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BEETHOVEN

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FORUM

VOLUME
NUMBER 2

14

UNIVERSITY OF ILLINOIS PRESS: URBANA-CHAMPAIGN
www.press.uillinois.edu/journals/bf.html

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Contents

iv	Editor's Note
v	Abbreviations

	ROBERT PASCALL
103	Beethoven's Vision of Joy in the Finale of the Ninth Symphony
	DAVID B. LEVY
129	"Ma però beschleunigend": Notation and Meaning in Ops. 133/134

	REVIEWS
	MICHAEL SPITZER
150	Sonata Dialogues
	NIKOLAUS BACHT
179	After Said
	MICHAEL P. STEINBERG
182	Music as Thought
	DENNIS F. MAHONEY
187	Music: The Most Romantic of All Arts
	ROBYNN J. STILWELL
197	Scribal Error: <i>Copying Beethoven</i> and the Pitfalls of Perspective in Cinematic Portraiture

205	Contributors
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Editor's Note

At the end of my Note to volume 14/1, I mentioned that the University of Illinois Press would cease publishing *Beethoven Forum* on the completion of this volume. On learning this news, the Editorial Board explored the possibility of transferring to various other publishers; but in the event no conclusive negotiations took place. Then, at its annual breakfast meeting during the AMS conference (Quebec, 2007), the board discussed the future of the journal more generally and reached the conclusion that, contrary to the situation in the late 1980s and early 1990s, when *Beethoven Forum* was conceived and established, the present climate for Beethoven studies is no longer so conducive to the maintenance of an annual publication of research in article form. Rather, it was felt that a better model might be that of the earlier, occasional volumes of Beethoven Studies so signally represented by the three publications (1973, 1977, and 1982) edited by Alan Tyson, and more recently by collections of essays on the music of Mozart, Brahms, and Mahler.

This, then, is the last issue of *Beethoven Forum*. While the Editorial Board becomes formally dissolved, we resolved at the AMS meeting that a continuing, informal annual gathering would be very desirable, and that the organization of a study session at a future AMS conference might, in Richard Kramer's words, "be a spirited way to encourage the exchange of ideas in and around Beethoven and perhaps to inspire new avenues of discourse." Similarly, occasional publications of the kind envisaged above might be stimulated by Beethoven panels at the AMS or by specifically organized conferences.

It has been a privilege to serve as Editor-in-Chief of *Beethoven Forum*, the longest-lived Beethoven yearbook in scholarly history, as Lewis Lockwood reminded us. Lewis, along with Christopher Reynolds and James Webster, was one of the founding editors; we all owe them an immense debt of gratitude for their vision and endeavor in bringing the *Forum* into existence and invigorating its life since 1992. Grateful thanks are due, too, to Willis Regier, whose belief in and support for the journal, first at Nebraska Press and later at Illinois, were a *sine qua non*. And I take this opportunity to thank all my colleagues on the board, especially my coeditors Stephen Rumph and Mark Katz, for their work and support. Christina Acosta has always carried out her duties as assistant editor with exemplary skill and patience and has made my own job so much the easier.

Appropriately, perhaps, this final issue is finale-heavy. Readers will find much to ponder in Robert Pascall's discussion of the last movement of the Ninth Symphony and in David Levy's treatment of the *Grosse Fuge*, as well as in the reviews that follow. And while there is inevitably a sense of regret with which I close these valedictory remarks, I take heart in offering to our subscribers two last essays in which joy and the hope of resurrection are satisfyingly contemplated. *Plaudite, amici*.

Nicholas Marston

Abbreviations

Literature

- Anderson Emily Anderson, ed., *The Letters of Beethoven*, 3 vols. (London: Macmillan, 1961; rpt. New York: Norton, 1985).
- Brandenburg Sieghard Brandenburg, ed., *Ludwig van Beethoven: Briefwechsel: Gesamtausgabe*, Beethovenhaus edn., 8 vols. (Munich: G. Henle Verlag, 1996–)
- BS I, BS II, BS III *Beethoven Studies*, ed. Alan Tyson, vol. 1 (New York: Norton, 1973); vol. 2 (Oxford: Oxford University Press, 1977); vol. 3 (Cambridge: Cambridge University Press, 1982)
- CB Karl-Heinz Köhler, Grita Herre, and Dagmar Beck, eds., *Ludwig van Beethovens Konversationshefte* [= Conversation Books], vols. 1–9 (Leipzig: VEB Deutscher Verlag für Musik, 1968–88), vols. 10–11 (1993, 2001)
- JTW Douglas Johnson, Alan Tyson, and Robert Winter, *The Beethoven Sketchbooks: History, Reconstruction, Inventory*, ed. Douglas Johnson (Berkeley and Los Angeles: University of California Press, 1985)
- Kerman, *Quartets* Joseph Kerman, *The Beethoven Quartets* (New York: Norton, 1967)
- Kinsky-Halm Georg Kinsky, *Das Werk Beethovens: Thematisch-bibliographisches Verzeichnis seiner sämtlichen vollendeten Kompositionen*, completed and ed. Hans Halm (Munich and Duisburg: G. Henle, 1955)
- MGG *Die Musik in Geschichte und Gegenwart: Allgemeine Enzyklopädie der Musik*, ed. Friedrich Blume, 17 vols. (Kassel: Bärenreiter, 1949–86; rev. 2nd edn. Ludwig Finscher, 1994–2000)
- N I Gustav Nottebohm, *Beethoveniana* (Leipzig and Winterthur: J. Rieter-Biedermann, 1872)

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

2

Beethoven's Vision of Joy in the Finale of the Ninth Symphony

Robert Pascall

The primary purpose of this study is to investigate possible implications of comments by Beethoven and Czerny concerning the finale of the Ninth Symphony and its relation to improvisation. In introducing his Symphony to potential publishers, Beethoven referred to parallels between the finale and the *Chorfantasie*, op.80, a work that featured improvisation at its first performance and that incorporates improvisational style in its published version. Czerny's comments are, however, explicit and categorical—that the finale of the Ninth constitutes an example of a specific musical structure as used by Beethoven in his piano improvisations.¹

1. I am most grateful to the friends and colleagues with whom I have discussed this study and its central line of argument, though in courtesy I note that not all concur with everything I have written: Barry Cooper, Nicholas Cook, Peter Hill, Nicholas Marston, Nigel Simeone, Michael Struck, and Philip Weller; to the London Philharmonic Orchestra for asking me to speak on the Ninth at the Royal Festival Hall in the first place; to the staff and students of Bangor University, University College Dublin, and Sheffield University, who favored me with engaged and stimulating feedback on earlier versions. There are many significant studies of the structure of the finale, including Otto Baensch, *Aufbau und Sinn des Chorfinals in Beethovens Neunter Symphonie* (Berlin: W. de Gruyter, 1930); James Webster, "The Form of the Finale of Beethoven's Ninth Symphony," *Beethoven Forum* 1 (1992), 25–62; Nicholas Cook, *Beethoven: Symphony No. 9* (Cambridge: Cambridge UP, 1993); Michael C. Tusa, "Noch einmal: Form and Content in the Finale of Beethoven's Ninth Symphony," *Beethoven Forum* 7 (1999), 113–37; Esteban Buch, *La Neuvième de Beethoven: Une histoire politique* (Paris: Gallimard, 1999) trans. as *Beethoven's Ninth: A Political History* (Chicago: U Chicago P, 2003); David Benjamin Levy, *Beethoven: The Ninth Symphony*, rev. edn. (New Haven: Yale UP, 2003). It is not proposed to refer to these *in extenso*, for the purpose here is rather to present a view of the movement that has not hitherto been significantly elaborated in

Beethoven Forum

Fall 2007, Vol. 14, No. 2, pp. 103–128

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Comments by Beethoven and Czerny

Beethoven wrote to Maurice Schlesinger in Paris on 25 February 1824: “I also offer you the *score* of a wholly new grand symphony, which can however not be published until 1825. It has a *grand finale* with choruses and solo voices, in the same manner as my *Piano Fantasia* but on a grander scale.” He wrote in a similar vein to Schotts in Mainz and Probst in Leipzig on 10 March.² Czerny made a similar connection between the *Chorfantasie* and the Symphony finale in his detailed accounts of Beethoven’s improvisatory practice, to be found in the *Erinnerungen an Beethoven* and in his treatise on improvisation: *Systematische Anleitung zum Fantasieren auf dem Pianoforte*. In the former he specified the following typology for Beethoven’s improvisations:

1. In the first-movement form or as in the final rondo of a sonata, when he regularly closed the first section and introduced a second melody in a related key, etc., but in the second section gave himself freely to all manner of treatment of the motivi. In Allegros the work was enlivened by bravura passages which were mostly more difficult than those to be found in his compositions.
2. In the free-variation form, about like his Choral Fantasia, Op.80, or the choral finale of his Ninth Symphony, both of which give a faithful illustration of his improvisations in this form.
3. In the mixed genre, where, in the potpourri style, one thought follows upon another, as in his solo Fantasia, Op.77. Often a few tones would suffice

the literature, though elements of it appear in Baensch, *Aufbau*; Tusa, “*Noch einmal*”; Helga Lühning, “Grenzen des Gesanges: Beethoven und Schiller im Finale der 9. Symphonie,” in *Ordnung und Freiheit: Almanach zum Internationalen Beethovenfest, Bonn 2000*, ed. Thomas Daniel Schlee (Laaber: Laaber, 2000), pp.25–46; and in James Parsons, “Deine Zauber binden Wieder: Beethoven, Schiller, and the Joyous Reconciliation of Opposites,” *Beethoven Forum* 9 (2002), 1–53.

2. Brandenburg, letter no.1782,V, 270: “Auch biete ich Ihnen die *Partitur* einer ganz neuen grossen *Symphonie*, welche aber erst 1825 herausgegeben werden kann. Dazu gehört ein *grosses Finale* mit Chören u. *Solostimmen*, auf dieselbe Art, doch größer ausgeführt, als meine *Clavierphantasie*” (translations are mine unless otherwise noted). Beethoven wrote to B. Schott’s Söhne in Mainz on 10 March offering: “eine neue große *Sinfonie*, welche mit einem *Finale* (auf Art meiner Klawier-Fantasie mit Chor) jedoch weit größer gehalten mit *Solo’s* u. Chören von *Singstimmen* die worte von *Schillers* unsterbl. bekannten lied *an die Freude* schließt” (Brandenburg, letter no.1787,V, 278). And he wrote to Heinrich Albert Probst in Leipzig on the same day (!) offering: “eine neue g[r]oße *Simphonie*, welche ein *Finale* hat mit eintretende[n] *Singstimmen Solo* u. Chören mit den Worten von *Schillers* unsterbliche[m] Lied an die Freude auf die Art wie meine KlawierFantaise mit chor, jedoch weit größer gehalten als selbe” (Brandenburg, letter no.1788,V, 282).

to enable him to improvise an entire piece (as, for instance, the Finale of the third Sonata, D major, of Op.10).³

In the *Anleitung*, he wrote: "Beethoven was unsurpassed in this style of fantasy-like improvisation. . . . He has left a legacy of two glorious movements of this style among his works: namely the Fantasy with Orchestra and Chorus, op.80, and the Finale of this last symphony (the Chorus to Joy, op.125). In both of these, a single idea is exploited through the greatest variety of procedures."⁴ Also he claims the *Fantasie*, op.77, as an exemplar of the capriccio: "The freest form of improvising in fantasy style, namely an arbitrary linking of individual ideas without any particular development, a whimsical and swift shifting from one motive to the other without further relationship than that bestowed by chance or, unintentionally, by the musical inclination of the performer."⁵ Of this work, he states elsewhere that it presents "a true picture of the manner in which [Beethoven] used to improvise when he had no wish to develop a particular theme but instead gave himself over to the genial invention of ever new motives."⁶

Thus in the *Erinnerungen*, Czerny's first type describes sonata or rondo expositions with discursive developmental treatment; we may note that he does not write of how the music was concluded, although he probably was implying, by naming first-movement and rondo-finale forms, that some kind of recapitulation or return was featured. Whichever Beethoven's customary practice, this type of improvisation relates clearly and naturally to his central compositional concerns, and the account of Beethoven improvising a protofinale for the "Appassionata" Sonata, op.57, "for at least an hour" and then writing down his composition exemplifies and highlights

3. Thayer-Forbes, p.368. Thayer is here quoting from *Die Erinnerungen an Beethoven*, ed. Friedrich Kerst (Stuttgart: J. Hoffmann, 1913), pp.60–61 in his own translation. The relevant part of the original German is cited in Tusa, "Noch einmal," p.130, n.42: "2tens in der freyen Variations-form ungefähr wie seine Chorfantasie op.80 oder das Chorfinale der 9ten Sinfonie, welche beyde ein treues Bild seiner Improvisation dieser Art geben," following Carl Czerny, *Über den richtigen Vortrag der sämtlichen Beethoven'schen Klavierwerke: Czerny's "Erinnerungen an Beethoven" sowie das 2. und 3. Kapitel des IV. Bandes der "Vollständigen theoretisch-praktischen Pianoforte-Schule op.500,"* ed. Paul Badura-Skoda (Vienna: Universal Edition, 1963), p.21.

4. Carl Czerny, *A Systematic Introduction to Improvisation on the Pianoforte (Systematische Anleitung zum Fantasieren auf dem Pianoforte)*. Opus 200, trans. and ed. Alice L. Mitchell (New York: Longman, 1983), p.52.

5. Ibid., p.121.

6. *Beethoven: Interpretationen seiner Werke*, ed. Albrecht Riethmüller, Carl Dahlhaus, Alexander L. Ringer (2nd edn. Laaber: Laaber, 1996), p.604: "ein getreues Bild von der Art, wie er zu improvisieren pflegte, wenn er kein bestimmtes Thema durchführen wollte und sich daher seinem Genie in Erfindung immer neuer Motive überließ."

such a relationship.⁷ Since the finale of the “Appassionata” lasts considerably less than sixty minutes, the account also emphasizes the discursive nature of this type of Beethovenian improvisation. It may well be that this type was more suited to private, perhaps quasi-experimental music-making. Czerny’s second category is concerned with one principal theme, and he names it from the essential feature: that of variation. The defining characteristic of his third type, vis-à-vis the second, is that it has several ideas. In choosing not to stress, or indeed not even to allude to the fact that the *Fantasia*, op.77, also has a variation-set based on one of its themes, Czerny maximizes the formal differences between op.80 and the op.125 finale, on the one hand, and op.77, on the other.

Czerny nowhere claims that any of these three movements results from the writing down of music previously improvised on the piano, rather that they are representative of what could occur when Beethoven so improvised. We know of course that Beethoven did improvise the opening section of the *Chorfantasia* at its first performance, though we do not know how similar that improvisation was to the published version. Some scholars have suggested that a protoversion of the *Fantasia*, op.77, was also improvised on this occasion.⁸ The idiomatic nature of the piano writing in the *Chorfantasia* and the *Fantasia*, op.77, makes inception and evolution of the material at the keyboard distinct probabilities.⁹ There is, however, no suggestion inherent in the argument presented in this study that Beethoven improvised the finale of the Ninth Symphony on the piano before writing it down for orchestra and voices, and indeed the sketches that have come down to us suggest a different story. What is at stake is the altogether more radical claim that in this finale Beethoven harnesses the structure and processes characteristic of improvisation, and that in so doing he composed what becomes, by that token, an allegory of improvisation; furthermore, it is an allegory enhanced by a narrative aspect that Beethoven gives to his setting of Schiller’s text, initiated by his instrumental and vocal introductions to it and carried through in prominent elements of the setting itself.

7. *Beethoven: Impressions by His Contemporaries*, ed. O. G. Sonneck (New York: Dover, 1967), p.53.

8. See, for instance, Elaine R. Sisman, “After the Heroic Style: *Fantasia* and the ‘Characteristic’ Sonatas of 1809,” *Beethoven Forum* 6 (1998), 67–96, here p.68.

9. Czerny tells how Beethoven gave a scale as a theme for improvisation to a foreign pianist, to the pianist’s discomfiture, and he notes “shortly after Beethoven’s *Fantasia*, op.77 appeared, which is founded on such a scale and is simply the product of Beethoven’s humorous temperament” (von Beethovens lustigen Laune). Carl Czerny, *Erinnerungen aus meinem Leben*, ed. and annotated by Walter Kolneder, *Collection d’études musicologiques Sammlungen musikwissenschaftlicher Abhandlungen*, vol. 46 (Strasbourg: Editions P. H. Heitz, 1968), p.46.

We normally consider the theoretical relationship between improvisation and composition to be linear and progressive; that is, intuition-based creative spontaneity—however much it may be conditioned by learned gestures and structures—leads, through various degrees of reflection and consideration, to an elaborated and polished durable written text. The argument here, based on Czerny's claim, is that Beethoven has, for profound expressive purposes, reduplicated this linear process back on itself. Of course, the finale of the Ninth is carefully considered, elaborated, polished, fixed, and durable, but its extraordinary originality and indeed its subtlety—deeply embedded within its euphoria—lie in Beethoven's chosen generic-structural mode.

Beethoven as Improviser

When visitors or friends asked Beethoven to play, he would clearly prefer not to perform pieces but to improvise. He had apparently done so for Mozart in 1787;¹⁰ he did so in concerts around the turn of the century, also taking part in improvising competitions, for instance, on two pianos with Joseph Woelffl.¹¹ He improvised the opening of the *Chorfantasie* at its premiere in 1808 and possibly gave another improvisation on this occasion (see above). Even in later years, when profoundly deaf, he improvised, for instance, for Cipriani Potter in 1818, John Russell in 1821, George Smart in 1825, and Friedrich Wieck in either 1824 or 1826.¹² As Lewis Lockwood has recently maintained: “keyboard improvisation was for him a central imaginative process.”¹³

Reports of auditors on the characteristic approach Beethoven took in improvising emphasize the fecundity, range, and abruptness of his musical thought. Tomaschek noted in 1798, for instance, “his frequent daring deviations from one motive to another,”¹⁴ and Sir John Russell gave a more elaborated but essentially

10. Sonneck, *Beethoven: Impressions*, p. 11. Further accounts of Beethoven's early improvising may be found on pp. 13 and 15.

11. Ibid., pp. 22–23, 28, 36, 52, 73, 77. Stephan Ley, *Beethovens Leben in authentischen Bildern und Texten* (Berlin: B. Cassirer, 1925), p. 43, quoting Ignaz von Seyfried.

12. Sonneck, *Beethoven: Impressions*, pp. 111, 116, 194, 208. For a supplementary listing of occasions on which Beethoven improvised, see Theodor von Frimmel, *Beethoven-Handbuch* (Leipzig: Breitkopf and Härtel, 1926; rpt. Hildesheim: G. Olms, 1968), I, 132–36.

13. Lewis Lockwood, *Beethoven: The Music and the Life* (New York: W. W. Norton, 2003), p. 285. See also William Meredith, “Beethoven's Creativity: His Improvisations,” *Beethoven Newsletter* 1 (1986), 25–28.

14. Sonneck, *Beethoven: Impressions*, p. 22.

similar account in 1821: “At first he only struck now and then a few hurried and interrupted notes, as if afraid of being detected in a crime; but gradually he forgot everything else, and ran on during half an hour in a fantasy, in a style extremely varied, and marked, above all, by the most abrupt transitions.”¹⁵

Beethoven’s sketched notes to himself on improvisation around the time of the first performance of the *Chorfantasie* are indicative. “One improvises actually only when one gives no consideration to what one plays, so—if one is to improvise in the best and truest manner in public—one gives oneself over freely just to what pleases one.” The emphasis on spontaneity is of course no surprise; the implication that one should not concern oneself with continuity—“logic” as Schoenberg might have called it—helps us understand the discursive, at times disruptive, nature of Beethoven’s practice. “Lied varied / at the end a fugue and / finishing pianissimo / each fantasy drafted in this fashion / and then carried through in the theatre.” This note is clearly an *aide mémoire* referring to one or more specific occasions that have seemingly already happened or at least are about to happen in the near future: the important aspects to stress here are the references to Lied, variations, and fugue. We may also remark on the combination of spontaneity and planning that these two notes taken together imply: general procedures are brought into play, but intuition should not be gainsaid and conventionally good continuation may be suspended. Two additional notes stress the importance of variations and of a Lied as theme. “On other occasions let oneself be given the theme written down and immediately vary it.” “Have read through all opera-libretti and sometimes appropriate texts to be used for a Lied for variations, for example a Lied bidding farewell or similarly about goodbyes, as it may be when one takes one’s leave for somewhere else.”¹⁶ An interesting implication of this last note is that Beethoven

15. Ibid., pp.22, 116. See also Frimmel, *Beethoven-Handbuch*, I, 134, for Johann Friedrich Nisle’s account of an improvisation in 1808 in which he emphasizes the swiftness and radicalness of the changes in mood.

16. These remarks are found on the sketch bifolium Bonn Mh 75, fols.3–4, part of the Sketchbook of 1807–08 (digital images may be accessed at www.beethoven-haus-bonn.de): 1. “Man fantasirt eigentlich nur, wenn man gar nicht acht giebt, was man spielt, so—würde man auch am besten, wahrsten fantasiren öffentlich—sich ungezwungen überlassen, eben was einem gefällt.” 2. “Lied variiert / am Ende Fuge und / mit pianissimo aufgehört / auf diese Art jede Phantasie entworfen / und hernach im Theater ausgeführt.” 3. “Bei andern Gelegenheit[en] sich das Thema geben lassen / geschrieben und gleich variiert.” 4. “alle opern-Bücher durchgelesen und manchmal passende Texte / zu einem lied zum variieren anzuwenden, so z.B. / ein lied er lebe wohl oder d.g. von Abschiede wie es kömmt / wenn man irgendwo fortgeht” (quoted following Sisman, “After the Heroic Style,” p.76, nn.18–19, who in turn follows Helmut Aloysius Löw, *Die Improvisation im Klavierwerk L. van Beethovens* [diss. Univ. Saarland, 1962]).

needed a text on which to generate a suitable new Lied, and one might speculate on whether that text had further influence on the course of the improvisation arising; since there is no known text to the Lied in op.77, an investigation into any possible impact of the text of *Gegenliebe*, WoO 118, on op.80 is the only course open to scholars at present.

Thus we may build up a general picture of the type of improvisation at issue in this body of evidence: that it was characterised by an imaginative freedom entailing abruptness, variety and surprise, that it included a Lied for variations and fugal material. Well-thought-out deceptions (“vernünftige Betrugereyen”) had been identified by C. P. E. Bach as belonging to a good *fantasie*,¹⁷ and in his improvisations Beethoven clearly followed the teaching of this guide that he respected so much. The essence therefore in this respect is the thwarting of particular expectation, and this can be achieved by breaking off a seemingly established continuity, by searching for an appropriate theme for a generically established slot in inappropriate directions, or by substitution. The nature of the Lied for variations is of course essentially vocal in origin, and further deductions concerning its characteristically *volkstümlich* style and the types of fugal material Beethoven thought appropriate will be offered below.

Overall Structures

Both the *Fantasie*, op.77, and the *Chorfantasie*, op.80, begin with the rhetoric of disorientation. In op.77 the downward scalar flourishes define G minor, in which key the first phrase of a possible theme appears (m.1³–3¹); when this opening is repeated in sequence a tone lower, the disruption is thematic as well as tonal, for we know the melody cannot in this form now become a structured theme for elaboration. The following potential theme in D \flat major (m. 5^{2.2}*ff.*) has the necessary tonal stability—its first four-measure phrase moves to V and its second is a repeat at a different register—but it is interrupted after the first phrase by the most extensive scale in the piece yet and after the second by a sequential cadence-extension and further scalar gestures; it is thus decisively denied normal continuation. In op.80 the emphatic C-minor I–IV progression of mm.1–3 points toward V in m.4, an expectation that is subverted by the arrival of V⁷/III. By the time the new delicate figuration appears in m.6 we have reoriented to E \flat major as tonic and

17. Carl Philipp Emanuel Bach, *Versuch über die wahre Art, das Clavier zu spielen: Faksimile-Nachdruck der 1. Auflage, Berlin 1753 and 1762*, ed. Lothar Hoffmann-Erbrecht (Leipzig: Breitkopf and Härtel, 1957), p.330.

repared the opening as “out-of key”; yet this new tonic also proves deceptive, for it is deviated back to C minor at the beginning of m.7, initiating sequential spirals that allow neither key to become truly established. Furthermore, the figuration is not permitted to flower into anything of thematic substance either. In both these beginnings, there is an energizing of creativity, idiomatically connected with what the fingers will do on the keyboard.

The rhetoric of disorientation develops in both works into the quest for thematic material that can bring stability with it: the Lied for variations. In op.77 the quest proceeds through proposals and delays in which at least one suitable theme is presented and left: the so-called *Frühlingslied* theme,¹⁸ with its simple structure, the last phrase of which is prevented from reaching cadence. Since the aim is toward the *volkstümliches* Lied, a measure of the similarity/difference of the material being tried out, to and from such a Lied, gives meaning to the piece. In op.80 the orchestral proposal of a protofugue subject is brought to abandonment by the horn calls, summoning the soloist to main purpose, as it were. In the finale of the Ninth the rhetoric of disorientation takes violent form in the *Schreckensfanfare*¹⁹ and the emphatic instrumental recitatives; the review and dismissal of preceding movements constitute a special form of quest—might the old material yet serve?

As we have seen, the Lied for variations is a consistent feature of this form of improvisation, and in all three movements this Lied is relatively simply structured, easily singable, memorable, in essence *volkstümlich*. This is the interim goal of the opening uncertainties. The course of the variations in each work is similar also: initially simple elaborative variations proceed on the lines of good continuation as suggested by the formal variation-archetype, until a disruption occurs, after which the variation sequence is reestablished on a refreshed, enhanced basis. Where does the disruptive interruption come from? How is it motivated—perhaps by intuitive dissatisfaction with the normality and predictability of the variation sequence, perhaps by recollection that the creator is in the middle of a *fantasie*, perhaps a mixture

18. Peter Schleuning's designation in *Beethoven: Interpretationen seiner Werke*, p.607.

19. Wagner's term, in “Zum Vortrag der neunten Symphonie Beethovens,” *Gesammelte Schriften und Dichtungen von Richard Wagner* (Leipzig: Fritzsche, 1887/8), IX, 241. He also called this passage the “fürchtbare Fanfare” (IX, 243), and had earlier characterized it as: “der wilde, chaotische Aufschrei der unbefriedigten Leidenschaft” (the wild, chaotic shriek of unresolved passion) in “Bericht über die Aufführung der neunten Symphonie von Beethoven im Jahre 1846, nebst Programm dazu” (*Gesammelte Schriften und Dichtungen*, II, 61). Schenker called it “eine fürchterliche Sturzwelle” (a fearsome breaker) in his *Beethovens Neunte Sinfonie: Eine Darstellung des musikalischen Inhaltes unter fortlaufender Berücksichtigung auch des Vortrages und der Literatur* (Vienna: Universal Edition, 1912), p.249.

of both (for these two reasons are not in conflict)? Or perhaps it is symbolic of lack of rational control: the controlled has to be answered by the uncontrolled.

Fugue has a roving function, characteristically outside the variation-chains: in the *Fantasie*, op.77, it occurs during the quest for the Lied theme finally adopted; in the *Chorfantasie* it is merely suggested in the two orchestral interruptions, the one stopping the soloist's introduction and the other forming part of the intervention in the variation sequence; in the finale of the Ninth it has a hugely elaborated role, again on two separate formal occasions, as the "battle" fugue following the Turkish variations and as the double fugue combining the *Freude* and *Seid umschlungen* themes. All three movements have elements of contrast integrated within the structure and end with diversification and its correlative compression, in the rhetoric of enhanced closure. Thus we may posit a repertoire of general procedural constituents: rapid traverse of sharply contrasted gestural fragments (RT); establishment of interim stability, being the characteristic Lied and variations (S1); disruption, including a surprise factor (DI); establishment of replacement stability, being a resumption of the variation sequence under new circumstances of key and/or instrumentation (S2); contrast and integration, that is: a new contrasting theme, which is then combined with previous material (CI); diversification and compression, in which variations or transformations of the theme(s) become intensified (DC). Abruptness and discursion naturally belong together in this kind of music-making: discursion without abruptness would lead to prolixity and loss of energy, abruptness without discursion to unmotivated disconnectedness and loss of eloquence.

The following list gives a synoptic overview of the *Fantasie*, op.77: a kind of map, if you will, of its main phases of activity and segmentations; this has been kept deliberately summary, to lay bare the higher, procedural level of structure.²⁰

The Fantasie, op.77

1. Mm.1–14. Rapid scales divide and connect registers; isolated melodic phrases are interspersed, structured by sequence or registral change; a

20. A detailed study of the work's genesis, recent critical reception and structure may be found in John Rink, "Schenker and Improvisation," *Journal of Music Theory* 37 (1993), 1–54, here 14–21. Rink's subtle and persuasive analysis offers a different perspective on the piece, oriented as it is to uncovering Schenkerian principles at work in Beethoven's improvisatory/compositional thinking. Particularly significant for present purposes is Rink's identification of deception and uncertainty as determining constituents of "free fantasy" improvisation and form. Elaine Sisman also gives a persuasive analysis of the work, in "After the Heroic Style," pp.70–78.

- possible theme tries to emerge; the extreme tonal poles of G minor and D \flat major act as primary points of reference. = RT.
2. Mm. 15–156. Four contrasted themes are presented: a fuller *Frühlingslied* theme in B \flat major, which could well serve as the Lied for variations until, in its repeated cadence, it becomes stuck on the final subdominant chord of m. 24, prolonged through repetition and dynamic decrease for four measures, then tonicized through a further eight-and-one-half measures of primitive imitative work; an energetic and figurative theme in D minor,²¹ by way of a cadenzalike eruption of arpeggios, strongly structured but clearly inappropriate as a Lied theme for variations, especially as its melody is already divided by idiomatic diminutions; the coming variation theme is allusively presaged in A \flat major and B \flat minor, separated by a brief return of the scale from the opening and succeeded by a reference back to the cadenzalike arpeggio eruption; an *Eingang* on V of B minor leads to a fugato on a subject that combines scale and arpeggio—the counterpoint is held at a primitive level and leads to a varied return of the allusive presaging, now prolonging V in B minor. The evolutionary process here is the trying out of material for potential stability, which for various reasons is inappropriate and/or abandoned, in the dual context of cadenza and emergence of the Lied; the fugato is not centrally part of this scheme and acts as delay, deception, and diversion. = (illusory) S1 + CI, as RT continued.²²
 3. Mm. 157–221^{1.1}. The Lied theme of eight measures in B major is followed by seven figural variations that retain both form and key of the theme. = S1.
 4. Mm. 221^{1.2}–45. The work's opening scales return as interruption; the variation theme reappears in C major (suggesting the replacement stability), but development with modulation substitutes for its responsive phrase, leading to a cadential peroration in B major and continuing variation VII (from just before the interruption, therefore); the scales and the Lied theme in its simplest form conclude the work in B major. The second stability thus proves deceptive. = DI + (S2) + DC.

