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Music Analysis and Psychoanalysis: Applying Freudian Primary Processes to Music Analysis

by

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Dedication Page

I dedicate this thesis to my grandmother—Doreen—affectionately known to the whole family as Nanny.

Abstract

This thesis is an exploration of aspects of Sigmund Freud's (1856–1939) theories of psychoanalysis as analytical strategies for understanding works by Franz Liszt (1811–1886) and Clara Schumann (1819–1896). My analysis of Liszt's "Transcendental Etude No. 10" S.139 employs Freud's primary processes of condensation, displacement, and transformation to reveal a through-composed structure and a narrative trajectory that is contrasted with an alternative view of the Etude as a hybrid sonata form. Freud's concept of repression and in particular the correspondence between affect and idea is my focal point for analyzing Clara Schumann's "Ich Stand in Dunklen Träumen" Op. 13 and its original version "Ihr Bildnis", Unpublished. Exploration of repressive strategies in the interaction of voice and accompaniment in both versions orient the analytical discourse towards articulation of hidden affective changes as expressed through absences and omissions in the musical structure.

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Music Analysis and Psychoanalysis: Applying Freudian Primary Processes to Music Analysis

Introduction and Literature Review

Although psychoanalysis has been extensively explored in relation to the understanding of music, comparatively little has been applied to the direct analysis of music. One aspect of psychoanalysis suitable for direct musical application is its theory of thought processes. Sigmund Freud distinguishes between two classes of mental process: primary processes, present during childhood as the dominant mode of thinking, and secondary processes, which, as they emerge and dominate consciousness, gradually push the primary processes into the unconscious. The defining characteristic of the primary processes is their freedom from the inhibitions of logic. Ideas can connect freely with other ideas without consideration of meaning, temporal order, or contradiction. Secondary processes, on the other hand, are the antithesis; they are the usual thinking of daily life, bound by the logic of meaning and time.

Freud provides one of the most thorough explanations of the primary processes in his book, *The Interpretation of Dreams* (1900).[1] Freud found dreams to be one of the major windows into primary processes, of which he specifies three types: condensation, displacement, and transformation. Condensation can occur through the direct omission of ideas, or through fragmentation. An underlying associative structure relevant to the music analyses presented in this thesis is the principle of unification through common attributes. Freud highlights this quality in his essay "On Dreams" (1901).[2] His description occurs within a section detailing ways in which dreams express logical relations amongst heterogeneous ideas:

> One and one only of these logical relations—that of similarity, consonance, the possession of common attributes—is very highly favoured by the mechanism of dream-formation. The dream-work [primary processes] makes use of such cases as a foundation for dream-condensation, by bringing together everything that shows an agreement of this kind into a new unity. (661–662)

Displacement is the representation of an idea by a fragment of itself, or more uniquely, by shifting one's perspective on an object. In particular, it is a shift in the importance-level of an object; thus, trivial ideas can

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[1] Sigmund Freud, *The Interpretation of Dreams*, trans. Joyce Crick (Oxford: Oxford University Press, 1999).

[2] Freud, *The Standard Edition of the Complete Psychological Works of Sigmund Freud, Volume V (1900–1901): The Interpretation of Dreams (Second Part) and On Dreams*, trans. James Strachey (London: Hogarth Press, 1953).

become central, and important ideas can recede into the background. Freud describes displacement in his "Introductory Lectures on Psychoanalysis" (1916):[3]

> [Displacement] manifests itself in two ways: in the first, a latent element is replaced not by a component part of itself but by something more remote—that is, by an allusion; and in the second, the psychical accent is shifted from an important element on to another which is unimportant, so that the dream appears differently centred and strange. (174)

The third and final category of primary process, transformation, is based on converting an idea from one form of expression to another. The strict definition of the term is the conversion of ideas or thoughts into images. Transformation is thus at the crux of most dream formation. An adapted version of this process will be used for musical application.[4] A literal interpretation of transforming music into images is still interesting however, and there appears to be little academic work on the subject.[5]

Freud's theory of repression is another important aspect of my approach to music analysis. Repression is the mental act of pushing distressing ideas

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[3] Freud, "Introductory Lectures on Psychoanalysis." *Standard Edition XV (1915–1916): Introductory Lectures on Psychoanalysis* (London: Hogarth Press: 1963).

[4] Music notation itself would be one of the most obvious and overlooked instances of transformation.

[5] For an article leaning towards such a direction, see Jack Ox and Peter Frank, "The Systematic Translation of Music into Paintings" *Leonardo* 17, no. 3 (1984): 152–58.

away from consciousness and potentially into the unconscious. Freud describes this phenomenon in a clinical context in "The Neuro-Psychoses of Defence (1894):[6]

For these patients whom I analysed had enjoyed good mental health up to the moment at which an occurrence of incompatibility took place in their ideational life—that is to say, until their ego was faced with an experience, an idea or a feeling which aroused such a distressing affect that the subject decided to forget about it because he had no confidence in his power to resolve the contradiction between that incompatible idea and his ego by means of thought-activity. (47)

Furthermore, underlying Freud's theory of repression is the idea that thoughts are structured with two components: the ideational content comprising the thought itself, and its affective or emotive content, comprising the charge or energy of a thought. Freud describes this two-part structure in his essay "Repression" in the specific context of drive representatives:[7]

Clinical observation now forces us to dissect what we have so far conceived of as a whole because it reveals to us that besides the idea, something else representing the drive must be taken into consideration, and this other element can, when repressed, experience a fate quite

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[6] *The Standard Edition, Volume III (1893-1899): Early Psycho-Analytic Publications* (London: Hogarth Press, 1962).

[7] "Repression," *The Unconscious*, trans. Graham Frankland (London: Penguin Books, 2005).

distinct from that of the idea. We have taken to calling this other element of the psychic representative the emotive charge; it is the part of the drive that can become detached from the idea and find an expression commensurate with its quantity in processes that are experienced as emotions. (40)

In the context of music analysis, repression is expressed in instances of omitted or mismatched ideas and affects. By detaching an idea from its "emotive charge" the two no longer need to be in direct correlation and each of the two components can develop as independent objects. This frees up the temporal underpinnings usually expected when analysing emotion and idea in music.

From the large body of literature concerned with music and psychoanalysis, I will focus, in what follows, on research related to primary processes and the role of repression in works that have been influential in my approach.[8] Though they are brief, Freud's own remarks about music and psychoanalysis are an obvious starting point. Freud approaches music through his concept of free association: the assertion that thoughts are not undetermined, but that all thoughts, even those

[8] For a complete literature review see Susanna Välimäki, *Subject Strategies in Music: A Psychoanalytic Approach to Musical Signification* (Imatra: International Semiotics Institute, 2005).

apparently random, arise for a reason and belong to a wider network of thoughts.[9] As such, however, Freud's main approach to music is indirect, and approaches associative processes through the text or lyrics connected with a given melody.[10]

In chapter VI of the "Introductory Lectures", Freud mentions the phenomenon of tunes coming spontaneously into one's mind. He theorises that the lyrics of a given melody will be associated with a train of thought which was running on relatively unawares:

> ...tunes that come into one's head without warning turn out to be determined by and to belong to a train of thought which has a right to occupy one's mind though without one's being aware of its activity. It is easy to show then that the relation to the tune is based on its text or its origin. (108)

The tune, which appears to arise freely, is a signal pointing at a set of ongoing but unaware thoughts. Once one determines the lyrics connected with the tune, one will then be able to bring to awareness, via the

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[9] In conclusion to an argument for the theory of free association in the "Introductory Lectures", Freud states: "We acknowledge now that thoughts that occur to one freely are determined and not arbitrary as we supposed."

[10] For an article which employs parapraxis (commonly known as a "Freudian slip") as an analytical tool for exclusively musical contexts, see Henry Klumpenhouwer, "An Instance of Parapraxis in the Gavotte of Schoenberg's Opus 25" *Journal of Music Theory* 38, No. 2 (Autumn, 1994): 217-248.

analytical procedure of free association, the underlying thoughts which inspired the tune in the first place.

Examining Freud's scenario reveals a very particular role assigned to the "tune". The tune is acting both as a cover and a hint of the unaware thoughts. The tune is a hint in the sense that it leads one to the text which contains the specific ideational content associated with the unaware thoughts. The tune, however, is also a cover or hindrance in the sense that instead of the lyrics coming directly to mind, only the bare melody arises. The tune is thus standing in for, or standing in the way of, the text or lyrics.

A close reading of Freud's description opens up another line of investigation. He states that the connection between the tune and the unaware thoughts is based on its "text or its origin". The question left unanswered, however, is what Freud means by the "origin" of a tune. Possibilities might include a composer's inspiration for writing the tune; a larger context the tune might be part of, such as a song cycle or an opera; or the social or mental context in which the tune was first heard.[11]

[11]For an extensive look at this line of research, see Theodor Reik, *The Haunting Melody: Psychoanalytic Experiences in Life and Music* (New York: Grove Press Inc.,1960). For an article dealing in part with Freud's contributions to, and relationship with music, see David M. Abrams, "Freud and Max Graf: On the Psychoanalysis of Music," in *Psychoanalytic Explorations in Music*

Immediately following his comments on music quoted above, Freud offers the interesting after-thought that in the case of musically talented people a tune may arise in the mind for purely musical reasons: "it may be that for such people the musical content of the tune is what decides its emergence." This statement inclines towards the idea that some structural quality of a piece of music itself (such as a particular phrase form or inflection) could serve as the instigator. In the context of free association this would furthermore mean that a musical structural quality could be associated with a line of thinking, or that there could be some connection between the structure of a line of thought and the structure of a piece of music.

Psychiatrist and researcher Stanley Friedman has done extensive work on music and the visual arts in relation to psychoanalysis. Friedman's "One Aspect of the Structure of Music: A Study of Regressive Transformations of Musical Themes" (1960)[12] is one of the most thorough treatments on the topic of primary process in music and has acted as a catalyst in my own work. The primary processes which Friedman makes use of are not taken

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Second Series, ed. Stuart Feder et al. (Madison, Connecticut: International Universities Press,1993): 279–307.

[12] *Journal of the American Psychoanalytic Association* VIII, no. 1 (1960): 427–49.

directly from Freud however, but come through the scientific work of psychiatrist Charles Fisher.[13]

Fisher compiled a list of primary processes based on an experiment where subjects were asked to recall images which were subliminally registered through fast exposure times. Due to the fast exposure time, subjects were not able to recall the entire image, and portions were left out. The subjects were then asked to relay any dreams they may have that night. Fisher found that the elements of the images which were *not* consciously registered tended to appear in the subjects' dreams, and furthermore, when these elements did appear, they had undergone a series of alterations. Fisher isolated ten different methods of alteration including translocation; condensation; fragmentation; and rotational displacements.

Friedman's approach is that of a one-to-one mapping of Fisher's list of primary processes to musical processes, with a focus on compositional procedures of the "learned" style, such as rhythmic augmentation, diminution, and retrograde. Friedman's work can be interpreted, in part, as re-conceptualising canonical compositional procedures as instances of primary processes.

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[13] Charles Fisher, "Dreams, Images, and Perception: A study of Unconscious-Preconscious Relationships," *Journal of the American Psychoanalytic Association* IV, no. 1(Jan.1956): 5-48.

His interpretation of condensation is one of direct superimposition of musical themes one on top of the other. Condensation however, can also represent "unresolved conflict" or the combination of two moods into one. He draws attention to the infrequently discussed topic of dynamics. He interprets dynamics metaphorically as a change in "size" specifying that volume changes are size alterations in the "vertical" dimension, whereas rhythmic changes, by contrast, are "longitudinal". His figure-ground alterations are closely related to the way I interpret displacement—as a change in music-textural perspective. Figure-ground shifts occur when the foreground (melody) and the background (accompaniment, or contrapuntal lines) are switched. What was background, becomes foreground, and vice versa.[14]

Friedman is skeptical about the possibility of music containing meaning on the grounds that musical meaning, and even affect, reside only subjectively in the listener, and not in the music. In fact, music signifies and the changes of meaning a musical idea can undergo are an important and fruitful aspect of primary process studies. This thesis will make use of such an approach as one aspect of large-scale structuring in music.

[14] For an example of this process, see my discussion of Franz Liszt's *Transcendental Etude* 10, Chapter 1, subsection (b), pages 42–45.

Friedman ends with an inquiry on the possible correlation between the use of the primary processes in a work of music, and its status as a great work of art. He is not explicit about defining his conception of greatness, but it is safe to say he is working under the assumption of the traditional concept of the Western musical canon. He finds that although primary processes tend to be used in great works of music they are not necessarily used extensively in a given work, and there are cases where these strategies are entirely untapped. He remarks that enduring works which do not make use of primary processes tend to be short works containing an abundance of affective qualities such as those found in certain of Chopin's Piano Preludes. It is an interesting observation, however, that musical works which are polar opposites of each other from Friedman's psychoanalytic standpoint, both have a place in the traditional Western canon, and that when primary processes recede, increased affect seems to fill its place. All of this is of course based on Friedman's particular interpretation of what constitutes a primary process in music.

Daniel Sabbeth's article "Freud's theory of jokes and the Linear-Analytic Approach to Music: A Few Points in Common" (1979, 1990)[15] deals directly with Freud's primary processes, with the added investigation into

[15] Daniel Sabbeth "Freud's Theory of Jokes and the Linear-Analytic Approach to Music: A Few Points in Common," in *Psychoanalytic Explorations in Music*, eds. Stuart Feder et al. (Madison Connecticut: International Universities Press, 1990): 49–59. First Published in *International Review of Psycho-Analysis* 6 (1979): 231–237.

the cause of musical enjoyment. He argues that the enjoyment derived from a structural hearing of music and the enjoyment derived from humour is based on the same mechanism (though this is not to say that musical enjoyment need necessarily be humorous). Freud found that certain types of humour—that of witty word modifications—is based on primary processes. Furthermore, the mental effort saved while expressing such modifications is one cause of the enjoyment derived from such humour. This particular humour-causing mechanism is termed substitution.

Through the analytical medium of Schenkerian analysis, Sabbeth draws out the two familiar primary processes, condensation, displacement, along with substitute formation. Displacement is taken as the transposition of musical gestures to other pitch levels. Condensation is taken as the rhythmic compression of musical ideas (for instance, if the linear span of a fifth occurs in half the time of some other linear fifth-span). As one can imagine, in most Schenkerian graphs this will result in an abundance of condensations, as any given linear span can easily occur many times throughout a graph. Sabbeth points this out as an instance of Freudian over-determination where many different objects (or signs) can each represent the same idea. In Sabbeth's case, many different melodic

patterns on the musical surface can each represent the same linear fifth-span.

Sabbeth's third category, substitute formation, is essentially a specific kind of condensation and displacement combined where the meaning of a word or phrase is displaced into the meaning of another word via a small modification in spelling. Sabbeth's interpretation of substitute formation focuses on the idea of masked repetition and the enjoyment derived from discovering old ideas in new contexts.

Musicologist and psychoanalyst Heinrich Racker has also worked with the primary processes in his article "Psychoanalytic Considerations on Music and the Musician."[16] Racker approaches the primary processes as methods of form-creation through the lens of Freud's structural theory of mind—the id, ego, and super ego[17]—with a particular focus on the ego. His conception of the primary processes occurs as part of a larger discussion on the psychoanalytic origins of music and in particular the origin of the tone.

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[16] Heinrich Racker, "Psychoanalytic Considerations on Music and the Musician" *Psychoanalytic Review* (1965: Fall): 75–94.

[17] These three divisions of mind are conceived of as different aspects of our personal identity: the id being our basic psychological and physical needs; the super-ego roughly being our conscience and rule-based approach to thinking; and the ego standing in the centre as mediator and source of action and decision making.

First he establishes that the sung tone is the first human musical act. This is based on philosopher of technology Ernst Kapp's theory that human instruments that, he argues, such as hammers and scissors are projections of our organs or other body parts. Racker extends Kapp's theory to musical instruments, in particular to wind instruments are externalizations of our vocal chords. The voice thus comes first, and the instruments second. He then opens up the question of what precedes the sung tone.

The tone originates as a transformed scream—he credits Oskar Adler as being the first to make this connection. Psychoanalytically, the scream embodies several deeper meanings: our first sign (at birth) of independence and communication; an externalization of inner pain; a signal for re-union with one's mother and thus a call for security; and an early religious experience of calling for a being one has lost contact with.

Once the tone is combined with other tones to form a motif, the primary processes begin to play a role in form-creation. Racker includes displacement and condensation in his categories of the primary processes, but also adds splitting and inversion as distinct processes.

Like Sabbeth, Racker conceives of displacement as transposition where an idea is varied through re-statement at different pitch levels, but with added organicist metaphors inspired by Freud`s concept of the ego—the

structural realm of mind responsible for motility, decision making, and integration with the external world. Racker states:

> In music we find displacement as a technical mechanism of creation, in forming musical life. It seems a manifestation of an impulse towards growth, towards the formation of a multicellular organism, and at the same time, a manifestation of a tendency to avoid repetition, to avoid a narrow life, to avoid death. (Psychoanalytic Considerations 81)

Unfortunately, Racker does not offer a musical example of "splitting" but is content to simply offer the psychoanalytic definition of the concept. Splitting is the means of reconciling a contradictory image one has of another person by displacing the contradictory portion onto some other object.

Racker connects Freud's mechanism of representation by the opposite, with musical inversion where a theme is played with the same intervals but in the opposing direction. Friedman includes this in his list of primary processes (cf. Fisher); however Friedman does not connect it with the idea of representation by the opposite. Lastly, Racker has two interpretations of condensation: omission, and the superimposition of two themes.

Before moving on to other works, some more consideration should be given to the idea of displacement as related to musical transposition. To be explicit, displacement as transposition is based on the idea of a musical

object being moved around in pitch space: the mobility of an object. Freud however offers more possibilities for displacement which are also fruitful for musical investigation. Two key points that Freud associates with displacement are the change of perspective on an object, which in turn results in the "shifting of psychical intensity" as well as an object being represented by a distantly related element. The idea of transposition, in the musical sense, does not, generally speaking, resonate with such meanings. Modulation could perhaps carry a more accurate representation: for an example, if an entire musical idea such as a theme is re-stated in a new key, such a change could be understood as a change of *perspective* based on the understood relationships amongst keys.

Music researcher and psychiatrist Heinz Kohut has written on music as it relates to the id, ego, and super ego—Freud's structural theory—in his article "Observations on the Psychological Functions of Music" (1957, 1990).[18] Unlike Racker, who inclines towards organicist metaphors about the music itself, Kohut is primarily interested in understanding the psychological impact that music has on a listener. His article also includes a brief theory of musical instances of primary and secondary processes. His perspective does not make direct use of the three classes, condensation,

[18] *Psychoanalytic Explorations in Music* (Madison, Connecticut: International Universities Press,1990): 21–38, first Published in *Journal of the American Psychoanalytic Association* 5 (1957): 389–407.

displacement, and transformation, but rather places these two processes within the model of "psychological tension mastery".

In such a model, the underlying function of both primary and secondary processes is to release built up mental tension, predominantly wish-based ideas from the id—the portion of the mind containing our basic psychological and physical needs. In the case of the primary processes, which dominate during childhood, we are unable to tolerate the delay of these wishes and therefore seek immediate satisfaction. During adulthood we can delay the satisfaction of our needs with "tension tolerant" secondary processes such as planning skills. Furthermore, in adulthood the secondary processes dominate, but the primary processes still occur in isolated contexts. Music is one such instance. To Kohut, music has a layered structure which parallels the division between primary and secondary processes. The melody resonates to one's secondary processes, allowing one to work through emotions logically; the accompaniment, by contrast, resonates to one's primary processes, and is therefore more direct. The secondary layer, the melody, can also act as a cover for more immediate fulfillment occurring at the primary layer, the accompaniment. Kohut describes this interaction as follows: "...we find musical primary processes covered by musical secondary processes. ...a simple rhythm is

often concealed by a highly sophisticated and rarefied tune or by complex elaborations of a theme" (395).

In his treatment of the concept of repression Kohut's perspective is based on the psychological impact of music on the listener with regard to the id. From this perspective, music is a cathartic experience which helps to release blocked emotions in the unconscious: "the tensions which are produced by repressed wishes are allowed vicarious release in the musical emotion when otherwise they would have remained pent up, threatening the ego with unmodified forms of discharge" (390 – 91). Implicit in his ideas is a mode of listening which involves not only the music itself but also, if not more so, listening for one's own repressed desires.

Nathan Fleshner's dissertation, "The Musical Psyche: Interactions Between the Theories of Heinrich Schenker and Sigmund Freud",[19] focuses on parallels between Schenker's theory of music structure and Freud's theory of physic structure. As such he deals much more closely, and literally, with the idea of the unconscious as it relates to Schenker's concept of the musical background, middleground, and foreground. Chapter three of his dissertation investigates, in particular, the parallels between Schenker's

[19] Nathan Fleshner, "The Musical Psyche: Interactions Between the Theories of Heinrich Schenker and Sigmund Freud" (PhD dissertation, Rochester New York: University of Rochester, 2012).

various voice-leading transformations as extrapolated by music theorist Matthew Brown, and Freud's dreamwork (also known as the primary processes, but in the specific context of dream formation). Since Fleshner's application of the primary processes is done through Schenker, it is less concerned with identifiable motives from musical works than with the movement of structural tones from the background to the foreground.

Anton Ehrenzweig's book *The Psychoanalysis of Artistic Vision and Hearing: An Introduction to a Theory of Unconscious Perception* [20] is a thought-provoking psychoanalytic study regarding our perception of music and the visual arts. In essence, his book is about drawing awareness to the gaps in our perception of structure. His approach makes heavy use of Gestalt psychology, in particular the Gestalt tendency by which perception tends to correct or simply fails to notice irregularities in the structure of objects. As a result of this repressing tendency, our understanding of an object's structure is a regularised version of what is actually present.

In chapters 1 and 7 of his book, Ehrenzweig focuses on tonal harmony, which he divides into two main types: articulate chords, and "inarticulate"

[20] Anton Ehrenzweig, *The Psychoanalysis of Artistic Vision and Hearing: An Introduction to a Theory of Unconscious Perception* (London: Sheldon Press, Third Edition, 1975).

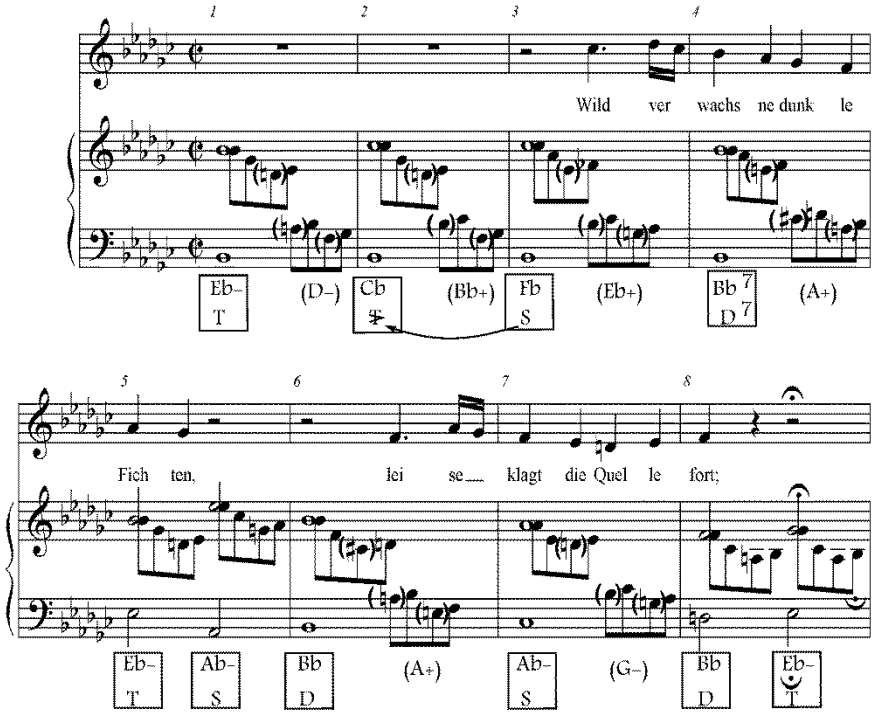
or "transitive" chords. Articulate chords are music-theoretically accepted formations; they are categorized and named entities whether they be dissonant or consonant structures. Transitive chords, on the other hand, are seemingly "accidental" structures which result from melodic connections between articulate harmonies. Transitive chords, due to their lack of clear structure, are easily glanced over in analysis and in listening. In music, then, the Gestalt tendency is a kind of repression of the transitive chords (5-6). Even in cases where a transitive chord is brought to the fore, such as in cadential gestures which might prolong a dissonant note long enough for the transitive harmony to be perceived consciously, the resulting transitive chord is heard as a "muffled" version of the articulate chord, not as its own independent harmony.

Ehrenzweig even offers a theory of music history based on transitive phenomena. It is in these un-registered spaces of perception that composers can experiment with harmonic ideas without drawing attention to them. These new forms, then, gradually can become accepted and brought into the directly perceived arena of perception. He writes:

...the creative process of forming new harmonic chords would take place just in those transitive and seemingly 'accidental' chords where new experiments in harmonic hearing can be carried out, safe from conscious detection. ...hidden away in seemingly insignificant harmonic details...conscious perception gradually draws them to the surface. (6)

In order to clarify Ehrenzweig's orientation towards inarticulate phenomena and the overlooked patterns they may be creating, I will conclude with a brief analysis of a song. Such an approach will also tie into the idea of unconscious thinking processes and repression. Example 0.1 presents the opening measures of "Einsamkeit" from Robert Schumann's *Sechs Gedichte und Requiem,* op. 90.

