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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. Also, initial submissions should not include author names and may be sent electronically as Word attachment files to the Editor-in-Chief at njm45@cam.ac.uk; in all cases one hard copy should also be sent to Nicholas Marston, *Beethoven Forum*, King's College, Cambridge CB2 1ST United Kingdom. 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 music files. The most preferable music 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).

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

The articles by William Horne and Nicholas Mathew, which open this issue, neatly complement one another. Horne's sustained and shrewdly reasoned analytical study draws upon close readings of Beethoven's instrumental music up to and including the *Eroica* Symphony, in the attempt to fix Beethoven's approach to a particular juncture in sonata-form composition. Mathew examines a more selective range of (later) works in order to remind us that "colonization by analysis" can never be exhaustive; it remains open to Beethoven criticism to listen to (or for) Beethoven's "other voices," even if the composer himself seems at times to have collaborated in their silencing. And it hardly needs saying that the default tone of Beethoven's voice continues to be that of the "heroic" works, a tone which first finds its full definition in the *Eroica*. Horne's work invites us to listen very closely to the emergence of that voice. The Ninth Symphony, whose "confused bustle of voices" is explored by Mathew, is also the subject of Dieter Hildebrandt's study, reviewed here by Peter Höyng. Meanwhile, Stephen Rumph's review article ponders what one might call the polyphony of critical voices to which one of Beethoven's most challenging and diverse movements gives rise.

This second issue of volume 13 appears considerably later than scheduled, for which I apologize. Subscribers will be pleased to learn, though, that the journal is now published online as well as in paper copy, with full-text content dating back to 2003 similarly available (<http://bf.press.uiuc.edu>); subscription covers both versions.

As ever, I am grateful to my colleagues on the Editorial Board for their support, and particularly to Stephen Rumph and Mark Katz. Christina Acosta and Dan Toronto also deserve my thanks and admiration for a heroic style that is all their own!

In my preface to volume 13/1, I suggested that 2006 must inevitably be Mozart's year. It has also, of course, been Shostakovich's, and (though to a lesser extent) Schumann's. As the year draws to its close, *Beethoven Forum* should not omit to record the death, near its opening, of Elliot Forbes on 10 January, and that of Ira F. Brilliant on 10 September. Great Beethovenians, they will be sorely missed by friends, family, and Beethoven scholars worldwide. We are much in their debt.

Nicholas Marston

Abbreviations

Literature

Anderson	Emily Anderson, ed., <i>The Letters of Beethoven</i> , 3 vols. (London: Macmillan, 1961; rpt. New York: Norton, 1985).
Brandenburg	Sieghard Brandenburg, ed., <i>Ludwig van Beethoven: Briefwechsel: Gesamtausgabe</i> , Beethovenhaus edn., 8 vols. (Munich: G. Henle Verlag, 1996–)
BS I, BS II, BS III	<i>Beethoven Studies</i> , 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., <i>Ludwig van Beethovens Konversationshefte</i> [= Conversation Books], vols. 1–9 (Leipzig: VEB Deutscher Verlag für Musik, 1968–88), vols. 10–11 (1993, 2001)
JTW	Douglas Johnson, Alan Tyson, and Robert Winter, <i>The Beethoven Sketchbooks: History, Reconstruction, Inventory</i> , ed. Douglas Johnson (Berkeley and Los Angeles: University of California Press, 1985)
Kerman, <i>Quartets</i>	Joseph Kerman, <i>The Beethoven Quartets</i> (New York: Norton, 1967)
Kinsky-Halm	Georg Kinsky, <i>Das Werk Beethovens: Thematisch-bibliographisches Verzeichnis seiner sämtlichen vollendeten Kompositionen</i> , completed and ed. Hans Halm (Munich and Duisburg: G. Henle, 1955)
MGG	<i>Die Musik in Geschichte und Gegenwart: Allgemeine Enzyklopädie der Musik</i> , ed. Friedrich Blume, 17 vols. (Kassel: Bärenreiter, 1949–86; rev. 2nd edn. Ludwig Finscher, 1994–2000)
N I	Gustav Nottebohm, <i>Beethoveniana</i> (Leipzig and Winterthur: J. Rieter-Biedermann, 1872)

- N II Gustav Nottebohm, *Zweite Beethoveniana: Nachgelassene Aufsätze* (Leipzig: C. F. Peters, 1887)
- N 1865 Gustav Nottebohm, *Ein Skizzenbuch von Beethoven* (Leipzig: Breitkopf and Härtel, 1865); Eng. trans. in *Two Beethoven Sketchbooks* (London: Gollancz, 1979), pp. 3–43
- N 1880 Gustav Nottebohm, *Ein Skizzenbuch von Beethoven aus dem Jahre 1803* (Leipzig: Breitkopf and Härtel, 1880), Eng. trans. in *Two Beethoven Sketchbooks* (London: Gollancz, 1979), pp. 47–125
- New Grove* *The New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, 20 vols. (London: Macmillan, 1980; 2nd edn. New York: Grove, 2001)
- Schindler (1840) Anton Schindler, *Biographie von Ludwig van Beethoven* (Münster: Aschendorff, 1840); Eng. trans. as *The Life of Beethoven*, ed. I. Moscheles, 2 vols. (London: H. Colburn, 1841)
- Schindler (1860) Anton Schindler, *Biographie von Ludwig van Beethoven*, 2 vols. (3rd edn., Münster: Aschendorff, 1860)
- Schindler-MacArdle Anton Schindler, *Beethoven as I Knew Him*, ed. Donald W. MacArdle, trans. Constance S. Jolly (London: Faber; Chapel Hill: University of North Carolina Press, 1966)
- Solomon, *Beethoven* Maynard Solomon, *Beethoven* (New York: Schirmer, 1977; 2nd edn. New York: Schirmer, 1998)
- Solomon, *Essays* Maynard Solomon, *Beethoven Essays* (Cambridge, Mass.: Harvard University Press, 1988)
- 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)
- Thayer I, II, III Alexander Wheelock Thayer, *Ludwig van Beethovens Leben*, 3 vols. (Berlin: F. Schneider, 1866, 1872, 1879)
- Thayer-Forbes *Thayer's Life of Beethoven*, rev. and ed. Elliot Forbes, 2 vols. (Princeton: Princeton University Press, 1964)
- Thayer, *Verzeichniss* Alexander Wheelock Thayer, *Chronologisches Verzeichniss der Werke Ludwig van Beethovens* (Berlin: F. Schneider, 1865)
- Wegeler-Ries Franz Gerhard Wegeler and Ferdinand Ries, *Biographische Notizen über Ludwig van Beethoven* (Coblenz: K. Baedeker, 1838), suppl. Wegeler (Coblenz, 1845)

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

*The Hidden Trellis: Where Does the Second Group Begin in the
First Movement of Beethoven's Eroica Symphony?*

William Horne

For a long time, distinguished and thoughtful analysts have parsed the exposition of the first movement of the *Eroica* Symphony in strikingly different ways, especially with regard to the beginning of the second group¹ (ex. 1). In a widely read text, for example, Leon Plantinga writes:

After unarguably establishing the tonic key of E \flat with two statements of the opening motive (mm. 3 and 15), Beethoven feints toward the dominant

Portions of this article were presented at the annual meeting of the South Central Society for Music Theory in New Orleans, La., 25–26 February 2005.

1. Clearly, analytical protocols that privilege contrapuntal processes, thematic organization, harmonic syntax, cadential hierarchy, or other compositional elements will necessarily yield somewhat varying perspectives on the form of a work. That is perhaps all the more true in the case of a work of extraordinary complexity and subtlety like the *Eroica*'s first movement. Exactly this kind of movement most invites one to abandon the conventional terminological trappings long associated with the first movements of the high-Classical instrumental repertoire: "sonata form," "exposition," "second group," and so on—terms unknown to Beethoven himself that are encumbered with a mid-nineteenth-century philosophical and aesthetic perspective also largely outside his experience. In this study, however, I will retain much of the traditional taxonomy of sonata form, partly because the theorists on whose work I principally draw have often either retained or adapted the traditional terms, and partly because there is some evidence that Beethoven himself objectified large-form sections terminologically. William Drabkin notes, for example, that the designation "m.g.," possibly an abbreviation of "Mittel-Gedanke," is found in a number of Beethoven's sketches referring to material we associate with the "second group" of a sonata-form exposition. Drabkin goes on to conclude that "sonata form was a reality for [Beethoven]," and that his compositional ideas "were often conceived in terms of such things as the

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(mm.18 \overline{ff}), only to reestablish the original key in m.37 with another resounding assertion of the original melody. In m.45 an abrupt shift is made to the dominant B \flat in conjunction with contrasting new material, but we are not yet allowed to rest comfortably in the new key; the active, brilliant, modulatory passage beginning at m.65 sounds exactly like bridge material, and its inexorable conclusion in B \flat (m.83) establishes this point as the “real” beginning of the dominant key area. From here to the end of the exposition no other key challenges the supremacy of B \flat .²

For Plantinga, the “contrasting new material” at m.45 does not constitute the beginning of the second group because it does not “rest comfortably in the new

‘second subject’.” See William Drabkin, “Beethoven’s Understanding of ‘Sonata Form’: The Evidence of the Sketchbooks,” in *Beethoven’s Compositional Process*, ed. William Kinderman (Lincoln: U Nebraska P, 1991), pp.14–19.

2. Leon Plantinga, *Romantic Music: A History of Musical Style in Nineteenth-Century Europe* (New York: W. W. Norton, 1984), pp.38–39. Thomas Sipe refers to the material at m.45 as a “transitional theme” that he labels “B,” and then goes on to locate a “C theme in [the] dominant” at m.83, suggesting that, like Plantinga, he considers the dominant tonality not to be solidly established at m.45 (Thomas Sipe, *Beethoven: Eroica Symphony* [Cambridge: Cambridge UP, 1998], p.97). Richard Taruskin also locates the second group at m.83, subsuming m.45 under a “modulatory section” that expends “a great wealth of new melodic ideas before the second theme is even reached” (Richard Taruskin, *The Oxford History of Western Music*, vol.II, *The Seventeenth and Eighteenth Centuries* [6 vols. Oxford: Oxford UP, 2005], pp.659–60).

The placement of the second group at m.83 is also firmly established in the German analytical tradition through widely influential works like Hermann Kretzschmar, *Führer durch den Konzertsaal: I. Abteilung: Sinfonie und Suite*, 2 vols. (6th edn. Leipzig: Breitkopf and Härtel, 1921), I, 202. Among recent analysts, Carl Dahlhaus considers the material beginning at m.45 to be a “first subsidiary subject” and concludes that the “substance of the second [subject]” begins at m.83. (Carl Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, trans. Mary Whittall [Oxford: Clarendon P, 1991], pp.174–75; originally published as *Ludwig van Beethoven und seine Zeit* [Laaber: Laaber Verlag, 1987].) The dominance of this tradition is acknowledged by Heinrich Schenker in his graphic analysis of the *Eroica*’s first movement. There he incorporates the terms “erster Ged[anke]” (first subject) at m.1 and “zweiter Ged[anke]” (second subject) at m.83, but with the striking caveat “nach der allgemein üblichen Lehre der Sonatenform” (according to the commonplace teaching of sonata form), intentionally distancing his own analysis from the common practice. His voice-leading graphs of the *Eroica*’s exposition demonstrate the prominence of a series of four descending *Quintzüge* (fifth progressions) governing mm.45–57 (f³–bb²), 78–83 (f³–bb²), 90–91 (f²–bb¹), and 109–44 (f³–bb²). The first of these he regards as still part of the “so-called transition.” His subsequent discussion of the “so-called second subject” at m.83 emphasizes a pair of voice-leading *Anstiege* (ascents) that open up the space above scale-degree $\hat{1}$ of the second key, the first one (mm.83–90) leading to the brief third *Quintzug*, and the second leading to the final, much-elaborated fourth *Quintzug* that approaches the

m.45

37

Flute *ff* *sf*

Oboe *ff* *sf* *sf* *p dolce*

Clarinet in B \flat *ff* *sf* *sf*

Bassoon *ff* *sf* *sf*

Horn in E \flat 1/2 *ff* *sf* *sf*

Horn in E \flat 3 *ff* *sf* *sf*

Trumpet in E \flat *ff* *sf* *sf*

Timpani *ff* *sf* *sf*

Violin I *ff* *sf* *sf*

Violin II *ff* *sf* *sf* *p*

Viola *ff* *sf* *sf* *p*

Cello & C.B. *ff* *sf* *sf*

Example 1: Ludwig van
Beethoven, Symphony No.3,
op.55, movt. I, mm.37–83.

46

Fl. *p dolce*

Ob. *sf*

B♭ Cl. *p dolce* *sf*

Bsn. *sf*

E♭ Hn. 1/2 *p*

E♭ Hn. 3

E♭ Tpt.

Timp.

Vln. I *p* *p*

Vln. II

Vla.

Vc./C.B. *p*

55 **m.57**

Fl. *ff* *p* *cresc.*

Ob. *ff* *p*

B♭ Cl. *ff* *p*

Bsn. *ff* *p* *cresc.*

E♭ Hn. 1/2 *ff* *p* *cresc.*

E♭ Hn. 3 *ff* *p*

E♭ Tpt. *ff* *p*

Timp.

Vln. I *ff* *p* *cresc.*

Vln. II *ff* *p* *cresc.*

Vla. *ff* *p* *cresc.*

Vc./C.B. *ff* *p* *cresc.*

71

Fl.

Ob.

B \flat Cl.

Bsn.

E \flat Hn. 1/2

E \flat Hn. 3

E \flat Tpt.

Timp.

Vln. I

Vln. II

Vla.

Vc./C.B.

This musical score page contains measures 71 through 76. The woodwind section (Flute, Oboe, B-flat Clarinet, Bassoon) and brass section (E-flat Horn 1/2, E-flat Horn 3, E-flat Trumpet) play complex, often chromatic, passages with many accidentals. The percussion section (Timpani) provides a steady rhythmic accompaniment. The string section (Violins I & II, Viola, and Violoncello/Double Bass) plays a more active, rhythmic role with frequent sixteenth and thirty-second notes. The key signature is three flats (B-flat major or D-flat minor), and the time signature is 4/4.

[illegible]

key.” On the other hand, in his recent *New Grove Dictionary* article on “Sonata Form,” James Webster writes:

In the “Eroica” Symphony, the first group comprises three paragraphs, each beginning with the main theme (mm. 3, 15, 37); the last of these moves to the dominant of the dominant, where the important theme beginning at m. 45 appears. The second group proper contains seven paragraphs, beginning respectively at mm. 57, 65, 83, 99, 109, 132 and 144 (the italicized measure numbers indicate the strongest, section-defining cadences).³

Webster acknowledges that an “important theme” begins at m. 45, yet, like Plantinga, he is not comfortable with beginning the second group there. Since his emphasis on “paragraph” organization privileges cadences and cadential hierarchy, one may surmise that he does not hear a strong enough cadential articulation at

End of the exposition. Thus, while Schenker avails himself of the terminology of common-practice sonata-form analysis, it is by no means clear to what extent his fundamentally contrapuntal conception of the movement would be congruent with naming a particular point as the onset of a second group. His deep background graphs privilege m. 45 simultaneously as the point of modulation to B \flat major and the initial onset of scale-degree $\hat{2}$ in the interrupted *Urlinie* that governs the exposition as a whole. On the other hand, the most elaborate prolongation of scale-degree $\hat{2}$ proceeds from m. 83, where it is supported in the bass by B \flat , the root of V, rather than F, the root of II. Thus, while indicating a distinct onset point for the second group may have been a marginal (or even irrelevant) issue for Schenker, his graphic analyses and the accompanying discussion reveal some support for either m. 45 or m. 83 as such a starting point. See Heinrich Schenker, “Beethoven’s Third Symphony: Its True Content Described for the First Time,” in Heinrich Schenker, *The Masterwork in Music: A Yearbook: Volume III (1930)*, ed. William Drabkin, trans. Ian Bent, Derrick Puffett, and Alfred Clayton, Cambridge Studies in Music Theory and Analysis 10 (Cambridge: Cambridge UP, 1997), pp. 10–15, originally published as *Das Meisterwerk in der Musik III* (Munich: Drei Masken Verlag, 1930).

3. James Webster, “Sonata Form,” in *New Grove Dictionary of Music and Musicians*, ed. Stanley Sadie, vol. 23 (London: Macmillan, 2001), pp. 687–701. Donald Francis Tovey also placed the second group’s beginning at m. 57 in his *Essays in Musical Analysis*, 6 vols. (London: Oxford UP, 1935), I, 45. William Caplin also places the second-group beginning at m. 57 in his “Structural Expansion in Beethoven’s Symphonic Forms,” in *Beethoven’s Compositional Process*, ed. William Kinderman (Lincoln: U Nebraska P, 1991), pp. 27–54.

Locating the second group at m. 57 also has significant roots in German musicology, especially in the sketch studies of Gustav Nottebohm. In his discussion of the Beethoven sketchbook now known as Landsberg 6, Nottebohm refers to m. 55 of the “first long sketch” (continuity draft) of the *Eroica*’s first movement as “the melody of the first part of the second group.” This material is an early variant of that given at m. 57 in the published score. (N 1880, p. 51; Nottebohm’s subsequent discussion of the sketches will be taken up later in this article.)

m.45 to regard it as the launching point for the second group, opting instead for the cadence at m. 57.

In this study, despite long analytical traditions to the contrary, I will advance the argument that the second group in the *Eroica*'s first movement does begin at m.45, based on patterns in Beethoven's previous first-movement sonata forms. In seeking these patterns, I am much influenced by and indebted to the exhaustive work on form in the Classical style done by William Caplin and by recent research on "sonata theory" by James Hepokoski and Warren Darcy.⁴ Whereas their considerable body of work develops frameworks for understanding Classical sonata form generically, my aim is to adapt some of these frameworks to reveal compositional patterning in a narrowly defined repertory. Specifically, I will seek evidence for recurrent patterns that govern Beethoven's immediate approach to second groups in first-movement, sonata-form expositions written up to 1803 and his subsequent treatment of material in those second groups. My analysis will focus particularly on the prominent half-cadence that ordinarily prepares the second group in Beethoven's sonata forms, the organization of material in the second group itself, and the strongly prepared perfect-authentic cadence in the second key that ordinarily falls near the end of an exposition. My emphasis on the importance of the two cadential "pillars" of a sonata-form exposition is particularly indebted to Hepokoski's and Darcy's work, although I have adapted their terminologies in ways that I hope will be advantageous for describing

4. James Hepokoski and Warren Darcy, in *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford UP, 2006), which has appeared just before this article goes to press, regard the material at m.45 as the "*locus classicus* of a more prolonged, S⁰ theme" (p.143). By this they mean that the secondary-theme zone indeed opens at m.45, the position advocated here, but that the initial theme of the secondary-theme zone begins with a "zero-superscript" module, that is, "with a preparatory module that sets up or otherwise precedes what strikes one as the 'real' initial theme of the zone" (p.142). The conclusion drawn here, however, is that the m.45 material constitutes the "real" initial theme of the second group, while the material at m.57—Hepokoski and Darcy's "real" initial theme of the secondary-theme zone, or S¹—functions simultaneously as a local-level cadential area and as a bridge passage linking the m.45 theme to a large-scale, chromaticized continuation area that cadences at m.83. The differing nuances of my conclusions and those of Hepokoski and Darcy are partly grounded in methodological differences between my study and their own. I am not concerned with establishing broad principles that govern sonata form generically, but with the treatment of particular formal factors in a strictly limited subset of Beethoven's works and the way these factors affect how we view the opening of the second group in the *Eroica*'s first movement.

formal processes within the limited frame of the first-movement sonata forms examined here.⁵

Beethoven ordinarily establishes the second key in a sonata-form exposition with a strongly articulated half-cadence in the new key, after which the second group commences. This half-cadence has at its core a root-position V chord that I will term a “strong dominant.”⁶ It is often prolonged with neighbor chords and followed

5. These cadential pillars more or less correspond to the “medial caesura” (MC) and “essential expositional closure” (EEC) proposed by Hepokoski and Darcy in “The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition,” *Music Theory Spectrum* 19 (1997), 115–54. See also James Hepokoski, “Beyond the Sonata Principle,” *JAMS* 55 (2002), 91–154, “Back and Forth from *Egmont*: Beethoven, Mozart, and the Nonresolving Recapitulation,” *19CM* 25 (2001–02), 127–54, and *Elements of Sonata Theory*, pp. 23–50. I am fundamentally sympathetic to the terms put forward by Hepokoski and Darcy. But for this study, which deals with a circumscribed subset of Beethoven's works, I have taken the liberty of crafting different terms to describe these cadential pillars—the “strong-dominant complex” and “weighted perfect-authentic cadence” respectively. I have adopted “strong-dominant complex” for “medial caesura” partly because the erosion of the “caesura” aspect of this type of cadential articulation turns out to be a significant feature of Beethoven's maturation; it would seem incongruous to refer to a “medial caesura” in which little or no caesura is present. Ultimately, the dominant chord itself is the only element that is never absent from this type of cadential articulation, so I prefer a term that focuses on it.

By the same token, for my purposes here I prefer the term “weighted perfect-authentic cadence” to “essential expositional closure.” Hepokoski and Darcy's term has the great advantage of implying that the following “closing-zone” material is often ancillary to the large-scale tonal and voice-leading processes that underlie the working-out of the form. Their definition, “usually the first satisfactory perfect authentic cadence (PAC) in the new key (a root-position V–I cadence in which the outer voices arrive simultaneously at scale degree $\hat{1}$)” is beautifully adapted to deep middleground and background voice-leading processes. (See “The Medial Caesura,” p. 119, and *Elements of Sonata Theory*, pp. 120–24 and 147–49.) However, in this study I wish to prioritize the second-key PAC that carries the most “heard” weight or strength in terms of observable theoretical and rhetorical parameters that affect its surface prominence, e.g., the support of scale-degree $\hat{3}$ with a “cadential six-four”; the extension of the pre-dominant and/or dominant bass tones or their prominent articulation texturally; the elaboration of the melodic scale-degree $\hat{2}$ by a trill or similar device, or its prominent articulation texturally, and so on. Most particularly, my location of the weighted PAC is sensitized to the breadth of the cadential process and the prominence of its $\hat{4}$ – $\hat{5}$ – $\hat{1}$ bass movement. It goes without saying that the process of locating the weighted PAC is responsive to my own biases as listener/analyst, an unavoidable part of this analytical process from which I hope to draw at least consistency, if not conclusions beyond disagreement. In a great many cases, my “weighted PAC” would correspond to Hepokoski and Darcy's EEC, but not in every instance, e.g., the *Eroica*'s first movement (see *Elements of Sonata Theory*, pp. 147–49).

6. For recent definitions of half-cadence, see William E. Caplin in “The Classical Cadence: Conceptions and Misconceptions,” *JAMS* 57 (2004), 51–117; and Hepokoski and Darcy, *Elements of Sonata*

by *caesura*—either pure silence or a “filled-in” caesura in which the melodic surface continues to articulate the dominant harmony through the implied caesura-space.⁷ Beethoven ordinarily approaches a strong dominant in one of four ways:

1. from a chord that includes a tone perceived as a raised fourth scale degree ($\sharp\hat{4}$) that leads up by a minor second to its root;
2. from an augmented sixth chord (A6);
3. from a non-A6 chord with a bass that lies a minor second above the root of V, such as \flat VI;
4. from a common chord, often perceived as a supertonic in relation to the strong dominant.

The strong dominant itself, along with its approach and its prolongation, I will call a “strong-dominant complex.” Example 2 shows how a strong-dominant complex operates in a typical case, the exposition of the first movement of Beethoven’s Piano Sonata, op.22. Here the strong-dominant chord, approached from $\sharp\hat{4}$ voice leading in the upper part, is reached at m.16. It is prolonged for six measures by standing-on-the-dominant and concludes with a filled-in caesura in m.21. The rhetorical clarity of each element in this strong-dominant complex is typical of Beethoven’s first-movement sonata forms up to and a little beyond the turn of the nineteenth century.

Table 1 identifies the strong-dominant complexes that precede second groups in all of Beethoven’s first-movement sonata forms for works to which he assigned opus numbers, up to and including the Third Symphony (fifty-seven movements in all), presented chronologically by order of composition.⁸ The chart indicates how each strong dominant (V) is approached ($\sharp\hat{4}$, A6, \flat 6, or cc), the key in which

Theory, pp.24–25. All the “strong dominants” identified in my study fall within Caplin’s definition of half-cadence except for one—the cadence to V_6^{\sharp} in m.32 of the first movement of Beethoven’s Violin Sonata, op.30, no.1.

7. For a broader discussion of “caesura fill,” see Hepokoski and Darcy, “The Medial Caesura,” pp.127–33 and *Elements of Sonata Theory*, pp.40–45.

8. I am using the dates of composition given in the works list compiled by Douglas Johnson and Scott Burnham for the Beethoven article in *New Grove*, 2nd edn., vol.3, pp.73–140. Works developed over a number of years are organized chronologically by their dates of conclusion. Several works finished in the same year appear in order of their opus numbers. I have chosen to examine only first-movement sonata forms in order to keep the analyzed sample as comparable as possible to the first movement of the *Eroica* Symphony. The practical effect of this is to filter out movements in which the treatment of strong dominants may be affected by the interaction of sonata form with rondo organization, the characteristic expressive idioms of slow movements, or the relatively lighter dramatic weight of some

11 *f* *sf* *p* #4 approach

Bb: I F: vii⁰⁶/V

16 strong dominant, extended with neighbor chords *sf*

19 + filled-in caesura *sf* *sf*

22 second group *pp*

I

Example 2: Ludwig van
Beethoven, Piano Sonata,
op. 22, movt. I, mm. 11–23.

final movements in Beethoven's sonata cycles. In expositions (e.g., op. 2, no. 3) that exhibit certain characteristics of a trimodular block, I place the second-group beginning correlative to the onset of the nontonic key. See Hepokoski and Darcy, *Elements of Sonata Theory*, pp. 170–77.

Table 1: Beethoven: Strong-Dominant Approaches to Second Groups in First-Movement Sonata Forms

Opus	Work	Date	Exposition		Recapitulation
3	String Trio 1 (E ^b)	before 1794	#4→Ext. V/D + c (35-40)	↑=↓	#4→Ext. V/T + c (201-06)
2/1	Piano Sonata 1 (f)	1793-1795	#4→Ext. V/M + c + Th.@V/M (16-20)*	≠	#4→Ext. V/T + c + Th.@V/T (117-19)*
1/1	Piano Trio 1 (E ^b)	1794-1795	#4→Ext. V/D + c (28-32)	↑=↓	#4→Ext. V/T + c (179-83)
1/2	Piano Trio 2 (G)	1794-1795	#4→Ext. V/D + c (86-98)	≠	#4→Ext. V/T + c (304-20)
1/3	Piano Trio 3 (c)	1794-1795	#4→Ext. V/M + c (39-58)	↑≈↓	#4→Ext. V/T + c (242-61)
2/2	Piano Sonata 2 (A)	1794-1795	#4→Ext. V/D + c (42-57)	↑=↓	#4→Ext. V/T + c (266-81)
2/3	Piano Sonata 3 (C)	1794-1795	#4→Ext. V/T + c (21-26)	=	#4→Ext. V/T + c (156-61)
4	String Quintet 1 (E ^b)	1795	#4→Ext. V/T + c (28-33) + Th.@V/SM	↑=↓	#4→Ext. V/SD + c (192-97) + Th.@V/ST
81b	Sextet 2 Hn, Sfg.Q (E ^b)	1795?	#4→Ext. V/D + c (25-29)	↑=↓	#4→Ext. V/T + c (120-24)
87	Trio 2 Ob, EnH (C)	1795?	#4→Ext. V/T + c (28-31)		-
			A6→Ext. V/D + c (35-42)	↑=↓	b6→Ext. V/T + c (183-90)
49/2	Piano Sonata 20 (G)	1795-1796	#4→Ext. V/T + c (15-20)	=	#4→Ext. V/T + c (82-87)
5/1	Cello Sonata 1 (F)	1796	#4→Ext. V/T + c (65-72)	=	#4→Ext. V/T + c (249-56)
5/2	Cello Sonata 2 (g)	1796	A6→Ext. V/M + c (93-105)	↑=↓	#4→Ext. V/T + c (346-57)
16	Quintet Pno/Winds (E ^b)	1796	#4→Ext. V/D + c (67-86) + Th.@V/D*	↑≈↓	#4→Ext. V/T + c (266-77) + Th.@V/T*
71	Wind Sextet (E ^b)	1796?	#4→Ext. V/T + c (43-52)	=	#4→Ext. V/T + c (195-204)
10/1	Piano Sonata 5 (c)	1795-1797	#4→Ext. V/M + Th.@I/M (48-55)	↑=↓	#4→Ext. V/T + Th.@I/SD (207-14)
6	Two-Piano Sonata (D)	1796-1797	#4→V/T + c (24-25)	=	#4→V/T + c (121-22)
7	Piano Sonata 4 (E ^b)	1796-1797	A6→Ext. V/D + c + Th.@V/D (35-40)*	↑=↓	#4→Ext. V/T + c + Th.@V/T (215-20)*
10/2	Piano Sonata 6 (F)	1796-1797	A6→Ext. V/D + c (17-18)		-
11	Trio Vn, Cl, Pno (B ₁)	1797	#4→Ext. V/T + c (33-38)	≠	cc→V/T + c (182-83)
49/1	Piano Sonata 19 (g)	1979?	#4→V/M + c (15)*	≠	#4→V/T + c (79)*
19	Piano Concerto 2 (B ₁)	1788-1798	b6→Ext. V/D + c (119-127)	≠	#4→Ext. V/T + c (308-11)
9/1	String Trio 2 (G)	1797-1798	#4→Ext. V/D + c (43-48)	↑=↓	#4→Ext. V/T + c (160-65)
9/2	String Trio 3 (D)	1797-1798	#4→Ext. V/D + c (39-56)	↑=↓	#4→Ext. V/T + c (236-53)
9/3	String Trio 4 (c)	1797-1798	A6→Ext. V/T + c + Th.@SM (17-20)	≠	cc→Ext. V/N + c + Th.@N (128-32)
10/3	Piano Sonata 7 (D)	1797-1798	cc→V/SM + Th.@SM (22)	≠	#4→Ext. V/ST + c + Th.@ST (201-04)

Table 1: (cont.)

Opus	Work	Date	Exposition	Recapitulation
12/1	Violin Sonata 1 (D)	1797–1798	cc→Ext. V/D↔Th.@V/D (33–43)*	#4→Ext. V/T↔Th.@V/T (158–68)*
12/2	Violin Sonata 2 (A)	1797–1798	A6→Ext. V/SM + c + Th.@V/SM (28–30)*	A6→V/ST + c + Th.@V/ST (146)*
12/3	Violin Sonata 3 (E _b)	1797–1798	A6→Ext. V/D + c (23–28)	#4→Ext. V/T + c (124–25)
13	Piano Sonata 8 (c)	1797–1798	#4→Ext. V/M + c (43–50)*	A6→V/SD + c + Th.@SD (221–22)*
14/1	Piano Sonata 9 (E)	1798	#4→Ext. V/D + c (17–22)	A6→Ext. V/T + c (108–14)
14/2	Piano Sonata 10 (G)	1799?	#4→Ext. V/D + c (19–25)	#4→Ext. V/T + c (146–52)
15	Piano Concerto 1 (C)	1795–1800	A6→Ext. V/D + c (145–154)	#4→Ext. V/T + c (360–69)
18/1	String Quartet 1 (F)	1798–1800	#4→Ext. V/D + c (49–56)*	A6→Ext. V/T + c (210–17)*
18/2	String Quartet 2 (G)	1798–1800	i/D→Ext. V/D + c (32–35)	#4→Ext. V/T + c (179–86)
18/3	String Quartet 3 (D)	1798–1800	A6→Ext. V/D (45–51)↔Th.@V/D*	#4→V/T (184)↔Th.@V/T*
18/4	String Quartet 4 (c)	1798–1800	A6→Ext. V/T + c (20–25)	-
18/5	String Quartet 5 (A)	1798–1800	cc→V/M (33)	A6→V/T + c (158)
18/6	String Quartet 6 (B _b)	1798–1800	♭6→Ext. V/T + c (10–24)	#4→V/T + c (160–65)
21	Symphony 1 (C)	1799–1800	#4→Ext. V/D + c (33–44)	A6→Ext. V/T + c (207–18)
17	Sonata Hn,Pho (F)	1800	#4→Ext. V/T + c (45–52)	#4→Ext. V/T + c (200–07)
22	Piano Sonata 11 (B _b)	1800	#4→Ext. V/T + c (27–30)	#4→Ext. V/T + c (130–33)
23	Violin Sonata 4 (a)	1800	#4→Ext. V/D + c (18–21)	#4→Ext. V/T + c (147–52)
24	Violin Sonata 5 (F)	1800–1801	#4→Ext. V/D + c (24–29)	#4→Ext. V/M + c (179–85)
			#4→Ext. V/T + c (20–25)	#4→Ext. V/T + c (145–50)
28	Piano Sonata 15 (D)	1801	A6→Ext. V/D + c (34–37)	A6→V/T + c (159–62)
29	String Quintet 2 (C)	1801	#4→Ext. V/D + c + Th.@V/M (55–62)	#4→Ext. V/T + c + Th.@V/SM(330–37)
30/1	Violin Sonata 6 (A)	1801–1802	#4→Ext. V/SM + c (33–40)	#4→Ext. V/T + c (213–20)
30/2	Violin Sonata 7 (c)	1801–1802	cc→V ⁶ /D + c (32–33)	cc→V/T + c (187–88)
30/3	Violin Sonata 8 (G)	1801–1802	cc→V/M + c (28)	A6→V/T + c (161)
36	Symphony 2 (D)	1801–1802	#4→Ext. V/D + c (28–34)	#4→Ext. V/T + c (138–44)
20	Septet (E _b)	1802	N→Ext. V/D + c (61–72)	#4→Ext. V/T + c (236–47)
			#4→Ext. V/T + c (47–52)	#4→Ext. V/T + c (182–87)
				=

Table 1: (cont.)

Opus	Work	Date	Exposition	Recapitulation
31/1	Piano Sonata 16 (G)	1802	cc→Ext. V/M + ϵ (54-65)	cc→Ext. V/SM + ϵ (210-17)
31/2	Piano Sonata 17 (d)	1802	#4→V/D + ϵ + Th.@V/D (41)*	#4→V/T + ϵ + Th.@V/T (175)*
31/3	Piano Sonata 18 (E _b)	1802	A6→Ext. V/D + ϵ (44-45)	#4→Ext. V/T + ϵ (167-69)
37	Piano Concerto 3 (c)	1802-1803	A6→Ext. V/M + ϵ (146-163)	#4→Ext. V/T + ϵ (326-39)
47	Violin Sonata 9 (a)	1802-1803	#4→Ext. V/D + ϵ (73-90)	#4→Ext. V/T + ϵ (396-413)
55	Symphony 3 (E _b)	1803	A6→V/D + Th.@V/D (45)*	#4→V/T + Th.@V/T (452)*

#4, A6, cc, and j6 indicate voice-leading approaches to strong dominants.

Ext. indicates that a strong dominant is extended in some way, usually by reiteration, extension, or through the use of neighbor chords.

V indicates “strong dominant”; / indicates “operating in the key of”; T, D, SD, M, SM, ST, and N indicate tonic, dominant, subdominant, mediant, submediant, supertonic, and Neapolitan, respectively.

+ indicates “followed by.”

ϵ indicates a *caesura*.

Th.@ indicates “theme beginning on,” so that Th.@V/SM would be read, “theme beginning on V operating in the key of the submediant.”