Three powerful foregroundings of deception in the *Fantasie*, op. 77, have been alluded to in the list above: the noncompletion of the cadence-repeat underway at the anticipated end of the *Frühlingslied* theme and the ensuing abandonment of this theme as the expected central theme of the *Fantasie* (expected because of the

21. Sisman calls this a “*Sturm-und-Drang* étude” (ibid., p. 77).

22. Further such “illusory” functions are indicated below by means of brackets surrounding the appropriate abbreviations.

rhetorical transits preceding it and because of its clear suitability); the trying out of the étude and the fugue as possible main themes; and the deviation to C major following the interruption of the variation chain, so suggestive of a new beginning in theme (as another variation-chain) and key, but diverted quickly back to the old in both aspects.

The *Chorfantasie*, op.80, has long been identified closely with Beethoven's improvisatory practice. It was conceived as the finale to the concert on 22 December 1808, in which the Fifth and Sixth Symphonies, and the Fourth Piano Concerto were premiered and the Gloria and Sanctus of the C-Major Mass and concert aria *Ah Perfido!* performed, along with an improvisation by Beethoven; this could have been the *Fantasie*, op.77, or the opening of op.80 itself, for Beethoven improvised this opening at the concert and in the score did not write the heading "Finale" until the orchestra enters. The concert advertisement described the conclusion of the event as consisting of a "Fantasia for the piano which ends as a finale with the gradual entrance of the entire orchestra and finally the introduction of choruses." Culmination or finale-ness was thus here already conceived as both incremental and inclusive. A synoptic overview of this work follows.

The Chorfantasie, op.80

1. Mm.1–26. Full-chord arpeggios, scales, and figurative work are interspersed with more delicate figurative material and elaborated by sequence; C-minor tonality surrounds a modulatory trajectory that includes interim tonicizations of E \flat , E, and G majors. = RT.
2. Mm.27–60¹. An emergent orchestral fugato is interleaved with melodic piano material, leading to horn calls; C minor→major. = RT renewed.
3. Mm.60^{2,1}–388¹. The Lied theme of sixteen measures in C major, drawn from the song *Gegenliebe*, WoO 118,²³ is followed by five figural variations retaining the form and key of the theme, successively for flute, oboes, clarinets and bassoon, solo string quartet, and full orchestra; links and developments lead into and surround four further "character" variations, being a scherzolike compression for pianoforte and orchestra in C minor; a flowing, simplified yet extensively developed version of the theme for pianoforte and orchestra beginning in B major, modulating through various keys to A minor, with

23. The theme as song-verse consists of six phrases: a, a₁, b, b, a, a₂. For the *Chorfantasie*, Beethoven essentially shortened and simplified the theme into four phrases, to the third of which, however, he added an elaborative cadenza: a, a₁, b, a₁.

emphatic cadential material in three-measure phrases; a slow lyrical movement for orchestra with filigree figuration for pianoforte in A major; and a march for pianoforte and orchestra in F major, followed by modulatory transitional material. = S1 + elements of (CI).

4. Mm. 388²–612. Arpeggios, the emergent fugato, and the horn calls return as interruption, suggesting a compressed rebeginning; a further three, now vocal variations and coda close the work: variation X has the theme on high voices with figural decoration on pianoforte; variation XI transfers the theme to low voices with an increased rate of figural decoration on pianoforte; variation XII is for full choir with orchestral accompaniment; a coda includes imitation between the voices and an acceleration of tempo, C major. = DI + S2 + DC.

The suggestions of fugue, which tries to begin in the bass on two separate occasions, are expressively powerful while remaining contrapuntally distinctly rudimentary, and, in their brevity, they surely constitute a pair of “well-thought-out deceptions.” Since the main theme is taken directly from the second part of the song-pair “Seufzer eines Ungeliebten—Gegenliebe” (1794–95), it is already a Lied and is, indeed, one in *volkstümlich* style. The first variation sequence becomes relatively elaborate, especially with the generically diverse “character” variations, which bring elements of contrast into play. The origins of the work were clearly occasional, as it was designed as the summation of the great concert. It is therefore distinctly possible that the decision to include voices was pragmatic, relatively late, and arrived at because the choir was on hand. According to Czerny, the poetry was written to fit the music. The poet Christoph Kuffner responded to Beethoven’s request at the shortest notice and wrote of the force of music and words to bring light, peace, and spiritual renewal.²⁴

If we follow the leads provided by these overviews and parse the 11 sections of the finale of the Ninth as found by Webster and Tusa (= W/T in the list below) in terms of the improvisational processes so far delineated, the results are as follows.

The Ninth Symphony, Op. 125: Finale

1. (= W/T 1–2). Mm. 0³–91 and 92–208². The startling rhetoric of the *Schreckensfanfare*, its attendant instrumental recitatives, the review and dismissal of

24. See Wilhelm Seidel’s essay on op. 80 in *Beethoven: Interpretationen seiner Werke*, p. 621. Czerny is also cited in Willy Hess’s introduction to the Eulenberg score of op. 80 (E.E. 6451), where Hess adduces sketch and other evidence that call this account somewhat into question.

the preceding movements, and the emergence of the *Freude* theme constitute the trying-out of the medium and seeing what occurs, the questing “will-this-do?” phase, together with the finding of the beginnings of a theme with appropriate potential. In mm.92–208² that theme is fully found and its immediate potential realized, in the instrumental version of the *Freude* theme and three variations and postlude. D minor→major. = RT + S1.

2. (= W/T 3–7). Mm.208³–594. The *Schreckensfanfare* and the rejection of instrumentality by vocal recitative lead to the introduction and establishment of the vocal version of the *Freude* theme plus four variations; the last two change key and topos, being the Turkish (military) music followed by the instrumental fugue (“battle” music); this Turkish music and fugue act as surprise contrasts and are followed by integration, enacted by the climactic restatement of the *Freude* theme. D minor→major; B \flat major→minor→B minor; D major. = DI + S2 + (CI).
3. (= W/T 8–9). Mm.594³–762. Sacred hymn and vocal double fugue (the learned style; drawing together the worldly and transcendent, and integrating the two themes: *Freude* and *Seid umschlungen*) and restatement of part of hymn. G major→C major→F major→D major. = CI.
4. (= W/T 10–11). Mm.763–940. Codalike compression of fast and slow transformations and elaborations of the *Freude* theme (mm.763–842) and *Seid umschlungen* theme (mm.851–940), including an operatic vocal cadenza, presto and prestissimo vocal and instrumental passages, a piling up of rhetorical gestures in euphoric closure, intensified by brevity and abrupt abutments, and including a return of the Turkish percussion. D major→B major →D major. = DC.

The emergence of the Turkish music as an abrupt abutment, forming an entirely new expressive moment or topos, is thus here viewed as lying in the middle of a macro-structural section. Heinrich Schenker's and Lewis Lockwood's analyses of the movement are among the relatively rare ones that group the Turkish music with the preceding variations in this way,²⁵ allowing surprise to be integrated into “normal” good continuation, as it were. The finale of the Ninth thus shares with Beethoven's improvisations, albeit in enhanced and highly elaborated ways, the characteristic combination of breadth and compression, the intensity of such impacted discursion, the inclusion of rhetorical gesture and a very wide range of expressive topoi,²⁶ with abrupt changes between these, the use of the improvisation-

25. Schenker, *Beethovens Neunte Sinfonie*, pp.268–92; Lockwood, *The Music and the Life*, pp.433–38.

26. See Table 1 in Tusa, “*Noch einmal*,” p.117.

friendly forms of variation and fugue, and the interruption and resumption of a variation-chain.

On the strength of these broad-brush accounts we may postulate a generic formal template for Beethoven's composed "free fantasias" and—by extrapolation based on the assurances of Czerny—of some of his lost improvised ones also. In sum:

- Op.77 progresses through: RT; (S1) + CI, as RT continued; S1; DI + (S2) + DC
- Op.80 progresses through: RT; RT renewed; S1 + elements of (CI); DI + S2 + DC
- Op.125, movt. IV progresses through: RT + S1; DI + S2 + (CI); CI; DC

The emergent generic formal template is therefore: begin with rapid traverse of sharply contrasted gestural fragments (RT); move to establishment of interim stability (S1); break off with disruptive interruption (DI); move to establishment of replacement stability (S2); possibly move to contrast and integration (CI); and conclude with diversification and compression (DC).

Aspects of the Development of the Finale of the Ninth

While sketching the Seventh and Eighth Symphonies in 1812, Beethoven noted a further projected Symphony in D Minor;²⁷ but the earliest sketch appearance of a theme actually used in the Symphony is in 1815/16²⁸ an abbreviated form of the fugue subject of the scherzo, to lead to a "slow ending" and not noted as at that time for the Symphony. By 1817 Beethoven was working specifically on the Symphony with sketches that, however, we can recognize for its first two movements, though at this stage he was undecided on whether the scherzo should be placed second or third. From 1818 (the second half, in Nottebohm's dating, ca. March/April, in Brandenburg's revision) comes the extraordinary draft plan: "Adagio Cantique—Solemn song in a symphony in the old modes—Herr Gott dich loben wir—alleluja—either as an independent piece or as an introduction to a fugue. Perhaps the entire second symphony to be characterized in this manner, whereby singing voices will enter in the finale, or even in the Adagio. The violins, etc. in the orchestra will be increased tenfold in the finale. Or the Adagio will be

27. N II, pp.101–18, here p.111.

28. For the dating of the Scheide Sketchbook and its contents, see JTW, pp.241–46; and Sieghard Brandenburg, "Die Skizzen zur Neunten Symphonie," in *Zu Beethoven 2: Aufsätze und Dokumente*, ed. Harry Goldschmidt (Berlin:Verlag Neue Musik, 1984), pp.88–129, here p.91.

repeated in a particular fashion in the finale, with the singing voices introduced one by one. In the adagio the text of a Greek myth, *Cantique Ecclésiastique*—in the Allegro, a Bacchanalian Festival.”²⁹ This is the first indication that Beethoven was thinking of introducing voices into one of his symphonies; the idea for a slow modal song, however, found its way later and without voices into the “*Heiliger Dankgesang*” of op.132 of 1824–25. “*Herr Gott, dich loben wir*” is, of course, the Lutheran *Te Deum*, the chorale for which is in the Phrygian mode. The reference to two symphonies at this stage is surely in direct response to the terms of the original commission from the Philharmonic Society of London.³⁰

Other works engaged his attention: the Piano Sonatas, ops. 109, 110, and 111, the *Missa solemnis*, the Overture *Die Weihe des Hauses*; and it was not until 1822 that he returned in a sustained way to symphonic plans. At this time the first movement of the Ninth was confirmed in place, but Beethoven was now exploring a range of ideas for the scherzo. There are also two settings of the first lines of Schiller’s poem, one in $\frac{6}{8}$ with the note: “The German Symphony either with or without variations after which the choir enters. The end of the Symphony with Turkish music and choir”; the other setting gives the first four measures of the *Freude* theme, fully formed and headed “finale,” with the comment “*recht fugirt*”³¹—these two alternatives were later to come momentarily together, of course.

By Schiller’s own account, his poem rapidly became a “folk-poem,” and Beethoven met it with a tune of universal appeal and ready recall. After its first appearance in

29. N II, pp.157–92, here p.163: “Adagio Cantique—Frommer Gesang in einer Sinfonie in den alten Tonarten—Herr Gott dich loben wir—alleluja—entweder für sich allein oder als Einleitung in eine Fuge. Vielleicht auf diese Weise die ganze 2te Sinfonie charakterisirt, wo alsdenn im letzten Stück oder schon im Adagio die Singstimmen eintreten. Die Orchester Violinen etc. werden beim letzten Stück verzehnfacht. Oder das Adagio wird auf gewisse Weise im letzten Stücke wiederholt wobei alsdenn erst die Singstimmen nach u. nach eintreten—im Adagio Text griechischer Mythos Cantique Ecclésiastique—im Allegro Feier des Bachus.” The sketch is in Bonn HCB BSk 8/56. The transcription given in the digital archives of the Beethovenhaus (www.beethoven-haus-bonn.de) is at variance in certain details, including “im Allegro Fuge des Bachus”; I have preferred Nottebohm, not least because the Bonn transcription of Fuge here appears to be a misreading of Beethoven’s “Feier.” The Web site dates the sketch leaf to 1817/18. Brandenburg, “Die Skizzen zur Neunten Symphonie,” p.103.

30. See Brandenburg, letter no.1129 (Ferdinand Ries to Beethoven, 9 June 1817), V, 64–67.

31. The last note is written as a quarter note; while the sketch represents the music of the first four measures, the actual duration is three-and-three-quarter measures. The sketch is in Artaria 201, p.111; Nicholas Cook has shown that Nottebohm was incorrect to attribute the comment “*recht fugirt*” to the scherzo theme: Cook, *Symphony No.9*, p.16. JTW, pp.275ff. dates the Ninth Symphony sketches in Artaria 201 to between October 1822 and February/March 1823.

the sketches, it underwent much work before reaching its final form.³² There is no evidence in the sketches or otherwise that Beethoven ever considered the *Freude* theme as a recomposition of the *Gegenliebe* theme of op.80, as many commentators have assumed it to be. The *volkstümliche Manier* is relatively rare in Beethoven's work; it is related to but clearly different from the elevated hymnic style, in, for instance, the Arietta from the Piano Sonata, op.111, in the Cavatina from the String Quartet, op.130, or indeed in the slow movement of the Ninth. Like these, it is essentially diatonic, singable, clearly phrased, but it is faster, more repetitive. As we have seen, Beethoven used this manner in both his fantasies, and it was clearly the archetypal style of the Lied for variations in improvisations and improvisationally based works.

He had sketched instrumental material labeled "Finale" and "Vor der Freude" probably around April 1823, and followed this with other similarly intended material, all not used.³³ He was thus exercised over a problem of transition: how to introduce the Ode setting in a way that made it a logical outcome of the preceding instrumental movements, anchoring the vocality as much as possible within the symphonic genre. In the second half of 1823, he came to the idea that this integration was to be achieved by a narrative of rejection, and he brought into play two elements of his improvisatory technique: the opening rhetoric of disorientation and the quest for material. Accordingly, he sketched the fanfare, recitatives, review, and dismissal of the previous movements (here done vocally with text) and emergence of the *Freude* melody. For the review and dismissal of movements in this sketch, Beethoven wrote after the quotation from the first movement: "Oh, no! Not this, something more agreeable is what I require," after the quotation from the second "this neither, it's no better, just somewhat more jovial," after that from the third "also this one, it is too delicate; something more get-up-and-go will have to be sought, as . . . I will see to it that I myself sing you something in accord with the mood [the first two measures of the *Freude* theme appear] this is it, ha, now we have found it: Freude schöner."³⁴ We particularly note his intention to become

32. N II, pp.183–84, and Robert Winter, "The Sketches for the 'Ode to Joy'," in *Beethoven, Performers, and Critics: The International Beethoven Congress Detroit, 1977*, ed. Robert Winter and Bruce Carr (Detroit: Wayne State UP, 1980), pp.176–214, here pp.182–97.

33. N II, pp.186ff.; Nottebohm dated the first of these sketches, in Landsberg 8/1 p.12, at the latest to July 1823. In JTW, pp.290–91, this date is revised to around April 1823. See also Winter, "Sketches for the 'Ode to Joy'," p.197.

34. The sketch is in Landsberg 82 (gathering VII, p.69); see JTW, pp.292–98. The text in this sketch is hard to decipher, and my translation here follows N II, pp.190–91: "o nein, dieses nicht, etwas anderes gefälliges ist es was ich fordere / auch dieses nicht, ist nicht besser, sondern nur etwas heiterer / auch

himself a *dramatis persona* in his own work—which he later ameliorated but could not fully gainsay simply by deleting the personal pronoun.

The next stage of development involved a further harnessing of the procedures of improvisation; the breaking into and renewal of a variation sequence, which brought with it the decision to have the first part of the variation sequence instrumental, and the breaking into it and its renewal vocally based. Accordingly, the prefatory review, dismissal, and discovery had to become instrumental too, in which the cello/bass recitatives already imply the inadequacy of the purely instrumental. This implication was then realized by the astonishing intervention of Beethoven-baritone, who stops the Symphony as prepared and in progress: narrativity itself thereby becomes explicit as he initiates notes “more pleasant and more full of joy.” These notes turn out to be the same as the purely instrumental theme, but with words and sung: it is thus pure vocality that is “more pleasant and more full of joy.” Here the topos of improvisation becomes part of not only the musical structure but also the dramatic narrative, as will be discussed further below.

What of Schiller's text and its treatment in the Symphony? Beethoven did not use this text in any conventional way to establish musical form, and in three fundamental respects he subverted, undermined, and reconstituted it for musicodramatic purposes: he altered the position of “Seid umschlungen, Millionen!” from just after “Wo dein sanfter Flügel weilt” to much later, to precede “Ihr stürzt nieder, Millionen!”; he reduced the text and its content by over half, cutting out entirely the Bacchanalian element; and he made parts of the text recur as the musical themes with which they had become associated.

Schiller had written his poem *An die Freude* in 1785 (published in 1786)—he himself did not call it an ode—it was Beethoven who did that in titling the Ninth for publication. In 1800, however, Schiller wrote to his friend Christian Gottfried Körner that it was “entirely flawed” and “a bad poem,”³⁵ and in 1803 he published a revised version, slightly shorter and with some alterations of detail. This revision

dieses es ist zu zärtl.[ich] etwas aufgewecktes (?) muss man suchen wie die . . . ich werde sehn dass ich selbst euch etwas vorsinge was der stimm . . . mir nach / dieses ist es ha es ist nun gefunden Freude schöner.” See also Lühning, “Grenzen des Gesanges,” pp.38–39, where she illustrates the sketch and offers a somewhat differing transcription: “O nein dieses nicht—etwas andres gefälliges ist es was ich fordre / auch dieses nicht, ist nicht besser sondern nur etwas heiterer / auch dieses es ist zu zärtlich, etwas aufgewecktes muß man suchen / ich werde sehn, daß ich selbst euch etwas vorsinge / dieses ist es ha es ist nun gefunden.” For a list of transcriptions, see Stephen Hinton, “Not *Which* Tones? The Crux of Beethoven's Ninth,” *19CM* 22 (1998), 61–77, here p.68.

35. Cited in English translation in Levy, *The Ninth Symphony*, p.10. For further discussion of Schiller's dissatisfaction, see Solomon, *Essays*, p.209.

can in no sense be described as radical, however, and should not be taken therefore as a full response to or outcome of its creator's dissatisfactions; perhaps it was only Beethoven who could thoroughly fulfill Schiller's corrective urge! Beethoven had first used material from the poem in his "Leopold" Cantata (1790); he formed plans for a fuller setting before leaving Bonn, and there is a lengthy series of sketch- and work-traces related to this project: a sketch in C major of 1798–99, different from any of his subsequent music for the poem;³⁶ a now-lost song offered to Simrock by Ferdinand Ries on Beethoven's behalf in 1803;³⁷ the finale to *Leonore/Fidelio* act II of 1804–05 setting "Wer ein holdes Weib errungen"; a new C-major sketch of 1811–12, during which the note "ripped out verses like princes are beggars etc. not the whole" appears³⁸—evidence that he already intended to take a severe editorial approach to the poem for musical purposes. This music, without its words, found its way in 1815 into the Overture *Namensfeier*, op. 115.

At least by the time he came to set the text for the finale of the Ninth he knew both of Schiller's versions of the poem and conflated them—for instance: "was die Mode streng getheilt / Alle Menschen werden Brüder" comes from the second (in the first it is "was der Mode Schwert getheilt / Bettler werden Fürstenbrüder"), while "Laufet, Brüder, eure Bahn" is from the first (in the second it is "Wandelt, Brüder, eure Bahn"). The reordering of material serves the primary purpose of strategic placement of the central move from the essentially secular world of the opening to the transcendental world of the sacred hymn *Seid umschlungen*; this allows more variational elaboration of the *Freude* theme before the change and groups the first occurrence of the Turkish music straightforwardly with the earlier secular world.

As to the cutting, Schiller's first version of his poem has 108 lines, the second 96; Beethoven takes well under half of these: 46 in total. What then did Beethoven—Schiller's great enthusiast and here his greatest critic—omit? Exhortations to honor sympathy, to endure for a better world, to forgive our enemy, to defeat perfidy, delineations of Joy as the animating force of nature, as lighting the way to the angels, as solace to the dying. But during its latter half, Schiller's poem grows explicitly into the drinking song it was always intended to be, albeit into a very elevated one: "This glass to the good spirit, there above the starry sky," and "swear fidelity to the vow through this golden wine." Of this turn there is no trace in Beethoven's

36. Grasnick I, fol. 13^r. See N II, p. 479.

37. Brandenburg, letter no. 155 (13 September 1803), I, 180; Lühning, "Grenzen des Gesanges," p. 25.

38. Petter Sketchbook, Bonn HCB Mh 59, fol. 43^r: "abgerissene sä[t]ze wie Fürsten sind Bettler u.s.w. nicht das Ganze"; see the digital image at www.beethoven-haus-bonn.de. Further references to Schiller's poem are found at the bottom of fol. 42^r: see JTW, p. 215.

adaptation, and in treating Schiller's text in this way he has simplified, clarified, reemphasized perhaps even refocused the central message, removing the worldly alcohol in favor of a purely spiritual intoxication. His projected Bacchanal in an early sketch for the Symphony has thus become ethical and aspirational, and we find ourselves listening, at least in some senses, to a humanist/pantheist version of the *Missa solemnis*.³⁹ The composer's central, essentially social message is supported by "Be embraced, you millions / this kiss for the whole world" and "brothers, above the canopy of stars a dear Father has to dwell"—the kiss is a ritualistic greeting, bodying forth and enacting joy itself, bringing humanity together in unity, and it points the way to the numinous and veiled godhead from whom it comes and whom it substantiates. The mix of classical and Christian theology is characteristic and allusive and, together with the Turkish music, breaks religious exclusivity decisively open.

Beethoven sets Schiller's opening lines 1–2 "Freude, schöner Götterfunken, / Tochter aus Elysium" on five separate structural occasions, including near the beginning of the vocal part of the movement and at its very end; Schiller's lines 9–10 "Seid umschlungen Millionen! / Diesen Kuß der ganzen Welt" he sets on three separate such occasions; lines 11–12 "Brüder – überm Sternenzelt / Muß ein lieber Vater wohnen" and lines 29–32 beginning "Ihr stürzt nieder," each on two. Thus he treats the phrases of the text as if they were primarily the musical themes they have in a sense become; Debussy even went as far as to maintain: "Schiller's verses are given, in fact, an exclusively sonic meaning."⁴⁰ But, *pace* Debussy, the verbal semantics remain for those who wish to hear them, as they remained for Beethoven in composing the work, and the repetitions play a distinctive role in the development of the narrative drama, as we shall see. Furthermore, "Joy, beauteous spark of the gods, Daughter from Elysium" becomes the emblematic and predominant motto of Beethoven's message, of the composer who may well have claimed that music must "strike fire from the soul,"⁴¹ whose Promethean quest for the fire of the gods was made actual in his own creativity (not only in his *Prometheus* music),

39. William Kinderman gives a persuasive account of musical parallels between the two works in "Beethoven's Compositional Models for the Choral Finale of the Ninth Symphony," in *Beethoven's Compositional Process*, ed. William Kinderman (Lincoln: U Nebraska P 1991), pp. 160–88.

40. Claude Debussy, *Monsieur Croche et autres écrits*, intro. François Lesure (Paris: Gallimard, 1987), pp. 36–37 "(les vers de Schiller n'ont vraiment là qu'une valeur sonore)."

41. TDR III, pp. 328–29. The letter in question is, of course, now held to be a fabrication of Bettina von Arnim; however, she was undeniably close to the composer, and the words she put into Beethoven's mouth here may well have once been there. The issue of their relationship would seem to be ripe for reevaluation.

and who was later portrayed in Klinger's great memorial sculpture as Beethoven-Prometheus.

The Narrative of Spontaneity

In each of the preceding movements Beethoven prepares us in a subtle way for the allegory of the last movement by suggesting that spontaneous creativity itself is part of the subject matter of the work. These places embody therefore a self-reflexivity about the processes of the Symphony's making. While the very opening of the work may be based, in its remote past, on the *Eingang*—such as Beethoven had used at the beginning of the finale of the First Symphony—in the Ninth the first theme is not so much “led-in”; rather it takes very *form* before our ears: the star-stuff of which it is made rushes together in an elemental gathering of energy, coalescing into the emphatic presence of the astonishing first theme. A similar kind of inscription of creativity itself occurs at the close of the scherzo, mm. 549–63, where seven measures of the trio return before breaking abruptly off, to be followed by the final cadence of the movement. Beethoven is customarily viewed here as playing with audience expectations: teasing the listener by a feigned return to the trio after the scherzo da capo. However, what he does is surely more radical than that. By breaking off so summarily before the end of the responsive phrase, Beethoven has actually composed a creative change of mind and made it part of the piece—a change of mind so compelling that it allowed of neither revision (erasure) nor amelioration (continuing to a natural caesura). This is unequivocally a motion of creativity in the raw, made into high art. Then the extraordinary final returning section (mm. 99–157) in the slow movement shows a range of invention and elaboration that bursts the bounds of the normal for such sections; in particular, the horn and trumpet calls (mm. 120^{12.1}*ff.* and 130^{12.1}*ff.*) and their aftermath suggest that fantasy has taken over and marginalized the archetype.

The allegory of improvisation is both formal and narrative, being two aspects of the one musicodramatic continuum. The beginning of the finale, with the *Schreckensfanfare*, the review and dismissal of previous movements, the emergence of the *Freude* theme and its consolidation in instrumental variations—all this lays bare a scenario of compositional choice and decision, the quest for material, the cross-generic instrumental recitative;⁴² it also sets the scene for surely one of the most startling, stupendous interventions in all music: the entry of the baritone at

42. Cooper relates this passage to Beethoven's creativity in the following terms: “The composer did, however, make something like a general statement about his creative process, but this comes in the form of a stylized representation in music. The passage in question is, of course, the beginning

"O Freunde, nicht diese Töne." Who is speaking, who is this disruptive singer, this *figura*, unnamed but omnipotent? It is certainly the director of the performance and must be therefore the composer himself—Beethoven, in the guise of an anonymous representative human being, using his own words to express his own will to abort the prepared music: "O friends, not these notes, but let us sound forth ones more agreeable and more full of joy."

The composer thus once again ruptures his own composition: but here he stops explicitly its prepared form as unsatisfactory, decisively altering its course into "uncharted" territory. Furthermore as continuing participant in his own music, he shapes the sequel: having stopped the work, he restarts it with the announcement "Freude, Freude" and begins to teach his newly drawn-in performing colleagues how to sing the *Freude* theme. These colleagues pick up the musical cues gradually and become progressively caught up in the music-making: the chorus basses sing "Freude!" on one note; the lower chorus voices repeat the second half of the melody after Beethoven-baritone; the soloists (chorus leaders) have now learned the tune and begin to offer relatively simple elaborations; again the lower chorus voices repeat after them. This is musicodramatic make-believe of the most potent sort, and one which enhances the expressed unity of the participants: if humanity can work together spontaneously like this, then all are indeed "brothers." As the elaborations become more complex, the chorus realizes that the emergent religious dimension ("Und der Cherub steht vor Gott") requires of it a new degree of awe, expressed in the climactic homophony of mm. 321–30 and the powerful harmonic move: $V/V \rightarrow V=I \rightarrow \text{VI}$ in mm. 325–30.⁴³

Picking up Schiller's marginal simile, "wie ein Held zum Siegen," Beethoven, extreme improviser, seizes the opportunity to introduce his planned Turkish music—the local military music around him in Vienna—and the soldiers come jauntily marching in.⁴⁴ However abrupt and interruptive this music is, it remains part of the variation sequence: thus Beethoven-instrumentalist (marching bands don't sing) starts up the

of the finale of the Ninth Symphony, which is as specific and programmatic as anything he wrote" (Barry Cooper, *Beethoven and the Creative Process* [Oxford: Clarendon, 1990, rpt. 1998], p. 8).

43. This move is taken directly from the *Chorfantasie*, where it occurs twice, in mm. 506–13 and 566–73.

44. Haydn had already brought such music into the concert hall in his "Military" Symphony, and Mozart had done so for the opera house in *Die Entführung aus dem Serail*; Turkish percussion stops were added to some pianos. Beethoven himself had made special use of Turkish music for the theatrical happening *Die Ruinen von Athen*, which has a march and chorus of dervishes, replete with almost caricaturing augmented fourths and lavish percussion. He was clearly having fun here; and in the Ninth too, there is no reason why extolling "Freude"—joy—should be a wholly serious matter! As Ignaz von

new Turkish variation, to which a colleague-soloist adds a countermelody.⁴⁵ The following instrumental fugue was seen by Wagner as battle music, a view surely encouraged and supported by the martial dotted rhythm of its countersubject and by the energetic, almost frenetic nature of the working out. But the battle is metaphoric—there is no enemy here—and the “brothers” are simply following their destined course with joy, as does the sun and the representative hero. The multitude, clearly on the side of the victors, if not the victors themselves, sings the first verse of the Ode as a song of triumph. The Turkish music with its fugue takes a decisive part in the allegory of improvisation, as a distinctive and vivid episode, as surprise “other” that nevertheless draws on materials ready-to-hand and readily understood, as coming abruptly upon us yet carrying forward the variation-chain, and as extending it into the formal typicality of fugue. The fugue empties into an artless bridge, leading to emphatic restatement of the *Freude* theme, by a chorus eager to reassert, demonstrate, and harness its knowledge to the emotion of the moment.

