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Mark Katz & Stephen Rumph, Reviews Editors

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NOTES TO CONTRIBUTORS

Beethoven Forum, a journal devoted to the work, life, and milieu of Ludwig van Beethoven, is published semiannually by the University of Illinois Press.

For matters of style, contributors should refer to this volume of *Beethoven Forum*. Submissions should be double-spaced (no single spacing in notes or extracts), with notes following the text; endnotes should incorporate the abbreviations given at the beginning of this volume. Once the editor and author have agreed to revisions, all final text, including figures, tables, etc., should be sent as attachment files. Musical examples require captions that provide titles, measure numbers (in the case of published works), and complete references to the source of sketch material; descriptive captions should be included on a separate page of example captions inserted in the text file but not within the digital files. The most preferable musical examples, transcribed into a music program (Finale is recommended), are saved as Tiffs at 1200–1500 dpi, or in EPS file format, with clearly defined file names including example numbers. Music examples should approximate a consistent size and style of music typesetting, and lyrics and other text within music should be in either Times or Times New Roman font. Scans from scores are not acceptable as music examples; however, camera-ready artwork, e.g., music sketches photographically reproduced and labeled as plates, can be submitted as high resolution Tiffs or pdfs (jpegs are discouraged).

Please submit three copies of the text (no disks until requested) to: Nicholas Marston, Editor-in-Chief, *Beethoven Forum*, King's College, Cambridge, CB2 1ST, United Kingdom.

Manuscripts of books and materials for review should be sent to Stephen Rumph, Reviews Editor, *Beethoven Forum*, School of Music, Box 353450, University of Washington, Seattle, WA 98195–3450. Page references to quoted copy cited from books under review should be included parenthetically in the text of the review.

Editor's Note

This thirteenth volume of *Beethoven Forum* appears during 2006, a year that will inevitably belong to Mozart. My editorial responsibility, though, commenced during 2005; and in the United Kingdom, at least, 2005 deserves to be remembered as having in some sense belonged to Beethoven. Not that there was a significant anniversary to be marked. Rather, this was the year in which BBC Radio 3, the publicly funded Corporation's principal arts and classical music station, chose to clear its usual schedule for the period 5–10 June in order to broadcast Beethoven's entire output in a mixture of recordings and live broadcasts. "The Beethoven Experience," as it was billed, was the first of a series of three such single-composer marathons (Webern, on the sixtieth anniversary of his death; and Bach, during the ten days leading up to Christmas), and was launched by an open-air performance of the *Musik zu einem Ritterballett* and *Wellingtons Sieg* on the grass at Hyde Park Corner, within sight of Apsley House, the Duke of Wellington's London home, and the Wellington Arch, at one time London's smallest police station.

The public response to this initiative—the first of its kind on the network—was overwhelmingly positive. And by far the most palpable index of the extent to which Beethoven's music caught the ear and imagination was the unexpected popularity of a series of free downloads of the nine symphonies in performances by the BBC Philharmonic and conductor Gianandrea Noseda. Released in two batches over a period of two weeks, these were downloaded nearly 1.4 million times; the Pastoral proved the most popular (220,461), the *Eroica* least so (89,300). "Beethoven bigger than U2" ran a headline in *The Guardian* during the following month, while *The Times* reported "free Beethoven downloads see off Crazy Frog and Coldplay." Elsewhere, Noseda was described as having become "an icon of iPod culture"; the recording industry, on the other hand, was less welcoming of the BBC's generosity and its unexpected consequences.

Beethoven hit the headlines again later in the year. Near the end of September, at the London offices of Sotheby's, I confronted a stiff, blue protective cardboard case containing what had hitherto been described to me merely as "a major Beethoven discovery . . . missing since the nineteenth century." What I drew from the case was, of course, the autograph of op. 134, Beethoven's transcription for piano duet of the *Grosse Fuge*. Invited audiences in New York and London were able to experience both the quartet and the duet version live in immediate succession, as we all waited for the sale on 1 December, when the manuscript passed to an anonymous bidder for £1.1 million. That anonymous bidder has since been revealed as Bruce Kovner, Chairman of the Juilliard School; and the further news that Kovner has donated his superb manuscript collection, including the op. 134 autograph, to Juilliard will be welcome news indeed to scholars throughout the world.

If the reappearance of the eighty-page op.134 autograph, seemingly undocumented since 1890, reminded us that a venerable tradition of Beethoven scholarship is by no means yet played out, Beethoven's embrace by the iPod generation invites us to consider the extent to which technological developments are reconfiguring the ways in which his music is disseminated, received, and experienced in the twenty-first century, and equally, the effects this may have on what Beethoven means to us. On the one hand, continuity; on the other, change. *Beethoven Forum* remains committed to recognizing both, supporting and celebrating the rich and ever-developing scholarly activity that both shapes and is shaped by the composer and his work.

I am indebted to my colleagues on the Editorial Board for their invitation to assume the Editorship in succession to Stephen Hinton; I thank Stephen for his guidance during the transitional period, and also Stephen Rumph, Mark Katz, and Christina Acosta for their work on this issue.

Nicholas Marston

Abbreviations

Literature

- Anderson Emily Anderson, ed., *The Letters of Beethoven*, 3 vols. (London: Macmillan, 1961; rpt. New York: Norton, 1985).
- Brandenburg Sieghard Brandenburg, ed., *Ludwig van Beethoven: Briefwechsel: Gesamtausgabe*, Beethovenhaus edn., 8 vols. (Munich: G. Henle Verlag, 1996–)
- BS I, BS II, BS III *Beethoven Studies*, ed. Alan Tyson, vol. 1 (New York: Norton, 1973); vol. 2 (Oxford: Oxford University Press, 1977); vol. 3 (Cambridge: Cambridge University Press, 1982)
- CB Karl-Heinz Köhler, Grita Herre, and Dagmar Beck, eds., *Ludwig van Beethovens Konversationshefte* [= Conversation Books], vols. 1–9 (Leipzig: VEB Deutscher Verlag für Musik, 1968–88), vols. 10–11 (1993, 2001)
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- N I Gustav Nottebohm, *Beethoveniana* (Leipzig and Winterthur: J. Rieter-Biedermann, 1872)

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- New Grove* *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, 20 vols. (London: Macmillan, 1980; 2nd edn. New York: Grove, 2001)
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- TDR I–V Alexander Wheelock Thayer, *Ludwig van Beethovens Leben*, vol. I (rev.) continued by Hermann Deiters (Berlin: Breitkopf and Härtel, 1901); vols. IV–V completed by Hugo Riemann (Leipzig, 1907, 1908), vols. II–III rev. Riemann (Leipzig, 1910, 1911), Deiters's 1901 edn. of vol. I rev. Riemann (Leipzig, 1917); vols. II–V re-issued (Leipzig, 1922–23)
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Journals

<i>Acta</i>	<i>Acta Musicologica</i>
AmZ	<i>Allgemeine musikalische Zeitung</i>
BJ	<i>Beethoven-Jahrbuch</i> (1908–1909) and <i>Beethoven-Jahrbuch, Zweite Reihe</i> (1953–)
JAMS	<i>Journal of the American Musicological Society</i>
JM	<i>The Journal of Musicology</i>
ML	<i>Music & Letters</i>
MQ	<i>Musical Quarterly</i>
NBJ	<i>Neues Beethoven-Jahrbuch</i>
19CM	<i>19th-Century Music</i>

Libraries

BL	British Library, London
BN	Bibliothèque Nationale, Paris
GDM	Gesellschaft der Musikfreunde, Vienna
SBK	Staatsbibliothek zu Berlin–Preußischer Kulturbesitz, Berlin

Presses and Publishers

(for citations in footnotes)

BH	Beethovenhaus
Cambridge UP	Cambridge University Press
Harvard UP	Harvard University Press
Oxford UP	Oxford University Press
Princeton UP	Princeton University Press
U Nebraska P	University of Nebraska Press
U California P	University of California Press
U Chicago P	University of Chicago Press
Yale UP	Yale University Press



Beethoven's Italian Trope: Modes of Stylistic Appropriation

Robert S. Hatten

Although Beethoven in the 1790s wrote several sets of variations based on Italian opera themes, his appropriation of Italian operatic style for selected movements of his sonatas and string quartets reveals a more sophisticated set of strategies ranging from expressive enhancement to parody.¹ Already in three “instrumental arias” composed between 1799 and 1802 we find passionate tragedy (op.18, no.1, movt. II), soulful yearning (op.22, movt. II), and playful mockery (op.31, no.1, movt. II). In each of these movements, Beethoven explores $\frac{9}{8}$ as an expansive metric framework, realizing an expressive potential for lyrical utterance that anticipates Schubert and the next generation of Italian opera composers (notably Bellini).²

1. Beethoven's piano variations in the 1790s on Italian opera tunes include sets on Paisiello's “Nel cor più non mi sento” (WoO 70, 1795) and Salieri's “La stessa, la stessissima” (WoO 73, 1799). The variation finale of his Trio in B \flat for Piano, Clarinet, and Cello, op.11 (1798), is based on a theme from Joseph Weigl's opera, *L'amor marinaro*.

2. In pursuing a micro-history of $\frac{9}{8}$ meter I am amplifying one portion of a fascinating story more fully documented by Hugh Macdonald in his article simply titled with the notation of G \flat major and $\frac{9}{8}$ meter on a treble staff (“G \flat / $\frac{9}{8}$ ” 19CM 11 [1988], 221–37). Macdonald's thesis is that “a taste for remote keys and triple rhythms occurred at much the same time in much the same body of music, often for much the same expressive purpose,” which does not assume any “simple or exclusive link between keys and rhythms” (p.237). A closer link between meter and harmony in Brahms is explored by David Lewin (“On Harmony and Meter in Brahms's Op.76, No.8,” 19CM 4 [1981], 261–65). I will not address linkages between $\frac{9}{8}$ meter and key or harmony, but I will link the emergence of this meter in Beethoven's music to his enhancement of Italian-opera-inspired lyric utterance.

Beethoven and $\frac{9}{8}$ Meter

The adaptation or assimilation of Italian operatic vocal style into instrumental works by German composers has a long history deserving a separate study. J. S. Bach expanded the style with his intricate and elaborate instrumental arias in works such as the slow movement of the Italian Concerto and Variation no.25 of the “Goldberg” Variations. Mozart, in his Italian operatic arias, creatively assimilated later eighteenth-century *seria* and *buffa* styles into a Viennese context and extended this assimilation to purely instrumental arias in the piano sonatas and concerti. By the end of the eighteenth century, Beethoven, notably by exploiting $\frac{9}{8}$ meter, was developing his own individual and Romantic appropriation that would also exceed contemporaneous Italian operatic models.

In Italian operas of the late eighteenth century, common time is the norm, with occasional *alla breve*, $\frac{2}{4}$, $\frac{3}{4}$, and far less often $\frac{3}{8}$. Compound time is indicated only for $\frac{6}{8}$, which is typically associated with either the pastoral *siciliana* (when slower) or the gigue or hunting music (when faster). There are exceptions, of course, such as Don Giovanni’s $\frac{6}{8}$ canzonetta, “Deh vieni alla finestra,” which evokes a serenade with mandolin. Pamina’s G-minor aria, “Ach, ich fühl’s” from *Die Zauberflöte*, is notable because of its seriousness in the context of a *Singspiel*, and because of its lyrical synthesis of Germanic and Italianate elements (ex.1a). The “heart-throbbing” accompaniment recalls the accompaniment to Mozart’s slow movement in F# minor from the Piano Concerto in A Major, K.488 (ex.1b), but the concerto movement’s characteristic dotted-eighth/sixteenth/eighth *siciliana* rhythm is absent in the aria.³ It is not long, however, before melismatic, Italianate elaborations are introduced (ex.1a, mm.12–15).

An adaptation of $\frac{3}{4}$ that hints at $\frac{9}{8}$, realized by an accompaniment in continuous triplets, is perhaps a transitional form in the emergence of $\frac{9}{8}$ in operatic contexts. An example is found in the slow movement of Beethoven’s String Trio, op.9, no.1.⁴ Heinrich Koch states that $\frac{9}{8}$ arises from the use of triplets in $\frac{3}{4}$. The first discussion

3. Mozart indicated “Adagio” in the autograph for the slow movement of the concerto, although most editions indicate “Andante”; see Philip Radcliffe, *Mozart Piano Concertos* (London: Ariel Music, BBC Publications, [1978] 1986), p.54.

4. Kerman’s transcription (*Ludwig van Beethoven: Autograph Miscellany from circa 1786 to 1799*, vol.II, ed. Joseph Kerman [London: British Museum, 1970], p.16) of a brief sketch of the Adagio from the String Trio in G, op.9, no.1, is shown with Beethoven’s ultimate choice of $\frac{3}{4}$ meter, not $\frac{9}{8}$, although the subdivision is consistent with groupings of three eighths, both in this very brief sketch and in the finished movement. Two other early examples of Beethoven exploring a “virtual $\frac{9}{8}$ ” are for Allegro movements; see sketches for the [Allegro? of the] Quintet for Wind Instruments and Piano, op.16 (interpretable as $\frac{3}{4}$ with continuous arpeggiated triplets), and a Composition [bagatelle?] in C

No. 17. AIRE.

Andante.

Flauto. 

Oboe. 

Fagotto. 

Violino I. 

Violino II. 

Viola. 

Pamina. 

Violoncello e Basso. 



12 rück! mei - nem Her - zen, mei - nem Her - zen mehr zu - rück!

13

14

15

16

Vcello.

Bassi.

Example 1a: Mozart, *Die Zauberflöte*, aria (Pamina), “Ach ich fühl’s,” mm. 1–5, 12–16.



Example 1b: Mozart, Piano
Concerto in A Major, K.488,
movt. II, mm. 1–4.

of this issue appears in his *Versuch einer Anleitung zur Composition* (1782–93) in a section on “vermischten Taktarten” (mixed meters).⁵ In his *Musikalisches Lexikon* (1802) he notes under the entry for $\frac{9}{8}$, “*Neunachteltakt* ist eine wenig gebräuchlich vermischte Gattung der ungeraden Taktart” ($\frac{9}{8}$ is a less common, mixed kind of uneven meter).⁶ But in his shorter *Handwörterbuch* (1807) he gives only a technical definition of *Neunachteltakt*, with no mention of its being less common.⁷ This may simply reflect the more condensed content and popular orientation of the latter publication, although it is tempting to conclude that the meter had become more established by then, at least in nonoperatic repertoire.⁸

for Piano (notated by Beethoven in $\frac{3}{4}$ with continuous triplets), in Kerman [1970], II, 39 and 104, respectively). On the other hand, by the time of the sketchbook Autograph 19e we find $\frac{9}{8}$ written in three different places in the sketches for the slow movement of op.22 (Vienna: PhA 230, fol.1^v, staves 7–8; Bonn: BH, Bodmer Collection BSk 25, fol.2^r, staves 1–2; and Berlin: SBB, Autogr. 19e, fol.27^v, stave 1; see Ludwig van Beethoven, *A Sketchbook from the Summer of 1800*, vol.II, ed. Richard Kramer [Bonn: BH, 1996], pp.61, 77, and 79, respectively). A qualitative difference is apparent between $\frac{3}{4}$ with fast arpeggiated triplets and $\frac{9}{8}$ with slow triplet accompaniment and varied melodic divisions, but the op.9, no.1 movement indicates Beethoven at a stage where even a slow movement with consistent triplet subdivisions could be notated in a generic $\frac{3}{4}$. This would change with the slow movements of op.18, no.1 (1799), and op.22 (1800).

5. (Leipzig: Bey A. F. Boehme, 1787), part II (1787), pp.322–31.

6. (Frankfurt: Hermann, 1802), col.1047.

7. *Kurzgefasstes Handwörterbuch der Musik für praktische Tonkünstler und für Dilettanten* (Leipzig: Hartknoch, 1807), p.242.

8. The earliest use of expanded compound meter I have found notated in the operatic repertoire of this era is French: the $\frac{12}{8}$ “Dance of the Virgins,” from Le Sueur’s *Ossian*, which premiered successfully on 10 July 1804, at the Paris Opéra. This ceremonial dance, marked “Allegretto molle,” suggests a doubling of $\frac{6}{8}$ into a hypermeasure (the dance is preceded by a $\frac{6}{4}$ “Air Fantastique”) rather than the lyrically expansive $\frac{12}{8}$ (or $\frac{9}{8}$) found a generation later in Bellini’s operas. A rare virtual $\frac{9}{8}$ found in Méhul’s first opera, *Euphrosine* (premiered 1790 at the Comédie-italienne in Paris) is the Andante

We know that Beethoven read Kirnberger's *Die Kunst des reinen Satzes in der Musik* (1771–79) as early as 1790.⁹ On his manuscript for *Klage*, an early Lied (WoO 113), Beethoven wrote out Kirnberger's distinctions between $\frac{2}{4}$ and *alla breve* based on their character and implied tempo. Kirnberger's discussion of $\frac{3}{4}$ and $\frac{9}{8}$, not cited by Beethoven, offers a slightly different perspective from Koch's, and he refers to the earlier gigue genre:

The $\frac{9}{8}$ meter of three triple beats that is derived from $\frac{3}{4}$ has the same tempo as $\frac{3}{4}$, but the eighth notes are performed more lightly than in $\frac{3}{4}$.

It is a mistake to consider this meter as a $\frac{3}{4}$ meter whose beats consist of triplets. He who has only a moderate command of performance knows that triplets in $\frac{3}{4}$ meter are played differently from eighths in $\frac{9}{8}$ meter. The former are played very lightly and without the slightest pressure on the last note, but the latter heavier and with some weight on the last note.¹⁰

$\frac{9}{16}$ meter of triple beats that is derived from $\frac{3}{8}$ was used in many ways by the older composers for gigue-like pieces that are to be performed extremely quickly and lightly. But it no longer occurs in contemporary music; $\frac{9}{8}$ meter appears in its place.¹¹

We can observe the difference between $\frac{3}{4}$ with triplets and $\frac{9}{8}$ by comparing two examples. In “E voi ridete?”, Mozart's “laughing” terzetto for Ferrando, Guglielmo, and Don Alfonso from *Così fan tutte*, the use of triplets in $\frac{3}{4}$ does not achieve a complete aural illusion of $\frac{9}{8}$; only the strings (and later the bassoon) play repeated-note triplets, whereas the vocalists subdivide in duple eighths (ex.2). By contrast, Beethoven's “aria” for string quartet in op.18, no.1 (though clearly not derived from a gigue) is notated as, and subdivides consistently in, $\frac{9}{8}$ in both melody and

duet for Alibour and Coradin from act II. The meter signature is 3 (= $\frac{3}{4}$), and the vocal line features noble dotted rhythms as the physician Alibour invokes the wisdom of Minerva, whereas the triplet subdivisions (suggesting $\frac{9}{8}$) in the accompanying strings feature irregular rests and accents, programmatically capturing the “illness” (l'amour!) as irregular heartbeats of the protagonist Coradin. By contrast, Cherubini's $\frac{3}{4}$ meters are for the most part duple subdivided, and his only uses of compound meter are $\frac{6}{8}$.

9. See Richard Kramer, “Notes to Beethoven's Education,” *JAMS* 28 (1975), 73–75; and Gustav Nottebohm, “Die Bonner Studien: Eine hypothetische Untersuchung,” in *Beethovens Studien* (Leipzig: J. Rieter Biedermann, [1873] 1971), pp. 3–18.

10. Johann Philipp Kirnberger, *Die Kunst des reinen Satzes in der Musik* (Berlin, 1771), portions translated as *The Art of Strict Musical Composition*, trans. David Beach and Jürgen Thym (New Haven: Yale UP, 1982), II, part 1, chap.4, p.396.

11. *Ibid.*, p.397.

[Molto Allegro.]

Fl. *p* *cresc.* *f*

Ob. *p* *cresc.* *f*

Fag. *p* *cresc.* *f*

Cor. in G *p* *cresc.* *f*

I. 14 15 16 17 18

Viol. *cresc.* *f* *p*

II. *cresc.* *f* *p*

Viola. *cresc.* *f* *p*

Fe. va - no. par - la - te in - va - no, par - la - te in - va - no.

G. va - no. par - la - te in - va - no, par - la - te in - va - no.

D.A. ri - de - te pia - no, pia - no, pia - no, pia - no!

Vc. *cresc.* *f* *p*

Cb. *cresc.* *f* *p*

Example 2: Mozart, *Così fan tutte*, terzetto (Ferrando, Guglielmo, Don Alfonso), “E voi ridete?,” mm.14–18.

accompaniment (ex.3).¹² Repeated-note triple subdivisions create a heavier (cf. Kirnberger, above), throbbing effect in Beethoven’s Adagio, not unlike the Mozart $\frac{6}{8}$ examples, but without the *empfindsamer* gasps of “Ach, ich fühl’s” (ex.1a). And although Mozart’s lyrical concerto movement in $\frac{6}{8}$ (ex.1b) still featured siciliana rhythms, Beethoven’s $\frac{9}{8}$ does not appear to be derived from any dance genre what-

12. Kerman (*Quartets*, pp.37–40) notes structural similarities between the sonata form of the slow movement of op.18, no.1, and the expanded binary form of the Adagio ma non troppo e cantabile

soever; rather, it is more likely to derive from a lyrical $\frac{3}{4}$ meter subjected to triplet subdivisions, as both Koch and Kirnberger attest, and to establish a new metric genre considerably different from the gigue-oriented $\frac{9}{8}$ and $\frac{12}{8}$ to which it is related by Kirnberger.

As appearing in a lyrical, operatic context, $\frac{9}{8}$ meter is thus rather new for Beethoven in 1799, the time of the quartet's composition. He next employs it for the slow movement of the Piano Sonata in B \flat , op.22 (1800), an instrumental aria in major (see ex.4). Although the searching, chromatically rising theme is perhaps not typical of Italian operatic melody, the ornamentation and the simple throbbing accompaniment certainly are. Tasteful extravagance underlines the movement's nobility of emotion. Although in a major key, it is filled with *empfindsamer* expressive techniques: in addition to the opening chromaticism there are extreme registral shifts (m.7), offbeat *sfs* (m.11), and sigh figures (mm.16–17, 22–23). Notice how Beethoven prepares the melodic leap of two octaves in m.7 by arpeggiated

Adagio affettuoso ed appassionato.

Example 3: Beethoven, String Quartet in F Major, op.18, no.1, movt. II, mm.1–5.

of the String Trio in G Major, op.9, no.1 (1796), a virtual $\frac{9}{8}$ movement that Beethoven notated in $\frac{3}{4}$. He also notes textural and thematic similarities with the equally operatic Adagio con molto espressione of Beethoven's Piano Sonata in B \flat , op.22 (notated in $\frac{9}{8}$, but in major). His association of these movements with Bellini's *Casta diva*, however, is clearly premature from a historical standpoint, as I will argue below. Although Kerman praises the technical accomplishment of the op.18, no.1, slow movement (p.41), he also criticizes its "sentimentality" and "emotionality" (p.36), and its failure "to sound the true note of tragedy" (p.41), due in part to its "grandiose gestures" (p.42). Whether or not one agrees with Kerman's critique, I think we can assume that Beethoven was at least sincere in his attempt to achieve a depth of emotion in this movement.

descent through the same registral space in m.6.¹³ The theme, with its high tone and Germanic earnestness, is further enhanced by the sweeping, cadenzalike fill of the cadence in mm.25–26.

The Trope of Parody and a Possible Model

Compared to the slow movement of op.22, the Adagio grazioso of the Piano Sonata in G Major, op.31, no.1 (1802) features not only an Italianate theme, but an embellishment so self-consciously exposed and exaggerated as to suggest a metacritical or ironic commentary on the Italian style (ex.5). William Kinderman notes that this slow movement has “an atmosphere of operatic elegance slightly overdone,” and that the “trills and ornate decorations, the serenadelike flavor, and the exaggerated

Adagio con molta espressione.

The musical score is for the second movement of Beethoven's Piano Sonata in B-flat Major, op.22. It is in 9/8 time and B-flat major. The tempo is 'Adagio con molta espressione.' The score shows measures 1 through 9. The right hand has a melody with a trill in measure 8. The left hand has a bass line with a trill in measure 8. The score is marked 'pp' (pianissimo) in measures 1 and 2. The tempo is 'Adagio con molta espressione.'

Example 4: Beethoven, Piano Sonata in B \flat Major, op.22, movt. II, mm.1–9.

13. Mozart employs this technique in, for example, Pamina's cadential elaboration in the $\frac{6}{8}$ duet, “Bei Männern,” from *Die Zauberflöte* (no.7, mm.44–47). I am grateful to Nicholas Marston for pointing out this example.

Adagio grazioso.