↔ indicates that the end of the strong-dominant complex is coincident with the initiation of a theme.

(n¹-n²) indicates measure-number boundaries beginning with the initiation of the strong-dominant chord and including any extension and *caesura*. For purposes of numbering measures, slow introductions and first and second endings receive measure numbers.

= indicates that a mirrored strong-dominant complex in the recapitulation is extensively related melodically to the one in the exposition; ≈ indicates that a mirrored strong-dominant complex in the recapitulation is partly related melodically to the one in the exposition; ≠ indicates that the strong-dominant complexes in the exposition and recapitulation are essentially not analogous melodically, so that no mirroring is present; ↑↓ indicates transposition in a mirrored strong-dominant complex. The presence of ↑↓ implies indirect mirroring. The absence of ↑↓ with the presence of = or ≈ implies direct mirroring.

- indicates that a strong-dominant complex in the exposition is left unanswered in the recapitulation.

* identifies cases where the theme following a strong-dominant complex begins with a continuation of the dominant harmony. In one case, op.13, this is expressed initially as a tonic six-four chord.

Thus, for the Piano Sonata, op.7, we would read: “In the exposition, A6 voice-leading approaches an extended strong dominant operating in the key of the dominant followed by *caesura*, extending from m.35 through m.40, followed by a theme beginning on V operating in the key of the dominant. An extensively related strong-dominant complex is transpositionally mirrored in the recapitulation, where #4 voice-leading approaches an extended strong dominant operating in the key of the tonic followed by *caesura*, extending from m.215 to m.220, followed by a theme beginning on V operating in the key of the tonic.”

it operates (e.g., V/D would be read, “strong dominant operating in the key of the dominant”), whether the strong dominant is prolonged (Ext.), and whether it is followed by caesura (*c*) or by the beginning of the initial second-group theme (Th.).

The importance of the strong-dominant complex as a formal marker in late-eighteenth-century sonata forms has been amply demonstrated by Hepokoski and Darcy, and its ubiquity in the sonata-form movements examined here suggests that, at this point in his development, it was essential to Beethoven that it should be presented as part of the unfolding of the form before the onset of the second group.⁹ That this was a rhetorical requirement for him, but not necessarily a tonal one, is shown by the scattered cases in which the strong dominant tonicizes a nontonic chord in the new key that is then prolonged for a phrase or two before the second-key tonic is sounded. Such strong dominants participate in an *oblique* approach to the second key, rather than a direct one, as if the second key were reached by a side door.¹⁰ The String Trio, op.9, no.3, has an excellent example in which the second group begins with a four-measure tonicization of IV in the second key of E♭ major (VI in relation to the original tonic). In this case, the oblique approach to the second key is easy to accept because the second-key tonic is reached only a few measures after the second group begins. The oblique approach to the second group in the Piano Sonata, op.10, no.3, which has been much discussed in the literature, is no different in formal logic, but is only more vexing to accept because of its length and the transition-like material by which the second-key tonic is subsequently reached.¹¹

9. See Hepokoski and Darcy, “The Medial Caesura.” The only movement examined here that lacks a strong dominant before the onset of a second group is the first movement of Beethoven's Piano Sonata, op.10, no.2, where the second group begins immediately after the end of the first subject in the recapitulation.

10. The oblique initiation of a second group comprises any second-group beginning that tonicizes a scale degree other than $\hat{1}$ in the second key. This “other” scale degree can be approached in a variety of ways: by a strong dominant that tonicizes it directly (op.10, no.3), by a strong dominant that tonicizes scale-degree $\hat{1}$ in the second key and then resolves deceptively (op.28), or by a strong dominant that tonicizes scale-degree $\hat{1}$ in the original tonic key, but is resolved deceptively (op.17). There is even a case—op.9, no.3—in which the strong dominant initially tonicizes $\hat{1}$ of the original tonic key, but in the course of the extension turns aside at the last moment to tonicize VI (or IV in relation to the second key). One senses in the accumulation of these examples an almost playful experimentation on Beethoven's part, as if he were seeking interesting and variegated ways of entering the second key area.

11. Dahlhaus expresses elegantly the analytical distress caused by the oblique approach to the second group in the first movement of op.10, no.3: “The most bewildering problem . . . of sonata

Table 1 reveals that the most common voice-leading approaches to strong dominants are $\sharp 4$ and A6, which together account for fifty out of sixty approaches in expositions.¹² Most strong dominants are extended (fifty-two of sixty times in expositions). There are only six instances where strong dominants are not followed by caesura. In some cases, for example, the String Quartet, op.18, no.3, the end of the strong-dominant complex elides with the initiation of the second-group theme. Even in this scenario, there is sometimes a caesura-like articulation; in the Sonata for Violin and Piano, op.12, no.1, the second group begins in m.43 with a single-voice texture, so that the textural effect of a filled-in caesura is combined with the initiation of the first theme of the second group. The exceptional character of these instances confirms, however, that a clear textural separation of the

exposition . . . is . . . the odd phenomenon of a section that is melodically pregnant, sometimes even lyrical, but also tonally open-ended, and comes between the transition and the second subject. . . . The interpolated episode, which lacks a name, is quite distinct from the transition, and in some sonatas it gets under way after preparatory and delaying figuration of the kind that is characteristic of the situation immediately before a second subject" (Dahlhaus, *Ludwig van Beethoven*, p.102). The real situation is that the "odd phenomenon" is the "second subject." It is simply a second subject that begins by prolonging a nontonic region within the second key. In the first movement of op.10, no.3, the second group begins at m. 23 in B minor, the submediant in relation to the original tonic, and the supertonic in relation to the second key of A major, which is reached only later, at m.35—a common chord writ large.

Charles Rosen is swayed by the length of the oblique approach to A major in this piece (and also, surely, by the convincing strong dominant of B minor at m.22) to identify this as an example of a "three-key exposition" (Charles Rosen, *Sonata Forms* [rev. edn. New York: W.W. Norton, 1988], p.247). He trenchantly observes, however, that the intermediate key "is conceived above all in its relation to the dominant that will follow." Hepokoski and Darcy provide a sensitive reading of this passage in terms of exceptions to the normative treatment of trimodular blocks ("The Medial Caesura," p.150). William Caplin regards the B-minor theme in m.23 as a "modulatory subordinate theme," a concept close to the one presented here. (William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* [Oxford: Oxford UP, 1998], pp.119–20.)

It should also not be overlooked how much the second group of op.10, no.3, has in common with the much smaller one in the Piano Sonata, op.10, no.2. In both cases, the second group begins after a startlingly short transition culminating in a very compressed strong-dominant complex; then, some of the syntactical elements that would have been expected in the transition and strong-dominant complex appear in the second group itself. Opus 10, no.3, thus combines an oblique second-group beginning with the recovery, within the second group, of elements forfeited by the transition. For further discussion of the migration of transitional rhetoric into the second group of op.10, no.2, see Hepokoski and Darcy, "The Medial Caesura," pp.149–50.

12. There are sixty strong dominants in the fifty-seven tabulated movements because three movements contain two strong dominants prior to the second group rather than one.

second-group theme from the preceding transition was the norm for Beethoven at this time.

A comparison of strong dominants in expositions and recapitulations reveals several patterns of “mirroring.” One could say that the expositional strong-dominant complex is mirrored in the recapitulation (indicated by the = or \approx symbols in Table 1) when the strong-dominant complexes are either extensively or partly related, respectively, in melodic surface. When melodically related strong-dominant complexes operate in the key of the tonic in both exposition and recapitulation, they are *directly mirrored*. When, as in most cases, melodically related strong-dominant complexes operate in a nontonic key in the exposition, but in the tonic key in the recapitulation, they are *transpositionally mirrored*. In Table 1, the symbol $\uparrow\downarrow$ indicates transpositional mirroring. The symbol \neq indicates that no mirroring is present because the strong-dominant complexes in the exposition and recapitulation are melodically unanalogous.

When an expositional strong-dominant complex operates in the key of the tonic (i.e., when it appears as “V/T” in Table 1), it creates what Robert S. Winter has called a “bifocal close.” Its essential characteristic is that a strong-dominant complex operating in the tonic key is followed immediately by a second group in the dominant key. When a strong-dominant complex of this kind is directly mirrored in the recapitulation, the same strong-dominant complex that leads away from the tonic key in the exposition leads to its continuation in the recapitulation, a practice I will refer to as “bifocal design.”¹³ Bifocal design appears with some frequency in Beethoven's early first movements. Many are large in scale, for instance, the Piano Sonata, op.2, no.3 or the Cello Sonata, op.5, no.1, although it is particularly characteristic of short sonata forms: the first movements of the Piano Sonata, op.49, no.2, or the Sonata for Piano Four-Hands, op.6. After disappearing from Beethoven's practice for a while, the bifocal close reemerges in a cluster of pieces written around 1800, including the Septet, op.20, or the First Symphony,

13. The phenomenon is discussed at length in Robert S. Winter, “The Bifocal Close and the Evolution of the Viennese Classical Style,” *JAMS* 42 (1998), 273–337. Leonard Ratner calls this type of cadence “the equivocal approach to V” in *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), p.223. Ratner's term is especially sensitive to the ambiguous nature of a cadence that can either effectuate or not effectuate a modulation from tonic to dominant, depending on the projection of the post-cadential tonal center. Webster (“Sonata Form,” p.692) and Hepokoski and Darcy (“The Medial Caesura,” p.122) have reservations about Winter's term, but no viable alternative has emerged. Caplin's terminology focuses not on the cadence itself but on the musical section it concludes—a “nonmodulating transition” (*Classical Form*, p.127). Hepokoski and Darcy's formulation—I: HC MC—provides a labeling function not unlike the one used here.

op.21; the desire to write in an uncomplicated or accessible style may have been a consideration.¹⁴ In the String Quartet, op.18, no.5, which was possibly modeled on a string quartet by Mozart, Beethoven may have been responding to his great precursor's manner, since, as Winter points out, the bifocal close is particularly associated with Mozart's style.¹⁵

Although there are examples of straightforward bifocal design in Beethoven's works, he often employed various stratagems that blunt its rhetorical force. In the Piano Sonata, op.2, no.3, for example, he follows a strong-dominant complex operating in the key of the tonic with a second group that begins in the parallel minor of the dominant key. This neutralizes the leading tone of the strong dominant, thereby avoiding the conventional reinterpretation of V in the original key as I in the key of the dominant postcadentially.¹⁶ In other cases, Beethoven avoids completion of an incipient bifocal design. For example, in the String Quartet, op.18, no.4, there are two strong-dominant complexes in the exposition, the first operating in the key of the tonic, thus inviting bifocal design, and the second operating in the key of the relative major. In the recapitulation, however, only one strong-dominant complex—mirroring neither expositional one—appears. The first bifocal close is now revealed to be impotent; since it did not lead to a second group in the exposition, it became superfluous in the recapitulation. Altogether then, it appears that although Beethoven employed bifocal design conventionally in some early first-movement sonata forms, he moved away from this procedure during the years of his “first maturity”¹⁷ and later employed it either as a stylistic

14. Many commentators have noted the ingratiating qualities of the First Symphony and Septet, e.g., Lewis Lockwood, *Beethoven: The Music and the Life* (New York: W.W. Norton, 2003), pp.148 and 176.

15. See Jeremy Yudkin, “Beethoven's ‘Mozart’ Quartet,” *JAMS* 45 (1992), 30–74, and Winter, “The Bifocal Close,” pp.299ff. For Winter's observations about Beethoven's use of the bifocal close in “several modeling works,” including op.18, no.5, see “The Bifocal Close,” pp.330ff.

16. Rosen notes that beginning the second group with a turn to the parallel minor became very rare in the late eighteenth century and discusses its use particularly in Haydn's early symphonies and string quartets (see *Sonata Forms*, p.154). It is an open and interesting question whether Beethoven's early use of this technique constituted the revival of a by-then archaic practice or represents an experiment intended to ameliorate the dated sound of a bifocal close. Yet, Beethoven's continued use of this device in, for example, the Piano Sonata, op.13, or the String Quartet, op.18, no.5, may indicate his growing interest in bimodal second groups.

17. The assignment of “periods” to Beethoven's work is deeply problematic. I am very attracted, however, to James Webster's notion of a composer's “first maturity”—a time beyond youthful development during which he or she first produces a significant body of sure-handed, technically

component of pieces in his more transparent, accessible manner, or as a feint toward the arrival of a second group that would ultimately not be fulfilled—a “road not taken” in the form.¹⁸

Returning to Table 1, we see that Beethoven approached strong dominants via $\sharp 4$ voice leading more frequently than in any other way, but that he gradually worked away from this procedure. Consider, for example, the pattern that emerges from allowing the Piano Sonata, op.7, to represent a dividing line between Beethoven's earliest practices and those of his first maturity. Before op.7, he used the $\sharp 4$ approach in both exposition and recapitulation fifteen times, and all other designs—i.e., those in which at least one approach was not from $\sharp 4$ —only twice. Beginning with op.7, he approached strong dominants in both exposition and recapitulation from $\sharp 4$ voice leading fifteen times, but other designs appear twenty-seven times: he may have come to regard a formulaic reliance on the $\sharp 4$ approach as conventional, or even old-fashioned, an idea that receives some support from his approach to both the expositional and recapitulatory strong dominants with $\sharp 4$ voice leading in seven out of nine instances of high-Classical sounding bifocal design.¹⁹

It is also noteworthy that Beethoven moved away from reliance on the $\sharp 4$ approach to strong dominants more emphatically in expositions than in recapitulations. In eight of the twelve cases of his approaches to the expositional strong dominant via an A6, he uses a $\sharp 4$ approach at the corresponding point in the recapitulation.²⁰ In the two cases where the expositional strong dominant is approached from the related but less-common $\flat 6$, it is also approached from $\sharp 4$ in the recapitulation. On the other hand, the $\sharp 4$ approaches in the exposition answered by an A6 approach in the recapitulation occur only in a few scattered pieces written between 1797 and 1800 (op.13, op.14, no.1, op.18, no.1, and op.18, no.6). The six

accomplished work that exhibits significant features of stylistic individuality and coherence. In my thinking, Beethoven's first maturity extends from ca.1797 to ca.1802. See Webster, “Schubert's Sonata Form and Brahms's First Maturity,” *19CM* 2 (1978), 18–35, and 3 (1979), 52–71. Lewis Lockwood extends the concept to include three “maturities” in Beethoven's work in *Beethoven: The Music and the Life*. Lockwood locates Beethoven's first maturity at 1798–1802.

18. *Pace* Robert Frost, whose poem of the same title opens his collection *Mountain Interval* (New York: Henry Holt, 1916), having first appeared in the *Atlantic Monthly*, August 1915.

19. Table 1 shows fifteen instances of incipient bifocal design, but six of these are “broken,” i.e., either the bifocal approach to the strong dominant in the exposition is not directly mirrored in the recapitulation, or, in one case, the Violin Sonata, op.24, neither of a pair of directly mirrored strong-dominant complexes operating in the tonic key leads to a second group.

20. Although there are fourteen A6 approaches to strong dominants in expositions, two of these, op.10, no.2, and op.18, no.4, are not mirrored in the recapitulation.

common-chord exposition approaches are answered more democratically, with two $\hat{4}$, two A6, and two common-chord approaches in their recapitulations. The broad pattern, however, clearly suggests that, over time, Beethoven increasingly sought out more varied and interesting ways to approach strong dominants in expositions, but tended to fall back on the more formulaic $\hat{4}$ approach in recapitulations.

In a special subgroup of cases (indicated with asterisks in Table 1), the second-group theme following a strong dominant begins with a continuation of the dominant harmony. Table 1 shows that Beethoven used this device only twice in the seventeen first movements written before op.7, and only twice among the eighteen first movements written after the String Quartets, op.18. Between op.7 and op.18, however, the device appears in seven out of twenty-two first movements. Even allowing for the inevitable blurring of boundaries resulting from uncertainty about composition dates of these passages, this device must be considered a mannerism of his first maturity that he thoroughly explored in the two or three years leading up to 1800.

A brief chronological survey of Beethoven's handling of this procedure will help to clarify the situation in the *Eroica* Symphony. An early instance is found in the Piano Sonata, op.49, no.1 (see ex.3). In the exposition, a simple, unextended strong dominant, approached from $\hat{4}$ in the bass and followed by a brief, filled-in caesura, leads to a second group that opens with a theme beginning on V in the new key. In this case, the new theme is clearly separated from the preceding strong dominant by caesura, changes of texture, the clear initiation of the new basic idea, the recommencing of the bass from scale-degree $\hat{7}$ of the new key rather than scale-degree $\hat{5}$, and by the immediate resolution of V to root-position I as the theme moves ahead.

The Piano Sonata, op.7, provides a more provocative example. In the exposition, the strong dominant is approached from an A6 (m.34) and extended above a bass pedal (mm.35–39). There is a filled-in caesura in mm.39–40, after the release of the bass tone of V (ex.4). The beginning of the second group, however, is not so clearly articulated as in op.49, no.1. The first bass tone heard after the release of the strong dominant is the root of V⁷, inviting one to hear the beginning of the new theme as a continuation of the earlier standing-on-the-dominant. The similarities of register, texture, and rhythmic surface between the extended dominant and the new theme play into the confusion. Moreover, a little farther on, at m.60, one encounters a new, more lyrical theme that seems in many respects more typical of a second-group beginning.²¹ Still, no one would dispute that the sequence of

21. Dahlhaus is especially sensitive to the rhetorical ambiguity of this passage. "With the exposition of the E flat major Sonata, Op.7," he writes, "the impulse to speak of two second subjects is very strong, because the first of the episodes in question (bar 41) is already in the dominant, and tonally

8

mf *fp*

14

p (*dolce*)

#4 approach strong dominant + caesura second group

B \flat : V⁶/V V V⁶

Example 3: Ludwig van
Beethoven, Piano Sonata,
op.49, no.1, movt. I, mm.8–17.

33

sf *fp*

A6 approach strong dominant

B \flat : A6 V

39

sf

+ filled-in caesura second group

v⁷ ⁶ I⁴ ? v⁷ ⁶ I⁴ ?

Example 4: Ludwig van
Beethoven, Piano Sonata,
op.7, movt. I, mm.33–44.

events preceding m.41—an A6 approach, extended strong dominant, and filled-in caesura—should herald the onset of a second group. This tends to be confirmed by a comparison with the parallel passage in the recapitulation. There, a transpositionally mirrored strong-dominant complex (mm.215–19) is approached not from A6 but from #4 (m.214), in keeping with Beethoven's characteristic reversion to the more conventional #4 approach to strong dominants in recapitulations. Comparison to the recapitulation can be helpful in another way as well. James Webster notes that “Beethoven is much more likely [than Mozart or Haydn] to recapitulate the second group literally.”²² To the degree that this is true, then the literal recapitulation of the material between m.41 and the end of the exposition would support locating the onset of the second group there. It will be worthwhile at this point to digress and examine more closely how Webster's observation can contextualize the placement of expositional second-group beginnings in the repertoire under consideration here.

Table 2 shows that Beethoven was firmly committed to literal recapitulation of what I call the “second-group core”—the music that lies between the strong-dominant complex and the weighted PAC (see n.5). When small bits of second-group material are not recapitulated literally, these deviations usually lie either just before or just after the weighted PAC, especially in Beethoven's earlier works. They typically are either expansions or contractions of the immediate approach to the weighted PAC or expansions or withdrawals of the post-cadential modules in the “closing zone” immediately following it.²³ For example, in the first movement of the String Quintet, op.4, the material that approaches the weighted PAC in the exposition (mm.67–76) is substantially recomposed in the

closed. On the other hand it is scherzando in character, and the second of the two (bar 60) appears to be the ‘real’ second subject on the grounds of its lyricism” (Dahlhaus, *Ludwig van Beethoven*, p.104).

22. Webster, “Sonata Form,” p.694.

23. Terminologically, Caplin distinguishes between a “subordinate theme” or “subordinate-theme group” and a “closing section consisting of codettas” (*Classical Form*, p.99). Hepokoski and Darcy distinguish between a “secondary-theme zone” and a “closing zone” in the second key area of a typical exposition. (See “The Medial Caesura,” p.120, and *Elements of Sonata Theory*, pp.16–18, 117–49, and 180–94.) I will refer to a “second-group core” that lies between the initiation of the second group and the weighted PAC, and a “closing zone” that lies between the weighted PAC and the end of the exposition proper. There will be instances in which my closing zone, measured from the weighted PAC, does not match up with Hepokoski and Darcy's closing zone, measured from their EEC. In this study, I will regard both the second group core and the closing zone as part of the “second group,” since, in the music examined here, both sections lie entirely or almost entirely in the second key, and both are ordinarily recapitulated.

Table 2: Beethoven: Second-Group Deviation in First-Movement Sonata Form Recapitulations

Opus	Work	Date	2nd Gr. Expo. and Rcp.	Deviation in Recapitulation
3	String Trio 1 (E _b)	before 1794	41–100	None
2/1	Piano Sonata 1 (f)	1793–1795	21–48	None ¹
1/1	Piano Trio 1 (E _b)	1794–1795	33–104	Post-↓ module (99–104) withdrawn at 248, with expanded compensatory presentation in coda at 281–89
1/2	Piano Trio 2 (G)	1794–1795	99–166	Post-↓ module (158–66) expanded in 379–96
1/3	Piano Trio 3 (c)	1794–1795	59–137	Post-↓ module (124–37) withdrawn at 327, then recomposed and expanded in 327–60 to form coda
2/2	Piano Sonata 2 (A)	1794–1795	58–117	None
2/3	Piano Sonata 3 (C)	1794–1795	27–90	Post-↓ module (84–90) withdrawn at 219, with compensatory presentation in coda at 255–58
4	String Quintet (E _b)	1795	33–86	Material approaching ↓ (67–76) shortened and recomposed in 231–39; post-↓ module (77–86) withdrawn at 240, with altered compensatory presentation in coda at 282–89
81b	Sextet 2 Hn, Stg Q (E _b)	1795	30–65	Material approaching ↓ (49) expanded and recomposed (145–148)
87	Trio 2 Ob, EH (C)	1795?	43–102	None
49/2	Piano Sonata 20 (G)	1795–1796	21–52	Post-↓ module (49–52) expanded in 116–22
5/1	Cello Sonata 1 (F)	1796	73–160	None ¹
5/2	Cello Sonata 2 (g)	1796	106–215	Post-↓ modules include: expansion of 178–79 in 430–33; withdrawal of 185–91 at 439; 10-measure expansion in 447–57 (cf. 199); material in 201–08 expanded in 458–73
16	Piano Quintet (E _b)	1796	87–155	None
71	Wind Sextet (E _b)	1796?	53–111	Material approaching a PAC in 2nd-group core (78–79) replaced by 230–36; material approaching ↓ (91) expanded in 249–60; post-↓ module (106–111) withdrawn at 275, with expanded compensatory presentation in coda at 293–301
10/1	Piano Sonata 5 (c)	1795–1797	56–105	2nd-group core expanded to provide an 18-measure “false” second-group beginning in the major SD (215–301)
6	Two-Piano Sonata (D)	1796–1797	26–56	Post-↓ module (49–56) withdrawn at 150 and replaced with a recomposed module (150–57)

Table 2: (cont.)

Opus	Work	Date	2nd Gr. Expo. and Rep.	Deviation in Recapitulation
7	Piano Sonata 4 (E _b)	1796–1797	41–136	None ¹
10/2	Piano Sonata 6 (F)	1796–1797	19–66	2nd-group core segment (27–29) withdrawn at 153 and replaced by 154–63 (both passages approach rhetorically-displaced strong dominants); material approaching ↓ (54–55) expanded in 187–90; post-↓ module (59–66) expanded in 190–203
11	Trio Vn, Cl, Pno (B _b)	1797	39–105	2nd-group core segment (39–46) withdrawn at 283
49/1	Piano Sonata 19 (g)	1797?	16–33	Material approaching ↓ (26–29) expanded in 91–97; post-↓ module (30–33) recomposed and expanded in 98–103
19	Piano Concerto 2 (B _b)	1788–1798	128–98	Material approaching ↓ (197) expanded in 381–83
9/1	String Trio 2 (G)	1797–1798	49–93	None
9/2	String Trio 3 (D)	1797–1798	57–110	None ¹
9/3	String Trio 4 (c)	1797–1798	21–74	2nd-group core segment (31–43) recomposed in 143–56
10/3	Piano Sonata 7 (D)	1797–1798	23–124	2nd-group core segment (40–44) withdrawn at 222 and replaced by 222–24 for register adjustment; post-↓ module (114–20) withdrawn at 299 with expanded compensatory presentation in coda at 299–306
12/1	Violin Sonata 1 (D)	1797–1798	43–101	None
12/2	Violin Sonata 2 (A)	1797–1798	31–87	None
12/3	Violin Sonata (E _b)	1797–1798	29–67	None ¹
13	Piano Sonata 8 (c)	1797–1798	51–132	2nd-group core segment (75–80) withdrawn at 247 (literal recapitulation would have shifted the music away from the tonic)
14/1	Piano Sonata 9 (E)	1798	23–60	None
14/2	Piano Sonata 10 (G)	1799?	26–63	Post-↓ module (57–63) withdrawn at 184 and replaced by 184–87
15	Piano Concerto 1 (C)	1795–1800	155–237	None
18/1	String Quartet 1 (F)	1798–1800	57–114	None ¹
18/2	String Quartet 2 (G)	1798–1800	36–81	None
18/3	String Quartet 3 (D)	1798–1800	51–104	None
18/4	String Quartet 4 (c)	1798–1800	34–77	None

Table 2: (cont.)

Opus	Work	Date	2nd Gr. Expo. and Rep.	Deviation in Recapitulation
18/5	String Quartet 5 (A)	1798–1800	25–79	None
18/6	String Quartet 6 (B ₁)	1798–1800	45–91	None
21	Symphony 1 (C)	1799–1800	53–106	None
17	Sonata Hn, Pno (F)	1800	31–75	Post-↓ module (71–75) expanded in 174–80
22	Piano Sonata 11 (B ₁)	1800	22–68	None
23	Violin Sonata 4 (a)	1800	30–69	None
24	Violin Sonata 5 (F)	1800–1801	38–85	None
28	Piano Sonata 15 (D)	1801	63–162	2nd-group core segment (129–130) expanded in 404–07 ¹
29	String Quintet 2 (C)	1801	41–94	Post-↓ module (75–94) withdrawn and replaced by 255–65 (literal recapitulation would have shifted the music to the parallel minor)
30/1	Violin Sonata 6 (A)	1801–1802	34–81	None
30/2	Violin Sonata 7 (c)	1801–1802	29–74	None
30/3	Violin Sonata 8 (G)	1801–1802	35–92	None
36	Symphony 2 (D)	1801–1802	73–131	None
20	Septet (E ₁)	1802	53–111	None ¹
31/1	Piano Sonata 16 (G)	1802	66–110	2nd group core expanded at 218–33 (i.e., 66–110=234–78) so the basic idea can be presented a P5 below its original appearance (cf. 66 and 218), but also receive a complete tonic recapitulation (cf. 66 and 234)
31/2	Piano Sonata 17 (d)	1802	42–90	None ¹
31/3	Piano Sonata 18 (E ₁)	1802	46–88	2nd group core expanded at 180–81, 197–200 and 207 (c.f. 55, 70, and 77; expansions facilitate adjustments of octave register)
37	Piano Concerto 3 (c)	1800?–1803	164–227	None
47	Violin Sonata 9 (a)	1802–1803	91–193	None ¹
55	Symphony 3 (E ₁)	1803	45–148	None

¹In these cases, the final cadence is modified in the recapitulation to launch the coda.

↓ indicates the weighted perfect-authentic cadence.

2nd group core refers to the material that lies between the onset of the second group and the weighted PAC.

For purposes of numbering measures, slow introductions and first and second endings receive measure numbers.

recapitulation (mm.231–39). Both passages are essentially composed-out cadential six-four chords, but the passage in the recapitulation is one measure shorter, and although the same melodic ideas appear in both passages, their contrapuntal elaborations differ a good deal in the expositional and recapitulatory versions. After the weighted PAC in the exposition (m.77), the post-cadential modules in mm.77–86 are withdrawn at the corresponding point in the recapitulation (m.240), only to reappear in altered form at the very end of a lengthy coda (mm.282–89). In this and similar passages in his early pieces, Beethoven seems to conceive of the immediate approach to the weighted PAC and the closing zone that follows it as fluid areas in which pre-cadential and post-cadential materials are not necessarily fixed, but can be expanded, contracted, added, withdrawn, shifted around, and/or recomposed so long as their functions in relation to the cadence remain appropriate. Withdrawn material is often, though not always, given some kind of compensatory presentation in a coda. Deviations around the weighted PAC are found far more frequently in Beethoven's earlier works (ten out of seventeen first-movement sonata forms before op.7) than in later ones (seven out of forty first-movement sonata forms after and including op.7). By way of comparison, second-group core deviation occurs in only one work before op.7—the Piano Sonata, op.10, no.1—but in eight instances between op.7 and the *Eroica*.

The overwhelming majority of first-movement sonata forms from Beethoven's first maturity recapitulate the entire second group literally, including the material around the weighted PAC. In movements where recapitulatory deviations do occur, Table 2 shows that Beethoven was about as likely to place them in the second-group core as around the weighted PAC; in the forty first-movement sonata forms between op.7 and the *Eroica*, inclusive, there are eight second-group core deviations as opposed to seven deviations around the weighted PAC.

Generally, the second-group core deviations of Beethoven's first maturity are designed to solve tonal or registral problems. For example, in the Piano Sonata, op.31, no.3, a two-measure expansion of the metric cadenza in the recapitulation of the second-group core (compare mm.53–56 and mm.177–82) allows Beethoven to shift the recapitulatory pitch space from a perfect fifth below the expositional level to a perfect fourth above it. He had to abandon a perfect-fourth-above recapitulation at m.174 to stay within the upper limit of the standard keyboard (f^3). The second-group core expansion allowed him to reclaim the lost ground. In the Piano Sonata, op.13, literal recapitulation would have required closure away from the tonic, as Beethoven had begun the recapitulation of the second group in the key of the subdominant. In the Piano Sonata, op.31, no.1, the

considerable expansion of the second-group core in the recapitulation allowed Beethoven to present its initial basic idea a perfect fifth below its appearance in the exposition, preserving the time-honored perfect-fifth relationship between expositional and recapitulatory statements despite the fact that the expositional statement had begun in the key of the major mediant (see mm.66–77 and 218–29). This initial recapitulatory statement also preserves the theme's clean polarity of major and minor modes. But then Beethoven went on to provide a complete recapitulation of the entire second group in the tonic key (see mm.66–110 and 234–78), the sonata-form equivalent, it would appear, of “having one's cake and eating it too.”

To sum up, Table 2 shows that in his early works Beethoven was fastidious in his literal recapitulation of the second-group core, but not the material approaching or following the weighted PAC. In his first maturity, however, literal recapitulation of the entire second-group core as well as the material around the weighted PAC—i.e., the entire expositional space after the strong-dominant complex—became firmly normative for him, except that he allowed himself more freedom in recapitulating the second-group core to make tonal or registral adjustments. In this context, the presence of literal recapitulation of the expositional material between m.41 and the end of the exposition in op.7 is no coincidence, but a significant confirmation that the second group begins at that point. Moreover, the first movements of Beethoven's first-maturity sonata forms demonstrate such a resolute commitment to exact recapitulation that the strict coinciding of second-group materials between exposition and recapitulation, especially following nonmirroring strong-dominant complexes, can contribute reliably to the locating of second-group beginnings in expositions.

To continue the exploration of sonata forms with second groups beginning on V of the second key, the example chronologically closest to the *Eroica* Symphony is found in the Piano Sonata, op.31, no.2 (ex.5). In the exposition, a $\sharp 4$ approach in mm.38–40 leads to a strong dominant at m.41, which is not extended but followed by the slightest caesura on the second and third quarters of the measure. The new second-group theme begins immediately on the anacrusis to m.42, unfolding over a dominant pedal.²⁴ Its harmonic underpinnings oscillate between V in root position

24. Caplin regards this phenomenon as a means of “loosening” sentential design (*Classical Form*, pp.97–99 and 111). Using the second-group beginning of Beethoven's op.2, no.1, as an example, he notes that “a tonic prolongation can be significantly weakened if all the constituent harmonies of the progression are placed over a dominant pedal (in the bass voice), one that continues on from the end of the preceding transition.” Hepokoski and Darcy consider a second-group beginning with an

and a neighbor six-four chord, much in the manner of a standing-on-the-dominant passage, and the music could easily be mistaken for one.²⁵ The clear presentation of a new basic idea, with its own rhythm, texture, and dynamic, announces that we are beginning the second group—confirmed when the bass descends by step to D and C in mm. 54 and 55 in a voice-leading continuation of the bass tone E from m. 52. This scalewise descent signals that the music is presenting a new basic idea rather than a standing-on-the-dominant, since any possibility that the passage is intended to extend a half-cadence is lost as soon as $\hat{5}$ in the bass descends to $\hat{3}$. Confirmation of the strong-dominant status of m. 41 comes also from a comparison with the corresponding point in the recapitulation, where a nonmirrored strong dominant (m. 175) is followed by a second group (mm. 176–224) that strictly recapitulates the one in the exposition (mm. 42–90).

Here I return to the first movement of the *Eroica* Symphony. An A6 at m. 44 approaches a strong dominant at m. 45. As in op. 31, no. 2, the strong dominant is not extended and in this case not followed by caesura, so the compression of the strong-dominant complex is extraordinary. I am proposing that, as in op. 31, no. 2, the second group begins immediately after a highly compressed strong-dominant complex, with a new theme presented over a dominant pedal. The harmonies oscillate between root-position V and a neighbor six-four chord, mimicking the rhetoric of standing-on-the-dominant (mm. 45–54). This scenario receives a high degree of recapitulatory confirmation. In the *Eroica*'s recapitulation, the corresponding strong dominant is approached by $\sharp 4$ rather than A6 (m. 451), in line with Beethoven's tendency to revert to conventional strong dominant approaches in recapitulations. Moreover, the second group in the recapitulation (mm. 452–555) corresponds exactly, except for changes in orchestration, to the second group in the exposition (mm. 45–148), while the material leading up to m. 452 is rewritten to avoid a modulation to the dominant key—a familiar scenario before the onset of a second group.²⁶

extended V to be a deformational procedure within S-space that is part of the second-theme zone but nevertheless has a preparatory function. They designate such material as S^0 or $S^{1.0}$. See *Elements of Sonata Theory*, pp. 72–73, 129, and 142–45.

25. The potential for form-functional ambiguity around this strong-dominant complex is in keeping with the famously subtle and fluid “first subject/transition” area in op. 31, no. 2. See Dahlhaus, *Ludwig van Beethoven*, pp. 116–18 and 169–71.

26. While the extraordinary compression of the strong-dominant complex in the *Eroica*'s first-movement exposition serves to disguise it, its orchestration effectively announces it. It was not uncommon in Classical orchestral music for the formal paragraph containing the strong-dominant

38 $\sharp 4$ approach

41 *p*

cresc.

46

51 *f* *sf*

a: vii°7/V
strong dominant second group
+ caesura

V V7

Example 5: Ludwig van
Beethoven, Piano Sonata,
op. 31, no. 2, movt. I, mm. 38–
55.

complex in the exposition to begin with the opening theme in the tonic key in tutti orchestration, as in the *Eroica* at m. 37.