Beethoven builds on the secular expressions of joy so far achieved to turn to new spiritual material, taking in Schiller’s reaffirmation of inclusivity and turn to contemplation of the divine. In terms of the by-now established narrative of the finale, *Seid umschlungen* is clearly a known hymn to the singers, needing no prompting from a leader, and expressly signaled as sacred music by the trombone doubling of the voices. The hymn embodies the singers’ ecstatic aspirations and vision and switches into a more contemporary religious mode, no longer with the plural Greek gods of the opening, but now invoking “ein lieber Vater” and thus picking up the lead of the arrest at “und der Cherub steht vor Gott” immediately before the Turkish music. Within the enactment of the improvisational plan this works as diversification, to be followed by integration: the double fugue uniting the sacred and secular in the euphoric hymn-dance. The fugue represents a profoundly rethought version of Czerny’s improvisational type, the “potpourri,” a type that, in his *Anleitung*, he exemplifies in part by contrapuntal combination.⁴⁶

Seyfried related of Beethoven the man: “All who were better acquainted with him knew that in the art of laughter he also was a virtuoso of the first rank” (Sonneck, *Beethoven: Impressions*, p.41).

45. The improvisational force of this variation was certainly not lost on Vaughan Williams, though he expressed himself perhaps somewhat quaintly. He says of the singer: “He is without doubt a Welshman, for he is obviously singing a ‘Penillion’ to the principal melody, though he probably has not obeyed all the rules of ‘Penillion’ singing. Gradually his companions join in, and the song culminates in a lusty shout” (Ralph Vaughan Williams, *Some Thoughts on Beethoven’s Choral Symphony, with Writings on Other Musical Subjects* [London: Oxford UP, 1953], p.45). Penillion requires a singer to improvise a descant or counterpoint to a melody s/he is playing on the harp.

46. Czerny, *Systematic Introduction to Improvisation*, pp.88–90.

The codalike phase of compression and intensification that concludes the finale is constructed as a bipartite parallel to the two vocal phases of the movement: mm.763–842 as a transformative précis of the *Freude* melody together with new elaboration growing out of it, and mm.851–940 as a transformative précis of the sacred hymn *Seid umschlungen* and further new elaboration growing out of that. In mm.763^{ff.} the opening two measures of the *Freude* melody are treated instrumentally in diminution and canon, with a vocal elaboration of the cadence to the first half of the melody appended. The passage “Deine Zauber” (mm.782^{3ff.}) adumbrates the beginning of the second half of the melody—the first eight notes of the half are foreshortened here to notes 1, 2, 4, 7, 8—and treats this précis in canonic elaboration. “Alle Menschen” (mm.806^{2ff.}) features the characteristic anticipatory syncopation at the beginning of the melody’s penultimate phrase and takes the first and last pitches F \sharp and D of this section of the melody as its starting point; its own cadence refers to that of the melody itself, particularly in the motions G–F \sharp and G–E–D–E. For “Seid umschlungen” the four-measure phrase that forms the outset and basis of the new section here is constructed of the opening four notes of the hymn in diminution and sequence, joined to a filled-in version of the rising fourth of “Brüder! überm Sternenzelt”; the cadences again refer to that of the *Freude* melody. The euphoria of the codalike phase is thus generated by compression and intensifying elaboration, by extremes of tempo and their stark juxtapositions (there are seven changes of tempo, only one of them gradual), and by the tonal and generic detour of the soloists’ cadenza. The music and text in this final phase thus constitute a self-reflexive review of the substance of the movement; the participants in the narrative of joy look back, and in doing so their joy is enhanced, deepened, enriched, brought to ecstatic culmination.

The central thesis of the present study is that the finale of the Ninth Symphony is structured in a similar though much “grander” way to one of the characteristic structures Beethoven used for his improvisations, that this compositional choice for the overall form of the finale is part of his interpretation and expression of essential aspects of Schiller’s text, and that awareness of this basis for the composition can call forth a particular and suitable listening stance.

Listening Stance

What then are the elements that might underpin such a stance? For improvisation itself we listen in an events-based way, open to surprise, to change, to following new leads, to the spirit of exploration. “The best thing of all is a combination of

the surprising and the beautiful!” as Beethoven himself announced.⁴⁷ Surprise has to do with implication and its nonrealization, with the flouting of conventionally normal good continuation. When such continuation is disrupted, what is thematized is unpredictability, ambiguity, exposure to the unknown—and this can be as much an experience of the listener as it is of an improviser at work. For the improviser, spontaneity and the exigency of the moment come together to suggest and promote remote sequels; for the listener, one accepts the uncertainty and adventure with engagement and excitement. Simplicity and strong characterization of contrasts enhance the impact of this rhetoric, and when abrupt changes are compacted the excitement of uncertainty is correspondingly further intensified.

In his remark quoted above on the importance of giving oneself over freely “just to what pleases one,” Beethoven emphasizes the “moving-on-ness” of improvisation.⁴⁸ And this in turn suggests the events-based listening strategy or stance: we move on (with Beethoven), savoring the difference and distinctiveness of the particular present as it manifests itself before and within us. In the course of a criticism he voiced to Johann Wenzel Tomaschek in 1814, Beethoven gave a view on the relationship of improvisation to composition: “It has always been acknowledged that the greatest pianists were also the greatest composers, but how did they play? Not like the pianists of today, who only run up and down the keyboard with passages they have learned by heart—putch, putch, putch! What does that mean? Nothing! The real piano virtuosos, when they played, gave us something interconnected, a whole. When it was written out it could at once be accepted as a well-composed work. That was piano playing, the rest is nothing!”⁴⁹ While this might seem immediately to contradict the above proposal concerning events-based musical experience, further thought leads us surely to a different view: that composition can itself legitimately adopt this events-based form, as indeed Beethoven had already done in his two fantasies discussed above. In play here is both a stretching of the work-aesthetic and a concomitant enlargement of our repertoire of response-strategies: well-formedness can be based on a foregrounding of the episodic: an episodic with multiple enriching resonances of considered and long-cultivated structurations, but one that, in essence, remains moment-focused,

47. Quoted in Cooper, *Beethoven and the Creative Process*, p.22.

48. Indeed James Webster has noted precisely this characteristic of the finale of the Ninth in his own analysis of the movement, drawing attention to “its gestural character: its constant urge to move forward, to avoid coming to rest” (Webster, “The Form of the Finale,” pp.50–51).

49. Sonneck, *Beethoven: Impressions*, p.105.

incorporating the freedom to move on, with the improviser, to where imaginative fantasy takes him/her.⁵⁰

In the finale of the Ninth we are listening to an allegorical improvisation, and one initiated instrumentally but that comes to have human participants vocally present. The narrative of spontaneity is thus generic to start with—the rhetorical gestures, the quest for material, the finding of a *volkstümliches* Lied treated instrumentally in the normal variative fashion. Then the intervention of Beethoven-baritone changes all that. However much this intervention constitutes a form of the interruption characteristic of instrumental improvisation and initiates an enhanced recommencement of the variation-chain as per that generic norm, it brings uniquely into play vocal participants enacting a musicodramatic story, a story that we as listeners are bidden to heed and follow. The newly recruited participants learn the tune and text, explore and elaborate the possibilities in light of human living in the world—friendship, marriage, the gifts of nature—before they turn attention to the numinous. As they sing “und der Cherub steht vor Gott,” this line of contemplation is interrupted by the scenic eruption of the Turkish military episode. Again, however much the variation-chain is continued by this music, however much the key of B \flat major is prepared as secondary key by the preceding movements, this episode remains digressive. The chorus is as surprised as we, but one of its number is nevertheless able to sing a countermelody to the band’s second variation and succeeds in bringing in his male fellows. After the programmatically suggestive fugue, the chorus reaffirms its learned melody in an appropriately celebratory slot. In the sacred hymn, joy as a kiss for the whole world brings the brethren into contemplative awe of the godhead. This constitutes a dif-

50. Although the overall forms of the first three movements of the Ninth Symphony are relatively clear, scholars have found multiple formal resonances in the structure of the finale. Thus William Kinderman writes: “The overall form of the choral finale combines aspects of concerto and sonata form with the basic chain of variations and the suggestion of a four-movement design encapsulated in a single movement” (William Kinderman, *Beethoven* [Berkeley: U California P, 1995], p. 278). James Webster gives a more elaborate account, including also rondo and *Grossbarform* in addition to those listed by Kinderman, and incorporating the views of Schenker and Tovey; see James Webster, “Zur Form der Finales von Beethovens 9. Symphonie,” in *Probleme der symphonischen Tradition im 19. Jahrhundert: Internationales Musikwissenschaftliches Colloquium Bonn 1989: Kongreßbericht*, ed. Siegfried Kross with collaboration of Marie Luise Maintz (Tutzing: Hans Schneider, 1990), pp. 157–86, here pp. 162–63 as also in Webster, a “revised and expanded translation” of the foregoing, “The Form of the Finale,” pp. 32–33. The purpose of the present study is not to supplant these findings but rather to supplement and inflect them (there can be, joyously, no end to interpreting the Ninth). Naturally, Beethoven’s improvisations must have reflected compositional practices: how, indeed, could it be otherwise? The considered enriched the immediate; spontaneity erupted out of experience.

ferent realm of knowledge, which is then to be integrated with the worldly joy of the outset in the double fugue. The codalike peroration is self-reflexive as text, as music, and as narrative—we with the participants review their immediate past and come through that to an elevated, enhanced experience of joy in its fullness.

Allegory multiplies meaning by correspondence and dialectic. Here Beethoven draws us into engaging with composition as improvisation and with the lyric as drama. We know this is an intricately worked-out composition, yet are willingly complicit in the fiction that the music, at least from the entry of the voices, is unprepared. Beethoven-baritone's dramatic intervention in a strong sense determines the structural procedures throughout the finale; it is the fulcrum or focus, a point of intensity where before and after meet and that gives meaning to their relation—an essential conditioner of the structural whole. We are aware the singers are presenting a setting of a lyric poem, yet follow the dramatic supplementation as they become participants in the story of its presentation. There are thus multiple layers of reality in play, and as they interact this complex allegory is realized. The more general point beyond this, however, is surely that in the finale of the Ninth Beethoven uses the mode and manner of improvisation to an altogether higher expressive end: an encomium to joy, even perhaps its representation, draws powerful enhancement by being based on immediacy, for joy is an emotion at its purest when its epiphany is unexpected, unplanned, and when our expressions of it are essentially intuitive.

David B. Levy

Like the *Grosse Fuge* itself, I begin with an Overture. An entry in Beethoven's Conversation Book dating from between Christmas 1825 and New Year's Day contains the following observation from the violinist and friend of the composer, Karl Holz:

A fugue always strikes me to be like an edifice that is symmetrically constructed according to all the rules of architecture; I marvel at it, but it never enchants me.

By this I mean the fugues one commonly encounters.

Normally they are dryly handled; I speak of these; to me they are also insufferable.¹

One can easily picture the composer thrusting a chastising glance toward Holz after his first assertion. Beethoven, after all, was at that moment on the brink of completing his Herculean labors on the original finale of his String Quartet in B \flat Major, op. 130, the movement that eventually would be published independently

1. "Eine Fuge kommt mir immer vor, wie ein Gebäude, das nach allen Regeln der Architektur symmetrisch aufgeführt ist; ich bewundere es, aber entzücken wird es mich nie.—Ich meine hier die gewöhnlichen Fugen.—Gewöhnlich werden sie trocken behandelt; von diesen rede ich; die sind mir auch unausstehlich" (CB, vol. 8 [Heft 100], p. 224).

in May 1827 as the *Grosse Fuge*, op. 133. Here was a work that most assuredly was not the kind of fugue “one commonly encounters,” let alone one “symmetrically constructed according to all the rules of architecture.”

In one sense, however, Holz did get it right—the *Grosse Fuge* was, from the start, destined to be a work at which one could be astonished, even if it has been unable to charm. To paraphrase Joseph Kerman’s observation about the *Missa solennis*, the *Grosse Fuge* is a work, despite its sincere admirers, that is more respected than loved.² The reasons for this are not hard to understand. The *Grosse Fuge*, along with the finale of the “Hammerklavier” Sonata, op. 106, also in B♭, is among the most ineffable contrapuntal structures erected up to that time. That the *Grosse Fuge* has remained challenging long after its conception is captured most famously in the words of Igor Stravinsky, who described it as an “absolutely contemporary piece of music that will be contemporary forever.”³ On a certain level, even its composer recognized its special qualities, warning listeners and players alike that its structure was “tantôt libre, tantôt recherchée.”

The *Grosse Fuge* has evinced a host of formal interpretations, not unlike another analytical sticky wicket from the pen of “late” Beethoven, the finale of the Ninth Symphony. Warren Kirkendale, in his pioneering study on the role of fugue and fugato in Rococo and Classical chamber music, characterized op. 133 as Beethoven’s “Art of Fugue.”⁴ The outlines of three analytical perspectives are found in Table 1. The idea of the *Grosse Fuge* as multimovement work rolled into a single movement parallels analyses of the finale of the Ninth Symphony offered by Charles Rosen and other scholars, including myself.⁵ When applying such a view to the *Grosse Fuge*, however, one runs up against several problems. Chief among them is the categorization of the “interlude” that begins in m. 233 (Lockwood’s “March,” identified as Section 4)—an episode that resumes in m. 533 (Lockwood’s Section 8). The sonata-form approach is no less problematic, primarily for the same reasons. It is not surprising, then, that Lockwood opted for a synoptic overview, akin

2. Joseph Kerman, booklet for CD recording of *Missa solennis*, John Eliot Gardiner, conductor, Archiv CD 429 779–2.

3. Igor Stravinsky and Robert Craft, *Dialogues and a Diary* (New York: Doubleday, 1963), p. 24.

4. “The ‘Great Fugue’ Op. 133: Beethoven’s ‘Art of Fugue,’” *Acta* 35 (1963), 14–24. See also Warren Kirkendale, *Fugue and Fugato in Rococo and Classical Chamber Music*, rev. and expanded 2nd edn., trans. Margaret Bent and the author (Durham, N.C.: Duke UP, 1979), pp. 255–71.

5. See Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (New York: W.W. Norton, 1972), p. 440; and David Benjamin Levy, *Beethoven: The Ninth Symphony*, rev. edn. (New Haven: Yale UP, 2003), pp. 95ff. See also Michael C. Tusa, “Noch einmal: Form and Content in the Finale of Beethoven’s Ninth Symphony,” *Beethoven Forum* 7 (1999), 113–37.

Table 1: Adapted from Lewis Lockwood, *Beethoven: The Music and the Life* (New York: W. W. Norton, 2003), pp.464–65.

Section	Measures	Key	Tempo
1. “Overtura”	1–30	G–B \flat major	Allegro; Meno mosso; Allegro
2. Double fugue	31–158	B \flat major	Allegro $\frac{4}{4}$
3. Double fugato	159–232	G \flat major	Meno mosso $\frac{2}{4}$
4. Episode (“March”)	233–72	B \flat major	Allegro molto e con brio $\frac{6}{8}$
5. Double fugue	273–414	A \flat major	Allegro molto e con brio $\frac{6}{8}$
6. “Fantasy”	415–92	E \flat major	Allegro molto e con brio $\frac{6}{8}$
7. Double fugato + Transition	493–510 511–32	A \flat major Preparing B \flat	Reprise of Section 3
8. “March”	533–64	B \flat major	Reprise of Section 4
9. Coda I	565–662	B \flat major	(Allegro molto e con brio) $\frac{6}{8}$; brief contrasting tempos at 657–62
10. Coda II	663–741	B \flat major	Allegro molto e con brio, $\frac{6}{8}$

Gross Fuge as sonata-form movement?

Overtura = introduction

Sections 2 and 3 = exposition of theme groups A and B

Section 4 as a coda to the exposition

Sections 5 and 6 = development

Sections 7 and 8 = recapitulation

Sections 9 and 10 = coda

Gross Fuge as multimovement work?

Overtura + Allegro (Sections 1 and 2) = the first movement

Section 3 = a slow movement

Section 4 = an interlude

Sections 5 and 6 = the equivalent of a scherzo

Sections 7–10 = more or less a composite finale



to James Webster’s “multivalent” analysis of the finale of the Ninth Symphony, rather than trying to make the work fit uncomfortably into a common structural paradigm.⁶

Regardless of how one hears the piece structurally, the *Grosse Fuge* remains

6. James Webster, “The Form of the Finale of Beethoven’s Ninth Symphony,” *Beethoven Forum* 1 (1992), 25–62.

filled with paradoxes that leave the listener ultimately dissatisfied with an exegesis derived solely from a structural perspective. One can't escape the nagging sense that Beethoven was up to *something* unusual in this piece, something that transcended its structural syntax. But what might it have been? Part of the answer, I believe, lies in the peculiarity of the two tied eighth notes first encountered in m.26 of the Overtura and which continue throughout a large portion of the first double fugue (corresponding to section 2 of Lockwood's analytic model), and returning ever so briefly in m.657, the moment of recall (ex.1).

Example 1: Beethoven, *Grosse Fuge*, op.133, mm.26–32.

Why did Beethoven write the subject as two tied eighth notes instead of writing a simple quarter note? Once again it was Karl Holz who first posed the question, recorded in a Conversation Book of early January 1826. “Why have you written two eighth notes instead of a quarter[?]”⁷ The words are followed by musical notation in ink showing the tied eighth notes. A diminuendo sign is written in pencil, suggesting that it was added by another hand, possibly in response to the question. I will have more to say about this diminuendo mark presently. A few months later, in the middle of April 1826, Holz was once again in Beethoven's presence, and he queried the composer on behalf of another musician, Anton Halm, who at the time was attempting (unsuccessfully) to transcribe the fugue for piano, four hands: “[Halm is asking] if the notes  can be joined as one note .

From the outset, as we have seen, musicians and students of the *Grosse Fuge* have puzzled over Beethoven's choice of a notation that seems to be more complex

7. “Warum haben Sie zwey Achtel geschrieben, anstatt $\frac{1}{4}$ [?]” (CB, vol.8 [Heft 101], p.243).

8. “Ob die Noten . . . in eine solche dürfen zusammengezogen werden. . .” (CB, vol.9 [Heft 108], p.194).

9. The recently rediscovered autograph of op.134 confirms what is found in Artaria's publication.

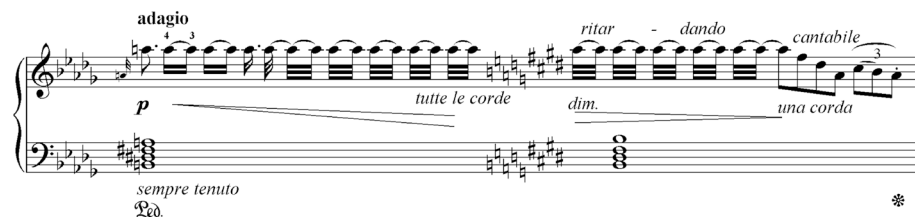
than it needs to be. From the performer’s perspective, of course, the problem lies in deciding how to play the tied eighth notes. Should they be played as two distinct notes, or as one? Had Beethoven placed dots or dashes over the note heads, the answer would be clear. The absence of dots or dashes, however, leaves room for varying interpretations. Some quartets play the notes as if they were a *tenuto* quarter note, whereas others distinctly rearticulate the second note in the tie.¹⁰

Example 2: Beethoven, Cello Sonata in A, op.69, movt. II, mm. 1–8.



The general question of ties in Beethoven’s music, and more specifically “late” Beethoven, has been explored by William S. Newman, Emil Platen, Paul Badura-Skoda and, more recently, by Jonathan Del Mar. With respect to the scherzo (*Allegro molto*) of the Cello Sonata in A, op.69, for example, Carl Czerny informed us that the 4–3 fingering in the piano part indicates the so-called *Bebung* effect (Newman preferred to call the figure a “repeated-note slur”)¹¹, whereby the second note of each pair receives a weaker rearticulation (ex.2). Beethoven also applied the 4–3 fingering to later keyboard works, most famously the “Hammerklavier” Sonata and the Piano Sonata in A♭ Major, op.110 (ex.3). What makes the latter case particularly interesting is the emotional context of the passage—an instrumental *recitativo* that prepares the way for an ensuing *Arioso dolente* (*Klagender Gesang*).

Example 3: Beethoven, Piano Sonata in A♭ Major, op.110, movt. III, m. 5.



10. Compare, for example, the recording by the Takács Quartet (Decca B0003875–02), on which the tied notes are performed as if a quarter note, and that of the Emerson Quartet (Deutsche Grammophon 447 082–2), where the two notes are clearly rearticulated.

11. William S. Newman, *Beethoven on Beethoven: Playing His Piano Music His Way* (New York: W.W. Norton, 1988), 295–99; Emil Platen, “Zeitgenössische Hinweise zur Aufführungspraxis der letzten Streichquartette Beethovens,” *Beethoven-Kolloquium 1977: Dokumentation und Aufführungspraxis*, ed. Rudolf Klein, Beiträge Österreichischen Gesellschaft für Musik (Kassel: Bärenreiter, 1978), pp.100–08.

The overall question of how to perform ties in Beethoven is important, but it is necessary to identify two particularities concerning the ties found in the Overture and first double fugue of ops. 133/134 that set the issue apart from the examples just mentioned. First, upon their initial appearances, the tied eighth notes occur *on* the beat, and *not* in a syncopated position. Second, the tied eighth notes are sounded on the second and fourth beats of a common time measure, separated by quarter rests on the first and third beats of the measure.

Again, with respect to the diminuendo mark found in the Conversation Book of January 1826, Emil Platen has argued that the dynamic mark under the tied notes represents Beethoven's response to Holz's query. Based on this conclusion, Platen argues that the two eighth notes are an example of what he calls a terraced (*abgestuftes*) diminuendo, examples of which may be found at the end of the first movement of the C#-Minor Quartet, op. 131, and the Cavatina from op. 130 (ex. 4). This diminuendo is achieved by the reduction of bow pressure on the second eighth note ("durch Nachlassen des Bogendrucks auf dem zweiten Achtel"). Platen labels these notational events as a "differenzierte Lautstärken-Rhythmisierung," a term that is difficult to translate, but equating roughly to a "rhythmicization of differentiated intensity." Platen further maintains—without citing the authority of evidence from any source—that these precise differentiations of intensity are "not to be achieved by accents or separations, but rather simply by alteration of dynamic quality" ("nicht durch Akzenturieren oder Absetzen, sondern lediglich durch den Wechsel der dynamischen Qualitäten zum Ausdruck kommen").¹²

Example 4: Beethoven, String Quartet in B♭ Major, op. 130, Cavatina, mm. 61–66.

Paul Badura-Skoda, "A tie is a tie is a tie: Reflections on Beethoven's Pairs of Tied Notes," *Early Music* 16 (1988), 84–88; and Jonathan Del Mar, "Once Again: Reflections on Beethoven's Tied-note Notation," *Early Music* 32 (2004), 7–26. See also Platen, "Ein Notierungsproblem in Beethovens späten Streichquartetten," *BJ* 8 (1971/72), 147–56.

12. Platen, "Zeitgenössische Hinweise," p. 105. One finds other examples in the late quartets, for example, the end of the "Heiliger Dankgesang" of op. 132.

One additional piece of evidence—conclusive in my judgment—concerning the proper performance of the tied-eighth-note figure has hitherto been overlooked by scholars and performers. I refer to a comment found in a Conversation Book from the second half of August 1826, where Karl Holz addresses problems in performing the *Grosse Fuge*: “But on the violin, one cannot hear the two eighth notes as distinct from one other.”¹³ Holz, along with Ignaz Schuppanzigh, performed the violin parts at the premiere of the *Grosse Fuge* on 21 March of that same year and was well positioned to know the difficulty of distinguishing two distinct notes in a single bow stroke. The fact that he refers to the problem of making *both* eighth notes heard, however, leaves little room for doubt. Both notes joined by the tie are to be articulated.

Answering the question of *how* to perform the tied eighth notes does not speak to the question of *why* Beethoven chose to use this notation. I will demonstrate that the notes are meant to be played separately within one bow stroke, as in a *portato* or *louré*—a bow stroke derived from an effect known as the bowed tremolo, a feature found in much string music from the Baroque era. I will further make the case that this notation and its performance technique signify a musical-rhetorical gesture associated with fear (in the terrified shudders of the Overture), and with pain, grief, and suffering (in the first large section of the fugue itself). This gesture finds its origins in Classical rhetoric (Quintilian), most closely allied to the gestures of *tnesis* (the insertion of a separation within a single word) and *suspiratio* (the insertion of a caesura or separation between words). Beethoven’s familiarity with these rhetorical figures, however, was most likely derived from models of Baroque music and theorists, most notably Bach, Kirnberger, and Albrechtsberger, as well as other sources found in the library of his patron, student, and dedicatee of the *Grosse Fuge*, Archduke Rudolph.¹⁴

13. “Auf der Violine hört man aber die beyden Achtel nicht von einander.” (CB vol. 10 [Heft 118], p. 144). I am grateful to Nicholas Marston for pointing me to this important reference. Emil Platen (“Kleine Anmerkung zur Grossen Fuge,” *Bonner Beethoven-Studien* 5 [2006], 151–58) questions whether or not Holz’s comment definitively answers the articulation question.

14. I am grateful to Warren Kirkendale for his helpful communications based upon his reading of an earlier version of this essay. For more information on Quintilian’s rhetorical figures, see Kirkendale, *Fugue and Fugato*, and “New Roads to Old Ideas in Beethoven’s *Missa Solemnis*,” MQ 56 (1970), 665–701. See also Ursula Kirkendale, “The Source for Bach’s *Musical Offering*: The *Institutio oratoria* of Quintilian,” JAMS 33 (1980), 88–141. For other useful studies, see Martin Zenck, *Die Bach-Rezeption des späten Beethoven* (Stuttgart: Steiner, 1986); and *Beethoven und die Rezeption der alten Musik: Die hohe Schule der Überlieferung: Internationales Beethoven-Symposion Bonn, 12./13. Oktober 2000*, ed. Hans-Werner Küthen (Bonn: BH, 2002).

Table 2: Sketch and Autograph Sources for Op.133 in Chronological Order

Desk and pocket sketchbooks

Autograph 11/2 (SBK)

Fall 1824–January 1825

De Roda (BH)

May–June 1825

Autograph 9/5 (SBK)

August–September 1825

Autograph 9/2 (SBK)

September–October 1825

Autograph 9/1 (SBK)

October–November 1825

Autograph 9/1A (SBK)

November 1825–early 1826

Kullak (SBK)

October or November 1825–November 1826

Score Sketches for op.130 w/ *Grosse Fuge* as finale (1825–26?)

Vienna A 52 (GDM)

Bonn, BH 113 (BH)

SV 320 (Donaueschingen, DO)

Aut. 44 (SBK)

Bonn Mh 101(BH)

Artaria 213/2 (SBK)

Artaria 214 (Biblioteka Jagiellońska, Kraków)

Autograph manuscriptArtaria 215 (Biblioteka Jagiellońska, Kraków)

In my search for the meaning of the tied eighth notes, I closely examined the extant sketch sources to determine at what stage of the compositional process Beethoven began using the tied-eighth-note form of the subject. A chronological view of the sketch and autograph sources for op.133 is represented in Table 2, the chronology of which is derived from Johnson, Tyson, and Winter's 1985 inventory of the Beethoven Sketchbooks.¹⁵ If we accept Johnson–Tyson–Winter's chronology, the earliest of these sources, dating from autumn of 1824 through January of

15. JTW, *passim*. William E. Caplin ("The Genesis of the Countersubjects for the *Grosse Fuge*," in *The String Quartets of Beethoven*, ed. William Kinderman [Urbana: U of Illinois P, 2006], pp.241–42) has reassessed this chronology, asserting that the pocket sketchbooks that comprise Autograph 9 overlap the De Roda and Kullak sketchbooks more than heretofore believed.

1825, is the sketchbook Autograph 11/2, housed at the Staatsbibliothek zu Berlin. Autograph 11/2 is an intriguing document that contains rudimentary ideas for the *Urmotif* that evolved into the pitch sequence, B \flat –B \sharp –A \flat –G–B \sharp –C–A–B \flat ($\hat{1}$ – $\hat{\sharp 1}$ – $\hat{b 7}$ – $\hat{6}$ – $\hat{\sharp 1}$ – $\hat{2}$ – $\hat{7}$ – $\hat{8}$) found throughout the *Grosse Fuge*. As is well known, transpositions and other permutations of the first four notes of this pitch set ($\hat{\sharp 7}$ – $\hat{1}$ – $\hat{6}$ – $\hat{5}$) dominate several movements of the second of the three quartets composed for Prince Nikolay Boris Galitzin of St. Petersburg—the Quartet in A Minor, op. 132. Beethoven's recognition of even further possible permutations of the pitch set spawned yet another quartet—the one in C \sharp Minor, op. 131.

Whence the pitch set? Ivan Mahaim, for one, argued that the pitches are a cipher for the name B–A–C–H.¹⁶ Embedded among the earliest ideas for op. 133 in Autograph 11/2 are sketches for an overture on the name of B–A–C–H, a project that Beethoven eventually abandoned. The appearance of the B–A–C–H overture (two overtures, if Anton Schindler can be trusted) among the sketches for ops. 130 and 133 certainly lends weight to Mahaim's claim, although it seems not to have troubled him that the four-note figure in the *Grosse Fuge* appears only in its retrograde form, and never in the order that spells out the name BACH. Another intriguing set of entries embedded in Autograph 11/2 are fragmentary ideas for a *Dona nobis pacem*, possibly intended for a projected, but unfulfilled, setting of the mass. Related ideas for a *Dona* may also be found in a slightly earlier sketchbook, Landsberg 8/I, among sketches for the Ninth Symphony. I will return to the pos-

Plate 1: De Roda sketchbook, fol. 37^r. Beethoven-Archiv, Bonn.