Example 0.1 Robert Schumann, "Einsamkeit" from *Sechs Gedichte und Requiem*, Op. 90, mm. 1–8



The harmonies and their corresponding functions have been boxed out under each measure. As can be seen, such a straight-forward harmonic analysis reveals an interesting but not highly unusual progression. The progression remains almost exclusively in the tonic, E♭ minor, except for a brief diversion in measure 3 to the chord of F♭ major, the subdominant of C♭. Such an analysis, however, depends on neglecting all of the non-chord tones. Bringing the non-chord tones into focus as independent structures rather than merely as colour to the articulate harmonies considerably complicates this analysis.

The non-chord tones in Example 0.1 have been marked in parentheses; they outline in themselves their own triads which have also been notated in parentheses under each measure. In one sense, the fact that these "transitive" chords are forming common triads contradicts Ehrenzweig's theory that they should be forming more novel structures. They are, however, still transitive in the sense that they are unlikely to be heard as independent triads, are easily brushed aside, and are taken to have no impact on the tonal centre: the passage is still in E♭ minor. More interestingly, the non-chord tones are creating their own harmonic progression. Table 0.1 extracts these two levels of the harmonic progression. The main harmonic progression is labelled as the "articulate" chords, and the non-chord tone harmonies are labelled as "transitive."

Table 0.1 Comparison of the different levels of the harmonic progression

Measure:	1	2	3	4	5	6	7	8
Articulate:	Eb-	Cb	Fb	Bb7	Eb-/Ab-	Bb	Ab-	Bb/Eb-
Transitive:	D-	Bb+	Eb+	A+		A+	G-	

Table I shows that although the non-chord-tones may not be resulting in novel harmonic structures, they do create a novel harmonic progression, or at the very least one which departs quite far from the progression at the conscious level. Several striking points reveal themselves in this two-leveled progression. At the articulate level, which is also in the forefront of consciousness, the E♭ major to A major progression (a progression with a root movement of a tritone) is quite far-reaching and contrasts sharply with the root movements occurring at the articulate level. There is the sounding of the tonic major, E♭ major, in measure 3 of the passage, which at the articulate level is attempting to establish the tonic minor. It also results in an oscillation between E♭ minor and E♭ major in measures 1,3, and 5. This raises significant and highly suggestive interpretive issues regarding modal interactions in the primary key and the ending of the transitive progression on G minor. Though a full interpretation of this passage and this song cannot be explored here, it is easy to see the rich set of interactions which the transitive chord progression offers in relation to the articulate level chord progression.

Ehrenzweig acknowledges that analyses such as the one presented above, that purport to draw out unconsciously composed or perceived (transitive) chord progressions, do seem to falsify what is actually going on. That is probably partly due to the analysis over-articulating the non-chord tones; in other words, the analysis brings too much organization to the non-chord-tones and creates too clear a structure out of them. This is a general aspect of inarticulate phenomena: they are difficult to capture due to the procedure itself, which destroys the inherent vagueness of such phenomena.

The above works offer some of the differing perspectives scholars have used in their approach to the primary processes and repression in musical contexts. Generally speaking, neither the primary processes nor repression have been applied as an actual analytical methodology from which to glean insight into musical structure. Rather, these categories have been shown in isolated instances, as in the case of Friedman, or have helped in explaining listeners responses to music as Kohut has shown, or have been applied indirectly to music via other theories such as those of Heinrich Schenker, as seen in the work of Sabbeth and Fleshner. The pair of analyses undertaken in this thesis employ Freudian ideas consistently in relation to three chosen works of music, Franz Liszt's Etude number 10

from the *Transcendental Etudes* S. 139, and Clara Schumann's song "Ich Stand in Dunklen Träumen" op. 13 no.1, and its original version "Ihr Bildnis" from a collection of three songs ("Am Strande", "Ihr Bildnis", and "Volkslied"). My aim is to show how the use of the categories developed in Freud's work can enlighten our understanding about the music, an objective that supersedes any other parallels which might be drawn between the two disciplines of music and psychoanalysis.

Chapter 1

Franz Liszt's *Transcendental Etudes* S.139:
No. 10, A Motivic Analysis using the Freudian Primary Processes

Introduction

Franz Liszt's *Transcendental Etude* No. 10 has not received much scholarly attention.[1] The Etude does, however, present many interesting structural qualities. On the one hand, elements of sonata form can inform an understanding of the work, although not without encountering significant anomalies in its thematic and tonal plan. On the other hand, the Etude can also be read through a focus on the details of its motivic organization. The relationships among motives and themes are consistently rearranged throughout the work. Two of the most salient motivic processes include various types of unification between motives, as well as a shifting of their contexts among other musical ideas. These processes happen, at the local level of motivic formation itself as well as theme formation and large-scale structuring.

Concepts closely analogous to my analytical strategies focusing on

[1] For a complete study on the *Transcendental Etudes* with a focus on the re-compositional process they underwent through their subsequent versions, see Jim Samson, *Virtuosity and the Musical Work: The Transcendental Studies of Liszt* (Cambridge: Cambridge University Press, 2003). For the section dealing with Etude No. 10 see pages 156–158.

combination, re-contextualization, as well as that of representation, play a large role in Sigmund Freud's theories of thinking processes, and in particular, primary processes, the inherently fluid and unrestricted mode of thinking which is associated with the Freudian unconscious. Freud used primary processes and the theory behind them to conceive of the alterations which thoughts undergo in dreaming and in other mental events.

Briefly, condensation, the first type of primary process, is about the compressing of two or more ideas into smaller and often denser compounds. This can happen by sheer omission, fragmentation, or through ingenious combinations. Such combinations result in "composite formations" and "fusion" that are often of particular interest. The second type of primary process, displacement, is the act viewing an idea from another perspective. This often comes about by changing the level of importance which an idea holds, such as turning what was originally peripheral into a focal point or vice versa. The final type, transformation, regards converting ideas into images, also referred to as dramatization. I will present an adapted interpretation of this process for the purposes of this chapter, which does not require the use of images.

Primary processes, when mobilized for the analysis of music, sensitize the

analytical perspective towards motivic interaction, especially compound formations, and the combination, or in Freudian terms, fusion, of discrete ideas into a new unity. They also provide a framework within which to detail such combination. As such, my analysis will be geared towards fusion, compound formations, the changing of focal points, and the instantiation of transformation as important forces throughout the Etude.

Part 1 will briefly present the Etude's sonata structure and the anomalies encountered through that approach. The Etude's sonata layout is relevant to the motivic analysis as these two aspects of the work's structure interact. Part 2 will provide a detailed analytical account with Freud's categories of condensation, displacement, and transformation. Subsection (a) will look at the main motives from the introduction on which the work is based and present a brief psychoanalytic interpretation of their structure. Subsection (b) will show how the principal motives are worked into the composite formation of the first theme as given in the exposition. Subsection (c) also deals with the exposition, but focuses on the idea of fusion. Subsection (d) will show a return of the motives combined with the second theme in the recapitulation, and subsection (e) deals with the "stretta", the final significant gesture of the Etude, where the process of fusion culminates into a complete unification of the principal motives. The first five subsections skip over the development section in order to

draw out an uninterrupted line of thought regarding the motives' continual movement towards fusion. Subsection (f) then steps back in the sonata to the development section so as to present an instantiation of transformation. Alongside the musical qualities of the motives, the affective, textural side of the motives will also be investigated and shown to parallel a large-scale trajectory towards fusion.

Part 1: Etude No. 10 Seen through the Lens of Sonata Form

Table 1.1 offers a concise formal analysis of the Etude (the full score is reproduced in appendix one). Parsing the thematic elements in table 1.1 immediately reveals an important point: the first theme, or its component elements, returns so often as to project an almost improvisatory, through-composed conception built into its sonata structure.

Table 1.1 Franz Lizst, Transcendental Etude No. 10, Formal Analysis.

Section	Theme	Key	Measures
Introduction:	Elements of First Theme	F– → A♭+ → C♯–	1–21
Exposition:	First Theme	F– → A♭–	22–30
	Second Theme	~~ → C♭+ → D♯–	31–41
	[Codetta?] "a"	E♭–	42–53
	[Codetta?] "b" (in bass)	E♭–	54–59
Development:	First Theme (element)	G+ → F–	61–77
Retransition:	Tempestoso (1st theme element)	(aug. 6th → dom.)	78–89
Recapitulation:	First Theme	F– → A♭+	90–98
	Second Theme	C+ → A– → D♭+	99–109
	Second Theme Extension	F–	109–135
	Coda "a"	F–	136–147
	Coda "b" (in bass)	F–	148–159
	Stretta (elements of 1st θ.)	F–	160–169
	Cadential Gesture	F–	170–182

Though I have marked it separately in the table, the introduction is not articulated as a distinct section from the main body; however, its exploratory phrasing and harmonic plan help give a sense of it being

introductory. The motives resist forming into a thematic whole, and their accompaniment is fragmentary. These same elements will be smoothened over into a proper theme in the exposition. The caesura on the dominant in measures 19–21 helps distinguish the introduction from the main work. In fact, caesuras on the dominant help demarcate several important sections of an otherwise heavily through-composed structure.

In the exposition, the first theme, in F minor, is stated in measures 22–30. The theme is based on elements from the introduction. It moves—with what initially appears to be little harmonic preparation, and no thematic preparation—directly into the second theme (mm. 31–41) in the key of C♭ major, a tritone away. The second theme's entry, with its lack of transition, thus presents one of the significant anomalies to the Etude's sonata structure. The codetta in E♭ minor (mm. 42–59) is comprised of two thematic parts: part "a" which introduces a purely harmonic-rhythmic pattern of triplet sixteenths, and part "b" which extends the codetta with elements of the second theme transferred to the bass. I will return to the anomaly of a codetta in E♭ minor and the harmonic plan in general, in the harmonic analysis proper, later in this section.

The development is brief, and focuses on a single element taken from the first theme. The second theme is conspicuously absent from the

development. However, development of the second theme does occur in the recapitulation, so that one can view the second theme's development as being delayed and pushed into the recapitulation. The "tempestoso" passage acts as an extended augmented sixth chord in F minor which then resolves to the dominant in measures 86–89. Its preparation of the return to tonic coupled with its distinctness from the preceding developmental work lends itself to the formal function of retransition. In the recapitulation (mm. 90–182), the first and second themes pull apart from one another. The second theme is "resolved" into the key of the dominant, C major (mm. 99–109). Beginning in measure 109, the second theme enters a self-replicating pattern which does not stop until measure 126, where the motives from the introduction re-appear. A two-part codetta then follows, now resolved into the tonic key of F minor. The Etude ends with the stretta in an extended cadential gesture.

Table 1.2 maps the tonal regions of the Etude giving measure numbers in the top row, keys in the middle row, and Riemannian function symbols in the bottom row. As can be expected of Liszt's complex harmonic style, key centres for some passages can be hard to pin down as they often break down into progressions of diminished seventh chords, or contrary to that, passages sometimes open as a series of diminished seventh chords and move towards a clearly defined tonality. To represent the indeterminate

character of such passages, two tildes have been inserted. The map has been broken up into the basic divisions of sonata form plus the introduction.

Table 1.2 Map of Tonal Regions

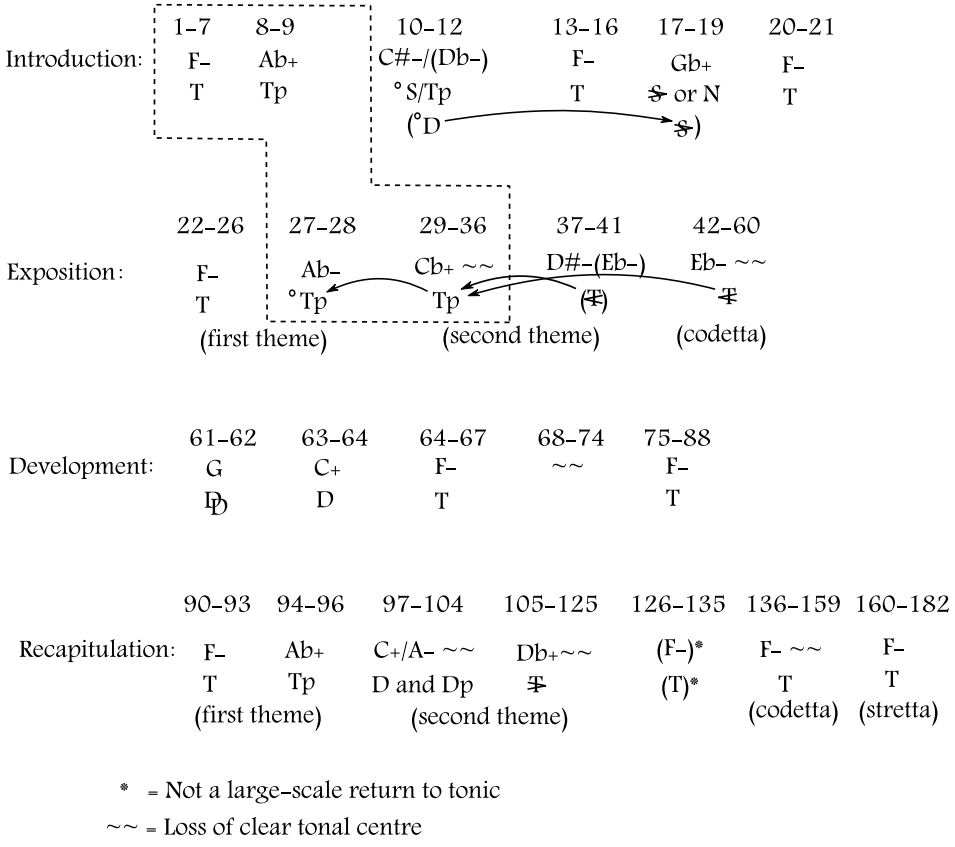


Table 1.3 isolates the tonal plot of the Etude. The exposition cycles through four different keys, the tonics of which form the pitches of an F half-diminished seventh chord. This dissonant key plan is then resolved, very loosely in the recapitulation, into a cycle of keys which outline the tonic triad. The keys which stand outside of this tonic cycle, A minor

(mm. 100–104) and D♭ major (105–125), can be interpreted as the key of the dominant parallel and the key of the tonic Leitonwechsel respectively.

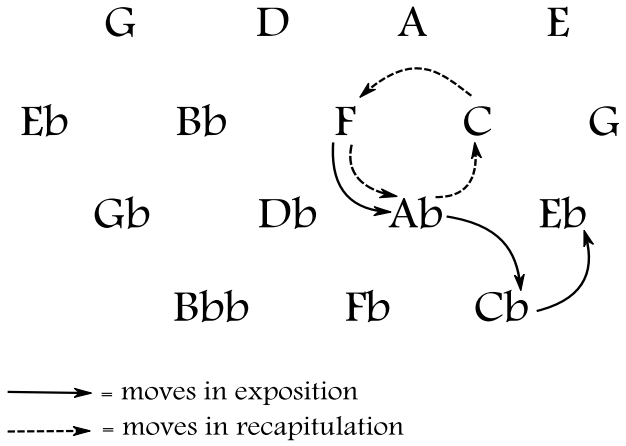
Table 1.3 Tonal Plot

Exposition:	Measures:	22–26	27–28	29–37	38–60
	Key:	F–	A♭–	C♭+ ~~	D♯–/E♭– ~~
	Theme:	First	First	Second	Codetta
Recapitulation:	Measures:	90–93	94–96	97–120	121–182
	Keys:	F–	A♭+	C+ [A–/D♭+]	F– ~~ F–
	Themes:	First	First	Second	Second/ Codetta/Stretta

The tritone-related second theme is particularly interesting. Such a tonal plan completely undermines the idea of a tonic-dominant polarity, and thus initially suggests the establishment of large-scale harmonic instability. Upon closer examination, however, the modulation is quite well-prepared. Looking at the enclosed portion of table 1.2, one can see that the introduction establishes movement from the tonic F minor to the tonic parallel A♭ major in measures 1–9. In the exposition, where the Etude restarts itself in measures 22–28, one can hear an analogous movement from the tonic to the tonic parallel, only now as A♭ minor

rather than the earlier A♭ major. A♭ minor then moves easily to its tonic parallel, C♭ major. To sum this up, the harmonic route taken from the tonic F minor is: Tp (A♭+) → °Tp (A♭–) → Tp (C♭+).[2] Interestingly, this is the most direct route to get from F to C♭, as can be seen on a Tonnetz. Figure 1.1 visualizes this using the hard-lined arrows.

Figure 1.1 Tonnetz showing tonal plan of exposition and recapitulation.



Functionally speaking, the first and second themes of the exposition are both tonic-related. Riemannian theory reveals this by showing that the second theme, in C♭ major, is functioning as a distant tonic parallel—the Tp of the °Tp. Tonic relatedness can even be extended through the entire tonal plot of the exposition: the only other key used in the exposition (if

[2] Harmonically speaking, the introduction and the first theme are making up for the lack of a transition. Initially, the modulation into C♭ major was taken as quite sudden, due in part to the fact that, seen as a sonata, this Etude does not make use of a transition. One can interpret this however, at least with regards to the exposition, as the modulatory function of the transition being built into the introduction and the first theme.

we bracket out D♯ minor as enharmonic) is E♭ minor—the tonic Leitonwechsel of C♭ major, and thus a substitute of C♭ major. Table 1.4 summarizes, in one uninterrupted line, the preparation of the modulation to C♭ major, as well as the tonic-related "dissonant" key plan of the exposition.

Table 1.4 Preparation of the modulation to C♭ major, and functional analysis

	Intro:		Exp:		
measures:	1-7	8-9	27-28	29-36	37-60
function:	T(F-)	Tp(Ab+) ...	°Tp(Ab-)	Tp(Cb+)	~~T~~(D#--→Eb-)
theme:			first	second	coda

One way of conceiving of this exposition is to think of its dissonant key-plan as having been created through moving to ever further tonic-related keys. A traditional conception of sonata form tonal design, however, is not necessarily completely lost in this Etude taken as a whole. The key plan of the recapitulation, for example, can be interpreted as reflecting the traditional tonic-dominant polarity (F- → C+) followed by a resolution back to tonic as shown by the dotted arrows of figure 1.1. Oddly enough however, by moving to the key of the dominant rather than the relative

major, it uses the tonal plot associated with major-mode sonata form and not the minor-mode. Table 1.5 summarizes this.

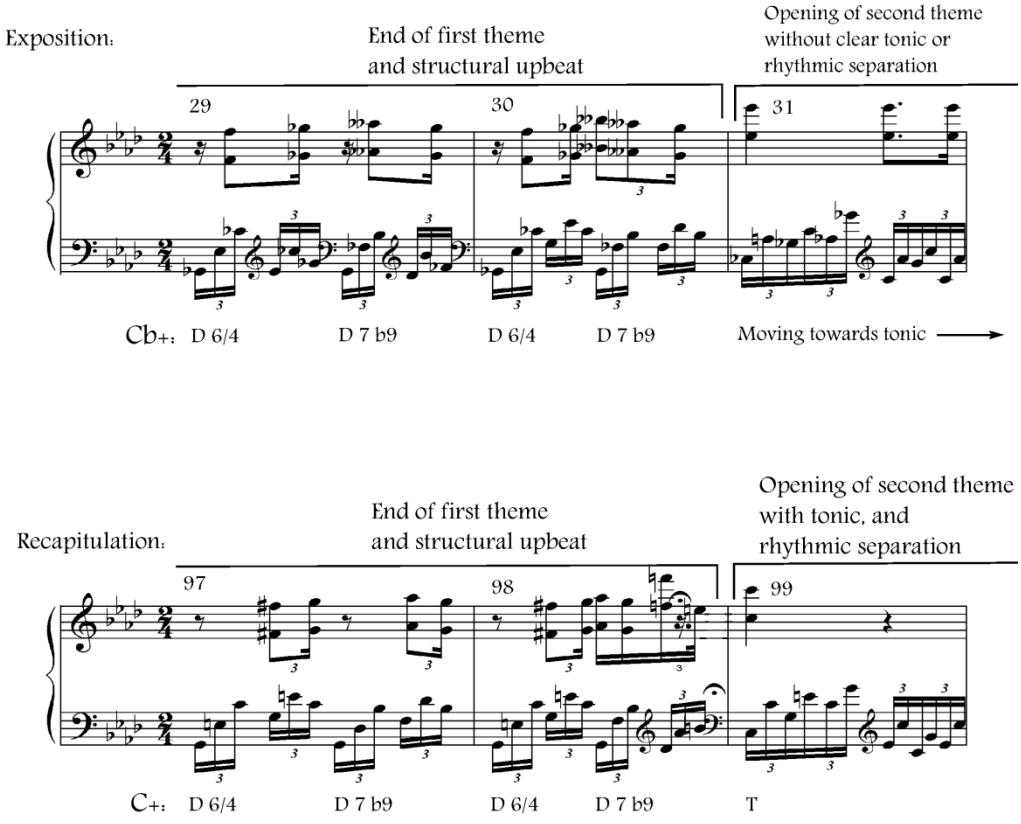
Table 1.5 T-D-T tonal plot of the recapitulation.

Recap:				
measures: 90-93	94-96	97-125	126-135	136-182
function: T(F-)	Tp(Ab+)	D(C+)[Dp→T]	(T) not struc.	T(F-)
theme: first	first	second	second ext.	coda

As the table makes explicit through the use of the arrows, the large-scale T-D-T harmonic plan is detached from the usual thematic associations each harmonic region is supposed to carry. Thus, instead of the second theme area carrying the large-scale return to tonic, the tonic has been displaced to the coda.

To conclude the analysis of this etude from the perspective of sonata form, I will focus on the harmonic and thematic clarification at work between the exposition and recapitulation versions of the second theme. As we will see, the dissonant key-plan of the Etude can also be understood as being shifted from the arena of key-plan to that of other musical spheres. Example 1.1 compares the exposition and recapitulation versions of the second theme one on top of the other.

Example 1.1 Comparison of the link or "joint" between first and second themes in the exposition and the recapitulation



In the exposition, in measures 29–30, the upper line moves towards its cadence in C♭ major through a clear progression of the dominant $\frac{6}{4}$ and dominant 7th ♭9 of C♭ major. However, in the following measure (m. 31), the resolution to the tonic is clouded by an A°7 chord (with a C♭ pedal). The following two measures present further passing diminished seventh chords; the tonic, C♭, does not fully appear until measure 34. (The total conglomerate of pitches in m. 31, A–C–E♭–G♭ plus C♭ pedal tone, does in

fact contain a full C♭ major chord, only with A and C clouding the sound of the C♭ triad.) The parallel moment in the recapitulation occurs in measures 97–99. In measure 97, the characteristic appoggiatura motive presents the dominant $\frac{6}{4}$ and dominant 7^{th} ♭9 of C major, this then resolves directly into the tonic in measure 98, making for the clearest articulated cadence in the Etude.

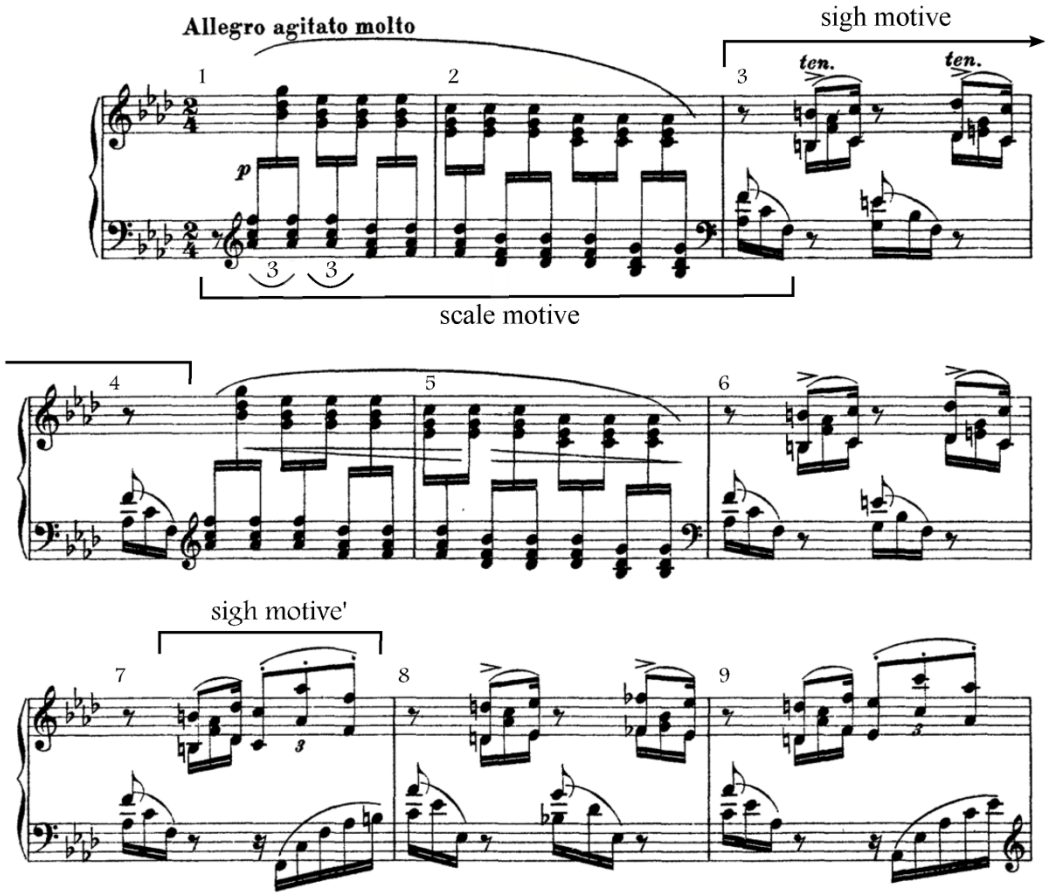
The recapitulatory second theme is thus a convergence-point for the resolution of many dissonances: it becomes more rhythmically individuated from the immediately preceding first theme; it offers a large-scale harmonic resolution into the key-plan of the tonic triad; and it resolves cleanly into its key area as compared to its exposition version. On a purely sonata-related note, one can conclude that the dissonant functions of sonata form have been displaced onto rhythmic and localized harmonic patterns in the exposition, which are then resolved in the recapitulation.