There are also interesting correspondences between the situation in the *Eroica* and that in the Piano Sonata, op.7. As Dahlhaus points out (see n.21), it is tempting to assign the onset of the second group in op.7 to the passage that begins in m.59 “on the grounds of its lyricism.” Equally suggestive is the shift from an eighth-dominated to a dotted quarter-dominated rhythmic surface and the initiation of a *piano* dynamic.²⁷ However, this passage follows a well-prepared perfect-authentic cadence (mm.58–59) rather than a strong-dominant complex. In the repertoire examined here, Beethoven never begins a second group after a syntactically normative PAC.²⁸ A roughly analogous situation occurs in the *Eroica*. Many analysts place the onset of the second group at m.83, attracted by the lyricism of the basic idea, the change in orchestral texture, the shift from an eighth-dominated to a quarter-

Table 3: Beethoven: Transition and Second-Group Patterns

	Strong-Dom. Complex		2nd Group, 1st Subsection		2nd Group, 2nd Subsection
Op.7	mm.35–40 A6→Ext.V/D + <i>caesura</i> 8th-dominated rhythmic surface	+	mm.41–59 Th.@V/D + PAC	+	m.59... Th.@I/D (lyrical, <i>piano</i>) dotted quarter-dominated rhythmic surface
<i>Eroica</i>	m.45 A6→V/D 8th-dominated rhythmic surface	+	mm.45–83 Th.@V/D + PAC	+	m.83... Th.@I/D (lyrical, <i>piano</i>) quarter-dominated rhythmic surface

27. Among recent commentators, Hepokoski and Darcy in particular emphasize the tendency of Classical composers to use “a rhetorical drop to *piano*” to signal the onset of the second group (“The Medial Caesura,” p.117, and *Elements of Sonata Theory*, p.132).

28. There is one piece in this repertoire in which the second group arguably commences after a PAC: the Piano Trio, op.1, no.2, at m.99. But here the “set-up” for the cadence is a prolonged standing-on-the-dominant, not the more or less equally weighted pre-dominant and dominant elements that signal a syntactically normative PAC. The cadence is, in effect, a half-cadence, despite its resolution to I. For another view of the situation in op.1, no.2, see Hepokoski and Darcy, “The Medial Caesura,” pp.129–31. Many analysts consider the second group of op.10, no.3, to begin at m.53, after a syntactically normative PAC. Note, however, the use of a nonmirrored strong-dominant complex in the recapitulation (mm.201–04) followed by the nearly literal recapitulation of the second group core in mm.204–74, providing strong recapitulatory evidence that the second group in the exposition begins at m.23 with an oblique approach to the second key.

dominated rhythmic surface, and the initiation of a *piano* dynamic. However, just as in op.7, the material at m.83 follows a syntactically normative PAC (mm.75–83). As Table 3 indicates, the lengths of the formal elements differ significantly between the two examples. In particular, the exceptionally compressed strong-dominant complex in the *Eroica* leaves a different impression in the ear from the more normative one in op.7. But in terms of broad compositional strategy, the two passages are strikingly similar.

In summary, it is clear that the *Eroica*'s first movement contains a strong-dominant complex at m.45 that is completely in keeping with well-established patterns in Beethoven's sonata-form practice. It is only that, in the *Eroica*, the strong-dominant complex has become so compressed, and its distinguishing rhetorical features of standing-on-the-dominant and caesura have been so worn away, that it is easy not to accord it due significance in the unfolding of the form. The opening of the second group over a dominant pedal in the new key, by now a well-established Beethovenian ploy, makes the formal articulation of the second-group beginning at m.45 nearly seamless. But there is a complicating factor in this otherwise plausible scenario. The dominant pedal in the proposed second-group opening at m.45 is eventually left by scalewise descent, as in op.31, no.2, but in the *Eroica* the scalewise descent extends all the way to the tonic, expressing a filled-out $\hat{5}$ – $\hat{1}$ cadential bass motion.²⁹ Hearing this kind of cadence at m.57 makes the m.45 material sound somewhat more like a standing-on-the-dominant than the corresponding music in op.31, no.2, and contributes to the impression that the second group might begin at m.57 after a standing-on-the-dominant passage. Thus, while the function

29. Beethoven's tendency to draw the bass down by step from $\hat{5}$ in second groups that begin with a basic idea presented above a dominant pedal is remarkably consistent. Only a few of the second-group beginnings marked with * in Table 1 (to indicate that they begin with a continuation of the dominant harmony) begin with a dominant pedal in the bass. The subsequent movements of the bass in these instances are as follows. In the Piano Sonata, op.2, no.1, the bass moves by step from $\hat{5}$ down to $\hat{3}$ before leaping down to $\hat{7}$ (mm.25–26). In the Piano Sonata, op.13, the bass moves by step from $\hat{5}$ down to $\hat{4}$, there becoming the bass of another dominant pedal in D \flat major (mm.62–63). In the String Quartet, op.18, no.1, an implied dominant-pedal bass moves by step from $\hat{5}$ down to $\hat{7}$ (mm.58–60). In the String Quartet, op.18, no.3, the bass moves by leap up from $\hat{5}$ to a $\hat{1}$ – $\hat{4}$ – $\hat{5}$ – $\hat{1}$ cadence formula (mm.55–57). (The immediate resumption of the same basic idea in inverted counterpoint signals that this is a second-group presentation rather than an extension of the strong dominant by standing-on-the-dominant; it is difficult to imagine a standing-on-the-dominant passage that also contains internally a normative PAC.) In the Piano Sonata, op.31, no.2, the bass moves by step from $\hat{5}$ down to $\hat{3}$ (mm.54–55). Thus, the bass movement by step (really a filled-in leap) from $\hat{5}$ down to $\hat{1}$ in the *Eroica* at mm.56–57 is a unicum in the repertoire considered here.

of the compressed strong dominant at m.45 as the herald of the second group is certain, the significance of the material immediately following it, and by extension, of the material beginning at m. 57, remains frustratingly ambiguous. An examination of Beethoven's compositional patterning within second groups will provide a broadened framework for considering the role of the m.45 and m.57 material and refining our sense of where the *Eroica's* second group begins.

Generally, Beethoven's second groups in the works considered here are laid out in clear subsections. Some subsections pull away from or otherwise disturb the second key, but all end with a perfect-authentic cadence that confirms it.³⁰ Moreover, one or another of these subsections ends with a strongly prepared perfect-authentic cadence that has correspondingly greater weight by comparison with others in the second group. This weighted PAC is usually followed by one or more "closing zone" modules. These characteristically contain several "echoing" authentic cadences, sometimes omitting the pre-dominant element, which underlie "cadential" or "closing" themes. In some cases, closing zones also incorporate a retransition to the beginning of the exposition (see n.23).

I posit that at least three levels of tonal disturbance are discernible in second-group subsections that are not fundamentally diatonic. In what I call Level I, the "pulling away" is achieved primarily by a change of mode, so that, while "fresh pitches" are used, there is no challenge to the primacy of the second-key tonic. In Level II, the continuous hegemony of the second key is never in doubt, but the diatonic surface of the music is significantly disturbed by chromatic harmonies, such as secondary dominants. In Level III, the hegemony of the second key is briefly challenged by the temporary establishment of a competing tonic.³¹ These three levels can be illustrated by the second group of Beethoven's Cello Sonata, op.5, no.1 (ex.6). A Level I disturbance appears in mm.97–104, in which Beethoven moves temporarily to the minor mode of the dominant key of C major. A typical Level II disturbance appears in mm.108–12, in which secondary dominants of ii, iii, and IV briefly disturb the diatonic surface of C major. The longest and most complex disturbance in this second group begins in m.125 with another movement to the minor mode. In this context, mm.127–30 contain what might arguably be

30. See the related discussion in Caplin, *Classical Form*, pp.97–123.

31. This way of thinking about key disturbance is not unrelated to concepts employed by a number of theorists active around the turn of the nineteenth century, including Heinrich Christoph Koch or Gottfried Weber. For an overview of the way key disturbance was presented in the contemporaneous theoretical literature, see Janna K. Saslaw, "The Concept of *Ausweichung* in Music Theory, ca. 1770–1832," *Current Musicology* 75 (2003), 145–63.

a

97

p

f

ff

101

b

108

f

mf

c

127

pp

pp

Example 6: Ludwig van
Beethoven, Sonata for Cello
and Piano, op. 5, no. 1, movt.
I; a. mm. 97–104: Level I
harmonic disturbance; b.
mm. 108–12: Level II harmon-
ic disturbance; c. mm. 127–30:
Level III harmonic distur-
bance.

considered a Level III disturbance; the persistent and extended use of VI and V/VI in C minor would probably suggest to some hearers the temporary presence of the key of A \flat major.

Table 4 shows the second-group subsections in the sonata-form expositions under consideration here. In each case, the second group begins immediately after the strong-dominant complexes shown in Table 1. Subsectional boundaries are defined by perfect-authentic cadences, ordinarily at a higher order of importance than cadences that bound single phrases. Phrases that include homogeneous melodic material are ordinarily considered to be part of the same subsection. Harmonic disturbances of the second-key tonic are shown by I, II, or III, according to their levels, and the weighted perfect-authentic cadence is indicated by the \Downarrow sign. Closing zones comprise the material following the weighted PACs. Those that yield at the end to retransitional function are considered to constitute second-group subsections if they provide substantial confirmation of the second-key tonic, and if they are recapitulated. (As Rosen points out, there are examples in the literature in which a phrase at the end of the exposition clearly has *only* a retransitional function.³² These phrases, rare in works by Beethoven, are not considered to be parts of second groups in Table 4.)

Many of Beethoven's second groups are comprised of two subsections. There are twenty examples of this bipartite type among the fifty-seven movements in the sample. Usually, the weighted PAC closes the first subsection in a bipartite second group and is followed by a closing-zone subsection. A typical example is the much-analyzed Piano Sonata, op. 2, no. 1, but bipartite second groups are confined neither to early pieces nor to short ones; the Second Symphony, op. 36, for example, has a bipartite second group. A few bipartite second groups are entirely diatonic. These are concentrated among early works, with four examples before op. 7 and one after it. Three of the twenty bipartite designs place the weighted PAC at the end of the second subsection rather than the first one, so that there is no closing zone. These fall later chronologically, and include the String Quartet, op. 18, no. 2, the Violin Sonata, op. 30, no. 2, and the Piano Sonata, op. 31, no. 2.

There are twenty-nine three-part second groups in Table 4. Like the two-part second groups, these are distributed in a fairly even chronology. The most typical tripartite design, found in twenty instances, places the weighted PAC at the end of the second part, with the last part serving as a closing zone. This design appears

32. Rosen, *Sonata Forms*, p. 105, where he notes that mm. 56–61 of Haydn's Symphony No. 44 "do not properly belong to the exposition: they are a transition back to the opening and also to the development that follows."

Table 4: Beethoven: Second-Group Organization in First-Movement Sonata-Form Expositions

Opus	Work	Date	Subsectional Flow	
3	String Trio 1 (E _b)	Before 1794	<i>d</i> -II- <i>d</i> (41–88↓)	<i>d</i> (88–100)
2/1	Piano Sonata 1 (f)	1793–1795	<i>d</i> (21–41↓)	<i>d</i> (41–48)
1/1	Piano Trio 1 (E _b)	1794–1795	<i>d</i> (33–80↓)	<i>d</i> (80–97)
1/2	Piano Trio 2 (G)	1794–1795	<i>d</i> (99–140↓)	<i>d</i> (140–61)
1/3	Piano Trio 3 (c)	1794–1795	<i>d</i> -III-I- <i>d</i> (59–98)	<i>d</i> -II- <i>d</i> (98–124↓)
2/2	Piano Sonata 2 (A)	1794–1795	I-III- <i>d</i> (58–92)	<i>d</i> (92–104↓)
2/3	Piano Sonata 3 (C)	1794–1795	I-III- <i>d</i> (27–46)	<i>d</i> (47–77↓)
4	String Quintet 1 (E _b)	1795	Obl- <i>d</i> (33–49)	<i>d</i> -II- <i>d</i> (49–77↓)
81b	Sextet 2Hn,StgQ (E _b)	1795?	<i>d</i> (30–56↓)	<i>d</i> (56–65)
87	Trio 2 Ob, EH (C)	1795?	<i>d</i> -II-III- <i>d</i> (43–70↓)	<i>d</i> (70–83)
49/2	Piano Sonata 20 (G)	1795–1796	<i>d</i> (21–56)	<i>d</i> (56–49↓)
5/1	Cello Sonata 1 (F)	1796	<i>d</i> -I- <i>d</i> -II- <i>d</i> -III- <i>d</i> (73–143↓)	<i>d</i> (134–60)
5/2	Cello Sonata 2 (g)	1796	<i>d</i> -I- <i>d</i> (106–64↓)	<i>d</i> -I- <i>d</i> (165–200)
16	Pno/Wind Quintet (E _b)	1796	<i>d</i> (87–108)	<i>d</i> (108–36↓)
71	Wind Sextet (E _b)	1796?	<i>d</i> -III- <i>d</i> (53–98↓)	<i>d</i> (99–111)
10/1	Piano Sonata 5 (c)	1795–1797	<i>d</i> (56–94↓)	<i>d</i> (94–105)
6	Two-Piano Sonata (D)	1796–1797	<i>d</i> (26–41↓)	<i>d</i> (42–56)
7	Piano Sonata 4 (E _b)	1796–1797	<i>d</i> -II- <i>d</i> (41–59)	<i>d</i> -III- <i>d</i> (59–93)
10/2	Piano Sonata 6 (F)	1796–1979	<i>d</i> (19–41)	I- <i>d</i> (42–55↓)
11	Trio Vn,Cl,Pno (B _b)	1797	Obl- <i>d</i> (39–63)	<i>d</i> -II- <i>d</i> (63–76)
49/1	Piano Sonata 19 (g)	1797?	<i>d</i> (16–29↓)	<i>d</i> (30–33)
19	Piano Concerto 2 (B _b)	1788–1798	<i>d</i> (128–43)	<i>d</i> -III-I- <i>d</i> (143–57)
9/1	String Trio 2 (G)	1797–1798	I- <i>d</i> -II- <i>d</i> (49–86↓)	<i>d</i> (86–93)
9/2	String Trio 3 (D)	1797–1798	<i>d</i> -I- <i>d</i> (57–79↓)	<i>d</i> (79–95)
9/3	String Trio 4 (c)	1797–1798	Obl- <i>d</i> -I- <i>d</i> (21–40)	<i>d</i> -II- <i>d</i> (40–61↓)
10/3	Piano Sonata 7 (D)	1797–1798	Obl- <i>d</i> (23–53)	<i>d</i> -I- <i>d</i> -III- <i>d</i> (53–93↓)
12/1	Violin Sonata 1 (D)	1797–1798	<i>d</i> (43–58)	<i>d</i> -I-III- <i>d</i> (58–87↓)
12/2	Violin Sonata 2 (A)	1797–1798	Obl- <i>d</i> (31–68↓)	II- <i>d</i> (68–87)
12/3	Violin Sonata 3 (E _b)	1797–1798	<i>d</i> (29–44)	<i>d</i> -I- <i>d</i> (44–58↓)
13	Piano Sonata 8 (c)	1797–1798	I-III-II- <i>d</i> (51–88)	<i>d</i> -II- <i>d</i> (90–117↓)
14/1	Piano Sonata 9 (E)	1798	<i>d</i> (23–38)	<i>d</i> (38–46)
				<i>d</i> (57–60)

Table 4: (cont.)

Opus	Work	Date	Subsectional Flow	
14/2	Piano Sonata 10 (G)	1799?	<i>d</i> (26–47)	<i>d</i> (58–63)
15	Piano Concerto 1 (C)	1795–1800	<i>d</i> (155–74)	<i>d</i> -II- <i>d</i> -III- <i>d</i> (182–237↓)
18/1	String Quartet 1 (F)	1798–1800	<i>d</i> -I- <i>d</i> (57–72)	<i>d</i> -I- <i>d</i> (84–101↓)
18/2	String Quartet 2 (G)	1798–1800	<i>d</i> -II- <i>d</i> (36–61)	<i>d</i> (101–14)
18/3	String Quartet 3 (D)	1798–1800	<i>d</i> -III-I- <i>d</i> (51–90↓)	
18/4	String Quartet 4 (c)	1798–1800	<i>d</i> (34–53)	<i>d</i> (70–77)
18/5	String Quartet 5 (A)	1798–1800	I-III- <i>d</i> (25–43)	<i>d</i> (66–79)
18/6	String Quartet 6 (B _b)	1798–1800	<i>d</i> -I- <i>d</i> -II- <i>d</i> (45–80↓)	
21	Symphony 1 (C)	1799–1800	<i>d</i> (53–77)	<i>d</i> (88–100↓)
17	Sonata Hn, Phn (F)	1800	Obl- <i>d</i> (31–46)	<i>d</i> (63–75)
22	Piano Sonata 11 (B _b)	1800	<i>d</i> -II- <i>d</i> (22–30)	<i>d</i> (56–68)
23	Violin Sonata 4 (a)	1800	<i>d</i> -II- <i>d</i> (30–62↓)	
24	Violin Sonata 5 (F)	1800–1801	<i>d</i> -I- <i>d</i> -I- <i>d</i> (38–70↓)	
28	Piano Sonata 15 (D)	1801	Obl- <i>d</i> (63–135↓)	
29	String Quintet 2 (C)	1801	I-III- <i>d</i> (41–60)	<i>d</i> -I (75–94)
30/1	Violin Sonata 6 (A)	1801–1802	<i>d</i> -III- <i>d</i> (34–81↓)	
30/2	Violin Sonata 7 (c)	1801–1802	<i>d</i> -I- <i>d</i> (29–52)	
30/3	Violin Sonata 8 (G)	1801–1802	Obl- <i>d</i> (35–50)	<i>d</i> (67–81↓)
36	Symphony 2 (D)	1801–1802	<i>d</i> -I- <i>d</i> (73–112↓)	
20	Septet (E _b)	1802	<i>d</i> -II- <i>d</i> (53–86↓)	<i>d</i> (98–111)
31/1	Piano Sonata 16 (G)	1802	I- <i>d</i> -II- <i>d</i> (66–98↓)	
31/2	Piano Sonata 17 (d)	1802	<i>d</i> -II- <i>d</i> (42–63)	
31/3	Piano Sonata 18 (E _b)	1802	<i>d</i> (46–64)	<i>d</i> (82–88)
37	Piano Concerto 3 (c)	1800?–1803	<i>d</i> (164–86)	<i>d</i> (109–227↓)
47	Violin Sonata 9 (a)	1802–1803	I- <i>d</i> (91–116)	<i>d</i> (176–93)
55	Symphony 3 (E _b)	1803	<i>d</i> -II- <i>d</i> (45–83)	<i>d</i> -II- <i>d</i> (109–48↓)

d indicates essentially diatonic material; I indicates significant use of the parallel major or minor mode; II indicates use of a significant level of chromaticism, but without obscuring the second key; III indicates a challenge to the hegemony of the second key. Obl indicates an oblique approach to the second key; ↓ indicates the weighted PAC; (n¹–n²) indicates the measure number boundaries of subsections. For purposes of numbering measures, slow introductions and first and second endings receive measure numbers.

six times before op.7, but fourteen times after it, dominating Beethoven's tripartite second groups between about 1797 and 1803. There are interesting patterns in Beethoven's early tripartite second groups, as if he were experimenting with different organizational strategies in clusters of pieces in the same genre. Both Piano Sonatas, op.2, nos.2 and 3, begin the second group in the parallel minor of the second key, the only movements before op.7 to do so. In the Piano Trios, op.1, nos. 1 and 2, the weighted PAC is placed at the end of the first subsection, after which two closing-zone subsections appear. Beethoven used this design again in the Cello Sonata, op.5, no.2, and the String Trio, op.9, no.2, but it fell out of favor, appearing later only in the Septet, op.20. Movements that place the weighted PAC at the end of the first subsection of a tripartite design are therefore concentrated among Beethoven's earlier works, whereas its placement at the end of the second subsection becomes the norm later on. One other pattern, of course, is possible, in which the weighted PAC is placed at the end of the third subsection in a tripartite second group. This placement was traditional for the concerto, so it is unsurprising that each of Beethoven's first three Piano Concertos uses this design.

Beethoven's predilection for placing weighted PACs at the ends of penultimate subsections is confirmed by the relatively few second groups that include four subsections. Of the seven quadripartite second groups shown in Table 4, only the early Trio for Two oboes and English horn, which carries the late opus number 87, but most likely was composed in 1795, places the weighted PAC at the end of the first subsection. In the other six works, the Trio, op.11, the Piano Sonatas, op.7 and op.14, no.1, the String Quartet, op.18, no.1, the First Symphony, op.21, and the Violin Sonata, op.30, no.3, the weighted PAC is placed at the end of the third subsection and is followed by a single closing-zone subsection. By taking all the bipartite, tripartite, and quadripartite examples together, a general pattern emerges. Beethoven favored placing the weighted PAC at the end of the penultimate subsection in almost all of the works of his first maturity. However, it falls earlier—at the end of the first subsection of tripartite and quadripartite second groups—in a number of his early pieces and is pushed to the very end of the second group in a few of the later works considered here. Therefore, there is, over time, a tendency to shift the weighted PAC from an early position in the second group toward its end.

A considerable number of second groups in Beethoven's early works (seven before op.7, but only three after it) are chromatically benign, in that they contain no significant disruption of the second-key tonic. Otherwise, the second groups contain a rich variety of tonal disturbances. Some begin with a tonal disturbance because the second key is approached obliquely (shown by "Obl" in Table 4). In a striking genre grouping, five of the six String Quartets, op.18, show a significant

tonal disturbance in the first subsection, with the following subsections generally more diatonic. In the thirty-six second groups that include either three or four subsections, one or two chromatic disturbances are the norm. Only two tripartite second groups show some kind of chromatic disturbance in each of their subsections: Beethoven's much-neglected String Quintet, op.29, and the *Eroica* Symphony.³³

The *Eroica*'s second group, then, strains against diatonicism to an unusual degree, but it is more important to note that its first subsection (whether one considers it to begin at m.45 or m.57) contains a pronounced Level II chromatic disturbance (mm.65–74). Unlike Level I disturbances, which can begin a subsection as well as occur within one, Level II and III disturbances ordinarily appear in the middle of subsections that begin and end diatonically. There are fourteen movements in Table 4 in which a Level II disturbance is used in the first subsection of a second group. Three of these appear in movements written in 1802, not long before the *Eroica*.

Because Beethoven's second groups differ profoundly in detail, even where their larger organizational strategies are similar, it is impossible to find a first subsection that is precisely analogous to the one in the *Eroica*, but three are close enough to the *Eroica*'s pattern to be discussed here. In the Piano Sonata, op.31, no.1, Beethoven begins the second group with an eight-measure basic idea in B major (the parallel major of the second-key tonic of B minor). He then reverts to the minor mode and begins the theme again in the bass. Before this response-repetition unit cadences, however, it turns aside into an extensive run of Level II chromaticism (mm.78–86). Finally, the tonic is reconfirmed cadentially (mm.87–88) (ex.7). By comparison, in the *Eroica*, there is no substantial recourse to the opposite mode in the first subsection, despite the hint of E♭ minor in mm.53–54. Furthermore, the op.31, no.1, subsection is more broadly reiterative than the *Eroica*'s, since it presents the Level II chromatic excursion twice. Still, both subsections begin by presenting a basic melodic idea, continue through a zone of melodic fragmentation coupled with a model-sequence process, and close with a cadence. As Caplin points out,

33. In the discussion that follows, I consider the cadence at m.57 in the *Eroica*'s first movement to be a local, phrase-level articulation rather than a section-defining one, such as the very firmly prepared, normative PAC at m.83. This follows naturally from recognizing m.45 as the onset of a presentational area. The inflections at similar formal junctures are often weakened cadences or noncadences. (See Caplin's analyses of Mozart's Symphony No.39, K.543, movt. II, mm.35–55 [*Classical Form*, pp.114–15], and Beethoven's Piano Sonata, op.26, movt. IV, mm.27–49 [*Classical Form*, pp.101–03].) The cadence at m.57 in the *Eroica*, though orchestrally prominent, is subtly undermined by its lack of a predominant element and by the very deliberate withdrawal of the root of V in the bass at m.53.

74 Presentation (diatonic) Continuation (sequence)

79 with Level II chromatic disturbance)

84 Cadence (diatonic writing is restored)

Example 7: Ludwig van
Beethoven, Piano Sonata,
op. 31, no. 1, movt. I, mm. 74–
88.

this “loosened” sentential structure often serves as a basic organizational principle for second-group subsections. Characteristic of both op. 31, no. 1, and the *Eroica* are the great length over which the sentential process is spun out and the fact that the continuation couples the model-sequence process with pronounced Level II chromaticism.³⁴

The beginning of the second group in the first movement of the Piano Sonata, op. 13, also is in some ways analogous to that in the *Eroica*. Here the first subsection of the second group begins over a dominant pedal (ex. 8). The theme begins with three statements of a basic idea in E♭ minor, the parallel minor of the second-key tonic. I will call this a “trifold presentation” (mm. 51–62). The chromatic zone is thus initially a Level I, and a Level III follows closely on it when D♭ is established

34. Caplin, *Classical Form*, pp. 9–12. See also Caplin’s discussion of the sentential nature of subordinate themes, pp. 99–101.

51 Tri-fold presentation (with Level I chromatic disturbance)

58 Continuation (with Level III chromatic disturbance)

65 chromatic disturbance)

72 Continuation (sequence with Level II chromatic disturbance)

78

84 Cadence (after diatonic writing is restored)

decresc. *pp* *p*

Example 8: Ludwig van
Beethoven, Piano Sonata,
op. 13, movt. I, mm. 51–89.

as a temporary tonic (mm.63–75). The Level II chromatic area follows (mm.75–85), with its characteristic melodic fragmentation and model-sequence organization. The return to diatonicism leads to an authentic cadence at mm.86–89. Because of its opposite-mode beginning and its Level III excursion into D \flat major, this subsection is quite different from the corresponding one in the *Eroica*, but it is directly analogous in several important respects: it replaces the more common bifold sentential presentational area with a trifold one presented over a dominant pedal. As in the *Eroica*, each four-measure melodic unit in this presentational area unfolds over a single harmony, either V or a neighbor six-four chord, and the trifold presentation units are rhythmically reiterative. Finally, the subsectional cadence is preceded by an area of Level II disturbance.

The second group in the first movement of the Piano Sonata, op.31, no.2, also begins with a trifold melodic presentation over a dominant pedal, with alternating root-position V and neighbor six-four chords (mm.42–55). The similarity to the overall design of the *Eroica*'s first subsection is therefore especially striking at the beginning. The ensuing chromatic writing features the Neapolitan sonority rather than a model/sequence-based chromatic disturbance (mm.55–63), with the more normative Level II chromatic writing pushed up against the subsectional cadence. Yet, the general design once again is: the third statement of a trifold presentation over a dominant pedal initiates a continuation function that contains a significant Level II chromatic disturbance of the diatonic surface of the music. In op.13, op.31, no.2, and the *Eroica*, the initial second-group subsections feature an unusually high level of contrapuntal and harmonic dissonance; both the dominant-pedal presentation areas and the continuations, with their pronounced, Level II chromatic disturbances, resist repose.

In his own parsing of the *Eroica*'s second group, Caplin describes the first subsection as beginning with a sentential unit—a presentation phrase at m.57, followed by a varied repetition of that phrase at m.61 and a continuation exhibiting model/sequence processes starting at m.65.³⁵ Unquestionably, the passage, when heard in this way, is demonstrably sentential. However, the repetition phrase's radically varied treatment of the basic idea leads seamlessly into the chromaticizing model-sequence process so that these units form virtually a single musical gesture. Heard in this way, the Level II chromatic disturbance seems to arrive too abruptly—that is, after only a single, small presentational phrase. (Imagine hearing m.57 and its

35. Caplin, "Structural Expansion," pp.36–42. Caplin writes, "On the basis of my definition of 'theme' as an integral unit of form, I suggest that m.57 marks the beginning of a genuine subordinate theme, one that closes with a perfect-authentic cadence in the new key, B-flat major."

continuation after a strong dominant followed by caesura.) It is only when one hears the second group beginning at m.45, with the trifold presentation of a new basic idea, that there is sufficient diatonic presentational space to justify the extensive chromatic continuation area that follows it. The placement of the Level II chromaticism in the *Eroica*'s initial second-group subsection suggests, then, that its true presentational statement began at m.45, aligning it broadly with sentential patterns already established in op.13 and op.31, no.2.³⁶

A look at the broader working-out of the *Eroica*'s first movement tends to confirm this conclusion. At issue is how Beethoven's subsequent treatment of the ideas presented at m.45 and m.57 might be germane to their expositional functions. Observe the extraordinarily prominent role the material initiated at m.45 plays in the development section of the *Eroica*'s first movement. On its first appearance in the development (m.170), the m.45 material is clearly presentational, having discarded its pedal bass and now preceded by a conventional standing-on-the-dominant passage (mm.164–69). One might argue that Beethoven supplies in the development what he had withheld in the exposition: the rhetorical signals that identify the m.45 material clearly as a second-group theme. There is a sense here of form-functional clarification. Moreover, the m.45 material initiates the first two of the four large subsections of the development (mm.170–223 and 224–88; the latter two large subsections—mm.288–326 and 326–401—are initiated by the famous “new theme”). The motivic elaboration of the m.45 theme in the second developmental subsection is especially far-reaching. After a presentational area in A \flat major (mm.224–36), the motive appears for the first time in the bass, moving to F minor (mm.236–40), and then passes around the circle of fifths to A minor in an imitative elaboration (mm.240–52), whereupon it becomes the motivic germ of the extraordinary, syncopated passage leading up to the “new theme” at m.288. In this article, I will not undertake to compare this treatment with the developmental strategies in all of Beethoven's first-movement sonata forms written prior to the *Eroica*. But a smaller sample comprising his first, second, and fourth symphonies shows that in these works Beethoven builds his developmental material primarily on either the first subject (Symphonies No.1 and No.4), or the first subject and the initial theme of the second group (Symphony No.2). In the *Eroica*'s larger and more complex first movement, he accesses three themes for development, the first subject, the “new theme,” and the material beginning at

36. It is more than likely the presence of extensive Type II chromaticism in the *Eroica*'s second group that led Plantinga to describe part of the first subsection as an “active, brilliant, modulatory passage.” It is indeed active and brilliant, but not modulatory.

m.45 in the exposition—suggesting that, for him, this music carried the motivic import of the initial theme of a second group.

On the other hand, the m.57 idea, in my view, functions as a bridge passage between the presentational area that begins at m.45 and the chromatic and sequential continuation area that follows it. This bridge function coexists with a cadential function. On its initial appearance in the exposition, its first group-level, cadence-like articulation (mm.60–61), weakened because the V is arguably in first inversion, acts as a quasi-cadential echo of the tonic arrival at m.57. The second, varied statement of the bridge–passage idea begins as if to reiterate this process, but when the bass moves to F# in m.65 rather than F, its potential cadence is avoided, initiating the chromatic continuation area. Just as the presentational function of the m.45 material was clarified in the development, the cadential function of the m.57 material is clarified when it reappears at the end of the movement. There, its bass is finally allowed to continue to the root of V at m.685—the V of the movement's final, hammering cadence.³⁷ The very fact that the material initiated at m.57 is eventually used in this way militates against considering it as the initial theme of the second group. There are no instances in the repertoire considered here (and few anywhere else) in which the final cadence of a sonata-form movement springs directly from the beginning of the second-group's opening theme. Indeed, the initiating quality of such a passage is so pronounced that one would expect it to be so used only rarely.³⁸

It is interesting at this point to see how Beethoven's sketches for the *Eroica* might shed light on the functions of the music initiated at m.45 and m.57.³⁹ These include four continuity drafts and a variant continuity draft in the sketchbook known as

37. Tovey was evidently the first analyst to draw attention to the fact that the relatively inconspicuous idea introduced at m.57 is used to approach the final cadence of the entire movement (Tovey, *Essays in Musical Analysis*, I, 45–46).

38. Rosen discusses one such occurrence in Haydn's String Quartet, op.17, no.1, noting that in this case the procedure is necessary because the motif in question had not appeared in the recapitulation (*Sonata Forms*, pp.301–04). Even in this exceptional situation, however, it is not the first part of the phrase but the second that is used to close the movement, which is surely because the first part of the phrase (mm.119–24) has a strong initiating function, whereas the second part is cadential. The striking nonuse of second-group-initiating material in cadential areas is also noted by Hepokoski and Darcy, who observe that “the characteristic or lyrical S¹ material (the head-motive of S) seems to have been regarded as not available for the beginning of C—and, at least as a first-level default, for the body of C as well” (*Elements of Sonata Theory*, p.181).

39. The use of sketch studies to clarify analytical questions has been and remains controversial. Since Beethoven's sketches manifestly do not present the finished work to us, any analytical insights we might glean from them necessarily require a considerable degree of qualification. On the other

Landsberg 6, which have been reproduced and discussed by many scholars, including Lewis Lockwood.⁴⁰ Lockwood notes that the earliest continuity draft of the material found in mm. 57–64 of the *Eroica* contains repeat marks (ex.9a). In this early version, the m.57 material had the phrase form *aa*. A variant of continuity draft 1 reforms this material into a three-phrase unit with the phrase form *aaa'* (ex.9b). In later continuity drafts the material reverts to the two-phrase model, but gradually acquires the open-ended continuation of the final version (*aa'*) as well as the octave displacement and melodic embellishments that disguise its originally clear phrase organization (ex.9c–9e). Thus, although the idea initiated at m.57 began life with some characteristics of a bifold or trifold presentational area, those characteristics were attenuated in later versions.

It is interesting, in this connection, that Gustav Nottebohm considered the *Eroica*'s second group to begin at m.57. Aside from tonal considerations, he based his view on the proposition that the m.57 material “required few changes before the final form was reached” in the continuity drafts of Landsberg 6. This position was grounded by the observation that in Beethoven's continuity sketches initial themes of first and second groups generally require less revision than transitional material.⁴¹ But Nottebohm's conclusion about the location of the second group in the *Eroica*'s first movement does not follow unequivocally from the evidence

hand, to leave the sketches unexamined, even in an empirical study that explores the *Eroica* in light of compositional patterning, would be a lost opportunity to gain some additional insight into Beethoven's approach to the formal nexus considered here. For a discussion of the limited utility of sketch studies for analysis, see Douglas Johnson, “Beethoven Scholars and Beethoven's Sketches,” *19CM* 2 (1978), 3–17, with responses from Sieghard Brandenburg and William Drabkin and a reply from Douglas Johnson in “On Beethoven Scholars and Beethoven's Sketches,” *19CM* 2 (1979), 270–79. Despite Johnson's eloquently expressed concerns, the use of Beethoven's sketches in analytical studies of his music has accelerated considerably over the past three decades. It is not surprising that this development has coincided with a revival of interest in *Formenlehre*, for which the sketches are perhaps more likely to yield helpful information.

40. Lockwood, “Eroica Perspectives: Strategy and Design in the First Movement,” in *Beethoven: Studies in the Creative Process* (Cambridge, Mass.: Harvard UP, 1992), pp. 118–33, originally in BS III, pp. 85–106.

41. N 1880, p. 58. In more recent research on Beethoven's sketchbooks, Barry Cooper observes that Beethoven's transitional passages “were often the most problematical passages to compose, generating more sketches than the thematic sections.” Cooper further proposes that “another reason why transitional sketches are so common is that it was much easier to adjust the proportions in a movement by altering the joins than by changing the more thematic sections, whose length tended to become more or less fixed at a relatively early stage” (See Barry Cooper, *Beethoven and the Creative Process* [Oxford: Clarendon P, 1990], pp. 129–30).