The musical score is for the second movement of Beethoven's Piano Sonata in G Major, op. 31, no. 1. It is in 3/8 time and consists of 16 measures. The tempo and mood are indicated as 'Adagio grazioso.' The score is written for piano and includes various musical notations such as slurs, ties, and dynamic markings. The measures are numbered 1 through 16. The first system (measures 1-4) starts with a piano (p) dynamic. The second system (measures 5-8) includes a fortissimo (sf) dynamic. The third system (measures 9-12) includes the instruction 'leggeramente.' (lighter). The fourth system (measures 13-15) and the fifth system (measure 16) continue the melodic and harmonic development.

Example 5: Beethoven, Piano
Sonata in G Major, op. 31,
no. 1, movt. II, mm. 1–16.

rhetoric convey a hint of sophisticated mockery.”¹⁴ Although the opening theme and its varied repetition clearly suggest witty stylization, Beethoven does not settle for parody alone. As he was later to do with a trivial waltz by Diabelli, Beethoven appears determined to rehabilitate this somewhat absurd theme with its initially extravagant treatment, until by the coda we have come to appreciate its gestures as more than mere surface sentimentality bordering on the trivial.

The Adagio grazioso, like the slow movement of op.22, is a $\frac{9}{8}$ “aria” in the major subdominant key of the sonata and features a simple accompaniment, typical of early Romantic opera (though we should remember that in 1802 Rossini was only ten years old, Donizetti five, and Bellini one). Beethoven’s rather mundane eight-measure theme is subjected to extravagant embellishment in its subsequent eight-measure variation (mm.9–16), with the theme humorously transferred to the bass in mm.9–12.

If this treatment suggests parody, then what operas might have served as a model? What operas could Beethoven have heard in Vienna in the decade spanning his arrival in 1792 and the composition of the Adagio grazioso? After the death in 1790 of Emperor Joseph II, Leopold undertook a radical transformation of musical theater in the capital.¹⁵ Although Joseph had discouraged the performance of Neapolitan opera at the Burgtheater, Leopold made it central to his Italianizing reform. One political motivation may have been the triple marriage in 1790 that cemented an alliance between Habsburg Vienna and Bourbon Naples, with Empress Marie Therese coming to Vienna from Naples.¹⁶ Composers such as Cimarosa, whose *Il matrimonio segreto* received fifty-five performances in Vienna between 1792 and 1800, were now featured.¹⁷ Paisiello, however, had been performed in Vienna throughout the 1780s, and in 1795 Beethoven had written a set of variations (WoO 70) on his “Nel cor più non mi sento.”¹⁸ But $\frac{9}{8}$ is not found in the Italian operas of Cimarosa and Paisiello, nor is it found in those of Ferdinando Paer, and these are thus unlikely models for the Adagio grazioso.¹⁹ Even Salieri,

14. Kinderman, *Beethoven* (Oxford: Oxford UP, 1995), p.75. Kinderman also notes that the *Andante favori* (WoO 57), originally intended as the slow movement of the “Waldstein” Sonata (op.53), features a central episode in B \flat that appears “highly operatic with an Italian flavor”; its extravagant treatment, including extensive subdivisions of its $\frac{3}{8}$ meter, may also suggest parody (personal communication).

15. John Rice, *Antonio Salieri and Viennese Opera* (Chicago: U Chicago P, 1998), p.508.

16. *Ibid.*, pp.508–09.

17. *Ibid.*, p.526.

18. John Rice, personal communication.

19. My search has not been exhaustive, and in any case “there are too many operas performed in Vienna that we simply know nothing about” (Rice, personal communication). But I suggest that the notation of $\frac{9}{8}$ for a lyrical aria (as opposed to a dance movement) was extremely rare, especially given the option of $\frac{3}{4}$ with triplets.

with whom Beethoven was studying from 1799 to 1801, was not writing anything like Beethoven's "instrumental arias" in $\frac{3}{4}$.²⁰

If the Adagio grazioso of op. 31, no. 1, were a parody of a specific operatic number, then it might well be one in $\frac{3}{4}$ with triplet accompaniment, since $\frac{3}{4}$ was not in common use in Italian opera of the time. A possible candidate is the cavatina "Oh quanto l'anima" (ex. 6), from *Lauso e Lidia*, a *dramma per musica* by Giovanni

Andantino grazioso.
Lovinski $\left[\frac{3}{4}\right]$

Oh quan - to l'a - ni-ma or - mi con - so - li

pizz. 3

stgs

pizz.

stgs

Example 6: Johann Simon Mayr, *Lodoiska*, cavatina (Lauro), "Oh quanto l'anima," transplanted from *Lauso e Lidia* for 1798 production in Vienna (transcribed by the author from a tape lent by John Rice).

20. Although Salieri was the most powerful proponent and exemplar of the Italian style in Vienna, his instruction of Beethoven focused primarily on the proper prosodic setting of Italian poetic texts by Metastasio, with whom Salieri had himself studied (Rice, *Salieri*, pp. 20–21). Beethoven may well have benefited from Salieri's authoritative instruction in proper accentuation and duration of syllables as applied to recitative, solo, duet, trio, quartet, and choral settings, but he clearly had no need of *musical* instruction. Wherever Salieri corrected text setting, one can observe that Beethoven improved his musical setting in ways that went beyond Salieri's limited suggestions. For examples, see the pages transcribed in Gustav Nottebohm, *Beethovens Studien, Bd. 1, Beethovens Unterricht bei J. Haydn, Albrechtsberger, und Salieri* (Niederwalluf bei Wiesbaden: M. Sändig, 1971 [1873]), pp. 206–26, and esp. 213–14. The immediate results of Beethoven's assimilation of this more conservative Italian style were three large-scale Italian numbers written in 1801–02, the trio *Tremate, empi, tremate* (op. 116), the incomplete *Grazie all'inganni*, and the duet *Nei giorni tuoi felici* (WoO 93), and ultimately the oratorio *Christus am Ölberge*, op. 85, completed in 1803, with its soprano aria, soprano and tenor duet, and trio for soprano, tenor, and bass (Barry Cooper, "Influences on Beethoven's Style," in Barry Cooper, Anne-Louise Coldicott, Nicholas Marston, and William Drabkin, *The Beethoven Compendium*, ed. Barry Cooper [London: Thames and Hudson, 1991], p. 80).

Simone Mayr, which received its premiere on 14 January 1798 in Venice and was also performed in Vienna in the same year.²¹

Mayr (1763–1845) is perhaps best known today as the teacher of Donizetti. Born Johann Simon Mayr in Bavaria, he moved to Italy at age twenty-six, in 1789, and settled there permanently, despite an often futile quest for high-level musical instruction.²² Although a relatively self-taught composer, he nonetheless moved progressively through the genres of song, cantata, and oratorio, until in 1794 he wrote his first opera, *Saffò*, a *dramma per musica* in two acts. Although *Saffò* was a success in Venice, Mayr remained devoted to church music and did not compose another opera until 1796, when he wrote the first version of *Lodoiska*, a *dramma per musica* in three acts. He transferred the cavatina “Oh quanto l’anima” from his later opera, *Lauso e Lidia* (1798), to *Lodoiska* for the latter’s performance in Vienna, also in 1798.²³ The cavatina became popular in Vienna (see below), and Beethoven might plausibly have been thinking of it as he conceived his *Adagio grazioso* in 1802.

John Rice observes that the $\frac{3}{4}$ cavatina (ex.6) has a triplet, broken-chordal accompaniment, producing the effect of $\frac{9}{8}$ (at least in the accompanimental rhythmic layer). Mayr’s melody is akin to the Beethoven theme only in that it begins with a trill (though on the second beat) and continues with triadic arpeggiation (though

21. I am extremely grateful to John Rice for directing me to this aria, and for his helpful guidance with other aspects of this study, as noted elsewhere. The premiere of *Lauso e Lidia* is listed as 14 February 1798 in some sources, but corrected to 14 January 1798 by Uta Schaumberg in *Die opere serie Giovanni Simone Mayrs, Bd. 2: Vorläufiges chronologisch-thematisches Verzeichnis [Mayr-Studien 3]* (Munich: Katzbichler, 2001), p.28, n.10.

22. For this and other biographical details, see John Stewart Allitt, “An Introduction to the Study of Mayr’s Life,” in *Beiträge des 1. Internationalen Simon-Mayr-Symposiums vom 2.-4. Oktober 1992 in Ingolstadt*, ed. Karl Batz (Ingolstadt: Danaukurier, 1995), pp.13–48.

23. Rice, personal communication. *Lodoiska* was further revised in 1800 for a production in Milan. Ronald Shaheen evaluates the impact of the Milan version as follows: “Undoubtedly, the stirring finale of the Milan *Lodoiska* played a large part in the opera’s overwhelming success. With its performance in opera houses throughout Italy and in other European capitals over the next twenty years, it helped to secure Mayr’s position as the preeminent opera composer of the time. The opera’s wide dissemination and popularity guaranteed that Mayr’s nuanced and multifaceted musical characterizations and his musico-dramatic structures would influence the succeeding generation of composers. In short, with his Milan *Lodoiska* Mayr turned what was a relatively conventional late eighteenth-century opera seria into a work that helped establish some of the essential elements of nineteenth century Italian melodrama” (“Mayr’s Revised *Lodoiska* as an Example of Stylistic Transition,” in *Johann Simon Mayr und Venedig [Mayr-Studien 2]*, ed. Franz Hauk and Iris Winkler [Munich: Katzbichler, 1999], p.199). “Oh quanto l’anima,” however, was not sung in the Milan production (Rice, personal communication).

on the dominant).²⁴ However, Uta Schaumberg has noticed that an extremely common opening motive in Mayr's arias is a tonic arpeggiation, $\hat{1}-\hat{3}-\hat{1}/\hat{5}$ (with $\hat{5}$ either above or below $\hat{1}$).²⁵ This formulaic melodic opening is found in another aria from *Lodoiska* (1796), as well as a terzetto from Mayr's *Telemaco sull'isola di Calipso* of 1797 (see exs.7a and 7b). Beethoven's theme may thus be better understood as an allusion to a stereotypical opening melodic gesture, rather than to a particular cavatina.

Beethoven's original sketch of the melody (see ex.8), appearing in the Kessler sketchbook (92^v, inserted in single staves 10–13), presents a melodically complete skeleton clearly notated in $\frac{9}{8}$ (the meter signature appears at the beginning of stave 1 and applies to the entire page). Absent are the trills in mm.1 and 3, the octave grace notes in m.5, the rhythmic syncopation of m.6, and of course the broken chordal accompaniment in groups of three eighths. The shift to the bass clef, with trills on the initial C and D of each subphrase, is given more fragmentarily on

Maestoso.
Lovinski

a. 

Allegro.
Calipso

b. 

Example 7a: Mayr, *Lodoiska*, aria (Lovinski), “La fra le stragi il sangue.”

Example 7b: Mayr, *Telemaco sull'isola di Calipso*, terzetto (Calipso's strophe), “Abbia la vita in dono.”

24. Rice, personal communication.

25. Uta Schaumberg, “Hier und da schreibt sich aber dieser beliebte Compositeur ganz ab . . .”: Parodie und Reminiszenz in Mayrs *opere serie*,” in *Werk und Leben Johann Simon Mayrs im Spiegel der Zeit* [Mayr-Studien 1; Beiträge des Internationalen musikwissenschaftlichen Johann Simon Mayr-Symposiums in Ingolstadt, 1995], ed. Franz Hauk and Iris Winkler (Munich: Katznbichler, 1998), pp.61–64.

[10] *9* *?*

[11] *?*

[12] *tr* **** ***** *tr*

[13] *tr* **** *****

* *9* signature appears only at top of page, beginning of the first staff; it applies throughout.

** Right slash is abbreviation for embellishing filler.

*** Left slash (or X) indicates crossed-out (rejected) idea.

Example 8: Beethoven's sketch for the melody of the Adagio grazioso from op. 31, no. 1 (Kessler sketchbook 92^v, excerpts from staves 10–13 transcribed by the author).

stave 12, and stave 13 picks up the decorated melody found in mm. 13–16.²⁶ The accompaniment may have been in mind from the start—so obvious it did not require notational prompting—but it appears as if Beethoven is concerned with working out the potential for elaborative parody of the melodic stereotype through both textural inversion and subsequent embellishment (the clearly marked trills), which occur in the second phrase. The most extravagant elaborations (mm. 10 and 12), however, are represented at this stage only by slashes.

Why might Beethoven have texturally inverted his theme in m. 9 and subjected it to such extravagant embellishment in mm. 10 and 12? Once again, there is a possible source of inspiration. In the 1798 Viennese production of *Lodoiska*, the leading

26. The remainder of the page provides a two-staff sketch of the retransition from section C to A (roughly mm. 58–64 in the score) and the transition to the coda (mm. 99–100 in the score). See *Ludwig van Beethoven: Kesslersches Skizzenbuch*, ed. Sieghard Brandenburg (Bonn: BH, 1976, 1978), II, fol. 92^v. Further fragmentary sketches are found on 95^r and 96^v (stave 8 of the latter features the fermata on the dominant with cadenzalike extension, found in mm. 26 and 90, and the trill has already been placed above the initial G).

role of Lowinski was sung by the famous castrato, Luigi Marchesi (1755–1829).²⁷ He apparently possessed a remarkable range with three distinct timbral tessituras (from acute soprano to robust mezzo and virile tenor). And he was noted for his bravura style, although often to the detriment of his cantabile abilities. He was apparently a master of improvisation and his trills were perfect, but he was accused of having an over-flowerly style.²⁸ As noted by Richard Mount-Edgumbe, a contemporary witness to Marchesi's first performances in England in 1788: "In recitatives, and scenes of energy and passion he was incomparable, and had he been less lavish of ornaments, which were not always appropriate, and had possessed a more pure and simple taste, his performance would have been faultless; it was always striking, animated, and effective."²⁹ Could it have been Marchesi's extreme range that Beethoven parodies with his transfer of the melody to the bass? Could it have been Marchesi's overly extravagant ornamentation that Beethoven parodies with his extreme embellishments? And might even the impeccably timed trills with which the theme begins suggest Marchesi's perfect trills? When combined with the parallels between Beethoven's melody and Mayr's melodic stereotype, and the general structural similarities between Beethoven's setting and the virtual $\frac{9}{8}$ of Mayr's $\frac{3}{4}$ cavatina, the convergence of evidence is compelling, though not conclusive, that Mayr's style—if not a specific cavatina—provided the basis for Beethoven's parody.

Mayr's cavatina may have been included in a bizarre Quodlibet Symphony by Paul Wranitzky, Empress Marie Therese's concertmaster and a prolific composer. The Quodlibet was performed in the middle of the carnival season in Vienna, on 28 January 1802.³⁰ It was designed to portray a concert like those organized at court by the Empress. As Rice notes, "the 'Cavatina auß der Lodoiska' that Marchesi sang on 27 December 1801 [also for Marie Therese] was probably 'Oh quanto l'anima'."³¹ If so, it would likely have appeared as number 9 in Wranitzky's third movement, entitled "Ein Quodlibet." This movement consists of a medley of eleven arrangements, beginning with folk songs and continuing with arias, ballets,

27. Rice, *Salieri*, p. 595.

28. Rice, "Sense, Sensibility, and Opera Seria: An Epistolary Debate," *Studi musicali* 15 (1986), 101–38.

29. Richard Mount-Edgumbe, *Musical Reminiscences* (2nd edn. London: R. Clarke, 1827), p. 67; cited by Rice, "Sense, Sensibility," p. 113.

30. Rice, *Salieri*, p. 560; Rice, *Empress Marie Therese and Music at the Viennese Court, 1792–1807* (Cambridge: Cambridge UP, 2003), pp. 103–05.

31. Rice, *Empress Marie Therese*, pp. 104–05.

and even an overture from popular operas by Paisiello, Mozart, Weigl, Salieri, Mayr, and Haibel. Although Beethoven is not likely to have heard this private performance of Wranitzky's symphony, the probable inclusion of "Oh quanto l'anima" provides compelling evidence of its popularity, as singled out from the opera, among Viennese audiences by 1802—the year Beethoven composed the op.31 Sonatas.³²

The case for parody in the slow movement of op.31, no.1 may also be made from a contextual analysis. The sonata features bizarre syncopations in the opening theme of the first movement (ex.9). The syncopations may whimsically suggest a performer who is unable to play both hands simultaneously.³³ A similar witty effect is found between cello and piano in the development section of the finale of Beethoven's late Sonata for Piano and Cello, op.102, no.1 (mm.79ff.). The idea of close displacement is carried to a comical extreme in the coda of the first movement of op.31, no.1, leaving the listener with an impression of bizarre and eccentric humor just prior to hearing the Adagio grazioso. The finale, while not as eccentric or parodic as the first or second movements, takes a folklike theme from its initially pastoral setting to an increasingly contrapuntal complexity, thereby sharing in the general tendency toward "extravagance" in this Sonata.



Example 9: Beethoven, Piano
Sonata in G Major, op.31,
no.1, movt. I, mm.1–11.

32. Rice, personal communication.

33. Richard Kramer suggests several further interpretations, including "intentionally perverse anticipation," "highly stylized *anacrusis*," "written-out *agogic* accent," or "simply as a thing in and of itself." See "'Sonate, que me veux-tu?': Opus 30, Opus 31, and the Anxieties of Genre," in *The Beethoven Violin Sonatas: History, Criticism, Performance*, ed. Lewis Lockwood and Mark Kroll (Urbana: U Illinois P, 2004), p.50.

Why might Beethoven have wanted to suggest a parody of Mayr's style—or its interpretation by the famous *musico* Marchesi? Was Mayr's style merely a convenient example of Italian opera, a popular genre that Beethoven both disparaged for its triviality yet admired for its capacity to express extravagantly grand, romantic emotions?³⁴ If Beethoven's slow movement is a metacritique of a style that, like the Diabelli waltz, Beethoven found trivial, then in the working out of this movement Beethoven apparently found something of value in his model, as well, since he lavishes great care on a very Germanic development of his seven-part ABACABA rondo form. The brief B section features contrapuntal coalescence onto a minor ninth, in a dissonant enhancement of the familiar sequence, V/ii–ii, V–I (ex. 10a). By contrast, the central, C section is more tonally daring, first shifting to C minor

The musical score for Example 10a consists of two systems of piano and bass staves. The first system covers measures 16 to 18. Measure 16 is marked *pp*. Measure 17 is marked *cresc.* and *pp*. Measure 18 is marked *sf*. The second system covers measures 19 to 22. Measure 19 is marked *pp*. Measure 20 is marked *cresc.* and *pp*. Measure 21 is marked *sf*. Measure 22 is marked *p*. Below the staves, the key signature changes are indicated: C: V m9/ii, V m9, and I.

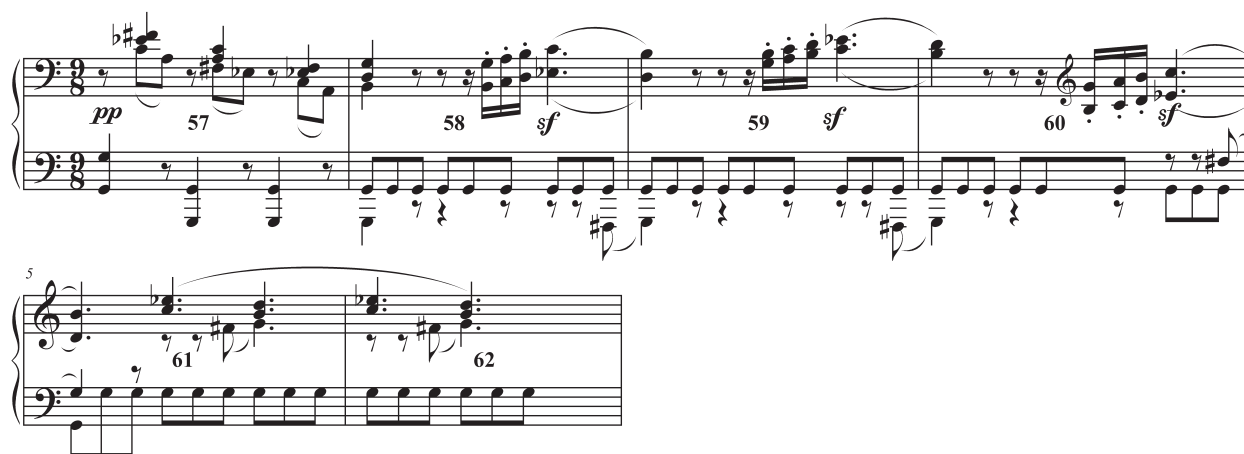
Example 10a: Beethoven, Piano Sonata in G Major, op. 31, no. 1, movt. II., First episode, mm. 16–22.

34. We know that Beethoven in his later years expressed admiration for Rossini's comic operas (if not his serious ones). Rossini was introduced to Beethoven by the poet Carpani in April 1822. According to Rossini's version of the encounter, recounted to Wagner in 1860 and recorded by Edmond Michotte in *Souvenirs personnels: La Visite de R. Wagner à Rossini* (Paris, 1860) (Paris, 1906), trans. Herbert Weinstock (Chicago: U Chicago P, 1968), Beethoven congratulated Rossini on *The Barber of Seville*, which he had enjoyed reading, but advised him: "Never try to do anything but opera buffa; wanting to succeed in another genre would be trying to force your destiny" (p. 44). Rossini also noted Beethoven's admiration for Cimarosa's comic style and for Pergolesi's *La Serva Padrona* (in preference to the latter's *Stabat Mater*). In 1825, however, Beethoven archly commented to Karl Gottlieb [Gottfried?] Freudenberg that "[Rossini's] music suits the frivolous and sensuous spirit of the time, and his productivity is such that he needs only as many weeks as the Germans do years to

The musical score is written for piano and consists of five systems of music. The first system (measures 36-37) begins with a piano (*pp*) dynamic. The second system (measures 38-39) includes a crescendo (*cresc.*) and a forte (*f*) dynamic. The third system (measures 40-41) features a *diminuendo* marking and a *fp* dynamic. The fourth system (measures 42-43) continues with a *fp* dynamic. The fifth system (measures 44-45) concludes with a *fp* dynamic. The score includes various musical notations such as slurs, ties, and dynamic markings.

Example 10b: Beethoven,
Piano Sonata in G Major,
op. 31, no. 1, movt. II., Second
episode, mm. 36–45.

and then launching a $\hat{5}$ – $\hat{6}$ contrapuntal ascent that modulates to A \flat major for the development of a more intensely mocking theme (note the peremptory grace notes and the obsessive chordal repetitions in ex.10b). In the retransition a neighboring vii $^{\circ 7}$ /V intensifies the dominant prolongation in C minor (ex.10c). And the return of the rondo theme is further varied with a rhythmic diminution of the accompaniment, as motivated by the middle developmental episode (ex.10d). Beethoven has not only appropriated an Italian style but outdone its effects, subjecting the theme to an increasingly more sophisticated treatment that fulfills the premise of parody and ultimately transcends the theme's triviality by demonstrating its capacity to generate a more extended discourse. By the end of the movement, the listener may well sense that Beethoven has successfully absorbed and transformed his original model, and that the initial parody has been worked through to achieve in the coda a more elegant and satisfying sublimation.



Example 10c: Beethoven, Piano Sonata in G Major, op. 31, no. 1, movt. II., Retransition, mm. 57–61.

write an opera.” See Peter Clive, *Beethoven and His World: A Biographical Dictionary* (Oxford: Oxford UP, 2001), pp. 293–94. Thayer does not mention the date of this meeting in April 1822, and he refers to Karl Gottfried Freudenberg; see Thayer-Forbes, pp. 804–05 and 955–56, respectively.

Example 10d: Beethoven,
Piano Sonata in G Major,
op. 31, no. 1, movt. II., Elabo-
rated return of the rondo
theme, mm. 65–69.

Later Examples of Beethoven's Appropriation of Italian Operatic Style

In Beethoven's last two violin sonatas we find nonparodistic expressions of an Italian operatic style of embellishment when the Italian style appears as a *topic* for a character variation: in the first variation of the increasingly diminutional Andante con Variazioni of the “Kreutzer” Sonata, op. 47 (1803) and the fifth variation, Adagio espressivo, of the finale of op. 96 (composed in 1812 but probably revised for publication in 1815).³⁵ The op. 96 variation (ex. 11) is similar in texture and theme to the slow movement of op. 22. The variation fits the schema of luxuriant penultimate Adagio variation, and certainly the elaboration here is anything but trivial—it deepens our sense of the theme's potential, as though heard from the inside, perhaps as a “contemplative transformation,” in Kinderman's poetic characterization.³⁶

However, even when Beethoven appropriates an operatically inspired ornamental style in an *initial* variation, as in the “Kreutzer” set (exs. 12a and 12b), the elaborations take the hymnlike theme and topically enrich it, without trivialization,

35. For arguments concerning a probable revision, see Sieghard Brandenburg, “Bemerkungen zu Beethovens Op. 96,” BJ 9 (1976/77), 11–26.