16. Ivan Mahaim, *Beethoven: naissance et renaissance des derniers quatuors*, 2 vols. (Paris: Desclée de Brouwer, 1964).

sible relevance of Beethoven's interest in the mass presently. Lewis Lockwood has made a case for Bach's *Well-Tempered Clavier*, Book I, Fugue no.24 in B Minor as the possible progenitor for the pitch set used in ops.131, 132, and 133, although I have reason to propose other viable candidates.¹⁷

Returning to the notation of the tied eighth notes, I cite systems 7 and 8 of fol.37^r in the De Roda sketchbook (plate 1) for the earliest appearance of the fugue subject in this form. Beethoven has already settled on the double eighth-note rhythmic profile of the subject, albeit at this point without ties. Folio 40^r, system 7, however, reveals that Beethoven is starting to insert ties—an intriguing and significant development in that the composer seldom bothered with details at such an early stage of the compositional process (plate 2). All subsequent stages in the composition of the first double fugue, op.133, retain the tied eighth notes. The double eighth notes, sometimes with and sometimes without ties, also appear in Autograph 9, bundles 1, 2, and 5, as well as the Kullak sketchbook.¹⁸

Turning to Beethoven's writing for string instruments, one finds highly relevant precedents for the notation of tied notes without dots or dashes. An example dating from the year 1810 may be found in m.30 of the *Adagio ma non troppo* movement

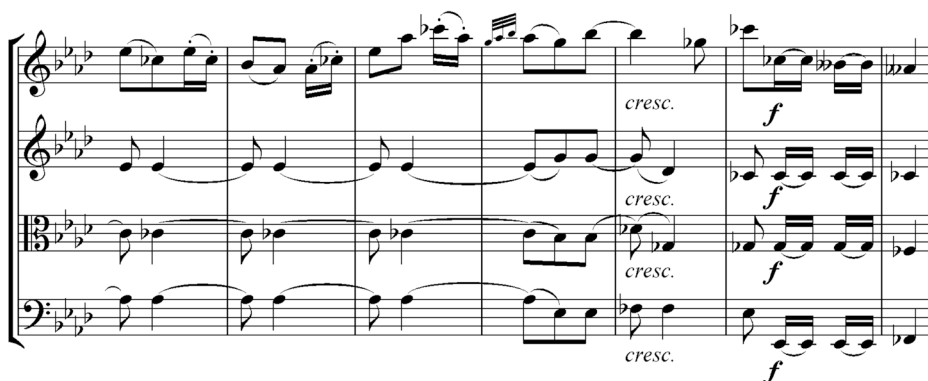
Plate 2: De Roda sketchbook, fol. 40^r. Beethoven-Archiv, Bonn.



17. See Lewis Lockwood, *Beethoven: The Music and the Life* (New York: W.W. Norton, 2003), pp.474ff.

18. See Autograph 5, bundle 5, fol.2^r, system 5. Autograph 5, bundle 2, fol.1^r, systems 1–2, 4; fol.6^r, systems 4–6; fol.6^v, systems 1–2; fol.7^v, systems 1–5; fol.13^r, systems 1–2; fol.17^v, system 3. Autograph 9, bundle 1, fol.12^v, systems 5–6. Kullak sketchbook, fol.2^r, systems 6–9. See also Autograph 44.

Example 5: Beethoven, String Quartet in E♭ Major, op.74, movt. II, mm.25–31.



of the String Quartet in E♭ Major, op.74 (ex.5), a passage in A♭ minor that is notable for its poignancy and pathos.¹⁹ An analogous example in even closer proximity to the *Grosse Fuge* is the *beklemmt* section from the Cavatina of op.130 (ex.6). Measure 46 of the Cavatina is an ornamented intensification of the previous measure, done so for the express purpose of heightening its pathos. Of great significance is that each utterance of the tied thirty-second notes is punctuated by a rest (suspuration) and is placed in a nonsyncopated position—the same properties identified above for the tied-note figure in the *Grosse Fuge*.²⁰ Once again, the ethos of this passage is one of profound grief and suffering. Indeed, to play the thirty-second notes in m.46 without a separation between each note would be unthinkable, defeating the very reason why Beethoven changed the sixteenth notes to two tied thirty-seconds.

Each of these examples of emotionally charged rhetorical gestures would be right at home in the world of opera. Lewis Lockwood has observed that cavatinas, particularly ones found in “ombra” scenes in opera seria, are essentially sorrowful in nature, often signifying suffering and death. Beethoven’s decision to label the fifth movement of op.130 as a Cavatina has profound implications for the movements that precede it, as well as for the *Grosse Fuge* that originally followed it.²¹

19. I thank Professor Keith Chapin (New Zealand School of Music) here for this reference.

20. Another example, without rests between the ties, comes in the penultimate measure of the “Heiliger Dankgesang” of op.132. The ties here are more complex than in the other examples: quarter tied to eighth tied to the next eighth. As mentioned earlier, this may be an example of Platen’s terraced diminuendo. The dynamic indication for this measure is *più p*, standing between the *p* of the previous measure and the *pp* of the final measure. Most performers rearticulate each note.

21. See Lockwood, “On the Cavatina of Opus 130,” in *Beethoven: Studies in the Creative Process* (Cambridge, Mass.: Harvard UP, 1992), pp.209–17. Other important studies of the relationship of the *Grosse Fuge* to op.130 may be found in Richard Kramer, “Between Cavatina and Overture: Opus 130 and the Voices of Narrative,” *Beethoven Forum* 1 (1992), 165–89; Klaus Kropfing, “Das gespaltene Werk—Beethovens Streichquartett Op.130/133,” *Beiträge zu Beethovens Kammermusik: Symposium*

Example 6: Beethoven, String Quartet in B \flat Major, op. 130, movt. V, mm. 40–46.

Both Haydn and Beethoven, as we know, used the operatic gesture of recitative in the context of their instrumental music, and I have already taken note of the ethos of the *Arioso dolente* from op. 110.²² We also have long been aware that the same rhetorical musical figures may transfer from the operatic stage to cantata, oratorio, and other sacred music. One further Beethovenian example of the tied-note figure, therefore, places this notational gesture in a new light. I refer here to a significant, yet overlooked, detail found in mm. 173–77 of the “Crucifixus” section from the Credo of Beethoven’s *Missa solennis* (ex. 7). The tied notes (sixteenths in this case) appear in the contrabass, cello, organ, and second violin parts, lending additional pathos to the text, “passus et sepultus est.”²³ Note again that in this example, the tied sixteenth notes are in a nonsyncopated rhythmic position and are interrupted by rests. This throbbing figure with its palpable suspirations between the notes, like the *beklemmt* passage of the op. 130 Cavatina, intensifies the musical expression of pain and sorrow as the liturgy describes Christ’s death and entombment.

Bonn 1984, ed. Sieghard Brandenburg and Helmut Loos (Munich: G. Henle, 1987), pp. 296–335, and Kropfinger, “Im Zeichen des Janus. Op. 130 ± op. 133,” in *Über Musik im Bilde: Schriften zu Analyse, Ästhetik und Rezeption in Musik und bildender Kunst*, vol. 1, ed. Bodo Bischoff (Köln-Rheinkassel: Dohr, 1995), pp. 277–323.

22. The Arietta from op. 111 is also derived from an operatic model.

23. All the string instruments join in the gesture in mm. 182–83.

Example 7: Beethoven,
Missa solemnis, op.123, Credo,
 mm.172–77.

Was this rhetorical gesture Beethoven’s invention? In addressing the separation of the *Grosse Fuge*’s subject by rests, Kirkendale refers to an entry in Johann Georg Albrechtsberger’s 1790 treatise, *Gründliche Anweisung zur Composition*, as the most likely source from which Beethoven learned the idea of inserting rests between the notes of the subject. Kirkendale points out, however, that this kind of *imitatio interrupta*, or *fuga per imitationem interruptam* (listed by Albrechtsberger as the fifth of six categories of fugues), is usually found in the middle entries of fugue subjects, and only rarely at the beginning. That Beethoven began counterpoint studies with Albrechtsberger shortly after Haydn’s departure from Vienna in 1794 lends credence to the idea that Beethoven learned it from him.²⁴

From where, then, did Beethoven learn the notation of the double eighth notes with ties? Its origin, I believe, lies in a technique called the bowed or slurred tremolo (*tremolo con l’arco*), first used in 1617 by Biagio Marini in the violin parts of his *La Foscarina: Sonata a 3, con il tremolo*, from his *Affetti musicali*, op.1. As Stewart Carter showed in an article on the bowed tremolo, the bowed or slurred tremolo—defined as the repetition of “several notes (usually four) of the same pitch in the same bow stroke”—had by the eighteenth century evolved into an affect that had “strong emotional associations [that served in vocal music] to highlight texts dealing with death or sorrow.”²⁵ Given Beethoven’s experience of music by George Frideric Handel and Johann Sebastian Bach, an interest that intensified at various points in his creative life, including the years during which he conceived the late quartets, it seems reasonable to consider music by these composers as the most likely source for learning of the bowed tremolo. A strong candidate for a direct model would be the ostinato continuo line from the “Crucifixus” section from the Mass in B Minor, BWV 232 (ex.8). We know that in 1809 and 1810 Beethoven took special interest in

24. Kirkendale does not address the tied-note figure—a feature that, as I am arguing, is as important as the rests that interrupt the pitches of Beethoven’s subject.

25. See Stewart Carter, “The String Tremolo in the 17th Century,” *Early Music* 19 (1991), 56.

Example 8: Bach, Mass in B Minor, BWV 232, “Crucifixus,” mm.1–5.

obtaining from Breitkopf and Härtel editions of works by several composers, including those by Johann Sebastian Bach.²⁶ In a letter to Breitkopf & Härtel, dated 15 October 1810 (Brandenburg, no.474, II, 162–64), Beethoven makes specific reference to the “Crucifixus” from the B-Minor Mass, writing out the pitches of the ostinato.²⁷ Bringing us closer to the origin of the *Missa solemnis* and op.133, Beethoven, in a letter to Nägeli dated 9 September 1824 (Brandenburg, no. 1873, V, 361–62), again seeks to obtain the score of Bach’s Mass in B Minor.²⁸ It seems highly probable that Beethoven was thinking of the musical rhetoric of Bach’s “Crucifixus” when penning his own setting of “passus et sepultus est” in the *Missa solemnis*.

It is clear that Beethoven knew and admired the “Crucifixus,” having had access to the work through various sources. Whether or not Beethoven had access to the entire Mass in B Minor, however, is a question that has yet to be satisfactorily resolved. George Stauffer believes that Beethoven’s attempts to procure his

26. See the letter dated 26 July 1809 (Anderson, letter no.220, I, 233–36; Brandenburg, letter no.392, II, 71–73).

27. For reasons not entirely clear, Beethoven placed four sharps at the beginning of the quote.

28. See also Beethoven’s letter to Nägeli (Brandenburg, no.1263, IV, 201–03) asking to be placed on the subscriber list for the publication of the Mass in B Minor. The publisher’s plans to issue the score by Eastertide 1819 failed for lack of subscribers.

Example 9: Bach, Mass in B Minor, BWV 232, Agnus Dei, mm. 21–24.



own copy of the score were fruitless.²⁹ But we know that both Haydn and Baron Gottfried van Swieten owned manuscript copies of the score. Christoph Wolff and Sieghard Brandenburg also believe that Beethoven had access to the entire Bach Mass at the shop of the Vienna music dealer Traeg. If Wolff and Brandenburg are correct, Beethoven might also have been influenced by Bach’s Agnus Dei, where one finds several elements relevant to the rhetoric found in the first part of the *Grosse Fuge* (ex.9).³⁰ Speaking of Bach’s Agnus Dei, Stauffer observes:

Formed from highly dissonant intervals such as the minor seventh, the diminished seventh, and the tritone, [its] motive . . . resembles the jagged figures that appear in the St. John and St. Matthew Passions as Christ approaches the crucifixion. Baroque theorists termed this type of melodic idea a *saltus duriusculus*: a “harsh leap” . . . Bach used the *saltus duriusculus* [in many of his works] to underscore the meaning of the word “Schmerz” (pain). In the “Agnus Dei,” he employs it to produce a “Schmerz”-like Affekt, linking it in the vocal sections with the words “Miserere” (have mercy) and “peccata” (sins). [A] second expressive figure [in the Agnus Dei] is the lamentation motive [comprising] slurred, conjunct note-pairs. . . . The dissonant leap and the lamentation motive are united by the third expressive idea: the *punctuated eighth notes* [italics mine] of the continuo. Bach and his contemporaries would have viewed this line, broken by intermittent respirations, as a *suspiratio*, a passionate sigh. The three plaintive figures, combined in a dense contrapuntal web, make for music that is awash in rhetorical angst.³¹


If Beethoven did indeed know Bach’s Agnus Dei, the melodic line in the violins in mm. 21–22, A–G \sharp –F–E–B \flat –A, offers itself as yet another candidate for progenitor of

29. George B. Stauffer, *Bach: The Mass in B Minor: The Grand Catholic Mass* (New York: Schirmer Books, 1997), p. 189. For a study of the importance of Bach’s Mass in relation to Beethoven’s *Missa solemnis*, see Martin Zenck, *Die Bach-Rezeption*, pp. 232–63. Zenck does not discuss the tied-eighth-note figure.

30. See *The String Quartets of Haydn, Mozart, and Beethoven: Studies in the Autograph Manuscripts*, ed. Christoph Wolff (Cambridge, Mass.: Harvard UP, 1980), p. 327.

31. Stauffer, *The Mass in B Minor*, pp. 165–66. See also Zenck, *Die Bach-Rezeption*, p. 245.

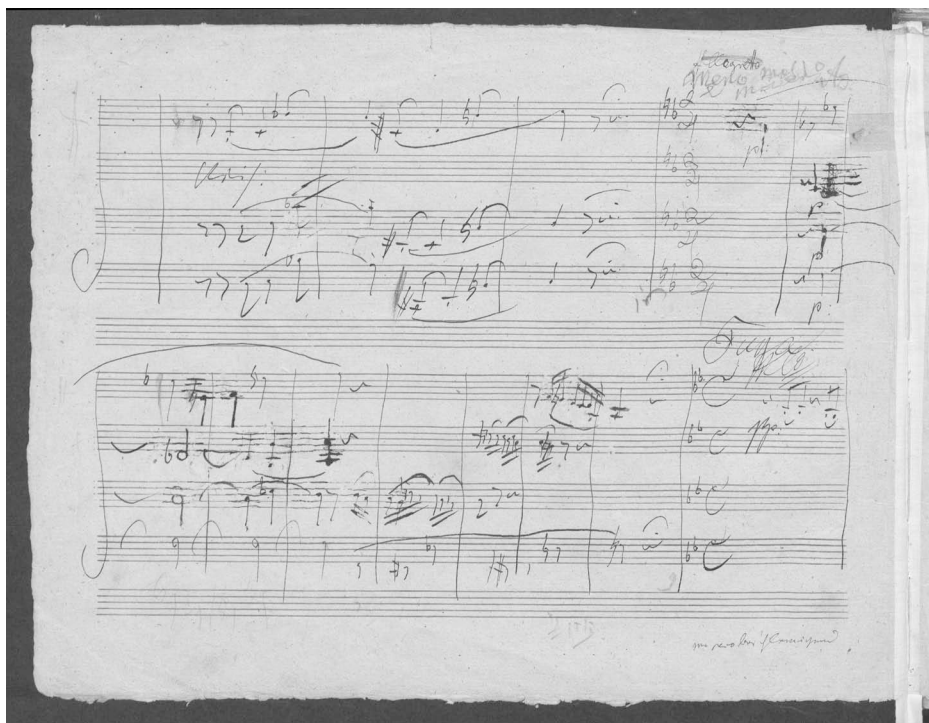
the *Urmotiv* of Beethoven's ops. 131, 132, and 133. The respirations in the continuo line also may have made an impact on Beethoven in his conception of op. 133.

Evidence from a Conversation Book from the summer of 1825, however, suggests still other possible models for the *saltus duriusculus*. The writer once again is Karl Holz: "Haydn also used the theme from the much earlier [Mozart?] *Requiem* as the fugue subject in one of his quartets ." 32

Clearly, Beethoven had many models from which he might have derived his *Urmotiv* and unless and until a definitive source can be identified, scholars can only speculate and offer plausible candidates. Indeed, by the end of the eighteenth century, the *saltus duriusculus* may simply have become a common musical figure, albeit one with a clear associative meaning.

One final piece of evidence that may shed light on the tied-eighth-note figure has escaped the attention of students of the *Grosse Fuge*. I refer to a marginal remark found in the lower right-hand corner, beneath system 10, of fol. 1^v of the autograph

Plate 3: Artaria 215, fol. 1^v, system 10, Biblioteka Jagiellońska in Kraków.

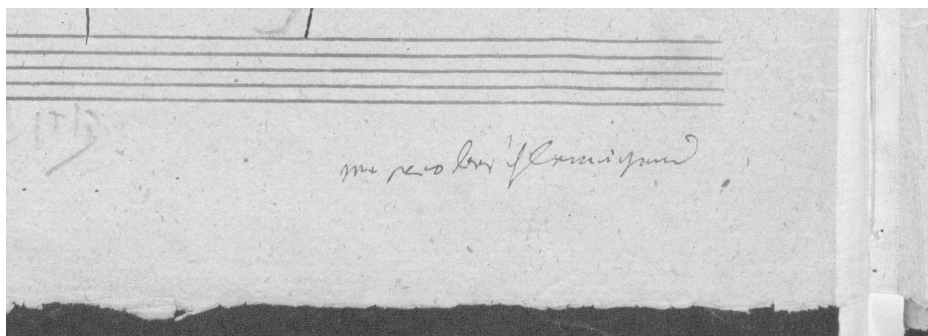


32. "Das Thema vom *Requiem* hat Haydn auch in einem Quartett viel früher als fugenthema benutzt" (CB, vol. 8 [Heft 91], p. 19). The quotation is from the finale of Haydn's String Quartet in F Minor, op. 20, no. 5. The Kyrie of Mozart's *Requiem* is based on a similar theme. The reference, however, may also have been to a *Requiem* by Ignaz Freyherr von Seyfried. Holz's citation of Haydn's *sogetto* is, of course, inaccurate. Of particular interest here are the two, tied half-note Es.

manuscript of the score, Artaria 215, formerly housed in Berlin and now residing in the Biblioteka Jagiellońska in Kraków (plate 3). Underneath the first appearance of the tied eighth notes is the bilingual indication, “ma però beschleunigend” (plate 4).³³ Another curiosity of this place in the autograph is the inexplicable placement of the word “Fuga” above the brace (staff line 5). The “Fuga” indication occurs again at the onset of the fugue in m.31. German-English dictionaries variously translate the gerund “beschleunigend” as meaning “accelerating,” “speeding up,” “quicken,” “hastening,” “rushing,” or “forcing.”³⁴ The word implies the kind of urgency and angst implicit in the tied-note figure, which demands a forward-moving propulsion entirely in character with the notation as used in the examples from op.74, the op.130 Cavatina, and the Credo of the *Missa solennis* referred to earlier. If I am correct, “ma però beschleunigend” could be viewed as an important hint to how the tied-note figure should be executed, as well as to its rhetorical significance.

Leonard Ratner has described op.130 as a latter-day Baroque suite, characterizing the *Grosse Fuge*’s first large section as a “march,” taking his cue from the dotted rhythmic profile of the countersubject. Ratner labels the fugue’s final section in $\frac{6}{8}$ meter a gigue—the ending one would find in a suite.³⁵ Joseph Kerman’s

Plate 4: Artaria 215, fol.1^v, system 10, detail.



33. Beethoven’s orthography omits the diacritical mark above the letter “o.”

34. I thank Professors Hans-Joachim Hinrichsen and Annegret Fauser for their helpful suggestions regarding the translation of the gerund. In a private communication with Sieghard Brandenburg, the former director of the Beethoven Archiv opined that the marking probably refers to Beethoven’s indecision in fixing a tempo indication for mm.17–25 of the Overture. Folio 2^v of the autograph reveals the word *Allegret[t]o* crossed out above the marking *Meno mosso e moderato*—the tempo indication that Beethoven ultimately retained for these measures, as well as for the G \flat -major section of the *Grosse Fuge* that commences in m.159. Although Brandenburg’s theory is plausible, the fact that Beethoven placed the marking at the bottom of the autograph leaf in close proximity to the tied-note figure and not near the *Meno mosso e moderato* is telling.

35. Leonard Ratner, *The Beethoven String Quartets: Compositional Strategies and Rhetoric* (Stanford: Stanford Bookstore, 1995), p.284.

landmark study of the Beethoven quartets focuses on op.130's "dissociative" nature, even though he acknowledges certain connections between movements.³⁶ Richard Kramer, Klaus Kropfinger, and, more recently, William Kinderman have argued, on the other hand, that the *Grosse Fuge* should not be separated from the extraordinary six-movement quartet for which it originally served as a finale.³⁷ Kramer, going even further, makes the case for a narrative content in the Cavatina and fugue.³⁸ The tied eighth-note notation question supports the position taken by Kramer, Kropfinger, and Kinderman that the *Grosse Fuge* stands as the terminus of a larger narrative. Indeed, there are motivic and harmonic gestures in the *Grosse Fuge* that link it not only to the first movement and the Cavatina, but to the intermediary movements as well, including the seemingly unrelated Alla danza tedesca—the movement originally intended (in A Major) for the Quartet in A Minor, op.132.

Kinderman also makes a case for a connection between the Alla danza tedesca, Cavatina, and the Fugue, but for different reasons than the ones I posit here. Why, for example, does Beethoven use the key signature of G major for the first sixteen measures of the Overtura, especially given that G can scarcely be said to be established as tonic?³⁹ Indeed, the third of G major, B \sharp , is not even sounded until m.14, and even then only lightly, functioning more as the leading tone of C than as the third of G major. The strange pitch sequence, $\hat{1}-\hat{4}\hat{1}$ found throughout the *Grosse Fuge* constantly subverts the establishment of any tonality—an important feature that lends the work its "dissonant" quality. I find Beethoven's choice of the G-major key signature for the start of the Overtura more plausibly explained as a gesture that refers, at least in a cursory manner, to the key of the Alla danza tedesca just as much as to the prominent Gs found at the end of the Cavatina.⁴⁰ As for the marchlike character of first countersubject of the B \flat fugue, could this not be heard as a reference back to the seemingly benign dotted figure found in mm.22–23 of the Andante con moto ma non troppo, movt. III, of op.130, trans-

36. Kerman, *Quartets*, pp.303ff.

37. Kramer, "Between Cavatina and Overture," Kropfinger, "Das gespaltene Werk," and Kinderman, "Beethoven's Last Quartets: Threshold to a Fourth Creative Period?" *The String Quartets of Beethoven*, pp.294–309. See also Zenck, *Die Bach-Rezeption*, p.274. Zenck again makes no mention of the tied eighth notes.

38. See Kramer, "Between Cavatina and Overture."

39. One might make the case that a cadence of sorts on G is made in mm.10 and 13, but the authority of these cadences is severely subverted by the G \sharp s in mm.5, 8, 11, and 12, not to mention the F \sharp s in mm.6 and 11.

40. William Kinderman points out that G major also plays an important role in the development section of the first movement of op.130. See Kinderman, "Beethoven's Last Quartets," pp.297–301.

formed in the fugue into a more threatening and painful *topos*?⁴¹ (ex. 10). Indeed, the idea of a quarter rest followed by two separate eighth notes may be traced back to the first-movement coda of op. 130 (see mm. 218, 220, and 222). Not unlike the finale of the Ninth Symphony, the *Grosse Fuge* plays out several elements from the earlier movements of the larger work to which it belongs.⁴²

Coming, as it does, after the naive serenity of the Alla danza tedesca, the Cavatina, like its cousin, the Adagio molto e cantabile of the Ninth Symphony, sets a hymnlike tone.⁴³ But whence the agonized tears of the emotionally overwrought *beklemmt* section? I have argued throughout this article that the tied-eighth-note *Gestalt* of the subject of the first double fugue of the *Grosse Fuge*, its anguished pitch set, and its tortured countersubject are all elements laden with referential meaning. The *topoi* they represent, as I have attempted to demonstrate, are those of fear, pain, anguish, and suffering—all emotional states traditionally associated with the Passion. In the Cavatina, Beethoven has taken us, metaphorically, from the glory on the Mount of Olives to the weeping and agony of the Garden of Gethsemane. The *Grosse Fuge* takes the listener further along an extraordinary spiritual journey—a journey that begins, like Christ’s arrest, crucifixion, death, and burial in fear, sorrow, struggle, pain, and anguish. A distinct rearticulation of the tied eighth notes, as in the bowed tremolo from the Baroque era, serves to heighten these emotional states in a way that simple quarter notes cannot. Given the dotted-note rhythmic profile of the countersubject of the first double fugue of ops. 133/134, I offer in evidence one additional candidate from the Baroque era—the violent dotted rhythmic figure that accompanies the chorus, “Surely, He has borne our griefs” from Handel’s *Messiah* (ex. 11). Might Handel’s powerful chorus have been

Example 10: Beethoven,
String Quartet in B♭ Major,
op. 130, movt. III, mm. 21–23.



41. Examples of this *Affekt* as an expression of anguish in Baroque pieces are too numerous to mention.

42. See Levy, *Beethoven: The Ninth Symphony*, pp. 93ff.

43. The echoes of the cadences alone are enough to make the Cavatina kin to the slow movement of the Ninth.

the source for the rhythmic profile of Beethoven's first countersubject?⁴⁴ If so, can we then overlook Handel's chorus that follows immediately thereafter, "And with his stripes we are healed,"—yet another example of the *saltus duriusculus* and yet another possible candidate for Beethoven's *Urmotif*?⁴⁵ (ex.12).

Throughout this article I have strongly suggested a programmatic link between the *Grosse Fuge* and a Passion narrative. But I am also well aware of the dangers inherent in projecting too specific a narrative onto a purely instrumental work. Although it is tempting to suggest that the entirety of the *Grosse Fuge* represents a narrative that takes the listener from the crucifixion through the resurrection, there are obstacles that mitigate against such a reading. How, for example, is one to explain the passage in $\frac{6}{8}$ meter, Allegro molto e con brio (mm.233–72), in narrative terms? Nevertheless, the specific referential meaning of the tied eighth-note figure in the Baroque models compels us to consider how the story of the Passion informs the emotional and dramatic trajectory of the *Grosse Fuge*. This work, with its epic sense of struggle begins with a dramatic expression of tremendous struggle, pain, and anguish. The serenity in the G^b fugue offers momentary respite from the struggle. In partial answer to the question of the fleeting Allegro molto e con brio, it is helpful to be reminded that this relatively cheerful episode quickly devolves into further struggle and turbulence in the A^b fugue (mm.273ff.), reaching its apex in m.416 with the most jarring rhythmic displacement of all. At this point, the past events of the movement are paraded before our ears as a kind of abbreviated recapitulation, beginning with the E^b pedal tone in m.477, followed by a "reprise" of the Meno mosso e moderato in m.493. The final cadence is interrupted by a

Example 11: Handel, *Messiah*,
"Surely, He has borne our
griefs," mm.1–3.



Example 12: Handel, *Messiah*,
"And with his stripes,"
subject.



44. This interpretation stands in contrast to Ratner's assertion that the topic of the first double fugue is that of a march. See Ratner, *The Beethoven String Quartets*, p.284.

45. The "Rex tremendae" of Mozart's Requiem offers still another possible dotted-note *Vorbild*.

moment of doubt and hesitation (mm. 511–32), finally resolving to the definitive release of the Allegro molto e con brio in m. 533. All pain and anguish yield to joy, but not without one last brief recollection of the Overtura (mm. 657–62)—a reminder of all previous pain and suffering.⁴⁶ One might view the entire Allegro molto e con brio section as a *lieto fine* from an opera seria. But we would do well also to recall that the anguished narrative of the Passion ends with the glory of the resurrection.

46. This late reminder bears some kinship to the reprise of the scherzo from the Fifth Symphony, before the recapitulation of the finale.

REVIEWS

Sonata Dialogues

Michael Spitzer

James Hepokoski and Warren Darcy. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*. Oxford: Oxford University Press, 2006. xxix, 661pp.

As with Orson Welles's famous verdict on the path of his career—that he started at the top and worked his way down—this review begins with superlatives. *Elements of Sonata Theory* is a monumental achievement, by any standards.¹ Bringing together scholarship as impeccable as it is encompassing, keen musical insights on every page, and a bold theory that has been developed, jointly or independently, by the two authors in publications over the previous decade, Hepokoski and Darcy's volume fulfills, and even exceeds, all expectations. Students and scholars of Classical music will be grateful for a book that affords them both a new critical tool and a rich quarry of facts and ideas.

How can one do justice to six hundred double-columned and densely argued pages in the space of a review? All I can do is pull out a few key strands. My first duty as a reviewer is to offer a short conspectus. But I would also like to take the authors at their word and pick up their explicit challenge for other theorists to enter into *dialogue* with their ideas—"dialogue" being a foundational concept for much of their discussion. Furthermore, while *Elements* focuses on the "big three" composers of the Classical style, I will consider its particular impact on Beethoven.

1. James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford UP, 2006). Henceforth *Elements*.

Elements proposes not one but two theories. As I see it, the book proceeds from two fundamental presuppositions, which, for convenience, I will refer to respectively as the “normativity model” and the “punctuation model.” The normativity model outlines a dynamic theory of sonata form as a processive dialogue with stylistic norms and conventions. The punctuation model views form as interruption of tonally directed motion, in accordance with Heinrich Schenker’s much-quoted description in *Free Composition*.² Schenker remains offstage throughout most of the book, but his influence is strongly felt through the work of William Rothstein, the contemporary theorist with whom the authors most strongly identify. An interesting feature of Rothstein’s notion of “tonal phrase rhythm” is that it seeks to relate the modern tonal perspective on form to the rhythmic standpoint of eighteenth-century theory.³ Form, for Riepel and Koch, is articulated differentially in part (but not entirely) by graded phrase endings and cadences. This historical dimension, epitomized perhaps by the concept of caesura (Koch’s *Einschnitt* or *Cäsur*), is hugely significant for Hepokoski and Darcy’s punctuation model.

Now, the normativity model occupies the extraopus axis, plotting the position of a piece within a universe of general stylistic norms. Hepokoski and Darcy define this process as “deformation,” a concept that does much theoretical work in their book. Conversely, punctuation is assessed within the piece, along the intraopus axis. The two models—and axes—converge in a markedly negative take on musical process: that is, deviation from a stylistic schema is as much a negation of sorts as is an interruption or deferral of tonal closure. By the same token, Hepokoski and Darcy are less interested in originality than in typology, and more concerned with structural endings than beginnings. The thrust of my dialogue with their sonata theory is to envoice some positivities—to restore the case, as I will put it, for originality and beginnings.

A Conspectus

Hepokoski and Darcy’s view of sonata form is tonal and teleological: “At the heart of the theory is the recognition and interpretation of *expressive/dramatic trajectories*

2. Heinrich Schenker, *Free Composition*, trans. and ed. Ernst Oster (New York and London: Longman, 1979), I, 5: “The *goal* and the *course* to the goal are primary. Content comes afterward: without a goal there can be no content. In the art of music, as in life, motion toward the goal encounters obstacles, reverses, disappointments, and involves great distances, detours, expansions, interpolations, and, in short, retardations of all kinds. Therein lies the source of all artistic delaying, from which the creative mind can derive content that is ever new” (cited from *Der freie Satz* [1935] on p.13).

