann durch keine Theorie erschöpft werden, und nur eine divinatorische Kritik dürfte es wagen, ihr Ideal charakterisieren zu wollen. Sie allein ist unendlich, wie sie allein frei ist, und das als ihr erstes Gesetz anerkennt, daß die Willkür des Dichters kein Gesetz über sich leide. Die romantische Dichtart ist die einzige, die mehr als Art, und gleichsam die Dichtkunst selbst ist: denn in einem gewissen Sinn ist oder soll alle Poesie romantisch sein." Friedrich Schlegel, *Gespräch* Über *Die Poesie*, ed. J. B. Metzlersche (translation mine).

23. Kiene Brillenburg Wurth, *Musically Sublime Indeterminacy, Infinity, Irresolvability*, 48.

had," and it pervades and infects every aspect of Romantic arts.[24] An endless longing, an unretrievable whole; the Romantics can only grasp the infinite whole by way of the individual fragments.

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24. Slavoj Žižek, "Robert Schumann: The Romantic Anti-Humanist" in *The Plague of Fantasies*, 249.

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