36. Kinderman, *Beethoven*, p. 165.

endowing it with a sense of textural fulfillment that I have elsewhere termed “plenitude.”³⁷ The trope of the “Kreutzer” variation is quite remarkable, and it attests to Beethoven’s fusion of light, Italian-style figuration with deeper, German-style hymn texture. If one examines the slow movements in Beethoven’s sonatas (for violin and cello as well as piano), the theme is most often texturally or topically related to the hymn or chorale.³⁸ Even when a broken-chord texture is used, it is always with a strong contrapuntal relationship between soprano and bass, as exemplified by the Adagio cantabile of op. 13. The theme of the “Kreutzer” variation movement (ex. 12a) features warm, parallel-sixth-framed chords over a pedal bass, and by m. 5

Andante con Variazioni.

Andante con Variazioni.

1 2 3 4 5 6 7 8

9 10 11 12 13 14 15 16

Example 12a: Beethoven,
Sonata for Violin and Piano in
A Minor, op. 47 (“Kreutzer”),
movt. II., Theme, mm. 1–16.

37. Hatten, *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (Bloomington: Indiana UP, 2004), p. 43. Beethoven’s exploitation of $\frac{9}{8}$ meter may also be justified in terms of plenitude, given the greater textural and rhythmic depth that an expansive compound meter could afford. A parallel is perhaps found in Brahms’s use of $\frac{6}{4}$ in his piano concerti.

38. In these slow movements, Beethoven’s appropriation of Italian operatic ornamentation and elaboration as a means of embellishing a more Germanic theme yields an effective hybrid; compare the Adagios of the sonatas in F Minor, op. 2, no. 1, and C Minor, op. 10, no. 1.

the sequential coordination of bass and soprano in contrary motion provides more contrapuntal textural support. The template here is Beethoven's preferred cantabile and hymnic style; the topical addition of operatic embellishment in variation 1 (ex.12b) is thus grounded in the sentiment of the theme. The opposite situation is found in the *Adagio grazioso* of op.31, no.1, where extravagant embellishment of a somewhat commonplace theme yields parody.

Beethoven's use of $\frac{9}{8}$ (and $\frac{9}{16}$) in his late style (Variation 4 in $\frac{9}{8}$ from the finale of op.109; the theme in $\frac{9}{16}$ from the finale of op.111) suggests a derivation from Bach's own triple-metered arias.³⁹ In the "Diabelli" Variations, the last C-Minor

VAR. I.

The musical score for Variation I of the Sonata for Violin and Piano in A Minor, op. 47 ("Kreutzer") by Beethoven, is presented in two systems. The first system (measures 1-5) shows a treble staff with a melodic line and a bass staff with a rhythmic accompaniment. The second system (measures 6-10) continues the piece with more complex rhythmic patterns and dynamics. The score includes various musical notations such as triplets, slurs, and dynamic markings like "sempre piano", "p", and "sf".

Example 12b: Beethoven,
Sonata for Violin and Piano in
A Minor, op.47 ("Kreutzer"),
movt. II., Variation I, mm.1–8.

39. Later uses of $\frac{9}{8}$ in Beethoven vary widely. The middle movement of the Piano Sonata in G Major, op.79, is an *Andante barcarolle* in G minor. Variation no.4 of the finale of the Piano Sonata in E Major, op.109, suggests a Baroque-inspired imitative and pastoral fantasy.

Variation (no. 31, in $\frac{9}{8}$) exhibits a depth and intimacy linking it to the G-Minor Variation no. 25 (in $\frac{3}{4}$) of the “Goldberg” Variations. Its extensive diminutions in compound meter, extravagant without the mockery of parody, also lend it an expansiveness akin to the slow movement of Bach’s Italian Concerto; and its initially throbbing accompaniment is reminiscent of Mozart’s accompaniment of Pamina’s aria (and the slow movement of K. 488). Beethoven found still other ways to exploit compound meters for expansiveness, as in the $\frac{6}{8}$ slow movement of the “Hammerklavier” Sonata. The progressive diminutions of the Andante variations from the “Archduke” Piano Trio in B \flat , op. 97, lead a hymnlike $\frac{3}{4}$ theme through an implied $\frac{9}{8}$ (triplet figuration) on the way to sixteenth and ultimately triplet-sixteenth diminutions. A less consistent but related procedure lends transcendence to the $\frac{12}{8}$ variation movement of the String Quartet in E \flat , op. 127. In these two variation sets the move toward texturally replete figuration creates a suffusion of plenitude; the diminutions of the “Diabelli” Variation no. 31, by contrast, are more personalized embellishments taking a more irregular course.

When Beethoven eventually attaches the operatic title Cavatina to an instrumental movement—the fifth movement of the String Quartet in B \flat , op. 130 (ex. 13a)—its theme will be completely free of the kind of embellishing intrusion that the *musico* Marchesi too readily supplied in the performance of Mayr’s cavatina in Vienna. Beethoven withholds a more typically operatic accompaniment until the later, disruptive episode (ex. 13b), in which $\frac{3}{4}$ is transformed into a virtual $\frac{9}{8}$ with throbbing, repeated-note triplets. The intent is to create an expressive trope of unprecedented intensity, suggesting a shift to a more intimate, interior space. The first violinist as solo protagonist is *beklemmt* (oppressed, uneasy) to a degree that the *empfindsamer* broken declamation of the line is created not only by rests but by an extraordinarily dissociated rhythmic/metric layer. The tiny, irregular diminution in m. 44 is heard not as mere diminution but as a charged chromatic collapse after a melodic reversal, suggesting the inward *frisson* of a spiritually shaken subjectivity. This highly original effect is perhaps reminiscent of melodrama, in that the first violinist “speaks” against an operatic backdrop of pulsing harmonies.

Conclusion

Three early examples of Beethoven’s sophisticated use of $\frac{9}{8}$ meter occur in “operatic” slow movements (op. 18, no. 1, op. 22, and op. 31, no. 1). This meter is at least extremely rare, if not absent, in the operas of his time, since its occasional use would typically appear as $\frac{3}{4}$ subdivided into triplets. Although the slower $\frac{6}{8}$ siciliana tradition

Cavatina.
Adagio molto espressivo.
sotto voce

Example 13a: Beethoven,
String Quartet in B \flat , op.130,
movt.V (Cavatina), Theme,
mm.1–10.

(as lyrically enhanced in Mozart) may have provided an inspiration, Beethoven appears to have made a contribution of his own with the innovation of $\frac{9}{8}$ meter in the context of a slow tempo supporting a lyrical utterance. Historically, $\frac{9}{8}$ was typically lively and topically akin to a gigue, as in Bach's Invention no.10 in G, or the twenty-fourth variation of the "Goldberg" Variations.⁴⁰ Beethoven's more

40. Bach also occasionally uses $\frac{9}{16}$ for a Gigue movement, as in the D-major keyboard Partita, and there is an odd $\frac{9}{8}$ Double of the $\frac{3}{4}$ Sarabande from the B-minor solo violin Partita. Regularity of metric figuration is well illustrated by Bach's $\frac{12}{8}$ "Seufzer, Tränen, Kummer, Not" from Cantata no.21, "Ich hatte viel Bekümmernis," of 1714. Here, the variety of contour and the opposition of arpeggiation and sigh figures take the place of variation by diminution. The $\frac{9}{8}$ tenor aria, "Komm, Jesu, komm zu deiner Kirche," from Cantata no.61 ("Nun komm, der Heiden Heiland") has con-

The musical score is for a string quartet in B-flat major, 3/8 time. It consists of two systems of four staves each. The first system covers measures 37 to 42, and the second system covers measures 43 to 45. Above measure 40, there is a tempo change indicated as $(= \frac{9}{8})$. The section is titled "Beklemmt." above measure 42. Dynamics include *p*, *cresc.*, *pp*, and *sempre pp*. Measure numbers 37, 38, 39, 40, 41, 42, 43, 44, and 45 are placed above their respective measures. The notation includes various rhythmic figures, including triplets and sixteenth-note patterns.

Example 13b: Beethoven,
String Quartet in B \flat ,
op. 130, movt. V (Cavatina),
“Beklemmt” section (mm.
40–45).

lyrical and operatic adaptation surprisingly anticipates both Schubert and early-nineteenth-century Italian opera composers’ use of $\frac{9}{8}$ and even $\frac{12}{8}$.⁴¹

Beethoven’s appropriations of Italian operatic style may be interpreted with reference to both *topic* and *trope*. Topically, we find both characteristic texture and thematic type in the op. 31, no. 1, theme, but merely characteristic embellishment in the first variation of the “Kreutzer” movement. Tropologically, we find the extremes

sistent, gentle eighth-note figuration, creating a more pastoral context for this invocation of Jesus as spiritual shepherd. The $\frac{6}{8}$ soprano and bass duet, “Wann kommst du, mein Heil?” from Cantata no. 140 (“Wachet auf”), features a solo piccolo violin that begins with siciliana rhythmic gestures and continues with thirty-second-note diminutions. To summarize, not only did Bach exhibit fluency in all possible meters, he exploited a wide range of possible styles within each meter.

41. Donizetti persists in using triplets in $\frac{3}{4}$ to create a “virtual” $\frac{9}{8}$ meter; Bellini actually utilizes the compound signatures of $\frac{9}{8}$ and $\frac{12}{8}$. Schubert, perhaps representing a transitional period, is somewhat

of playful *parody* with the extravagant embellishment of a commonplace theme in op.31, no.1, *plenitude* with the extravagant embellishments of a sincere theme in the “Kreutzer,” and *painful, intimate disclosure* with the use of a virtually unembellished, *empfindsamer* broken line over an obviously operatic $\frac{3}{8}$ accompaniment in the *beklemmt* episode of the op.130 Cavatina. By these various means, Beethoven adapts a style for which he evidently felt a degree of ambivalence—critiquing its weaknesses through parody, yet realizing its potential through a series of highly original recontextualizations.

inconsistent. He typically distinguishes clearly between the use of triplets as diminutions of simple meters, but there are exceptions: the first section of the Impromptu in E \flat major, D.899, no.2, could have been properly notated in $\frac{9}{8}$, although it would have necessitated a meter change for the second section in $\frac{3}{4}$. One finds a full-fledged compound signature of $\frac{12}{8}$ for the first movement of the Piano Sonata in G Major, D.894. The famous “Ave Maria,” D.839, is written in common time because its melodic subdivisions, and the first level of diminutions in the accompaniment, are duple. Interestingly, the Impromptu in G \flat Major, D.899, no.3, with its analogous accompanimental subdivisions, is notated in double *alla breve*. Compare the meticulous notation in the opening section of “Horch, wie Murmeln des empörten Meeres” (second version), D.583—simultaneous use of $\frac{12}{8}$ for the piano and common time for the singer, although the piano shifts to common time at the Allegro—with the more casual designation of common time throughout for both voice and piano in “Sehnsucht,” D.879, even though the piano accompaniment is continuously subdivided into a virtual $\frac{12}{8}$. Conversely, “Die junge Nonne,” D.828, is properly notated in $\frac{12}{8}$ throughout.

Nicole Biamonte

Between 1809 and 1820 Beethoven composed settings for 179 folk-song melodies, the majority of them Irish, Scottish, and Welsh.¹ While there have been documentary and bibliographical studies concerning this repertoire,² analytical studies are far fewer. The most comprehensive analyses of the settings to date are found in Petra Weber-Bockholdt's *Beethovens Bearbeitungen britischer Lieder* and to a lesser degree in Barry Cooper's *Beethoven's Folksong Settings*,³ which is primarily historical in focus but includes a consideration of the formal structures of the settings, motivic development within them, and—most germane to this study—Beethoven's treatment of “irregular” melodies. In this essay I examine the surprisingly small number of Beethoven's modal folk-song

1. Beethoven set 150 songs from Britain and twenty-nine from the Continent: op.108 (Scottish), WoO 152–54 (Irish), WoO 155 (Welsh), WoO 156 (Scottish, one English), WoO 157 (mostly British, two Italian), WoO 158a (Continental), WoO 158b (British), WoO 158c (British, one French), and eleven uncatalogued settings.

2. Felix Lederer, *Beethovens Bearbeitungen schottischer und anderer Volkslieder* (Bonn: L. Neuendorff, 1934); Cecil B. Hopkinson and C. B. Oldman, *Thomson's Collections of National Song, with Special Reference to the Contributions of Haydn and Beethoven* (Edinburgh: R. & R. Clark, 1940); Alan Tyson, *The Authentic English Editions of Beethoven* (London: Faber and Faber, 1963); Willy Hess, “Handschriftensammelbände zu Beethovens Volksliederbearbeitungen” in *Beiträge zur Beethoven-Bibliographie*, ed. Kurt Dorfmueller (Munich: G. Henle, 1979), pp.88–103; Marianne Bröcker, “Die Bearbeitungen schottischer und irischer Volkslieder von Ludwig van Beethoven,” in *Jahrbuch für musikalische Volks- und Völkerkunde* 10 (1982), 63–89.

3. Petra Weber-Bockholdt, *Beethovens Bearbeitungen britischer Lieder* (Munich: Fink, 1994); Barry Cooper, *Beethoven's Folksong Settings: Chronology, Sources, Style* (Oxford: Clarendon Press, 1994).

settings and categorize them by harmonization type, superimposing a theoretical framework on the continuum between tonality and modality.

The analytical neglect of these arrangements stems from the view, less widely held today than in the past but nonetheless still prevalent,⁴ that they were compositional hackwork based on materials from musical traditions with which Beethoven was largely unfamiliar, containing little, if any, of his artistry. This valuation is reflected by their position in the *New Grove Dictionary* works list, in which the folk-song settings are placed at the extreme end, following “Miscellaneous Works” and even “Works of Doubtful Authenticity.”⁵ As Cooper has shown, however, Beethoven himself came to regard these commissions as serious works.⁶ I will show that his solutions to the compositional problems presented by the melodies can shed light on his harmonic thinking and his creative process in general.

Almost all of Beethoven's folk-song settings result from his work for George Thomson (1757–1851), an amateur editor and publisher in Edinburgh who had already commissioned similar arrangements from Ignaz Pleyel and Leopold Koze-luch, whose work was unsatisfactory, and then from Joseph Haydn, whose health had deteriorated too far to continue. In July 1806, Thomson first suggested setting folk songs to Beethoven,⁷ who agreed in November of that year,⁸ but specific terms were not settled until late 1809. The first group of completed arrangements was returned to Thomson in July 1810. Over the course of the following decade, Beethoven composed 179 settings and sent all but two of them to Thomson (two settings of Austrian melodies were offered only to Simrock in Bonn).⁹ Thomson finally discontinued Beethoven's folk-song commissions in 1820 when it proved that, despite the composer's eventual grudging efforts to make them more easily playable, they were not commercially successful. While Thomson lamented his lost investment,¹⁰ he continued to commission settings from Carl Maria von Weber,

4. For example, in the first edition of his biography *Beethoven*, Maynard Solomon described the settings as “of little value,” an assessment he amended in the second edition to “of somewhat mixed value.” Compare Solomon, *Beethoven* 1st edn. (1977), p.297 with the 2nd edn. (1998), p.388.

5. Douglas Johnson and Scott Burnham, “Beethoven,” *Works*, *Grove Music Online*, ed. L. Macy, www.grovemusic.com.

6. Cooper, *Beethoven's Folksong Settings*, pp.198–201.

7. Brandenburg, no.253 (1 July 1806), I, 286 (summary; original unknown).

8. Brandenburg, no.259 (1 Nov. 1806), I, 290–92.

9. For more details, see Cooper, *Beethoven's Folksong Settings*, esp. chap.2, “Compositional Chronology,” pp.11–38.

10. “All my gold ducats, about 700 of them, have been thrown away, besides the expense of engraving, printing, and paper!” (letter from Thomson to William Smyth on 29 August 1821, quoted in Cooper, *Beethoven's Folksong Settings*, p.43).

Johann Nepomuk Hummel, the English composer Henry R. Bishop, and the Scottish composer G. F. Graham.

Thomson's goal was to publish selected traditional songs of the British Isles in simple arrangements suitable for amateur performance. To this end, with the ostensible aim of preserving the songs, Thomson bowdlerized or replaced texts deemed overly vulgar, insufficiently picturesque, or otherwise deficient. It is worth noting that in many cases even the original texts and melodies available to Thomson had been recently written by English composers affecting an ersatz Scottish folk style; nonetheless, many of these were later adopted in Scotland as genuine.¹¹ It is also worth noting that many of the folk songs existed in multiple versions of the melody, title, and text, which makes identification of a single original problematic at best. Thomson acknowledged this difficulty in the preface to the first volume of *A Select Collection of Original Scottish Airs* (1804), containing arrangements by Pleyel and Kozeluch, and described his criteria for selecting the melodies, which privileged contemporary taste over authenticity:

The first object was to procure the Airs in their best form. What their precise *original* form may have been, cannot now be ascertained. Although we go back to the earliest printed Collection, it is far from certain that the Airs are there presented to us as they came from the Composers; for they had been preserved, we know not how long, by oral tradition, and thus were liable to changes before they were collected. Nor is it at all certain that the earliest Collectors had industry to seek, opportunity to find, and musical taste to select and hand down the Airs in their most approved form. It is certain, however, that, in the progress of the Airs to modern times, they have in some parts been delicately moulded by judicious Singers, into a more simple and pleasing form than that given to them by the early Publishers. . . . In selecting the Airs, the Editor not only consulted every Collection, old and new, comparing the same Airs in each, but availed himself of the communications of such intelligent friends as he knew to have been conversant with their native music; and he invariably chose that set or copy of every Air, whether printed or manuscript, which seemed the most simple and beautiful, freed, he trusts, from vulgar errors on the one hand, and redundant graces on the other.¹²

11. For more on this topic, see Hugh Trevor-Roper, "The Invention of Tradition: The Highland Tradition of Scotland" in *The Invention of Tradition*, ed. Eric Hobsbawm and Terence Ranger (Cambridge: Cambridge UP, 1983), pp. 15–41; and David Johnson, *Music and Society in Lowland Scotland in the Eighteenth Century* (London: Oxford UP, 1972), esp. "National Songs," pp. 130–49.

12. From the preface to *A Select Collection of Original Scottish Airs for the Voice*, ed. George Thomson, vol. I (Edinburgh: G. Thomson, 1803), p. 1.

For many songs Beethoven was not sent the intended text, which often was not yet written, and the English language of which he would not have understood without assistance—let alone the Scottish dialect. He repeatedly demanded the texts from Thomson, however, arguing that he could not compose proper arrangements without them,¹³ and as Cooper points out, he described his settings as compositions,¹⁴ which suggests that he took the commissions seriously. Responding to one of Thomson's many requests that he simplify his accompaniments, Beethoven placed the settings implicitly on a level with his other works when he testily declared: "I am not accustomed to retouching my compositions; I have never done so, certain of the truth that any partial change alters the character of the composition. I am sorry that you are the loser, but you cannot blame me, since it was up to you to make me better acquainted with the taste of your country and the little facility of your performers."¹⁵

For each melody Beethoven was given a tempo marking and sometimes the title or general affect of the song. He supplied piano accompaniments with introductions, postludes, and internal ritornellos; optional parts for other voices, violin and cello; adaptations of the violin parts for flute; and in a few instances, vocal cadenzas. In many settings Beethoven consciously invoked a folk idiom through foreground primitivist devices such as drone-bass pedal points, independent $\frac{6}{4}$ chords that create a sense of harmonic naiveté, and appoggiaturas and other unprepared dissonances. On the other hand, there are many instances of secondary deceptive cadences, chromatic chords, and complex melodic and rhythmic figurations that are more typical of his canonical works.

What effect was Beethoven seeking to evoke in his settings of the folk-song melodies? By his own admission, he considered the settings to be both art music and music for the people: "I shall strive to make the compositions as easy and agreeable as I can, as far as this accords with the elevation and originality of style which by your own admission characterizes my works so advantageously, and from

13. See Brandenburg, no.409 (23 Nov. 1809), II, 91; no.457 (17 July 1810), II, 141; no.515 (20 July 1811), II, 206; and no.556 (29 Feb. 1812), II, 248.

14. Cooper, *Beethoven's Folksong Settings*, p.198.

15. "Je ne suis pas accoutumé de retoucher mes compositions; Je ne l'ai jamais fait, pénétré de la vérité que tout changement partiel altere le Caractere de la composition. Il me fait de la peine que Vous y perdes mais Vous ne sauriez m'en imputer la faute, puisque c'étant à Vous de me faire mieux connoître le gout de Votre pays & le peu de facilité de vos executeurs" (Brandenburg, no.623 [19 Feb. 1813], II, 321). Nearly all of their correspondence is in French, which was the closest they had to a common language.

which I shall never lower myself.”¹⁶ Unfortunately, the resulting works had too much art in them for Thomson’s public; he complained that Beethoven “composes for posterity . . . he has been too learned and eccentric for my purpose.”¹⁷ Cooper has asserted that the reason behind the perceived difficulties with Beethoven’s settings is that he was composing in an experimental vein and was willing “to risk something primitive or awkward, rather than lapse into harmony that was too predictable and conventional.”¹⁸ Dahlhaus’s observation on the role of folk music in the development of nineteenth-century harmony is apposite to a consideration of Beethoven’s folk-song harmonizations:

Folk music was integrated into the context of nineteenth-century harmonic writing, but because it was originally monodic (or performed in heterophonic variants) it resisted assimilation into the well-worn formulas of major-minor tonality; for that very reason it challenged composers to invent unusual harmonies, to make experiments that in turn affected harmony in music unconnected with folk music, and so influenced the mainstream of developments. The experimentation had the advantage, moreover, of having a goal, of being undertaken in response to a specific, well-defined problem.¹⁹

In this way, a construct that was originally melody-driven was incorporated into a harmony-driven system of tonality, transforming it while becoming transformed in the process. As noted above, some of the older folk-song melodies had already been modified to conform better to major-minor tonality, and Thomson encouraged Beethoven to make similar emendations wherever necessary: “If you find in any of the airs a passage which appears disagreeable to you, and which you could ameliorate by a slight change, you are at liberty to do so.”²⁰ Apart from trivial adjustments of rhythm, however, Beethoven let the melodies stand unchanged—with one exception.

16. “Je m’efforcerai de rendre les compositions faciles et agréables autant que je pourrai, et autant que cela peut s’accorder avec cette Elévation et cette originalité du Style, qui selon votre propre aveu caractérisent mes ouvrages asses avantageusement, et dont je ne m’abaisserai jamais” (Brandenburg, no. 259 [1 Nov. 1806], I, 290).

17. Letter from Thomson to William Smyth on 29 August 1821, quoted in Cooper, *Beethoven’s Folksong Settings*, p. 43.

18. Cooper, *Beethoven’s Folksong Settings*, p. 149.

19. Carl Dahlhaus, *Between Romanticism and Modernism*, trans. Mary Whittall (Berkeley and Los Angeles: U California P, 1980), p. 97.

20. “Si vous trouvez dans quel que ce soit des airs un passage qui vous paroit desagréable, et que vous pourriez ameliorer par un leger changement; vous êtes en liberté de la faire” (Brandenburg, no. 605 [21 Dec. 1812], II, 300).

His only known alteration was to a single pitch in the melody of *Lochnagar* (WoO 156/9), a purportedly Scottish folk song actually written by the English composer Maurice Greene (1696–1755).²¹ Example 1 shows the final A section of the AABA' form. The melody on the top staff was published by Thomson in an 1804 setting by Pleyel; Beethoven's 1818 setting is shown below it.²² (Note: this and all following examples are reductions of Beethoven's vocal and instrumental parts.)

Beethoven changed the second note in m. 19 from B \flat to B \natural , which he placed in the bass on the downbeat of that measure, transforming the first half of m. 19 from stable tonic harmony to a strongly directional applied dominant, V/iv, and effectively classicizing the diatonic folk syntax. In like manner, Beethoven set scale degrees $\hat{5}$ – $\hat{8}$ leading into m. 17 not with the obvious V–i but with V⁷/VI–VI. This reharmonization is somewhat surprising, since the preceding three phrases all open with the same ascending-fourth gesture supported with dominant and tonic, but it serves to integrate harmonically the B section, which begins in the relative major (B \natural) prepared by the submediant (E \flat).

Beethoven's classicization of a diatonic folk melody illustrates another perceived problem with the settings: they straddle two musical traditions without properly belonging to either. Reconciling the monodic folk tradition with the

Tho' ca-ta-racts foam 'stead of smooth flowing foun-tains, I sigh for the va'ley of dark Loch-na-gar!

