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A COMPARISON OF SELECTED LISZT AND SCHUMANN PIANO TRANSCRIPTIONS OF THE PAGANINI VIOLIN CAPRICES, A LECTURE RECITAL, TOGETHER WITH THREE RECITALS OF SELECTED WORKS OF BRAHMS, MOZART, J.S. BACH, VON WEBER, DUKAS, SCHOENBERG, RACHMANINOV AND OTHERS

DISSERTATION

Presented to the Graduate Council of the North Texas State University in Partial Fulfillment of the Requirements for the Degree

DOCTOR OF MUSICAL ARTS

Вγ

Virginia Rice Sircy Denton, Texas May 1980 Sircy, Virginia Rice, <u>A Comparison of Selected Liszt</u> and <u>Schumann Piano Transcriptions of the Paganini Violin</u> <u>Caprices, a Lecture Recital, Together with Three Recitals of</u> <u>Selected Works by Brahms, Mozart, J. S. Bach, von Weber,</u> <u>Dukas, Schoenberg, Rachmaninov and others</u>. Doctor of Musical Arts (Piano Performance). May, 1980, 62pp., 45 illustrations, 50 bibliographical titles.

The first three recitals included one recital of chamber music and two recitals of solo piano music. The first recital consisted of music for clarinet and piano, performed with Dr. Lee Gibson of the music faculty of North Texas State University. This program included the Mozart <u>Clarinet Concerto, Five Atonal Pieces</u> by William Latham, <u>Sonata in F minor</u> by Johannes Brahms, and <u>Four Pieces</u> for clarinet and piano by Alban Berg.

The second recital contained the <u>D minor Concerto</u> of Marcello, transcribed by J. S. Bach, <u>Sonata No. 1</u> by Karl Maria von Weber, <u>Sposalizio</u> by Franz Liszt, <u>Sonata in F</u> by Nels Marveland, and <u>Three Fantasies</u> from Opus 116 by Johannes Grahms.

The third recital consisted of the <u>C minor Fantasy</u> by Mozart, <u>Variations on a Theme of Hameau</u> by Paul Dukas, <u>Sechs</u> <u>Kleine Klavierstücke</u> by Arnold Schoenberg and <u>Four Preludes</u> by Sergei Machmaninov.

The fourth recital featured a comparison of selected Liszt and Schumann piano transcriptions of Paganini <u>Violin</u> Caprices. Musical examples comparing the Paganini Caprices and the transcriptions by Liszt and Schumann, in addition to examples comparing the similarities and differences between the transcriptions of Liszt and Schumann, were interspersed throughout the lecture. Tape recordings of all performances submitted as dissertation requirements are on deposit in the North Texas State University Library.

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NORTH TEXAS STATE UNIVERSITY SCHOOL OF MUSIC

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presents

LEE GIBSON

Clarinetist

assisted by

Virginia Rice

in a

Faculty Recital

Thursday, August 1, 1968, at 8:15 p.m. Recital Hall

PROGRAM

Concerto in A, K. 622 W. A. Mozart Allegro Adagio Allegro (Rondo)

Five Atonal Pieces William Latham

Intermission

Four Pieces for Clarinet and Piano Alban Berg Mässig Sehr langsam Sehr rasch Langsam—viel bewegteres Tempo

NORTH TEXAS STATE UNIVERSITY School of Music

presents

Virginia Rice Sircy

in

GRADUATE PIANO RECITAL

Recital Hall

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8:15 p.m.

Monday, August 3, 1970

PROGRAM

INTERMISSION

g minor a minor d minor

> This recital is presented in partial fulfillment of the requirements for the degree Doctor of Musical Arts

NORTH TEXAS STATE UNIVERSITY SCHOOL OF MUSIC

presents

Virginia Rice Sircy

in

PIANO RECITAL

Monday, April 18, 1977

6:30 p.m.

Recital

PROGRAM

Fantasy, c minor, K.396

W. A. Mozart

Paul Dukas

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Variations on a theme of Rameau

6 Kleine Klavierstücke Leicht, zart Langsam Sehr langsame Rasch, aber leicht

Etwas rasch

Sehr langsam

4 Preludes

Eb major, Op. 23, No. 6 D major, Op. 23, No. 4 gt minor, Op. 32, No. 12 Gb major, Op. 23, No. 12 Sergei Rachmaninoff

Arnold Schoenberg

Presented in partial fulfillment of the requirements for the degree Doctor of Musical Arts

North Texas State University School of Music

presents

Virginia Rice Sircy

in a

Lecture Recital

A Comparison of Selected Liszt and Schumann Piano Transcriptions of the Paganini Violin Caprices

Monday, March 10, 1980

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6:30 p.m.

Concert Hall

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PROGRAM

Etude, Opus 10, Number 1, A-flat majorRoEtude, Opus 10, Number 2, g minorRoEtude Number 1, g minorRoEtude, Opus 3, Number 2, E majorRoEtude Number 5, E majorRoEtude Number 2, E-flat major

Robert Schumann Robert Schumann Franz Liszt Robert Schumann Franz Liszt Franz Liszt

Presented in partial fulfillment of the requirements for the degree Doctor of Musical Arts

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CHAPTER I

INTRODUCTION

The tradition of wresting works of art from their original medium and giving to them a new forum is an ancient one. In the art of music, transcriptions which move a composition from one medium to another are common from as early as the fourteenth century, 1 and transcriptions remain an integral part of musical repertoire to this time. As this genre develops, the products differ primarily in the degree of freedom which the musical practice of an era afforded the composer, or which the composer allowed himself. in making arrangements or transformations of existing material. Hence, two types of transcriptions are traditionally identified. One is the partition, a composition which is a precise translation of the musical notation from one medium to another, an arrangement of the music bearing little personal stamp of the composer.² A second type is the paraphrase, which, at its most complex and many times most exciting, recomposes the work, using the original ideas as a framework but so transforming them that the new piece becomes a compositional entity discernably different from its original.³