Part 2: Condensation, Displacement, and Transformation as Analytical Strategies in *Transcendental Etude* No. 10

(a). The Etude as Motivically Organized: The Motives Themselves

The Etude opens with two distinct motives from which it essentially never departs for the entirety of the work. It is in considering the Etude from the motivic standpoint that Freud's categories of primary processes—condensation, displacement, and transformation—will enable us to work through the motivic strategies throughout the Etude. Example 1.2 offers the two motives from the opening along with some further context of the introduction.

Example 1.2 Franz Liszt, Etude 10. The scale motive and the sigh motive from the introduction, mm. 1-9



Measures 1-3 comprise a descending F-minor scale harmonized in triads, and labelled descriptively as the "scale motive"; measure 3 comprises two appoggiatura figures on the upbeats, and arpeggiated accompaniment on the downbeats, labelled the "sigh motive". It is important to note that the sigh motive contains both a melodic and accompaniment component. The scale and sigh motives are originally stated in direct juxtaposition; the gesture is repeated in measures 4–6.

In the scale motive, each note of the descent is accompanied with either its upper or lower neighbour. The sigh motive, from measures 3–4, presents a melodic figure of a second, B♮–C, then inverts that to become D♭–C. On the textural, affective side, a main feature of the scale motive is its shimmering quality, a point hard to downplay considering it is the first affect the listener comes into contact with. The sigh motive, on the other hand, contrasts this with its sense of urgency. In considering the juxtaposition of contrasts and the subsequent transformations of these elements, the analogy to Freud`s general state of the unconscious (where a thought and its opposite appear in pairs without conflict) provides further vocabulary and framework that will guide my approach to tracking the ramifications of the long-term interaction of these motives. As Freud pointed out in a general description of dream contents, "...almost invariably one train of thought is accompanied by its contradictory opposite, associatively linked to it by contrast" (*Interpretation of Dreams,* 1999, 237). This suggests the idea of their being something akin to an "emotional conflict" between the two motives, and raises the question of how such a conflict might potentially resolve.

Important to their treatment in this Etude is also the order of these two motives, therefore it should be noted that in the introduction they occur as the scale motive first and the sigh motive second. There is also an internal order within the two component parts of the sigh motive. In the

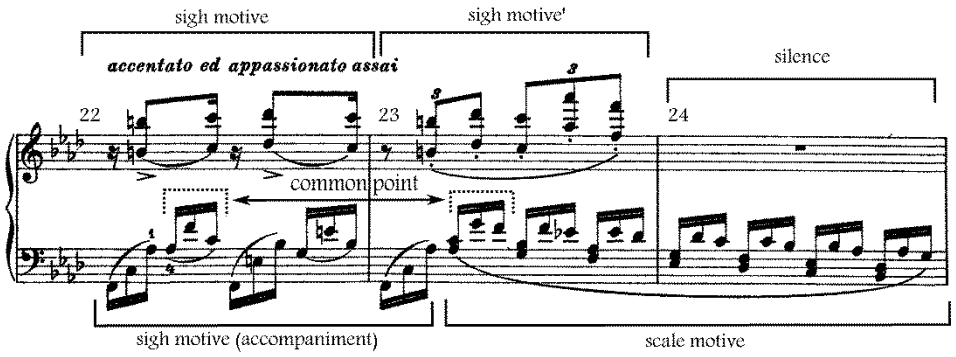
introduction, the sigh motive opens with the B♮ to C, and follows with the D♭ to C.

In measure 7 (see example 1.2), a condensed version of the sigh motive is bracketed out, labelled as sigh-motive-prime. This version also plays an important role in the Etude, as we will see. In this version, the sigh motive is condensed by sounding the lower and upper neighbours, B♮ and D♭, in direct succession before resolving to C.

(b). The Main Motives Forming the First Theme: Condensation and Displacement

Condensation and displacement work upon the motives to create the composite structure of the first theme. Example 1.3 extracts measures 22–24, the opening sub-phrase of the exposition where this occurs.

Example 1.3 Opening of the exposition showing condensation and displacement, mm. 22–24



The upper register states the sigh motive and its condensed version, sigh motive-prime, in direct succession (mm. 22–23). The scale motive appears only as an outgrowth of the arpeggiated chords, displaced to the lower register of measures 23–24. The scale motive continues its descent through the silence in measure 24.

The most interesting and dramatic change is the result of displacement, the second of Freud's categories of primary processes. The scale motive has been displaced from its independent role as a stand-alone motive in the introduction to an accompaniment role (or more accurately a background contrapuntal role). The motives are thus "differently centred" in the first theme than they were in the introduction. Whereas in the introduction the scale and sigh motive were on equal ground, now we hear the sigh motive as the centre and the scale motive as an afterthought.

The idea of the afterthought fits well with another facet of displacement: the tendency to turn what were originally "trivial" points into "essential" points which in turn creates a much distorted picture (*Interpretation of Dreams*,1999, 237). Although the terms "trivial" and "essential" are probably overly strong to be applied to the first theme of the Etude, the general idea of gaining importance and losing importance through a textural shift is certainly present. The displacement, or shifting of the motives' textural relationship, however, can also be read in an alternative way. Since the two motives have entered a contrapuntal relationship, either one can be taken as central. This is akin to a loss of their figure-ground relationship as given by Friedman.[3]

Displacement, however, is not only occurring in the textural shift of the motives from independent statements to a layered texture, but also in their ordering. Temporally, the opening and closing roles have been switched: the sigh motive now *opens* the initial sub-phrase of the first theme, and the scale motive *closes* it. These roles are alternated quite fluidly throughout the Etude, almost to the extent that ordering itself comes to

[3] See Introduction, pages 8–9 supra. Interestingly, the initial statement of the motive in the introduction does not come with much of a figure-ground relationship between the two, due to them being separate entities; rather, they were both either "figures," or both "grounds." Now that they have been moulded into the first theme, they continue to lack a figure-ground relationship due to them taking on a contrapuntal relationship, rather than one taking a solid role as figure or ground.

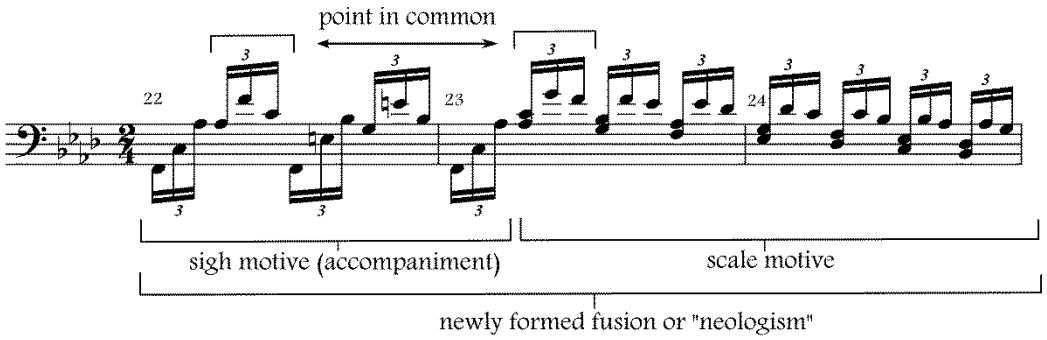
feel unimportant. This change of role expresses displacement quite well as can be seen by comparing the motives at the opening (mm. 1–3) with the motives as transformed into the first theme (mm. 22–24). The difference in centrality is noticeable.

(c). Motivic Fusion

Freud does not generally draw hard lines in his descriptions of primary processes, however I will be taking the idea of fusion as a sub-category of condensation as presented in his work on humour.[4] In fusion, a "point of intersection" between two disparate ideas becomes the node which joins the ideas together. Example 1.4 shows this node between the accompanimental component of the sigh motive, and the scale motive, as both are played in the lower voice.

[4] Sigmund Freud, *The Joke and its Relation to the Unconscious* (1905), trans. Joyce Crick (London: Penguin Books, 2002).

Example 1.4 Exposition, first theme, mm. 22–24. Fusion between the sigh motive's accompaniment and the scale motive.



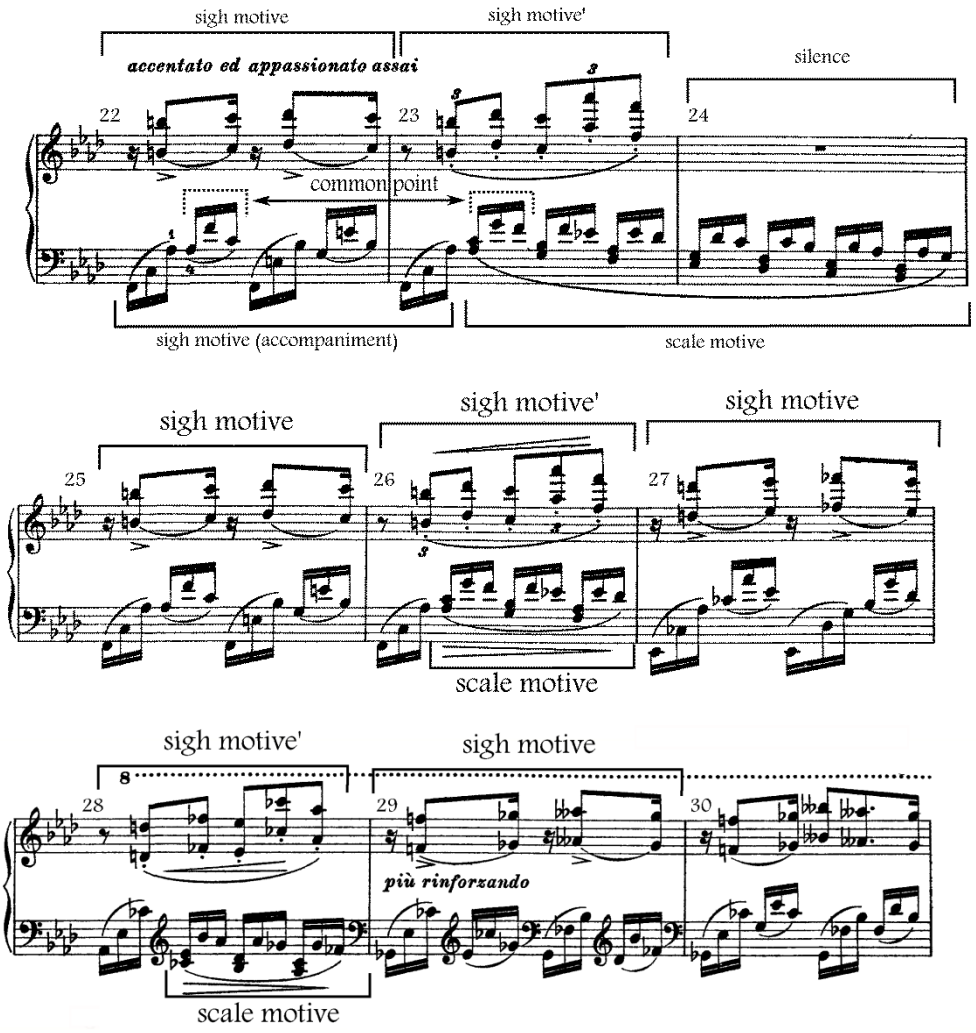
The method of fusion used in Example 1.4 is analogous to the fusion used in the formation of certain types of humour. One English example Freud quotes from psychiatrist, A. A. Brill, is the word, "alcoholidays", which occurred in an anonymous short story in reference to the Christmas holidays, where "hol" acts as the node (The Joke, 2002, 16). In example 1.4 there is a common element between the two motives which fuses one to the other. In measure 22 the sigh motive contains arch-contoured triplets on the upbeats (one of these arched formations has been bracketed out in the example). In measures 23–24 the scale motive is built out of linking arched triplet formations together (the first link in the scale motive has also been bracketed out to compare to the sigh motive in measure 22). Despite some alterations of interval size between the two bracketed-out triplets, the contour of the two triplets is the same. Furthermore, the scale motive enters on the upbeat (m. 23), and thus acts, in part, as a continuation of the sigh motive's upbeat rhythmic patterning.

The scale motive is thus not distinguished from the sigh motive's accompaniment but rather, fused with the accompaniment so as to make as natural a transition between the two as possible, much like the common syllable "hol" in the case of the lexical fusion in Freud's example cited above. As a general point, what is interesting is that through fusion a new "word" is being formed without having to generate any new musical ideas; thus it is through the use of primary processes that a new idea can be created.

The fusion between the two motives has also resulted in an important change to the sensuous quality of the scale motive in particular. The scale motive has lost a degree of its shimmering quality. This is part of an on-going process which will be picked up on in subsection (d).

Example 1.5 presents the entirety of the first theme from the exposition. There are other inter-motivic dynamics which result in further displacement of the scale motive throughout the first theme.

Example 1.6 Full statement of first theme from exposition, mm. 22–30



The prolonged silence in the upper voice of measure 24 is quite suspicious. The parallel moment in the recapitulation (m. 92) also offers a measure of silence. It may be argued that this is merely a visual silence created by the notation of the score,[5] but intuitively it sounds as an aural

[5] Such a score-based argument would be inadvertently based on Freudian transformation, the third category of primary process, due to its reliance on a visual representation of the music. It is even more complicated than that however, since, regardless of whether the argument is correct, it still contains the idea of movement back to the aural as a form of experiencing silence.

gap due to the fact that the theme opens as a two-part texture which is then momentarily lost during this measure. Furthermore, this measure of silence actively upsets what would otherwise be a hypermetrically regular phrase structure: measures 22–23 present hyperbeats 1 and 2, then skipping over measure 24, measures 25–26 present hyperbeats 3 and 4, and measures 27–30 then finish the phrase with hyperbeats 5 to 8.

The interaction between the two main motives reveals a consistent relationship where the scale motive will only carry on for its full octave descent if the sigh motive is not present. In the first instance in measures 23–24, the scale motive is descending through a full octave from G4 to G3. In measure 26, however, the scale motive only descends an augmented fourth from G to D♭, before it disappears in measure 27. The point at which it disappears is the same point at which the sigh motive returns in the upper voice. The interaction between the motives can be described as one in which the sigh motive is applying pressure onto the scale motive, and the scale motive is the less resistant of the two.[6] This

[6] Freud's theories of the primary processes, at least as they occur in the context of dreaming, often present ideas as their own agents. The ability for ideas to be self-willed entities comes out strongly in his descriptions of condensation. In condensation, Freud talks about ideas as having a predilection to look for points of commonality with other ideas and then fuse with them. Although this chapter will generally avoid giving agency to musical ideas, it would be an interesting concept to further consider that musical ideas—or at least certain types of musical ideas—have an inborn predilection to condense or fuse. Specifically, there seems to be a propensity in this Etude to find nodes with which to combine disparate and unrelated ideas

same interaction repeats in measures 28–29, only on A♭-minor harmony. Furthermore, this same interaction also holds in the parallel spot of the recapitulation (mm. 89–96). The silent moments are therefore the only places where the scale motive is free from the pressure of the sigh motive and is able to complete its octave motion.[7] All this results in a heavy displacement of the scale motive to the point where it is nearly lost within the busy accompaniment and the over-whelming sigh motive above it.

(d). Composite Formation between the Motives and the Second Theme in the Recapitulation

Example 1.6 offers the second theme as it occurs in the recapitulation. Its structure is nearly a textbook example of sentence form as defined by Arnold Schoenberg (1967)[8] and William Caplin (1998).[9]

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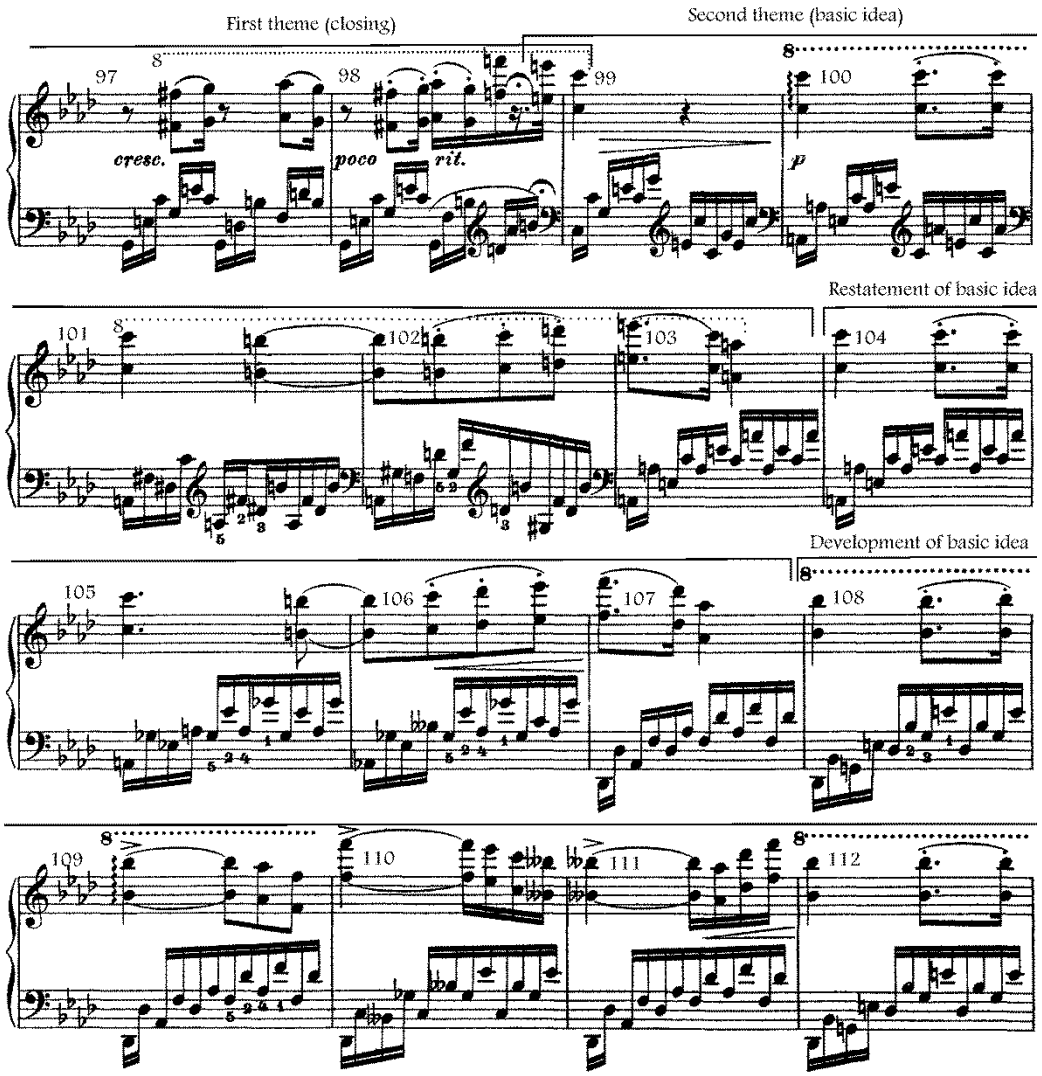
together. Such an idea has form-building implications and could be used as a backdrop for understanding aspects of musical structure.

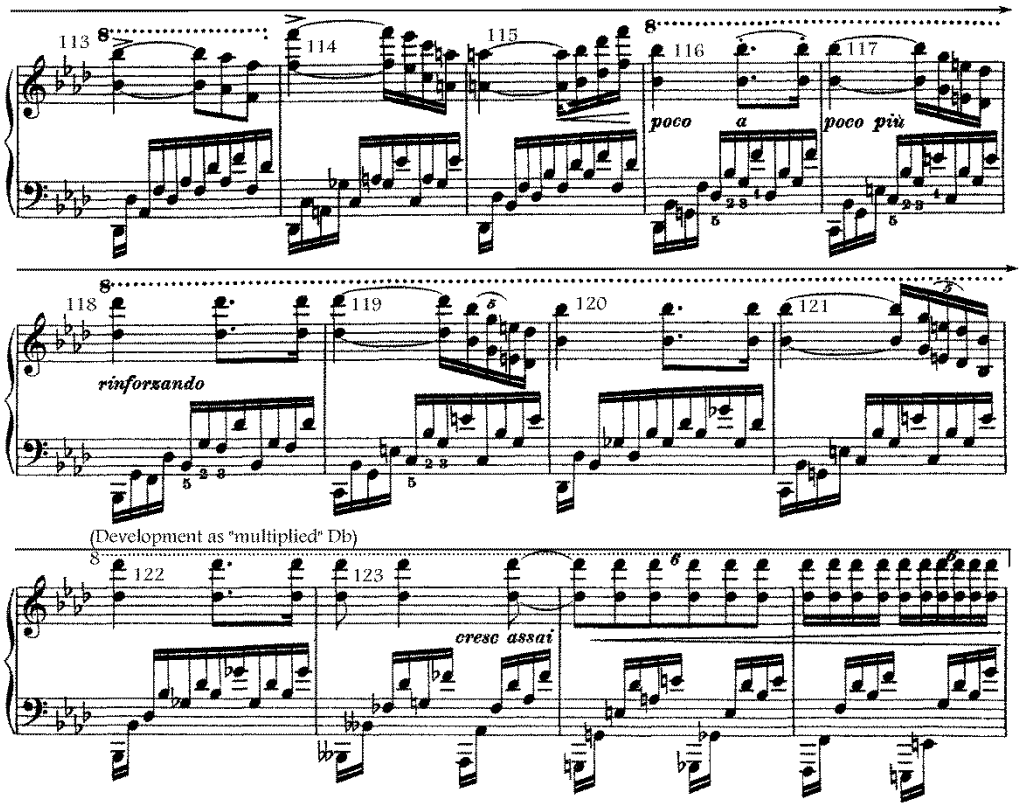
[7] Silence itself could also be interpreted as a motive within the Etude. In this sense, silence is pressuring out the sigh motive which in turn allows the scale motive to continue; and in cases where silence is not present, the sigh motive can sound and create regular hypermetric phrasing.

[8] *Fundamentals of Musical Composition* (New York: St. Martin's Press, 1967).

[9] *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998).

Example1.6 Second Theme from Recapitulation, mm. 97–125.





Melodically it opens with a self-contained idea in measures 99–103, labelled as the "basic idea," following Caplin (1998). It starts in the dominant, C major, and quickly slips into the dominant parallel, A minor. In measures 104–107 this idea repeats, modulating, however, to the key of the tonic Leitonwechsel, D♭ major. An extended developmental episode

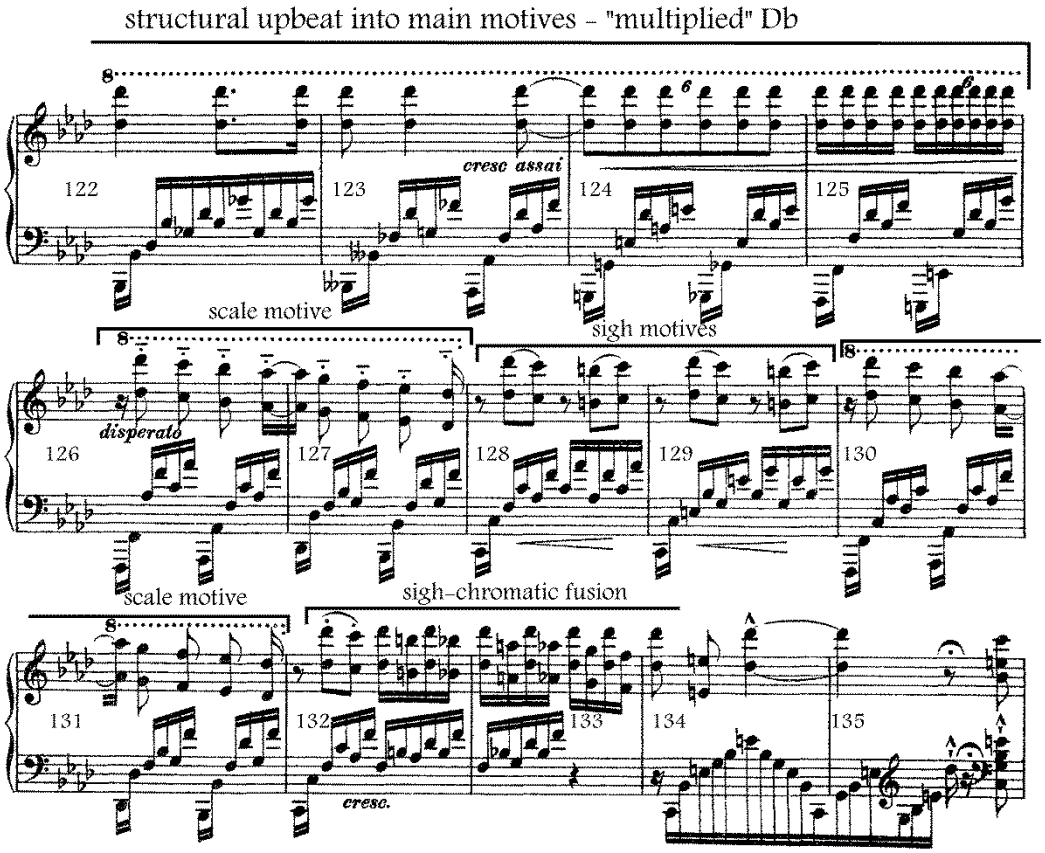
based on the initial two ideas ensues covering measures 108–125.[10] More relevant to this analysis, however, is the subtle but important shift in the pattern of the accompaniment as occurring across the divide between the first and second themes (mm. 98–99). The rhythmic contour of the first theme (represented in mm. 97–98) is grouped as triplets; the contour of the second theme (99–105), although still rhythmically as triplets, is primarily grouped in twos. It is worth noting that regardless of how a performer wishes to phrase the accompaniment to the first and second themes, the contour remains distinct between the two. Perhaps a description of the changing accompanimental pattern is best done on an affective level: the second theme exhibiting more breadth and spaciousness than that of the first theme.