17

g: V4/VI VI i6 V7 i V6/iv iv V6 - 5 i
3 4 5 4 - 3

Example 1: Melody of *Lochnagar* and Beethoven's setting (WoO 156/9), mm. 17–20.

21. Described by Cooper in *Beethoven's Folksong Settings*, pp. 59, 129.

22. Tune: *Sweet Annie frae the Sea Beach Came*. Thomson replaced the original text with Byron's *Lochnagar*.

harmonic Classical one was not necessarily an easy task. Indeed, when Kozeluch received Thomson's first group of melodies to be set, he sent them straight back, confident that they must have been full of copyist's errors.²³ Beethoven himself complained:

There are some songs which do not succeed without some trouble, although one does not hear this when playing or looking at them, for example [*Sunset*]; one very quickly finds harmonies to harmonize such songs, but [when considering] the simplicity, the character and the nature of the tune, to succeed is not always so easy for me as you perhaps believe; one finds an infinite number of harmonies, but only one is consistent with the genre and the character of the melody.²⁴

Sunset, Beethoven's example of a troublesome melody to harmonize, is Aeolian. The British tradition of modal folk tunes—most commonly, Aeolian, Dorian, and Mixolydian—is well documented,²⁵ yet of all the folk-song melodies Beethoven set, only twenty are modal, and of those, three are Continental rather than British. The rest of the melodies, like nearly all of Beethoven's harmonizations, are unambiguously major or minor. This tonal bias may well have been a consequence of Thomson's aesthetic criteria, as explained in the preface to *A Select Collection of Original Scottish Airs* quoted earlier.

Of the modal melodies, fifteen are versions of Aeolian, three are Mixolydian, and two are variants of major or minor for which there exists no ready classification. Table 1 presents the heptatonic and hexatonic modes as alterations of tonal scales and keys, which is how they came to be viewed in the nineteenth century.

23. James C. Hadden, *George Thomson, the Friend of Burns* (London: J. C. Nimmo, 1898), p.298.

24. "[I]l y a des chansons, qui ne reussent pas sans quelque peine, quoiqu'on ce n'entend pas en jouant et aussi en voyant par Exemple comme No. 2, on trouve bien vite des harmonies pour harmoniser des telles Chansons, mais la simplicité, le Caractère la Nature du chant, pour y reussir, ce n'est pas toujours si facile comme vous peut-être croyes de moi, on trouve un Nombre infinie des Harmonies, mais seulement une est Conforme au genre et au Caractère de la Melodie" (Brandenburg, no.1244 [21 Feb. 1818], IV, 174).

25. See Herman Reichenbach, "The Tonality of English and Gaelic Folksong," *ML* 19 (1938), 268–79; Bertrand H. Bronson, "Folksong and the Modes," *MQ* 32 (1946), 37–49; Cecil J. Sharp, *English Folk Song: Some Conclusions*, rev. Maud Karpeles (Belmont, Ca.: Wadsworth, 1965); and Harold S. Powers and James Cowdery, "Mode, §IV, 2: Modal Scales and Melody Types in Anglo-American Folksong," *Grove Music Online*. Norman Cazden rejects Sharp's modal hexatonic category as simply ornamented pentatonic. See Cazden, "A Simplified Mode Classification for Traditional Anglo-American Song Tunes," *Yearbook of the International Folk Music Council* 3 (1971), 60–61 and 64–65.

Table 1: Modes in a Tonal Context

HEPTATONIC MODES			HEXATONIC MODES ¹	
mode	equivalent scale	key signature	mode	equivalent scale
minor	natural minor with $\sharp\hat{7}$		minor/Aeolian	natural minor with no $\hat{7}$
Phrygian	natural minor with $\flat\hat{2}$	(+1 \flat or -1 \sharp)	Phrygian/Aeolian	natural minor with no $\hat{2}$
Aeolian	natural minor		Aeolian/Dorian	natural minor with no $\hat{6}$
Dorian	natural minor with $\sharp\hat{6}$	(-1 \flat or +1 \sharp)	Dorian/Mixolydian	natural minor with $\sharp\hat{6}$, no $\hat{3}$ or major with $\flat\hat{7}$, no $\hat{3}$
Mixolydian	major with $\flat\hat{7}$	(+1 \sharp or -1 \sharp)	Mixolydian/Ionian	major with no $\hat{7}$
Ionian	major		Ionian/Lydian	major with no $\hat{4}$
Lydian	major with $\sharp\hat{4}$	(-1 \flat or +1 \sharp)		

1. This system is a simplification of one presented in Bronson, "Folksong and the Modes," based in turn on Annie Gilchrist, "Note on the Modal System of Gaelic Tunes," *Journal of the Folk Song Society* 4 (1910-13), 150-53.

The hexatonic modes can be viewed as gapped seven-note scales that have two potential identities because the "missing" scale degrees are undefined. Such dual classifications have also been used for melodies that use two forms of a scale degree.

The two modes listed on the first line, minor and minor/Aeolian, have a different scale structure than the others, which are all rotations of the major scale. None of the modes in the table has a diatonic leading tone except for Ionian, which is equivalent to major, and Lydian, which is rare in this repertoire (as is Phrygian). Thus, against the background of major-minor tonality, triads such as v and \flat VII that feature the subtonic rather than the leading tone can function as expressions of modal harmony. Indeed, these are the only two harmonies that distinguish Aeolian from minor and Mixolydian from major. Other characteristically modal harmonies are the major subdominant in Dorian and the flat supertonic (when not serving as a dominant preparation) in Phrygian.

Table 2 shows the modal melodies Beethoven arranged, categorized by his approach to harmonizing them. This table is an expansion of one presented in Cooper²⁶ that lists modal melodies, double-tonic melodies, and melodies that have irregular endings but are otherwise tonal, which have not been included here.²⁷

26. Cooper, *Beethoven's Folksong Settings*, p.155.

Table 2: Beethoven’s Settings of Modal Folk-song Melodies

Title (Origin, Date)	Scale Type	Phrase Endings	Harmonization
TONIC/RELATIVE HARMONIZATION: $\flat\hat{7}, \hat{5}, \hat{3} \rightarrow \hat{5}, \hat{3}, \hat{1}$			
<i>The Monks of Bangor’s March</i> ¹ (Welsh, 1809–10)	C Aeolian (minimal $\hat{6}$)	$\hat{2}-\hat{4}, \flat\hat{7}-\hat{5}, \hat{4}, \flat\hat{3}-\hat{1}$	C minor/ $E\flat$ major
<i>They Bid Me Slight My Dermot Dear</i> (Irish, 1809–10)	D Aeolian	$\hat{3}-\flat\hat{7}, \hat{1}, \flat\hat{7}, \hat{1}$	D minor/F major
<i>The Morning Air Plays on My Face</i> (Irish, 1809–10)	G minor/Aeolian ($\flat\hat{7}/\flat\hat{7}$, no $\hat{6}$)	$\downarrow\flat\hat{7}-\hat{5}, \hat{3}, \downarrow\flat\hat{7}-\hat{5}, \hat{1}$	G minor/ $B\flat$ major
<i>Oh! Who, My Dear Dermot</i> (Irish, 1812–13)	B Aeolian (minimal $\hat{6}$)	$\downarrow\flat\hat{7}-\hat{5}, \hat{1}, \downarrow\hat{5}-\hat{3}, \hat{1}$	B minor/D major
<i>O Mary Ye’s Be Clad in Silk</i> (Scottish, 1814–15)	A Aeolian/Dorian (no $\hat{6}$)	$\downarrow\hat{5}-\flat\hat{7}, \hat{3}, \downarrow\hat{5}-\flat\hat{7}, \hat{1}$	A minor/C major
<i>O Soothe Me, My Lyre</i> (Irish, 1816)	G Aeolian	$\downarrow\flat\hat{7}-\downarrow\hat{3}, \hat{5}-\hat{1}, \hat{5}-\hat{3}, \hat{5}, \hat{1}$	G minor/ $B\flat$ major
<i>The Highland Watch</i> (Scottish, 1816–17)	G Aeolian/no upper $\hat{6}$	$\downarrow\flat\hat{7}, \hat{1}, \downarrow\flat\hat{7}, \hat{1}, \downarrow\flat\hat{7}, \hat{1}$	G minor/ $B\flat$ major
SUBTONIC SEQUENCE			
<i>Sir Johnie Cope</i> (Scottish, 1817)	G Aeolian (minimal $\hat{6}$)	$\hat{5}-\hat{1}, \hat{2}, \flat\hat{7}-\hat{2}, \hat{1}, \flat\hat{7}, \hat{2}, \hat{2}, \hat{1}$	G minor/ $B\flat$ major
<i>Highlander’s Lament</i> (Scottish, 1820)	E Aeolian/Dorian (no $\hat{6}$)	$\downarrow\flat\hat{7}, \hat{1}, \downarrow\flat\hat{7}, \hat{1}$	E minor/G major
MEDIANT SEQUENCE			
<i>Sunset</i> (Scottish, 1818)	A Aeolian (minimal $\hat{6}$)	$\hat{2}, \hat{1}, \hat{5}, \hat{1}$	A minor/C major
“WRONG-KEY” HARMONIZATION:			
SUBDOMINANT			
<i>The Old Strain</i> (Welsh, 1809–10)	D Mixolydian	$\hat{1}, \hat{2}, \hat{1}$	G major/B minor
<i>Judy, Lovely, Matchless Creature</i> (Irish, 1813)	F major with $\flat\hat{7}/\flat\hat{7}$, no $\hat{3}$	$\downarrow\flat\hat{7}, \hat{1}, \downarrow\flat\hat{7}-\hat{5}, \hat{1}$	$B\flat$ major/F major
<i>Vo lesochke komarochkov</i> , ² (Russian, 1816)	G Mixolydian	$\hat{4}-\hat{8}-\flat\hat{7}, \hat{1}$	C major
OTHER			
<i>Highland Harry</i> (Scottish, 1814–15)	E Aeolian	$\downarrow\flat\hat{7}-\downarrow\hat{2}, \hat{1}, \downarrow\flat\hat{7}, \hat{1}$	D major
<i>Poszta baba po popiół</i> (Polish, 1816)	B Phrygian/Aeolian ($\flat\hat{2}/\flat\hat{2}$)	$\hat{1}, \hat{1}, \hat{6}-\hat{4}, \hat{1}$	G major/G Lydian
LIMITED-RANGE HARMONIZATION: $\hat{1} \hat{2} \hat{3} \hat{4} \hat{5}$			
<i>Lilla Carl: Vaggvisa</i> (Swedish, 1816–17)	A minor/no $\hat{6}$, no $\hat{7}$	$\hat{1}, \hat{1}, \hat{2}, \hat{1}$	A minor/no $\hat{6}$, no $\hat{7}$
MODAL HARMONIZATION			
<i>Lament for Owen Roe O’Neill</i> (Irish, 1810)	G Aeolian/Dorian ($\flat\hat{6}/\hat{6}$)	$\downarrow\flat\hat{7}-\hat{5}, \hat{1}, \downarrow\flat\hat{7}, \hat{1}$	G Dorian/F major
<i>The Return to Ulster</i> (Irish, 1810)	F minor/Aeolian ($\flat\hat{7}/\hat{7}$)	$\downarrow\flat\hat{7}, \hat{1}, \hat{5}, \hat{1}$	F Aeolian
<i>Save Me from the Grave and Wise</i> (Irish, 1812–13)	F Mixolydian/no $\hat{6}$	$\hat{4}-\hat{2}, \hat{4}-\hat{2}, \hat{4}-\hat{2}$	F Mixolydian
<i>Come Fill, Fill, My Good Fellow</i> (Irish, ³ 1817)	G Aeolian/Dorian (no $\hat{6}$)	$\hat{1}, \hat{1}, \hat{1}$	G Aeolian

1. This is a retranslation of the Welsh title *Ymdaith Mwnge* or *Ymdaith y Mwnge*, which was translated in the 1780s from the original English title, *General Monck’s March*. Prys Morgan, “From a Death to a View: the Hunt for the Welsh Past in the Romantic Period,” in *The Invention of Tradition*, ed. Eric Hobsbawm and Terence Ranger (Cambridge: Cambridge UP, 1983), p.78.

2. First published under the German title “Im Walde sind viele Mücklein geboren” in Beethoven, *Neues Volksliederheft: 23 tiroler, schweizer, schwedische, spanische, und andere Volksweisen*, ed. George Schünemann (Wiesbaden: Breitkopf & Härtel, 1941).

3. Originally published by Thomson as Scottish.

The songs are in chronological order within each category. The majority of the tunes consist of four symmetrical four-measure phrases, the most common schemes being AABA and ABCB. The single or paired numbers with downward arrows in the third column refer to scale degrees below the tonic.

Beethoven harmonized all of the Aeolian-based melodies in the tonic/relative category by alternating between a pair of relative keys; in each case the first key listed is the governing tonic. In the first subcategory, most of the melodies cadence on lowered $\hat{7}$ in conjunction with $\hat{5}$ or $\hat{3}$, which strongly suggests $\hat{5}$, $\hat{3}$, and $\hat{1}$ in the key of the relative major. Cecil Sharp noted that “a pathetic rise up to the minor seventh of the scale through the fifth” was characteristic of English folk airs,²⁸ and he also commented on the tendency of contemporary musicians to harmonize Aeolian melodies partly in the relative major.²⁹ In his *Origins of the Popular Style*, Peter van der Merwe describes the “equally pathetic” descent from the seventh to the fifth as standard in folk music³⁰ and identifies a ladder of thirds extending up to the seventh above the tonic and down to a third below as the underlying framework of this melody type.³¹

In the second tonic/relative subcategory, subtonic sequence, the two Scottish melodies feature a gesture characteristic of that folk tradition: a melodic motive sequenced down a whole step, which Norman Cazden has called “subtonic juncture.”³² Songs based on this pattern are sometimes referred to as double-tonic tunes, although this designation has also been used for the first tonic/relative type, which seems more appropriate since the term suggests oscillation between two keys rather than two chords. Beethoven recognized the harmonic implications of the melodic sequence in these songs, but in both cases treated the subtonic as V/III. *Sunset*, the melody that Beethoven found problematic, is in a subcategory by itself (mediant sequence) and is discussed below.

In the settings in the second category, “wrong-key” harmonizations, Beethoven

27. Every scale degree except $\hat{4}$ can be found as a final: $\hat{2}$ in *Save Me from the Grave and Wise* (WoO 154/8), *The Maid of Isla* (op.108/4), and *From Garyone* (WoO 152/22 and 154/7); $\hat{3}$ in *Dim, Dim Is My Eye* (op.108/6); $\hat{5}$ in *Paddy O'Rafferty* (WoO 153/14) and *Sympathy* (op.108/10); $\hat{6}$ in *O Soothe Me, My Lyre* (WoO 153/7); and $\hat{7}$ in *Bonny Laddie* (op.108/7).

28. Sharp, *English Folk Song: Some Conclusions*, p.84.

29. Ibid., p.48.

30. Peter Van der Merwe, *Origins of the Popular Style: The Antecedents of Twentieth-Century Popular Music* (Oxford: Clarendon Press, 1989), p.173.

31. Ibid., pp.124–25.

32. Cazden, “A Simplified Mode Classification for Traditional Anglo-American Song Tunes,” pp.65–66.

minimized the modal implications of the melodies by reassigning the tonic.³³ Three are Mixolydian melodies set in the key of the subdominant; two of these—*The Old Strain* and *Vò lesochke komarochkov*—have clear subdominant biases that likely inspired their harmonizations. Two melodies with flexible scale degrees are in the “wrong-key” category: *Judy, Lovely, Matchless Creature*, with $\flat\hat{7}/\sharp\hat{7}$ (ex.2), and *Poszła baba po popiół* (ex.11), with $\flat\hat{2}/\sharp\hat{2}$. Both are recast so that the flexible scale degree is $\hat{4}$, but the occurrences of $\sharp\hat{4}$ function as leading tones to $\hat{5}$, rather than creating a Lydian inflection (which is also the case in the chorale sections of the *Heiliger Dankgesang* from op.132, although a Lydian interpretation of this work is more plausible because of the absence of the perfect fourth).

The third category contains a lone setting in which both melody and harmony are confined to scale degrees $\hat{1}$ through $\hat{5}$, save for a single brief instance of lowered $\hat{6}$ in the introduction. Five settings in the table are more typically hexatonic, comprising Aeolian or Mixolydian scales with no sixth degree: *The Morning Air Plays on My Face* (ex.3), *O Mary Ye’s Be Clad in Silk* (not shown), *Highlander’s Lament* (ex.9), *Save Me from the Grave and Wise* (ex.16), and *Come Fill, Fill, My Good Fellow* (ex.17). Because the sixth degree is not defined, the four minor-mode melodies are classified as “Aeolian/Dorian” in the table. There is no dual categorization for the hexatonic melody of *Save Me from the Grave and Wise*, which is Mixolydian with no sixth degree, because the two possibilities, Mixolydian and Mixolydian $\flat\hat{6}$, do not belong to the same scale type. Mixolydian is the fifth mode of major, while Mixolydian $\flat\hat{6}$ is the fifth mode of melodic minor. Since none of Beethoven’s harmonizations are hexatonic, these melodies have not been placed into a separate group. The final category lists four settings of Irish melodies that feature distinctive modal-marker harmonies, such as the subtonic and minor dominant.³⁴

Tonic/Relative Harmonizations

The opening phrases of the melodies in the tonic/relative category are the most consistently modally inflected, often cadencing prominently on lowered $\hat{7}$, which

33. The earliest example of a “wrong-key” harmonization in Beethoven’s music is the well-known *thème russe* from the first “Rasumovsky” String Quartet, op.59, no.1, composed in 1806, before he began work on the folk-song settings. The original folk melody is in D Aeolian with an emphasis on the lowered seventh degree; Beethoven recast it tonally by setting it in the relative key of F major.

34. Petra Weber-Bockholdt asserts that only two settings feature a marked use of the subtonic: *Lament for Owen Roe O’Neill* and *Save Me from the Grave and Wise* (Weber-Bockholdt, *Beethovens Bearbeitung britischer Lieder*, p.31); however, *Come Fill, Fill, My Good Fellow*, which she describes as a double-tonic melody (p.32), also fits this description.

9

Ju - dy, love - ly, match - less crea - ture, beau - ty shines thro' ev' - ry fea - ture,

Bb: I (#ii°2 I) F: V I V4₃

17

like you light, the pride of na - ture, thro' the morn - ing dew.

I Bb: #ii°2 I (ii) #ii°2 I V4₃ F: ii

25

Come, then, to your Pat - rick's dwell - ing, all a - round the buds are swell - ing,

I Eb: V7/V V4₃ I IV I6 F: vii°6 V4₃

33

ev' - ry lit - tle lin - net's tell - ing, 'tis the time to woo.

I Bb: #ii°2 I IV6₄ #ii°2 I V4₃ I (V6 I)

Example 2: Beethoven,
*Judy, Lovely, Matchless Crea-
 ture* (WoO 153/19, 1813),
 mm.9–40.

5

The morning air plays on my face, and through the grey mist peer - ing,

g: i VI V i VI V III

Example 3: Beethoven, *The Morning Air Plays on My Face* (WoO 152/4), mm.5–8.

Beethoven as a rule harmonized by tonicizing the mediant.³⁵ At least two of the theoretical treatises that Beethoven owned, Kirnberger's *Die Kunst des Reinen Satzes* (1779) and Knecht's *Vollständige Orgelschule* (1798), give tables for modal chorale harmonizations in which the second cadence listed for the Aeolian mode—after the tonic—is on the mediant;³⁶ however, this is also extremely typical of tonal works in minor keys. The implied alternation of a pair of relative keys can be seen in ex.4, the opening phrase of *Oh! Who, My Dear Dermot*.³⁷

6

Oh! who, my dear Dermot, has dar'd to de - ceive thee, And what's

b: V (V7) i V6 i VI (IV/III) V/III III (V7) i

Example 4: Beethoven, *Oh! Who, My Dear Dermot* (WoO 154/5, 1812–13), mm.6–10.

35. William Dauneey remarked upon the tonic/relative key implications of these melodies: “Another prevailing course of modulation to be noticed in the Scottish [*sic*] melodies is, that of alternation of the major key, and its relative minor; the melody moving to and from these keys to the exclusion of every other, and this, too, not unfrequently, at regular distances” (William Dauneey, *Ancient Scottish Melodies* [Edinburgh: Bannatyne Club, 1838], p.319).

36. Kirnberger, *The Art of Strict Musical Composition*, trans. David Beach and Jürgen Thym (New Haven: Yale UP, 1982), p.330; and Knecht, *Vollständige Orgelschule für Anfänger und Geübtere* (Leipzig: Breitkopf, 1795–98), III, pp.8–19 and 44–55.

37. Tune: *Crooghan a Venee*; new text by William Smyth.

In m.10, the melodic cadence $\flat\hat{7}-\hat{5}$ is treated as $\hat{5}-\hat{3}$ and harmonized straightforwardly by dominant and tonic in the key of the mediant, prepared by G major in m.9, which functions in retrospect as IV/III. A more emphatically modal progression might employ the minor dominant in m.10. A more tonal one might employ the major dominant on beat 2, but presumably Beethoven wanted to avoid a cross-relation between $A\sharp$ in the melody and $A\sharp$ in a lower voice. Instead, he placed a dominant-seventh chord with no third at the end of the measure, setting up the tonic beginning of the next phrase. Beethoven's harmonic treatment of *The Morning Air Plays on My Face* (WoO 152/4) is similar, but the regressive cross-relation ($F\sharp$ to $F\flat$) is in the melody, and the move to the mediant is direct and unprepared by its dominant (see ex.3).

The first phrase of *They Bid Me Slight My Dermot Dear* (ex.5) ends on $\flat\hat{7}-\hat{5}\rightarrow\hat{7}$ above the tonic, which is less common in these songs than endings on $\flat\hat{7}-\hat{5}$ below. As in the preceding example, the subtonic functions as V/III, here elaborated by a neighboring $\text{III}\frac{6}{4}$ at the end of m.9; thus $\flat\hat{7}-\hat{5}\rightarrow\hat{7}$ is recast as $\hat{5}-\hat{3}-\hat{5}$ in the relative major. The dominant in m.10 is not resolved, however, and the mediant is not heard as tonic until the third phrase of the AABA form. The second A phrase begins like the first except that the harmony in m.12 is $i\frac{6}{4}$, which functions analogously to $\text{III}\frac{6}{4}$ in m.9, as a neighboring expansion of the dominant.

They bid me slight my Dermot dear, for he's of low degree, and

d: V i V/III $\text{III}\frac{6}{4}$ V/III iv

11 I my lady's maid am here, and of the quality.

V $i\frac{6}{4}$ V7 i

Example 5: Beethoven, *They Bid Me Slight My Dermot Dear* (WoO 152/18, 1809–10), mm.7–14.

Example 6 shows the beginning of *Sunset*,³⁸ Beethoven's own illustration of a troublesome melody to harmonize, possibly because the melodic gesture $\flat\hat{7}-\hat{5}$ and its accompanying tonicization of the mediant occur at the midpoint rather than the end of the phrase. The move to V/III and concurrent shift in the pedal point occur on beat 4 of m.13. Changing on the following downbeat would create a more normative harmonic rhythm, but would render the melody dissonant on both beats. The first phrase ends typically, on the subtonic functioning as V/III, but not dictated in this case by $\flat\hat{7}$ in the melody. Beethoven could equally well have harmonized scale degrees $\hat{4}$ and $\hat{2}$ in m.16 more tonally, with ii-V, IV-V, or V⁷, as he did at the analogous point in *The Monks of Bangor's March* (see ex.7). Because the second half of the phrase replicates the rhythm and contour of the first half beginning a third higher, *Sunset* is categorized as a mediant sequence.

All of Beethoven's tonic/relative harmonizations are constructed in similar manner: most occurrences of lowered $\hat{7}$ are set with the tonic or dominant of III. The settings in this category are liberally sprinkled with $\frac{6}{4}$ chords, which Beethoven used as a primitivist signifier. Many of these function traditionally, as elaborations of the dominant, as in ex.5, or as tonic chords over a dominant pedal, as in ex.6, but some are more independent, as in ex.8a, Beethoven's setting of *The Highland Watch*, composed in 1816–17.³⁹ Here, in the reverse of the typical $\hat{5}-\hat{6}-\hat{5}$ neighbor figure, root-position VI serves as an upper-neighbor chord to $i\frac{6}{4}$, which is treated as a stable harmony.

The musical score for Example 6, Beethoven's *Sunset*, measures 13–16. The melody is in the treble clef, and the accompaniment is in the bass clef. The lyrics are: "The sun up-on the Weird-law hill in Ett-rick's vale is sink-ing sweet." The harmonic analysis below the staff shows: a: i, V/III, III6/4, and V7/III.