The motivations prompting composers to make <u>partitions</u> and paraphrases of existing works of other composers are

various. For the composer's own discipline, transcribing a musical work can be a profitable compositional exercise. Among Schumann's early works are the first of two sets of études (1832) based upon Paganini caprices. These six studies in Opus 3 represent a "self-imposed task of transcription . . . which he intended to place before the critics as an example of what he could do in theory."4 Another practical reason for the production of transcriptions can be the frequently limited availability of a composition's specified instrumentation. Transcribing was a performance device often employed in earlier musical eras. A further encouragement to produce transcriptions was provided by the need to satisfy the appetite for solo piano repertoire in the nineteenth century. Together with the almost unlimited capabilities of the instrument arose the desire for repertoire which strained both the instrument and performer to technical and musical limits. The Romantic period produced an unprecedented expansion of piano literature, incorporating technical explorations and emphasizing the individuality of the performer. Piano music was now attempting to describe specific events, emotions, and ideas, 5 and the art of transcription was further enhanced by the Romantic composers' willingness to step outside strict musical boundaries and to base many of their compositions, including their transcriptions, on extra-musical ideas.

The mechanical process of transferring notes from one instrument (or group of instruments) to the plano offers few difficulties to the transcriber in matters of range. dynamics, and phrasing. Technical training alone, however, may be insufficient to insulate the transcribed piece from being flawed by poor musical judgment, for if the transcriber violates the musical integrity of a work, or if he is insensitive to the idiomatic characteristics of the original instrument and of the transcribing instrument, artistic license is ill-served. In the preface to his translation of Dante's Inferno, John Ciardi acknowledges the requirements, beyond technical skill, of sound artistic judgment and sensitivity to the "self-logic" of both languages, which a successful literary translation must satisfy. He illustrates his remarks with an analogy from music:

When the violin repeats what the piano has just played, it cannot make the same sounds and it can only approximate the same chords. It can, however, make recognizably the same "music," the same air. But it can do so only when it is as faithful to the self-logic of the violin as it is to the selflogic of the piano.

Traversing the thin margin between flawed judgment and aesthetic good taste and being simultaneously "faithful to the self-logic" of the original music, of the original instrument, and of the transcribing instrument together create the chief artistic problem to be solved by the transcriber. A study of selected Paganini caprices transcribed by Schumann and Liszt affords considerable insight into the matter of artistic purpose and judgment, especially as some of the caprices were chosen for simple arrangement while others served as the basis of a new composition. Further comparison of the Schumann and Liszt transcriptions of the same caprice will illustrate the decisions made by each composer on the best means of implementing the musical ideas of the original compositions. These decisions offer direct evidence by which we may examine the aesthetic judgment of these men at work, as they bring new approaches to existing materials.

NOTES

¹Dragan Plamenac, "The Codex Faenza, Biblioteca comunale 117," <u>Journal of American Musicological Society</u>, IV (1951), 179-201.

²David Wilde, "Transcriptions for Piano," <u>Franz Liszt:</u> <u>The Man and His Music</u>, edited by Alan Walker (London, 1970), p. 168.

³Wilde, p. 168.

⁴Kathleen Dale, "The Piano Music," <u>Schumann: A Sym-</u> posium, edited by Gerald Abraham (New York, 1952), p. 29.

⁵Rey M. Longyear, <u>Nineteenth-Century</u> <u>Romanticism in</u> <u>Music</u>, Prentice-Hall History of Music Series (Englewood Cliffs, 1969), p. 11.

⁶Dante Aligheri, <u>The Inferno</u>, translated by John Ciardi (New York, 1954), p. i.

CHAPTER II

TECHNIQUES USED BY SCHUMANN AND LISZF IN TRANSCRIBING PAGANINI CAPRICES

The Paganini A-flat major Caprice, Opus 1, Number 12, and the Schumann piano adaptation illustrate how a musical composition may be successfully transferred to another instrument without losing the character of the original work. This Caprice is one of the quieter and more introspective of Paganini's Opus 1 studies. The perpetual motion character of the work gives to it forward movement but does not detract from its essentially peaceful nature. Further, scoring the composition primarily within the middle and low range of the violin secures that instrument's capacity for mellow sound and helps the constant sixteenth-note accompaniment to attain a serenity rather unexpected upon initial study of the score. Paganini makes frequent and effective use of accents throughout this Caprice, a device which gives further diversification to the work's conventional harmonic and melodic structure. He also makes use of the octave leap which serves as a unifying device throughout. Large leaps and the accelerated tempo combine to give this work its virtuosic character.

Schumann's A-flat major Étude, Opus 10, Number 1, remains faithful to the Paganini work. He copies the violin

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part and assigns it primarily to the right hand. This enables the left hand to perform a rhythmic variation characteristic of Schumann. On the matter of Schumann's rhythmic variety, Curt Sachs offers the following observations:

Schumann himself, together with Chopin, was a prominent leader in the rhythmic and polyrhythmic field. In their hands, the conflicting coincidence of different rhythms reached a new heyday in a merely musical capacity without symbolic or poetic connotations. In their planistic polyrhythm, we can easily distinguish between two varieties: coincident beats, but conflicting accents; and again, conflicting beats, but coincident accents.¹

The A-flat Étude illustrates clearly the ability of Schumann to make an accompaniment figure assume a personality of its own. The accompanying figure in the first twelve bars of this work, with its accent on the second, fourth, sixth, and eighth eighth-notes of each measure, puts it in "coincidental conflict" with the melody line played concurrently in the right hand.





Fig. 1--Schumann. Opus 10, Number 1, mm. $1-12^2$

This cross-accent recurs many times in the Étude. Kenneth Klaus has noted that "one aspect often observed in Schumann is the use of the left hand in a figuration which might be an Alberti bass but often contains hidden counterfigures."³ Schumann illustrates his fondness for disguised counterfigures when he assigns the melody line to the left hand during the course of the middle section, surrounding it with an alternating-thirds rhythmic pattern.