3. William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer, 1989).

toward generically obligatory cadences" (*Elements*, p.13). They declare this principle at the outset and develop it in the course of four introductory chapters. Chapters 5–14 then proceed systematically through the "generic spaces" of sonata form, from primary theme through recapitulation to coda. These initial fourteen chapters (covering three hundred pages) would constitute a book in itself; certainly, they comprise the main "meat" of the study. The remaining eight chapters offer highly interesting contextualizations, including: a consideration of the "Three- and Four-Movement Sonata Cycle" (chap.15); a typology of sonata "types," placing the sonata proper on a generic spectrum embracing binary dances, sonatinas, sonata-rondos, and concerto opening-ritornello form (chaps.16–19); and an extensive study of Mozart's concerto practice (chaps.20–22). Amounting to nearly two hundred pages, these last four chapters are a major contribution to Mozart studies. Concerto is the scandal in the midst of sonata; the aesthetic distinction that Mozart bestows upon the conceptually marginal ritornello/sonata hybrid lifts it to a position from which it can challenge the supremacy of mainstream sonata. Hepokoski and Darcy's book bravely confronts this problem by integrating concerto into their sonata theory—the first major study to do so.

Two of the four introductory chapters are devoted to "the medial caesura"—"the brief, rhetorically reinforced break or gap that serves to divide an exposition into two parts, tonic and dominant (or tonic and mediant in most minor-key sonatas)" (p.24). While conceding that expositions are two-part by virtue of their "tonal plot" ("moving from an initial tonic to a secondary key" [p.23]), Hepokoski and Darcy place great store on their "rhetorical" articulation, to the extent that the lack of a "medial caesura" relegates the form to a "continuous exposition." Although certainly arresting, their cast-iron law that "*if there is no medial caesura, there is no secondary theme*" (p.52) nevertheless clouds the more basic ambiguity of the relationship between what they style "rhetorical form" (caesura) and "tonal form." Since expositions are tonally two-part anyway, with or without a medial caesura, the significance of caesuras is compromised, as is the force of Hepokoski and Darcy's polemic against Tovey, Cone, and Rosen's established model of sonata as tonal drama.

Medial caesura is a central plank of Hepokoski and Darcy's punctuation model, based on a rhetoric of discontinuity. Another is the "Essential Expositional Closure" (EEC) delivered by the first Perfect Authentic Cadence (PAC) in the second group. Its stronger counterpart is the "Essential Structural Closure" (ESC) achieved in the corresponding point of the recapitulation. By Hepokoski and Darcy's lights, these two cadences are the crucial junctures of sonata form. The latter in particular "is the most significant event within the sonata," since it is where the tonic key "is

attained as a stable reality.” Overall, they claim that “the broad trajectory of the sonata may be understood as an act of tonic-realization” (p.232).

Two main outcomes flow from this punctuation model. One is a “pointillist” picture of sonata form focused around junctures of tonal articulation, from local phrase endings to global signposts: MC (medial caesura); EEC; ESC; and also the retransition (RT), which the authors hear, interestingly, as structurally rhyming with the expositional MC (p.197). (Hepokoski and Darcy also remark that it is this point, the retransition, which corresponds to the Schenkerian *Teiler*. They devote several pages to a useful discussion of Schenker’s very different model of tonal “interruption” [pp.147–49].) By concentrating tonal import within points, *Elements* necessarily underplays the lines between these points—the musical material’s linear dimension. The other main outcome is an emphasis on the second half of the exposition, on the second subject (S): “because of its role within the larger structure S is the most privileged zone of the expositional rotation.” Even more decisively, they contend that “what happens in S makes a sonata a sonata” (p.117). Its S-orientation is one of the book’s most refreshing elements, and it is a salutary corrective to the P (Primary Theme)-orientation of many earlier approaches (to the extent that the first-subject incipit can come to epitomize the entire piece in many people’s minds). Nevertheless, a curiosity of *Elements*, which I will pursue below, is that the relationship of secondary to primary material (as contrast; as fulfillment; as hidden variation; as ritornello) is considerably understated. This is a problem, and I will mount a counterargument that a more balanced picture of the sonata-form exposition is required, in which the roles of P and S are more equal. Hepokoski and Darcy assess phrases by their cadential orientation at all junctures of the sonata, including P. This uniformly teleological conception discounts the opposite way in which pulses functioned within the Classical style: not just as rhetorical punctuation marks, but *as quasi-metrical markers of structural grouping*. As in a metrical stream or *Schlagfolge* (Sulzer and Koch’s paradigm of Classical form), a pulse defines a grouping boundary.⁴ Irrespective of its tonal stability, a beginning in a Classical exposition is still a beginning, and phrasing is defined against it retrospectively, *as well as* prospectively toward the phrase ending or cadence. Lerdahl and Jackendoff’s project followed an agenda not directly relevant here, except that

4. See Johann Georg Sulzer’s article on “Rhythmus” from his *Allgemeine Theorie der schönen Künste* (2nd edn. Leipzig, 1777), II, 527. Adjusting Sulzer’s “Schlagfolge” to “Schlagreihe,” Koch considers rhythm in volume II of his *Versuch* in the chapter titled “On the Nature of Measure in General.” See Heinrich Christoph Koch, *Versuch einer Anleitung zur Composition* (Leipzig: A. F. Böhme, 1782–93), II, 278. I explore these ideas in my *Metaphor and Musical Thought* (Chicago: U Chicago P, 2004), pp.236–39, 246–48.

their tree diagrams elegantly captured the dynamic by which primary-group events *tense away from* openings (rather than “relaxing” toward closes).⁵ Paradoxically, then, the primary group’s modulation is dynamic in a retroactive capacity, flexing *away from* its tonic “head.” It is unclear whether Lerdahl and Jackendoff realized the extent to which their “tensing” model accords with a historical perspective on P as governed by what Koch termed “rhythm” (= structural grouping). Conversely, S, whose business is not modulation but deferral of closure, is regulated mostly by Koch’s “punctuation.”⁶ From this standpoint, the most interesting aspect of the exposition is the differential functions of P and S, not their subsumption within a single teleology. That is, while “rhythm” and “punctuation” generally interpenetrate, the former is stronger in P, while the latter comes to the fore in S.

If the theorist of “punctuation” is Rothstein, then the advocate of “rhythm” is the figure who is arguably Hepokoski and Darcy’s chief antagonist: William Caplin. Caplin’s magisterial *Classical Form* is of course the previous big statement on sonata theory, and the present book’s main competitor.⁷ Following through the tensions in Hepokoski and Darcy’s book to its tectonic plates, we are led to a collision between Rothstein’s and Caplin’s opposing perspectives on phrase. Hepokoski and Darcy bury this clash in a lengthy footnote, which deserves unearthing nearly in full:

Still another difference between our descriptions [other than definition of sentence form] is in our diverging conceptions of what constitutes a “phrase.” We regard the normative “phrase” as a more or less complete musical thought involving motion to a cadence [i.e., after Rothstein]. The presence of a cadence at its end . . . is central to our preferred view of the term. Caplin’s definition is cast in a way that does not require a cadence. In his system the word “phrase” is “a functionally neutral term of grouping structure [that] refers, in general, to a discrete group of approximately four measures in length” (*Classical Form*, p.260, n.5); a phrase is “minimally, a four-measure unit, often, but not necessarily, containing two ideas” (p.256; cf. p.263, nn.4, 11). What Caplin calls a phrase we would often call a subphrase or module—although “module” is intended to be a flexible term covering any of a small number

5. Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* (Cambridge, Mass.: MIT Press, 1983). See in particular their comments on their prolongational tree for a typical sonata form: “A tonicized V . . . is heard more naturally as a departure from a preceding I than as a step in relaxing to a following I” (p.245).

6. See Koch, *Versuch einer Anleitung*, II, 343.

7. William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford UP, 1998).

of small building blocks within a work, ranging from each of Caplin's two smaller ideas, to any slightly larger unit without strong inner contrasts, to, at times, a consistent "phrase" itself (p.69, n.10; in the remainder of this note, the authors compare Caplin unfavorably with Rothstein).

Hepokoski and Darcy annotate subphrases of P with superscripted exponential integers, defined by PACs (pp.71–72). Thus, with P¹, the integer 1 means "belonging to the first perfect-authentic-cadential span," and "P¹ will move on to P² only after the first PAC has been attained" (p.71). The notation is even decimalized to cater to events *within* PAC spans, so that P^{1.1} and P^{1.2} may refer, respectively, to Caplin's structural functions: for instance, a "basic idea" followed by either a "contrasting idea" or the beginning of a sentential "continuation" (pp.71–72). Hepokoski and Darcy thereby mean to subsume Caplin's *Formenlehre* while subsuming its significance. But this is to radically reinterpret it, leveling off the contours of Caplin's theory—his functional distinction between "tight- and loose-knit" syntax, and his beginning-middle-end narrative of "presentation-continuation-cadential." These categories are qualitatively different and can be neither homogenized as (quantitative) degrees of cadential stability nor decimalized into fractions.

This is certainly not to say that Caplin has all the answers. He himself admitted that the developing variation/*Grundgestalt* strand of Schoenbergian *Formenlehre* is left out of his theory.⁸ One can turn to Janet Schmalfeldt for that, just as scholars such as Evan Bonds have attended to the rhetorical dimensions of form.⁹ Semiotic, cognitive, and critical-theoretical approaches are also available. I will visit some of these standpoints to illuminate the wealth of ideas provided by *Elements*, targeting a series of rubrics, and zooming in on some of its analytical snapshots of Beethoven.

Exposition Trajectories

Hepokoski and Darcy tuck their short yet striking analysis of the exposition of Beethoven's "Pathétique" Sonata (pp.97–101) within their chapter on "The Transition" (ex.1). They argue that the unusual mediant-minor second subject at m.51 emerges from a series of earlier "deformations" of Classical procedure, beginning

8. Ibid., p.4: "Given that this theory minimizes motivic relationships as a criterion of formal functionality, it largely sets aside, ironically, Schoenberg's own preoccupation with *Grundgestalt* and 'developing variation'."

9. See Janet Schmalfeldt, "Form as the Process of Becoming: The Beethoven–Hegelian Tradition and the 'Tempest' Sonata," *Beethoven Forum* 4 (1995), 37–71; Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge: Cambridge UP, 1991).

Example 1: Beethoven,
“Pathétique” Sonata, op. 13,
movt. I, mm. 11–52.

11 Allegro di molto e con brio

The musical score is presented in a system of eight staves, each containing a grand staff (treble and bass clefs). The key signature is three flats (B-flat, E-flat, A-flat), and the time signature is common time (C). The tempo is marked 'Allegro di molto e con brio'. The score includes various dynamic markings: *p* (piano) at measures 11, 16, and 26; *cresc.* (crescendo) at measures 15, 20, 31, and 41; and *sf* (sforzando) at measures 26, 32, 37, 42, 47, and 52. The notation includes eighth and sixteenth notes, rests, and chordal structures. Measure numbers 11, 16, 21, 26, 32, 37, 42, and 47 are indicated at the beginning of their respective staves.

with the prolonged dominant episode at m.27. Up to this point, they suggest, “it is possible to construe mm.11–circa 35 as the aa’b portion of a potential rounded-binary format (aa’b’)—an expectation that will not be realized” (p.97). Here and elsewhere in their book, Hepokoski and Darcy employ counterfactuals to explain their dynamic view of the compositional process: “the composer generates a sonata—which we regard as a *process*, a linear series of compositional choices—to enter into a dialogue with an intricate web of interrelated norms as an ongoing action in time” (p.10). We can put to one side the problem that the composer’s dialogue with convention is not at all the same as the dialogue between listener and music (the former enjoys the luxuries of reflection and synoptic vision; the latter unfolds blindly in real time). But the issue for now is the authors’ listener-oriented model of musical experience, which resonates as much with the expectation-realization theory of the Meyer School, as Ratner and Agawu’s concepts of Classical play.¹⁰ Next, Hepokoski and Darcy imagine that, had “Beethoven filled out the last half of m.35 with a rest, he could have created the impression of a grand antecedent, awaiting a parallel grand consequent” (p.97). “Grand antecedent” is just one of the book’s many felicitous neologisms—terminology that doesn’t just label procedures, but makes them visible for the first time and thus available for theorizing (“caesura fill,” “trimodular block,” “crux,” and “correspondence measures” are other examples).¹¹ In this case, the term means “a lengthy, multimodular antecedent idea that constitutes the first extended limb of P” (p.45)—in other words, the practice of unifying a tonic group into a single phrase, answered by a transition in the shape of a modulating consequent phrase (a “grand consequent”). One of my quibbles with this book is that the historical moments of some innovations are not sufficiently underscored. Thus, while noting that Mozart’s Symphonies Nos.40 and 41 use “P as Grand Antecedent” (p.77), Hepokoski and Darcy omit (1) to mention that Mozart was probably the inventor of this gambit (ca. 1787, with the String Quintet, K.515, being the first

10. See in particular Leonard B. Meyer, *Explaining Music* (Chicago: Chicago UP, 1973); Eugene Narmour, *The Analysis and Cognition of Melodic Complexity: The Implication-Realization Model* (Chicago: U Chicago P, 1992); Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980); V. Kofi Agawu, *Playing with Signs* (Princeton: Princeton UP, 1991).

11. The “crux”—a term adapted from Ralph Kirkpatrick’s work on Domenico Scarlatti—defines the “moment of rejoining the events of the expositional pattern after once having departed from them” (p.240). “Correspondence measures” means “those recapitulatory bars that are more or less identical (with only small variants) to those in the exposition” (p.241). The distinction between “correspondence” and “referential” measures is fruitful for revealing the processive nature of some of Haydn’s recapitulations, which may begin varied, but “over a dozen or more bars, come ever closer to becoming correspondence measures” (p.241).

great exponent); (2) to show how this fits within certain expansionist tendencies of his “late-middle” period; or (3) to suggest its vital significance for Beethoven’s own project to expand sonata form. To be sure, the authors do consider the “grand antecedent” P-theme of the finale of Beethoven’s Fifth Symphony on the same page. But readers are left to make the connection for themselves: in much of the book, Hepokoski and Darcy are extremely chary of drawing historical inferences, perhaps in line with James Webster’s influential critique of stylistic evolutionism.¹² With the “Pathétique,” Hepokoski and Darcy refer the reader/listener to Beethoven’s later “grand antecedents,” as in the finale of the “Moonlight,” and the first movement of the “Waldstein,” whose consequents dissolve into transitions. The “Pathétique” breaks (deforms?) that expectation, however, by following at m.35 with “a sequential development of P-material, during which the bass rises chromatically from G to B-flat” (p.97). The process hoists the tonic half close (i:HC) of m.27 up sequentially to a III:HC at m.43, which is then established, via a “dominant-lock,” as the medial caesura of m.49. Beethoven “bypasses” the expected return of P at m.35, “overriding” a generic norm (p.101).

The judiciously chosen word “overriding” brings us to one of the central issues in *Elements*: the idea that norms are somehow conceptually present in the piece (or in the mind of the listener). To anticipate a term from Hepokoski and Darcy’s discussion of development sections, these norms are “written over”; they remain as a “tacit substratum of implication below the acoustic surface” (p.214). One wonders, however, how this “surface/depth” model comports with the authors’ earlier statistical definition of deformation as a matter of selection frequency, a “hierarchical ordering of . . . options” (p.10). Resorting to their favored computer metaphor (which I will explore later), the authors present this hierarchy as a nest of “defaults,” with “first-level defaults” being the most “reflexive” (p.10). Nevertheless, an unusual default does not “deform” a more preferred option in the same way that an individual piece deviates from a norm. That is, nonselected defaults do not endure as a “tacit substratum”; they are simply not selected and drop out, leaving the listener to attend to the musical data on its own terms. There is no reason why even an educated audience should comprehend a work entirely differentially—in terms of a stipulated norm. Partly they do; partly they do not.¹³

Statistical selection, then, obeys different principles than artistic play. Nevertheless,

12. See especially James Webster, “The Concept of Beethoven’s ‘Early’ Period in the Context of Periodizations in General,” *Beethoven Forum* 3 (1994), 1–27.

13. This has much more to do with basic psychological proclivities, rather than with any ideology of organicism, as Albert Bregman demonstrated in his monumental study, *Auditory Scene Analysis: The Perceptual Organization of Sound* (Cambridge, Mass.: MIT Press, 1994). Bregman rejects Mari

for Hepokoski and Darcy deformation directly effects the aesthetic character of the “Pathétique”: “overriding” the norm creates the music’s “sense of impatience, forward press, and dogged struggle to escape the minor mode.” The transition’s “impetuosity” is even responsible for the second subject being doubly “injured” through its appearance not only in E♭ minor, but destabilized by a dominant pedal (p.101). The connection between deformation and “injury” is unfortunate, especially in view of the authors’ rejection of Joseph Straus’s provocative attempt to extend political correctness to notions of musical “well formedness” (which he feels are prejudicial to the physically disabled).¹⁴ And yet, with sympathy to Straus, it is hard to see how this connotation could be removed, and surprising, given their extreme sensitivity to terminology (as in transitions that need not necessarily modulate [p.93]; developments that don’t always develop [p.196]; and “false recapitulations” that are rejected altogether as a misnomer [pp.221–28]) that Hepokoski and Darcy should keep such faith with their term.

The authors return to the “Pathétique” in their chapter on “The Second Subject,” where they characterize the E♭-minor theme as “an unusually extended S⁰.” According to their idiosyncratic system of designating themes, a “zero-module” is “preparatory to a more decisive (or more fully launched) module that follows” (p.72). In this light, the Sonata’s minor mode and dominant pedal render it introductory to the E♭-major theme at m.89, which Hepokoski and Darcy designate as S¹.¹⁵ *Elements* is at its most refined when scrutinizing the exact placement of the medial caesura, second subject, and essential expositional closure. According to its dynamic view of form, all these terms are susceptible to retrospective reinterpretation, in a sometimes dizzying dialectic. In the first movement of Mozart’s Symphony No.40 in G Minor, an initial transition (a “dissolving consequent” to P) is jettisoned by a second, more self-contained one, suggesting splendid notions of “false transitions” and “double transitions” (p.113). Hepokoski and Darcy’s theory is particularly apt for Haydn’s ostensibly irregular expositions, where “false transitions” may involve a gambit they call “medial caesura declined” (pp.45–47). The finale of Beethoven’s Second Symphony exemplifies this strategy: an apparent I: HC caesura at m.25 is declined a measure later by a new S-type theme *in the tonic*, leading, after re-invigorated “TR-activity,” to an authentic V:HC caesura at m.50 and a normal S

Riess Jones’s influential thesis that listeners entrain primarily to patterns of regularity, contending that holistic gestalt principles in fact have priority (see especially pp.194–202).

14. *Elements*, p.618, n.14. See Joseph N. Straus, “Normalizing the Abnormal: Disability in Music and Music Theory,” *JAMS* 59 (2006), 148–75.

15. Their *locus classicus* of an S⁰ is mm.43–60 of the *Eroica* (p.143).

in the dominant (pp.45–46). A succession of medial caesuras can also result in a “trimodular block” (TMB) (p.171), as in the first movement of Beethoven’s Piano Sonata in C, op.2, no.3 (p.172). Following the normative TMB pattern of I:HC / V: HC, a half-close in C (m.26) leads to an S-idea in the unusual dominant minor (TM¹), before new transitional material (TM²) sets up the second medial caesura and a proper second subject in G *major* (TM³) (p.172).

That part of the book devoted to the exposition gives the lion’s share to the second subject, with particular focus on the moment of EEC arrival. Despite siding with Rothstein that EEC is afforded by the *first* PAC of S rather than the *last*, as Caplin thinks,¹⁶ in practice Hepokoski and Darcy devote their analysis to how EEC can be repeatedly deferred in the course of structural expansion (so converging with Caplin). The second group of Beethoven’s Second Symphony, first movement, provides an excellent example of S defined by its *final* PAC: what seems at first to be a consequent phrase of S is converted, by means of the elided PAC at m.68, into the repeated module (a + a’) of a larger sentence, whose cadence at m.77 is undercut by a turn to the minor. The subsequent resumption of S material, in G minor, “re-opens” the second subject, which now pushes on successfully to the EEC at m.88. Although they define the “closing zone” (C), including codetta, by the onset of contrasting material (its “non-S-ness,” p.181), Hepokoski and Darcy admit the possibility that S can be reopened, or “re-launched,” which simply serves to defer C to a later point.¹⁷

For me, the analysis of the second half of the sonata-form exposition, from MC to EEC, constitutes the book’s richest and most rewarding contribution to music theory. By revealing the processual character of sonata form, Hepokoski and Darcy throw down a radical challenge to Beethoven studies: to rethink the common assumption that structural dialectic was inceptioned by Beethoven’s “new path” of 1802, enshrined in works such as the “Tempest” Sonata. Dahlhaus and Schmalfeldt have shown how formal functions in this work emerge via a relay of retrospective reinterpretation, as the listener’s grasp of context successively grows.¹⁸ Hepokoski and Darcy confirm that Haydn was very much the author and master of this technique, as James Webster has long argued.¹⁹ One of the many historical

16. See William E. Caplin, “The Classical Cadence: Conceptions and Misconceptions,” *JAMS* 57 (2004), 51–117.

17. See their beautiful analysis of Mozart’s K.332, movt. I (pp.159–62).

18. Carl Dahlhaus, *Ludwig van Beethoven: Approaches to His Music*, trans. Mary Whittall (Oxford: Clarendon Press, 1991), pp.169–71; Janet Schmalfeldt, “Form as the Process of Becoming.”

19. See especially Webster, *Haydn’s “Farewell” Symphony and the Idea of the Classical Style: Through-Composition and Cyclic Integration in His Instrumental Music* (Cambridge: Cambridge UP, 1991).

lessons offered by *Elements* is that Beethoven's real innovation was to extend this dialectic backward, from S to P. But this begs the question of how we define the Classical primary group in general. Although I will continue my focus on the "Pathétique," the following arguments apply, in principle, to Haydn and Mozart as well.²⁰

The "Pathétique": An Alternative View

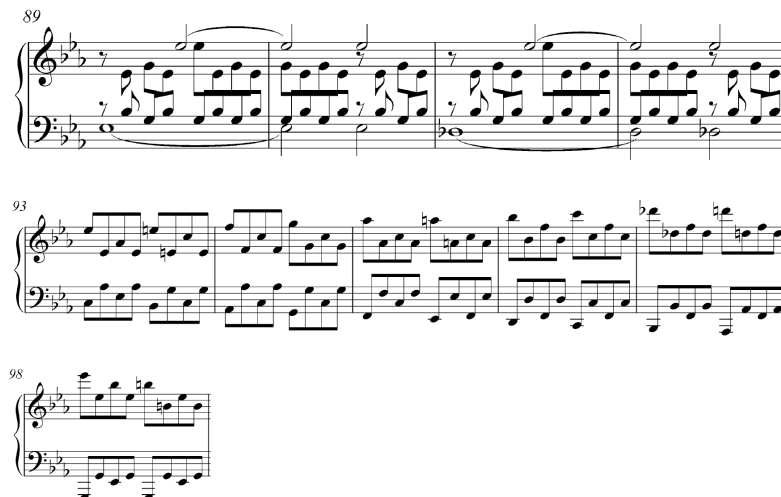
A perspective geared to the primary theme might consider how it outlines a group of generative ideas. With regard to mm. 11–27 of the "Pathétique," we could attend to tensions in the theme that are composed out in the rest of the exposition. "Tension"—the crucial concept here—is not particularly amenable to formal theories that prefer to classify procedures as to type, or to make binary either/or decisions. Hepokoski and Darcy's resort to "retrospective reinterpretation," while fostering an image of listening as a dynamic process, is actually not as open as it seems, since it still depends on the music fitting stably and harmoniously within a particular category. Although their interpretations may change in hindsight, *each interpretation, as it is made within its temporal window, is categorially stable*. But do we really hear music through a conveyor belt of little "jelly-molds" (as Tovey might ask today)? Of course, the heuristic value of stylistic schemata, at a critical and pedagogical level, could hardly be gainsaid. Yet processes of categorization apply to aesthetic objects far more contingently than they do in more prosaic (linguistic and rational) domains. Appeals to artistic originality or subjectivity might be dismissed by the authors as relics of High Modernism.²¹ Nevertheless, one needn't be an Adorno to hear, on a modestly pragmatic basis, how a work such as the "Pathétique" is driven by formal *tensions*.

The theme's initial four measures—a repeated "basic idea" according to Caplin's theory—affords the Grave strong cadential closure, compounded by a subdominant signally lacking in the introduction. Ironically, a IV–V–I progression—Caplin's

20. I develop these arguments for Mozart in my "A Metaphoric Model of Sonata Form: Two Expositions by Mozart," in *Communication in Eighteenth-Century Music*, ed. Kofi Agawu and Danuta Mirka (Cambridge: Cambridge UP, 2008), pp. 189–229.

21. As in Hepokoski's aggressive response to Julian Horton's critique of the deformation concept: "Such a position is easy to misconstrue, especially if one adheres to the shopworn, high-modernist ideological position that 'content' alone is capable of generating the large-scale structure of a piece" ("Framing Till Eulenspiegel," *19CM* 30 [2006], 4–43 [p. 31, n. 73]). I don't think any sophisticated "modernist" would truly exclude handed-down historical models from a dialogue with compositional strategy.

Example 2: Beethoven,
 “Pathétique” Sonata, op. 13,
 movt. I, mm. 89–98.



sine qua non for an perfect authentic cadence²²—is rendered at the beginning of the Allegro (and withheld at earlier points of the Grave such as m.2). Nevertheless, this cadence is short-circuited by the tonic pedal. Pedals remain an issue for the exposition, as does the urge to escape them. Just as the theme’s presentation phrase anticipates the pedal-points of S^0 (m.51), the upsurge to the dominant in the continuation phrase foreshadows the explosive release of S^1 at m.89 (ex.2). Tension here means noncongruence between static bass and mobile harmony, resolved when they stride out together. Interestingly, the process involves some neat reversals: tonic pedals (P) transposed to dominant pedals (S^0); “converging” contrary motion (continuation phrase) inverted to “diverging” contrary motion (S^1); octave ascent over pedal (presentation phrase) commuted to octave ascent in harmony (S^1).

Cadential openings, when they are discussed in the literature, are generally treated in terms of contextual dissonances—resolved when the cadence is recontextualized properly as an ending.²³ An equally important, yet neglected, issue is the tension between the material’s characteristic and normative functions. Whether a dyad is a motive or a phrase ending goes to the heart of the Enlightenment dialectic between expression and convention—the tenor and the vehicle of music’s language character. The B–C dyad at mm. 12–13 is cadential, hence as semiotically transparent as a punctuation mark; the E–F dyad at mm. 11–12 is more ambiguous—ostensibly motivic, yet with shades of cadence on IV (ex.3).

In his sensitive extrapolation from Koch’s theory, Wilhelm Seidel inferred a drift

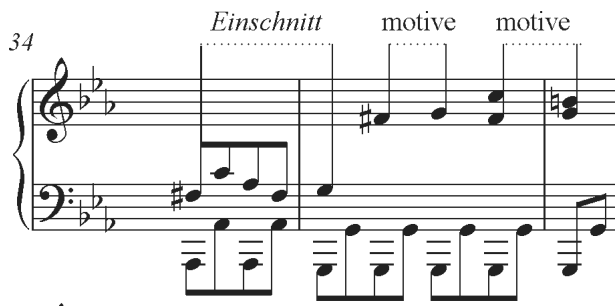
22. See Caplin, “The Classical Cadence,” 67.

23. As in Hepokoski and Darcy’s analysis of Haydn’s String Quartet in G, op.33, no.5 (pp.66–67).

Example 3: Beethoven,
“Pathétique” Sonata, op.13,
movt. I, mm.11–13, implied
cadences.



Example 4: Beethoven,
“Pathétique” Sonata, op.13,
movt. I, mm.34–36, trans-
formation of *Einschnitt* into
motive.



from *Einschnitte* to motive across the two halves of an exposition.²⁴ That is, in the primary group, one derives the thematic content of a phrase “top-down,” first determining the phrase ending (*Einschnitt*), and then working down to smaller segments. The second group, by contrast, is liable to be built additively from bottom-up motives. We can see this difference in the common practice of generating the second subject via the liquidation of the first.²⁵ Thus, in the “Pathétique,” the repeated F♯–G phrase ending (mm.18, 26–27, 30–31, 34–35) “flips” function from *Einschnitt* to motive in the new gambit of mm.35–37 (ex.4). The phrase closely echoes the cadential codettas in the finale of Beethoven’s previous C-Minor Piano Sonata, op.10, no.1. The point, however, is that the material is now dressed in the garb of a presentation phrase—as it will be again in the striking beginning of the development section. Next, the phrase-ending dyad is transposed sequentially to A–B♭, and accelerated from half notes to quarter notes (mm.49–50), setting up the faster pace of S⁰, and anticipating its characteristic appoggiatura figures at mm.56–58.

It does not take particular ingenuity to source the F♯–G progression to the opening of the Grave (bass, m.1), although Rudolph Réti’s unhistorical and methodologically naïve studies have unfortunately discredited this kind of analysis.²⁶

24. See Wilhelm Seidel, *Über Rhythmustheorien der Neuzeit* (Bern: Neue Heidelberger Studien zur Musikwissenschaft 7, 1975). This drift from “rhythm” to “punctuation” across the two halves of the exposition is schematized, in Koch’s terms, in Spitzer, *Metaphor*, p.219, and pp.257–58; and Spitzer, “A Metaphoric Model,” p.191.

25. See Spitzer, “A Metaphoric Model,” pp.192–94.

26. See Rudolph Réti, *Thematic Patterns in Sonatas of Beethoven*, ed. Deryck Cooke (London: Faber and Faber, 1967), pp.17–94.

A historically responsible analysis would observe, however, that the F \sharp –G dyad at m.1 is radically ambiguous: it fills up a normative phrase ending with rhetorical pathos—this, after all, is what makes the sonata “pathetic.” Beethoven’s genius, moreover, was to endow such details with enormous ideational significance. As I hear it, the rising step comes to signify the dynamic of triumphant ascent, mixed with feelings of emancipation. (This is an effect of context, as Dahlhaus liked to remind us:²⁷ semitones in themselves are meaningless.) The *maggiore* theme at m.93 is an apotheosis in this regard, enchainning the steps into an ecstatic rise through the octave. By the same token, the modality of E \flat minor is a means of both prolonging F \sharp as G \flat , and redirecting it *down* to F instead of *up* to G as before, when this harmonically mobile theme passes through D \flat major. (Strikingly, this redirection is rehearsed in the rotation of the tritone half notes in mm.45–50—rising semitone A–B \flat answered by falling semitone E \flat –D.) Ultimately, when minor hands over to major, and G \flat resolves to G natural, the two second subjects (S⁰ and S¹) can be heard to stake out the F \sharp –G motive as prolongational regions. Finally, considered as a pair, respectively “depressive” and “elational,” the two second subjects expand and realign dynamic contours that are originally out of phase in the primary theme. The melody in the presentation phrase had climaxed prematurely over a tonic pedal and sunk back just when the bass rises to a dominant. This is how the second group could be heard as both realizing and resolving opening “tensions.”