Now that the second theme has been introduced, and its distinctive accompaniment made explicit, the composite formation between the main motives and the second theme can be shown. Example 1.7 presents the

[10] Friedman makes a categorical distinction between the idea of "repetition", where entire gestures such as themes are restated, and the idea of "multiplication" where only one note is repeated. He reads repetition as a secondary process due to its logical function in giving a listener further familiarization of a theme. I would also add that such repetition further confirms a theme's inner logic rather than tearing that logic apart as primary processes tend to do. Multiplication, on the other hand is read as a primary process due to its strong focus on a single musical element which in turn expands one note for an inordinately long time. The structural upbeat of Example G presents just such a case where the progress of the second theme loses its logical development and comes to stagnate on the single note $D_{\flat}$ (mm. 122–125).

final four measures of the second theme (mm. 122–125), and the return of the main motives (mm. 126–135).

Example 1.7 Composite formation between main motives and second theme, mm. 122–135



The motives return in the upper voice, beginning with the scale motive as a discrete idea (mm.126–127), followed by the sigh motive as a discrete idea (mm.128–129). The two motives then repeat in mm. 130–135 followed by a cadence. This restatement of the main motives is thus a

return to the ordering associated to their non-condensed state (scale motive followed by sigh motive) as given at the outset of the Etude in measures 1–3.

Despite returning to an original ordering, other aspects of the motives have changed. The scale motive has been reduced to its as yet simplest form, that of mere descending octaves. The sigh motive has switched its component parts around as compared to the introduction (m. 3): now the upper neighbour figure, D♭–C, is sounded first, and the lower neighbour figure, B♮–C, is sounded second.

More importantly, this return of the main motives has been condensed through being placed inside a second-theme context: originally the scale and sigh motives were isolated motives without any context other than themselves, now they have taken on the accompaniment of the second theme. The accompaniment to the main motives (mm. 126–133) is a carryover of the second theme's accompaniment preceding it (mm. 122–125). In fact, functionally, the main motives are acting as the thematic component of an extended cadential gesture to the second theme. To use one of Freud's examples, it is like a friend wearing another friend's clothes. The two objects are clear in themselves, in this case the main motives and the second theme, but they are quite misplaced as to their interaction. The

ability of the two main motives to take on an accompaniment also underlies the fact that in their original state in measures 1–3, they showed no solid figure or ground configuration. Both motives have now become figures on top of the ground supplied by the accompaniment.

Displacement is also playing a role in this composite formation, and may in fact be more important to that of the composite formation. Displacement can involve a change in importance level. In music, the role of accompaniment is often taken as less central to that of melody. Indeed, although possible in exceptional cases, it is rare to recognize or identify a theme merely by its accompaniment. In this composite formation, the more important main motives have combined with the less important accompaniment of the second theme. It is because of this fact that one is less likely to hear this passage as a composite formation in the first place. Furthermore, this is the only location in the Etude where the main motives and the second theme interact.

The cadential gesture presents its own case of fusion. In the chromatic descent of measures 132–133, the initiating semitone, D♭–C, is also a component part of the sigh motive. There is thus a fusion between the semitone movement of the sigh motive and the chromatic descent. In this case though, the fusion is not between two distinct motives of the Etude

but rather, involves only one motive—the sigh motive—and a musical convention, that of chromatic cadential gestures. This instance of fusion interacts well with the fusion occurring in the exposition (subsection (c)) and the stretta (to follow in subsection (e)), and hints at a propensity of the sigh motive to fuse with other musical ideas.

With regard to musical enjoyment as discussed in Daniel Sabbeth's article;[11] this is an instance of two distant ideas fusing into one. Although Freud does not work out an explicitly detailed model, the notion of distance is explicit in his theory of humour. In the context of regular logical thinking (the secondary process), ideas, and in particular, words, are strung together in a logical manner. That is, words are combined according to their *meaning*. In the case of certain types of humour on the other hand, words are combined according to their *sound*. Connecting words based on their sound, while rejecting or ignoring their meaning is a feature of primary processes. Furthermore, by combining two words by way of a similarity in *sound,* two distant meanings can be drawn very close together. Freud's distance model and primary processes applies to this passage of the Etude.

[11] "Freud's Theory of Jokes and the Linear-Analytic Approach to Music: A Few Points in Common," in *Psychoanalytic Explorations in Music*, eds. Stuart Feder et al. (Madison Connecticut: International Universities Press, 1990): 49–59.

The "meaning" component of a musical "word" (a fragment or motive) could be taken as the structural role that it holds in the phrase. The structural role is determined by the fragments function in a work of music. Affective quality can also, however, be taken as the meaning component of a musical fragment though this need not necessarily be the case. Similar to the play between words in language, motives in music can be combined entirely based on their sound and without regard to an associative meaning. In this passage of the Etude, the sigh motive holds an important structural role as a substantial thematic element, as well as a distinctive emotive quality. The chromatic descent on the other hand, though it holds a structural role (as a cadential signal), is not nearly as central to the Etude's global structure. It is thus not any kind of similar structural meaning or affective quality, which is drawing these two motives together, but rather only a similar sound quality: that of the descending second contained in the D♭–C (m. 132). Such a method is a feature of the primary processes: a disregard for logical meaning between two ideas, and rather a play with similarity of sound.[12]

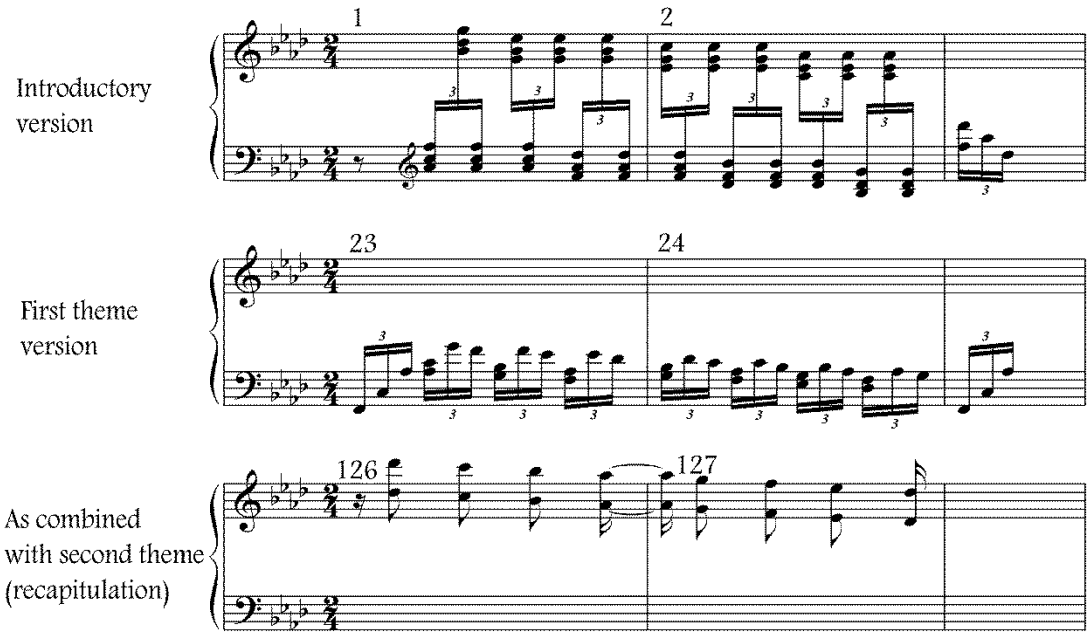
The sensuous and colouristic opposition between the two motives has also reached an interesting point. The scale motive is now devoid of its

[12] This application to music, of Freud's distance model and the play between sound versus meaning, does admittedly require further consideration since it is often difficult to separate meaning from sound. In language on the other hand, it seems to be generally accepted that the sound of a word and its meaning are largely unrelated. Although even this is contestable as can be shown with the case of phonesthemes.

shimmering quality, and the sigh motive although still with some urgency, is arguably without its "sigh" quality. From this sensuous or affective perspective, the two motives have nearly lost their original oppositional relationship. To be clear, they of course are still contrasting musical ideas in a rhythmic and pitch sense, but their original affective and textural contrast of shimmering versus urgency has largely fallen away.

Looking more closely at the trajectory of affect, the scale motive has undergone a large-scale affective transformation. Example 1.8 compares three important statements of the scale motive.

Example 1.8 Affective and textual comparison of three statements of the scale motive

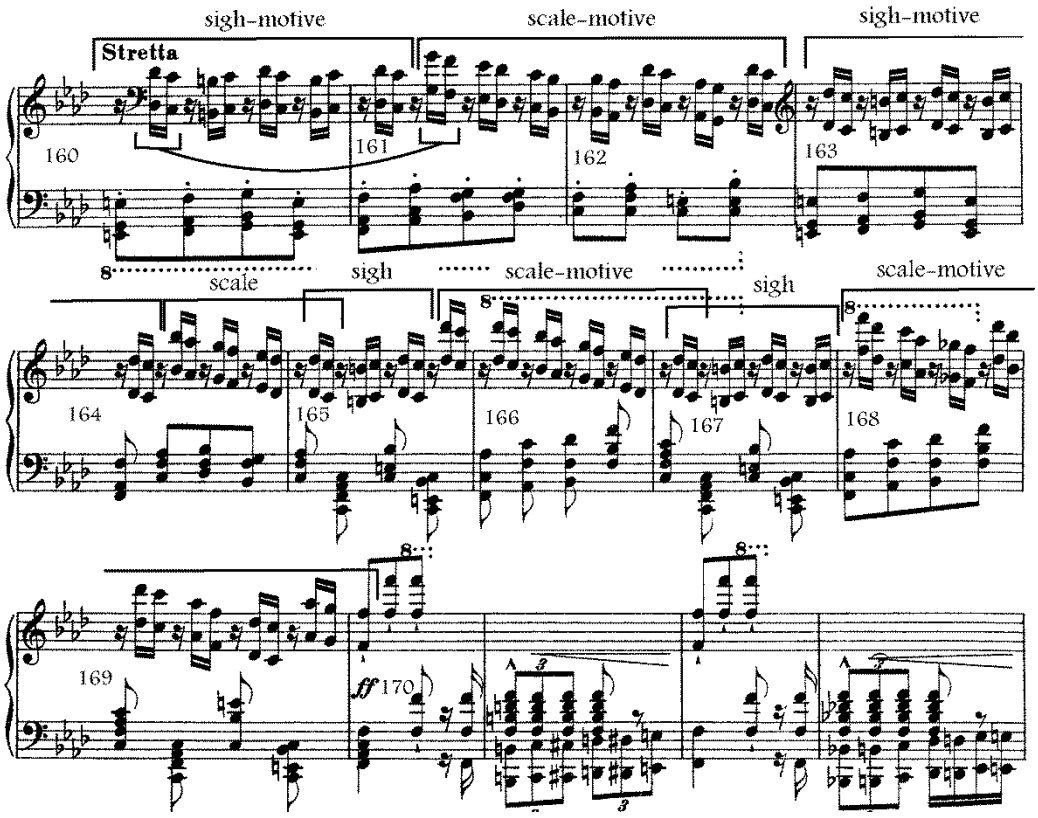


In the introduction (mm. 1–2), the scale descent is at its most complex, harmonized in triads. More importantly, it is infused with its colouristic shimmering quality. In the first theme (mm.23–24), it is reduced towards a more direct scale descent. Its shimmer remains, but is dampened. In its third statement, occurring inside the context of the second theme's accompaniment, it has culminated in a further reduction to the simplest possible scale descent. In this instantiation, the shimmer has been completely lost. What could be called the ideational component of the scale motive—the idea of descending through an octave—has thus been kept constant; however its affective quality has eroded.

(e). The Stretta Section: Fusion and Identification

The "stretta" presents the last and most synthesized statement of the motives as shown in example 1.9 (mm. 160–173). A particular type of condensation, that of identification, will show that the two motives have now become one motive. As the term implies, in identification, one character or object identifies itself as being another.

Example 1.9 The Stretta, mm. 160–173



The point in common between the two central motives is particularly clear The sigh motive, D♭–C, is the element out which the descending scale is built. These two points have been bracketed out in-between the two systems of measures 160–162. This creates a very different meaning for the scale motive: initially, in the introduction, it was a distinct entity; now however, it is barely distinguishable from the sigh motive. This is due to the sigh motive now identifying itself as being the scale motive. In other words, the sigh motive is present through the entire stretta section, but at times it behaves as if it were the scale motive. This interpretation brings out the continuity of the stretta because it is like one character acting two roles. Identification can also be read in the light of suppression. Freud describes this in the context of dreaming:

> In identification, only one of the figures linked by some common factor gets to be represented in the dream-content, while the other figure or figures seem to be suppressed. However, this one figure goes through all the relationships and situations which are generated both by the cover-figure itself and by the figure it covers. (*Interpretation of Dreams*, 1999, 244)

Applying this to the music, the cover-figure acts out its own self, that is, the entirety of the sigh-gesture, as well as the scale motive.

Following further on Sabbath's regarding music and Freud's theory of humour, when two objects are combined, the further the two objects'

circle of ideas are from each other, the more pleasure we gain from seeing them combined. It strikes me, in the case of the stretta, that the distance between the two motives' "circle of ideas" is quite far. That circle includes both their vastly different musical structure, as well as their affective, textural meaning.

(f). The Development Section: A Case of Transformation

Thus far, the individual cases of condensation and displacement have been laid out so as to show an over-arching propensity towards fusion within the Etude. The development, however, avoids the scale motive (except for a relatively insubstantial use of it as a closing gesture). This poses an odd disruption to the usual texture of the sigh and scale motives interacting as a pair.

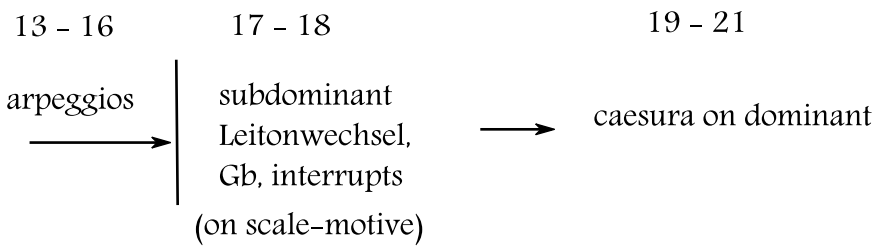
Through the third of the primary processes, that of transformation, I hope to show that one can in fact find an unseen statement of the scale motive in the development. The core function of transformation is to convert material into another realm of expression, such as moving from the ideational realm to the visual realm. Seeing as this is the case, it should not be surprising that in the case of motivic transformation, the actual motive

being represented will not appear as such. However, that is not to say that I will be looking for a change in the realm of expression, rather, the analysis will stay within the boundaries of music but will be open to the idea of the scale motive presenting a completely different musical idea.

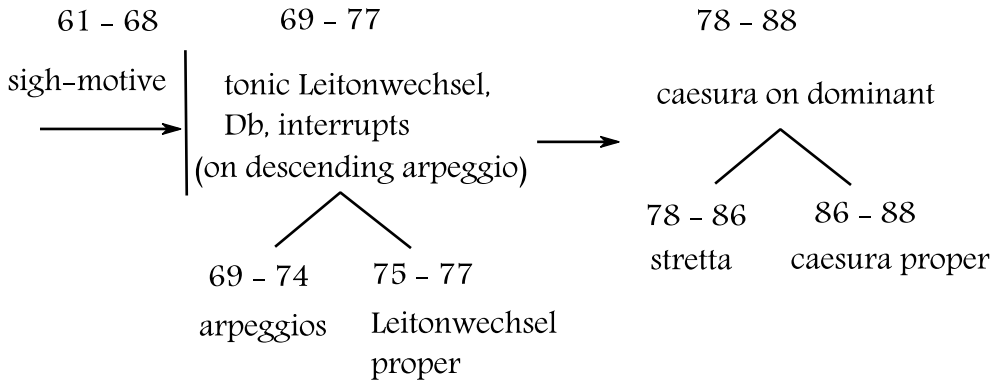
My lead for doing this lies in the harmonic and functional associations of the Leitonwechsel throughout the Etude. The chord of the Leitonwechsel, whether of the tonic or subdominant variety, seems to hold a sustained functional role. In each of its occurrences, it appears to signal a break from a preceding sequence or forward-driving passage, and then usher in a caesura. Table 1.6 summarizes the interrupting function of the Leitonwechsel in the introduction and development.

Table 1.6 Showing interrupting function of Leitonwechsels in the introduction and development

Introduction:



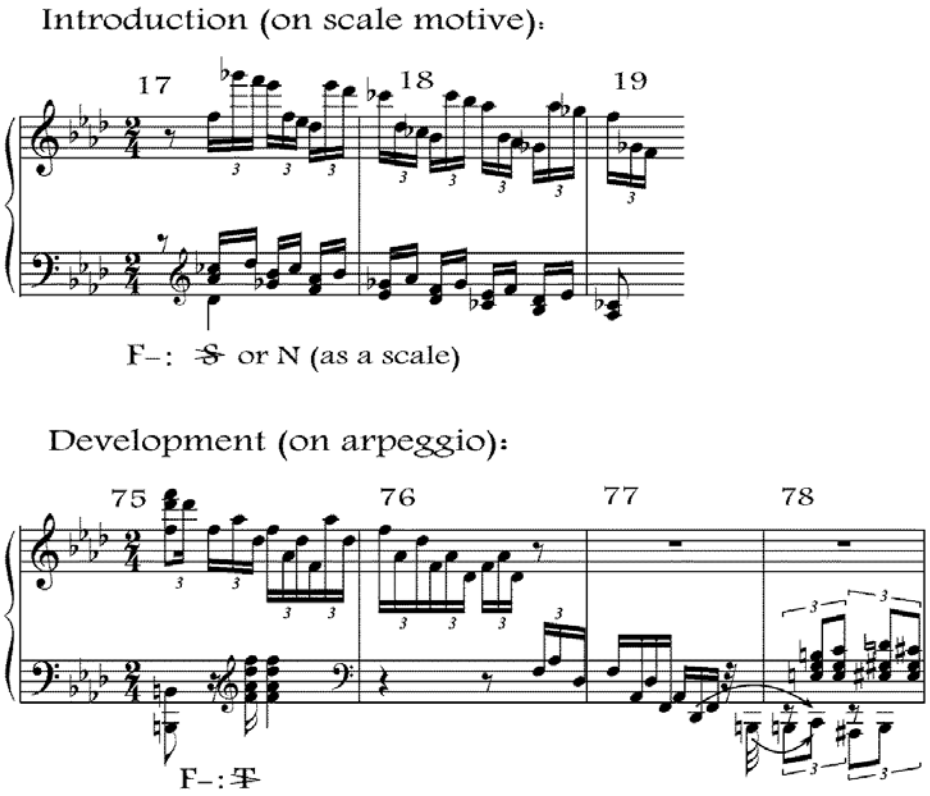
Development:



The top half of the diagram, showing the introduction, moves through three stages. The second stage is where the subdominant Leitonwechsel, G♭ major, interrupts and then leads to the third stage, a caesura on the dominant. The bottom half of the diagram shows the parallel passage in the development section, where the tonic Leitonwechsel, D♭ major, interrupts. The interruption in this instance however, is extended into

roughly two parts: the first part, a series of descending arpeggios; the second part, the Leitonwechsel proper. Example 1.10 isolates the interrupting Leitonwechsels themselves.

Example 1.10 Showing Leitonwechsel interruption in introduction and development



In the version from the introduction, the scale of the subdominant Leitonwechsel (or the Neapolitan) is clearly carried by the scale motive, and the scale motive becomes strongly associated with this distinctive moment in the introduction. In the development, the descending arpeggio (ignoring the B-naturals in the bass for now) is sounded on the chord of

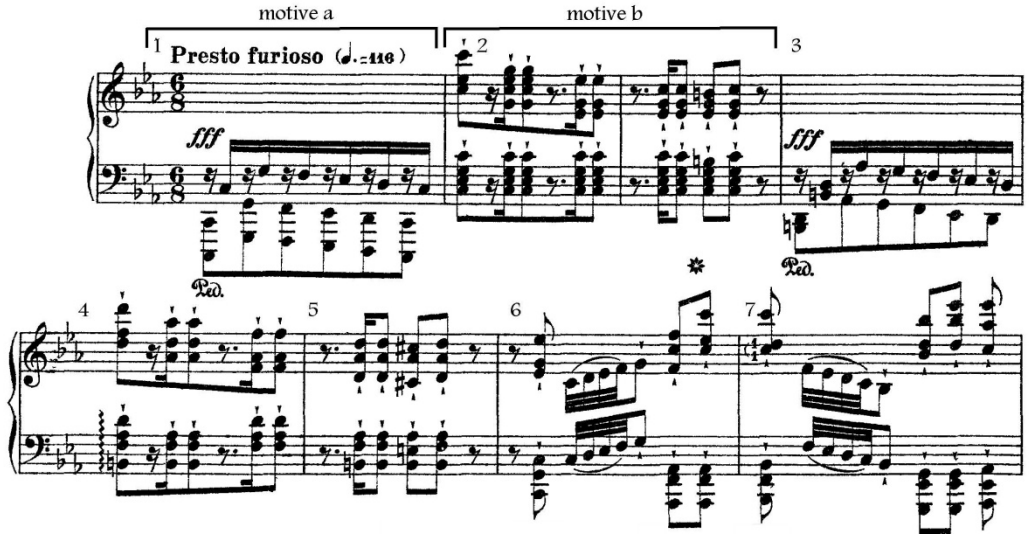
the tonic Leitonwechsel. The arpeggio can thus be seen as an indirect representation of the scale motive, like a musical simile. This is due to the arpeggio having the same harmonic and structural function as that of the introduction. If one accepts the idea of transformation, then the arpeggio is not merely recalling or reminiscent of the scale motive, but is actually a re-composition of that motive into an arpeggio, or at least an indirect representation of it.

The harmonic structure of the arpeggio passage is ambiguous: D♭ major comes across strongly through the arpeggio itself, yet the B naturals which enclose the arpeggio in the bass are slightly interfering. In fact, the harmonic structure can be read as a condensation and displacement of the sigh and scale motives. The complete chord present here, B♮,D♭,F,A♭, is the inverted German augmented-sixth chord of F minor, but it has been textured in such a way as to draw out the pitches which comprise the D♭ major chord, or tonic Leitonwechsel. Put more technically, the cascading D♭ major arpeggio has displaced the active augmented-sixth tones, D♭ and B♮. The D♭ and B♮, have also been inverted to a diminished third, B♮–D♭ which then both resolve to C. The idea of B♮ and D♭ resolving to C is the main idea of the sigh motive; consequently, this arpeggio is condensing the sigh motive and the scale motive (through transformation) into one.

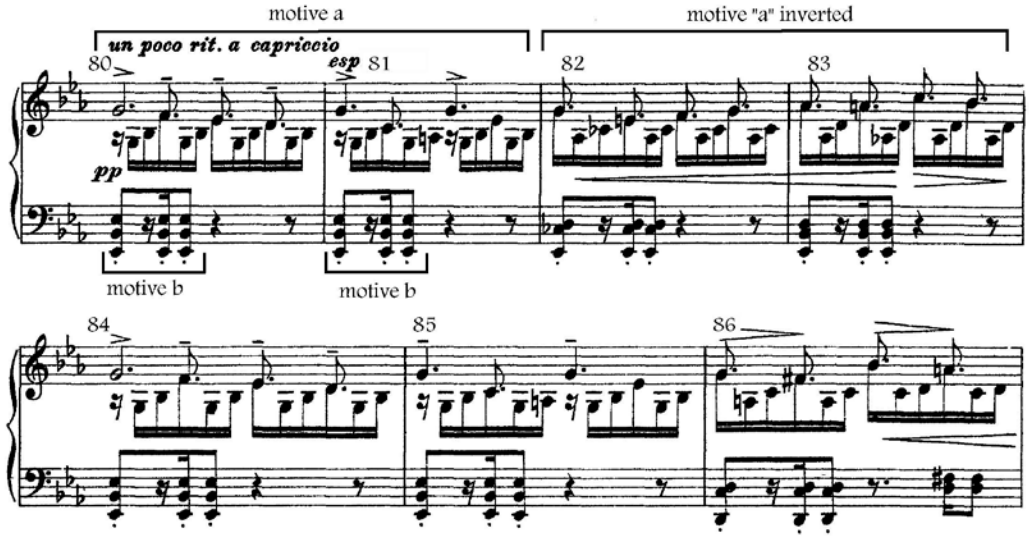
To conclude, one might ask if such an approach to the primary processes are common amongst the other *Transcendental Etudes*. It appears, at least with regard to condensation and displacement, that such processes are not easily found amongst the other Etudes. Instances of transformation on the other hand, would be easy to locate in many interpretive contexts. There is, however, an isolated instance of condensation in the *Transcendental Etude* no. 8, Wilde Jagd. Wilde Jagd has a similarly structured opening to that of Etude No. 10 of two distinct and independent motives which are then repeated, presenting a sentence structure. Those two motives are then, later, combined into a composite formation which results in a theme-like statement. Example 1.11 compares these two portions of Wilde Jagd.

Example 1.11 Franz Liszt Transcendental Etude No. 8, Wilde Jagd.

Opening of Etude, two motives juxtaposed, mm. 1–7:



Two motives in composite formation (mm. 80–86):



The first half of the example (mm.1–7) presents the opening of the Etude with the two main motives; the second half of the example (mm. 80–86) presents a much later portion where the two motives are combined. In the

opening, motive "a" (m. 1) opens with a gap of a fifth which is then immediately filled through a descent back to the opening tone. Motive "b" (mm. 2–3) is a rhythmicized tonic chord with a descending arpeggio in the upper voice. These two motives then repeat in measures 3–5 transposed to the dominant. Later in the work, these two distinct motives are made into a single composite formation. In measures 80–81, motive "a" is split into a two-part melody: the G holds as an upper voice, while also splitting into an inner voice which descends through its fifth, G–C.[13] Amazingly, the two-part melody finishes with a gap of a fifth articulated in measure 81: this thus creates a fill, followed by a gap, contrasting with the gap followed by a fill at the outset in measure 1. Motive "b" is then fragmented and put into an accompaniment role. In measures 82–83 motive "a" is inverted to become an ascending scale from E♮ to B♭, with a C ornamenting the high B♭.