Example 6: Beethoven, *Sunset*
(op.108/2, 1818), mm.13–16.

38. Tune: *Lord Balgonie's Favorite*; new text by Walter Scott.

39. New text by James Hogg.

When the hea - then trum - pet's clang Round be - lea - guer'd Ches - ter rang, -

c: i V i V/III III V/III i V7

Example 7: Beethoven, *The Monks of Bangor's March* (WoO 155/2), mm. 3–6.

Two years later, Beethoven revised this setting as the theme for no. 10 of the Folk-song Variations for Piano and Flute, op. 107, one of two sets of folk-song variations that Beethoven composed for Thomson (the other is op. 105). The first four measures of the theme are shown in ex. 8b. The melody and most of the dotted rhythms are unchanged, but the harmony has been classicized, now consisting largely of root-position tonic and dominant triads.

Example 8a: Beethoven, *The Highland Watch* (op. 108/22, 1816–17), mm. 1–4.

Old Scotia, wake thy mountain strain, in all its wil - dest splen - dours!

g: (V) $i\bar{6}_4$ VI $i\bar{6}_4$ VI $i\bar{6}_4$ VI $i\bar{6}_4$ VI III

Example 8b: Beethoven, Folk-song Variations, “The Highland Watch” (op. 107/10, 1818–19), mm. 1–4.

Old Scotia, wake thy mountain strain, in all its wil - dest splen - dours!

g: i (V) i V i VI III

Tonic/Relative vs. “Wrong-key” Harmonizations:

Highlander’s Lament (*WoO 157/9*) and Highland Harry (*WoO 156/6*)

Two settings from the same tune family, *Highlander’s Lament* and *Highland Harry*, are shown in exs.9 and 10.⁴⁰ Beethoven set *Highland Harry* in 1814–15; in 1820 Thomson sent him the melody of *Highlander’s Lament*, describing it as a more correct version.⁴¹ Both forms of the tune begin and end in E minor but alternately outline D major at phrase endings. Beethoven tried out both possibilities as tonic: *Highlander’s Lament*, in the tonic/relative category, is set in E minor with D major functioning as V/III, while *Highland Harry*, in the “wrong-key” category, is set in D major, with a dominant pedal throughout and the melody ending on $\hat{2}$.⁴² The first verse of *Highlander’s Lament* is shown in ex.9.⁴³

The melodic-motivic structure of *Highlander’s Lament* is ABCB, but Beethoven adopted the harmonic paradigm of the AABA songs, supporting the strong arrival on lowered $\hat{7}$ in m.11 with mediant harmony. This setting conforms to the tonic/relative harmonic scheme even when the melody seems to indicate otherwise. In mm.18–19, $\hat{1}-\hat{5}-\hat{1}$ in the melody imply the harmonies i–V–i in E minor, but Beethoven set them instead with I–V–I in C major, which functions at the middleground level as a dominant preparation in G major. Likewise, the scalar descending fifth in m.21 strongly suggests an arrival on the local dominant, D major, preceded by a measure of G major. Beethoven did just the reverse, harmonizing m.20 with D major and placing the scalar figure and its echo over the local tonic, G. Such small-scale departures from an expected harmonic progression are a conscious component of Beethoven’s folk style.

The melody of the earlier setting, *Highland Harry* (ex.10),⁴⁴ features a clearer instance of subtonic juncture in mm.8–11. The triadic motive sequenced down a whole step invites a tonic–subtonic harmonization; Beethoven’s arrangement,

40. For another discussion of these two settings, see Weber-Bockholdt, *Beethovens Bearbeitungen britischer Lieder*, pp.87–95.

41. Haydn had already arranged yet another version of this melody for Thomson as *The Old Highland Laddie* in 1801 (Hob.31a/248). This variant of the tune more clearly outlines D major, which is the key of Haydn’s setting.

42. Although the later setting is in the more plausible key, Thomson published only the earlier, *Highland Harry*, but not until 1839.

43. Text by Robert Burns. The introduction and postlude have been omitted.

44. The uppermost line is the voice part. The text, by Robert Burns, was written to fit the variant later set as *Highlander’s Lament*. Thomson left it to the singer to adjust the rhythms to the text in this version.

8
My Harry was a gal-lant gay, fu' state-ly strade he on the plain; But now he's ban-ish'd

D: V9 16 4 V9

13
far a-wa', I'll ne-ver see him back again. O, for him back a-gain,

16 4 (vi^o7/V) 16 4 V (ii6) (vi^o6/ii ii6)

18
O, for him back a-gain, I wad gie a' Knock has-pie's land for High-land Har-ry

16 4 (c^o7) 16 4 (ii6) ii6 V7 16 4 (vi^o7/V)

23
back again!

V V7 16 4 (vi^o7/V) (V) V 16 4 16 4

29

V 16 4 V 16 4 V 16 4 V (I) ii6 V7 1

Example 10: Beethoven,
Highland Harry (WoO 156/6,
 1814–15), mm.8–37.

however, constitutes a more procrustean attempt to fit the Aeolian melody into the confines of a tonic-dominant structure. This setting comprises one of the most extensive uses of pedal point: the entire song, including the prelude (not shown) and excepting only the final six measures of the postlude, is set over a dominant pedal. Where the melody outlines D major, it is indeed harmonized with D major, but never as a stable tonic because of the pedal point. Where the melody outlines E minor, it is set with dominant harmony, most often in the form of an A⁹ chord, and this is how each verse ends: on scale degree $\hat{2}$ supported by the dominant. In an extreme case of delayed resolution, a root-position tonic is reached only in the brief postlude after the third verse (mm. 32ff.), through a conventional ii⁶-V⁷-I cadence that is the first departure from the dominant pedal. Cooper has identified this setting as the most likely basis of a comment in Beethoven's *Tagebuch* from late 1814: "The Scottish songs show how unconstrainedly the most unorganized melody can be treated through harmony."⁴⁵

The inclusion of D \sharp in relatively close proximity to D \natural (mm. 17–18 and 20–22) was likely a factor in Thomson's assessment of the diatonic melody of *Highlander's Lament* as the more authentic version. We can infer from the small-scale chromaticisms, ornamental passing and neighboring tones, and the lack of rests that the source for *Highland Harry* was an instrumental version; the tune itself is a traditional strathspey, a slow type of reel.⁴⁶ The effect of D \sharp in mm. 16–17 and 20–21 is to imply i–V and V–i respectively in E minor, yet the local function of these measures in Beethoven's harmonization is more ambiguous. Because the third above the bass is conspicuously absent, mm. 16–17 and 20 have been labeled as ii⁶ over dominant pedal, rather than V⁹. On the downbeat of m. 17 D \sharp is part of a lower-neighbor vii^o triad, whereas at the end of m. 20 it is a chromatic lower-neighbor note.

The relationship of the keys of these two settings is not as surprising as it might at first seem, since the melody of *Highlander's Lament* is E Aeolian/Dorian hexatonic, and E Dorian is the second mode of D major (and conversely, D major is the seventh mode of E Dorian). The ending of *Highland Harry* is not unique among the folk-song settings—Beethoven had already set at least two circular melodies ending on the second degree, *Save Me from the Grave and Wise* (1812–13, ex. 16)

45. "Die Schottischen Lieder zeigen als ungesungen die unordentlichste Melodie vermöge die Harmonie behandelt werden kann" (Maynard Solomon, "Beethoven's *Tagebuch* of 1812–1818," in BS III, 227).

46. Marianne Bröcker describes these ornaments as characteristic of bagpipe music (Bröcker, "Die Bearbeitungen schottischer und irischer Volkslieder von Ludwig van Beethoven," p. 78), although the strathspey originated as a dance played on the fiddle.

and *From Garyone* (earlier setting, 1811–12). Because of its length, slow tempo, and verse-chorus structure, however, *Highland Harry* is less convincing than these others as a circular tune.

Of the two settings, the simpler and more diatonic *Highlander's Lament* is the more stylistically apposite. A similar relationship exists between a handful of other duplicate settings by Beethoven, in which the earlier version features a more elaborate piano part and a higher degree of chromaticism. While the later settings, which are plainer and more idiomatic, seem to demonstrate Beethoven's compositional process of constant refinement, in actuality these simplifications are a concession to Thomson's insistently repeated requests for easier accompaniments.

“Wrong-key” Harmonization:

Poszła baba po popiół (WoO 158a/10)

In 1815 Thomson decided to publish a volume of continental folk songs, but managed to collect only three. At his request, Beethoven managed to find twenty-six others,⁴⁷ as well as a few British ones, in more cosmopolitan Vienna—although not without some difficulty. Beethoven wanted the settings to be published, with accompanying prose translations, in their original languages: Italian, Danish, Polish, Portuguese, Russian, Swedish, Spanish, Hungarian, French, and German.⁴⁸ Thomson was certain that this format would be unmarketable in Britain, and he attempted to commission new English texts for the songs, but never succeeded. Eventually he sold twenty-four of the settings to the London firm Paine & Hopkins, who did not publish them either. Many of these arrangements were not printed at all until 1941.⁴⁹

47. Brandenburg, no. 874 (1 Jan. 1816), III, p. 203.

48. French: *Non, non, Colette* (WoO 158c/2); Italian/Venetian: *La gondoletta* (WoO 157/12) and *Da brava, Catina* (WoO 158a/23); Spanish: *Una paloma blanca, Como la mariposa*, and *Tiranilla Española* (WoO 158a/19–21); Portuguese: *Yo no quiero embarcarme* and *Seus lindos olhos* (WoO 158a/11–12); Swedish: *Lilla Carl* (WoO 158a/17); Danish: *Ridder Stigs Runer* (WoO 158a/1); Hungarian: *Édes kinos emlékezet* (WoO 158a/22); Russian: *Vó lesochke komarochkov; Akh, rechenki, rechenki*; and *Kak poshli nashi podnuzhki* (WoO 158a/13–15); and Polish: *Oj, oj, upilem* and *Poszła baba po popiół* (WoO 158a/9–10). The remaining Continental settings are a Sicilian song with a Latin text (*O Sanctissima*, WoO 157/4), several folk songs in German (four Austrian, five Tyrolean, one Ukrainian, and one putatively Swiss), and an uncatalogued French song (*Air Français*) with no text.

49. The majority of the Continental settings were published in Beethoven, *Neues Volksliederheft: 23 tiroler, schweizer, schwedische, spanische, und andere Volksweisen*, ed. George Schünemann (Wiesbaden: Breitkopf & Härtel, 1941).

In a few Continental settings, Beethoven depicted a perceived national character through instrumental effects. The piano accompaniments of the Spanish *Una paloma blanca* and the Portuguese *Yo no quiero embarcarme* feature rolled chords that imitate a strummed guitar, while both of the Polish settings include raised $\hat{4}$ and a drone fifth—elements that, in conjunction with other national associations, sound characteristically Polish.⁵⁰

Poszła baba po popiół (ex. 11)⁵¹ is a typical oberek,⁵² a fast dance in triple meter, in a concise eight-measure AABA form. Narrow-range melodies are very common in Polish music;⁵³ in this case, every measure is confined to a minor third, and with the exception of mm. 14–15, either begins or ends on the pitch B. Because of the directionally inflected second degree (C \sharp /C \sharp), a convincing Phrygian-inflected accompaniment would be challenging to compose. Beethoven chose instead to set the melody in a Lydian-inflected G major with a directional fourth degree. He was undoubtedly conscious of the Polish associations of the sharpened fourth degree, since he incorporated it into his other Polish setting, *Oj, oj, upilem* (WoO 158a/9), a typical *krakowiak*⁵⁴ in fast duple meter, which is also in G major but not modally inflected (see ex. 12).⁵⁵ With the tonic reassigned, the melody of *Poszła baba po popiół* begins and ends on $\hat{3}$ and does not state the lower tonic at any point, although the upper tonic briefly appears twice (m. 14). Beethoven's postlude (not

50. As Dahlhaus observed: "Aesthetically it is perfectly legitimate to call bagpipe drones and sharpened fourths typically Polish when they occur in Chopin and typically Norwegian when they occur in Grieg . . . [they represent] something which is common to national music generally and yet is felt to be specifically national in the consciousness of the individual nations" (Dahlhaus, *Between Romanticism and Modernism*, p. 95). Zofia Lissa expresses astonishment at the authentically Polish effect of the Lydian fourth and the drone fifth in the bass. See Lissa, "Bearbeitungen polnischer volkslieder von Beethoven," *Beethoven-Kongressbericht Berlin 1970* (Berlin: Verlag Neue Musik, 1971), p. 449.

51. The introduction and postlude have been omitted. Barry Cooper's translation of the text is: The old woman wanted to fetch some ashes / The Devil came and drowned her; / No more old woman, no more ashes / All that was left of her were two smoked hams. (Beethoven *Volkslied-Bearbeitungen*, Deutsche Grammophon *Complete Beethoven Edition*, vol. 17 liner notes, p. 209.)

52. Lissa, "Bearbeitungen polnischer volkslieder von Beethoven," p. 450.

53. Jan Stęszewski, "Poland," §II, 4: "Traditional Music: General Characteristics," *Grove Music Online*.

54. Lissa, "Bearbeitungen polnischer volkslieder von Beethoven," p. 450.

55. The second half of the first stanza is shown in this example. A full translation by Barry Cooper is: Oh dear, I got drunk at the inn / And slept it off in the hallway, / And the dirty dogs / Have stolen my basket! / Oh, you dirty rats, / Give me back my basket! / Where am I supposed to put the barley / So that I can buy liquor again? (Beethoven *Volkslied-Bearbeitungen*, Deutsche Grammophon *Complete Beethoven Edition*, vol. 17, liner notes, p. 225.)

Example 11: Beethoven,
Poszła baba po popiół (WoO
 158a/10, 1816), mm.9–16.

9 Po-szła ba - ba po po-piół i dia - bel je u - to - pil.

G: I (#iv°6 I) ii6 V7 I I (#iv°7 I) ii6 V7 I

13 Ni po - pio-lu, ni ba - by, ty-lko z ba-by dwa sza-by.

I (IV) I (V7 I)

shown) echoes this structure by ascending to the upper tonic rather than descending to the lower one.

Whereas *Highland Harry* is set almost entirely over dominant pedal, *Poszła baba po popiół* is set almost entirely over tonic pedal. G is established as the tonic from m.3 (not shown) by the persistent fifth G–D, which evokes a fiddle drone,⁵⁶ and reinforced with conventional bass progressions in mm.10 and 12. The C#s in the melody could have been supported with V/V, but are harmonized instead with less tonally directed structures, neighboring common-tone diminished chords over a tonic pedal. In m.10 the sudden clash of a leap to D in the bass against a leap to the

56. A characteristic texture in Polish folk music for the fiddle is a melody played on the upper two strings, A and E, combined with a drone played on the lower two strings, G and D. Bagpipe drones are also common, but are generally pitched on E \flat , B \flat , or F (Stęszewski, “Poland,” §II, 5: “Traditional Music: Instruments,” *Grove Music Online*). While Beethoven’s other Polish setting, *Oj, oj, upiłem*, does not feature a repeating drone fifth, the bass line is built similarly around the fifth G–D.

17

a zyd-ki psia-ju - chy a zud-ki psia-ju - chy ko-bial-ke mi wzie-ni. ko-bial-ke mi wzie-ni.

G: I V I6 V4/3 I V I6 V4/3 I I6 IV V vi I6/4 I6/4 IV V I

Example 12: Beethoven, *Oj, upilem* (WoO 158a/9), mm.17–24.

unprepared seventh $C\sharp_4$ in the melody adds to the deliberately unpolished quality of the setting. The pattern of fluctuation between $C\sharp_4$ and $C\flat_4$ is continued in the B section (mm.13–14): the melody in m.14 is accompanied with $C\flat_4$, even though $C\sharp_4$ would have reinforced the Lydian effect. Thus, as in most of the other AABA settings, the middle section of *Poszła baba po popiół* is more tonally grounded than the modally inflected outer sections.

Limited-range Harmonization:

Lilla Carl (*Vaggvisa*, WoO 158a/17)

A handful of Beethoven's folk-song settings are distinctive characterizations without national associations: for example, the horn-calls in the hunting songs *Sion the Son of Evan* and *Waken Lords and Ladies Gay* (WoO 155/1 and 155/12) and the pizzicato string parts of *O Soothe Me My Lyre* (WoO 153/7). Another striking portrayal is *Lilla Carl* (ex.13),⁵⁷ a Swedish lullaby or *vaggvisa*, for which Beethoven created a rocking left-hand part and added a long hypnotic coda with a built-in rallentando that depicts the rocking slowing to a stop.

57. Only the first verse is included in the musical example; the text underlay is as originally published. A full translation by Carl Michael Bellman is: Little Carl, sleep softly in peace, / You will have time enough to be awake, / Time enough to see our evil days / And taste their gall. / This world is an island of sorrow, / Scarcely have we drawn breath than we have to die / And remain behind as dust. Thus it is with our life's span, / And thus the years disappear, / We have only just drawn breath, deeply and gladly, / And we're lying on the bier. / Little Charles, you shall think on this, / When you see the little flowers / Which adorn the Spring. (Beethoven *Volkslied-Bearbeitungen*, Deutsche Grammophon *Complete Beethoven Edition*, vol.17, liner notes, pp.223–25.)

p *tr*

Lil - la Carl, sov
tids nog se vår

a: i (V) (i) i

6
sött i frid, du får tids nog - va - ka, Värld - en är en sor - ge - ö,
on - da tid och hen - nes gal - la sma - ka.

(V7) i V7 i i V

11
bäst man an - das, skall man dö och bli mull till - ba - ka. *dim.*

i V i V i (V7) i (V7) i (V7) i

17
- - - - -

(V7) i (V7) i (V7) i₆₄ (V7) i₆₄ (V7) i₆₄ (V7) i₆₄

23
pp *ritard.*

(V7) i (V7) i (V7) i (V7) i

Example 13: Beethoven, *Lilla Carl* (WoO 158a/17, 1816–17).

Apart from a single brief instance of scale degree $\hat{6}$ in the prelude (m.3), the setting of *Lilla Carl* employs only $\hat{1}$ through $\hat{5}$. Minor hexatonic with no sixth degree is particularly characteristic of older Swedish folk songs,⁵⁸ and the scale of *Lilla Carl* can be considered a subset of this scale: a minor pentatonic scale—in the sense that it comprises only five notes—with no sixth or seventh degree. In contrast to the familiar gapped-third anhemitonic pentatonic scale (built around the intervallic pattern $m_3-M_2-M_2-m_3-M_2$) this is a gapped-fourth pentatonic scale ($M_2-m_2-M_2-M_2-P_4$).

This melodic framework is not entirely atypical of the genre: the A sections of *Småvisa*, a Swedish children's song, and the American lullaby *All the Pretty Horses*, are structurally and motivically very similar. Beethoven's adoption of the same limitation in his accompaniment, however, is quite striking. Complete dominant and subdominant triads are ruled out, but through repeated melodic movements of $\hat{4}-\hat{3}$ and $\hat{2}-\hat{1}$, a tempered sense of dominant-tonic motion is created, even without the leading tone. These movements are paralleled on a smaller scale by $\hat{1}-\hat{5}-\hat{1}$ and $\hat{5}-\hat{1}-\hat{5}$ in the left-hand rocking figure, which may derive from the opening ascending-fifth gesture, and on a larger scale by the tonic and dominant pedals created by the lowest notes of the same figure.

A more definitively modal setting is *Lament for Owen Roe O'Neill* (ex.14).⁵⁹ Thomson published this song without text or attribution, but the composer is now known to be the Irish harper Turlough Carolan (1670–1738).⁶⁰ The tune is G Aeolian/Dorian, with raised $\hat{6}$ for the first ten measures (mm.3–12), lowered $\hat{6}$ for the next three (mm.13–15), no $\hat{6}$ for the last three (mm.16–18), and an emphasis on lowered $\hat{7}$ throughout.⁶¹ Beethoven's accompaniment fluctuates between G Dorian and G minor, with shifts to F major in mm.8–10 and 14–17. The first harmonic movement is an emphatic arrival on the subtonic, F (m.4), approached

58. Margareta Jersild and Märta Ramston, "Sweden," §II, 3: "Traditional Music: Vocal Traditions," *Grove Music Online*.

59. The highest notes with upward stems are the melody. Notes with downward stems, such as those at the end of mm.2 and 4, are part of the accompaniment, not the melody.

60. Turlough Carolan, *The Complete Works of O'Carolan: Irish Harper & Composer* (2nd edn. Cork, Ireland: Ossian, 1989).

61. Weber-Bockholdt speculated as to whether F might not have equal authority as a final (Weber-Bockholdt, *Beethovens Bearbeitungen britischer Lieder*, p.31), but since the first three phrases begin on G, and the second and fourth phrases end there, G is clearly defined as the resting point. That the third phrase ends on F is unusual only because it is the subtonic rather than the mediant.

g: i bVII (V) #viø7 V6 i v (V)

i F: V7 V9 I6 4 V7 I6 4 V7 I6 V7 I6 4 V7 I6 g: iv V

i bVII iv V2 i6 F: I6 4 V I

IV6 4 I (vii°6) I g:V6 5 i F: ii V7 I g: (i)

Example 14: Beethoven, *Lament for Owen Roe O'Neill*
(WoO 158b/7, 1810), mm.3–18.

via its leading tone, E \flat , and functioning modally as a goal unto itself rather than tonally as V/III, as it does in many other settings. G minor is reaffirmed at the end of that measure through its leading tone, F \sharp , which Beethoven interpolated into the original melody, classicizing it as he did with the melody of *Lochnagar* (ex.1). The first phrase concludes with another modal inflection, the minor dominant in

m.6, which is countered at the end of the measure by a major dominant leading into the tonic beginning of the next phrase. A more tonal harmonization of this measure might employ the major dominant squarely on beat 3, prepared by the subtonic in the first half of the measure.

The second phrase is deflected from the tonic even sooner, with V of F major (m.7) establishing a dominant pedal that carries throughout the phrase. The melodic cadence in m.10 is a conventional $\hat{3}-\hat{2}-\hat{1}$ descent in G, but Beethoven vehemently rejected its tonic implications, harmonizing it instead with V and I_4^6 in F, as in the preceding measure, and arriving unexpectedly on an apparent minor dominant (C minor in m.10). In retrospect, this chord functions as the home subdominant of a iv–V–i elided cadence, and the dominant pedal in F becomes a dominant preparation in G. The third phrase begins like the first, but closes with a $\hat{3}-\hat{2}-\hat{1}$ descent in F major (mm.14–17), which functions for the first time as a root-position tonic.

The two keys used in this setting are species of the same scale: F major is the seventh mode of G Dorian, and G Dorian is the second mode of F major. Thus the modal inflection created by $\flat\text{VII}$ as a harmonic goal (mm.4 and 12) is paralleled on a larger structural level by the use of $\flat\text{VII}$ as a subsidiary key area (mm.7–10 and 14–16). The cadential figures in mm.17–18 sum up the harmonic relations in this work: V–i first in G minor, then in F major, and then a modal melodic $\flat\hat{7}-\hat{1}$ cadence in a monophonic texture that avoids any form of dominant and creates an archaic affect. Beethoven's postlude (not shown) echoes this gesture, but closes with a conventional $\text{i}_4^6-\text{V}^7-\text{i}$ cadence in G minor.

The Return to Ulster (*WoO 152/1*)

The minor dominant also creates a modal inflection in another lament by Carolan, *The Return to Ulster* (ex.15),⁶² which was set in the same year as *Lament for Owen Roe O'Neill*. The melody of *The Return to Ulster* has a flexible seventh degree and thus fluctuates between F harmonic minor and F Aeolian. Beethoven's accompaniment begins with a single reiterated C, the function of which is not immediately apparent. This repeated pitch is transferred down an octave twice (m.4), becoming a pedal point that continues, occasionally relocated but otherwise uninterrupted, throughout the rest of the song.

62. Tune: *Young Terence MacDonough*; new text by Walter Scott. The original version of the tune, which is slightly different, is available in *The Complete Works of O'Carolan* and is also given in Bröcker, "Die Bearbeitungen schottischer und irischer Volkslieder von Ludwig van Beethoven," p.82.

f: i v6 VI7 It. +6 i6₄ V i6₄ v

6
 Once a gain, but how chang'd, since my wan - d'rings be-

(VI2) (V) (i6)₄ i6₄

10
 - gan I have heard the deep voice of the La - gan and

V i6₄ v V7 i6₄ (V6/V) (V6/V)₅

14
 Bann, And the pines of Clan - bra - sil re - sound to the

v (i6) i6 v6₄

18
 roar That wea - ries the ech - oes of fair Tul - la-

i (V) i

Example 15: Beethoven, *The
 Return to Ulster* (WoO 152/1,
 1810), mm. 1–38.