A paradox of *Elements* is that a tension model is actually implicit in much of its detail, particularly its sporadic treatment of the “breakout” principle (a concept unaccountably left out of its otherwise efficient index). Hepokoski and Darcy draw attention to a subspecies of sentence phrase structure (neglected by Caplin) where the continuation phrase features *contrast* rather than fragmentation or harmonic acceleration:

A presentation module appears twice in the manner of a potentially continuous loop and releases itself into a broader, forward-moving continuation. . . . We consider such structures to be specialized stylizations of the sentence, “sentences of the loop type.” This thematic strategy always consists of two sections: the initial loops themselves and the “breakout,” an escape from the loop-pattern and the onset of a drive toward a different goal (pp.80, 84).

The primary theme of the “Pathétique” partly conforms to this description: a

27. As in the “popular misconception that the initial, melodic version of the thematic rhythm in Beethoven’s Fifth is its ‘theme’.” See Carl Dahlhaus, *Nineteenth-Century Music*, trans. J. Bradford Robinson (Berkeley: U California P, 1989), p.159.

repeated presentation module (mm. 11–12; 13–14) followed by a contrasting “breakout–continuation” (mm. 15–18) (ex. 5a). Hepokoski and Darcy do not designate the theme as such themselves—by relying on short music examples to illustrate a series of concepts, the architecture of their book leaves no space for summatory analyses that would draw these concepts together. This puts the onus on attentive readers to draw connections for themselves. A long-range comparison with a prototypical “Mozartian loop,” for instance, the primary theme of his Piano Sonata in C, K. 279 (p. 80), would serve to underscore op. 13’s distinctiveness all the more clearly (ex. 5b). That is, Beethoven’s repeated presentation module is an octave higher; if Mozart’s theme suggests a “loop” of self-replication that could continue indefinitely unless something intervenes to break the pattern” (p. 80), then Beethoven’s potential loop is constrained by registral limits.

Hepokoski and Darcy explain “breakout–continuations” as, on the one side, resolving the loop’s frustrating cycle of repetition; on the other, as functionally

Example 5a: Beethoven, “Pathétique” Sonata, op. 13, movt. I, mm. 11–18 as “sentence of the loop type.”

Example 5b: Mozart, Piano Sonata in C, K. 279, movt. I, mm. 1–8 as “Mozartian loop.”

devolving to a hierarchically higher structural level.²⁸ What they do *not* do is seek the breakout's motivation within the particular character of the opening material. Adorno's notion of "breakthrough" (*Durchbruch*) accounts for this process; the authors are silent on the patent analogy between "breakthrough" and "breakout," doubtless because of their philosophical distance from Adornian aesthetics.²⁹ This is a pity, since elsewhere they fully avail themselves of surface/depth models ("tacit substratum of implications," etc.). The issue is also borne out by their problematic explanation of "a standard technique of reopening the local apparent-closure of any PAC . . . by immediate repetition" (p.85). That is, the cadential closure at m.13 of the "Pathétique" is undone by the subphrase's immediate repetition; the closure at m.15 is deferred to the end of the sentence, m.19, by the breakout-continuation. Yet the closure at m.13 is undone initially by the destabilising slide from E_b to E₄, *before the repetition gets underway*.

The question becomes more pressing at the level of the second group. Hepokoski and Darcy's standard argument is that EEC is deferred through successive cadential reopening. The problem comes, however, with their explanation of why ostensibly satisfactory closes may actually be too good to be true:

A particularly common strategy is to launch S as a simple parallel period, sentence, or other brief, closed structure—thus bringing it to an efficient PAC (often with the effect of its having arrived "too soon")—and then to submit it to a florid, expanded repetition, thereby undoing the EEC-effect of the first PAC. This strategy converts what might be expected to be a mere repetition into a billowing fantasy on the S-idea, moving decoratively or expansively toward the "real" EEC or perhaps toward merely another PAC that may itself be reopened in one way or another. An expressive feature of this technique is that of comparing the simpler, square-cut model of the first thematic statement—something easily retained in the memory as a symmetrical fixed block—with the unconstrained, flowing freedom of its varied restatement. The result can be a quasi-theatrical demonstration of the art of composition, of the imagination's fantasy-like reinterpretation of a simple idea, or of the breathtaking disclosure of the otherwise hidden potential of the earlier, more generically quadratic module (p.129).

28. *Elements*, p.85: "We are to understand the earlier loops as only the first portion of a larger sentence, which is the real governing format at this point."

29. For an interpretation of Adorno's concept of *Durchbruch* in the context of Beethoven analysis, see my *Music as Philosophy: Adorno and Beethoven's Late Style* (Bloomington: Indiana UP, 2006), p.21 and passim.

“Disclosure” of “hidden potential” is Adornian in all but name. The passage suggests that principles *other* than cadential deferral are at work in the second group, elements that slip through the authors’ theoretical net. Or rather, such insights, when they do arise, are generally represented as informal supplements to the “harder” theory, as in the eloquent appeal to “the imagination” above, or in the authors’ ambivalence about the second subject of the “Pathétique”: “We are not suggesting that the secondary theme begins with the E-flat major idea in m.89: this is indefensible. We do acknowledge that the S-theme begins on E-flat minor in measure 51, but observe that in its manner of deployment this theme is more closely related to the concept of S^0 . S^0 themes belong emphatically to S-space” (p.143). This division of labor—thematic S^0 , tonal S^1 —contradicts the firmly cadential thrust of sonata theory. The authors try to have it both ways, yet their conceptual model does not cater for the form-generative role of parametric conflict. Such conflict could even be said to be intrinsic to expositions, since second groups—however gentle or cantabile they may be—are always off-tonic and thus expressive of tension.

Rotations, Deformations

The sonata-form development (D) brings us to Hepokoski and Darcy’s “foundational axiom” of “rotation,” which is so central to their theory as to warrant an appended mini-essay (p.613). Rotation pertains to the recycling of the thematic pattern established in the exposition; the authors make a strong claim that listeners hear developments against this “referential layout,” which functions as a kind of conceptual template (p.206). Of course, only a minority of development sections actually do cycle through the exposition’s thematic modules in the original order. Nevertheless, in tandem with their other concepts of dialogue and deformation, rotation is supple enough to accommodate the world of exceptions in terms of: “the related idea of substantially altered restatements, such as developmental half-rotations, truncated rotations, rotations with episodic substitutes ‘writing over’ some of the expected individual elements, rotations with newly included interpolations, internal digressions from the governing rotational thread, occasional reorderings of the modules, and the like” (p.613). This claim leads to the equally arresting observation that, when rotations are truncated, developments are more likely to feature P and TR materials, which are “inert in the sense that by definition they cannot bring about the eventual ESC” (p.206). Conversely, S and C are unsuited to D because of their “cadentially ‘sensitive’ role” (p.205).

But do we really hear developments like that? Are “nonrotational events” truly grasped as “blanking-out or writing over a more normatively rotational option”?

Hepokoski and Darcy leave this “hermeneutic problem” very much as an open question (p.613). I suggest that this question cannot be answered statistically, since any exception can always be referred to as a norm in terms of “deformation.” It can only be addressed at a conceptual level, by lining up a number of counterarguments:

1. Valorizing P beginnings caters to sonata’s debt to the binary dance, but neglects ternary sources, such as the concerto and da capo aria. From this standpoint, developments feature contrast as much as return. Even when a development rotates in full and thus offers no material contrast, it is arguable that the listener is struck by the instability of the treatment, rather than the fact of rotation as such. A. B. Marx’s designation of development sections as higher-level “Bewegung” (part of his general *Ruhe-Bewegung-Ruhe* model) is still fruitful today,³⁰ as is Koch’s notion of the section as the interface between the sonata’s binary and ternary schemes.³¹ That is, the point is not to choose one scheme over the other (binary versus ternary), but to recognize the productive tension between them.
2. By promoting thematic over tonal perspectives on developments, the book seeks to correct theory’s alleged neglect of the “role of themes in order to emphasize linear-harmonic concerns” (p.205). And yet the authors foreground only a particular aspect of thematic process—patterns of repetition—over its discursive aspects. The book is drawn, strikingly, to the static, ceremonial nature of repetition, which runs counter to the dynamic thrust of the Classical style, especially in Beethoven.
3. The opposition between “themes” and “linear-harmonic concerns” is methodological, not aesthetic. It may indeed reflect the different outlooks of theorists (e.g., Schoenberg versus Schenker). But a creative composer may certainly dispose voice leading and “sequence-blocks” as part of a discursive strategy.

All these arguments may be illustrated by way of a piece that Hepokoski and Darcy themselves present as a premier counterexample to their theory, the finale of Beethoven’s Fifth Symphony.

30. According to Marx, “this part [the development section] is the motion-oriented part.” See *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method: A. B. Marx*, ed. and trans. Scott Burnham (Cambridge: Cambridge UP, 1997), p.146.

31. This is reflected in Koch’s hybrid definition of “the first allegro of the symphony” as a form comprising “two sections” but “three periods” (one period in the exposition; two in the development-cum-recapitulation). See the partial translation of the *Versuch* in Nancy Baker, *Heinrich Koch: Introductory Essay on Composition* (New Haven: Yale UP, 1983), p.213.

The development of the finale is dominated by S and doesn't refer to part 1 of the exposition at all. Is the development nonrotational? Should we understand it as a half-rotation "backing-up and recapturing the expositional rotation's part 2"? Or have the part 1 materials simply been elided? Hepokoski and Darcy leave these three options as "open questions" (p.217). It is hard, nonetheless, not to hear the development in three parts, and in "linear-harmonic" terms. In the first part (mm.85–121), a stepwise rising progression in the bass, extrapolated from the bass strand of the second subject (especially mm.51–55), meanders through various keys (A–F–B \flat –D \flat –f). In the second part (mm.122–31), this linear progression finds its way to the first-violin melody and is straightened out into a mechanical sequence rising in thirds (C–F, E \flat –A \flat , G–C, B \flat –E \flat), climaxing with a dominant preparation of G (ex.6).

The third part, beginning m.132, would be a simple retransition on a dominant pedal, had Beethoven not interpolated the famous flashback to the scherzo at m.153. For all its rhetorical bravado, however, this return sits on a dominant pedal and does not interfere with the development's simple three-part harmonic plan, which actually corresponds very neatly with Caplin's three-module scheme of "pre-core, core, retransition" (a scheme Hepokoski and Darcy strongly reject).³² But my purpose is not to defend Caplin so much as to suggest that the development makes even greater sense as a link in the symphony's discursive strategy, both on a local level—in relation to the exposition—and globally, as an aspect of Beethoven's cyclical conception.

The authors had earlier pointed out the first subject's extraordinary structure as a "grand hybrid." While gesturing toward the periodic/sentential pattern of "grand antecedent" answered by "dissolving-consequent type," the theme actually avoids periodicity at all levels: the four modules that make up the antecedent are distinct; and, after four measures of "caesura fill" (mm.22–26), Beethoven brings in a new idea (p.77). Nevertheless, the way the authors parse the theme is curi-

Example 6: Beethoven, Symphony No.5, op.67, movt. IV, mm.122–32.

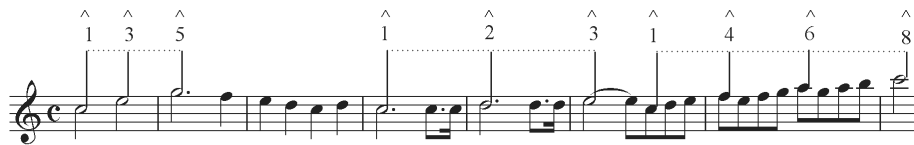


32. See Caplin, *Classical Form*, pp.139–59.

ously inattentive to the process of cumulative expansion that sweeps across their designated boundaries. Blending developing variation with tonal prolongation (and thus deconstructing any opposition between “thematic” and “harmonic”), the process takes as its premise the opening fanfare. The $\hat{1}-\hat{3}-\hat{5}$ arpeggiation expressed by this fanfare generates a stream of ideas—filling in the triadic space with steps (mm.2–6); sequencing the arpeggio up to $\hat{1}-\hat{4}-\hat{6}$ (ex.7a), extended to the full octave and beyond (mm.6–13); and subsequently giving the constituent scale steps ever greater harmonic and rhythmic support. In this light, the apparently new material that launches the transition at m.26 is a further link in this chain of expansion—unfolding the rise from C to G in more leisurely steps, grounded harmonically, and ultimately tonicizing the dominant (ex.7b). The rising linear progressions underpinning the second group continue this process. Note, in particular, how the central phrase of this group (mm.51–63) unfolds a four-octave ascent, a more leisurely treatment of the rushed climax in mm.6–8 (ex.8).

When this ascent is expanded yet again over the course of the development, Beethoven’s purpose becomes clear: to rehearse, and enhance, the finale’s introduction. The stepwise rise to the G of m.132, continuing into the pedal Gs of Tempo I, considerably amplifies the effects adumbrated in the “darkness-to-light”

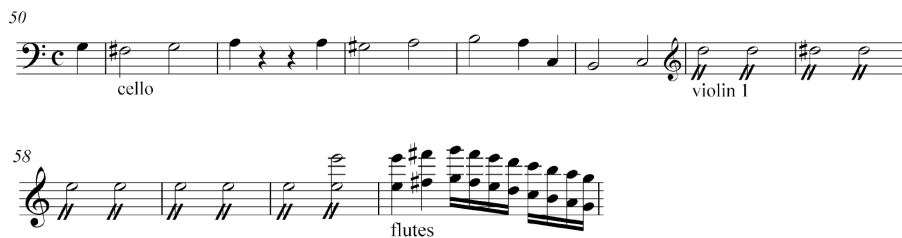
Example 7a: Beethoven, Symphony No. 5, op.67, movt. IV, first subject, mm.1–8.



Example 7b: Beethoven, Symphony No. 5, op.67, movt. IV, transition, mm.26–38.



Example 8: Beethoven, Symphony No. 5, op.67, movt. IV, second group, mm.50–61.



transition that had originally prepared the C-major fanfare.³³ P, S, and D are thus akin to three variations, yet on the basis of a circularity quite distinct from rotation theory. Rotation, from Hepokoski and Darcy's standpoint, is an art of mechanical repetition. Beethoven's finale unfolds a course of cumulative expansion directed by compositional strategy.

At the highest level, this strategy embraces the symphony as a whole. Confronted by the muscular stepwise rise from E at m.122, one is struck by its similarity to the rising scale, again from E, at the exactly parallel juncture of the development of the first movement (mm.195–240), a moment that gave E.T.A. Hoffmann such food for thought³⁴ (ex.9). The parallel throws into relief four differences: (1) here, the scale is chromatic, and fosters stasis; the finale's scale is diatonic, and drives to a climax; (2) here there is no retransition, and the reprise is a shock; the finale's retransition is unusually expansive and goal driven; (3) in the first movement, the E connects a mid-development "false dawn" in C major with a tragic reassertion of C minor when the D plateau of mm.221–40 finally connects with the E \flat of the reprise; the finale confirms the countermove from minor to major; (4) in the first movement, the scale emerges through a liquidation of P; in the finale, it is derived from S. These cyclic relationships suggest several conclusions. It is arguable that these linear processes are more pertinent than whichever material (P or S) happens to be their vehicle (P in I; S in IV). Conversely, in its suppression of P, the finale development neatly complements the P-orientation of the first movement. Does the finale thus "write over" the expectation of P? I think that Hepokoski and Darcy's two-dimensional surface/depth model isn't quite adequate to the rich-

Example 9: Beethoven, Symphony No. 5, op.67, movt. I, mm.195–224.

33. There is also the functional relationship between the tonal orientation of the pedals underpinning the introduction and Tempo 1, respectively on A \flat and G.

34. Hoffmann's famous review of the Symphony, in *E. T. A. Hoffmann's Musical Writings: Kreisleriana, The Poet and the Composer, Music Criticism*, ed. David Charlton and trans. Martyn Clarke (Cambridge: Cambridge UP, 1989), p.242.

ness of Beethoven's cyclical design. The finale suppresses a particular, rather than generic, precedent; and it is hard to resist Hegelian metaphors when describing how it eliminates through preserving, and overcomes by reworking.

Sonata Metaphors

The finale of Beethoven's Fifth Symphony defers closure to its famously emphatic coda. According to Hepokoski and Darcy, "The inability of both exposition and recapitulation to attain their generic goals is the most important structural aspect of this movement" (p.246). Is it? The elision of both EEC (from m.80) and ESC (from m.294) is undeniable. But to see this as the only, let alone the most important, strand in Beethoven's rich tapestry is a little monocular. As I have noted earlier, this view follows on from the authors' stringently teleological conception of tonality, by which "the broad trajectory of the sonata may be understood as an act of tonic-realization" (p.232). Without needing to dispute the fundamental role of tonality in sonata form, it is enough to point out that Hepokoski and Darcy are markedly resistant to tonality's *backward-facing* dimension—engaged by the listener's faculties of tonal memory and *Fernhören*. This attitude is epitomized in the subtle, and highly interesting, argument they mount to explain the flatward, often subdominant, tilt of many "recapitulatory transitions" (such as that of the "Waldstein" Sonata).³⁵ Dismissing the "abstract idea of large-scale tonal balance or compensation" (p.235), Hepokoski and Darcy are unconvinced by Rosen's classic argument that a shift to IV is a long-distance complement to the original modulation to V. Nor do they believe that an outbreak of developmental activity in the "recapitulatory TR" is necessarily motivated by unfinished business in the development section. The root, they contend, lies rather in sheer compositional expediency: a modulatory transition simply *had* to be recomposed to accommodate the recapitulation of S in the tonic. To be sure, composers would seize upon this juncture as an opportunity to generate fresh material. Nevertheless, Hepokoski and Darcy maintain, first, that its role was basically decorative (especially when the exposition caesura was a I: HC MC, permitting easy reinterpretation in the reprise); and second, that it was simply the recapitulation's first available outlet for creative recomposition.

Hepokoski and Darcy's critique of the recapitulatory transition is part of their polemical broadside against Cone's and Rosen's "sonata principle." They show

35. Hepokoski and Darcy adapt this term from Nicholas Marston's "recapitulation transition." See his "The Recapitulation Transition in Mozart's Music," *Mozart-Jahrbuch 1991*, Rudolph Angermüller (Kassel: Bärenreiter, 1992), II, 793–809.

that Cone's influential thesis—that off-tonic statements “must either be re-stated in the tonic, or brought into a closer relation with the tonic” (p.242)—need not apply to off-tonic material stated either in the primary group, or the development section. Also, they find “the classical sense for large areas of stability” theorized by Rosen to be overly general and normalizing, since it “short-circuits serious thought about compositional anomalies” (p.244). The authors back up their charge with some nice anomalies. They wonder, for instance, why the drift to $G\flat$ in the reprise of P-TR in the “Hammerklavier” should be heard to “balance” the G major S of the exposition, as Rosen has written.³⁶ The axis between $VI\sharp$ and $\flat VI$ is “quite unlike the presumably-claimed fifth-relationship of mediant and submediant” seen in works such as op.31, no.1, in G, and the “Waldstein” (p.237, n.9). There are two possible responses to this complaint, on the “gross” and “sophisticated” poles of the compositional spectrum. On the “gross” side, one could argue that it doesn't particularly matter what key TR returns on, as long as the composer creates local effects of perceived instability that “rhyme” with the modulation in the exposition. Current listener-orientated approaches to the perception of tonal closure favor such “localism”—a position that goes back at least as far Edmund Gurney in the late nineteenth century, and that has been influentially articulated by the philosopher Jerrold Levinson.³⁷ On the “sophisticated” side, the $G\flat$ orientation of TR and S in the “Hammerklavier” is hardly “decorative,” since the key (as $F\sharp$) is instrumental in tonicizing the B-minor reprise of P at m.267—an event with shocking, yet integral, consequences for the work's compositional strategy.³⁸ We may surmise that all of Beethoven's mature sonata forms make hermeneutic demands on the listener to interpret the reprise of P-TR on a strategic level.

As I take it, Hepokoski and Darcy are *not* saying that long-range tonal balance doesn't exist. Their burden, rather, is that this effect is both abstract and secondary—it is an acquired tendency, supervening on more practical concerns. We are on a slippery slope here. Is there any logical reason why we shouldn't also regard cogent modulations and retransitions—the cornerstones of sonata's tonal

36. See Charles Rosen's essay, “Schubert's Inflections of Classical Form,” in *The Cambridge Companion to Schubert*, ed. Christopher H. Gibbs (Cambridge: Cambridge UP, 1997), p.87. Hepokoski and Darcy also question another of Rosen's cited works, Schubert's “Grand Duo” in C Major, D. 812, which states its S in $A\flat$ major in the exposition, and recapitulates it in C *minor* (p.237, n.9).

37. See Edmund Gurney, *The Power of Sound* (New York: Basic Books, 1966); Jerrold Levinson, *Music in the Moment* (Ithaca: Cornell UP, 1997). Gurney's thesis that lay listeners are unaware of long-range musical relationships profoundly influenced Tovey. See my essay “Tovey's Evolutionary Metaphors,” *Music Analysis* 24 (2005), 437–69.

38. See Spitzer, *Music as Philosophy*, pp.120–24.

story—as acquired tendencies? One remembers Adorno’s provocative conjecture, when faced with Beethoven’s liking for *Rückung* (modulations that pivot on chromatic side-slips), whether their incorrectness would trouble anybody but theorists: “the great composers never went in much for modulation—that was left to the harmony teachers and the Regers.”³⁹ On the other hand, since so many late-eighteenth-century developments end on a half-close of a distant key, isn’t the dominant retransition also “decorative”? That is, preparing the return of I with its V is effective, but not vital to the coherence of the form (as countless works by Haydn attest).⁴⁰ Hepokoski and Darcy largely steer clear of this slope. But following the *sorites* down to its logical conclusion would take us back to what Tovey and Rosen called the “musical facts” of the Classical style—in particular, the hierarchically recursive dynamic of the I–V–V–I cadence.⁴¹ Arguing forward from this fact, one could just as well theorize that “acquired tendencies” crystallized ineluctably around the dictates of the style. Waiting patiently at the end of this road is Charles Rosen. I don’t believe that *Elements* ultimately refutes Rosen; it just tells us that his theory is breezily vague on detail.

If Rosen’s sonata forms constitute ideal types, then these can’t be refuted by lining up a series of exceptions. Exemplars—what Tovey, after Matthew Arnold, called “touchstones,” or “the classics of music”⁴²—exert an influence out of all proportion to their relatively low numerical frequency. This is why a statistical method can never be adequate to a theory of the Classical style. The methodological problem at the heart of *Elements* is that half of its theory is wedded to its nested default protocols, measuring levels of frequency and probability, while the other half is oriented to touchstones—dozens, if not hundreds, of prototypes. The difficulty is doubled, since touchstones have both a deductive and inductive dimension. That

39. See Theodor W. Adorno, *Beethoven: The Philosophy of Music*, ed. Rolf Tiedemann, trans. Edmund Jephcott (Stanford: Stanford UP, 1997), p. 93.

40. See my “The Retransition as Sign: Listener-Orientated Approaches to Tonal Closure in Haydn’s Sonata-Form Movements,” *Journal of the Royal Musical Association* 121 (1996), 11–45.

41. Rosen put this best in his abbreviated genealogy: “A simple half-cadence or cadence on the dominant became a modulation to V; this modulation could itself be articulated by a half-cadence on V, or more emphatically by a half-cadence on V of V. These cadences were generally set off by a break in the texture. . . . The transformation of these small patterns gave rise to a number of different forms. Some of these resemble what was later to be called sonata form.” See his *Sonata Forms*, rev. edn. (New York: W. W. Norton, 1988), p. 16.

42. Arnold developed his concept of “touchstones” in his *Essays in Criticism* (London: Macmillan, 1888). According to Arnold, the criterion of poetic excellence is not a theory or a value, but “a concrete example” (p. 20), the “lines and expressions of the great masters” that we apply “as a touchstone to other poetry” (p. 17). See Spitzer, “Tovey’s Evolutionary Metaphors,” p. 451.

is, Dahlhaus and Weber's "ideal types," descendants of Kant's "regulative ideas," are deductive ideals, to which no specific case can ever fit exactly. Rosen's sonata forms are idealized in this fashion. By contrast, Weber's approach has been overtaken in recent years by an explosion in empirically based theories of categorization.⁴³ It has become clear that people categorize the world partially in reference to specific concrete exemplars. For instance, the *Eroica* is formally anomalous in many ways, but it has become prototypical of the symphony all the same. From this standpoint, sonata theory is *inductive*, drawing conclusions from individual pieces. It is salutary to be reminded that a deductive/inductive tension has afflicted touchstones since Tovey, who knew, after Arnold, that "the idea is the fact."⁴⁴ For Hepokoski and Darcy, the statistical survey must necessarily devolve to interlinked questions of value and coherence: why have the works that we value coalesced around parsimonious properties of the Classical style? *Elements* makes very few value judgments; part of its appeal is its ecumenical and astonishingly detailed embrace of *Kleinmeister* from C. F. Abel to Wagenseil, with historical outreach as late as Rossini, Tchaikovsky, and Wagner. To be sure, it doesn't spare so-called failed sonatas, even by Beethoven.⁴⁵ Nevertheless, it keeps silent about the "elephant in the room," which Rosen stalked with all the finely tooled opinions of a master critic in the first hundred pages of his *magnum opus*: the question of why the musical language of the late-eighteenth-century sonata was so uniquely coherent. It is strange that a study that places so much emphasis on norms sets so little store by *value*.

Adjudicating the debate with Rosen is partially a matter of negotiating competing metaphors. Hepokoski and Darcy title one subsection "The Sonata as Metaphor for Human Action." On the grounds that "a sonata is a linear journey of tonal realization," they interpret it as "a metaphorical representation of a perfect human action.

43. Hepokoski and Darcy discuss Dahlhaus and Weber's concept of "ideal types" on p.8. A seminal text in cognitive theories of categorization is George Lakoff, *Women, Fire, and Dangerous Things: What Categories Reveal about the Mind* (Chicago: Chicago UP, 1987). See Spitzer, *Metaphor*, especially pp.70–77.

44. See Spitzer, "Tovey's Evolutionary Metaphors," p.443. What Tovey calls Beethoven's "harmonic facts" (Donald Francis Tovey, *The Classics of Music: Talks, Essays, and Other Writings Previously Uncollected*, ed. Michael Tilmouth, David Kimbell, and Roger Savage [New York: Oxford UP, 2001], p.419) strikes a British empiricist attitude against the Idealist horizon prevailing in German Beethoven reception. He hails Beethoven's "power to allow the [harmonic] fact in question to be an underlying principle, and to expand itself with results something akin to infinity" (p.422).

45. The authors regard the E-major slow movement of Beethoven's Piano Trio in G, op.1, no.2, as having a "failed exposition." Although the S begins in the normative key of B major (m.26), no PAC in B major occurs, and the exposition ends with a PAC in the "wrong key" of G major (m.39). See *Elements*, p.179.

It is a narrative ‘action’ because it drives through a vectored sequence of energized events toward a clearly determined, graspable goal, the ESC” (pp.251–52). Yet there are other kinds of “human actions” other than “linear journeys,” just as formal processes are not always teleological. Rosen’s tonal dramas are also metaphorically human: by asking us to hear sonata form in their own way rather than Rosen’s, they call on us to switch metaphor. Their own metaphor, as they impress upon the reader in language couched in a remarkable array of images, is that of the computer:

For novice-composers, one might wittily fantasize—provided that the image is not taken too literally—something on the order of an aggressively complex “wizard” help feature within a late-eighteenth-century musical computer application, prompting the still-puzzled apprentice with a welter of numerous, successive dialog boxes of general information, tips, pre-selected weighted options, and strong, generically normative suggestions as the act of composition proceeded. (p.10)

One willingly gives the authors some benefit of the doubt that the computer metaphor “is to be worn loosely” (p.10, n.21), especially in view of their later demand that “metaphorical analogues should not be brief catch-phrases or broad generalizations” but “more thoroughly developed” (p.253). Certainly, their work does not fall into the category of true “computational music theory,” like the recent writings of David Temperley and others.⁴⁶ But it does raise *Formenlehre* to a new level of formalization, on a par with the stringency currently monopolized by neo-Riemannian harmonic theory.

In short, with *Elements*, form has finally caught up with harmony—it has come of age. That is the book’s historical achievement. On the other hand—and there is *always* a price to be paid for formalization—the sonata landscape is left more atomized and rigid than before. Atomized, since works are only ever analyzed here piecemeal, without any summatory examples. Readers seeking to analyze an entire movement for themselves will need to work very hard to pull the widely distributed insights into a coherent vision. One wonders also what would happen to these “elements,” codified so precisely within the book’s typology, once they are placed within the context of a holistic analysis. Would they start to slide, break down, interpenetrate, acquire fresh nuances? Or would the formality of the metalanguage militate against a healthy analytical dynamic? After all, the very vagueness (better: openness to the particularities of invention) of Tovey, Cone,

46. See David Temperley’s recent *Music and Probability* (Cambridge, Mass.: MIT Press, 2007).

and Rosen's "sonata dramas" is foundational to their vitality and staying power. By contrast, encapsulating musical phenomena within separate categories—seeing them as special cases rather than as expressions of any ruling principle—may lead to overall incoherence. I will close with three specific examples of locally coherent discussions in *Elements* that pull against each other.