Fig. 2--Schumann. Opus 10, Number 1, mm. 35-38

While adhering closely to the Paganini score in rhythmic and melodic contours, Schumann uses greater dynamic variance, giving to his arrangement more of the virtuosic character commonly associated with études. This greater dynamic contrast does not, however, alter the quiet demeanor of the original. Similarly, the cross-accents serve to propel the work forward and avoid what could become tediousness when Paganini's ideas are transferred to the idiom of the keyboard.

The A-flat Caprice by Paganini and the Schumann A-flat Étude have identical beginnings through the twelfth measure. At this point, Schumann omits two measures of the Caprice. It is not clear why the omission occurs, since the discarded measures could be included in the piano version without creating compositional difficulties. Schumann's treatment of the following measures of the Caprice--



Fig. 3--Paganini. Opus 1, Number 12, mm. 9-154

--shows that the transition made from the twelfth measure to the fifteenth is, however, quite logical and succinct:



Fig. 4--Schumann. Opus 10, Number 1, mm. 9-13

The most significant revisions made by Schumann occur following the repeat of the first section. The displacement of the melody to the left hand, in parts of measures thirtyfive through thirty-eight and forty-five through forty-eight, is extremely effective and so subtle that a performer not familiar with the violin Caprice might be misled into seeking the melody line only in the right hand. Further, at the fifty-second measure of the violin work, Schumann completely rewrites a short section, inserting his own recapitulation to the opening statement (measures fifty through sixty-three of the Étude), thus making more prominent a ternary form that, while present with Paganini, is not so striking.





Fig. 5--Schumann. Opus 10, Number 1, mm. 50-63

Schumann was not at all reticent about altering the original score if he felt the piece would be improved.⁵ With his decision to return to the opening theme, the Étude acquires a more balanced form which gives a greater sense of unity to the composition. Beginning with measure sixty-four, Schumann returns to the Paganini score and follows his ideas to the conclusion of the piece.

Schumann's adaptation of the A-flat Caprice to piano is a curious combination of strict adherence to the Paganini score and a willingness to deviate in form, articulation, and use of new material. The deletion of the measures already discussed and the addition of others is structurally balanced by the omission of the second repeat. Schumann's use of rhythmic accents has been noted. Beginning in the twenty-first measure of the violin score, Paganini makes significant use of off-beat accents. These accents are not followed by Schumann who makes effective use of different kinds of accents. These changes by Schumann, however, do not alter the flowing character of the Paganini score. The running sixteenth notes are an integral part of the composition, and Schumann is wise to retain them. He was able to adapt this Caprice, with some compositional changes, yet did so without disturbing the integrity of the original.

The g minor Paganini Caprice, Opus 1, Number 6, was transcribed by both Schumann and Liszt. This work poses specific problems of adaptation to another instrument, because the idiomatic tremolo used by Paganini as an accompaniment pattern does not transfer readily to the keyboard.



Fig. 6--Paganini. Opus 1, Number 6, m. 1

The pedal point poses a womewhat less difficult problem, but it is one that requires compositional judgment beyond making a simple transfer of the notation to the keyboard. The transcriber must decide whether those changes made either for facility or pianistic effect might be unfaithful to the character of the original work.

Schumann strikes out boldly in his transfer of this Caprice to the piano. The sixty-fourth note tremolo pattern of Paganini's original is changed to a triplet sixteenthnote figure. Schumann uses this pattern throughout the piece, as did Paganini with his accompaniment figure. To give the sixteenth-note pattern more impetus, Schumann changes the tempo from <u>Adagio</u> to <u>non troppo lento</u>. He also inserts a descending counter-melody, the chief compositional significance of which is to sustain the forward thrust of the piece.



Fig. 7--Schumann. Opus 10, Number 2, mm. 1-4 With his fondness for reliance upon rhythm as a compositional device, Schumann incorporates a rhythmic

pattern of two-against-three. The most extensive departure from the Paganini work, however, is a change in character. The Caprice is quite dramatic and virtuosic, straining the performer to technical and interpretative limits. Schumann retains the intensity and musical line of Paganini but makes fewer technical demands upon the performer. He also maintains the pedal point effect and adds a trill, the only time he inserts ornamentation in any of the adaptations of the Caprices discussed. Further drive is added to the Étude by directing a quicker tempo at the beginning and by indicating an accelerando in measure thirty-seven that never returns to the original tempo. Although Schumann institutes important changes in the accompaniment figure, he otherwise adheres closely to the Paganini score: an equal number of measures are used in both compositions; the violin part is reproduced on the keyboard in the right hand; and the melodic range of the score is copied almost entirely. This Étude displays Schumann's ability to assimilate his own inventiveness with pre-existing ideas.

In Franz Liszt's transcription of the g minor Caprice, <u>Grandes Études de Paganini</u>, Number 1, he uses the first four bars of the Paganini fifth Caprice (in a minor) as an introductory prelude, changing the key to g minor and making the final run in tenths. After this burst of sound, Liszt requires of the piano an attempt to accommodate itself to the idiom of the violin, as the violin tremolo is copied

precisely by Liszt in the opening section of the Étude. He does, however, refrain from repeating the first eighteen bars, allowing the performer an opportunity to move forward to an equally accelerated, but easier, accompaniment figure.



Fig. 8--Liszt. <u>Grandes Études de Paganini</u>, Number 1, mm. 6-7.⁶

There are almost no melodic changes from Paganini in the first thirty bars, the exceptions being a slight recomposing of the melody in measures fourteen and twenty. Only changes in octave and the placement of the original melody within the inner voices alter the melodic line's reflection of its original in the Caprice. Rhythmic changes are almost nonexistent, not only within the first section but throughout the work. In the middle section, Liszt retains the virtuosic character of the violin work but changes the composition to a considerable degree by assigning the melody alternately to each hand. Retaining the tremolo accompaniment, Liszt intertwines melody and harmonic

accompaniment in a steady crescendo of sound. The omission of the repeat streamlines the Caprice without obscuring its musical contours. Liszt changes the tremolo pattern from sixty-fourths to triplet thirty-seconds at measure eighteen and indicates an <u>accelerando</u> to propel the work toward its middle section. At this point he also rewrites measures thirty-two and thirty-three a half-step higher and then returns immediately to the Paganini score.