In conclusion, primary processes can be shown not only to be active in thematic formation, but also to be playing a large-scale structural role in the Etude. This occurs most clearly in the ongoing progress of the two main motives as disparate motives at the outset of the Etude, to their

[13] This may work as an example of the idea of splitting which Heinrich Racker posed in his article, "Psychoanalytic Considerations on Music and the Musician", but of which he did not offer a musical example. Extending Racker's line of thought, this could be interpreted as splitting an object into two parts so as to be able to dissociate oneself from the split off portion of the object. In this case, descending portion of the motive has been displaced into the accompanimental 16th notes and has thus been dissociated from the sustained G above.

complete unification in the Stretta. Furthermore, it is a structural process quite independent from the harmonic plan of the Etude: harmonically, by the time the Etude reaches the stretta, it has long finished its large-scale resolution to the tonic, F minor. Affectively, there is also an ongoing change which traverses the entire Etude. In their original state, the main motives signify urgency on the one hand, and fleeting transience on the other. As they move through the Etude, however, they lose those meanings.

Chapter 2

Repression and other Defences in Two Songs by Clara Schumann:"Ich Stand in Dunklen Träumen" Op. 13 No.1 and "Ihr Bildnis"

Ich stand in dunklen Träumen
und starrt' ihr Bildnis an,
und das geliebte Antlitz
heimlich zu leben begann

Um ihre Lippen zog sich
ein Lächeln wunderbar,
und wie von Wehmuthsthränen
ergläntzte ihr Augenpaar.

Auch meine Tränen flossen
mir von den Wangen herab,—
und ach! Ich kann es nicht glauben
dass ich dich verloren hab'!

I stood in dark dreams
and stared at her portrait,
and the beloved countenance
secretly began to live.

Her lips formed
a wonderful smile,
and from melancholy tears
her eyes shone.

My tears also flowed
down my cheeks,
and ah! I cannot believe
that I have lost you!

Translated by Rachel Antman
(slightly modified)

Part 1: Introduction and "Ich Stand in Dunklen Träumen"

Clara Schumann has set Heinrich Heine's poem in two separate versions that differ from one another in small but important ways. Her first version, "Ihr Bildnis", is much more complex harmonically and

expressively than her second version, "Ich Stand in dunklen Träumen." Scholars however, have greatly favoured the study of Franz Schubert's well-known setting of the same poem, "Ihr Bild," from his song cycle *Schwanengesang,* D. 957. The interest in Schubert's setting must be partly due to the drawing power of Heine's poem. Interestingly, this scholarly interest has not carried over into Schumann's settings.

David Lewin devotes a short essay to Clara Schumann's second version, "Ich Stand in dunklen Träumen" in his book, *Studies in Music with Text.*[1] Appendix 2 and 3 offer the full scores for Schumann's "Ich Stand in Dunklen Träumen" and the original version, "Ihr Bildnis." Even in Lewin's case, his essay essentially stands as an adjunct to his more thorough study of Schubert's "Ihr Bild."[2]

Lewin's essay, titled "Ihr Bild," is an open-ended investigation into the Schenkerian problematic presented by Schubert's song. However, Lewin's aim is not uniquely musical as he also reads the Schenkerian Urlinie as a dramatization of the text. Therefore, the main problem Lewin grapples with regards the problem of constructing a Schenkerian graph which can involve both the B♭ minor and B♭ major modalities at work in Schubert's

[1] David Lewin, *Studies in Music with Text* (New York: Oxford University Press, 2006): 153–160.
[2] Ibid: 135–149.

setting, while also being sensitive to the text.[3] His approach begins with an interpretation exclusively of the text, which then moves on to the song. In order to organize the text into various Schenkerian graphs, Lewin creates a "speaker's map" which charts what he interprets as the flow of tenses used by the narrator in the poem. Specifically, the first stanza opens at a past time where the narrator tells us he was reminiscing; the middle stanza moves to a yet earlier time when the picture of the beloved comes to life; in the final couplet of the third stanza, the poem then suddenly shifts to the present tense.[4] Lewin finds that Schenkerian graphing will downplay one or the other of the two modalities which in turn results in skewed interpretations of the drama in Heine's poem.

In contrast to his music-theoretically grounded Schubert essay, Lewin's Schumann essay is analyzed with a primarily biographical focus. Why, he asks, does she set such a somber poem during what is, according to Lewin,

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[3] Lewin's solution unifies the two modalities placing B♭ minor in the *Urlinie* (what Lewin hears as the main modality of the piece) and B♭ major as an independent yet integrated modality. Keeping with the spirit of psychoanalytic readings, however, Lewin appears to inadvertently draw interest towards Carl Schachter's interpretation by negating it. Schachter proposes reading the piece in B♭ major, an unusual but creative twist. Lewin considers this a fundamental error as it does not engage the intuition of the piece being in B♭ minor. However, it is precisely Schacter's disregard for an intuitive reading that makes his approach intriguing.

[4] The poem seems to contain a subtly more complex tense scheme than presented by such a map. The first line alone (I stood in dark dreams) can itself contain two simultaneous times: that of the character standing at an undisclosed past time, as well as the content of the dream itself which could easily contain episodes of a yet earlier time.

a joyous period of her life? She and her husband Robert had just been married in 1840. He then proceeds to draw out a positive interpretation of the text and the song. This is accomplished primarily through a sensitive hearing of the song's delayed harmonic denouement as a way of limiting the effect of the portions of the song where the speaker and his beloved shed their tears.

Interestingly, Lewin omits some critical information about this period in Schumann's life, presumably to paint it as a blissful time. Although my essay is not concerned with biographical approaches, some further investigation into Schumann's biography is not irrelevant to a psychoanalytic approach especially for those interested in psychobiography.

Lewin cites from Nancy Reich's biography of Clara Schumann where Reich quotes Clara from the Schumann marriage diary: "We have been married a quarter of a year, and it is the happiest quarter of a year of my life" ("Ihr Bild," 153).[5] Immediately following the above statement, and left out by Lewin, Reich informs us: "There was, however, one 'but' expressed:

[5] Cited from Nancy B. Reich, *Clara Schumann: The Artist and the Woman* (Ithaca: Cornell University Press, 1985): 104.

her sadness about the continued break with her father" (*Clara Schumann* 104). The relationship to one's parents is a crux to psychoanalytic theory and on this basis I would argue that Schumann's emotional state during this time was far more complex than Lewin implies. Although Reich does inform us of the mixture of emotions Schumann had, even Reich suppresses the importance of Schumann's relationship to her father as a simple "but".

If we consult the relevant passage in the marriage diary to find out what Schumann herself wrote, we find that she expresses a much more complex set of emotions regarding her marriage, which includes her "pity" and unhappiness for her father. Her entry intertwines both sides of her feelings, those for her father and those for Robert:

> "*Saturday the 5th*. Today it's a quarter of a year that we are married—surely the happiest quarter year that I have ever lived. Every day I get up with renewed love for my Robert, and if I sometimes seem to be sad, almost unfriendly, then these are but worries that always originate from love for him. I hope that all quarter years to come shall find us no less fortunate that the one just passed. If something can momentarily dull my happiness, then it is the thought of my father, for whom I feel the greatest pity, that he cannot be witness to our joy, that heaven has denied him a *heart*, and he is insensitive to such happiness as ours. Surely he doesn't have any pleasure right now, and through his behaviour has lost not only me but all of his friends as well, not that he had so many of these. That is sad, and even more so for me as I am his daughter. I hope that you, my most intimately beloved Robert, won't bear me a

> grudge because of that; this childish feeling simply does not let itself be wholly suppressed, and thus you will also forgive me for sometimes having a sad thought about my father. (40–41)[6]

I will begin my analysis with Schumann's second version of her setting of Heine's poem, "Ich Stand in Dunklen Träumen", op. 13 no.1. This song contains some subtle musical responses to Heine's text which can be described well through reference to Freud's theories of defence and repression. In Heine's poem, the speaker is engrossed in a dark fantasy and experiences the pain of having lost his beloved. The speaker's affects however are not always fully manifested in the music. In some cases, crucial musical elements are missing, and in other cases musical motives can be interpreted as applying pressure onto each other.

The portion of Schumann's song which exhibits musical instances of repression occur during what could aptly be referred to as the tear episode where the beloved, as dreamed, sheds tears which in turn provoke the speaker's tears. This occurs across the division of the middle and final stanza:

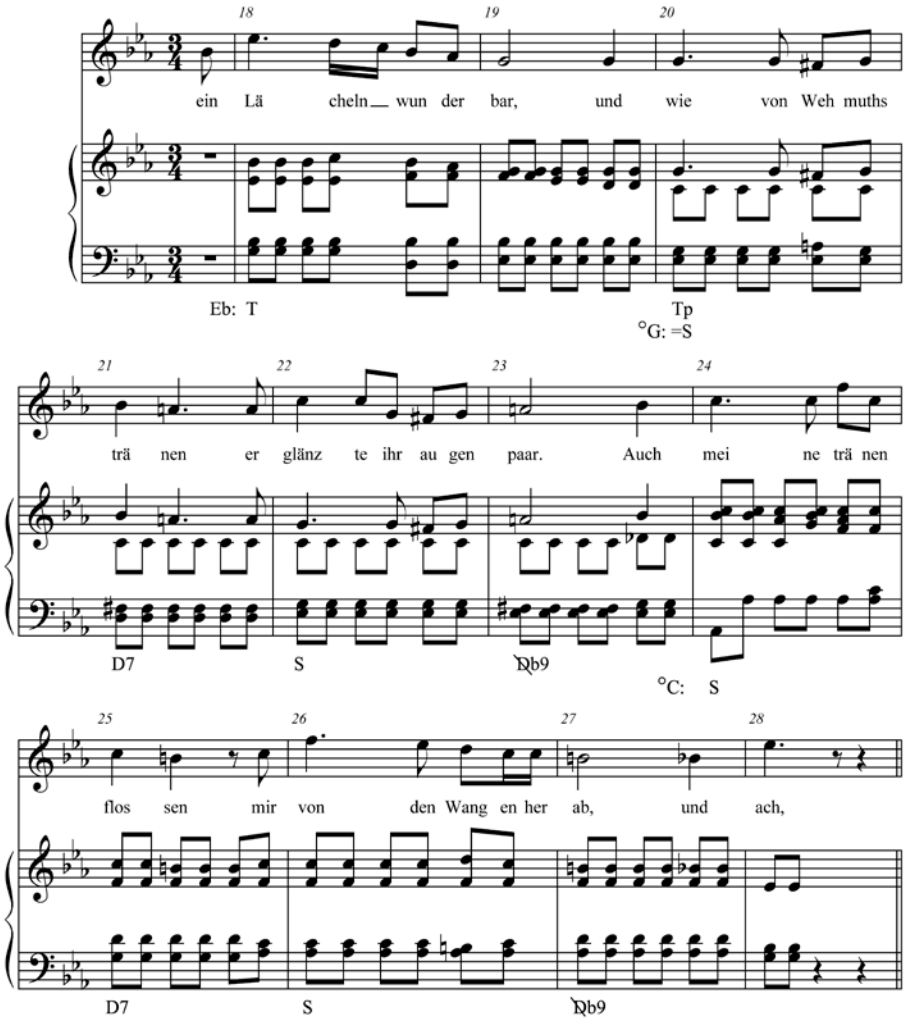
und wie von Wehmutstränen	and, her eyes shone,
ergläntzte ihr Augenpaar.	from melancholy tears.

[6] Clara Schumann and Robert Schumann, *The Marriage Diaries of Robert & Clara Schumann: From their Wedding Day through the Russia Trip*, trans. Gerd Nauhaus (Boston: Northeastern University Press, 1993).

Auch meine Tränen flossen mir von den Wangen herab,--	My tears also flowed down my cheeks,

The voice sings these couplets as two distinct phrases, the first in G minor and the second in C minor. These are the only phrases sung in the minor mode and this contributes to the sense of this section being marked out from the rest of the song. Example 2.1 excerpts measures 18–28 (the tear episode) in its immediate contextual setting.

Example 2.1 Clara Schumann, *Ich Stand in dunklen Träumen*. Tear Episode, mm. 18–28.



The contour of the melody—and especially the first phrase (in G minor)—is characterized by a marked spatial restraint as compared to the waving contour characteristic of the melodic setting of the other lines of text. The tear episode evolves out of the Lächeln wunderbar motif of measures 18–19, the most distinctive motif of the song. The piano smoothly slips the music as if an unintentional lapse from the home key of E♭ major into its

tonic parallel, C minor, in measure 20 while the voice holds the G common tone.

The first phrase's harmonic progression (mm. 20–23) moves S–D–S–D in G minor, as shown in the example. The second phrase's harmonic progression (mm.24–27) follows the same pattern, S–D–S–D, transposed to C minor. Noteworthy about the harmonic progression is also its characteristic progression from the dominant to the subdominant occurring in the middle of the progression (mm. 21–22), as it follows Riemann's conception of the minor mode's proper functional progression (D–S) which is the inverse of the major mode's progression (S–D). In measure 27 the voice shifts the key area away from its C minor thread to E♭ major through a single chromatic shift of B♮ down to B♭. Motivically, there is a connection between the words "von Wehmut" (m. 20) and "ihr Augen" (m. 22): both are sung to the neighbour figure G–F♯–G. This will gain interpretive importance later on.

Although the text in this section openly describes the emotive and physical response of the speaker, the music exhibits some notable points of restraint. The melody suddenly becomes highly constrained in its contour. This becomes especially obvious if we bring out the juxtaposition of the "Lächeln wunderbar" motif (m.18) immediately preceding the tear

episode, and the "von Wehmuts" (m. 20) motif which opens the G minor phrase of the tear episode. More subtly, the harmonic progression of both phrases consistently avoids their respective tonics. These phrases alternate between their respective subdominant and dominant harmonies. This also becomes significant in comparison to the only other key centre in the song, E♭ major, where its tonic is freely emphasized.[7]

When one listens to the two phrases of the tear episode, however, they do not offer any overt sense of omission: the subdominant and dominant harmonies are in fact establishing their respective key centres; it is the tonic chords representing those key centres, along with the concept of resolution, which has been avoided. In other words the tonics are implied but not stated.

The crux of the issue is that there is something about these two key regions which is not being fully realized, and omissions of ideas in communication (or chords in music) are apt starting points for investigating the mechanism of psychic defence.

[7] Harmonically speaking, there is an interesting passage preceding the tear episode. In measures 12–17, the song sounds as if it is modulating to the key of the dominant. It turns out however that the melodic line, spanning a descent of a sixth from B♭–D, is in the tonic key, E♭ major, as shown by the A flats. The accompanimental part, however is hinting towards the key of the dominant, B♭ major, as it often sounds A♮.

Freud's theory of defence as stated in his early work, "The Neuro-Psychoses of Defence" (1894),[8] is that when the mind comes up against a distressing idea or feeling which it is unable to come to terms with through conscious thinking, it will attempt to forget or push the idea aside (47). Furthermore, certain psychic objects are conceived of in two parts: one part is the idea itself, and the other part the affect or energy connected to it ("Repression" 40). If, then, harmonic progressions and key areas are conceived of as ideational and affective objects, then the omission of such objects could be read as analogous to the structure of psychic defence. In this particular case if we roughly construe the text as the idea, and the music as the affect,[9] then an initial interpretation could take the omitted minor tonics inside the tear episode as a precursor to the affective repression of the final couplet of the poem. In the final couplet, the speaker expresses disbelief in the loss of his beloved. The music accompanying this couplet, however, does not support such an interpretation as it is far too matter-of-fact and un-emotive.

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[8] *The Standard Edition, Volume III (1893-1899): Early Psycho-Analytic Publications*, trans. James Strachey (London: Hogarth Press, 1962). The references to Freud's individual essays are from this edition.

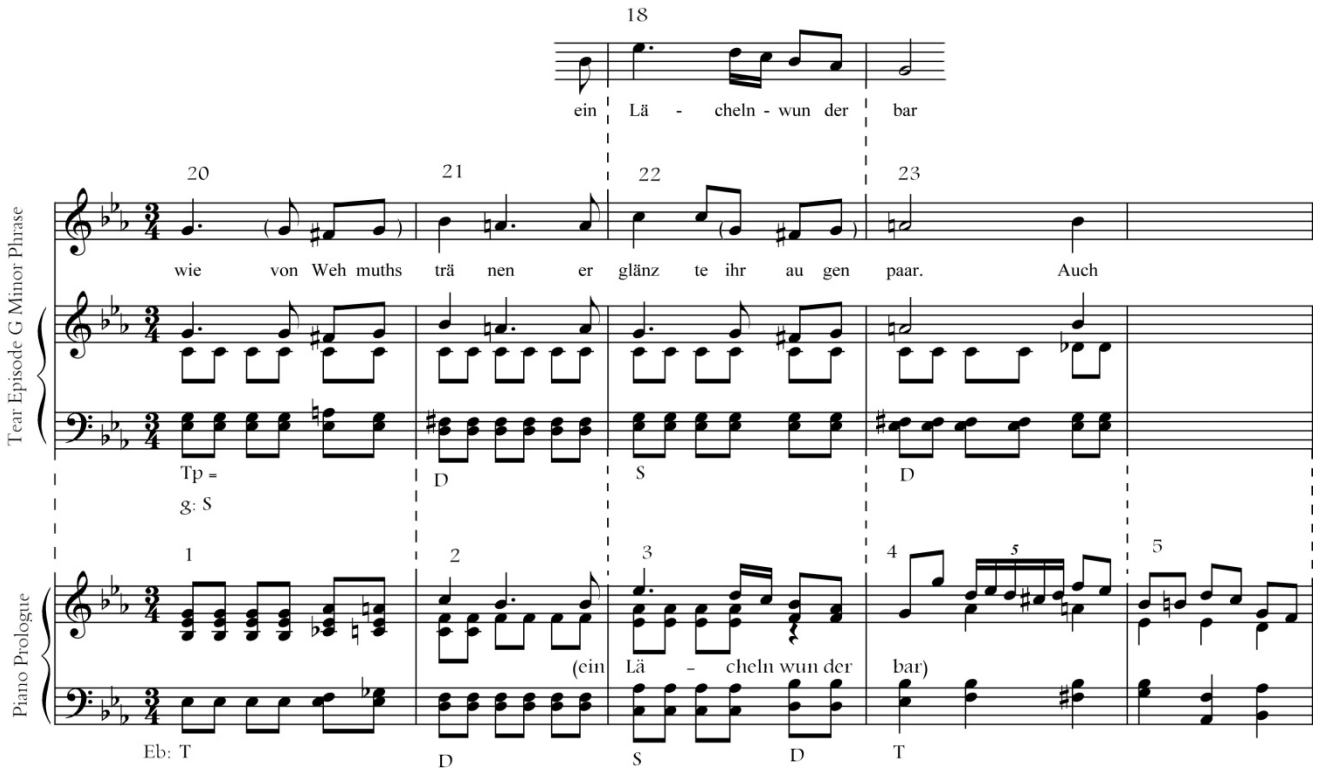
[9] Such a hard separation misses some subtleties where for instance language does not have to be taken as exclusively ideational but can also have an affective side. This comes out with regard to the sound component of words, as in the consonants and vowels when sung which can express particular affective meanings, potentially unconsciously, whether by the singer or the author.

For the present, we will leave the question open as to whether the tonics have in fact been left unstated. The voice in the G-minor phrase does give a partial outline of the tonic. In measure 20, a G is sounded, and in measure 21 the B♭. One of the functions of defence, however, is to deflect strong ideas into weak ideas, and through this rob them of their ability to find explicit associations to other objects. In a musical context then, a harmonic event—in this case the strong implication of a key centre—to be spread out subtly into a melodic event can be interpreted as just that kind of psychic procedure. The melodic presentation of the tonic does, nevertheless, raise the issue as to whether the tonics can in fact be taken as repressed in the Freudian dynamic sense of being pushed into the unconscious. Strictly speaking, repressed ideas should not be present in consciousness, even at a low intensity ("The Ego and the Id" 16)—such as through subtle melodic motion. It also raises the question as to the psychoanalytic status of melodically construed harmony compared to vertically construed harmony. Are these both to be taken as associated with the consciousness or could one be taken as associated with unconsciousness? Related to this question is the status of dissonance and consonance to the psyche. The B♭ in measure 21 which is outlining the G minor harmony, is dissonant as an appoggiatura to the structural A♮ below

it.[10]

Issues of repression become further complicated when we look at the connections between the tear episode and the piano prologue. Example 2.2 compares the two, juxtaposed vertically one on top of the other.

Example 2.2 Schumann, *Ich Stand*. Tear Episode (G minor portion) compared with Piano Prologue.



[10] Richard Cohn in his article "Tonal Signification in the Freudian Age" investigates the meaning of consonance and dissonance in 19th Century music theory. He finds one thread where consonance denotes the real and familiar and dissonance the unreal and unfamiliar. Cohn then connects this to the representation of the uncanny in a certain class of harmonic progression.

The tear episode reflects the piano prologue in a few notable ways. As seen in the diagram, the dotted quarter note opening motif of the tear episode (m. 20) is a variation of the opening of the piano prologue. The difference is that in the piano prologue, on the final beat of measure 1, the piano rises up into the sigh-motif; whereas in the tear episode, at the parallel moment the voice sings the G–F♯–G neighbour motif. Measure 21 parallels measure 2 of the prologue as a transposition of the sigh-motif down a second. The tear episode also mirrors the harmonic progression of the piano prologue by following the characteristic harmonic move of dominant to subdominant and back to dominant. The tear episode is thus not only repressing its tonics but also the underlying structure of the piano prologue which it reflects.

Melodically, from measures 20–21, the tear episode mirrors the piano prologue. If the voice in the tear episode were to continue to follow the thought-process set by the prologue, we would expect to hear the "Lächeln wunderbar" motif or some variation of it (mm.3–4 of the prologue) in measures 22–23. Instead, the voice gives a new melodic idea, the "erglänzte ihr Augenpaar" motif ("her eyes shone"), which can be heard as covering up, or pushing out the "Lächeln wunderbar" motif. Alternatively, the phrase could be acting as a substitute formation,

meaning that the energy of the Lächeln wunderbar motif has detached itself from its idea, and reattached to the new idea, "ihr Augenpaar".

This new idea itself however has its own important associational thread. It is the "von Wehmuts" lower-neighbour motif, G-F♯-G, from measure 20. The "von Wehmuts" motif—now set to the words "ihr Augenpaar"—is thus applying pressure on the Lächeln wunderbar motif. The smile has thus been pressured out by her eyes. To sum this up, her eyes, "ihr Augenpaar", have an association back to "von Wehmuts" which in turn associates back to the opening of the prologue. Alternatively it could also be argued that the words "ihr Augenpaar", and the actual inner picture of her eyes glistening as fantasized by the speaker, is in itself causing the speaker to forget about her wonderful smile.

It may be debateable to assert that the Lächeln wunderbar motif is implicated in measure 22. For one, the Lächeln motif's waving contour does not accord with the contour of the rest of the passage. The scepticism is well-founded on an aural level, but still does not answer the problem of why the G minor portion of the tear episode (mm. 20–23) follows the melodic and harmonic plan of the prologue and then drops out once it reaches the Lächeln wunderbar motif. The Lächeln motif expresses

calmness and resolution. Furthermore, its resolving quality is musically factual: it ushers in the tonic. It is this resolving quality which makes it nearly impossible to imagine an underlying and repressed Lächeln motif in the tear episode.

Although the tear episode breaks away from the surrounding tonic key, it does hover close by, with G-minor as key of the Leitonwechsel and C minor as key of the tonic parallel, of E♭ major. This key scheme relates back to the characteristic D–S harmonic progression contained in the prologue (mm. 2–3). In Riemannian theory, the Leitonwechsel relates diatonically to the dominant, and the tonic parallel to the subdominant functions. The tear episode's key scheme (G minor as dominant, to, C minor as subdominant) thus functionally reflects, at a higher level, the harmonic progression of the prologue.

After discussing so much of the tear episode from the perspective of psychic defence, it is worth considering how it can also be viewed in the exact opposite light, that of catharsis and the idea of going back to the scene of a traumatic event and then re-channelling the energy properly and consciously. This stems from the idea that although the tear episode contains instances of repressed material, its overall affect is more representative of the mood of the text than the other phrases in the song.

This sense can be attributed to the use of the minor mode, on the one hand, and the oddly cheerful affect of the other phrases in the song on the other hand.

One might go so far as to speculate, in view of this large scale problem in the piece, that the entire song is largely repressing the affect of the text except for the tear episode. In the tear episode, the mood that seeps through as the voice and piano explore the minor mode is not given full expression, and therefore the minor key regions are forced to remain unfulfilled. From this perspective, although the tear episode is repressive, it is also the most cathartic episode of the song. It is as if the singer is coming closer to finding some repressed feelings but just before reaching that point, turns and avoids them. The final beat of measure 27 (see example 2.1), where the voice finally makes a decisive but smoothly articulated turn out of the minor mode (C-minor) and back to the home key, can be interpreted as the culmination of the speaker's need, on the level of the musical representation, to remain defensive and avoid exposing his true loss. In other words, the text and the music are in opposition to one another: the point at which the text finally releases the pressure on the feelings—as well as the suspense for the reader—the music represses them. The final couplet takes the music back to E♭ major and the song ends with a restatement of the piano prologue. Neither the

final couplet nor the piano epilogue present any surprises, but rather carry on unaffected by the drama that preceded.