22

- more. A - las! my poor bo - som, and why shouldst thou

Ab: (viiø7) I IV6/4 I IV6/4

26

burn! With the scenes of my youth can its rap - ture re-

I ii I6 viiø4/3 f: iv6

30

- turn? Can I live the dear life of de-

V V4/3/2

33

- lu - sion a - gain, that flow'd when these ech - oes first

i6 v6/4 V6/4 i (V) i (V)

37

mix'd with my strain?

i

The initial sighing gesture from F minor to C minor at the end of m.1 is most readily interpreted as iv–i. It is not until the arrival of the pitch D \flat —first as part of a submediant seventh chord (m.2), and then as the bass of a tonality-defining Italian sixth (m.3)—that the dominant function of C, hence the key, becomes clear. The descending lament tetrachord is completed and the dominant confirmed in m.4. When the first two measures are restated with left and right hands exchanged (mm.5–6), the minor dominant heard in the opening measure returns. Beethoven employed V and v in approximately equal measure in this setting, but subverted many of the major dominants: for example, V in m.10 has no third, V⁷ and V⁹ in mm.12 and 32 are countered by much stronger arrivals on minor dominants in mm.14 and 34, and the implied major dominants in mm.20 and 36–37 are set over tonic pedal.

The first alteration to the dominant pedal initiated in m.4 is the addition of a second note, introduced in m.13 as the leading tone of V (B \sharp). Following its resolution in m.14, the second bass note resurfaces as B \flat below the original dominant pedal and descends to the tonic, a fifth-span that complements the initial descending tetrachord in mm.1–4 and completes a stepwise octave descent. Since it is not yet clear that F is the tonic in m.1, the strong arrival in m.19 constitutes the first root-position tonic in the work.

The melody is through-composed, but like most of Beethoven's AABA and ABCB settings, the third phrase (mm.23–30) is in the relative major. Oddly, this phrase is the only one in the song without an emphatic arrival on E \flat in the melody, although it does feature a dramatic ascending-octave leap on E \flat (m.27) that echoes an earlier, similar leap on F (m.16). There are three instances of E \flat as a melodic goal: at the end of the phrase in m.14 and at phrase midpoints in mm.18 and 34. In each case it is treated as the lowered seventh degree in F Aeolian and harmonized with the minor dominant. Beethoven seems to have deliberately chosen to emphasize the modality of this melody, since he could easily have set it in a more tonal fashion by supporting $\flat\hat{7}$ with the relative major, as he did in the tonic/relative harmonizations.

In his setting of *The Return to Ulster*, Beethoven evokes a folk idiom through the pedal point itself and the pervasive chords and sudden clashes it creates. A dissonance too startling to be folklike occurs in m.32, where the addition of three notes to the pedal forms an impressively discordant low-register cluster. Functionally, this is simply a compressed V² with an added minor ninth, resolving conventionally to i⁶. The dominant pedal that sounds throughout the initial phrase gives rise to the expectation of a clear harmonic movement to root-position V and then to root-position i, an expectation that is never satisfied; even in the postlude (not shown),

the repeated V–i movements occur over tonic pedal. Instead, through emphasis on the minor dominant and subversion of the major dominants—and many of the tonics—Beethoven created, around a bass line and harmonic structure composed largely of tonic and dominant, a modal harmonization that reinforces the modal melody.

Save Me from the Grave and Wise (WoO 154/8)

Come Fill, Fill, My Good Fellow (op. 108/13)

These two Irish folk songs are neither from the same tune family nor in the same mode, but they have several features in common: both are modified strophic forms with hexatonic melodies that have no sixth degree and a lowered seventh. Beethoven's treatments are likewise very similar: both accompaniments consist chiefly of tonic and dominant, with the subtonic functioning as a dominant preparation.

Save Me from the Grave and Wise is a circular tune in which every phrase ends on $\hat{2}$, necessitating a final postlude that descends to the tonic. The first A section

11

Save me from the grave and wise, for vain - ly would I tax my spi - rit,

F: I V6 5 V

15

be the thing that I des-pise, and ri - val all their stu-pid me - rit.

cresc. p

I bVII6 vii°6 (I) V

Example 16a: Beethoven,
*Save Me from the Grave and
Wise* (WoO 154/8, 1812–13),
mm. 11–18.

is shown in ex.16a.⁶³ The melodic framework is a triadic F major except for the penultimate measure of each phrase, which features a Mixolydian inflection in the form of a leap from G up to the lowered seventh degree, E \flat (m.17). Cooper has described this leap as “wild and wayward,”⁶⁴ and it is undeniably difficult to assimilate within conventional major-minor tonality. Beethoven set it with the only appropriate choice: the subtonic triad. The other two diatonic harmonies containing both notes of the leap are iv and vii $^{\circ}$ /IV, both of which are stylistically alien, and the half-diminished-seventh chord would be unable to resolve properly. Thus, Mixolydian scale degree $\flat\hat{7}$ in this melody is reinforced with the modal harmony \flat VII $^{\circ}$. The subtonic triad functions as a pre-dominant, leading smoothly into the dominant-function diminished vii $^{\circ}$ ⁶ in m.18 through a raising of its root from E \flat to E \natural . Beethoven was careful to avoid parallel perfect intervals between \flat VII and I: the subtonic is in first inversion while the tonic is in root position, the leading-tone triad is interpolated between the two, and the tonic triad has no fifth.

Beethoven was apparently pleased with the effect of the subtonic triad, for he wrote in French at the end of the autograph score: “Behold how one must not be afraid of the expression of the strangest sounds in melody, because one will surely find a natural harmony for it.”⁶⁵ He used the last four measures of the phrase as the basis of the introduction (ex.16b) and marked every occurrence of \flat VII with a crescendo. On the other hand, perhaps he felt that only with repetition and emphasis could the listener’s ear become accustomed to this unusual feature.

The difficulties of harmonizing modal melodies with a lowered seventh degree are noted in a later Scottish source: “The way in which the seventh of the scale is often used . . . puts the modern harmonist to a stand . . . he either *alters* the melody, in spite of its characteristic peculiarities, to accommodate it to the usual routine of his harmony; or, which is certainly much more wise, he preserves the melody entire, and suits his harmony as he best can to the case”⁶⁶—as Beethoven did here.

63. Tune: *Nora Creina*; new text by William Smyth.

64. Cooper, *Beethoven’s Folksong Settings*, p.158.

65. “Voila comme on ne doit pas avoir peur pour l’expression les sons le plus etrangers dans melodie, puisque on trouvera surement un harmonie naturell pour cela” (Hans-Günther Klein, *Ludwig van Beethoven: Autographe und Abschriften* [Berlin: Merseburger, 1975], p.178). Beethoven made a similar, albeit more ambiguous, comment in German in his *Tagebuch* about a year later (see n.45). The observation above may have been intended for Thomson, as French was their language of communication.

66. William Daune, *Ancient Scottish Melodies*, p.336.

Example 16b: Beethoven, *Save Me from the Grave and Wise*, mm. 1–10.

Example 16b: Beethoven, *Save Me from the Grave and Wise*, mm. 1–10.

Example 16c: Beethoven, *Save Me from the Grave and Wise*, mm. 35–43.

Example 16c: Beethoven, *Save Me from the Grave and Wise*, mm. 35–43.

The subtonic does not appear in the postlude (ex.16c), which is based on the open-ended final measure of the phrase. Several commentators have noted the strong resemblance of this motive to the main theme of the last movement of Beethoven's Seventh Symphony,⁶⁷ which was completed a few months before *Save Me from the Grave and Wise*. Beethoven created a musical double entendre that alludes to both the melody of the Seventh Symphony finale and the problematic leap in the folk-song melody, which now follows rather than precedes the open-ended measure, and has been shifted up a step from $\hat{2}-\flat\hat{7}$ to the more tonally orthodox $\hat{3}-\hat{8}$, providing closure to the phrase.

The subtonic also functions as a dominant preparation in *Come Fill, Fill, My Good Fellow*, another Irish melody set by Beethoven five years later, although Thomson originally published it as Scottish. The first A section is shown in ex.17.⁶⁸ This triadic melody provides another illustration of subtonic juncture, outlining the progression tonic-subtonic. Accordingly, Beethoven harmonized m.6 with $\flat VII$ —he really had no choice—but rather than moving directly from tonic to subtonic, he prepared it with its dominant, $V^7/\flat VII$ (m.5), thus avoiding parallel perfect intervals between the root-position triads i and $\flat VII$. As in *Save Me from the Grave and Wise*, the subtonic functions as a dominant preparation, more diatonically in this setting because of its minor mode. Although the penultimate note of the tune is the leading tone, the fundamental scale structure is G Aeolian/Dorian hexatonic, and the overall effect is modal. Because of the melodic sequence in *Come Fill, Fill, My Good Fellow*, $\flat VII$ serves as both a dominant preparation and a lower contrasting sonority, taking on simultaneous functions of dominant and subdominant.

Conclusion

The categories of harmonization I have applied to Beethoven's folk-song settings provide a theoretical framework for considering modal harmony in the context of major-minor tonality. When confronted with these modal melodies, Beethoven devised numerous different ways of accommodating them, including shifting between two relative keys, reassigning the tonic, and adopting the scalar limitations

67. George Grove credits his friend Charles Villiers Stanford with pointing out the likeness. George Grove, *Beethoven and His Nine Symphonies* (2nd edn. London, 1896), pp.261–62; also noted in Cooper, *Beethoven's Folksong Settings*, p.177; Weber-Bockholdt, *Beethovens Bearbeitungen britischer Lieder*, pp.257–58; Cooper, review of Weber-Bockholdt, *Beethovens Bearbeitungen britischer Lieder* in *ML* 76 (1995), 449; and Lewis Lockwood, *Beethoven: The Music and His Life* (New York: W.W. Norton, 2003), p.231.

68. Tune: *There's Three Gude Fellows Ayont Yon Glen*; new text by William Smyth.

The image shows a musical score for a song by Beethoven. It consists of two systems of music. The first system has a vocal line and a piano accompaniment. The vocal line starts with a treble clef, a key signature of two flats (B-flat and E-flat), and a 9/8 time signature. The lyrics are: "Come fill, fill, my good fel-low, fill high, high, my good fel-low, and". The piano accompaniment has a grand staff with treble and bass clefs. The second system also has a vocal line and piano accompaniment. The vocal line starts with a treble clef, a key signature of two flats, and a 9/8 time signature. The lyrics are: "let's be merry and mellow, and let us have one bot - tle more." The piano accompaniment has a grand staff with treble and bass clefs. Below the piano accompaniment, there are harmonic labels: "g:" under the first measure, "i" under the second measure, "V7/bVII bVII" under the third measure, "V7" under the fourth measure, "i" under the fifth measure, "V7" under the sixth measure, and "i" under the seventh measure.

5
Come fill, fill, my good fel-low, fill high, high, my good fel-low, and

g: i V7/bVII bVII V7

7
let's be merry and mellow, and let us have one bot - tle more.

i V7 i

Example 17: Beethoven, *Come Fill, Fill, My Good Fellow* (op.108/13, 1817), mm.5–8.

or modal inflections of the given melody. The varying degrees of modality demonstrated by his harmonizations are largely dependent on the scalar qualities and emphases of the original melodies. Clearly, he did indeed seek out the harmonies most “consistent with the genre and the character of the melody.”⁶⁹ He combined these harmonically distinctive settings with primitivist signifiers such as pedal points and small-scale dissonances intended to create an authentically folklike feel. A close reading of this analytically neglected yet worthwhile repertoire and its history demonstrates that Beethoven valued the folk-song settings both aesthetically and compositionally; his creative solutions to the problems they presented remain of interest to us today.

69. “Conforme au genre et au Caractère de la Melodie” (Brandenburg, no.1244 [21 Feb. 1818], IV, 174).

REVIEWS

Imperial Patronage in Beethoven's Vienna

Tim Blanning

John A. Rice. *Empress Marie Therese and Music at the Viennese Court, 1792–1807*. Cambridge: Cambridge University Press, 2003. xx, 386pp.

In this consistently engrossing and revealing study, John Rice rescues from obscurity one of the key figures in the musical life of Vienna during a particularly exciting if troubled time. Marie Therese was the eldest daughter of King Ferdinand I and Queen Maria Carolina of the Two Sicilies. So she was born into the deepest purple, her father being the son of the Bourbon King of Spain, Charles III, and her mother the daughter of the Habsburg Empress Maria Theresa. In 1790, at the age of eighteen, she was married to her first cousin Archduke Francis, who succeeded his father Leopold as ruler of the Habsburg monarchy and Holy Roman Emperor two years later. Of their five daughters who survived infancy, one was married to Napoleon, another to the Emperor of Brazil, and another to the King of Saxony. After living through the ups and downs (mainly downs) of the revolutionary and Napoleonic wars, Marie Therese died from complications following the birth of a sixth daughter in 1807.

When she was not preparing for, or recovering from, childbirth (she experienced twelve confinements in seventeen years), Marie Therese spent most of her time patronizing, collecting, and performing music. A simple list of the composers from whom she commissioned music is a salutary reminder of the extraordinary wealth of talent available at the turn of the century: Johann Georg Albrechtsberger, Beethoven, Luigi Cherubini, Joseph Eybler, Joseph and Michael Haydn, Giovanni Simone Mayr, Ferdinando Paer, Giovanni Paisiello, Anton Reicha, Antonio Salieri,

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Joseph Weigl, Peter Winter, Paul Wranitzky, and Niccolò Zingarelli. The amount of music she accumulated was enormous, although her collection cannot now be disentangled from her husband's, into which it was amalgamated after her death. The collection was eventually uncovered later in the nineteenth century "in a closet in the Hofburg" (p.14). It must have been a very large closet indeed, for it contained no fewer than thirty-six trunks of musical scores and manuscripts. Francis II (who lost a digit and became Francis I when he abdicated as Holy Roman Emperor to become "Emperor of Austria") may have lacked political acumen, but he was a gifted and enthusiastic musician. After the three-day Battle of Leipzig, also known as the Battle of Nations, in 1813, which brought Napoleon's domination of Germany to an end, his first thought was that at long last he would be able to reassemble his string quartet. Without any apparent hint at a *double-entendre*, Marie Therese referred to him as "my beloved fiddler," and he responded by promising to "practice fiddling, the better to be able to serve you."

Just how much music-making Marie Therese organized in Vienna can be established with precision for the years 1801–03, for her diary with a listing of dates and repertoires has survived. Rice prints this as appendix 2, together with immensely helpful explanatory notes, which in themselves constitute a significant scholarly achievement. These concerts were strictly private affairs, took place in her own apartments, and were correspondingly informal. According to Weigl's contemporary biographer, "all courtly ostentation was shunned: the most informal atmosphere prevailed and the Empress herself appeared in simple house clothes" (p.90). On the other hand, demanding music was performed by substantial forces, including numerous top-flight soloists, a chorus, and an orchestra of around sixteen players. Although self-deprecating and concerned that she might be overshadowed by the professionals, Marie Therese was a regular and active participant. According to Ignaz von Seyfried, she "did indeed sing a little weakly, but with perfect correctness, deep feeling, and true expression" (p.70). During the first four months of 1802, she took part in thirty-nine concerts, most of them consisting of at least ten substantial vocal and instrumental pieces.

So there was a lot of width to her music-making, but what about the quality? It cannot be denied that she preferred the second or the third rank to the first. Of the two Haydns, she patronized Michael much more than Joseph, was especially fond of the work of Weigl, Wranitzky, and Eybler, and seems to have neglected the work of Beethoven altogether at her musical soirees. She also owned a great deal of dance music. It is tempting to assume a gulf here between the amiably philistine imperial family and the more sophisticated aristocracy, led by such discriminating patrons as Baron Gottfried van Swieten, Prince Joseph Franz Maximilian Lobkow-

itz, and Prince Joseph Johann Schwarzenberg, who led the society of connoisseurs that staged the first performances of *The Creation* and *The Four Seasons*, not to mention patronizing Beethoven. This difference of taste was encapsulated by an anecdote purporting to explain how van Swieten came to be evicted from his grace-and-favor apartment in the Hofburg. According to the anonymous source, a concert of “great music” that he had organized there was interrupted by the sound of the Emperor and Empress playing outside with their children. One of van Swieten’s guests shouted through the window: “An emperor should occupy himself with more useful and respectable activities” (p.230). Van Swieten was unable or unwilling to identify the culprit and so soon found himself seeking alternative accommodation.

Rice convincingly qualifies this alleged contrast to the point of extinction. He points out that, if Haydn and Beethoven were not Marie Therese’s favorites, they were certainly patronized by her. The former was obliged contractually to work mainly for the Esterházy, yet did find time to compose a *Te Deum* for her. Moreover, although the Mass in B \flat of 1799 was written for Prince Esterházy, it was later rededicated to the Empress by Haydn and so became known as the “Theresienmesse.” She showed her good will toward him by helping to secure the Burgtheater as the venue for the first public performance of *The Creation*. Her music library contained at least fifteen symphonies by Haydn and eight of his masses, in full score. She successfully persuaded Prince Esterházy to give her a copy of the *Schöpfungsmesse*, although was obliged to offer in return a copy of Michael Haydn’s *Missa S. Theresiae*. As for Beethoven, Rice can show that Marie Therese herself was “the sublime spirit” of Prometheus in Salvatore Viganò’s ballet *The Creatures of Prometheus* of 1800. She was also the dedicatee of Beethoven’s Septet in E \flat , op.20, for clarinet, horn, bassoon, violin, viola, cello, and double bass, first performed in 1799 and published in 1802.

Marie Therese also played a crucial role in securing official permission for the first performance of *Fidelio*, originally denied by the censorship authority on political grounds. When the librettist Joseph Sonnleithner appealed against this decision, he invoked the name of the Empress: “I have thoroughly adapted this opera from the French original of Bouilly (entitled *Léonore ou L’Amour conjugal*), primarily because Her Majesty the Empress and Queen finds the original very beautiful and assured me that no opera text had ever given her so much pleasure” (p.253). He also pointed out that the date of the scheduled premiere—15 October—was also her name-day. At the same time he wrote to a senior official to inform him that in rescinding the ban “you will eternally oblige Her Majesty the Empress” (p.253). Sonnleithner was not exaggerating. Marie Therese—like so many contem-

poraries—had a special liking for rescue operas, especially when they emphasized feminine heroism and advertised the virtues of conjugal fidelity. She also knew well two other contemporary settings of the same story: she had a copy of Paer's *Leonora* well before its premiere in Dresden and also had the score of Mayr's *L'amor conjugale*, first performed in Padua in July 1805. Rice demonstrates convincingly that Marie Therese was “at the nexus of a web connecting the three Léonore operas of 1804–5” (p.257). Although it is not known exactly when Sonnleithner and Beethoven began working on *Fidelio*, it must have been well before the premieres of either Paer's or Mayr's versions. Indeed it is well possible that she played a decisive role in the inception of all three. Rice discusses the relevant documentary evidence and its analysis by previous scholars with his usual care, so it is all the more surprising that he should make no mention of Paul Robinson's anthology on *Fidelio*, published in 1996 by Cambridge University Press, the publisher of his own volume.

Born, bred, and educated in Naples, Marie Therese was naturally even more receptive to Italian music than were the Viennese—which is saying quite a lot. Yet after her arrival in Vienna she was also careful to position herself on the side of German culture. There are still some historians who believe that nationalism was an invention of the French Revolution and that it cannot be found in a multinational empire such as the Habsburg monarchy. They would do well to read the passages in this book relating to Marie Therese's relations with Baron Braun, the millionaire banker and manufacturer who also took on the administration of the court theaters in 1794. Inheriting an operatic repertory consisting entirely of works in Italian, it was at the suggestion of Marie Therese that he reintroduced opera in the German language. In a letter included in the libretto of the first such work, Wranitzky's *Die gute Mutter*, first performed on 11 May 1795, Braun stated explicitly that it was her “patriotic hint” that she would like to see German-language opera that had proved decisive: “Your Majesty most graciously demonstrates at every opportunity how much you wish for German diligence, German art, and German merit to be recognized, encouraged, and rewarded” (p.165).

Not the least of Rice's achievements is the recreation of a high society—and what could be higher than the court of the Holy Roman Emperor?—in which music stood right at the center of social activity. It was also a culture in which the taste of the imperial or aristocratic patron was still the determining force. Of course there was a public sphere in Vienna, and it was increasing in size and importance with every year that passed; but it was still relatively overshadowed by the Hofburg and the aristocratic palaces with which the city teemed. The following extract from a letter to Marie Therese from Paer, referring to his opera *Sofonisba*, is only one

of many pieces of evidence to this effect to be found in this book: “I am ready to make it completely new, so as to give Y.M. an opera that can be given first in Your Imperial Royal apartments, and then (if Y.M. commands) in the theater in Vienna” (p.167). It was not so much the bourgeoisie that broke this pattern, for the plain people of Vienna were still well and truly integrated in the traditional structures, rather the self-conscious and uncompromising genius of Beethoven.

When *Fidelio* was eventually performed on 20 November 1805, Marie Therese was far away, in the Moravian town of Olmütz, to which she had fled as Napoleon and his army approached Vienna. She wrote to her mother: “Our misfortune is very great, and it will cost me at least ten years of my life. I see myself a fugitive, driven from my house, the capital in the hands of the enemy, who advances almost at will” (p.259). In fact she had less than eighteen months left to live. The humiliations and privations inflicted by the war helped to make her next pregnancy especially difficult. Her premature baby died after three days, and she followed a week later. Two centuries later she has been given an appropriate obituary at last. In the substantial appendixes Rice provides a catalogue of her collection of church music; her musical diary for 1801–03; Paer’s letters to her in Italian; the Italian text of her correspondence with Paisiello (translations and discussion have been provided in a previous chapter); and documents relating to Paer’s *Il conte Clò*, a comic cantata commissioned for the Emperor’s birthday in 1804. Well illustrated visually and with many musical examples, this scholarly and very enjoyable book represents musical publishing at its best.

How to Make a Metronome from a Musket Ball and a Piece of String

Annette Richards

Richard Will. *The Characteristic Symphony in the Age of Haydn and Beethoven*. Cambridge: Cambridge University Press, 2002. xi, 329pp.

Instrumental music was the subject of intense debate in the second half of the eighteenth century, and it has proven fertile ground for musicologists at the end of the twentieth and into the twenty-first. As formalist accounts of late-eighteenth-century instrumental music, based on the ideology of absolute music, have ceded place to interpretive studies grounded in contemporary notions of rhetoric, aesthetic theory, or social practice, canonic and noncanonic works of the period have emerged over the last two decades in a multiplicity of new lights. If instrumental music occupied an ambiguous position in criticism and aesthetics for much of the eighteenth century, how much more precarious was that of an instrumental music that openly advertised a dependence on the nonmusical—music that came supplied with a verbal explanation to indicate its meaning. With texts that might range from a short title naming a mood or feeling to longer descriptions that implied or specified an accompanying narrative, “characteristic music” in the period between 1750 and 1815 “encapsulated a paradox whereby music was considered to be at once meaningful and indefinite,” as Richard Will’s persuasive study of the characteristic symphony explains (p.2).

Later criticism would say either “too meaningful” or “too indefinite,” but, as Will shows, this was profoundly to misread the significance of the genre. Will’s magisterial knowledge of the repertoire is matched by his ability to argue persuasively for the ways in which this music, much of it obscure or easily dismissed as trivial,

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was indeed meaningful. His aim is not to make inflated claims about the aesthetic value of the too-familiar lilt of Christmas pastorellas, the not-so-terrifying thunder of musical storms, the fun-but-empty noise of battle pieces, but rather to show, with superb attention to musical detail and historical nuance, how these pieces bring into focus many of the problematic questions associated in the period with the genre of characteristic music, and with instrumental music more generally: “In contemporary terms,” Will writes, “music was both song and firework, mover of passions and tickler of the senses, metaphors that the characteristic symphony happily mixed. An instrumental music that aspired to sing but gave only some of the words inhabited a middle ground between semantics and ineffability” (p. 15).

Moreover, these lesser works form the vital backdrop against which Will reads the more ambitious characteristic works in his story, the *Metamorphosis* symphonies of Dittersdorf, Haydn’s *Seven Last Words*, and eventually the two great Beethoven symphonies, the Pastoral and the *Eroica*, that signal the end of the characteristic symphony itself. Will explores the ways in which characteristic symphonies, with their relatively limited range of common topics—hunts, storms, expressions of national or regional character—went far beyond simple pictorialism to explore individual and collective human identity, emotion and its expression, and, crucially, the representation of time—the present time of social and political reality, alongside the remembered time of an actual or mythic past, and the imagined time of present events memorialized for the future. Will shows how music rooted in popular tradition and eager for popular appeal crucially inflects some of the canonic works of “elite” culture; further, and perhaps more radically, the wealth of evidence from contemporary musical and critical sources presented here, accompanied by Will’s subtle dialectic argumentation, suggests that little instrumental music of the period was not, in some sense, a part of the broad continuum of “characteristic” music, even if only in the ears of the listener. This is a beautifully coherent book, whose many-threaded argument returns repeatedly to its central themes, as it traces their changing colors and shapes through the period and across the repertoire.