Fig. 9--Liszt. <u>Grandes Études de Paganini</u>, Number 1, mm. 32-34.

Another compositional effect used by Liszt to heighten tension is the rhythmic pattern of two-against-three. Schumann also employs this rhythmic device in the same

general context of his Étude (Opus 10, Number 2), as has been observed previously. This will be discussed more thoroughly in Chapter III. The return to the opening motive again illustrates Liszt's ability to adapt existing musical ideas to his own style. The melody is placed in the left hand in a range two octaves lower than the original score. While this is not a precedent-shattering compositional decision, the effect is quite striking as it permits a general easing of musical tension which continues to the final cadenza. Paganini perpetuates the emotional intensity until several measures nearer the conclusion of the Caprice by keeping to the higher register of the instrument. Liszt adds a final reminder that he is not, in this piece, merely arranging a violin work for the plano. Measures forty-six and forty-seven of the Caprice are repeated with a carefully noted crescendo and decrescendo leading into the final G major section, which serves as a springboard into the cadenza.

There are a few significant differences between Paganini's g minor Caprice and the Liszt g minor Étude: an introductory <u>préludio</u> and final <u>cadenza</u>, the omission by Liszt of the repeat, and a slight rewriting of the final section. Yet, the fact remains that the character of the Caprice has been fully sustained. The passion, virtuosity, and intensity so notable in the violin work are kept and sometimes even extended by Liszt.

A comparison of the Caprices and Etudes presented thus far illustrates Schumann's and Liszt's decisions to instigate changes in character, to insert and delete material as dictated by musical judgment, to offer a modest manipulation of dynamics, and to make bold changes in some of the accompaniment figures. However, in Paganini's "La Chasse," the ninth Caprice of Opus 1, new opportunities are afforded the transcribers.

Paganini provides quite specific instructions for the violinist, who must first sound like a flute, then a horn, and then alternate between these tone qualities. The instrument permits such feats because of the difference in timbre which can be created by switching strings and octaves, through the use of harmonics, and by the placement of the bow over the fingerboard.

When a comparison is made of Schumann's E major Etude with this Caprice, an almost total transliteration from violin to piano is discovered. Both works have the same number of measures in the same order. Schumann almost always uses the same octave range as Paganini and the same scale passages. Beginning at measure eighteen, however, he recomposes for the piano a very good imitation of the broken chords Paganini writes for violin, providing an arpeggiated left hand chord figure distinctly different from Liszt's solution. Schumann's use of a legato inner voice gives continuity and fluidity to this section.



Fig. 10--Schumann. Opus 3, Number 2, mm. 17-267

A great deal of restraint is shown in the a minor section. considering the technical resources at Schumann's disposal. The thirty-second note runs in the Caprice are duplicated; the hands play in octaves the first two times and in sixths the third and fourth times. Near the conclusion of the a minor section, Schumann inserts a simple accompaniment pattern beginning in measure seventy-eight, tying the C in the bass into the next measure to produce an effective pedal point. This device is continued through the next four measures where Schumann begins his characteristic use of accents, first on the off-beat and then on each beat, in the transitional measures leading to the final melodic statement. His last section, like Paganini's, is a precise copy of the first sixteen measures to which a final measure has been added. This Étude may thus be called a partition of the Paganini Caprice in which the composition is kept intact harmonically, melodically, and structurally, although a few measures are changed to facilitate the transfer to the keyboard. The character of the Caprice, while somewhat subdued, is sustained.

Liszt also chose the E major Caprice for piano solo. Paganini's instructions that the instrument should imitate the flute and horn are repeated by Liszt in the keyboard score. He reproduced the first sixteen measures of the Caprice, which are followed by a full repetition of this material, placing the violin part in the right hand with a simple accompaniment in the left.

The first clear departure from the Paganini work occurs at measure thirty-three with the appearance of the e minor section, where instead of the arpeggiated violin figure, Liszt writes block chords with the melody in the middle voice, all in a lower octave. Although he does not reproduce the arpeggiated figure from the violin score, his decision to recompose achieves pianistic effectiveness. Liszt then returns to the original theme, using the sixteen measures he inserted previously.

The a minor section, beginning at measure sixty-nine, allows Liszt the opportunity to follow Paganini's score quite closely and to also include some elements characteristic of his own style. The melody in this section remains exactly as Paganini wrote it; it is even placed in the original octave. But instead of the scale passages scored by Paganini, Liszt uses white-key glissandi in sixths, for

added sparkle and excitement. The octave skips in the melody from measure seventy-six through eighty-four and from ninety-three through one-hundred-five are as technically dazzling on the keyboard as on the violin. Liszt increases the range of the final run and harmonizes it, creating calculated flair for the final section.

In this section the composer again uses the exact melody of Paganini but changes the octave, altering the accompanying figure once more and, finally, adding a measure at the end to give a firmer sense of finality than was found in the Paganini score.

In the adaptation of this work to the keyboard, Liszt demonstrates discriminating ability to incorporate his own ideas and style without disturbing the character of the existing work. The technical virtuosity is skillfully kept within the stylistic boundaries established by the Caprice while offering great variety for the performer. Knowing how far a composer can go in recomposing or inserting new material, by which can be measured the concept called "aesthetic judgment," is well illustrated by Liszt's transcription of this Caprice.

Liszt's transcription of the E-flat major Caprice, Opus 1, Number 17, demonstrates his ability to adapt an openly virtuosic piece written for another instrument to the piano. All the <u>cadenzas</u>, runs, and musical climaxes with which Paganini challenges the violinist are sensitively conveyed to the idiom of the keyboard.