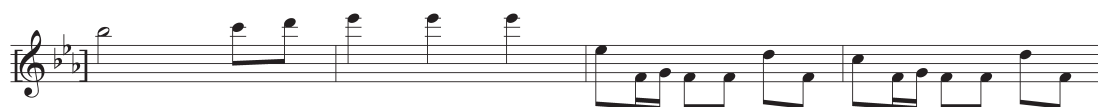
a



b



c



d



e



Example 9: Ludwig van Beethoven, Symphony No. 3, op. 55, movt. I: Sketches from Landsberg 6, after Examples 4.2 and 4.3 in Lewis Lockwood, "Eroica Perspectives"; a. Continuity draft 1; b. Continuity draft 1, variant; c. Continuity draft 2; d. Continuity draft 3; e. Continuity draft 4.

in the continuity drafts as he presents them. It is true that the basic melodic idea of mm.57–60 is presented in close to its final form in the first continuity draft (Nottebohm's "Long Sketch No.1"), but it is then not only substantially revised in surface detail but also varies somewhat in length and phrase organization (see ex.9). On the other hand, the idea presented at m.45, although melodically sketchy in the first continuity draft, retains its length and its fundamental organization as a trifold presentation in all the sketches. Example 10 shows the successive versions of this trifold presentation in the four continuity drafts and one variant in Landsberg 6 as presented by Nottebohm, along with the preceding transitional material. (Note that the transitional material is rewritten again and again, as Beethoven tries out various $\sharp 4$ and A6 approaches to the strong dominant at m.45.) The sketches show that, while the phrase organization of the trifold presentation material held steady and was gradually fleshed out melodically, Beethoven drafted and redrafted the transitional material leading up to it and the bridging/continuation area following it. Thus, the sketches certainly do not contradict the proposition that Beethoven intended the second group to begin with a trifold presentation of the m.45 basic idea, and rather tend to reinforce it. Despite the casualness of the initial presentation of this idea in the sketches, as opposed to the fuller surface realization of the m.57 material, it was the m.57 material that was transformed over the course of several sketches, while the m.45 material never varied in terms of form; there is no indication in the sketches that its fundamental content—the descending third melodic germ—ever changed. This brings to mind William Kinderman's cautionary observation that "Beethoven's sketches often represent the barest shorthand for very much more; one challenge in interpreting them is to conjure something of this missing context, and not to take them merely at face value, which risks conveying a misleading impression of their function and content."⁴²

By considering the significance of the ideas presented in the exposition at m.45 and m.57 in light of their functions later in the *Eroica's* first movement, it would appear that the material at m.45 much more likely presents the basic idea that one should consider to initiate the second group. This conclusion, however, does nothing to disentangle the bundle of conflicting signals a listener receives in the moment of hearing the music after the strong dominant at m.45. One gets the sense

42. William Kinderman, *Beethoven* (Berkeley and Los Angeles: U California P, 1995), p.304. I wish to say, in the spirit of full disclosure, that I have not been able to examine Landsberg 6 as a primary source document, and I do not bring an expert's perspective to the study of Beethoven's sketches. Accordingly, I have tried to limit my observations to those that can be made reliably from well-established secondary sources.

The musical score for 'The Rose Tree' is presented in two systems. The first system consists of a single staff in bass clef with a key signature of two flats (B-flat and E-flat). The melody is written in a simple, folk-like style with a range of one octave. The second system consists of two staves: the left staff is in bass clef and the right staff is in treble clef, both with a key signature of two flats. The melody continues across both staves, with a final measure in the right staff ending on a whole note G.

The musical score for 'The Rose Tree' is presented in two systems. The first system contains the vocal melody in G major, 4/4 time, with a key signature of one sharp (F#) and a common time signature. The melody is written on a single staff. The second system contains the piano accompaniment, also in G major, 4/4 time, with a key signature of one sharp (F#) and a common time signature. The accompaniment is written on a single staff. The melody and accompaniment are in a 1:1 ratio, with the melody being the primary focus.

The musical score for 'The Rose Tree' is presented in two systems. The first system features a treble clef and a key signature of two flats (B-flat and E-flat). The melody is written on a single staff, starting with a quarter rest, followed by a quarter note G4, a half note A4, a quarter note B-flat4, a quarter note A4, a quarter note G4, a quarter note F4, a quarter note E-flat4, and a half note D4. The second system features a bass clef and the same key signature. The melody continues on a single staff, starting with a quarter note D4, a quarter note C4, a quarter note B-flat3, a quarter note A3, a quarter note G3, a quarter note F3, a quarter note E-flat3, and a half note D3. The score is written in a simple, clear font, with notes and rests clearly marked.

The musical score for 'The Rose Tree' is presented in two systems. The first system consists of a treble clef staff with a key signature of one flat (B-flat) and a common time signature (C). The melody is written in a simple, folk-like style, featuring a series of eighth and quarter notes. The second system continues the melody, also in treble clef and one flat key signature. The music is a single melodic line, typical of a folk song or a simple instrumental piece.

The musical score for 'The Rose Tree' is presented in two systems. The first system features a treble clef and a key signature of two flats (B-flat and E-flat). The melody is composed of eighth and sixteenth notes, with some chords indicated by vertical lines. The second system features a bass clef and the same key signature. The melody continues with eighth and sixteenth notes, and some chords are indicated by vertical lines. The score is written in a style that is common for early 20th-century sheet music.

that Beethoven simply did not intend us to grasp firmly the significance of some of the musical ideas, in a form-functional sense, when they are first presented. Only when the whole movement is clearly in view can their meaning be resolved.

Taken altogether, an examination of Beethoven's compositional patterning prior to the *Eroica* scarcely provides any support for beginning the first movement's second group at m.83, where it has most often been located in "conventional analysis." Somewhat more support may be garnered for placing it at m.57, but the greater weight of evidence suggests that it actually begins at m.45. Of course, it would be overreaching to suggest that by a single investigation the complex form of the *Eroica*'s first movement may be substantially deproblematized. But the clarification of this one aspect of its form can only lead to a more acute appreciation of the form-functional subtleties of this movement and of the grandeur of its second group, which may now be viewed in its full, indeed astonishing breadth.

The larger ramifications of this study play out in the arena of Beethoven's stylistic development. Here I return to the initial framing of a Beethovenian sonata-form exposition as resting on two large cadential pillars, a "strong dominant" that immediately precedes the second group and a "weighted PAC" that confirms the second key toward the end of the exposition. The information presented in Tables 1 and 4 shows a gradual shift in the treatment of these cadential pillars from Beethoven's first published works up to the composition of the *Eroica*. Strong-dominant complexes in Beethoven's early works were more likely to be directly mirrored in their recapitulations, to be preceded by conventional $\sharp 4$ voice leading, and to be followed by caesura. Over time, Beethoven gradually abandoned these prominent syntactical markers of second-group preparation. Along the way, he also took up a particular technique that had great potential to smooth over the seam between the first subject/transition area and the second group: beginning the second group with a theme that alternates between V and a neighbor six-four chord over a dominant pedal, i.e., beginning the second group with a theme somewhat mimicking the characteristics of standing-on-the-dominant. (What better way to undermine the traditional formal function of standing-on-the-dominant than to make it thematic/presentational?) By these means, Beethoven eventually wore away the distinctive rhetorical surface of the strong-dominant/second-group nexus, so that finally, in the *Eroica*, it became hidden in the thicket of musical ideas surrounding it. Like a hidden trellis running beneath foliage, however, the strong-dominant complex still supplies the formal framework.

A gradual change was also taking place toward the end of the exposition, where the weighted PAC confirms the second key. An area of recapitulatory instability in

many of his early works, the music surrounding this second cadential pillar became an area of recapitulatory stability as Beethoven moved into his first maturity. In a few of his early sonata forms, there are two closing-zone subsections rather than one, so that the weighted PAC was placed well before the end of the exposition. Beethoven soon abandoned this practice, moving at first toward a relatively consistent placement of the weighted PAC at the end of the penultimate subsection of the second group. In a few, later pieces, he began to move the weighted PAC all the way to the end of the exposition, so that the closing-zone subsection, which is so closely identified with the “high”-Classical idiom that Beethoven inherited from the generation of Mozart and Haydn, disappears altogether.

It is arguable that this happens in the *Eroica* itself, if one considers the possibility that the momentum of the cadential arrival at m.144 carries through to m.148, leaving no room for the reiterated cadential cells of the closing zone expected at the end of a long symphonic exposition.⁴³ This reading contradicts the conventional view that the *Eroica*'s exposition “concludes with a brief closing section and

The musical score for Example 11 shows measures 132-148 of Beethoven's Symphony No. 3, movement I. The score is in G major (one sharp) and 3/4 time. It features a melodic line in the upper voice and a bass line. Dynamics include *p*, *sfp*, and *cresc.* The key signature changes to E major (two sharps) at measure 144. The score ends with a double bar line and repeat signs above and below the staff.

Example 11: Ludwig van
Beethoven, Symphony No. 3,
op. 55, movt. I, mm. 132–48.

43. Compare, for example, the situation in the *Eroica* with the ample closing-zone subsection of the Second Symphony (mm. 112–31), in which reiterated plagal and authentic cadences provide the framework for considerable melodic elaboration.

retransition.”⁴⁴ About the retransition no one could disagree, and at first glance it does appear that the cadence at m.144 constitutes the weighted PAC, with mm.144–48 comprising a tiny codetta. However, several considerations suggest that the concluding force of the weighted PAC is situated at m.148 rather than m.144. The most fundamental hypermetric pulse in the *Eroica*’s first-movement exposition is the four-measure unit that underlies its most prominent presentational areas: mm.3–26, 45–74, 83–94, 109–16, and 132–48. These project duple and triple hypermetric units at various points, but only one quadruple unit: the large unit that lies between the avoided cadential six-four at m.132 and the long-range resolution of V⁷ at m.148 (ex.11).⁴⁵ The scoring of this passage also points deftly toward m.148 as the essential landing point of the weighted PAC. Note, for example, how the winds and middle strings, having abandoned the registers they had attained at the *fortissimo* of m.143, reach up to reclaim those registers in m.147, making m.148 the real resolution point of their lines. In terms of orchestration per se, the increased vigor of the trumpets and drums in m.147 also signals an intensification into m.148. Moreover, an intention to intensify into m.148 by various means that did not find their way into the final version of the *Eroica* is apparent in some of the Landsberg 6 sketches.⁴⁶

A critical window on the evolution of Beethoven’s style, at least for his first-movement sonata forms, may be opened by recognizing his very deliberate wearing away of the prominence of the first cadential pillar of the exposition and his simultaneous shifting of the second one toward its end. Beethoven’s gradual suppression of the bifocal close, which he probably recognized as a fingerprint of Mozart’s style, or at least regarded as a stylistic marker of the high-Classical manner, suggests a reason for this. The reiterated cadential cells and the prominent standing-on-the-dominant so closely associated with the closing zone and the strong-dominant complex, respectively, were also syntactical calling cards of the music of the previous generation. Beethoven probably grew to feel that these devices

44. Caplin, “Structural Expansion,” p.43.

45. For a discussion of Beethoven’s manipulation of four-measure hypermetric units at the beginning of the recapitulation in the *Eroica*’s first movement, see Scott Burnham, “On the Programmatic Reception of Beethoven’s *Eroica* Symphony,” *Beethoven Forum* 1 (1992), 1–24.

46. See, for example, the sketch fragment on p.16 of Landsberg 6 (N 1880, p.64), in which the note of tonic arrival at m.148 is extended for four measures, or the sketch fragment on p.26 of Landsberg 6 (N 1880, p.70), in which the leading tone approaching m.148 is intensified through bowed tremolo. Since other sketches place the weight of the PAC at a point corresponding to m.143, it is apparent that Beethoven vacillated on the question of whether the weight of the final cadence should be thrown onto m.144 or m.148.

sounded old-fashioned and began to look for ways to diminish their presence in his music. Eventually, the erosion of the strong-dominant complex and the shifting of the weighted PAC toward the very end of the exposition impelled Beethoven toward a type of writing in which there was less room for formulaic content. The first-movement exposition of the *Eroica* Symphony is the first large-scale, public work in which this new way of writing emerges with uncompromising force—that is, without any concessions to conventional, high-Classical rhetoric surrounding the two cadential pillars of the exposition. Commentators from Beethoven's time to the present have never ceased to remark on the extraordinarily rich profusion of ideas presented in this exposition, suggesting that Beethoven made up for the loss of the formulaic strong-dominant complex and closing-zone subsection by keeping much more of the exposition in the presentational mode and by achieving relief from the presentation of ideas through an increase in their chromatic and sequential elaboration. In other words, changes in cadence rhetoric may have been an important generative force driving Beethoven's stylistic development.

Beethoven and His Others: Criticism, Difference, and the Composer's Many Voices

A voice! a voice! It was grave,
profound, vibrating, while the
man did not seem capable of
a whisper.

—Joseph Conrad,
Heart of Darkness

Nicholas Mathew

Beethoven's Voice

“**E**ven if there were no name on the title page, none other could be conjectured—it is Beethoven through and through!” Thus wrote Brahms upon seeing the rediscovered manuscript of Beethoven’s early Funeral Cantata for Joseph II.¹ Like many critics before and since, Brahms expressed absolute confidence in the singularity and power of Beethoven’s musical voice—a voice that pervades each of the composer’s works and all of his *œuvre*. To Brahms, Beethoven was as unmistakable as “Beethoven”; hearing his voice was as reliable a test of authenticity as reading his signature. As Romain Rolland declared some years later: “Each work of Beethoven bears one name alone—Beethoven.”²

Yet, even as critical tradition has heard Beethoven’s voice as perhaps the most individual and forceful in Western music—at times even heard it as the voice of Western music itself³—a recurring theme of Beethoven reception has also been a negative or confused reaction to his music’s contrasts and disjunctions, its apparent cacophony of musical voices, its tendency to “harbor doves and crocodiles at the same time,” as one Parisian critic put it in 1810.⁴ Despite Beethoven’s supposedly

1. Thayer-Forbes, p. 120.

2. Romain Rolland, *Beethoven the Creator*, trans. Ernest Newman (New York: Garden City Publishing, 1937), p. 55.

3. That Beethoven has often come to stand for all Western music is a premise of Scott Burnham’s *Beethoven Hero* (Princeton: Princeton UP, 1995).

4. Cited and translated in Leo Schrade, *Beethoven in France: The Growth of an Idea* (London: Oxford UP, 1942), p. 3.

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unmistakable presence, it seems that the sound of foreign voices in his music is hard to ignore; indeed, some critics have implied that there are moments, even in the course of his most famous compositions, when Beethoven is barely recognizable as Beethoven at all.

“Not These Tones”

As, for example, in the finale of the Ninth. Critics have often heard even this most canonical of movements as a confused bustle of voices—a relatively common assessment of Beethoven's late music in the nineteenth century. After all, the finale makes its way through recitatives from the cellos and basses, famously interspersed with recollected excerpts from earlier movements, and through variations on the tune that eventually sets Schiller's “An die Freude”—a setting that itself incorporates boisterous choruses, mystical pseudo-plainsong, and learned double fugue.

Perhaps the most foreign voice in the movement is heard with the earliest departure from D major/minor, which dominates the opening 330 measures. The pregnant silence that follows the majestic common-tone turn from the global dominant to a sustained F—major chord with the line “und der Cherub steht vor Gott” (and the cherub stands before God) is broken by a curious kind of grunting from the bassoons and bass drum. This grunting becomes increasingly rhythmical until, with the entrance of a small wind band, along with triangle and cymbals, a B \flat march based on the Joy theme begins—a disjunctive, perhaps even comical moment amid the hitherto sublime discourse of the movement. Moreover, the dotted rhythms of the march and its jangling and tooting instrumentation signal the topical language of what contemporary critics and musicians considered Turkish Janissary music. It has not been lost on recent critics that, in the midst of one of Western music's most canonical works, Beethoven appears to allude to the Orient—the voice belongs to “one of [Europe's] deepest and most recurring images of the Other,” as Edward Said put it.⁵

Granted, whether Beethoven intended this moment to be overtly exotic is open to question, given the prevalence of the Janissary topic in contemporary Viennese music.⁶ Nonetheless, an important 1824 review of the Ninth by the writer and

5. Edward Said, *Orientalism* (New York: Vintage Books, 1979), p. 1. The exoticism of this moment is the starting assumption of Lawrence Kramer's article “The Harem Threshold: Turkish Music and Greek Love in Beethoven's ‘Ode to Joy,’” *19CM* 22 (1998), 78–90.

6. Stephen Rumph is the most recent critic to take issue with Kramer, arguing that the Alla marcia in the Ninth finale is militaristic but not exotic, and that the topics of Turkish music were no longer

musician Friedrich August Kanne—a confidant of Beethoven's circle, as well as one of the composer's many collaborators—unequivocally identifies an “Oriental percussion orchestra” in the finale and betrays considerable anxiety about it.⁷ In fact, Kanne is the earliest of many critics eager to show that Beethoven's own voice is not lost amid all the outward musical commotion.⁸ First, Kanne insists that Beethoven is obviously putting on a voice: “The authentically Turkish lies in the arbitrariness with which a composer erases all the artistic laws accepted by cultivated nations,” he writes, whereas in the finale “[Beethoven's] imagination is always in charge” (*seine Phantasie schafft immer fort*). Second, Kanne suggests that Beethoven's imagination is palpable as an overarching *Besonnenheit* or self-awareness—a controlling authorial force that brings together the disparate voices of the diverse finale: the piece brings “the stamp of classicism” to its “almost resistant materials” through the “organic interweaving” of its parts.⁹ To hear Beethoven's voice is to hear the agent of musical unity.

The instinct to make a unified whole from Beethoven's multiple musical voices

marked as Oriental or exotic by the time of the Ninth; see *Beethoven After Napoleon: Political Romanticism in the Late Works* (Berkeley and Los Angeles: U California P, 2004), p.187. There is no doubt that the idea of Turkish music was a fluid one in the eighteenth and nineteenth centuries, embracing all varieties of militarism, whether overtly identified as Other or not. By the same token, it also seems clear that a particular kind of hypermasculine militarism in music, especially when accompanied by noise-making percussion instruments, was always marked as in some sense exotic—its noisy extremity pushing it into the realms of Otherness. Among the wide literature on musical exoticism and orientalism in the eighteenth and nineteenth centuries, see Mary Hunter, “The Alla Turca Style in the Late Eighteenth Century: Race and Gender in the Symphony and the Seraglio,” in *The Exotic in Western Music*, ed. Jonathan Bellman (Boston: Northeastern UP, 1998), pp.43–73; Matthew Head, *Orientalism, Masquerade and Mozart's Turkish Music* (London: Royal Musical Association, 2000); and Eric Rice, “Representations of Janissary Music (*Mehter*) as Musical Exoticism in Western Compositions, 1670–1824,” *Journal of Musicological Research* 19 (1999), 41–88.

7. F.A. Kanne, “Academie des Hrn. Ludwig van Beethoven,” in *Ludwig van Beethoven, die Werke im Spiegel seiner Zeit: gesammelte Konzertberichte und Rezensionen bis 1830*, ed. Stefan Kunze with Theodor Schmid, Andreas Traub, and Gerda Burkhard (Laaber: Laaber-Verlag, 1987), p.481. The review first appeared in the *Wiener allgemeine musikalische Zeitung* 8 (1824).

8. Nicholas Cook makes this argument in his *Beethoven: Symphony No.9* (Cambridge: Cambridge UP, 1993), pp.38–39, 92, and 103. See also Robin Wallace on Kanne and the Ninth in *Beethoven's Critics* (Cambridge: Cambridge UP, 1986), pp.73–76. David Levy discusses Kanne's reviews of the Ninth in *Beethoven: The Ninth Symphony* (rev. edn. New Haven: Yale UP, 2003), pp.134–33 and 139–43.

9. Kanne, “Academie des Hrn. Ludwig van Beethoven,” pp.481 and 480. *Besonnenheit*—which one might also translate as “reflexivity” or “self-possession”—is an important concept in Beethoven's Romantic reception, particularly in the Beethoven writings of E. T. A. Hoffmann, where it denotes Beethoven's commanding authorial presence and formal control.

has since informed many studies of the Ninth's finale—from the analyses by Heinrich Schenker and Rudolph Réti to Maynard Solomon's compelling reading of the entire symphony as Beethoven's personal and philosophical “search for order” and Ernest Sanders's theories about the finale's sonata form.¹⁰ The impulse to perceive unity in Beethoven's disparate fragments holds fewer attractions in today's more or less postmodern critical climate. Nicholas Cook has been the most prominent critic to take issue with what he considers the critical domestication of Beethoven's musical disjunctions, arguing that the Janissary music in the Ninth “deconstructs” Schiller's poem by intruding upon the foregoing imagery of the divine.¹¹ Cook even suggests that Schiller prompts this “deconstruction” with the incongruity of the poetic language in “An die Freude”; the juxtaposition of worm and seraph that precedes the Turkish music is one of the clearest examples: “Wollust ward dem Wurm gegeben, Und der Cherub steht vor Gott” (ecstasy was granted to the worm, and the cherub stands before God).¹²

Suggestive as Cook's observations are, it is nevertheless hard to maintain that Beethoven composed his Ninth Symphony with anything other than a grand unifying intent. The Enlightenment aesthetic of the symphony had long been founded on the principle of unity in diversity—an aesthetic that was surely the ideal complement to Schiller's famous paean to brotherhood: “The closer things cohere in their variety, the more delicate will be the enjoyment they provide,” pronounced Johann Georg Sulzer's encyclopedia.¹³ Indeed, as many critics have argued, the utopian urge to unify is what makes the Ninth a bold gesture of Enlightenment nostalgia.¹⁴ Besides, even among the earliest conceptions of the

10. Heinrich Schenker, *Beethoven's Ninth Symphony*, trans. and ed. John Rothgeb (New Haven: Yale UP, 1992); Rudolph Réti, *The Thematic Process in Music* (New York: Macmillan, 1951), pp. 11–30; Solomon, “The Ninth Symphony: A Search for Order,” *Essays*, pp. 3–32; Ernest H. Sanders, “Form and Content in the Finale of Beethoven's Ninth Symphony,” *MQ* 50 (1964), 59–76 and “The Sonata-Form Finale of Beethoven's Ninth Symphony,” *19CM* 22 (1998), 54–60. See also James Webster's tabular summary of the leading explanations of the form of the finale of the Ninth in his article “The Form of the Finale of Beethoven's Ninth Symphony,” *Beethoven Forum* 1 (1992), 33.

11. Cook, *Symphony No. 9*, p. 103; see also pp. 92–93.

12. *Ibid.*, p. 103.

13. Johann Georg Sulzer, *Allgemeine Theorie der Schönen Künste* (Leipzig, 1792), vol. III, “Mannigfaltigkeit”; trans. from *Aesthetics and the Art of Musical Composition in the German Enlightenment*, ed. and trans. Nancy Kovaleff Baker and Thomas Christensen (Cambridge: Cambridge UP, 1995), p. 47.

14. See, for example, Solomon, *Beethoven*, pp. 404–45. Stephen Rumph has recently taken issue with this reading, situating the Ninth in the intellectual context of a more reactionary political Romanticism. Rumph argues nonetheless that the Ninth presents a pre-Enlightenment vision of mystical unity rather than (say) Romantic fragmentariness: “there is no reason to doubt that Beethoven

piece, one finds Beethoven sketching an “overture” in which unity emerges from opening fragments: “selected lines from Schiller’s *Joy* brought together into a whole,” he noted to himself.¹⁵ That the finale contains such a variety of musical voices need not be evidence of Beethoven’s “deconstruction” of the idea of musical unity—rather, it might reveal the extent of his compositional ambition: the success of the symphony’s utopian vision of oneness would surely be proportional to the diversity of its elements. For Kanne, Beethoven introduced the Turkish music precisely because his aim was to unite the most heterogeneous musical and poetic materials.¹⁶ To be sure, Cook might argue, like more than a handful of nineteenth-century critics, that Beethoven’s attempt to transform his materials into the semblance of a unified whole is ultimately unsuccessful.¹⁷ But he is perhaps less convincing when he maintains that Beethoven deliberately casts doubt upon the ideal of unity itself—that he is intentionally both “earnest and ironical,” as he puts it.¹⁸ First, this idea groundlessly infers authorial intention from Beethoven’s alleged failure to unify his materials. Second, it manages to reinscribe precisely the univalent and singular conception of the composer’s voice that Cook resists by creating an ironic distance between the composer and his more extreme moments of Otherness.

In any case, the presence of musical contrasts alone does not amount to a “deconstruction.” It seems to me that a critical approach that takes into account Cook’s important arguments about the finale and its reception without also recasting Beethoven’s intentions as ironic might lead to more radical conclusions; indeed, one might observe—in a more thoroughly “deconstructive” spirit, perhaps—the contradictions and suppressions from which Beethoven’s finale and its critics have set out in pursuit of a unified musical whole.

intended anything less than a totalizing vision in the Ninth Symphony.” See Rumph, *Beethoven After Napoleon*, p.220.

15. In the Petter sketchbook of 1811–12; see JTW, pp.209 and 215. The dotted-rhythm thematic material that Beethoven jotted down in conjunction with this idea ended up as the introduction to the Overture in C Major, op.115.

16. Kanne, “Academie des Hrn. Ludwig van Beethoven,” p.481; see also Cook’s reading of Kanne’s review in *Beethoven: Symphony No.9*, p.39, and Levy’s reading in *Beethoven: The Ninth Symphony*, p.142.

17. Levy argues that Cook’s doubts about the structural integrity of the finale are as old as the critical desire for unity that he rejects; see *Beethoven: The Ninth Symphony*, p.143.

18. Cook, *Beethoven: Symphony No.9*, p.105. Stephen Hinton has also argued that the Ninth finale is ironic, although in the sense appropriate to contemporary Romantic philosophy and literature; see “Not *Which* Tones? The Crux of Beethoven’s Ninth,” *19CM* 22 (1998), esp. pp.75–76.

Schiller's Ode provides a good starting point. If one could take the injunction to the multitude to be embraced—"Seid umschlungen, Millionen!" (Be embraced, ye millions!)—as representing the core sentiment of Beethoven's finale,¹⁹ then a second passage gives an unsettling glimpse of how a magnificent synthesis might be achieved:

Wer ein holdes Weib errungen! Mische seinen Jubel ein!
 Ja—wer auch nur eine Seele Sein nennt auf dem Erdenrund!
 Und wer's nie gekonnt, der stehle weinend sich aus diesem Bund.
 (Whoever has won a noble wife, let him mingle his rejoicing [with ours]!
 Yes—also he who has only one [kindred] soul to call his own in the entire world!
 But he who has never known these [joys], let him steal weeping from this circle.)

In other words, amid this general coming together, an outcast steals away. Troublingly, this idea suggests that Beethoven's and Schiller's vision of inclusivity is founded on, or at least creates, a kind of exclusivity.²⁰ Thus, just as the Ninth reflects one of the central ideals of Enlightenment liberalism—namely, an inclusive, ideologically neutral vision of unity in diversity—it also snags itself on one of the most enduring problems of the modern liberal worldview, a problem as relevant as ever in present-day Europe and America: is there a model of integration that does not also involve overtly or covertly suppressing difference?

Following Schiller's weeping outcast, the critic is introduced to a range of characters who have also been exiled from the Ninth. Beethoven edited and reorganized Schiller's Ode, of course, and the casualties are notable: there are fewer boisterous drunkards who formerly made the poem into an elevated drinking song, and there are no radicals who long for "rescue from the chains of tyrants" (*Tyrannenketten*).²¹ Further, besides the drinkers and the revolutionaries, the weeping outcast also lives out his exile among beggars—the only people whom Beethoven had mentioned in his earliest ideas for the composition: "selected lines like Fürsten sind Bettler [Princes are beggars] etc.," he scribbled in the Petter sketchbook. The actual line,

19. James Parsons has examined the aesthetic, philosophical, and ideological contexts of this sentiment in his "'Deine Zauber binden wieder': Beethoven, Schiller, and the Joyous Reconciliation of Opposites," *Beethoven Forum* 9 (2002), 1–53.

20. Solomon has consequently suggested that the "weeping heretic" may be, for present-day critics, the "hidden hero" of the Ninth; see "The Sense of an Ending: The Ninth Symphony," in *Late Beethoven: Music, Thought, Imagination* (Berkeley and Los Angeles: U California P, 2003), p.225.

21. Remarked upon in Solomon, *Beethoven*, p.409.

from the 1785 version of the Ode, reads “Bettler werden Fürstenbrüder” (beggars become the brothers of princes); Beethoven’s rendering of the line was either a mistake or a joke. In any case, by the 1820s, Beethoven was working with a version of the poem that had already been edited by Schiller himself. Many critics have observed how the 1803 Ode removes or softens some of the more inflammatory sentiments of 1785: it was at this time that “Bettler werden Fürstenbrüder” became the more familiar “Alle Menschen werden Brüder” (All men become brothers). In other words, what is perhaps the grandest unifying sentiment of the Ninth, repeated again and again by chorus and soloists, conceals a small act of expurgation: “all men” does not truly mean all men. In Schiller’s case, the politics of this alteration were plain—by the start of the nineteenth century he had openly deplored the consequences of the French Revolution and repudiated many of its ideals; in 1802 he sought and received a patent of nobility.²²

One could argue that Beethoven’s music effects several analogous expulsions, which critics have often reenacted in their pursuit of musical unity and an attendant conception of the composer’s singular voice. After all, the expulsion of unsettling musical Others is one of the basic narratives of the symphony, even as it strives toward a synthesis. Indeed, the finale of the Ninth, perhaps more than any other composition by Beethoven, makes use of the rhetoric that Rudolf Bockholdt has characterized as “nicht so, sondern so” (not like that—but like this).²³ Like much of Beethoven’s music, it sets up obstacles in order to overcome them: D triumphs over B \flat , the major mode triumphs over the minor, and the Joy theme triumphs over most of the preceding thematic material in the symphony. In Beethoven’s sketches, the opening recitatives in the cellos and basses, which famously comment on the recollected fragments from earlier movements, are even translated into verbal dismissals: “This is a mere farce,” wrote Beethoven of the scherzo reminiscence; “this is too tender,” he remarked of the Adagio.²⁴ The utterance Beethoven penned for the entrance of the baritone after the reprise of the stormy opening fanfare in

22. See Solomon, “Beethoven and Schiller,” *Essays*, pp. 205–15.

23. Rudolf Bockholdt, “Freiheit und Brüderlichkeit in der Musik Ludwig van Beethovens,” in *Beethoven zwischen Revolution und Restauration*, ed. Helga Lühning and Sieghard Brandenburg (Bonn: BH, 1989), p. 98.

24. The sketches in question are from Landsberg 8, bundle 2; see JTW, pp. 292–98. These readings of Beethoven’s words are Gustav Nottebohm’s, translated in Solomon’s “Sense of an Ending,” p. 220. There is some disagreement over the correct reading of Beethoven’s commentary; see Stephen Hinton’s brief summary and literature review in “Not *Which* Tones?” p. 68. Hinton nevertheless concludes that “the sketches make explicit that the quotations from the earlier movements are being rejected.”

m.208—a passage structurally parallel to the earlier recitatives in cellos and basses, of course—plainly restates the theme: “O Freunde, nicht diese Töne!” (O friends, not these tones!).

Thus, just as the weeping outcast reveals the pattern of exclusion that is the corollary of Schiller’s vision of brotherhood, so Beethoven’s rhetoric of expulsion belies his vision of symphonic synthesis. In this rhetorical context, the Turkish Janissary music is an unwelcome foreign incursion, destined to be expunged. After the sudden swerve to an F-major chord, through which the previous tonic region of D yields to B♭ major, the lofty musical register becomes a lowly one, and Western music becomes Eastern—until an instrumental fugato modulates back to a grand homophonic reprise of the Joy theme in the chorus, along with the opening stanza of Schiller’s Ode. Sanders has described the process by which the movement pacifies the tonal area and pitch of B♭ as “developmental elimination”: Beethoven almost literally “composes out” B♭—that is, purges it from his finale.²⁵

There is no reason to think that Beethoven would have wanted anyone to understand his aesthetic enterprise in these terms, of course. Indeed, it is safe to say that critics remain more or less true to the Ninth’s artistic aspirations when they base their interpretations of the finale on moments that appear to bring about a kind of synthesis. Nevertheless, although certain passages might reasonably be understood as symbolic of the ideal of synthesis, whether one believes that a synthesis has actually been achieved often depends on the metaphors that one chooses. For example, some critics describe the *pianissimo* dominant-minor-ninth chord on “über Sternen muß er [ein lieber Vater] wohnen” (he [a loving father] must dwell beyond the stars) as a “synthesis” because the pitch of B♭ appears to gain a place, albeit a peripheral one, in the tonal context of D minor-D major.²⁶ But one could just as easily describe this passage as the moment in which the progressive expulsion of B♭ is completed: the pitch has been reduced to a dissonant inflection atop the structural dissonance of the global dominant, whose function is precisely to revert to the concluding section of D major that follows.²⁷

25. Sanders, “The Sonata-Form Finale of Beethoven’s Ninth,” p.58.

26. See Burnham’s reading of this moment and its place in the larger “pitch story” of B♭ in “How Music Matters: Poetic Content Revisited,” in *Rethinking Music*, ed. Nicholas Cook and Mark Everist (Oxford: Oxford UP, 1999), pp.208–12. Hinton augments the story a little in “Not Which Tones?” pp.63–64. See also Kinderman, *Beethoven*, pp.279–81.

27. Not only do the following sections avoid B♭, but they apparently strive to eliminate any residual influence it might have. This might be a reason for the soloists’ cadenza-like turn to B major before the Prestissimo—a harmonic digression that seems to “correct” the flat-side, and thus minor-mode, tendencies of the earlier music. This view of the passage sits well with Hinton’s notion that the sub-

This is not to say that there are no unambiguous moments of synthesis in the finale. The most palpable synthesis is surely the double fugue, which superimposes a subject derived from the Joy theme onto the subject of the Andante maestoso on “Seid umschlungen.” Precisely because its musical synthesis is so demonstrative, however, some critics have been encouraged to consider the double fugue as, to all intents and purposes, the conclusion and culmination of the movement. Schenker is not alone in arguing that the subsequent sections “manifest only cadential character”—thus suggesting that they serve merely to reinforce and repeat the foregoing resolution.²⁸ Given the aesthetic ambitions of the Ninth, Schenker is on one level justified; one might legitimately conceive of the double fugue as the “symbolic” culmination of the piece.²⁹ But this symbolic conception of the conclusion is contradicted by the actual behavior of the music. James Webster has convincingly argued that only the very last sections achieve complete tonal and gestural closure.³⁰ Indeed, from an empirical perspective, one might argue that Beethoven, rather than concluding his symphony with synthesis, is compelled to end with the kind of ruthless reductionism familiar from the Fifth Symphony—a systematic tonal and thematic purification that casts out any element that might interfere with the business of closure. In the final twenty-one measures of Prestissimo, beginning with the resolution of a firm authentic cadence, the music expands to the limits of the available instrumental resources, but at the same time contracts into a rapidly narrowing tonal and thematic space: the Joy theme is reduced to a compressed symbol of itself, reiterating over a string of tonics and dominants—a fragment circling around the third and fifth scale degrees. After an urgent doubling of the rate of harmonic change, this fragment is reduced even further—ultimately to a hammering series of two-note slur figures, which fall from the fifth to the third scale degree. All that remains is a flourish in the woodwind and a final upbeat-downbeat fall of a fifth—the ultimate musical compression, marking the very end of the end; only silence can follow.³¹

sequent repeated falls from B natural to A in the orchestral stringendo are an overt “correction” of the B \flat to A fall so prominent in the fanfare that opens the finale; see “Not *Which* Tones?” pp.63–64. See also Levy’s account of the B-major “cadenza” in *Beethoven: The Ninth Symphony*, pp.117–19, and Webster, “The Form of the Finale of Beethoven’s Ninth,” pp.50–54.