This is in itself a surprise considering the devastating turn which the poem makes here.[11]

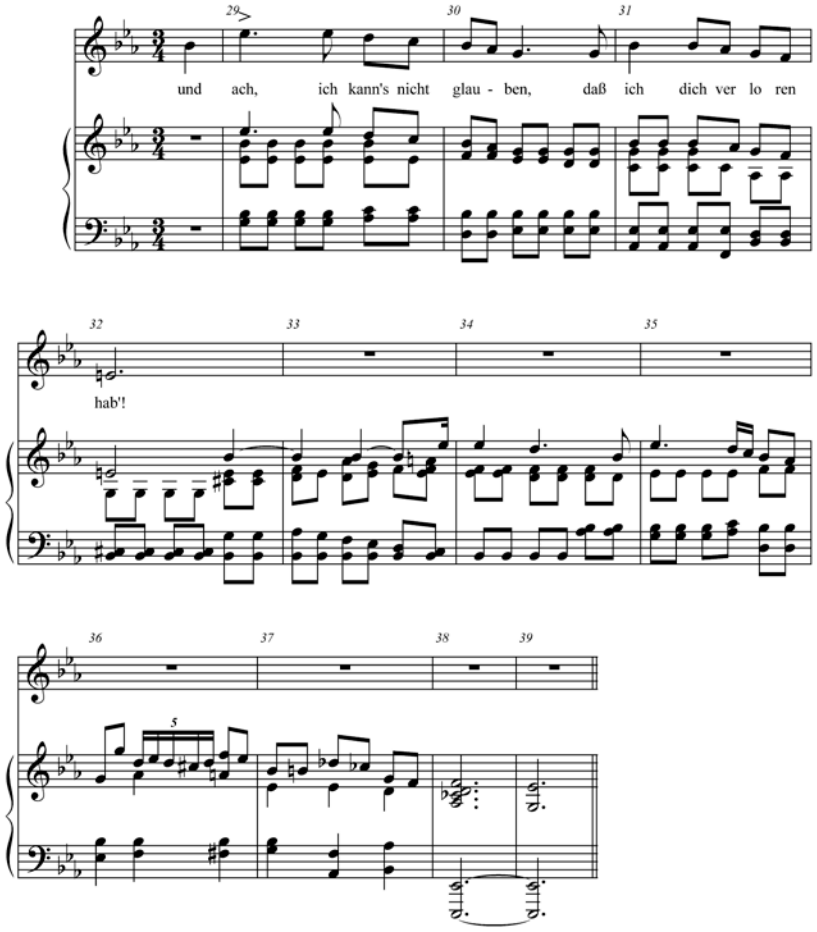
Part 2: Ihr Bildnis

Schumann's first version of this song, "Ihr Bildnis", contains some significant complications in comparison to the second version.[12] The final couplet of "Ihr Bildnis" is one place which strikes a very different path from "Ich Stand in Dunklen Träumen". Example 2.3 presents the final couplet and the piano epilogue of "Ihr Bildnis".

[11] The final couplet is, however, based on a rhythmically augmented return of the Lächeln wunderbar motif; it is sounded for the first half of the final couplet ("und ach, ich kann's nicht glauben") in measures 27–29.

[12] Historical background of "Ihr Bildnis" is sparse; it may have been printed at an earlier time but seems to be only now recently published (1992) as it stood in the autograph copy.

Example 2.3 Clara Schumann, *Ihr Bildnis*. Final Couplet and Piano Epilogue, mm.29–39.



The final couplet descends through an octave from its opening E♭ in measure 29. However, at the moment of resolution in measure 32, the voice sounds E♮ harmonized by the piano as a C♯ diminished 7th chord.[13] The harmony comes across as a sudden and shocking shift, and points to

[13] This is the final note the voice sings, which it puts it in an odd position, harmonically, of never being able to properly resolve. The voice becomes trapped in a state of non-resolution which raises an interesting question about the power dynamics between the piano and the voice. It also parallels Schubert's "Ihr Bild" where the voice concludes its line in B♭ major, yet the piano continues further, ending in B♭ minor, thus also trapping the voice in the major mode.

the question of how such a chord could come about. There does not appear to be any precipitating source, and so can be read in the light of a relation to the repressed tonics of the tear episode.

Following Freud's theory of defences, the energy or affective component of a repressed object can get re-channelled to another use, either as a somatic innervation or through a substitute idea. This happens through the energy or affect of a painful idea detaching and finding other outlets whether through a physical manifestation such as anxiety or through attaching to another more distantly related, and thus less threatening, idea. Physical innervation is commonly taken as feelings of anxiety but seems also to be able to include a wide variety of bodily or muscular manifestations. At its root, a physical innervation is about a psychical event crossing over into the physical domain.

This leaves three psychic interpretations of this phrase and in particular of the C♯ diminished 7^{th} chord: a) either there is no repression taking place and it is a proper release of the emotional scene being described, or b) the proper emotion has been repressed and the repressed emotion has found a substitute with which to show itself through, or c) it is a conversion of the repressed into a physical innervation—anxiety. This chord could be

interpreted as a substitute formation caused by the repressed energy of the tear episode's tonics becoming attached to a more distant and relatively unrelated object: the Leitonwechsel of the dominant's dominant ($B\flat \rightarrow F \rightarrow A\ ^{\circ}7$ [omitted root]). The $B\flat$ pedal adds to this interpretation as it solidifies the dominant function of this distant dominant harmony. Interpreted in this way, the energy of the tear episode finally resolves, but only in the sense that it is being allowed to mobilize, and not in the sense of actually bringing about a solution to the problem.

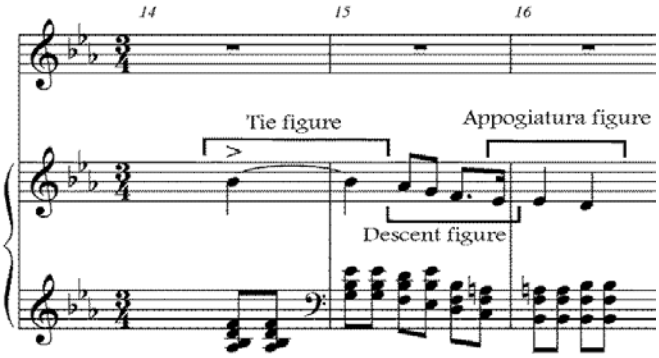
The $C\sharp^{\circ}7$chord, however, does not initially come across as a dominant, but sounds more like an altered tonic. This interpretation is subtly different from the substitution interpretation. In the substitution interpretation, the $C\sharp^{\circ}7$ chord is in fact a Leitonwechsel of the dominant's dominant but it is energized with the wrong energy, that of the repressed tonics. On the other hand, if it is interpreted as an innervation it is not a dominant chord, but a tonic chord malformed by the effects of anxiety. The anxiety can be read as arising out of a conversion of the repressed tonic energy. This representation then also extends into its own complex polyphonic phrase.

The short polyphonic flourish which the innervation sets off is itself very interesting. Example 2.4 focuses in on this phrase along with a related motif upon which it is based. The top portion presents the original motif

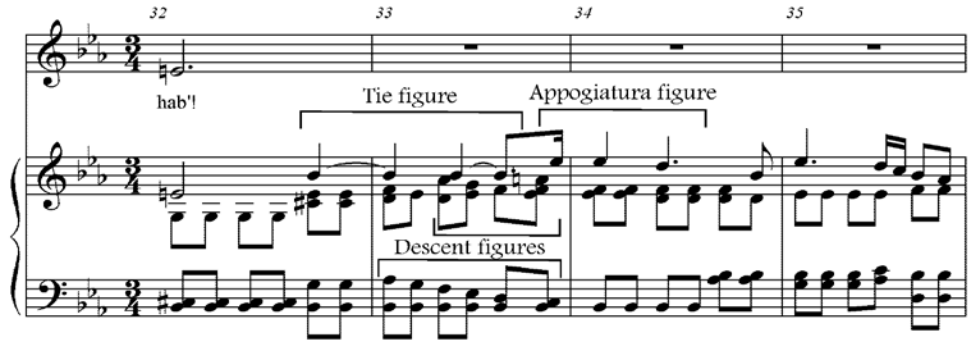
from measures 14–16; the bottom portion presents the polyphonic version from measures 32–35.

Example 2.4 Comparison between the Polyphonic Flourish and its Original Motif.

Original Motif, Homophonic Texture, (mm.14–16):



Motif Split into Polyphonic Texture, (mm. 32–35):



In order to understand the implications of the polyphonic flourish, we must look at the motif on which it is built, which occurs in measures 14–16. Here, the piano plays a single-line motif in the upper register. The diagram breaks the motif into roughly three portions: the initiating "tie figure" occurring over the barline; the "descent figure;" and the

concluding "appoggiatura figure." In measures 32–34, this same motif is split into a polyphonic texture. The "tie figure" initiates the motion over the barline, but is rearticulated in measure 33. The "descent figure" is likewise stated twice in measure 33: it begins a beat early, displaced to the tenor voice, and is also followed by imitation in a higher voice. The "appoggiatura figure" concludes, in measures 33–34, stated in the "wrong" octave as compared to the original version in measures 15–16.

Texturally, measures 32–34 is the most complex and dense phrase of the song. It is as if the vertical density of the C♯°7 chord has been spread out horizontally through the different voices. The impact of the "innervations" is thus not all negative, as can be seen, for this energy is able to construct a new phrase. Once liberated, the energy can move onto other objects or be used for other purposes.

The Lächeln motif of measures 35–36 (example 2.3) returns calm to the intensity of the polyphonic flourish; it is, however, short-lived, and the cadential gesture takes on a life of its own through chromatic distortions of its melody. Most notably it alludes to E♭ minor as it descends through E♭–D♭–C♭ in the upper voice beginning on the final beat of measure 36. The penultimate chord also sustains the minor mode's C♭, resolving to B♭,

in the final chord thus combining major and minor qualities into one cadence. As such, this cadence deals with a fundamental issue of this piece: the seemingly misplaced mode that dominates the work. It could also be read as a psychic adaptation to the inability to work through the repressed feelings. From this perspective it is a form of resignation in the face of the symptoms of repression by integrating the symptoms into the larger musical structure.[14] Through such integration, the symptoms are allowed to remain intact, but at the same time they can be given the appearance of having a meaningful, and even a useful place, in the musical structure. The piano has turned the symptom of anxiety into an opportunity. In this case the dissonance of the E♮ and its underlying C♯ °7 chord is being channelled into a relatively established musical gesture, that of mode mixture with the parallel minor, E♭ minor, in the final cadence.[15] Furthermore, on a purely cadential level, for the piano to conclude both its own line and the piece as a whole with such a disturbing

[14] Freud explains such a phenomenon in his "Inhibitions, Symptoms and Anxiety." The "ego" in the quotation below, when read in the light of Schumann's song, could be construed as regular tonal, musical structure, and its demand to resolve properly, especially at final cadences:

> The ego now proceeds to behave as though it recognized that the symptom had come to stay and that the only thing to do was to accept the situation in good part and draw as much advantage from it as possible. It makes an adaptation to the symptom—to this piece of the internal world which is alien to it. (SE XX 99)

[15] Such a combination of modes also hints on a very small scale to Schubert's "Ihr Bild" which ostensibly juxtaposes both the B♭ minor and B♭ major modes. The final two phrases of Schubert's "Ihr Bild", however, separate its initial B♭ major phrase from its following B♭ minor phrase whereas in Schumann's "Ihr Bildnis" the two modes integrate into each other.

dissonance, also mirrors the disturbing E♮ in the voice. Neither of the parts, are thus resolving fully.

The Psychoanalysis of Silence—Ihr Bildnis

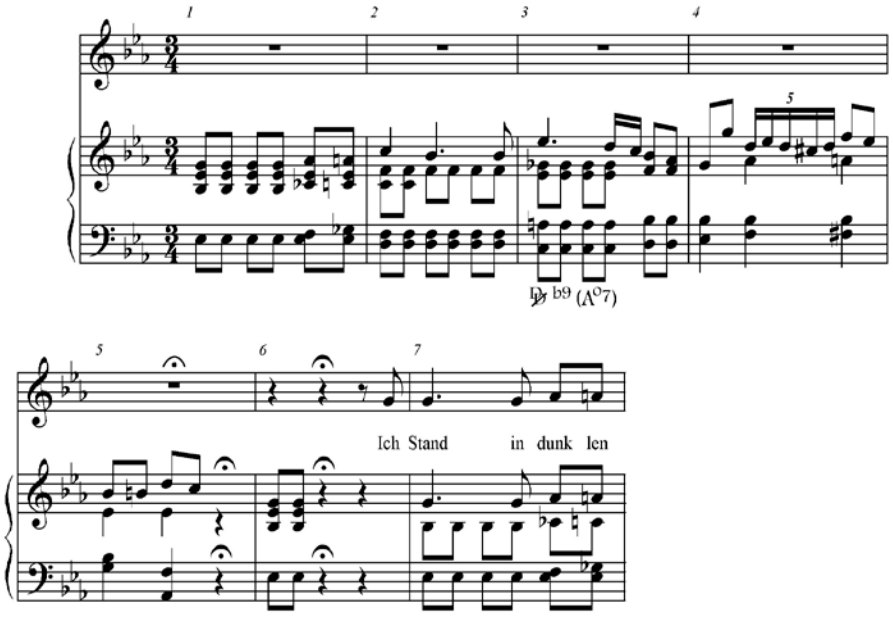
The study of silence in music has shown a noticeable surge in recent scholarship. David Metzer's article "Modern Silence" (2007),[16] studies the meaning of silence as used by three modern composers; Ellen T. Harris' article "Silence as Sound: Handel's Sublime Pauses" (2005),[17] surveys the different functions silence serves and offers historical precedents. In Schumann's use of silence there is one significant difference between the first version, "Ihr Bildnis" and the second version, "Ich Stand".

[16] David Metzer, "Modern Silence" *The Journal of Musicology* 23, no. 3 (Summer 2006): 331–374.

[17] Ellen T. Harris, "Silence as Sound: Handel's Sublime Pauses" *The Journal of Musicology* 22, no. 4 (Fall 2005): 521–558.

Example 2.5 presents the piano prologue to "Ihr Bildnis".

Example 2.5 Clara Schumann, "Ihr Bildnis". Piano Prologue, mm.1–7.



Two striking differences are apparent between the piano prologues of "Ihr Bildnis" and that of "Ich Stand". In measure 3 of "Ich Stand", the piano sounds the sub-dominant chord whereas in "Ihr Bildnis", as can be seen in the diagram below, the piano sounds a dominant ♭9 of the dominant (with omitted root).[18] The other difference is the interruption of the cadential gesture with rests in measures 5–6.

[18] As a dominant function, this chord is similar in function to the C♯°7 chord of measure 32. Meaning that the chord of measure 32 does in fact have a precursor, although by the time measure 32 occurs, the precursor will have been forgotten. The area when the chord was forgotten is difficult to pin down but at least by measure 9 where the piano plays the same motif without the dissonant harmonization. The fact that this motif explicitly becomes the Lächeln wunderbar motif, as the line is transferred to the voice and the text later on in the piece (m. 19), and that its initial statement is dissonant (m. 3), colours the interpretation of the vocalized version in measure 19.

In measure 5, during the cadential gesture, the piano performs a decrescendo into a silent third beat. The piano resumes with the dominant chord in measure 6, only to return to silence for another two beats. The voice is also silent during this time which raises the question as to who controls the silence. For it is worth noting that though the voice is silent throughout, there is a different quality to its silence during measures 1–4 than its silence during measures 5–6.

Psychoanalysis has two basic interpretations for the meaning of silence: silence as a form of defence, and silence as communication. They are opposites of each other, as one tries to avoid communication whereas the other *is* communication.[19] Karl Menninger points out the defensive side of silence from a clinical perspective in his book *Theory of Psychoanalytic Technique* (1958):

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[19] Quoting a therapeutic case which comprised silence as communication brings this interpretation to life. Although the specific meanings of the silence within this case do not necessarily carry over to "Ihr Bildnis" it does illustrate one way in which silence can be used to communicate. Therapist M. Masud R. Khan, in his article "Silence as Communication", describes young patient who sat through a series of sessions in complete silence:

> Gradually I began to realize, through the impact of the silences on me and my inner reactions to them, that Peter was using me as his auxiliary ego. He was making me experience and register what he had lived through passively at some stage of his development. I was the child Peter and he was the other person from the original childhood situation. I could sense through my role as child-Peter that he must have felt reduced to impotence, futility, and exhaustion through the mood and behaviour of this other person, just as I was experiencing these now through him. (304) *Menninger Clinic, Bulletin* 27, no. 6 (Nov., 1963): 300–313.

> [Resistance is] the trend of forces within the patient which oppose the process of ameliorative change. ...Clinically, resistance can be seen in a myriad of forms. Sometimes it is a mere concealing of acts and facts, sometimes an increased forgetting instead of an increased remembering, sometimes a tardiness or an absence, sometimes a prolonged silence. (104)

Silence and related phenomena are thus conceived of in the negative light of defence or avoidance. In a therapeutic session, silence on the part of the patient makes the analyst wait, and can be a way for the patient to exercise power. Analygously, in "Ihr Bildnis" silence is making the music wait, or more specifically, the piano is making the voice wait. These points of silence can have several meanings. Not only is the piano making the voice wait, it is also silencing its own dominant (beat 3, m. 5). When the dominant does appear on the downbeat of measure 6, due to the delay, it comes across as an afterthought. The piano's silence also makes it very difficult to know where the piano prologue comes to an end: is it finishing on the dominant in measure 6, or is it eliding with the voice on measure 7? From this perspective, the voice is left wondering when to enter, and when it does it *interrupts* the piano's silence. The interest of this silence is that, unlike the silence in measures 1–4 which are barely perceived qua silence, in measures 5–6 the silence is transformed into an engaged type of silence, a kind of waiting quality in which the voice, though never having sounded becomes intertwined with the piano.

Taking silence as a form of communication rather than a form of defence changes the meaning of the piano's fermatas. Rather than seeing the piano as concealing facts and exhibiting power over the voice, it is trying to communicate something to the voice. The voice will still feel hesitation about how to handle the fragmented phrase the piano is offering, but it may be that the piano wants the voice to feel this hesitation so that the voice can experience it directly.

Although the above analysis of Schumann's songs follows the model in which music and text coincide, it adds the dimension of repression. Through Freud's model of repression, the co-incidence of music and text does not need to be direct, and can take round-about routes. Approaching the music with an eye towards defensive mechanisms focuses an analysis towards what is not occurring in the music. Such an approach makes possible a combination of detailed thematic, harmonic, and motivic analysis with interpretive strategies extending to all musical parameters including poetic, textural and temporal.