The basic structure of the Paganini Caprice is followed systematically by Liszt, the opening chords giving little hint of the mood to follow. The short <u>cadenza</u> at the beginning is generally retained by Liszt who adds an octave and chords to the fourth measure and alters the <u>cadenza</u> in the fifth.



Fig. 11--Liszt. <u>Grandes Études de Paganini</u>, Number 2, mm. 1-5.

The differences are not so striking in the first section as are the similarities. While Liszt reworks the scale passages from measure five to seventeen, the Étude here remains true to the musical ideas in the Caprice. Beginning at the seventeenth measure, however, Liszt omits the Paganini <u>cadenza</u> and moves immediately to measure nineteen of the Caprice; he then rewrites the <u>cadenza</u> preceding the return to the opening theme. The rewriting and repositioning of the measures may appear to be a complicating gesture, but the effect produced is satisfying. Liszt illustrates in the scale passages his considerable ability to use the resources of the piano as a virtuoso instrument, for he employs here a technical innovation traditionally associated with him: rapid octave alternation between hands, the so-called "blind" or "Liszt" octaves. This technique constitutes one of the most effective uses of the piano in virtuosic passages, and it has remained a staple of keyboard pyrotechnics to the present time.

The middle section of the seventeenth Caprice affirms again Liszt's ability to take a work not originally intended for the piano and to assimilate it to the pianist's advantage. Rapid octave work in each hand, the alternation of the melody between the hands, and the use of octaves in each hand simultaneously for the climax of this section, while not altogether original with Liszt, became a frequent performing characteristic of this composer.

Following the climax of the middle section, Liszt inserts an eight-measure re-entry to the opening theme, providing a much smoother transition than is found in the Caprice. The recapitulation to the A section of the Caprice is an identical repetition. Paganini also repeats this section, employing the <u>dal segno</u> instead of writing out the material. At this point Paganini ends the composition. Liszt, however, adds a nine-measure coda for the Étude.

using a variation of the opening theme scale passage which leads to the closing <u>forte</u> chords.

The Liszt E-flat major Étude is a representative example of a skillful composer's ability to take existing material and adapt it to a chosen instrument. The writing for both instruments is idiomatic, despite the technical difficulties incorporated into each score. The violin and the piano excel in rapid passage work, octave changes, and huge dynamic contrasts. Liszt was sensitive to each technical possibility and assimilated it within the performance range of the piano while keeping the integrity of Paganini's original intact.

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¹Curt Sachs, <u>Rhythm and Tempo</u> (New York, 1953), p. 334.

²dobert Schumann, <u>Six</u> <u>Concert-Studies</u> <u>on</u> <u>Caprices</u> <u>by</u> <u>Paganini</u>, edited by Clara Schumann, Kalmus Music Series, Vol. II of 6 vols. (New York, n. d.), p. 30. Subsequent citations of Opus 10 Études are taken from this edition.

³Kenneth Klaus, <u>The Romantic Period in Music</u> (Boston, 1970), p. 293.

⁴Niccolo Paganini, <u>24</u> <u>Caprices</u>, edited by Ivan Galamian (New York, 1973), p. 24. Subsequent citations of Opus 1 Caprices are taken from this edition.

⁵Kathleen Dale, "The Piano Music," <u>Schumann: A Symposium</u>, edited by Gerald Abraham (New York, 1952), pp. 29-30.

⁶Franz Liszt, <u>Grandes Études de Paganini</u>, edited by Istvan Szelenyi, New Edition of the Complete Works, Series I, p. 5. Subsequent citations of <u>Grandes Études de Paganini</u> are taken from this edition.

⁷Robert Schumann, <u>Studies for the Pianoforte on Caprices</u> of <u>Paganini</u>, edited by Clara Schumann, Kalmus Music Series, citations of Opus 3 Études are taken from this edition.

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CHAPTER III

COMPARISON OF TRANSCRIPTIONS OF PAGANINI CAPRICES MADE BY LISZT AND SCHUMANN

An investigation of the compositional relationships between the individual Études and the Paganini Caprices invites further comparison of the transcribing decisions made by Liszt and Schumann in their treatment for piano solo of the same pre-existing material.

In the g minor Caprice, Opus 1, Number 6, which was adapted by both composers, each changes Paganini's <u>Adagio</u> tempo marking to <u>non troppo lento</u>. Schumann departs markedly from Liszt, however, in his treatment of the accompaniment, where he uses triplet sixteenth notes to replace the sixty-fourth note tremolo pattern employed by Liszt and Paganini. Yet, while Liszt employs the original accompaniment figure, he also alternates the sixty-fourth note pattern with thirty-second notes, producing a rubato not found in, and perhaps not desired by, Schumann. The <u>non</u> <u>troppo lento</u> marking of Liszt, compounded with the original accompaniment figure, offers added technical difficulty to the performer. Both treatments are effective. Schumann's use of the same rhythmic pattern throughout, while meeting the requirements of the étude (an exercise devoted to the

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solving of a specific technical problem), does not furnish the performer or the listener nearly so interesting a backdrop for the melodic line.

The dynamic contrasts indicated by Paganini are varied and wide-ranging and are followed, with some exceptions, by Liszt and Schumann. Paganini and Liszt have the same dynamic inclinations for the first climax of their works, Paganini using a <u>forte</u> indication and Liszt a <u>fortissimo</u>.



Fig. 12--Paganini. Opus 1, Number 6, mm. 29-32.





Fig. 13--Liszt. <u>Grandes Études de Paganini</u>, Number 1, mm. 36-38.

Schumann uses the same series of dynamic levels leading to the climactic point just illustrated in the Paganini and Liszt scores, but at measure twenty-seven he directs a <u>decrescendo</u> to a <u>piano</u> at measure thirty-two. These are the very measures which have received, with Liszt and Paganini, dynamic emphasis.



Fig. 14--Schumann. Opus 10, Number 2, mm. 27-32

Schumann reserves a fortissimo for the thirty-sixth measure



which places a much different emphasis on the recapitulation.