28. Heinrich Schenker, *Beethoven’s Ninth Symphony*, trans. and ed. John Rothgeb (New Haven: Yale UP, 1992), p.225.

29. This is how Levy conceives of it; see *Beethoven: The Ninth Symphony*, p.115.

30. Webster, “The Form of the Finale of Beethoven’s Ninth,” esp. pp.28 and 60.

31. Webster invokes Lawrence Kramer’s description of closure in the Fifth Symphony—an ending that “cannot be followed” (Kramer’s emphasis). See Lawrence Kramer, *Music and Poetry: The Nineteenth*

To be sure, critics more commonly describe closure in Beethoven's music as completion in the most emphatic sense—the provision of a necessary syntactical element that the music has previously denied us. Closure conceived along these lines is something like the resolution of a large-scale cadence.³² Walter Riezler, perhaps alluding to Schenker's more reductive theories of the 1930s, described the falling fifth that concludes the Ninth as if it were a microcosm of the cadence-like progress of the entire piece, echoing and resolving the falling fourth of the work's very opening theme: "The whole work at once seems to be spanned by a great arch stretching from the first note to the last," he wrote.³³ But even this metaphor of architectural enclosing cannot conceal an attendant gesture of expulsion: projecting Beethoven's closing tonal and thematic purifications onto the entire work, Riezler's inclusive rhetoric implicitly substitutes the diverse content of the Ninth for a single quasi-cadential operation.

Ironically, the subtractions implicit in these conceptions of musical synthesis might seem to impede the critical pursuit of Beethoven's single authorial voice: once critics have followed what seems to be Beethoven's lead and eliminated all alien voices from the finale, the composer's unadulterated voice is rarely identifiable in the inconsequential musical residue. To be sure, when Riezler takes the final cadence of the Ninth as emblematic of the entire work's progress, his cultural message is clear—just as it is in the most reductive Schenkerian theories: Beethoven's authentic voice, like an authentic cadence, is one of the most fundamental sounds in Western music; Beethoven is the home key of the musical canon, so to speak.

Century and After (Berkeley and Los Angeles: U California P, 1984), p.235; Webster, "The Form of the Finale of Beethoven's Ninth," pp.61–62 and p.62n41.

32. Nicholas Marston provides a further list of possible meanings of the term "closure" in music criticism (derived from literary critic Don Fowler) in his essay "'The Sense of an Ending': Goal-Directedness in Beethoven's Music," in *The Cambridge Companion to Beethoven*, ed. Glenn Stanley (Cambridge: Cambridge UP, 2000), p.85. Webster's account of the finale of the Ninth as through-composed depends on a conception of closure as completion, although his resistance to reductionism and advocacy of a multivalent approach to analysis suggest that he would accept that various conceptions of closure (and perhaps also open-endedness) in the Ninth can coexist. Indeed, although the idea of through-composition privileges both unilinear temporal progression and end-orientedness, Webster also articulates connections between the various sections of the finale of the Ninth in a quasi-spatial manner—connections that do not depend on temporal succession to be analytically valid; see "The Form of the Finale of Beethoven's Ninth," pp.35–36.

33. Walter Riezler, *Beethoven*, trans. G. D. H. Pidcock (London: M. C. Forrester, 1938), p.216. Schenker's most reductive theories were formulated some years after his own monograph on the Ninth, of course.

But this sentiment still risks eradicating Beethoven's unique voice altogether by universalizing it.

One might maintain that Riezler's "great arch" spanning the Ninth is in essence a formalist translation of Kanne's idea of an ever-present *Besonnenheit*—an authorial structure that shelters the diverse voices of the symphony within it. Then again, as we have seen, the composer's voice is most palpable when it intervenes to evict unwanted Others rather than invite them in: when an actual voice enters the symphony for the first time uttering Beethoven's own words, it delivers a negative injunction—"not these tones." Generations of critics have cast about both within and without the Ninth in search of the tones that Beethoven rejects; among the candidates are the dissonant fanfare that opens the finale, all earlier movements of the symphony, and, in Wagner's famous interpretation, all instrumental symphonic music.³⁴ But the identity of these Others is perhaps less important than the rhetoric of rejection itself. That so many critics have treated this moment as the hermeneutic crux of the finale perhaps suggests that Beethoven's voice is less perceptible as a constant authorial presence than as a constitutive gesture of rejection—a gesture that becomes meaningful only in relation to everything that it is not.³⁵ Indeed, one is tempted to say that, rather than shaping or superseding all Others in the finale of the Ninth, Beethoven's voice paradoxically manifests itself primarily as difference—a perpetual *nicht diese*, which constantly defers the moment of authorial presence until the moment of silence.³⁶

Even the Turkish music is not wholly banished; the clattering percussion returns in the closing Prestissimo.³⁷ In any case, while Beethoven might have intended

34. See Hinton's summary in "Not *Which* Tones?" p.67.

35. There is perhaps a parallel between this argument and Leo Treitler's idea that the Ninth Symphony in some sense demands that its interpretation become a constitutive part of the work; see "History, Criticism, and Beethoven's Ninth Symphony," in *Music and the Historical Imagination* (Cambridge, Mass.: Harvard UP, 1989), chap.1.

36. My use of the term "difference" here alludes to the terminology of Saussurean linguistics and its later appropriation and critique in the work of Jacques Derrida. Saussure maintained that words become meaningful and functional not because of any inherent property of sound or sense but because of their difference from all other words. Several writings by Derrida expand on this idea and use it to deconstruct the metaphysical assumptions of meaning itself, suggesting that even foundational ideas such as being or presence are constituted by an idea of what they are not; see "Différance," in *Margins of Philosophy*, trans. Alan Bass (Chicago: U Chicago P, 1982), pp.3–27 and *Of Grammatology*, trans. Gayatri Spivak (Baltimore: John Hopkins UP, 1976), chap.2.

37. Webster lists the Turkish percussion as one of several multivalent connections between the B♭ Alla marcia and the rest of the finale; see "The Form of the Finale of Beethoven's Ninth," p.35; see also Kramer, "The Harem Threshold," pp.89–90. Levy argues that the presence of the Turkish

the final inclusion of the percussion instruments to symbolize a kind of synthesis, their meaning is by no means plain: they might more strongly recall, even in the very last measures, the voices that have been cast out of the finale; or perhaps their persistent jangling suggests that the composer can only speak when he borrows the voices of Others—that his voice, even until the decisive end of his work, is irreducibly plural.

The Heroic Style and Its Others

I will return to the Ninth and its ambiguous Turkish percussion. First, however, I want to suggest that the critical mind-set that has shaped the reception of the Ninth has constructed Beethoven's entire *œuvre* and its place in the Western canon in much the same way. After all, just as the internal story of the Ninth has been retold as a series of overcomings, so the entire symphony has been portrayed as a victory in a wider historiographical story of conquest—"the shining hour of music history in which the Ninth began its glorious march around the globe," to use the bombastic image of one critic.³⁸ The Ninth has come to be seen as the summation and culmination of Beethoven's defining musical register, "the crowning work of the heroic style," as Solomon puts it.³⁹

The heroic style—a label traceable to the florid writings of Romain Rolland—has come to describe not only Beethoven's music in its most triumphant vein, but also the cultural triumph of this music. The idea of the heroic style is inseparable from Beethoven's most canonical works: the dramatic and often densely thematic pieces that, with the exception of the Ninth itself, were composed in or around the first decade of the nineteenth century (or, more precisely, from around 1803 to 1812)—the odd-numbered symphonies from the *Eroica* onward and the overtures from *Prometheus* to *Egmont*, many of which are associated with real or mythic heroes.⁴⁰ In his landmark 1995 study of Beethoven's cultural preeminence, *Beethoven*

percussion is yet another example of the synthesis that the Ninth achieves—although the relevant percussion instruments are all that ultimately survive of the tonally wayward Janissary march; see Levy, *Beethoven: The Ninth Symphony*, p.119.

38. Karl-Heinz Köhler, "The Conversation Books: Aspects of a New Picture of Beethoven," in *Beethoven, Performers, and Critics: The International Beethoven Congress Detroit, 1977*, ed. Robert Winter and Bruce Carr (Detroit: Wayne State UP, 1980), p.154; cited in William Kinderman, *Beethoven* (Berkeley and Los Angeles: U California P, 1995), p.282.

39. Solomon, *Beethoven*, p.292; See also Carl Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, trans. Mary Whittall (Oxford: Clarendon P, 1991), p.xxiii.

40. The only book-length study of Beethoven's heroic music in the form of a conventional style

Hero, Scott Burnham argues that these works have colonized and conditioned all musical thought: “The values of Beethoven’s heroic style have become the values of music.”⁴¹ Burnham’s thesis warrants particular attention because, in its terse encapsulation of what it claims to be received critical wisdom, it portrays Beethoven’s voice as an agent of unity—not only on the level of individual works, but also on the level of musical culture as a whole, unified under Beethoven’s dominion.

Consequently, even as Burnham pursues his argument from a standpoint associated with ideology critique—that is, he reveals how a contingent and localized set of values has become Just the Way Things Are—he tends to make the heroic style appear unassailable.⁴² The conversation continues to be monopolized by talk about a few pieces of Beethoven, only it has turned to why we must talk about them. Burnham goes as far as to suggest that critics might be incapable of talking about anything else: “It may in fact be impossible to say anything new about this music (or any music) when all that we say about music in general is conditioned by this very music”—an open admission of a hermeneutic dead end.⁴³

Burnham’s guiding concept, which he infers from the heroic style and its reception history, is “presence”—the presence of an overpowering voice within the heroic style, as well as the omnipresence of this voice in Western musical culture.⁴⁴ Burnham explains how Beethoven came to be omnipresent with what he describes as a “phenomenology”—an empirical account of the qualities of “presence and engagement” in the heroic style.⁴⁵ “Phenomenology” connotes an approach that purports in some way to circumvent or at least minimize theoretical mediation—a model of criticism that ostensibly matches the immediacy of its subject with the immediacy of its response.⁴⁶ Thus, although Burnham writes

history is Michael Broyles, *Beethoven: The Emergence and Evolution of Beethoven’s Heroic Style* (New York: Excelsior, 1987); the most influential article on the subject remains Alan Tyson, “Beethoven’s Heroic Phase,” *Musical Times* 110 (1969), 139–41.

41. Burnham, *Beethoven Hero*, p.xiii.

42. Burnham seems to accept this and is careful to avoid giving the impression that his argument is a critically facile exercise in debunking: “my motivation here is not to critique and then dismantle the status quo” (*Beethoven Hero*, p.xix).

43. *Ibid.*, p.xix.

44. *Ibid.*, p.31. For Burnham’s model of presence, see chap.1, *passim*; and, used as a critique of process-oriented accounts of the heroic style, pp.162–67.

45. *Ibid.*, chap.2.

46. Valentine Cunningham polemicalizes against the idea that one can engage directly with a text without the mediation of theory in his (hence punningly titled) *Reading After Theory* (Oxford:

that he does not intend to stake out “some sort of neutral level of purely musical significance,” he nonetheless implies that his observations preempt the mediated reflections of more conventional musical analysis. Despite this, many of his central claims depend upon existing analytical conceptions of musical form and syntax—his contention, for example, that Beethoven expands and comments on what he calls “classical-style form,” surely one of the most pored-over constructions of modern analysis and historiography. In fact, Burnham’s writing is much like Tovey’s or Kerman’s insofar as it artfully mixes technical description and vivid imagistic language. For example, he writes of the “complex instance of nonclausal falling motion”—the falling semitone articulated by two falling thirds—that opens the Fifth Symphony, but continues: “The force of assertion does not lift anything up, does not push open a space to be explored, in short, does no such day work, but instead thrusts downward, pushes below, falls like night.”⁴⁷ The potential problem here, in my view, is not the brilliant combination of technical description and vivid imagery, but the claim that Burnham seems to make for it. Vivid prose might aspire to match the immediacy of the listening experience, but vividness alone does not create a phenomenology. It merely makes striking language the proxy of presence.

In short, Burnham’s promised shift of critical position is a function of rhetoric. When he uses his “phenomenology” to ground a metatheory of music analysis in his third chapter, uniting the theories of A. B. Marx, Schenker, R  ti, and Riemann, he necessarily grants his own analytical reflections ontological priority.⁴⁸ Burnham accepts that “each generation projects onto Beethoven a somewhat different aesthetic concern,” but his main aim is to demonstrate that “the musical values of the heroic style . . . are preserved in the axioms of the leading theoretical models of the last two centuries”—to reveal once again Beethoven’s omnipresence.⁴⁹ Beethoven speaks with one imperious voice, and so do the theorists, since Beethoven speaks through them. Indeed, like the finale of the Ninth, Burnham’s story of Beethoven’s cultural presence becomes one of grand synthesis: under Beethoven’s direction, all critical voices join together in a chorus of consent.⁵⁰

Blackwell, 2002). Burnham does not reveal all the sources of his musical phenomenology, although he mentions David Greene’s *Temporal Processes in Beethoven’s Music* (New York: Gordon and Breech, 1982).

47. Burnham, *Beethoven Hero*, pp.xvii, 62, 33.

48. *Ibid.*, chap.3.

49. *Ibid.*, pp.111 and 110.

50. Burnham’s unifying spirit here reveals the influence of Hans Eggebrecht’s monograph *Zur*

By articulating the structure of Beethoven's dominance—even in the context of a deft and tactful cultural critique—Burnham reinforces, even exaggerates, existing distinctions between Beethoven and his critically maligned or marginalized musical Others: the heroic style “dictates the shape of alterity,” he writes.⁵¹ Without doubt, one can point to a proliferation of oppositions that seem to support his contention. One only need consider the frequently gendered opposition of Beethoven and Schubert—the active, teleological, and developmental versus the passive, digressive, and melodic. Or Beethoven and Mendelssohn—the struggling, avant garde, and revolutionary versus the facile, retrospective, and Biedermeier. Or Beethoven and Rossini—the authentic, challenging, and textual versus the compromised, populist, and performative. Further, each of these personified binary oppositions implies a number of musical ones: vocal music versus instrumental music; sonata and symphony versus opera and potpourri; inviolable works versus mutable performances; themes and development versus tunes and repetition. And, of course, such musical oppositions in turn imply wider cultural frames of reference: serious versus light; structure versus decoration; rational versus capricious; German versus Franco-Italian; masculine versus feminine; straight versus gay.

Despite Burnham's insistence on the impregnability of Beethoven's dominance, however, he ultimately expresses frustration with critics who “simply display the binary opposite of each term of the Beethoven paradigm” when they discuss Beethoven's musical Others. Susan McClary's gendered readings of the Schubert–Beethoven opposition are singled out for criticism: “With such a model [of the feminine] we seem not to have progressed beyond Adam's rib in the way we conceptualize the feminine in tonal music.”⁵² His epilogue recommends an intriguing alternative: a

Geschichte der Beethoven-Rezeption: Beethoven 1970 (Mainz: Akademie der Wissenschaften und der Literatur, 1972), which aims to show how Beethoven reception has been dominated by a limited number of tropes and topics that he calls “reception constants.” Burnham approvingly quotes Eggebrecht's claim that the history of Beethoven reception reads like “one book written by one author”—a deeply revealing textual metaphor (Burnham, *Beethoven Hero*, p.xiii; Eggebrecht, *Zur Geschichte der Beethoven-Rezeption*, p.38). This image transforms Beethoven's diverse critics into something singular and transhistorical—something with the coherence and permanence of a book. Indeed, Eggebrecht's book itself makes this metaphor literal: historical voices become a text, produced by a single author, and with all of the *Autorität* that Eggebrecht sees critics repeatedly perceiving in Beethoven's music (p.41). Beethoven criticism thus ends up as the mirror image of Beethoven's timeless works.

51. Burnham, *Beethoven Hero*, p.155.

52. Ibid. See Susan McClary's arguments about Schubert in “Constructions of Subjectivity in Schubert's Music,” in *Queering the Pitch: The New Gay and Lesbian Musicology*, ed. Philip Brett, Gary Thomas, and Elizabeth Wood (London: Routledge, 1994), pp.205–33.

composer such as Schubert might help critics to see the value and distinctiveness of music that has often been defined as “merely” non-Beethovenian; critics might thus strive to conceive of Schubertian and Beethovenian aesthetics as parallel and equally valid modes of musical thought rather than a hierarchical opposition.⁵³

The desire to transcend such binary oppositions is grounded in a kind of inclusive liberal pluralism—the belief that all kinds of music could comfortably coexist if only critics and listeners tried to understand what is unique and admirable about each of them. Without our Beethovenian preconceptions “we will ask why we value the presence of any given music and how we are present in the experience of that music,” argues Burnham.⁵⁴ Perhaps the reader is to assume that these questions can be answered with a musical phenomenology unencumbered by the Beethovenian preconceptions of conventional analysis; having given a complete phenomenological description of Beethoven’s heroic style, one might go on to describe Schubert’s piano sonatas, Rossini’s arias, or Mendelssohn’s overtures.

And yet, this pluralism may be as reductive as the binary oppositions it seeks to transcend. Indeed, Burnham observes that McClary’s essentializing arguments about Schubert remain parasitic on the Beethoven paradigm, yet goes on to imply that McClary is not essentializing enough: after all, Burnham appears to argue that critics should instead seek to define what is *essentially* Schubertian, preferably without regard to Beethoven at all. In my view, this approach risks turning the complex negotiations, exchanges, and entanglements that make up musical styles and musical cultures into a collection of merely adjacent, self-contained “values”; it reduces an intricate, hybrid musical culture to a series of ghettos. Nor is it obvious that the principled critic should try to engage with Beethoven’s Others as if the Beethoven paradigm were an irrelevance, especially given the influence that it exerted, in various forms, on his contemporaries and successors.

53. Burnham’s attempted dissolution of the Beethoven-Schubert opposition has an analogy in the framing device with which Dahlhaus begins his *Nineteenth-Century Music*. Echoing Raphael Georg Kiesewetter, Dahlhaus writes of the “twin styles” of Beethoven and Rossini that inaugurated the century’s music—a formulation that, in Dahlhaus’s hands, is designed to avoid an evaluative hierarchy within the opposition. Indeed, with a characteristically inclusive gesture, Dahlhaus maintains that today’s critics need not choose between the aesthetics of Rossini and Beethoven, which can comfortably coexist. See Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley and Los Angeles: California UP, 1989), pp. 8–15. Several scholars have argued that Dahlhaus is far from even-handed in his treatment of opera; see, for example, Philip Gossett, “Carl Dahlhaus and the ‘Ideal Type,’” *19CM* 13 (1989), 49–56; and James Hepokoski, “The Dahlhaus Project and Its Extra-Musical Sources,” *19CM* 14 (1991), 221–46.

54. Burnham, *Beethoven Hero*, p. 167.

Further, and crucially, Burnham's notion that Beethoven's heroic "master trope" dictates the shape of its Others contradicts one of the most important lessons of recent political theory and cultural criticism: master tropes, no less than master races, gain coherence as much by identifying and excluding foreign elements as by any inward-looking method of self-definition.⁵⁵ Burnham endeavors to provide precisely such a definition with his "phenomenology"—an explanation of the mastery of the heroic style inferred with minimal mediation from anything outside of the style itself. Given the inherent circularity of this task, it is not surprising that Burnham should generate his self-grounding image of the heroic master trope from an exceedingly narrow selection of an already small collection of works—short samples even of the music that critics have traditionally associated with the heroic style. Lewis Lockwood has observed that Burnham's book is "primarily an analytical study of the *Eroica* and the Fifth Symphonies"—and one might add that Burnham, like many of his critical predecessors, focuses almost exclusively on the *Eroica*'s first movement.⁵⁶ Besides these two symphonies, Burnham devotes extended discussion only to the *Egmont* and *Coriolanus* Overtures. Despite this narrowness of focus, however, Burnham never actually defines the heroic style.⁵⁷ To be sure, by his own reckoning he has no need to: it is surely unnecessary to define something that has come to define all of music—something that is omnipresent in our language about music. Nevertheless, given the supposed omnipresence of the Beethovenian master trope, it is perhaps revealing that Burnham must remove almost all of Beethoven's *œuvre* in order to talk about it with any assurance.

Granted, Burnham recognizes that Beethoven's own music is often resistant to the Beethoven paradigm: "Although the heroic style quickly became a master trope, it is only one of the stories Beethoven tells," he observes, illustrating his

55. Lawrence Kramer has called this the "logic of alterity"; see *Classical Music and Postmodern Knowledge* (Berkeley and Los Angeles: U California P, 1995), p. 34.

56. Lewis Lockwood, *Beethoven: The Music and the Life* (New York: W.W. Norton, 2003), p. 516n14. For a more developed critique of Burnham's use of the designation "heroic style," see Lockwood's "Beethoven, Florestan, and the Varieties of Heroism," in *Beethoven and His World*, ed. Scott Burnham and Michael P. Steinberg (Princeton: Princeton UP, 2000), pp. 27–47, esp. pp. 38–41.

57. At the very opening, Burnham writes of "two symphonies, two piano sonatas, several overtures, [and] a piano concerto" that can "lay unequivocal claim" to the heroic style (*Beethoven Hero*, p. xiii). This formulation seems to refer directly to the *Eroica* and the Fifth; the "Waldstein" and the "Appassionata"; the Fifth Piano Concerto; and the *Coriolanus* and *Egmont* Overtures, and the *Leonore* Overtures Nos. 2 and 3. Burnham adds in a footnote that one might also include "earlier or later" works—thus implicitly acknowledging that the heroic style was largely confined to the first decade of the nineteenth century. His additional examples are the "Pathétique" Sonata; the "Hammerklavier"; the Piano Sonata, op. 111; and the Ninth Symphony (*Beethoven Hero*, p. 169n11).

claim with a brief discussion of the Pastoral Symphony, the languid Other of the dramatic Fifth.⁵⁸ Nonetheless, this recognition yet again reinforces existing distinctions between Beethoven and his Others—only in this case Beethoven is his own Other. Moreover, one might ask whether a composer's voice can be so easily compartmentalized. Indeed, a closer look at the idea of the heroic style as it has persisted in Beethoven criticism since Rolland reveals a critical category that is itself ambiguous and divided—a concept that is shaped by a constant awareness of its Others.

The Absent Heroic Style

The greatest obstacle to any secure definition of the heroic style is its position in an unappetizing critical smorgasbord of Beethovenian styles, periodizations, and historiographical narratives—the traditional tripartite conception of Beethoven's creative life foremost among them. Both William Kinderman and Solomon treat the heroic style as the emblematic musical manner of Beethoven's middle period.⁵⁹ Solomon gives Beethoven a heroic period and a heroic decade—a slightly more formal version of the heroic phase conjectured by Alan Tyson.⁶⁰ Nevertheless, all critics assume that Beethoven's heroic music is foremost defined by a style—a style that is foreshadowed in some early works, such as the Funeral Cantata for Joseph II, and recalled in some later ones like the Ninth.⁶¹ Many critics assume a broad continuity between the heroic style and Beethoven's "symphonic" musical thought: Solomon has the heroic style congealing in the genre of the symphony in the aftermath of a big bang created by the epic emotional scale of heroic subjects colliding with sonata principles.⁶² Dahlhaus only loosely distinguishes the heroic style from what he calls the "symphonic style"—the thematically propulsive, developmentally dense, dramatic yet monumental manner typified by the first movement of the *Eroica*.⁶³ To this extent, the heroic style provides a label for a traditionally

58. Ibid., p.153. The comments on the Pastoral continue on pp.154–55. Burnham's subsequent discussion leads to the most radical subversions of his own earlier account of the heroic paradigm.

59. See Kinderman, *Beethoven*, chaps.4 and 5; Solomon, *Beethoven*, chaps.12 and 14.

60. Part III of Solomon, *Beethoven* is called "The Heroic Period," while chaps.12 and 14 are called "The Heroic Decade" I and II respectively.

61. See Solomon, *Beethoven*, pp.68 and 406; also Solomon, "The Creative Periods of Beethoven," *Essays*, p.119.

62. Solomon, *Beethoven*, esp. pp.250–52.

63. See Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, esp. pp.29–30; see also chap.4 for his full discussion of the "symphonic style."

selective conception of Beethoven's symphonic writing. Dahlhaus himself observes that music historians have habitually taken the *Eroica* and the Fifth as symbolic of Beethoven's symphonic procedure rather than the Fourth, the Pastoral, or the Eighth.⁶⁴ One might add that even within the privileged odd-numbered symphonies the critical emphasis has tended to fall on sonata-type movements with dramatic and teleological patterns of thematic development—a tendency that has led to the relative critical neglect of the variation finale of the *Eroica*.⁶⁵ Moreover, to complete the circle of classification, this bias intersects with traditional Beethoven periodization: many critics have treated only certain edited symphonic highlights as emblematic of Beethoven's entire middle period.

The farther one gets from the first movements of Beethoven's odd-numbered symphonies, therefore, the more problematic it becomes to talk of the heroic style. The invocation of the term in connection with chamber works including the first "Razumovsky" Quartet, op. 59, or the Piano Sonatas, ops. 53 and 57, stems in part from a widespread perception of their seriousness, compositional ambition, and quasi-symphonic scope.⁶⁶ Meanwhile, the widespread discussion of the Fifth Piano Concerto with reference to the idea of the heroic style appears to issue from the same impulse that has led many critics to regard the piece as a kind of honorary symphony.⁶⁷ The majority of Beethoven's overtures are considered examples of the heroic style, of course, because they combine a monumental and dramatic manner with unambiguously heroic literary subjects. More serious problems arise in the case of vocal music and stage works, however, where heroic subjects might abound, but instances of "symphonic" writing tend to require special pleading. Even though most Beethoven scholars recognize the importance of *Leonore–Fidelio* to any conception of the heroic style, the discus-

64. Dahlhaus, *Nineteenth-Century Music*, p. 76. The even-numbered symphonies "are not in the main line of Beethoven's spiritual development," concluded J. W. N. Sullivan; see *Beethoven: His Spiritual Development* (London: Unwin Books, 1964; first published 1927), p. 78.

65. This neglect has been partially redressed in recent years with studies such as Elaine Sisman's "Tradition and Transformation in the Alternating Variations of Haydn and Beethoven," *Acta* 62, 2/3 (1990), 152–82.

66. See, for instance, Joseph Kerman's peerless essay on op. 59, no. 1, which couples the quartet with the *Eroica* Symphony, in *Quartets*, chap. 4. Kinderman cites Wilhelm von Lenz's notion of the "symphonic essence" (*symphonistisches Wesen*) of the "Waldstein" Sonata. See Kinderman, *Beethoven*, p. 97; Lenz, *Kritischer Katalog sämtlicher Werke Ludwig van Beethovens mit Analysen derselben* (Hamburg: Hoffmann and Campe, 1860), p. 273.

67. "In Beethoven's 'Emperor,' concerto and symphony virtually merge," writes Lockwood in his *Beethoven*, p. 249.

sion of its music in this connection (aside from its multiple overtures) is scanty. Searching for the heroic style in Beethoven's opera, a critic has little more to go on than the heroic rescue story and the monumentality of much of the music in the last scene. The oratorio *Christus am Ölberg* presents even more of a problem. Few have argued that its music contributed substantially to the emergence of the heroic style, even though its earliest version and later revision practically frame the heroic decade—and Tyson points out that its suffering Christ—hero is consistent with the themes of heroism that run through Beethoven's heroic phase.⁶⁸ And yet, as Lockwood has since observed, even the portrayal of heroism itself in Beethoven's heroic phase is irreducibly diverse—from the quiet endurance of Florestan to the public sacrifice of Egmont and the triumphant inner will of Leonore.⁶⁹

Every critical doubt or outright exclusion implies yet more doubts and exclusions on a larger scale. It hardly needs saying that the uncertain status of *Christus am Ölberg* and *Leonore–Fidelio* within the heroic style reflects the idea, widespread even during the composer's lifetime, that Beethoven is in essence a writer of instrumental music; certainly, the cantatas and all of the songs (with the possible exception of *An die ferne Geliebte*) also appear inessential to most critical definitions of his musical voice. Likewise, the Pastoral Symphony points to a marginal repertoire of tuneful and expansive sonata-type works that nonetheless eschew dramatic and teleological thematic development.⁷⁰ Some critics have described what they take to be a neglected lyrical episode in Beethoven's creative life—the period of six years or so from around 1809 that produced the Piano Sonatas, ops. 78 and 90, as well as the String Quartet, op. 74, and the Piano Trio, op. 97.⁷¹ That these compositions—in particular the cantabile rondo of op. 90—have often been described as “Schubertian” is symptomatic of their marginal status.⁷² Solomon even questions whether the musical features of these pieces “are hallmarks of a distinct style” and implies instead that their supposedly untypical style is evidence of a composer in the midst of a transition.⁷³ In other words, Beethoven is not his authentic self in

68. Tyson, “Beethoven's Heroic Phase.”

69. Lockwood, “Beethoven, Florestan, and the Varieties of Heroism,” p. 43.

70. It also raises a nexus of problems surrounding Beethoven's “characteristic” and pictorial music, of course.

71. See Dahlhaus, *Beethoven*, p. 203; Dahlhaus, *Nineteenth-Century Music*, pp. 80–81. See also Solomon, “The Creative Periods,” p. 119, and Elaine R. Sisman, “After the Heroic Style: *Fantasia* and the ‘Characteristic’ Sonatas of 1809,” *Beethoven Forum* 6 (1998), 67–96.

72. See, for example, Kinderman on op. 90 in his *Beethoven*, pp. 182.

73. Solomon, “The Creative Periods,” p. 119.

these pieces, even though tuneful sonata movements—not least rondo finales—are common in his *œuvre*; one only need consider the Piano Sonatas, ops. 7, 22, and 31, no. 1.

Moreover, one could argue that, within Beethoven's canonical works, critically marginalized moments of Otherness point to broader patterns of critical exclusion. There is no clearer case than the Janissary march in the finale of the Ninth. The wind and percussion share their critical exile with other examples of Beethoven's Turkish exoticism—entire pieces that lie far from the heroic canon. At the farthest remove is surely the chorus of dervishes from the incidental music for August von Kotzebue's play *Die Ruinen von Athen* (The Ruins of Athens)—a short drama that, along with *König Stephan* (King Stephen), was part of the opening ceremony of Pest's Imperial Theater on Kaiser Franz's birthday (12 February) in 1812.⁷⁴ This chorus has been expurgated from critical constructions of Beethoven's *œuvre* just as the Turkish music has been critically expurgated from the Ninth. It incorporates almost every obvious kind of musical exoticism: the score calls for “all available noise-making instruments, such as castanets, bells, etc.”; the harmony is dominated by primitivist open fifths and octaves; violins and violas shadow the vocal line with triplets that oscillate between the principal note and its lower chromatic neighbor, creating the impression of an exotically wavering pitch. Kotzebue's text, meanwhile, indulges in the sort of image-rich bosh often reserved for the depiction of magical rites, prominently incorporating a pair of Islamic signifiers: “Du hast in deines Ärmels Falten / Den Mond getragen, ihn gespalten, / Kaaba! Mahomet!” (Thou hast taken the moon into the folds of thy sleeve and split it. Kaaba! Mahomet!). The dervish chorus led to yet another musical representation of the Islamic Other, which Beethoven arranged from the theme of his Piano Variations, op. 76—a Janissary march that appears almost domesticated after the whirling dervishes, and somewhat closer in style to the Turkish music in the Ninth.⁷⁵

One is hardly inclined to hear Beethoven's overbearing presence in his dervish chorus, of course, or even in the subsequent march, although one might perhaps echo Kanne's defense of the Turkish music in the Ninth: despite a superficial foreignness, Beethoven's imagination is always in charge. Beethoven merely puts on a mask; the complete concealment of his voice is crucial to the scene, after

74. The opening had been planned for the Kaiser's name day (4 October) the previous year and is still sometimes mistakenly cited as having been performed on this date; the project suffered several delays, however.

75. Lawrence Kramer comments on the dervish chorus in *Die Ruinen* in the context of his discussion of the finale of the Ninth in “The Harem Threshold,” pp. 86–88.

all, which at once titillates and horrifies with its vision of an irrational, fanatical Other trampling on the very origin of enlightened European culture. And yet, it is unclear when the mask comes off. To be sure, the musical exoticism leaves the stage with the Turks, but, for the modern critic in particular, Beethoven's voice does not obviously reassert itself in the remaining movements of the score. The sacred march to the altar that opens the final scene perhaps aims to set to rights the grotesque march of the Turkish Janissaries, just as the final oath chorus in praise of the Kaiser seeks to counterbalance the horror of Islamic ruination, emphasizing the continuation of enlightened values in the city of Pest. But many critics have been reluctant to identify Beethoven's voice with this concluding musical propagandizing, which ostensibly supplants a more authentic mode of authorial expression—and perhaps even, given the succession of blandly affirmative tonics and dominants in the choral finale, encourages a musical language almost as crude and generic as the Islamic exoticism to which it is opposed. As early as 1829, a critic from Vienna's *Allgemeiner musikalischer Anzeiger* formulated a dismissal of *Die Ruinen* that has since become commonplace: the piece is worthless because it did not arise from the composer's "inner urge" (*aus innerem Drang*).⁷⁶ In this piece, the critic implies, Beethoven could not be his authentic self.

Thus, one might get the impression that the dervish chorus, for all the staginess of its exoticism, is actually an Other at the heart of an Other—merely the most palpable moment of foreignness in a composition in which Beethoven consistently speaks a language that is foreign to him. Indeed, the score of *Die Ruinen* belongs to a yet broader category of Otherness: a group of compositions written in the years of the *Befreiungskriege* and the Congress of Vienna, which most critics have hitherto marginalized, largely because of Beethoven's overt propagandizing: in 1811, the incidental music for *Die Ruinen* and *König Stephan*; in 1813, the notorious battle piece *Wellingtons Sieg oder die Schlacht bei Vittoria* (Wellington's Victory or the Battle of Vittoria); in 1814, the closing chorus "Germania" for a patriotic drama by Georg Friedrich Treitschke, a chorus to mark the entry of the allied princes into Vienna (though there is no evidence that it was ever performed), "Ihr weisen Gründer glücklicher Staaten" (Ye Wise Founders of Happy States), and a cantata for the Congress of Vienna, *Der glorreiche Augenblick*; in 1815, yet another chorus for the conclusion of a Treitschke drama, "Es ist vollbracht!" (It Is Accomplished!).⁷⁷

76. Reprinted in *Beethoven, die Werke im Spiegel seiner Zeit*, ed. Kunze, p.91.

77. The principal studies of these compositions as a more or less coherent group or period are: Nicholas Cook, "The Other Beethoven: Heroism, the Canon, and the Works of 1813–14," *19CM* 27 (2003), 3–24; Ingrid Fuchs, "The Glorious Moment: Beethoven and the Congress of Vienna," in *Den-*

Several equally obscure compositions from the period also hover on the fringes of this festive and bellicose group: the incidental music to Johann Friedrich Leopold Duncker's *Leonore Prohaska* (which was never performed with the drama); a triumphal march and introductory music to the second act of Christoph Kuffner's *Tarpeja*; the Overture in C Major, op. 115, known as "Zur Namensfeier" (Name Day), which was performed on Kaiser Franz's name day (4 October) in 1815; one or two marches and simple songs on patriotic texts; and perhaps even the Cantata *Meeresstille und glückliche Fahrt*, op. 112 (Calm Sea and Prosperous Voyage), a setting of two Goethe poems for chorus and orchestra.