1. *Lyric vs. bustling S*. The standard "lyrically 'singing' or gracefully cantabile S" (p.133) is opposed to a type of second subject the authors term "bustling": "In virtually all cases the expressive effect is that of the opening's high energy continuing into the exposition's part 2" (p.132). The authors see the transition as raising the energy-level of the exposition's first part to a climax, with S providing a "relaunch." Nevertheless, given my earlier argument that a second group normatively counterpoints tonal tension (on V) with relaxed lyric material, isn't it the case that *both* S types ("singing" and "bustling") are subcategories of the same principle? That is, the "opening's high energy" *always* flows into the exposition's part 2, but is only *occasionally* reinforced texturally. Or could one say that the "bustling" type is the norm, which the "lyric" type *deforms*? The notion that "energy is furnished by TR" (p.25) suggests a suspiciously mechanical picture of musical material, moved through external force rather than from an internal play of parametric tensions.
2. *Haydn's subrotations*. "Unlike his contemporaries Haydn appears to have adopted the P-based S as a first-level default." Confronted by Haydn's common practice to base S on P materials, Hepokoski and Darcy suggest that "the expositional rotation as a whole is being conceived as two subrotations, or two varied cycles through similar materials" (p.136). It could be argued, however, that *all* sophisticated expositions are based on P, one way or another, and that Mozart's ostensibly distinct second subjects are actually hidden variations. As we have seen, this is certainly the case with Beethoven in works such as his Fifth Symphony and the "Pathétique." Given an exposition's normative responsibility to P, one could see Haydn's and Mozart's favored strategies as complementary subcategories of a common principle: respectively projecting and disguising a return to P.
3. *The impulse of material*. Hepokoski and Darcy relate Haydn's urge toward through-composition, which sweeps through his recapitulations, to the Enlightenment's scientific trope of "vitalism, according to which individual living particles are understood to grow spontaneously and continuously. Metaphorically, Haydn may be suggesting, at times wittily, that the task of the

composer facing such self-willed vitalistic (musical) particles is to trim and shape their innate tendency toward unstoppable growth and self-mutation, to make certain that their compulsively generative sproutings (*Fortspinnungen*) do not lead the work into blind alleys or counter-generic directions” (p.233). This is an excellent, and eloquent, account of the dialogue between musical material and compositional craft. So why do Hepokoski and Darcy confine this broad principle to a particular trope and a single composer? This dialectical view of Haydn’s musical language contradicts their pervasive computational metaphor of composition by “modular assembly” (p.15).

More revealingly, the suggestion that Haydn’s “vitalism” is a “trope” rather than an expression of a living subjectivity betrays a disturbing collapse of faith in the power of creative originality. (More precisely, it attests to a notion of creativity as stringently combinatorial or regulative, rather than as truly generative.) It would be absurd to pin the blame for this entirely on *Elements*, since the critique of subjectivity is a cornerstone of postmodernity as a whole. Contending that Classical music ought to argue with rather than dutifully follow the postmodern turn would take this dialogue too far afield.⁴⁷ It suffices to say that the hermeneutic theory, indebted to Wolfgang Iser, which the authors encapsulate as their Appendix 1, is somewhat perpendicular to their analytical practice. Their avowed image of discourse as a dialogue between artists and conventions, capable of housing “multiple, sometimes conflicting strata of meaning(s)” (p.608) is not borne out by a conflict-free analysis biased against subjectivity. It would be inaccurate to say that the hermeneutic Appendix doesn’t fit the computational method since, in terms of the computer metaphor, it fits all too well: encapsulated within the architecture like an electronic file or subdirectory.

Like one of those daunting computer-programming tomes, *Elements* is of a forbidding length and complexity.⁴⁸ One isn’t sure whether to read it as a monograph, a textbook, or an encyclopaedia. It needs a friendly user’s guide, if it is to penetrate the classroom effectively. And its enormous size may give the misleading impression that it is the last word in sonata theory. The book is indeed a supremely accomplished tool, but it is not the entire toolkit.

47. I pursue this argument in the final chapter of my *Music as Philosophy*, especially pp.262–65, where I confront the diametrically opposite thesis of Lawrence Kramer’s *Classical Music and Postmodern Knowledge* (Berkeley: U California P, 1995).

48. As in Alexander R. Brinkman, *Pascal Programming for Music Research* (Chicago: U Chicago P, 1990).

After Said

Nikolaus Bacht

Edward W. Said. *On Late Style: Music and Literature against the Grain*. New York: Pantheon Books, 2006. xix, 179pp. \$25.00. ISBN: 0-375-42105-X.

If one were to put one's finger on the most prominent and surprising feature of this book, it would have to be that it is an almost unconditional homage to Adorno. Not only does it begin and end with juicy Adorno quotes; it has Adorno written all over it. Even readers who know that Said had become intrigued with Adorno at some point in the 1980s would not expect this. But as a matter of fact, Said chose to base his entire theory of late style squarely in the "Adorno-cum-Beethoven" tradition—curious enough, to be sure, to review what's at stake here.

Owing to Said's startling fascination with Adorno, Beethoven does indeed become the point of departure for everything he says about late style. Regrettably, Said also follows Adorno in not explaining what "style" is, employing this historically fraught term simply to denote an artist's "manner" and placing all emphasis on "late." According to Said, there are two types of lateness out there: "some last works . . . reflect a special maturity, a new spirit of reconciliation" (p.6), but artistic lateness can also manifest itself "as intransigence, difficulty, and unresolved contradiction" (p.7). The second type of lateness is Adorno's, of course—and Said's. All the basic Adornian topoi are adopted by Said: full command of the artist's medium coupled with an awkward refusal to communicate with the social powers that be; subjective revaluation of archaic forms such as the Mass; use of conventions as if they had to be there but could not be integrated; and, underlying all of this, a negative-dialectical

Beethoven Forum

Fall 2007, Vol. 14, No. 2, pp. 179–181

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relationship between subject and object. “The power of Beethoven’s late style is negative, or rather *it is negativity*: where one would expect serenity and maturity, one instead finds a bristling, difficult, and unyielding—perhaps even inhuman—challenge” (p.12). These words are Said’s, not Adorno’s. The judgment has to be made: this book is fundamentally epigonal.

Much to the reader’s relief, however, Said does not just adopt key Adornian ideas, but also performs a creative misreading (the right, perhaps even the duty, of any critic worth his or her salt). In a way, Said attempts to do to Adorno what Marx did to Hegel: he stands him on his feet. There is in Said no invocation of truth-content or other metaphysical notions, and there is no talk of the spiritualization or “*Vergeistigung*” that Adorno discerns in late works. Instead, Said is, according to the first and many other sentences, interested in the “relationship between bodily condition and aesthetic style” (p.3). Explicitly acknowledged influences here are Nietzsche and, more importantly, Mann. The latter’s portrayal of late style as “unhealthy” (p.8) is described by Said—and this is where the creative misreading occurs—as “almost pure Adorno” (p.9). Said’s interest is often a biographical, even autobiographical, one. Conscious proximity to the end of life, rather than age, is among the first traits mentioned when Said comes to define lateness, and when he speaks of the impact that the decay of the body and the onset of ill health may have on creativity, he is surely not just referring to Beethoven’s ears, but also to the illness that accompanied the writing of the book under review here.

The question that matters with creative misreadings is, of course, whether or not they offer an element of added hermeneutic value over their discursive models. For Beethoven, this isn’t the case: the biographical issues, which at any rate Said reduces to the composer’s deafness, are too remote and perhaps also too trivial to warrant this particular theoretical twist. However, where the aesthetic is deeply contaminated with the biographical, as in Richard Strauss’s late style, Said succeeds while Adorno notoriously fails. So too, in the chapter on Jean Genet, Said’s writing becomes extremely sensitive, no doubt because he operates in a both biographical and autobiographical mode here. The chapters on Strauss and Genet suggest that this might, on balance, have become a good book.

I say this *might* have become a good book because *it isn’t finished*—or, at least, it wasn’t finished by Said himself. As Mariam Said tells us in her foreword, her husband died before he could complete the manuscript—and on her account, he thought the task would take him as much as three months. Given that Said was not exactly an author who habitually suffered writing blocks, this is quite a long period. It stands to reason to assume that Said was planning to do much more than the cut-and-splice job performed by his editor, Michael Wood, a job that may

well turn out to have been counterproductive. For the history of editing shows that mere collections of material, provided that they are of substance, do merit unadulterated publication. For instance, Adorno's Beethoven book, duly published in its unfinished state, made a major impression on many critics—now including Said. Whatever the issues of authorship, however, *On Late Style* as a material object needs discussing for what it is, or at least what it has become. I do wonder, though, whether reviewing the book that Said wanted to write becomes essentially a hypothetical exercise.

Music as Thought

Michael P. Steinberg

Mark Evan Bonds. *Music as Thought: Listening to the Symphony in the Age of Beethoven*. Princeton: Princeton University Press, 2006. Xx, 169 pp.

Scholars of things German who admit to some familiarity with the Web site YouTube may recall with appreciation one of the many advertisements for English lessons to be found there. A young German coast guard officer tries his first turn at the radio and immediately hears the anguished announcement “Mayday! We are sinking!” Leaning into the microphone, most likely for the first time, the officer painstakingly inquires, “What are you sinking *about*?”

If this clip takes its place among the many respectful send-ups of German intellectual style and proclivities, it has an especially precise relevance to Mark Evan Bonds’s elegant survey of German musical aesthetics. The age of Beethoven and the Beethovenian symphony most specifically broke Western philosophy’s two-thousand-year-old assumption of music’s incapacity to signify. With Beethoven and his listeners, and most decisively as of E. T. A. Hoffmann’s canonic 1810 review of the Fifth Symphony, music became a “mode of philosophy,” a “way of knowing” (p.xv), and a “vehicle of ideas” (pp.xiii, xiv, and *passim*). Bonds’s traversal of this transformation’s legacy for the nineteenth century proceeds elegantly through the varying referents and contents of “music as thought.” What is this thought about? Answers fall into historical sequence: first truth; then cosmopolitanism; then nationalism.

Bonds initially offers a precise survey of the philosophical aesthetics music, from Moritz to Wackenroder, Tieck, and Hoffmann, and traces the discourse’s

Beethoven Forum

Fall 2007, Vol. 14, No. 2, pp. 182–186

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progressive attachment to the symphony as the prime carrier of musical meaning. As is not unusual in discussions of German cosmopolitanism, the chapter on cosmopolitanism (understood as a synonym of “the aesthetic state”) and focused largely on Schiller and Goethe, makes one wonder how cosmopolitan German cosmopolitanism really was, i.e., to what extent it carried the implicit claim that only Germans knew how to be cosmopolitan, just as only Germans really understood (let alone composed) great music. If that claim lodged implicitly in the pre-1848 period, it became explicit in the post-1848 era and the maturation of an aggressive nationalism. Beethoven certainly obliged his listeners in this paradigm shift, as other scholars have made clear. The symphony of heroism and freedom became the symphony of the German nation, a predicament that only intensified in the Nazi period and caused significant problems in the history of taste after 1945.

The discussion is less clear on what would seem to be the initial question: namely, if music is to be understood as thought, then who is thinking? The listener? The music itself? If it is the listener, then how is the referential world of thought connected to or determined by the music and not a form of association or projection? How did the primary critics address this issue, and how does—how should—contemporary scholarship address it as a component of the analysis of that philosophical tradition? If it is the music that is thinking, then this attribution must exist by way of a certain deliberate fiction, i.e. *as if* the music were thinking, because in an obvious sense music is not a thinking subject but a created object.

This fiction, this “as if,” exists at the core of the attribution of meaning to music. Daniel Barenboim caught it decisively in a tribute to Edward Said:

Edward saw in music not just a combination of sounds, but he understood the fact that every musical masterpiece is, as it were, a conception of the world. And the difficulty lies in the fact that this conception of the world cannot be described in words—because were it possible to describe it in words, the music would be unnecessary. But he recognized that the fact that it is indescribable doesn’t mean it has no meaning.¹

The “as it were” holds the place of the “as if” in these cunning words; music as a conception of the world requires the fiction that music is thinking. Music in this case is not a vehicle for the ideas of the listener, but rather a bearer of thinking, if

1. Daniel Barenboim, “In Memoriam Edward Said (1936–2003),” in Daniel Barenboim and Edward W. Said, *Parallels and Paradoxes: Explorations in Music and Society* (New York: Vintage Books, 2004), p.x.

by a distinct fiction, conceit, or willful suspension of the obvious reality of music's status as an inanimate object.

An idea is a thing. If music is, or is understood, or becomes understandable as a vehicle of ideas (Bonds's preferred formulation), then those ideas can by definition be isolated from the music itself and associated with it by listeners. There lodges a key distinction between, on the one hand, ideas and thoughts (which are both objects, things) and, on the other, acts and experiences of thinking, requiring agency and subjects, whether named or implied, individual or collective, real or imagined. This distinction is often overlooked but in fact it has been paid careful attention by historians of German thinking. This is an area where music history can profitably pay attention to the scholarship of historians.

In an important article from 1973 called "The Autonomy of Intellectual History," the eminent historian Leonard Krieger offered a typology of intellectual history's varying methods and the various national traditions and practices that formed them in general and informed academic methods in the United States more specifically. He drew a specific distinction between the "German-Italian historicist" school, closely connected with the history of philosophy and identified with scholars such as Wilhelm Dilthey, Friedrich Meinecke, Ernst Cassirer, and Benedetto Croce, and the American "counterpart" to this tradition in the "*History of Ideas* group" of Arthur Lovejoy and George Boas, and eventually, of the *Dictionary of the History of Ideas*, published in 1973, the year of Krieger's article. The "history of ideas" approach focuses on "unit-ideas," as "objects of concern," "components analyzed out of the systems and combinations in which they were originally invested."² The European traditions, in other words, the philosophical history of the German and Italian schools as well as the newer cultural and social history identified with the journal *Annales* in France and associated with Lucien Febvre and Marc Bloch, tracked *thinking* rather than *ideas*, that is, contextualized and culturally contingent practices of thinking rather than unit-ideas that can be tracked transhistorically and transculturally.

This is a complicated map of intellectual differences. But a fascinating Atlantic divide emerges by implication. The largely American "history of ideas" tradition assumes that ideas are constant units to be held and traded by rational, curatorial thinkers. (The British are with the Americans here.) The continental European mode, however, assumes that thinkers enter into a world of thinking that is bigger than they are. In this tradition, the main question is not "who is thinking?"

2. See Leonard Krieger, "The Autonomy of Intellectual History" (1973) in *Ideas and Events: Professing History*, ed. M. L. Brick, with an intro. by Michael Ermarth (Chicago: U Chicago P, 1992), pp. 159–77.

but rather “how do we enter into the world of thinking?” where, one might say, thinking thinks, and we think along with it.

The continental tradition, which reaches a peak in the philosophical discourse from Kant to Hegel (i.e., in the age of Beethoven) that is referred to as idealism, and also includes the later paradigms of psychoanalysis, structuralism, and post-structuralism, thinking does its own thinking, and thinking human subjects enter, as it were, the world of thinking but do not initiate it or produce it. Thus, if the most important “idea” in world history is the idea of freedom, as Hegel argued, this doesn’t mean that the idea of freedom is a thing that thinkers can possess, as it would be in the Anglo-American paradigm, but rather that freedom produces itself and the thinker can enter into that momentum, as one would step into a current.³ This is a unique orientation, an element of the German world’s enduring distinctness and weirdness to the non-German analyst who wants really to pay attention to it. This orientation also opens the door to the singular importance of music within German-speaking intellectual culture, or rather the reason why music was discursively enabled, so to speak, to play so important a part within this intellectual style—the reason why the age of Hegel is also the age of Beethoven, the reason why, at this cultural moment, it makes sense to assert that the music is thinking. Music, and specifically the kind of power and pulse associated with Beethoven, in fact carries the rhythmic, quasi-physical momentum of the current of moving ideas, such as freedom; thus it seems to contain the same idea of freedom that Beethoven may occasionally formulate in words, along with countless others of his generation who produced many more words on the subject, and more coherently, than he did.⁴ When we think with Beethoven, do we desire to be included in a world that is bigger than we are, one that will enlighten us while also sweeping us away?

Bonds offers an implicit recognition of this orientation in his excellent summary of E. T. A. Hoffmann’s emphasis on the quality of *Besonnenheit* as a leading attribute of Beethoven’s (Fifth) Symphony. *Besonnenheit*, Bonds explains, comes

3. A counterexample: when Adam Smith argued in 1776 that the wealth of nations should be measured by productivity rather than by hoarded capital, he claimed an intellectual discovery on the model of a natural scientific discovery: i.e., the recognition of a phenomenon that was always in place and awaiting such recognition, which *could* have come at any point in history, but didn’t. Hegel’s idea of freedom, however, evolves simultaneously with the existence of freedom in the world: mature freedom, he argues, has only become available as idea and experience in his own time, in the aftermath of the promise and failure of the French Revolution.

4. Here again, the work of Leonard Krieger is essential; see *The German Idea of Freedom: History of a Political Tradition* (Chicago: U Chicago P, 1957).

from *besinnen*, “to contemplate,” and “*Besonnenheit* stands for all that is conscious and deliberate in the act of artistic creation, the refinement applied to moments of unconscious inspiration” (p.53). For many German writers, *Besonnenheit* stood for “the objective counterpart to subjective emotion” (p.53). This is all correct and helpful. But the grammatical fact that *Besonnenheit* is a passive quality, i.e., the state of being endowed with the capacity to contemplate, returns us to the overall issue of where thought exists between world and thinker, or, to use other terms, between the objective and the subjective. Idealism at its exotic core claims to displace and resolve these binaries, positing spirit (or thought) itself as the self-producing force into whose historical current human thinking and thinkers can insert themselves.

In the second half of the nineteenth century, this claim to transcend the subject/object distinction fused with nationalism, i.e., with a collective, imagined identity that claims the authority to confer individual identity and meaning. The fusion of subject and object becomes for many the absorption of the subject into the object world, in other words, an antiliberal situation. Idealism is thought caught between nationalism and anti-nationalism, with neo-Kantianism emerging as a kind of subject-protecting corrective to the absorption of the liberal, thinking subject. The Hegelian brand of idealism, along with Romanticism, the discourse of the sublime, and the promoters of Romantic philosophical aesthetics of music fall into disfavor. Hanslick’s formalism, specifically his *Vom musikalisch-Schönen* of 1854, is an early participant in this critique, as Bonds notes (p.10). The post-World War II musical aesthetics of Theodor W. Adorno and his critical heir Carl Dahlhaus were acutely suspicious of the “metaphysical excesses” of these discourses’ champions, in particular Tieck, Wackenroder, and Hoffmann (p.11). And many post-1945 thinkers who explicitly identified with the critical theory of Adorno and the Frankfurt School—Juergen Habermas comes most clearly to mind—professed a kind of allergy to or disavowal of aesthetic experience and analysis *tout court*, so tainted did they feel that such modes of experience, pleasure, and analysis had become in their associations with nationalism, fascism, and Nazism. This antidote to aesthetic ideology may be too blunt, and mediating positions of Barenboim and Said, cited above, stand as correctives to both extremes.

Music: The Most Romantic of All Arts

Dennis F. Mahoney

Abigail Chantler. *E. T. A. Hoffmann's Musical Aesthetics*. Aldershot: Ashgate, 2006. xii, 202 pp.

In the opening paragraph of “Beethovens Instrumentalmusik” in Part I of E.T.A. Hoffmann’s *Kreisleriana* (1814), the composer Johannes Kreisler calls instrumental music “die romantischste aller Künste, beinahe möchte man sagen, allein echt romantisch, denn nur das Unendliche ist ihr Vorwurf” (the most romantic of all arts, one might almost say the only one that is genuinely romantic, since its only subject matter is infinity).¹ Hoffmann’s unsigned, pathbreaking review of Beethoven’s Fifth Symphony, published in the 4 and 11 July 1810 issues of the *Allgemeine musikalische Zeitung*, made a similar claim, although there Hoffmann did not yet link instrumental music with that other key concept of German Romanticism—inexpressible longing (*Sehnsucht*) for the eternal. David Charlton’s edition of Hoffmann’s musical writings has helped provide English-language readers with a frame of reference for both the compositions of Beethoven and those of the many lesser-known contemporaries treated in Hoffmann’s essays, newspaper articles, and more narrowly defined literary works.² Making copious use of quotes

1. E.T.A. Hoffmann, *Poetische Werke*, I (Berlin: de Gruyter, 1957), p.44. Unless otherwise indicated, all translations from Hoffmann come from *E. T. A. Hoffmann's Musical Writings: Kreisleriana, The Poet and the Composer, Music Criticism*, ed. David Charlton and trans. Martyn Clarke (Cambridge: Cambridge UP, 1989), p.96.

2. For a detailed and informative assessment of Charlton’s edition, see the review by Scott Burnham, *19CM* 14 (1991), 286–96.

and commentary from this edition, Abigail Chantler now aims to situate Hoffmann within the literary, philosophical, musicological, and sociopolitical context of his day. Chantler's endeavor is ambitious, particularly given the relatively compact dimensions of her monograph, and Romantic artists like Hoffmann would have applauded her all-encompassing aims. If, in this reviewer's judgment, not all areas are equally well addressed, this does not negate the considerable virtues of her well-researched monograph, whose footnotes and critical commentary also bear careful study.

In her opening chapter, entitled "Art Religion," Chantler first investigates connections between the art of music and the cultivation of the longing for the infinite that Friedrich Schleiermacher, the theologian and founder of modern hermeneutics, saw as the essence of religion, while also observing that Schleiermacher, unlike other early Romantics, "did not attribute to art . . . a metaphysical ontology, nor did he subscribe to the aesthetics of creativity . . . which supported their 'religion of art'" (p.9). She then outlines the particular tenets of this "Kunstreligion" with reference to the *Herzensergießungen eines kunstliebenden Klosterbruders* (Heart-Outpourings of an art-loving Friar, 1796) by Wilhelm Heinrich Wackenroder and Ludwig Tieck, which introduced the notion that aesthetic experience could serve as a spiritual medium for artists and observers alike. This work is of even more central importance to Hoffmann's artistic and critical *oeuvre* than Chantler indicates, perhaps because she fails to discuss Hoffmann's two novels: *Die Elixiere des Teufels* (The Devil's Elixirs, 1815–16)—a Gothic novel whose main character, the Capuchin monk Medardus, eventually learns the fateful results of attempting a Don Juan-like possession of one's ideal of female beauty—and the *Lebensansichten des Katers Murr* (Life and Opinions of the Tomcat Murr, 1820–22), a parody of the *Bildungsroman*, which alternates with fragmentary accounts of the ongoing struggles of Hoffmann's artistic alter ego, the composer Johannes Kreisler, against musical philistines and court intrigues. In these and other literary works, Hoffmann problematizes the realm of art as a source of possible insanity and even criminality, discussing the dangers as well as the attractions of art. Such a discussion by Chantler might have helped clarify the provenance of the "Gothic" imagery associated with Beethoven's music in both Hoffmann's 1810 review of the Fifth Symphony as well as its reworking in *Kreisleriana*:

Glühende Strahlen schießen durch dieses Reiches tiefe Nacht, und wir werden Riesenschatten gewahr, die auf- und abwogen, enger und enger uns einschließen und uns vernichten, aber nicht den Schmerz der unendlichen Sehnsucht, in welcher jede Lust, die schnell in jauchzenden Tönen empor-

gestiegen, hinsinkt und untergeht, und nur in diesem Schmerz der Liebe, Hoffnung, Freude in sich verzehrend, aber nicht zerstörend, unsere Brust mit einem vollstimmigen Zusammenklange aller Leidenschaften zersprengen will, leben wir fort und sind entzückte Geisterseher!³

What Chantler does emphasize, though, is that both Wackenroder and Hoffmann depict the artistic genius as possessing technical skills as well as divine inspiration. For this reason Hoffmann takes care to characterize Beethoven as the full equal of Haydn and Mozart in *Besonnenheit*, or rational awareness (p.23). Finally, Chantler addresses the role of the listener, or recipient, in this process of artistic creativity, who may partake of the metaphysical meaning of the work through active engagement with it. She concludes this first chapter with a passage from an 1805 article by Christian Friedrich Michaelis in Reichardt's *Berlinische musikalische Zeitung* as an example of the artistic elitism cultivated by the avant-garde of the day. As Chantler's translation does not capture the essence of several key sentences of this passage, I will quote first the German, and then provide my own attempt at a rendition: "Und der ist im musikalischen Gefühl noch sehr zurück und kennt den musikalischen Genuß nicht, der bloß am Einzelnen oder am Zufälligen hängen bleibt, und sich nicht zur Zusammenfassung des großen Ganzen, des vollen ästhetischen Effekts erhebt. Denn freilich hängt das Wohlgefallen an einer Musik sehr ab von der individuellen Stärke des Auffassungs- und Zusammenfassungsvermögens" (pp.30–31, n.161).⁴ Similar problems appear in Chantler's quotation, translation,

3. Hoffmann, *Poetische Werke*, I, 46. "Here shining rays of light shoot through the darkness of night and we become aware of giant shadows swaying back and forth, moving ever closer around us and destroying *us* but not the pain of infinite yearning, in which every desire, leaping up in sounds of exultation, sinks back and disappears. Only in this pain, in which love, hope, and joy are consumed without being destroyed, which threatens to burst our hearts with a full-chorused cry of all the passions, do we live on as ecstatic visionaries" (Charlton, *E. T. A. Hoffmann's Musical Writings*, p.97). That Martyn Clarke, as translator, would take mercy on his English-language readers and divide this one sentence into two parts, adds to its comprehensibility but also tones down the "ecstatic visionary" component of the passage, which ends with a word, "Geisterseher," which literally means "ghost-seer" and which Schiller used as the title for his Gothic tale much admired by Hoffmann. For a further discussion of Clarke's translation, vis-à-vis Hoffmann's original, see Burnham, 19CM, 287–89.

4. "And that person lags behind very much in musical feeling and does not know musical pleasure who remains caught up merely in individual or accidental details and does not raise himself to the comprehension of the greater whole, the complete aesthetic effect. For, to be sure, pleasure in music depends a great deal upon the individual strength of ability in apprehension and comprehension." According to my understanding of this passage, the "Und der . . . , der" in the first sentence is a parallel

and interpretation of a passage in the 2 September 1812 issue of the *Allgemeine musikalische Zeitung* (on pp.40–41 of Chantler's next chapter), which serves as an example of fragment form in the musical criticism of the day; what she terms the "ambiguity" and "opacity of the fragment" (p.41) are to be found in the translation, not the original. Still, Chantler does well to make use of sources from the musical criticism of the day as points of comparison with Hoffmann's own work, and her scholarly scrupulousness in providing the original texts likewise deserves praise.

In her chapter on "Hoffmann's Romantic Poetry," Chantler demonstrates successfully how key features of early Romantic aesthetics, as propagated by theorists like Friedrich Schlegel—such as the arabesque, the cultivation of a deliberately fragmentary ordering, and the use of ironic detachment of the author from his own work—are put into practice in works like *Kreiseriana*. For example, in "Gedanken über den hohen Wert der Musik" (Thoughts about the Great Value of Music)—the section of *Kreiseriana* immediately preceding the analysis of Beethoven's instrumental music—Kreisler ironically praises the use of music as a pleasant, but inconsequential diversion from the aspects of life that really count, i.e., commercial and social success, and he derides as misguided fools those poor composers and enthusiasts who would see in music any metaphysical value; it is left for the discerning reader to make the connection as to who and what actually are being praised and derided (pp.42–43).

Chantler's ensuing chapter "Hoffmann's Musical Hermeneutics Revisited" combines a discussion of the notion of "organic unity" (p.67) in the *Sturm und Drang* aesthetics of the young Goethe and Herder with Hoffmann's application of this principle in his detailed technical analysis of Beethoven's Fifth Symphony, including musical examples from the score as supplied by Hoffmann and Chantler alike. Taking issue with Ian Bent's application of principles from Schleiermacher's hermeneutics in his interpretation of Hoffmann's review, Chantler argues that Hoffmann was not so much interested in having the attentive listener/reader empathize with Beethoven's creative genius as he was in understanding the Fifth Symphony as "music which serves to 'arouse . . . disquieting presentiments of a magical spirit-world,' and which 'sets in motion the machinery of awe, of fear, of terror, of pain, and awakens that infinite yearning which is the essence of roman-

construction in which the second "der" refers back not to "Genuß," its immediate antecedent, but rather to the initial demonstrative pronoun "der[jenige]." Here, by comparison, is Chantler's rendition of the same passage: "And he is really quite buried in the musical feeling and does not recognise that musical taste which gets stuck in the detail or the accidental and does not rise to the summing up of the whole thing, of the full aesthetic effect. Because the pleasure in music is certainly from the individual's strength of opinion and powers of concentration" (p.30). In the second sentence, Chantler seems to have overlooked the separable prefix of the verb "abhängen" (to depend upon).

ticism” (my italics, p.77; Charlton, pp.246, 238). In her recent discussion of the Romantics’ preoccupation with musical meaning, Kristina Muxfeldt has observed of Hoffmann’s review of the Fifth Symphony and its reworking in *Kreisleriana*: “The earlier text grapples with the intranslatability of that which is expressed in music; the later one expresses even more forcefully the complete otherness of musical experience from anything that could be given spoken expression.”⁵ In both instances, Chantler and Muxfeldt address the active role assigned to the reader/interpreter in attempting to express in words what they discern in the music—a task that epitomizes what Friedrich Schlegel described in his Lyceum Fragment no.108 on Socratic irony as “ein Gefühl von dem unauflöselichen Widerstreit des Unbedingten und des Bedingten, der Unmöglichkeit und Notwendigkeit einer vollständigen Mitteilung” (a feeling of the insoluble conflict of the absolute and relative, of the impossibility and necessity of total communication).⁶

Chapter 4 of Chantler’s monograph explores Hoffmann’s musical historiography in the context of the Romantic and Idealist philosophy of history that made use of the term “romantic” as both an aesthetic category to be applied to the latest developments in literature, painting, and music and a type of art arising out of the difference between the worldviews of classical antiquity and Christianity. Chantler illustrates this latter notion with the following quote from Hoffmann’s major essay “Alte und Neue Kirchenmusik” (Old and New Church Music) from the August and September 1814 issues of the *Allgemeine musikalische Zeitung*: “Because of its essential character music could not be the property of the ancient world, in which sensual embodiment was all, but found its place in the modern era. The two opposing poles of ancient and modern, or heathendom and Christendom, are represented in art by sculpture and music. Christianity abolished the former and created the latter, together with its close neighbour painting” (pp.81–82; Charlton, p.355). In a reworking of the Humanist paradigm whereby the barbarous “Middle Ages” were succeeded by a “Renaissance” of classical learning, the music of Palestrina and other old Masters represents for Hoffmann the golden age of church music, which suffered a decline during the supposedly enlightened, but spiritually impoverished eighteenth century, accompanied by an increasingly empty theatricality in instrumental music that invaded even the masses of Haydn and Mozart.

5. Kristina Muxfeldt, “The Romantic Preoccupation with Musical Meaning,” in *The Literature of German Romanticism*, ed. Dennis F. Mahoney (Rochester, N.Y.: Camden House, 2004), p.254.

6. Friedrich Schlegel, *Kritische Friedrich-Schlegel-Ausgabe*, ed. Ernst Behler (Munich: F. Schöningh, 1967), II, 160. The English translation is taken from Friedrich Schlegel, *Dialogue on Poetry and Literary Aphorisms*, trans. intro, and ann. Ernst Behler and Roman Struc (University Park: Pennsylvania State UP, 1968), p.131.