Fig. 15--Schumann. Opus 10, Number 2, mm. 33-37

At this point in his score, Liszt has already begun a <u>decrescendo</u> which functions to ease musical tension in the measures preceding the recapitulation.





Fig. 16--Liszt. <u>Grandes Études de Paganini</u>, Number 1, mm. 39-41.

Unlike the quiet ending of the Paganini and Schumann scores, the dynamic markings near the end of Liszt's g minor Étude alter the conclusion dramatically. The Étude finishes explosively when Liszt modulates to G major at measure fifty-eight. The <u>cadenza</u> following the modulation to G major is a repetition of the first five measures of the Étude which, of course, had been stated previously in g minor.

The dynamic changes just discussed, though differing quite markedly from those of the Caprice and from each other, work logically within the context of each piece. While these changes do not produce works of different character, they are responsible for a difference in compositional emphasis. Since the melodic line is retained and the harmonic structure is similar, the individuality of each Étude is determined by the transcribing composer's treatment of the accompaniment, tempo alteration, and dynamic changes to vary the complexion of the new composition.

The E major Caprice ("La Chasse"), Opus 1, Number 9, was also adapted by both composers. No significant compositional changes have been made by either man. Liszt makes a precise copy of the first sixteen measures from the Paganini score. Schumann uses the same melody and harmony, but he adds a simple accompaniment pattern in the left hand.



Fig. 17--Liszt. <u>Grandes Études de Paganini</u>, Number 5, mm. 1-16.





Fig. 18--Schumann. Opus 3, Number 2, mm. 1-16

At measure seventeen, Liszt repeats the first sixteen bars melodically, but an octave higher; he imitates the harmonics played on the violin and writes a broken chord accompaniment.



Fig. 19--Liszt. <u>Grandes Études de Paganini</u>, Number 5, mm. 17-32.

The first significant difference in arrangement between the Liszt and Schumann Études occurs in the e minor section. Liszt places the melody in the middle voice, played predominately by the thumb of each hand (a technique commonly associated with this composer).











Fig. 20--Liszt. <u>Grandes Études de Paganini</u>, Number 5, mm. 33-52.

Schumann, however, remains more faithful to the broken chord style of Paganini by employing arpeggiated left-hand chords. Kathleen Dale writes that

He sometimes translated treble-stopping into light arpeggios. A telling example of the effectiveness of this treatment occurs in the section of Opus 3, number 2, where the discreet left hand arpeggi reproduce the original far more accurately in spirit than do Liszt's solid chords which give no sense of the impact caused by the violinist's drawing the bow across three strings at once.¹









Fig. 21--Schumann. Opus 3, Number 2, mm. 17-36

The dynamic markings of Paganini are generally followed in this section, although neither Liszt nor Schumann adheres to the <u>mezzo-piano</u> indication in measure twenty-five of the Caprice. After the e minor section, Liszt returns to measures seventeen through thirty-two of his Étude, which were an arrangement of the first sixteen measures of the Paganini score. Schumann remains faithful to the original work by repeating, at this point, his arrangement of Paganini's first sixteen measures.

The a minor section affords another opportunity for both composers to resolve transcription problems while respecting the integrity of the original. Schumann reproduces Paganini's scale passages, the hands playing an octave apart. Liszt seizes this occasion to employ <u>glissandi</u>, a keyboard technique widely used in the Romantic period.



Fig. 22--Liszt. <u>Grandes Études de Paganini</u>, Number 5, mm. 69-72.

Interspersed in the section using <u>glissandi</u>, Liszt employs the crossing of hands combined with large leaps at a rapid tempo, another bravura compositional technique favored by keyboard composers of this era.



Fig. 23--Liszt. <u>Grandes Études de Paganini</u>, Number 5, mm. 77-80.

The crossing of hands is omitted by Schumann, but he follows Paganini in the use of large leaps.



Fig. 24--Schumann. Opus 3, Number 2, mm. 61-64

In the succeeding group of scale passages, Schumann again follows Paganini, but he writes scales in sixths. Liszt retains the <u>glissandi</u> at this same point in his Étude, using all white keys as he did previously. Following the scale passages in sixths, Schumann subsequently returns to Paganini's large leaps and varies the accompaniment pattern with an effective use of tied notes in the left hand.



Fig. 25--Schumann. Opus 3, Number 2, mm. 77-80

Liszt's use of the cross-hand pattern of previous measures is sustained without alteration. Both composers employ the cross-hand technique to great effect in the transitional measures preceding the final bars. Schumann, however, does put the hands much closer together, which is not necessarily an advantage to the performer.



Fig. 26--Schumann. Opus 3, Number 2, mm. 83-94

Liszt separates the hands further and uses broken chords in the left hand.



Fig. 27--Liszt. <u>Grandes Études de Paganini</u>, Number 5, mm. 93-106.

The short <u>cadenza</u> preceding the final return of the opening theme is similar in the Paganini and Schumann scores, and Schumann instructs the pianist to play the arpeggiated figure in octaves. Liszt alters this <u>cadenza</u> slightly to incorporate more and faster notation, in harmony. To conclude their Études, both composers follow Paganini's score and return to the opening statement. Schumann repeats his introductory sixteen measures and adds to them a final measure. Liszt writes yet another accompaniment to the opening melody, adding two measures to the original sixteen-measure opening statement to effect a greater sense of finality for the work.

The E major Caprice of Paganini reveals that Schumann and Liszt have remained constant to the original material. With the exception of the repeat of the opening phrase by Liszt and the extra measure he adds at the very end, the three compositions contain an identical number of measures. The harmonic and melodic ideas of Paganini are preserved, as are most of his dynamic indications. Yet, within these selfimposed restrictions, an astonishing amount of variety is achieved. The "La Chasse" Caprice and the arrangements by Liszt and Schumann offer a useful illustration of the idea proposed by T. S. Eliot "that art never improves but that the material of art is never quite the same."²

The adaptations of the sixth Caprice in g minor and of the ninth in E major offer a clear indication of the abilities of these men as transcribers. A study of their transcriptions of the Caprices shows the talent they possessed to imitate, not by slavish copying, but by assimilating others' ideas and making them wholly their own. This intellectual and musical capacity enabled them to solve transcribing

problems they encountered in a manner that is consistent with Paganini's intentions, with the idioms of violin and piano, and with their own individuality as composers.