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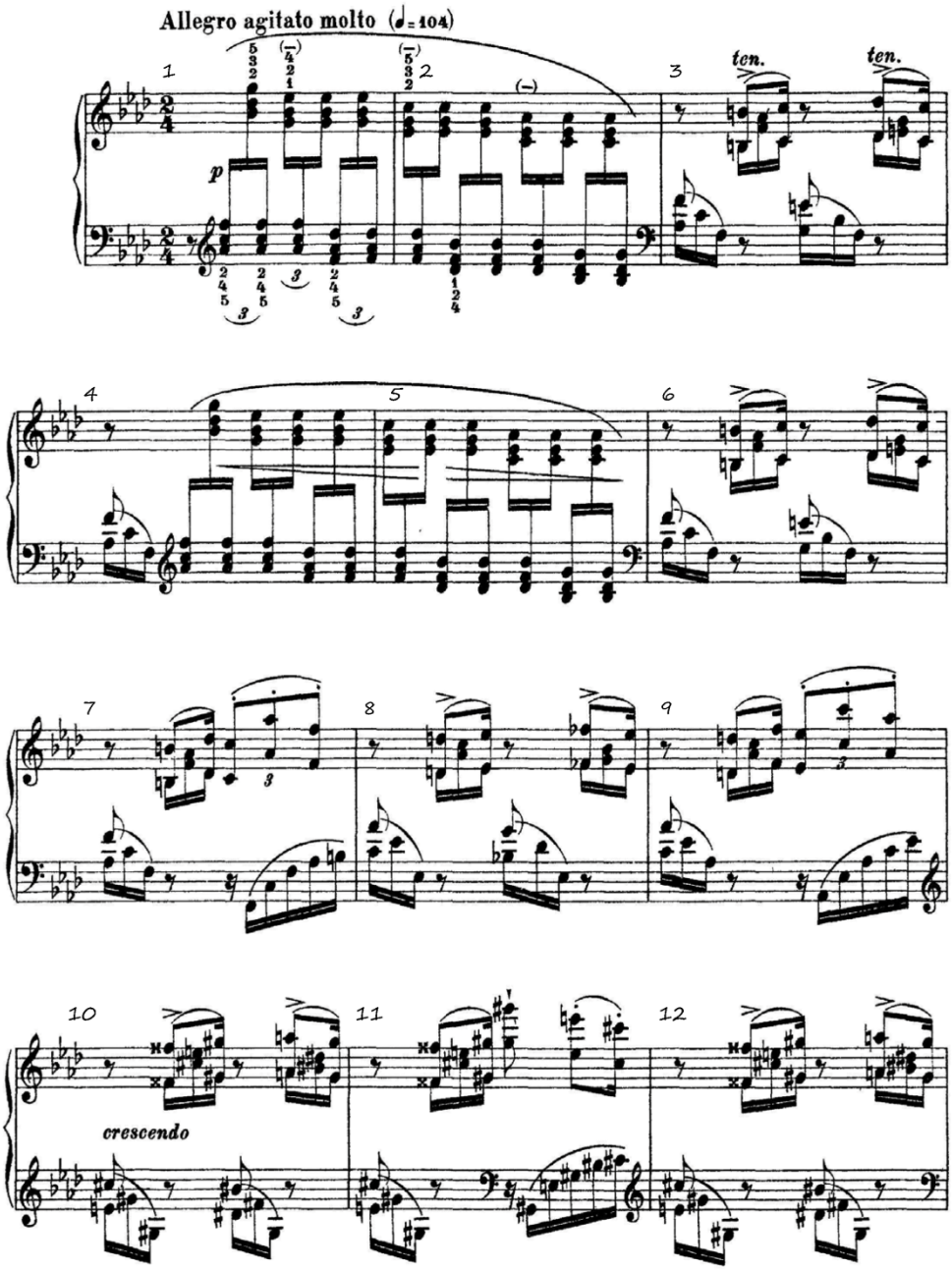
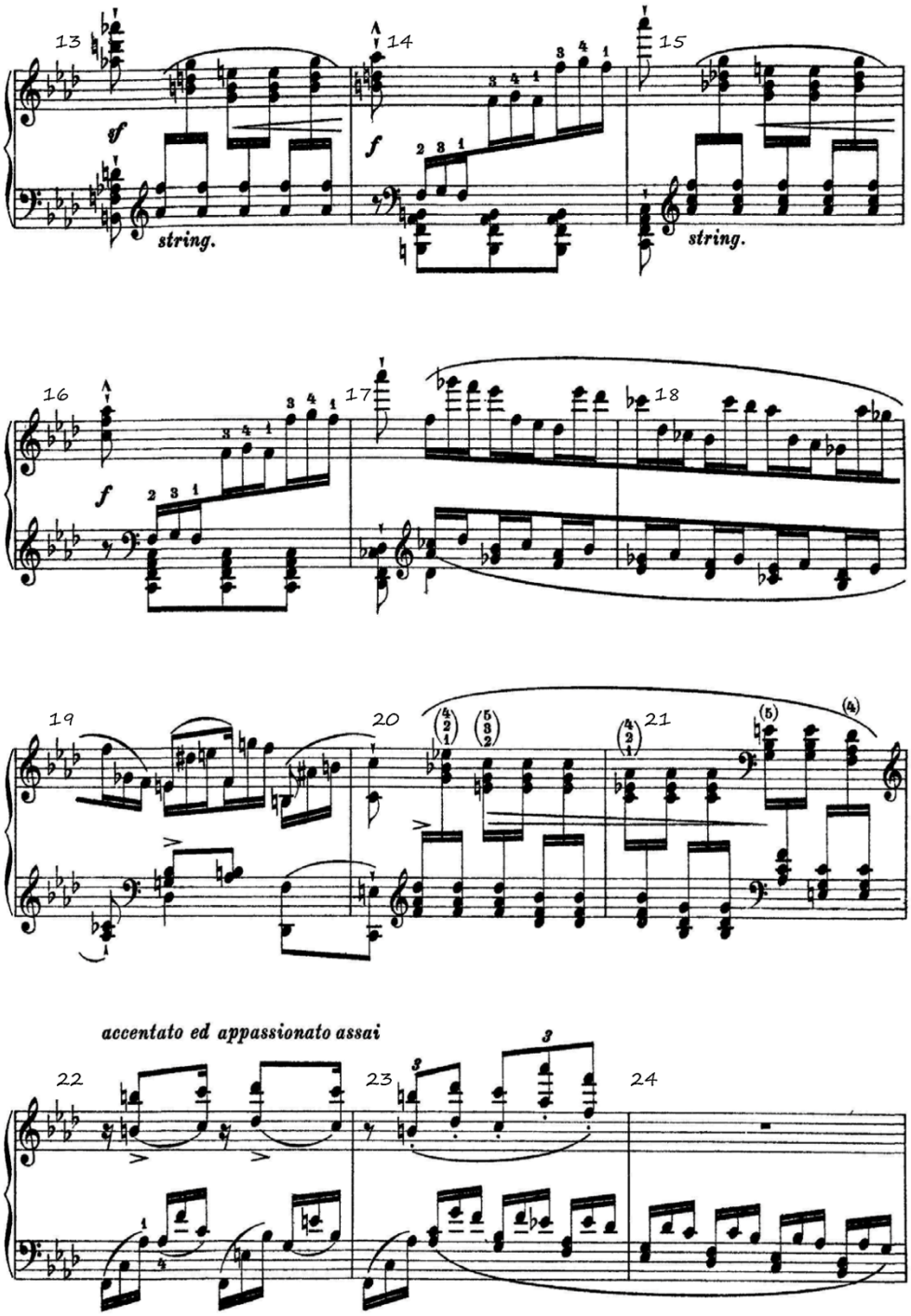
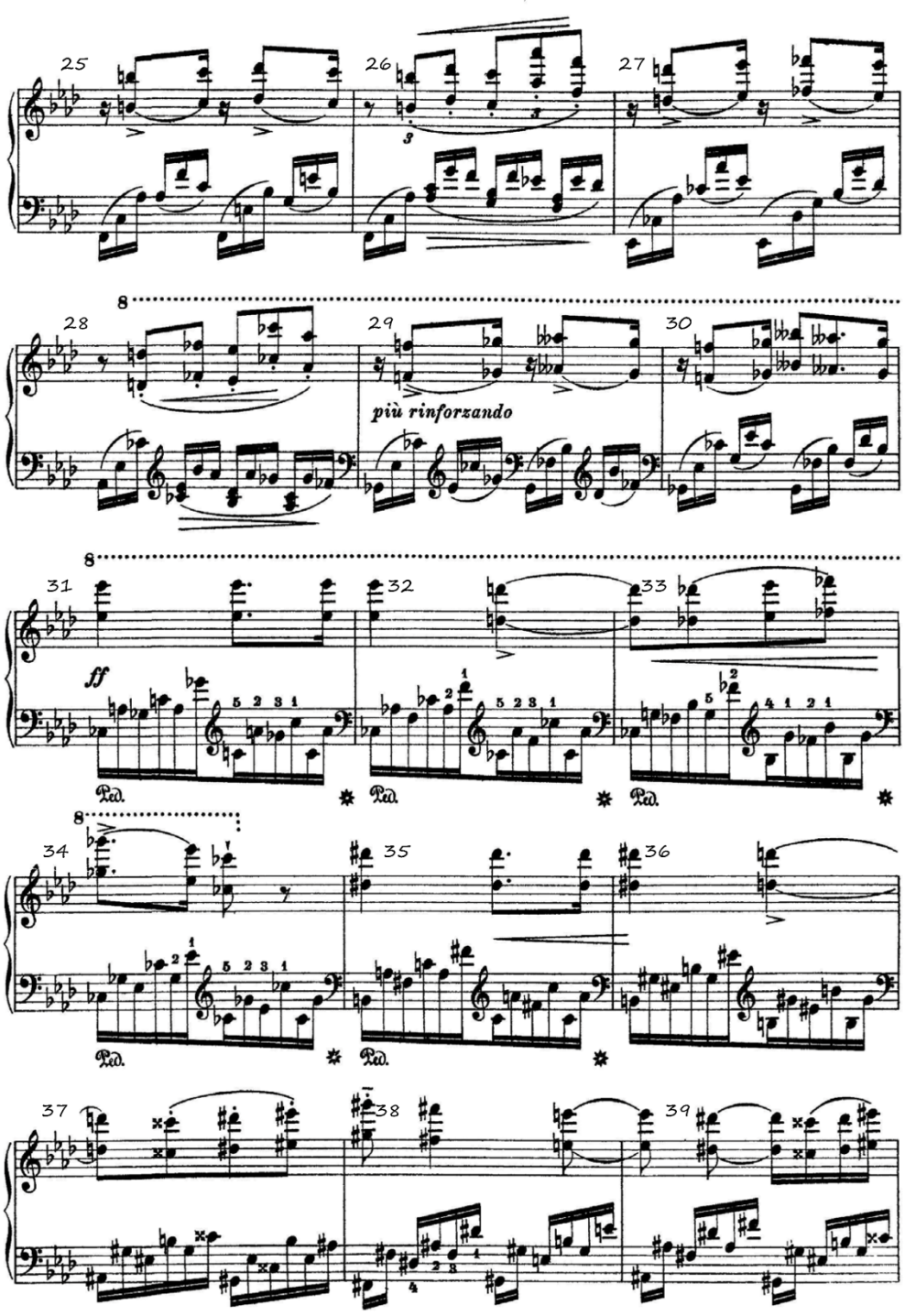
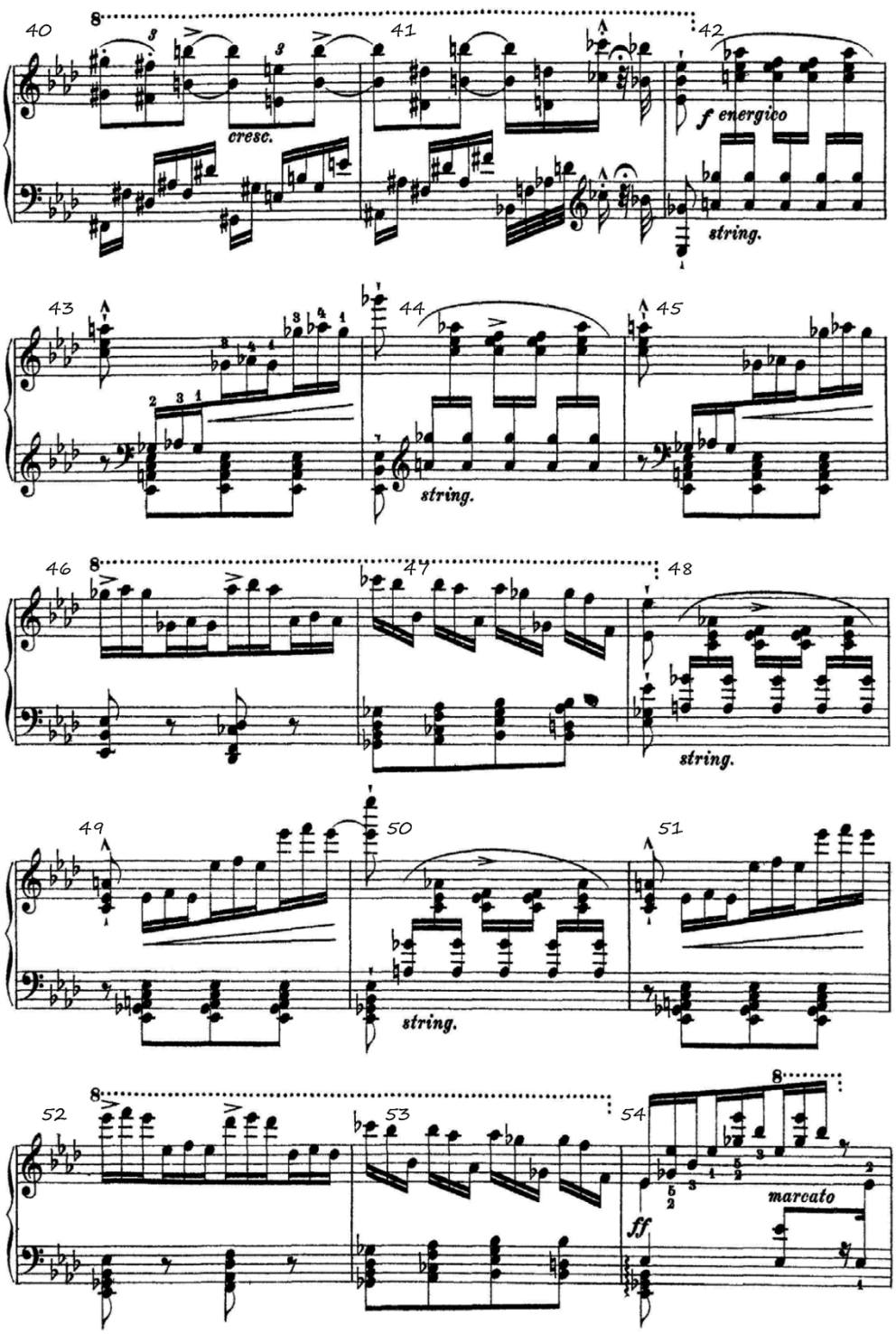
Appendix 1 Franz Liszt *Transcendental Etude* S.139 No. 10

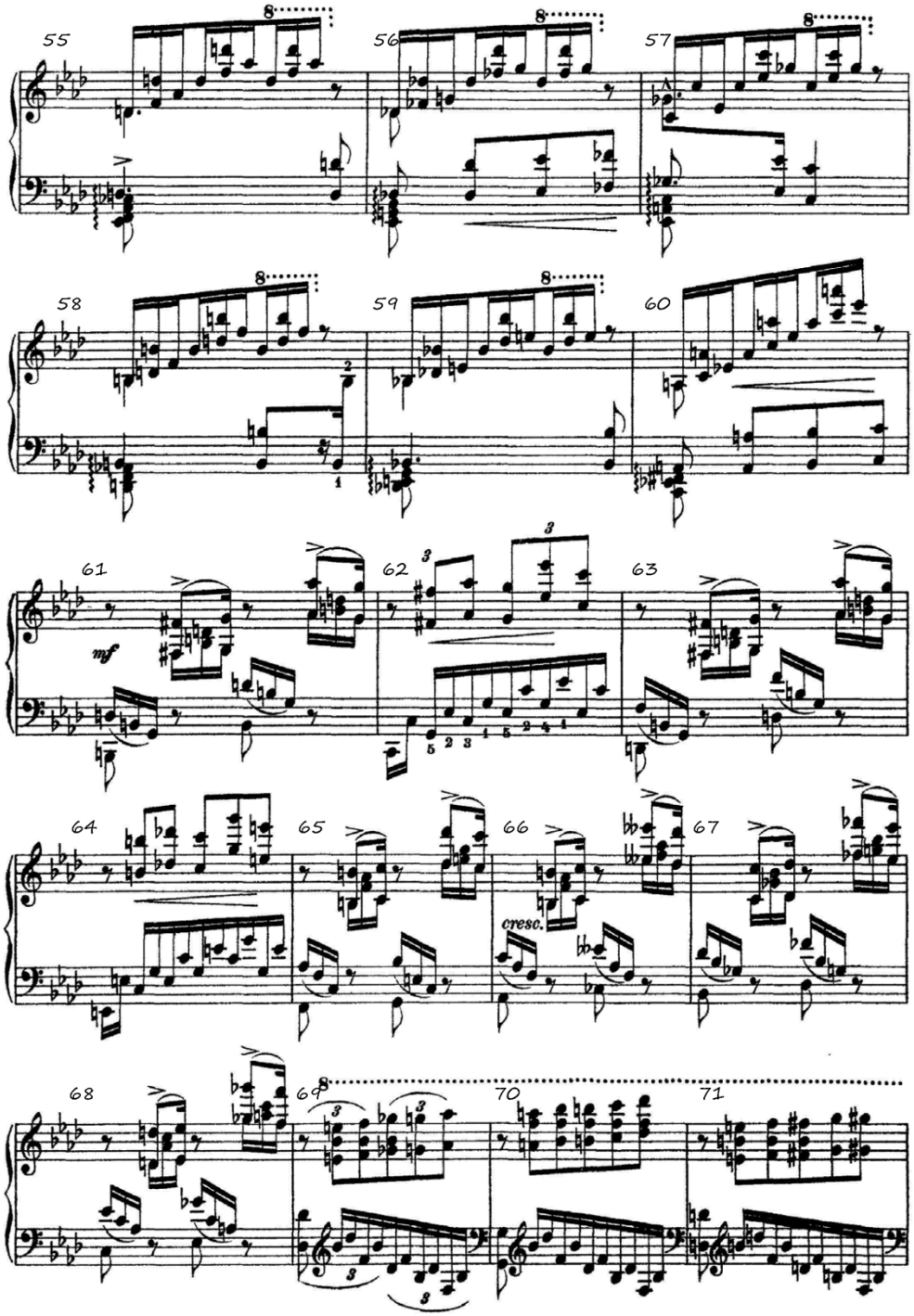
10. F Minor

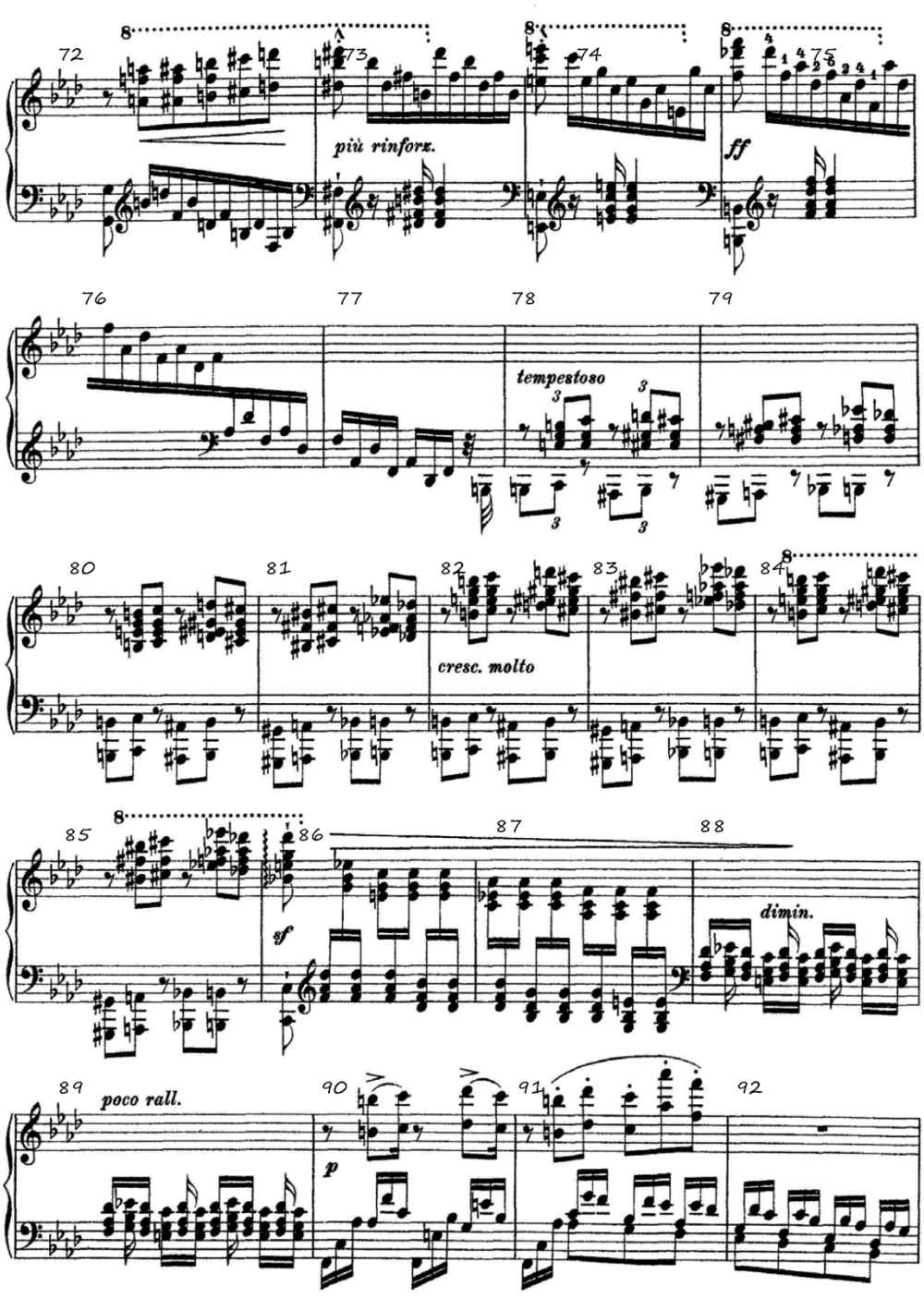


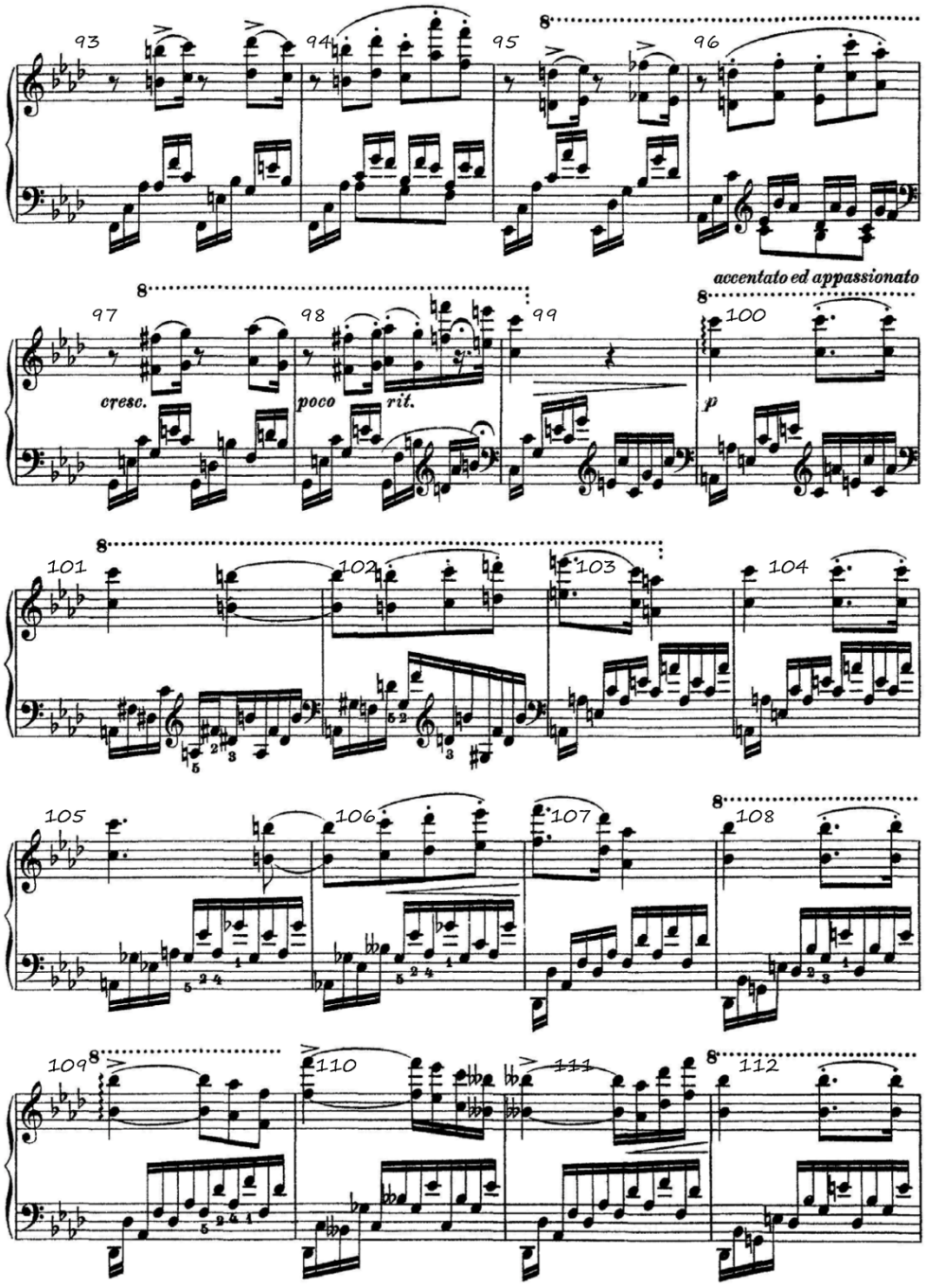

13
14
15
sf
f
string.
string.
16
17
18
f
19
20
21
accentato ed appassionato assai
22
23
24

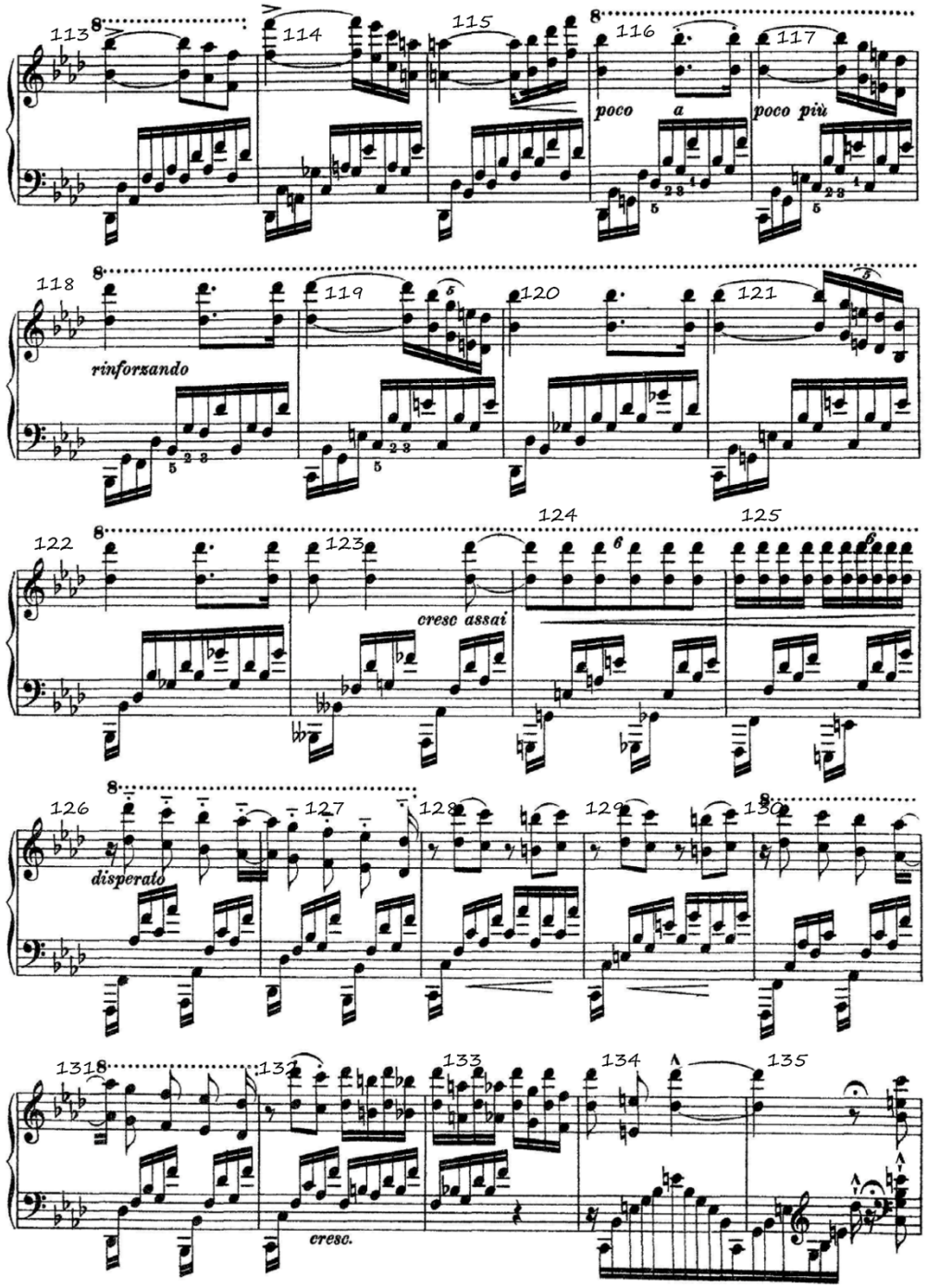

25
26
27
28
29
più rinforzando
30
31
ff
32
33
Ped.
34
35
36
37
38
39

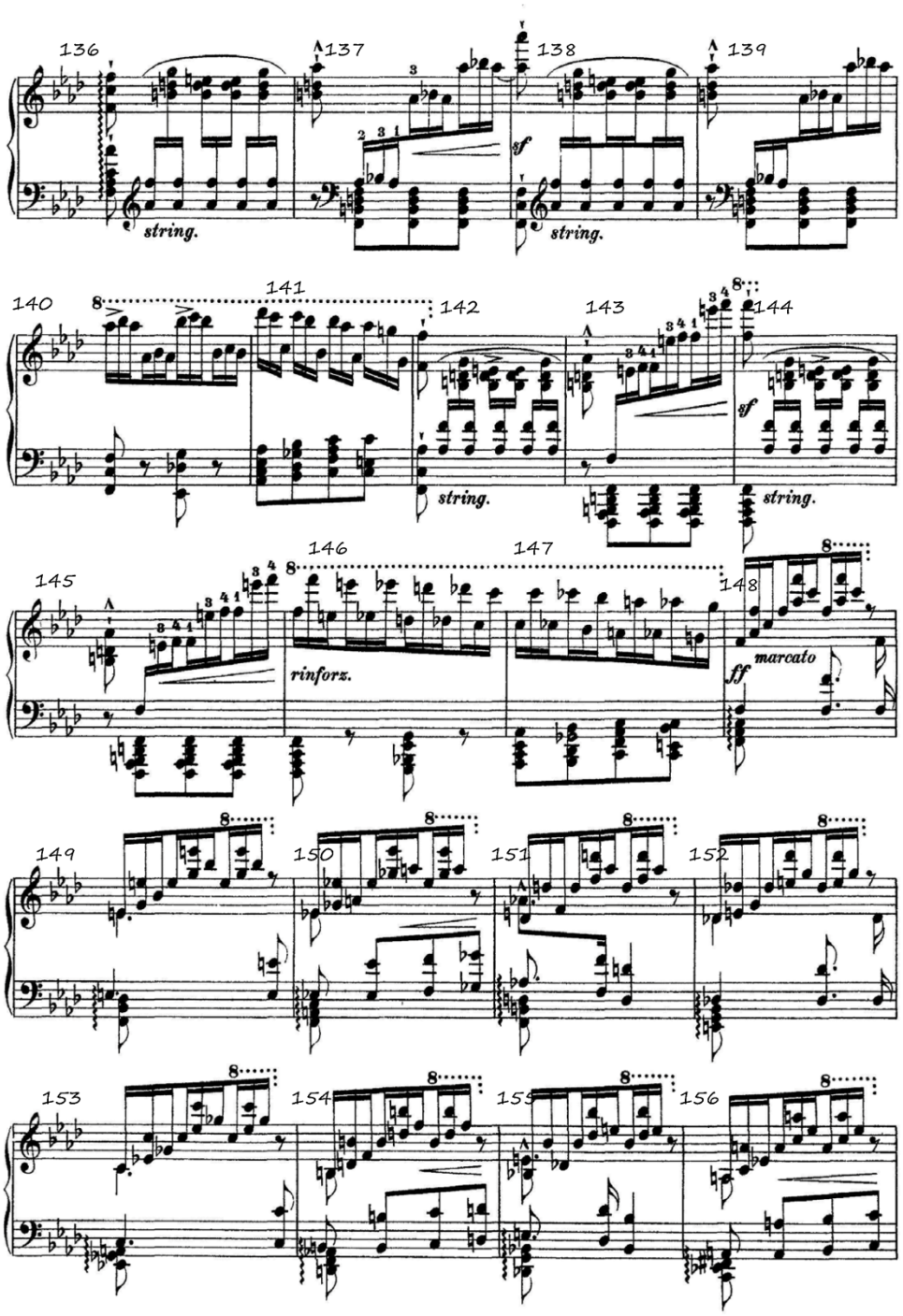

40
41
42
cresc.
f energico
string.
43
44
45
string.
46
47
48
string.
49
50
51
string.
52
53
54
marcato
ff