With the exception of a work like Mozart's *Requiem*, Hoffmann does not expect the rebirth of spirituality in music to occur within church music per se (although, *pace* Chantler, he does not rule out this possibility, provided that the composer brings genuine, unfeigned devotion to this task); instead, it is the instrumental music of Mozart and Haydn, but above all that of Beethoven, that Hoffmann sees as the new repository for spiritual sublimity. Referring to both the dialectical philosophy of Hegel and its employment by Carl Dahlhaus in *The Idea of Absolute Music*, Chantler finds in Hoffmann a similar understanding of the spirit of ancient Church music being supplanted, but also renewed by a judicious employment of the latest developments in instrumental music (pp.90–91). In this regard, Chantler sees Hoffmann as a key figure in the establishment of what she labels “the classics of romantic music” (p.103). It is ironic, Chantler observes in the course of her analysis of a number of Hoffmann's instrumental compositions, that his stress on the originality of musical genius in his theoretical writings led his own music to be excluded from the canon of classical-romantic music, and that works such as his Symphony in E♭ occasionally apply compositional practices of the day—e.g., the *premier coup d'archet* employed by Haydn and Mozart in symphonies written for Parisian audiences of the 1770s and 1780s—that Hoffmann otherwise scorns in his reviews as evidence of pandering to the public's taste for light, uncomplicated entertainment. Rather than holding this against Hoffmann, however, Chantler observes that his works in all their contradictions and inconsistencies “bear testimony to the rich cross-fertilization between the history of ideas and the evolution of musical style which represents his most significant legacy” (p.126).

Chantler might have done well, though, to point out that at the conclusion to his essay on Old and New Church Music Hoffmann explicitly calls for the state support of choral societies for the performance of religious music in liturgical settings (Charlton, p.375). Part III of his novel *Kater Murr* provides a fictionalized account of the type of music that such support for the arts might produce. Here Hoffmann has Johannes Kreisler take refuge for a time in the abbey of Kanzheim, where he encounters “art-loving friars” who inspire him to write a High Mass that the monks perform for the feast of All Saints. Now his mood and his music are markedly different from that evoked in the portrait of a frustrated composer in *Kreiseriana*, where he was wont to toss his compositions into the fire, if he put them to paper at all:

Jetzt in der Abtei Kanzheim wenigstens hütete sich Kreisler wohl, die Kompositionen zu vernichten, die recht aus seinem Innersten hervorgingen, und seine Stimmung sprach sich in dem Charakter süßer wohlthuender Wehmut aus, den seine Werke trugen, statt daß er sonst nur zu oft im mächtigen Zauber aus der Tiefe der Harmonik, die gewaltigen Geister hinaufbeschwor, die

die Furcht, das Entsetzen, alle Qualen hoffnungsloser Sehnsucht aufregen in der menschlichen Brust.⁷

Chantler does refer, however, to the similarity of Hoffmann's musical aesthetics to that of Robert Schumann, who considered Johann Sebastian Bach the creator of modern music, and links this enthusiasm for Bach with Mendelssohn's performance of the St. Matthew Passion in 1829 (pp.91–92).

What, then, of that other direction in music that combines orchestration with the human voice, namely opera? In her chapter on "Romantic opera," which addresses both Hoffmann's writings on opera and his actual practice in *Aurora* (1811–12) and *Undine* (1814; premiered 1816), Chantler shows how Hoffmann was able to draw upon the theoretical framework of literary Romanticism to praise a genre that on the face of it would seem to be the antithesis of the kind of music he otherwise had been promoting. Chantler devotes a long footnote to early-nineteenth-century discussions of the synthesis of poetry and music as the foundations for Romantic opera, including a reference to Franz Horn's two "Musikalische Fragmente" in late March and early April of 1802 in the *Allgemeine musikalische Zeitung* (p.129, n.10), before turning to Hoffmann's writing on Mozart's operas from his vantage as a professional music critic. Chantler points out that Hoffmann needed to conceive of opera as the realization of a poetic idea in order to reconcile his operatic aesthetic with that of Mozart, for whom "in an opera the poetry must be altogether the obedient daughter of the music," as Mozart put the matter in a letter to his father dated 26 September 1781 (pp.138–39). Surprisingly, she misses the chance to discuss Hoffmann's interpretation of Mozart's *Don Giovanni* as a work of supreme poetry in his tale *Don Juan*, which immediately follows Part I of *Kreiseriana* in his *Fantasiestücke* (Fantasy Pieces, 1814) and whose narrator can be assumed to be none other than Kreisler himself.⁸ The sentence that precedes the narrator's interpretation of *Don Giovanni* might have helped to elucidate the meaning of "Poesie" for

7. Hoffmann, *Lebensansichten des Katers Murr, Poetische Werke*, IX (Berlin: de Gruyter, 1960), 270. "In Kanzheim Abbey, at any rate, Kreisler was careful not to destroy the compositions written from his heart, and his mood was expressed in the sweet, healing melancholy that marked his works, in contrast with his former only too frequent practice of using mighty music to conjure up, from the depths of harmony, those powerful spirits that arouse fear, horror, and all the torment of hopeless longing in the human breast" (in Hoffmann, *The Life and Opinions of the Tomcat Murr*, trans. and ann. Anthea Bell, with an intro. by Jeremy Adler [New York, Penguin: 1999], p.213).

8. In n.58 on p.139, Chantler erroneously refers to Theodor, the recipient of the interpretation of *Don Giovanni* that the narrator writes after being initiated into the mysteries of the opera through his fantastic encounter with the singer "Donna Anna," as being himself the narrator. Theodor, one should not forget, is one of Hoffmann's middle names.

the Romantic generation, which otherwise might not be self-evident for today's readers and which certainly differed from what Mozart would have understood as "poetry," despite his own productive collaboration with librettists such as Lorenzo da Ponte and Emanuel Schikaneder: "Nur der Dichter versteht den Dichter; nur ein romantisches Gemüt kann eingehen in das Romantische; nur der poetisch exaltierte Geist, der mitten im Tempel die Weihe empfing, das verstehen, was der Geweihte in der Begeisterung ausspricht" (Only the poet understands the poet; only a romantic sensibility can enter into that which is Romantic; only the poetically exalted spirit, who has received the anointment in the midst of the temple, can understand that which the Anointed One proclaims in inspiration).⁹ This type of language illustrates the self-image of Romantic writers and their adherents as initiates in the Temple of Isis, to use an image from *Die Lehrlinge zu Sais* (The Apprentices at Sais, 1802) by Novalis, a work that Hoffmann much admired and to which Johannes Kreisler refers approvingly in Part II of *Kreisleriana*.¹⁰ Although the first quotation from primary literature in Chantler's monograph is by Novalis (pp. 1–2), the pen name for the early Romantic poet and philosopher Friedrich von Hardenberg, he otherwise appears only sporadically in Chantler's monograph, despite the helpful hints given in Charlton's introduction to *Kreisleriana* (e.g., pp. 19–30). A discussion of affinities and differences between Novalis and Hoffmann might have helped to clarify distinctions between the theory and practice of early German Romanticism and Hoffmann's own very distinctive contributions, also with regard to poetry and music, which otherwise get glossed over in Chantler's account.

Of more interest to Chantler is a discussion of "German romantic opera: the ideology of Hoffmann's aesthetic" (pp. 141–53), which follows the lead of Stephen Rumph in reading nationalistic, anti-French sentiments into many of Hoffmann's pronouncements on opera, although Chantler is also willing to cite contrary judgments by critics like Francis Claudon.¹¹ Her own, measured assessment of the evidence serves as the opening sentence of the final section of chapter 5, dealing with Hoffmann's own works for the musical theater: "It was the cosmopolitanism of the repertory of romantic opera promoted by Hoffmann that was reflected in

9. Hoffmann, *Poetische Werke*, I, 82. On p. 48, n. 85, of her study, Chantler does refer the interested reader to the article by David E. Wellbery, "E. T. A. Hoffmann and Romantic Hermeneutics: An Interpretation of Hoffmann's Don Juan," *Studies in Romanticism* 19 (1980), 455–73.

10. Hoffmann, *Poetische Werke*, I, 375 (Charlton, *E. T. A. Hoffmann's Musical Writings*, p. 151).

11. Stephen Rumph, "A Kingdom Not of This World: The Political Context of E. T. A. Hoffmann's Beethoven Criticism," *19CM* 19 (1995), 50–67; Francis Claudon, "Hoffmann: Critique de l'opéra lyrique," in *E. T. A. Hoffmann et la musique: Actes du colloque international de Clermont-Ferrand*, ed. Alain Montandon (Bern: Lang, 1987), pp. 67–84.

his compositional practice insofar as his stage works betray the influence of developments in the French, Italian, and German operatic traditions" (p.153). What this reviewer found quite instructive, for example, is her observation that the musical "reminiscence motives" in *Undine*, rather than representing some genial anticipation of the Wagnerian *Leitmotif*, reflect the influence of the French *opéra comique*, a genre with which Hoffmann was intimately familiar, both as a conductor as well as a music critic; likewise, the integration of the chorus of water-sprites into the action—a stylistic feature derived from French opera—underscores the agency of supernatural forces in the lives of humans as well as the interrelationship of fantasy and reality, thus giving form to Hoffmann's ideal of Romantic opera (pp.160–61). The elaborate, Italianate coloratura accompanying the words "Lieb' ist ew'ger Sonnenschein" (love is eternal sunshine) in the aria sung at the beginning of act III by Berthalda, Undine's proud and status-driven rival for the love of Huldbrand, could be understood as Hoffmann's commentary on the superficiality of her character (p.167; musical example 5.7). This music stands in contrast to the light orchestral texture assigned to the genuine, loving nature of Undine, who forsakes the realm of the waves in order to marry Huldbrand but who is forced to return there when he proves untrue to her. Although Chantler does not mention this detail in her analysis of the repeated-note figures and dotted rhythm associated with Undine's uncle Kühleborn, it is hard not to think of the Commendatore in *Don Giovanni* when in Act III Kühleborn calls out his warning to the benighted lovers Berthalda and Huldbrand that death and destruction await them. To be sure, in the final scene of the opera it is only Huldbrand who is slain by a kiss from Undine, which unites him with her in what the libretto by Fouqué explicitly calls a "Liebestod" and which is accompanied by music quoted verbatim from the finale of the previous act (pp.164–65; musical examples 5.5a and 5.5b). As Chantler observes: "This enables Hoffmann to evoke musically the strong sense of symmetry between the two events: whilst Huldbrand's reproaches precipitate Undine's earthly demise in Act Two, it is Undine who spirits Huldbrand away to join her in her native watery realm in Act Three" (p.164). Here Wagner really does not seem that far away! In any case, Chantler's analysis makes clear that *Undine* is anything but a purely German Romantic opera and that the notion of "German" music in the early nineteenth century is itself a problematic one.

Chantler pursues this latter topic in her concluding chapter, "Musical Taste and Ideology" (pp.169–78), where she resumes the argument that Hoffmann's evaluation of instrumental music and opera provided a foil for a nationalistic agenda that was an outgrowth of positions already articulated by Goethe and Herder during the *Sturm und Drang* period of the 1770s, but then heightened by the political and

ideological struggles of the Napoleonic Wars and the Prussian Reform Movement. While not unsympathetic to this approach to literature and music, I would suggest that Chantler here relies too much on the research of others and does not go into sufficient detail regarding Hoffmann's life and professional career to be able to provide more than a broad outline for future investigations. If Hoffmann were so committed to a nationalist cause, for example, why would he have spent the years between 1808 and 1814—the height of the Prussian Reform Movement—not in Berlin or Prussia but rather in Bamberg, Dresden, and Leipzig, all located in German states allied with Napoleon? Was it patriotic zeal to serve the state or rather money problems that caused Hoffmann to return to Berlin in September of 1814 and resume work in the Prussian legal system? And if Hoffmann wished to put music in the service of political concerns, why did he not propose to Fouqué that they make an opera out of one of that writer's many nationalistic dramas, e.g., *Der Held des Nordens* (The Hero of the North, 1810)? Such questions do not negate Chantler's thesis that Hoffmann's interpretation of the music of Gluck, Mozart, and Spontini reflected his own cultural identity rather than theirs (p.177), but they should serve as a reminder that concepts like "nation," "nationalism," "German," and "Romantic" need to be situated carefully in a specific historical context. Otherwise, we as critics run the risk of ascribing to these terms meanings from their usage in the latter part of the nineteenth and twentieth centuries and, in effect, interpreting Hoffmann and his works in the same anachronistic way he did other composers' works. Comparing Hoffmann with explicitly political writers of the period like Fichte, Kleist, Arndt, and Jahn might provide a better opportunity to determine the depth and character of Hoffmann's socioaesthetic engagement.¹²

But, as Chantler observes in her concluding remarks in "After Hoffmann: Developments in Musical, Aesthetic, and Literary Theory" (pp.179–81), it was the early Romantics who pointed out the multiple meanings of words and works and who accorded to the listener and reader an equality with the author in the interpretive process. In that regard, the New Musicology since 1980 is more "romantic" than one might initially suppose. This too, Chantler argues, is part of Hoffmann's legacy: his musical criticism helped build a musical and national canon, but it also provides the means for deconstructing this same canon, if one takes the same interdisciplinary approach that Hoffmann employed. May this review of Chantler's stimulating monograph aid in her worthy project.

12. See Otto W. Johnston, *The Myth of a Nation: Literature and Politics in Prussia under Napoleon* (Columbia, S.C.; Camden House, 1989) for a detailed discussion of these latter writers in the context of their times.

*Scribal Error: Copying Beethoven and the Pitfalls of Perspective
in Cinematic Portraiture*

Robynn J. Stilwell

In her DVD commentary on *Copying Beethoven*,¹ director Agnieszka Holland makes a pertinent analogy between painting and film: in the development of figurative representation—portraiture—a realistic image was prized up until the point at which photography made such representation redundant. The need for accurate physical representation was superseded by a desire for a more subjective representation. She hoped her film would present Beethoven less as a photograph and more as a Picasso.

This is an admirable and sensible sentiment. Although we have a scholarly apparatus to provide us with historically accurate details of Beethoven's life, no film can capture the complexity of any individual. A figure as conflicted as Beethoven presents fierce challenges as well as rich opportunities for representations that can provide insight into the creative process, into the emotional turmoil of Beethoven's family life, and perhaps most invitingly, and poignantly, into the loss of hearing for an artist whose medium is sound.

This complex of words and ideas surrounding representation leads us into a semiotic briar patch that is, I feel, worth the detour in the context of this review. Two clusters of terms hinge around the word "figure"—on the one hand, the individual, the historical person who stands out from the ground of his or her time and place. These figures become characters in the narrative of history, and often in dramatic representation. They exist, develop, and unfold in linear time. But a "figure" is also the subject of a portrait, of a still *image* that contains a compressed

1. *Copying Beethoven* (U.S., Agnieszka Holland, 2006). MGM DVD ASIN B000MV8AEo, 2007.

version of that linear, living figure. The Ferdinand Schimon portrait of Beethoven (1818–19) is an image that seems fairly close to photorealism in reproducing the man's appearance. Yet the stormy background, the disarray of Beethoven's hair, and the loose end of his necktie evoke a strong sense of movement: of the literal wind, but also of Beethoven as a metaphorical force of nature. This visual image is not a complete picture of Beethoven, but it captures a significant aspect of his "image." Yet as a sort of metaphorical image, it also leads to a kind of flattening out, of the reduction of complexity to a vivid symbol. This glowering image is represented—and re-presented—in a number of portraits until it has become the icon of Beethoven today, and everything else we know about the man is filtered through this logo.

Film seems an ideal medium for the representation of musical figures because visual images can unfold through time along with music. Narrative is a dramatic device that can, but need not, be engaged. Indeed, the "biopic," or filmic biography, is a notoriously inaccurate genre, in large part because there are so few narrative tropes that are ever engaged (rags-to-riches, overcoming a dramatic setback, the talented artist who turns his/her back on high art for the "vulgarity" of popular music—or vice versa—and wins over both sides). This often results in homogenized biographies, such as many of MGM's lush 1940s cycle of biopics-cum-revues, or the more recent VH-1's *Behind the Music* series. On the other hand, Mauricio Kagel's *Ludwig van* (1969) and François Girard and Don McKellar's *Thirty-Two Short Films about Glenn Gould* (1993) are excellent examples of filmmakers using mixed strands of conventional drama, documentary, and even musical form, thereby illuminating a complex historical figure in a fragmentary but multidimensional—dare I say cubistic—manner.

Can a representation of a real person be fragmentary, partial, even historically inaccurate, and yet rhetorically true? Yes, I believe that is not only possible, but I can point to two infamous examples that I feel succeeded in this, despite the heated outcry from some academic circles: *Amadeus* (Milos Forman's 1984 adaptation of Peter Shaffer's play) and *Elizabeth* (dir. Shekhar Kapur, 1998). The debates about *Amadeus* are well rehearsed by now,² whereas *Elizabeth* has generated heated debate in film circles for its wildly inaccurate depiction of historical figures and its crashing anachronisms. However, I would argue that in both cases, some of the most egregious changes are meant for symbolic weight. For instance, Elizabeth's nemesis in the film is the Duke of Norfolk; his portrayal is inaccurate

2. For a summary of the criticism and a musicological rebuttal, see Jeongwon Joe, "Reconsidering *Amadeus*: Mozart as Film Music," in *Changing Tunes: The Use of Pre-Existing Music in Film*, ed. Phil Powrie and Robynn J. Stilwell (Aldershot: Ashgate, 2006), pp. 57–73.

in almost every regard, but sets him as a stern Catholic against Elizabeth's sensual Protestantism (an ahistorical upending of stereotypes), and his virility is the foil for Elizabeth's "virginity."

Elizabeth is explicitly concerned with the process of transforming the historical figure of Elizabeth Tudor into the icon of the Virgin Queen,³ and in that respect, the anachronistic uses of Mozart's Requiem and especially of "Nimrod" from Elgar's *Enigma Variations* are pertinent bits of meta-scoring: Elizabeth the woman is dying so that Elizabeth the Virgin may become an icon, a substitute Virgin Mary for a land struggling to change from Catholicism to Protestantism. "Nimrod" signifies/iconizes national mourning for the English in much the same way that Barber's *Adagio* signifies for Americans. It matters not that Elgar is anachronistically Victorian.

Copying Beethoven re-presents its subject in a way that is far more conservative than either *Amadeus* or *Elizabeth*. The term "copying" is polysemous, in both the literal sense of copying out his music and the metaphorical sense of modeling one's behavior and aspirations on another, in this case, the most iconic of Western composers. Alas, I feel that in the film's derivative narrative and the inauthentic voices of the characters, "copying" becomes all too resonant a descriptor.

Reviewing *Copying Beethoven* set challenges that I was not expecting. Coming from the perspective of a film musicologist with an interest in the deployment of preexisting music, whether art or popular, I was not interested in picking apart the historical details of Beethoven's biography, and I am clearly not a purist when it comes to films about music, or historical films. My initial intention was to discuss the music as a film score, to assess how the music worked to articulate the narrative and symbolic field of the collective work of screenwriters Stephen J. Rivele and Christopher Wilkinson, director Agnieszka Holland, actors Ed Harris and Diane Kruger, and all the other artists who contributed to this representation of Beethoven. As it turned out, the scoring was not a particularly interesting aspect of the film. A simple schema operates in which the symphony, especially the Ninth Symphony, represents the public face of Beethoven, the late quartets signify his decline and interiority, and the solo piano works stand in for the domestic and feminine.

For me, the most interesting aspect of the film is exactly where it fails—it is so utterly predictable where it wants to be daring and exciting. In this story, we come upon Beethoven a few days before the premiere of the Ninth Symphony and in need of a copyist. (Right there, for the first of many times on initial viewing, I

3. I have written briefly about this in "Post-*Amadeus*: Mozart's Requiem in the Movies," in *A Global View of Mozart: Mozart und Nordamerika*, ed. Jürg Stenzl (Salzburg: State of Salzburg, 2004), pp. 117–24.

was bumped out of the world of the film by the practical thought, “What have the musicians been practicing from, then?”) An aspiring composer from the Vienna Conservatory, who happens to be beautiful, blonde, and female, is dispatched to the apartment of the famous composer. Beethoven (the role was rumored to have been originally conceived for Anthony Hopkins, but portrayed by Ed Harris) is dirty, gruff, and socially unacceptable; the stage is set for a Beauty and the Beast story, or at least a gender-bending, anthropomorphized Androcles and the Lion—and that is essentially what we get.

Anna Holtz (Diane Kruger) is a young woman ahead of her time, who has the inner strength to help Beethoven through his final days.⁴ She begins as his copyist, and then in a sequence that is both the climax of the film and the most extraordinarily presumptuous move by the filmmakers, she helps him perform the Ninth Symphony by sitting in the middle of the orchestra and conducting his conducting, assisting the deaf composer to keep the beat and make his cues. This event binds them (though this dramatic and cinematic high point of the film occurs oddly in the second act), and in the third act, the scale ramps down. Anna develops her own compositional voice as she helps the great composer note down his late quartets before his death.

This arch structure is emphasized by the deployment of music: the opening half of the film is scored most significantly by the Ninth Symphony, culminating in the extensive performance sequence; the second half is dominated by the music of the late quartets, particularly the *Grosse Fuge* and the “Hymn of Thanksgiving,” the third movement of op. 132. With the exception of the staging of the Ninth, much of the music floats in a metadiegetic limbo, played or sung by the characters, though not always bound tightly to the onscreen representation.⁵

Whereas this music “belongs” clearly to Beethoven, his early piano sonatas and some original piano music in Beethovenian style by Antoni Lazarkiewicz represent Anna. She is narratively counterposed between the Romantic, soulful artist and her fiancée, an engineer named Martin Bauer, who is designing a steel-span bridge for a competition. The classical/structural vs. Romantic/organic echoes throughout the film, from the homonymic symbol of Anna’s surname (*Holz* = wood, a material that is both organic and used for construction) to Beethoven’s testy criticism of her composition (“[Music] doesn’t work, it grows . . . in your work, you’re

4. The filmmakers cite Louise Farrenc (1804–75) as a model for the character of Anna.

5. This loose sourcing, frequently with nondiegetic music playing over a close-up of the composer’s face or writing of music, is a typical cinematic representation of internal ideation and the creative process, similar to Gorbman’s concept of the “metadiegetic” (Claudia Gorbman, *Unheard Melodies: Narrative Film Music* [London: BFI Publishing, 1987], p. 22)

obsessed with structure”). This juxtaposition heavily foreshadows the “rightness” of Anna’s connection to Beethoven and the wrongness of her relationship with Bauer, culminating in a scene that seems a foregone conclusion from the moment of Bauer’s introduction: at the design competition, Beethoven sneers at Bauer’s bridge and destroys it with his cane, delivering such lines as: “You build bridges to connect points of land; I build them to connect men’s souls. . . . My bridge [is] to the future of music. . . . If one day you will cross over it, perhaps you will be free.”

The film also owes an obvious debt to *Amadeus*, not only in the depiction of the composer as a vulgar receptacle for divine inspiration, but even in certain narrative details. In a direct “steal” acknowledged by the director, the Emperor’s infamous “too many notes” criticism is echoed by the Archduke’s response to the first performance of the *Grosse Fuge*: “My God. You’re deaf than I thought.”

The “Hymn of Thanksgiving” becomes the Requiem, as Beethoven dictates it to Anna on his deathbed. Although this, too, is obvious, it works: the music, Harris’s performance, and the cinematic technique by which Beethoven’s description makes the metadiegetic quartet *become* the film music underscoring his death. The effect is more peaceful than thrilling, and the film ends with ex-painter Holland’s homage to Caspar David Friedrich, as Anna walks into the sunset with the Ode rising in full chorus. At least the film ends on one of its stronger moments.

Anna is the film’s fatal flaw. She is, in the parlance of fanfiction, a Mary Sue. And that’s what *Copying Beethoven* frankly is. Fanfiction.

That is not in itself a criticism. Fanfiction is one of the most vital forms of literary creativity in popular culture today. Derided as derivative and inauthentic, it nonetheless has been a pervasive form of self-expression—mostly practiced by women, whether students, housewives, or even professionals—for at least the past fifty years, though where it had once flourished only in the margins it has exploded in the age of the Internet.⁶ Normally, it involves writing new adventures in the worlds created by popular television, films, and books—*The Lord of the Rings* and *Harry Potter* are among the most widespread sources, perhaps unconsciously echoing their medieval settings, where legends like the tales of Robin Hood or

6. The foundational study of fan culture is Henry Jenkins, *Textual Poachers: Television Fans & Participatory Culture*, Studies in Culture and Communication (New York: Routledge, 1992). Other examinations of the world of fanfiction include Matt Hills, *Fan Cultures* (London: Routledge, 2002); Sheenagh Pugh, *The Democratic Genre: Fan Fiction in a Literary Context* (Bridgend: Seren, 2005); and Karen Hellekson and Kristina Busse, *Fan Fiction and Fan Communities in the Age of the Internet: New Essays* (Jefferson, N.C.: McFarland, 2006). I would also like to acknowledge my conversations with Elizabeth Upton as an influence on this discussion, particularly as it bears on medieval practice.

King Arthur and the Knights of the Round Table were in effect a “fandom” of tales told and retold among many authors. That lack of “authority” is one of the sticks most often used to beat fanfiction, but it resonates not only with medieval literary practice (and many oral traditions around the world) but also with the postmodern impulse toward re-reading: Jean Rhys’s novel *The Wide Sargasso Sea* (*Jane Eyre*) and Tom Stoppard’s play *Rosencrantz and Guildenstern Are Dead* (*Hamlet*) are conceptually fanfiction. They are simply good fanfiction.

The Mary Sue is the most widely reviled brand of fanfiction because of the blatant self-insertion of the author and the predictability of the outcome. She is always the most beautiful, well-intentioned, nurturing character who saves the day (in this case, the symphony). She is multitalented and manages to succeed against impossible odds, winning the undying love of the hero and everyone else. She is too good to be true. Or interesting.

Almost all of the scenes deleted from the film as presented on the DVD concentrate more on Anna’s desire to compose and the reactions of those around her; while giving her more narrative weight, all these are clichéd misogynistic situations, and it is difficult to judge whether or not they would have helped Anna in the final cut. A scene in which Beethoven asks Anna to bathe him is a symbolic cleansing; Holland comments that despite critical disdain, women especially loved that scene. I, however, found it eye-rolling, particularly because it was so recognizable as a classic hurt/comfort trope,⁷ which of course can easily lead to sex in the fantasy world of fanfiction (a conclusion of the scene that had Anna literally offering sex was thankfully excised). Then in a conflation of Romantic philosophy and fanfiction cliché, Anna is inspired/impregnated by this moment to finish her piano sonata.

The mutual conducting of the Ninth is a similar sex substitute (as Harris acknowledges on the commentary, “This is a lovemaking scene”), but it is better realized than the bathing scene because of the music and some of the more creative camera work in the film—mirrored shots of their hands during the low-string statement of the “Ode” theme are striking, although a seemingly gratuitous shot of Anna’s dainty cleavage, the shaking of the camera, and the nearly orgasmic looks on the faces of Anna and Karl at the end of the symphony skirt close to parody. Much more interesting to me were the inserts of the plain, mostly middle-aged faces of the women in the chorus, anticipating their entrance. Their excitement was musical.

7. One of the most prevalent forms of fanfiction is the hurt/comfort one, in which one character is damaged (ill or wounded, emotionally or physically), which opens the space for another character to care for him/her and become closer.

So, how might one have created a more original take on Beethoven? Even within the conventions of “fanfic,”⁸ two more intriguing options present themselves almost immediately. The first is a minor-character point-of-view (POV) fic⁹—a peripheral character assumes center stage and tells the familiar story from his or her perspective, limited in some ways but insightful in others. Karl could have been a tremendously interesting narrator. That structure can lead to an eroticization of the relationship that could be understandably disturbing; but as it is, the relationship between Beethoven and his nephew is so sketchily drawn that an insidious tinge of pedophilia and incest clings to the depiction within the film anyway.

The other, more challenging choice, but one that is made possible by the medium of sound film, is an introspective Beethoven’s POV. We now know more about how he “heard” things; sound design and cinematic technique could have given us a subjective impression of his experience of those last days. The script wants to communicate this internal life, but it is expressed in such heavy-handed lines as, “God whispers into some men’s ears; he shouts into mine, that’s why I’m deaf,” or “Everyone thinks I live in silence. God infests my mind with music . . . then makes me deaf.”

If an actor of the quality of Ed Harris appears to be struggling with such lines, it is an indication that the entire enterprise is based on shaky ground. Harris is less of a ham than Hopkins probably would have been, his commitment to the role is unwavering, and he has remarkably good technique with the baton. But his Beethoven is more illuminating as a man than as an artist. Diane Kruger is somewhat less convincing as Anna; she does not quite inhabit the fierce, strong-willed character that a real Anna would have had to be.¹⁰ In comparison, Phyllida Law as her aunt, now the Mother Superior of the convent in which Anna lives, does so much with so little. As a girl, the nun had hoped to be a singer at the Paris Opéra, but in one beautifully delivered line, Law evokes clearly the stakes for women in music at the time: “I was seventeen; he was . . . French.”

8. Fiction surrounding real characters (usually actors or musicians or sports figures, but occasionally historical) is called “real person fiction” and is more controversial even among fanwriters because of the implied invasion of privacy.

9. Fic is a short-hand for a fanfiction story. Any fiction can be a story, but a fic is a story in a fandom, or the world of a book, film, or television show; the original source is called “canon,” while the glosses and interpretations generated by fanfic and generally accepted by the fandom is called “fanon.”

10. At times, Kruger bears an unnerving resemblance to a young Jessica Lange, inducing unsettling double-images of *Sweet Dreams* (Karel Reisz, 1985), in which Lange and Harris played country music legend Patsy Cline and her abusive husband, Charlie Dick.

The film uses fine commercial recordings conducted by the likes of Bernard Haitink and Christopher Hogwood, with much better mining by the leads than is usual. The cinematography is lovely, with beautiful use of candlelight reminiscent of Stanley Kubrick's *Barry Lyndon* (1975), and the use of jumpy noncontinuity editing (mostly shot by Holland's daughter Kasia Adamik as second unit director) is an attempt at a subjectivity beyond the mere awe and reverence that we often get in mainstream cinema.

Every representation is idealized and shaped by the expectations of its time and audience. In this multimedia age, any representation is likely to be partial, fragmentary, but giving the illusion of multidimensionality. My problem with *Copying Beethoven* is not that it is *wrong*. It is that it is so pedestrian.

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