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¹Kathleen Dale, "The Piano Music," <u>Schumann: A Sym-</u> posium, edited by Gerald Abraham (New York, 1952), p. 30.

²T. S. Eliot, "Tradition and Individual Talent," <u>Selected Essays, 1917-1930</u> (New York, 1960), 1. 11.

CHAPTER IV

HARMONIC COMPARISON OF ORIGINAL

WORKS AND TRANSCRIPTIONS

Previous chapters of this paper have been devoted to an examination of formal structure, of accommodations for transferrence to another instrument, of the recomposing or the inserting of new material, and of alternations in the melodic line. Such studies have served to characterize the Études of Schumann and Liszt and to distinguish them from the Paganini Caprices and from each other. A brief survey of the harmonic changes distinguishing the transcribed studies from their originals appropriately concludes the formal analysis pursued in this paper.

The most striking fact which becomes quickly evident is the decision on the part of the transcribing composers to make few departures from the harmonic structure of the original. Such changes as they do make range from a slight alteration of chords to small insertions of new material. Schumann makes no changes to disturb the harmonies of the A-flat Caprice in his Opus 10 Étude. He omits the thirteenth and fourteenth measures of the Paganini work, but the harmonic entrance into the fifteenth measure is nonetheless accomplished smoothly.



Fig. 28--Paganini. Opus 1, Number 12, mm. 11-15



Fig. 29--Schumann. Opus 10, Number 1, mm. 11-13

Schumann writes thirteen measures of new material starting at measure fifty, this being based on the opening theme of the Étude.





Fig. 30--Schumann. Opus 10, Number 1, mm. 50-63

Paganini does not re-introduce the opening theme but instead implements a melodic and harmonic pattern used earlier in the Caprice.





A comparison of the g minor Caprice, Opus 1, Number 6, and the g minor Études of Liszt and Schumann has already illustrated that the transcribers are not reluctant to alter Paganini's score. The first major change which we observe in this Étude by Liszt occurs in measures twenty-seven and twenty-eight of the Paganini score, when Liszt moves briefly to E major.



Fig. 32--Paganini. Opus 1, Number 6, mm. 27-28



Schumann makes no significant changes until measure fiftyone, where he recomposes Paganini's harmony. In the next measure, he observes Paganini's modulation to G major but leaves the final chord in second inversion.





Fig. 35--Schumann. Opus 10, Number 2, mm. 50-52

One final change is made by Liszt in the last three measures of his g minor Étude. Paganini retains a tonic chord in g minor for two measures and uses a Picardy third for the final measure. Liszt changes the harmony and modulates to G major one measure earlier.





Fig. 36--Liszt. <u>Grandes Études de Paganini</u>, Number 1, mm. 57-59

There are no harmonic changes by Liszt or Schumann in their transcriptions of "La Chasse."

A comparison of the E-flat Caprice, Opus 1, Number 17, and the transcription by Liszt in his second Étude offers clearer evidence of independent harmonic recomposition than any of the other Liszt transcriptions discussed. Liszt makes a small harmonic alteration in the third measure of the introduction. He also changes the note values and uses a thicker texture.





Fig. 38--Liszt. <u>Grandes Études de Paganini</u>, Number 2, mm. 1-4.

Further, the cadential chords in measure twelve are given more variety by Liszt.



Fig. 39--Paganini. Opus 1, Number 17, mm. 12-13



Fig. 40--Liszt. <u>Grandes Études de Paganini</u>, Number 2, mm. 12-13.

A striking distinction between the scores occurs at measure twenty-one in the Étude when Liszt modulates to G major.



Fig. 41--Paganini. Opus 1, Number 17, mm. 21-23



The adaptation by Liszt of the middle section of the E-flat Caprice differs harmonically when he composes an elevenmeasure extension.



Fig. 43--Paganini. Opus 1, Number 17, mm. 33-37





Both Paganini and Liszt return to the A section of their works and repeat these sections in entirety. After this repeat, Paganini concludes his Caprice. Liszt composes a coda based on material in the first section.





Fig. 45--Liszt. <u>Grandes Études de Paganini</u>, Number 2, mm. 63-71.

The harmonic structures used by Liszt and Schumann in their transcriptions differ only slightly from those of the Caprices; they do not substantially depart from either the nature or intention of the original works. The harmonic structure of the A-flat Caprice stands intact when Schumann transcribes it, and the omission and addition of measures in this Étude are largely incidental to an otherwise harmonically mirrored reflection. Again, in Schumann's g minor Étude, almost no changes are brought to the harmony as Paganini conceived it. Liszt revises the g minor Caprice at two strategic points: at the musical climax in measure three and at the conclusion of his Étude. Liszt makes one important change in the E-flat Étude at climactic measures in the middle section and at the conclusion of the composition. Both transcribers follow Paganini in their adaptations of "La Chasse."

Such harmonic changes as have been discovered are not the source of important distinctions either between the transcriptions and their originals or between the Études themselves when both composers treated the same Caprice for piano solo. Instead, when they chose to depart significantly from their original material, they were more likely to rely upon such devices as melodic displacement, upon idiomatic changes for keyboard facility, and upon small insertions of measures where the transcribers felt it would be essential for the successful translation of the violin works to the piano.