Will offers theoretical reflections and close readings of contemporary critical texts in the introduction and in chapter 3. The third chapter is especially useful, with its analyses of Sulzer and Engel, whose essays on the notion of musical painting (*musikalische Malerei*) were the period’s fundamental texts on the subject. Will focuses the argument on the problematic slippage between image and feeling that troubles Sulzer and is more clearly expounded by Engel, who arrives, brilliantly, at the notion that “painting is expression” (p. 136): a congruence between the internal and the external that makes possible an aesthetic justification of tone painting. In dealing with the question of how the multiple and quick-changing affects of

more ambitious characteristic symphonies might be understood without reference to their texts (in the context of an aesthetics that privileged unity of affect), Will shows how the best characteristic music (and the symphonies in particular) might be understood to represent the composer's inspired response to the given narrative or poetic idea: rather than simple attempts at pictorialism that risk descending into nonsense when divorced from their explanatory texts, the disrupted and formally or affectively unusual elements of such works could be seen as the sublime records of poetic invention or inspiration (pointing eventually toward the Beethovenian artist-creator in the work). The challenges posed by the characteristic symphony are set out at the opening of chapter 1: "How to devise scenes that convey a plot and at the same time provide an appropriate variety of tempos and styles; how to give voice to voiceless protagonists; how to convey 'timelessness' in a temporal medium and 'drama' in a repetitious one" (p.30). What follows is a telling analysis of Dittersdorf's ambitious twelve-symphony set based on Ovid's *Metamorphoses* (1786), focusing in detail on the first, *The Four Ages of Man*. Unraveling this series of paradoxes, Will turns to Diderot's theory of dramatic tableaux, which allows for a combination of both calm and action, and he shows how in Dittersdorf's *Metamorphoses* action or narrative proceeds in a succession of potentially static tableaux unfolding from one to the next. Will looks to contemporary drama to suggest that expression itself might be seen as inherently dramatic, a form of action: dynamic movement is to be found in the dramatic progression of emotional states, and action inheres in the communication of emotions. In this context, repetition, which might appear at first glance antithetical to the notion of action, works to enhance the communication of sentiment; repeated hearings such as those deriving from the inherently undramatic repetition scheme of the minuet, for example, "spread affective meaning . . . into further precincts of the listener's consciousness" (p.65).

But repetition schemes and the dynamics of form do not say enough. The *Metamorphosis* symphonies' tragic endings and preoccupation with violence locate them in a historical moment of real instability; while they do not project an explicit critique of Josephinian reform and especially its use of violence, Will suggests that they reflect "undercurrents of anxiety" at contemporary social and political change: a lament for a lost Golden Age and a "dawning awareness of impending trouble" (p.82). It is a similarly dark vision that emerges from Will's reading of Haydn's *Seven Last Words of Our Saviour*, the focus of chapter 2. These seven symphonic slow movements probe further the tension between word and music, the oscillation between action and reflection, and the relation between musical depictions of nature's power and the transcendent sublimity of the divine. Given the impor-

tance of affirmation in the new aesthetic regime, Will sees Haydn's choice to end with the cataclysm of earthquake, without a hint of the coming redemption, as an expression of doubt at prevailing social and political currents comparable to Dittersdorf's. To my taste, the move from music to politics is rather too quickly made here. One would want to know more about the potential representation of hopefulness in Good Friday music—music that is some of the darkest of the church year—beyond the reference to Graun's oratorio *Der Tod Jesu*, whose libretto by Ramler does conclude with a premonition of victory. A related question in evaluating Haydn's *Terremoto* might have to do with the currency of earthquake in the late-eighteenth-century imaginary, in the wake of the devastating Lisbon earthquake of 1755. The *Tres Horas*, as Will tells us, were themselves instigated in response to the 1687 earthquake at Lima: if anything, a musical representation of the cataclysm that concludes the Crucifixion, marking the limits of language in the face of the awful sublimity of the natural world, would seem called for as the conclusion to this devotion; furthermore, the concluding earthquake would present the crucial opportunity for instrumental music—at its most characteristic—to come into its own.

The relation of text to music is presented with particular urgency in these pieces. Will likens them to a series of exemplary, if miniature, sermons that follow contemporary injunctions to avoid extraneous digression and concentrate instead on the elaboration of a single idea. With the texts of each "Word" printed in the score at Haydn's request, players, and surely most listeners for whom the texts would have been deeply familiar, would have been confronted with an instrumental music elucidating some of the most powerful, and performative, words of the Western canon. Transcending the status of text, "word" in this instance becomes act (as, for example, in "Consummatum est"). Will explores the ramifications of this paradox, demonstrating Haydn's responses to his texts as they range from word-painting (the unison cadence figure that sets the words "Consummatum est," for example) to the long-range structural and harmonic disruptions in "Deus meus," whose uncertain search for resolution Will sees as enacting the agonized search for reassurance by the suffering Christ.

The Christ figure represented here is a distinctly eighteenth-century one, human and fallible, full of feeling and sentiment. Yet typically, even as he brings home this point, Will turns the argument on its head to show how the indeterminate instrumental medium points, at the same time, beyond humanity toward the divine: especially during performances of the *Seven Last Words* at the darkened Good Friday observance of the *Tres Horas*, the disembodied emanations from the veiled orchestra intimated mysterious transcendence. Will's argument is beautifully elaborated

to show how the *Seven Last Words* critically engage with contemporary religious doctrine: as reformers called for a rational discourse and reduction of superstitious folk belief, Haydn's Good Friday music embodies the paradox of a religious culture "at once explanatory and revelatory, humanly expressive and divinely mysterious" (p. 119). The *Seven Last Words* draw from Will some of the best writing in this superbly written book, and the parallel exploration of pastoral, ranging from relatively little-known to fully obscure works by composers including Stamitz, Gossec, Pichl, and Pokorny, offers a wealth of finely argued insight. Though seemingly at odds with the profound import of Haydn's crucifixion music, Will shows how mid-eighteenth-century pastoral symphonies are its "closest relatives among characteristic pieces." In them, too, exemplary sermon and exemplary composition are joined (like the *Seven Last Words*, they tend to elaborate a *Hauptsatz* and its associated emotion with classic rhetorical clarity); and in their conservation of elements of popular religion, Will argues, pastoral symphonies, too, "run against the grain of Austria's 'Reform Catholicism'" (p. 84) as they appropriate folk tradition, with its superstitious overtones, for the purposes of serious contemplation.

Beethoven's Pastoral Symphony, of course, takes pastoral to a new level. Even when contrasted to comparable contemporary works (notably Knecht's *Portrait musical de la Nature*), Beethoven magnifies the "characteristic" elements in composing the "most 'rustic' music outside eighteenth-century pastorellas, but also moments of exaltation fit for an oratorio; an extraordinarily placid brook but also vigorous dancing; an uplifting hymn of thanks, but also a storm so disruptive as to recall not other storm music so much as battles" (p. 157). By the same token, symphony norms are themselves self-consciously manipulated here, and Will situates the Pastoral Symphony halfway between a symphony with independent movements and formal closure, and a characteristic symphony with open-ended, run-on movements favoring continuity and formal freedom: "The transition between paradise and trouble becomes a passage not simply from one musical style to another but between genres" (p. 157). Delineating its two-fold identity as both characteristic and not-characteristic work, Will cinches one of the central themes of the book—the exploration of time: while the "characteristic" half of the symphony, with its scherzo, storm, and finale approaches an unbroken, forward-driven narrative, the first two movements embody the time of the Idyll, a nonspecific time with its nonspecific sequence of events removed to the foggy distance of memory. Countering claims that the Pastoral Symphony is less concerned with humanity than the heroic works to which it provides a foil, Will argues that the trajectory it traces—from idyll, through cataclysm (the storm), to moral redemption (the religiously inflected hymn of thanks)—dramatizes fundamentally "human

concerns about morality and about the effect of time's passage on the paradises, real or imagined, that people value." Beethoven, Will reminds us, "told more than just heroic stories" (pp.186–87).

If time and memory are crucial to Will's reading of the Pastoral Symphony, so are memory and memorialization central concerns in the *Eroica* Symphony, "composed to celebrate the memory of a great man," with which the book concludes (p.188). In Will's discussion of the *Eroica*, everything that we have read earlier in the book comes into play. Here is a symphony that incorporates elements of both pastoral and battle symphonies; it is "characteristic" not only thanks to its subtitle, but also in its reference to the marches (of death or victory) and celebratory dances of other more typical Napoleonic-era characteristic music. The *Eroica*, Will writes, "has always been heard as suggestive of conflict, and, in the nineteenth century, specifically as a battle" (p.209); the first movement indeed references other battle music, with its unprecedented violent outbursts, passages rent by syncopation, and the cataclysm in the middle of the development section. It is also a representation of another kind of character—the portrait of a hero, depicted musically in the intense elaboration of the principal theme. But this is a hero prone to digression—indeed, to wandering into Arcadia and risking the near loss of the heroic goal (pp.211–12). Understanding of pastoral is now important, as pastoral is shown to be not just the foil to the heroic identity, but its very foundation: "Reconciling the *grand Uomo* with his pastoral inclinations enhances his mythic stature to the point of divinity . . . If at first pastoral topics stand for distraction, for sensual or illusory retreats from duty, by the end they have become a landscape that inspires, like the Swiss mountains whose embedded history of freedom and justice motivate Schiller's Wilhelm Tell to his struggle against tyranny" (p.213).

Will's *Eroica* Symphony is itself embedded in the political art of its era, its goal, like other Napoleonic poetry, painting, and music, is both to idealize the age and to set down its history. Describing how orchestral works mediate between memorialization of the specific and the ideal, the individual and communal, Will claims a more dignified role for musical reenactments of battles, funerals, and victory celebrations than normally accorded the bulk of this repertoire, so precariously verging on sensationalist trash. Discussing works including Beethoven's *Wellingtons Sieg*, Neubauer's *La Bataille*, and Paul Wranitzky's *Grande Sinfonie caractéristique pour la paix avec la République française*, Will emphasizes the "collective effort and emotion" apotheosized in such works and argues that they helped construct collective memories and bind together a society, "or at least a society of concert-goers who believed in the existence of such a thing" (p.189). Crucially, Will draws attention to the physicality of this music—its appeal to the mind through the body, its power

to create a kind of somatic memory, establishing “intimate links between memory, public performance, and movement” (p.189). This is the function of symphonic invocations of marching, singing, and dancing (and, in earlier musical battles, fleeing and wailing) that the audience is invited to join, either in the imagination or literally in a sing-along. Will discusses the tension between the specific and the idealized, even in so literal a piece as *Wellingtons Sieg*, which counters historical fact (with its French and English marches) with the generalized invocation of the “military and social ideal of synchronized motion.” Military training was itself, in a sense, musical, each action being broken down into a series of individual movements performed to a beat, and in a typically arresting detail, Will cites a contemporary American military manual, based on English practice, that explains “how to make a metronome from a musket ball and a piece of string, to ensure that each exercise is done in the correct tempo.”¹

What marks Beethoven’s *Eroica* apart from its contemporaries, however, is the presence of another hero: the composer himself. Will delineates the figure of the composer as Jean-Paulian humorist, manipulating the contrast-ridden textures of his artwork as he fashions his own representation of history. Unlike the collective effort of communal celebration registered in *Wellingtons Sieg* and other such pieces, from which the authorial voice is absent, the *Eroica* Symphony marks “the arrogation of a poet’s authority to interpret history” (p.215). It is no surprise that contemporary critics considered Beethoven himself, as much as Napoléon, to be the hero of the *Eroica*. These conclusions are arrived at here, as in the course of the whole book, through close reading, subtle argument, carefully inflected thought. One comes to the end of this book with a heightened appreciation of not only the characteristic symphony as genre, but also Will’s supple approach to his topic. The genre, he concludes, is situated “in the middleground between reality and the ineffable” (p.240), existing in constant tension between the ideal and the actual, and between music and language: “like individual and community, material and ideal coexist in a medium that refuses to grant priority to either of its constitutive parts, music or language” (p.241).

There is much more to this densely packed book than I can begin to detail here. Will mentions only comparatively briefly, and tantalizingly, performance contexts for characteristic symphonies, including events in which spoken texts were declaimed between symphony movements (a regular feature, he tells us, of patriotic concerts during the Napoleonic era), and performances of these works

1. From Edward Gillespy, *The Military Instructor, or, New System of European Exercise and Drill as Now Practised by the British Army* . . . (Boston: n.p., 1809). Will, *The Characteristic Symphony*, p.193.

before *tableaux vivants*. The latter's mixture of drama and visual image touches on another area that Will leaves for further study: many of the book's discussions indicate, but do not explore, points of contact between characteristic music and contemporary visual culture: what is at stake, after all, is *musikalische Malerei*, and the characteristic symphony would seem to play a crucial part in contemporary intersections among music, text *and* picture. One further point—a question that is something more than a quibble, and which reaches beyond this particular book: despite relying heavily on North German theory and criticism for his readings of the largely Southern repertoire he discusses, Will does not specifically address the relation between North German music aesthetics and criticism (deriving primarily from a Lutheran-rationalist tradition) and Viennese musical practice (based in a largely Italo-French intellectual tradition). Much recent writing on music and culture of this period has tended to assume tight connections between the two, despite the geographical, confessional, and intellectual gap; it might be time for a fuller unraveling of this complex web of intersections.

Finally, Will generously supplies appendices listing in detail the period's two-hundred and twenty-five (or so) characteristic orchestral works that he has identified. In describing the hermeneutic richness of characteristic music at the beginning of the book, Will suggests that his study will necessarily be partial and limited. Don't believe him. This book is the definitive study of the genre, and an exemplary piece of musical scholarship.

Sonate, Que Me Veux-Tu?

Robin Stowell

The Beethoven Violin Sonatas: History, Criticism, Performance. Edited by Lewis Lockwood and Mark Kroll. Urbana and Chicago: University of Illinois Press, 2004. 164pp.

Just as Max Rostal's treatise was hailed as "the first in over half a century to be devoted to a detailed analysis of the complete Beethoven Violin and Piano Sonatas,"¹ so this volume is claimed as the first scholarly book in English devoted exclusively to those works. Its seven stimulating essays by some of the world's most distinguished Beethoven scholars derive from a festival and conference held at Boston University in October 2000, directed by Lewis Lockwood and Mark Kroll. Each of the ten Sonatas is discussed during the course of the volume; and their chronology is preserved throughout, thus allowing for a clear demonstration and understanding of Beethoven's compositional development in the genre from the three Sonatas of op.12 through the G-Major Sonata, op.96.

Although its essays are largely complementary in tracking this development and appreciating the central role that Beethoven played in the history and subsequent growth of the genre, the volume's coverage is neither as comprehensive nor as balanced as it might be. For example, it devotes two chapters to the "Kreutzer" Sonata, op.47—not the first time this work has overshadowed others in the genre with arguably greater claims to detailed attention, most notably, perhaps, op.30,

1. Max Rostal, *Ludwig van Beethoven, die Sonaten für Klavier und Violine: Gedanken zu ihrer Interpretation* (Munich: R. Piper, 1981); Eng. trans. (London, 1985), jacket summary.

no.2, in C minor. The eccentric A-Minor Sonata, op.23, described by Lockwood himself as “the wayward stepchild among Beethoven’s sonatas” (p.26), also suffers from comparative neglect. Furthermore, that Rainer Cadenbach’s contribution to the Boston Colloquium about op.30, no.1, has not been included in these “proceedings” adds to the perceived imbalance in the publication’s content. Nevertheless, all the essays are rich in information and knowledge, and each bears the hallmarks of erudition and effort.

Sieghard Brandenburg brings to bear the full weight of his incomparable knowledge of Beethoven’s Violin Sonatas in his overview of the three works of op.12, and demonstrates how Beethoven imitated, appropriated, and assimilated models of Viennese classicism while forging his own independent, personal style. In addition to following Mozart in labeling his first works in the genre as Sonatas for Cembalo or Pianoforte with a Violin, adopting a three-movement scheme, and introducing a new parity between the keyboard and the “accompanying” string instrument, Beethoven was especially indebted to Mozart’s Sonatas in E \flat (K.380), B \flat (K.454), and A (K.526) for his creative inspiration. Brandenburg also brings into the equation Beethoven’s own maturing compositional processes as exemplified in his early A-Major Sonata fragment (1790–91), Rondo WoO41 (1792), and his twelve Variations on “Se vuol ballare” WoO40. He offers some perceptive analytical commentary about the individual movements of the op.12 works, makes some interesting observations on the available sketches, including their status and dating, and examines the biographical background to their genesis. He concludes by discussing their somewhat mixed public reception.

Lewis Lockwood considers the stylistic background and profile of the “Spring” Sonata in F, op.24 (1800), in his contribution entitled “On the Beautiful in Music,” after the long-accepted translation of the title of Hanslick’s essay *Vom Musikalisch-Schönen*. He believes that Beethoven sought in op.24 to create a sonata of especial beauty and claims that the composer “harnessed special technical means, derived from antecedent works by himself and others, to carry out this purpose” (p.24). In just three years Beethoven’s language had certainly tautened and become more concentrated, and the violin had become a more equal voice in a democratic texture. Focusing on the calm and expansive serenity of the pastoral opening movement of op.24, Lockwood examines Beethoven’s sketches to discover how the composer revised his melodic lines to achieve their ultimate graceful and lyrical expression. Building upon analytical essays on the sketches by Oswald Jonas, Franz Eibner, and Carl Schachter,² he draws, among many Mozartian comparisons, interesting melodic

2. Oswald Jonas, “Beethovens Skizzen und ihre Gestaltung zum Werk,” *Zeitschrift für Musikwissenschaft* 16 (1934), 456–59; Franz Eibner, “Einige Kriterien für die Apperzeption und Interpretation

parallels with *The Magic Flute*, notably with the music for Pamina and Tamino when they are reunited after their long separation. Lockwood contends that Beethoven purposefully composed a small group of works in which he aimed to emphasize melodic beauty, serenity, and gentle lyricism rather than the “unfriendly, wild, sombre and tempestuous” qualities for which he had been criticized in the press.³ During the course of this dissertation Lockwood also relates op.24 to the A-Minor Sonata, op.23, and places both Sonatas in the context of other Beethoven works of the period, notably his Piano Sonata in B♭ Major, op.22, and the Second Symphony.

Richard Kramer’s “‘Sonate, que me veux-tu?’: Opus 30, Opus 31, and the Anxieties of Genre” is based on Fontnelle’s “riddling question” (Sonata, what do you want of me? [p.47]), which he pursues through Beethoven’s Piano and Violin/Piano Sonatas, ops.30 and 31, illuminating “the problematics of genre at a critical turn in Beethoven’s career” (p.57). The rare and exceptional sketches for op.30 in the Kessler sketchbook throw interesting light on Beethoven’s models and working methods, thanks to Kramer’s analysis, with Mozart’s Sonatas for Piano and Violin, K.296, K.379, and K.526 once again identified as significant precursors. Kramer argues that Beethoven’s “engagement with the violin sonata in 1802 is . . . a ‘clearing of imaginative space’ . . . opening onto the next stage in an obscure, labyrinthine process that enables the conceiving of the piano sonatas of Opus 31” (p.49). In truth, he probably gets too carried away for comfort with Harold Bloom’s notion of a “precursor” and his own resultant assessment of the Piano Sonatas, op.31, in which he claims that “the inflections of a new voice are manifest at every turn” (p.47). As a consequence, he fails to give adequate consideration to the three Violin Sonatas of op.30.

“In the aftermath of Opus 31,” Kramer concludes, “Beethoven would formulate a new poetics of the accompanied sonata, where the violin, from its hortatory quadruple-stop, newly controls the discourse” (p.57). As a result, confrontation and virtuosity become prominent features of the so-called “Kreutzer” Sonata, op.47 (1803), which is the subject of essays by both Suhnne Ahn and William Drabkin. As Ahn contends, op.47 stands apart from the other sonatas, not only because its finale was composed first—Beethoven evidently considered it “too brilliant” (p.62) a conclusion for op.30, no.1—but also on account of its *concertante* style and descriptive subtitle, which the Frankfurt correspondent of the *Allgemeine musika-*

von Beethovens Werk,” in *Beethoven-Kolloquium 1977*, ed. Rudolf Klein (Kassel: Bärenreiter, 1978), pp.24–35; Carl Schachter, “The Sketches for the Sonata for Piano and Violin, Op.24,” *Beethoven Forum* 3 (1994), 107–25.

3. AmZ (26 May 1802), cited in *Ludwig van Beethoven*, ed. Joseph Schmidt-Görg and Hans Schmidt (London: Pall Mall, 1970), p.136.

liche Zeitung considered “eccentric, presumptuous and ostentatious.”⁴ Following her examination of the sources, Ahn considers the aesthetic of balance at various levels, appreciating the symmetry of the two outer movements and taking in a brief overview of some other fundamental structural issues before dealing with the marked change in the relationship between the violin and piano. She claims that, in the context of Beethoven’s own titles for his accompanied sonatas, “opus 47 is a watershed marking the equal status of the participants” (p.68). She moves on to consider aspects of the dialogue between the two instruments in the context of the work’s *concertante* style, making reference to Owen Jander’s work in this area⁵ and claiming that Beethoven “brings to the sonata a dynamic adapted from the concerto, or concertante, in which a continuing dialogue emerges as performing forces vie for dominance or, one might say, individuality of effect” (p.77). She considers Beethoven’s “Kreutzer” Sonata essentially as a concerto for violin and piano, stressing its virtuoso requirements and some similarities of approach with his Violin Concerto, op.61, and the concerto fragment WoO5, and she views it as a significant precursor of the composer’s Fourth Piano Concerto, op.58.

William Drabkin’s lecture in the Boston conference in 2000 was originally billed as “Dvořák’s ‘Kreutzer’ Sonata.” This title provides clear pointers to the final thrust of his contribution, “The Introduction to Beethoven’s ‘Kreutzer’ Sonata: A Historical Perspective.” Taking up Sir Donald Tovey’s view that the introduction to the first movement of op.47 is “one of the landmarks in musical history,”⁶ Drabkin considers the passage’s tonal organization and examines the “sources” for its construction, discussing two possible models for Beethoven in the tonal plans of Mozart’s String Quintet, K.516, and Piano Quartet, K.478. Other possible influential major/minor models by Haydn and Mozart also enter the argument, eventually broadening from sonatas into selected symphonies from the 1780s and 1790s. Nevertheless, Drabkin maintains that the reception of the “Kreutzer” Sonata has had more to do with its name than with its musical content, and he eventually rejects any direct influence of either Mozart or Haydn, “whose moves from major to minor must be understood more as digressions than modulations” (p.97). In the second part of his essay, Drabkin discusses the “Kreutzer” introduction’s possible influence on later composers, demonstrating its perceived resonances with works in A major [minor] by Mendelssohn (the String Quartet, op.13) and Dvořák (the Piano Quintet, op.81).

4. AmZ (28 August 1805), cols.769ff.

5. Owen Jander, “The Kreutzer Sonata as Dialogue,” *Early Music* 16 (1988), 34–49.

6. Donald F.Tovey, *Essays in Musical Analysis: Chamber Music*, ed. Hubert J. Foss (London: Oxford UP, 1944), p.135.

The G-Major Violin Sonata, op.96, is in many ways the complete antithesis of op.47; though cast on a large scale, it generally eschews the grand gesture for the intimate and inward-looking. Maynard Solomon's essay constitutes a novel critical assessment of this work in aesthetic terms. After a lengthy introduction, in which he delves into, among other issues, the pastoral poetry of the ancient world and allows his imagination to run riot about the extensive range of the pastoral style's affects and images, he discusses briefly the pastoral vocabulary of Haydn and Mozart. Solomon cites Mozart as Beethoven's chief inspiration for his adoption of the pastoral style, "primarily to create a contrasting moment in a larger nonpastoral design" (p.112). However, he later makes a detailed case for the G-Major Violin Sonata, op.96, to be considered as one of only two instrumental works (the Pastoral Symphony is, of course, the other) in which Beethoven deployed pastoral style throughout. He deals with each of its four movements in turn, demonstrating the distinctive version of pastoral and the various pastoral topics in each. While the first movement brings to his mind "musical analogues of such venerable Arcadian poetic genres as the idyll or the eclogue, the slow movement . . . speaks the eloquent language of pastoral's most plangent genre, the elegy,"⁷ its key (E♭ major) being a "primary signifier of the elegiac mode, with its rhetoric of invocation, questioning, outcry, lament, consolation, and ultimate acceptance" (pp.116–17). Solomon continues in similar vein with a consideration of the scherzo and the final set of variations, indulging in some flowery language and not always retaining this reader's full attention and interest. Regrettably, there is no room here for even a mention of the circumstances surrounding this work's composition, in particular the performers for whom it was written (the French violinist Pierre Rode and the Archduke Rudolph) and how they may have influenced its content; for it is well known that letters from the Archduke Rudolph to Beethoven warned him that Rode was past his prime as a violinist and advised him to "customise" the new sonata to fit with Rode's limitations, particularly his bowing. The result was a sonata specifically tailored to not only the requirements but also the limitations of its intended recipients. Beethoven was thus moved to modify his compositional approach and built the work out of long slurred lines such that one reviewer commented: "It seems almost as if this great composer is coming back to melody in his latest works."⁸

7. Solomon seems here to have been inspired by a reviewer for the Viennese *AmZ* (2 Oct. 1819), who maintained that the *Adagio espressivo* "might be called an eclogue, so tenderly does the Arcadian shepherd make complaint of his unhappy love to the hills, trees and bushes, fountains and flowers"; in Schmidt-Görg and Schmidt, *Ludwig van Beethoven*, p.146.