The consciously public, patriotic, and often bellicose tenor of many of these pieces frequently prompts grand musical rhetoric, massive orchestral and choral sonorities, and showy or bizarre musical effects. Beethoven himself remarked that the dervish chorus was a "good signboard to attract a mixed public" when he made *Die Ruinen von Athen* available to the organizers of a charity concert in Graz.⁷⁸ It is worth noting that the Janissary instruments crop up in a number of compositions from the period—not only the Turkish sections of *Die Ruinen* but also the chorus of warriors in the last movement of *Der glorreiche Augenblick* and, of course, the greater part of *Wellingtons Sieg*.⁷⁹ Like most mechanical curiosities of the time, Johann Nepomuk Mälzel's *Panharmonicon*, for which Beethoven initially composed his battle piece, would have consisted primarily of mechanical winds and Turkish percussion; around two years after the premiere of *Wellingtons Sieg*, Steiner commissioned an arrangement by Diabelli entirely for wind and percussion—"the *Schlacht* which has been translated into the purest Turkish," as Beethoven described it.⁸⁰

mark and the Dancing Congress of Vienna: *Playing for Denmark's Future*, Exhibition Catalog Christiansborg Palace (Copenhagen, 2002), pp. 182–97; and Kinderman, *Beethoven*, chap. 7. The entire "problematic" period around 1809–17 is given particular attention in the book of essays *Beethoven zwischen Revolution und Restauration*, with the implication of transition clearly maintained in the "zwischen" of its title. Michael Ladenburger's essay in the collection deals with Beethoven's Congress compositions and their context; see "Der Wiener Kongreß im Spiegel der Musik," esp. pp. 293–306. Esteban Buch deals with the Congress period as a context for the aesthetic and political background to the Ninth in *Beethoven's Ninth: A Political History*, trans. Richard Miller (Chicago: U Chicago P, 2003), chap. 4.

78. Letter to Joseph von Varena, March 1813. Anderson I, no. 411; *Briefwechsel* II, no. 630. Unless otherwise stated, all translations from the letters are Anderson's.

79. Cook calls the Turkish percussion the "implicit" Other of *Wellingtons Sieg*; see "The Other Beethoven," p. 18.

80. Beethoven's emphasis. Letter to Steiner of 1815. Anderson II, no. 578; *Briefwechsel* III, no. 837. On contemporary orchestra machines, see Emily Dolan, "The Origins of the Orchestra Machine," *Current Musicology* 76 (2003), 7–23.

Although *Wellingtons Sieg* brought Beethoven to the peak of his living fame, later generations of historians have habitually described the years of the Congress of Vienna as a period of decline, bringing the heroic decade to an undistinguished close. Again and again, they have diagnosed a loss of creative energy during the years of the Congress—a weakening or exhaustion of the composer's voice itself as much as a quantitative decline in productivity. Metaphors of aridity and liminality accordingly dominate the critical writing about the period. Rolland proposes that Beethoven temporarily lost his voice during these years, which he characterizes with the Napoleonic metaphor of exile.⁸¹ *Wellingtons Sieg* is evidence of this exile—Beethoven's most un-Beethovenian work, “the only one of his works that is unworthy of him,” as Rolland puts it.⁸² Sullivan, framing the last years of the heroic decade entirely in the language of decay, likewise maintains that Beethoven was “singularly unproductive” in the decade from 1809—a questionable contention, surely projecting an ingrained critical indifference to Beethoven's output from this period onto historical fact.⁸³ Solomon writes of the “dissolution of the heroic style”—the waning of Beethoven's most distinctive and lasting musical voice, until its recrudescence in the Ninth.⁸⁴ Dahlhaus also sees *Wellingtons Sieg* as the end of the heroic style; “it has been described as the unhappy outcome of a creative block,” he adds.⁸⁵ Lockwood dubs the period from 1813 to 1817 “the fallow years”—a “twilight zone” between the middle period and the late music.⁸⁶ Even Kinderman, one of the few Beethoven biographers to give these works sustained and serious consideration, defines them by the drastically weakened presence of the composer's voice: “Beethoven may have felt it appropriate to dilute much of the strength of his musical style in order to please and flatter his listeners without really demanding their attention,” he suggests.⁸⁷ The implication is usually that these pieces can be removed from Beethoven's *œuvre*, as they are not truly Beethovenian. Solomon questions whether the “patriotic potboilers” even belong “within the

81. Rolland, *Beethoven the Creator*, p.2.

82. *Ibid.*, 184.

83. Sullivan, *Beethoven*, p.85; chap.5 of his study is entitled “The End of a Period.”

84. Solomon, *Beethoven*, chap.17.

85. Dahlhaus, *Beethoven*, p.xxiii.

86. Lockwood, *Beethoven*, p.333; chap.16 is entitled “The Fallow Years.” Incidentally, Lockwood calls the middle and late periods Beethoven's second and final “maturities”; see n.95 for the various musicological contexts of this choice of nomenclature.

87. Kinderman, *Beethoven*, p.177. The only other Beethoven biography to tackle the patriotic and occasional pieces as directly is David Wyn Jones's *The Life of Beethoven* (Cambridge: Cambridge UP, 1998); see esp. chap.5.

boundaries of any of Beethoven's authentic style periods"—which is to imply that the years from 1813 onward comprise inauthentic Beethoven.⁸⁸ "They should be set aside as negligible by-products, not as works in the main line," recommends Lockwood.⁸⁹

But these injunctions remain constitutive of the critical construction of Beethoven's *œuvre*—that is, critics tend to construct the composer's voice in the very gesture of rejecting what it is not. Indeed, the compositions of the Congress appear in many studies of Beethoven's music only to be rhetorically expunged: not only are *Wellingtons Sieg* and *Der glorreiche Augenblick* now "notorious," but they have come to symbolize the waning of Beethoven's defining heroic voice; they are the sound of the silence of the heroic style. Some studies consequently accord these pieces surprising prominence: Kinderman's biography mentions *Wellingtons Sieg* and *Der glorreiche Augenblick* before any other composition; by the third page of his study, one has encountered *Wellingtons Sieg* three times, *Eroica* only once.⁹⁰ *Wellingtons Sieg* is also the first piece to be mentioned in Lockwood's Beethoven study, immediately before his thoughts turn to the heroic decade.⁹¹ Given that, as we have seen, Beethoven criticism tends to present us with a heroic style that is either awkwardly plural or—as in Burnham's study—narrow almost to the point of absence, one might say that the singular and dominating presence of the heroic style, much like the presence of the composer's voice in the Ninth, is sustained in part by the dynamic of difference: *nicht diese Töne*.

In fact, the wise warning that concludes Solomon's essay on Beethoven's creative periods implies as much: "In a sense, all of Beethoven's work is transitional, in process, constantly pressing toward new metamorphoses. And his *œuvre* is a single *œuvre*, which we segment out of a penchant for classification, a need to clarify—and at our peril."⁹² Solomon leaves us with the choice between a Beethovenian *œuvre* whose unity and coherence are shored up with exemptions—the supposedly inauthentic music of the Congress of Vienna foremost among them—or an *œuvre* that becomes singular only when one conceives of it as a kind of perpetual motion, a total development as processive as Beethoven's heroic music itself. Solomon almost suggests that, within Beethoven's complete works, if we are not to hear the

88. Solomon, "The Creative Periods," p.119.

89. Lockwood, *Beethoven*, p.347.

90. Kinderman, *Beethoven*, p.2.

91. Lockwood, *Beethoven*, p.xix. Lockwood mentions the Cello Sonata, op.69, earlier (p.xvii), but in an autobiographical rather than critical context.

92. Solomon, "The Creative Periods," p.125.

composer's voice as irreducibly plural, then we must conclude that it manifests itself almost entirely as transition—the dynamic of difference that defers the moment of authentically Beethovenian plenitude until the composer's silence.

Resistance and Collaboration

Even during his own career, Beethoven was portrayed as a composer in transition: Tia DeNora has shown how Beethoven and his aristocratic supporters helped to popularize early narratives of his transition from novice into Great Composer—an heir and rival to Haydn.⁹³ The posthumous organization of Beethoven's work into its traditional three stages retains this symbolic moment of transition within its plateaux: the moment in which the composer throws off the shackles of apprenticeship and takes a “new path” into his heroic period.⁹⁴ This moment guarantees the idea of an “early period” a marginal yet essential position in Beethoven historiography, insofar as it represents what Beethoven must leave behind in search of his own voice. Beethoven's emerging authorial identity is bound up with this increasing capacity to reject: as Beethoven matures, he must discount voices that are alien to his nature and subsume or supersede musical voices that would drown out his own. Until he has found his voice, he is reliant on models and mentors, and incapable of absolute sincerity.⁹⁵ Thus Sullivan, for example, alleges that “stock

93. Tia DeNora, *Beethoven and the Construction of Genius: Musical Politics in Vienna 1792–1803* (Berkeley and Los Angeles: U California P, 1995), esp. chap. 5.

94. Czerny reports that Beethoven used the phrase “new path” to describe the Piano Sonatas, op. 31. Most commentators substantiate Czerny's report with a letter from Beethoven to Breitkopf (dated 18 October 1802) about the Variations ops. 34 and 35, which promises pieces “worked out in quite a new manner.” See Anderson I, no. 62; *Briefwechsel* I, no. 108. Dahlhaus in particular endorses the idea of a “new path” beginning around 1802—although he is more cautious about the idea of a “heroic” or “middle” period; see his *Beethoven*, chap. 9, esp. p. 167. See also Hans-Werner Küthen, “Beethovens ‘wirklich ganz neue Manier’—Eine Persiflage,” in *Beiträge zu Beethovens Kammermusik*, ed. Sieghard Brandenburg and Helmut Loos (Munich: Henle, 1987), pp. 216–24, and Peter Schleuning, “Beethoven in alter Deutung: Der ‘neue Weg’ mit der ‘Sinfonia Eroica,’” *Archiv für Musikwissenschaft* 44/3 (1987), 165–94.

95. On the value judgments embedded in Beethoven periodization, in particular with reference to the idea of “earliness,” see Webster, “The Concept of Beethoven's ‘Early’ Period in the Context of Periodization in General,” *Beethoven Forum* 3 (1994), 1–27. It is worth noting that, until its twentieth-century, modernist-led rehabilitation as the pinnacle of Beethoven's achievement, perhaps also inspired by Wagner's view of late Beethoven, the late music was routinely disparaged as a descent into eccentricity and obscurantism, with the heroic music thus becoming the central peak of Beethoven's career; see K. M. Knittel, “Wagner, Deafness, and the Reception of Beethoven's Late Style,” *JAMS* (1998),

poetic situations” mar Beethoven’s early works, citing the Largo from the Piano Sonata, op. 10, no. 3.⁹⁶

But, even with the onset of maturity, the struggle has no end. For when Beethoven has found his voice, he must fight to keep hold of it, wresting it from forebears and contemporaries, influence and fashion, cooption and coercion. In many biographies, it appears that the composer’s voice becomes his own partly in the act of forcibly reclaiming it: the critical construction of Beethoven’s overweening authorship is sustained by a constant note of polemic—anecdotes in which Beethoven reasserts his ownership of his works. The author’s power is ultimately one of veto: “I don’t write for the galleries!” said the composer as he withdrew the revised 1806 *Leonore*; “I want my score back” (at least, these were the words the singer Joseph August Röckel claimed to recall).⁹⁷

If most critics are to be believed, this struggle for ownership takes place even on the page: Beethoven’s copious sketches and revisions are its traces; each work is a fresh triumph. In the minds of many scholars, Beethoven remains the Great Expurgator—the composer who rewrites and rejects until the perfected work, and the Complete Works in their turn, stand before us. Leonard Bernstein, examining the sketches of the Fifth Symphony, paints a picture of Beethoven as a kind of sublime editor: “Imagine a whole lifetime of this struggle, movement after movement, symphony after symphony, sonata after quartet after concerto. Always probing and rejecting in his dedication to perfection.”⁹⁸ The completed works and the Complete Works, Bernstein seems to be saying, achieve their completeness through an unceasing process of excision. Again, the Beethovenian author resists: *nicht diese Töne*. And, as we have seen, it is this kind of authorial voice that many heroic works portray in their musical rhetoric—not least the finale of the Fifth, with its vast C–major purification after the reprise of the minor-mode scherzo.

If resistance sustains the Beethovenian model of authorship, then its opposite is collaboration—the knowing collusion with Other voices: Beethoven falls silent when he fails to resist. It is hardly surprising that critics should have all but excised

49–82. Lockwood prefers to write of Beethoven’s first, second, and final “maturities,” surely an attempt to make the periodization of Beethoven’s mature music value-neutral (although it retains, and even reinforces, the distinction between “mature” and “immature” works, which here comprise—with adequate justification, it must be said—everything pre-dating Beethoven’s arrival in Vienna). See Lockwood, *Beethoven*.

96. Sullivan, *Beethoven*, p. 69.

97. Thayer-Forbes, p. 398.

98. Leonard Bernstein, “Beethoven’s Fifth Symphony,” in *The Joy of Music* (London: White Lion, 1974), p. 93.

Beethoven's Congress music from his *œuvre*: such collaborations are not merely out of character, but also in a sense not even by Beethoven. Writers have seized on any suggestion that this is literally so: Ignaz Moscheles's recollection that *Wellingtons Sieg* was conceived and even in large part composed by the inventor Mälzel has been reiterated by critics from Thayer to Charles Rosen,⁹⁹ although an examination of the manuscript sources has since shown that Mälzel's musical input was most likely confined to the more generic fanfares and trumpet flourishes.¹⁰⁰ Even so, critics continue to insinuate that *Wellingtons Sieg* is not entirely Beethoven's work: "Beethoven gave in to Mälzel's blandishments," writes Lockwood.¹⁰¹ To be sure, such critics have one undeniable fact on their side: much of the musical material in *Wellingtons Sieg* derives from elsewhere—the French and English marches with which it opens, and the variations and fugato on "God Save the King" with which it ends. Such intertextuality signals the erosion of the very authority that defines an author and is only the most noticeable symptom of a more fundamental compromise that conditions Beethoven's Congress compositions: the subordination of the composer's voice to Others—to his audiences, to his contemporaries, and, above all, to political ideologies.

This is nowhere clearer than in "Es ist vollbracht," the strophic song for bass and chorus that Beethoven composed as the finale of Treitschke's patriotic drama *Die Ehrenpforten* (The Triumphal Gates). The generic character of the piece, with its direct harmonies, festive dotted rhythms, and boisterous alternation of soloist and chorus, perhaps already weakens any sense of a guiding authorial voice; but in the short coda this voice is almost submerged altogether. The orchestral interlude after the last strophe unexpectedly moves to a portentous pause on the dominant (m. 130), and, breaking the pregnant silence, a delicate passage of woodwinds introduces a direct melodic quotation from Haydn's 1797 song of Habsburg loyalty "Gott erhalte Franz den Kaiser" (God Save Kaiser Franz). The bass soloist soon joins them, singing the entire last eight-measure period of Haydn's melody to the

99. Moscheles made this claim in his 1841 annotated English translation of Schindler's Beethoven biography. For a reprint and affirmation of Moscheles's comment, see Thayer-Forbes, p. 561; Thayer remarks that Beethoven "for once consented to work out the ideas of another." For an echo of this claim as received wisdom, see Charles Rosen, *The Classical Style* (New York: W. W. Norton, 1972), p. 401.

100. See Hans-Werner Küthen, "'Wellingtons Sieg oder die Schlacht bei Vittoria': Beethoven und das Epochenproblem Napoleon," in *Beethoven zwischen Revolution und Restauration*, pp. 262–63; see also Cook's summary of the idea and the reasons behind its propagation in "The Other Beethoven," p. 6.

101. Lockwood, *Beethoven*, p. 338.

words “Gott sei Dank und unserm Kaiser” (Praise be to God and to our Kaiser). Finally, the chorus adds its voice in a series of overlapping entries, bringing the song to yet another dramatic pause on IV (m. 143), after which it ends with a more urgent Presto. The quotation—in part a rather obvious musical gimmick, in part a citation that makes the message of the chorus unmistakable—thus breaks the already fragile impression of authorial control: it is as if the composer yields to existing musical orthodoxies in the recognition that he has little to say that “Gott erhalte” could not say for him.

It is this apparent multiplicity of voices in Beethoven’s Congress pieces that leads Nicholas Cook, in an essay on *Der glorreiche Augenblick* and *Wellingtons Sieg*, to draw on Bakhtinian literary criticism to distinguish the monological discourse of Beethoven’s canonical heroic works from the dialogical collaborations of the Congress of Vienna.¹⁰² Cook argues that when critics such as Kinderman bemoan the lack of a subtle unifying principle in *Wellingtons Sieg* and other Congress pieces they fail to understand that such compositions function something like musical collages, and thus inevitably resist the unifying impulses of most critical methods.¹⁰³ Moreover, consistent with some of his arguments in his earlier study of the Ninth, Cook condemns what he considers the domestication of Beethoven’s dialogical music by a monological critical outlook, arguing that the Romantic–Modernist organicism of A. B. Marx and his critical heirs is less appropriate to many of Beethoven’s compositions than Enlightenment notions of musical rhetoric, as one finds in the writings of Koch.¹⁰⁴ On this basis, Cook suggests that the Ninth and *Wellingtons Sieg* are more similar than most critics would like to think.¹⁰⁵

Nevertheless, this claim appears to contradict a line of argument that Cook has pursued earlier, in which he distinguishes the voice of Beethoven’s heroic works from the weakened voice of the Congress of Vienna: the music of the Congress period, argues Cook, has been marginalized because it is not internally diverse and complicated enough. If one is to hear Beethoven’s music as “a mode of subjective presence,” he contends, the music must be sufficiently complex to elicit

102. Cook, “The Other Beethoven,” esp. pp. 12–15. His appropriation of Bakhtin comes via Ken Hirschkop, “The Classical and the Popular: Musical Form and Social Context,” in *Music and the Politics of Culture*, ed. Christopher Norris (New York: St. Martin’s, 1989), pp. 283–304. For Mikhail Bakhtin’s theory of heteroglossia and his conception of the “polyphony” of voices in literary texts, see his four essays on the novel, *The Dialogic Imagination*, ed. Michael Holquist, trans. Caryl Emerson and Michael Holquist (Austin: U Texas P, 1981).

103. Cook, “The Other Beethoven,” p. 17; see also Kinderman, *Beethoven*, p. 172.

104. Cook, “The Other Beethoven,” p. 13.

105. *Ibid.*, pp. 13–14.

varying interpretations—to permit listeners to make the music their own. The sense of a singular authorial presence in Beethoven's monological heroic works is actually produced by unrestrained musical diversity. He concludes: "In terms of the paradigm of Beethovenian subjectivity, then, the meaning of works like op.91 and op.136 was too obvious to be taken seriously."¹⁰⁶ In this way, Cook makes the supposedly dialogical Congress compositions sound decidedly univalent.

In short, although Cook is correct that Beethoven's Congress collaborations sit uncomfortably with the unifying impulses of most analytical strategies, his explanation of the source of this discomfort is incomplete. Cook allows that broadly analytical observations are both possible and valid, but queries their relevance to what he calls the "central aesthetic qualities" of the repertoire in question; such analysis does not lead to "a convincing reading" of the music, he writes.¹⁰⁷ I would add that Beethoven's Congress collaborations often make analysis appear redundant not because they are resistant to it but because they accommodate it with excessive ease: while one can elucidate the tonal plan of *Wellingtons Sieg*, for example—the opening clash of the marches in E♭ major and C major, say, which much of the ensuing *Schlacht* appears to negotiate through the mediating key of C minor—it is harder to make this plan perform any meaningful hermeneutic work.¹⁰⁸ One cannot make such analysis "speak," as it were. The point becomes clearer still when one focuses on shorter compositions such as Beethoven's strophic *Schlußchöre* from Treitschke's Congress dramas of 1814–15, or his contributions to Kotzebue's patriotic dramas of 1811–12. Conventional methods of analysis are unkind to these genres, of course—not because they necessarily reveal them to be badly constructed or incoherent, but because they appear unable to advance from mere description to explanation, as Leonard Meyer and Alan Walker once put it.¹⁰⁹ Faced with a piece as simple as Beethoven's closing chorus from Treitschke's 1814 *Die gute Nachricht* (The Happy Message), one struggles to imagine what analysis might even seek to explain. (Table 1 parses the movement.)

Here, unity is to all intents and purposes the same as uniformity: a reductive harmonic perspective on the movement shows only that, within a structure whose most adventurous maneuver is the secondary dominant first heard in mm.10–11, Beethoven organizes the four principal phrases that make up his song in such a way that the first pair (A and B in Table 1) end on the dominant, and the second pair (C and R) on the tonic. It is hard to escape the impression, therefore, that

106. Ibid., pp.11–12.

107. Ibid., p.17.

108. Cook writes of the tonal plan of *Wellingtons Sieg*; *ibid.*, pp.16–17.

109. Cited in Cook, *A Guide to Musical Analysis* (London: J. M. Dent and Sons, 1987), p.230.

Table 1: “Germania,” WoO 94, in B \flat major; 61 measures (from Treitschke’s *Die Gute Nachricht*).

Main Strophe:

Feurig, jedoch nicht zu geschwind [fiery, but not too fast]; C meter.

Mm.1: Fortissimo triadic fanfare in the winds, with string tremolo.

Mm.2–5: Baritone soloist and strings. Phrase of four measures (A) based on stepwise motion within the first three scale degrees until concluding fall of a perfect fifth to the fifth scale degree. Limited melodic compass and intervallic range reminiscent of trumpet voluntary.

Mm.5–9: Phrase A echoed by homophonic chorus, with full orchestra, on same lines of text.

Mm.9–13: Baritone soloist and strings. Legato phrase of four measures (B) on next two lines of text. A pair of identical stepwise ascents to the supertonic (one for each rhyming line); each describes a move to the dominant from V/V.

Mm.13–15: Baritone soloist and wind. Phrase of two measures (C) resolves to the tonic, descending stepwise through the first three scale degrees.

Mm.15–17: Phrase C echoed by homophonic chorus, with full orchestra, on same lines of text.

Mm.17–22: The refrain that concludes each verse (R): “Preis ihm! Heil dir, Germania!” (Praise him! Hail to you, Germania!). All voices and instruments. Phrase of four measures, the melody rising to the sixth scale degree and a cadence with six-four preparation.

Mm.22–28: Orchestral tutti with concluding fanfare refrain.

Final strophe:

Mm.28–38: See main strophe.

Mm.38–40: Baritone soloist, strings, and woodwind. Second half of phrase B rescored with woodwind and an embellished pause on the dominant/leading tone in melody.

Più Allegro; alla breve.

Mm.41–44: “Franz, Kaiser Franz! Victoria!” Baritone soloist and full orchestra.

Dramatic triadic ascent with pause on “Franz” accompanied by string flourish.

Mm.45–48: Previous phrase and words echoed by homophonic chorus, with fuller orchestration and timpani roll.

Mm.48–53: Chorus and full orchestra. Return to R as in mm.17–22, but without the baritone soloist and with a metrical displacement of the melodic line; an extension of the line by two quarter notes in mm.51–52 allows the cadence to resolve on downbeat.

Mm.53–58: Orchestral tutti.

Mm.58–61: All voices and instruments. Fortissimo in voices; fortississimo in orchestra. Concluding “Germania” on a tonic chord with a timpani roll.

reductive kinds of analysis are paradoxically an appropriate means of engaging only those compositions that resist it. By contrast, music that yields more easily provides no secure hermeneutic footholds.

Besides, much of Beethoven's Congress music originated in the diverse and mutable context of dramatic works and festive events—in other words, this music is collaborative in conception, sustained by the interaction with the voices that surrounded it. Collaborative music, as Cook implies, can sound hollow or meaningless when one listens to it with the intention of picking out a singular authorial voice. Indeed, reductive critical methods encourage such univalent listening when they excise any remnants of the voices with which this music collaborated—much as Kanne encouraged his readers to ignore the Turkish exoticism in the Ninth and concentrate instead on the governing Beethovenian *Besonnenheit*. Thus, it would perhaps be more consistent with the “open” aesthetic stance of Beethoven's Congress collaborations if critics, rather than eliminating unwanted voices, augmented them instead—which is to say, turned their attention to historical context. Some music histories, not least those of a contextual bent, might give one the impression that context merely comprises everything separate from the music under consideration that one nonetheless invokes to explain it. But context is in many respects woven into the very fabric of Beethoven's Congress music: the closing chorus of *Die Ehrenpforten*,¹¹⁰ to take one example, clearly embraces the voices of Beethoven, Treitschke, and Haydn—and perhaps even the voice of political orthodoxy itself. But one can also point to other proximate musical voices: the chorus was but one part of a musical drama with an overture by Hummel, and a mixture of choruses, ensembles, and arias by Bernhard Anselm Weber, Joseph Weigl, Ignaz von Seyfried, Adalbert Gyrowetz, and even Handel—not to mention numbers adapted from popular tunes of the day. Many voices likewise mingle in *Die gute Nachricht*: after Hummel's overture (actually the same as the overture to the later *Die Ehrenpforten*) came numbers by Mozart, Gyrowetz, Weigl, Hummel again, and—nowadays more famous as a Beethoven exegete—Kanne (Table 2 gives a complete account of the numbers and their composers in both of Treitschke's dramas).¹¹¹

To be sure, Beethoven's contributions were the culminating numbers; nonetheless, Mozart and Handel aside, these numbers mingle with a veritable chorus of

110. One should note that *Die Ehrenpforten*, first performed on 15 July 1815 after the second capitulation of Paris, was revived for Kaiser Franz's name day later that year on 3 and 4 October, when, among other changes, Beethoven's “Germania” was used in place of “Es ist vollbracht” (see Table 2).

111. Manuscript scores of both *Die gute Nachricht* and *Die Ehrenpforten* survive in the Austrian National Library—although as late as the mid-1980s, Willy Hess believed the music to be lost; see his

Table 2

**A: Friedrich Treitschke's *Die gute Nachricht*—first performance
in the Kärntnertortheater on 11 April 1814.**

Overture by Johann Nepomuk Hummel.

1. Aria (Hannchen): "Ach, wie schleichen Tag und Stunden," adapted from Mozart's song for voice and piano "An Chloe," K. 524.
2. Aria (Bruno): "Ich schlich den Neuigkeiten nach," by Adalbert Gyrowetz.
3. Trio (Bruno, Robert, Hannchen): "Eile, dich ruft die Ehre," by Joseph Weigl.
4. Quartet (Süßlich, Bruno, Hannchen, Stürmer): "Ein Jüngling in den besten Jahren," by Hummel.
5. Duettino (Hannchen, Stürmer): "Kehre wieder, holde Taube," by Hummel.
6. Aria (Ruthe/Bruno): "Heut sah man Fahnen sonder Zahl," by Kanne.
7. Trio and chorus (Bruno, Stürmer, Hannchen): "Kommt, Freunde, blicket all hinauf," by Hummel.
8. Chorus: "Germania," by Beethoven.

**B: Friedrich Treitschke's *Die Ehrenpforten*—first performance
in the Kärntnertortheater on 15 July 1815.**

Overture by Hummel (same as overture to *Die gute Nachricht*).

1. Chorus: "Ihr Brüder, ihr Schwestern," by Bernhard Anselm Weber.
2. Aria (Horst): "Unaufhaltsam schnell wie Wogen" by Weigl.
3. Duet (Horst, Walter): "Auf Eichen schwebt des Adlers Tron," based on a Hungarian patriotic song.
4. Sextet (Rosalie, Mathilde, Sophie, Walter, Horst, Fröhlich): "O wie schnell ist sie verschwunden," by Ignaz von Seyfried.
5. Aria (Teutschmann): "Ich zog mich aus der Stadt zurück," by Gyrowetz.
6. Duet (Walter, Horst): "Was wir fröhlich angefangen," based on the "Alexander" March, one of the most popular tunes of the day.
7. Chorus: "Auf, ziehet her mit Freudenliedern," by I. von Seyfried.
8. Chorus: "Fall ward sein Loos," based on "Fall'n is the foe" from act II of Handel's *Judas Maccabeus*.
9. Chorus: "Es ist vollbracht," by Beethoven.

Performances on 3 and 4 October 1815:

8. Chorus: "Allmächtiger Gott," based on "Fall'n is the foe" from act II of Handel's *Judas Maccabeus*.
9. Chorus: "Germania," by Beethoven.

somewhat marginal contemporaries—figures who nonetheless crop up regularly on the periphery of Beethoven studies.¹¹² This is not to claim that Beethoven was directly influenced by these contemporaries, of course; rather, these composers represent the generic musical and ideological background that Beethoven's own Congress music makes no effort to escape.

Thus, it is not merely that Beethoven's Congress compositions have many voices while his heroic works have one, as Cook would have it—after all, Bakhtinian criticism would claim that all texts can ultimately be resolved into a variety of contesting voices—but that the Congress music appears to welcome in Other voices, while the heroic works gesture toward driving them out. Collaboration opposes resistance. These opposed aesthetic stances condition how relevant or useful reductive critical approaches strike us. On the one hand, the critical expurgation of the Other voices in Beethoven's Congress compositions appears unable to leave

Das Fidelio-Buch: Beethovens Oper Fidelio, ihre Geschichte und ihre drei Fassungen (Winterthur: Amadeus, 1986), p. 33n28. Accordingly, there has been a little confusion over the authorship of the music in Treitschke's Congress dramas, and most literature on the subject is untrustworthy. Hess's important work on Treitschke's dramas relies on Thayer's imperfect testimony to establish the authorship of the music; see Willy Hess, "Zwei patriotische Singspiele von Friedrich Treitschke," BJ (1969), 269–319. Kinsky-Halm seems to have derived the names of the collaborating musicians in *Die gute Nachricht* and *Die Ehrenpforten* from AmZ reports—see AmZ 21 (25 May 1814), col. 351 and AmZ 34 (23 August 1815), col. 566—but mistakenly identifies the "Seyfried" of *Die Ehrenpforten* with the brother of Ignaz, Joseph von Seyfried, who was primarily a writer and librettist rather than a musician; see Kinsky-Halm, p. 555.

112. The Capellmeister of the Berlin Court Opera, B. A. Weber, was responsible for bringing *Fidelio* to Berlin in 1815 (see his letter to Treitschke of 8 April 1815. Albrecht II, no. 204; *Briefwechsel* III, no. 802a). I. von Seyfried was a close acquaintance of the Beethoven circle, and conducted the premieres of a number of Beethoven's compositions, including the Fifth and Sixth Symphonies and the 1805 *Leonore*; see Peter Clive, *Beethoven and His World: A Biographical Dictionary* (New York: Oxford UP, 2001), pp. 335–36. Kanne, of course, was also close to the Beethoven circle. His relationship with Beethoven, considered separately from his well-known reviews, is summarized in Clive, *Beethoven and His World*, pp. 181–82; Owen Jander, "Beethoven's 'Orpheus in Hades': the *Andante con moto* of the Fourth Piano Concerto," *19CM* 8 (1985), 195–212; and Hermann Ulrich, "Beethovens Freund Friedrich August Kanne," *Österreichische Musik Zeitung* 29 (1974), 75–80. Hummel and Beethoven were periodically friendly. Hummel led the percussion at the first performance of *Wellingtons Sieg* (see Thayer-Forbes, p. 567). It seems that Beethoven considered Court Capellmeister (and godson of Haydn) Joseph Weigl an esteemed acquaintance, though the two men were not friends. Neither was Beethoven friendly with Gyrowetz—conductor and composer at the court theater—although in this case Beethoven openly disdained Gyrowetz's music, as some acerbic commentary in his correspondence shows (see his letter to Treitschke of 27 February 1814. Anderson I, no. 467; *Briefwechsel* III, no. 699). Seyfried, Weigl, Gyrowetz, and Hummel were all pallbearers at Beethoven's funeral.

behind any voices at all. On the other hand, in the case of a work like the Ninth, one might almost say that a reductive critical approach—indeed, the activity of reducing itself—embodies an aesthetic tension that is constitutive of the composer's voice: the critical recognition and rejection of Others trace the dynamic of difference that many heroic works appear to dramatize. To the extent that criticism must labor to explain away Other voices, it reenacts the struggle through which Beethoven's voice becomes audible.

Beethoven's Many Voices

Just as the expurgating rhetoric of the Ninth appears to encourage critics and analysts who would reenact and exaggerate it, so one could argue that Beethoven himself was in some ways complicit with the construction of his voice as a kind of resistance. His correspondence is riddled with rhetorical assertions of independence that seem to sanction the later constructions of the Beethoven myth: "I refuse to allow another, whoever he may be, to alter my compositions," he warned Treitschke in 1814.¹¹³ One could even argue that, just as Beethoven's control over each of his completed works manifests itself as the rejection of compromise, so Beethoven attempted to exert an analogous control over his Complete Works, denying opus numbers to particular artistic endeavors, as if to exclude them from his own musical mainstream. Many of the pieces in which Beethoven's own voice seems to be threatened by collaboration have no opus numbers—the *Schlußchöre* for Treitschke's Congress dramas, for example, even though they were published in separate performing transcriptions. Even the monumental *Der glorreiche Augenblick* became op. 136 only posthumously.

There are notable exceptions, however. It has long been a cause of consternation that Beethoven granted *Wellingtons Sieg* an opus number of its own; after all, critics have habitually insinuated that Beethoven considered *Wellingtons Sieg*, along with all his other Congress collaborations, a worthless piece of ephemera—an idea that originated with Schindler and Moscheles and found its way into the scholarship of the twentieth century via Thayer. Cook has since shown that Beethoven's view of these pieces is by no means so easily established; Beethoven's correspondence—as well as other documents, including his intended public notice of thanks to the performers after the premiere of *Wellingtons Sieg*—certainly do not reveal a composer disdaining his own creations.¹¹⁴ Given the absence of any substantial evidence that

113. Letter of April 1814. Anderson I, no. 478; *Briefwechsel* III, no. 708a.

114. Cook summarizes the history of critical apologetics in "The Other Beethoven," pp. 4–11. For

Beethoven thought badly of *Wellingtons Sieg*, critics are given to ruminating on Beethoven's mental condition, as if to suggest that he was momentarily incapable of making a reasoned judgment of the piece; Lockwood, like many others, blames an unhealthy "yearning for public recognition."¹¹⁵

Other writers have suggested that Beethoven was unable to concur with the political message of his Congress collaborations, and that consequently his music could not be truly authentic; a widespread belief in Beethoven's Enlightenment radicalism and even republicanism is responsible here, prompting a majority of critics to regard the patriotic Congress compositions—as well as earlier pieces such as the anti-French war songs on poems by Joseph Friedelberg from the 1790s—as unwelcome or perhaps merely judicious ideological compromises.¹¹⁶ Certainly, there is an implicit contradiction between Beethoven's desire to name a symphony after Napoleon in 1804 and his musical celebrations of the French leader's defeat only a decade or so later—a contradiction that has prompted Stephen Rumph to argue that Beethoven was formulating a new musical-ideological program from around the French occupation of 1809.¹¹⁷ But the facts lend themselves to multiple interpretations: Beethoven's Viennese contemporaries were accustomed to rapid changes of allegiance during the first decade of the nineteenth century. Hummel, for example, who composed an enormous quantity of music in celebration of Bonaparte's defeat, had produced a grand cantata on 1 April 1810 for the wedding of Napoleon and Marie Louise. During the Napoleonic era, Vienna witnessed peace treaties, renewed fighting, and the hardship of occupation, all in the context of a public sphere closely policed by the state: music reflected this complex and ever-changing political culture.¹¹⁸

For all that, most of Beethoven's biographers search for a single political philosophy to match the composer's single voice. When they fail to find one, they tend

the public notice of thanks, intended for the *Wiener Zeitung* after the premiere of *Wellingtons Sieg*, see Thayer-Forbes, p. 567.