CHAPTER V

CONCLUSION

In the preface to his Opus 3 Études, Schumann tells us that "his aim was to make a transcription which, while adapted to the character and mechanical resources of the pianoforte, should remain as far as possible faithful to the original."¹ Liszt reflects a similar philosophy in the preface to his adaptation of the Beethoven Symphonies where he states: "My aim has been attained if I stand on a level with the intelligent engraver, the conscientious translator, who comprehends the spirit of the work."² Elsewhere in this commentary he returns to that ideal of comprehending and capturing "the spirit" of the original composition:

I confess that I should have to consider it a rather useless employment of my time, if I had but added one more to the numerous hitherto published piano-arrangements, following in their rut; but I consider my time well employed if I have succeeded in transferring to the piano not only the grand outlines . . . but also those numerous fine details, and smaller traits that so powerfully contribute to the completion of the ensemble.³

These statements describe the activity which produces a composition which may be generically termed a <u>partition</u>, and they characterize what was discovered in the transcriptions of the "La Chasse" Caprice in \mathcal{E} major.

In Schumann's and Liszt's adaptations of this Caprice, both Composers remain faithful to the spirit and the letter of the violin composition. The studied fidelity of these transcriptions satisfies the traditional concept suggested by the term partition. This faithfulness is particularly evident in Schumann's treatment of this Etude. This composition, one of six in Opus 3, is an early work which dates from the period when Schumann favored transliteration.4 The violin part is reproduced in the right hand, and the left hand provides an accompaniment which follows Paganini's harmonies. Liszt also composed what we may describe as a partition of the E major Caprice, despite three changes: the first sixteen measures of the piece are repeated; glissandi replace scale passages; and, there is a slight rewriting of the cadenza preceding the final section.

In the other Etudes which have also been the concern of this paper, different compositional sensibilities are at work, where sufficient recomposition brings the realizations of the Paganini studies to a level where the label <u>partition</u> does not entirely suffice.

The A-flat Étude, Opus 10, Number 1, by Schumann reveals a close adherence to the Paganini score, but there is also found boldness of compositional revision in Schumann's activity. He adds thirteen measures in which the opening theme of the Caprice is reintroduced. While this Étude is not strictly a <u>partition</u>, it is also only partially a paraphrase.

The E-flat Étude of Liszt, like the E major ("La Chasse"), is a very close rendering of the Paganini Caprice transferred to the piano with appropriate changes necessary for performance on another instrument. The body of the Etude is a transliteration of the Caprice, a <u>partition</u>. However, Liszt also adds a coda composed of material extracted from this Étude.

Among the Études examined, the most striking examples of adaptations which rise above the restrictions suggested by the term partition are found in the g minor Etudes. Unlike a partition, a paraphrase is characterized by the creation of new material or the omission of original material, by major changes in melody, harmony or rhythm, or by a change in the character of the original piece. Liszt's paraphrase of this Caprice retains the melodic and harmonic concepts of Paganini and also sustains the accompaniment pattern; however, he initiates in the work extensive displacement of the melody and rearranges the dynamic climax. Additionally, he surrounds the Étude with a Préludio and Cadenza of material derived from Paganini's fifth Caprice in a minor. Schumann closely observes the melodic and harmonic structure of Paganini in his paraphrase of this Caprice, but he makes a radical change in the accompaniment figure. Schumann must have been confident of his decision, because he used the same left-hand triplet counter-melody figure again, twenty years later, when he composed accompaniments

for twelve of the Paganini Caprices (1853-55).5

The Études of Liszt which have been examined were the product of his compositional activity in 1851. Yet, Liszt wrote two versions of the Paganini studies. The earlier version of 1833 was, in fact, an attempt to transcribe all the technical problems of the Caprices directly to the keyboard, with the goals of producing corresponding difficulties for the performer⁶ and also of reproducing the virtuosic aura generated by Paganini.

A comparison of the Études in g minor and E major as performance vehicles also provides insight into the transcription decisions employed by each composer. In the Schumann g minor Étude, for example, the change to a slower accompaniment pattern, in contrast with the Liszt score, might initially seem to ease the technical demands being made on the pianist. If the performer chooses to treat the Liszt Étude as a left hand technique study, then the Schumann score is, indeed, technically easier to accommodate. If for performance, however, the pianist elects to use both hands for better clarity of melody and accompaniment, then the Liszt score lies more easily under the hands.

This example supports what is generally discovered when their Etudes are compared from the perspective of performance. The Liszt g minor and E major Études, with all their elongated scale passages, chromatic runs, <u>glissandi</u>, and octaves are impeccably pianistic. While they are interesting to

study and perform, the comparable Schumann Études are somewhat awkward, and despite their careful construction and fidelity to the Paganini score, his Études (and particularly those of Opus 3) have been neglected. It should be remembered that Schumann's goal in the Opus 3 Études was to use the transcriptions as a theory exercise. Further, he did not later revise these early compositions.

Liszt, on the other hand, wrote several versions, separated by a large span of years. The final version was the product of a composer whose technical achievements were limited only by his own compositional decisions and who brought to the editing process a mature musical mind. The Liszt-Paganini Études have remained a part of standard piano repertoire, and it is a tribute to the musical intelligence and honesty of both Schumann and Liszt that these transcriptions are sound musical works, able to stand on their own merits as a part of the Romantic piano literature.

NOTES

¹Nobert Schumann, <u>Studies for the Pianoforte on Ca-</u> prices of Paganini, edited by Clara Schumann, translated by Mevanwy Roberts, Kalmus Music Series, Vol. I of 6 vols. (New York, n. d.), p. 24.

²Franz Liszt, Preface to his Partitions of the Beethoven Symphonies, in David Wilde, "Transcriptions for Piano," <u>Franz Liszt: The Man and His Music</u>, edited by Alan Walker (London, 1970), p. 170.

³Franz Liszt, Preface to his Partitions of the Beethoven Symphonies, in Wilde, p. 175.

⁴Thomas Alan Brown, <u>The Aesthetics of Robert Schumann</u> (New York, 1968), p. 86.

⁵Robert Schumann, <u>Paganini-Schumann:</u> <u>24</u> <u>Caprices</u>, edited by Georg Schunemann, Peters Edition, Vol. I of 2 vols. (New York, 1966), pp. 20-21.

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