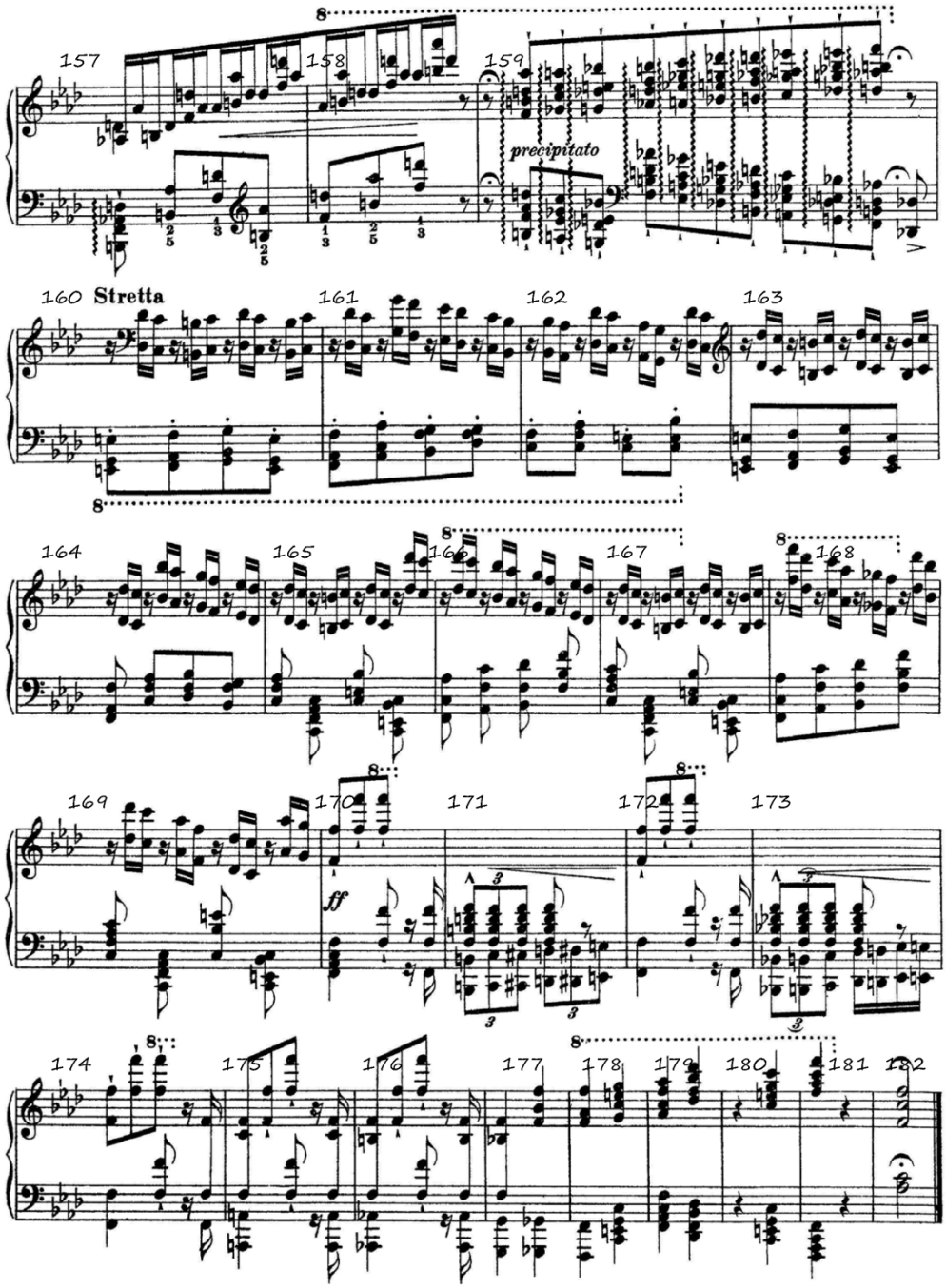

55
56
57
58
59
60
61
mf
62
63
64
65
66
cresc.
67
68
69
70
71


72
73
74
75
più rinforz.
ff
76
77
78
79
tempestoso
80
81
82
83
84
cresc. molto
85
86
87
88
sf
dimin.
89
90
91
92
poco rall.
p


93
94
95
96
accentato ed appassionato
97
cresc.
98
poco
rit.
99
100
p
101
102
103
104
105
106
107
108
109
110
111
112


113
114
115
116
poco a
117
poco più
118
rinforzando
119
120
121
122
123
cresc assai
124
125
126
disperato
127
128
129
130
131
cresc.
132
133
134
135


136
137
138
139
sf
string.
string.
140
141
142
143
144
sf
string.
string.
145
146
147
148
rinforz.
ff
marcato
149
150
151
152
153
154
155
156


157
158
159
precipitato
160 Stretta
161
162
163
164
165
166
167
168
169
170
171
172
173
ff
174
175
176
177
178
179
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181
182

Appendix 2, Clara Schumann, Ich Stand in Dunklen Träumen, op.13 No. 1

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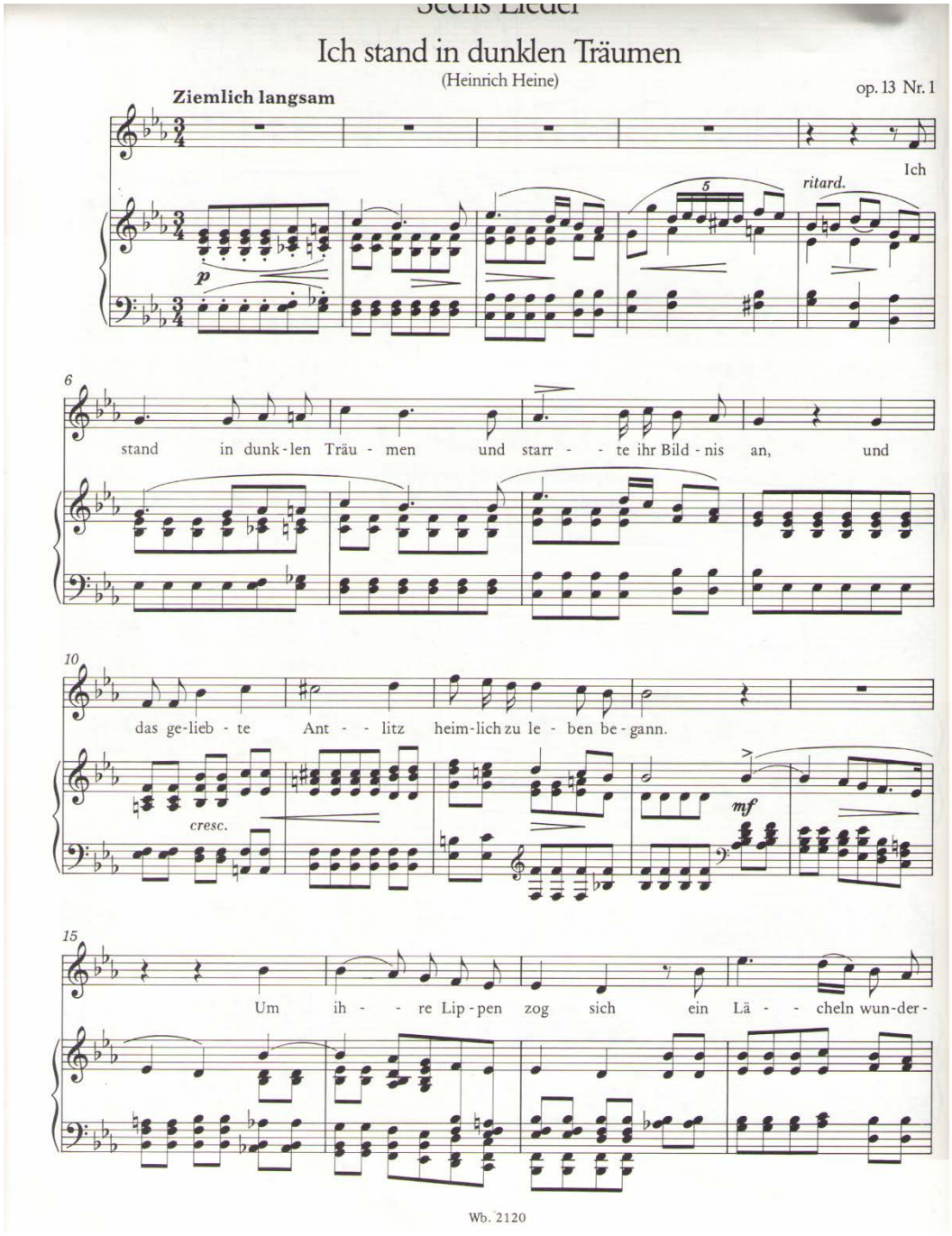

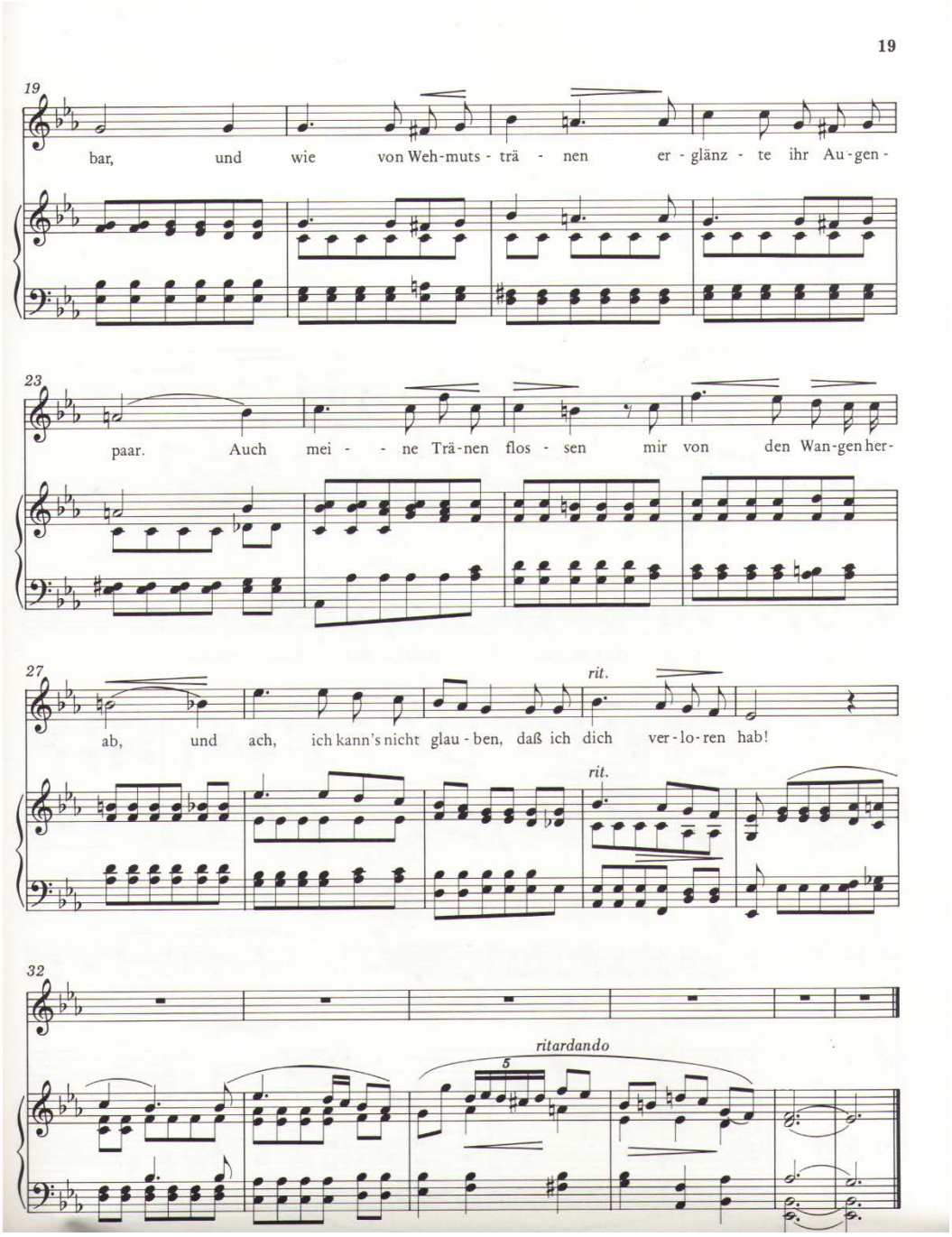
19
bar, und wie von Weh-muts - trä - nen er - glänz - te ihr Au - gen -
23
paar. Auch mei - - ne Trä-nen flos - sen mir von den Wan-gen her-
27
rit.
ab, und ach, ich kann's nicht glau - ben, daß ich dich ver - lo - ren hab!
rit.
32
ritardando
5

Appendix 3, Clara Schumann, Ihr Bildnis, Unpublished

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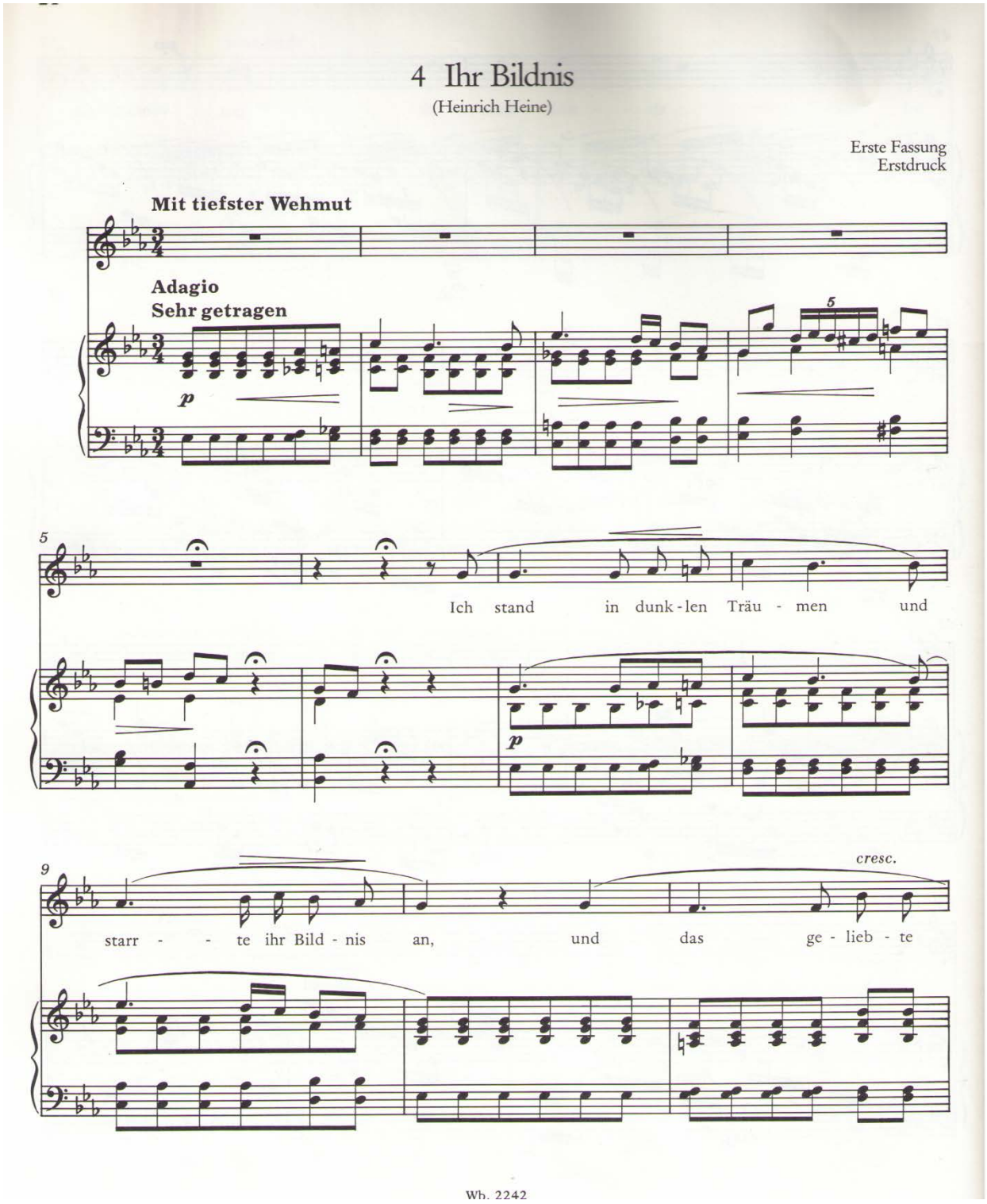
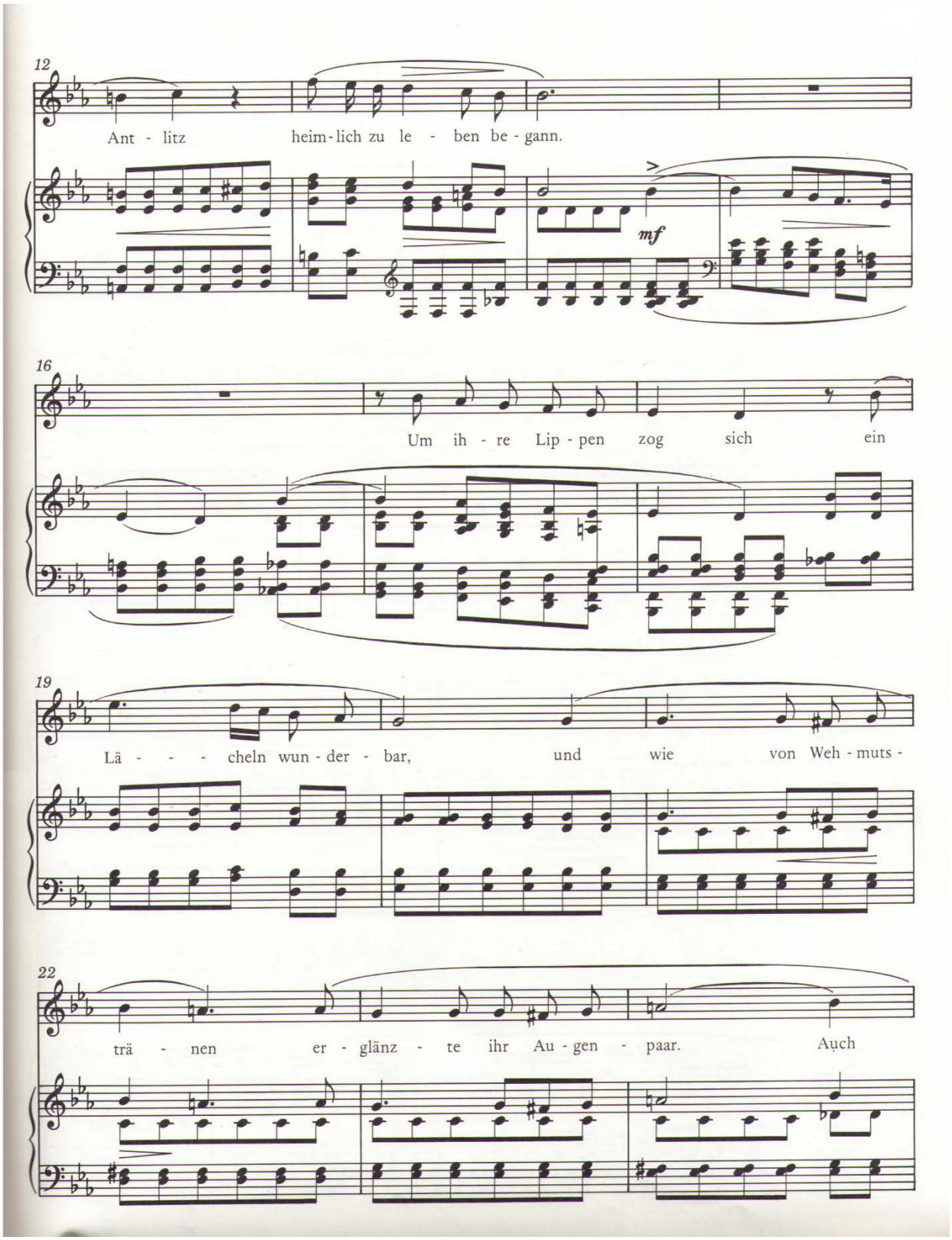
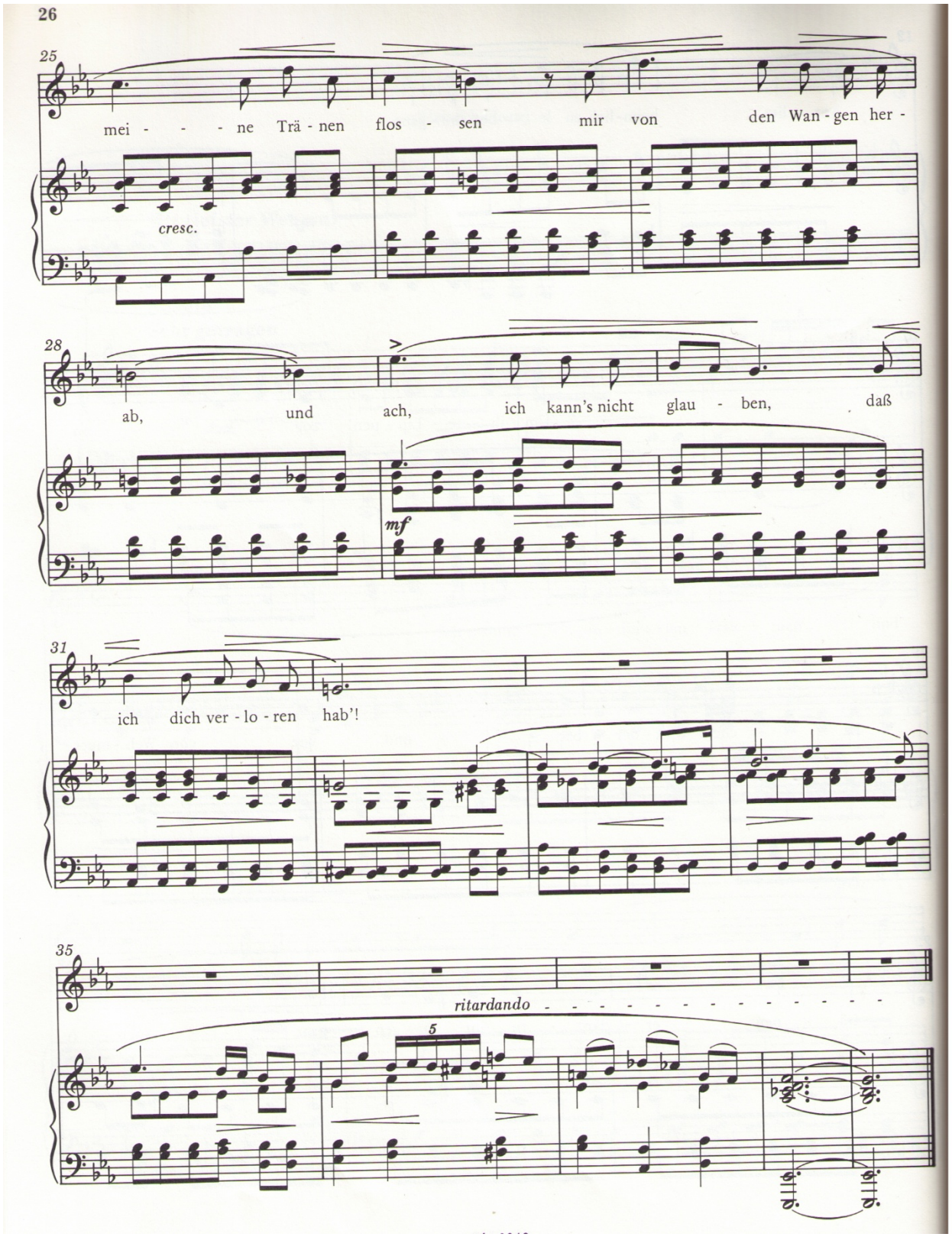



12
Ant - litz heim-lich zu le - ben be - gann.
mf
16
Um ih - re Lip - pen zog sich ein
19
Lä - - - cheln wun - der - bar, und wie von Weh - muts -
22
trä - nen er - glänz - te ihr Au - gen - paar. Auch


26
25
mei - - - ne Trä - nen flos - sen mir von den Wan - gen her -
cresc.
28
ab, und ach, ich kann's nicht glau - ben, daß
mf
31
ich dich ver - lo - ren hab'!
35
ritardando
5