115. Lockwood, *Beethoven*, p. 339.

116. The most influential portrait of Beethoven as an Enlightenment radical can be found in Solomon's *Beethoven*, esp. chaps. 4 and 13. Martin Geck and Peter Schleuning have proposed that Beethoven was a kind of crypto-Jacobin in their "*Geschrieben auf Bonaparte*": *Beethovens "Eroica"*—*Revolution, Reaktion, Rezeption* (Reinbek bei Hamburg: Rowohlt, 1989).

117. Stephen Rumph, *Beethoven After Napoleon*, esp. chap. 4.

118. Thomas Sipe gives an account of the complex and evolving relationship of the Habsburg regime and Bonaparte in the first decade of the nineteenth century in his *Beethoven: "Eroica" Symphony* (Cambridge: Cambridge UP, 1998), chap. 3.

to project the ambiguous reality of Viennese political culture onto Beethoven's mental state: "The weaker works of this time—*Wellingtons Sieg* and the Congress cantata—were products of Beethoven's own ambivalence," writes Lockwood.¹¹⁹ Dahlhaus describes two Beethovens, a politically idealistic one and a pragmatic one, equivalent to the heroic works and the Congress collaborations respectively.¹²⁰ He even portrays Beethoven as a consciously dialectical thinker, whose political inconsistencies were grounded in the interplay of the idea and its realization: "Beethoven was of one mind with Hegel: the realized idea, though enmeshed in the dialectics of its realization, is more substantial than the 'pure' idea that remains untouched by reality. And for that reason, like Hegel, he was able to be both for and against Napoleon."¹²¹ Such contortions are surely a way of coping with an awkward fact: Beethoven's voice is unavoidably plural. Indeed, one is tempted to reverse Solomon's aphorism: Beethoven's *œuvre* is many *œuvres*, which we edit out of a penchant for unity. This is not to say that among Beethoven's voices, musical and political, one cannot decide which is the dominant one—or, indeed, which one Beethoven would have wanted his public or posterity to hear. One can point to moments in Beethoven's correspondence in which he rejects the constraints of collaboration with all the associated rhetoric of the Great Composer, and one might reasonably surmise that these passages represent his core aesthetic values—and perhaps also the public image that he wished to create. Nevertheless, if critics want their Beethoven to speak with a single voice, they must choose which one is representative—an activity that necessarily involves expurgating the Others.

Further, even if Beethoven himself assisted in the creation of this myth, we do not have to believe him. We can choose instead to hear the Other Beethoven, even within the canonical heroic works themselves, whose rejection is constitutive of the heroic master trope. Indeed, this presents no special challenge: as we have seen in the finale of the Ninth, Beethoven's heroic presence is often the gesture of rejection itself; one need only dwell, therefore, on the multiple, unsynthesized voices that critics often reject, such as the jangling B \flat Turkish music. To be sure, I would not advocate this kind of listening "against the grain" as an end in itself. Neither would I claim that it revives an older, rhetorical kind of musical engagement, as Cook suggests. Rather, attending to the many registers in the finale of the Ninth reveals to us how the voice of the composer is, to use Judith Butler's expression,

119. Lockwood, *Beethoven*, p.347.

120. Dahlhaus, *Beethoven*, p.20.

121. *Ibid.*, p.26.

“borrowed from elsewhere”—how the Beethovenian subject is constructed only within the language that he uses.¹²²

Despite the rhetoric of resistance that characterizes both his music and his professed aesthetic views, Beethoven is in one sense an unwitting collaborator; an active expunger of Other voices, he is also a passive recipient of them. Although such a revelation could be couched in deconstructive terms—as the “decentering of the musical subject,” perhaps—it is nonetheless grounded in some of the more prosaic facts of music history. Composers have always adapted their voices to the circumstances in which they speak, and the diversity of their musical registers can appear problematic in consequence. Moreover, the disempowerment of the author is surely the very premise of traditional histories of musical style: musical language exists before the composer, who is always to some extent powerless in the face of his or her inheritance. Just as composers use musical language, so musical language uses them.

By listening to the Other voices in the finale of the Ninth, and accepting them all as Beethovenian voices, one can reach an accommodation with disjunctions that seem aberrant against the background of the heroic master trope and trace new connections in Beethoven's life and works. For instance, rather than view the Turkish music as the eruption of an Oriental Other, sharing only in the untamable Otherness of a number of ignored compositions, one might regard it instead as yet another strain of the Orientalism that fascinated Beethoven throughout his life—the Herderian takes on Indian philosophy that fill much of the *Tagebuch* and the Egyptian mysticism that prompted him to copy out the ancient inscriptions from Schiller's “Die Sendung Moses” (The Mission of Moses).¹²³ The noted Austrian orientalist Joseph Hammer, having heard that Beethoven intended to compose a chorus on an Indian text, contacted the composer with the offer of an Indian pastoral drama and what he described as a Persian *Singspiel*.¹²⁴ One can perhaps hear something of the mystical tone of this kind of Orientalism, so important in

122. Judith Butler, *The Psychic Life of Power: Theories in Subjection* (Stanford: Stanford UP, 1997), p.198.

123. For Beethoven's Herderian Orientalism, see Solomon, “Beethoven's *Tagebuch*,” in *Beethoven Essays*, para. 61, with Solomon's notes. For the context of such thought in German Romanticism, see A. Leslie Willson, *A Mythical Image: The Ideal of India in German Romanticism* (Durham, N.C.: Duke UP, 1964). The Egyptian inscriptions that Beethoven copied from Schiller's “Die Sendung Moses” (The Mission of Moses) and a facsimile of them in Beethoven's hand can be found in Solomon, *Beethoven*, pp.204–06.

124. Albrecht II, no.199; *Briefwechsel* IV, no.1290. The year of the letter (dated merely “Ash Wednesday”) is disputed, but it seems most likely to be from 1815. Details on Joseph Hammer, who later

the development of German Romantic thought, transmuted into the numinous deism of the Andante maestoso of the finale of the Ninth, shortly after the warlike Turkish music.

Of course, one consequence of this kind of critical approach is that the synthesizing aspirations of the Ninth fail. No longer held together by the force of Beethovenian authorial resistance, the many voices of the finale of the Ninth separate. In consequence, the liberal vision of synthesis that the end of the Ninth celebrates appears ideological; rather than produced within the work itself, the sound of synthesis—as the continued jangling of the Turkish instruments in the last Prestissimo of the Ninth lets slip, perhaps—is yet another voice “borrowed from elsewhere,” imposing itself on the others. And to this extent, as Solomon also observes, it sounds distinctly like the voice of orthodoxy audible in Beethoven’s collaborative compositions: “Doubtless this is an ‘ideological’ solution—one that brooks no opposition and admits no nuances of opinion. In this sense, the finale of the Ninth belongs in the line of compositions that extends from the ‘Joseph’ Cantata of 1790 to *Der glorreiche Augenblick* of 1814.”¹²⁵ Thus, what Solomon calls the “crowning work of the heroic style” is also the crowning work of its opposite.

Yet, to the extent that the symphony fails to live up to its own ideals, it can perhaps sidestep what Terry Eagleton has called “the contradiction of all utopianism”: artistic images of harmony tend to be so compelling that they risk reversing the very radicalism that they seek to promote.¹²⁶ By contrast, the utopian vision of the Ninth is undermined by a more realistic pluralism, which is uneasy, fragmentary, and hierarchical. We must recognize this utopian vision if we are to understand the piece, of course. But we do not have to believe it.

One might say the same of the “strong” conception of the musical work—the conceptual precondition for the hermetic vision of synthesis that the Ninth strives vainly to create. While one can recognize the gestures of resistance by which works separate themselves from their historical and musical surroundings, one can also understand how works themselves are constructed by these very surroundings. The work-concept, much like the heroic style that instantiated it, is crucial to any understanding of much of Beethoven’s music, of course; yet the musical work, also like the heroic style, can never be truly present to the critic, because it is not a

inherited the title Joseph von Hammer-Purgstall, can be found in Solomon’s article “A Beethoven Acquaintance: Josef von Hammer-Purgstall,” *Musical Times* (1983), 13–15.

125. Solomon, *Beethoven*, p.408.

126. Terry Eagleton, *The Ideology of the Aesthetic* (Oxford: Blackwell, 1990), p.371.

coherent set of stylistic markers or aesthetic ideals as much as a discursive tension within the music and its reception.

James Webster has charted the tensions that arise within the finale of the Ninth as a consequence of what he calls multivalence.¹²⁷ I would suggest by extension that one could invoke the concept of multivalence in order to describe the voice of the composer across his *œuvre*—the polyphony of registers and genres. But multivalent criticism or analysis should not become a means of reinscribing the ideal of the completed work or the Complete Works simply with the commonplace revelation that they are internally diverse. We should remember, perhaps, that the many intersecting levels of the Ninth extend “outwards,” beyond the individual work and into musical culture more generally. The sound of the Turkish instruments in the last measure is the sound of historical context permeating the symphony. Rather than colonize the more distant corners of the work with analysis, therefore, a multivalent approach shows that a supplement is always possible: however we choose to sum up this music, there will always be something residual, something Other—an outcast who steals weeping from the circle.

127. See Webster, “The Form of the Finale of Beethoven’s Ninth,” esp. pp.25–28 for multivalence.

REVIEWS

Alluding to Allusions

Karen Painter

Christopher Alan Reynolds. *Motives for Allusion: Context and Content in Nineteenth-Century Music*. Cambridge, Mass.: Harvard University Press, 2003. xii, 230pp.

M*otives for Allusion: Context and Content in Nineteenth-Century Music* is much more than a magisterial compendium on borrowing. Christopher Reynolds delineates a methodology for the study of influence, so urgently needed. Unlike the reminiscence hunter of yore, he seeks to ennoble the pursuit with a theory and principles of interpretive practice, lucidly set out in the introductory chapter on definitions. Reynolds then proceeds with a typology of borrowing: transformations (chapter 2); assimilative allusions, which preserve the meaning of the source (chapter 3); contrastive allusions, which do not (chapter 4); texting, when vocal music alludes to instrumental music (chapter 5); and “naming,” or motives whose pitches refer to an individual (chapter 7). The remaining chapters are chiefly historical: “inspiration” in the creative process (chapter 6), the traditions for certain allusions and audiences (chapter 8), and, in a double entendre that veils the author’s optimism in old-fashioned history, “Motives for Allusions” (chapter 9). In practice there is more flexibility than the terminology suggests. Still, whether this immensely subjective mode of perception and practice so grounded in historical style and performance practice can be systematized remains uncertain.

Across the multitude of examples that make up the volume, there is no instance of purely musical or structural influence. An allusion, as Reynolds defines

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it, is “an intentional reference to another work made by means of a resemblance that affects the meaning conveyed to those who recognize it” (p.6). Eager to pin down the meaning of allusions, Reynolds is chiefly concerned with vocal music—including genres such as mass and strophic song, which have no strong tradition for localized expressive meaning down to the individual motive and measure. Yet some composers, at least some of the time, must have borrowed on solely aesthetic grounds, finding a motive beautiful or moving, not because they wished to invoke the source or unleash its expressive force. If such circumstances fall beyond Reynolds’s scope, still, the aesthetic merits of a motive or passage could factor into a composer’s decision to allude to it, even if a process of signification is also at work.

Reynolds makes the sensible historical argument that at a time when motives and themes became carriers of meaning (reminiscence motives, leitmotifs, and so on), an allusion to a source *outside* a composition could function similarly—conveying biographical, expressive, and even programmatic meaning. His goal is to understand “how allusions functioned semantically, for grasping what composers meant by incorporating the musical ‘speech’ of another work” (p.2). But can nineteenth-century music, or at least Reynolds’s sweeping array of examples, be consistently analogized as “speech”? Underlying the book is the hope, nay the insistence, that music has a determinable meaning. The title intimates as much, with its claims to “Content in Nineteenth-Century Music,” and yet the nature and problems of musical hermeneutics are never addressed. Why would allusions be any less subjective or ineffable than other aspects of compositional praxis? Many commentators, above all in the nineteenth century, have insisted that music, or art for that matter, usually does not have a specific meaning. (For the record, Reynolds holds the meaning of motives to be “symbolic” rather than “allegorical”—invoking Goethe’s sense of “indirect,” rather than “direct.” But the application of these concepts is not entirely clear, since Reynolds carefully delineates the reason behind every allusion and therefore its meaning.)

Very often the meaning Reynolds discerns is extramusical. Most startling is his proposition that Schumann’s “Schlusslied des Narren” alludes to Schubert’s *Erlkönig*, thereby capturing the predicament of the young couple who sued to marry without the permission of Clara’s father (Robert, the argument goes, assumed the role of the father and protector, while Clara’s father that of the demonic Erlking). Prior to Reynolds, the curious choice of text—Feste’s conclusion to Shakespeare’s *Twelfth Night*—so bawdy and humorous in the original English, if less so in the Tieck and August Schlegel translation, found various interpretations, from Schumann’s taste for the ironic (marking his debut as a song composer with

a fool's song) to his exultation that the trial turned to his favor. More plausible, at least psychologically, is that his response was more conflicted, and hence the decision to brighten the Erlking's world in what amounted to a private communication to Clara (who, as Reynolds points out, had written Robert twice, three months earlier, about programming *Erlkönig* in two concerts). He also notes that Schumann changed the mode, dispelling Schubert's bleak G minor. Yet correcting the typos in the musical example (C, not C#), one hears modal ambiguity, contributing to the great tenderness Clara heard in the song. In the abbreviated form Schumann set, the text makes no more sense than Shakespeare's enigmatic original. Yet the two-part refrain ("With hey, ho, the wind and the rain / . . . For the rain it raineth every day") resonates with Erlking, as do Shakespeare's psychologically suggestive references to youth and adulthood. However intriguing the idea of an allusion to Erlking, the fact remains that Robert and Clara's correspondence on the particular song, despite considerable detail, offers no support for Reynolds's provocative interpretation.¹

One problem besetting studies of influence is that the fleeting moment, or motive, is bestowed with significance, irrespective of the rest of the composition. A motivic allusion, Reynolds protests, both expresses "a particular meaning" and serves as "an element in the construction of a musical order" (p.7). Yet whether by design or necessity, given the multitude of examples across the book, he rarely addresses the larger passage, section, or movement in which an allusion occurs. One is reminded of the composer and teacher Reynolds quotes, Leopold A. Zellner, who regretted the fashionable accusations of plagiarism because a new composition was therefore judged according to isolated ideas, the critic hearing "only as a mass of details," rather than an entire work.²

Reynolds's choice of allusions, understandably, is not systematic, nor is there any sense of how far the practice spread in the nineteenth century. Apart from Fanny Hensel, whose reliance on borrowed material does not enhance her artistic stature (even if Reynolds would be loathe to admit it), the book circles around

1. In fact, Reynolds's grave interpretation of the humorous song is arguably undermined by the correspondence, at least on its face. Robert reacts in a charming, joking way to Clara's queries about what he's writing by sending that quote from *Twelfth Night*, where the Fool cleverly refuses to show Fabio/Fabian the letter (just as Robert refuses to reveal his work to Clara). Letter of 14 February 1840 to Clara, and her letter of 19 February 1840, in Clara and Robert Schumann, *Briefwechsel: Kritische Gesamtausgabe, 1840–1851*, vol. III, ed. Eva Weissweiler (Basel: Stroemfeld/Roter Stern, 1984), pp.927, 937, 939, 940.

2. Leopold A. Zellner, "Ueber Plagiate," *Blätter für Musik, Theater und Kunst* 1, no.86 (27 Nov. 1855); cited by Reynolds on p.3.

canonic figures. Schumann and Brahms prevail, with briefer treatment of allusions in Haydn, Mozart, Beethoven, and so on (oddly, Bruckner is absent). Although the book's parameters are historical rather than national, Reynolds rarely crosses German borders. These are isolated examples from Niels Gade, Berlioz, Chopin, and Saint-Saëns, and other passing references, defy musicology's German predilection in surprising and delightful ways. Still, his choice of repertoire leaves open the issue of whether allusions were primarily a German phenomenon, perhaps related to the cultural ambitions of music in the nineteenth century as well as an emerging historicism and self-conscious construction of a canon inextricably connected to Austro-German society.

Rather than proceeding by composer, the book builds a foundation for reviving the disputed notion of influence. Reynolds warns that throughout he will "attribute authorial intentionality," and not merely because "might haves" become tedious (p.6). The very word "allusion" implies a purposeful borrowing. Reynolds's *modus operandi* is to focus on interpreting an allusion, without fussing over the likelihood that it is indeed an allusion.³ Yet might some borrowing possibly have been accidental, as composers professed? Analysis of music by living composers has shown that motivic transformation and other structural features may not be conscious. Admittedly, the license granted to an analyst does not typically bring such concerns about intentionality. But by presuming intention in every case, Reynolds may lose some refinement in his findings. And, more importantly, claims of influence inevitably result in projecting various stages of decision-making into the compositional process.

Reynolds finds solid evidence from both composers and critics that quotations were part of the musical landscape in the nineteenth century even, if the practice of identifying reminiscences remained questionable. Realizing that a passage in his F-Major String Quartet resembled a phrase in Brahms's Second Symphony, Otto Dessoff wrote the composer, who insisted that the Quartet be published without any changes, conceding that "I too, of course, have stolen in such circumstances, and much worse." But Brahms begins the letter (in a passage not quoted by Reynolds), "I beg you, no stupidities. One of the most stupid stories of stupid people is about reminiscences."⁴ When Clara Schumann found herself in similar straits,

3. In a few cases Reynolds intimates that the influence is stronger or weaker. Berlioz will "mask the debt" to Beethoven's op. 131 by opting for a fast tempo (p.91). Or, when the relationship is strong, Brahms begins "Über die See" with "a clear motivic and textual allusion" to Schumann's "Hoch, hoch sind die Berge" (p.95).

4. *Johannes Brahms im Briefwechsel mit Philipp Spitta; Johannes Brahms im Briefwechsel mit Otto Dessoff*, ed. Carl Krebs, vol. 16 (Berlin: Verlag der Deutschen Brahms-Gesellschaft, 1920–22), pp. 191–92. Their

having borrowed from Brahms, the senior statesman responded in even greater humility, confessing that many of his “best melodies” ought to be labeled “‘really by Clara Schumann.’”⁵ Yet these letters, along with a panoply of historical sources Reynolds provides, provide no evidence for an allusion per se, in the sense of a deliberate reference to another work. It is still harder to find references within aesthetics. Novalis, as Reynolds cites, insisted that “ideas interest us either for their content . . . or their origins, their history, their circumstances.” But the context of the comment reveals that Novalis is discussing the virtues of elaboration over pure invention, without any hint that the source might be another artwork.⁶

That composers did not refer to their motivic allusions in articles or other writings, according to Reynolds, testifies to a wish to avoid the “large public audience” while communicating through their scores to a narrow group of cognoscenti. Yet numerous journals, particularly those rich in musical examples, were aimed at a sophisticated readership. (What journals published writings by established, living composers aimed at a readership with limited musical training?) Reynolds even speculates that the subject was avoided in letters and diaries because “any successful composer living after Mozart and Beethoven could assume” that these writings would eventually be published—and therefore, the argument goes, be accessible to a wider public (p. 143). Working perhaps too hard to explain away a dearth of source-based evidence, Reynolds contends that it is “unreasonable to expect other, more secretive composers to divulge their borrowings publicly” if even Wagner, notwithstanding his extensive writings on his working methods, only informed Liszt decades later about a borrowing in *Die Walküre* (p. 142).⁷ But given the multiple stages of work on the *Ring*, perhaps it is unsurprising that he mentioned the

correspondence on the reminiscence began with Dessoff’s letter of 5 June 1878 (p. 175). Reynolds (p. 116) does not provide the citation for this correspondence, and his cited secondary sources refer to a different anecdote regarding Dessoff.

5. *Letters of Clara Schumann and Johannes Brahms, 1853–1896*, ed. Berthold Litzmann (New York: Longmans, Green, 1927; rpt. New York: Vienna House, 1973), II, 200; cited in Reynolds, p. 97.

6. Novalis, *Gesammelte Werke*, ed. Hildburg and Werner Kohlschmidt (Gütersloh: S. Mohn, 1967), p. 427. The full quotation appears in Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, Mass.: Harvard UP, 1991), p. 168.

7. Wagner’s secretary was Carl Friedrich Glasenapp, whose publications on the master reflect his enthusiasm, even to the detriment of their accuracy. Reynolds cites the 1900 translation by W. Ashton Ellis, which itself altered some of the original. Another source Reynolds gives for this incident, in n. 6, refers instead to a theme from *Parsifal* that Wagner attributed to Liszt, according to August Göllerich’s diary entry of 6 July 1884. See Wilhelm Jerger, *Franz Liszt’s Klavierunterricht von 1884–1886 (dargestellt an den Tagebuchaufzeichnungen von August Göllerich)* (Regensburg: Bosse, 1975), p. 57.

allusion only when both men were confronted by it as they sat together through a rehearsal for the 1876 premiere. Moreover, are Wagner's practices, willful individualist and influential as he was, any indication of what his contemporaries were, or were not, like? For that matter, can generalizations hold for all the composers in Reynolds's charge, from Haydn to Richard Strauss?

Interested in how music is made more than how it is heard, as the book's penultimate sentence affirms, Reynolds also pursues the subjects of inspiration and creative process. The discussion ranges far, from philosophy to compositional aesthetics and literary theory, including a fascinating excursus on Wagner's dislike of irony. While the central business of one composer alluding to another is pursued vigorously and in consummate detail, other subjects, perhaps inevitably, are mere context. Context, again in reference to the book's title, is integral to Reynolds's method. Still, at times the overview is too cursory, or the forays into aesthetics too haphazard, particularly with a subject as elusive as creative process. Reynolds proposes dreams as one locus for creativity, citing Schubert and Wagner. His source is Schubert's friend Johann Michael Vogl ("Schubert was in a somnambulistic state whenever he wrote music. This explains how, in this visionary condition, the scarcely educated boy could see into the secrets of life, have the emotions, the knowledge.") But the apocryphal account, in fact, comes from Vogl's widow Kunigunde, writing to her daughter some ten years after his death (and some twenty after Schubert's).⁸ Reynolds also recounts Wagner conceiving of the *Ring's* opening while dreaming, yet, as John Deathridge has compellingly shown, the composer's account is flawed.⁹ All these sources do, however, point to a mythology of creative process, and here Reynolds usefully cites E. T. A. Hoffmann's fictional composer Ludwig, who describes a "dreamlike state halfway between sleeping and waking," in a story that, moreover, influenced Wagner enormously.¹⁰ Did the role of dreaming in creativity in fact grow

8. Kunigunde Vogl, in a letter to her daughter Henriette (from Vienna, ca. 1850), trans. in Otto Erich Deutsch, *Schubert: Memoirs by His Friends*, trans. Rosamond Ley and John Nowell (London: A & C Black, 1958), pp. 216–18.

9. John Deathridge "Cataloging Wagner," *The Richard Wagner Centenary in Australia*, ed. Peter Dennison (Adelaide: University of Adelaide, 1985), 195–97; quote from Warren Darcy, "Creatio ex nihilo: The Genesis, Structure, and Meaning of the *Rheingold* Prelude," *19CM* 13 (1989), 79–100.

10. "Der Dichter und der Komponist" (1813), from *Serapionsbrüder* (Serapion brethren) cycle, in *E. T. A. Hoffmann's Musical Writings: Kreisleriana, The Poet and the Composer, Music Criticism*, ed. David Charlton, trans. Martyn Clarke (1989; Cambridge: Cambridge UP, 2003), pp. 192–93; cited in Reynolds, p. 105. Wagner, writes Dieter Borchmeyer, took up the suggestion to set Carlo Gozzi in adapting *La donna serpente*. See Dieter Borchmeyer, *Drama and the World of Richard Wagner*, trans. Daphne Ellis (Princeton: Princeton UP, 2003), p. 7.

in Wagner's wake, as Reynolds suggests? His example is the American Edgar Stillman Kelley, who studied in Stuttgart during the 1870s, but the source is a history text from 1914. (The same book cites a scientific study, dating from the later nineteenth century, that dismisses the possibility of a "valuable inspiration in sleep.")¹¹ A better example, if Hans Richter is to be believed, is Bruckner, who, according to Ernst Kurth, "conceived of many of his ideas (*Eingebungen*) while asleep; he very often got up in the middle of the night in order to write down or even work out ideas." In one dream, as Bruckner reputedly told Richter, a violist played the first theme of the Seventh Symphony; in another, Spohr sang a theme.¹²

Reynolds bases his theory of creative process on "one of the few recorded accounts of Brahms discussing his views of artistic inspiration and creation" (p.100), a text that he at times attributes to "Henschel-Brahms," other times directly to Brahms. The source is, rather, George Henschel's recollections, published ten years after Brahms's death. Although Henschel recounted the conversation in his diary shortly after it took place, in 1876, might the ardent Brahms advocate have altered his recollections or wording, when publishing the entry thirty-one years later?¹³ Or, more likely, perhaps Brahms's creative process changed over the ensuing thirty years following his utterances at age forty-three to Henschel. Another of Reynolds's sources is Louis Schlösser's "famous account of Beethoven's creative powers" (p.109), based on their encounter in 1822. But the description, published almost sixty years later, is pure fiction, as Maynard Solomon assuredly demonstrated some twenty-five years ago.¹⁴ As intellectual history, which is Reynolds's least

11. Reynolds, pp.108 and 206, n.20, citing Rupert Hughes, *Contemporary American Composers: Being a Study of the Music of This Country, Its Present Conditions, and Its Future, with Critical Estimates and Biographies of the Principal Living Composers; and an Abundance of Portraits, Facsimile Musical Autographs, and Compositions* (Boston: L. C. Page, 1900), pp.61–62. The study that Hughes quotes is William Alexander Hammond, *Sleep and Its Derangements* (Philadelphia: Lippincott, 1869), which appeared in at least four editions through 1883.

12. This discussion was, however, relegated to a footnote. Ernst Kurth, *Bruckner* (Berlin: M. Hesse, 1925; rpt., Hildesheim: Olms, 1971), p.189n.

13. George Henschel, *Personal Recollections of Johannes Brahms, Some of His Letters to and Pages from a Journal Kept by George Henschel* (Boston: R. G. Badger, 1907), pp.22–23, journal entry from Wiesbaden, 27 February 1876.

14. Schlösser crafted the account of Beethoven at work from Friedrich Rochlitz's report of Mozart's creative process, which was itself invented. Maynard Solomon, "On Beethoven's Creative Process: A Two-Part Invention," *ML* 56, nos.3–4 (1980), 272–83, a comparison of Louis Schlösser, "Erinnerungen an Ludwig van Beethoven," *Allgemeine deutsche Musik-Zeitung* 7, no.51 (24 Dec. 1880), 401–05; no.52 (24 Dec. 1880), 413–17, with "Schreiben Mozarts an den baron von . . ." *AmZ* 17, no.34 (23 Aug. 1815), 561–66, presumably authored by Rochlitz.

important task, the book becomes a bit heavy-handed at this point, presuming a uniformity in aesthetic thought: the theories of the philosopher Karl Robert Eduard von Hartmann (1868) “provide a contemporaneous basis for elaborating Henschel’s skeletal report” (p. 112).

After Mozart and Haydn, according to Reynolds, composers tended to disavow musical borrowing. An incident involving Beethoven demonstrates that their denials could be “patently false.” Yet can we be certain about the reported incidence and Beethoven’s mendacity? The source is Wenzel Johann Tomaschek’s autobiography, which appeared a half-century later. To stress the composer’s interest in the “singular and original,” Tomaschek recounted a conversation from 1798—several years before he would meet Beethoven. An unnamed woman asked whether Beethoven “often attended Mozart’s operas,” whereupon the composer replied, “I do not know them and do not care to hear the music of others lest I forfeit some of my originality.”¹⁵ Even presuming the source’s veracity, would it necessarily be false, as Reynolds suggests, for Beethoven to protest his ignorance? Six or more years had elapsed since he played the viola part in *Don Giovanni*, *Le Nozze di Figaro*, and *Die Entführung* at the Bonn Court Theater. Nor do Beethoven’s variation sets on themes from Mozart operas, which Reynolds cites, demonstrate any command over the repertoire: the three themes, from Mozart’s best-known operas (*Don Giovanni*, *Le Nozze di Figaro*, and *Zauberflöte*) were common fare.¹⁶ (One might add that in the year of the reputed conversation, 1798, Tomaschek attended a performance in Prague that included Beethoven improvising on “Ah perdona” from *La clemenza di Tito*.) Reynolds’s larger point, however, is both true and important: the mid-nineteenth century witnessed an anxiety about originality at a time when musical aesthetics and theory emphasized thematic invention as the locus of originality and worth.¹⁷

15. Wenzel Johann Tomaschek, “Selbstbiographie,” *Libussa* 4 (1845), 374; trans. from Thayer-Forbes, p. 208.

16. The variation sets Reynolds mentions are “Se vuol ballare” (from *Le Nozze di Figaro*) for violin and piano, first performed in 1792–93, “La ci darem la mano” (from *Don Giovanni*) first performed in 1797, possibly in 1795, and “Ein Mädchen oder Weibchen” (from *Zauberflöte*) for cello and piano, with a possible first performance in 1796 and publication date in 1798. After the reputed conversation, Beethoven also composed variations for piano and cello on “Bei Männern, welche Liebe fühlen” from *Die Zauberflöte* (1801). Thanks to Stephen Rumph for calling my attention to this variations set.

17. An early and vivid illustration of this view is Friedrich Rochlitz’s “Mozarts guter Rath an Componisten,” *AmZ* 22 (3 May 1820), 297–307; rev. as “Ein guter Rath Mozarts,” in Friedrich Rochlitz, *Für Freunde der Tonkunst* (1824–32; Leipzig: Carl Cnobloch, 1830–45), II, 281–304.

As with any study of influence in the nineteenth century, the towering figure is Beethoven. Reynolds, however, also demonstrates influence *on* Beethoven. On musical grounds, it is plausible that the opening theme in the slow movement of the “Archduke” Piano Trio quotes what is known as the “love for the family” theme from Johann Friedrich Reichardt’s *Ino*. Reynolds helpfully observes that Beethoven sought to express affection toward children in the very same genre six years later (the unfinished trio in F minor for piano, violin, and cello), writing to Countess Anna Marie Erdödy: “I embrace your children and am expressing this in a trio.”¹⁸ (But is it relevant, as Reynolds further points out, that the letter dates from the same year the “Archduke” was published?) Exemplary of Reynolds’s keen ear and unflagging research are the numerous and striking similarities he finds between Gluck’s overture to *Armide* and the finale of Beethoven’s Seventh Symphony. (Less so the four-measure extract from the middle of the second movement, which shares only the pitches of a melodic phrase from the middle of the second scene of act I—to my ears, proof that rhythmic and metrical differences can erase a connection between two passages.) Crucial, in building the case, is that Beethoven owned a piano-vocal score of the opera. But tangential, if not altogether baffling, is Reynolds’s further suggestion that Wagner evoked the language of Renaud’s “sea journey” in *Armide* in a description of Beethoven rejecting the dance model of the Seventh Symphony and forging a new path in the Ninth Symphony. Whatever this reveals about Wagner, given his impetuous interpretations of music other than his own, we can hardly thereby comment on Beethoven.¹⁹

Fidelio was perhaps the most common source of inspiration in the mid-nineteenth century. Among its breathtaking moments is the prisoners’ “Wir wollen mit Vertrauen auf Gottes Hülfe bauen” in the finale (mm. 74–81). That Schubert evoked the pious chorus in his G-Major Mass is unsurprising. But was his purpose, “given the popularity of anti-tyrannical ideals and the presence of the Congress of Vienna,” to conjure up “the political context of *Fidelio*” (p. 17)? The opening of the Credo, with its solemn proclamation “I believe in one God,” is an unlikely moment for a political declaration. Still, if Schubert had such an agenda, given the work’s composition within the first week of March 1815, the catalyst may have

18. Letter of 13 May 1816, in Anderson, no. 633.

19. There is, moreover, no “sea journey” in *Armide*. The “endless sea” is, however, a metaphor for the “lonely plain” in which act II is set and Renaud’s inability to attain glory now that he has cast himself from Damascus (“he cast himself once more upon that endless sea, from which he had erstwhile found a refuge on this shore”). In act II, sc. 1, the “stoutly-built and giant-bolted ship” is a metaphor for Renaud’s determination to attain glory.

been Napoleon's escape from Elba at the end of February, landing on French shores on the first of March, as all resistance from the Bourbon authorities to his march back to Paris yielded to popular enthusiasm. The quotation from *Fidelio* possibly represented the composer's patriotic contribution to the renewed allied effort needed to resist a Bonapartist reconquest.²⁰

Reynolds also proposes Schumann's "Frühlings Ankunft" as a response to Florestan's "In des Lebens Frühlingstagen" opening act II, noting that Hoffman von Fallersleben's poem reverses several images from the aria's text. The implications for Schumann's creative process are unclear. Did he select the poem on the basis of its connection to *Fidelio*, or, once having selected the text, was he therefore drawn to *Fidelio*? Nor is it clear how Fallersleben's political activities (which included, one might add, penning "Das Deutschlandlied," later to become the German national anthem) are relevant to Schumann's choice of this nature poem at a time of civil unrest in Dresden, since the poem itself, at least to this reviewer, is adamantly apolitical.²¹

"Im wunderschönen Monat Mai" also quoted *Fidelio*, at least initially. The opening vocal melody of Florestan's aria "Euch werde Lohn in bessern Welten" was shortened to set the two closing lines of each strophe. Yet, as Reynolds explains, the likeness disappears in the final version. To my ears, the pitch repetition that later occurred to Schumann conveys the protagonist's tender and tentative love far better than the sing-song melody in the sketch. Musical grounds alone can justify the change. But Reynolds supposes that "Schumann the critic evidently overrode Schumann the composer: his decision to change his opening motive—effectively destroying any allusion to Florestan—may acknowledge that the contrast between Florestan and the bitter poet of *Dichterliebe* was too great for an allusion to bridge" (p. 70). The same phrase, borrowed from Beethoven, returns in an untitled miniature in Schumann's *Album für die Jugend*. One wonders whether the piece was left unnamed because the quotation did not suit the childlike nature of other character pieces. Another influence on "Im wunderschönen Monat Mai" may have been the first movement of Mendelssohn's *Die erste Walpurgisnacht* (a pagan ritual also in May), as Reynolds vigorously demonstrates. The use of a sequential pattern, if unsurprising in the Mendelssohn, given the text repetition, is notable in the Schumann. In a song cycle, particularly where the harmonic language is so sug-

20. See also Stephen Rumph, *Beethoven after Napoleon: Political Romanticism in the Late Works* (Berkeley and Los Angeles: U California P, 2004).

21. Reynolds mentions "political imagery" in "Frühlings Ankunft," but precisely what is political in this poem is unclear.

gestive and complicated, the case for clear-cut harmonic parallels is hard to make. Moreover, what is implied about the creative process or the listening experience if, to open his song cycle, Schumann borrowed one of the two phrases from *Fidelio* and the other from *Die erste Walpurgisnacht*?

Beethoven figures prominently in Schumann's allusions. The new lyrical theme toward the end of the finale of the Second Symphony evokes the melody that opens the final song of *An die ferne Geliebte*, as Reynolds and others have observed. One might add that a finale quoting a song, particularly one so conjunct and lyrical, also alludes to Beethoven's Ninth Symphony. Reynolds points out that the same tune would later be used to open Schumann's "Singet nicht in Trauertönen"—and here, moreover, the text is similar in idea to the baritone's opening declaration in the finale of the Ninth. Reynolds makes the intriguing suggestion that Schumann delayed publishing the song in his *Liederalbum*, op.79, waiting two years for the *Lieder und Gesänge aus Goethes Wilhelm Meister*, op.98a, in order to have the same opus number as the Beethoven's cycle. If it seems curious that one of nine songs would dictate the choice of opus number, Reynolds is surely right that in splitting the opus, with *Requiem für Mignon* (1849) as op.98b, Schumann strengthened the allusions of that six-song cycle, with its transitions between songs, to *An die ferne Geliebte*.