8. *AmZ* (26 March 1817), in Schmidt-Görg and Schmidt, *Ludwig van Beethoven*, p.145.

So far as I am aware, Mark Kroll did not contribute a paper to the original Boston festival-conference, but he was involved nonetheless as a performer. His essay on Beethoven's keyboard legato appears to be a substitute for Cadenbach's paper about op.30, no.1. Kroll is acutely aware of the transformation in Beethoven's sonatas from op.12 to op.96 in terms both of style and in the demands made on the performers and their instruments. He particularly acknowledges the pianist's constant challenge of matching not only the violinist's rich palette of colors and dynamics but also his capability of producing a seamless legato. Beethoven's piano playing was consistently renowned for such a legato (or "overlegato," "superlegato" or "legatissimo"), achieved chiefly by prolonging notes not so much by means of a pedal (as advocated by Milchmeyer and Steibelt) as by holding them down with the fingers rather longer than their notated values. He supports his theory with evidence from a wide range of sources, including Schindler, Czerny, Thayer, Gerhard von Breuning, Therese Brunsvik, and the portrait painter Willibrord Joseph Mähler, as well as the keyboard treatises of Löhlein, Hummel, Adam, Zimmerman, and others of the more distant past, thereby confirming the strong links that existed between the pianism of the time and earlier harpsichord, clavichord, and organ traditions. Freely admitting that there is no unanimously agreed notation for overlegato, the use of which naturally depended on factors including musical context, the particular instrument employed and the acoustics of the venue, Kroll provides numerous examples of its expressive application in Beethoven's Violin Sonatas, sometimes in one hand while the other is employing a contrasting articulation. His essay certainly encourages pianists to take due account of a Beethovenian keyboard technique based on centuries of tradition, to think twice before succumbing to a dependence on the pedal and other practices of the late nineteenth century, and to use the fingers to their full cantabile potential. More is the pity that the chapters on performance practice issues in this book stop at just this one; for the volume might also have covered with advantage numerous aspects of interpretation in addition to overlegato, not least matters of violin technique and performance practices during a period in which stringed instruments were undergoing fundamental and dramatic change.

A volume of collected essays like this always runs the risk of being viewed as an eclectic collection of great significance to the contributors and the object of their veneration but as too disjointed to appeal to a reading audience. However, these essays, while diverse and eclectic, are remarkably free from repetition and contradiction and display a cohesion that allows the collection to fill a need and stand as a book with internal organization and direction. As far as the text is concerned, few errors have escaped the eagle eyes of the editors or their assistant, Matthew Cron.

However, the term “appoggiatura” (p.141) and the name of one of the contributors (Suhnne Ahn, pp.159 and 161) are misspelled, as are various finer details in Table 4.2, Partial Contents of First-Edition Title Pages, Arranged Chronologically (p.69); and the editorial team might with advantage have exercised tighter control over the prolixity of some essays, which appear to have been expanded far beyond their original conference paper versions. These are, however, only minor cavils in the context of the publication as a whole, which, while it in no way takes account of all the facets of Beethoven’s Violin Sonatas, brings together a wealth of material and interprets it in a manner and style accessible to a broad readership, ranging from the interested amateur to student music specialists and scholars.

Brought to Book? New Essays on the Beethoven Quartets

William Drabkin

The String Quartets of Beethoven. Edited by William Kinderman. Urbana and Chicago: University of Illinois Press, 2006. [vii], 352pp.

The Beethoven string quartets are not only the most popular corpus of chamber music, the best sellers of concert series, but are also widely regarded as a pinnacle, even *the* pinnacle, of Western art music. If their importance in the canon is not quite matched by writings about them—the bibliography of *The String Quartets of Beethoven* lists just four English-language surveys in the last half-century: Philip Radcliffe and Joseph Kerman in the sixties, Robert Winter and Robert Martin and Leonard Ratner in the nineties—a new survey or perspective should be all the more welcome.

The book under review is not quite the monograph that the title implies. Its origins go back to a conference organized by William Kinderman and held at the University of Victoria in 2000; almost all of the chapters elaborate scholarly papers given at that conference, with a further essay developing a paper from a more recent conference organized by Kinderman. The editor is, however, responsible for a good quarter of the book, having written an introduction and the opening and concluding chapters, on the op.18 set and the late quartets, respectively. There is a detailed appendix (pp.323–30) with a chronology of the quartets and information about sketches, autographs, first performances, and early editions; as some of the autographs have recently changed hands, and a short piece in B minor for string quartet came to light only in 2001, there is much here that supersedes the information currently available in standard reference works. (The rediscovery of the op.134

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autograph in 2005, however, came too late for inclusion here.) The thirteen-page Selected Bibliography gives ample coverage of the literature, even though it appears to be restricted to a compilation of works cited by the contributors.

Between the sections for which the editor is responsible are nine essays by established scholars in Beethoven studies. Three are on single works—two on the “Harp” Quartet, op.74, one on op.95—and three more are on aspects of single movements of late quartets (four if one follows Kinderman’s lead in reckoning the *Grosse Fuge* as the only credible finale to op.130). Two chapters offer a theoretical perspective and cover a range of quartets.

The application of theory to a group of works is dispatched at an early stage. Metric displacement is a familiar theme in Beethoven’s works, though it is more often discussed in relation to the public genre of symphony, rather than to the quartets. As a theoretical problem it is handled well by Harald Krebs, with a distinction made between the displacement of the beat and the regrouping of beats against the prevailing meter (“grouping dissonance,” as it is called here [p.32]). Thus the opening of the scherzo of op.135 is an extreme instance of the former, with the first violin, second violin, and viola articulating the prevailing $\frac{3}{4}$ time in different points of the measure; the second strain of the same movement provides a *locus classicus* of grouping dissonance, i.e., two against three. There are places at which the discussion might have benefited from reference to a wider repertory, especially the quartets of Beethoven’s predecessors: thus the trio of op.18, no.1, may be usefully related to the minuet of Haydn’s op.77, no.2, and something could also have been said about the minuet “alla Zingarese” in Haydn’s op.20, no.4, and the second variation from Mozart’s K.421 in D minor, in which each of the four parts implies a different time signature. I am also not persuaded by the claim for hemiola in the opening of the second movement of Beethoven’s op.132: the consistent three-note slurring within the measure—G \sharp –A–C \sharp | C \sharp –D–F \sharp | A \sharp –B–D \sharp | D \sharp –E–G \sharp —strikes me as entirely regular, and thus seems the perfect foil for later, unambiguous instances of both grouping dissonance and metric displacement—indeed, the wholesale displacement of Beethoven’s early keyboard Allemande in A, WoO 81 in the trio section of this quartet movement.

But the bulk of Krebs’s essay is concerned with the creative process, what the sketches and an early score tell us about metrical dissonance in two movements from op.18. The sketches for the finale of op.18, no.6, pose a problem: when a single line is made to stand for several contrapuntal parts, Beethoven often puts it in a regular form, leaving the rhythmic dimensions of the texture to be worked out at a later stage. By contrast, the early version of op.18, no.1, famously rejected by the composer in a letter to Karl Amenda, is fertile ground on which to study metrical

dissonance prior to the final product, and the genesis of the phrase leading into the recapitulation of the first movement is charted with great assuredness.

The other theoretical study, again restricted to a few works—the “Razumovsky” set—concerns pitch connections in the highest register as a structuring device. It should be stressed that Malcolm Miller’s “Peak Experience” is not a Schenkerian study—it is remarkable that so few studies of string quartets have embraced the theories of Heinrich Schenker—but one that is concerned with the upper voice when it is well above the range of the normal “obligatory register” (p.61). Implicit in the study is the notion that there is an upper limit in the writing for the first violin: c^4 may be approached, but it should never—almost never—be exceeded.

Of course, c^4 is neither a theoretical nor an actual limit: the later quartets of Haydn often exceed this, e.g., eb^4 in op.64, no.6, e^4 in op.76, no.2, d^4 in op.77, no.2. But Haydn’s procedure is entirely different from Beethoven’s of the middle period, in that his high points come at moments of “wit,” when the texture deliberately calls attention to the abnormally high, exposed first violin part, and, more crucially, these points are not matched elsewhere in the work.

The basic plan of the author is to analyze each movement of each of the three quartets for its high-register content; the high notes then take the form of a musical graph, with the beams becoming arrows of implication along the lines of Leonard Meyer and Eugene Narmour’s implication-realization model. The information gathered here is then distilled into a single graph for each quartet as a whole, so that one is able to track large-scale registral connections both within and between the four movements. In a final section, on “Cyclic Unity in Op.59,” the graphs of the three movements are further conflated to yield a single neighbor-note progression, c^4 – b^3 – c^4 in counterpoint with the three tonics: F–E–C. (No attempt is made to circumvent the consecutive fifths arising between the first two quartets.)

To analyze all three quartets from this perspective is ambitious; but even allowing for such a fanciful approach to “unity” in the set, the question remains: Do we really hear these high-register connections? That is, has the author made a convincing case for an alternative concept of obligatory register? Or, to put it from a listener’s point of view, are the dangers encountered in the violin on the high wire more likely to be remembered than those in a singable register? Or are first violinists themselves more likely to structure these quartets in terms of this type of exposure with which they are confronted? The answers to these questions may have to await a more general theory of registral deployment in the Classical string quartet.

Each of the remaining central chapters is concerned with a single quartet, in two cases a movement from a quartet, with a slight bias toward the later works of the middle period. Much more is claimed here for the Quartet in Eb , op.74,

the so-called “Harp” Quartet, than by previous commentators; we are urged to understand the work more as a harbinger of the late style than as a soft option to the “Razumovskys,” the modernity of its textures and gestures outweighing its basically eighteenth-century approach to form: an “experimental quartet” (p.90), as Lewis Lockwood boldly puts it, which at the same time lies at the heart of “the romantic twilight of Beethoven’s second maturity” (p.91). But 1809, the year in which the French began a long occupation of the city of Vienna, is not just the start of the cooling of the heroic style; it is also marked by Vienna’s farewell to Joseph Haydn, and the “Harp” Quartet’s resonances with Haydn’s late quartets—notably with the first movement of op.76, no.6, but also the slow Fantasia from the same work and the closely related slow movement from op.76, no.4—is an important theme in Nicholas Marston’s essay. Marston’s survey of the “Harp” reception is a useful reminder of just how fragile our assessments of masterworks may be. In our attempts to relate Beethoven quartets to each other, to the heritage of classical Western music, and ultimately to human life in its countless manifestations, what any of us has to say is so brittle that our willingness continually to engage with these pieces is itself something to marvel at.

In view of the fragility of critical pronouncements, I am a little uneasy about an account of op.74 in which the first movement, “notwithstanding its Allegro marking, . . . is *heavily characterized* by a ruminative, brooding quality, born of the opening bars, that is *suggestive of a fantasia*” (p.122, my italics), with the somewhat gratuitous marginal observation that “the relevance of the fantasia topic to the corresponding movement of op.31, no.2 is self-evident” (p.130, n.32). What are we to make of this? What are we to learn from it? And how much do we really know about Beethoven’s knowledge of Haydn’s later quartets, and about his appropriation of material from them? Admittedly, the similarities between the variation themes of Beethoven’s op.74 and Haydn’s op.76, no.6, are too clear to be overlooked; but what evidence do we have that Beethoven knew the rest of the quartet well enough to take ideas from it? To my ears, those organ Preludes, op.39, have more in common with the fantasias of Haydn’s late quartets than does any *fantasieren* discernible in op.74. By this I do not wish to imply that Haydn’s work had little to offer Beethoven, or to teach him; but Beethoven’s engagement with the older composer in and immediately after the year of his death may be better understood as an homage, on a more literal level, not by the composition of a set of quartet variations in E \flat , but also through the quintessentially Haydnesque form of a major-minor double variation set (Trio in E \flat , op.70, no.2, second movement) and a symphony that consciously evokes the scope, plan, and grace of a bygone age (no. 8, in F).

The other study of a middle-period quartet is Seow-Chin Ong's essay on a variety of aspects of op.95 in F minor, a work that Beethoven himself insisted was "never to be performed in public" (p.163). Connections between the Quartet and the *Egmont* Overture (also composed in 1810) are undeniable, but I believe that the relationship of the Quartet to the incidental music as a whole is overstated here. It is one thing for a key (D major) to be used in contrast to another (F) that serves as the home key in a *cycle of pieces*, but quite another for it to appear as a contrasting key *within* a movement. It is also a mistake to call D major the "submediant" of F minor, thus conflating two very different tonal relationships.

Of greater value is Ong's account of the manuscript sources for op.95, which includes significant changes to the chronology of the work as set out by Alan Tyson. (Here, some facsimile pages would have been useful, as much of the argument depends on questions including whether facing ink-blots match up.) The sketches for the first movement are the author's main point of focus. These offer fascinating insights into the choice of key for the scales near the start of the closing group of the recapitulation (mm.107 and 118 in the final version), though some of the sketches for the development have been harmonically over-interpreted, and the author's method of distinguishing early and later versions of a sketchbook entry is at times counterintuitive.

Most interesting of all, however, is Ong's discussion of paper types used by Beethoven between 1810 and 1815. He offers a convincing set of arguments that Beethoven completed the work essentially as we know it in 1810, and not many years later, as is often speculated. A chronology of the Beethoven quartets that gives us op.59, op.74, and op.95 in virtually all its particulars in the space of five years, from 1806 to 1810—compare op.18 (1798–1800) and the late quartets (1824–26)—suggests that the F-minor work belongs clearly to a middle period of quartet composition, not to some transition from middle to late. The strongest arguments in favor of the earlier date are:

1. that the inscription "1810 im Monath oktober" in Beethoven's hand is centered neatly at the top of the first page, and thus predates other inscriptions, including the title "quartetto serioso" and the dedication to Nikolaus Zmeskall (here, too, a facsimile would have been useful);
2. that the vast majority of paper used for the autograph is the same as that found in the sketchbook Landsberg 9, which was used in 1814 (a fact that has been used in the past to support a *later* dating of the autograph) but was itself put together from an assortment of various papers;
3. that other sketchbooks of the period, among them a home-made sketchbook of 1814–15, include types of paper Beethoven had used for earlier

projects, and thus “we may surmise . . . that in 1814–15, Beethoven stitched together a couple of sketchbooks . . . from remnant folios salvaged from papers that he had used about four years earlier” (p.161); and, finally,

4. that the date of October 1810 is, after all, in Beethoven’s hand and “we really have no good grounds to doubt him” (p.159).

Of all these points, the one most likely to raise the eyebrows of seasoned Beethoven scholars is the last one: many of us have very good grounds to distrust the composer when he claimed—in May 1813—that a quartet was complete but that he had “forgotten to have it copied” (p.155) for its dedicatee. And, while I am now inclined to accept Ong’s arguments that op.95 is “fundamentally a work of 1810” (p.163), the big question remains unanswered: why was its publication delayed by more than six years?¹

It is symbolic of the difficulties of the late quartets, i.e., their resistance to explication, that each of the conference essays on them focuses on just a single movement; as a result, there is little in this book on op.135, or on substantial parts of the other works. We have, by way of compensation, Daniel Chua’s ambitious study (1995) of the three quartets dedicated to Nikolai Galitzin, which seeks to bring down some of the barriers around these works (though it manages at the same time to erect new ones); its challenging ideas will need time to be absorbed into, or rejected by, the mainstreams of Beethoven criticism. (The signs in *The String Quartets of Beethoven* are not, on the whole, promising, but it is still early days.)

The safest of the late quartet essays, and the most informative, is by William Caplin, on the genesis of the subject and countersubjects of the *Grosse Fuge*. It is informed by a basically Schenkerian approach to counterpoint (strangely, William Renwick’s foundational work on voice-leading analysis and fugue is not cited), and the analysis of the work’s contrapuntal requirements is always intelligent. The author also considers the fugal and nonfugal elements together, as befits Beethoven’s late style.

It is especially fascinating to see the ways in which Beethoven appears to have alluded to previous works in the earliest jottings for the fugue (described here as “‘primitive’ sketches” [p.241]), as if he was using the work to sum up earlier achievements. One of these, unsurprisingly, is the Ninth Symphony, which resurfaces in

1. The editor of the book could have done more to acknowledge his contributor’s research. In the appendix, he repeats the familiar notion that “the quartet was presumably revised before its publication” (p.326). While this statement does not actually contradict the idea that “op.95 is fundamentally a work of 1810,” it fails to alert the casual reader that a significant part of one chapter in his book is devoted to one of the thorniest dating problems in Beethoven’s *œuvre*.

the form of counterpoint between the eight-note subject of the *Grosse Fuge* and a clear derivate of the “Ode to Joy”; this was tried over in several sketches, none with successful contrapuntal results. (I would also venture to suggest that there is an allusion to the *Eroica* [see Example 9.14a, taken from the sketchbook Aut. 9/5, fol.13^r, line 2]. This relationship is not based on a commonality of theme, but on a procedure: the eight-note subject is treated as the *basso del tema* of a bipartite dance theme, as we find in the “Eroica” Variations, op.35, and the eponymous Symphony.)

Caplin traces the complex of fugal themes toward their definitive version, and his analyses of the sketches are mostly sensible, and at times insightful, with eventual progress toward the final version. I am not wholly persuaded by all of his judgments about Beethoven’s counterpoint (more than one supposed “clash” can, I believe, be accounted for by taking a larger view of the passage in question). And there are a few transcriptions that do not seem entirely right: if one or two notes in a given line were read a step higher or lower, then more of the sketches would make sense in their own terms. Once more, the absence of facsimiles is to be regretted, as the reader is obliged to take all sketch transcription on faith. (In the entire book there is only one autograph facsimile, the frontispiece, which reproduces the beginning of the Cavatina from op.130, a movement of only tangential importance here. In other respects, however, the book is a model of production, with a clear layout, generous exemplification in music notation, and remarkably few printing errors.)

The remaining studies, on individual movements—the first of op.127, the third of op.130, and the last of op.131—explore the psychological and mythical regions of Beethoven’s late style. These are tough essays and bear witness to a great deal of hard thinking and extensive reading; the attention they merit would take me well beyond the scope of a single-book review. Collectively, however, they highlight the lack of a single, or unified, perspective on the quartets that the title of the book implies. Thus, for instance, the key words associated with the individual movements—temporality, mythology, plenitude, the uncanny—and the claims arising from them are inadequately tested on other parts of the repertory. To give but one example, consider what is said by Joseph Kerman about the introduction of a new theme, in the finale of op.131, very soon after the first: “Although precedents can be found, this certainly doesn’t happen very often” (p.263). And yet precisely the same thing does indeed happen in the pieces discussed in the adjacent essays: in *both* outer movements of op.127 (I, m.22; IV, m.22), and in the third movement of op.130 (m.11, after a one-measure pizzicato run-off from the first theme).

Kinderman’s introductory and concluding chapters are useful because they flesh out the picture of the quartets as a whole. (It would have been helpful to

have a similar conspectus of the middle-period quartets, or maybe just of op.59, which is represented here by an overly specialist essay.) In these chapters, the editor fills in some of the cracks left by his contributors. It is particularly useful to have a summary of research into the genesis of op.18 since the Beethoven decade of the 1970s, and a review of the game of musical chairs Beethoven played with movements from the late quartets: the plan for a fifth movement for op.127 (“La gaieté”); the transfer of the “Danza tedesca” from op.132 to op.130; the similar removal of a “Süsser Ruhegesang” from the end of op.131 and its repositioning as the slow movement of op.135; and of course the saga of op.130 and the *Grosse Fuge*. (Kinderman does not like to think of the fugue as an independent piece: his reading of op.130 depends on the fugue being heard in final position.) In essays as wide-ranging as these, there are apt to be points to which readers will be in full agreement or violent opposition, depending on their own experience and insight.

My main misgiving here is Kinderman’s assumption—a point he makes early on—that op.18 is the “magnum opus” of the first Viennese decade. This may be true objectively, insofar as it is the largest group of instrumental works collected as a single project—in effect, the last ever set of six string quartets—but it does not tell us a great deal about Beethoven’s achievement during the period. In at least five other genres—piano sonata (from op.2), piano trio (op.1), cello sonata (op.5), violin sonata (especially ops.23–24), and piano concerto (especially op.15)—he contributed important developments and innovations, when we set these beside comparable works by Haydn and Mozart; can the same be said of op.18 in relation to the quartets of these composers? Surely not to the same extent.

This brings me to a further general comment about the editor’s role in rounding out the picture of Beethoven’s early style: the underestimation of the eighteenth-century quartet tradition. In light of what we know, both historically and critically, about Haydn and Mozart as composers of chamber music for string instruments, it is no longer justifiable to describe Haydn’s op.33 set as a stylistic “peak” in his output; nor is it right to single out Mozart’s “famous ‘Haydn’ set” (p.1) as a second peak, when one considers how important the emancipation of the cello in the three “Prussian” quartets is for the Beethoven of op.18 and beyond.

In the final essay, Kinderman’s magisterial command of the repertory and the literature—he has done important primary research on the late Piano Sonatas and the “Diabelli” Variations, the *Missa solemnis*, and the Ninth Symphony—is put to much better use in a general survey of Beethoven’s very last works: here is a voice that is both authoritative and eloquent, providing the kind of statement that will stimulate thinking from a new generation of scholars. But this essay, so crucial to

the volume as a whole, invites us to ask: what kind of book is on offer? So many of the other essays here could have stood alone as articles in this journal, or elsewhere; collectively they do not provide what seems crucially absent: a summing-up of Beethoven's achievements in op.59, or in the middle-period Quartets as a group. And while it is clear from the beginning and ending of *The String Quartets of Beethoven* that the editor has a vision about these works, it is less clear, from the evidence of the chapters in the middle, that the book as a whole offers something quite so well defined.

Contributors

Nicole Biamonte is assistant professor of music at the University of Iowa. Her other work on Beethoven includes her dissertation, *The Modes in the Music of Beethoven, Schumann, and Brahms: Historical Context and Musical Function* (Yale, 2000), and an essay comparing Haydn's and Beethoven's duplicate folk-song settings.

Tim Blanning is professor of modern European history at the University of Cambridge and a Fellow of Sidney Sussex College. He is also a Fellow of the British Academy. His most recent book is *The Culture of Power and the Power of Culture: Old Regime Europe 1660–1789*.

William Drabkin, reader in music at the University of Southampton, is the author of books on Beethoven's *Missa solemnis* and Haydn's early string quartets. His editions, in English translation, of the writings of Heinrich Schenker from the 1920s were recently awarded a Special Citation from the Society for Music Theory. He has transcribed a hitherto unpublished, long essay by Schenker, *Über den Niedergang der Kompositionskunst: Eine technisch-kritische Untersuchung*, and recently published it together with an English translation and introduction in the journal *Music Analysis*.

Robert S. Hatten is professor of music theory at Indiana University and author of *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (1994, paperback 2004) and *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert* (2004), both from Indiana University Press.

Annette Richards is the author of *The Free Fantasia and the Musical Picturesque* (Cambridge, 2001) and editor of *Acting on the Past: Historical Performance across the Disciplines* (Wesleyan, 2000) and *C. P. E. Bach Studies* (Cambridge, 2006). She is associate professor of music and university organist at Cornell University.

Robin Stowell is professor and head of the Music Department at Cardiff University, Wales, U.K. Much of his career as an author and editor is reflected in his work as a violinist/Baroque violinist. His published work includes books and articles on violinists, stringed instruments, organology and historically informed performance.

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