Reynolds also reinterprets the quotation of *An die ferne Geliebte* in the C-Major *Fantasie*, which Schumann professed to Clara was composed as a "deep lament" at a time he feared losing her. Despite this testimony, Reynolds refutes any notion that the allusion relates to Clara. Rather, "Schumann may have fulfilled the instruction to sing the poet's own song back to him as a way of achieving a musical—if not spiritual—union with Beethoven" (p.127). Yet the *Fantasie* had a complicated genesis, as is well known, and did not always commemorate Beethoven. Schumann drafted *Ruines: fantaisie pour le pianoforte* in June 1836, prior to the solicitation of funds that September for a Beethoven memorial. In response to the solicitation, Schumann added two movements to the fantasy and sent it to the publisher C. F. Kistner on 19 December, announcing that "Florestan and Eusebius would very much like to do something for Beethoven's monument, and to that end have composed 'Ruinen. Trophaeen. Palmen. Grosse Sonate f. d. Pianof. für Beethovens Denkmal.'" His offering spurned, Schumann returned to the work only in January or February 1838, seeing it into print over a year later, in March or April 1839, by which point the title had changed from *Dichtungen: Ruinen, Siegesbogen, Sternbild* to *Fantasie*.

Some of Reynolds's most compelling examples involve multiple facets of a composition, not just a motive. "L'arrivée à Saïs," from Berlioz's oratorio *L'Enfance*

du Christ, unmistakably evokes the opening of Beethoven's C#-Minor Quartet, op. 131. The strong profile, including the anguished half-step from B# to C#, is missing, but the other similarities are striking. Berlioz shrinks the orchestral forces to a string quartet in strictly fugal form. The transition from the aria also resembles Beethoven's transition, with several pulsating dynamic attacks (*sf-diminuendo-piano*) leading into a number that is in triple meter, begins with an extended pedal point, and sinks to a key area a half-step lower. "L'Arrivée à Saïs" describes Mary and Joseph's difficult journey through the desert, including intense heat, three days without water, and the collapse of their mule. To allude to the bleak austerity of op. 131 seems perfectly logical. But is it relevant, as Reynolds suggests, that some twenty years before, Berlioz had described the audience response to op. 131, in language purportedly similar to the subject of an arduous desert journey? Berlioz spoke of "six of us half dead with emotion" and recounted Beethoven soaring "into regions where one breathes with difficulty." (The trope of breathlessness, on which Reynolds's argument hinges, was, however, common in music criticism.²²)

Another exception to Reynolds's pursuit of purely motivic allusions is his proposition that Brahms modeled his C-Major Sonata, op. 1, on the "Hammerklavier" Sonata. In harmonic gestures, as Reynolds enumerates in a chart, the resemblance is striking. But the other shared qualities are also genre conventions—a descending pattern as the bridge between theme groups, a decrescendo to the second theme, which is marked *dolce* in a higher register. Some of the likeness seems coincidental, such as the number of measures for each exposition, particularly since, as Reynolds explains, the modeling becomes less important after the first theme group. (Would Brahms pay attention to the count of measures in the "Hammerklavier," once he was not following the movement otherwise?)

With his rigorous attention to scores, Reynolds rarely takes the time to scrutinize the historical sources marshaled for his argument (and occasionally does not supply the primary source). His evidence for the influence of the *Eroica* on *Tristan und Isolde* is Wagner's enthusiastic vocal rendering of the first movement's exposition to the young Felix Draeseke, a month after completing the opera. But Wagner did not admit to any direct modeling. According to Draeseke, in the weeks after he finished the opera, Wagner often played Beethoven's Eighth Symphony on the piano, as well as excerpts from *Die Walküre* and *Tristan und Isolde*—but not, appar-

22. Robert Schumann once commented that with Mozart the listener has bated breath until the middle of the composition, but with Beethoven until the very end. Robert Schumann, "Moscheles" (1836), in *Gesammelte Schriften* (Leipzig: Breitkopf and Härtel, 1914), I, 162.

ently, the *Eroica*. Wagner evidently illustrated the *Eroica*'s "pure melody" in order to denigrate Liszt. (And Draeseke, for his part, recounted the incident in 1907 in a polemical article against contemporary music.²³)

Although the context of an allusion can affect its recognizability and meaning, Reynolds steers clear of "context" in the immediate sense of the surrounding score, the book's title notwithstanding. Genre, he warns, can mislead the listener into imagining a link between two works. A case in point, for Reynolds, is the *Allgemeine musikalische Zeitung* review of Joseph Eybler's Requiem, which noted a parallel to Mozart's Requiem at the fugue on "Quam olim Abrahae promisisti" in the "Domine Jesu Christe." Reynolds protests that the likeness disappears quickly in pitch, after four notes, and in rhythm, after a measure. Yet in fugal writing, the opening is paramount to a work's identity and necessarily stands out. Moreover, Eybler replicates various of Mozart's details of the Mozart work, including the doubling of the first vocal entry by the bassoon and the spacing of fugal entries. The dissimilarities—Mozart stacks the entrances from the bottom up, whereas Eybler, in doing so, withholds the basses for a surprise entrance five measures later—seem quite deliberately to revise the master's work. One can envision a historical basis for the borrowing. Commissioned by Constanze to complete the Requiem, Eybler worked through the middle of the "Lacrimosa" before abandoning the project. Although he never began work on the following movement, in composing his own Requiem years later, perhaps Eybler felt compelled to respond to it, including to follow the textual variant deployed by Mozart, "quam olim Abrahae promisisti, et semini ejus." Eybler certainly did not discourage any linking of himself with the composer, not even in the one made in the *Allgemeine musikalische Zeitung*: as a postscript to the review, Eybler published an autobiographical sketch dwelling on his relationship to Mozart.²⁴

Many allusions involve openings. To Reynolds's observation of a parallel between the beginnings of Mendelssohn's "Reformation" Symphony and Haydn's Symphony No. 104, one might ask, did Mendelssohn aspire to continue the master's path and therefore evoke the opening of his last symphony at the start of his

23. Felix Draeseke, "Was tut der heutigen musikalischen Produktion not?" *Signale für die musikalische Welt* 65, no. 11/12 (6 Feb. 1907), 179. For a fuller account, see Erich Roeder, *Felix Draeseke: Der Lebens- und Leidensweg eines deutschen Meisters*, vol. I (Dresden: W. Limpert, 1932), pp. 105–06.

24. Friedrich Rochlitz, *AmZ* 28, no. 19 (10 May 1826), 305–09; and no. 20 (17 May 1826), 321–31, review of Eybler's Requiem; Eybler, "Nachschrift zur Recension . . .," *AmZ* 28, no. 21 (24 May 1826), 337–40. Reynolds cites the review (albeit with an incorrect volume number), but does not mention the autobiographical sketch.

own first adult symphony? Reynolds further points out that Schumann saw the “Reformation” in manuscript prior to writing his own Second Symphony, which invokes the same moment in Haydn. Did allusions, in this capacity, supersede the tradition of beginning a work with a nod at convention? The transition from utter silence into sound, or from the outside world into the artistic world, is bridged by invoking, albeit in an entirely new context, that which is known, and therefore reconciling the demands for originality with the needs of the audience.

The usefulness of classifying allusions becomes murky in the chapter on “texting.” Characteristic of the author’s erudition and charm is that, along with the stock examples of applying text to an instrumental music (such as by the theorist Jérôme-Joseph de Momigny), Reynolds cites a choirmaster at Grace Church in New York who set Psalm 30 (O Lord, Thy Mercy) to the variation theme of Beethoven’s Piano Sonata, op.26.²⁵ Just how this constrained practice relates to motivic allusions, historically or aesthetically, is not altogether clear. Furthermore, are allusions to instrumental music within vocal music truly a different phenomenon from other allusions, such as those in programmatic music? Or, when the borrowing occurs within a larger work—such as the aria in *L’Enfance du Christ*—is it sensible to envision Berlioz setting out to provide text for Beethoven’s op.131, even despite all the other musical and aesthetic constraints or issues entailed in a large-scale composition?

Another problem besetting the study of influence arises from the similarities due to style or genre. The less striking the motive (or musical idea), the more difficult it is to measure influence. The simple turn figure opening a sixteenth-century setting of the Catholic hymn “Ach Vater unser, der du bist im Himmelreich” becomes the root of a tradition Reynolds traces from Cherubini’s *Pater noster* to Spohr’s *Vater unser* to Mendelssohn’s *Die erste Walpurgisnacht* to Ferdinand Hiller’s *Die Zerstörung Jerusalems*. (The question of how many references a listener can perceive, at any given point, would be worth addressing.) Spohr, Reynolds points out, was already reworking the wedding chorus from his own *Faust*, but adapted *Vater unser* to accommodate the borrowing. Yet the musical connection becomes more tenuous over time. The Mendelssohn allusion, to my ears, hearkens back to the sixteenth-century hymn and not Cherubini or Spohr, whereas the Hiller evokes none of the earlier examples, leaning toward the operatic more than the hymnal.

25. The publication also included psalms and hymns set to music by Spohr, Mozart, Bellini, and others. *Grace Church Collection of Sacred Music: Selected and Arranged from the Classical and Sacred Works of the Great Composers and Adapted to the Psalms and Hymns of the Protestant Episcopal Church, with a Separate Organ Accompaniment by William A. King* (Boston: Oliver Ditson, 1852).

The tradition of allusions that commands the most attention is Jesus' last words in Bach's *St. John Passion*, "Es ist vollbracht," a simple scalar descent ending in a turn. For Reynolds, the striking cases are two sonatas by Beethoven, who, however, may not have known the *St. John Passion*, published only after his death. In the A-Major Cello Sonata, op.69, the location of the allusion, embedded within the first movement (mm.108–12), and its Allegro tempo attenuate any relationship to this wrenching moment in the Passion. The Bach allusion is stronger in the third movement of the Piano Sonata, op.110. Beethoven's expressive marking, "arioso dolente" entails a slow tempo akin to the Passion, and the allusion appears prominently after the introductory measures. But shouldn't historical chronology be respected, in tracing influence? Reynolds first shows the similarity of op.110 to the Bach, and then the likeness of op.69 to op.110. The intellectual drive and creativity that lie behind studies of influence occasionally run up against common sense, leading one to question the rules of the game. To demonstrate the allusion to the Cello Sonata at the opening of "Januar" in Fanny Hensel's *Das Jahr*, Reynolds selects a passage beginning on the same pitch. Yet to show a likeness between the motive in the Cello Sonata and the Piano Sonata, he extracts a different passage, at the same pitch level as the Piano Sonata. In both cases, there is no structural reason for the selection of one or another form of the motive. Respecting the perspective of a listener, should one illustrate any similarity by citing the first instance of a motive within the work?

That Hensel so often alluded to the "Es ist vollbracht" motive leads on to ask why one composer might borrow more than another. What kind of creative process is implied if to open *Das Jahr*, one of her major piano works, Hensel borrowed the tempo of the third movement of op.110 along with a motive from the Cello Sonata? Or, citing another of Reynolds's examples, the Capriccio for Cello and Piano alludes to Beethoven's "arioso dolente" (which is, however, a performance marking, not tempo marking for a movement) in Hensel's tempo marking for the piece, "Andante doloroso." Then, some hundred measures later, within the Allegro that follows, she adapts the theme from op.110.

Reynolds also draws attention to influence, or mutual influence, in pairs of works composed around the same time, including Schubert's A♭-Major Mass and "Der Doppelgänger." The Mass, according to Reynolds, was composed between July and September of 1828—a date I am unable to verify in scholarship on the work's chronology, where it is usually dated from 1819 to 1822, and its revisions from 1826 to spring 1827. Dating "Der Doppelgänger" to August 1828, Reynolds proposes two scenarios for interpreting the similarity of the works, depending on which was written first. (Some pages later, presuming one chronology, Reynolds

posits the Agnus Dei as an appropriate theme for Schubert to invoke in the anguish of “Der Doppelgänger” [p.52].)

Texted music enables virtuosic interpretations, some of which can challenge one’s musical sensibilities. When crafting the opening of *Also sprach Zarathustra*, did Strauss reflect on the opening of the second half of the second movement of Gade’s cantata *Frühlings-Phantasie* (1852), a striking evocation of nature, and Haydn’s celebrated “And there was light” in the *Creation*? If listeners perceive both allusions simultaneously, would this not distract from the power of his own introduction? Was Strauss’s decision, as Reynolds presumes, influenced by the similarity between the text by the Dane Edmund Lobedanz (1820–82) and that by Nietzsche, written much later?

It could well be that the opening of Schumann’s “Er, der Herrlichste von allen” (*Frauenliebe und Leben*, no.2) alludes to the final section of Mendelssohn’s Fantasia on “The Last Rose of Summer.” The emphatic broken chord, often interpreted as a fanfare, is nowhere in the Mendelssohn piece, but other similarities are evident. But do these, as Reynolds suggests, render the song a commemoration of Mendelssohn rather than an exuberant amorous proclamation? The textual evidence seems slight: four years earlier, Schumann wrote to his sister-in-law that he “looked up to” Mendelssohn “as if to a high mountain. He is a real God, and you should meet him.” Lavish rhetoric, however, was characteristic. The previous paragraph recounts his own ability to “achieve the extraordinary”—in this case, from being one of the strongest smokers and beer-drinkers to becoming one of the most moderate. And the previous year Schumann wrote of Mendelssohn winning “crown and scepter over all other instrumental composers of the day,” but then went on to criticize his symphonic music as more modest in scope and all but abandoning the genre of symphony.²⁶ The poem “Er, der Herrlichste von allen” is so intimate and its emotional range so sprawling that reconstructing Schumann’s creative process, along Reynolds’s lines, is difficult. It is known that the decision to set the series of love poems was bound up with his feelings toward Clara. In turning to set the second poem, was he then reminded of his feelings for Mendelssohn and therefore invoked the Fantasia on “The Last Rose of Summer”? Reynolds’s observation, if upheld, should lead to further investigation into possible homoeroticism in Schumann’s love songs.

Although some reviewers have chided Reynolds for giving short shrift to recep-

26. Robert Schumann, letter to Therese Schumann, 1 April 1836, from *Briefe und Notizen Robert und Clara Schumanns*, ed. Siegfried Kross (2nd exp. edn. Bonn: Bouvier, 1982), p.46; Robert Schumann, “Hector Berlioz, Episode de la vie d’un Artiste,” *Neue Zeitschrift für Musik* 3, no.9 (31 July 1835), 34; trans. from Mark Evan Bonds, *After Beethoven: Imperatives of Originality in the Symphony* (Cambridge, Mass.: Harvard UP, 1996), p.13.

tion and listener response, the parameters of the book are largely interpretative. The subject of listening does, however, lurk in the shadows. By its very nature, a musical allusion entails hearing, or at least thinking of, two compositions at once. Reynolds makes an interesting comparison to the simultaneity of counterpoint, although he focuses on the composer, whose craft must be intellectually solid yet sound beautiful and effortless. It is “not a coincidence,” he concludes, “that Brahms, the greatest contrapuntalist of the nineteenth century, was also one of the most adroit fashioners of allusions” (p.164). If the constructedness of both practices appealed to Brahms, did not both also spring from his interest in history, or his self-awareness as a composer?

Reynolds supposes that composers showed respect for “educated audience[s]” by opting for “veiled and symbolic meaning” in their allusions (p.163). By audience, we usually mean a group of listeners. But how many cognoscenti in a concert hall would have been “reminiscence hunters”—or was the phenomenon largely limited to those who took the time to study and play through scores? Although Reynolds stipulates that an allusion requires an audience, very little is said thereof, except that listeners were either *Kenner* or *Liebhaber*. Is there any evidence, then or now, that the musically trained notice borrowing more than merely enthusiastic concertgoers do? Quite possibly, familiarity with musical form, conventions for scoring, the rules of harmony, and so on would allow a listener to focus on more structural qualities rather than on what sounds like what. Identifying an allusion, for Reynolds, involves far more than merely sensing the familiarity of two works. Haydn’s reference to the *Creation* in his so-called Creation Mass, though not lost on the Empress, is for him a stretch, because it is so hard to interpret. Reynolds presumes that the listener must recall that the oratorio text, at that moment, relates the scene of Adam, Eve, and the apple tree; and then the listener must “supply the next steps of the missing narrative” (p.52) in order to understand why this allusion occurs at the moment in the mass seeking mercy. Even if the ritual circumstances did not hold in a secular performance, can a mass sustain the same interpretive freedom as an allusion occurring within an instrumental work or song?

Reynolds suggests that “we are more capable of recognizing allusions today than a generation or two ago.” (As proof, one could cite the energetic discussion sparked by Reynolds’s book on the AMS-list.) The reason, he supposes, is not a superior musical knowledge; rather, literary theory allows us “to acknowledge a multiplicity of contextual factors that influence reading and listening as well as the act of artistic creation” (p.22). Some might read this—wrongly—as shirking the requirements for traditional evidence (for all the liberties taken in the introduction, the book in fact seeks historical evidence along standard lines whenever

it is available). But it underscores one of Reynolds's chief contributions: urging a greater freedom in musical exegesis.

So large an undertaking comes with some infelicities. Musical examples do not always include tempo marking and scoring, which can be as crucial to recognizing influence as pitch or rhythm. The index is incomplete and has a few mistakes in pagination. There is also some awkwardness in copyediting (we learn twice, in one paragraph, that Gade was Danish) and in citations, with a reference to James Webster's book on Haydn's "Surprise" Symphony (which is, of course his *Haydn's "Farewell" Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in His Instrumental Music*). Minor quibbles aside, some readers may find the book's organization challenging. Reynolds's approach is rigorously intellectual, with a single allusion often discussed in two or more chapters—sometimes the musical evidence in one chapter, the historical support in another, and the interpretive significance in a third. His method, in effect, is to address a core group of examples throughout the book. The multitude of references forward and back makes for less satisfying reading cover to cover, particularly if one's interests lie with particular composers or compositions. But the result is a powerful argument sustained across nine chapters, if the final chapter, which speculates on composers' motives for forging allusions, occasionally veers into abstraction. ("It does not help that several of the aesthetic goals that could be attained by allusion depended on authorial silence, especially two kinds that were complementary, if not actually conflicting: a positive desire to guard individual freedom to interpret, and, balancing this, a more negative wish to protect one's reputation as original and divinely inspired" [p.162].) Regrettably, there are no observations on how the practice of allusion might have changed over the course of the long nineteenth century.

Notwithstanding any doubts this or that reader might have over individual examples, Reynolds's undertaking shows an awesome control over repertoire. His legacy will be to establish influence as a mode of historical understanding and analysis, ideally one integrated into all critical and analytic work on nineteenth-century music. The book should moreover inspire students of influence to look broadly at aesthetic presumptions and historical context. As a hermeneutic practice and theoretical exposition, Reynolds's book is invaluable. And finally, wherever one's sympathies lie in the debates over borrowing, *Motives for Allusion* remains an immensely rich study, whether intriguing or provocative. Musicology in his hands is less a science than, as it rightfully deserves to be, an interpretive art and intellectual adventure.

Research lite Meets Heavy Infotainment

Peter Höyng

Translated by Rosemarie Greenman

Dieter Hildebrandt. *Die Neunte: Schiller, Beethoven und die Geschichte eines musikalischen Welterfolgs*. Munich: Carl Hanser, 2005. 367pp.

I wish this book many readers. It is a book for the educated general public, that is, the vanishing breed of readers for whom belletristic literature—a dying or already dead term?—was at the core of their self-image and who were impacting German-speaking societies by creating cohesion through a cultural-historical canon of knowledge—whether enlightened or darkly pessimistic may remain subject to debate. For this group of readers Dieter Hildebrandt's study of Beethoven's Ninth Symphony is indeed a classic: it is on firm scholarly ground with many sources and studies supporting the topic; it is challenging and makes one think; and, above all, it dazzles the reader with its strong tendency toward stylistic bravura. The latter, however, tends to tax one's patience rather severely from time to time, a frustration that may well be shared by others who, unlike myself, are not Germanists. There is a certain smugness—almost to the point of obsession at times—evident in the desire to put on a brilliant display of linguistic fireworks, which takes center stage and thus eclipses the particular facts presented. Hildebrandt's historical review of this symphony can, therefore, also be considered a paradigm for a crossbreed of a genre: it is research lite and at the same time heavy infotainment. The question one cannot help asking after finishing this book is whether its approach to sharing results of research still attracts the above-mentioned group of readers. Is there an interest in this book and a market for it? Apparently there is, if one considers the success of Edmund Morris's Beethoven

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biography (2005), which was also marketed to the “general reader.” In support of this conclusion, I will present numerous examples below.

Hildebrandt states his goals in the short introduction and honestly concedes that his work is “not meant to be a musicological study” (p.11); rather, its intention is to investigate the forces “from which the sensational story of the impact [of the Ninth Symphony] can be traced” (p.11). He wants to “blow away the incense and highlight the resistance” (p.18) by paying particular attention to the fundamental contribution of Schiller’s text and giving it its due (p.10). His work is organized into nine chapters of approximately equal length whose titles are mostly quotes from Schiller’s Ode, with subtitles identifying the actual content to follow.

“A Historic Moment with Dark Subject Matter: The Premiere of the Ninth Symphony,” the first chapter, begins: “Friday, May 7th, 1824. A day etched in the global memory, a red-letter day on the calendar of mankind. Anticipation of an unknown world to come. Creative act of music of a distant future hitherto unparalleled. This will some day be called a historic moment” (p.21). Not only is the difference between contemporary ignorance and future impact exploited here for the sake of pompous gain, this passage also contrasts the claim of “blowing away the incense” (p.18), articulated a mere three pages earlier: a journalistic staccato style and big talk about the “history of mankind” and “global memory” preempt a more serious discourse. What follows does not contain new insights or offer new hypotheses, at least regarding Beethoven scholarship. Instead, Hildebrandt lets the appropriate sources of contemporaries, relevant passages from conversation journals, letters, and first reviews, speak for themselves. The quotations are documented rather scantily and not always satisfactorily in the appendix—there is no bibliography. After a short description of the composer as a “mixture of monument and town specter” (p.23), the problems surrounding the premiere at the Kärntnerthor Theater are presented at length in a manner that confirms the tendency toward the sensational, which clashes with the later impact of the work. A collage of quotations illustrates the contradiction between the aesthetic claim and the difficult political, musical, and human circumstances of the performance. The premiere took place against strong opposition, but did not produce the artistic and financial success Beethoven had hoped for: “Joy was out of the question, before as well as during or after the performance” (p.37).

The second and longest chapter, “To Joy: Nine Expeditions into a World Poem,” borrows its structure from the nine stanzas of Schiller’s Ode. To begin with, a line-for-line reading of the first stanzas produces a veritable cascade of witticisms, not to be confused with interpretation. This may serve as a sample: “The beautiful spark of the Gods is a daughter of Elysium. A test-tube baby from the poetical

alchemist's kitchen. Apparently a product of the babble of old heroes who are sitting in Elysium, the realm of the happy departed, as legend will have it. And this is what defines an epoch? This is what conquers the world? This becomes the spark that electrifies an entire world, for two centuries, across five continents? Millions, billions of people?" (p.46). Yes, yes, yes! This is a small fireworks display of rhetorical questions, one of many, indeed too many. This type of *close reading* is supposed to illustrate what it was about this text that could have held such fascination for the young Beethoven. Saturated with erudition, playfully and seemingly without problems—or rather, without a trace of methodology—Hildebrandt then draws a line from *close reading* to literary history, and from there to biography before ending up at the history of the reception of the text since its first publication in 1786. For Beethoven aficionados and researchers who otherwise care little about Schiller's text or its place within literary history and who are unfamiliar with Schiller's biography, this chapter may prove quite informative as a lead-in to the topic. Yet what holds true for the book as a whole holds true here: Hildebrandt uses much material from research, sorts it out and serves it up in an entertaining way, but without presenting new insights or establishing new connections. This is evident, for instance, when Hildebrandt—quite insightfully—elaborates on the central concept of "joy" in the eighteenth century. Beginning with Shaftesbury's "Letter Concerning Enthusiasm" (1708), the concepts of joy by the German authors Friedrich Hagedorn, Johann Peter Uz, Friedrich Leopold Stolberg, and, above all, Friedrich Klopstock are laid out in detail. All this is essentially well and good, not least because it peddles an essay from Franz Schulze's 1926 Schiller research, albeit modernized with catchy phrases. Thus Klopstock's rhapsodies become "the *rap* of Rococo" (emphasis mine, p.69). The claim made at the beginning—of trying to show (again) the "resistance" of the work—falls victim to such glib and smooth phrases.

And yet because Esteban Buch in his work *La Neuvieme de Beethoven: Une histoire politique* (1999, published in German in 2000 and in English in 2003) neglected research on Schiller and omitted the historical-literary context, it is to Hildebrandt's credit that he remedies this shortcoming to some extent with his detailed chapter on the text of the Ode. Generally speaking, Hildebrandt's greatest contribution to musicologists regarding the Ninth Symphony may well be to have taken seriously Beethoven's "express commitment to the text and the confirmation of a lifelong veneration" (p.105), giving Schiller and his Ode, including the many-faceted reception, equal treatment alongside the musical composition.

In the fifth chapter Hildebrandt returns once more to Schiller's text (pp.222–24) as part of the reception history under the auspices of Wagner. Hildebrandt argues

against the claim convincingly stated primarily by Uwe Martin in 1998 that the Ode fully develops its meaning only if freedom rather than joy is being praised, but that this presumed original intention of Schiller would not have been able to get past the censors. Arguing against this claim, Hildebrandt does not forget to mention a travesty version of the poem speaking of “Freiheit, schöner Götterfunken” (freedom, beautiful spark of Gods) proposed by democratic authors of the nineteenth century like Adolf Glaßbrenner. As you know, this reworded text was also the one favored by Leonard Bernstein at the Berlin performance in the political elation immediately following the fall of the Berlin Wall. In his passionate arguments against the freedom variant, Hildebrandt shows that he is indeed capable of argumentative, though polemical, debate and ready to engage in it.

Further, Hildebrandt’s “disclaimer” of presenting a musicological study must be taken to some extent as a rhetorical gesture of humility; not only did he know about scholarly literature on Beethoven’s last symphony from Alexander Thayer to Gustav Nottebohm, from Maynard Solomon to Martin Geck, and from Andreas Eichhorn to Esteban Buch, he also made the most of it, as is evident in the third chapter.

The topic here is the genesis of the Symphony. Hildebrandt attunes the reader to the reason why the strong commitment to Schiller’s text and the praise of joy assumed such significance for the composer by stating that it can be explained only by Beethoven’s illness. For at the time Beethoven felt inspired by this old and beloved Masonic text of 1785/86, it had already become “half street song, half folk song” (p.122); “‘joy’ had already been composed and sung to death when Beethoven decided to set it to music” (p.125). Hildebrandt succeeds with apparent ease in intertwining Beethoven’s biographical circumstances—the 1817 invitation by the London Philharmonic Society to compose two major symphonies passed on by Ries—with the actual process of composition and the difficulties surrounding it, as well as with the “ghost debate of musicology” regarding the “Tenth” symphony. The choral finale thus moves to the center not only because of the novelty of this symphonic structure but because of Hildebrandt’s focus, namely not to gloss over Schiller’s text. He receives grateful support in Maynard Solomon’s contribution to the 1990 Beethoven Congress in Bonn. The latter presented the familiar hypothesis that the problem for Beethoven was not writing a choral finale, but composing “a symphonic introduction” to the hymn of joy (p.152). Consequently, Hildebrandt places more weight and greater emphasis on Beethoven’s editorial changes and notes appropriately: “With his arrangement of the text, Beethoven elevates the poem from a popular song to a hymn, from merriment to lofty exultation, from a brotherly kiss sealed with a toast to a solemn pledge of brotherly love—all of

this while maintaining the exact wording of the poet” (p. 141). At this point, at the very latest, we would have wished for Hildebrandt to use Esteban Buch’s work on the political history of the symphony not only as a source for his quotations, but to initiate a discussion on Buch’s approach, since it is precisely this act of ritual fraternization Buch chose as the red thread to show the problems in his history of reception. Certainly convincing and following the lines of Andreas Eichhorn’s studies are Hildebrandt’s observations on the *Engführung* to Schiller’s text and the dynamics gained from it: “By shaping the verses into slogans he is agreeing with them more strongly” (p. 144).

The first 152 pages of the book cover the genesis of the work. From the fourth chapter on, for an additional 200 pages, the history of its reception, well structured and processed, is dealt with exclusively. On the basis of the first performances in Berlin, London, Paris, and New York, Hildebrandt traces but does not analyze the change in reception from a misunderstood, obscure late work of a deaf composer to a sacred cultural and prestigious treasure and ultimately to a piece that could be exploited ideologically in many different ways. The treatment of the subject matter deteriorates into careless chatter at this point, if not before, since Hildebrandt uses Buch’s study merely as a fund of material, but avoids a discussion or appreciation of the content of its ideological and critical premises, yet implies such a discussion without grappling with the issues. And indeed, Hildebrandt is dangerously close to the edge of an abyss when it comes to credibility. Although his approach to the history of reception is based entirely on the important scholarly studies of Andreas Eichhorn or Esteban Buch—only David Dennis’s work on reception history is not taken into consideration—he has them languish in the footnotes in the truest sense of the word.

Hildebrandt devotes the fifth chapter to Wagner’s interpretation, including the 1846 Dresden performance and its retouches, and does so with gusto. In this context it is significant for the approach of the book that Wagner “falsifies the epochal work by changing it from a Beethoven–Schiller constellation into a Goethe–Beethoven symbiosis” by interpreting it as a Faustian symphony (p. 217). On this topic Hildebrandt is leaning on Klaus Kropfinger’s 1975 study.

Chapter 6 deals with the erection of the Beethoven monument in Bonn in 1845; his observations here gain in significance due to a parallel he draws to the unveiling of the Schiller monument in Stuttgart in 1839. With this, he goes beyond Buch’s seventh chapter regarding the aforementioned celebration in Bonn. He shows quite vividly—by presenting contrary views such as Wagner’s second, now nationalistic, interpretation of the symphony in the context of the Franco–Prussian War and the first workers’ performance in Berlin in 1905—the beginning

of a Socialist claim on the symphony—that, from then on at the very latest, the political and ideological usurpation of Beethoven's last symphony by all sorts of vastly different factions became an accomplished fact.

These nationalist and socialist receptions of the late nineteenth and early twentieth centuries converge in the saddest of all abuses of the work under the National Socialists, conclusively presented in the seventh chapter, in conjunction with Thomas Mann's *Doktor Faustus* as the negation of Beethoven's and Schiller's creed forced by Hitler's politics. In the last two chapters, Hildebrandt's observations lean on Buch's study without attribution, when he discusses the furious reception in Stanley Kubrick's film version of Anthony Burgess's *Clockwork Orange* and the dialectics of the devaluation of the symphony through its revaluation as the European hymn (sans Ode) and its leveling from colossal solemnity to meaningless *fun*. Hildebrandt opposes this with a defiant plea, "for on those evenings on which this word music . . . is not being solemnly celebrated or routinely performed, but rather descends upon us as if never heard before, it makes our ear, no, our minds aware of all that has befallen it in almost two hundred years" (pp.346–47).

Read straight through, the book almost chokes from an abundance of self-loving stylistic flourishes. Enjoyed in small doses, these show a lot of wit and make the presentation entertaining and, thanks to the ellipses and alliterations, also fast reading; not to mention fast consumption, due to the many rhetorical questions that take the place of an argumentative, or academic, discourse. Yet far be it from me to reproach the author for this, since the book does *not want* to address an audience of scholars but that general educated public I mentioned in the beginning. The work communicates the results of scholarly studies with great skill; however, considering that it not only builds extensively on the research of others and their approaches, but is for the most part based on such research, there is a questionable tendency to present itself as original or even ingenious. The most important merit of the book may well be that it takes Schiller's text literally and just as seriously as the composer once did.

OPEN FORUM

On the String Quartet, Op.95

Seow-Chin Ong

I am pleased to know that my date of 1810 for the op.95 autograph sits well with William Drabkin. As for his skepticism about Beethoven's claim, which appeared in a letter of May 1813 to Zmeskall, the Quartet's dedicatee, that the composer had "forgotten to have [the autograph] copied" for him, even though the music had been completed a few years earlier, I should clarify that there is, again, reason to take the composer at his word. In that letter, Beethoven had asked Zmeskall to have a copy of the score made at his expense, and the manuscript now cataloged as Bk 5/17 in the Beethoven-Archiv is most likely that copy, despite the fact that the manuscript is not in the hand of a hired copyist (as one would expect) but Zmeskall himself (see Hans Schmidt, "Die Beethovenhandschriften des Beethovenhauses in Bonn," BJ 7 [1971], item 725 on pp. 724–25). I have examined Bk 5/17 firsthand. The name "F RITSCHHEL" (not "F RITSCHER" as given by Schmidt) and the other features of the watermark indicate a date of no earlier than 1811 for the paper (see Georg Eineder, *The Ancient Paper-Mills of the Former Austro-Hungarian Empire and Their Watermarks* [Hilversum: Paper Publications Society, 1960], p. 130), two years before Beethoven's letter to Zmeskall. Indeed, there is evidence to suggest that Zmeskall's score was probably copied straight from the composer's autograph. The question is: if Bk 5/17 was made at Beethoven's request, why did Zmeskall write out the score himself and not hire a copyist to perform the task? Did he do so because he wanted a tangible personal connection with the music from a dear friend who was also Europe's most celebrated composer, or because he could not find a copyist? Or was there another reason that is now lost to us?

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Drabkin also wondered why the publication of the Quartet, which took place in September 1816, was delayed for so long (about six years). The delay seems to have been partly a consequence of the protracted premiere of the work, which, according to Schindler, took place only in May 1814, well over three years after the work's completion (we need not always mistrust Schindler in what he says, particularly when there is no evidence to contradict him). That delay in turn may be explained by Beethoven's palpable unease over how the general public would receive the work—an unease that he indicated to George Smart in his letter of c. 7 October 1816 when he offered the work for publication for the first time: "NB. The Quartet is written for a small circle of connoisseurs and is never to be performed in public." This highly unusual cautionary note to Smart is well known to scholars; but the composer's underscoring of the depth of his concern over the matter in that same letter, by offering to compose other quartets for Smart as a way of appeasing or compensating him vis-à-vis op.95, is seldom mentioned: "Should you wish for some Quartetts for public performance, I would compose them to this purpose occasionally" (Brandenburg, no. 983, III, 306). The irony, of course, was that neither Smart nor Beethoven would have had any say over where and for whom op.95 should be performed once it was published and sold.

Why did Beethoven not want op.95 to be more widely known, a personal stance that must have been responsible to some degree for the multiple delays he imposed upon the work—the delays in having a copy of the score made for its dedicatee, having it performed in public, and having it published, not to mention that extraordinary cautionary note to Smart? Composed without a commission, op.95 is, in Kerman's trenchant description, "not a pretty piece, but it is terribly strong—and perhaps rather terrible." Beethoven might have felt that its highly abrupt, laconic, and severe character would have befuddled, if not displeased and alienated, an ordinary listener. "Quartetto serio" was how he described the work's character, in an unusual instance of supplying a descriptive title for one of his works.

With regard to my calling D major the submediant of F minor, Drabkin was of course right to point out the error. Regrettably, I did not call it "the sharpened submediant major."

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